



## Connect Consulting Services

Engage – Prepare – Recover

### CMS Emergency Preparedness Compliance Self-Assessment Tool: General Instructions

Completing this self-assessment tool will help you determine your organization’s readiness for emergency planning and how your organization can meet the Centers for Medicare and Medicaid (CMS) Emergency Preparedness Final Rule requirements. This document is not a guarantee of compliance, but a tool to identify your organizations emergency planning, training, and exercise capacity and gaps. Refer to the CMS Rule ([see below↓](#)) for a complete accounting of all the requirements for your provider type.

<https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/Emergency-Prep-Rule.html>

**Please follow the steps below to complete the Self-Assessment Tool.**

**STEP #1:** Please answer each question in **Section 1** with a “Yes” or “No” response to determine your emergency planning readiness. This section helps you to evaluate your organization’s staffing, team structure and organizational capacity.

**STEP #2:** In **Section 2**, please assign a value between **0 - 3** to determine your CMS compliance readiness level according to the following scale: **0 = No; 1=Minimal; 2=Partial; 3=Yes, Fully**. This section focuses on emergency management elements such as evaluating your organization’s Emergency Operations Plan and Hazards Vulnerability Assessment (HVA), Policies and Procedures, Communication Plan and Training and Testing activities.

**STEP #3: Scoring Rubric:** Please add up all sections and see where you land on the Self-Assessment Tool to determine your CMS Compliance Readiness Level.

SCORE	What your CMS Compliance Readiness Level?
81 – 90	Fantastic - You are on well on your way to CMS compliance!
68 – 80	Good for you – There are gaps in your emergency management program, but you are on your way!
45 – 67	OK - You have a long way to go to get to CMS compliance, let’s roll-up our sleeves!
0 – 44	You are just getting started – So give us a call and let’s get going!

# CMS Emergency Preparedness Compliance Self-Assessment Tool

Section #1 – Emergency Operations Planning Best Practices	Yes	No	Notes
<b>Emergency Preparedness Plan:</b>			
<b>1. Do you have staff that represent each of your organizational departments (clinical and non-clinical) as part of your Emergency Management Planning Team? If so, does/has the Team:</b>			
a. Obtain authorization from upper management;			
b. Obtain support from all staff to include upper management, clinical and non-clinical support staff;			
c. Identifying the organization’s role in assisting the community in the event of an emergency;			
d. Develop and maintain the Emergency Preparedness Plan current and in compliance with State and Federal Regulations;			
e. Coordinating all policies, procedures, plans and trainings to operationalize the organization’s Emergency Management Program.			
<b>2. Has your Organization:</b>			
a. Reviewed insurance policies with a disaster in mind?			
b. Identified which critical services and operations will be needed to continue during an emergency?			
c. Identified the need to increase operational capacity?			
d. Established Mutual Aid Agreements with other organizations?			

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**Answer the questions below, please assign a value between 0 - 3 to determine your CMS compliance readiness level according to the following scale: 0 = No; 1=Minimal; 2=Partial; 3=Yes, Fully**

Section #2 – Emergency Operations Plan Requirements	0 - 3	Notes
<b>Emergency Preparedness Plan Requirements:</b>		
<b>1. Has your Organization:</b>		
a. Identified internal and external risks to your organization by completing a Hazard Vulnerability Assessment (HVA) for <i>each</i> of your practice sites?		
b. Has the HVA been reviewed and updated within the last 12 months?		
c. Completed an all hazards Emergency Preparedness Plan for <i>each</i> of your practice sites that can guide your disaster response process for both medical and non-medical disasters?		
d. Has the Plan been reviewed and updated within the last 12 months?		
e. Developed a business continuity plan or Continuity of Operations strategies to address continuity of patient care?		
<b>2. Emergency Preparedness Plan Detail:</b>		
a. Does your Plan contain orders of succession with an Incident Command System (ICS) or other means to identify who is in charge? (If decision makers are unavailable, who is in charge?)		
b. Require review and update of the HVA annually?		
c. Require review and update of the Plan annually based upon risks identified in the HVA?		
d. Does your Plan contain Policies and Procedures (security, evacuation, staff recall, etc.) that direct personnel during an emergency?		
e. Does your Plan contain provisions for facilities, equipment and supplies needed in an emergency?		
f. Does your Plan address cyber security for all patient and operations data?		
g. Does your Plan make provisions for patient overflow and tracking?		
h. Does your Plan make provisions for vulnerable populations' health needs)?		
i. Does your Plan have a provision to extend or reduce regular treatment hours in an emergency?		

Section #2 – Emergency Operations Plan Requirements	0 - 3	Notes
j. Does your Plan have provisions for sheltering-in-place during significant disaster or terrorism event?		
k. Does your Plan have a provision for relocating services in the event the facility is inoperable?		
<b>Emergency Operations Plan Requirement Section Subtotal</b>		
<b>Communications Plan Requirements:</b>		
1. Does your Plan include a Communications Plan with policies and procedures for communicating with internal stakeholders such as patients, Board, and staff?		
2. Does your Communication Plan address communicating with external stakeholders such as federal, tribal, state, and local agencies?		
3. Does your organization have alternate/redundant communications systems (satellite phones, radios, etc.) in the event standard communications systems become unavailable?		
4. Does your Plan reference your organization’s internal and external communication policies and alternate/redundant communication systems?		
5. Do you review and revise your Communications Plan at least annually?		
<b>Communication Plan Requirement Section Subtotal</b>		
<b>Training and Testing Plan Requirements:</b>		
1. Does the organization have a Training and Testing Plan?		
2. Does your emergency preparedness training occur <b>annually</b> focusing on emergency management, personal preparedness, continuity of operations, and business continuity?		
3. Does your organization provide initial training in emergency preparedness policies and procedures to all new and existing staff, individuals providing services under arrangement, and volunteers, consistent with their expected roles?		
4. Does your organization maintain documentation of annual training and testing?		

Section #2 – Emergency Operations Plan Requirements	0 - 3	Notes
5. Does your organization participate in an operational facility level or community based full –scale exercise (FSX) annually?*		
6. Does your organization conduct a second FSX or a functional exercise (FX) or tabletop exercise (TTX) annually?***		
7. Following drills and exercises, does a process exist to identify successes and opportunities for improvement which are documented as an After-Action Report (AAR)?		
8. Does the organization create disaster exercise scenarios based upon the risks of the organization as identified in the HVA?		
9. Do you analyze your staff's responses to and maintain documentation of drills, tabletop exercises, and emergency events, and revise their emergency plans, as needed?		
<b>Training and Testing Plan Requirement Section Subtotal</b>		
<b>Total CMS Emergency Preparedness Compliance Score</b>		

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### Section 3: Scoring Rubric

Please add up all sections and see where you land on the Self-Assessment Tool to determine your CMS Compliance Readiness Level.

SCORE	What your CMS Compliance Readiness Level?
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Connect Consulting Services' offers everyone a **free 30-minute consultation** to learn more about your emergency management and business continuity planning, training, and exercise needs. To schedule your consultation, please [book time with us at this link](#) or call us at 916 758-3220 and/or email us at [Connect@ConnectConsulting.biz](mailto:Connect@ConnectConsulting.biz). Contact us today!