

ASPR TRACIE Technical Assistance Request

Request Receipt Date (by ASPR TRACIE): 14 January 2020

Response Date: 22 January 2020

Type of TA Request: Standard

Request:

The requestor asked for references, procedures, checklists, and plans related to a hospital lockdown.

Response:

A variety of incidents could necessitate a hospital implementing lockdown procedures, including active shooter incidents, hostage situations, patients/visitors/staff exhibiting threatening behavior, child abductions, and threats exterior to the facility, among others. ASPR TRACIE reviewed existing resources, including those in the [Active Shooter and Explosives](#), [Responder Safety and Health](#), and [Workplace Violence](#) Topic Collections, for examples related to hospital lockdowns. Previous [technical assistance requests](#) were also reviewed. ASPR TRACIE also searched for general information on lockdowns.

Section I includes resources related to active shooter, hostage-taking, and other potentially violent incidents that include information on hospital lockdowns. Section II includes resources that are specifically focused on hospital lockdowns.

I. Resources That Include Information on Hospital Lockdowns

NOTE: The resources listed in Section I are checklists, templates, plans, and other written documents. The Topic Collections linked earlier in this response also include several videos demonstrating behaviors, including lockdown actions, that may be helpful to incorporate in training programs, scenario development, or other planning efforts. However, those videos are not listed in this Section.

ASPR TRACIE. (2019). [ASPR TRACIE-Developed Active Shooter Resources, and "Secure-Preserve-Fight" Model Articles](#).

This ASPR TRACIE TA response provides links to ASPR TRACIE-developed resources specific to healthcare active shooter incidents. It also includes published articles related to the concept of a “secure-preserve-fight” model.

ASPR TRACIE. (2019). [Code Grey Exercise Templates](#).

This ASPR TRACIE TA response includes links to tabletop exercise materials and related resources to help plan a Code Grey hospital/healthcare exercise. Code Grey indicates an abusive or assaultive person.

ASPR TRACIE. (2019). [ASPR TRACIE TA Response-Hospital Active Shooter and Door Resources](#).

This ASPR TRACIE TA response includes links to resources that mention securing doors in hospital-based active shooter incidents.

California Hospital Association. (2017). [Planning for Active Shooter Incidents](#).

This webpage provides two pages of links to resources that can help hospitals and other healthcare facilities plan for active shooter incidents. It includes a checklist, plans, guidelines, educational videos, and other materials. An Active Shooter Lockdown sample hospital policy is included on page two.

Healthcare and Public Health Sector Critical Infrastructure Protection Partnership. (2017). [Active Shooter Planning and Response in a Healthcare Setting](#).

This guide provides a comprehensive overview of issues and response to active shooters in the healthcare environment and includes response plan templates in the appendix.

Interagency Security Committee Active Shooter Working Group. (2015). [Planning and Response to an Active Shooter: An Interagency Security Committee Policy and Best Practices Guide](#).

This guide sets forth a new active shooter policy requirement for all nonmilitary federal facilities within the executive branch of the government and a set of recommendations to assist with implementing this policy.

Motzer, E. and Smock, W. (2010). [“Active Shooter” Safety Guidelines For Healthcare Campuses](#).

The authors provide active shooter planning guidance under five main categories: Pre-Incident Prevention and Preparation, Management During and Incident, Post Event Management, Safety Tips for Personnel, and Additional Resources.

Santa Barbara County Public Health Department. (n.d.). [2016 Active Shooter Exercise](#). (Accessed 1/21/2020.)

This webpage includes information specific to the 2016 California statewide exercise, as well as training and exercise resources and templates to support an active shooter exercise. The Key Components of Policy Slides under the Presentation section and some of the Sample Policies/Procedures under the Additional Resources section may be particularly helpful.

The Center for HICS Education and Training. (n.d.). [Incident Planning Guide: Hostage or Barricade Incident](#). (Accessed 1/17/2020.)

This guide introduces a scenario associated with a hospital hostage situation and includes checklists for hospital and emergency management program staff to consider when addressing this type of incident.

The Center for HICS Education and Training. (n.d.). [Incident Response Guide: Hostage or Barricade Incident](#). (Accessed 1/17/2020.)

This guide provides checklists of tasks that should be completed by hospital staff during a hostage or barricade incident in the hospital. It includes checklists for the various response timeframes: immediate response (0-2 hours), intermediate response (2-12 hours), extended response (greater than 12 hours), and demobilization/system recovery.

U.S. Department of Health and Human Services, U.S. Department of Homeland Security, U.S. Department of Justice, Federal Bureau of Investigation, and Federal Emergency Management Agency. (2014). [Incorporating Active Shooter Incident Planning into Health Care Facility Emergency Operations Plans](#).

This document gives healthcare facility emergency planners, executive leadership, and others involved in emergency operations planning assistance with planning for active shooter incidents.

II. Lockdown-Specific Resources

Capital Health. (2012). [Access Control to District Facilities at Times of Crisis \(All Hazards\)](#).

This document outlines various lockdown procedures for a health system in Canada.

Health Facilities Scotland. (2010). [Hospital Lockdown: A Framework for NHSScotland – Strategic Guidance for NHSScotland](#).

The document provides guidance to healthcare sites and buildings in Scotland to plan and execute a lockdown.

Northwest Region Healthcare Coalition. (n.d.). [Examples](#). (Accessed 1/21/2020.)

This webpage includes links to various healthcare organization emergency preparedness resources, including two sample lockdown policies.

NSW Government Health. (2017). [Health Care Facility Lockdown – A Framework for Developing Procedures](#).

The document provides guidance for healthcare facilities and sites in New South Wales, Australia to develop lockdown procedures.

Southern Health NHS Foundation Trust. (2015). [Lockdown Policy](#).

This detailed lockdown policy for a group of hospitals and other health-related sites in England includes a policy and procedures along with supporting appendices.

St. Cloud Hospital. (n.d.). Workplace Violence Prevention Resources. (Accessed 1/21/2020.)

A Minnesota hospital developed several resources to prevent workplace violence in healthcare settings, including a [lockdown procedures diagram](#) and an [Active Threat Situation Response Plan](#).

Trauma Center Association of America. (2013). [ASK TRAUMACARE: Active Shooter/Violent Intruder](#).

This document summarizes 23 responses to a request for information on trauma center active shooter/violent intruder planning efforts including whether they have lockdown policies, who has authority to implement such policies, and what types of incidents result in their use. Note that the policies identified as attached are only available to members.

University of Nebraska Medical Center. (n.d.). [Emergency Lockdown Procedures](#). (Accessed 1/21/2020.)

This downloadable graphic can be used by healthcare facilities to remind staff of lockdown procedures.

University of Toledo Health Science Campus. (2019). [Elevated Security/Lockdown Policy Number SM-08-003](#).

This document, last revised in 2019, is the lockdown procedures for the University of Toledo Medical Center, Emergency Department, and other campus facilities.

Western Connecticut Health Network. (2005). [Code Silver: Site Emergency Lockdown](#).

This document is the site emergency lockdown policy for a health system in Connecticut.