Business Continuity & Disaster Recovery Plan

Table of Contents

PURPOSE 2

1) REQUIRED REVIEW 2

2) LOCATION 2

3) THE NET MANAGEMENT SYSTEM GOES DOWN AT ALL SITES 3

4) PHONE SERVER GOES DOWN, NOT DUE TO POWER OUTAGE; MTM HAS COMPLETE REDUNDANCY ON-SITE 5

5) TELEPHONE LINES DOWN AT CORPORATE HEADQUARTERS 5

6) POWER OUTAGE AT CORPORATE HEADQUARTERS OR REMOTE OFFICES 5

7) TELEPHONE LINES DOWN AT REMOTE CALL CENTER LOCATION; NATURAL DISASTER MAKES REMOTE CALL CENTER UNAVAILABLE; WEATHER OR FLU-TYPE EPIDEMIC RESULTS IN REDUCED STAFFING AT CORPORATE OR REMOTE CALL CENTERS 6

8) DISASTER MAKES HEADQUARTERS UNAVAILABLE 6

ATTACHMENT 1 - IBM ISERIES SYSTEM 8

ATTACHMENT 2 – TRANSPORTATION REQUEST FORM 9

ATTACHMENT 3 – MTM COMPLAINTS/COMPLIMENTS FORM 11

ATTACHMENT 4 – MTM INCIDENT REPORT FORM 13

ATTACHMENT 5 – MANUAL PROVIDER FORM 15

ATTACHMENT 6 - DISASTER RECOVERY CONTACT INFORMATION 17

Purpose

To provide a business continuity and risk management plan to ensure that in the case of any service disruption, minimal impact is placed on MTM's clients. Service continuation is ensured through alternative plans of action, including but not limited to the re-routing of calls, the use of manual documentation and faxing, the use of back-up emergency equipment, and the replacement of primary systems and/or servers with standby replicas. This document identifies the applicable disaster scenarios and the step-by-step plan of action to be executed in the event that the disaster scenario occurs. Emergency contact information is also identified.

1) Required Review

This plan is reviewed annually, at a minimum, by the following MTM Executives to ensure information contained herein is accurate. Additionally, in the event that a disaster scenario occurs the plan will be reviewed within 15 days to identify areas of opportunity and updated accordingly. Each MTM executive will review the plan with their subject matter experts, contribute changes and approve changes made by other departments. The CEO will confirm that all departments agree with the revised plan before approving the final updated document. The revised document will be effective immediately upon CEO approval. Clients will be notified of any revision to the document within 15 days of approval.

☐	CEO, Alaina Macia
☐	Exec. General Counsel, Don Tiemeyer
☐	CIO, Martin Taylor
☐	VP, Finance, Stephanie Klaas
☐	VP, Network Management, Patrick McNiff
☐	VP, Operations, Tammy Puyear

2) Location

This document will be maintained on MTM's Shared Drive under the file "Business Continuity Plan" and on MTM's Intranet. At least one physical copy must be available at each facility, with, at a minimum, each Director or department Manager and the above listed individuals also possessing a physical copy. Any revisions will be sent to the above listed Executives, Directors and Managers. At all times the current version will be available on the shared drive and Intranet.

3) The NET Management System goes down at all sites

a) The Business Solutions Group (BSG) immediately investigates the reason for the outage and reports to the Executive Team when the NET Management system will be restored. The VP of Client Services, or delegate, will report the outage to all impacted clients using a Business Disruption Form.

   i) MTM operational departments revert to manual operation.

   ii) If the prognosis is that the NET Management System is non-operational at all sites and service cannot be restored within four hours, BSG initiates procedures to bring up the NET Management system on the mirrored backup server at the geo-distinct location, located in NE Topeka, KS, approximately ten miles from the primary system Trip requests that have been recorded using paper based processes are entered into the NET system immediately the back up server is online. Once the issue is resolved, BSG initiates procedures to resume operations on the main server. When the NET Management system is operational on the primary server, this server is updated to store the data that was entered on the backup server during the period of outage. Data mirroring is re-enabled through high availability and disaster recovery software, ensuring that data between the primary and secondary server is in sync.

b) Customer Service Representatives (CSRs) and Care Managers take trip requests/changes/cancellations over the phone and document on appropriate Trip Request Form using Attachment #2.

   i) Urgent trips are scheduled immediately. CSRs and Care Managers reference the Transportation Provider Listing provided by Network at time of NET Management System outage (to ensure the list is most current). The list is sorted by state and county and lists the providers' contact numbers, types of vehicles, and rate schedule. After contacting an available provider and confirming their ability to take the trip, the trip request form is faxed to the provider.

   ii) If the trip is non-urgent (two to three days out), the trip request is documented and faxed to the provider after the NET Management System is back online and/or power is restored. If the NET Management system is to be down or power is interrupted for more than 24 hours, the trip is faxed to the available provider per the Transportation Provider Listing. As providers reach capacity, Network e-mails the CSRs and Care Managers with the name of the provider and trip faxes cease. The CSC and Care

Management departments designate an appropriate number of CSRs and Care Managers to fax the non-urgent trips to the appropriate providers.

iii) Sent faxes are sorted by date and filed in a locked drawer within the secured office location until the NET Management System is back up and running and/or power is restored. When the System is up and running and/or power is restored, the trip forms are entered into the System. After the trips have been entered into the System, the forms are scanned and filed on MTM's server for use in the event of any disputes or issues. The original forms are destroyed after they have been filed electronically.

c) QSCs take complaints/incident/issues over the phone and document them on the Complaint/Incident/Issue Form, (See Attachments #3 and #4) or in the Complaints database, which is not a part of the NET Management System.

i) Complaints/incidents/issues are documented and resolved to the extent possible without the information in the NET Management System.

ii) Relevant information will need to be collected on the form; the forms are filed by date in a locked drawer until the System is back online and/or power is restored. When this occurs, the information on the forms is entered into the System. After the information has been entered into the System, the forms are scanned and filed on MTM's server for use in the event of any disputes or issues.

iii) A complaint code is entered in the NET Management System for any trips that had a complaint called in while the NET Management System was down.

d) Network Reps take trip changes/issues over the phone and document them on the Trip Changes/Issues Form (See Attachment #5)

i) Changes made for trips that are to take place within 24 hours are called into the provider.

ii) Changes for trips that are to take place after 24 hours are faxed to the provider. Forms are filed by date in a locked drawer within the secured office facility until the NET Management System is back up and running.

iii) After the NET Management System is up and running, all changes documented on Trip Changes/Issues Form are immediately entered in the NET Management System.

iv) After the information has been entered into the System, the forms are scanned and filed on MTM's server for use in the event of any disputes or issues.

e) All other departments complete non-NET Management System work to the extent possible and deploy available staff to the CSC to assist in filing, faxing, and taking calls.

4) Phone server goes down, not due to power outage; MTM has complete redundancy on-site

a) MTM has two Cisco call system type servers: CallManager (which allows us to have phones on the desk) and IPCC (which allows us to take CSC calls and route them to agents).
b) We have a primary and secondary CallManager server in production at all times. This ensures that in the event one server fails calls will NOT be dropped, and we can place calls as normal.
c) We have a primary and secondary IPCC server in production at all times. This ensures that in the event one server fails, calls will continue to be routed to agents.

5) Telephone lines down at corporate headquarters

a) Call carrier via cell phones.
b) The VP, Client Services, or delegate, will notify clients of system failures and provide clients with appropriate cell phone numbers for emergencies.
c) MTM handles all urgent trips via cell phones.
d) Place global message on 800 lines.
e) The secondary IPCC server is located in the Houston CSC. This server will route calls to the other CSCs in the event of a telephone line outage at corporate headquarters.

6) Power outage at corporate headquarters or remote offices

a) MTM has natural gas fueled generators at corporate headquarters and at the Houston remote CSC. If power is lost from the main utility lines the generator will immediately provide power providing for seamless operations.
b) If a remote site loses power calls will be automatically rerouted to the secondary and tertiary offices.

7) Telephone lines down at remote call center location; natural disaster makes remote call center unavailable; weather or flu-type epidemic results in reduced staffing at corporate or remote call centers

a) The NET Management System automatically routes calls to the backup call centers. A secondary and tertiary back up call center is identified for all phone lines. During normal operation calls are routinely routed to staff in the secondary and tertiary call centers ensuring staff are fully conversant with client requirements.

b) CSRs in the secondary and tertiary call centers are trained to the same client standards and at the same frequency as the primary call center and are able to manage calls seamlessly to the member.

8) Disaster makes headquarters unavailable

a) The phone server is brought back up with the generator to bring remote sites on line.

b) The NET Management System automatically routes calls to the backup call centers. A secondary and tertiary backup call center is identified for all phone lines.

c) CSRs in the secondary and tertiary call centers are trained to the same client standards and at the same frequency as the primary call center and are able to manage calls seamlessly to the member.

d) In the event headquarters cannot be made operational within 48 hours, staff located at secondary and tertiary sites provide weekday, weekend, and overnight support. Staff normally located at corporate headquarters are relocated to the secondary and tertiary sites at company expense for the duration of the recovery event.

e) Hot Line and Calling Tree: The VP of Operations or Director CSC operations contact each CSC manager and instructs them to call the conference bridge number (866-906-9888, Host Code: 50597319, Participant Code: 5973575) in the event Headquarters loses operational capacity. The recovery planning call is followed by the initiation of the calling tree to inform CSRs of response plans and determine their ability to support alternate site operations plans. Team Leads and Supervisors contact each of their team members to make immediate arrangements to assign and transport staff to the appropriate remote call center location. The VP of Operations or the Director CSC Operations will determine what staff are to be allocated to each remote call center.

f) Claims processing capability is dependent on MAS, which is a third party accounting package housed in the corporate facility. This application is mirrored on back up servers at one or more remote MTM locations which remain accessible to accounting personnel from any laptop or PC that has a broadband internet access connection. The Controller identifies which remote office will process claims and pay transportation providers, and makes immediate arrangements to assign and transport staff to the appropriate remote call center location.

g) All MTM contracts, Plan Protocols, Training Materials, and other critical business documents are housed in folders on the corporate intranet. These documents are backed up nightly on mirrored servers housed at one or more remote MTM locations and are accessible to all authorized MTM personnel through a broadband connection using MTM's Virtual Private Network for access from a PC or laptop computer.

Attachment 1 - IBM iSeries System

Historically, the IBM iSeries system has a 99.9% availability. Data is mirrored to a backup server in another location. If a failure occurs on the primary system, it is repaired quickly if possible. If the System cannot be repaired quickly, the NET system is brought up on the secondary iSeries system. The operating system on the iSeries has system and hardware diagnostics running at all times. If a failure is about to occur, or has occurred, a message to IBM support is automatically generated and sent to the IBM support center as well as the IT staff and is addressed immediately.

The following has been implemented to recover from any outside influence that is beyond our control.

> All of the MTM data is backed up to tape on a nightly basis. All user data on the iSeries is backed up to tape weekly. The entire system is backed up to tape on a monthly basis. These tapes are then stored offsite. These tapes are used to restore one or more objects that have been damaged due to an error in a program or some other action. As a last resort (both the primary and backup systems had a simultaneous unrecoverable failure), the monthly tape and the most recent nightly tape are used to restore the entire system.
>
> MTM currently uses a High Availability & Disaster Recovery software application that mirrors every transaction taking place on the production system and duplicates it on another iSeries backup system in a secure, monitored, hardened building, which has generator backup to ensure maximum uptime. These transactions are typically available on the backup box within milliseconds. During heavy traffic periods, a transaction may take a few minutes to be available on the backup/HA iSeries. The HA application has built-in auditing capabilities that are run nightly to ensure that both iSeries are in sync. The two iSeries systems are in geo-distinct locations and are constantly monitored to ensure all transactions are mirrored. Every precaution has been taken to ensure MTM's data is available at all times. The backup iSeries is brought online providing access to MTM data within approximately one hour.
>
> MTM has standing agreements with the hardware/software providers to provide next-day delivery of the affected servers and/or software.

Attachment 2 – Transportation Request Form

Transportation Request Form - Date of Request

_____

Patient Name: (Specify) _____ **Medicaid Number:** _____

Date of Birth:_____ **Phone:** (_____) _____

Person Making Request: _____ **Relationship to Patient:** _____

(If **SELF**, specify)

Reason for Call: (Circle)
ARRANGE VERIFY COMPLAINT CHANGE UPDATE CANCEL MILEAGE OTHER
(If **UPDATE, CANCEL**, or **OTHER** specify vendor & appt date, if known)_____

Appt Date: _____**Appt Time:** _____ AM/PM (Circle) **Return Time:** _____

Trip Type: (Circle) **ROUND/ONE WAY TO/ONE WAY FROM/PHARMACY**
(If multi-leg trip, specify) _____

PICKUP ADDRESS: _____
(If different from **HOME**, specify)

City _____ **State** _____ **Zip** _____

Instructions/Directions _____

Provider Name: _____ **Provider Phone #:** (_____) _____

DESTINATION ADDRESS: _____

City _____ **State** _____ **Zip** _____

Type of Appointment/Doctor: (primary care, cardiologist, discharge, etc.) _____

Only Complete Fields That Apply
Stretcher/Ambulance: _____ **W/C Lift or Transfer:** (Specify) _____ **Pregnant:** _____

W/C Type: (Specify) _____ **Crutches/Walker/Cane:** (Specify) _____

# of Additional Passenger(s): _____(If more than 1 passenger, specify and continue on back)

Passenger Age: _____ **Passenger Name**: _____ **Relationship:** _____

Passenger has Appt: _____ **Passenger Medicaid # ('s):** (If yes for appt) _____

Special Needs/Remarks: _____

Transportation Provider Preference: (If known, specify) _____ *Not guaranteed*

Additional Details on Back: _____

Attachment 3 – MTM Complaints/Compliments Form

MTM COMPLAINTS/COMPLIMENTS FORM

Your Name: _____ **Date:** _____ **Time:** _____

Patient Name: _____

Caller's Name: _____ **Phone #:** _____

Member Medicaid # (if applicable): _____

Scheduled Trip Date: _____ **Appointment Time:** _____

Transportation Provider: _____

MTM Client Name: _____

MTM Trip # (Authorization #): _____

COMPLAINT/COMPLIMENT

(list specific details using dates, times and names)

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

MTM COMMENTS / RESOLUTION

_____

_____

_____

_____

_____

_____

_____

Signed _____ **Date** _____

Attachment 4 – MTM Incident Report Form

MTM INCIDENT REPORT FORM

Your Name:_____**Date:**_____**Time:**_____

Patient Name:_____

Caller's Name:_____**Phone #:** _____

Member Medicaid # (if applicable):_____

Scheduled Trip Date:_____**Appointment Time:**_____

Transportation Vendor:_____

MTM Client Name:_____

MTM Trip # (Authorization #):_____

Was Illness or Injury Involved?:_____

Date and time of Incident:_____

Description of Incident (Please include names of individuals involved, nature of the incident, if injury or illness give name of physician/hospital used, names & addresses of witnesses, and narrative of what occurred)

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Attachment 5 – Manual Provider Form

Manual Provider Form

Note: Form to be used when AS/400 is not available and assistance is requested for setting trips from the Call Center:

Date of Trip _____ **Trip #** _____

Provider _____ (Found in the Network Management Database or County by County List in the 'I' drive)

Name of Individual Accepting Trip _____

Rate each way _____(If using the AS/400 rates write "AS/400". If provider wants to know rate then access mileage via 'mapquest', and the provider's rate according to the provider's Schedule A in the 'I' drive)

Providers Phone Number (if not in Public Contacts) (____)_____-_____

Was provider informed of any Special Needs _____

Any notes that need to be added to the System when available.

_____
_____
_____
_____
_____
_____
_____
_____
_____

Completed By: _____

Date: _____

Time: _____

Attachment 6 - Disaster Recovery Contact Information

Title	Name	Phone
Chief Executive Officer	Alaina Macia	314-495-4953
Chief Information Officer	Martin Taylor	636-695-5820
VP, Finance	Stephanie Klaas	636-695-5605
VP, Network Management	Patrick McNiff	636-695-5738
VP, Operations	Tammy Puyear	636-695-5868
VP, Marketing	Michele Lucas	636-541-2978
Director, IT Infrastructure	Chris Hoffner	636-695-5585
Director, Call Center Operations	Stephanie Boschenreither	636-297-7542