



# INFECTION PREVENTION AND CONTROL ASSESSMENT TOOL

FOR NURSING HOMES AND OTHER LTC FACILITIES  
PREPARING FOR COVID-19 (ICAR TOOL)

This is an Infection Control Assessment and Response tool (ICAR) that can be used to help nursing homes and other LTC facilities prepare for coronavirus disease 2019 (COVID-19). This tool may also contain content relevant for assisted living facilities.

LTC facilities can take steps to develop a comprehensive COVID-19 response plan. Health departments can use this tool to assess infection prevention practices and guide quality improvement activities (e.g., addressing identified gaps). The ICAR may be used for remote or onsite assessments. This tool may also be used by healthcare facilities to conduct internal quality improvement audits.

The items assessed support the key strategies of:

- Keeping COVID-19 out of the facility
- Identifying infections as early as possible
- Preventing spread of COVID-19 in the facility
- Assessing and optimizing personal protective equipment (PPE) supplies
- Identifying and managing severe illness in residents with COVID-19

The areas assessed include:

- Visitor restriction
- Education, monitoring, and screening of healthcare personnel<sup>1</sup> (HCP)
- Education, monitoring, and screening of residents
- Ensuring availability of PPE and other supplies
- Ensuring adherence to recommended infection prevention and control (IPC) practices
- Communicating with the health department and other healthcare facilities

Findings from the assessment can be used to target specific IPC preparedness activities that nursing homes and assisted living facilities can immediately focus on while continuing to keep their residents and HCP safe.

<sup>1</sup>Health care personnel (HCP) are defined as paid and unpaid persons serving in health care settings who have the potential for direct or indirect exposure to patients or infectious materials

Date Tool Was Completed

## **ADDITIONAL INFORMATION FOR PERSONNEL CONDUCTING ASSESSMENTS**

- The assessment includes a combination of staff interviews and direct observation of practices in the facility and can be conducted in-person or remotely (e.g., Tele-ICAR via phone or video conferencing). Provide a copy of the tool to the facility before completing the Tele-ICAR and encourage nursing home staff to take their own notes as you conduct the assessment.
- Background information in the box above each section being assessed provides context for the ICAR user. You should not read this aloud during the assessment process but can refer to it as additional information.
- Keep in mind that the goal of the assessment is to convey key messages to nursing homes and identify their COVID-19-specific preparedness needs. Note any IPC questions and concerns and address them after the ICAR is completed. If you need additional support and technical assistance during an assessment, know that you can engage state HD healthcare-associated infections/antibiotic resistance (HAI/AR) Program leads for support.
- Assessment activities provide an opportunity for dialogue and information sharing.
  - » Discuss the purpose of the assessment. Emphasize that it is not a regulatory inspection and is designed to ensure the facility is prepared to quickly identify and prevent the spread of COVID-19.
  - » Promote discussion by asking additional questions to prompt or probe. Use this opportunity to address concerns and offer available resources.
- To help you facilitate conversations with facilities, sample questions are provided in italics above each element being assessed. You do not have to ask these questions; however, they offer suggestions to help you continue the discussion, if needed. Be aware of applicable federal, state, county, or city rules, regulations such as CMS requirements for nursing homes and life safety code, and state government proclamations that may affect implementation of recommended practices.
- Provide feedback or a high-level summary immediately after the assessment, including elements in place and areas for improvement.
  - » Consider providing a copy of your assessment or a brief summary with feedback, answers to the facility's questions, and recommended next steps directly to the facility within 2-3 days.
- Consider scheduling a follow-up call with the facility after the assessment findings are shared.

### **SUGGESTED SCRIPT FOR INVESTIGATOR**

*Good morning/afternoon. My name is \_\_\_\_\_ and I am calling from the \_\_\_\_\_ Department of Health. May I speak with someone who is in charge of infection prevention and control (IPC) at your facility?*

*Greetings, \_\_\_\_\_. My name is \_\_\_\_\_ and I am calling to discuss infection prevention and control (IPC) preparedness activities that your facility can immediately put into place to combat COVID-19 while continuing to keep your residents and healthcare personnel safe. I would like to go through an IPC consultation with you and your team, that is non-regulatory in nature and meant to be helpful. Is now a good time to talk? If not, when would work best?*

*Great. As background, infection control assessment and response surveys, also referred to as ICARs (eye-cars), were developed by CDC to help health departments assess IPC practices and guide quality improvement activities. ICARs are particularly useful for stopping the spread of pathogens during outbreaks. ICAR findings will be shared between the health department's Healthcare Associated Infections Program and CDC.*

*Before we begin, may I get your name and contact information? Is there another person at your facility who would be the primary contact for the health department? If yes, can I get their information also?*

# INFECTION CONTROL ASSESSMENT and RESPONSE (ICAR) TOOL

## FACILITIES DEMOGRAPHICS

Facility POC Name: \_\_\_\_\_

Facility POC Title: \_\_\_\_\_

POC Phone: \_\_\_\_\_ POC E-mail Address: \_\_\_\_\_

Facility Name: \_\_\_\_\_

Facility County: \_\_\_\_\_ Number of beds in the facility: \_\_\_\_\_

Total number of residents in the facility: \_\_\_\_\_ Total number of staff in the facility: \_\_\_\_\_

Total number of units: \_\_\_\_\_

### **Specialty Units** (check all that apply):

- Vent/trach     Dialysis     Dementia/Memory     Skilled Nursing  
 Subacute Rehab     Psychiatric care

*These units have residents at higher risk for poor outcomes. Vent/trach units provide respiratory support and dementia/memory units are often secured, and limit resident movement to other locations.*

### **Which of the following situations apply to the facility?** (Select all that apply)

- No cases of COVID-19 currently reported in the surrounding community
- Cases reported in the surrounding community
- Sustained transmission reported in the surrounding community
- Cases identified in their facility (either among HCP and/or residents)  
If yes, please specify the number of cases among residents \_\_\_\_\_ and among HCPs \_\_\_\_\_
- Cluster of influenza-like illness (ILI) in facility (either among HCP and/or residents)  
If yes, please specify the number of cases among residents \_\_\_\_\_ and among HCPs \_\_\_\_\_

### **Have you received any prior information specific to preventing transmission of COVID-19?**

(Select all that apply)

- No
- Yes, from the health department
- Yes, from Centers for Medicare and Medicaid Services (CMS)
- Yes, from another source (Specify: \_\_\_\_\_)

## VISITOR RESTRICTIONS AND NON-ESSENTIAL PERSONNEL RESTRICTIONS

Both CDC and CMS recommend restricting all visitors to nursing homes to prevent COVID-19 from entering the facility. Exceptions for compassionate care, such as end-of-life situations, may be considered on a case-by-case basis. All visitors should first have temperature and symptom screening (e.g., **fever, new or worsening cough, difficulty breathing, chills, repeated shaking with chills, muscle pain, headache, sore throat, and new loss of taste or smell**) to safeguard residents. Ill visitors should not enter. Visitors who are granted access should perform frequent hand hygiene, wear a cloth face covering (for source control), and conduct their visit in a location designated by the facility such as the resident's room. Additional best practices include designating a single entrance for visitors, posting signage at entrances to the facility, and providing communication to residents and families.

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>What is your current policy for visitors?</i></p> <p><b>Facility restricts all visitation except for certain compassionate care situations, such as end-of-life situations.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Are there any exceptions to your visitation policy? What are those exceptions?</i></p> <p><b>Decisions about visitation are made on a case-by-case basis.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>If visitors are allowed in, what screening occurs?</i></p> <p><b>Potential visitors are screened prior to entry for fever or symptoms of COVID-19. Those with symptoms are not permitted to enter the facility (e.g., fever, new or worsening cough, difficulty breathing, chills, repeated shaking with chills, muscle pain, headache, sore throat, and new loss of taste or smell).</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Are there any restrictions or requirements on visitors once they enter?</i></p> <p><i>Do you provide them with any additional information on hand hygiene?</i></p> <p><b>Visitors that are permitted inside, must wear a cloth face covering while in the building and restrict their visit to the resident's room or other location designated by the facility. They are also reminded to frequently perform hand hygiene.</b></p>	<input type="radio"/> Yes <input type="radio"/> No  <input type="radio"/> Yes <input type="radio"/> No	
<p><i>What is your policy for volunteers or non-medical service providers like a beautician, barber, or massage therapist? Are they restricted from entering the building?</i></p> <p><b>Non-essential personnel including volunteers and non-medical service providers (e.g., salon, barbers) are restricted from entering the building.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What has your facility done to communicate with family members of residents?</i></p> <p><i>What have you told family members about visiting?</i></p> <p><b>Facility has sent a <b>communication</b> (e.g., letter, email) to families advising them that no visitors will be allowed in the facility except for certain compassionate care situations, such as end-of-life, and that alternative methods for visitation such as video conferencing will be made available by the facility.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Is the facility offering alternative means of communication instead of visits? What are those?</i></p> <p><b>Facility has provided alternative methods for visitation such as video conferencing for residents.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Are there signs to prevent entrance into the facility (e.g., no visitors)?</i></p> <p><b>Facility has posted signs at entrances to the facility advising that no visitors may enter the facility.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	

## EDUCATION, MONITORING, AND SCREENING OF HEALTHCARE PERSONNEL (HCP)

**Education** of HCP (including consultant personnel) should explain how the IPC measures protect residents, themselves, and their loved ones, with an emphasis on hand hygiene, PPE, and **monitoring** of their symptoms. Consultant personnel are individuals who provide specialized care or services (for example, wound care or podiatry) to residents in the facility on a periodic basis. They often work at multiple facilities in the area and should be included in education and screening efforts as they can be exposed to or serve as a source of pathogen transmission. If HCP work while ill, they can serve as a source of pathogen transmission within the facility. HCP should be reminded not to report to work when ill. All HCP should self-monitor when they are not at work and be **actively screened** upon entering the facility. Ideally, this would occur at the entrance to the facility, before they begin their shift. Screening includes temperature check and asking about symptoms like subjective fever, new or worsening cough, difficulty breathing, chills, repeated shaking with chills, muscle pain, headache, sore throat, and new loss of taste or smell. If they have a fever of 100.0 F or higher or symptoms, they should be masked and sent home. Because symptom screening will not identify individuals who are infected but otherwise asymptomatic or pre-symptomatic, facilities should also implement universal source control policies requiring anyone in the facility to wear a facemask or cloth face covering. When available, facemasks are generally preferred over cloth face coverings for HCP as facemasks offer both source control and protection for the wearer against exposure to splashes and sprays of infectious material from others. Cloth face coverings should NOT be worn instead of a respirator or facemask if more than source control is required.

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>Have you provided any in-service training or education to the staff due to COVID-19?</i></p> <p><i>What was included in those?</i></p> <p><b>Facility has provided education and refresher training to HCP (including consultant personnel) about the following:</b></p> <ul style="list-style-type: none"> <li>• COVID-19 (e.g., symptoms, how it is transmitted)</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Sick leave policies and importance of not reporting to or remaining at work when ill</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• New policies for source control while in the facility</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Do you ever audit or record performance of things like hand hygiene?</i></p> <p><i>Selection and use of personal protective equipment?</i></p> <p><i>Environmental cleaning?</i></p> <p><b>Facility monitors HCP adherence to recommended IPC practices, including:</b></p> <ul style="list-style-type: none"> <li>• Hand hygiene</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Selection and use of PPE; have HCP demonstrate competency with putting on and removing PPE</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Cleaning and disinfecting environmental surfaces and resident care equipment</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What is your current staffing capacity?</i></p> <p><b>Facility is aware of staffing needs and has a plan in the event of staffing shortages.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	

## EDUCATION, MONITORING, AND SCREENING OF HEALTHCARE PERSONNEL (HCP)

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>What is the current policy for facemasks for HCP inside the facility?</i></p> <p><i>What do you tell staff about wearing facemasks in common work areas with only co-workers present?</i></p> <p><i>If you are running low on facemasks, do you have a plan for when and which staff might use cloth face coverings for source control instead (those not providing direct care)?</i></p> <p><b>Facility has implemented universal use of facemasks or cloth face coverings for HCP (for source control) while in the facility.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><b>Facility has provided staff with education to use facemask or respirator if more than source control is required.</b></p> <p><i>If there are shortages of facemasks, facemasks should be prioritized for HCP and then for residents with symptoms of COVID-19 (as supply allows). Cloth face coverings are not considered PPE and should not be worn instead of a respirator (or facemask if shortage of respirators) if more than source control is required.</i></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What is the facility encouraging for staff in terms of social distancing?</i></p> <p><b>All HCP are reminded to practice social distancing when in break rooms and common areas.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Have you started staff screening or check-ins? How does that work? Is this kept in a log? What do you do if someone has a fever or symptoms?</i></p> <p><b>All HCP (including ancillary staff such as dietary and housekeeping and consultant personnel) are screened at the beginning of their shift for fever and symptoms of COVID-19 (actively records their temperature and documents they do not have fever, new or worsening cough, difficulty breathing, chills, repeated shaking with chills, muscle pain, headache, sore throat, or new loss of taste or smell).</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><b>• If they are ill, they are instructed to keep their cloth face covering or facemask on and leave the facility. HCP with suspected or confirmed COVID-19 should notify their supervisor at any facility where they work.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Has your facility had any symptomatic staff? How are they tracked or monitored?</i></p> <p><b>Facility keeps a list of symptomatic HCP.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	

## EDUCATION, MONITORING, AND SCREENING, AND COHORTING OF RESIDENTS

*Education of residents and their loved ones should include an explanation of steps the facility is taking to protect them and how visitors can serve as a source of pathogen transmission. The facility should ask residents to report if they feel feverish or have respiratory symptoms. They should actively monitor all residents upon admission and at least daily for fever and symptoms of COVID-19 (fever, new or worsening cough, difficulty breathing, chills, repeated shaking with chills, muscle pain, headache, sore throat, and new loss of taste or smell). If they have a fever (temperature of 100.0 F or higher) or symptoms, they should be restricted to their room and put into appropriate Transmission-Based Precautions. Group activities such as communal meals, religious gatherings, classes, and field trips should be stopped to promote social distancing (residents remaining at least 6 feet apart from one another).*

*Facilities should plan to dedicate space to care for residents with COVID-19 even before they have an active case. This could be a dedicated floor, unit, or wing in the facility or a group of rooms at the end of the unit that will be used to cohort residents with COVID-19 and would have dedicated HCP to deliver care within this space. Another consideration is how to manage new admissions or readmissions when COVID-19 status is unknown. Options may include placing the resident in a single-person room or in a separate observation area so the resident can be monitored for evidence of COVID-19. Residents could be transferred out of the observation area to the main facility if they remain afebrile and without symptoms for 14 days after their exposure (or admission). Testing at the end of this period could be considered to increase certainty that the resident is not infected. If an observation area has been created, residents in the facility who develop symptoms consistent with COVID-19 could be moved from their rooms to a single room in this area pending results of SARS-CoV-2 testing.*

*All recommended PPE should be worn during care of residents under observation; this includes use of an N95 or higher-level respirator (or facemask if a respirator is not available), eye protection (i.e., goggles or a disposable face shield that covers the front and sides of the face), gloves, and gown. Cloth face coverings are not considered PPE and should not be worn by HCP when PPE is indicated.*

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>Have you provided any education to your residents on ways they can protect themselves (like washing hands, visitor restriction, social distancing)?</i></p> <p><b>Facility has provided education to residents about the following:</b></p> <ul style="list-style-type: none"> <li>• COVID-19 (e.g., symptoms, how it is transmitted)</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Importance of immediately informing HCP if they feel feverish or ill</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Actions they can take to protect themselves (e.g., hand hygiene, covering their cough, maintaining social distancing)</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Actions the facility is taking to keep them safe (e.g., visitor restrictions, changes in PPE use, canceling group activities and communal dining)</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Are you screening residents? How are you screening them/what questions are you asking them? How often? What is included?</i></p> <p><b>Facility assesses residents for fever and symptoms of COVID-19 (fever, new or worsening cough, difficulty breathing, chills, repeated shaking with chills, muscle pain, headache, sore throat, and new loss of taste or smell) upon admission and at least daily throughout their stay in the facility.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Residents with suspected COVID-19 are immediately placed in appropriate Transmission-Based Precautions.</li> </ul> <p><b>Note:</b> Older adults with COVID-19 may not show typical symptoms such as fever or respiratory symptoms. Atypical symptoms may include new or worsening malaise, new dizziness, or diarrhea. Identification of these symptoms should prompt isolation and further evaluation for COVID-19.</p>	<input type="radio"/> Yes <input type="radio"/> No	

## EDUCATION, MONITORING, AND SCREENING, AND COHORTING OF RESIDENTS

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>Are you keeping track of residents who are symptomatic? How?</i></p> <p><b>Facility keeps a list of symptomatic residents (link to respiratory infection surveillance tool):</b>  <a href="https://www.cdc.gov/longtermcare/pdfs/LTC-Resp-OutbreakResources-P.pdf">https://www.cdc.gov/longtermcare/pdfs/LTC-Resp-OutbreakResources-P.pdf</a></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Has your facility made any changes to group activities (e.g., communal dining, religious activities [mass at Catholic facilities], gyms) or field trips?</i></p> <p><b>Facility has stopped group activities inside the facility and field trips outside of the facility.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>How are residents receiving meals? Has anything changed with communal dining?</i></p> <p><b>Facility has stopped communal dining.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><b>Additional actions when COVID-19 is identified in the facility or there is sustained transmission in the community (some facilities may choose to implement these earlier)</b></p> <p><i>What is happening with resident movement in the facility? Are residents advised to stay in their rooms? Are they required to wear a facemask if they leave their rooms?</i></p> <p><b>Residents are encouraged to remain in their rooms.</b></p> <ul style="list-style-type: none"> <li>• If there are cases in the facility, residents are restricted (to the extent possible) to their rooms except for medically necessary purposes.</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• If residents leave their rooms, they should wear a cloth face covering or facemask (if tolerated), perform hand hygiene, limit movement in the facility, and perform social distancing.</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>How are ill residents monitored? How often are they monitored? What is included (e.g., symptoms, vitals, temp, oxygen saturation, respiratory exam)?</i></p> <ul style="list-style-type: none"> <li>• The facility monitors ill residents at least 3 times daily including evaluating symptoms, vital signs, and oxygen saturation via pulse oximetry to identify and quickly manage clinical deterioration.</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>If there is a case within the facility in the future, have you made a plan for where the resident with COVID-19 will be placed?</i></p> <p><b>Facility has dedicated a space in the facility to care for residents with confirmed COVID-19. This could be a dedicated floor, unit, or wing in the facility or a group of rooms at the end of the unit that will be used to cohort residents with COVID-19.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>How will this dedicated space be staffed?</i></p> <p><b>Facility has dedicated a team of primary HCP staff to work only in this area of the facility.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	

## EDUCATION, MONITORING, AND SCREENING, AND COHORTING OF RESIDENTS

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>What is your plan for handling a resident who may have COVID-19?</i></p> <p><i>What is your plan for movement?</i></p> <p><i>What is your plan for testing?</i></p> <p><b>Facility has a plan for how residents in the facility who develop COVID-19 will be handled (e.g., transfer to single room, prioritize for testing, transfer to COVID-19 unit if positive).</b></p> <p>Closely monitor roommates and other residents who may have been exposed to an individual with COVID-19 and, if possible, avoid placing unexposed residents into a shared space with them.</p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What is your plan for managing new admission or readmissions when the resident's COVID-19 status is unknown?</i></p> <p><i>What PPE will be worn when caring for residents who have unknown COVID-19 status and are under observation?</i></p> <p><b>Facility has a plan for managing new admissions and readmissions whose COVID-19 status is unknown.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><b>Additional actions when COVID-19 is identified in the facility or there is sustained transmission in the community.</b></p> <p><b>Facility uses all recommended PPE for the care of all residents on affected units (or facility-wide depending on the situation). distancing.</b></p> <p>Because of the higher risk of unrecognized infection among residents, universal use of <a href="#">all recommended PPE</a> for the care of all residents on the affected unit (or facility-wide depending on the situation) is recommended when even a single case among residents or HCP is identified in the facility; this should also be considered when there is sustained transmission in the community. The health department can assist with decisions about testing of asymptomatic residents.</p>	<input type="radio"/> Yes <input type="radio"/> No	

## AVAILABILITY OF PPE AND OTHER SUPPLIES

Major distributors in the United States have reported shortages of PPE. Shortages of alcohol-based hand sanitizers and refills and certain disinfectants have also been reported. Facilities should assess their current supplies of PPE and other critical materials as soon as possible and begin implementing strategies to optimize their current supply of PPE (<https://www.cdc.gov/coronavirus/2019-ncov/hcp/ppe-strategy/index.html>). Examples of strategies described in those documents include extended use of facemasks and eye protection, which allow the same facemask and eye protection to be worn for the care of more than one resident. Gowns could be prioritized for select activities such as activities where splashes and sprays are anticipated (including aerosol generating procedures) and high-contact resident care activities that provide opportunities for transfer of pathogens to hands and clothing of HCP. If a facility anticipates or has a shortage, they should engage their health department and healthcare coalition for assistance.

- Link to identifying your state HAI coordinator: <https://www.cdc.gov/hai/state-based/index.html>
- Link to healthcare coalition/preparedness: <https://www.phe.gov/Preparedness/planning/hpp/Pages/find-hc-coalition.aspx>

Disinfectants used at a facility should be EPA-registered, hospital-grade disinfectants with an emerging viral pathogens claim against SARS-CoV-2. List N on the EPA website lists products that meet EPA's criteria for use against SARS-CoV-2 (<https://www.epa.gov/pesticide-registration/list-n-disinfectants-use-against-sars-cov-2>)

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p>How is your current supply of: facemasks and respirators; gowns; gloves; eye protection?</p> <p>Does your facility have enough supply of facemasks and respirators (gowns, gloves, etc.) for the next 1-2 weeks?</p> <p>Facility has assessed current supply of PPE and other critical materials (e.g., alcohol-based hand sanitizer, EPA-registered disinfectants, tissues). (<a href="https://www.cdc.gov/coronavirus/2019-ncov/hcp/ppe-strategy/burn-calculator.html">https://www.cdc.gov/coronavirus/2019-ncov/hcp/ppe-strategy/burn-calculator.html</a>)</p>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<p>What is your facility doing to try and conserve PPE? Are you aware of the recommendations to conserve PPE? Do you have a backup plan if you don't have enough?</p> <p>If PPE shortages are identified or anticipated, facility has engaged their health department and/or healthcare coalition for assistance.</p>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<p>Facility has implemented measures to optimize current PPE supply (<a href="https://www.cdc.gov/coronavirus/2019-ncov/hcp/ppe-strategy/index.html">https://www.cdc.gov/coronavirus/2019-ncov/hcp/ppe-strategy/index.html</a>).</p>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<p>Where is your PPE located? Is it readily available for staff that need it?</p> <p>PPE is available in resident care areas including outside resident rooms.</p> <ul style="list-style-type: none"> <li>• PPE here includes: gloves, gowns, facemasks, N-95 or higher level respirators (if facility has a respiratory protection program and HCP are fit-tested) and eye protection (face shield or goggles).</li> </ul>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<p>How much disinfectant does your facility have on hand? Do you expect a shortage?</p> <p>EPA-registered, hospital-grade disinfectants with an emerging viral pathogens claim against SARS-CoV-2 are available to allow for frequent cleaning of high-touch surfaces and shared resident care equipment.</p>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<p>Are trash cans accessible throughout the facility? What about tissues?</p> <p>Tissues and trash cans are available in common areas and resident rooms for respiratory hygiene and cough etiquette and source control.</p>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	

## INFECTION PREVENTION AND CONTROL PRACTICES

*Alcohol-based hand sanitizer (ABHS) is the preferred method of hand hygiene; however, sinks should still be stocked with soap and paper towels. Hand hygiene should be performed in the following situations: before resident contact, even if PPE is worn; after contact with the resident; after contact with blood, body fluids, or contaminated surfaces or equipment; before performing aseptic tasks; and after removing PPE.*

*Recommended PPE when caring for residents with suspected or confirmed COVID-19 includes gloves, gown, N-95 or higher-level respirator (or facemask if respirators are not available or HCP are not fit-tested), and eye protection (face shield or goggles). PPE should be readily available outside of resident rooms, although the facility should consider assigning a staff member to shepherd supplies and encourage appropriate use.*

*All EPA-registered, hospital-grade disinfectants have a contact time which is required to kill or inactivate pathogens. Environmental surfaces must remain wet with the product for the entire contact time duration to work appropriately. Contact times range from 30 seconds to 10 minutes. Keeping a surface wet for 10 minutes is seldom accomplished with a single application. It is important for facilities to know that their product is appropriate (List N as above) and is being used for the entire contact time. Also, it is helpful for the facility to assign responsibility for cleaning and disinfection of specific surfaces and equipment (who cleans what).*

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>When, during patient care, is hand hygiene expected?</i></p> <p><b>HCP perform hand hygiene in the following situations:</b></p> <ul style="list-style-type: none"> <li>• Before resident contact, even if gloves will be worn</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• After contact with the resident</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• After contact with blood, body fluids, or contaminated surfaces or equipment</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Before performing an aseptic task</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• After removing PPE</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What does your facility recommend for hand hygiene?</i></p> <p><i>Is there a preference for soap and water or alcohol-based hand sanitizer?</i></p> <p><b>Facility has preference for alcohol-based hand sanitizer over soap and water</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What PPE is being used by HCP caring for anyone with suspected or confirmed COVID-19</i></p> <p><b>HCP wear the following PPE when caring for residents with suspected or confirmed COVID-19</b></p> <ul style="list-style-type: none"> <li>• Gloves</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Isolation gown</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• N-95 or higher-level respirator (or facemask if a respirator is not available)</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<ul style="list-style-type: none"> <li>• Eye protection (goggles or face shield)</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	

## INFECTION PREVENTION AND CONTROL PRACTICES

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>How are staff taught to remove PPE?</i>  <b>PPE are removed in a manner to prevent self-contamination and hand hygiene is performed immediately after removal.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What product do you use for alcohol-based hand sanitizer – do you know the alcohol percentage? Are you experiencing any shortages in alcohol-based hand sanitizer? If so, how are you addressing?</i>  <b>Hand hygiene supplies are available in all resident care areas.</b></p> <ul style="list-style-type: none"> <li>• <b>Alcohol-based hand sanitizer* with 60-95% alcohol is available in every resident room and other resident care and common areas.</b></li> </ul> <p><b>* If there are shortages of alcohol-based hand sanitizer, hand hygiene using soap and water is still expected.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Do you ever audit or record performance of things like hand hygiene? Selection and use of personal protective equipment? What do you do if you see someone not washing their hands appropriately?</i>  <b>Hand hygiene and PPE compliance are audited.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>How often are shared equipment like blood pressure cuffs/machines cleaned? These need to be cleaned after every patient use. Who is responsible for that? Are you able to dedicate equipment to residents that may be symptomatic or a case like thermometers, BP cuffs, and stethoscopes?</i>  <b>Non-dedicated, non-disposable resident care equipment is cleaned and disinfected after each use.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What disinfectant is used at your facility? Is this ready-to-use (premixed) or does it need to be diluted by your staff? Have you checked to see if that product is effective for coronavirus (EPA List N)?</i>  <b>EPA-registered, hospital-grade disinfectants with an emerging viral pathogens claim* against SARS-CoV-2 are available to allow for frequent cleaning of high-touch surfaces and shared resident care equipment.</b></p> <ul style="list-style-type: none"> <li>• <b>*See EPA List N: <a href="https://www.epa.gov/pesticide-registration/list-n-disinfectants-use-against-sars-cov-2">https://www.epa.gov/pesticide-registration/list-n-disinfectants-use-against-sars-cov-2</a></b></li> <li>• <b>Name of EPA-registered disinfectant used in facility:</b>            _____</li> </ul>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>What is the contact time for the product? Remember that the contact time is how long a disinfectant needs to remain on a surface for it to be effective. The surface needs to be wet the entire time. Contact times can range from 30 seconds to 10 minutes; often the product is dry after 1-2 minutes so this means reapplying more until that contact time is met. [If they have a 10 minute product] Please make sure your staff are aware of that time and use it appropriately or consider changing to another product with a shorter time.</i>  <b>Facility is aware of the contact time for the EPA-registered disinfectant and shares this information with HCP.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	
<p><i>Are disinfectants ready-to-use or do you have to mix/dilute them at the facility? How are they mixed/diluted?</i>  <b>EPA-registered disinfectants are prepared and used in accordance with label instructions.</b></p>	<input type="radio"/> Yes <input type="radio"/> No	

## COMMUNICATION

*Communicating is essential during an outbreak—with HCP, residents, families, the health department, transport personnel, and receiving facilities. Facilities should notify the health department about any resident with severe respiratory infection resulting in hospitalization or death, any resident or HCP with suspected or confirmed COVID-19, or if the facility identifies 3 or more new onset cases of respiratory illness among residents and/or HCP in 72 hours. These situations should prompt further investigation and testing for SARS-CoV-2. Should a higher level of care be indicated for a resident with suspected or confirmed COVID-19, the facility should communicate this information with transport personnel, the receiving facility, and the health department.*

Elements to Be Assessed	Assessment (Y/N)	Notes/Areas for Improvement
<p><i>Have you ever talked to the health department before for your facility? Why?</i></p> <p><i>Moving forward, what would make you reach out to the health department now? You should reach out if you have a known or suspected case in a resident or healthcare provider; if you have a resident with a severe respiratory infection; or a cluster of new-onset respiratory symptoms among residents and or staff. Generally, we say 3 or more over the course of three days.</i></p> <p><b>Facility notifies the health department about any of the following:</b></p> <ul style="list-style-type: none"> <li>• COVID-19 is suspected or confirmed in a resident or HCP</li> </ul>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<ul style="list-style-type: none"> <li>• A resident has severe respiratory infection resulting in hospitalization or death</li> </ul>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<ul style="list-style-type: none"> <li>• A cluster of new-onset respiratory symptoms among residents or HCP (≥3 cases over 72 hours)</li> </ul>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<p><i>If you have known or suspect cases of COVID-19, how do you plan to communicate this with staff? With residents? With family members?</i></p> <p><b>Facility has process to notify residents, families, and staff members about COVID-19 cases occurring in the facility.</b></p>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	
<p><i>What about if you transfer a known or suspect case to the hospital, do you have a way to communicate their status to EMS; outpatient facility like dialysis or transfusion clinic; hospital?</i></p> <p><b>Facility communicates information about known or suspected residents with COVID-19 to appropriate personnel (e.g., transport personnel, receiving facility) before transferring them to healthcare facilities such as dialysis and acute care facilities.</b></p>	<p><input type="radio"/> Yes   <input type="radio"/> No</p>	

**INVESTIGATORS:** At the conclusion of the ICAR, give the facility an opportunity to ask questions. Provide them with information about what to expect next (e.g., that they will receive a copy of the completed ICAR form, a recommendation letter, etc.).

## SIGNATURES

Signature/Title of Facility Evaluator: \_\_\_\_\_ Date: \_\_\_\_\_

Signature/Title of Facility Infection Preventionist: \_\_\_\_\_ Date of Review: \_\_\_\_\_

Signature/Title of Facility Administrator: \_\_\_\_\_ Date of Review: \_\_\_\_\_

Signature/Title of Medical Director: \_\_\_\_\_ Date of Review: \_\_\_\_\_

