

<b>BUSINESS CONTINUITY PLAN MANUAL</b>	 <b>HALCYON MARINE</b> <small>HEALTHCARE SYSTEMS</small>	<b>Document No:</b> <b>BCP 1.0</b>	<b>EFFECTIVITY DATE:</b> <b>August 3, 2018</b>
		<b>Prepared by:</b> <b>Marilar F. De Guzman, MD</b> <b>Quality Assurance Manager</b>	<b>REVISION NO.: 1</b>
<b>SUBJECT: BUSINESS CONTINUITY PLAN</b>			

## OBJECTIVES

This quality manual is intended to be used by all HMHS personnel with an intent to carry out and coordinate the planned activities relating to:

Business recovery procedure specified to respective departments.

Address critical business functions in the event of a disaster. This includes long term disasters, such as fire, typhoon, prolonged flooding, earthquake, explosion, terrorism and city/nationwide blackout.

This quality manual provides information that will be used by all responsible personnel to coordinate business recovery of their respective department.

This quality manual provides information to ensure security and safety of employees, visitors, and patients in the office building.

This quality manual mitigates, limit threats or damage that an incident may cause to operations in the organization by advance preparations to ensure critical business functions continuity.

This quality manual provides a documented plan and procedure for quick, effective execution of recovery strategies when disasters occur.

## SCOPE

The Business Continuity Plan is limited to recovery and business continuance from a serious disruption in activities due to non-availability of the company's facilities. This plan is separate from the MIS Business Continuity Plan which focuses on the recovery of technology, facilities and platforms such as critical applications, databases, and servers or other required technology or infrastructure. This procedure does not address temporary interruptions.

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The scope of this plan is focused on localized disasters such as fire, prolonged flooding and other localized natural or man-made disasters.

## DEFINITIONS

- Disaster – any event that renders a business facility inoperable or unusable so that it interferes with the organization's ability to deliver essential business services.
- BCP – Business Continuity Plan
- MIS – Management Information Systems
- ERT – Emergency Response Team
- QAM – Quality Assurance Manager
- HR – Human Resource Manager
- ACCTG – Accounting Unit
- OPS – Medical Operations
- Emergency Management Team – comprises of Medical Director, Medical Operations Manager, Quality Assurance Manager, Human Resource Manager, Administrative Manager and the MIS-System Administrator.

## RESPONSIBILITY AND AUTHORITY

Maintenance of the Halcyon Marine Healthcare Systems' Business Continuity Plan is a joint responsibility of the MIS Department, Quality Assurance Department, HR Department, the Administrative Department and Medical Operations Manager.

### **4.1 Medical Operations Manager (Business Continuity Coordinator) is responsible for:**

Periodically reviewing the adequacy and appropriateness of the company's Business Continuity Strategy

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Assessing the impact on the company's Business Continuity Plan for additions or changes to existing business functions, procedures, equipment, infrastructure and facilities requirements.

Announcing the suspension of operations on the first day of the disaster and updating of the HMHS business situation, alternate site location and send out laboratory and PEME clinics to all clients.

Initiating an emergency meeting on the second day of disaster to planned transfer of alternate site location, identify critical resource and business function transfer, key personnel of the identified business function, security and utility personnel.

Updating the recovery team's assignments, taking into account promotions, transfers, and terminations.

Coordinating changes in the plans and communicating to management when other changes require them to update their plans by issuance of the memorandum and obtaining acknowledgment for common understanding.

Informing all plans or changes to the Quality Assurance unit so that the company's Disaster Recovery Plan can be reviewed and updated accordingly.

Responsible for ensuring that the personnel who would carry out the Business Continuity Plan are sufficiently aware of the plan's details of staff orientation. This must be accomplished every year via practice exercises, participation in tests and awareness.

Overseeing the recovery team of the clinic, practice exercises, participation of the assigned team and results of the practice exercises if done properly.

#### **4.2 Administrative Manager is responsible for:**

Maintaining and/or monitoring of alternate space if sufficient for critical company functions in order to meet the company's recovery time frames.

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Ensuring the recovery team/personnel have assistance with clerical tasks, errands, and other administrative activities.

Arranging for the availability of necessary office support services and equipment.

Maintaining list of resources that are prioritized for transfer to the office space.

Communicating changes or issues to the Medical Operations Manager regarding alternate that would affect the transfer of operation.

Communicating and coordinates with local government/agencies needed to implement or conduct annual practice exercises.

#### **4.3 Quality Assurance Associate (QAA) is responsible for:**

Updating the manual once requested by the Medical Operations Manager, duly approved by the QA Manager.

Distribute the content of the manual by sharing the information through uploading on the Google drive.

Ensures that a back-up of digitally saved, memorandum of agreements, manuals, forms and records are done and are available during operations at the alternate site.

#### **4.4 Human Resource Manager is responsible for:**

Providing information regarding the disaster and recovery efforts to employees and families.

Coordinating with the nearest hospital for emergency first aid and medical support for employees that needs medical attention.

Notifying employees' emergency contact in case of injury or fatality and provides employee's update regarding the disaster and new alternate site.

Assisting in arranging cash advances if out of the area travel is required.

Ensuring the processing of all life, health, and accident insurance claims as required.

Coordinating temporary agency for employee requests.

Ensuring back-up of employee contracts and 201 files in digital format for reference.

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Updating the team members belonging in the Emergency Management team in cases of resignation or absence without leave, ensuring that the team remains intact.

**4.5 Accounting Supervisor (Finance Department Coordinator) is responsible for:**

Tracking all costs related to the recovery and restoration effort.

Determining number of cashier and accounting personnel to be deployed in the alternate site location for continuance of billing, cashier and collection operations.

Informing external providers on the details and location of the alternate site and ensures continuous delivery and support of the suppliers.

**4.6 System Administrator is accountable for:**

MIS recovery strategies in order to restore hardware and software version 2 needed by HMHS personnel to effect operations at the alternate site.

Coordinates with the Administrative Manager and Medical Operations Manager on issues and resource requirement for transfer and operations at the alternate site.

Assists Medical Operations at the alternate site by providing needed access to server, hardware, version 2 to carry out identified viable and critical business function.

**REFERENCES**

HMHS Quality Manuals and Work Instructional Manuals

Masterlist of Appendices

<b>Appendix-A</b>	Alternate Site Locations
<b>Appendix-B</b>	Critical Resources
<b>Appendix-C</b>	Critical Business Functions
<b>Appendix-D</b>	Notification Process

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<b>Appendix-E</b>	List of Employees
<b>Appendix-F</b>	Evacuation Assembly Area
<b>Appendix-G</b>	List of Affiliated PEME Clinics
<b>Appendix-H</b>	List of Accredited Send out Laboratory

## 6.0 DISTRIBUTION LIST

The HMHS Business Continuity Plan manual shall be distributed in the following sections.

<b>Copy holder No.</b>	<b>Responsible Personnel</b>	<b>No. of copy</b>
Master Copy	Quality Assurance Manager	1
1	Medical Director	1
2	Medical Operations Manager	1
3	Administrative Manager	1
4	Human Resource Manager	1

## 7.0 POLICIES

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- 7.1 The Medical Operations Manager ensures the workability of the Business Continuity Plan. The continuity plan should be periodically verified by active or passive testing. Active and passive testing should be well communicated by the Medical Operations Manager. The results of the tests will be reviewed to assess its workability. Improvements shall be done to address concerns or issues identified during the tests performed.
- 7.2 QA unit shall review the performed tests and note the needed improvements so as to update the Business Continuity Manual accordingly.
- 7.3 All employees shall be informed about the HMHS Business Continuity Plan through scheduled meetings and orientations for full awareness of the plan.
- 7.4 The recovery teams shall be identified, trained and well informed on their respective duties and responsibilities in the scope of the business continuity plan. The recovery teams shall be made known to all HMHS employees through posting of the team's organizational chart of the employee's working areas.
- 7.5 The plan shall be intended for 5 to 7 days' workability on the event of transition to an alternate site, including resources, both personnel and equipment, and MIS restoration of servers and data file backup.
- 7.6 The Administrative Manager has identified available space for relocation and ensure its availability for occupancy by the organizations' different units and should be used within 2 to 5 days from the onset of a disruption or disaster.
- 7.7 All employees of HMHS should be knowledgeable on how to execute the Business Continuity Plan.

## **8.0 Business Function Recovery Priorities**

- 8.1 The plan entails strategy is to recover critical HMHS business functions at the alternate site location. The critical business functions are detailed in Appendix C of this manual. The Administration Manager shall note the critical business function indicated in order

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to prioritize resources needed for immediate transfer. (Refer to Appendix B - Critical Resources)

8.2 The time frame for critical resource transfer should be one (1) week.

## **9.0 Recovery Teams**

### **Purpose and Objective**

The plan identifies who are the involved personnel coming from various units that will form part of the recovery team. The team will be engaged in the recovery process of HMHS during disruption of operations. The team should have a designated team leader as well as a backup leader for contingency. The teams are assigned with specific task to complete the recovery procedures and processes specified in this manual.

### **Recovery Team Assignments**

Medical Director- makes the final decision on the continuity of business based on the teams' assessment result.

Emergency Response Team (ERT) - a response team in case of Natural disasters, they initiate and facilitate the evacuation plan & ensures safety, security and accountability of all employees, customers and the vision of HMHS. They also provide an assessment report to the Medical Director and Managers. The team shall be composed of personnel coming from various units and shall be headed by the Administrative Manager.

Emergency Operations Communication (EOC) - composed of teams, wherein coordination activities are carried out through communicating with the company's interested parties:

HR Manager provides information regarding disasters and recovery updates on all employees and details of the alternate site location. HR Manager coordinates with the nearest hospitals for emergency first aid and medical support for employees that needs medical attention.

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Medical Operations Manager in coordination with the PEME Account Specialists inform clients on the details of operations as well as the location of the alternate site.

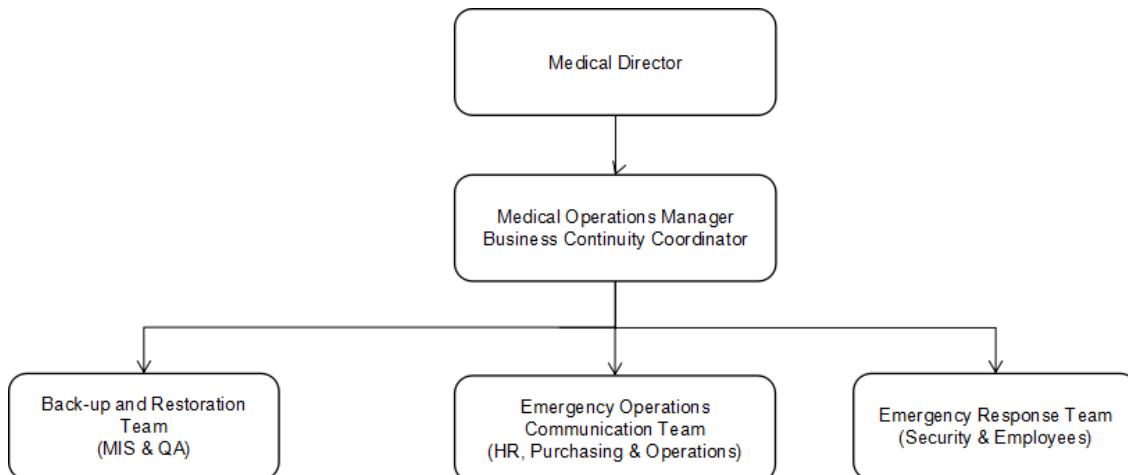
Administrative Manager coordinates with the local government agency such as Bureau of Fire for emergency response support and assistance.

Accounting Supervisor informs external providers on the details of operations at the alternate site location, including the continuance of delivery operations.

Medical Operations Manager (MOM) - is the Business Continuity Coordinator, responsible in ensuring that all activities are done successfully.

Back-up and Restoration Team- is composed of MIS team, headed by the System administrator. The team ensures the availability, completeness and restoration of back-up digital files of all units and maintenance of server on the alternate site and upon transfer to the primary site.

#### The Emergency Management Team



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## Recovery Plan Phases

### Disaster Occurrence

This phase begins in the occurrence of disaster until a decision is made to activate recovery plans. The following activities involved in this phase are as follows:

*Emergency response measures and notification*

#### 1.1 When the time of disaster occurs during operations

The ERT shall facilitate all personnel of HMHS and its subsidiaries (SSMA, Movement Wellness, Ideyalab, etc.) including patients and visitors to gather in the assembly area of the evacuation plan (See Appendix F- Evacuation Assembly Area). Respective and assigned leaders of each unit should guide the personnel safely to the assembly area.

Human Resource Manager to conduct a manpower re-count, as provided for by the ERT (See Appendix E-List of Employees). The personnel requiring medical assistance is facilitated and relatives are informed and updated on their status. Financial assistance is provided as deemed necessary.

Medical Operations Manager, supported by the PEME specialists calls Clients regarding the status of their patients and those requiring medical assistance will be facilitated as well. Visitors will be accounted and facilitated.

The ERT shall ensure that all personnel who vacated the building are accounted for and immediately assess condition of the personnel that needs medical attention. Nearest hospitals shall be quickly coordinated by the Administrative Manager for first aid administration and other government agencies for immediate support. ERT shall note and find personnel who are not in the assembly area.

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Human Resource Manager to follow Notification process in informing employees regarding the disaster, employee status and financial assistance that may be given to the relatives, who were affected by the disaster. (See Appendix D-Notification Process)

The Emergency response team (ERT), led by the Administrative Manager, shall immediately conduct assessment on the extent of damage and accessibility for occupancy of the office building. The results of the assessment must be quickly reported to the Medical Director and Medical Operations Manager as the Business Continuity Coordinator for final decision on the declaration of disaster.

The ERT must create a list of retrieved office and clinic tools and equipment that are still functioning and usable. The list is endorsed to the Administrative Manager and Accounting Supervisor.

Medical Operations Manager to announce the suspension of HMHS operations the next working day.

Administrative Manager shall coordinate and check availability of the Alternate office space. Once confirmed, inform the Medical Director and Medical Operations Manager to plan for transfer to the alternate site location including resources and critical business functions.

Schedule of activities for the first day of the disaster until transfer of alternate site location.

**Table 1:**

<b>1<sup>st</sup> day</b>	<b>2<sup>nd</sup> day</b>	<b>3<sup>rd</sup> day</b>	<b>4<sup>th</sup> - 6<sup>th</sup> day</b>	<b>7<sup>th</sup> day</b>
<b>MOM</b>	<b>MOM</b>			
Announces suspension of	Calls Emergency Management	Transfers and setting up of	Key personnel commencement	Expects Stable operations

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operations	Team to plan for the following:	critical resources and business functions on the alternate site.	nt of operations on the alternate site	Assess* primary site for repairs and transfer to another facility for PEME.
Informs and update Clients of the disaster.	Critical business to continue to send out laboratory and to PEME clinics			
Activates the BCP Plan	Logistics for the transfer of equipment			
Calls send out laboratories <b>(Appendix-H)</b> and PEME clinics	Check assessment reports and finalize the list of items to purchase.			<b>Note: * is on Assessment and Planing Stages</b>
<b>(Appendix G)</b> to inform details of disaster and the business plan.	Key personnel on the following - Receiving reception - Follow up Reception - Follow up Nurse and Doctors - Processing			

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	doctors - Documentation and releasing - List of Utility and Security personnel assigned at alternate site Finalize business processes to be done and a list of pending activities at the alternate site and referred clinics Call Send out laboratory and PEME clinics to discuss business arrangement			
<b>AM</b>				
Checks and finalizes availability of alternate site	Assigns utility to clean and prepare the site	Ensures adequate utility		

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office space. Meet and ensures utility and security personnel on the planned transfer.	Assign utility to transfer any retrieved resources prepared if any. Assigns security personnel on the alternate site. Accompanies key personnel to conduct office lay outing on the alternate site.	personnel to facilitate transfers. Assign messenger for Billing and collection		
<b>HR</b>				
Performs manpower head count Informs relatives of employees that are affected by the disaster	Ensures availability of HMHS employees at an alternate site. Calls manpower agency for back up if need. Monitor	Updates employees and medical condition of hospitalized personnel if any		

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	employees, visitors and patients on their medical condition at hospitals until full recovery. Prepares list qualified for financial assistance to be submitted to Accounting Supervisor.	Prepare hospital billing to be forwarded to Accounting		
<b>Accounting Supervisor</b>				
Calls to external providers to provide an update on the details of the disaster and the location of the alternate site.  Ensure continuous delivery support	Assigns Billing Cashier personnel at alternate sites. Orders list of tools of equipment needed at alternate site, request for urgent delivery.	Monitors delivery from suppliers Track all billings from deliveries and hospitals Ensures		

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from suppliers Ensure preparedness of Cashier personnel to be assigned on the alternate site.	Prepares financial assistance based from the list provided by HR.	continuous Collection process to clients, coordinate with Admin for messenger allocation.		
<b>MIS</b>				
Calls Metro bank for the preparation and retrieval of back-up drives Access to Cloud	Restore backup files at the alternate location Set-up sever room at alternate site Layout of PCs and LAN, WIFI connections.			

#### 1.2 When time of disaster occurs during No operations

HR Manager shall send a text message regarding the details of the disaster and the condition of the office building in terms of its accessibility to all HMHS employees and its subsidiaries. Communications must be constant to guide or inform employees.

Medical Operations Manager to announce the suspension of work operations and to alert ERT team members of the disaster in order to check the site for assessment.

ERT is required to prepare and submit an assessment report on the extent of damage and accessibility of the office building for occupancy and inventory of all functioning and valuable equipment to all Managers.

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Administrative Manager to call and finalize the alternate site location.

Medical Operations Manager with the support of PEME specialists, to call Clients on the details of business and the alternate site. An emergency meeting will be called to plan for transfer to an alternate site and to activate the BCP on the first day of disaster.

*Note: Planning will cover the same area as indicated on day 2 of Table 1. However transfer will start of this procedure at day 2.*

## 2. Activation

The business continuity plans are put into effect at this stage. It continues until the alternate site is occupied, critical resources as well as critical business functions are established and server systems including software and hard wares are installed. The major activities that take place in this phase are as follows,

*Relocation of critical business process as well as resources to the alternate site*

The identified key personnel to form the skeletal force of medical operations has now been identified and will commence operations at the alternate site. MIS has now restored the back up files needed by units specified below to carry out respective activities as mentioned below table.

**Table 2**

<b>Units</b>	<b>Activities</b>
Receiving Reception	Receiving and referring of new patients direct

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	patients to PEME-affiliated clinics.
CSO	Direct new patients to PEME Clinics and address other concerns.
Follow-up Reception	Receiving and facilitating follow up patients and direct patients on their required tests. A.) Additional -referred to send out laboratory/diagnostic clinics.
Follow-up Doctors	Consultation of patients with follow-up tests
Follow-up Nurse	Continue pending transmittal.
Documentation	Continue pending medical certificates processing and delivery
Releasing	Release and transmittal of certificates
Processing	Checking of pending medical results and medical certificates.
Administration	Transmittal of SOA and Medical Certificates Cleanliness and maintenance of Alternate site
Security	Secure alternate site location, personnel and resources
MIS	Ensure server workability maintenance and communication connection (WIFI, PLDT, etc.)
PEME Account Specialist	Coordinates with Client on the status of patient's medical records and address client's concern.
Accounting (Billing, Cashier, Purchasing & Inventory)	Billing and collection activities and monitoring of supplier deliveries and Inventory at the

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<b>BUSINESS CONTINUITY PLAN MANUAL</b>	 <b>HALCYON MARINE</b> <small>HEALTHCARE SYSTEMS</small>	<b>Document No:</b> <b>BCP 1.0</b>	<b>EFFECTIVITY DATE:</b> <b>August 3, 2018</b>
		<b>Prepared by:</b> <b>Marilar F. De Guzman, MD</b> <b>Quality Assurance Manager</b>	<b>REVISION NO.: 1</b>
<b>SUBJECT: BUSINESS CONTINUITY PLAN</b>			

	temporary stockroom
HR	Manpower Contingency and attendance. Assisting employees regarding medical and financial assistance.

*Re-establishment of data communications*

MIS to establish data communication within the organization as well as LAN connections, computer networks and server.

**Alternate Site Operations**

The phase begins after the establishment of alternate site and continues until the primary site is restored. The activities involved in this phase are as follows:

*Backlog reduction*

MIS continues to retrieve missing data for endorsement to affected units to complete their existing data.

*Alternate site processing procedures*

The Medical Operations Manager and the PEME Account Specialist continue to call client companies regarding direction to the alternate site and schedule of operations.

*Assessment and Planing Stages*

Medical Operations Manager to call a meeting with the Emergency Management Team to assess the extent of damage at the primary site, testing tools and equipment. The MOM shall also identify equipment and tools for repair, for purchase, and importance of the business function. Additional purchases shall be noted if the damage is irreparable.

. The Accounting Supervisor shall prepare separate costing on the incurred damages at the primary site, repairs, renovation and purchases duly approved by the Medical Operations Manager and Medical Director.

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A proposal as contingency shall also be prepared by the Management team and its equivalent cost. The proposal shall be presented to the Medical Director for approval.

The Emergency Management team shall make the final assessment based on the extent of damage and cost to incur. The contingency plans are stated below, under Plan A & B.

**Plan A - Revert to Primary Site**

If the extent of damage to the infrastructure needs to be renovated and repaired

**Plan B - Rent an Office building with infrastructure intended for PEME services**

If the extent of damage is beyond repair.

**Plan C - Processing of DOH Accreditation and Licensing.**

<b>Plan A</b>	<b>Plan B</b>
Admin Manager to meet with Contractor in order to create a timetable to initiate repair	Administrative Manager to look for office building suitable for PEME set-up. A list of

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and renovation of the building. Materials needed shall be also discussed in the meeting.	potential office spaces shall be prepared for ocular inspection.
Present the timetable and construction expenses to the team for approval.	<p>2. Administrative Manager and Medical Operations Manager to conduct ocular visits on the office spaces.</p>
<p>Administrative Manager to coordinate with Contractor on construction activities until completion. An update shall be reported to the Management team on the alternate site until completion for transfer.</p> <p><i>Note: If the timeline will exceed one (1) month, then weekly meetings or every two (2) weeks meeting should be conducted. The meeting will be attended by the Management representatives and the Medical Director, to ensure timeline is strictly adhered to by the Contractors. Issues are discussed for immediate or prompt actions.</i></p>	<p>3. Present results of ocular visit detailing the following aspects,</p> <p>Location and accessibility</p> <p>Office no. of floors and rooms</p> <p>Office layout and accessibility.</p> <p>Complete and working utilities such as water, electricity and generator.</p> <p>Calculate incurred cost of the following,</p> <p>Lease</p> <p>Renovation and repairs</p> <p>Air con unit installation</p> <p>Logistics for transfer</p> <p>The aspects shall ensure the flow of receiving and processing of patients and lay-out should not limit or hinder PEME process.</p>
After completion of repair and renovation, the Management team shall create timetable for transfer to Primary site. (Refer to Plan C-	After careful selection and consideration of all aspects and cost, Management should reach common agreement in deciding for the new office building. A timetable will be created by

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Processing of DOH Accreditation and Licensing and Procedure 3. Transition to Primary Site)	the Management Team to initiate a transfer to the new site.  (Refer to Plan C - Processing of DOH Accreditation and Licensing)
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#### **Plan C - Processing of DOH Accreditation and Licensing**

Administrative Manager shall process Department of Health (DOH) application form and complete necessary requirements for licensing.

Administrative Manager shall monitor the status of the DOH application and provide feedback on the status to the Medical Director and Managers.

Inform the organization on the scheduled DOH inspection for the necessary preparation of testing equipment and tools, clinic lay-out, log books and utilities.

The Medical Operations Manager shall accompany the DOH representative during the inspection process of the clinic.

The Medical Operations Manager shall issue the result of DOH inspection to the Quality Assurance Section for awareness or checking of findings and observation.

The Medical Operations with QA shall address the findings and observation noted in the DOH checklist. A photo of compliance will be sent by the Administrative Manager to the DOH representative. Completion of Corrective Action Request (CAR) should be within the set timeline.

The Administrative Manager shall conduct follow-up on the issuance of DOH certificate.

Assumption: 1 month processing of DOH application

Issuance of DOH certificate will be based from the findings found during inspection.

#### **Transition to Primary Site**

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The phase consists of any and all activities necessary to make the transition back to the primary facility location.

- 3.1 Administrative Manager to carry out transfer of equipment and all resources needed to set up
  - the different work stations and testing units.
- 3.2 Medical Operations Manager and MIS to discuss PC, terminals, printer installation to the primary site and finalize the schedule.
- 3.3 Once schedules are determined Medical Operations Manager to inform all staff regarding plans for transfer.
- 3.4 Operations to note back logs prior return and contingency plans.
- 3.5 Back office personnel initiate transfer of office and medical equipment. Then to be followed by setting up of workstations and testing units.
- 3.6 Transfer to take effect on a weekend. Ideally, minimal operation interruption is the goal of the transfer.

*Assumption: 1 week transition*

#### **4. Testing and maintenance**

- 4.1 QA unit will ensure maintenance of the BCP manuals.
- 4.2 Testing of the BCP activities may be initiated through an earthquake or fire drill, which will be headed by the Administrative Manager and Security Officer. A scheduled drill should be set and procedures stated in the manual should be enacted to assess or review and update the manual procedures.

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