

# Most commonly cited standard across all programs!

# Compliance Checklist for EM.03.01.03

## A self-assessment tool to help you track your emergency exercise compliance

Joint Commission Standard EM.03.01.03 requires organizations to conduct regular emergency exercises that fully evaluate their Emergency Operations (Management) Plans—verifying appropriateness, adequacy, and effectiveness. Historically, organizations across all programs struggle to meet this standard’s requirements—and for the first half of 2014, it has the highest percentage of noncompliance of any Joint Commission standard.

The following checklist distills the EPs in this standard. It’s designed to help your organization improve how it tracks emergency exercises and how it evaluates performance on those exercises. You can use it to verify compliance and guide how you conduct your emergency exercises.

*Key: The tasks on the left apply universally to all settings, unless otherwise indicated in parentheses after the task description.*

Download this tool at: [https://www.jcrlinc.com/assets/1/7/ECN0415\\_checklist.xls](https://www.jcrlinc.com/assets/1/7/ECN0415_checklist.xls)

TASK	Completed	In Progress	Completion Date
<b>Before the Drill</b>			
<b>Drill Timing</b>			
Conduct an Emergency Operations Plan/Emergency Management Plan exercise <b>twice</b> per year (AHC, CAH, HAP, LAB, NCC) [ <i>Note: Actual emergencies can take the place of emergency exercises.</i> ]			
Conduct an Emergency Operations Plan/Emergency Management Plan exercise <b>once</b> per year (BHC, OBS, OME)			
<b>Drill Characteristics</b>			
Address likely disasters, such as those outlined in the hazard vulnerability analysis			
Stress organization preparedness limits to uncover potential gaps			
Include an influx of simulated patients in at least one exercise (AHC, CAH, HAP, OBS)			
In at least one exercise, include an escalating event in which the local community cannot support the health care organization (CAH, HAP)			
Include communitywide drill participation in at least one exercise (CAH, HAP)			
Do not use tabletop drills, except when simulating the community portion of an escalating drill			
<b>Drill Responsibility</b>			
Assign one person to monitor and document drill performance and improvement opportunities			
Name:			
Title:			
Make sure that the individual is knowledgeable the exercise’s goals and expectations			

TASK	Completed	In Progress	Completion Date
<b>During the Drill</b>			
<b>Communication</b>			
Review and verify <b>internal</b> communication			
Staff communication			
Patient communication			
Content is clear and appropriate			
Review and verify <b>external</b> communication			
Vendors/suppliers			
Contracted providers			
Other health care organizations			
County emergency operations			
Local government			
Police			
Local public health department			
Fire department			
<b>Resources and Assets</b>			
Monitor how the organization allocates and mobilizes <b>medications</b>			
Monitor how the organization allocates and mobilizes <b>supplies, medical and nonmedical, including personal protective equipment</b>			
Monitor how the organization allocates and mobilizes <b>transportation</b>			
<b>Safety and Security</b>			
Verify that security is appropriate and in place, internally and externally			
Conduct rounds, if possible, noting safety hazards			
<b>Staffing</b>			
Confirm that there are unambiguous staff roles and responsibilities, including for licensed independent practitioners			
Confirm that staff, including licensed independent practitioners, understand and can fulfill their roles and responsibilities			

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TASK	Completed	In Progress	Completion Date	TASK	Completed	In Progress	Completion Date
<b>Utilities</b>				Seek input from staff involved in the exercise about what went well and what might be potential improvement areas			
Check that utilities are functioning properly				Document deficiencies and improvement opportunities			
Check that staff understand and can execute emergency shut-down procedures				Share deficiencies with the environment of care improvement team			
<b>Patient Care</b>				Create a plan to address any deficiencies before the next drill			
Make sure clinical activities continue and are not compromised				Ensure that interim measures are in place until the deficiency is resolved			
Make sure support activities continue and are not compromised				Respond to problematic issues identified in the exercise			
<b>After the Drill</b>				Make any necessary modifications to the Emergency Operations Plan/Emergency Management Plan			
<b>Evaluation</b>							
Evaluate the drill using a multidisciplinary process (including physicians)							

