



Emergency Preparedness & Appendix Z



Lunch & Learn

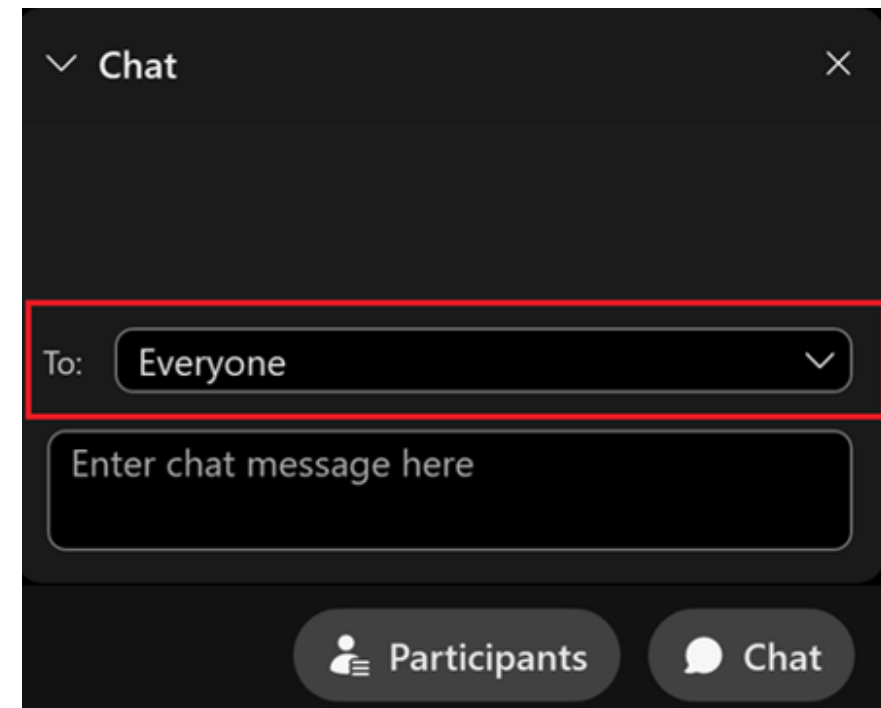
April 5, 2022

Provider Education 2022

- Welcome and Housekeeping – Amy Hyers
- Testing – Rhylee Gilb/Paul Spencer
- RHPCs – Lindsey Krueger
- Q & A – Rhylee Gilb/Amy Hyers/Paul Spencer
- Closing — Lindsey Krueger

How to Ask a Question

- **Participants are muted.**
- **To ask a question** Click on the chat bubble  Chat  to open the chat, select Everyone, and ask a question. Please note that questions sent to panelists directly will not be answered as individual chat boxes are not checked.
- **We will answer** as many questions as we can at the end of the presentation.
- **Please be respectful.**





Training & Testing

Rhylee Gilb | State Rapid Response Supervisor
Paul Spencer | State Response Supervisor

Four Core Elements of Emergency Preparedness



- Risk Assessment and Emergency Planning
- Policies and Procedures
- Communication Plan
- Training and Testing ←

[FEMA Preparedness Toolkit](https://preptoolkit.fema.gov/) (<https://preptoolkit.fema.gov/>)



Emergency Management Exercise Toolkits – EM Toolkits

Access toolkits to help your organization carry out key preparedness activities: planning, training, exercising, assessing, and engaging.

[Go to Emergency Management Exercise Toolkits – EM Toolkits](#)

- Training refers to a facility's responsibility to provide education and instruction to staff, contractors, and facility volunteers to ensure all individuals are aware of the emergency preparedness program.
- For training requirements, the facility must have a process outlined within its emergency preparedness program which encompasses staff and volunteer training complementing the risk assessment.
- The training for staff should at a *minimum* include training related to the facility's policies and procedures.

Training Continued

Facilities must maintain documentation of the training so that surveyors are able to clearly identify staff training and testing conducted. For example:

- facilities may have a sign-in roster of training conducted within their training files or inclusion of this training in their training program
- individual training certificates of completion within personnel records

A surveyor should be able to ask for a list of employees and to verify training on the emergency preparedness requirements as required under E-0037.



Tests? What Tests?

- **DEFINITION:** a procedure intended to establish the quality, performance, or reliability of something, especially before it is taken into widespread use.
- Testing is taking your Emergency Preparedness Plan and implementing it into practice. Revise the plan based on the outcomes of the test.



Intent of Testing - 1

- A facility's testing exercise requires that they be based on the individual facility's risk assessment, policies and procedures, and communication plan and support the patient population it serves.
- The intent is that testing exercises provide a comprehensive testing and training for staff, volunteers, and individuals providing services under arrangement as well community partners.
- Testing exercises must be based on the facility's identified hazards and include natural or man-made disasters (including emerging infectious disease (EID) outbreaks).

Intent of Testing - 2

- For example, a facility might test their policies and procedures for a flood that may require the evacuation of patients to an external site or to an internal safe “shelter-in-place” location (e.g., foyer, cafeteria, etc.) and include requirements for patients with access and functional needs and potential dependencies on life-saving electricity-dependent medical equipment.
- If the facility uses fire drills based on their risk assessment (e.g., wildfires) as a full-scale community-based exercise in one given year (which is also a requirement for some providers under Life Safety Code), the facility is encouraged to choose in the following year a different hazard in their risk assessment to conduct an exercise on in order to ensure variability in the training and testing program.

Intent of Testing - 3



- The intent of the requirements under the emergency preparedness condition for participation/condition for coverage, or requirement for LTC, is to test the facility's ability to respond to any emergency outlined within their risk assessment.
- The purpose of testing the facility's emergency program is to identify gaps in response which could result in adverse events for patients and staff and to adjust plans, policies and procedures to ensure patient and staff safety is maintained regardless of the type of emergency which occurs.

Testing Requirements: 144G

144G.45 Subd. 2 Fire protection and physical environment

- Plans shall include procedures for resident movement, evacuation, or relocation during a **fire** or **similar emergency** including the identification of unique or unusual resident needs for movement or evacuation.
- Evacuation drills are required for employees twice per year, per shift with at least one evacuation drill every other month.
 - Evacuation of the residents is not required
 - Fire alarm system activation is not required
- The facility should have documentation showing the required evacuation drills.

Testing Requirements: Appendix Z

The facility (ALF/ALFDC) must test twice per year, including unannounced staff drills using the emergency procedures.

The facility must conduct exercises to **test the emergency plan annually**.
The facility **MUST** do all three of the following:

- 1) Participate in a full-scale exercise that is community-based
- 2) Conduct one additional exercise
- 3) Analyze responses

Testing Requirements: Appendix Z - 1

1) Participate in a full-scale exercise that is community-based every 2 years **OR**

- When community-based exercise is not accessible, conduct a facility-based functional exercise every 2 years **OR**
- If the facility experiences an actual natural or human-made emergency that requires activation of the emergency plan, the facility is exempt from engaging in its next required community-based or individual, facility-based functional exercise following the onset of the actual event

Testing Requirements: Appendix Z - 2

2) Conduct an additional exercise at least every 2 years, opposite the year of the full-scale or functional exercise and may include (but not limited to):

- A second full-scale exercise that is community-based or an individual-based functional exercise
- A mock disaster drill
- A table-top exercise or workshop that is led by a facilitator and includes a group discussion using a narrated, clinically-relevant emergency scenario, and a set of problem statements, directed messages, or prepared questions designed to challenge an emergency plan

Testing Requirements: Appendix Z - 3

3) Analyze the facility's response to and maintain documentation of all drills, tabletop exercises, and emergency events, and revise the facility's emergency plan, as needed.





Definitions: Types of Exercises

Types of Exercises



- All-Hazards Approach
- Community Partners
- Emergency/Disaster
- Facility-Based
- Full-Scale Exercise
- Functional Exercise
- Mock Disaster Drill
- Tabletop Exercise
- Workshop

All Hazards Approach

An integrated approach to emergency preparedness focusing on identifying hazards and developing emergency capacities and capabilities to address a wide spectrum of emergencies or disasters.



Community-Based

Community Partners: Community partners are considered any emergency management officials (fire, police, emergency medical services, etc.) for full-scale and community-based exercises, however, it can also mean community partners that assist in an emergency, such as surrounding providers and suppliers.

Emergency/Disaster

- An event that can affect the facility internally as well as the overall target population or the community at large or a geographic area.
- For differentiation between the terms "emergency" and "disaster" please see definitions in Appendix Z starting on page 6.

Facility-based

This includes hazards specific to a facility based on its geographic location, dependent resident population, and potential surrounding community assets (i.e., rural area versus a large metropolitan area)



Full-Scale

A full-scale exercise is an operations-based exercise that typically involves multiple agencies, jurisdictions, and disciplines performing functional (for example, joint field office, emergency operation centers, etc.) and integration of operational elements involved in the response to a disaster event, i.e., “boots on the ground” response activities (for example, hospital staff treating mock patients). Though there is no specific number of entities required to participate in a full-scale community-based exercise, it is recommended that it be a collaborative exercise which involves at a minimum local or state emergency officials and is robust to develop community-based responses to potential.

Functional Exercise

The Department of Homeland Security's (DHS) Homeland Security Exercise and Evaluation Program (HSEEP) explains that Functional Exercises (Fes) are an operations-based exercise that is designed to validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions.

FEs are typically focused on exercising plans, policies, procedures, and staff members involved in management, direction, command, and control functions.

Functional Exercise: an operations-based exercise designed to validate and evaluate emergency-preparedness program.

- How did the parts function as a whole?
- Did the plan work?
- Did the communication plan work?
- If staff or leadership needed to consult the Policies & Procedures, were they available?
- Did the Policies & Procedures help?
- Did staff apply past training?
- Do training strategies need repeating or changing?
- Was the plan resilient?
- What areas of the program require review and updating?

Mock Disaster Drill

A mock disaster drill is a coordinated, supervised activity usually employed to validate a specific function or capability in a single agency or organization. Mock disaster drills are commonly used to provide training on new equipment, validate procedures, or practice and maintain current skills. For example, mock disaster drills may be appropriate for establishing a community-designated disaster receiving center or shelter. Mock disaster drills can also be used to determine if plans can be executed as designed, to assess whether more training is required, or to reinforce best practices. A mock disaster drill is useful as a stand-alone tool, but a series of drills can be used to prepare several organizations to collaborate in a Full-Scale Exercise.

Tabletop Exercise (TTX)

A tabletop exercise involves key personnel discussing simulated scenarios in an informal setting. TTXs can be used to assess plans, policies, and procedures. A tabletop exercise is a discussion-based exercise that involves senior staff, elected or appointed officials, and other key decision-making personnel in a group discussion centered on a hypothetical scenario. TTXs can be used to assess plans, policies, and procedures without deploying resources.

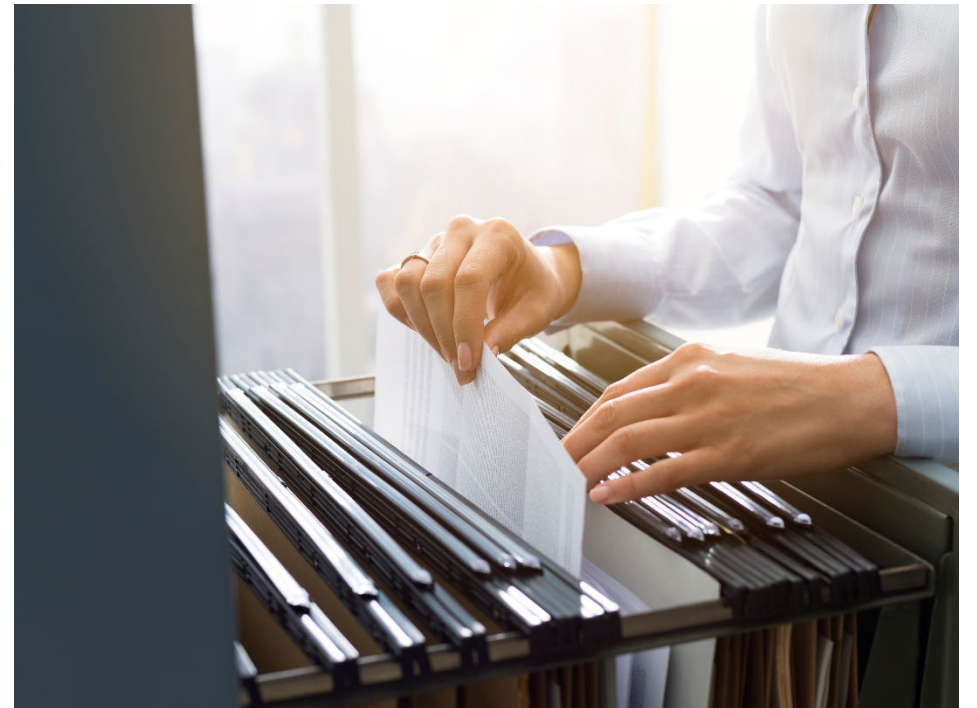




Workshop

A workshop, for the purposes of this guidance, is a planning meeting, seminar or practice session, which establishes the strategy and structure for an exercise program.

Analyze the facility's response to and maintain documentation of all drills, tabletop exercises, and emergency events, and revise the facility's emergency plan, as needed.



Maintain Documentation of:

- The training and testing program (updated annually)
- An emergency preparedness training and testing program must be documented, reviewed and updated
- The training and testing program must reflect the risks identified in the facility's risk assessment and must be included in the emergency plan

Documentation of Exercises

- List of employees who participated
- Time and Date
- Emergency Scenario: Fire Drill, Tornado Drill, Flood Evacuation, Etc.
- What went *right* with the plan
- What went *wrong* with the plan
- Outcome for plan recommended update(s)



Documentation for Surveys

Facilities must maintain documentation of training so that surveyors are able to clearly identify staff training and testing conducted.

For example:

- facilities may have a sign-in roster of training conducted within their training files or inclusion of this training in their training program
- individual training certificates of completion within personnel records

A surveyor should be able to ask for a list of employees and to verify training on the emergency preparedness requirements as required under E-0037.



Healthcare Coalitions

Lindsey Krueger | Regional Operations Executive Manager

Minnesota has 8 Healthcare Coalition (HCC) regions, each with Regional Healthcare Preparedness Coordinator(s) (RHPC)



[Regional Health Care Preparedness Coordinators \(RHPCs\)](http://www.health.state.mn.us/communities/ep/coalitions/rhpc.html)
www.health.state.mn.us/communities/ep/coalitions/rhpc.html

Essential Functions of an Effective HCC

During a response, the coalition can assist through:

- **Sharing and Analyzing Information:** To provide each facility a better understanding of the scope of the disaster and the potential availability of additional assistance.
- **Managing and Sharing Resources:** Facilitate resource support by expediting the mutual aid process or other resource sharing arrangements among Coalition members and supporting the request and receipt of assistance from local, State and Federal authorities.
- **Coordinating strategies to deliver medical care:** Coordination and discussion on enhanced medical surge capacity and capability, standardized response protocols, platform for real-time policy and strategy development and coordination.

All Healthcare Coalitions are unique so they can serve the region.

RHPCs for LTC

- Central Health Care System Preparedness Coalition – Shawn Stoen Shawn.Stoen@centracare.com
- Metro Health and Medical Preparedness Coalition – Emily Moilanen Emily.Moilanen@hcmed.org
- Northeast Health Care Preparedness Coalition – Andy Clade Andy.Clade@arrowheadems.com
- Northwest Health Services Coalition – Amy Card Amy.Card@SanfordHealth.org
- South Central Health Care Coalition – Lavidia Gingrich Gingrich.Lavidia@mayo.edu
- Southeast Minnesota Disaster Health Coalition – Geri Maki Maki.Geri@mayo.edu
- Southwest Healthcare Preparedness Coalition – Kristin Peterson covid@sw-ems.org
- West Central Health Care System Preparedness Coalition – Shawn Stoen Shawn.Stoen@centracare.com

Benefits of MN Healthcare Coalitions

Contact your RHPC to learn more about your Coalition!

Regional Healthcare Preparedness Coordinator (RHPC) can support you with:

- Templates/Guidelines – check Coalition website for resources
- Trainings – vary by Coalition
- Exercises – Coalition exercises meet CMS community engagement requirement
- Conferences – not all regions have conferences

All Healthcare Coalitions are unique so they can serve the region.

- **Metro Coalition, 20th Annual Preparedness Practicum, Feb 23, 2022:**
Recording on website. Topics included equity, communication and information, ethical and practical challenges of rationing care and treatments, supporting health care workers, and more.
[Video of the 20th Annual Preparedness Practicum \(2022\) | The Metro Health & Medical Preparedness Coalition \(metrohealthready.org\)](#)
- **Northeast Coalition, Under One Roof, May 17 & 18, 2022:**
The Under One Roof conference is a unique event that will address common challenges in the Northeast MN region and beyond. Participation provides attendees with opportunities to connect with preparedness and response partners, learn innovative and effective techniques for future activities, and share lessons learned from recent responses.
[Registration | Under One Roof Twin Ports \(www.underonerooftwinports.com\)](#)
- **Metro Coalition, Disaster Behavioral Health, coming in June**



Questions?

ALL Together Newsletter

- Subscribe to HRD's ALL Together Newsletter for up-to-date information regarding Assisted Living Licensure
- [MDH Email Updates \(https://public.govdelivery.com/accounts/MNMDH/subscriber/new?topic_id=MNMDH_660\)](https://public.govdelivery.com/accounts/MNMDH/subscriber/new?topic_id=MNMDH_660)



ALL Together News and Updates

News and updates on Assisted Living Licensure

[View this as a webpage](#)

March 31, 2022

The *ALL Together* newsletter provides updates, details, and information about assisted living licensure for providers, residents, family members, and the public.

The Minnesota Department of Health's Health Regulation Division (HRD) will work to provide information, news, updates, and links to resources for assisted living providers and families to help residents and loved ones live their best lives as they age in place.

Please share this newsletter with colleagues, friends, and family. [Subscribe to this newsletter.](#)

In this edition:

Assisted Living Licensure Renewals begin in May

What topic would you like to see presented in future Lunch & Learn Sessions?

- 1) Bed Rails
- 2) Staffing Plan and Daily Staffing Schedule
- 3) Contracts, Terminations, and Appeal Rights
- 4) Other



Thank you.

Assisted Living Licensure Team
health.assistedliving@state.mn.us