



MISSION: Systems Unlimited, Inc. exists to serve children, adults, and families with disabilities and other challenges to achieve their maximum potential and quality of life.

PROCEDURE PG.26

SECTION: Personnel – General

SUBJECT: Disaster Contingency Plan

APPROVAL DATE: 11/09

REVISION/REVIEW DATE(S):

I. Executive Summary

Systems Unlimited, Inc. (SUI) is responsible for services to individuals that must be provided even in the circumstance of an impending or existing threat or actual emergency situation. The impact of any emergency cannot be predicted; however, proper planning and allocation of resources can minimize the impact on the individuals we serve, our employees, our customers and our mission.

SUI has three service divisions: Supported Community Living, Employment Systems and Family Systems. Each division director will prepare a division and site specific plan to ensure SUI's ability to continue providing essential services to our clients during times of limited resources, materials, and human resources. These plans are to include: ensuring the health and safety of the individuals we serve and employees, emergency delegation of authority, communication strategies, the safekeeping of vital records, and the capability to reassign employees.

II. Introduction

This Disaster Contingency Plan (DCP) provides guidance and operational plans to ensure the safe execution of essential services and business operations in the event of an emergency or threat of an emergency. This DCP is intended to serve as the centralized repository for information, tasks, and practices that would be necessary for SUI management's decision-making process and its timely response to any extended interruption to the agency's normal business operations and services. This DCP is intended for interruptions of the nature where prompt resumption of normal operations and services cannot be accomplished by employing normal daily operating procedures. The information, tasks, and procedures detailed in this plan represent SUI management's commitment to response, resumption, recovery, restoration, and planning. The SUI DCP is intended to provide a framework for ensuring the safety of employees, individuals served and the resumption of time-sensitive operations and services in the event of an emergency. The agency has policies and procedures developed for normal daily operations, which are adequate to be followed in most emergency situations. This DCP is intended to be activated in emergency situations that are extreme and threaten the agency's ability to maintain normal business operations and services. The normal daily operations policies and procedures related to emergencies or threatened emergencies include: Inclement Weather Procedure PG.04.4; Family Systems Disaster Plan/Cedar Rapids PG.25; Service Center Disaster Plan for Fire and Tornado PG.25; Disaster Evacuation Plan ES.04.1; Disaster Planning ES.04; Tornado Procedures ES.04.2; Emergency Evacuation ES.04.3.

Although the SUI DCP provides guidance and documentation upon which to base emergency response, resumption and recovery planning efforts, it is not intended as a substitute for informed decision-making. Supervisory staff are responsible for ensuring that those they supervise are aware of their DCP responsibilities.

III. Purpose

The purpose of this plan is to enable the sustained execution of essential and mission-critical functions during any crisis situation in a manner that provides for the safety and well being of individuals served, employees, and customers. This plan will assure the capability exists to continue core services and business functions as well as recover from emergency situations in an orderly manner. This plan includes a wide range of potential emergencies or threats, including acts of nature, pandemic, accidents, technological and attack-related emergencies. Specific objectives of this plan include:

- Ensuring continuous performance of essential functions;
- Protecting the safety and well-being of individuals served;
- Protecting the safety and productivity of employees;
- Protecting essential facilities, equipment, records, and other assets;
- Reducing or mitigating disruptions to operations;
- Planning for potentially critical losses of staff through scheduling;
- Providing organizational and operational stability; and
- Facilitating decision-making during an emergency.

IV. Applicability and Scope

This DCP applies to all levels of management and addresses all functions and activities relating to emergency operations and DCP functions to ensure continuity of essential functions. As used in this DCP, preparedness functions and activities include plans and readiness measures, including mitigation strategies that enhance SUI's ability to respond to, function under, and recover from a designated emergency. It is incumbent upon every individual who is in receipt of the SUI DCP, or who has a role and/or responsibility for any information or materials contained in the document, to ensure that adequate and sufficient attention and resources are committed to the maintenance and implementation of the document and its contents. This DCP is not all inclusive, rather is intended to provide framework for management, middle-management, and supervisory staff to develop site and individual-specific plans. Once constructed, the specific plans should be presented to the director of the program for review and approval. Management team will decide and communicate essential elements of site and individual-specific plans.

This DCP was developed to address the impact of an influenza pandemic and is based on the following assumptions:

- Emergencies or threatened emergencies may adversely affect SUI's ability to continue to support essential operations.
- Administrative personnel and other resources will be made available if required for essential operations.
- Many emergencies and threatened emergencies will affect the general public. SUI will work within the framework and under the direction of federal, state, and community emergency preparedness and response organizations.
- Plans to continue operations will need to be flexible to address the effects of an influenza pandemic on SUI's operations.
- An influenza pandemic may cause serious reductions in the availability of employees and their ability to operate efficiently.

- An influenza pandemic will affect the health of individuals served many of whom are fragile and susceptible.

Environmental events could necessitate evacuation and other precautions. In such cases, a contingency plan must be developed in advance to protect the individuals served, employees and customers and address critical functions throughout the organization.

Assumptions:

- Staff levels may be significantly reduced due to high levels of illness and incapacity to report to work, as scheduled.
- Human resource reductions may be temporary or may be long-term depending on the severity of the influenza strain, injury or loss, and overall ability to function depending upon the nature of the event.

V. Essential Functions

The following represent the highest priority for services that must be maintained in the event of a health pandemic:

1. Assure that individuals receiving SCL services (site, CDAC, hourly services specific to health, safety, and financial supports) have adequate food, shelter, and supervision, and access to staff supports to ensure health, safety, and welfare.
2. Assure that individuals receiving day services through Employment Systems receive adequate staff supervision, routine healthcare supports, food, and shelter. (Day programs will only be suspended in extreme emergencies; all closures must be approved by the Executive Director.)
3. Assure that individuals receiving residential or day services receive the medical care and supports necessary to maintain their health and safety.
4. Provide support and relief for employees with all reasonable protections taken to prevent illness.
5. Assure Employment Systems has adequate supports to complete billing processes.
6. Assure Employment Systems has adequate supports to fulfill business contracts.
7. Assure that individuals receiving services through Family Systems receive adequate supports necessary to maintain stability and safety.
8. Maintain sufficient administrative functions to adequately deploy staff, manage payroll, and continue contract reimbursement activities.
9. Create and maintain a communication system to provide information, direction and support for employees and provide relevant information to guardians, family members and other applicable parties.
10. Assure that employees are fully trained in accessing available supports, and implementing individual-specific plans.

11. To the extent possible, continue other priority functions that may assist with the above essential functions such as:
 - a) Scheduling and maintenance of medical appointments
 - b) General administrative support functions
 - c) Staff recruitment
 - d) Training and orientation of new employees
 - e) MIS services
 - f) Billing and payroll services
 - g) Behavioral supports
 - h) Quality assurance activities
 - i) Records maintenance
 - j) Family supports

VI. Concept of Operations

The Executive Director is responsible for the implementation of SUI's DCP plan. The Executive Director will be responsible for managing resources, analyzing information and making decisions in the event that a pandemic is declared. In addition, all communications will be started with the Executive Director and work down the chain of command.

A. Phase I: Activation

1. Decision Process

Emergencies, or threatened emergencies, may adversely affect the ability of SUI to carry out essential functions and operations. This plan will address the ability of the agency to be prepared to respond to the implications of an influenza pandemic. An influenza pandemic is an event with widespread morbidity and mortality due to a highly contagious and dangerous virus resulting in a pandemic disease event.

Employee reduction levels may reach 40% or more over a period of months. Employee reductions may occur due to employee illness, child or family illness, closure of schools, lack of caregiver support, or similar instances that prevent employees from coming to work. Staff reductions may be sudden and severe, and will occur across organizations.

The Executive Director may direct full or partial activation of SUI's DCP plan. Activation of the plan may initiate the transfer of essential functions or the deployment of pre-identified personnel. Activation of the plan may also involve significant alteration of work plans and assignments of employees to critical work areas, extension of overtime for well workers, and similar alternatives to offset employee reductions.

The plan may be activated to assure critical business functions operate even when adequate numbers employees are not available for work. The plan is not an evacuation plan, but is a deliberate and planned deployment of pre-identified and trained personnel and/or the transfer of essential functions. Should activation of the plan be necessary, the Executive Director will disseminate notification with appropriate instructions. Pre-identified employees will follow the instructions given in accordance with the instructions contained in this DCP plan.

Following a pandemic emergency, the primary effort will be the regeneration of agency programs and offices to restore complete business operations.

2. Alert, Notification, and Implementation Process

SUI will monitor the threat environment through normal reporting, and local and national reporting. Worsening situations that may develop into crisis situations will be closely monitored. It is expected that local authorities will make the declaration of a pandemic situation. A pandemic influenza declaration may last several months. SUI will make all reasonable attempts to assure orderly alert, notification, and deployment of pre-designated employees, and/or temporary transfer of selected essential functions. However, if the onset of an emergency situation is sudden, the process may become less routine, and potentially more difficult. DCP will be activated upon notification from appropriate authorities of an imminent disease threat. Upon activation of the DCP Emergency Staffing Plan and Staffing Response Team will be deployed to implement DCP plans.

a) Staff Resource Contingency Plan

- 1) Identify critical need areas to maintain essential services listed:
 - (a) 24-hour SCL residential supports
 - (b) Employment Systems day programs (if open and allowed by state)
 - (c) CDAC services
 - (d) Medical and financial hourly supports
 - (e) Fiscal and administrative functions
 - (f) Human Resources
 - (g) Family Systems services

Support functions such as human resources, clerical support, community resource, referral processes, behavioral support, quality assurance, accounting, and maintenance may be suspended or reduced to make these employees available to assist with high priority functions unable to be suspended or reduced.

- 2) Service reduction based on need, critical nature of function, and other factors.

In the event that a severe staffing shortage occurs, service reductions may be implemented. The reduction will take into account the minimal service ratios needed to ensure individuals are staffed to meet their health and safety needs. The plan will take into account availability of staff and the specialized training staff have received that would enable the staff to fill critical shifts at certain locations. Assigned administrative staff will be responsible for ensuring appropriate staffing ratios and training and will deploy substitute staffs to work at locations demonstrating a critical need.

For individuals receiving hourly SCL services, designated administrative staff will make contact with individuals and develop a staffing plan that will provide supports to those individuals requiring supports to maintain their health, safety and financial welfare. Other individuals receiving hourly supports may be asked to create their own emergency plan that may include receiving assistance from relatives, friends, or other natural supports. For those individuals who do not have possible options for

this type of assistance, they may choose to pursue assistance from local agencies or resources, or seek assistance from SUI to arrange needed assistance.

- 3) Evaluation of potential health and safety issues that might arise through diversion of employees to new job roles and loss of critical employees in various operational positions. It is expected that many employees will have reduced availability due to other commitments during a pandemic. SUI will attempt to staff all programs as close to the required staffing patterns as possible, however, if this is not possible, management team will determine appropriate patterns that will ensure the health and safety of individuals served. Administrative staff will supplement any staff shortages during this period.
- 4) Liability assessment- Several administrative employees are trained in CPR, First Aid, medication administration, and hold med-manager certificates. Those employees who are appropriately trained and certified may float from location to location to administer medications. Every location has a main file present for each individual who resides there. This file contains needed information to assist employees who are deployed to become familiar with the supports each individual receives from the agency.
- 5) If necessary SUI will contract with a temporary staffing agency to alleviate problems resulting from employee shortages. In the event of an Employment Systems closure, SUI will deploy those employees to SCL residential sites.
- 6) During an emergency situation SUI will maintain its normal attendance and leaves procedures, unless otherwise communicated.
- 7) If necessary, SUI management will issue written notification of any contingency plans for overtime or compensation.

b) Leadership

Orders of Succession

Succession will take place if a person in a key position is unable to work and perform essential functions for more than 3 consecutive days due to illness, family emergency or other factors. Absences of less than 3 days will be managed the same as in non-emergency situations. In the event that succession becomes necessary, notification will be provided to the necessary employees identifying the start date and detailing the scope of the transferred authority. If succession of the Executive Director is needed, the SUI Board President and Executive Committee will be notified.

Supported Living maintains cluster groups that are comprised of a number of sites. In the event that a supervisor becomes unable to perform their job functions, a temporary supervisor will be assigned to perform specific supervisory duties. This temporary supervisor will, if at all possible, be chosen from the same cluster group. If this is not possible due to extreme staffing shortages, a temporary supervisor from another cluster group or a mid-level manager will be assigned.

In the event that a mid-level manager becomes unable to perform their job functions, a temporary mid-level manager will be assigned to perform essential functions of the position, including, supervision, billing, and payroll processing.

In the event that the Supported Living Director is unable to perform their job functions, the Director of Quality Assurance, Director of Behavioral Mental Health, Director of Support Services, or the Executive Director will perform or delegate essential functions of the position, including supervision, communication with stakeholders, and financial duties.

Employment Systems services primarily take place at the main service center. In the event that employees become unable to perform their essential functions and succession becomes necessary, coverage will be able to be delegated within the building. In the event that the Director of Employment Systems becomes unable to perform their job functions, program oversight responsibility will be assigned to a pre-identified Employment Coordinator. Scheduling responsibilities will be assigned to a pre-identified Staff Supervisor.

Fulfillment of billing responsibilities will be maintained by the Data Entry department. Support for this function can be completed by any member of the Employment Systems Management or other assigned staff.

Fulfillment of internal business contracts will be maintained by the Employment Support Specialist. In the absence of key personnel in this department the Supported Employment Coordinator will be assigned coffee-business responsibilities. Shredding contract responsibilities will be assigned to a pre-identified Employment Coordinator.

Fulfillment of external contracts (Supported Employment) will be completed by the Supported Employment Coordinator. In the event of their absence this responsibility will be filled by a pre-identified Staff Supervisor.

Specific specialized cares of individuals is identified and a list of trained staff is maintained. This information will be updated minimally, on a quarterly basis. This information is kept in hardcopy format and is also maintained in the FileMaker staff-matcher program.

The Family Systems division primarily provides its services within various schools districts and will work closely with the districts for service planning and potential interruptions in services. The Family Systems Director, in conjunction with division supervisors will plan for back-up coverage for each child receiving services should the regular service provider become unable to perform their essential functions and services.

In the event that the Director of Family Systems becomes unable to perform their essential functions, the division supervisors will become responsible for specific supervisory and financial duties. If a Family Systems supervisor becomes unable to perform their essential functions, another supervisor of the Director will become responsible for essential supervisory and financial responsibilities.

Each support service department (Accounting, Human Resources, IT, Behavioral/Mental Health and Quality Assurance) will identify back-up processes and coverage for all essential functions and duties. Each department will assure appropriate cross-training of duties to the extent needed to maintain essential functions of each department.

Delegations of Authority

Ultimate authority for decision-making and policy development within SUI rests with the Executive Director. In the event of the Executive Director's absence, management team will be the primary consultative group responsible for delegating responsibilities to the appropriate management team member.

Devolution

In the event of a severe employee reduction, the management team of the organization will determine those functions deemed critical for the overall operation of the agency. The Executive Director or delegate will be deemed responsible to identify those functions that are necessary to ensure the health and safety of individuals served and to maintain those functions necessary for the agency to minimally get by. Assistance from temporary staffing agencies will be sought in the event that help from non-SUI employees is needed.

B. Phase II: Maintaining Essential Services and Functions

1. Mission Critical Systems/Essential Functions

- a) Assure individuals have appropriate supervision to maintain health and safety.
 - (1) Determine minimum staffing ratios at locations
 - (2) Determine availability of staff by completing schedules for three month period
 - (3) Survey administrative staff trained in First Aid, CPR, Medication Administration and Medication Manager
 - (4) Increase cross-training of staffs within cluster groups
 - (5) Develop reassignment plans for staff based on individual care at sites
 - (6) Increase cross-training of Senior Counselors within cluster groups
 - (7) Determine relocation plans for individuals served

- b) Assure that individuals receiving supported living services receive supports necessary to maintain their health
 - (1) Determine critical needs for each individual
 - (2) Contact guardian to determine preferences for care and relocation
 - (3) Provide all sites with hand sanitizer, gloves, and masks
 - (4) Plan for additional supplies (briefs, feeding tubes, etc.)
 - (5) Communicate with primary care physician for recommendation
 - (6) Train all staff on hygiene and prevention of the flu
 - (7) Identify individuals with specialized care and behavioral needs and increase number of trained staff in these areas

- c) Care for non-hospitalized individuals
 - (1) Train all staff on symptoms of the flu
 - (2) Create reporting system for staff to track/report symptoms of individuals served and/or self
 - (3) Contact guardian and preferred health professionals
 - (4) Implement health professional and guardian preferences for care and relocation
 - (5) Implement staff reassignment plan to high-need locations
 - (6) Maintain communication with all involved

- d) Assure essential records are current and accessible
 - (1) Update all individual records to reflect current medical information, including physician and preferred hospital
 - (2) Update all staff contact and emergency numbers
 - (3) Disseminate updated phone lists to supervisors within clusters and in agency on-call books
 - (4) Update all site books and train staff on where information is located
 - (5) Update all medical books and train staff on key information
 - (6) Provide in written form guardian preferences for care and relocation and include this in medical books

- e) Assure that individuals receiving day services through Employment Systems have adequate staff supervision and routine healthcare supports.
 - (1) Complete availability survey of all staff for three months
 - (2) Train adequate numbers of staff in necessary medication administration and healthcare supports.
 - (3) Finalize orders of succession for program.
 - (4) Develop reassignment plans for staff.

- f) Assure that individuals receiving services through Family Systems receive adequate supports necessary to maintain stability and safety.
 - (1) Remain in close communication with school districts regarding closures and recommendations
 - (2) Implement reporting system to track staff illness and presence of illness in schools
 - (3) Finalize orders of succession for program.
 - (4) Plan for temporary reassignment of job functions in the event of school closures
 - (5) Identify individuals receiving supports who have a critical need for continuation of services in the event of school closures

- g) Maintain essential administrative and fiscal operations, including payroll and billing
 - (1) Identify backup for all essential functions
 - (2) Cross-train adequate staff for all essential functions.

- h) Assure that communication systems are in place.
 - (1) Implement a phone in system to report illness.
 - (2) Train staff in process.
 - (3) Maintain regular “information bulletins” for staff.

2. Alternate Locations

The Executive Director, in conjunction with the Director of Supported Living, will be responsible to determine whether individuals served need to be relocated due to staff shortages or for health and safety concerns. Relocations arrangements will be made in the event that existing relocation plans are not adequate.

In the event that any of the administrative offices need to be relocated, the Executive Director, in conjunction with the Director of Support Services, will determine appropriate reassignment of staff.

3. Alternate Communication Systems

SUI maintains telephone listings of all employees, locations, and agency cell phones. This information is available electronically, and each supervisor will be required to maintain hardcopy records of contact information which they keep with them at all times, for those they supervise. Supplemental emails and “informational bulletins” will be provided, as needed.

4. Vital Files, Records, and Databases

Vital File, Record or Database	Form of Record	Hand Carried to Alternate Location	Backed up at Alternate Location
Individual Records	Hard copy	X	
Medical Records	Hard copy	X	
Behavior Plans	Hard copy & electronic		
Payroll Records	Electronic		X
Contracts, billing, attendance	Hard copy & electronic		X
Accounts Payable	Hard copy & electronic		X
Personnel Information	Hard copy & electronic		X
Training Database	Electronic		X

C. Phase III: Reconstitution

The decision to suspend or terminate DCP operations and return to normal operations will be made by the Executive Director of their designated successor. Guidelines used to make this decision include:

- Staff resources have returned to 80% of normal levels.
- Notification is received that imminent threat no longer exists.
- Number of individuals served who are ill.

Once the decision is made, it is unknown how long it will take to fully resume normal operations; up to one month is expected. Operations will be phased back in based on Executive Director, or designee discretion. As staff who have been ill or caring for ill family members return to work, the staff that has been backing them up will be released to return to their normal

assignments. When there is sufficient staff available, if individuals served had to be relocated due to staffing shortages, they be able to move back to their own homes.

Notification of staff that a particular location has reopened or that they should return to work at a new location will be made by phone by a supervisor. SUI will also post information on our website so that staff and families can remain informed of the status of agency operations.

It is unlikely that administrative offices will need to relocate during a pandemic; however, that may be necessary during another type of emergency situation. In that case, the Executive Director, in conjunction with the Director of Support Services, will make the decision to return to the primary location using the following guidelines:

- The space is determined to be safe
- Power and utilities are restored

VII. DCP Planning Responsibilities

The management team of the agency will be responsible for delegating DCP planning responsibilities. The Director of Support Services will review the plan annually and consult with management team members to determine needed updates.

VIII. Test, Training, and Exercises

A. Conduct Training

Every employee of SUI is required to complete some form of training. This includes periodic review of procedures, policies, and practices, as well as training on essential equipment and evacuation plans. A copy of this DCP plan will be sent to families, upon request.

Planning Considerations

The Executive Director, in conjunction with management team, is responsible for developing a training plan. The Executive Director will ultimately determine which member of management implements the training to different groups of staff. All staff will be trained in the DCP upon its initial development and then reviewed, as needed. SUI will implement a plan for all disaster plans to be reviewed annually at staff meetings.

Individuals receiving services will be informed of the DCP by staff working directly with them. Each Senior Counselor will determine the best route for each individual to be informed and is responsible for performing or delegating this training. Resources will be submitted to each senior counselor to assure critical pieces of information are appropriately considered.

1. Training Activities

SUI will engage in training activities using all or some of the suggested activities listed below:

- Education sessions: These will be held during regularly scheduled staff meetings to provide information, answer questions, and identify needs and concerns

- General training for all SUI employees will address: staff roles and responsibilities, notification and communications systems, emergency response procedures, information about threats, hazards and protective actions.

2. Joint Initiatives

Outreach to the community-at-large should include the following:

- Participation with city and county planning initiatives.
- Becoming aware of available resources.
- Developing relationships with other community agencies.
- Working closely with school districts for Family Systems programs.
- Participation in interagency planning committee.
- Participation in exercises with emergency teams, if necessary.

a) Evaluate and Modify the Plan

The management team will review the entire plan annually. The Director of Support Services will be responsible for initiating the review and then making the recommended revisions. Issues to be considered in this review are:

- How will all levels of management be involved in evaluating and updating the plan for each agency division?
- Identification of problem areas and potential resource shortfalls and how do we sufficiently address these areas of concern?
- Does the plan reflect lessons learned from training sessions or actual events?
- Do all staff members have the training needed to understand their roles and responsibilities?
- Have new staff been adequately trained?
- Have any new issues or hazards come up that are not included in plan?
- Have all appropriate external parties been informed of the plan?

In addition to this annual review, the Director of Support Services will be responsible for modifying the plan when the following occurs:

- After an emergency occurs and modification becomes necessary.
- When personnel or their responsibilities change.
- When policies and procedures change.

B. Integration of the Plan into SUI's Operations

Training of emergency plans is routinely performed by SUI supervisors. DCP training will become part of these regular trainings. At Employment Systems, drills and discussions occur on a quarterly basis at regularly held meetings. Evacuation and emergency plans are reviewed annually with staff working at Supported Living sites. Staff working at administrative offices will review evacuation and emergency practices at least annually.

The following questions may assist when evaluating how well the plan has been integrated into operations:

- How well does management support the responsibilities on the plan?
- Are there more opportunities for distributing emergency preparedness information through agency newsletters, employee manuals, or bulletins?
- Do personnel know what they should do in any emergency?
- How can more levels of the agency be involved in evaluating and updating the plan?

Local Emergency Plans or Resources

SUI is the primary caregiver to individuals with disabilities in the following areas: Iowa City/Coralville, Cedar Rapids, Monticello, Washington, Williamsburg and Muscatine. Each of those communities is likely to be developing their own emergency preparedness plans in the event of a pandemic, natural disaster or other emergency. In order for SUI staff and individuals served to have information from these areas readily accessible the following list includes information that will be obtained in the event of a pandemic or emergency.

The Executive Director, in conjunction with management team, will delegate responsibility for obtaining information from local authorities in the above listed communities. The following list is a guideline for the information SUI will need to obtain from these communities:

1. Does the town have a DCP in the event of an influenza pandemic?
2. Names of people responsible for managing local emergency plan.
3. Are their specific plans for assisting people with disabilities?
4. Is it possible to get a copy of the local plan?
5. Will there be a dosing station in town?
6. Will there be specific quarantine locations?