

# Emergency Management Standards: Program Review Tool

112301

*Department of Veterans Affairs  
Veterans Health Administration  
Emergency Management Strategic Healthcare Group  
Education & Research*

## Table of Contents

	<u>Page</u>
Instructions	3
Program Management	
Policy	4
Program Coordinator	4
Program Committee	4
Program Assessment	5
Program Elements	
Overall Program Design	6
Laws and Authorities	7
Hazard Identification & Risk Assessment	8
Hazard Management	9
Resource Management	10
Planning	11
Direction, Control & Coordination	13
Communications & Warning	15
Operations & Procedures	17
Logistics & Facilities	20
Training	22
Exercises, Evaluations & Corrective Actions	23
Public Education & Information	24
Finance & Administration	25
Summary	26

## Emergency Management Standards: Program Review Tool

*NOTE: This document provides a model program review tool for facility use as a self-assessment prior to JCAHO surveys. As such, it is focused on the JCAHO EC 1.4, Emergency Management standards, but includes other aspects important to a comprehensive emergency management program.*

### Instructions:

1. Attributes are either recommended or required (JCAHO).
2. Score each attribute. (Two scales are used, as appropriate)  
  
Yes (1)      No (2)  
  
or  
  
Always (1)      Usually (2)      Needs Work (3)
3. Assign a rating, as appropriate:  
  
*RW – Real world experience (actual incident)*  
  
*EE – Exercise experience*  
  
*UT – Un-tested*  
  
*n/a – Not applicable*
4. Include any notes that explain the score.
5. Total the score for each Program Element and copy it on page 26.
6. Tabulate the final score using the form on page 26.

A. Program Management.

1. Policy.

Recommended:

The entity has a written emergency management policy that defines: the enabling authority; the vision, mission statement, goals and objectives; management policies and procedures; and, applicable legislation, regulations, and industry codes of practice.

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

---

2. Emergency Management Program Coordinator

Recommended:

The emergency management program coordinator is authorized to administer and keep current the emergency management program in consultation with the Emergency Management Program Committee.

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

---

3. Emergency Management Program Committee

Recommended:

- The Emergency Management Program Committee is established by the entity in accordance with its policy.
- The committee includes the emergency management program coordinator and others having the appropriate expertise and knowledge of the entity and the authority to commit resources from all key functional areas within the entity and solicits applicable external representatives from public and private entities.
- The committee advises the emergency management program coordinator on the emergency management program activities.

SCORING: YES (1) No (2)  
VALUE: N/A  
NOTES:

---

4. Program Assessment.

Recommended:

A comprehensive assessment of the emergency management program elements listed in the following section is conducted periodically to determine the overall effectiveness of the emergency management program.

Program Review

JCAHO EC 1.4

- (q.) *The plan establishes on-going monitoring of performance regarding actual or potential risk related to one or more of the following:*
- a. *Staff knowledge and skills;*
  - b. *Level of staff participation;*
  - c. *Monitoring and inspection activities;*
  - d. *Emergency and incident reporting; or*
  - e. *Inspection, preventive maintenance, & testing equipment.*

SCORING: YES (1) No (2)  
VALUE: N/A  
NOTES:

---

Summary:

Program Management

Policy \_\_\_\_\_  
Program Coordinator \_\_\_\_\_  
Program Committee \_\_\_\_\_  
Program Assessment \_\_\_\_\_

Sub-Total \_\_\_\_\_ / 4 = Element Score \_\_\_\_\_

B. Program Elements

1. Overall Program Design.

Recommended:

The emergency management program includes the following elements, the scope of which shall be determined by the hazards affecting the entity. These elements are applicable to the phases of mitigation, preparedness, response and recovery:

- Laws and Authorities
- Hazard Identification & Risk Assessment
- Hazard Management (Mitigation)
- Resource Management
- Planning
- Direction, Control & Coordination
- Communications & Warning
- Operations & Procedures
- Logistics & Facilities
- Training
- Exercises, Evaluations & Coorrective Actions
- Public Education & Information
- Finance & Administration

---

JCAHO EC 1.4

*Intent Statement:*

*The emergency management plan describes how the organization will establish and maintain a program to ensure effective response to disasters or emergencies affecting the environment of care. The plan should address four phases of emergency management activities: mitigation, preparedness, response, and recovery.*

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

---

Overall Program Design

\_\_\_ Element Score

B. Program Elements (con't)

2. Laws and Authorities.

Recommended:

The emergency management program complies with applicable legislation, regulations and industry codes of practice.

SCORING: YES (1) NO (2)

VALUE: N/A

NOTES:

---

Laws and Authorities

\_\_\_ Element Score

B. Program Elements (con't)

3. Hazard Identification and Risk Assessment

Recommended:

- The entity identifies hazards, the likelihood of their occurrence, and the vulnerability of people, property and the environment to those hazards. Hazards to be considered as a minimum include but are not limited to the following: Natural events; Technological events, and Human events.
- The entity conducts \_\_\_\_\_ s a consequence analysis to determine the potential for detrimental impacts of the hazards.

JCAHO EC 1.4

*The plan includes processes for:*

(a.) \_\_\_\_\_ ... a hazard vulnerability analysis performed by the organization.

SCORING: YES (1) NO (2)

VALUE: N/A

NOTES:

---

Hazard Identification & Risk Assessment \_\_\_\_ Element Score

- B. Program Elements (con't)
- 4. Hazard Management (Mitigation).

Recommended:

The entity implements its plan for eliminating hazards or mitigates the effects of hazards that cannot be eliminated.

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

---

Implementation of mitigation plan      \_\_\_\_ Element Score

B. Program Elements (con't)

5. Resource Management.

Recommended:

An assessment is conducted to identify the resource capability shortfalls and the steps necessary to overcome any shortfalls.

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

A current inventory of internal and external resources is maintained.

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

The capability assessment addresses voluntary donations.

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

The need for mutual aid is determined and agreements are established. (Mutual aid agreements are referenced in the response plan.)

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

---

Summary: Resource Management

Capability shortfall \_\_\_\_\_  
Current resource inventory \_\_\_\_\_  
Voluntary donations addressed \_\_\_\_\_  
Mutual aid considered \_\_\_\_\_

Sub-total \_\_\_\_\_ / 4 = \_\_\_\_\_ Element Score

B. Program Elements (con't)

6. Planning.

Recommended:

An emergency management program includes, but is not limited to a strategic/program management plan, an emergency operations/response plan, a mitigation plan, and a recovery plan that are contained in either single or multiple documents.

6.a. Strategic/Program management plan

The strategic plan defines the vision, mission, goals and objectives of the emergency management program as it relates to the policy of the entity.

SCORING: YES (1) NO (2)  
VALUE: N/A  
NOTES:

6.b. Response plan

Recommended:

The emergency operations/response plan assigns responsibilities to organizations and individuals for carrying out specific actions at projected times and places in an emergency or disaster.

---

Defining Organization's Role in Community-wide Events

JCAHO EC 1.4

*The plan includes processes for:*

(c.) *Defining, and when appropriate, integrating the organization's role with communitywide emergency response agencies (including the identification of who is in charge of what activities and when they are in charge) to promote interoperability between the health care organization and the community;*

SCORING: 1 2 3 N/A  
VALUE: RW EE UT  
NOTES:

6.c. Mitigation plan

Recommended:

The mitigation plan establishes interim and long-term actions to eliminate hazards or to reduce the impact of those hazards if they cannot be eliminated.

SCORING: YES (1) No (2)  
VALUE: N/A  
NOTES:

6.d. Recovery/Continuity of Operations (COOP) plan

Recommended:

A recovery plan identifies the short-term and long-term strategic priorities, processes, vital resources and acceptable timeframes and procedures for restoration.

---

Summary: Planning

Strategic (Program Management) Plan \_\_\_\_\_

Emergency operations/Response Plan \_\_\_\_\_

Mitigation Plan \_\_\_\_\_

Recovery Plan \_\_\_\_\_

Sub-total \_\_\_\_\_ / 4 = \_\_\_\_\_ Element Score

B. Program Elements (con't)

7. Direction, Control, and Coordination

Recommended:

- The entity develops the capability to direct, control, and coordinate response and recovery operations.
- An incident management system is utilized.
- The specific organizational roles, titles and responsibilities are identified for each incident management function as specified in the emergency operations plan.
- A mechanism is identified to determine the level of implementation of the incident management system according to the magnitude of the incident and the capabilities of the entity.
- The incident management system is communicated to and coordinated with internal and external agencies identified earlier.

---

Initiating the Plan

JCAHO EC 1.4

*The plan includes processes for:*

(b.) *Initiating the plan (including a description of how, when, and by whom the plan is activated);*

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

---

Identifying Personnel

JCAHO EC 1.4

*The plan includes processes for:*

(f.) *Identifying personnel during emergencies;*

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

## Assigning Staff During Emergencies

JCAHO EC 1.4

*The plan includes processes for:*

(g.) *Assigning available personnel in emergencies to cover all necessary staff positions;*

SCORING: 1 2 3 N/A  
VALUE: RW EE UT  
NOTES:

---

## Managing Patient Activities

JCAHO EC 1.4

(h.) *The plan includes processes for, managing the following during emergencies and disasters:*

- *Managing patients' activities including scheduling, modifying, or discontinuing services, control of patient information, and patient transportation.*

SCORING: 1 2 3 N/A  
VALUE: RW EE UT  
NOTES:

---

## Incident Command System

JCAHO EC 1.4

*The plan includes processes for:*

(o.) *Alternate roles and responsibilities of personnel during emergencies, including who they report to within a command structure that is consistent with that used by the local community.*

SCORING: 1 2 3 N/A  
VALUE: RW EE UT  
NOTES:

---

Summary: Direction, Control & Coordination

Initiating the plan \_\_\_\_\_

Identifying Personnel \_\_\_\_\_

Assigning Staff During Emergencies \_\_\_\_\_

Managing Patient Activities \_\_\_\_\_

Incident Command System \_\_\_\_\_

Sub-total \_\_\_\_\_ / 5 = \_\_\_\_\_ Element Score

B. Program Elements (con't)

8. Communications and Warning.

Recommended:

- Communications systems and procedures are established to support the emergency management program.
- The entity develops and maintains a reliable capability to alert officials and emergency response personnel. (The system developed is capable of issuing a warning of an actual or impending emergency to those potentially affected.)

---

Notification of External Authorities

JCAHO EC 1.4

*The plan includes processes for:*

(d.) *Notifying external authorities of emergencies;*

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

---

Notification of Personnel

JCAHO EC 1.4

*The plan includes processes for:*

(e.) *Notifying personnel when emergency response measures are initiated;*

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

## Backup Communications Systems

JCAHO EC 1.4

*The plan includes processes for:*

(m.) *Backup internal and external communication systems in the event of failure during disasters and emergencies;*

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

---

Summary: Communications & Warning

Notification of External Authorities \_\_\_\_\_

Notification of Personnel \_\_\_\_\_

Backup Communications Systems \_\_\_\_\_

Sub-total \_\_\_\_\_ / 3 = \_\_\_\_\_ Element Score

B. Program Elements (con't)

9. Operations and Procedures.

Recommended:

- The entity develops, coordinates and implements operational procedures to support the emergency management program.
- Standard operating procedures are established and implemented for response to the hazards identified.
- Particular attention is paid to considerations of life safety.
- A recovery situational analysis is conducted that includes a damage assessment and the identification of resources needed to support recovery operations.
- Procedures are established for maintaining the continuity of response activities that must continue into recovery and mitigation.
- Procedures are established for continuity of management/government.

---

Security

JCAHO EC 1.4

(h.) *The plan includes processes for, managing the following during emergencies and disasters:*

- *Managing security (for example, access, crowd control, traffic control).*

SCORING:      1      2      3      N/A  
VALUE:        RW    EE    UT  
NOTES:

## Evacuation

### JCAHO EC 1.4

(i.) *The plan includes processes for, managing the following during emergencies and disasters:*

- *Evacuating the entire facility (both horizontally and, when applicable, vertically) when the environment cannot support adequate patient care and treatment;*

SCORING:      1      2      3      N/A  
VALUE:        RW    EE    UT  
NOTES:

---

## Alternate Care Site

### JCAHO EC 1.4

(j.) *The plan includes processes for, managing the following during emergencies and disasters:*

- *Establishing an alternative care site(s) that has the capabilities to meet the clinical needs of patients when the environment cannot support adequate patient care including processes that address (when appropriate)*

SCORING:      1      2      3      N/A  
VALUE:        RW    EE    UT  
NOTES:

- Management of patient necessities (for example, medications and medical records) to and from the alternative care site,

SCORING:      1      2      3      N/A  
VALUE:        RW    EE    UT  
NOTES:

- Patient tracking to and from the alternative care site

SCORING:      1      2      3      N/A  
VALUE:        RW    EE    UT  
NOTES:



## B. Program Elements (con't)

### 10. Logistics and Facilities

Recommended:

- The entity establishes procedures to locate, acquire, distribute and account for services, resources, materials and facilities procured or donated to support the emergency management program.
- A facility capable of supporting response and recovery operations is established, equipped and maintained.

---

#### Staff Activities

JCAHO EC 1.4

*The plan includes processes for, managing the following during emergencies and disasters:*

*(h.) Staff activities (for example, housing, transportation, and incident stress debriefing)*

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

---

#### Staff-family Support

JCAHO EC 1.4

*The plan includes processes for, managing the following during emergencies and disasters:*

*(h.) Staff-family support activities.*

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

## Logistics of Critical Supplies

### JCAHO EC 1.4

*The plan includes processes for, managing the following during emergencies and disasters:*

- (h.) *Logistics of critical supplies (for example, pharmaceuticals, medical supplies, food supplies, linen supplies, water supplies);*

SCORING:      1      2      3      N/A  
VALUE:        RW     EE     UT  
NOTES:

---

## Alternate Means of Providing Building Utilities

### JCAHO EC 1.4

*The plan identifies:*

- (l.) *An alternative means of meeting essential building utility needs (for example, electricity, water, ventilation, fuel sources, and medical gas/vacuum systems) when the organization is designated by its emergency plan to provide continuous service during a disaster or emergency;*

SCORING:      1      2      3      N/A  
VALUE:        RW     EE     UT  
NOTES:

---

## Decontamination Facilities

### JCAHO EC 1.4

*The plan identifies:*

- (n.) *Facilities for radioactive or chemical isolation and decontamination;*

SCORING:      1      2      3      N/A  
VALUE:        RW     EE     UT  
NOTES:

---

Summary: Logistics and Facilities

Staff Activities	_____
Staff-Family Support	_____
Logistics of Critical Supplies	_____
Alternate Means of Building Utilities	_____
Decontamination Facilities	_____
Sub-total	____ / 5 = ____ Element Score

B. Program Elements (con't)

11. Training

Recommended:

- The entity performs an assessment of training needs and shall develop and implement a training/educational program to support the emergency management program. The training and educational program complies with all applicable regulatory requirements.
- The objective of the training is to create awareness and enhance the skills required to develop, implement, maintain and execute the emergency management program.
- Frequency and scope of training is identified in the emergency management program.
- Personnel are trained in the entity's incident management system.
- Records are maintained documenting training conducted.

JCAHO EC 1.4

(p.) *The plan establishes an orientation and education program for personnel who participate in implementing the emergency management plan. Education addresses:*

1. *Specific roles and responsibilities during emergencies,*
2. *The information and skills required to perform duties during emergencies,*
3. *The backup communication system used during disasters and emergencies, and*
4. *how supplies and equipment are obtained during disasters or emergencies;*

---

Training

\_\_\_ Element Score

B. Program Elements (con't)

12. Exercises, Evaluations and Corrective Actions

Recommended:

- The entity evaluates the emergency management plans, procedures, and capabilities through a program of periodic reviews, post-incident reports, performance evaluations and exercises.
- Exercises are designed to test individual essential elements, inter-related elements or the entire program.
- Procedures are established to ensure that corrective action is taken on any deficiency identified in the evaluation process and to revise the emergency management plan.

Evaluations

JCAHO EC 1.4

*The plan establishes:*

(r.) *How an annual evaluation of the emergency management plan's objectives, scope, performance, and effectiveness will occur.*

SCORING: YES (1) NO (2)  
 VALUE: N/A  
 NOTES:

Drills

JCAHO EC 2.9

*Drills are regularly conducted to test emergency preparedness.*

SCORING: 1 2 3 N/A  
 VALUE: RW EE UT  
 NOTES:

Summary: Exercises, Evaluations and Corrective Actions

Evaluations \_\_\_\_\_

Drills \_\_\_\_\_

Sub-total \_\_\_\_\_ / 2 = \_\_\_\_\_ Element Score

B. Program Elements (con't)

13. Public Education and Information

Recommended:

- The entity develops procedures to disseminate and respond to requests for pre-disaster, disaster, and post-disaster information, including procedures to provide information to the media and deal with their inquiries.
- Where the public is potentially impacted by a hazard, a public education program is implemented.

JCAHO EC 1.4

(h.) *The plan includes processes for, managing the following during emergencies and disasters:*

- *Managing the Interaction with the news media;*

News Media

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

---

Public Education & Information

\_\_\_ Element Score

B. Program Elements (con't)

14. Finance and Administration.

Recommended:

The entity develops financial and administrative procedures to support the emergency management program before, during, and after an emergency or disaster.

Finance and Administration.

SCORING:	1	2	3	N/A
VALUE:	RW	EE	UT	
NOTES:				

---

Finance and Administraion

\_\_\_ Element Score

## Summary

### A. Program Management

Policy	Score	_____
Coordinator	Score	_____
Committee	Score	_____
Assessment	Score	_____

### B. Program Elements

Overall Program Design	Score	_____
Laws & Authorities	Score	_____
Hazard Identification & Risk Assessment	Score	_____
Hazard Management	Score	_____
Resource Management	Score	_____
Planning	Score	_____
Direction, Control & Coordination	Score	_____
Communications & Warning	Score	_____
Operations & Procedures	Score	_____
Logistics & Facilities	Score	_____
Training	Score	_____
Exercises, Evaluations & Corrective Actions	Score	_____
Public Education & Information	Score	_____
Finance & Administration	Score	_____

Total Points \_\_\_\_\_ / 18 = Average Score \_\_\_\_\_