









CMS FINAL RULE ON EMERGENCY PREPAREDNESS RESOURCE GUIDE

NOVEMBER 14, 2016














GNYHA and CCLC prepared this resource guide to assist members in complying with the Centers for Medicare & Medicaid Services (CMS) Final Rule on Emergency Preparedness which must be implemented by November 15, 2017. This guide provides an overview of relevant resources cited by CMS when the final rule was published in the *Federal Register* (dated September 16, 2016). For each of the resources listed, GNYHA and CCLC have provided a brief explanation and a link to the resource. Each resource has also been matched to the related elements of the Emergency Preparedness Program required by CMS—Risk Assessment and Emergency Planning, Policies and Procedures, Communications, and Training and Testing. Resources are listed in the order they appear in the *Federal Register*.









CMS Specific Element Key












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|  Risk Assessment and Emergency Planning |  Communications Plan |
|  Policies and Procedures |  Testing and Training |










	Name of Resource	Brief Explanation	Federal Register Page #(s)	Link to Resource	CMS Specific Elements of the Emergency Preparedness Program
	Federal Emergency Management Agency (FEMA): Threat and Hazard Identification and Risk Assessment Guide	This document helps communities identify capability targets and resource requirements needed to address risks.	63862	https://www.fema.gov/media-library-data/8ca0a9e54dc8b037a55b402b2a269e94/CPG201_htirag_2nd_edition.pdf	<ul style="list-style-type: none"> Risk Assessment and Emergency Planning
 	FEMA: Developing and Maintaining Emergency Operations Plans	This document provides guidelines for developing and maintaining emergency operations plans (EOP).	63862 63865	https://www.fema.gov/media-library-data/20130726-1828-25045-0014/cpg_101_comprehensive_preparedness_guide_developing_and_maintaining_emergency_operations_plans_2010.pdf	<ul style="list-style-type: none"> Risk Assessment and Emergency Planning Policies and Procedures
	FEMA: Homeland Security Exercise and Evaluation Program (HSEEP)	This document provides a common approach to developing and evaluating exercise programs.	63862	https://www.fema.gov/media-library-data/20130726-1914-25045-8890/hseep_apr13_.pdf	<ul style="list-style-type: none"> Training and Testing <p>Note: Page 2 of this document specifically addresses the development of a Training and Exercise Planning Workshop.</p>







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⚠️ ⚙️ 📞 📄	<i>Federal Register</i> Vol 78, Number 249, 12/27/2013 Proposed Rule: Medicare and Medicaid Programs, Emergency Preparedness Requirements	This document is the initial proposed CMS Emergency Preparedness Rule and provides historical and background information.	63862	https://www.gpo.gov/fdsys/pkg/FR-2013-12-27/pdf/2013-30724.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Communications Plan • Testing and Training
⚠️	FEMA: National Preparedness System	This document summarizes the components of the National Preparedness System.	63864 63865	https://www.fema.gov/media-library-data/20130726-1855-25045-8110/national_preparedness_system_final.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning
⚠️ ⚙️	FEMA: National Disaster Recovery Framework	This document addresses preparing for recovery in advance of a disaster.	63865	https://www.fema.gov/media-library-data/1466014998123-4bec8550930f774269e0c5968b120ba2/National_Disaster_Recovery_Framework2nd.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures
⚠️ ⚙️	FEMA: Continuity Guidance for Non-Federal Entities (States, Territories, Tribal and Local Government Organizations and Private Sector Organizations)	This document provides guidance to non-Federal entities for developing continuity plans and programs.	63865	https://www.fema.gov/media-library-data/1386609058803-b084a7230663249ab1d6da4b6472e691/CGC-1-Signed-July-2013.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures
⚙️	Occupational Health and Safety Administration (OSHA): Emergency Preparedness Website	This website contains resources helpful in developing institutional policies and procedures.	63868	https://www.osha.gov/SLTC/emergencypreparedness/	<ul style="list-style-type: none"> • Policies and Procedures
⚙️	Centers for Disease Control and Prevention (CDC): National Institute for Occupational Safety and Health (NIOSH) Emergency Preparedness and Response Directory Website	This website contains resources helpful in developing institutional policies and procedures.	63868	http://www.cdc.gov/niosh/topics/emergency.html	<ul style="list-style-type: none"> • Policies and Procedures
⚙️	National Institutes of Health (NIH): National Institute for Environmental Health Services (NIEHS) Emergency Preparedness Website for Environmental Emergencies	This website contains resources helpful in developing institutional policies and procedures specific to environmental emergencies.	63868	http://www.niehs.nih.gov/health/topics/population/response/index.cfm	<ul style="list-style-type: none"> • Policies and Procedures


















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	<i>Federal Register</i> Vol 78, Number 249, 12/27/2013 Proposed Rule: Medicare and Medicaid Programs, Emergency Preparedness Requirements – Appendix A.	This document is the initial proposed CMS Emergency Preparedness Rule and provides historical and background information. Appendix A includes reports, toolkits, and samples from various organizations to help providers and suppliers with emergency preparedness planning. Appendix A begins on page 79198.	63869	https://www.gpo.gov/fdsys/pkg/FR-2013-12-27/pdf/2013-30724.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning
  	Substance Abuse Mental Health Services Administration (SAMHSA): Disaster Technical Assistance Center (DTAC)	This website contains resources for mental health and substance abuse providers that may be helpful in developing emergency plans, policies, and procedures.	63869	http://www.samhsa.gov/dtac	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Training and Testing
   	US Health and Human Services (HHS) Assistant Secretary for Preparedness and Response (ASPR): Technical Resources, Assistance Center, and Information Exchange (TRACIE)	This website is designed by ASPR to provide comprehensive health care emergency preparedness resources.	63869	https://asprtracie.hhs.gov/technical-resources	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Communications Plan • Training and Testing
   	CMS (Final Rule): Survey and Certification–Emergency Preparedness	This website addresses the final rule and the tools needed to establish an emergency preparedness program.	63873	https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/index.html	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Communications Plan • Training and Testing
 	HHS: Pandemic and All Hazards Preparedness Reauthorization Act (PAHPRA)	This 2006 document amended the Public Health Services Act. It includes definitions of “at-risk” populations.	63875	https://www.gpo.gov/fdsys/pkg/PLAW-109publ417/pdf/PLAW-109publ417.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures <p>Note: This reference can be used to create an emergency plan addressing the “at-risk” populations served by a specific institution. Refer to page 120 STAT 2836 Section 2802.</p>

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 	American Public Health Association: An All Hazards Approach to Vulnerable Populations Planning	This program describes an all-hazards planning approach.	63875	https://apha.confex.com/apha/135am/webprogram/Paper160527.html	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures
 	FEMA: National Mitigation Framework	This document discusses the seven core capabilities required for entities involved in mitigation.	63877	https://www.fema.gov/media-library-data/20130726-1914-25045-9956/final_national_mitigation_framework_20130501.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures <p>Note: The Final Rule primarily focuses on continuity of operations. Facilities have the option to include mitigation strategies in their emergency operations plan.</p>
 	FEMA: Hazard Mitigation Planning	This website discusses the benefits of hazard mitigation to reduce the loss of life and property by decreasing the impact of the disaster.	63877	https://www.fema.gov/hazard-mitigation-planning	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures <p>Note: The Final Rule primarily focuses on continuity of operations. Facilities have the option to include mitigation strategies in their emergency operations plan.</p>
	FEMA: The National Planning Scenarios	This document details numerous man-made and natural disaster scenarios of concern.	63877	http://cees.tamui.edu/covertheborder/TOOLS/NationalPlanningSen.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning <p>Note: This document is a tool that can be used to assist in the development of an emergency operations plan. However, the institution must develop a plan based on a risk assessment.</p>
	CMS: Waiver or Modification of Requirements Under Section 1135 of the Social Security Act	This waiver relates to the provision of care and treatment at an alternate care site during emergencies.	63879	https://www.cms.gov/About-CMS/Agency-Information/H1N1/Downloads/1135WaiverSigned_H1N1.pdf	<ul style="list-style-type: none"> • Policies and Procedures <p>Note: Health care facilities must address the role of this waiver if, during an emergency, care may be delivered at an alternate site.</p>

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 	HIPAA Privacy Rule during Emergency Scenarios	This chart provides guidelines regarding communication of protected health information during emergencies.	63881	http://www.hhs.gov/sites/default/files/ocr/privacy/hipaa/understanding/special/emergency/emergencyprepdisclose.pdf	<ul style="list-style-type: none"> • Policies and Procedures • Communications Plan
	US Department of Homeland Security (DHS): Government Emergency Telecommunications Service (GETS)	This website provides information on redundant communication methods that can be included in a communications plan.	63885	https://www.dhs.gov/government-emergency-telecommunications-service-gets	<ul style="list-style-type: none"> • Communications Plan
	HHS: HIPAA Privacy in Emergency Situations	This document discusses what Protected Health Information (PHI) can be communicated during emergencies.	63885 63886	http://www.hhs.gov/sites/default/files/emergencysituations.pdf	<ul style="list-style-type: none"> • Communications Plan
	HHS: Certification Guidance for EHR Technology Developers Serving Healthcare Providers Ineligible for Medicare and Medicaid EHR Incentive Payments	This document provides guidance regarding communication between institutions using electronic health records (EHRs), and institutions that do not use EHRs.	63886	https://www.healthit.gov/sites/default/files/generalcertexchangeguidance_final_9-9-13.pdf	<ul style="list-style-type: none"> • Communications Plan
  	<i>Federal Register</i> Vol 81, Number 86, 05/04/2016 Final Rule: Medicare and Medicaid Programs, Fire Safety Requirements for Certain Healthcare Facilities	This document discusses fire safety requirements for certain health care facilities, including hospitals, long-term care, and hospice.	63886	https://www.gpo.gov/fdsys/pkg/FR-2016-05-04/pdf/2016-10043.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Communications Plan
 	HHS: National Communication System (NCS)	This website offers alternative emergency methods of communication services that can be used if a primary communication method is not available.	63887	http://www.hhs.gov/ocio/ea/National%20Communication%20System/index.html	<ul style="list-style-type: none"> • Policies and Procedures • Communications Plan
	FEMA: National Incident Management System (NIMS) (2008)	This document represents the overall framework for developing an emergency operations plan.	63887 63888	https://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf	<ul style="list-style-type: none"> • Communications Plan <p>Note: Facilities can use this document to guide development of a communications plan. Communications management information is on p.23-29.</p>

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	NYC Department of Health and Mental Hygiene (DOHMH): Pediatric Tabletop Exercise Toolkit for Hospitals	This document provides a template for developing and conducting a tabletop exercise.	63893	https://www1.nyc.gov/assets/doh/downloads/pdf/bhpp/hepp-peds-tabletoptoolkit-010709.pdf	<ul style="list-style-type: none"> • Training and Testing <p>Note: Although this toolkit addresses a pediatric tabletop exercise, it can be applied to any tabletop exercise.</p>
	RAND: Tabletop Exercises for Pandemic Influenza Preparedness in Local Health Agencies	This document provides a template for developing and conducting a tabletop exercise.	63893	http://www.rand.org/content/dam/rand/pubs/technical_reports/2006/RAND_TR319.pdf	<ul style="list-style-type: none"> • Training and Testing
	CMS: Survey and Certification – Emergency Preparedness, Templates and Checklist, Healthcare Provider AAR/IP	CMS developed this template. It includes documents to evaluate performance during exercises and real emergency events. It also addresses after-action reports and improvement plans.	63894	https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/Templates-Checklists.html	<ul style="list-style-type: none"> • Training and Testing <p>Note: Once on the website, click the first link in the downloads section labeled “Healthcare Provider Voluntary AAR/IP” template and instructions.</p>
  	HHS: Office of Inspector General: Hospital Emergency Preparedness and Response During Superstorm Sandy	This report influenced CMS’s decision to alter requirements in the proposed rule related to generator testing.	63895	https://oig.hhs.gov/oei/reports/oei-06-13-00260.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Testing and Training <p>Note: Refer to pages 9-12 of the document to understand the removal of the requirement.</p>
  	Live Science: Why Power is So Tricky for Hospitals During Hurricanes (11/01/2012)	This article explains why, even with backup generators, power outages in hospitals during natural disasters can be difficult to prevent.	63895	http://www.livescience.com/24489-hospital-power-outages-hurricane-sandy.html	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Testing and Training

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	HHS: Organ Procurement and Transplant Network (OPTN)	This document contains policies that govern operation of member transplant hospitals, organ procurement organizations (OPOs), and histocompatibility labs.	63906	https://optn.transplant.hrsa.gov/media/1200/optn_policies.pdf#nameddest=Policy_01	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures <p>Note: This document contains all the policies developed by the OPTN. For policies regarding emergency preparedness, refer to Policy 1: Administrative Rules and Definitions Section 1.4.</p>
	CMS: 2007 CMS EP Checklist for Long-Term Care Facilities	This is a checklist to assist long term care organizations with patient evacuation.	63911	https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/Downloads/SandC_EPChecklist_Persons_LTCFacilities_Ombudsmen.pdf	<ul style="list-style-type: none"> • Policies and Procedures • Communications Plan
	ASPR TRACIE: Evaluation of Hazard Vulnerability Assessment Tools	This document provides a comparison of different hazard vulnerability assessment tools.	63930	https://asprtracie.hhs.gov/documents/tracie-evaluation-of-HVA-tools.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning
	DHS: Homeland Security Presidential Directive 5 – Management of Domestic Incidents	This document, which applies to government response agencies, provides guidance regarding the establishment of single and unified incident management for domestic incidents.	64008	https://www.gpo.gov/fdsys/pkg/CPRT-110HPRT39618/pdf/CPRT-110HPRT39618.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures
	DHS: Homeland Security Presidential Directive 21 – Public Health and Medical Preparedness	This document, which applies to government agencies, provides guidance on meeting public health and medical needs during catastrophic health events.	64008	https://www.gpo.gov/fdsys/pkg/CPRT-110HPRT39618/pdf/CPRT-110HPRT39618.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures
	<i>Clinical Journal of the American Society of Nephrology</i> : Emergency Preparedness Concepts for Dialysis Facilities: Reawakened after Hurricane Katrina	This article discusses emergency preparedness concepts of relevance to dialysis facilities.	64008	http://cjasn.asnjournals.org/content/2/4/809.full.pdf+html	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures

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 	CDC: Office of Public Health Preparedness and Response	This website offers references that may be helpful in developing emergency plans, policies, and procedures.	64011	http://www.cdc.gov/phpr/healthcare/planning.htm	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures
  	FEMA: Emergency Management Institute	This website catalogs free, online emergency management resources.	64011	https://training.fema.gov/emiacourses/	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Training and Testing
   	HHS: Response and Recovery Resource Compendium	This website contains resources to help institutions develop and implement emergency plans.	64011	http://www.phe.gov/emergency/hhscapabilities/Pages/default.aspx	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Communications Plan • Training and Testing
   	HHS: Disaster Information Management Research Center	This website contains resources to help institutions develop and implement emergency plans. It also contains links to training sites.	64011	https://disasterlit.nlm.nih.gov/	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures • Communications Plan • Training and Testing
 	FEMA: National Response Framework	This document describes capabilities needed to respond to disasters.	64013	https://www.fema.gov/media-library-data/1466014682982-9bcf8245ba4c60c120aa915abe74e15d/National_Response_Framework3rd.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures
 	FEMA: Emergency Support Function #8 Public Health and Medical Annex	This document provides guidance on what steps are needed to ensure medical needs are provided to victims of disasters.	64013	https://www.fema.gov/media-library-data/20130726-1825-25045-8027/emergency_support_function_8_public_health___medical_services_annex_2008.pdf	<ul style="list-style-type: none"> • Risk Assessment and Emergency Planning • Policies and Procedures