

Setting the Record Straight Webinar Series

Part 1: The CMS Rule for Emergency Preparedness

Wednesday, February 26, 2020

Tina Wright, Massachusetts League of Community Health Centers

Shonte Carter, Centers for Medicare and Medicaid Services

Alex Lipovtsev, Community Health Care Association of New York State

Caecilia Blondiaux, Centers for Medicare & Medicaid Services



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Speakers



Shonte Carter, RHC and FQHC Central Office Program Lead
Centers for Medicare and Medicaid Services



Alexander Lipovtsev, Assistant Director, Emergency Management Program
alipovtsev@chcanys.org

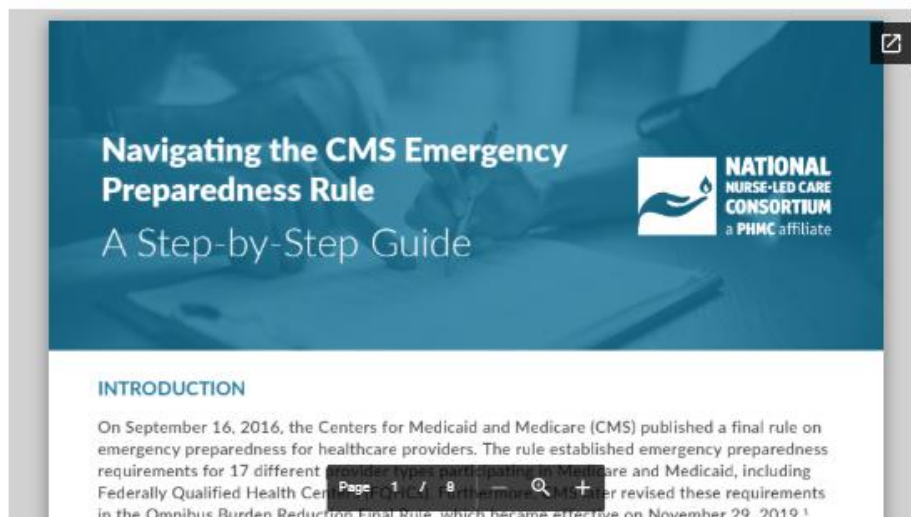


Tina Wright, Director, Emergency Management
twright@massleague.org

Health Center Resources

Navigating the CMS Emergency Preparedness Rule: A Step-by-Step Guide

Oct 24, 2018 12:00 AM EST



Download the Report

 [Navigating the CMS Emergency Preparedness Rule: A Step-by-Step Guide](#)



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CMS Emergency Preparedness Rule

What's New based on the Medicare and Medicaid Programs; Regulatory Provisions to Promote Program Efficiency, Transparency, and Burden Reduction Final Rule

Shonte Carter

Division of Continuing & Acute Care Providers

Quality, Safety & Oversight Group

Centers for Medicare & Medicaid Services

Final Rules

- Original Emergency Preparedness Final Rule: *Medicare and Medicaid Programs; Emergency Preparedness Requirements for Medicare and Medicaid Participating Providers and Suppliers* (2016)
- Revisions to Emergency Preparedness Requirements: *Medicare and Medicaid Programs; Regulatory Provisions to Promote Program Efficiency, Transparency, and Burden Reduction* (2019)

Important Reminders

- The Final Rule for Emergency Preparedness published in 2016 and provisions were updated with the Burden Reduction Final Rule *published 2019*.
- Emergency Preparedness still applies to all 17 provider and supplier types
- Compliance required for participation in Medicare
- Emergency Preparedness is ONE CoP/CfC of many already required

Four Provisions for All Provider Types



Primary Changes as of 2019's Burden Rule

- **Review & Updates:**
 - Plans, policies and procedures, communication plan **reduced to at least every 2 years** (annually for LTC). Review/updates should still occur as needed with changes.
- **Training/Testing**
 - For outpatient providers, revised the requirement such that only one testing exercise is required annually, which may be either one community-based full-scale exercise, if available, or an individual facility-based functional exercise, every other year and in the opposite years, these providers may choose the testing exercise of their choice.

Risk Assessment and Planning

- Develop an emergency plan based on a risk assessment.
- Perform risk assessment using an “all-hazards” approach, focusing on capacities and capabilities.
- Facilities must still have a process for cooperation and collaboration with local, tribal (as applicable), regional, State, and Federal emergency preparedness officials' efforts to maintain an integrated response during a disaster or emergency situation.
- Update emergency plan at **least every 2 years** (annually for LTC)

All-Hazards Approach:

- An all-hazards approach is an integrated approach to emergency preparedness that focuses on identifying hazards and developing emergency preparedness capacities and capabilities that can address those as well as a wide spectrum of emergencies or disasters.
- This approach includes preparedness for natural, man-made, and or facility emergencies that may include but is not limited to: care-related emergencies; equipment and power failures; interruptions in communications, including cyber-attacks; loss of a portion or all of a facility; and, interruptions in the normal supply of essentials, such as water and food; and emerging infectious disease (EID) threats.

Policies and Procedures

- Develop and implement policies and procedures based on the emergency plan and risk assessment, and the communication plan.
- Policies and procedures must address a range of issues including subsistence needs, evacuation plans, procedures for sheltering in place, tracking patients and staff during an emergency.
- Review and update policies and procedures at **least every 2 years** (annually for LTC).

Communication Plan

- Develop a communication plan that complies with both Federal and State laws.
- Coordinate patient care within the facility, across health care providers, and with state and local public health departments and emergency management systems.
- Review and update plan at **least every 2 years** (annually for LTC).

Training and Testing Program

- Develop and maintain a training and testing program including initial training in policies and procedures, based on the emergency plan, risk assessment, policies & procedures and the communication plan.
- Review and update the training and testing program at **least every 2 years.**

New Definitions for Training/Testing

- **Functional Exercise (FE):** “FEs are designed to validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions. FEs are typically focused on exercising plans, policies, procedures, and staff members involved in management, direction, command, and control functions” as defined by HSEEP. We have attempted to align our definitions with those guidelines.
- For additional details, please visit HSEEP guidelines located at https://preptoolkit.fema.gov/documents/1269813/1269861/HSEEP_Revision_Apr13_Final.pdf/65bc7843-1d10-47b7-bc0d-45118a4d21da

New Definitions for Training/Testing

- **Mock Disaster Drill**: A drill is a coordinated, supervised activity usually employed to validate a specific function or capability in a single agency or organization. Drills are commonly used to provide training on new equipment, validate procedures, or practice and maintain current skills.
- For example, drills may be appropriate for establishing a community-designated disaster receiving center or shelter. Drills can also be used to determine if plans can be executed as designed, to assess whether more training is required, or to reinforce best practices.

New Definitions for Training/Testing

- **Workshop**: A workshop, for the purposes of this guidance, is a planning meeting/workshop which establishes the strategy and structure for an exercise program, as defined by HSEEP. We have attempted to align our definitions with those guidelines.

For additional details, please visit [HSEEP guidelines](#).

Training Requirements

- Conduct initial training in emergency preparedness policies and procedures to all new and existing staff, individuals providing services under arrangement, and volunteers
- After initial training, provide emergency preparedness training **every 2 years** (Annually for LTC)
- Demonstrate staff knowledge of emergency procedures.
- Maintain documentation of all emergency preparedness training.
- If the emergency preparedness policies and procedures are significantly updated, conduct training on the updated policies and procedures.

Testing Changes with Burden Reduction

- **For outpatient providers:** Facilities are required to only conduct one testing exercise on an annual basis, which may be either one community-based full-scale exercise, if available, or an individual facility-based functional exercise, every other year and in the opposite years, these providers may choose the testing exercise of their choice.
- These outpatient providers are required to conduct one full-scale or individual facility based exercise every two years, and in the opposite years, the providers can conduct testing exercise of choice, which can include either a full-scale, individual facility-based, drill, tabletop exercise/workshop which includes a facilitator.

Testing Exercises- Reminder

- CMS is not specifying a minimum number of staff which must attend these exercises, however facility leadership and department heads should participate in each exercise.
- A sufficient number of staff should participate in the exercise to test the scenario and thoroughly assess the risk, policy, procedure, or plan being tested
- If an exercise is conducted at the individual facility-based level and is testing a particular clinical area, the expectation is that staff who work in this clinical area participate in the exercise for a clear understanding of their roles and responsibilities.

Testing Exercises- Reminder

- Additionally, facilities can review which members of staff participated in the previous exercise, and include those who did not participate in the subsequent exercises to ensure all staff members have an opportunity to participate and gain insight and knowledge.

Where are we now?

- Our Surveyor Training (available publically) is under development to reflect these new changes.
- Appendix Z updates are in progress and forthcoming.
- Changes are effective upon implementation of the Final Rule - November 29, 2019, no grace period.

Reminders and Important Notes

- While we encourage the use of healthcare coalitions, we recognize this is not always feasible for all providers and suppliers.
- For facilities participating in coalitions, we are not specifying the “level” of participation. However, if facilities use healthcare coalitions to conduct exercises or assist in their efforts for compliance, we ask this would be documented and in writing.

Reminders and Important Notes

Continued

- When developing transfer agreements, facilities must take into account the patient population and the ability for the receiving facility to provide continuity of services.
- If a facility has a transfer arrangement with another facility and this facility could not accommodate all patients, then the facility should plan accordingly to provide continuity of services with another facility who could receive the remaining residents.

Reminders and Important Notes

Continued

- Facilities should also take into account the availability of contracted resources during an emergency event. For instance, a facility has a written arrangement with a transportation company, yet during an emergency the transportation company is unable to reach the facility due to flooding and/or having other arrangements with the community.
- The facility is responsible to ensure these areas are discussed and managed within their policy and procedure to ensure availability of resources during an emergency event.
- It would be appropriate for the facility to have discussions with transportation vendors about their competing contracts during an emergency and the vendor's continuity of business plans in the event of an emergency.

State Requirements & Accrediting Organizations

- The Emergency Preparedness Rule does not specify quantities within any provisions. The rule is broad and overarching.
- Facilities should check with their State Survey Agencies and Accrediting Organizations (as applicable) for any specific non-CMS requirements which may exceed the Final Rule.

Compliance

- FQHCs must remain in substantial compliance with all of the FQHC regulatory requirements specified in 42 CFR Part 405, Subpart X, and in 42 CFR Part 491, with the exception of Section 491.3.
- Unlike RHCs, FQHCs do not undergo initial/recertification surveys. Instead, they are subject to a filing procedure. Under this procedure, the FQHC self-attest that it is in substantial compliance and will remain in substantial compliance with all applicable Medicare regulations.
- Facilities are expected to be in compliance with the EP requirements with these changes effective 11/29/2019.

State Agency Survey

- If CMS receives a credible allegation(s) of noncompliance with the Medicare requirements and health and safety standards found at 42 CFR 405 and 42 CFR 491, the State Survey Agency (SA) will conduct a unannounced complaint survey investigation on behalf of CMS.
- To determine whether the FQHC is in substantial compliance with the Medicare requirements, SAs (or CMS regional offices, in the case of tribal FQHCs) follow the general complaint survey process located in Chapter 5 of our State Operations Manual (SOM), particularly §§5200 – 5240 and Appendix G. (See Chapter 5: <https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/Downloads/som107c05pdf.pdf> and Appendix G: https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/downloads/som107ap_g_rhc.pdf)

Complaint Investigation – Compendious Review

- In general, a complaint investigation is a focused survey conducted on the specific regulatory requirement(s) related to the allegation, but the SA can expand the scope of review as necessary to determine compliance or noncompliance.
- If deficiencies are cited, the SA documents the deficiencies on the Form CMS-2567 and obtains an acceptable Plan of Correction (PoC).
- The Form CMS-2567 is the official document that communicates the determination of compliance or noncompliance with Federal requirements. Also, it is the form that the FQHC would use to submit a plan to achieve compliance, i.e., the PoC.

Complaint Survey Protocol - Sample

- *Off-Site Survey Preparation*
- *Entrance Conference*
- *Information Gathering/Investigation*
- *Preliminary Decision Making and Analysis of Findings*
- *Exit Conference*
- *Post-Survey Activities*

QCOR & Areas of Focus

- QCOR provides an opportunity for review of citation data by provider/supplier types and the ability to filter specific to E-Tags (Emergency Preparedness citations)
- Currently, top EP citations across all providers are:
 - EP Testing/Exercises
 - Development and Updates to the EP Program
 - EP Training

QCOR & Areas of Focus

- Currently, top EP citations nationally for RHCs is:
 - Develop and Maintain EP Program
 - EP Training Program
 - EP Testing Requirements
- These areas should be closely reviewed within your specific Emergency Preparedness Programs for compliance with the requirements.

The QSOG EP Website

- Providers and Suppliers should refer to the resources on the CMS website for assistance in developing emergency preparedness plans.
- The website also provides important links to additional resources and organizations who can assist. We will be working on revisions to FAQs and other resources for the next several months to reflect the new changes
- <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/index.html>

Use the Checklists

- We would recommend facilities use the checklists developed by ASPR to help guide them to their specific requirements.
- Review the checklists under Facility-Specific Requirement Overviews at <https://asprtracie.hhs.gov/cmsrule>
- Consider annotating on the checklist, the location of each of your elements of the plan to assist surveyors reviewing on-site.

Additional FQHC Resources

- Appendix G – Guidance for Surveyors: Rural Health Clinics
- Appendix Z – Guidance: Emergency Preparedness for All Provider and Certified Supplier Types

QSOG_EmergencyPrep@cms.hhs.gov

Thank you!



QSOG_EmergencyPrep@cms.hhs.gov

Setting the Record Straight Webinar Series

Part 2: Joint Commission and Other Standards

Wednesday, March 25, 2020 at 2:00 pm ET

Register on [NurseLedCare.org](https://www.nurseledcare.org)



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