

# Management and Communication

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## Areas of Focus

Questions will focus on:

1. Program Planning
2. Communication and Feedback
3. Quality/Performance Improvement and Patient Safety

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## Influences on IPC Programs

**Infection Prevention programs are affected and influenced by many factors such as:**

Government, regulatory and accrediting agencies  
Scientific research and publications  
Increasing acuity of patients  
Aging of the population  
Complexity and location of treatment options  
Increasing move toward ambulatory and home care

Mandated reporting requirements

Procedures, service lines, surgeries

- Performed by facility
- High volume, high risk, high cost

New equipment, instruments, procedures

- Infection prevention and infection control related risks, concerns, or benefit

Patient demographics

- Diseases common to patient population
- Risk factors common to patient population
- Socioeconomic status of the community

Changing recommendations/requirements and new scientific literature and guidelines.

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## Organizational and Accreditation Influences

### Organizations:

- American Hospital Association (AHA)
- Association for Professionals in Infection Control and Epidemiology (APIC)
- Centers for Disease Control and Prevention (CDC)
- Centers for Medicare & Medicaid Services (CMS)
- Certification Board of Infection Control and Epidemiology (CBIC)
- Food and Drug Administration (FDA)
- Society for Healthcare Epidemiology of America (SHEA)
- U.S. Department of Health and Human Services (HHS)
- Institute for Health Care Improvement (IHI)

### Accreditation Agencies:

- The Joint Commission (TJC)
- DNV GL
- National Institute for Occupational Safety and Health (NIOSH)
- Occupational Safety and Health Administration (OSHA)
- Society for Healthcare Epidemiology of America (SHEA)

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## Mission and Vision

**Mission:** Defines the common purpose, focus, and context for all departmental activities

- Mission statements enable a group to set boundaries for their activities, to know what is and what is not within their jurisdiction and to understand where they fit in the organization's overall improvement efforts.
- The IPC Program mission should support the overall institutional mission

**Vision:** A picture of where the infection prevention program wants the organization to go and where it wants it to be (a picture of the future).

- Vision statements begin by identifying the IP programs strategic advantage in the organization and how they add value to others

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## Overall Structure and Function

Program documents should outline the three principal goals for an IPC program:

- Protect the Patient
- Protect HCP, visitors, and others in the healthcare environment
- Accomplish the previous two goals in a cost-effective manner whenever possible

Functions of the IPC program should be based on the institution's unique needs.

- Obtain and manage critical data and information, including surveillance for infections
- Develop and recommend policies and procedures
- Intervene directly to prevent infections and interrupt the transmission of infectious diseases
- Educate and train HCP and patients

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## Reporting Relationships

Depending on the setting or structure in an organization, Infection Prevention may report to or be integrated with :

- Administration
- Nursing service
- Quality Improvement
- State agencies
- Local health departments
- Safety
- Human resources
- Employee Health


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## Infection Prevention Team



- Core team responsible for carrying out all aspects of the infection prevention and control program:
  - Infection Preventionist
  - Chair of the infection prevention committee
  - Healthcare epidemiologist
- One person should be designated as having responsibility for the program.
- Team members should be qualified and guided by sound principles and current information.
- Teams should set goals, collect and analyze data and select interventions

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## Infection Prevention Committee(IPC)

**Function:** a central decision-making and policy making body for infection prevention.

**Reporting:** chairperson reports to the administration or the medical staff

**Purpose:** advocate for prevention of infections in the facility provides political support that empowers the team.

**Membership:** multidisciplinary and includes representatives from appropriate departments (e.g., nursing, administration, pharmacy, medical staff, environmental services)

**Role:** refine and ratify the ideas of the IP team and disseminate information discussed at the meeting.

If an IPC is not used, IP teams need to develop other mechanisms to obtain multidisciplinary support for changes and actions.


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## Infection Prevention Professionals

- IPs function as:
  - Consultants
  - Educators
  - Role Models
  - Researchers
  - Change Agents
- With the expanding responsibilities IPs need the ability to evolve and grow their skills.
- Including professionals with diverse backgrounds in the IP team will ensure a robust program with new insight.

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## IP Core Competencies



1. Identification of infectious disease process
2. Surveillance and epidemiologic investigation
3. Preventing/controlling the transmission of infectious agents/HAls
4. Employee/occupational health
5. Management and communication
6. Education and research
7. Environment of care
8. Cleaning, sterilization, disinfection and asepsis

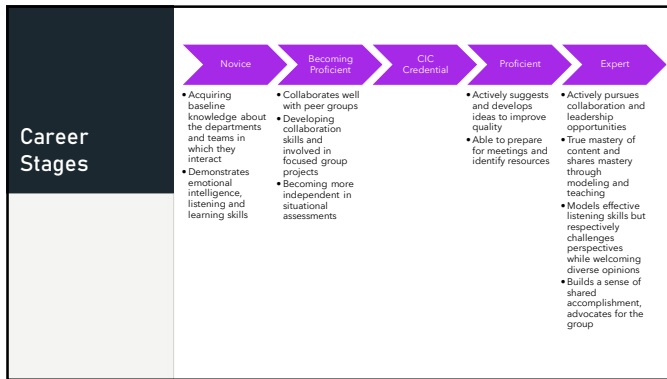
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## APIC IP Competency model

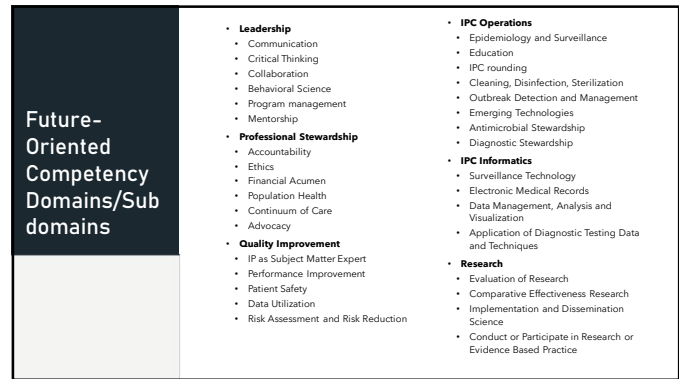


- Patient safety is the core of the model with a focus on application through the continuum of care.
- Concentric circles represent the IP career stages, with a band representing timing of CIC credential.
- The outermost bands represent six future oriented competency domains which grow from the center and expand through the expert stage.
- The final element are the foundational documents that support IP professional development.

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### IPs as Leaders

Leadership: the art of influencing behavior  
 Management: achieving desired results through efficient utilization of human and material resources.

Management styles include:

- Consultative- shares problems with subordinates, gets ideas prior to making a decision.
- Democratic- shares problems with the group and together they make decision as a team.
- Autocratic- solves problems alone

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### Leadership Concepts

**Program Management:**  
 Requires the ability to:

- Manage everyday aspects of the infection control program
- Respond quickly to regulatory and accreditation requirements
- Incorporate data from emerging science into practice
- Understand the impact of HAIs on healthcare finances
- Carry out strategic and operational planning

**Organizational Management Styles:**

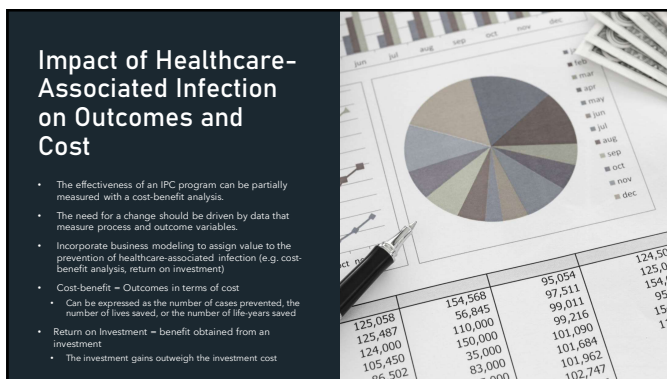
**Functional:** a person who has management authority over an organizational unit—such as a department—within a business, company, or other organization.

**Charismatic:** the process of encouraging certain behaviors in others via force of personality, persuasion and eloquent communication.

**Situational:** when the leader or manager of an organization must adjust his style to fit the development level of the followers he is trying to influence.

**Motivational:** Motivation is the word derived from the word 'motive' which means needs, desires, wants or drives within the individuals. It is the process of stimulating people to actions to accomplish the goals.

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### IP Staffing

- No required IP staffing levels from federal regulatory agencies.
- Resources should be allocated to accomplish the tasks required.
- Factors that should be taken into account:
  - Number of occupied beds
  - Scope of the program
  - Complexity of the facility
  - Facility patient population
  - Unique needs of the facility

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- Determine goals and objectives for the IP program based on:
  - Findings from the previous year's activities
  - Institutions strategic goals
  - Institutional data
- An Annual Risk Assessment can assist in setting priorities and gaining support from key stakeholders
- Infection prevention resources and data system needs of the IP program should be evaluated in the context of these goals

## Quality of an Infection Prevention Program: Goals

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Set priorities and realistic strategies by:
 

- Establishing a reliable, focused surveillance system
- Streamlining data management activities
- Analyzing healthcare-associated infection rates
- Aiming for zero HAIs
- Educating staff regarding prevention techniques
- Identifying opportunities for performance improvement
- Taking a leadership role on performance improvement teams
- Developing and implementing action plans that outline the steps needed to accomplish each objective

## Quality of an Infection Prevention Program: Priorities

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## Quality of an Infection Prevention Program: Evaluation

Routinely assess the quality of the IP program by evaluating customer satisfaction, appropriateness, efficacy, timeliness, availability, effectiveness, and efficiency.

- An annual evaluation of the program should:
  - Outline achievements and activities
  - Describe support requirements
  - Emphasize the value of the program to the organization
  - Patient outcomes
  - Cost savings
  - Be widely distributed to organizational leadership



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## Communication

Regular communication should occur to various stakeholders:

- Infection Prevention Committee Chairperson
- Facility management
- Medical staff
- Nursing
- Risk Management
- Ancillary Clinical departments and support staff


Communication:

- Plan the method
- Knowledge is power
- Use all methods: Electronic, Face to face, Written



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## Who are the IP Customers



Anyone to whom the infection prevention and control program provides service.

- Includes patients, their families, physicians, nurses, visitors and all employees at facility
  - Internal customers: nurses, physicians, patients, patient families, facility employees
  - External customers: visitors, community, IP professionals at other facilities, regulatory agency personnel, local and state health departments
- Important to identify customer needs
- Study all work processes and improve them based on customer needs and outcomes
- Final product or service should exceed customer expectations

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**Employee Health:**

- Consult regarding Worker's Compensation related to infection or exposures
- Consult regarding employee infections and illnesses
- Integrate infection prevention and control related employee health policies
- Assist with surveillance of employee illnesses/exposures

**Risk management:**

- Assist with investigation of patient claims or sentinel events related to HAI
- Report cases with potential for legal action; incidents; product recalls

## Key Relationships

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## Administrative Leader Support

- Administrative leader support is crucial for IP programs.
- Administrative leaders should approve and support IP activities
- Infection Prevention Programs should:
  - Have regularly scheduled meetings with the administrators
  - Keep administration well-informed of the infection prevention and control activities
  - Develop annual goals and objectives based on the goals of the organization
  - Annually evaluate the infection prevention and control program to outline the achievements and activities of the program and describe support requirements
  - Emphasize the values of the IP program, patient outcomes and cost savings.



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### Implementation of Policies, Procedures and Recommendations

Infection Prevention policies and procedures form the bases of the IP program and are applicable to staff in the whole facility.

#### Policies:

- Give direction that helps to govern an organization or programs activities
- must be supported scientifically
- Development involves all disciplines impacted
- Policies should address IP needs for the institution as a whole, but also include unit/area specific policies where applicable.

#### Procedures:

- A particular way of accomplishing something
- A series of steps to follow

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## Quality/Performance Improvement



- Quality improvement uses interdisciplinary teams to enact changes and improvements.
- Front line staff knowledge, skills, and expertise are valued in a quality focused culture
- Performance Improvement is a continuous cycle that focuses on patient clinical outcomes, customer satisfaction, and service.
- Determine IP quality projects by assessing processes/procedures which are:
  - High risk
  - High volume
  - Problem prone
  - New

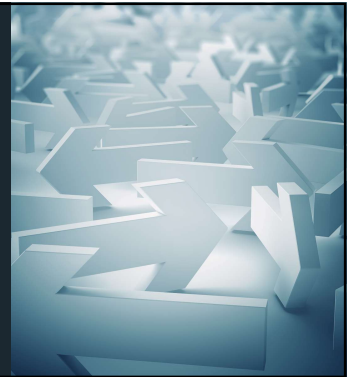
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## Strategic Plan

Strategic planning: used to determine the direction a program is headed.

An IPC strategic plan should:

- Prioritize the risk for acquiring and transmitting infections
- Set goals to limit:
  - Unprotected exposure to pathogens
  - The transmission of infection associated with procedures
  - The transmission of infections associated with the use of medical devices, equipment and supplies
- Describe activities to minimize, reduce or eliminate the risk of infection
- Describe the process to evaluate the IP program



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## Performance Improvement Analysis



### Gap analysis

Technique to determine the steps necessary to move from a current state to a desired future state, based on identified gaps in processes



### Root cause analysis

Takes a retrospective look at adverse outcomes  
Determines what happened and why it happened,  
Used to investigate major incidents, sentinel events, and errors  
Strategies to prevent reoccurrence  
Avoids individual blame



### Failure mode effect analysis (FMEA)

Proactive, preventive approach to identify potential failures and opportunities for error.  
**A failure mode** is a way in which something can fail  
Brainstorm possible reasons for failure; rate these based on severity and probability of occurrence  
Determine appropriate actions to eliminate the failure or redesign the process



### Strengths, Weaknesses, Opportunities, Threats Analysis (SWOT)

Investigate public health issues and improve healthcare outcomes  
Points out what the organization should plan for and how to use resources to guide efforts

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## Quality Toolbox

### The Team:

- Most valuable tool to foster the quality focused culture and process
- Multidisciplinary to include a leader, facilitator, and an array of team members with fundamental knowledge of the process.

### Multi-voting:

- Process for prioritizing (risk assessment)

### Goal-directed checklists:

- Contain evidence-based criteria
- Help with memory recall and make expected steps explicit

### Statistical Process Control:

- To ensure that each process is performed consistently and correctly within predetermined parameters.
- Focuses on process and is based on the principle of random variation
- Used to monitor outcomes or to monitor the process

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## Six Sigma and Lean Approach

- Precision and accuracy that leads to data-driven decisions
- Speed, efficiency and the elimination of 'waste'
- Value stream mapping used to
  - Visualize flow of materials and information
  - Identify barriers, and waste
- Sigma Six and Lean principles use a DMAIC format (Define, Improve, Measure, Control, and Analyze)
  - Define** the customer, project boundaries, and improvement process
  - Measure** the performance of the process involved
  - Analyze** the data collected and map the process to determine root causes and improvement opportunities
  - Improve** the target process by designing creative solutions to fix and prevent problems
  - Control** the improvement to keep the process on the new course



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## The Plan, Do, Study Act Model

Two-part model designed to accelerate improvement

**1<sup>st</sup> part:**  
setting aims, establishing measure and selecting changes

**2<sup>nd</sup> Part**  
Testing the selected changes in a PDSA cycle

**Plan:** identify responsibilities of the program, resources, risks, and goals

**Do:** Implement strategies specified in the plan to achieve goals

**Study:** Collect and display data about goal achievement

**Act:** Continual change in order to achieve goals and stay abreast of new developments



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## Selecting Performance Measures

Must establish clear priorities for measurement and improvement before selecting performance measures.

### External priorities:

- Federal and state regulations
- Accreditation
- Payer/Purchaser expectations
- Areas of interest to the patient community served

### Internal priorities:

- Services in need of improvement
- Medical staff concerns
- Clinical care representing the high-risk or high-volume services

### Performance measures selection for specific HAls should focus on measures that:

- Have clearly defined definitions
- Provide precise and usable information
- Are supported by previous studies
- Can be readily applied in most settings.

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## Performance Measures: Fundamental Concepts

### Quality of measure:

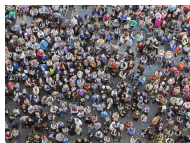
- Valid** - the extent to which a measure accurately reflects the concept or construct it is intended to measure.
- Reliable** - ability of an indicator to accurately and consistently identify the events it was designed to identify.

### Types of Measures

- Outcome measure:**
  - Indicates the result of the performance of a function or a process.
  - Examples for IP are CAUTI, CLABSI, SSI
- Process measure:**
  - Focus on a process or the steps in a process that lead to specific outcomes.
  - Example for IP would be compliance audits with prevention bundles

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## Determining the Patient Population to Measure



### 1. Risk Potential:

- Is risk adjustment or stratification necessary?
- If an individual patient characteristic increases the likelihood
- Risk potential: ASA score, wound contamination classification, duration of surgical procedure

### 2. Sample Size:

- The volume of patients in the population of interest.
- Sampling may be appropriate with a large volume of patients
- Sample approach to data collection may be an acceptable way to minimize resources and still obtain valid data
  - Common sampling methods
    - General random sample
    - Stratified random samples (i.e. every third surgery)
- May require measurement of the entire population at risk as small sample sizes can limit data analysis

### Method of calculation:

- Performance measures should include a numerator and a denominator
  - Numerator: event being measured
  - Denominator: population at risk
- Can be calculated as a rate, continuous variable, or ratio.
- There must be clear definitions of the event and population of interest (for example: CLABSI/per 1000 Central Line days)

### Risk adjustment and stratification:

- Risk adjustment is a statistical process for reducing, removing, or clarifying the influences of confounding factors that differ among comparison groups. It is used most frequently with outcome measures.
- Stratification is a form of risk adjustment that involves classifying data into subgroups based on one or more characteristics. Examples include gender, age, or birth weight.

## Data Analysis

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## Key Concepts in Patient Safety



### Reliability Science

5 attributes of a high-reliability organization

- 1. Preoccupation with failure**-maintain sensitivity for the early signs of failure
  - What might cause staff not to follow isolation precautions?
- 2. Sensitivity to operations**-awareness of changes in the dynamic systems
  - What type of disease activity are we seeing in the community that could affect our operations?
- 3. Reluctance to simplify**-appreciate diverse perspectives and stagnation may impeded further evaluation
  - How can we involve other disciplines when making practice changes to ensure they can be operationalized?
- 4. Commitment to resilience**-ability to absorb acute or chronic stress and adjust to sustain operations
  - How can we quickly adjust to the next emerging pathogen?
- 5. Deference to expertise**-recognition of expertise of those in all organizational levels.
  - Who is my expert to help with a chemical safety issue?

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**Adverse event:** an unintended consequence of health care or service that results in a negative patient outcome (HAI)

**Sentinel event:** an unexpected occurrence involving death, or serious physical or psychological injury not related to the natural course of the patient's illness or underlying causes

Human factor limitations that lead to errors:

- Limited memory capacity
- Overdependence on multitasking skills
- Negative influence of fatigue and sensory overload
- Stress, fatigue, and sensory overload

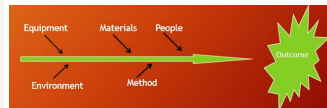
## Serious Adverse/Sentinel Events

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## Root Cause Analysis

Root Cause Analysis is an approach to identify problems and factors that may have contributed to an incident and inform the development of corrective actions to prevent recurrence.

- A fishbone diagram may be used to visualize contributing factors



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## Failure Modes and Effects Analysis

- Failure (F):** when a system performs in a way that is not intended
- Mode (M):** the way a system operates or how a thing is done
- Effects (E):** The results of an action
- Analysis (A):** The detailed examination of the system or structure
- FMEA determines the possible failure modes and effects, how serious the possible effects could be, and way to eliminate or reduce failure risk to prevent harm.
- Useful in preventing failures and harm from near misses
- Useful when evaluating a new process or a change in an existing process

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## You Got This!



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