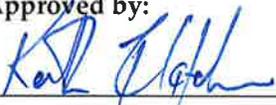


District of Columbia Department of Health <h2 style="color: #0056b3;">After Action Reports and Improvement Plans</h2>		PROCEDURE 1340.000 Implementing Office: Health Emergency Preparedness and Response Administration Training Required: Yes Originally Issued: 03 2019 Revised/Reviewed:
Approved by:  LaQuandra S. Nesbitt MD, MPH; Agency Director	Review by Legal Counsel:  Phillip Husband, Esq.; General Counsel	Effective Date: SEP 03 2019 Valid Through Date: SEP 03 2022

I. Authority	Reorganization Plan No. 4 of 1996; Mayor's Order 1997-42;
II. Reason for the Policy	<p>The Health Emergency Preparedness and Response Administration (HEPRA) is responsible for ensuring DC Health is prepared for its role as the lead agency for Emergency Support Function #8: Public Health and Medical Services (ESF8). In collaboration with District and regional partners, HEPRA develops Incident Action Plans (IAPs) to guide DC Health's response to public health emergencies. Also in collaboration with District and regional partners, HEPRA drafts Event Action Plans (EAPs) for planned events, and plans capabilities-based exercises ("exercises") that test specific elements of the capacity for the District and the region to respond in a real-life public health emergency. Per Centers for Disease Control (CDC) Guidance, After-Action Reports and Improvement Plans (AAR/IPs) must follow all incidents and exercises. In addition, all exercises supported by Department of Homeland Security (DHS) Grant Funding must be evaluated with a Homeland Security Exercises and Evaluation Program (HSEEP) compliant After Action Report (AAR). The purpose of an AAR/IP is to analyze an incident, exercise or event by identifying strengths to be maintained and built upon, as well as identifying potential areas of improvement. An AAR/IP provides analysis for lessons learned, best practices and recommendations for future planning, training, and exercise development. As improvement actions are identified and addressed, it is important that the All Hazards Emergency Operations Plan (AHEOP) as well as other plans, policies and procedures are updated annually to incorporate these findings. Depending upon the circumstances, HEPRA may be</p>

	<p>responsible for coordinating the development of these documents. A protocol is necessary to ensure these documents are completed within mandated time frames, and that findings are meaningfully acted upon to improve capabilities.</p>
<p>III. Applicability</p>	<p>This policy applies to all DC Health employees, contract employees, volunteers, interns, summer youth employees, and federal employees assigned to the District government employed by HEPRA (collectively referred to herein as “HEPRA employees”) or serving in any role on the DC Health Incident Management Team (IMT). This broader group of all individuals employed by HEPRA and/or serving on the IMT is collectively referred to herein as “employees.”</p>
<p>IV. Policy Statement</p>	<p>The planning and execution of exercises, planned events, and responses to real-life incidents is part of the HEPRA portfolio. The drafting of AAR/IPs, where applicable, and the tracking of improvements pursuant to those documents, is part of the Planning, Logistics, Operations and Training (PLOT) Division. The PLOT Division Chief is the accountable manager for all tasks assigned to the Division.</p> <p>Depending upon the circumstances of the exercise, planned event, or incident, HEPRA may or may not be responsible for coordinating the development of an AAR/IP. Unless otherwise stated, the language in this SOP should be understood as applying only when HEPRA has this responsibility. When HEPRA does not have this responsibility, HEPRA employees are required to provide a timely, accurate, and thorough response to any request for information or documents informing the development of an AAR/IP. HEPRA employees shall endeavor to attend, and participate actively, in any meetings convened by another entity pursuant to developing an AAR/IP.</p> <p>Every exercise shall be evaluated using Exercise Evaluation Guides (EEGs). The EEGs must, at a minimum, contain the specific criteria by which evaluators will assess performance on the capability, or capabilities, being tested in that exercise. All IAPs and EAPs will include Incident Evaluation Guides (IEGs) that will, at a minimum, contain the specific criteria by which evaluators will determine performance on the capability, or capabilities, required to execute the planned response.</p>

At the conclusion of an exercise or real-world response, including planned events, all IMT participants at every level shall complete a feedback form provided by HEPRA, offering candid observations of the most and least successful elements of the exercise/incident response and recommendations for improvements. Every IMT unit leader shall complete an ICS 214 form (Activity Log). All feedback forms and ICS 214 forms are to be submitted to the HEPRA Training and Exercise Officer, who shall maintain a file for every exercise/incident/event.

As soon as practicable, the Planning Section Chief, or designee, will convene a Hot Wash. The Training and Exercise Officer shall ensure that the content of the Hot Wash is accurately documented. The Incident Commander has the authority to convene multiple Hot Washes if necessary.

The evaluation team will complete the EEGs/IEGs. The composition of the evaluation team varies case-by-case. The employees comprising the evaluation team will vary case-by-case, and may or may not include HEPRA employees.

The Training and Exercise Officer is responsible for composing the first draft of the AAR/IP. The draft will include content sourced from:

1. Feedback forms;
2. ICS 214 forms;
3. EEGs/IEGs;
4. Hot Wash documentation.

Where the source data conflict, or are inconclusive, the Training and Exercise Officer may leave placeholders in the text where further work is necessary to refine the content. This includes, but is not limited to, cases where the deadline or accountable party for an improvement has not been agreed upon by all participating stakeholders. The first draft of the AAR/IP shall be sent to all stakeholders at least seven (7) calendar days prior to the After-Action Meeting (see below).

The HEPRA Senior Deputy Director (SDD), or designee, will convene an After-Action Meeting of all vested stakeholders. At a minimum, the agenda for the After-Action Meeting will include:

1. A discussion of the first draft of the AAR/IP;
2. Resolution of all pending items identified by the Training and Exercise Officer;
3. Finalize the accountable parties, and deadlines for all tasks in the IP.

Where vested stakeholders are unable to arrive at a consensus on any significant element of the AAR/IP, the PLOT Division Chief shall elevate the issue to the HEPRA SDD to address with his/her counterpart(s) at the applicable entities. The HEPRA SDD has the discretion to elevate the issue to the Director if this intervention does not sufficiently resolve the disagreement.

The Training and Exercise Officer is responsible for drafting the revised AAR/IP following the After-Action Meeting.

The HEPRA SDD will review the revised AAR/IP. Upon approval, the HEPRA SDD, or designee, will distribute the revised AAR/IP to vested stakeholders for a seven (7) calendar day comment period before it may be signed. The AAR/IP may be amended during this period in response to stakeholder feedback at the discretion of the HEPRA SDD, or designee.

The Director has final authority to sign an AAR/IP, formally finalizing the document. The Director may delegate this authority to the HEPRA SDD.

An AAR shall be finalized within 120 calendar days of the final day of a planned event or exercise. As an incident response may last for an indeterminable period, the HEPRA SDD, or designee, will declare the beginning of the 120-day period through a written notification.

All DC Health corrective action deliverables across all active IPs will be centrally tracked in a Rolling Summary Report. The corrective actions listed and tracked in the Rolling Summary Report comprise the HEPRA Corrective Action Program (CAP). The PLOT Division Chief, or designee, is responsible for maintaining the Rolling Summary Report. The PLOT Division Chief, or designee, will prepare a quarterly CAP update and distribute to all HEPRA managers. At a minimum, this update will include:

	<ol style="list-style-type: none"> 1. A list of all corrective actions completed since the previous report; 2. A list of all corrective actions past deadline; 3. A list of all corrective actions with deadlines that will elapse prior to the next update; 4. A list of barriers or constraints that threaten the timely completion of one or more corrective actions; 5. Any additional relevant information. <p>The Key Results Framework (KRF) for HEPRA will include metrics tied to the completion of tasks in the Rolling Summary Report. The HEPRA SDD, or designee, may authorize an ad hoc revision to the HEPRA KRF to track progress on an item in the Rolling Summary Report. Data from the Rolling Summary Report will be considered during each review of the AHEOP.</p> <p>Any employee in violation of any portion of this SOP may be subject to commensurate disciplinary action.</p>
<p>V. Definitions & Acronyms</p>	<p>AAR- After-Action Report</p> <p>AAR/IP- After-Action Report and Improvement Plan</p> <p>AHEOP- All Hazards Emergency Operations Plan</p> <p>CAP- Corrective Action Program</p> <p>Capabilities- A set of 15 distinct, yet interrelated, standards designed to advance the emergency preparedness and response capacity of state and local public health systems first established by CDC in 2011. These standards pioneered a national capability-based framework that helped jurisdictional public health agencies structure emergency preparedness planning and further formalize their public health agency ESF8 role(s) in partnership with emergency management agencies.</p> <p>CDC- United States Centers for Disease Control and Prevention</p> <p>EEG- Exercise Evaluation Guides</p> <p>ESF8- Emergency Support Function #8: Public Health and Medical Services. One of fifteen Emergency Support Functions that provide</p>

	<p>the structure for coordinating Federal interagency support for a Federal response to an incident.</p> <p>FEMA- United States Federal Emergency Management Agency</p> <p>HEPRA- Health Emergency Preparedness and Response Administration</p> <p>Hot Wash- The immediate after-action discussions and evaluations of an agency's (or multiple agencies') performance following an exercise, or major event.</p> <p>IAP- Incident Action Plan</p> <p>ICS 214- Incident Command System Form 214: Activity Log, issued by FEMA. The ICS 214 records details of notable activities at any ICS level, including single resources, equipment, Task Forces, etc. These logs provide basic incident activity documentation, and a reference for any after-action report.</p> <p>IEG- Incident Evaluation Guides</p> <p>IMT- Incident Management Team. A group that provides on-scene incident management support during incidents or events that exceed a jurisdiction's or agency's capability or capacity. Teams include members of local, state, tribal, and territorial entities; Nongovernmental Organizations (NGO); and private sector organizations. Teams encompass various agencies and jurisdictions.</p> <p>Incident- An occurrence, natural or manmade, that necessitates a response to protect life or property.</p> <p>IP- Improvement Plan</p> <p>KRF- Key Results Framework. An internal framework of performance data for quality improvement purposes.</p> <p>Planned event- A scheduled occurrence (e.g. the State of the Union Address, or the Fourth of July celebration) when an IMT is activated.</p>
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	<p>PLOT Division- The Planning, Logistics, Operations, and Training Division within HEPRA.</p> <p>SDD- Senior Deputy Director</p>
<p>VI. Procedures</p>	<p>Procedure A: Data Collection and Hot Wash</p> <ol style="list-style-type: none"> 1. All IMT members will complete a feedback form and submit to the Training and Exercise Officer. 2. All IMT unit leaders will complete an ICS 214 and submit to the Training and Exercise Officer. 3. The evaluation team will complete EEGs/IEGs. <p>Procedure B: After-Action Report and Improvement Plan Development</p> <ol style="list-style-type: none"> 1. The Training and Exercise Officer will compile and review all data sources. 2. The Training and Exercise Officer will compose the first draft of the AAR/IP, noting any significant gaps, or places where consensus among vested stakeholders has not been reached. 3. The PLOT Division Chief will conduct a review of the draft AAR/IP and submit to the HEPRA SDD for approval. 4. The HEPRA SDD will review the draft prior to its dissemination. 5. The Training and Exercise Officer will distribute the draft AAR/IP to vested stakeholders at least seven (7) days prior to the After-Action Meeting. 6. The HEPRA SDD, or designee, will convene the After-Action Meeting. 7. After-Action Meeting attendees will validate the AAR/IP content, addressing any gaps, or disputed content.

	<ol style="list-style-type: none">8. Any significant elements of the AAR/IP where consensus has not been reached by the conclusion of the After-Action Meeting will be elevated by the PLOT Division Chief to the HEPRA SDD.9. Where applicable, the HEPRA SDD will engage his/her counterparts at the relevant entities to resolve outstanding disputes over AAR/IP content. The HEPRA SDD may further elevate the issue to the Director if the issue remains unresolved after this step.10. The Training and Exercise Officer will revise the AAR/IP to reflect changes made during the After-Action Meeting.11. The Training and Exercise Officer will submit the revised AAR/IP to the PLOT Division Chief or Deputy Chief for review and dissemination to the HEPRA SDD for approval.12. Upon approval, the HEPRA SDD, or designee, will distribute the revised AAR/IP to the vested stakeholders for a seven (7) day comment period.13. The Training and Exercise Officer will make any changes to the document prompted by stakeholder comments that the HEPRA SDD, or designee, has approved for inclusion.14. The Director, or designee, will sign the document, officially finalizing it. <p>Procedure C: Improvement Plan Implementation</p> <ol style="list-style-type: none">1. The PLOT Division Chief, or designee, will update the Rolling Summary Report with any new corrective actions required in the new IP.2. If metrics tied to the new corrective actions are not captured in the HEPRA KRF, the HEPRA SDD, or designee, may order an ad hoc revision to the HEPRA KRF.3. The Training and Exercise Officer will issue a monthly update on the CAP.
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	<p>4. The HEPRA SDD, or designee, will take required steps to address any corrective actions that have fallen behind deadline, or are at risk for falling behind deadline.</p>
<p>VII. Contacts</p>	<p>HEPRA Senior Deputy Director</p> <p>Planning, Logistics, Operations, and Training Division Chief</p>
<p>VIII. Related Documents, Forms and Tools</p>	<p>After Action Report and Improvement Plan Template</p> <p>ICS 214</p> <p>Rolling Summary Report</p> <p><i>Homeland Security Exercise and Evaluation Program (HSEEP)</i></p>