Emergency Preparedness Plan (EPP) Series
Who/What Is ASPR TRACIE?

Rachel Lehman
Program Director (Acting), Health and Human Services (HHS) ASPR TRACIE

Caecilia (CeCe) Andrews
Centers for Medicare & Medicaid Services (CMS) Quality, Safety & Oversight Group
Health Insurance Specialist/Program Lead for Emergency Preparedness,
Outpatient Physical Therapy Organizations and Religious Non-Medical Healthcare Institutions

Lt. Eric Mangahis
U.S. Public Health Service, CMS Survey Operations Group

Wednesday, June 12, 2024

ASPR = Administration for Strategic Preparedness and Response
TRACIE = Technical Resources, Assistance Center, and Information Exchange

HSAG HEALTH SERVICES ADVISORY GROUP

Appreciation and Gratitude—The EPP Team

- Health Services Advisory Group (HSAG)
  - Jennifer Wieckowski, Karen Schindler, and Heather Fisher
- Arizona Coalition for Healthcare Emergency Response (AzCHER)
  - Robin Oothoudt, Jamie Beauvais, Shawna Murphy, and Dawn Irons
- Arizona Department of Health Services (AzDHS)
  - Kevin Whitlock
- California Association of Health Facilities (CAHF)
  - Jason Belden and Mary Story
- California Department of Aging (CDA)
  - Eden Rosales
- California Department of Public Health (CDPH)
  - Nate Gilmore
- California Hospital Association (CHA)
  - Mary Massey
- Santa Clara Public Health
  - Marina Zamarron and Yvette Barajas

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Appreciation and Gratitude—The EPP Series

Hazard Vulnerability Assessment	Top ETag Deficiencies
Incident Command System	Emergency Operations Plan (EOP): Updating and Utilizing the CAHF Templates
QSO-21-15-ALL and the Emerging Infectious Diseases (EID) Self-Assessment Tool	Alternate Power Sources and Emergency Power
Transportation—Know Thy Neighbor	How Do You Get Good at Doing Drills Only Twice a Year?
Business Continuity Planning and Supply Chain Management	Power Outages
Care Coordination and Surge	Cybersecurity Attacks
Engaging Your Staff—Being Prepared at Home	Who/What is ASPR TRACIE?
Table-Top Exercises: Planning and the After-Action Report	

bit.ly/epp-series

HSAG HEALTH SERVICES ADVISORY GROUP

Appreciation and Gratitude—To You the Participants

- 3,743 participants through May 2024

- Skilled nursing facilities (SNFs), hospitals, corporations, stakeholders, and others

- Arizona, California, Alaska, Colorado, Florida, Georgia, Hawaii, Idaho, Minnesota, Missouri, Montana, Nebraska, Nevada, New Mexico, New York, Pennsylvania, Rhode Island, Tennessee, Texas, Utah, Washington, Virginia, Wyoming, Territory of Guam

HSAG HEALTH SERVICES ADVISORY GROUP

Today's Speakers

- ## Rachel Lehman
  - Program Director (Acting), HHS ASPR TRACIE
- ## Caecilia (CeCe) Andrews
  - CMS Quality, Safety & Oversight Group, Health Insurance Specialist/ Program Lead for Emergency Preparedness, Outpatient Physical Therapy Organizations and Religious Non-Medical Healthcare Institutions
- ## Lt. Eric Mangahis
  - U.S. Public Health Service, CMS Survey Operations Group

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TRACIE
HEALTHCARE EMERGENCY PREPAREDNESS
INFORMATION GATEWAY

ASPR TRACIE Preparedness Planning Tools and Resources

ASPR
ADMINISTRATION FOR STRATEGIC
PREPAREDNESS AND RESPONSE

ASPR Key Priorities

1 **Prepare** for future public health emergencies and disasters

2 Manage the federal **response** to and recovery from public health emergencies and other disasters

To meet its mission, ASPR is focused on four key priorities

Ensure **workforce readiness** through development of innovative workplace practices **4**

3 Improve and leverage **partnerships** with health care and public health stakeholders

ASPR Administration for Strategic Preparedness and Response

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ASPR TRACIE Team

- Rachel Lehman, ASPR, Acting Director/System Owner

ICF ASPR TRACIE Team Members:
- Dr. John Hick, Senior Editor
- Audrey Mazurek, Project Director
- Corina Solé Brito, Deputy Project Director and Communications Manager
- Bridget Kanawati, Assistance Center Lead
- Jennifer Nieratko, Special Projects Manager
- Claire Nyquist, Communications Analyst

ASPR's Technical Resources, Assistance Center, and Information Exchange

Developed as a **healthcare** emergency preparedness information gateway to address the need for:

- Enhanced and rapid technical assistance (TA)
- A comprehensive, one-stop, national knowledge center for healthcare system preparedness
- Multiple ways to efficiently share and receive information between various entities, including peer-to-peer
- A way to leverage and better integrate support (force multiplier)
- Ways to prepare deployed and field staff via resources developed with our cadre of subject matter experts

ASPR TRACIE: Three Domains

TECHNICAL RESOURCES
- Self-service collection of audience-tailored materials
- Subject-specific, SME-reviewed "Topic Collections"
- Unpublished and SME peer-reviewed materials highlighting real-life tools and experiences

asprtracie.hhs.gov

ASSISTANCE CENTER
- Personalized support and responses to requests for information and technical assistance
- Accessible by toll-free number (1844-5-TRACIE), email (askasprtracie@hhs.gov), or web form (ASPRtracie.hhs.gov)

1-844-5-TRACIE

INFORMATION EXCHANGE
- Area for password-protected discussion among vetted users in near real-time
- Ability to support chats and the peer-to-peer exchange of user-developed templates, plans, and other materials

askasprtracie@hhs.gov

ASPR
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TRACIE
HEALTHCARE EMERGENCY PREPAREDNESS INFORMATION GATEWAY

ASPR TRACIE Supports All Phases of Emergency Management

- Searchable resource library
- 500+ ASPR TRACIE developed resources
- 60 topic collections
- Resources pages
- Virtual based learning opportunities

ASPR TRACIE Resources Developed in Anticipation of an Incident

Cybersecurity and Healthcare Facilities — Various Cyber Threats

COVID-19 Patient Surge and Scarce Resource Allocation — COVID-19 Pandemic

Disaster Behavioral Health Self Care for Healthcare Workers Modules — Simultaneous Incidents

EMS Infectious Disease Playbook — Highly Infectious Disease Outbreaks

ASPR TRACIE Resources Developed in Response to an Incident

Hurricanes — Hurricane Resources at Your Fingertips

Colorado Wildfire — Evacuating and Receiving Patients in the Midst of a Wildfire

No-Notice Incidents — Post-Mass Shooting Programs and Resources Overview

COVID-19 — Novel Coronavirus Resources

Civil Unrest — Civil Unrest During a Pandemic-Notes from Minneapolis

Mass Casualty Triage — Mass Casualty Trauma Triage: Paradigms and Pitfalls

2018 and 2019 Influenza Seasons — Considerations for the Use of Temporary Care Surge Sites for Managing Seasonal Patient Surge

Topic Collections

Active Shooter and Explosives

Blood and Blood Products

Burns

Climate Change and Healthcare System Considerations

Communications
- Communication Systems
- Information Sharing
- Risk Communications/Emergency Public Information and Warning
- Social Media in Emergency Response

Crisis Standards of Care

Cybersecurity

Decontamination
- Hospital Patient Decontamination
- Pre-Hospital Patient Decontamination

Disasters and Healthcare Disparity

Electronic Health Records and Downtime Procedures

Emergency Management
- Emergency Operations Plans/ Emergency Management Program
- Exercise Program
- Hazard Vulnerability/Risk Assessment
- Healthcare-Related Disaster Legal/ Regulatory/ Federal Policy
- Incident Management
- Training and Workforce Development

Ethics

Family Reunification and Support

Fatality Management

Healthcare Coalitions
- Coalition Administrative Issues
- Coalition Models and Functions
- Coalition Response Operations (including Mutual Aid)

Healthcare Facility Evacuation/Sheltering

Hospital Surge Capacity and Immediate Bed Availability

LGBTQI+ Community Members and Disaster Preparedness and Response

Location-Specific Collections
- Alternate Care Sites (including shelter medical care)
- Ambulatory Care and Federally Qualified Health Centers (FQHC)
- Dialysis Centers
- Homecare and Hospice
- Long-term Care Facilities
- Pharmacy
- Rural Disaster Health
- Virtual Medical Care

Mass Distribution and Dispensing/ Administration of Medical Countermeasures

Mass Gatherings/Special Events

Mental/Behavioral Health (non-responders)

Patient Movement, MOCCs, and Tracking

Pediatric/Children

Populations with Access and Functional Needs

Pre-Hospital (e.g., EMS)

Pre-Hospital Mass Casualty

Triage/Trauma

Recovery and COOP
- Continuity of Operations (COOP)/ Business Continuity Planning
- Recovery Planning
- Responder Safety and Health

Specific Hazards
- Bioterrorism and High Consequence Biological Threats
- Chemical Hazards
- Coronaviruses
- Ebola/VHF
- Influenza Epidemic/Pandemic
- Natural Disasters
- Radiological and Nuclear
- Utility Failures
- Veterinary Issues
- Volunteer Management
- Workplace Violence
- Zika

Health Care Emergency Preparedness Resources at Your Fingertips

[Access our ASPR TRACIE-developed resources here.](#)

[Access our 2023 Year in Review Report here](#).

Assistance Center

Information Exchange

ASPR TRACIE Web-Based Learning Opportunities

- [National Webinars](#)

- [COVID-19 Speaker Series](#) (42)

- [Health Care System Preparedness Considerations Speaker Series](#) (20)

  - Specialty Surge Annexes (Chemical, Burn, Pediatrics)

  - Collaborative Initiatives within Hospital Community Cooperatives (HCCs)

  - Innovations in Hospital Design

  - Utility Failures
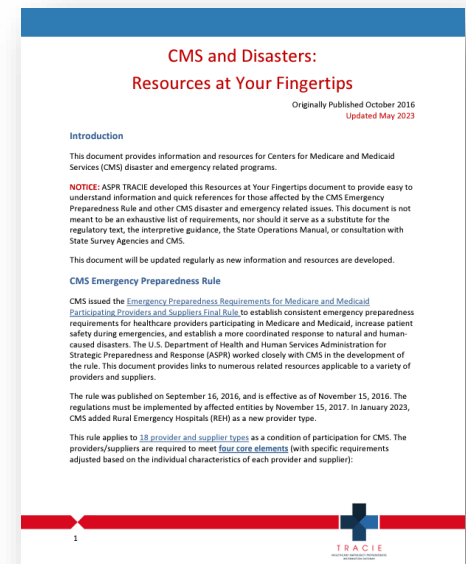
  - Mass Casualty Incidents

Select ASPR TRACIE Resources

Resources for Emergency Preparedness Requirements for Medicare and Medicaid Participating Providers and Suppliers

- [CMS EP Rule Resource Page](#)
- [CMS and Disasters: Resources at Your Fingertips](#)
- [CMS Emergency Preparedness Rule: Integrated Healthcare Systems Implications](#)
- [CMS EP Rule Technical Assistance Responses](#)
- [Facility- Specific Requirement Overviews (18)](#)
- [Provider and Supplier Types Covered by the CMS EP Rule](#)
- [Long Term Care Facility-Specific Requirement Overview](#)

CMS and Disasters:
Resources at Your Fingertips

Originally Published October 2016
Updated May 2023

Introduction

This document provides information and resources for Centers for Medicare and Medicaid Services (CMS) disaster and emergency related programs.

NOTICE: ASPR TRACIE developed this Resources at Your Fingertips document to provide easy to understand information and quick references for those affected by the CMS Emergency Preparedness Rule and other CMS disaster and emergency related issues. This document is not meant to be an exhaustive list of requirements, nor should it serve as a substitute for the regulatory text, the interpretive guidance, the State Operations Manual, or consultation with State Survey Agencies and CMS.

This document will be updated regularly as new information and resources are developed.

CMS Emergency Preparedness Rule

CMS issued the Emergency Preparedness Requirements for Medicare and Medicaid Participating Providers and Suppliers Final Rule to establish consistent emergency preparedness requirements for healthcare providers participating in Medicare and Medicaid, increase patient safety during emergencies, and establish a more coordinated response to natural and human-caused disasters. The U.S. Department of Health and Human Services Administration for Strategic Preparedness and Response (ASPR) worked closely with CMS in the development of the rule. This document provides links to numerous related resources applicable to a variety of providers and suppliers.

The rule was published on September 16, 2016, and is effective as of November 15, 2016. The regulations must be implemented by affected entities by November 15, 2017. In January 2023, CMS added Rural Emergency Hospitals (REH) as a new provider type.

This rule applies to 18 provider and supplier types as a condition of participation for CMS. The providers/suppliers are required to meet four core elements (with specific requirements adjusted based on the individual characteristics of each provider and supplier):

1

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Select LTC Related Resources

- Topic Collections
  - [Healthcare Facility Evacuation/ Sheltering](#)
  - [Homecare and Hospice](#)
  - [Long-term Care (LTC) Facilities](#)
    - Education/ Training
    - Legal/Regulatory
    - Emergency Planning
    - Evacuation/ Shelter in Place
    - Exercises
    - Pandemic/ Influenza Planning
- [Assistance Center TA Responses](#)
  - LTC Statistics
  - Pediatric Infectious Disease Surge in LTC Facilities
  - Exercise Resources
- [Considerations for Oxygen Therapy in Disasters](#)
- [Durable Medical Equipment in Disasters](#)
- [*Hospice and Emergency Preparedness: Experiences from the Field*](#)
- [*Hospice and Emergency Preparedness: Tales from the Field*](#)

Topic Collection: Long-term Care Facilities

Technical Resources / Location-Specific Collections / Long-term Care Facilities

Long-term care includes a range of support services that an individual may need to meet their personal care needs. Long-term care may be provided through home healthcare services, or in facilities, such as nursing homes, assisted living facilities, and continuing care retirement communities. Individuals needing long-term care may include the elderly, those with chronic health conditions, and individuals requiring short-term rehabilitation.

This Topic Collection addresses residential care facility issues including skilled nursing facilities and assisted living facilities. The Homecare and Hospice Topic Collection contains information for primarily non-residential services. Long-term care facilities pose unique challenges during disasters due to the vulnerability and fragility of their residents. Recent disasters have illustrated the risks to long-term care residents during facility evacuation. The promulgation of the recent CMS Emergency Preparedness Rule was designed in part to increase the mitigation and preparedness activities of long term care facilities to reduce these risks.

Each resource in this Topic Collection is placed into one or more of the following categories (click on the category name to be taken directly to that set of resources). Resources marked with an asterisk (*) appear in more than one category.

Sections Navigation ⊖

Must Reads	Lessons Learned	Plans, Tools, and Templates: Pandemic/Epidemic Influenza Planning
Education and Training	Plans, Tools, and Templates: Emergency Planning	Studies
Guidance and Guidelines	Plans, Tools, and Templates: Evacuation and Shelter-in-Place	Agencies and Organizations
Legal/Regulatory Issues	Plans, Tools, and Templates: Exercises	

Select Pandemic Influenza and Emerging Infectious Diseases Resources

Resources

- Avian Influenza Quick Facts
- Considerations for the Use of Temporary Surge Sites for Managing Seasonal Patient Surge
- Disaster Available Supplies in Hospitals (DASH) Tool
- EMS Infectious Disease Playbook
- Healthcare Coalition Infectious Disease Surge Annex Template
- Healthcare Coalition Influenza Pandemic Checklist
- Infection Prevention and Control: Incorporating Lessons Learned in Managing Special Pathogens (webinar)
- Outbreak Considerations for Long-Term Care Communities
- Step Care for Ebola/Viral Hemorrhagic Fever Patients: Guidance for International Field Hospitals

Topic Collections and Resource Pages

- Mpox Resource Page
- Infectious Diseases Resource Page
- Coronaviruses (e.g., SARS, MERS and COVID-19) TC
- COVID-19
- Influenza Epidemic/ Pandemic TC
- Ebola/VHF TC
- Zika TC

OUTBREAK CONSIDERATIONS FOR LONG-TERM CARE COMMUNITIES

Select Behavioral Health Resources

- Disaster Behavioral Health Resource Page
  - Disaster Behavioral Health: Resources at Your Fingertips
  - Mini Modules to Relieve Stress For Healthcare Workers (more comprehensive modules also available)
  - Opioids: Frequently Asked Questions
  - Self-Care for Healthcare Workers Modules
  - Tips for Retaining and Caring for Staff after a Disaster

Topic Collections

- Mental/Behavioral Health (non-responders)
- Disasters and Healthcare Disparity
- Responder Safety and Health Topic Collection (TC)

Exchange Issues

- Issue 4: Disaster Behavioral Health and Resilience
- Issue 12: COVID-19 and Healthcare Professional Stress and Resilience
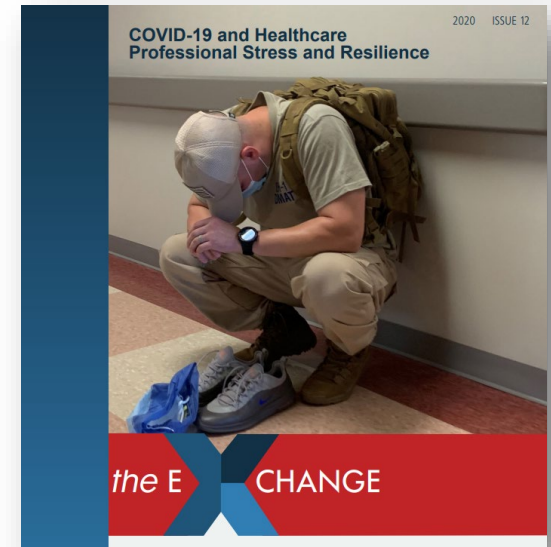
Select Natural Disasters Resources

- [Climate Change Resilience and Healthcare System Considerations](#)

- [Climate Change and Healthcare System Considerations Topic Collection](#)

- [Healthcare Facility Evacuation/Sheltering TC](#)

- [Hurricane Resources Page](#)

- [Major Hurricane Potential Health and Medical Implications](#)

- [Major Earthquakes & Cascading Events: Potential Health and Medical Implications](#)

- [Managing the Storm After the Storm: Healthcare in TX Recovers from Severe Winter Weather](#)

- [Natural Disasters TC](#)

- [Post-Disaster Lessons Learned: Dialysis Patient Management](#)

- [*The Exchange* Issue 6: Evacuating Healthcare Facilities](#)

- [*The Exchange* Issue 10: Preparing for and Responding to Wildfires and Planned Outages](#)

- *The Exchange* Issue 19: Extreme Weather and Healthcare- Lessons Learned and Considerations for the Future (Coming Soon)
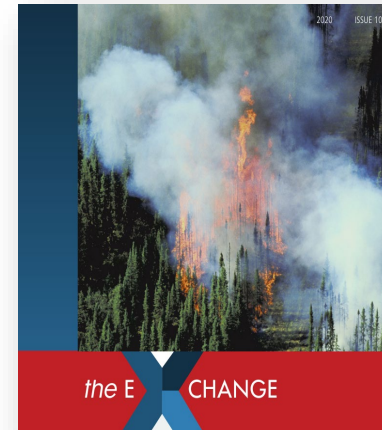
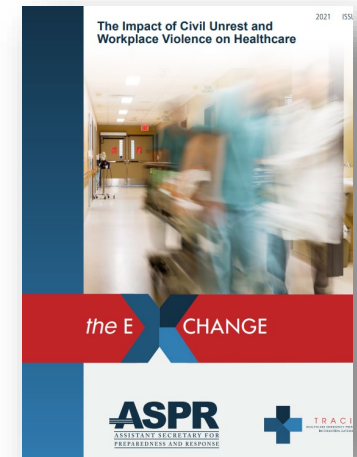# Select Mass Violence/ Workforce Safety Resources

Topic Collections

- [Active Shooter and Explosives](#)
- [Workplace Violence](#)

Exchanges

- [Issue 3: Preparing For and Responding to No-Notice Events](#)
- [Issue 7: Providing Healthcare During No-Notice Incidents](#)
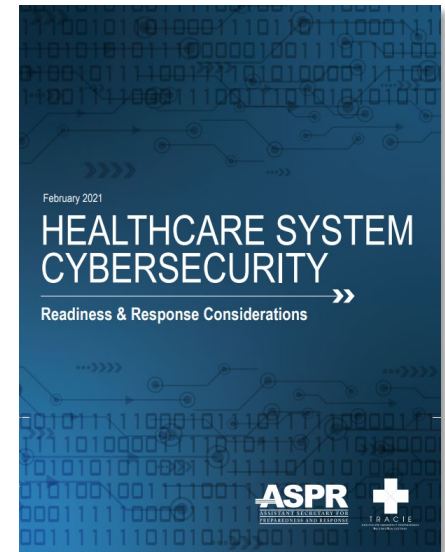- [Issue 14: The Impact of Civil Unrest and Workplace Violence on Healthcare](#)

Resources

- [Civil Unrest During a Pandemic: Notes from Minneapolis](#)
- [Mass Violence/Active Shooter Incident Tip Sheets](#)
- [Mass Violence Resource Page](#)
- [On-Campus Healthcare Armed Assailant Planning Considerations](#)
- [Strategies for Healthcare Workplace Violence Prevention: Risk Assessment and De-Escalation Webinar](#)

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Select Cybersecurity Readiness and Response Resources

- [Healthcare System Cybersecurity: Readiness and Response Considerations](#) and accompanying [Overview Presentation](#) and [Webinar](#)
- Checklists for operational use before, after, or during a cyberattack:
  - [Hospital Downtime Operations](#)
  - [Hospital Downtime Preparedness](#)
  - [Cyber Incident Response](#)
  - [Cyber Incident System Restoration](#)
- [Cybersecurity Resource Page](#)
- [Cybersecurity Topic Collection](#)
- [Electronic Health Records and Downtime Procedures Topic Collection](#)

February 2021
HEALTHCARE SYSTEM CYBERSECURITY
Readiness & Response Considerations

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Select Emergency Operations/ Management Resources

- [Emergency Operations Plans/ Emergency Management Program Topic Collection](#)
- [Evaluation of Hazard Vulnerability Assessment Tools](#)
- [Exercise Program Topic Collection](#)
- [Hazard Vulnerability/Risk Assessment Topic Collection](#)
- [Healthcare-Related Disaster Legal/ Regulatory/ Federal Policy Topic Collection](#)
- [Incident Management Topic Collection](#)
- [Training and Workforce Development Topic Collection](#)
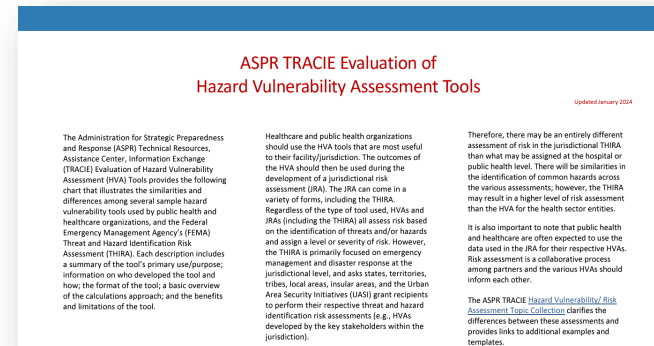
Continued Growth and Collaboration

ASPR TRACIE currently enjoys a nearly 99% highly satisfied customer service rating and our dedicated team wants to maintain this level of satisfaction.

Continuous quality improvement, customer feedback, outreach to many types of stakeholders.

Collaboration with non-traditional healthcare providers and supportive/allied providers.

Contact Us

asprtracie.hhs.gov   1-844-5-TRACIE   askasprtracie@hhs.gov

CMS Emergency Preparedness Requirements

ASPR-CMS

Caecilia Andrews
Division of Continuing & Acute Care Providers
Quality, Safety & Oversight Group

Eric Mangahis
Survey Operations Group

Centers for Medicare & Medicaid Services
QSOG_EmergencyPrep@cms.hhs.gov

Four Provisions for All Provider Types

Risk Assessment and Planning

Policies and Procedures

Emergency Preparedness Program

Communication Plan

Training and Testing

8

Areas of Focus

- Patient Population not assessed in the facility's risk assessment;

- Tailoring risk assessments to the facility;

- Leadership knowledge of the emergency plan;

- Testing Exercises & After-Action Reviews (AARs);

- Integration with other plans and programs.

ASPR TRACIE & CMS

- Collaboration since inception of ASPR TRACIE and original 2016 Emergency Preparedness Rule.

- ASPR TRACIE's by-provider checklists:
  – Self-Assessment Tool
  – Identifying location of document

- Some surveyors also use the checklists assessment of a facility's compliance.

ASPR TRACIE & CMS

- CMS has the QSOG_EmergencyPrep@cms.hhs.gov resource mailbox, while ASPR TRACIE has one as well askasprtracie@hhs.gov.
- Our teams collaborate on TA requests. Policy and compliance inquiries are the responsibility of CMS, while requests for tools, resources and assistance on emergency preparedness are managed through ASPR TRACIE.

Resources

- **Providers and suppliers should refer to the resources on the CMS website for assistance in developing EPPs. https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/index.html**

- The Assistant Secretary for Preparedness and Response (ASPR)- Technical Resource Assistance Center and Information Exchange (TRACIE) https://asprtracie.hhs.gov/cmsrule

- Not sure if you are a Medicare-participating facility that needs to comply? Visit https://qcor.cms.gov/index_new.jsp and search your facility's information.

Thank you!

QSOG_EmergencyPrep@cms.hhs.gov

Three Things to Do

- Bookmark the ASPR TRACIE website. Become familiar with the plethora of resources available.

- Remember to reach out to the TA center for your emergency preparedness and response needs.

- Be familiar with Appendix Z and utilize ASPR TRACIE's provider checklist as a survey readiness tool.

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Questions?

Thank you!

ASPR TRACIE | asprtracie@hhs.gov

CMS | QSOG_EmergencyPrep@cms.hhs.gov

Jennifer Wieckowski | jwieckowski@hsag.com

Karen Schindler | kschindler@hsag.com

CMS Disclaimer