

ASPR TRACIE Technical Assistance Request

Requestor: [REDACTED]
Requestor Phone: [REDACTED]
Requestor Email:
Request Receipt Date (by ASPR TRACIE): 23 June 2017
Response Date: 26 June 2017
Type of TA Request: Standard

Request:

[REDACTED] asked if ASPR TRACIE had any disaster preparedness plan templates that would meet the Centers for Medicare and Medicaid Services (CMS) Emergency Preparedness (EP) Rule requirements. He specifically asked for plans related to dialysis and facilities that serve people with mental illnesses.

Response:

The ASPR TRACIE team reviewed existing Topic Collections for emergency operations plan templates related to specific types of facilities, namely the [Dialysis Center](#), [Mental/Behavioral Health](#), and the [Emergency Operations Plans/ Emergency Management Program Topic Collections](#). We also conducted a search for specific materials on Intermediate Care Facility (ICF) emergency plans.

We begin by providing [REDACTED] with CMS-specific information that can help him and the agencies he works with learn more about the CMS EP Rule and access related guidance, plans, tools, and templates.

Section I includes materials related specifically to dialysis facilities. Section II provides resources specific to agencies that serve people with mental illnesses, and Section III contains additional resources related to various types of facilities.

CMS-specific Information:

CMS recently published the [interpretive guidelines](#) and the State Operations Manual that addresses specific regulatory expectations. This is posted on their website (under the Downloads section): <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/Emergency-Prep-Rule.html>. ASPR TRACIE has developed and collected a number of resources that we encourage you to use and believe will help facilitate compliance, including the resources provided here. However, this does not substitute review of the final rule text and interpretive guidelines. If you have specific questions about your facility's compliance please review the interpretive guidelines when they are developed, contact your state's survey agency, or the CMS Survey and Certification Group (SCG) at the following email address: SCGEmergencyPrep@cms.hhs.gov.

CMS and ASPR TRACIE are partnering to provide technical assistance, and share resources and promising practices to help affected providers and suppliers start or update the documents mandated by the new Emergency Preparedness rule. Additional key resources include:

- The ASPR TRACIE dedicated CMS Rule page: <https://asprtracie.hhs.gov/cmsrule>
- The entire CMS Emergency Preparedness Rule: <https://federalregister.gov/a/2016-21404>
- The CMS Emergency Preparedness Survey and Certification Page: <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/Emergency-Prep-Rule.html>
- CMS has [developed a Quick Glance Table of the rule requirements by provider type](#), to highlight key points of the new Emergency Preparedness rule. **NOTE:** This table is not meant to be an exhaustive list of requirements nor should it serve as a substitute for the regulatory text.
- ASPR TRACIE developed a [CMS Emergency Preparedness \(EP\) Rule Resources at Your Fingertips Document](#). Within this document are links to key resources:
 - CMS' developed [frequently asked questions \(FAQ\) documents](#) that synthesizes answers to commonly asked inquiries about the CMS EP Rule.
 - The FAQs, in combination with the CMS [at-a-glance chart](#) and [Provider and Supplier Type Definitions Fact Sheet](#), can help planners identify and address planning gaps and facilitate compliance with the regulations.
 - Interested in learning more about your local healthcare coalition? [This chart](#) can help you identify the preparedness office of your state public health agency. Remember: the release of the CMS EP Rule provides healthcare coalitions a tremendous opportunity to strengthen relationships and leverage a broader group of personnel and resources to provide for the medical needs of the whole community during a disaster.
 - If you missed any of the Medicare Learning Network National Call on the EP Rule, you can access the PowerPoint [slides, transcript, and audio recording here](#).

I. Dialysis Center Plans

Centers for Medicare and Medicaid Services. (n.d.). [Emergency Preparedness for Dialysis Facilities: A Guide for Chronic Dialysis Facilities](#). (Accessed 6/26/2017.)

This guidance covers general emergency management planning by phase and includes suggestions specific to chronic dialysis facilities.

Centers for Medicare and Medicaid Services. (2011). [Disaster Preparedness: A Guide for Chronic Dialysis Facilities. Second Edition](#).

This emergency operations plan manual includes templates that can be tailored to the needs of dialysis facilities.

Kidney Community Emergency Response Coalition. (2007). [Dialysis Facility Disaster Plan Template](#).

This facility-specific emergency operations planning template can be customized by dialysis facility staff.

II. Resources for Facilities that Serve People with Mental Illnesses

California Health and Human Services Agency. (2012). [State of California Mental/Behavioral Health Disaster Framework](#).

This framework document provides a statewide approach to the mental/behavioral health disaster function and can help government and other agencies and organizations develop, revise, and implement their own mental/behavioral health disaster policies, plans and procedures.

Division for At-Risk Individuals, Behavioral Health, and Community Resilience (ABC). (2014). [Disaster Behavioral Health Capacity Assessment Tool](#). U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration.

This tool can help state and local agencies and healthcare provider organizations measure their disaster behavioral health capacity and its integration into all phases of emergency management efforts. As users complete the assessment, gaps will emerge, highlighting opportunities for further research and local collaboration.

Missouri Department of Mental Health. (2013). [The Behavioral Health Emergency Plan Template for Health Care Organizations](#).

This template was developed to assist hospitals and health care providers in integrating behavioral/mental health functions into their emergency plans. This document can serve as a template/checklist.

National Association of State Mental Health Program Directors and National Technical Assistance Center for State Mental Health Planning. (2003). [Mental Health All-Hazards Disaster Planning Guidance](#). Substance Abuse and Mental Health Services Administration.

This is an instructional guide and template for state disaster mental health planners.

State of New Hampshire, Department of Health and Human Services, Disaster Behavioral Health Team. (2011). [New Hampshire Disaster Behavioral Health Response Plan](#).

This plan is designed to guide the behavioral health planning, intervention, and response efforts outlining preparedness and response guidelines specifying agency and staff roles. While geared towards behavioral health practitioners, other healthcare professionals can

use this information to plan for or better understand the mental and behavioral health needs associated with a disaster or public health emergency.

U.S. Department of Health and Human Services, Office of the Assistant Secretary for Preparedness and Response. (2016). [HHS Disaster Behavioral Health Concept of Operations](#).

This Concept of Operations plan highlights the preparedness steps taken by the U.S. Department of Health and Human Services to address the behavioral health effects of a public health and medical emergency or disaster.

U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration. (2013). [Disaster Planning Handbook for Behavioral Health Treatment Programs: Technical Assistance Publication \(TAP\) Series 34](#).

The information in this handbook can help behavioral health treatment program staff plan (or enhance existing plans) for all types of disasters. The guide includes informative chapters and templates that can be customized or used as is by program staff.

III. Resources for Other Types of Facilities (listed alphabetically)

Federally Qualified Health Centers

California EMS Authority and California Primary Care Association. (2004). [Community Clinic and Health Center Emergency Operations Plan](#). California Clinic Emergency Preparedness Project.

Healthcare emergency planners can use this template to develop or maintain an existing emergency management program. The template includes the language, procedures, policies, and forms needed to create a comprehensive plan. Note: This resource is older than 10 years old, but may still be helpful.

Columbia University School of Nursing, Center for Health Policy, and New York Consortium for Emergency Preparedness Continuing Education. (2007). [Emergency Preparedness Toolkit for Community Health Centers & Community Practice Sites](#). Arizona Alliance for Community Health Centers.

This toolkit is intended to be used by leadership of community practice sites (including community health centers, group practices, and specialty care practices) to assess vulnerability; create an emergency preparedness plan; train staff to the plan; and evaluate the staff's readiness through participation in drill and exercises. It also provides guidance and tools for connecting with local emergency management planners to better understand how a community practice site's resources and expertise can be used during an emergency response.

Lee County, Florida, Emergency Management. (2014). [CEMP Criteria for Ambulatory Surgery Centers](#).

This checklist contains the required elements for a comprehensive emergency management plan, as well as guidance on the plan format, for ambulatory surgery centers in Florida. It may be used as a reference by other facilities to help develop their plans.

National Healthcare for the Homeless Council. (n.d.). [Community Health Center Emergency Planning Guidelines](#). (Accessed 6/26/2017.)

Emergency management staff can use this template (available in Microsoft Word) to develop community health center plans.

Palm Beach County, Florida. (2014). [Cross-Reference for Comprehensive Emergency Plan Ambulatory Surgical Centers](#).

This checklist was designed to help ambulatory surgical centers confirm that they have all required elements in their emergency operations plans to receive certification by their local emergency management agency. It may be used as a reference by other facilities to help develop their plans.

U.S. Department of Health and Human Services, Health Resources & Services Administration. (2016). [Form 10: Emergency Preparedness Report](#).

This form, which is also part of the Health Resources & Services Administration's Health Center Program Site Visit Guide, can be used by health centers when preparing their annual emergency preparedness and management reports. The form can also serve as a short checklist of emergency preparedness activities a health center should undertake.

Homecare and Hospice

Carr, M., Hammon, R., Glenn, J., et al. (2010). [Emergency Preparedness Packet for Home Health Agencies](#). National Association for Home Care and Hospice.

This document is the product of large national workgroup and includes tools and templates that can be customized and used by hospice and homecare providers while developing all hazards emergency preparedness plans.

HCA Education and Research. (2012). [Home Care Emergency Preparedness: A Handbook to Assist Home Care Providers in Emergency Preparedness Planning](#). Home Care Association of New York State.

This handbook can help homecare providers develop emergency plans. It also features New York-specific state regulations.

Michigan Department of Health and Human Services. (2015). [Home Health Emergency Preparedness: A Handbook to Assist Home Health Care Providers in Emergency Preparedness Planning.](#)

This handbook was written to help Michigan homecare agencies develop and evaluate their emergency preparedness plans. Beginning in Chapter 3 it helps users define plan elements, assess their agency's level of preparedness (with the included checklist), develop a plan that addresses specific needs and populations, and test and evaluate the plan.

Mississippi State Department of Health. (n.d.). [Facilities Preparedness Emergency Operations Plan Template.](#) (Accessed 6/26/2017.)

This website provides comprehensive downloadable emergency operations templates that can be customized and used by home health providers.

The Association for Home and Hospice Care of North Carolina. (2007). [Emergency Preparedness Handbook.](#)

This handbook was designed to help home and hospice care agencies, staff, and patients develop their disaster plans. It provides an introduction to a variety of hazards for providers, discussion scenarios, forms, and templates.

Virginia Department of Health, Office of Licensure and Certification. (2006). [Emergency Preparedness Planning for Hospice and Home Care Providers.](#)

This document provides clear, concise emergency plan guidance for hospice and homecare providers in Virginia (but it can be used by those in other states responsible for developing a plan).

Hospitals

Centers for Disease Control and Prevention. (2016). [Office of Public Health Preparedness and Response: Planning Resources by Setting.](#) U.S. Department of Health and Human Services.

This website includes links to resources that can help healthcare and hospital systems staff plan for and respond to public health emergencies.

Centers for Medicare and Medicaid Services. (2013). [Emergency Preparedness Checklist.](#)

This checklist can be utilized by healthcare emergency planners to help aid in the development of emergency plans.

Kansas Department of Health and Environment. (2008). [Emergency Operations Plan](#).

This document is a template for a hospital Emergency Operations Plan with departmental sections as well as incident-specific annexes. Facility personnel will likely need to add operational detail to this outline.

Mississippi State Department of Health. (n.d.). [Mississippi State Department of Health-Facilities Preparedness](#). (Accessed 6/26/2017.)

This webpage links to emergency operations plan templates for: home health; hospice; hospitals; long-term care; and personal home care.

U.S. Department of Veterans Affairs. (n.d.). [Emergency Operations Plan Template](#). (Accessed 6/26/2017.)

This template is part of the U.S. Department of Veterans Affairs Emergency Management Guidebook, and describes a general strategy for how the operating units in a health care facility will coordinate during emergencies. It identifies various “key activities” (tasks common to emergency response) under the functional areas of the Incident Command System.

University of Toledo Medical Center. (2015). [University of Toledo Medical Center Emergency Operations Plan](#).

This is an emergency operations plan for an academic medical center that may be referenced and adapted for use by other facilities.

World Health Organization, Regional Office for Europe. (2011). [Hospital Emergency Response Checklist: An All-Hazards Tool for Hospital Administrators and Emergency Managers](#).

Healthcare emergency response planners may use the checklists found in this document to inform the development of their Emergency Operations Plans.