



**2006 PPHR DOCUMENTATION CHECKLIST FOR REGIONAL SITES  
GOAL III—EXERCISE SIMULATION: MEASURES 7-9**

Before you use this checklist, please review the PPHR Application Instructions. Follow the steps in the Instructions. If you need help, please make use of the support described in Step 3 on page two of the Instructions. **Reminder:** You must address **all** criteria items.

Follow these guidelines:

1. If an item is missing, include a one-page description that explains why you have not addressed the item and your plan to address the item. Include a timeline and the steps you will take to address the item.
2. When a brief explanation of a missing item will suffice, use the “Explanation for Items Not Addressed” column in the checklist.
3. Each item of documentation that you reference and include in the application must have a page number. Handwritten page numbers are acceptable. Insert the page number for each item in the column in this checklist. If documentation appears in several locations, include all of the page numbers.

**PPHR MEASURE #7: Exercise/Event**

The regional site provides documentation of its participation in **one** of the following exercises/events:

- One or more tabletops and/or functional exercises scaled to the size of the region
- A full-scale exercise
- An actual emergency event that comprehensively tested the region’s response plan and workforce competencies since October 2004

Measure #7-4 includes a full list of all of the items that LHDs must test during exercises and events. Exercises must partially test the region’s emergency response plan and worker competencies.

**Documentation must describe the region’s exercise/event planning process. It must also detail the region’s implementation and evaluation processes.**

**Reminder: Based on your LHD’s activities, include *EITHER* an After Action Report on an Exercise *OR* Documentation of a Real Event Response. You do not need to submit both.**

7-1: EXERCISE DOCUMENTATION—COMPONENTS OF AN AFTER ACTION REPORT	Page Number(s)	Explanation for Items Not Addressed
<b>A. Exercise Executive Summary:</b> Date of activity, etc.		
<b>B. Exercise Overview:</b> Type, purpose, etc.		
<b>C. Exercise Goals and Objectives:</b> Objectives and competency(ies) tested in an exercise.		
<b>D. Exercise Synopsis:</b> Number of participants, departmental participants, and partner organizations. Identify the role(s) of the constituent LHD participants (evaluators, observers, etc.).		
<b>E. Analysis of Outcomes</b> <input type="checkbox"/> i. Methodology (process or outcome evaluation, qualitative, quantitative, feedback from observers, feedback from participants, etc.).		

<input type="checkbox"/> ii. Assessment of whether or not exercise objectives were met. <input type="checkbox"/> iii. List and description of the evaluators (organizational affiliation, current role, experience, etc.).		
<b>F. Analysis of Long-Term Planning:</b> Description of what needs to change based upon evaluation findings.		
<b>G. Conclusion and Recommendations:</b> Description of the implications for the response plan, staff training, and future exercises.		
<b>7-2: REQUIRED REAL EVENT RESPONSE DOCUMENTATION</b>	<b>Page Number(s)</b>	<b>Explanation for Items Not Addressed</b>
<b>A. Incident Action Plan (IAP):</b> The IAP must include the following items: <input type="checkbox"/> i. Incident name <input type="checkbox"/> ii. Date of event <input type="checkbox"/> iii. Operational period <input type="checkbox"/> iv. Objectives <input type="checkbox"/> v. Regional site's and/or constituent LHDs' participants and partner organizations <input type="checkbox"/> vi. Safety messages <input type="checkbox"/> vii. The name of the individual who prepared the IAP		
<b>B. Debrief Documents:</b> IAP includes required debrief documents, including hot wash, participation and observer comments, etc.		
<b>C. After Action Report:</b> Report includes lessons learned, an assessment of whether or not objectives were met, and conclusions and recommendations.		
<b>D. Related Documents:</b>		
<b>7-3: EVIDENCE OF ACKNOWLEDGMENT</b>	<b>Page Number(s)</b>	<b>Explanation for Items Not Addressed</b>
<b>A. Acknowledgment:</b> Acknowledgment by response plan partners of receipt of a public health emergency communication, as required, for a drill, exercise, and event for the last twelve months (since September 2005) as required by the jurisdiction.		

**PPHR MEASURE #7: Exercise/Event**

7-4: COMPONENTS TO ADDRESS DURING EXERCISE (CAN INCLUDE, BUT ARE NOT LIMITED TO)	Page Number(s)	Explanation for Items Not Addressed
<p><b>A. Application of ICS Structure/Procedures:</b> Application of ICS organizational structure and procedures, such as Incident Action Planning and Common Communication Plans.</p>		
<p><b>B. Epidemiological Investigations:</b> Regional constituent LHDs effectively use collateral staff to test surge capacity and mutual aid.</p>		
<p><b>C. Telephone Protocol:</b> Testing the protocol for the constituent LHD telephones to be answered 24/7/365 and the appropriate persons are contacted and notified.</p>		
<p><b>D. Decision Making Process:</b> Official(s) with the authority to activate the regional public health emergency response must be involved in the decision making process.</p>		
<p><b>E. Communication System:</b> Demonstrating the ability to exchange alerts, information, and data about the event with response partners 24/7/365 using primary and redundant communication methods.</p>		
<p><b>F. Call Response:</b> Time to have a knowledgeable public health professional answer a call of urgent public health consequence 24/7.</p>		
<p><b>G. Local/State Notification:</b> Time for State to notify local or local to notify State regarding a call of urgent public health consequence as defined by State.</p>		
<p><b>H. Investigation Initiation:</b> Time from notifying an epidemiologist about the call to an initiation of an investigation.</p>		
<p><b>I. Health Alert Distribution:</b> Time from initiating an investigation to distributing a health alert—via Epi-X, Health Alert Network (HAN), fax, or email—that describes the initial report of an index case, known cases, possible risk factors, and initial public health interventions.</p>		
<p><b>J. Confirmatory Identification Notification:</b> Time from confirmatory identification (positive and negative) to initiate notification of appropriate federal, state, and local officials, especially law enforcement, also including the specimen/sample submitter.</p>		
<p><b>K. Shipment:</b> Time from shipment of clinical diagnostic specimens/samples to receipt at the designated laboratory.</p>		

<p><b>L. Message Approval:</b> Time to obtain message approval and authorization for distribution of public health and medical information to clinicians and other responders once message has been finalized.</p>		
<p><b>PPHR MEASURE #7: Exercise/Event</b></p>		
<p><b>7-4: COMPONENTS TO ADDRESS DURING EXERCISE, <i>continued</i></b></p>	<p><b>Page Number(s)</b></p>	<p><b>Explanation for Items Not Addressed</b></p>
<p><b>M. Issuing Information:</b> Time for agency to issue information to the public that acknowledges the event, provides status, and commits to continued communication once agency response plan is activated.</p>		
<p><b>N. Completing Notification:</b> Time to complete notification/alerting of the initial wave of public health personnel to staff emergency operations.</p>		
<p><b>O. Public Health Emergency Response Plan Activation:</b> If only public health emergency response plan is activated, time for initial wave of personnel to be physically present at public health EOC.</p>		
<p><b>P. Jurisdiction-Wide Emergency Response Plan Activation:</b> If jurisdiction-wide emergency response plan is activated, time for initial wave of public health responders to be physically present at jurisdiction-wide NIMS compliant medical operations center to support ESF #8.</p>		

## PPHR MEASURE #8: Plan of Correction

The regional site must submit a plan of correction. Regions should base—or partially base—their plans of correction on the exercise/event evaluation findings from Measure #7 above. Regions must use these evaluation findings to improve their written all-hazards response plan and to address staff training needs.

PLAN OF CORRECTION COMPONENTS	Page Number(s)	Explanation for Items Not Addressed
<b>A. Basis of Plan:</b> Plan of Correction is clearly based, or partially based, on the exercise/event submitted as part of the documentation for Measure #7.		
<b>B. Key Elements:</b> Plan of Correction incorporates the lessons learned, conclusions, and recommendations from the documentation submitted for Measure #7.		
<b>C. Response Plan Revision:</b> Plan of Correction addresses review, implementation of corrective actions, and a time table for revision of the regional response plan as necessary to reflect evaluation of exercise or real event.		
<b>D. Training Plan Revision:</b> Plan of Correction addresses review, implementation of corrective actions, and a time table for revision of the regional training plan as necessary to address staff training needs or real event.		
<b>E. Exercise Plan/Schedule Revision:</b> Plan of Correction addresses review, implementation of corrective actions, and time table for revision of the regional exercise plan/schedule.		

## PPHR MEASURE #9: Future Exercise Plan

The regional site submits documentation of its planning for future exercise(s). Documentation can include a draft exercise plan or planning notes. Regions must complete this work within 12 months after applying for Public Health Ready Recognition. Measure #9-1 in the Checklist includes the specific items that regions should address in future exercises.

The regional site uses data to develop its future exercise plan. This data (e.g., lessons learned, evidence of performance) should come from its evaluation of previous exercises (such as PPHR Measure #7 and #8). The site also provides evidence of establishing a quality improvement system. Effective systems will clearly use, and build upon, lessons learned from previous exercises.

9-1: PLAN SPECIFICATIONS AND COMPONENTS	Page Number(s)	Explanation for Items Not Addressed
<p><b>A. Timeline:</b> Documentation of planning and preparation for future exercise(s) within 12 months after applying for Public Health Ready Recognition.</p>		
<p><b>B. Basis of Plan: Future Exercise Plan is clearly</b> upon lessons learned from after action reports from previous exercises (<i>see Measures 7 and 8</i>). Plan provides evidence of establishing a quality improvement system based on these lessons.</p>		
<p><b>C. Description of Exercises:</b> Plan includes a clear, detailed description of intended future exercise(s). One or more exercises must address each of these components:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <b>i. Jurisdiction-Wide Exercises:</b> Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and jurisdictions.</li> <li><input type="checkbox"/> <b>ii. Call Down/High Priority Alert Exercise:</b> Testing of the health alert messaging system using a high priority message.</li> <li><input type="checkbox"/> <b>iii. Region-Wide Response:</b> Exercising how an LHD becomes part of a region-wide response that has resulted in the calling up of the EOC.</li> <li><input type="checkbox"/> <b>iv. State Health Department Involvement:</b> State health department is an actual exercise participant, evaluator, observer, or planner.</li> <li><input type="checkbox"/> <b>v. State/Regional Resource Coordination:</b> Activation coordination of response and resources between state and regional public health response partners.</li> <li><input type="checkbox"/> <b>vi. Health/Medical Partner Resource Coordination:</b> Regional entity or constituent LHDs coordinate(s) or actively participate(s) in testing the coordination of information about the event and response activities with other health and medical partners (medical, mental health, and social systems of care).</li> </ul>		
<p><b>9-2: COMPONENTS OF DRAFT EXERCISE PLAN OR PLANNING NOTES</b>  <b>NOTE:</b> The information that you provide will depend upon your LHD's exercise planning timeline. You <i>must</i> address all of the Mandatory Elements below and provide as much information as possible for the Additional Elements.</p>	Page Number(s)	Explanation for Items Not Addressed
<p><b>A. Mandatory Elements:</b> For each exercise planned for the next 12 months, draft plan or planning notes <i>must</i> include the following information:</p>		

<ul style="list-style-type: none"> <li><input type="checkbox"/> i. Proposed dates of exercise</li> <li><input type="checkbox"/> ii. Type of exercise</li> <li><input type="checkbox"/> iii. Description of purpose of exercise</li> <li><input type="checkbox"/> iv. Draft objectives</li> <li><input type="checkbox"/> iv. Expected departmental participants and partner organizations</li> </ul>		
<p><b>B. Additional Elements:</b> For each exercise planned for the next 12 months, draft plan or planning notes must include as much of the following information as possible:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> i. Competency(ies) to be tested</li> <li><input type="checkbox"/> ii. Plans for how each exercise will be evaluated and by whom</li> <li><input type="checkbox"/> iii. Development of an after action report</li> <li><input type="checkbox"/> iv. Participation in debriefing</li> <li><input type="checkbox"/> v. Development of corrective actions for plan and/or training plan</li> <li><input type="checkbox"/> vi. Implementation of corrective actions</li> </ul>		