



-AMBULATORY SURGERY CENTER- CMS Emergency Preparedness Rule Compliance Checklist

Ambulatory Surgery Center (ASC) Organization (Medicare Facility Name):	
CMS Certification Number (CCN): <small>Complete a separate form for each CCN</small>	
Leader Responsible for Emergency Preparedness:	
Review Completed By:	
Date Review Completed:	

This tool is designed for a freestanding ASC and does not address integrated healthcare system.

Risk Assessment	Compliant (Y/N)	Comments & Supporting Documents
Conduct a community-based Risk Assessment, annually		
<ul style="list-style-type: none"> • Utilize an all hazards approach 		
<ul style="list-style-type: none"> • Assess the likelihood and impact of events that are specific to the geographic area and patient population 		
<ul style="list-style-type: none"> • Included as a part of the Emergency Plan 		

Emergency Plan	Compliant (Y/N)	Comments & Supporting Documents
Maintain an all hazards emergency preparedness plan that is reviewed, and updated at least annually		
<ul style="list-style-type: none"> • The plan is based on the Risk Assessment, addressing the events identified within including (but not limited to): <ul style="list-style-type: none"> ○ Impact of Power Failures ○ Natural Disasters ○ Man-made events ○ Technological events 		
<ul style="list-style-type: none"> • The plan must address: <ul style="list-style-type: none"> ○ Care and management of patient population to the level and type of services appropriate for the ASC. 		
<ul style="list-style-type: none"> • The plan must address Continuity of Operations (COOP) to include: <ul style="list-style-type: none"> ○ Delegation of Authority ○ Succession plans 		
<ul style="list-style-type: none"> • The plan will be developed in a collaborative and cooperative manner with local, tribal, regional, State, and/or Federal partners with a focus on integrated response. 		



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<ul style="list-style-type: none"> ○ The ASC should maintain documentation of planning meetings and/or invitations to partners. 		
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Policies and Procedures	Compliant (Y/N)	Comments & Supporting Documents
The ASC must develop and implement policies and procedures based on the emergency plan and risk assessment. The policies and procedures must be reviewed and updated annually.		
At a minimum the policies and/or procedures will address:		
<ul style="list-style-type: none"> • Communication with on-duty staff and patients to determine needed services or care. 		
<ul style="list-style-type: none"> • Informing State and local officials of any on-duty staff or patients that are unreachable. 		
<ul style="list-style-type: none"> • The security and availability of the system of medical documentation. 		
<ul style="list-style-type: none"> • ASC staff and volunteer utilization during an emergency and the integration of State and Federally designated health care professionals to address surge. 		
<ul style="list-style-type: none"> • Safe evacuation from the ASC, including: <ul style="list-style-type: none"> ○ Continuation of care ○ Staff roles and responsibilities ○ Transportation and logistics ○ Evacuation location(s) and route ○ Primary and alternate means of communication ○ Identification and coordination with external sources of assistance 		
<ul style="list-style-type: none"> • The ASC's role under an 1135 Waiver in the utilization of an alternate care site. 		
<ul style="list-style-type: none"> • A system to track employees on-duty and sheltered patients during an emergency. Tracking must be maintained through relocation. <ul style="list-style-type: none"> ○ Tracking should include specific name and location of the receiving facility/location. 		

Communication Plan	Compliant (Y/N)	Comments & Supporting Documents
The ASC must develop, maintain, and review annually an emergency preparedness communication plan that complies with all applicable regulations.		
At a minimum the policies and/or procedures will address:		



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<ul style="list-style-type: none"> • Names and contact information for the following: <ul style="list-style-type: none"> ○ Employees (Primary & Alternate means) ○ Entities providing services under arrangement ○ Patients' physicians ○ Volunteers 		
<ul style="list-style-type: none"> • Contact information for the following: <ul style="list-style-type: none"> ○ Response partners including Federal, State, and local. (Primary & Alternate means) ○ Other sources of assistance 		
<ul style="list-style-type: none"> • Sharing of patient information and medical documentation, as necessary, with other health care providers to maintain continuity of care. 		
<ul style="list-style-type: none"> • Releasing patient information as permitted under: <ul style="list-style-type: none"> ○ 45 CFR 164.510(b)(1) in the event of an evacuation. ○ 45 CFR 164.510(b)(4) about the general condition and location of patients under the facility's care. 		
<ul style="list-style-type: none"> • Ability and means to provide information to the Incident Command Center or key responders as to the ASC's needs, capacity, and ability to provide assistance. 		

Training and Education	Compliant (Y/N)	Comments & Supporting Documents
The ASC must educate and train staff (including contract staff, medical staff, & volunteers) regarding its comprehensive emergency preparedness program.		
The Training program will include:		
<ul style="list-style-type: none"> • Initial training on all associated policies and procedures to all new and existing employees and contracted staff consistent with their expected roles 		
<ul style="list-style-type: none"> • Annual training for staff that refreshes knowledge and addresses in changes to the associated policies and procedures. 		
<ul style="list-style-type: none"> • Staff demonstration of knowledge of emergency procedures 		
<ul style="list-style-type: none"> • A periodic review and rehearsal of the emergency preparedness plan with employees and contracted staff, emphasizing protection of patients and others. 		
<ul style="list-style-type: none"> • Record maintenance of all emergency preparedness training. 		



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Testing, Exercise and Evaluation	Compliant (Y/N)	Comments & Supporting Documents
The ASC must conduct exercises to test the emergency plan at least annually.		
The ASC will:		
<ul style="list-style-type: none"> • Participate in a full-scale community based exercise. If a community exercise is not available, a facility-based will be accepted. A real-world emergency may also take the place of a full-scale exercise as well. 		
<ul style="list-style-type: none"> ○ The ASC will complete an After Action Report (AAR) for the exercise / event. The development of the AAR will analyze the response and serve as documentation. 		
<ul style="list-style-type: none"> ○ The ASC will develop a corrective action plan and revise the appropriate plans, policies, and/or procedures. 		
<ul style="list-style-type: none"> • Within 12 months of the previous exercise/event the ASC will either: <ul style="list-style-type: none"> ○ Participate in a full-scale community based exercise. If a community exercise is not available, a facility-based will be accepted. A real-world emergency may also take the place of a full-scale exercise as well. ○ Table top exercise 		
<ul style="list-style-type: none"> ○ The ASC will complete an After Action Report (AAR) for the exercise / event. The development of the AAR will analyze the response and serve as documentation. 		
<ul style="list-style-type: none"> ○ The ASC will develop a corrective action plan and revise the appropriate plans, policies, and/or procedures. 		
<ul style="list-style-type: none"> • The ASC will complete an After Action Report (AAR) for all real-world emergencies. 		

Additional State & Local Emergency Preparedness Requirements	Compliant (Y/N)	Comments & Supporting Documents