Pilot Nursing Home Emergency Management Assessment Tool

Introduction

The Pilot Nursing Home Emergency Management Project (NHEMP) Assessment Tool, developed by the Primary Care Development Corporation (PCDC), is intended to provide Nursing Home Emergency Preparedness Committees a more thorough and accurate understanding of the current state of readiness and resource gaps of the Nursing Home's Emergency Management Program. The results of the assessment will allow the Nursing Home to identify what Emergency Preparedness Level the Nursing Home falls within based on their score. The Emergency Preparedness Levels are as follows:

Level 1	Level 2	Level 3	Level 4
Score of 85-100%	**Score of 70-84%**	**Score of 55-69%**	**Score of 0-54%**
Mature comprehensive emergency management program established for site (including all aspects of EM planning for an all-hazards approach).	Emergency Management Plan developed and integrated with some event-specific plans and procedures.	Most elements critical for emergency planning identified but not developed.	Minimal elements necessary for emergency management program have been identified or created.

Methods

The Pilot Nursing Home Emergency Management Project (NHEMP) Assessment Tool should be conducted by a Nursing Home staff member. This staff member will serve as proctor. To ensure accurate data recording, whenever possible, two staff members should collect NH responses simultaneously. PCDC recommends NH representation from the following areas: Administrator, Executive Staff, COO/Site Manager, Medical Director / Director of Clinical Services, Facilities Manager / Director, Emergency Management Committee and/or the designated Emergency Management Coordinator to participate in the assessment and provide responses.

The tool contains 63 individual data questions comprised of 10 sections. The 10 sections are comprised of the core concepts from which this assessment tool was generated. The 10 sections are described below:

1. Administrative Essentials of Emergency Management
- Written Emergency Management Plan
- Access to the Emergency Management Plan
- Multidisciplinary emergency management committee & assigned coordinator
- Mechanisms for internal review and modification to emergency management protocols

2. Risk Analysis
- Identification of Hazards
- Impact Analysis
- Capabilities
- Mitigation Strategies

3. Command & Control
- Activation of Emergency Management Plan
- Type of command structure utilized by the nursing home
- Delineation of specific roles and assignments for each position in the emergency command structure

4. Logistics Management
- Documentation of nursing home assets
- Establishment of an Emergency Operation Center (EOC)
- Maintenance and procurement of supplies

5. Communications
- Testing of formalized notification system for mobilizing all staff
- Redundant communications systems and health alert distribution
- List of essential emergency contact information for internal/outside agencies
- Staff roster of emergency contact information upkeep and accessibility

6. Continuity of Operations
- Identification of essential functions, staff, and systems
- Ability to maintain and expand services
- Established back-up and down time procedures
- Policy or protocol regarding medical and non-medical volunteers
- Determined procedures for inspecting and determining safety of facility

7. Community Integration
- Relationships with local community partners including emergency response agencies and local hospitals/other medical facilities
- Relationships with local community based organizations, houses of worship, and local schools
- Established formal agreements with community partners, vendors, local, state, and federal agencies
- Ability to provide information to the community

8. Training & Exercise
- Overall emergency management plan that has been tested and staff members have been trained on its procedures
- Staff awareness of and training on personal preparedness
- Training on Incident Command Systems (ICS) and all hazards emergency response
- Exercising with other community partners or agencies

9. Infectious Disease Management
- Infectious control plan or protocol
- Ability to provide screening, isolation, and triage services
- Point of Dispensing (POD) capability
- Predetermined isolation room or area

10. Supplementary
- Protocols to support evacuation of facility
- System to track patients and staff during evacuation
- Training and protocols on New York State Evacuation of Facilities and Disaster System (e-FINDS) http://stormrecovery.ny.gov/e-FINDS
- Transportation considerations of patient needs during evacuations

Scoring Process

To generate the results for each Nursing Home, 63 data questions will be analyzed using Microsoft Excel Spreadsheet Software. The 63 questions have been divided into 10 sections. Answers provided by the Nursing Home are categorized, coded and placed into one of the following categories: a) YES or b) NO (a negative response was also applied if Nursing Home did not know the answer to the questions). Each answer that is "YES" is to be issued a value of "1" and used to determine a Nursing Home's results for a given section/subsection. Some questions are multiple part questions and have been formulated to be part of the whole value of "1".

Scored results were obtained by dividing the number of questions answered "YES" by the total number of questions in the section/subsection. (Ex. "Section 3- Command and Control" is comprised of 5 questions. If a site answered 3 out of the 5 questions that section scored a .60).

Please note that to get a numerical value, an AVERAGE system was used. All 10 sections were then SUMMED for a total score.

How to Use

The Nursing Home is to assign a staff members as a proctor. The proctor will be charged with conducting the assessment and collecting the responses from the Nursing Home. To generate the results, the proctor is to ask the 63 data questions in the assessment tool. Answers provided by the NH are to be categorized, as: a) YES, represented a positive response and assigned a value of "1" or b) NO, represented a negative response and assigned a value of "0", for each corresponding question. Please note that a negative response "0" should also be applied if the Nursing Home did not know the answer to the questions. A numerical value of zero "0" has been used as placeholder in the assessment tool. The proctor is also to take note of any questions, comments or concerns to clarify and/ or address with the Nursing Home team.

For example:

Step 1:	Step 2:	Step 3:	Step 4	Step 5
Proctor asks: Does the nursing home have a formal written emergency management plan?	NH Responds: **Yes**	Proctor is to assign value of **"1"** for positive response	Score assigned **1**	Document any comments, questions, or concerns.

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				Yes=1 No=0		Comments
Date						
Facilitator						
Site						
**I. Administrative Essentials of Emergency Management**					
1	**Does the nursing home have a formal written emergency management plan? (Site specific, if they are part of a network)**			0		
IF YES	1.1	Does your emergency management plan include all four phases of emergency management (mitigation, preparedness, response, and recovery)?		0		
	1.2	Does the emergency management plan have a policy, procedure, or mechanism for internal review and modification? (This includes documenting lessons learned following real events and planned exercises, ex. After Action Reporting).		0	0	
	1.3	Is the emergency management plan reviewed/revised at least once a year?		0		If yes, how often:
	1.4	Is the plan approved by senior management or the board of directors?		0		Title:
2	**Does the nursing home have an interdisciplinary planning committee used to oversee its emergency management planning? (NOTE: If the nursing home is part of a network, all sites must have the element in place)**			0	0	
3	**Does your nursing home have a designated Emergency Preparedness Coordinator?**			0	0	What is the official title of this designated person?
4	**Do all nursing home personnel have access to the facilities emergency management plan? (Can be a hard copy and/or electronic)**			0	0	Circle: Hard Copy/ Electronic Copy /Both
		Section Total (Out of 4)		**0**		
**II. Risk Analysis**					
5	**Does the nursing home conduct a Hazard Vulnerability Analysis (HVA) to identify potential emergencies (internal or external) that could affect the need for its services or its ability to provide those services?**			0	0	
IF YES	5.1	Is the Hazard Vulnerability Analysis reviewed/revised at least annually?		0		If yes, which Hazard Vulnerability Tool has been used?
6	**Does the nursing home use its Hazard Vulnerability Analysis to establishing priorities among those emergencies that have the highest probability and impact to prepare for them?**			0		
IF YES	6.1	Does the nursing home use its Hazard Vulnerability Analysis to define mitigation activities (activities that reduce the risk and potential impact of emergencies)?		0	0	
	6.2	Has the nursing home created hazard-specific emergency management plans/appendices such as Incident Response Guides for events that have been identified by the Hazard Vulnerability Analysis? (Answer NO if the nursing home has not yet completed an HVA).		0		If yes, and they don't use Incident Response Guides ask what they are considering the equivalent.
7	**Has the nursing home established the potential risk/impact these emergencies can have on the sites operations?**			0	0	
		Section Total (Out of 3)		**0.0**		

	III. Command and Control			
8	Does the emergency management plan contain a policy or procedure that describes how to activate the emergency management plan?	0	0	<mark>Who has the authority to activate the emergency management plan?</mark>
9	Does the nursing home use a formalized structure such as Incident Command System (ICS)?	0	0	
IF YES	**9.1** Are all (both AM and PM shifts) staff trained in the implementation of the nursing home's incident command system?	0		<mark>If no, who is?</mark>
10	Are the roles and responsibilities for each emergency position in the emergency command structure defined in writing within the Emergency Management Plan?	0	0	
IF YES	**10.1** Are the emergency command roles defined in Job Action Sheets?	0		
11	Does the nursing home have a designated spokesperson or Public Information Officer (can be via parent organization)?	0	0	
IF YES	**11.1** Has the person been trained in risk communications/media communication?	0		<mark>If yes, what is the title of the person who takes on the role?</mark>
12	Does the nursing home have access to the citywide 800 MHz radio system?	0	0	
13	Does your ICS staff wear clear & visible signage (vest, arm band, etc.) that reflective of their assigned position?	0	0	
	Section Total (Out of 6)	**0.0**		

		IV. Logistics Management			
14		Does the nursing home keep a documented inventory of resources and the assets they have onsite that may be needed during an emergency?	0		
	IF YES	**14.1** Personal Protective Equipment?	0	0	
		14.2 Food and Water?	0		
		14.3 Fuel?	0		
		14.4 Medical Supplies?	0		
		14.5 Medication?	0		Other:
15		Does the site have a designated Emergency Operation Center where incident command staff can convene?	0	0	
	IF YES	**15.1** Does the site have an alternative Emergency Operation Center offsite in case the center becomes inoperable or inaccessible?	0		
16		Does the Emergency Operation Centers (both onsite and offsite) have the supplies to support emergency management operations?	0		
	IF YES	**16.1** Fax machine?	0	0	
		16.2 Landline (POTS)?	0		
		16.3 Copier?	0		
		16.4 Computer / laptops?	0		
		16.5 Two way radios?	0		
		16.6 Uninterruptible power supply for critical equipment. (E.g. back-up generator, battery).	0		Other:
17		Does the site have specific protocol that addresses recovery or demobilization (response to normal operations)?	0	0	
18		Does the nursing home have a written protocol for acquiring, securing, and managing critical supplies in an emergency?	0	0	
19		Does the nursing home have a protocol for maintaining viability of supplies during a power loss?	0		
	IF YES	**19.1** Does the nursing home have arrangements with vendors for quick shipping and/or replacement of medical supplies?	0	0	
		19.2 Does the nursing home have arrangement with vendors for quick shipping and/ or replacement of Information Technology supplies? This can be defined as any hardware, software, services, and supporting infrastructure to manage and deliver information using	0		
20		Does the facility have a generator on site?	0	0	
	IF YES	**20.1** Is the generator above the ground level?	0		
		Section Total (Out of 7)		**0.0**	

	V. Communications			
21	Is there a protocol on how to formally alert and notify staff of emergency management activations (ex. Emergency activation codes)?	0	0	
	IF YES 21.1 Including emergency activation protocols during off hours?	0		
22	Does the nursing home have a written procedure in place describing circumstances under which to notify local emergency response agencies? (e.g. NYPD, FDNY, NYS DOHMH, NYC OEM, NYC DOHMH)	0	0	
23	Does the nursing home key staff (ICS team, senior leadership, supervisors, etc.) have a hardcopy and electronic list of emergency contact information for all staff?	0	0	
	IF YES 23.1 Is the staff contact list updated annually?	0		What is the title of the person responsible for updating the staff contact list?
24	Is the nursing home's emergency communications plan tested annually?	0	0	
	24.1 Is the communications equipment and its use part of the testing?	0		
	IF YES 24.2 Does the nursing home have a list of essential contacts information for internal and external agencies?	0		Where is the information located/posted (ex. administrative offices, emergency management plan, senior staff offices)?
25	Does the nursing home have communication protocols that ensure rapid distribution of health alert information to all clinical staff?	0	0	
26	Does the nursing home have a plan/protocol on how to notify patients/ residents of an emergency?	0	0	
	IF YES 26.1 Does the nursing home have a plan/protocol on how to notify patient families of emergency events/ procedures?	0		
27	Does your organization utilize social networks to share information with stakeholders?	0	0	If yes, what type of social media outlet and in what way is it used?
	Section Total (Out of 7)	**0.0**		

VI. Continuity of Operations				
28	Has the nursing home identified its essential functions? (Essential functions are those organizational functions and activities that must be continued under any and all circumstances).	0	0	If yes, ask nursing home for examples:
IF YES	28.1 Has the nursing home identified which staff, systems, and processes are essential to its ability to deliver mission critical functions?	0		
29	Does the plan address how to maintain or expand services? Note: Can apply if site is a receiving facilities and or surge scenario?	0		Is nursing home a receiving facility?
IF YES	29.1 Does the plan describe when or how to conserve resources (E.g. food, food, water, utilities?	0	0	
	29.2 Does the plan describe how the organization will manage security and safety during an emergency?	0		
30	Does the nursing home have back-up systems and technologies for communication activities?	0	0	
31	Does the nursing home have down-time procedure (this plan is intended to provide a procedure to respond to an emergency that damages an information technology resource which contains electronic health information)?	0	0	
32	Does the nursing home have plans to manage staff during an emergency?	0		
IF YES	32.1 Does the nursing home have plans detailing the mobilization of staff with evacuating patients to receiving facility in order to maintain continuity of patient care?	0	0	
	32.2 If yes, does the location have adequate space, telephones, computers, supplies, beds/cots)?	0		
33	Does your nursing home have a policy and procedures in place to manage medical and/or non-medical volunteers?	0		
IF YES	33.1 Does the policy include acquiring the person's valid government issued photo identification, healthcare organization identification that identifies professional designation, or Medical Reserve Corps, Community Emergency Response Team, Disaster Medical Teams?	0	0	If yes, identify the type of volunteers allowed to assist with the provision of services to nursing home:
	33.2 Does the nursing home have a protocol on overseeing the performance of each practicing volunteer?	0		
34	Does the nursing home have a facility reentry plan?	0	0	Who authorizes reentry to the nursing home facility?
35	Are the procedures for inspecting and determining the safety of the facility part of your emergency operations plan?	0	0	
	Section Total (Out of 8)	**0.0**		

	VII. Community Integration			
36	**Has the nursing home established a "Language Bank" with names and contacts of staff or outsourced service that can help with translation/interpreting?**	0	0	
37	**Does the nursing home communicate its needs and vulnerabilities to local community emergency response agencies (E.g. New York City of Emergency Management, New York City Department of Health & Mental Hygiene) ?**	0	0	
IF YES	37.1 Does the nursing home identify the communities capability to meet its needs (can nursing home identify when local resources are insufficient)?	0		
38	Does the nursing home have established relationships with local community based organizations (ex. religious groups, local schools, community centers)?	0	0	
IF YES	38.1 Does the nursing home participate in community outreach or planning activities during an emergency (ex. Pandemics, disaster declarations, information dissemination)?	0		Ask nursing home to give examples of such activities
39	Does the NH facility or network have formal agreements with potential partners that may provide mutual aid during an emergencies such as suppliers, contractors, community based organizations, houses of worship, other healthcare facilities?	0	0	If so, what kind of mutual aid agreements?
IF YES	39.1 Are there procedures in place that use community based organization to assist in information dissemination?	0		
	Section Total (Out of 4)		**0.0**	

VIII. Training and Exercises			
40 Does your NH facility its plans, including its ICS structure, at least once a year (If you're part of network, does the network exercise its plans)?	0	0	
41 Does all staff receive training in the all-hazards emergency response plan?	0	0	
42 Are there primary and secondary personnel (back-ups) trained on all essential functions?	0	0	
43 Has the nursing home participated in the planning or execution of exercises with local community partners such as community based organizations, faith based organizations, local volunteer ambulance company?	0	0	
44 Is staff trained on proper procedures of donning and doffing personal protective equipment?	0	0	
IF YES **44.1** Does staff receive training on contact, droplet, and airborne precautions?	0		
45 Does the NH have a mental health rapid response protocol on how to assess mental health needs of staff and patients (ex. Provision for psychological first aid or referral to other services)?	0	0	
46 Does the NH follow the Homeland Security Exercise and Evaluation Program (HSEEP)?	0	0	
47 Does the NH emergency management training curriculum include staff personal preparedness (home preparedness)?	0	0	
48 Has the NH participated in a governmental multiagency exercises (DOHMH, SDOH, FEMA, OEM)?	0	0	If yes, what agency led the exercise and what year did it take place?
Section Total (Out of 9)	**0.0**		

		IX. Infectious Disease Management			
49		Does the NH facility or network have an infectious control plan or protocol?	0		
	IF YES	**49.1** Does your nursing home have a formalized protocol to report disease clusters?	0	0	
		49.2 Does the plan/protocol include screening, isolation, and triage?	0		
50		Are your staff registered users of federal, state, or local health alert systems?	0		
	IF YES	**50.1** City: Health Alert Network?	0	0	
		50.2 State: Health Commerce System?	0		
		50.3 Federal: Clinician Outreach and Communication- COCA)?	0		Other health alert system?
51		Does your NH facility have a pre assigned isolation room or area?	0	0	
52		Does your NH facility or network have documented Occupational Safety &Health Administration (OSHA) compliant respiratory protection program?	0		
	IF YES	**52.1** Does the nursing home have a written policy to fit test its staff?	0	0	
		52.2 Is the fit testing done annually?	0		
		52.3 Are records of the respiratory compliance program kept onsite?	0		Title of the person overseeing the program: Describe mask make: Describe mask type: Mask size: Numbers kept on hand:
53		Does your Nursing Home have protocols in place related to the execution of a closed Point of Dispensing (POD)?	0	0	
54		Has your staff received formalized training on how to set up and manage a closed POD?	0	0	If so, who provided the training? Which staff members received the training? (clinical, admin, facilities, front desk, marketing/outreach etc…)
55		Does your Nursing Home have formal agreements with the State Department of Health or the City Department of Health & Mental Hygiene to receive resources to support POD functions?	0	0	
		Section Total (Out of 7)	**0.0**		

X. Supplement Evacuation Assessment						
56		**Does your site-specific emergency management plan describe how the nursing home will manage a facility evacuation when the environment cannot sustain care, treatment, or services?**	0			
	IF YES	56.1 Does the plan describe evacuation from one section or floor to another within the facility?	0	0		
		56.2 Does the plan describe full/outside evacuations the facility?	0			
57		**Does the nursing home have pre-determined evacuation locations with a "like" facility within NYC boarders (a "like" facility provides suitable space, utilities, security, staff, beds)?**	0			How many pre-determined sites does the nursing home have?
	IF YES	57.1 Has the nursing home developed contracts or formal agreements with the pre-determined evacuation locations?	0	0		
		57.2 Does the nursing Home have MOU's with "like" facilities outside NYC borders that are not in flood zone areas?	0			How many pre-determined sites does the nursing home have outside NYC areas?
58		**Has the nursing home identified evacuation routes and alternative routes that can be used in the event of an evacuation?**	0			
	IF YES	58.1 Have specified travel time been identified from nursing home to evacuation locations?	0	0		
59		**Has nursing home staff been trained on the NY State Evacuation of Facilities in Disaster System (NYS e-finds)?**	0			
	IF YES	59.1 Does the nursing home have set protocols/policies in your emergency management plans reflective of New York State Evacuation of Facilities in Disasters System?	0	0		Which staff has been trained (occupation)? How many staff members have been trained?
		59.2 Does the nursing home have a staff tracking policy/protocol other New York State Evacuation of Facilities in Disasters System?	0			
60		**Does the evacuation plan describe how the staff will manage patient needs when traveling to receiving facility?**	0			
	IF YES	60.1 Patients' personal hygiene and sanitation needs of its patients?	0	0		
		60.2 Patients mental health needs that occur during an emergency?	0			
		60.3 Does the emergency management plan describe how the nursing home documents and tracks patient clinical information?	0			
61		**Does your nursing home have protocol on tracking developing or deteriorating patient medical conditions?**	0			
	IF YES	61.1 Does your protocol include what to do if patient dies in route?	0	0		
62		**Does the nursing home have a patient tracking policy/protocol in place?**	0	0		Please describe nursing home's current patient evacuation tracking method?
63		**Does the nursing home have procedures that ensure residents/patients dependent on assistive devices are transported so their equipment will be protected and personal needs met during transit?**	0	0		
		Section Total (Out of 8)	0.0			
		Total Score (Out of 63):	**0**			
			0%			