



Department of Health

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Governor

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Commissioner

SALLY DRESLIN, M.S., R.N.
Executive Deputy Commissioner

January 29, 2020

Re: DAL NH 19-19
Infection Prevention and Control

Dear Nursing Home Administrator:

The purpose of this letter is to remind nursing home facilities of their infection prevention and control obligations as required by State (10 NYCRR Part 415.19) and Federal (42 CFR 483.80) regulations, and to provide information on basic practices to improve overall infection prevention and control within your facility.

As you know, infections among the nursing home population have been associated with high morbidity and mortality rates, rehospitalizations, lengthy hospital stays, and considerable healthcare related expenses. In light of recent reports of healthcare-associated infections (HAIs) in nursing homes, including multidrug-resistant organisms (MDROs), it is imperative that facilities have an effective, robust infection prevention and control program to mitigate the onset and spread of infections. The Centers for Disease Control and Prevention (CDC) is an excellent resource on up to date information regarding professional standards for infection prevention and control. Some basic practices recommended by the CDC include:

- **Hand Hygiene:** Facilities should ensure that alcohol-based hand sanitizers are easily accessible and used instead of soap and water except when hands are visibly soiled, after caring for a resident with known or suspected infectious diarrhea, or after known or suspected exposure to spores (*C. difficile*).
- **Personal Protective Equipment (PPE):** Facilities should ensure that PPE is readily available, staff are educated on the importance of PPE, and how to properly don and doff PPE.
- **Environmental Cleaning and Disinfection:** The resident's care environment and equipment can be primary sources of germs and may contribute to the spread of infection. It is important that facilities have adequate access to cleaning and disinfecting supplies, and that staff are educated on the proper use of such supplies.
- **Water Management Program:** Water can promote the growth of pathogenic organisms if not properly maintained. Facilities should assure that water entering the facility meets applicable quality standards, hot and cold water piping systems are designed and maintained in a way that minimizes the growth and spread of waterborne pathogens, and that exposure to infection risks from water sources is minimized.

In addition to those practices noted above, it is imperative that facilities closely monitor their resident population for diagnoses of infections and MDRO colonization status. This is especially important at the time of admission and at the time of transfer so appropriate infection control measures may be implemented. An effective Antibiotic Stewardship Program (ASP) is vital in optimizing the treatment of infections and reducing the development of MDROs. Facilities should ensure their program includes antibiotic use protocols and a system to monitor antibiotic use. The Centers for Medicare and Medicaid Services (CMS) has created a training, "Development of an Antibiotic Stewardship Program for Nursing Home Providers," available at <https://surveyortraining.cms.hhs.gov>. This training is meant to support compliance with the requirements for an ASP and to improve appropriate antibiotic usage.

Finally, CMS has collaborated with the CDC to update the "Nursing Home Infection Control Worksheet" (ICWS), available at <https://surveyortraining.cms.hhs.gov> and attached to this letter. The ICWS is a voluntary self-assessment tool for facilities to use to improve infection control and prevention. The worksheet was most recently revised to include questions regarding the facility's water management efforts to reduce risks of Legionella infections among residents.

Thank you for your continued efforts to maintain the health and safety of those who reside in nursing homes in New York State. If you have further questions regarding your regulatory infection control and prevention requirements, please contact the Bureau of Quality Assurance and Surveillance at (518) 408-1282.

Sincerely,

Sheila McGarvey
Director
Division of Nursing Homes and ICF/IID
Surveillance
Center for Health Care Quality and Surveillance

Attachment

ATTACHMENT A

Centers for Medicare and Medicaid Services Long Term Care (LTC) Infection Control Worksheet

LTC Facility Self-Assessment Tool

This 2019 Nursing Home Infection Control Worksheet (ICWS) is a collaborative effort by CMS and CDC and meant to be used by facilities as a self-assessment tool. It comprises both regulatory requirements and best practices in infection prevention and control. A facility that uses this ICWS will identify gaps in practice and have a “roadmap” that can lead to an improved infection prevention and control program.

The assessment reviews the following domains:

1. Infection Control program infrastructure and Infection Preventionist
2. Infection Preventionist relationship to Quality Assurance Committee
3. Infection surveillance and outbreak response.
4. Influenza and pneumococcal Immunization
5. Linen management
6. Infection prevention during transitions of care
7. Water Management Program

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Section A	Infection Prevention and Control Program (IPCP) Infrastructure	Assessments	Comments
A.1.	The facility has written infection prevention and control policies and procedures which are based on current nationally recognized evidence-based guidelines (e.g., CDC/HICPAC), regulations or standards for its Infection Prevention and Control Program (IPCP).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
A.2.	The facility has evidence of mandatory personnel infection prevention and control training which includes the IPCP written standards, policies, and procedures.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
A.3.	The facility has documentation of a facility infection control risk assessment conducted according to infection control professional organizations (e.g., APIC, SHEA) guidelines.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
A.4.	Facility has documentation of an annual review of the IPCP using a risk assessment of both facility and community risks, and updates the program as necessary.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section B	Infection Preventionist	Assessments	Comments
B.1.	The facility has designated one or more individuals with initial and maintain ongoing specialized training in infection prevention and control as the Infection Preventionist (IP). This individual works at least part-time in the facility. <i>Examples of specialized training may include: Participation in infection control courses organized by the state or recognized professional societies (e.g., APIC, SHEA, state/local health department, CDC). A free online and on-demand infection prevention and control training titled "Nursing Home Infection Preventionist Training Course" is available on CDC's TRAIN website (https://www.train.org/cdctrain/training_plan/3814).</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
B.2.	There is written evidence that the IP is a member of the facility's quality assessment and assurance committee and reports to the committee on a regular basis.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section C	Quality Assessment and Assurance (QAA) Committee	Assessment	Comments
C.1.	The IP has provided documentation of incidents of communicable disease and infections identified under the facility's IPCP to the QAA Committee.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
C.2.	The facility's written QAA Committee plan includes monitoring and evaluation of the activities of the IPCP.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
C.3.	There is evidence that the QAA Committee develops plans of action to address incidents of communicable disease identified during review of infection surveillance, staff adherence to infection prevention practices, and antibiotic stewardship data provided by the IP.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
C.4.	Adverse events related to breaches in infection prevention practices are analyzed using root cause analysis (RCA) in order to promote sustainable practice improvements throughout the facility.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section D	Infection Surveillance http://www.cdc.gov/nhsn/ltc/	Assessment	Comments

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D.1.	The facility has a written surveillance plan, based on the risk assessment, outlining activities for monitoring/tracking infections occurring in residents of the facility.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
D.2.	The facility has system in place for early detection and management of potentially infectious symptomatic residents at the time of admission, including implementation of precautions as appropriate Examples: Documenting recent antibiotic use, and history of infections or colonization with <i>C. difficile</i> or antibiotic-resistant organisms.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
D.3.	The facility has a system in place (e.g., notification of IP by clinical laboratory) for early detection and management of potentially infectious symptomatic residents, including implementation of precautions as appropriate.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
D.4.	The facility surveillance practices include: <ul style="list-style-type: none"> a. Use of published surveillance criteria (e.g., CDC National Healthcare Safety Network (NHSN) Long Term Care Criteria) to define infections. b. Use of a data collection tool. c. Report to QAA (e.g., quarterly). d. Follow-up activity in response to surveillance data (e.g., outbreaks). e. Report summarizing surveillance data annually. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
D.5.	The facility has a current list of communicable diseases which are reportable to local/state public health authorities.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
D.6.	The facility staff can demonstrate knowledge of when and to whom to report communicable diseases, healthcare associated infections (as appropriate), and potential outbreaks.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section E	Antibiotic Stewardship Programs http://www.cdc.gov/longtermcare/prevention/antibiotic-stewardship.html	Assessments	Comments
E.1.	The facility has an antibiotic stewardship program that has been approved by the governing body (e.g., facility administrator and facility leadership) to improve antibiotic use.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
E.2.	The facility IP is responsible for ensuring the antibiotic stewardship program is implemented, and the facility has identified one or more clinical leaders accountable for antibiotic stewardship-related duties as per their position description (e.g., nursing director, medical director, or consultant pharmacist).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
E.3.	The facility has written protocols on antibiotic prescribing. Note: The intent is to verify appropriateness based on clinical indications and laboratory findings, duration of use, and national standards.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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E.4.	The facility uses infection assessment tools or management algorithms for antibiotic use for one or more infections. <i>Examples: Use of an SBAR tool for UTI assessment, application of the Loeb minimum criteria for initiation of antibiotics.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
E.5.	The facility has a report summarizing antibiotic use from pharmacy data created within last 3 months. <i>Note: Report could include number of new starts, types of drugs prescribed, or number of days of antibiotic treatment per 1,000 resident days.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
E.6.	The facility has a report summarizing antibiotic resistance (i.e. antibiogram) based on laboratory data created within the past 18 months.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
E.7.	The facility clinical leadership (e.g., medical director, director of nursing, infection preventionist, or consulting pharmacist) provides clinical prescribers with feedback about their antibiotic prescribing practices.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
E.8.	The facility clinical leadership (e.g., medical director, director of nursing, infection preventionist, or consulting pharmacist) has provided training on antibiotic use (stewardship) to all nursing staff and clinical providers with prescribing privileges within the last 12 months.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
E.9.	The facility has educational materials on antibiotic stewardship for residents and families.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section F	Hand Hygiene	Assessments	Comments
F.1.	<i>The facility hand hygiene policies promote preferential use of alcohol-based hand rub (ABHR) over soap and water in most clinical situations.</i> <i>Note: Soap and water should be used when hands are visibly soiled (e.g., blood, body fluids) and is also preferred after caring for a patient with known or suspected C. difficile or norovirus during an outbreak, or if rates of C. difficile infection in the facility are persistently high.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.2.	All personnel receive training and competency validation on HH at the time of employment.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.3.	All personnel receive training and competency validation on HH at least every 12 months.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.4.	The facility audits (monitors and documents) HH adherence and provides feedback among the following: <ul style="list-style-type: none"> a. Nursing staff including RNs, LPN, and CNAs b. Therapy staff (e.g., PT, OT, speech) c. Clinical staff including physicians, NPs, PAs d. Dietary and nutrition including food-preparers e. Environmental services personnel f. Contract staff (e.g., dialysis staff, physical therapy, respiratory therapy, phlebotomy, wound care physician, podiatrist) 		

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F.5.	Facility has written and implemented a resident HH policy (e.g., HH performed immediately before meals).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	<p>Hand Hygiene Tracer Hand hygiene is performed in a manner consistent with the LTC facility infection control practices, policies, and procedures to maximize the prevention of infection and communicable disease including the following:</p> <p>Note: Observations for compliance with hand hygiene elements should be assessed throughout the facility.</p>		
F.6.	Soap, water, and a sink are readily accessible in appropriate locations including, but not limited to, resident care areas, food and medication preparation areas. Note: Resident care supplies should be protected from splashing water if located close to sinks.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.7.	Alcohol-based hand rub is readily accessible and placed in appropriate locations. Some examples may include: <ul style="list-style-type: none"> • Entrance to the facility • Entrances to resident rooms • At the bedside (as appropriate for resident population) • In individual pocket-sized containers carried by healthcare personnel • Staff work station, and/or • Other convenient locations 	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.8.	Personnel perform hand hygiene (even if gloves are used): <ul style="list-style-type: none"> • Before contact with the resident • Before performing an aseptic task (e.g., insertion of an invasive device (e.g., urinary catheter)) 	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.9.	Personnel perform hand hygiene: <ul style="list-style-type: none"> • After contact with the resident • After contact with blood, body fluids, or visibly contaminated surfaces • After contact with objects and surfaces in the resident's environment • After removing personal protective equipment (e.g., gloves, gown, facemask) 	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.10.	When being assisted by healthcare personnel, resident hand hygiene is performed: <ul style="list-style-type: none"> • Prior to resident leaving room if on transmission-based precautions • After toileting • Before meals 	<input type="checkbox"/> Yes <input type="checkbox"/> No	
F.11.	The facility does not add soap to a partially empty soap dispenser (topping off). Note: Topping off can lead to bacterial contamination of the soap.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section G	Standard Precautions Tracer	Assessments	Comments

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G.1.	Supplies necessary for adherence to proper personal protective equipment (PPE) use (e.g., gloves, gowns, masks) are readily accessible in resident care areas (i.e., nursing units, therapy rooms, and resident rooms).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
G.2.	Gloves are worn if there is contact with blood or body fluid, mucous membranes, or non-intact skin.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
G.3.	Gloves are removed after contact with blood or body fluids, mucous membranes, or non-intact skin.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
G.4.	Gloves are changed and hand hygiene performed before moving from a contaminated-body site to a clean-body site during resident care.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
G.5.	Gown is worn for direct resident contact if the resident has uncontained secretions or excretions.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
G.6.	Facemask is worn if contact with resident with new acute cough or respiratory symptoms (e.g., influenza-like illness).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
G.7.	Appropriate mouth, nose and eye protection (e.g., facemasks, face shield) is worn for performing aerosol-generating and/or procedures that are likely to generate splashes or sprays of blood or body fluids.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
G.8.	PPE is appropriately discarded after resident care prior to leaving room, followed by hand hygiene.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section H	Transmission-Based Precautions	Assessments	Comments
H.1.	The facility has policies and procedures for transmission-based precautions (TBP) (i.e., Contact Precautions, Droplet Precautions, Airborne Isolation Precautions) to be followed to prevent spread of infections; which includes selection and use of PPE (e.g., indications, donning/doffing procedures) and specifies the clinical conditions for which specific PPE should be used (e.g., <i>C. difficile</i> , influenza).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.2.	Residents with known or suspected infections, or with evidence of symptoms that represent an increased risk for transmission, are placed on the appropriate TBP. Note: Resident placement (e.g., single/private room or cohorted) is made on an individual case basis based on presence of risk factors for increased likelihood of transmission (e.g., uncontained drainage, stool incontinence). Note: Facility should have a process to manage residents on TBP when no single/private room is available.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.3.	The facility limits the movement of residents (in accordance with policies) on TBP with active symptoms [diarrhea, nausea and vomiting, draining wounds that cannot be contained for highly infectious diseases (e.g., norovirus, <i>C. difficile</i> , MDRO)] outside of their room for medically necessary purposes only.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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H.4.	Facility has written policies and procedures to ensure that after resident discharge, all visibly or potentially contaminated surfaces are thoroughly cleaned and disinfected, and all linens and towels (e.g., textiles) are replaced. Note: Privacy curtains should be changed or cleaned with an EPA-registered disinfectant after discharge.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Transmission-Based Precautions Tracer		Assessments	Comments
H.5.	Signs indicating a resident is on TBP and required PPE are clear and visible on the door or next to the door.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.6.	Staff are able to successfully verbalize the PPE required before entering a resident's room.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.7.	Hand hygiene is performed before entering resident care environment.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.8.	Gloves and gowns are donned upon entry into the environment (e.g., room or cubicle) of resident on Contact Precautions.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.9.	Dedicated or disposable noncritical resident-care equipment (e.g., blood pressure cuffs) is used, or if not available, then equipment is cleaned and disinfected according to manufacturers' instructions prior to use on another resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.10.	Gloves and gowns are removed and properly discarded, and hand hygiene is performed before leaving the resident care environment. <i>Note: Although preferred for most clinical circumstances, ABHR is not appropriate when hands are visibly soiled (e.g., blood, body fluids) or after caring for a resident with known or suspected C. difficile or norovirus during an outbreak or if endemic rates of C. difficile infection (CDI) are high. In these circumstances, soap and water should be used.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
H.11.	In rooms with residents on Contact Precaution, objects and environmental surfaces that are touched frequently (e.g., bed rails, over-bed table, bedside commode, lavatory surfaces in resident bathrooms) are cleaned and disinfected with an EPA-registered disinfectant for healthcare use at least daily and when visibly soiled.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section I	Injection Practices and Sharps Safety (Medications and Infusates) Tracer	Assessments	Comments
I.1.	Appropriate personnel receive training and competency validation on injection safety procedures at time of employment.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.2.	Appropriate personnel receive training and competency validation on injection safety procedures at least every 12 months.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.3.	The facility audits (monitors and documents) and provides feedback to personnel regarding their adherence to injection safety practices <i>Note: If yes, facility should provide documentation of audits.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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I.4.	The facility has policies and procedures to monitor and track personnel with access to injectable controlled substances to prevent potential transmission of infections secondary to contamination of syringes and medication vials. <i>Note: this question highlights the relationship between narcotics theft/drug diversion and contaminated syringes and medication vials.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.5.	Injections are prepared using clean (aseptic) technique in an area that has been cleaned and is free of contamination (e.g., visible blood or body fluids). <i>Note: Clean technique includes performing hand hygiene before injection or medication preparation.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.6.	Needles are used for only one resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.7.	Syringes are used for only one resident (this includes manufactured prefilled syringes).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.8.	Insulin pens are used for only one resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.9.	The rubber septum on any medication vial, whether unopened or previously accessed, are disinfected with alcohol prior to piercing.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.10.	Medication vials are entered with a new needle. <i>Note: Reuse of syringes and/or needles to enter a medication vial contaminates the contents of the vial, making the vial unsafe for use on additional residents.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.11.	Medication vials are entered with a new syringe. <i>Note: Reuse of syringes and/or needles to enter a medication vial contaminates the contents of the vial, making the vial unsafe for use on additional residents.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.12.	Medication vial labeled for single dose is only used only once and for only one resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.13.	Bags of IV solutions are used for only one resident (and not as a source of flush solution for multiple residents).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.14.	Medication administration tubing and connectors are used for only one resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.15.	Multi-dose medication vials are dated when they are first opened and discarded within 28 days unless the manufacturer specifies a different (shorter or longer) date for that opened vial. <i>Note: The beyond-use date is different from the expiration date for the vial. The multi-dose vial can be dated with either the date opened or the discard date as per facility policy, as long as it is clear what the date represents and the same policy is used consistently throughout the facility.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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I.16.	Multi-dose medication vials used for more than one resident are stored appropriately and do not enter the immediate resident care area (e.g. procedure rooms, resident room). NOTE: If multi-dose vials enter the immediate resident care area, they must be dedicated for single resident use and discarded immediately after use.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.17.	All sharps are disposed of in puncture-resistant sharps containers.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.18.	Sharps containers are replaced when the fill line is reached.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I.19.	Sharps containers are disposed of appropriately as medical waste.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section J	Point-of-Care Devices (e.g., Blood Glucose Meter, INR Monitor) Tracer	Assessment	Comments
J.1	Appropriate personnel receive training and competency validation on point of care testing procedures (e.g., during assisted blood glucose monitoring) at time of employment.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.2.	Appropriate personnel receive training and competency validation on point of care testing procedures (e.g., during assisted blood glucose monitoring) at least every 12 months.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.3.	Supplies necessary for adherence to safe point-of-care testing (e.g., single-use, auto-disabling lancets, sharps containers) are readily accessible in resident care areas.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.4.	Hand hygiene is performed before and after the procedure for each resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.5.	Gloves are worn by healthcare personnel when performing the fingerstick procedure to obtain the sample of blood, and are removed after the procedure (followed by hand hygiene).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.6.	Fingerstick devices are not used for more than one resident. Note: This includes both the lancet and the lancet holding device.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.7.	If used for more than one resident, the point-of-care testing device (e.g., blood glucose meter, INR monitor) is cleaned and disinfected after every use according to device and disinfectant manufacturer's instructions. Note: if manufacturer does not provide instructions for cleaning and disinfection, then the device should not be used for >1 resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.8.	The facility has protocols for performing fingersticks and point-of-care testing (e.g., assisted blood glucose monitoring).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
J.9.	The facility audits (monitors and documents) and provides feedback to personnel regarding their adherence to point-of-care testing practices.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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Section K	Central Venous Line/Catheters: Accessing and Maintenance Tracer	Assessment	Comments
K.1.	Only properly trained personnel who demonstrate competence for access and maintenance of central venous catheters are given this responsibility.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
K.2.	Central venous line/catheter insertion date and indication are documented.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
K.3.	Hand hygiene is performed before and after manipulating catheter.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
K.4.	Central line dressings are observed to be clean, dry, and intact.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
K.5.	Dressing is changed with clean (aseptic) technique using clean gloves or sterile gloves.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
K.6.	Access port is scrubbed with an appropriate antiseptic (chlorhexidine, povidone iodine, iodophor, or 70% alcohol) prior to accessing.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
K.7.	Catheter is accessed only with sterile devices.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
K.8.	Residents with central venous catheters are assessed regularly to determine continued need for the catheter and this assessment is documented in the medical record. (The central line is promptly removed when no longer needed.)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section L	Indwelling Urinary Catheter Tracer	Assessment	Comments
L.1.	The attending physician/practitioner has provided a written rationale for the use of a urinary catheter consistent with evidence-based guidelines (e.g., acute urinary retention, bladder outlet obstruction, neurogenic bladder or terminally ill for comfort measures).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
L.2.	Only trained personnel who have demonstrated competency are given the responsibility of inserting urinary catheters.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
L.3.	Catheter is secured properly.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
L.4.	Catheter insertion date and indication are documented.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section M	Urinary Catheter Access and Maintenance Tracer:	Assessment	Comments
M.1.	Only trained personnel who have demonstrated competency are given the responsibility of maintaining and removing urinary catheters.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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M.2.	Hand hygiene is performed before and after manipulating the urinary catheter and gloves are worn.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
M.3.	Urine collection bags kept below the level of the bladder and off the floor at all times.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
M.4.	Urinary catheter tubing is unobstructed and free of kinking.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
M.5.	Urine bag is emptied using a separate, clean collection container for each resident; drainage spigot does not touch collecting container.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
M.6.	Urine samples are obtained via needleless port and not obtained from the collection bag.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
M.7.	Residents with indwelling urinary catheters are assessed regularly for continued need for the catheter, and the need is documented. The attending physician/practitioner has documented a valid clinical indication for the use of the catheter and ongoing assessment and orders for the removal when the clinical condition demonstrates that catheterization is no longer necessary. The written rationale for the use of a urinary catheter is consistent with evidence-based guidelines (e.g. acute urinary retention, bladder outlet obstruction, neurogenic bladder or terminally ill for comfort measures).	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Section N	Respiratory Therapy Tracer	Assessment	Comments
N.1.	Hand hygiene is performed before and after contact with a resident or any respiratory equipment used on the resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
N.2.	Gloves are worn when in contact with respiratory secretions and changed before contact with another resident, object, or environmental surface.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
N.3.	Only sterile solutions (e.g. water or saline) are used for nebulization.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
N.4.	Single-dose vials for aerosolized medications are not used for more than one resident.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
N.5.	If multi-dose vials for aerosolized medications are used, manufacturers' instructions for handling, storing, and dispensing the medications are followed.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
N.6.	If multi-dose vials for aerosolized medications are used for more than one resident, they are stored appropriately and do not enter the immediate resident treatment area.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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N.7.	<p>Jet nebulizers are for single resident use and are cleaned and stored as per facility policy, rinsed with sterile water, and air-dried between treatments on the same resident.</p> <p>Note: Mesh nebulizers which remain in the ventilator circuit and are not cleaned or disinfected are changed at an interval recommended by manufacturer's instructions. Nebulizers/drug combination systems are cleaned and disinfected according to the manufacturer's instructions.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
N.8.	The head of the bed is elevated at an angle of 30-45° in the absence of medical contraindications, for residents at high risk for aspiration (e.g. resident with an enteral tube in place).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section O	Wound Management Tracer	Assessment	Comments
O.1.	Hand hygiene is performed before a wound procedure.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.2.	Gloves are worn during the wound dressing procedure.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.3.	Face protection (e.g., goggles and facemask, or a face shield) is worn during wound care procedures that may generate splashes or aerosols such as irrigation, pulse lavage, and handling of equipment such as vacuum-assisted closure devices.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.4.	A gown is worn if healthcare personnel contamination is anticipated during the dressing procedure (e.g. large or excessively draining wounds).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.5.	<p>Reusable dressing care equipment (e.g., bandage scissors) must be cleaned and reprocessed (i.e., disinfected or sterilized according to manufacturer's instructions) if shared between residents. Refer to current CDC guidelines.</p> <p><u>CDC Guideline for Disinfection and Sterilization in Healthcare Facilities, 2008</u> https://www.cdc.gov/hicpac/Disinfection_Sterilization/6_0disinfection.html</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.6.	Clean wound dressing supplies (e.g. gauze, measure tape) are handled in a way to prevent cross contamination between residents (e.g., wound care supply cart which remains outside of resident care areas; unused supplies are not returned to the clean supply cart but either discarded or remain dedicated to resident; supplies on the cart should only be handled by individuals with clean hands).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.7.	The dressing change is conducted per physician/practitioner orders.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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O.8.	Multi-dose wound care medications (e.g., ointments, creams) should be dedicated to one resident whenever possible. Dedicated containers should be properly labeled and stored. NOTE: If multi-dose wound care medications (e.g., ointments, creams) are used for more than one resident, then the medications should be stored in a central medication area and should not enter the resident treatment area. For example, a small aliquot of medication should be dispensed into a clean container for single-resident use. Any medication container entering a resident's care area should be dedicated for that single-resident use.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.9.	Gloves are removed and hand hygiene is performed immediately after the procedure.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
O.10.	Wound care documentation in resident's medical record reflects the condition of the wound and includes the following: a. Type of dressing b. Frequency of dressing change c. Wound description (e.g., measurement, characteristics)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Section P	Cleaning and Disinfection of Environmental Surfaces and Reusable Equipment	Assessment	Comments
P.1.	The facility has cleaning/disinfection policies which include routine and terminal cleaning and disinfection of resident rooms, and high-touch surfaces in common areas. Note: Privacy curtains should be changed when visibly soiled.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
P.2.	The facility cleaning/disinfection policies include handling of equipment shared among residents (e.g., blood pressure cuffs, rehab therapy equipment, etc.) Note: Personnel can verbalize who is responsible for cleaning and disinfection of shared equipment	<input type="checkbox"/> Yes <input type="checkbox"/> No	
P.3.	Facility has policies and procedures to ensure that reusable medical devices (e.g., wound care equipment, podiatry equipment, and dental equipment) are cleaned and reprocessed appropriately prior to use on another resident. Note: If external consultants (e.g., wound care nurses, dentists or podiatrists) provide services, verify these providers have adequate supplies and space to follow appropriate cleaning/disinfection (reprocessing) procedures to prevent transmission of infectious agents.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
P.4.	Appropriate personnel receive job-specific training and competency validation on cleaning and disinfection procedures at the time of employment and within the past 12 months. Note: If environmental services are performed by contract personnel, verify that training is provided by contracting company.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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P.5.	The facility audits (monitors and documents) and provides feedback to personnel regarding the quality of cleaning and disinfection procedures.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
P.6.	Supplies necessary for appropriate cleaning and disinfection procedures (e.g., EPA-registered for use in healthcare facilities, including products labelled as effective against <i>C. difficile</i> and norovirus) are available and used according to manufacturer instructions for use. Note: If environmental services are performed by contract personnel, verify that appropriate EPA-registered products are provided by contracting company.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Section Q	Healthcare Personnel Safety	Assessment	Comments
Q.1.	The facility has policies prohibiting contact with residents or their food when personnel have potentially communicable diseases or infected skin lesions.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Q.2.	The employee health policies address the following: <ul style="list-style-type: none"> a. Work-exclusion policies that encourage reporting of illnesses. b. Education of personnel on prompt reporting of illness to supervisor and/or employee health. 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Q.3.	The facility based on federal guidelines and applicable state law, has a written policy to provide personnel TB screening.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Q.4.	The facility has a protocol for monitoring and evaluating clusters or outbreaks of illness among healthcare personnel.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Q.5.	The facility has an exposure control plan which address potential hazards posed by specific services provided by the facility (i.e., OSHA requirement for bloodborne pathogens).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Q.6.	All personnel receive training and competency validation on managing a bloodborne pathogen exposure at the time of employment and at least every 12 months.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section R	Respiratory Disease Prevention [(e.g. Pneumococcal, Influenza and Tuberculosis (TB))]	Assessment	Comments
R.1.	The facility has a written policy to assess risk for TB (based on local health department data) and provide screening to residents on admission.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.2.	The resident's medical record includes documentation of TB screening on admission.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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R.3.	The facility has a written policy that requires family and visitors take appropriate precautions if they are having symptoms of respiratory infection during their visit.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.4.	Signs are posted at the entrances with instructions to individuals with symptoms of respiratory infection to: cover their mouth/nose when coughing or sneezing, use and dispose of tissues, and perform hand hygiene after contact with respiratory secretions. Note: See CDC website for examples of signage.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.5	The facility provides resources for performing hand hygiene (i.e., alcohol-based handrub) near the entrance and in common areas.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.6	The facility has policy to provide facemasks to residents with a new cough and other symptomatic persons upon entry to the facility.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.7.	All personnel receive education the at the time of employment and at least every 12 months on the importance of infection prevention measures to contain respiratory secretions to prevent the spread of respiratory pathogens.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.8.	The facility documents resident immunization status for pneumococcal and influenza vaccination at time of admission (or as required by per state law). Note: The process by which a facility determines resident immunization status may include information provided by the resident/or family member healthcare designated power of attorney.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.9.	The resident's medical record includes documentation that indicates (at a minimum) either the resident received the pneumococcal immunizations, or the resident refused or had a contraindication to one or both pneumococcal vaccinations.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.10.	The resident's medical record includes documentation that an influenza immunization is offered annually. Note: The resident or the resident's representative has the opportunity to refuse influenza immunization.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R.11	Facility has policy and procedures to ensure the resident or resident's representative receives education regarding benefits and potential side effects of each immunization.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section S	Linen Management	Assessment	Comments
S.1.	Personnel handle soiled linens with minimum agitation to avoid contamination of the environment.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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S.2.	Soiled linens are bagged or otherwise contained at the point of collection in leak-proof containers or bags, and are not sorted or rinsed in the location of use. Note: Covers are not needed on contaminated textile hampers in resident care areas.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
S.3.	The receiving area for contaminated/soiled linen is clearly separated from clean laundry areas. Note: Workflow should prevent cross contamination (i.e., If fans are used the ventilation should not flow from dirty to clean laundry areas).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
S.4.	If facility laundry services are contracted out and performed offsite, the contractor must show evidence that the laundry service meets healthcare industry laundry standards.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
S.5.	Clean linen are packaged, transported, and stored in a manner that ensures cleanliness and protection from contamination (e.g., dust and soil).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
S.6.	The facility should be using the fabric manufacturer's recommended laundry cycles, water temperatures, and chemical/detergent products.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
S.7.	The facility has handwashing stations and PPE (e.g., gloves, gowns, and aprons) in areas where non-bagged, soiled linen is handled.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
S.8.	The facility has a policy for cleaning and disinfecting linen carts on the premises or for cart exchange off the premises.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Section T	Infection Prevention, Antibiotic Stewardship, and Responsibility of Care During Care Transitions	Assessment	Comments
T.1.	When transferring a resident to another facility, the LTC facility has a process that resident documentation is sent to the receiving facility providers includes direct contact information [name, phone number, email] for the resident's treating clinician (MD, APN, PA), transferring nursing unit and case manager (if applicable) before or at the time of transfer. CDC sample transfer forms: https://www.cdc.gov/hai/prevent/prevention_tools.html	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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T.2.	The LTC facility has a process and ensures that documentation of resident infection, colonization or known history of positive culture with multidrug-resistant organism, <i>C. difficile</i> , or other epidemiologically important organism (e.g. scabies) is sent to receiving provider (e.g., hospital) before or at the time of transfer.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
T.3.	The LTC facility has a process and ensures that documentation of the presence of clinical signs or symptoms of potentially communicable diseases (e.g., vomiting, diarrhea, cough) is sent to receiving provider before or at the time of transfer.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
T.4.	The LTC facility has a process and ensures that communication of critical information regarding central lines and urinary catheters (i.e., insertion date, rationale), or other medical devices, is sent to receiving provider before or at the time of transfer.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
T.5.	The LTC facility has a process and ensures that communication of the rationale and use of transmission-based precautions/PPE is sent to receiving provider before or at the time of transfer (e.g., <i>C. difficile</i> with diarrhea).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
T.6.	The LTC facility has a process and ensures that communication of current or recent (i.e., within past 7 days) antibiotic use, which includes dose, route, indication, start date/stop date, and date and time of last antibiotic administered is sent to receiving provider before or at the time of transfer.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
T.7.	The LTC facility verifies that critical medications and equipment are available at the receiving facility (e.g., critical access hospital) at the time of transfer to prevent disruptions in the continuity of care (e.g., IV antibiotics and administration equipment).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
T.8.	The LTC facility has a process to send additional information about potentially transmissible infections, resistant organisms, and antibiotic use if missing or unavailable at the time of resident transfer to the hospital.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
T.9.	The LTC facility ensures that essential resident information about potentially transmissible infections, resistant organisms, and antibiotic use is reviewed and addressed (e.g., TBP) at the time of arrival from a hospital.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Section U	Water Management Program	Assessment	Comments

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U.1.	The facility has a water management program based on national guidelines and toolkits [e.g., The American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE), The Centers for Disease Control and Prevention (CDC), and United States Environmental Protection Agency (EPA)] including control measures such as physical controls, temperature management, disinfectant level control, and visual inspections for biofilm, slime, scale, and sediment.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
U.2.	The facility conducts, as a part of the water management program, a risk assessment to identify where Legionella and other opportunistic waterborne pathogens could grow and spread in the facility water system.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
U.3.	The facility's water management program specifies testing protocols and acceptable ranges for control measures and documents the results of testing and corrective actions taken when control limits are not maintained.	<input type="checkbox"/> Yes <input type="checkbox"/> No	