

## **104 – CONTINUITY OF OPERATIONS AND RECOVERY PLAN**

EFFECTIVE DATES: 10/01/04, 10/01/12, 06/01/14, 07/01/16, 04/01/17, 10/01/17, 10/01/18,  
07/25/24

APPROVAL DATES: 01/01/11, 09/27/12, 05/29/14, 02/04/16, 11/01/16, 03/30/17, 05/30/18,  
05/23/24

### **I. PURPOSE**

This Policy applies to ACC, ACC-RBHA, ALTCS/EPD, DCS/CHP (CHP), and DES/DDD (DDD) Contractors. AHCCCS requires the Contractor to have a Continuity of Operations and Recovery Plan to ensure the restoration of business operations following unexpected events, or the threat of such events, which may negatively and significantly impact the Contractor's ability to adequately deliver services to members. The purpose of this Policy is to specify the required components of the Continuity of Operations and Recovery Plan.

### **II. DEFINITION**

Refer to the [AHCCCS Contract and Policy Dictionary](#) for common terms found in this Policy including:

<b>ADMINISTRATIVE SERVICES SUBCONTRACT/ SUBCONTRACTOR</b>	<b>CONTINUITY OF OPERATIONS PROGRAM (COOP)</b>	<b>MEMBER</b>

### **III. POLICY**

AHCCCS is mandated to provide health care benefits to its members. To provide benefits, the Contractor shall be able to recover from any disruption in business operations as quickly as possible. This recovery can be accomplished through implementation of the Contractor's Continuity of Operations and Recovery Plan which shall contain strategies for recovery. The Continuity of Operations and Recovery Plan is part of the Federal Government's Continuity of Operations Programs (COOP) requirements.

#### **A. CONTRACTOR RESPONSIBILITIES**

The Contractor shall develop and maintain a Continuity of Operations and Recovery Plan which assures AHCCCS that the provision of covered services will occur as stated in Contract [42 CFR 438.207 and 42 CFR 438.208]. A comprehensive summary of the Contractor's Continuity of Operations and Recovery Plan shall be evaluated, updated, and submitted with Attachment A, as specified in Contract.

The Contractor shall designate a staff person as the Continuity of Operations and Recovery Coordinator and furnish AHCCCS with contact information as part of the Continuity of Operations and Recovery Plan.

The Contractor shall require Administrative Services Subcontractors to develop and maintain a Continuity of Operations and Recovery Plan.

## **B. CONTINUITY OF OPERATIONS AND RECOVERY PLAN REQUIREMENTS**

A comprehensive summary of the Contractor's Continuity of Operations and Recovery Plan shall address all requirements outlined below and shall be no longer than five pages.

1. The Continuity of Operations and Recovery Plan (Plan) shall be reviewed and tested by the Contractor at least annually, to manage unexpected events and the threat of such occurrences, which may negatively and significantly impact business operations and the ability to deliver services to members. Revisions to the Plan shall be updated as needed by the Contractor.
2. The Contractor shall ensure that all staff are trained on the Plan at least annually and understand their respective roles.
3. The Plan shall be specific to the Contractor's operations in Arizona and reference local resources. Generic Plans which do not reference operations in Arizona and the Contractor's relationship to AHCCCS are not acceptable.
4. The Plan shall contain a listing of key priorities that could cause disruption.

Key priorities include but are not limited to:

- a. Provider and member communications systems (including telephone, website, and email),
  - b. Providers' receipt of prior authorization approvals and denials,
  - c. Members receiving transportation,
  - d. Timely claims/provider payments, and
  - e. Any additional priorities identified by the Contractor and/or AHCCCS to be critical key priorities.
5. The Plan shall contain specific timelines for resumption of services as well as the percentage of recovery at certain hours, and the key actions required for meeting those timelines.
- Example:* Telephone service restored to prior authorization unit within four hours, to Member Services within 24 hours, to all phones in 24 hours.
6. The Plan shall contain, at a minimum, planning and training for:
- a. Electronic/telephonic failure,
  - b. Complete loss of use of the main site location,
  - c. Satellite offices in State and out of State,
  - d. Loss of primary computer system/records,
  - e. Extreme weather conditions, and

- f. How the Contractor will communicate with AHCCCS during a business disruption. (*Unless otherwise directed, this should be the name and phone number of the Contractor's assigned AHCCCS Operations Compliance Officer*). The Plan shall direct the Contractor's staff to contact AHCCCS Security at 602-417-4888 in the event of a disruption outside of normal business hours.

#### **IV. RESOURCES**

The Federal Emergency Management Agency (FEMA) has a website:

<https://www.fema.gov/> which contains additional information on Continuity of Operations Planning, including checklists for reviewing a Continuity of Operations Plan. AHCCCS encourages the Contractor to use relevant parts of these checklists in the evaluation and testing of its Continuity of Operations and Recovery Plan. The Contractor may also reference the Arizona Department of Emergency and Military Affairs <https://dema.az.gov> and the Ready website <https://www.ready.gov> for supplementary information.