Attachment M.1.d
WellCare 2011 Disaster Recovery Test Results

WellCare Health Plans, Inc.

2011

Disaster Recovery Test

Project Closing Report

PREPARED BY

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WellCare Health Plans, Inc
5/27/2011

Version 1.1

Revision History:

Revision	Release Date	Author	Changes completed
1.0	May 25th, 2011	W. Greg Brooks	Final Release
1.1	May 27th, 2011	H. Mullins	Revised recovery time information and deleted the location details for the remote sites

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Overview

Summary of Test Success

WellCare successfully completed the 2011 Annual Disaster Recovery Test. All critical systems identified as part of the 2011 DR Test were successfully recovered and restored at the SunGard New Jersey disaster recovery facility.

WellCare 2011 Disaster Recovery Overview

Ninety days (90 days) of corporate data is stored and actively maintained via change replication at the remote recovery facility at SunGard, Carlstadt, NJ. Specific application environments are 'boot-strapped' and maintained in a state of 'warm' readiness. The hosted services support the business recovery time objectives and are available twenty-four by seven (24/7).

Disaster Recovery Business Goals and Objectives

Corporate Leadership defined the disaster recovery business scope to prove continuity of Member services; i.e., enrollment file intake, medical authorization, pharmaceutical authorizations, in-bound and out-bound faxes, and member identification card extracts. The Information Technology objective was to recover the critical information systems and data in the remote recovery facility. The recovery time objective was seventy-two hours. The test recovery was performed in fifty-six hours (56hrs)

Disaster Recovery Test Scenario

The WellCare Disaster Recovery Test scenario simulated the approach and landing of an Atlantic hurricane with a projected strength of Category III, where the corporate data-center is in the projected cone of impact probability (as prescribed by the National Hurricane Center (NHC)). The NHC probability cone is typically projected for a 72hr period. The WellCare Emergency Preparedness strategy is to execute an emergency declaration with our primary recovery partners forty-eight hours (48hrs) prior to predicted impact, and proactively recover the corporate data and systems per the WellCare Information Technology Disaster Recovery Plan (IT_DRP). The Corporate Emergency Preparedness Committee (Corp EPC) prescribes the business recovery priorities and certifies the results of the information systems recovery.

Disaster Recovery Test Scope

The technical scope supported the business objectives. The information systems and corresponding business objectives are identified in the table below:

System	Process
Network -- Corporate Disaster Recovery (DR) Wide Area Network (WAN) -- DR Recovery Site Local Area Network (LAN)	-- Disaster Recovery Remote Access for Corporate, Third Party Vendor, Remote Office -- Support WellCare information production LAN performance -- Isolate DR Test Environment from Corporate Production
WellCare Active Directory	-- WellCare System Access Certification via Microsoft Active / Directory services; actively replicated to DR site (24/7)
WellCare Member Directory	-- WellCare Member Directory supporting internet self-service
WellCare Electronic Data Exchange (EDI) -- BizTalk -- EDI GateWay (HTR) -- E2F (Enrollment to Fulfillment)	-- X12 and proprietary member enrollment intake files for Medicare and Medicaid members -- CMS Auto Enrollment intake files -- Member Identification Card Extracts -- Provider Claims XML intake
Peradigm	**Member Enrollment Processing:**

	-- X12 and proprietary member enrollment intake files for Medicare and Medicaid members -- CMS Auto Enrollment intake files -- Member Identification Card Extracts -- Provider Claims XML intake **Member Claims Management / Customer Service** -- Customer Service, -- Claims Enrollment, -- Front End, -- Benefit configuration, -- Provider Configuration
Corporate Email (MS Exchange)	-- Corporate communications and workflow -- Business partner communication and workflow. -- Membership communications email portal.
Citrix	-- Secure Gateway for access to WellCare disaster recovery network, -- Remote application user interface management -- Integration with WellCare Active Directory for system authentication.
Medical Authorizations System (EMMA)	-- In-bound member medical authorizations (fax / manual) -- Out-bound member authorizations (fax / manual) -- Medical Authorization work-flow verification
Pharmacy Authorizations System (DER)	-- In-bound member medical authorizations (fax / manual) -- Out-bound member authorizations (fax / manual)
Corporate Web	-- Member Content and self-service functionality -- Provider Content self service functionality -- Member Web Authorizations
SharePoint (WellCare Link)	-- Claims Processing 'step action' tables -- Member Content integrated with Corporate Web
Claims Reporting (SideWinder)	-- Member Authorization History -- Claims EOB -- Claims Pricing

Disaster Recovery Test Chronology

The WellCare 2011 Disaster Recovery Test was scheduled for 72 hours, starting 8am on May 19th and concluding at 8am on May 22nd.   The recovery activities were planned for 56 hours and the business validation testing was planned for 4 hours.

Refer to the below for the WellCare 2011 DR Test chronology:

> ➢ 08:00AM/EST, May 19th   Initiate restoration of critical systems
> ➢ 12:00PM/EST, May 21st   Complete recovery of critical applications
> ➢ 10:00AM/EST, May 21st   Technical verification of recovered applications
> ➢ 2:00PM/EST, May 21st   Business validation / certification of recovered systems
> ➢ 4:00PM/EST, May 21st   2010 DR Test Closure
> ➢ 7:00PM/EST, May 21st   Cleanse recovery environment of WellCare Data
> ➢ 8:00AM/EST, May 22nd   Release SunGard Recovery site

DR Test Results

The primary objectives were three-fold:

- ✓ Technically recover systems and applications
- ✓ Operationally test all restored systems and applications
- ✓ Complete testing

Refer to the table below for the objective results:

System	Technical Recovery P / F	Operational Testing P / F	Estimated recovery duration vs Actual P/F
Peradigm Customer Service, Claims Enrollment, Front End, Benefit configuration, Provider Configuration	Passed	Passed	Passed
Corporate Email Shared company services. Allowing continuation of critical corporate communications.	Passed	Passed	Passed
Citrix Remote application access software required by all Wellcare Associates and delegated vendors.	Passed	Passed	Passed
WellCare Active Directory Window – root domain controller – houses Active Directory accounts and network configurations.	Passed	Passed	Passed
Network Disaster recovery network connectivity, WAN / LAN	Passed	Passed	Passed
SideWinder Provider / Claims Reporting	Passed	Passed	Passed
Electronic Data Exchange (EDI) X12 enrollment files, proprietary enrollment files, CMS Enrollment Files; Member Identification files	Passed	Passed	Passed
Corporate Web Corporate communication, Provider self serve; Member self serve	Passed	Passed	Passed
SharePoint (WellCare Link) Departmental intranet content to include operational procedures and 'step action plans'	Passed	Passed	Passed
EMMA (Medical Authorizations) Inbound and outbound faxed and manual medical	Passed	Passed	Passed

authorization intake and workflow			
DER Pharmaceutical System Inbound and outbound faxed and manual pharmaceutical authorizations.	Passed	Passed	Passed

Issue Analysis

Critical Issues:

There were no critical issues during the 2011 Annual DR Test.

Non-Critical Issues:

Listed below are the non-critical issues that occurred during the DR Test Cycle:

- ☐ Recovery Center Network Cross-connects: non-critical network error during cross-connect network re-routing resulting in temporary loss of recovery LAN services; mitigation, corrected and documented router configuration. No further mitigation required.

- ☐ Veritas Catalog Replication: constant replication of corporate catalog on an hourly basis interrupted recovery from data domain and Veritas. Impact was additional workload on recovery engineers to ensure backups ran continuously; mitigated at time of test. No further mitigation required.

- ☐ LAN Router: recovery durations were impacted by network saturation on the 10Gbps recovery LAN. The router is only capable of 1G / 100Mbps bandwidths. The impact was to DR site LAN connectivity which exposed itself in network drops and slow DNS performance. Mitigated at time of test by limiting network traffic as much as possible. Final Mitigation is to upgrade DR LAN router with scheduled completion by end of June, 2011.

- ☐ Recovery Infrastructure: one of the recovery servers was removed from rotation after failing to successfully recover a primary database. The database was recovered on an alternate platform. Mitigated at time of test with faulty server removed from recovery inventory. No further mitigation necessary.

Summary

The 2011 Disaster Recovery Test was successful against all objectives.