

## EMERGENCY PREPAREDNESS — CAH

Self-Assessment Questions	YES	NO	N/A	Date/Initials	Comments
<p>Please refer to Appendix Z of the State Operations Manual for specific E-Tags, interpretive guidelines, and survey procedures related to Emergency Preparedness.  <a href="https://www.cms.gov/regulations-and-guidance/guidance/manuals/downloads/som107ap_z_emergprep.pdf">https://www.cms.gov/regulations-and-guidance/guidance/manuals/downloads/som107ap_z_emergprep.pdf</a></p>					
TheCAH must comply with all applicable federal, state, and local emergency preparedness requirements.					
<p>The program must include, but not be limited to, the following elements:</p> <ul style="list-style-type: none"> <li>a. emergency plan</li> <li>b. policies and procedures</li> <li>c. communication plan</li> <li>d. training and testing</li> </ul> <p>C-0950 COP §485.625</p>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>		<p>Three essential elements are required to maintain access to healthcare services during emergencies:</p> <ul style="list-style-type: none"> <li>a. Safeguarding human resources</li> <li>b. Maintaining business continuity</li> <li>c. Protecting physical resources</li> </ul>
<p>The CAH must develop and maintain an emergency preparedness program that must be reviewed and updated every two years.</p> <p>C-0950 COP §485.625</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<p>The CAH's emergency preparedness plan must:</p> <ul style="list-style-type: none"> <li>a. be based on and include a documented, facility-based and community-based risk assessment utilizing an all-hazards approach</li> <li>b. include strategies for addressing emergency events identified by the risk assessment</li> <li>c. address patient population, including, but not limited to, persons at risk; the type of services the CAH has the ability to provide in an emergency; and continuity of operations, including delegations of authority and succession plans</li> </ul>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>		<p>Preparedness planning should focus on capacities and capabilities critical to a full spectrum of emergencies or disasters.</p> <p>Examples may include care-related emergencies, equipment and power related failures, communication interruptions- including cybersecurity attacks, loss of all or part of the facility, interruption in essential supplies- including food and water.</p> <p>All hazard expanded to include emerging infectious diseases.</p> <p>At risk patient populations may need additional assistance such as those with disabilities, living in an institutionalized setting, from diverse cultures, limited English proficiency, lack transportation, chronic medical disorders or drug</p>

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<p>d. 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</p> <p>e. reviewed and updated every two years 42 CFR 481.625(a)(1-4) C-0950 COP §485.625(a)</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<p>dependency. At risk individuals means children, pregnant women, hospitalized patients, senior citizens, others with special needs in a public health emergency or based upon unique population and geographical areas.</p> <p>See Appendix Z for expanded regulations and definitions.</p>
<p>Do CAH policies and procedures address, at a minimum, the following:</p> <p>a. the provision of subsistence needs for staff and patients, whether they evacuate or shelter in place, include, but are not limited to the following:</p> <ul style="list-style-type: none"> <li>- food, water, medical,</li> <li>- pharmaceutical supplies and</li> <li>- alternate sources of energy to maintain the following: <ul style="list-style-type: none"> <li>• temperatures to protect patient health and safety and for the safe and sanitary storage of provisions</li> <li>• emergency lighting fire detection, extinguishing, and alarm systems</li> <li>sewage and waste disposal</li> </ul> </li> </ul> <p>b. a system to track the location of on-duty staff and sheltered patients in the CAH 's care during an emergency</p> <p>c. if on-duty staff or sheltered patients are relocated during an emergency, the CAH</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<p>CAHs are required to develop and implement policies and procedures that support the successful execution of the emergency plan and risks identified during the risk assessment process.</p> <p>Facilities do not need to store provisions but must have policies and procedures addressing acquisition of subsistence provisions in the event of an emergency.</p> <p>CAHs should confer with local health department, emergency management and HCC to determine the types and duration of energy sources that could be available in an emergency.</p> <p>State or local emergency management officials would designate such alternate care sites in collaboration with local facilities.</p> <p>Policies and procedures should address the criteria for when patients and staff will be sheltered in place and a description of how to ensure their safety.</p> <p>Policies and procedures must be in compliance with Health Insurance Portability and Accountability Act (HIPAA) Rules at 45 CFR parts 160 and 164.</p> <p>Medical and non-medical volunteers.</p>

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must document the specific name and location of the receiving facility or other location.					
d. safe evacuation from the CAH, 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<p>If arranged resources are unavailable during an emergency, then the facility should use the available resources in its community by working with their local HCC, health department and local emergency management officials.</p> <p>Section 1135 authorizes the Secretary to waive or modify certain Medicare, Medicaid and CHIP requirements to ensure sufficient healthcare is available in an emergency.</p> <p>Review update every two years all emergency preparedness related policies and procedures</p>
e. Ja means to shelter in place for patients, staff, and volunteers who remain in the facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
f. a system of medical documentation that preserves patient information, protects confidentiality of patient information, and secures and maintains the availability of records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
g. the use of volunteers in an emergency and 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
h. the development of arrangements with other CAHs, hospitals and other providers to receive patients in the event of limitations or cessation of operations to maintain the continuity of services to CAH patients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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i. the role of the CAH 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 42 CFR 485.625(b)(1-8) C-0950 COP §485.625(b)(1-8)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Does the CAH emergency communication plan include:					Patient care must be well-coordinated within the facility, across healthcare providers, and with state and local public health departments and emergency management agencies and systems to protect patient health and safety in the event of a disaster.
a. names and contact information for the following: - staff - entities providing services under arrangement - patients' physicians - other CAHs and hospitals - volunteers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Medical and non-medical volunteers.  Consideration of pagers, internet by non-telephone cable providers, HAM, satellite phones, multiple cell carriers.
b. contact information for the following: - federal, state, tribal, regional, and local emergency preparedness staff - other sources of assistance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Relevant patient information includes but not limited to: patient's presence or location in the facility, patient billing and demographics, or the patient's medical condition.
c. primary and alternate means for communicating with the following: - CAH staff - federal, state, tribal, regional, and local emergency management agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		HIPAA Rule. CAH should establish a communication system to generate timely, accurate information to be disseminated as permitted to family members and others regarding patient's location, general condition or death in compliance with federal and state laws.
d. a method for sharing information and medical documentation for patients under the CAH's care, as necessary, with other health care providers to maintain the	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Uses and disclosures for disaster relief purposes rule. The communication plan should include what types of information is releasable, and who is authorized to release this information during an emergency.

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<p>continuity of care</p> <p>e. a means, in the event of an evacuation, to release patient information as permitted under 45 CFR 164.510(b)(1)(ii)</p> <p>f. a means of providing information about the general condition and location of patients under the CAH's care as permitted under 45 CFR 164.510(b)(4)</p> <p>g. a means of providing information about the CAH's occupancy, needs, and its ability to provide assistance, to the authority having jurisdiction, the Incident Command Center, or designee</p> <p>42 CFR 482.15(c)(1-7)</p> <p>C-0950 COP §485.625(c)(1-7)</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		CAHs are encouraged to engage in their HCC for assistance in broadening awareness and collaboration as well as identifying best practices that can assist them to effectively meet this requirement.
A CAH must develop and maintain a training and testing program based upon the emergency plan, risk assessment, policies and procedures and communication plan. It must be reviewed and updated at least every two years					
<p>The CAH's's emergency preparedness training and testing program includes:</p> <p>a. initial training in emergency preparedness policies and procedures including extinguishing fires, protection and where necessary evacuation of patients personnel and guests, fire prevention, cooperation with firefighting and disaster authorities to individuals providing services under arrangement, and volunteers, consistent with their expected role to all new and existing staff</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<p>The CAH must conduct drills and exercises to test the emergency plan to identify gaps and areas for improvement.</p> <p>Initial training in emergency preparedness policies and procedures, including prompt reporting and extinguishing of fires, protection, and where necessary, evacuation of patients, personnel, and guests, fire prevention, and cooperation with firefighting and disaster authorities.</p> <p>Include in the planning a process for ensuing cooperation and collaboration with local, tribal, regional, State, and Federal emergency preparedness officials and regional HCCs.</p>

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b. emergency preparedness training at least every two years and with significant updates to policies and procedures c. maintain documentation of the training d. demonstrate staff knowledge of emergency procedures e. documented exercises to test the plan at least twice per year per below guidance <ul style="list-style-type: none"> <li>• participate in a full-scale exercise that is community-based or when a community-based exercise is not accessible, an individual, facility-based</li> <li>• conduct a second exercise based on CAH choice</li> <li>• analyze the CAH's response to and maintain documentation of all drills, tabletop exercises, and emergency events, and revise the CAH's emergency plan as needed</li> </ul> 42 CFR 482.15(d)(1) C-0950 COP §485.625 (d)(1)(2)	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<p>If the CAH experiences an actual natural or man-made emergency that requires activation of the emergency plan, the CAH is exempt from engaging in a community or individual, facility-based mock disaster drill for 1 year following the onset of the actual event.</p> <p>The CAH must maintain documentation of the emergency event and be able to demonstrate how the emergency plan was put into action.</p> <p><b>For inpatient providers:</b> CAH can choose one of the following as their exercise of their choice: a second community-based full-scale exercise (if available and in addition to the required full-scale exercise), an individual facility-based functional exercise, a drill, or a tabletop exercise or workshop that includes a group discussion led by a facilitator.</p>
Note: Emergency and standby power systems. The CAH must implement emergency and standby power systems based on the emergency plan and in the policies and procedures plan.					
The emergency generator location meets requirements in Health Care Facilities Code (NFPA 99) 2012 edition, Life Safety Code (NFPA 101) 2012 edition, or NFPA 110, 2010 edition, with a new structure and/or renovation of an existing structure or building.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<b>National Fire Protection Association</b>  <u>NFPA 99, Healthcare Facilities Code 2012 edition.</u> Tentative Interim Amendments TIA 12-2, TIA 12-3, TIA 12-4, TIA 12-5 and TIA-6. <u>NFPA 101, Life Safety Code 2012 edition.</u> Tentative Interim Amendments TIA 12-1, TIA 12-2, TIA 12-3 and TIA 12-4.

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42 CFR 485.625(e)(1) C-0950 COP §485.625(e)(1)					<u>NFPA 110, Standard for Emergency and Standby Power Systems, 2010 edition, including Tentative Interim Amendments to chapter 7, issued 2009.</u>
The CAH has current documentation of the emergency power system inspection, testing, and maintenance requirements found in the Health Care Facilities Code (NFPA 99) 2012 edition, NFPA 110, 2010 edition and Life Safety Code (NFPA 101) 2012 edition 42 CFR 485.625(e)(2) C-0950 COP §485.625(e)(2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
The CAH, if no onsite fuel source, has a plan for how it will keep emergency power systems operational during an emergency, unless it evacuates. 42 CFR 485.625(e)(3) C-0950 COP §485.625(e)(3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		CAHs are not required to maintain an on-site fuel source.
<b>Integrated Healthcare Systems — If the CAH is part of an integrated health system, these apply</b>					
If a CAH is part of a health care system consisting of multiple separately certified healthcare facilities that elects to have a unified and integrated emergency preparedness program, the CAH may choose to participate in the healthcare system's coordinated emergency preparedness program. If elected, the unified and integrated emergency preparedness program must: a. demonstrate that each certified facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Separately certified CAHs within an integrated healthcare system may elect to be part of the healthcare system's emergency preparedness program.

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<p>a. within the system actively participated in the development of the unified and integrated emergency preparedness program</p> <p>b. be developed and maintained in a manner that takes into account each separately certified facility's unique circumstances, patient populations, and services offered</p> <p>c. demonstrate that each separately certified facility is capable of actively using the unified and integrated emergency preparedness program and follows the program</p>	<input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>		
<p>Include a unified and integrated emergency plan which is based on and includes the following:</p> <p>a. a documented community-based risk assessment, utilizing an all-hazards approach</p> <p>b. a documented individual facility-based risk assessment for each separately certified facility within the health system, utilizing an all-hazards approach Include integrated policies and procedures that meet the requirements under policies and procedures, a communication plan, training and testing programs</p>	<input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>		
<p>Include integrated policies and procedures that meet the requirements under policies and procedures, a communication plan, training and</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		



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testing programs. 42 CFR 482.625(f)(1-5)					

### Helpful Hints

- [ASPR TRACIE](#) is an excellent resource for the various CMS providers and suppliers as they seek to implement the enhanced emergency preparedness requirements.
- [“The Health Impacts of Climate Change on Americans”](#)
- [The Impacts of Climate Change on Human Health in the United States: A Scientific Assessment](#)

### Key Resources and Links

- [45 CFR 164.510\(b\)\(1\)\(ii\)](#)
- [45 CFR 164.510\(b\)\(4\)](#)
- [CMS CAH Webpage \(includes crosswalk\)](#)
- CAH Regulations and [Interpretative](#) Guidelines Appendix W COP §485.625
- CAH [Basic](#) Training