

APIC Great Lakes: 2023 Educational Webinar Series

Demystifying the Joint Commission: Infection Prevention and Control Challenges and Strategies for Success



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Continuing Education (CE)

- CBIC IPU is available for this webinar
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Demystifying the Joint Commission: Infection Prevention and Control Challenges and Strategies for Success

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November 28, 2023



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Program Objectives

Discuss

Discuss the top 2022 Infection Control noncompliant standards

Provide

Provide examples for how to identify the root cause of non-compliance with the Infection Control Standards

Clarify

Clarify the expectations of the Infection Control standards

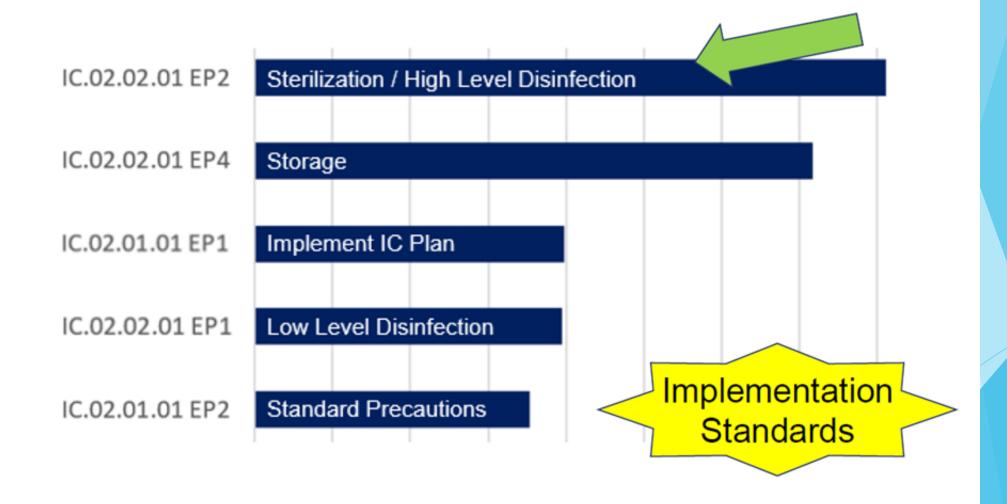
Review

Review strategies for how your organization can support Infection Prevention and Control initiatives and activities

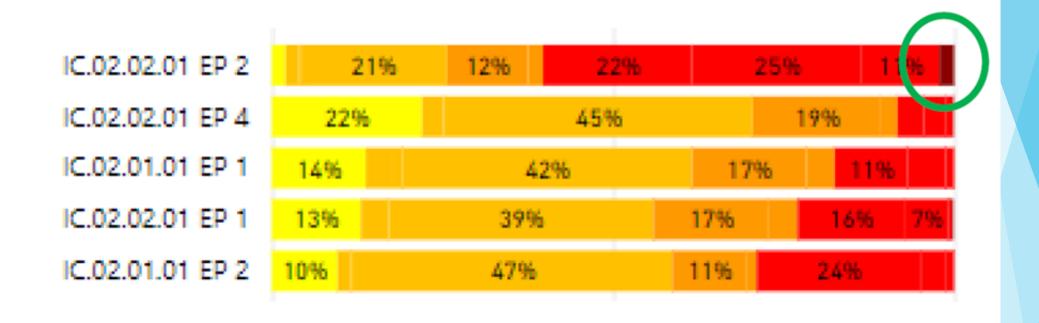


Top Infection Control Findings: 2022

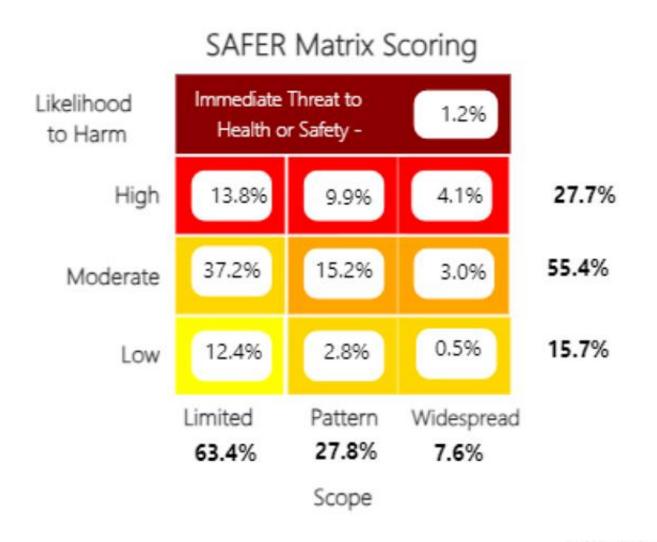
Top 5 Infection Control Findings: 2022



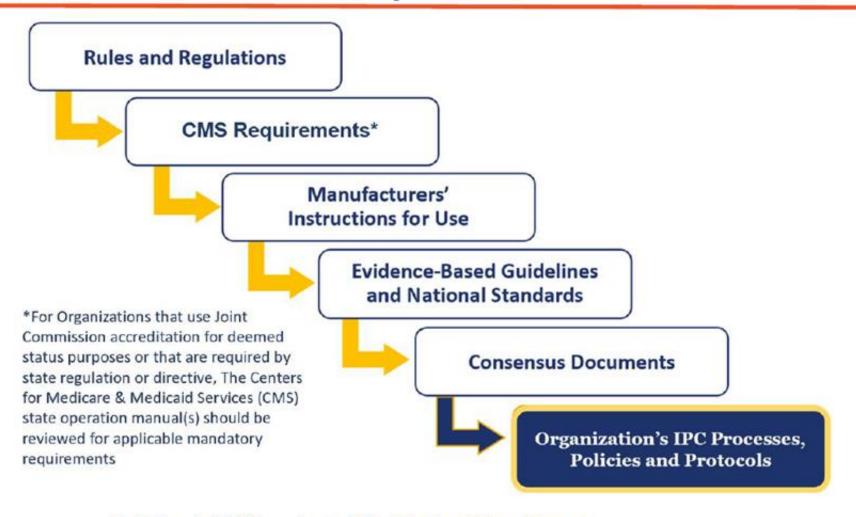
Proportion of Safer Placement 2022: Top 5 Infection Control Findings



Safer Matrix Scoring All IC Findings: 2022

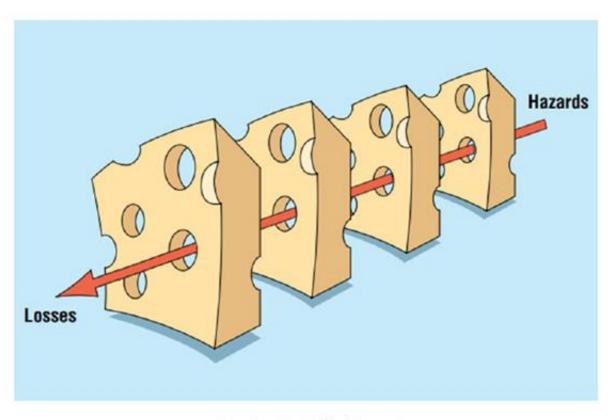


Approach to Assessing Compliance with Infection Prevention and Control Requirements



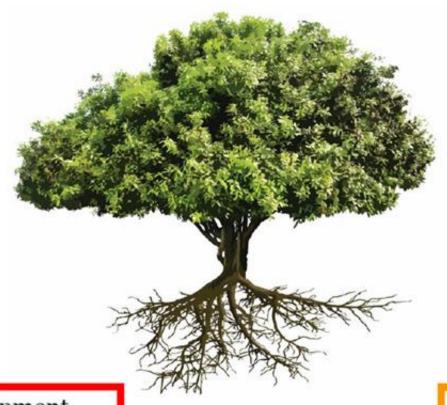
Modified from April 2019 Perspectives (available at https://www.jointcommission.org/-/media/tjc/documents/resources/patient-safety-topics/infection-prevention-and-hai/ic-hierarchical-approach-to-scoring-standards-april-2019-perspectives.pdf The Joint Commission. Used with permission.

Dr. James Reason The Swiss Cheese Model



J. Reason Human Error: Models and Management ://www.ncbi.nlm.nsh.gov/pmc/articles/PMCssx7770/pdf/768.pdf

What is the Root Cause?



Accountability

Process Development

Resources

Process Oversight

Education/Training/Competency

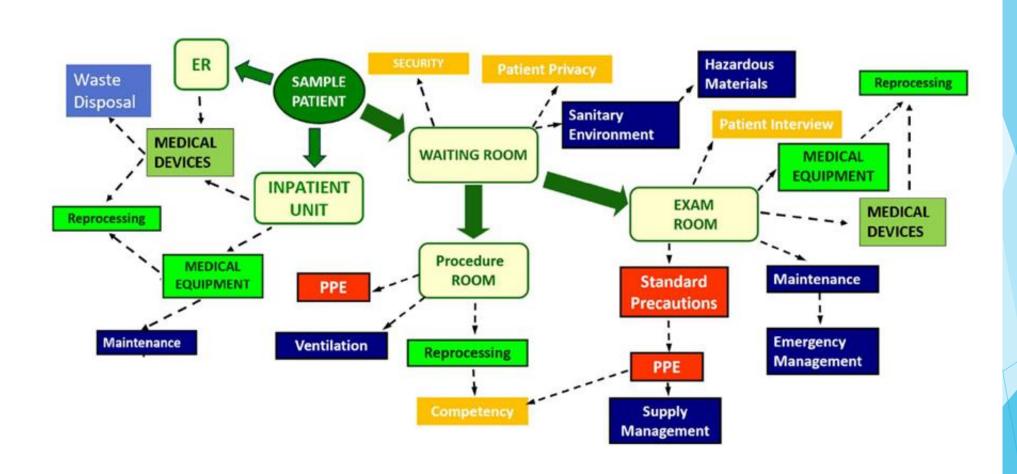
Understanding the Root Cause Can Help Guide Activities and Resource Allocation



Short term fix

Long term solution

Tracer Methodology is Used to Identify Risks



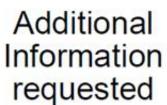
Evaluating Identified Risks

Risk identified

Additional findings may be scored outside the IC chapter







There May be Additional Opportunities Identified when Investigating a Risk

Resources

Information Equipment and Supplies

Leadership

Activity Management Oversight

Human resources

Education

Training

Competency



What's at the Root of Frequently Cited IC Observations?

Key Elements: Implementation



IC.02.02.01 EP2: Sterilization and High-Level Disinfection

 #1 on the Most Frequently Cited Higher-Risk Accreditation Requirements

In the Top 10 Infection Control Findings

Highest Percentage of High-Risk Findings and findings evaluated for Immediate Threat to Health and Safety

Key Elements: Sterilization

Available Supplies

- Manufacturer's Instructions For Use (MIFU) available
- Supplies necessary for all steps of reprocessing

Manufacturer Instructions for Use Followed

- For all steps of the process
- Handling used items
- Cleaning
- Sterilization
- Documentation
- Storage
- Transporting
- Conflicts within MIFU resolved
- Conflicts between MIFUs resolved

Competent Employees

- Staff who perform sterilization are trained and competent
- Staff who oversee process are competent to evaluate the process

Infection Prevention and Control

 Process to evaluate adherence to procedures

Staff Accountability

 Leadership hold staff accountable

Wide Variety of Instruments and Devices Used in Healthcare Settings

May be found in central locations or distributed to decentralized locations (e.g., ICU, ED, Ambulatory locations, etc.)

Operating Room Interventional Platform Labor & Delivery

Bedside procedures Minor procedures

Specialty Services:
Dental
Podiatry
Gynecology
Endoscopy
Urology

Single use vs. reusable

Varying levels of disinfection/sterilization required

Varying levels of complexity

Wide variation in reprocessing instructions

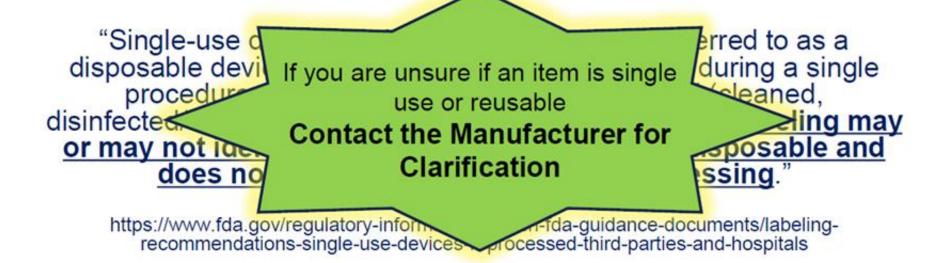
What Level of Reprocessing is Required for Instruments and Devices?

Intended use Drives MINIMUM Reprocessing: FDA Uses Spaulding

Level	Risk of Infection	Description of Intended Use	Examples of Items	Reprocessing Methods
Critical	High	Item comes in contact with or enters sterile tissue, sterile body cavity, or the vascular system	Surgical and dental instruments, some endoscopes, inner surfaces of hemodialyzers, urinary catheters, biopsy forceps, implants, and needles	Sterilization
Semi- Critical	Moderate	Itemcomes in contactwith mucous membrane or non-intact skin	Respiratory therapy and anesthesia equipment, some endoscopes, laryngoscope blades, esophageal manometry probes, vaginal ultrasound probes and specula, and diaphragm fitting rings	Minimum: High Level Disinfection (sterilization may be needed in certain cases*)
Non-critical	Low	Item comes in contact with skin	Patient care Items: bedpans, blood pressure cuffs, crutches, incubators Environmental Surfaces: bed rails, bedside tables, patient furniture, counters, and floor	Clean or disinfect

What is a Single-use Device?

Labeling Recommendations for Single-Use Devices Reprocessed by Third Parties and Hospitals; Final Guidance for Industry and FDA



Manufacturer's Instructions for Use (IFU)

- Most items utilized throughout the steps of reprocessing will have IFUs

 - Instruments/Devices, Equipment
 Cleaning accessories, Accessories used for reprocessing
 - Process indicators
- Provides inst cleaning, If there is a conflict within a MIFU or disinfection a em is not longer between MIFUs for items, or if a suitable for MIFU contains unclear or ambiguous information
- Compatible
 - May have instru critical procedure, in o only pro

Contact the Manufacturer for Clarification

use (e.g., used for semi-

May be ambiguous or contain conflicting information

ts and processes

Know your Instruments, Devices and **Equipment**

This is Critical

- Validate the type of sterilization cycle that your sterilizer uses

 - Gravity Displacement
 Dynamic Air Removal (Prevac, Steam Flush Pressure Pulse)
- Follow the MIFU of the instruments/devices being sterilized based on the type of sterilizer in use

One standard sterilization cycle/parameters may not be sufficient for reprocessing the different types of instruments and devices being sterilized

Sterilization: Manufacturer's Instructions for Use (MIFU)

MIFU not available

Supplies not available

MIFU not followed

- Non-approved/incompatible supplies used
- Missing steps of the process
- Steps of the process performed incorrectly
- Sterilization cycle parameters not met per MIFU of instrument/device
- Instruments, devices and/or equipment not stored per MIFU

Observations: Instruments/ Devices Not Appropriate for Sterilization

Single Use Devices Instruments in Disrepair Oxidized Chipped Cracked Discolored Instrument Tape / Coating Not properly applied Chipped, cracked Sterilization of Non-Medical Items Staff Can't Identify Instruments that should not be used

Observations: MIFU Conflicts and Clarifications

Unclear MIFU not clarified

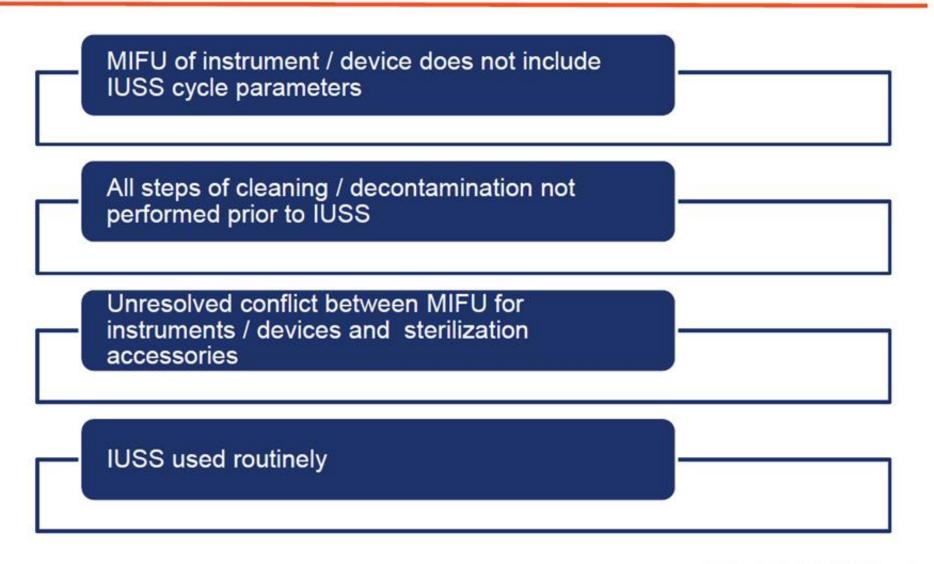
Conflicts within MIFU not clarified

 MIFU does not contain instructions for level of reprocessing based on intended use of the item

MIFU between instruments /sterilization accessories used not clarified

Cycle parameters

Immediate Use Steam Sterilization



Key Elements – High Level Disinfection

Available Supplies

- MIFU available
- Supplies necessary to decontaminate and perform high level disinfection available

Manufacturer Instructions for Use Followed

- For all steps of the process
- · From point of use through storage
- · Resolve conflicts

Competent Employees

- Staff who perform HLD are trained and competent
- Staff who oversee process are competent to evaluate the process

Infection Prevention and Control Involvement

· Process to evaluate adherence to procedures

Staff Accountability

Leadership hold staff accountable

Observations: High Level Disinfection

Precleaning

• Enzymatic solution not used as per manufacturer's instructions for use (MIFU)

High Level Disinfection

- Minimum Effective Concentration (MEC) of the disinfectant not tested per MIFU
- Manufacturer required minimum temperature of HLD solution not met at the time of use
- Probe not soaked in high level disinfectant for the minimum amount of time specified by MIFU

Storage

High level disinfected speculum stored in a dirty drawer

Transport

 Soiled probe carried by hand from the patient room, down the hall to the soiled utility room Failure to follow the manufacturers instructions for use at any point in the process can lead to issues such as:

Altered functionality of the instrument, device or equipment

Inability to high level disinfect or sterilize the instrument, device or equipment

IC.02.02.01 EP1: Low and Intermediate Level Disinfection





Product selection

Contact time

Observations: Blood Glucose Monitoring Supplies

Single patient use blood glucose monitoring supplies used for multiple patients

- Glucometer
- Lancet holding device (fingerstick device)

Glucometer not cleaned and disinfected per manufacturer's instructions for use

- Disinfectant product not approved per glucometer MIFU
- Equipment not disinfected after each use
- Equipment not fully disinfected as per MIFU (only port wiped)

Disinfectant not used as per MIFU

Contact time not observed

Lancet Holding Device (Fingerstick Device)

CDC CLINICAL REMINDER

Use of Fingerstick Devices on More than One Person Poses Risk for Transmitting Bloodborne Pathogens

Summary: The Centers for Disease Control and Prevention (CDC) has become increasingly concerned about the risks for transmitting hepatitis B virus (HBV) and other bloodborne pathogens to persons undergoing fingerstick procedures for blood sampling — for instance, persons with diabetes who require assistance moritioning their blood glucose levels. Reports of HBV infection outbreaks linked to diabetes care have been increasing ^{1,2,3}. This notice serves as a reminder that fingerstick devices should never be used for more than one person.

Background

Fingerstick devices are devices that are used to prick the skin and obtain drops of blood for testing. There are two main types of fingerstick devices: those that are designed for reuse on a single person and those that are disposable and for single-use.



Figure 1: Resultile fingeration devices*

- Reusable Devices: These devices often resemble a pen and have the
 means to remove and replace the lancet after each use, allowing the device
 to be used more than once (see Figure 1). Due to difficulties with cleaning
 and disinfection after use and their link to numerous outbreaks, CDC
 recommends that these devices never be used for more than one person. If
 these devices are used, if should only be by individual persons using these
 devices for self-monitoring of blood glucose.
- Single-use, auto-disabiling fingeratick devices: These are devices that are disposable and prevent reuse through an auto-disabiling feature (see Figure 2). In settings where assisted monitoring of biood glucose is performed, single-use, autodisabiling fingeratick devices should be used.



Figure 2: Single-use, disposable fingeratick devices*

The shared use of fingerstick devices is one of the common root causes of exposure and infection in settings such as long-term care (LTC) facilities, where multiple persons require assistance with blood glucose monitoring. Risk for transmission of bloodborne pathogens is not limited to LTC settings but can exist anywhere multiple persons are undergoing fingerstick procedures for blood sampling. For example, at a health fair in New Mexico earlier this year, dozens of attendees were potentially exposed to bloodborne pathogens when fingerstick devices were neused to conduct diabetes screening. https://www.cdc.gov/i njectionsafety/fingers tick-devicesbgm.html



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Standard Precautions



Use Standard Precautions to care for all patients in all settings.
Standard Precautions include:

5a. Hand hygiene

5b. Environmental cleaning and disinfection

5c. Injection and medication safety

5d. Risk assessment with use of appropriate personal protective equipment (e.g., gloves, gowns, face masks) based on activities being performed

5e. Minimizing Potential Exposures (e.g. respiratory hygiene and cough etiquette)

5f. Reprocessing of reusable medical equipment between each patient and when soiled

https://www.cdc.gov/infectioncontrol/guidelines/corepractices/index.html

Key Elements: Standard Precautions

=	Resources	Supplies Protocols
2	Employees Trained	Employees know when standard precautions apply, are trained to use supplies or products and are trained on protocols
	Standard Precautions Implemented	At clinically appropriate times Implemented as intended
~	Procedures Enforced	Monitoring and feedback provided
Q	Action Taken When Issues are Identified	If identified as an issue, improve use

Observations: Standard Precautions

Standard Precautions Not Performed Hand hygiene not performed after glove removal · Gloves not worn when obtaining blood for blood glucose monitoring Supplies not available Process, procedure or policy unclear Lack of accountability

Key Elements: Personal Protective Equipment



Exposure Control Plan

Written document guides PPE Program

Risk assessed and updated annually



PPE Available

Types appropriate for exposure

Sized to fit healthcare workers

Available in locations of use



Trained Employees

Employees know why specific type of PPE should be used

Employees are competent to choose

Employees trained to don, doff, and discard or disinfect



Use Enforced

Monitoring and feedback provided

Employees use PPE



Action Taken When Issues are Identified

If identified as an issue, improve use

Observations: Personal Protective Equipment

Personal Protective Equipment (PPE) not worn

- OSHA hazard assessment not performed
- Process, procedure or policy unclear
- Supplies were not available
- Staff were untrained
- Lack of accountability

Staff did not correctly don and doff PPE

- Staff member did not don PPE per MIFU
- Employees were removing PPE in a manner that could contaminate themselves or the environment.

Re-usable PPE not reprocessed as required by manufacturer's instructions for use

Staff were not trained to clean and disinfect reusable PPE

Key Elements: CDC Standard Precautions - Medication and Injection Safety

Activities Align with Requirements

- Laws, Codes and Regulation
- Manufacturer's Instructions for Use

Supplies Available

Observed Activities Align with Organizational Processes, procedures or policies

Interventions/Activities Implemented

- Included relevant organizational components and functions
- Training, education and/or competency

Observations: Standard Precautions – Injection and Medication Safety

Injection Safety

- Failure to swab the top of vials before access
- Multidose vials taken into patient treatment area
- Utilization of single patient IV fluids to make flush syringes

Sc. Injection and Medication Safety References and resources: 11, 17-20

- 1. Use aseptic technique when preparing and administering medications
- Disinfect the access diaphragms of medication vials before inserting a device into the vial
- Use needles and syringes for one patient only (this includes manufactured prefilled syringes and cartridge devices such as insulin pens).
- Enter medication containers with a new needle and a new syringe, even when obtaining additional doses for the same patient.
- Ensure single-dose or single-use vials, ampules, and bags or bottles of parenteral solution are used for one patient only.
- Use fluid infusion or administration sets (e.g., intravenous tubing) for one patient only
- Dedicate multidose vials to a single patient whenever possible. If multidose vials are used for more than one patient, restrict the medication vials to a centralized medication area and do not bring them into the immediate patient treatment area (e.g., operating room, patient room/cubicle)
- Wear a facemask when placing a catheter or injecting material into the epidural or subdural space (e.g., during myelogram, epidural or spinal anesthesia)



Key Elements – Storage



Supplies

No expired supplies available for use



Items are Stored in Manner to Protect from Contamination

No visible soil

Clear separation of clean and soiled

Staff access supplies with clean hands



Items are Stored in a Manner to Maintain the Integrity of the Packaging

Following MIFU

Observations - Storage

Expired supplies

Expired patient care supplies in storage room

Location of storage soiled

Visible dirt in drawer where medical supplies were stored

Clean and soiled supplies, devices or equipment co-mingled

· Clean biohazard bin stored unprotected in soiled utility room

Package integrity not maintained

- Holes in packaging
- Tears in packaging
- Package had evidence of being wet

Lack of staff accountability

- Staff witnessed accessing clean supply cabinet with soiled hands
- Staff witnessed accessing clean supply cart with gloves worn during patient care

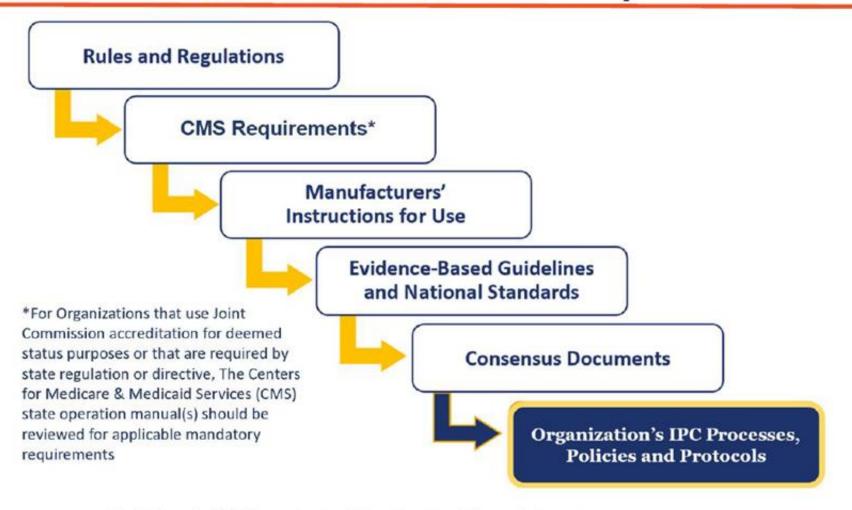
IC.02.01.01 EP1: Implement Infection Control Activities

Compliant Activities

Activities are implemented:

- · As intended
- In all relevant locations
- · For all relevant staff

Approach to Assessing Compliance with Infection Prevention and Control Requirements



Modified from April 2019 Perspectives (available at https://www.jointcommission.org/-/media/tjc/documents/resources/patient-safety-topics/infection-prevention-and-hai/ic-hierarchical-approach-to-scoring-standards-april-2019-perspectives.pdf The Joint Commission. Used with permission.

Observations: Infection Prevention and Control Activities



Infection Control Activities: Could This Get Scored During Survey?

Scenario 1:

Does The Joint Commission prohibit healthcare workers from wearing gel nail polish?

Scenario 2:

If during survey, my organization has a policy that states I must reprocess unused scopes/probes every 7 days (even if the manufacturer does not require reprocessing of unused scopes/probes), and the surveyor observes a scope or probe in storage that was last reprocessed 9 days ago, could we be cited for non-compliance?

Scenario 3:

If our organization's policy states that we allow fabric head coverings in the Operating Room, will we be cited for non-compliance? How about covered arms?

Are fans allowed in patient care areas, laboratories, or other support areas in an organization?

Fans - Patient Care Areas



Are fans allowed in patient care areas, laboratories, or other support areas in an organization?

Back to FAQs

Any examples are for illustrative purposes only.

There are no specific Joint Commission standards that prohibit the use of fans. While fans may be used for additional comfort of the patient, such as those with respiratory distress or post cardiac surgery, they may indicate to surveyors that a temperature control or ventilation problem exists, as described by EC.02.05.01. Space temperature issues can impact equipment, patient testing results, and overall patient care. This concern usually arises after adding equipment or use of the space without increasing the capability of space cooling/ventilation. The organization should perform a risk assessment per EC.02.01.01 that includes the most appropriate persons available to the organization.

Examples of assessment concerns could include:

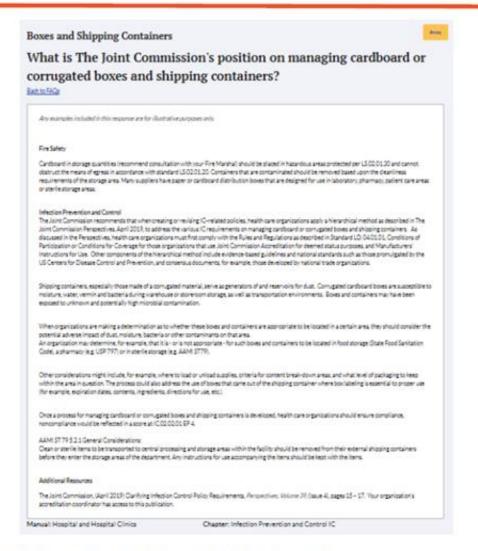
- Risks pertinent to the needs of the patient
- · Ventilation and/or temperature concerns for equipment
- Airborne particles/contamination that may impact patient care, procedure/treatment processes or equipment operation; maintaining the cleanliness of fan blades/housing; possible tripping hazard(s) created by cords; etc.

Infection control should be a key element in the assessment process. The survey process will evaluate the risk assessment for effectiveness and validate proper implementation of the resulting policy/practice. Adjustments to the implemented process are to be made as needed.

Manual: Hospital and Hospital Clinics

Chapter: Environment of Care EC

What is The Joint Commission's position on managing cardboard or corrugated boxes and shipping containers?





Supporting Your Infection Prevention and Control Program

There Are Many Specialized Services Provided in Healthcare Which May Have Infection Control Implications



What Does the Person Responsible for the Management of Infection Prevention and Control Activities Need to Know?

All settings have basic Infection Prevention and Control needs

- Regulatory compliance
- Risk assessment
- Standard Precautions
- Transmission-based precautions
- Cleaning and Disinfection

Some settings provide additional care, treatment and/or services:

- Sterilization
- High level disinfection
- Specialty Services
- Specialty populations

Education, Training and Competency

Education

Increases Knowledge

- -Online modules
- -Classes
- -Orientation

Training

Skill Development

- -Focuses on gaining specific (often manually performed) technical skills
- -Classes
- -Orientation

Competency

Competent to Perform Job Functions

The ability to do something 'competently' is based on an individual's capability to synthesize and correctly apply the knowledge and technical skills to a task

- -Organization defines
- Requires a qualified individual to assess
- -Requires a validation process

Staff Who Reprocess Devices and Instruments

Devices, Instruments and Accessories



Low Complexity

Simple Instruments/ devices

Few items



Moderate Complexity

Few types of instruments/ devices

Additional reprocessing steps



High Complexity

Many different types of instruments/de vices

Widely variable reprocessing instructions

 Education, training and competency may look different based on the types of items that are reprocessed and accessories and equipment needed

A one size fits all approach may not be appropriate!

Process Oversight



Organization determines if processes should be monitored



Person Assigned to Oversight



Are they competent to provide oversight



Are staff held accountable

Critical Elements of Implementation

Resource Availability

Education, Training and Competency

Staff Accountability

Oversight of Critical Activities

Activities Implemented in All Relevant Locations

Activities Implemented for All Relevant Staff

Safety Culture

- Leaders can build safety cultures by readily and willingly participating with care team members in initiatives designed to develop and emulate safety culture characteristics.
- Effective leaders who deliberately engage in strategies and tactics to strengthen their organization's safety culture see safety issues as problems with organizational systems, not their employees, and see adverse events and close calls ("near misses") as providing "information-rich" data for learning and systems improvement.



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The essential role of leadership in developing a safety culture

In any beath case organization, lead-reships first priority in to be accountable for effective claim shifts protecting the salety of patients, employees, and visitors. Competent and throughtful leaders' combute to improvements in safety and organizational culture. ¹² They understand that systemic flavor exist and such step in a care process has the potential for fature simply because humans make mississes. ²³ James Reason compared these flavor Listeri humanism make mississes. ²⁴ James Reason compared these flavor Listeri humanism devaluesses, near to holies in flavors choses. These laterit humanism and weaknesses in custom the identified and solutions found to prevent error, flow reaching the observation country forms. ²⁵ Examples of listers futureds and weaknesses include poor design, lock of supervision, and metal-facturing or maintenance defects.

The Joint Commission's Sentinel Event Database reveals that leadership's failure to create an effective safety outure is a contributing factor to many types of adverse events — how wrong site suppry to debys in treatment."

In addition, through the results of its safety initiatives. The Joint Commission Center for Transforming Healthcare has found inadequate safety outure to be significant contributing factor to deverse outcomes, leadequate leadership can contribute to adverse events in version sleep, including but not limited to these examples.

- Insufficient support of patient safety event reporting?
- Lack of feedback or response to staff and others who report safety vulnerabilities?
- Allowing intimidation of staff who report events³
- Refusing to consistently prioritize and implement safety recommendations
- Not addressing staff burnout⁻¹

In essence, a leader who is committed by prioritizing and making patient suffect visible through every day actions is a critical part of creating a true outbre of safety. It bedons must content to creating and maintening a custime of safety, this conventment is just as critical as the time and resources devoted to reveroes and fear-role collectly, system exceptation, and productivity. Maintaining a safety outbre requires teaders to consistency and visibly support and promote everyday safety measures. ⁵⁰ Culture is a product of what is done on a consistent day bosis, inceptal seam members require in organization is commitment to culture by what leaders do, rether than what they say should be done.



* The part Committee accordance meaning goods or defined a badder on the inducted who are applicable, develope place, and interferends promotion of accordance and improve the quality of the opportunities of particular and processes. At a science, Indianal mediate include another processes and a science of the operation of the o

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Summary



Follow the hierarchical approach to ensure compliance with IC standards



Provide the necessary resources



Ensure a culture of safety in which staff are held accountable to perform their job functions correctly, to ensure staff and patient safety

Connect With Us



Joint Commission Connect













Thank you for Keeping Patients Safe!







All events will be held virtually, unless otherwise noted.

Please complete the following survey to request your IPUs. Surveys will be downloaded and IPU certificates sent out once per week until February 1, 2024.

The survey question ranking interest in topics for 2024 webinars will be reviewed until February 1, 2024.

https://mdhhscd.qualtrics.com/jfe/form/SV_9mEH6xCv9p8NzWC





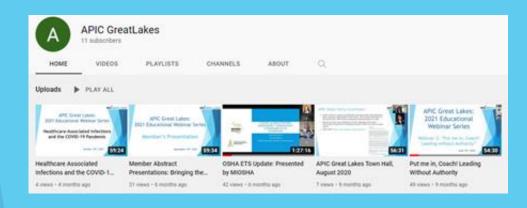
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Our Events - APIC Chapter 077 - Great Lakes

YouTube channel— webinar recordings

APIC Great Lakes - YouTube

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Job Postings

If you have an open position you would like to post to the APIC-GL webpage, please email Rebecca Battjes (Rebecca.battjes@diversey.com)

Link to job board



Thank you for joining us today!

