Update on The Joint Commission Emergency Management Standards

John D. Maurer, SASHE, CHFM, CHSP
Department of Engineering
The Joint Commission
OBJECTIVES

Upon completion of this presentation, participants will be able to:
1) Understand the changes to the emergency management standards
2) Understand the most challenging emergency management standards
CHAPTER OUTLINE

- Foundation for the Emergency Operations Plan (EOP) [EM.01.01.01]
  - The Emergency Operations Plan
    - General requirements [EM.02.01.01]
    - Specific requirements
      - Six critical areas [EM.02.02.01 - EM.02.02.11]
      - Disaster volunteers [EM.02.02.13 - EM.02.02.15]
  - Evaluation
    - Evaluating the planning activities [EM.03.01.01]
    - Evaluating the EOP through exercises [EM.03.03.03]

SIX CRITICAL AREAS

1. Communication [EM.02.02.01]
2. Resources & Assets [EM.02.02.03]
3. Safety & Security [EM.02.02.05]
4. Staff Responsibilities [EM.02.02.07]
5. Utilities Management [EM.02.02.09]
6. Patient, Clinical & Support Activities [EM.02.02.11]
**EMERGENCY MANAGEMENT CYCLE**

Four phases
- Mitigation
- Preparedness
- Response
- Recovery

**EMERGENCY MANAGEMENT CYCLE**

Four phases
- Mitigation: Attempt to reduce impact
- Preparedness: Build capacity and identify resources
- Response: Action and procedures to be implemented
- Recovery: Steps to restore services
MITIGATION

Activity taken to reduce the severity and impact

HVA

Hard Activities
- Little human intervention
- Improve built environment to withstand hazards
- Add equipment and systems based on HVA

Soft Activities
- Add to hardening effort
- Add supplies
- Communicate needs
  - Local community
  - State or federal government, if necessary
  - MOUs
**PREPAREDNESS**

- Activity taken to build capacity and identify resources (organize and mobilize)
- Plan for how to respond
- May include
  - Inventory of resources and assets
  - Staff training
    - Shelter-in-place vs. evacuation
  - Exercises

**RESPONSE**

- General considerations
- Six critical areas
  - Communications
  - Resources and assets
  - Safety and security
  - Staff roles and responsibilities
  - Utilities
  - Patient management
  - Disaster volunteers
RECOVERY

Restoration of services
- Care, treatment and services
  - Staff and physician scheduling adjustments
  - Facility repairs
  - Inventory, materials management
  - Staff and patient debrief/counseling

RECOVERY

Restoration of services
- Business continuity plans
  - Insurance
  - Outsourcing of services

- Evaluation of emergency
  - Opportunities for improvement
2015

WHAT HAPPENED IN 2014?

EMERGENCY MANAGEMENT OVERSIGHT

- Address leadership accountability for hospitals and critical access hospitals
- Found in EM and Leadership (LD), effective January 2014:
  - LD.04.01.05
  - EM.03.01.01
  - EM.03.01.03
  - LD.04.04.01

See July 2013 Perspectives
EMERGENCY MANAGEMENT OVERSIGHT

- Require the organization to identify a leader to oversee emergency management
- Require the organization to consider input from staff at different levels when evaluating exercises and responses to events
- Require senior hospital leaders to review EM planning activities, performance in exercises and responses to actual events to facilitate improved communication of problem areas and implementation of hospital-wide solutions

LD.04.01.05 ELEMENT OF PERFORMANCE (EP) 12

- Someone accountable
  - Staff implementation of the four phases of EM
  - Staff implementation across the six critical areas
  - Organization-wide collaboration
  - Identification and collaboration with community

Note: Addresses matters that are not part of incident commander role
EM.03.01.01  EP 4

- Evaluating effectiveness of planning

- **EP 4: The annual emergency management planning reviews are forwarded to senior hospital leadership for review**
  - Note: Senior hospital leadership refers to those leaders with responsibility for organization-wide strategic planning and budgets (vice presidents and officers). The hospital may determine that all senior hospital leaders participate in emergency management reviews, or it may designate specific senior hospital leaders to review this information.

---

EM.03.01.03  EP 13: EVALUATION

- Organization evaluates effectiveness of EOP
  - Evaluate through a multidisciplinary process
  - Includes relevant input from **ALL** levels of staff affected
EM.03.01.03: EVALUATION (CONT.)

- Organization evaluates effectiveness of EOP
  - Evaluation of exercises and events to include deficiencies and opportunities for improvement
  - Deficiencies and opportunities for improvement are communicated to the improvement team responsible for monitoring environment of care issues and to senior hospital leadership
  (See also EC.04.01.03, EP 1; EC.04.01.05, EP 3; LD.04.04.01, EP 25)
  - Modifications to EOP based on evaluations
  - Future exercises/events reflect changes made and/or interim measures found in modified EOP

LD.04.04.01 EP 25

- Senior hospital leadership directs implementation of selected hospital-wide improvements in emergency management based on the following:
  - Review of the annual emergency management planning reviews (see also EM.03.01.01, EP 4)
  - Review of the evaluations of all emergency response exercises and all responses to actual emergencies (see also EM.03.01.03, EP 15)
  - Determination of which emergency management improvements will be prioritized for implementation, recognizing that some emergency management improvements might be a lower priority and not taken up in the near term
**2013 MOST-CITED EM STANDARDS**

<table>
<thead>
<tr>
<th>Hospitals</th>
<th>Critical Access Hospitals</th>
</tr>
</thead>
<tbody>
<tr>
<td>EM.03.01.03</td>
<td>EM.03.01.03</td>
</tr>
<tr>
<td>EM.02.01.01</td>
<td>EM.02.01.01</td>
</tr>
<tr>
<td>EM.02.02.13</td>
<td>EM.03.01.01</td>
</tr>
<tr>
<td>EM.01.01.01</td>
<td>EM.02.02.13</td>
</tr>
<tr>
<td>EM.03.01.01</td>
<td>EM.01.01.01</td>
</tr>
</tbody>
</table>

**2014 MOST CITED EM STANDARDS**

<table>
<thead>
<tr>
<th>Hospitals</th>
<th>Critical Access Hospitals</th>
</tr>
</thead>
<tbody>
<tr>
<td>EM.03.01.03</td>
<td>EM.03.01.01</td>
</tr>
<tr>
<td>EM.02.01.01</td>
<td>EM.03.01.03</td>
</tr>
<tr>
<td>EM.03.01.01</td>
<td>EM.02.01.01</td>
</tr>
<tr>
<td>EM.02.02.13</td>
<td>EM.02.02.13</td>
</tr>
<tr>
<td>EM.01.01.01</td>
<td>EM.01.01.01</td>
</tr>
</tbody>
</table>
#1 - EM.03.01.03: EVALUATION

- Organization evaluates effectiveness of EOP
  - Two drills annually, activate the EOP at each site
  - One of two drills includes influx of patients at each identified disaster receiving station
  - One of two drills includes an escalating event without community support at each identified disaster receiving station
  - One of two drills includes participation in community-wide exercise for each site with defined role in community response plan
  - Evaluation of exercises and events to include deficiencies and opportunities for improvement

#2 - EM.02.01.01: PLAN REQUIREMENTS

- Organization has an EOP
  - Leaders participate in development
  - Develops and maintains EOP
  - Plan identifies capabilities and procedures
    - 96-hr assessment
  - Recovery strategies to restore patient care services
#3 - EM.03.01.01: EVALUATION

- Organization evaluates effectiveness of emergency management planning activities
  - Annual review of Hazard Vulnerability Analysis (HVA)
  - Annual review of objectives and scope of EOP
  - Annual review of inventory

#4 - EM.02.02.13: DISASTER VOLUNTEERS LIPs

- Organization may grant disaster privileges to volunteer licensed independent practitioners (LIP)
  - Defines parameters
  - Medical staff defines in bylaws
  - Distinguish LIP
  - Medical staff defines oversight process
#5 - EM.01.01.01: FOUNDATION

- Organization engages in planning activities prior to developing the EOP
  - Leaders participate in planning activities
  - Conducts HVA
  - Works with and prioritizes HVA with community
  - Communicates with community emergency response agencies
  - Documents inventory of resources and assets

SURVEY PROCESS

Pre-Session Documents
- Emergency Operations Plan
  - All-hazards approach
  - Addresses the six critical areas
  - Inventory of resources and assets
- Identification of potential emergencies (aka HVA)
  - Mitigation and preparedness activities for the identified risks
- Disaster drill and real-event evaluations
  - Monitors and evaluates the six critical areas
SURVEY PROCESS (CONT.)

- Emergency management topics are addressed in leadership, individual tracers and system tracers

- Scenarios not used
  - Focus on all-hazards planning to sustain six critical capabilities

SURVEY PROCESS (CONT.)

Emergency Management Session
- Focus on mitigation and preparedness
- No disaster scenarios
  - Use hospital disaster critiques
- Data collection
- Focused discussion on six critical areas
- Look at resources and assets inventory
  - Appropriate storage
  - Expirations
  - Training
These slides are current as of 7/9/2015. The Joint Commission reserves the right to change the content of the information as appropriate.

These slides are only meant to be cue points, which were expounded upon verbally by the original presenter and are not meant to be comprehensive statements of standards interpretation or represent all the content of the presentation. Thus, care should be exercised in interpreting Joint Commission requirements based solely on the content of these slides.

These slides are copyrighted and may not be further used, shared or distributed without permission of the original presenter or The Joint Commission.
Questions?

Thank you

John D. Maurer
Jmaurer@jointcommission.org