





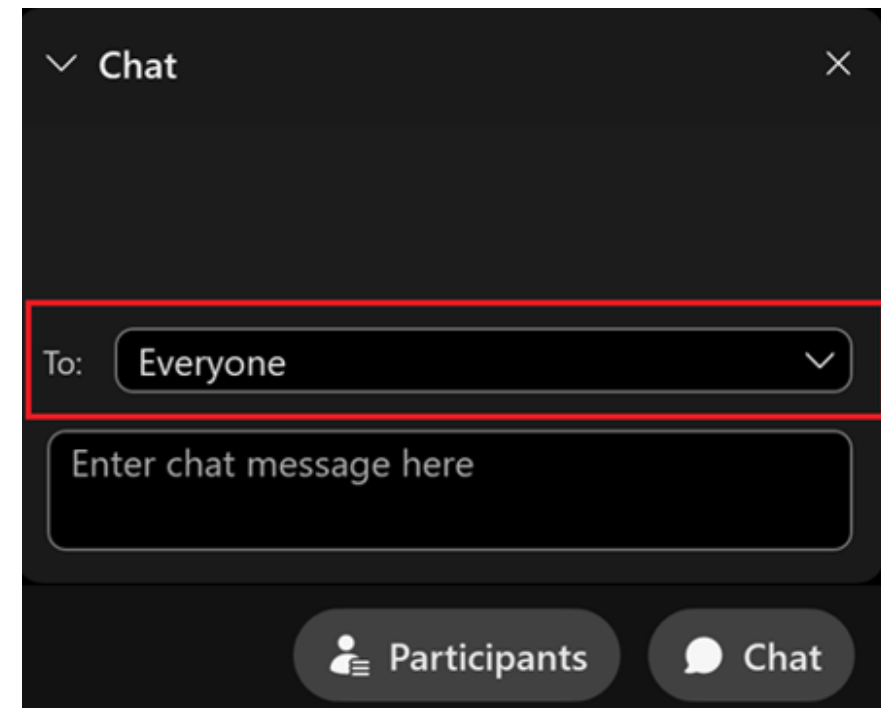
Emergency Preparedness & Appendix Z

Lunch & Learn
March 22, 2022

- Welcome and Housekeeping – Lindsey Krueger
- Polices & Procedures – Jonathan Hill
- Q & A – Jonathan Hill/Amy Hyers/Lindsey Krueger
- Closing and Reminder for Next Week’s Event— 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.**





Policies & Procedures

Amy Hyers | Evaluation Regional Operations Manager

Jonathan Hill | Health Facility Evaluation Supervisor

What is a policy and procedure?

Policies are...

- The rules to abide by
- A communication tool
- The expectations; they show the “why”

Procedures explain...

- Who does what
- The instructions to make it happen; they show the “how”



What is *NOT* a Policy and Procedure?

Facility policies:

- Should do more than only repeat, or recapitulate the wording of a statute or law
- Should always include a procedure or identify “how” they will comply
- Should be tailoring purchased policies and procedures to the individual assisted living setting
- Should not be “blanket, one-size-fits-all” policies



144G.42 BUSINESS OPERATION. Subd. 10

Disaster Planning and Emergency Preparedness Plan

The facility must:

- Write an emergency disaster plan
- Post the emergency disaster plan
- Provide building emergency exit diagrams to all residents
- Post emergency exit diagrams on each floor

- Have a written policy and procedure regarding missing tenant residents
- Provide staff training with orientation and annually thereafter
- Make training available to all residents annually.
- Meet **additional requirements adopted in Rule**

Emergency Disaster and Preparedness Plan Appendix Z

- Assisted living facilities shall comply with the federal emergency preparedness regulations for long-term care facilities under Code of Federal Regulations, title 42, section 483.73
- This part references documents, specifications, methods, and standards in "**State Operations Manual Appendix Z - Emergency Preparedness for All Provider and Certified Supplier Types: Interpretive Guidance**," which is incorporated by reference. This material is subject to frequent change and is available from the United States Centers for Medicare & Medicaid Services

Developing Policies & Procedures

Development of emergency plan policies and procedures:

- Based on the emergency plan
- Based on the identified hazards within the risk assessment (both facility and community-based)
- Based on a communication plan
- Should be reviewed once per year
- Include coordination plans with other entities



Expect Evaluators to verify:

- ❑ Written policies and procedures for the facility's emergency plan.
- ❑ Policies and procedures are based on the facility and community-based risk assessment, and communication plan, utilizing an all-hazards approach.
- ❑ Policies and procedures are reviewed and updated on an annual basis.



Subsistence needs for staff and residents

- ✓ There is no set standard for the number of provisions
- ✓ Provisions include, but are not limited to:

- Food
- Water
- Pharmaceuticals
- Medical supplies



- ✓ Provisions should be stored in an area which is less likely to be affected by disaster

Alternate sources of energy to maintain the following:

- Temperatures to protect resident health and safety and for the safe and sanitary storage of provisions
- Emergency lighting
- Fire detection, extinguishing, and alarm systems
- Sewage and waste disposal
- Continuity of treatments



Evaluators will verify that the emergency plan policies and procedures address:

- ❖ The provision of subsistence needs
- ❖ Adequate alternate energy sources
- ❖ Sewage and waste disposal



Procedures for tracking staff and residents

- Must have a system to track the location of on-duty staff and sheltered residents during an emergency event
- May use electronic or hard copy documentation
- Must be readily available, accurate and shareable among officials
- Must document the specific name and location of the receiving facility or other location if staff or residents are relocated during the emergency.



Evaluators will:

- ❖ Ask staff to describe and/or demonstrate the tracking system used to document locations of residents and staff.
- ❖ Verify that the tracking system is documented as part of the facilities' emergency plan policies and procedures.



Policies & Procedures for safe evacuation from the facility:

- Consider resident needs
- Include staff in the evacuation procedure and their responsibilities
- Consider resident population needs - May choose to triage based on:
 - Resident acuity
 - Mobility status
 - Resident location
 - Available transportation

- Develop a system for “reporting” off to the accepting facility
- Address the primary and secondary means of communication used to seek evacuation assistance



Also, During the Survey

Evaluators will review the emergency plan to verify it includes policies and procedures for safe evacuation from the facility and that it includes all the required elements.



Policies & Procedures for sheltering in place must address:

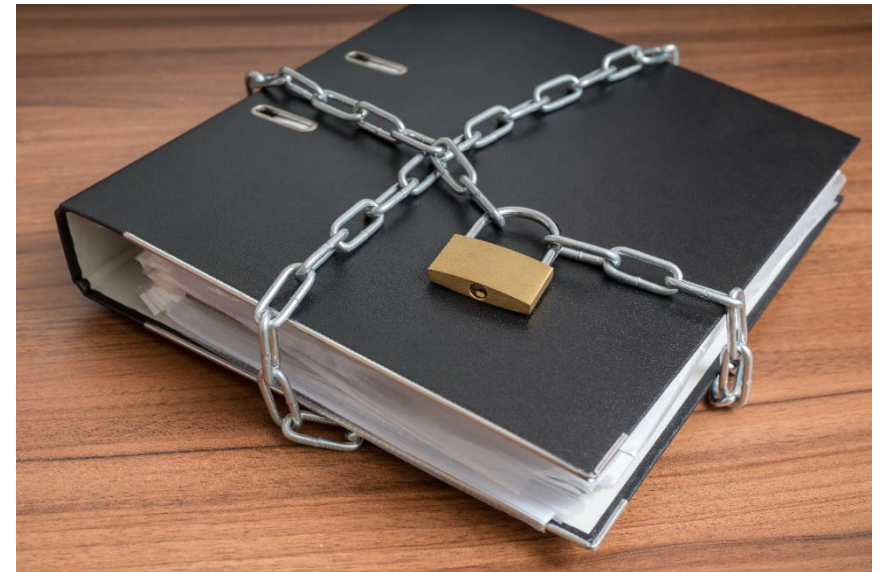
- A means to shelter in place for residents, staff, and visitors who remain in the facility.
- Ensure the policies & procedures align with the facility risk assessment.
- The criteria for determining which residents may shelter in place versus evacuate.
- Consider any proactive steps required.
- Evaluate the community for evacuation availability.



Policies & Procedures for medical documents:

Include a system of medical documentation that:

- preserves resident information
- protects confidentiality
- secures/maintains availability of records



The Licensee Should Expect to Show:

- How it will provide a means to shelter in place for patients, staff and visitors
- How medical record documentation will be handled in an emergency



Policies and procedures must address the use of volunteers:

- Include in the process any necessary training/credentialing required
- Ensure volunteers work within their scope of practice and training
- Clearly outline what type of volunteers would be accepted

Policies and procedures must also address:

- A method for contacting off-duty staff during an emergency
- Other contingencies in the event staff are not able to report to duty

Arrangement with Other Facilities

Policies & Procedures about arrangements with other facilities must address:

- The development of arrangements with other facilities or providers to receive residents in the event of limitations or cessation of operations to maintain the continuity of services to residents
 - ❖ Consider transportation needs
 - ❖ Pre-arranged (transfer) agreements



Evaluators will verify there is a policy and procedure for:

- The use of volunteers or other staffing strategies in an emergency.
- How the facility plans to transport in an evacuation.
- The arrangements/agreements with other facilities during an emergency.



Policies & procedures must address the role of the facility under a waiver declared by Secretary or the President

- ❑ Facilities must develop and implement policies and procedures that describe its role in providing care at alternate care sites during emergencies.

Considerations may include:

- Resident population
- Supplies/equipment
- Staffing
- Physical environment

- ❑ Policies and procedures should address potential transfers of residents; timelines of residents at alternate facilities



Appendix Z Checklist Form

m DEPARTMENT OF HEALTH

HOME TOPICS ▾ ABOUT US

Assisted Living Licensure

Assisted Living Licensure
Home
Application Materials
Forms and Self-Audit Tools
Info for Consumers, Families, and Caregivers
Laws and Statutes
Provider Survey Results

Assisted Living Licensure

Assisted Living Licensure (ALL) within the Health Regulation Division of the Minnesota Department of Health oversees and regulates licensed assisted living providers in Minnesota. These activities include:

- Licensure
- On-site surveys and enforcement
- Communication with providers and the public on the issues of assisted living laws and regulation.

Forms

Use the forms to:

- Understand the requirements of assisted living statutes
- Conduct self-audits
- Be ready for an MDH survey

Assisted living statutes are included throughout the forms to help providers understand state requirements.

- [Clinical Laboratory Improvement Amendment Information \(P5050\)\(PDF\)](#)
- [Correction Order Documentation Guidelines \(P5040\)\(PDF\)](#)
- [Current Resident Roster \(P5060\)\(PDF\)](#)
- [Discharged or Deceased Resident Roster \(P5061\)\(PDF\)](#)
- [Emergency Preparedness: Appendix Z \(P5069\)\(PDF\)](#)
- [Employee List \(P5066\)\(PDF\)](#)
- [Employee Record Review \(P5021\)\(PDF\)](#)

Survey Form



Emergency Preparedness: Appendix Z

ASSISTED LIVING FACILITY LICENSE AND ASSISTED LIVING FACILITY LICENSE WITH DEMENTIA CARE

Related Rule and Statute

[144G.42, Subdivision 10 Disaster planning and emergency preparedness plan.](#)

[4659.0100 Emergency Disaster and Preparedness Plan - Appendix Z](#)

Provider and Survey Information

Provider Name:

HFID:

Date of survey:

Time of Survey:

Surveyor Name:

Verify the following items

Item #	Title	Compliant/Comments
1.	Establishment of the Emergency Program (EP)	Compliant: Yes <input type="checkbox"/> No <input type="checkbox"/> Comments:
2.	Develop and Maintain EP Program	Compliant: Yes <input type="checkbox"/> No <input type="checkbox"/> Comments:
3.	Maintain and Annual EP Updates	Compliant: Yes <input type="checkbox"/> No <input type="checkbox"/> Comments:

Reference Links

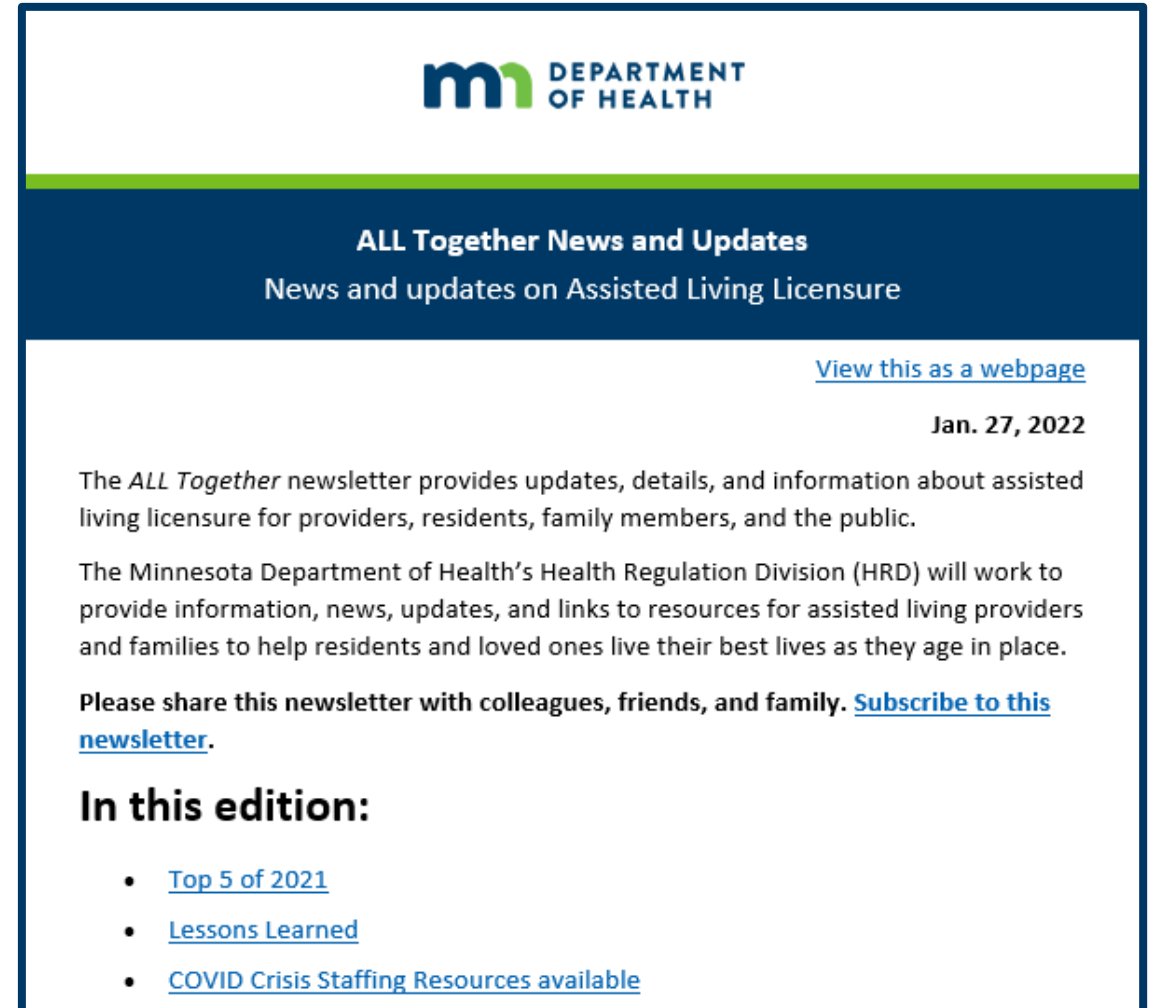
- [Minn. Stat. 144G.42 Business Operation
\(www.revisor.mn.gov/statutes/cite/144G.42\)](http://www.revisor.mn.gov/statutes/cite/144G.42)
- [Minn. Rule 4659.0100 Emergency Disaster and Preparedness Plan; Incorporation By Reference \(www.revisor.mn.gov/rules/4659.0100/\)](http://www.revisor.mn.gov/rules/4659.0100/)
- [Assisted Living Licensure
\(www.health.state.mn.us/facilities/regulation/assistedliving/index.html\)](http://www.health.state.mn.us/facilities/regulation/assistedliving/index.html)
- [Emergency Preparedness: Appendix Z Checklist \(PDF\)
www.health.state.mn.us/facilities/regulation/assistedliving/docs/surveyforms/p5069.pdf\)](http://www.health.state.mn.us/facilities/regulation/assistedliving/docs/surveyforms/p5069.pdf)




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)



The screenshot shows the top portion of an email newsletter. At the top is the Minnesota Department of Health logo. Below it is a dark blue header bar with the text "ALL Together News and Updates" and "News and updates on Assisted Living Licensure". To the right of the header is a link "View this as a webpage" and the date "Jan. 27, 2022". The main body of the newsletter begins with a paragraph explaining the newsletter's purpose, followed by a paragraph about the HRD's mission. It concludes with a request to share the newsletter and a list of featured articles under the heading "In this edition:".

 DEPARTMENT OF HEALTH

ALL Together News and Updates
News and updates on Assisted Living Licensure

[View this as a webpage](#)

Jan. 27, 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:

- [Top 5 of 2021](#)
- [Lessons Learned](#)
- [COVID Crisis Staffing Resources available](#)

Upcoming Presentations

March 29, 2022
11:30 a.m. to 12:30 p.m.

Communications



Thank you.

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