| RESIDENTIAL CARE SERVICES (RCS)  ADULT FAMILY HOME (AFH)  ASSISTED LIVING FACILITY (ALF)  ENHANCED SERVICES FACILITY (ESF)  **RCS (AFH, ALF, ESF) Infection Prevention and Control (IPC) Complaint Investigation Tool** | | | | | | FACILITY NAME | | | | LICENSE NUMBER | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| PROVIDER / LICENSEE NAME | | | | CD NUMBER | | |
| INVESTIGATOR NAME | | | | ENTRANCE DATE | | |
| INTAKE NUMBER(S) | | | | | | |
| RCS staff will use the IPC Tool or Pathway to investigate IPC related complaints. Assess elements via observations, interviews, and record review throughout the visit. Submit the completed Tool or Pathway with your working papers.  **Check “Yes,” “No,” or “N/A.” If “No,” document findings in the notes section and/or the DSHS** [**13-944**](https://www.dshs.wa.gov/office-of-the-secretary/forms?field_number_value=13-944&title=&order=field_number&sort=desc) **form.** Determine additional questions as needed.  **Interview Questions.** Write response to corresponding letter and number. | | | | | | | | | | | | |
| Identify and review national IPC standards, rules, and definitions applicable to the setting:  [Standard Precautions](https://www.cdc.gov/infection-control/hcp/basics/standard-precautions.html?CDC_AAref_Val=https://www.cdc.gov/infectioncontrol/basics/standard-precautions.html)  [Transmission Based Precautions (TBP)](https://www.cdc.gov/infection-control/hcp/basics/transmission-based-precautions.html?CDC_AAref_Val=https://www.cdc.gov/infectioncontrol/basics/transmission-based-precautions.html)  [Notifiable Conditions](https://app.leg.wa.gov/WAC/default.aspx?cite=246-101-101) | | | | | | | | | | | | |
| Communicable disease outbreak:  Yes  No  Unknown  N/A  Organism: | | | | Mode of transmission (check all that apply):  Contact  Foodborne  Droplet  Unknown  Airborne  N/A | | | PPE Plan for the visit (check all that apply):  None needed  Eye protection  Use facility PPE  Source control  Full PPE with fit tested N95 respirator | | | | | |
| **Yes** | **No** | **N/A** | **Entrance and Tour Observations** | | | | | **Entrance / Tour Observation Notes** | | | | |
|  |  |  | Is there an established process to ensure everyone entering the facility is aware of the outbreak? If indicated, are visitors alerted to IPC procedures? | | | | |  | | | | |
|  |  |  | Are hand hygiene supplies accessible to residents, staff, and visitors? | | | | |
| **Yes** | **No** | **N/A** | **Focused Resident and Staff Observations** | | | | | **Focused Observation Notes** | | | | |
|  |  |  | **Resident(s) general appearance and potential infection sources** | | | | |  | | | | |
|  |  |  | **Supplies: Use and Availability**   * Hand washing / hand sanitizer use and availability * Glove use; handling / bagging of soiled items * Adequate PPE readily available and properly used * Proper don, doff, and disposal of PPE | | | | |
|  |  |  | **TBP and Isolation Practices**   * + Appropriately implement and follow TBP for confirmed or suspected cases?     - * If TBP/airborne are implemented, are NIOSH-approved fit-tested respirators being used?   + Cohort / designated staff?   + Signage posted?   + Dietary precautions (paper plates, plastic utensils) | | | | |
|  |  |  | **Cleaning and disinfecting** care equipment and environment (technique, timing, and product use) | | | | |
|  |  |  | **Safe laundry and textile handling**(soiled laundry contained, staff do not hold soiled laundry against torso or clothing) | | | | |
|  |  |  | **Food safe and sanitary / fluids offered to ill residents.**  Refer to program specific rules as needed. | | | | |
|  |  |  | **Ventilation is adequate to prevent inspection spread** | | | | |
| **Provider Interview** | | | | | | | | **Provider Interview Notes** | | | | |
| 1. **Ask the provider about outbreak management:** 2. Which residents are affected? 3. Has anyone else been sick with similar symptoms? When? 4. What was the source of infection / outbreak? 5. What have you done / are you doing to prevent the spread of the communicable disease/foodborne illness? 6. Whom have you notified (LHJ, CRU)? When? 7. Have the involved residents improved? How do you know? 8. **Ask the provider to describe IPC training for staff and residents.** **Does training include:** 9. Standard precautions including hand hygiene, use of PPE, respiratory hygiene / cough etiquette, isolation, cleaning, and disinfecting care. 10. Transmission-based precautions, when and how to use and dispose of PPE. 11. Equipment and environment, safe handling of laundry and cleaning / disinfecting. 12. Sick leave policies and importance of not reporting or remaining at work when ill. 13. **Ask the provider how they know or ensure:** 14. Staff are following training. 15. Supplies for handwashing, cleaning / disinfection / tissues are readily available and accessible for residents, staff, and visitors. | | | | | | | |  | | | | |
| **Resident / Family / Visitors Interview** | | | | | | | | **Res / Fam / Visit Interview Notes** | | | | |
| 1. Have you recently been ill?    1. How long were you ill and what were your symptoms?    2. What did the facility do to help you? 2. Have others in the facility recently been ill (other residents, staff)? 3. Do staff wear gloves? When? 4. Do you have concerns about how housekeeping services are done / sanitary practices etc.? | | | | | | | |  | | | | |
| **Staff Interview** | | | | | | | | **Staff Interview Notes** | | | | |
| 1. Which residents have been ill (had an infection, fever, chills, severe nausea, diarrhea, other symptoms)? 2. What do you do to prevent the spread of infection from one person to another? 3. Do you have enough PPE (gloves, gowns, masks)? 4. What do you do if you, or other staff, are ill or have an infection? | | | | | | | |  | | | | |
| **Record Review – Prevention, Testing, Surveillance, and Treatment** | | | | | | | | **Record Review Notes** | | | | |
| 1. Illness / symptoms promptly identified and timely facility / primary health care provider responses. 2. Outbreak testing done. 3. Treatment or exposure prophylaxis administered as recommended or directed. 4. Ill resident(s) status monitored, surveillance of residents and staff. 5. Follows LHJ guidance for testing and tracking. 6. Notification of representatives, staff, visitors, LHJ. 7. Residents vaccinated or offered vaccination. | | | | | | | |  | | | | |
| **Written IPC policies (ALF, ESF), and procedures (AFH) to prevent the spread of infection** | | | | | | | | **Policy and Procedure Notes** | | | | |
| 1. Standard Precautions 2. Transmission-Based Precautions    * TBP / airborne: RPP and respirator fit testing 3. Reference to national / current acceptable standards 4. Outbreak management 5. Sick leave policies that are non-punitive, flexible, and allow ill staff to stay home, return to work 24 hours after fever resolves (or as advised) | | | | | | | |  | | | | |
| **Resource Links** | | | | | | | | | | | | |
| [Washington State Local Health Departments and Districts](https://doh.wa.gov/about-us/washingtons-public-health-system/washington-state-local-health-jurisdictions)  [ALTSA Provider / Administrator Letters](https://www.dshs.wa.gov/altsa/residential-care-services/altsa-provider-letters)  Outbreak Definitions   * [COVID-19 (cste.org)](https://www.corha.org/wp-content/uploads/2024/01/COVID-19-HC-Outbreak-Definition-Guidance_January-2024.pdf) * [Flu Outbreak Definition (DOH)](https://doh.wa.gov/sites/default/files/legacy/Documents/5100/fluoutbrk-LTCF.pdf)   [Environmental Protection Agency](https://www.epa.gov/pesticide-registration/selected-epa-registered-disinfectants) (EPA)  [Personal Protective Equipment](https://www.fda.gov/medical-devices/general-hospital-devices-and-supplies/personal-protective-equipment-infection-control#:~:text=Personal%20protective%20equipment%20(PPE)%20refers,spread%20of%20infection%20or%20illness.) (PPE)  [LNI Respiratory Protection Program WAC 296-842](https://app.leg.wa.gov/WAC/default.aspx?cite=296-842) | | | | | **Norovirus References**  Centers for Disease Control and Prevention - [Norovirus](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.cdc.gov%2Fnorovirus%2F&data=05%7C01%7Ckatherine.ander%40dshs.wa.gov%7C81448d9328b94bb41a4308db1c2f138d%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C638134760802981055%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=U%2BE3P%2BUIL%2BDWkJtc%2BDORMkF0jUCOd%2Fbv4qiU2sYfdMo%3D&reserved=0)  DOH - [Norovirus](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fdoh.wa.gov%2Fyou-and-your-family%2Fillness-and-disease-z%2Fnorovirus&data=05%7C01%7Ckatherine.ander%40dshs.wa.gov%7C81448d9328b94bb41a4308db1c2f138d%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C638134760802981055%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=e7Z98JXR9PGgEMrAn3BisnF5Gg5SKl60jzcFopM5ITc%3D&reserved=0) resource site  DOH Norovirus Outbreak Management [Toolkit](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Ffoodsafety.uw.edu%2Fsites%2Ffoodsafety.uw.edu%2Ffiles%2Fdocuments%2Fnorovirus%2FWA-IFS-CoE-Norovirus-Toolkit.pdf&data=05%7C01%7Ckatherine.ander%40dshs.wa.gov%7C81448d9328b94bb41a4308db1c2f138d%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C638134760802981055%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=OTB0fUgrxBaFBfR%2FB2%2FmRpkd%2F%2BnbYxV%2FjpT6KNbDct0%3D&reserved=0)  **Flu (Influenza) Reference**  DOH Influenza Outbreak in Long Term Care Facilities [Frequently Asked Questions](https://doh.wa.gov/sites/default/files/legacy/Documents/5100/420-199-Flu-FAQs-in-LTCF.pdf) | | | | | | | |
| **Compliance Decision** | | | | | | | | | | | | |
| **IPC Regulatory Requirement**: There may be many related regulations to consider, such as notification, updating assessments and care plans, medication management. Use the regulations below to cite breaches in infection prevention and control practice. | | | | | | | | | **N/A** | | **Met** | **Not Met** |
| **AFH** | [**WAC 388-76-10255 Infection control**](https://apps.leg.wa.gov/WAC/default.aspx?cite=388-76-10255)**.** The adult family home must develop and implement an infection control system that: (1) Uses nationally recognized infection control standards; (2) Emphasizes frequent hand washing and other means of limiting the spread of infection; | | | | | | | |  | |  |  |
| [**WAC 388-76-10400 Care and services**](https://app.leg.wa.gov/WAC/default.aspx?cite=388-76-10400). (3) The care and services in a manner and in an environment that: (b) Actively supports the safety of each resident; | | | | | | | |  | |  |  |
| **ALF** | [**WAC 388-78A-2610 Infection control**](https://apps.leg.wa.gov/WAC/default.aspx?cite=388-78A-2610)**.** (1) The assisted living facility must institute appropriate infection control practices in the assisted living facility to prevent and limit the spread of infections. (2) The assisted living facility must: (e) Perform all housekeeping, cleaning, laundry, and management of infectious waste according to current acceptable standards for infection control; | | | | | | | |  | |  |  |
| **ESF** | [**WAC 388-107-0440 Infection control system**](https://apps.leg.wa.gov/WAC/default.aspx?cite=388-107-0440). (1) The enhanced services facility must: (a) Establish and maintain an effective infection control program designed to provide a safe, sanitary, and comfortable environment and to help prevent the development and transmission of disease and infection; | | | | | | | |  | |  |  |