

## Introduction

PHAB’s three prerequisites for local health departments – community health assessment, community health improvement plan, and strategic plan – are related to other documentation required by PHAB. The following tool consists of checklists for the CHA and CHIP, as well as charts that list the measures and required documentation for each prerequisite and other related measures. Consideration of these related measures throughout the documentation preparation for the prerequisites will ensure continuity throughout the health department’s application and facilitate the preparation of documentation for related measures.

Below is a list of all of PHAB’s standards and measures for local health departments. The highlighted and underlined measures are captured in this tool.

<u>1.1.1 T/L</u>	3.2.1 A	6.3.3 A	11.1.4 A
<u>1.1.2 T/L</u>	3.2.2 A	6.3.4 A	<u>11.1.5 A</u>
<u>1.1.3 A</u>	3.2.3 A	6.3.5 A	11.1.6 A
1.2.1 A	3.2.4 A		11.1.7 A
1.2.2 A	<u>3.2.5 A</u>	7.1.1 A	11.2.1 A
1.2.3 A		7.1.2 A	11.2.2 A
1.2.4 L	4.1.1 A	7.1.3 A	11.2.3 A
1.3.1 A	4.1.2 T/L	7.2.1 A	11.2.4 A
1.3.2 L	4.2.1 A	7.2.2 A	
1.4.1 A	4.2.2 A	7.2.3 A	12.1.1 A
1.4.2 T/L			12.1.2 A
	5.1.1 A	8.1.1 T/L	12.2.1 A
2.1.1 A	<u>5.1.2 A</u>	8.2.1 A	12.2.2 A
2.1.2 T/L	5.1.3 A	8.2.2 A	<u>12.3.1 A</u>
2.1.3 A	<u>5.2.1 L</u>		12.3.2 A
2.1.4 A	<u>5.2.2 L</u>	9.1.1 A	12.3.3 A
2.1.5 A	<u>5.2.3 A</u>	9.1.2 A	
2.2.1 A	<u>5.2.4 A</u>	9.1.3 A	
2.2.2 A	5.3.1 A	<u>9.1.4 A</u>	
2.2.3 A	<u>5.3.2 A</u>	9.1.5 A	
2.3.1 A	5.3.3 A	9.2.1 A	
2.3.2 A	5.4.1 A	9.2.2 A	
2.3.3 A	5.4.2 A		
2.3.4 A			
2.4.1 A	6.1.1 A	10.1.1 A	
2.4.2 A	6.1.2 A	10.2.1 A	
2.4.3 A		10.2.2 A	
	6.2.1 A	10.2.3 A	
	6.2.2 A		
	6.2.3 A		
3.1.1 A	6.3.1 A	11.1.1 A	
<u>3.1.2 A</u>	6.3.2 A	11.1.2 A	
		11.1.3 A	

### Community Health Assessment

PHAB’s requirements for the **community health assessment** (CHA) prerequisite are found in Standard 1.1 (Participate in or conduct a collaborative process resulting in a comprehensive community health assessment). The required documentation reflects both the process and the product. Below is a checklist that lists the required documentation and the documentation guidance for the measures that are applicable to local health departments. It may be used as a guide as a CHA is created and/or to ensure that all pieces of required documentation have been generated during the process.

✓	Community Health Assessment Components	
	Required documentation	Documentation Guidance
	Documentation that data and information from various sources contributed to the community health assessment and how the data were obtained	Sources may include federal, Tribal, state and local data; hospitals and health care providers; local schools; academic institutions; other departments of government (recreation, public safety, etc.); community non-profits; surveys, asset mapping, focus groups, town forums and listening sessions; and other data sources such as the County Health Rankings. Include both primary and secondary data.
	Description of the demographics of the population	Gender, race, age, income, disabilities, mobility (travel time to work or to health care), educational attainment, home ownership, employment status, etc.
	General description of health issues and specific descriptions of population groups with particular health issues	A narrative description of the health issues of the population and the distribution of health issues, based on the analysis of data listed in a) above. The description should include health issues of the uninsured/low income and minority populations.
	Description of contributing causes of community health issues	A discussion of the contributing causes of the health challenges, including: behavioral risk factors, environmental (including the built environment), socioeconomic factors, morbidity and mortality, injury, maternal and child health, communicable and chronic disease, and other unique characteristics of the community that impact on health status. Health status disparities, health equity, and high health-risk populations must be addressed.
	Description of existing community or Tribal assets or resources to address health issues	The assessment must include a listing or description of the assets and resources that can be mobilized and employed to address health issues. These may include other sectors. For example, a local park can encourage physical activity. Similarly, local farmers’ markets can be vehicles to promote healthful eating, and a school district can partner with the health department to provide health education.

✓	Processes related to the Community Health Assessment	
	Required documentation	Documentation Guidance
	Participation of representatives of various sectors of the Tribal or local community	Membership list and meeting attendance records
	Regular meetings to consider new data sources, review newly collected data, consider changing assets and resources, and conduct additional data analysis	Meeting agenda, meeting minutes, and copies of emails
	Description of the process used to identify health issues and assets	Specify the model that was adapted/used to for the collaborative process
	Documentation that the Tribal or local community at large has had an opportunity to review and contribute to the assessment	The department must provide documentation that preliminary findings of the assessment were distributed to the community at large and that the community's input was sought. Methods to seek community input include: publication of a summary of the findings in the local press with feedback or comment forms, publication on the health department's web page and website comment form, community/town forums, listening sessions, newsletters, presentations and discussions at other organizations' local meetings, etc.
	Documentation that the community health assessment has been distributed to partner organizations	Health departments must provide two examples of how the community health assessment is distributed to partners, stakeholders, other agencies, entities, and organizations. Samples of emails to partners and stakeholders providing information of how to access the assessment could be provided.
	Documentation that the community health assessment and/or its findings have been made available to the population of the jurisdiction served by the health department	Health departments must provide two examples of how they communicated the community health assessment results to the public. Documentation of distribution to libraries could provide evidence, as could the publication of the community health assessment on the department's websites. Summaries of the findings could also be published in newspapers.

Below is a chart that lists the measures and documentation related to the CHA. Consideration of these related measures throughout the development of the CHA will help ensure continuity throughout the health department’s application and facilitate the preparation of documentation for related measures.

<b>Standard 1.1: Participate in or conduct a collaborative process resulting in a comprehensive community health assessment</b>		
<b>Measure</b>	<b>Documentation</b>	<b>Notes on related measures</b>
1.1.1 T/L: Participate in or conduct a Tribal/local partnership for the development of a comprehensive community health assessment of the population served by the health department	<ol style="list-style-type: none"> <li>1. Participation of representatives of various</li> <li>2. sectors of the Tribal or local community</li> <li>3. Regular meetings</li> <li>4. Description of the process used to identify health issues and assets</li> </ol>	
1.1.2 T/L: Complete a Tribal/local community health assessment	<ol style="list-style-type: none"> <li>1. A Tribal or local community health assessment dated within the last five years that includes:               <ol style="list-style-type: none"> <li>a. Documentation that data and information from various sources contributed to the community health assessment and how the data were obtained</li> <li><b>b. A description of the demographics of the population</b></li> <li>c. A general description of health issues and specific descriptions of population groups with particular health issues</li> <li>d. A description of contributing causes of community health issues</li> <li>e. A description of existing community or Tribal assets or resources to address health issues</li> </ol> </li> </ol>	<p>Related to demographic data:</p> <p>3.2.5A 1. Demographic data regarding ethnicity and languages spoken in the community</p> <p>11.1.5A Documentation of the recruitment of qualified individuals that reflect the population served</p>
	<ol style="list-style-type: none"> <li>2. Documentation that the Tribal or local community at large has had an opportunity to review and contribute to the assessment</li> </ol>	

<p>1.1.3 A: Ensure that the community health assessment is accessible to agencies, organizations, and the general public</p>	<p>1. Documentation that the community health assessment has been distributed to partner organizations</p>	<p>Related to distribution of the community health assessment:</p> <p>12.3.1A – guidance 1. The health department must provide two examples of information exchange between the health department and the governing entity. Communication exchanges include discussions or dialogue with the governing entity regarding public health issues. These could be demonstrated through reports, testimonies, formal meeting minutes, meeting summaries, program updates, reports on identified public health hazards, <b>community health assessment findings</b>, community dashboards, outbreak and response efforts, annual statistical reports, or other written correspondence (memos, emails), and other informal approaches.</p>
	<p>2. Documentation that the community health assessment and/or its findings have been made available to the population of the jurisdiction served by the health department</p>	

### Community Health Improvement Plan

PHAB’s requirements for the **community health improvement plan** (CHIP) prerequisite are found Standard 5.2 (Conduct a comprehensive planning process resulting in a tribal/state/community health improvement plan). The required documentation reflects both the process and the product. This tool lists the required documentation and a summary of the documentation guidance for the measures that are applicable to local health departments, and may be used as a guide as a CHIP is created and/or to ensure that all pieces of required documentation have been generated during the process.

✓	Processes related to the Community Health Improvement Plan	
	Required documentation	Documentation Guidance
	Community health improvement planning process that includes:	The process may be an accepted state or national model; a model from the public, private, or business sector; or other participatory process model.
	Broad participation of community partners	This can be documented through participant lists, attendance rosters, minutes, or work groups or subcommittees.
	Information from community health assessments	This may include a list of data sets or evidence that participants used the community health assessment.
	Issues and themes identified by stakeholders in the community	Evidence that stakeholder discussions were held and that they identified issues and themes. The list of issues must be provided as documentation.
	Identification of community assets and resources	Evidence that stakeholder discussions were held and that they identified issues and themes. The list of issues must be provided as documentation.
	Setting community health priorities	Evidence that participants developed a set of priority community health issues.
	Implementation of the plan, including:	
	Reports of actions taken to implement CHIP strategies	Reports that specify the strategies, partners involved, and status or results of the actions taken; can be a work plan with timelines and progress; can be in narrative or a table format.
	Examples of plan implementation	Two examples of how the plan was implemented by the department and/or its partners.
	Evaluation reports, including:	Annual evaluation reports on progress in implementing the CHIP that includes:
	Monitoring of performance measures	Monitoring progress in meeting performance measures
	Progress related to health improvement indicators	Description of the progress made on health indicators as defined in the plan. It may take several years to show measurable progress in health indicators. If there has been no progress, the health department should explain that no progress has been evidenced to date.
	Revised health improvement plan based on evaluation results	May revise any aspect of the plan, and this can be based on achieved performance measures, implemented strategies, changing health status indicators, newly developing or identified health issues, and changing level of resources.

✓	Community Health Improvement Plan Components	
	Required documentation	Documentation Guidance
	Community health priorities, measurable objectives, improvement strategies and performance measures with measurable and time-framed targets	Community health priorities, measurable objectives, improvement strategies and performance measures with measurable and time-framed targets that were determined in the planning process. Measurable and time-framed targets may be contained in another document, such as an annual work plan. If this is the case, the companion document must be provided with the health improvement plan for this measure. Strategies should be evidence-based or promising practices. National state-of-the-art guidance, such as the National Prevention Strategy, Guide to Community Preventive Services, and Healthy People 2020, should be referenced.
	Policy changes needed to accomplish health objectives	Policy changes needed to accomplish the identified health objectives must be included in the plan.
	Individuals and organizations that have accepted responsibility for implementing strategies	Designation of individuals and organizations that have accepted responsibility for implementing strategies outlined in the community health improvement plan. This may include assignments to staff or agreements between planning participants, stakeholders, other local governmental agencies, or other community organizations. For this measure, agreements do not need to be formal, such as an MOA/MOU.
	Measurable health outcomes or indicators to monitor progress	Measurable health outcomes or indicators to monitor progress. These may be compiled with the objectives and measures as stated in section b above and may also be in a companion document. If this is the case, the companion document must be provided with the health improvement plan for this measure.
	Alignment between the community health improvement plan and the state and national priorities	Alignment between the community health improvement plan and the state and national priorities

## Documentation Selection Tools: PHAB Prerequisites

Below is a chart that lists the measures and documentation related to community health improvement planning. Consideration of these related measures throughout the development of the CHIPA will help ensure continuity throughout the health department’s application and facilitate the preparation of documentation for related measures.

<b>Standard 5.2: Conduct a comprehensive planning process resulting in a Tribal/state/community health improvement plan.</b>		
<b>Measure</b>	<b>Documentation</b>	<b>Notes on related measures</b>
5.2.1 L: Conduct a process to develop community health improvement plan	1. Completed community health improvement planning process that included: <ul style="list-style-type: none"> <li><b>a. Broad participation of community partners</b></li> <li>b. Information from community health assessments</li> <li>c. Issues and themes identified by stakeholders in the community</li> <li>d. Identification of community assets and resources</li> <li>e. A process to set community health priorities</li> </ul>	Potentially related to the community health improvement process:  9.1.4 A - guidance 1. Using a <b>broad, customer/stakeholder identification list developed as part of a strategic planning or health improvement planning process</b> , the health department must provide two examples of how customer/stakeholder feedback was collected and analyzed from two different types of customers
5.2.2L Produce a community health improvement plan as a result of the community health improvement process	1. Community health improvement plan dated within the last five years that includes: <ul style="list-style-type: none"> <li><b>a. Community health priorities</b>, measurable objectives, improvement strategies and performance measures with measurable and time-framed targets</li> <li><b>b. Policy changes needed to accomplish health objectives</b></li> <li>c. Individuals and organizations that have accepted responsibility for implementing strategies</li> <li>d. Measurable health outcomes or indicators to monitor progress</li> <li>e. Alignment between the community health improvement plan and the state and national priorities</li> </ul>	Related to community health improvement plan in general:  5.3.2A – guidance 1f. <b>[The strategic plan must include] Linkages with the health improvement plan and details on the health department’s roles and responsibilities for implementing the health improvement plan.</b> It must also link with the health department’s quality improvement plan. The strategic plan need not link to all elements of the health improvement plan or quality improvement plan, but it must show where linkages are appropriate for effective planning and implementation.

		<p>Related to community health priorities:</p> <p>3.1.2A 1 - guidance 1. The health department must provide two examples of health promotion strategies. The examples must come from two different program areas, one of which must address a chronic disease. The documentation must show how the strategies:</p> <ul style="list-style-type: none"> <li>• <b>Correspond to public health priorities identified through a health improvement plan.</b></li> </ul> <p>Potentially related to policy changes needed to accomplish health objectives:</p> <p>5.1.2A 1. Documentation of the health department’s contributions to deliberations concerning public health policy (potential link here)</p>
<p>5.2.3 A: Implement elements and strategies of the health improvement plan, in partnership with others</p>	<ol style="list-style-type: none"> <li>1. Reports of actions taken related to implementing strategies to improve health</li> <li>2. Examples of how the plan was implemented</li> </ol>	
<p>5.2.4 A: Monitor progress on implementation of strategies in the community health improvement plan in collaboration with broad participation from stakeholders and partners</p>	<ol style="list-style-type: none"> <li>1. Evaluation reports on progress made in implementing strategies in the community health improvement plan including:             <ol style="list-style-type: none"> <li>a. Monitoring of performance measures</li> <li>b. Progress related to health improvement indicators</li> </ol> </li> <li>2. Revised health improvement plan based on evaluation results</li> </ol>	

### Strategic Plan

PHAB’s requirements for the **strategic plan** prerequisite are found in Standard 5.3 (Develop and implement a health department organization strategic plan). The required documentation reflects both the process and the product. Below is a checklist that lists the required documentation and the documentation guidance for the measures that are applicable to local health departments. It may be used as a guide as a strategic plan is created and/or to ensure that all pieces of required documentation have been generated during the process.

Consideration of these related measures throughout the development of the strategic plan will help ensure continuity throughout the health department’s application and facilitate the preparation of documentation for related measures.

<b>Standard 5.3: Develop and implement a health department organizational strategic plan.</b>		
<b>Measure</b>	<b>Documentation</b>	<b>Related Measures</b>
5.3.1 A: Conduct a department strategic planning process	1. Description of elements of the planning process used to develop the organization’s strategic plan: a. <b>Membership of the strategic planning group</b> b. Strategic planning process steps	Potentially related to the membership of the strategic planning group:  9.1.4 A – guidance 1. Using a <b>broad, customer/stakeholder identification list developed as part of a strategic planning or health improvement planning process</b> , the health department must provide two examples of how customer/stakeholder feedback was collected and analyzed from two different types of customers
5.3.2 A: Adopt a department strategic plan	1. Health department strategic plan dated within the last five years that includes: a. Mission, vision, guiding principles/values b. Strategic priorities c. Goals and objectives with measurable and time-framed targets d. Identification of external trends, events, or factors that may impact community health or the health department e. Assessment of health department strengths and weaknesses f. <b>Link to the health improvement plan and quality improvement plan</b>	Related to the strategic plan in general:  9.2.1A – guidance 1. [An acceptable QI plan includes a description and demonstration of] how the improvement projects align with the health departments’ strategic vision/mission  Potentially related to the strategic plan in general:  9.1.1A – documentation of engaging the health department leadership and management in establishing or updating a performance management system The health department must document leadership’s engagement in setting a policy for and/or establishing a performance management system for the department. <b>This can be shown through strategic and operational plans...</b>

5.3.3 A: Implement the department strategic plan	1. Annual reports of progress towards goals and objectives contained in the plan, including monitoring and conclusions on progress toward meeting targets	
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