

Tool Time

INFECTION PREVENTION AND CONTROL PLAN CHECKLIST

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File name: 1.1 Infection Prevention and Control Plan Checklist

A strong infection prevention and control (IPC) plan is the essential foundation for a strong IPC program in all health care settings. This includes nonacute care settings such as urgent care centers, outpatient clinics, office-based surgery practices, oncology centers, and hemodialysis centers, to name a few. Use this checklist to assess your own plan to ensure that it meets or surpasses expectations. Note that not all elements are required for all health care settings in all geographic areas. Choose the items that support your organization based on services provided and populations served.

ORGANIZATION: _____ **DEPARTMENT/UNIT:** _____

DATE OF REVIEW: _____ **REVIEWER:** _____

QUESTIONS	Y	N	NA	COMMENTS
WHAT IS THE PLAN, AND WHO IS RESPONSIBLE FOR IT?				
Does the organization have written IPC policies and procedures that are available and current?				
Does the plan integrate and coordinate all areas and aspects of the organization and its staff?				
If applicable to your setting, does the plan identify the individual(s) responsible for the IPC program?				
If applicable, does the plan identify the individual(s) responsible for management of IPC activities?				
If applicable, is the skill mix of the individual(s) responsible for daily management of IPC activities determined by the goals and objectives of the IPC program?				
Has the individual(s) responsible for daily management of IPC activities received specialized IPC training specific to your setting as applicable for your setting and patient/resident/individual served population?				
If the individual(s) with clinical authority over the IPC program does not have expertise in IPC, do they have access to someone with such expertise to assist in IPC planning?				
Is the person(s) in the organization with clinical authority over the IPC program responsible for: <ul style="list-style-type: none"> <input type="checkbox"/> Developing and implementing policies governing prevention and control of infections and communicable diseases? <input type="checkbox"/> Developing a system for identifying, reporting, investigating, preventing, and controlling infections and communicable diseases? 				

QUESTIONS	Y	N	NA	COMMENTS
As recommended by the World Health Organization (WHO), does the person(s) responsible for the IPC program have dedicated time for IPC activities?				
Is the plan—first and foremost—in accordance with local rules and regulations?				
Is the plan in accordance with evidence-based national guidelines (for example, Centers for Disease Control and Prevention, Healthcare Infection Control Practices Advisory Committee [CDC/HICPAC]), current scientific knowledge, or accepted practice guidelines?				
Has the organization established methods to communicate to licensed independent practitioners, staff, visitors, and patients/residents/individuals served and their families their responsibilities for preventing and controlling infection?				
IS THE PLAN BASED ON ORGANIZATION-SPECIFIC RISKS?				
Is the plan based on identified IPC risks specific to the care, treatment, and services the organization provides?				
If applicable, is the plan based on identified IPC risks specific to the community and population served?				
If applicable, is the plan based on identified IPC risks specific to the geographic location?				
Does the plan identify and prioritize the organization's IPC risks?				
Are prioritized risks based on the most recent risk assessment?				
Are prioritized risks based on the specific analysis of surveillance activities and other IPC data?				
Does the plan describe IPC goals related to prioritized risks?				
Are all of the organization's components and functions integrated into IPC plan activities?				
If applicable, does the IPC program include a plan of action for preventing, identifying, and managing infections and communicable diseases and for immediately implementing corrective and preventive measures that result in improvement?*				

QUESTIONS	Y	N	NA	COMMENTS
HOW THE PLAN WORKS TO MINIMIZE RISK				
Does the plan describe activities to minimize, reduce, or eliminate IPC risks?				
Does the organization review and identify risks at least annually (and whenever significant changes occur) and adjust the plan accordingly?				
Does the plan address the use of standard precautions, including the use of personal protective equipment, to reduce the risk of infection?				
Does the plan address minimizing IPC risks associated with procedures?				
Does the plan address minimizing IPC risks associated with medical equipment, devices, and supplies, including cleaning, disinfection, and sterilization?				
Does the plan address minimizing the IPC risks associated with unprotected exposure to pathogens?				
Does the plan address implementing transmission-based precautions in response to the pathogens that are suspected or identified within its service setting and community?				
If applicable, does the plan address minimizing IPC risks associated with laundry services, linen, and bedding?				
Does the plan address minimizing IPC risks associated with waste and waste disposal?				
Does the plan address minimizing IPC risks associated with utility systems, such as water and ventilation?				
Does the plan address minimizing IPC risks during and after renovation, construction, or demolition?				
If applicable, does the plan address minimizing IPC risks associated with food storage, preparation, and service?				
Does the plan address minimizing IPC risks during an emergency or natural disaster?				
Does the plan address ways of improving compliance with hand hygiene guidelines?				

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QUESTIONS	Y	N	NA	COMMENTS
Does the plan include the process for investigating outbreaks of infectious diseases?				
If applicable, does the plan describe how the organization will respond to an influx of potentially infectious patients/residents/individuals served?				
HOW THE PLAN WILL BE EVALUATED				
Does the plan describe how its effectiveness will be assessed, including how often [†] and the individual(s) responsible for the assessment?				
Does the evaluation include a review of the following? <input type="checkbox"/> The plan's prioritized risks <input type="checkbox"/> The plan's goals <input type="checkbox"/> Implementation of the IPC plan's activities				
Does the plan describe surveillance activities to measure infection rates and how the plan will be evaluated?				
Does the plan address the collection and evaluation of data on common infections and sites based on regulatory requirements and the facility's risk assessment (for example, respiratory tract, urinary tract, intravascular invasive devices, surgical sites, epidemiologically significant diseases/organisms, emerging or reemerging infections in the community)?				
Does the organization use the findings of its evaluation of the IPC plan when revising the plan?				
REPORTING				
Does the plan describe requirements for reporting IPC data, both internally and externally?				
Is there an easily accessible current list of reportable communicable diseases that must be reported to the local and/or state/national public health authorities?				
Can you provide point(s) of contact at the local or state health department for assistance with outbreak response, as recommended by the CDC?				
Can you provide evidence that you comply with the reportable diseases requirements of the local health authority?				

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QUESTIONS	Y	N	NA	COMMENTS
Are findings from the evaluation communicated at least annually to the individual(s) or interdisciplinary group that manages the patient/resident/individual served safety program?				

* Joint Commission Infection Prevention and Control (IC) Standard IC.01.05.01, Element of Performance (EP) 11 requires ambulatory surgery centers that elect to use the Joint Commission deemed status option under the Ambulatory Health Care program setting to have an infection control program that includes “immediately implementing corrective and preventive measures that result in improvement.”

† The CDC’s *Guide to Infection Prevention for Outpatient Settings: Minimum Expectations for Safe Care* (2016) recommends that infection prevention policies and procedures be reassessed at least annually, or according to state or federal requirements: <https://www.cdc.gov/infectioncontrol/pdf/outpatient/guide.pdf> (accessed Apr 22, 2022).

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