

# ValueOptions, Inc.

## Tampa Regional Service Center

### Business Continuity/Disaster Recovery Plan

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It is the policy of ValueOptions, Inc., to ensure ongoing operations are effectively managed during emergent situations so that service disruption is minimized, and enrollee and employee safety is assured. This plan applies to:

- All operating units within the Tampa Regional Service Center
- All mission critical IT and communication systems;
- All national systems and locations providing support to the Tampa Regional Service Center; and,
- All contracted Network Providers.

#### **Procedure**

#### **I. Tampa Regional Service Center Requirements**

##### **A. General Planning and Communication**

In the event of an emergency, business disruption or impending natural disaster, the senior manager present within the Tampa Regional Service Center will assume the role of Manager in Charge (MIC).

1. The MIC (in consultation with other Service Center unit leads) will assess the potential threats to enrollee services, continuity of care, and employee safety of each situation, and identify necessary actions.
2. The MIC will inform the following individuals (should they not be present in the Service Center), of the situation/impending threat:
  - Service Center Vice President;
  - Vice President, Administrative Operations;
  - Clinical Director; and,
  - Public Sector Division President, should the Service Center Vice President not be available.
3. The MIC will notify the Lutheran Services Florida CEO of the emergency, business disruption or impending threat, as well as associated actions to address the situation and an estimated time of resolution (if known).
4. The MIC will, if requested by the Lutheran Services Florida CEO, notify appropriate AHCA representatives.

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5. If requested by Lutheran Services Florida, ValueOptions, Inc. will provide hourly updates to Lutheran Services Florida by electronic communication or telephone.

#### **B. Continuity of Care**

ValueOptions, Inc., will take the following steps to ensure continuity of behavioral health care during an emergency, business disruption, impending threat or other situation. The Clinical Director (or designee) shall oversee and coordinate all actions needed to prepare for or manage continuity of care.

##### **1. Vulnerable enrollees**

- a. The Clinical Director will instruct all Care Managers within the Service Center to review intensive care management or other caseloads to identify any enrollees who may be particularly vulnerable during a weather-related or man-caused disaster event.
- b. Care Managers will take any clinically appropriate actions to assist vulnerable enrollees, such as contacting primary behavioral health providers to coordinate care.

##### **2. Inpatient Facilities**

- a. All ValueOptions, Inc., contracted facilities are required to maintain plan(s) to assure the safety and care of enrollees within their facilities during disasters or emergencies.
- b. The Clinical Director (or designee) will contact all contractors providing inpatient psychiatric services within the affected area to determine:
  - The anticipated availability of inpatient services/beds;
  - The status of Lutheran Services Florida /VO enrolled consumers residing within those facilities;
  - The Inpatient Facility's plan for continuity of care during the anticipated event/emergency, including any need to transfer inpatient enrollees to other facilities.
- c. This communication may be via telephone, electronic communication or fax.

##### **3. Psychotropic Medications**

Pharmacy benefits for ValueOptions, Inc., enrollees are managed by the State's Pharmacy Benefit Manager (PBM). The Medical Director (or designee) will contact the State's PBM (or appropriate state-level representative) to:

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- Notify of the impending disaster/threat, and discuss contingency plans for continuity of care;
- Determine the availability of PBM-contracted pharmacy dispensing locations within the service area potentially impacted during the event, and alternative pharmacy locations;
- Determine the status of the PBM's communications/electronic systems during the event.
- Prepare instructions for call center staff to assist enrollees with access to psychotropic medication during the event.

#### **4. Crisis Services**

##### **a. Emergency Crisis Line**

The Emergency Crisis Line will remain in operation during any event. Should the Tampa Regional Service Center communications system become inoperable as the result of any event, the Emergency Crisis Line is automatically rerouted to a back-up service center with staff specifically knowledgeable of Florida resources and services.

##### **b. Crisis Stabilization Units**

In preparation for the event (if known in advance) the Clinical Director (or designee) will assess the availability of Crisis Stabilization Units within the affected area, and provide instructions for call center staff so that access may be assured, including to alternative sites, if needed.

The Crisis Stabilization Unit will ensure appropriate notification and communication with Police, Fire or other First Responders in the event of a disaster or emergency.

#### **C. Circumstances requiring temporary TRSC closure:**

During severe weather, or any situation that requires the office to be closed, the following steps will be taken:

1. MIS staff will arrange for our incoming telephonic lines to be re-routed/retained to/by a back up service center. MIS has an IT person assigned coverage for each day. This person, with contact numbers, is listed on the after-hours coverage schedule.

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2. The MIC will implement appropriate emergency plans.

### **D. Severe Weather Preparation**

#### **Tornado Preparation**

1. When a tornado "Watch" is issued, the Manager in Charge (MIC) or their designee will monitor radio, TV or www.tbo.com for relevant information.
2. The Provider Relations Director will notify all contracted providers within the affected area to activate any and all necessary plans to protect enrollee safety and ensure continuity of services. This notice will be sent via electronic communication or fax.
3. When a tornado "Warning" affecting the service center area is issued, staff will be assigned by the MIC to visually monitor the sky in all directions for any evidence of a tornado. If a tornado is sighted, an announcement will be made verbally in all parts of the building: "A tornado has been sighted, go to the "outback" cube area."
4. Following the announcement, everyone in the office must move in a quick, but orderly manner to the rear "outback" cube area. Do not take time to turn off computers or other equipment. Use the inside hallway to avoid the windows in the reception area. The MIC accounts for all employees.
5. Stay in the "outback" cube area until given further instructions by the MIC. The MIC will determine when it is safe to leave the rear cube area.

#### **Hurricane or Tropical Storm Preparation**

##### ***When a Hurricane or Tropical Storm Watch is Issued:***

1. Tropical Storms and Hurricanes will be monitored for potential threat to the service center by the Service Center Vice President (or MIC).
2. The Service Center Vice President (or MIC), in conjunction with the Executive Team, will begin planning for a threat when a Hurricane or severe tropical storm "Watch" is issued by the National Weather Service for any areas served by the Tampa Regional Service Center.

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3. The Provider Relations Director will notify all contracted providers within the network that a severe storm is possible, and that all necessary plans/actions should be undertaken to ensure enrollee safety and continuity of care in the event of a full-blown event. This will occur via electronic communication or fax.
4. The IT Director will notify the ValueOptions, Inc., Corporate Technology Call Center that a severe storm is possible, and it may be necessary to reroute all Tampa Regional Service Center calls should a severe storm become imminent.

#### ***When a Hurricane or Tropical Storm Warning is Issued:***

5. Hurricane preparation will begin when the National Weather Service issues a Hurricane or Tropical Storm Warning for any areas served by the Tampa Bay Regional Service Center, meaning that a storm may impact the affected areas within 24 hours.
6. When a hurricane warning is received, the MIC will convene a meeting of the available Management Team to coordinate implementation of this section.
7. The MIC will contact Lutheran Services Florida to report any potential disruptions to services or systems anticipated by the storm, and provide information regarding disaster preparations.
8. The Provider Relations Director will notify all contracted providers within the affected area to activate all business continuity, disaster recovery or emergency management plans.
9. Should the impending storm be expected to severely impact the Tampa Bay Area:
  - a. Tampa Service Center maintains a red and blue plastic box of hurricane supplies frequently needed for securing the office. These supplies are located in the storage area off of the "Outback" cube area. Blue plastic tubs are also available for storage of sensitive documents and items.
  - b. Remove items from the floor that could be damaged by rising water
  - c. Protect items from water leaking from the ceiling
  - d. Cover electrical equipment with plastic
  - e. Verify phone numbers for the phone tree, including back up numbers, if the employee does not plan to be at their home

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- f. Confirm with staff how and when the decision will be made to evacuate the office, and when and how the decision will be made to reopen the office. Contingency plans should assume that communications in the Tampa Bay Area will be severely disrupted and that employees may need to contact an off-site location to coordinate service continuation and reopening of the Service Center.
- g. Assure computer systems are backed up to offsite locations. All important documents should be backed up to the server based system ("I Drive" or "H Drive" which are backed up to the central office in Norfolk, Virginia).
- h. Place original legal documents in plastic, ziplock bags or plastic tubs.
- i. Turn off all electrical equipment prior to departing the building.
- j. Coordinate with the Landlord on any additional procedures for securing the office.
- k. Coordinate with Regional Care Center (RCC) Executive Directors regarding Service Center closure, emergency services during the storm, after storm damage assessments, and service continuation plans.
- l. Coordinate with the Public Sector Division President, or designee regarding Service Center closure plans, emergency coverage by the backup Service Centers, after-storm damage assessment, and service continuation plans.
- m. Contact ValueOptions Corporate Technology Call Center at 800-947-4108 regarding Service Center closure plans, emergency coverage by the backup Service Centers, after storm damage assessment, and service continuation plans.

#### **E. System failure:**

In the event of a system failure or loss of electrical power that reduces/terminates essential TRSC operations, the following will be implemented:

##### **1. Electrical Power Loss**

- a. The MIC or designee will contact the local electric company or property manager for status of power restoration.

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- b. Check to see if the toll free numbers are operational and verify that a test call is answered by a Tampa Service Center call center representative.
    - If the call is answered in the Tampa Service Center call center, proceed to step 'd'.
    - If the calls are not routed to the Tampa Service Center call center, inform the Director of Operations or the Administrator On Call of the power outage. The calls will automatically be routed to the Colorado Service Center via ECR.
  - c. If the power has been out for more than 20 minutes, call the MIS 'On Call' person and have them perform the following:
    - Contact the Technology Call Center at 1-800-947-4108 and inform them of the Service Center wide power outage and that we are in business recovery
    - Check to make sure the UPS system in the I T server room is properly shutting down mission critical servers.
  - d. When the power is back up or the emergency is over, call the MIS 'On Call' person and have them perform the following:
    - Inform the Director of Operations or Administrator on Call that the outage is over.
    - Check to make sure the Avaya phone system has reconnected to the Reston server and all TF calls are being routed through ECR to the Tampa Service Center.
    - Power up all mission critical systems and servers.
    - Notify the Corporate Technology Call Center of the resumption of operations at the Tampa Service Center.
- 2. Computer System Failure in Call Center**
- a. When the computer system fails, but all other systems (i.e.: phones & electric power) are operational, MIS staff will be notified, and operations will continue with paper-based documentation.
  - b. All incoming calls during paper-based operations are to be entered into the system by the end of the first day in which computers are restored.
- 3. Telephone System Failure**
- a. Call the Technology Call Center at 1-800-947-4108. Report the problem and let them know you are going to call the Telecom 'On Call' phone.

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- b. Call the Telecom 'On Call' phone at 1-888-864-8277 and explain that you just opened a ticket for the appropriate problem.
- c. If the problem is after working hours call the Telecom 'On Call' phone 1-888-864-8277 first and follow the process.
- d. If Business Recover Procedures (BRP) are required, then Corporate Telecom will activate BRP for the service center and make test calls to make sure BRP is working as expected.

#### **F. Fire**

- 1. In the event of fire, employees' safety is the first priority.
- 2. In the event of fire, RACE will be used to guide our response
  - R = Remove anyone in immediate danger**
  - A = Alert building occupants and the fire department via 911**
  - C = Contain the fire by closing doors and windows**
  - E = Evacuate the occupants of the building**
- 3. After implementing R, A, C steps, all employees evacuate the building by the nearest exit. Exits are identified by lighted exit signs. After exiting the building, employees will immediately gather in the parking lot in front of the office. The MIC will assure that everyone is accounted for.
- 4. After everyone is accounted for, a member of the MIS Department will contact the phone company and the backup service center to arrange for the 800 lines to be re-routed to the backup service center.
- 5. The Fire Department will determine when it is safe to reenter the building
- 6. In the event that the building is not usable, the Management Team will meet to establish and implement a service continuation plan. This plan will be communicated through all employees through the supervisory structure.

#### **G. Bomb or Other Threat to Physical Safety**

- 1. In the event that an item is discovered that appears to be explosive or otherwise creates a threat to employee safety, do not touch it and contact the MIC.



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2. If the MIC concurs that the device appears to be a threat to employee safety, the Police will be contacted and the MIC or Police will determine whether evacuation of the building is appropriate.
3. If the building is evacuated, the Police will determine when it is safe to re-occupy the building.
4. In the event of a bomb threat call, alert a co-worker, if possible, of the call and ask that the MIC be contacted.
5. Attempt to obtain as much information from the caller, such as the type of bomb, the location of the bomb, and the time of detonation. Listen for any information the caller may disclose or may be heard in the background. Listen for the gender of the caller, plus the apparent age of caller, race, and any other distinguishing characteristic.
6. At the conclusion of the call, assure that the MIC is notified so that the call can be reported to local Police.
7. Staff should immediately bring any other perceived threat to the physical safety of staff to the attention of the MIC, who will determine the appropriate action to take.

#### **H. Widespread communications disruption**

1. When any event, such as a hurricane, causes widespread disruption to local communications, staff should contact the corporate office for instructions about work related activities and support.
2. When local communications are initially restored, it is often with sites external to the local community. Thus, if you cannot reach the Tampa service center or a member of the TRSC management team, you should contact the Reston Corporate Office at 1-703-390 6800.

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### **II. ValueOptions, Inc., NATIONAL BUSINESS CONTINUITY/DISASTER RECOVERY PROCEDURES**

ValueOptions ensures that information is safeguarded in the event of a disaster and that appropriate service authorization and data collection continues.

#### **A. Overview**

ValueOptions leverages a two scenario recovery contingency plan. Clustered WebSphere Application servers and real time data replication of core application data is at the heart of our primary recovery approach. In this recovery approach, all transactions of the CONNECTS application data is replicated in real time to a fully redundant IBM iSeries application server utilizing third party data replication software. The more likely event of a single server failure is addressed in this primary recovery design.

Our secondary recovery contingency provides support for an unlikely catastrophic disaster involving a total site outage of the National Data Center. ValueOptions has engaged IBM® BCRS (Business Continuity and Recovery Services) for hosting and recovery subscription services at their premier BCRS hot site in Sterling Forest, New York. Additional redundancy is built into our WAN connections, which facilitate rerouting of data traffic. ValueOptions' IT staff performs two (2) recovery tests annually with IBM® at their BCRS recovery site in Sterling Forest, New York.

#### **B. Data Back-up Process**

In support of our Business Continuity Plan, ValueOptions maintains a scrupulous data back-up process. The IT teams conduct traditional incremental data back-ups of all applications on a daily basis and full data back-ups on a weekly basis. All back-up tapes are audited and verified for completeness. Saved media is duplicated daily with the primary copy stored off-site at a secure, vaulted location and the duplicate copy remaining within an IBM® 3584 Automated Tape Library (ATL) at the National Data Center.

ValueOptions utilizes two IBM® back-up and recovery software products in conjunction with the 3584 ATL to provide an enterprise recovery solution. IBM® Tivoli Storage Manager Server software is used for back-up and recovery of all UNIX® and Windows® based application servers. IBM® Backup, Recovery and Media Services (BRMS) is used exclusively at ValueOptions as the iSeries enterprise backup and recovery solution.

ValueOptions' National IT Department is responsible for maintaining and executing the Disaster Recovery or "IT Business Continuity" plan, offering the best IT Business Continuity plan in the mental health care industry. As described below, ValueOptions

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performs the traditional daily back-ups to tape and storage off-site methodology as a precautionary measure. ValueOptions performs daily system back-ups on all servers to ensure that the content of all ValueOptions' production systems can be recovered in the event of a disaster. These back-ups are performed on both host and local area network systems. Software and production data files are copied to tape. TSM and BRMS verification and audit programs are then used to confirm that the system back-ups are complete and accurate. Copies of the tapes are then created and stored off-site. In the event of a physical disaster, the back-up tapes that are stored off-site can be used to recover and reload the ValueOptions production systems. System back-up tapes are rotated regularly to ensure physical integrity of the tapes and to minimize tape parity error problems. This traditional back-up approach provides a fail-safe for all ValueOptions' data and programs to ensure IT business continuity.

The National Data Center is supported by skilled ValueOptions technology professionals. Well established and enduring partnerships with leading technology vendors, including IBM®, Caterpillar®, Liebert®, Power Ware, Vision Solutions, Oracle®, Cisco®, Nokia and others, further strengthens the integrity of the total ValueOptions Data Center solution.

#### **C. National Data Center**

While Reston, Virginia resides on one of the nation's more stable power grids, auxiliary power to the ValueOptions National Data Center is provided by a Caterpillar® 625 kVA generator. A 325 kVA Uninterrupted Power Supply (UPS) supported by Power Ware provides seamless power transition between utility and generator power. Five (5) 20-ton Liebert® HVAC units provide cooling and humidification control to our 5,500sq ft data center. Overhead pre-action dry fire suppression and moisture detection systems provide preventive fire and flood protection.

ValueOptions' core application servers residing in the National Data Center are built utilizing IBM's® enterprise class pSeries® and iSeries® platforms. These systems are designed by IBM® and configured in partnership with IBM® by ValueOptions' systems engineering staff to provide maximum redundancy and resiliency in both internal power and computing capability. By virtue of their design, the iSeries® and pSeries® platforms each enjoy industry leading availability ratings. Our newer i5® and p5® models provide 64bit POWER5+ computing power and non-disruptive autonomic CPU and memory failure capabilities. Each platform remains highly scalable with processor and memory CUoD (Capacity Upgrade on Demand) feature capability. CUoD allows additional memory and processing resources to be added without interruption to application availability.

#### **D. Connects Platform**

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The ValueOptions JAVA-based CONNECTS applications are developed and deployed to the J2EE standard in a two tier configuration utilizing IBM's® WebSphere Application Server on pSeries® in a clustered configuration. Backend DB2 and Oracle® application databases reside on an iSeries i5 570® and two pSeries p5 570's® respectively. The ValueOptions i5 and p5's each consist of multiple logical partitions including dedicated production, development, staging, training and load test environments.

#### **E. Mitigating Risk**

ValueOptions utilizes Living Disaster Recovery Planning System (LDRPS) Enterprise Edition by Sungard® to document disaster recovery procedures and to mitigate the risk of data loss or systems inaccessibility due to an emergency or disaster (such as fire, vandalism, terrorism, system failure, or natural disaster). Managed by IT Systems Technology, this comprehensive disaster recovery plan provides for the timely and well coordinated restoration and recovery of any lost electronic protected health information (ePHI). The Disaster Recovery Plan includes procedures to restore ePHI from data back-ups in the case of data loss, procedures to document and track system outages, failures, and data loss to critical systems and workforce employee training on disaster recovery plan implementation.

#### **F. Hot-Site Recovery**

In the event of a man-made or natural disaster affecting the Reston National Data Center, ValueOptions has contracted with IBM® to restore recovery within 48 hours at IBM's® Business Continuity and Recovery Services (BCRS) site in Sterling Forest, New York, which is included as a node on ValueOptions' wide area network. In the event of a disaster, ValueOptions will send the latest tapes to the IBM® New York site, where the data will be restored to a back-up iSeries and pSeries server. Since the IBM® site is a node on ValueOptions' wide area network, local IT staff in all service centers will have access and the ability to operate the system without traveling to the hot site. In addition, traffic from all service centers will be automatically rerouted to the IBM® Hot Site. In addition to systems that ValueOptions has contracted for with IBM®, ValueOptions maintains their own pSeries® based WebSphere application servers, DNS and firewall services at the IBM® BCRS New York site thus providing users immediate access to the CONNECTS applications once associated databases are fully restored. Maintaining a mix of hosted and subscribed services with IBM® allows ValueOptions to provide one of the industry's most rapid recovery solutions.

#### **G. Testing**

ValueOptions' IT systems and network engineers conduct a test of the disaster recovery plan twice annually with IBM® Recovery Services experts.

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#### H. Procedures

Our Business Continuity Plan covers all systems, including telephony, LAN/WANs, data servers, application servers; help desk processes, and facility power. It also includes specific support activities for each department within ValueOptions (e.g., Finance, Human Resources). The Plan incorporates detailed instructions that cover all phases of the disaster recovery process, including:

- **plan activation procedures:** protocols for first alert procedures, identification of emergency team members, assessment of the severity of an incident, impending regional disaster procedures (e.g., snow storm or hurricane), contingency contact procedures to alert appropriate internal staff;
- **response procedures:** activate alternate data processing locations, data center vendor notifications, internal and external notification process, team communication requirements;
- **recovery procedures:** procedures for recovery operations, monitoring alternate processing operations;
- **site restoration procedures:** initial assessment procedures, transitioning services back to the call center; and
- **administrative procedures:** monitoring and reporting, recordkeeping.

ValueOptions' Business Continuity Plans also encompasses telephone service recovery for all ValueOptions Call Centers. A telephony Business Recovery Plan (BRP) can be invoked in the event that a call center is not able to continue to provide call handling service as normal.

Every service center has its own unique BRP plan. These BRP plans are managed 24 hours a day, 7 days a week, by the ValueOptions National Telecommunications Group. Our geographically dispersed call centers provide back-up call management services for each other. This ensures the level of service our participants will receive, even when a site may be operating under BRP conditions, is meeting ValueOptions standards and client service level expectations. BRP's are activated by service centers when needed. To activate or de-activate a BRP plan, a service center simply calls or e-mails the Technology Call Center and requests that their center be put into or taken out of Business Recovery. This process can be accommodated within minutes of notification, 24 hours, seven days a week, 365 days a year.