



# Coronavirus Disease 2019 (COVID-19) Focused Infection Control Survey for Non-Long term Care

*Division of Continuing and Acute Care Providers*

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# Summary of COVID-19 Focused Survey

- Targeted infection control surveys using the focused Survey Tool
- Offsite Preparation
- Onsite Survey Activities
- Post Survey Activities

# Summary Table Document

## Summary of the COVID-19 Focused Survey for Acute and Continuing Care Providers

This is a summary of the COVID-19 Focused Survey for acute and continuing care providers (Non-Long term care facilities). Surveyors should review the Focused Infection Control Survey tool in light of the established State Operations Manual Survey Protocol for more detailed information. Facilities can review the Focused Survey to determine CMS's expectations for an infection prevention and control program during the COVID-19 pandemic.

Offsite Survey Activity	Onsite Survey Activity	Facility Self-Assessment
<ul style="list-style-type: none"> <li>• If the survey team plans to enter a facility with an active COVID-19 case, the survey team should contact their State Survey Agency (SA), the state health department, and CMS Regional Location to coordinate activities for these facilities.</li> <li>• SAs should ensure surveyors are medically cleared, trained in the appropriate use of and have needed personal protective equipment (PPE) that could be required onsite.</li> <li>• Conduct offsite planning to limit interruptions to care while onsite. Obtain information on:               <ul style="list-style-type: none"> <li>○ Facility-reported information;</li> <li>○ CDC, state/local public health reports;</li> <li>○ Complaint allegations.</li> </ul> </li> <li>• Identify survey activities that will be conducted offsite, such as:               <ul style="list-style-type: none"> <li>○ Medical record review</li> <li>○ Telephonic interviews</li> <li>○ Facility Policy/Procedure review</li> </ul> </li> <li>• Conduct any survey exit discussion with the facility by telephone and draft the CMS-2567 offsite.</li> </ul>	<ul style="list-style-type: none"> <li>• If the survey team identifies an active COVID-19 case after entering a facility, the survey team should contact their SA, the state health department, and CMS Regional Location to coordinate activities for the facility.</li> <li>• Limit the onsite team to one to two surveyors.</li> <li>• Identify onsite assignments for activities, such as:               <p>Observations:</p> <ul style="list-style-type: none"> <li>○ Hand hygiene practices</li> <li>○ Proper use/discarding of PPE</li> <li>○ Cleansing medical equipment</li> <li>○ Effective Transmission-Based Precautions</li> </ul> <p>Interviews:</p> <ul style="list-style-type: none"> <li>○ Policy/Procedure knowledge</li> <li>○ Surveillance for sign/symptoms</li> <li>○ Notifying local health officials</li> </ul> </li> <li>• Adhere to all CDC guidance for infection prevention and control related to COVID-19.</li> <li>• Identify and arrange for interviews that can be done telephonically.</li> <li>• Be alert of other immediate jeopardy (IJ) situations that may be present, and investigate appropriately.</li> </ul>	<p>Facilities should utilize the COVID-19 Focused Survey as a self-assessment tool. Priority areas for self-assessment include all of the following:</p> <ol style="list-style-type: none"> <li>1. Standard Precautions;             <ol style="list-style-type: none"> <li>a. Hand hygiene</li> <li>b. Use of PPE</li> <li>c. Transmission-Based Precautions</li> </ol> </li> <li>2. Patient care (including patient placement);</li> <li>3. Infection prevention and control standards, policies and procedures (hand hygiene, PPE, cleaning and disinfection, surveillance);</li> <li>4. Visitor entry (i.e., screening, restriction, and education);</li> <li>5. Education, monitoring, and screening of staff; and</li> <li>6. Emergency preparedness – staffing in emergencies</li> </ol>

# COVID-19 Focused Survey Tool

Use the COVID-19 Survey Tool in facilities **with** COVID-19 and facilities **without** COVID-19.

Tool is designed to:

- Decrease potential for transmission of COVID-19
- Lessen disruptions to the facility, and
- Minimize exposure of the surveyor.

Conduct the survey and use the COVID-19 focused survey tool to guide the investigation.

Content within the tool may be generally applied to any setting (not all information is applicable for every survey)

# Offsite Preparation

Surveyors must have personal protective equipment (PPE) as needed and outlined by the latest Centers for Disease Control and Prevention (CDC) guidance.

If COVID-19 is identified prior to or after entering a facility, the survey team should contact their SA for direction

Offsite Preparation includes:

- Limiting team to **1-2 surveyors**.
- Obtaining information from the facility, CDC, state/local public health departments, etc
- Reviewing QSO memos.
- Reviewing CDC guidance.

# Entering the Facility

Prior to entering the facility observe any posted signage for:

- Visitation restrictions/screening procedures
- Instructions to symptomatic individuals

Upon entering the facility quickly scan the area to see if posted processes are followed

Entrance Conference

- Explain limited nature of the survey and use of focused survey tool
- Request relevant items for infection control and emergency preparedness review (e.g., IC policies and procedures, emergency plans, medical records)

# Focused Infection Control Survey for NLTC

- Standard Precautions (hand hygiene, Use of PPE, Transmission-Based Precautions);
- Patient care (including patient placement);
- Infection prevention and control standards, policies and procedures (hand hygiene, PPE, cleaning and disinfection, surveillance);
- Visitor entry (i.e., screening, restriction, and education);
- Education, monitoring, and screening of staff; and
- Emergency preparedness – staffing in emergencies

# Post Survey Activities

Noncompliance related to COVID-19:

- Surveyor language on the Form CMS-2567
  - “Based on [observations/interviews/record review], the facility failed to [properly prevent and/or contain – or other appropriate statement] **COVID-19.**”
  - For specifics related to the ASPEN updates - refer to the ASPEN VERSION 11.9.1 RELEASE UPDATE FOR COVID-19 MEMO





**Thank you for your participation.**