### Establishment of the Emergency Program (EP)

The ICF/IID must comply with all applicable Federal, State and local emergency preparedness requirements. The ICF/IID must establish and maintain a comprehensive emergency preparedness program that meets the requirements of this section. The emergency preparedness program must include, but not be limited to, the following elements:

1. **DATE OF SURVEY**
2. **NAME OF FACILITY**
3. **PROVIDER NUMBER**
4. **SURVEYOR**
5. **SURVEYOR ID**

### New Policies and Procedures

- **Emergency Plan**: The ICF/IID must develop and maintain an emergency preparedness plan that must be reviewed, and updated at least annually.

### Maintain and Annual EP Updates

1. The plan must be based on and include a documented, facility-based and community-based risk assessment, utilizing an all-hazards approach, including missing clients.
2. Include strategies for addressing emergency events identified by the risk assessment.

### ICF Program Patient Population

3. Address patient/client population, including, but not limited to, persons at-risk, the type of services the ICF/IID has the ability to provide in an emergency, and continuity of operations, including delegations of authority and succession plans.

### Process for EP Collaboration

4. Include a process for cooperation and collaboration with local, tribal, regional, State, and Federal emergency preparedness officials' efforts to maintain an integrated response during a disaster or emergency situation, including documentation of the facility's efforts to contact such officials and, when applicable, of its participation in collaborative and cooperative planning efforts.

### Development of EP Policies and Procedures

(b) Policies and procedures. The ICF/IID must develop and implement emergency preparedness policies and procedures, based on the emergency plan set forth in paragraph (a) of this section, risk assessment at paragraph (a)(1) of this section, and the communication plan at paragraph (c) of this section. The policies and procedures must be reviewed and updated at least annually.

### Subsistence needs for staff and patients

(b) At a minimum, the policies and procedures must address the following:

1. The provision of subsistence needs for staff and patients whether they evacuate or shelter in place, include, but are not limited to the following:
   - Food, water, medical and pharmaceutical supplies
   - Alternate sources of energy to maintain the following:
     - Temperatures to protect patient health and safety and for the safe and sanitary storage of provisions.
     - Emergency lighting.
     - Fire detection, extinguishing, and alarm systems.
   - Waste disposal.

### Procedures for Tracking of Staff and Patients

(2) A system to track the location of on-duty staff and sheltered residents in the ICF/IID care during and after an emergency. If on-duty staff and sheltered residents are relocated during the emergency, the ICF/IID or PACE must document the specific name and location of the receiving facility or other location.

### Policies and Procedures including Evacuation

(4) Safe evacuation from the ICF/IID, which includes consideration of care and treatment needs of evacuees; staff responsibilities; transportation; identification of evacuation location(s); and primary and alternate means of communication with external sources of assistance.

### Policies and Procedures for Sheltering

(4) A means to shelter in place for patients, staff, and volunteers who remain in the ICF/IID.

### Policies and Procedures for Medical Docs.

(5) A system of medical documentation that preserves patient information, protects confidentiality of patient information, and secures and maintains availability of records.

### Policies and Procedures for Volunteers

(6) The use of volunteers in an emergency or other emergency staffing strategies, including the process and role for integration of State and Federally designated health care professionals to address surge needs during an emergency.

### Arrangement with other Facilities

(7) The development of arrangements with other ICF/IIDs or other providers to receive patients in the event of limitations or cessation of operations to maintain the continuity of services to facility patients.

### Roles under a Waiver Declared by Secretary

(8) The role of the ICF/IID under a waiver declared by the Secretary, in accordance with section 1135 of the Act, in the provision of care and treatment at an alternate care site identified by emergency management officials.

### Development of Communication Plan

(c) The ICF/IID must develop and maintain an emergency preparedness communication plan that complies with Federal, State and local laws and must be reviewed and updated at least annually.

### Names and Contact Information

(c) The ICF/IID must develop and maintain an emergency preparedness communication plan that complies with Federal, State and local laws and must be reviewed and updated at least annually. The communication plan must include all of the following:

1. Names and contact information for the following:
   - Staff
   - Entities providing services under arrangement
   - Patients' physicians
   - Other ICF/IIDs
   - Volunteers

### Emergency Officials Contact Information

(c) The communication plan must include all of the following:

2. Contact information for the following:
   - Federal, State, tribal, regional, and local emergency preparedness staff
   - Other sources of assistance
   - The State Licensing and Certification Agency
   - The State Protection and Advocacy Agency

### Primary/Alternate Means for Communication

(c) The communication plan must include all of the following:

3. Primary and alternate means for communicating with the ICF/IID's staff, Federal, State, tribal, regional, and local emergency management agencies.

### Methods for Sharing Information

(4) A method for sharing information and medical documentation for patients under the ICF/IID care, as necessary, with other health providers to maintain the continuity of care.

5. A means, in the event of an evacuation, to release patient information as permitted under 45 CFR 164.510(b)(1)(ii).

6. A means of providing information about the general condition and location of patients under the ICF/IID care as permitted under 45 CFR 164.510(b)(4).

### Sharing Information on Occupancy/Needs

(7) A means of providing information about the ICF/IID occupancy, needs, and its ability to provide assistance, to the authority having jurisdiction, the Incident Command Center, or designee.

### LTC and ICF/IID Family Notifications

(c) The communication plan must include all of the following:

8. A method for sharing information from the emergency plan, that the facility has determined is appropriate, with residents [or clients] and their families or representatives.
<table>
<thead>
<tr>
<th>Section</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Emergency Prep Training and Testing</strong></td>
<td>The ICF/IID must develop and maintain an emergency preparedness training and testing program that is based on the emergency plan set forth in paragraph (a) of this section, risk assessment at paragraph (a)(1) of this section, policies and procedures at paragraph (b) of this section, and the communication plan at paragraph (c) of this section. The training and testing program must be reviewed and updated at least annually. The ICF/IID must meet the requirements for evacuation drills and training.</td>
</tr>
</tbody>
</table>
| **Emergency Prep Training Program** | (1) Training program. The ICF/IID must do all of the following:  
(i) Initial training in emergency preparedness policies and procedures to all new and existing staff, individuals providing services under arrangement, and volunteers, consistent with their expected role.  
(ii) Provide emergency preparedness training at least annually.  
(iii) Maintain documentation of the training.  
(iv) Demonstrate staff knowledge of emergency procedures. |
| **Emergency Prep Testing Requirements** | (2) Testing. The ICF/IID must conduct exercises to test the emergency plan at least annually. The ICF/IID must do all of the following:  
(i) Participate in a full-scale exercise that is community-based or when a community-based exercise is not accessible, an individual, facility-based. If the ICF/IID experiences an actual natural or man-made emergency that requires activation of the emergency plan, the ICF/IID is exempt from engaging in a community-based or individual, facility-based full-scale exercise for 1 year following the onset of the actual event.  
(ii) Conduct an additional exercise that may include, but is not limited to the following:  
(A) A second full-scale exercise that is community-based or individual, facility-based.  
(B) A tabletop exercise that includes a group discussion led by a facilitator, using a narrated, clinically-relevant emergency scenario, and a set of problem statements, directed messages, or prepared questions designed to challenge an emergency plan.  
(iii) Analyze the ICF/IID's response to and maintain documentation of all drills, tabletop exercises, and emergency events, and revise the ICF/IID's emergency plan, as needed. |
| **Integrated Health Systems** | (a) or (b) Integrated healthcare systems. If a ICF/IID is part of a healthcare system consisting of multiple separately certified healthcare facilities that elects to have a unified and integrated emergency preparedness program, the ICF/IID may choose to participate in the healthcare system's coordinated emergency preparedness program.  
(1) Demonstrate that each separately certified facility within the system actively participated in the development of the unified and integrated emergency preparedness program.  
(2) Be developed and maintained in a manner that takes into account each separately certified facility's unique circumstances, patient populations, and services offered.  
(3) Demonstrate that each separately certified facility is capable of actively using the unified and integrated emergency preparedness program and is in compliance with the program.  
(4) Include a unified and integrated emergency plan that meets the requirements of paragraphs (a)(2), (3), and (4) of this section. The unified and integrated emergency plan must also be based on and include the following:  
(i) A documented community-based risk assessment, utilizing an all-hazards approach.  
(ii) A documented individual facility-based risk assessment for each separately certified facility within the health system, utilizing an all-hazards approach.  
(5) Include integrated policies and procedures that meet the requirements set forth in paragraph (b) of this section, a coordinated communication plan, and training and testing programs that meet the requirements of paragraphs (c) and (d) of this section, respectively. |