**Policy Name: Business Continuity Plan and Disaster Recovery**

**[Author]:**

**Approved by:**

**[Date]:**

**[insert name Local Optical Committee]:**

### Business Continuity Plan and Disaster Recovery

1. **Introduction and scope**

[insert name Local Optical Committee ‘the LOC’] is committed to providing the best possible support to our local contractors and performers. While the LOC does not have our own physical offices/spaces, nor hold patient identifiable data, the LOC may still be affected by local or national critical incidents. This Plan outlines the measures we have in place to mitigate the impact of disasters and recover from them as quickly as possible in order to maintain our support of the local optical sector.

We will inform local NHS teams and other key stakeholders of this Plan. We will also make use of LOCSU’s optical lead and central team for support as required.

1. **Responsibilities**

Responsibility for enacting this Plan lies with the LOC officers. The LOC’s officers ensure that all LOC members are also familiar with it so that they can implement it if officers become indisposed during a major incident.

1. **Disaster mitigation**

The following are indicative scenarios that would trigger Plan implementation with steps for mitigation:

* **Remote meetings**

During COVID-19 LOCs switched to remote meetings. Following the pandemic, the LOC will consider implementing a hybrid physical-remote model to maximise attendance. Arrangements will be made to transition to remote meetings using Zoom/Teams or equivalent.

Regular communication with local contractors and performers will be employed during a crisis to ensure that they are appraised of changes to meetings. The LOC maintains a regular list of contacts including email addresses (including alternative addresses) for all local contractors and performers, mobile numbers for members and officers, and makes full use of social media.

* **Serious illness to LOC officers and members**Although LOC officers are elected each year from the membership base, it may be necessary for members to temporarily assume some of the functions of officers in order to ensure that meetings continue to take place (virtually if necessary), and that the local optical community continues to be supported.   
    
  In the event of unusual and serious situations, local practitioners are likely to require more support than required under normal circumstances: thus, the LOC will ensure that it remains ‘open for business’ even in the event of officer absence.
* **Information loss including IT failure**

The LOC does not use local IT networks/servers and is therefore at a low risk of catastrophic IT failure; nor do LOCs hold patient identifiable information.

However, to reduce risk as far as possible we backup data by saving files on cloud systems, and do not rely upon local drives/desktops. The LOC’s digital records include key contacts held on cloud systems to ensure that knowledge is held at organisational rather than individual level. Where information is still held in paper format the LOC audits this with the overall objective of future digitising.

In addition, the LOC implements succession planning incorporating information and IT handovers to ensure that information held by key individuals is not lost when they step down from their positions.

The LOC’s officers are familiar with, and implement, LOCSU’s Data Protection Guidance designed for LOCs: <https://www.locsu.co.uk/locs/guidance/data-protection/>

* **Financial collapse**

We ensure that the LOC has enough financial reserves to withstand a period of reduced or stalled levy income but without holding unnecessarily large sums of contractor levy contributions. We worked with LOCSU during COVID-19 to assist our treasurers with financial planning and resilience and will continue to do so.

We ensure that there is more than one person able to access the LOC bank account in the event of the treasurer being indisposed.

1. **LOC constitution**

LOC officers and members are well familiar with the LOC’s constitution and encourage local contractors and performers to be as well. We do this in particular to facilitate timely responses in the event of a disaster.

1. **Risk Assessment Grids**

The risk assessment grids below can be used by LOCs to plan for disasters and establish steps for mitigation.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Risk Assessment descriptors:**  **Use the descriptors below to assess the Likelihood of a risk occurring** | | | | | |
| **Score** | **5** | **4** | **3** | **2** | **1** |
| **Descriptor** | **Probable** | **Possible** | **Unlikely** | **Rare** | **Negligible** |
| **Likelihood of occurrence** | More likely to occur than not | Reasonable Chance of occurring | Unlikely to occur | Will only occur in rare circumstances | Will only occur in exceptional circumstances |
| >50% chance | 50% to 5% | 5% to 0.5% | 0.5% to 0.05% | 0.05% to 0.005% |
| >1 in 2 chance | 1 in 20 chance | 1 in 200 chance | 1 in 2,000 chance | 1 in 20.000 |
| **Risk Impact:**  **Use the descriptors below to assess the Impact severity if a risk occurs** | | | | | |
| **Score** | **5** | **4** | **3** | **2** | **1** |
| **Descriptor** | **Catastrophic** | **Major** | **Moderate** | **Minor** | **Insignificant** |
| **Severity of Impact** | Permanent loss of core service or facility | Sustained loss of service which has serious impact on delivery of patient care | Some disruption in service with unacceptable impact on patient care. Non- permanent loss of ability to provide a service | Short term disruption to service with minor impact on patient care | Interruption in a service which does not impact on the delivery of patient care or the ability to continue to provide a service. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Record the likelihood and impact of potential hazards and /or threats together with the recovery time frame options (these are indicative examples only and are not exhaustive)** | | | | | |  |
|  |  |  | **Option 1** | **Option 2** | **Option 3** | **Risk mitigation: steps taken** |
| **Hazard or threat** | Likelihood Score | Impact Score | (2 hours) | (24 hours or more) | (5 days or more) |  |
| Loss of premises |  |  |  |  |  |  |
| Incapacity of staff |  |  |  |  |  |  |
| Loss of computer systems/ essential data |  |  |  |  |  |  |
| Financial collapse |  |  |  |  |  |  |