

PHAB Annual Report Guidelines for Accredited Health Departments - Section I

January 2015

In keeping with its goal to advance the quality and performance of Tribal, state, local, and territorial public health departments, PHAB communicates with accredited health departments throughout the five years of their accreditation status. Towards this goal, *The Guide to National Public Health Department Accreditation* states that all accredited health departments must submit an Annual Report to PHAB attesting to their continued conformity and describing their quality improvement efforts.

The annual reporting process enables PHAB to:

- Ensure health departments remain in conformity with the standards and measures under which they were reviewed for accreditation,
- Support health departments' work toward continuous quality improvement, and
- Assist health departments in preparing for reaccreditation at the end of the five-year accreditation period.

Health departments will submit their Annual Reports in two sections. **Section I** must be reviewed and approved by PHAB before **Section II** can be submitted. The focus of Section I is the health department's continued accreditation status. The focus of Section II is continuous quality improvement and performance management; continual engagement on key processes (e.g., CHA, CHIP); and preparations to be positioned to seek reaccreditation. *The submission of both sections is required for a health department to maintain accreditation.*

This instructional manual provides detailed guidance for completing and submitting both sections of the Annual Report. *Please read this manual in its entirety before you begin to develop your Annual Report.*



Advancing
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Overview of Section I of the Annual Report

The purpose of Section I is to assure PHAB that the health department continues to be in conformity with the standards and measures and can maintain its accreditation status. As such, Section I provides an opportunity for your health department to report on the following three categories:

Category 1: Continued Conformity

Circumstances that would potentially jeopardize your health department's continued conformity with the PHAB Standards and Measures under which accreditation was initially awarded.

Category 2: Priority Measures

Specific measures the Accreditation Committee requested that the health department address in its Annual Report. These are the specific measures that were identified by the Accreditation Committee in the letter the health department received when it was notified of its accreditation. (In addition to these specific measures, the Accreditation Committee listed general areas for continuous quality improvement that can be included in Section II of the Annual Report.)

Category 3: Adverse Findings

Adverse findings or communications related to oversight or control from federal or state funding agencies that indicate the health department is at risk for loss or reduction in those funds.

Timeline for Submitting Section I of the Annual Report to PHAB

Section I of the Annual Report is due to PHAB no later than the last day of the quarter in which the health department received accreditation. Thus:

- If your health department received accreditation in January, February, or March, the Annual Report is due on the last day of March of the next year.
- If your health department received accreditation in April, May, or June, the Annual Report is due the last day of June of the next year.
- If your health department received accreditation in July, August, or September, the Annual Report is due the last day of September of the next year.
- If your health department received accreditation in October, November, or December, the Annual Report is due the last day of December of the next year.

Step 1: Downloading and Completing Section I Annual Report Template

Your health department will be notified that it has been granted access to Section I of the Annual Report module in e-PHAB **on the first day of the calendar quarter in which your Annual Report is due.** For example, if your health department was accredited in January, February, or March, you would gain access to the module on January 1.

However, even before you gain access to the Annual Report module in e-PHAB, you may download Word-document Annual Report forms from PHAB's website and begin filling them out ahead of when they are due to PHAB. Filling out these forms before they are due is recommended. Then you can simply upload them to e-PHAB once access to the Annual Report module is granted. These forms — as well as other resources to help you complete the Annual Report — are available in the password-protected Accredited Health Department toolkit located

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at www.phaboard.org/toolkits. Download the forms from PHAB's website by clicking on the green "Accredited HD" log-in tab located at the bottom of PHAB's home page. You must log in using the same password that you received when you were accredited. The Annual Report resources are located at the bottom of the toolkit's home page.

After you download the Section I template from PHAB's Accredited Health Department Toolkit as instructed in the above paragraph, you will then proceed to respond to the three questions, as follows:

Category 1: Continued Conformity

First, you will indicate whether or not there have been any circumstances in the last year that could potentially jeopardize your health department's ability to continue to be in conformity with the Standards and Measures under which your accreditation was initially awarded.

- If you respond "Yes" to the first question, indicating that your health department has something to report on Category 1, type an "X" in the box to the left of the word "Yes" and proceed to fill in the information as instructed on the form.
- If the health department has nothing to report on Category 1, place an "X" in the box next to the word "No" to indicate that there is nothing to report, and then skip the rest of the questions associated with Category 1.

Category 1: Circumstances that would potentially jeopardize continued conformity with the standards and measures under which the accreditation was initially awarded. (This would include updated health department profile information that includes leadership changes and any other changes, such as budget, personnel, governance, or program changes that potentially jeopardize the health department's ability to be in conformity with the standards and measures.)	
Does the health department have anything to report on Category 1? (Place an X in the column to the left of the answer.)	
Yes (Answer the questions below)	No (Skip this section)
Circumstance	Description of the change
Leadership (e.g., changes in the Health Department Director) – Please provide name and job title	
Budget	
Number of FTE	
Number of employees	
Governance	
Structure (e.g., mergers, transition from stand-alone agency to superagency or vice versa)	
Programs or services that the health department provided at the time accreditation was conferred that it does not provide now	
Other circumstances	
Please describe how the circumstances listed above might affect the health department's continued conformity with the standards and measures.	

Additional Guidance: Use this portion of the form to inform PHAB of anything that might prevent your health department from continuing to be in conformity with the standards and measures, such as a significant loss of funding or staff, discontinued programs or services, or a leadership change or reorganization. You do not need to report every change in staffing, budget, etc. You need only report changes that are significant enough to have a potential effect on the health department's ability to remain in conformity with the PHAB Standards and Measures.

You do not need to report that your health department lost a single grant or contract due to budget cuts. However, if your health department lost significant funding, you should report it and, on the template, explain how the health department is managing the loss of resources and how you will continue to be in conformity with the standards and measures.

If your health department director changes, you must report it.

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Category 2: Priority Measures

Next, you will be asked whether there are specific measures the Accreditation Committee requested that your health department address in your Annual Report.

If the Accreditation Committee did not request that the health department address a specific measure, place an “X” in the column to the left of the word “No” and skip this section. If the Accreditation Committee requested that the health department address a specific measure, but the health department has already reported in a previous Annual Report that it has fully addressed the measure, place an “X” in the appropriate column and skip this section.

If you respond “Yes” to this question, indicating that the Accreditation Committee requested that your health department address a specific measure, place an “X” in the column on the far left side.

- Type the *measure number* and the wording of the measure. For example, “Measure 12.3.1, The routine sharing of information with your governing entity about public health issues in your community.”
- Cut and paste what the Site Visit Report said about this measure.
- Describe what your health department has done over the year to address the measure.

If you plan to continue your work on a measure into the next year, please report on both what has been accomplished and what you plan to do in the coming year.

Category 2: Specific measures the Accreditation Committee requested that the health department address in its Annual Report			
Did the Accreditation Committee request that the health department address a specific measure? (Place an X in the column to the left of the answer.)			
Yes (Answer the questions below)	Yes, but the health department has already reported in a previous annual report that it has fully addressed the measure (Skip this section)	No (Skip this section)	
			Response from Health Department
First Measure			
Measure Number:			
Measure Text:			
Site Visit Report Comment on the Measure:			
Health Department Actions:			
Second Measure			
Measure Number:			
Measure Text:			
Site Visit Report Comment on the Measure:			
Health Department Actions:			

Additional Guidance: You need report only on specific measures referenced by the Accreditation Committee. If the Accreditation Committee asked you to address a general topic, such as partnerships, you do not need to report on it in this section. (However, you might want to describe your work in that area as part of Section II.)

If you mistakenly indicate that you have no measures to address in response to the accreditation letter from the Accreditation Committee and yet the Accreditation Committee specified measures to be included in your Annual Report, you will be instructed to submit narrative on how the measures were addressed.

Category 3: Adverse Findings

Finally, you will be asked to indicate whether or not your health department has received any adverse findings or communications related to oversight or control from federal or state funding agencies that indicate the health department is at risk for loss or reduction in those funds. If you respond “Yes” to this third question, indicating that your health department has received an adverse finding or communication related to oversight or control, place an “X” in the appropriate column and provide answers to the questions that follow.

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If the health department has not received an adverse finding or communication related to oversight or control, place an "X" in the column to the left of the word "No" and skip this section.

Category 3: Adverse findings or communications related to oversight or control from federal or state funding agencies that indicate the health department is at risk for loss or reduction in those funds	
Has the health department received an adverse finding or communication related to oversight or control? (Place an X in the column to the left of the answer.)	
Yes (Answer the questions below. If the health department received multiple adverse findings/communications, please complete a separate table for each.)	No (Skip this section)
Adverse Finding/Communication #1	
What is the name of the funding agency?	
Summarize the concerns raised by the funding agency.	
Describe the results of this adverse finding/communication. (Did the health department lose funding? What actions, if any, did the health department take in response?)	

Additional Guidance: Use this portion of the form to provide information regarding any adverse findings against the health department that indicate the health department is at risk for loss or reduction of funding due to the health department's lack of performance, or fiscal concerns from a state or federal funding source. If your health department received multiple adverse findings/communications, complete a separate table for each.

You must report if your health department has been deemed to be a "high risk grantee." "A high risk grantee is a grantee or subgrantee considered to be "high risk" if an awarding agency determines that a grantee or subgrantee:

- (1) Has a history of unsatisfactory performance, or*
 - (2) Is not financially stable, or*
 - (3) Has a management system which does not meet the management standards set forth in this part, or*
 - (4) Has not conformed to terms and conditions of previous awards, or*
 - (5) Is otherwise not responsible; and if the awarding agency determines that an award will be made, special conditions and/or restrictions shall correspond to the high risk condition and shall be included in the award"*
- (OMB Circular A-128, "Audits of State and Local Governments")*

Step 2: Uploading and Submitting Section I in e-PHAB

Your health department will be granted access to Section I of the Annual Report module in e-PHAB on the first day of the calendar quarter in which your Annual Report is due. For example, if your health department was accredited in January, February, or March, it would gain access to the module on January 1 and Section I of the report would be due no later than the last day in March.

Upon gaining access to the Annual Reports tab in e-PHAB, you will first click on the Section I sub tab. You will then see the 3 questions relating to (1) continued conformity, (2) priority measures, and (3) adverse findings, as follows:

1. First you will be asked if there are any changes that potentially jeopardize your health department's ability to be in conformity with the Standards and Measures.
2. Next, you will be asked if the Accreditation Committee asked you, when your accreditation was conferred, to address any specific measures in Section I of the Annual Report. (On the screen in e-PHAB there is a text field that may contain the text from the Accreditation Committee letter. However, in some cases, this text field will just refer to the letter you received when you were accredited.) If this is not your first Annual Report, you may choose the second option: "Yes, but we already fully addressed those measures in an Annual Report from a previous year."
3. Finally, you will indicate whether or not your health department has received any adverse findings related to federal or state funding.

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If you respond “No” to all three questions, you will not be required to upload and submit the Section I template. Simply click the blue “Submit to PHAB” button to submit the form to your health department director. Your health department director will then be able to electronically sign and submit the form to PHAB for its review of your responses to the three questions. If PHAB staff have no concerns, you will be granted access to Section II.

(Note: If you respond “No” to all three questions and PHAB disagrees with one or more of your responses — for example, if the Accreditation Committee referenced a specific measure in your accreditation letter and you did not address it — you will be asked to complete “Section I: Changes and Measures.”)

The screenshot shows a web interface for the PHAB Annual Report. At the top, there are navigation tabs: "MY PROFILE", "MY ASSIGNMENTS", and "TRAINING". Below these is a secondary navigation bar with links: "HOME", "STAFF", "PROFILE", "OFFICIALS", "SOI", "APPLICATION", "BILLING", "TRAINING", "DOC. SUBMISSION", "REPORTS", "NOTES", "GROUPS", "EMAIL", "END IMITATE", "ANNUAL REPORT", and "HELP". The main content area is titled "HOME SECTION I". It contains three numbered questions with radio button options for "Yes" and "No".

1. To the best of your knowledge, are you aware of any circumstances that would potentially jeopardize continued conformity with the standards and measures under which your accreditation was initially awarded. (This would include updated health department profile information that includes leadership changes and any other changes, such as budget, personnel, governance, or program changes that potentially jeopardize the health department's ability to be in conformity with the standards and measures.)

Yes
 No

Accreditation Committee Guidance

2. When your accreditation was conferred, did the Accreditation Committee request that you address specific measures in your Annual Report?

Yes, we will describe the health department's progress specific to these measures
 Yes, but we already fully addressed those measures in an annual report from a previous year
 No

3. Has your health department received any adverse findings or communications related to oversight or control from federal or state funding agencies that indicate the health department is at risk for loss or reduction in those funds?

Yes
 No

At the bottom of the form, there are two buttons: "Save" and "Submit to PHAB".

If you respond “Yes” to one or more of the three questions, another tab will appear, called “Section I: Changes and Measures.” Within this tab you will upload — as a Word document — the template that you completed in Step 1 above. (Note: If you have not already completed this template, please download the Section I template from www.phaboard.org/toolkits as a Word document and complete it **now**. The template — as well as other resources to help you complete the Annual Report — is available in the password-protected Accredited Health Department toolkit located at www.phaboard.org/toolkits. You must log in using the same password that you received when you were accredited.)

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The screenshot shows a web application interface for the PHAB Annual Report. At the top, there is a navigation bar with links for 'HOME', 'SECTION I', and 'SECTION I: CHANGES & MEASURES'. A 'Collapse All Sections' button is located in the top right corner. The main content area is titled 'Changes and Measures' and contains an 'Instructions' section. The instructions state: 'Fill out the form below to report on any circumstances that would potentially jeopardize continued conformity with the standards and measures; activities to address specific Measures, or adverse findings or communications, per Section 1 for the Annual Report. Please find Templates at www.phaboard.org/toolkits/.' Below the instructions, there is a 'Title' input field. The 'Category' section has three radio button options: 'Circumstances that would potentially jeopardize continued conformity with the standards and measures under which your accreditation was initially awarded. Eg. Updated health department profile information that includes leadership changes and any other changes, such as budget, personnel, governance, or program changes.' (unchecked), 'Progress specific to Measures that the Accreditation Committee requested that your health department address in the Annual Report.' (checked), and 'Adverse findings or communications related to oversight or control from federal or state funding agencies that indicate the health department is at risk for loss or reduction in those funds.' (unchecked). At the bottom of this section are 'Save' and 'Submit' buttons. Below this is the 'Supporting Materials' section, which includes the text 'Provide supporting materials for Changes and Measures.' and a table with columns for 'Title', 'File Name', 'Actions', and 'Uploaded By'. The table currently shows 'No files have been uploaded.' and there is an 'Upload Documents' button below it. At the very bottom of the form are 'Save' and 'Submit' buttons.

After the Accreditation Coordinator uploads the completed Section I template, it will then be submitted to your health department's director, who will sign the form and submit it to PHAB. At this point, you will not be able to update the information in the Annual Report tab until you receive further notification from PHAB.

PHAB Review of Section I of the Annual Report

PHAB staff will review the health department's Section I. PHAB will review the answers to the first question to ensure that if there are any major changes in your health department, that the health department provides a sufficient explanation of how it remains in conformity with the standards and measures. PHAB will also ensure that each health department addresses the measure(s) identified by the Accreditation Committee in the accreditation letter that your health department received and to ensure that the health department has addressed further work in these areas. Finally, PHAB will note if your department has received any adverse findings related to federal or state funding.

Section I may be referred to the Accreditation Committee for their review and consideration for continued accreditation status. The health department will be notified that the Annual Report has been referred to the Accreditation Committee for review. If the Committee requires additional information pertaining to Section I, you will again gain access to the "Section I: Changes and Measures" tab so that you can upload additional documents and/or provide narrative text in response to PHAB's request.

The Committee may:

- Take no further action (accreditation status stands),
- Request further information from the health department,
- Require a Remedial Plan, or
- Revoke accreditation.

If Section I is approved, you will be notified and you will have access to Section II of the Annual Report.

Please note: The review of the Annual Report may be conducted in batches. Therefore you may not receive a response immediately following submission.