Protocol to support joint management of a COVID-19 outbreak in a residential aged care facility (RACF) in NSW
23 June 2020

Parties

The Commonwealth Government (Department of Health and Aged Care Quality and Safety Commission) and the NSW Government (NSW Ministry of Health).

Purpose

The purpose of this protocol is to formalise the coordination of government support to an aged care approved provider (provider) in their management of a COVID-19 outbreak in a Commonwealth funded residential aged care facility (RACF) in NSW.

This protocol outlines the roles and responsibilities of relevant parties, governance structures, escalation procedures and expectations around information sharing and timeframes. The agencies identified in this protocol are informed by, and provide advice to, the Senior Inter-governmental Oversight Group.

Objectives

The primary objectives of this protocol are to optimise care for all residents in impacted RACFs (irrespective of their COVID-19 status) and to contain and control the outbreak to bring it to an end as quickly and safely as possible.

When to implement this protocol

A single positive COVID-19 case within a RACF (resident or staff member) will trigger the use of this protocol. Each outbreak will differ according to the circumstances of the RACF, therefore, the application of the protocol will be applied based on identifying and understanding the features of the outbreak.

Principles

The key principles underpinning this protocol are:

- All Australians should be able to access healthcare and live with dignity, regardless of their age and where they live.
- Consumer-centred care
  - The clinical and welfare needs of residents are paramount. Decisions on the most appropriate clinical care, including location of the care and whether transfer to hospital is required, are made in consultation with clinical care staff and residents (and their representatives). Decisions are
regularly reviewed, and made on an individual basis, but also take into account the safety and welfare needs of all residents and staff in the RACF.

- RACF residents continue, as do other people in the community, to have a right to access public health services (including hospital) based on their clinically assessed need.
- Risks to individuals, and the service, take into account, needs and preferences of each resident and their representative (including through advanced care plans), and the circumstances of the RACF at which they reside.
- Communication to residents and their representatives is coordinated by the provider and occurs as frequently as indicated by the changing profile of the outbreak and the communication preferences of the RACF residents and their representatives.

**Rapid response and decision making**
- Support for providers will take into account the assessed capability and capacity of the provider and as well as the ability of surrounding health services to respond to the outbreak, and informed by the provider’s outbreak management plan (OMP).
- All parties should mobilise and implement actions within their defined roles and responsibilities rapidly and in coordination with other parties.
- Parties escalate issues according to clear governance processes with agreed criteria on when new decisions might need to be made, or existing ones revised.
- Parties work collaboratively and are focussed on finding solutions.

**Timely information sharing**
- The early days of an outbreak will be particularly challenging therefore it will be vital that mechanisms are rapidly agreed, appropriate to the circumstances of the outbreak, to ensure information is shared between the Commonwealth and NSW Governments in a timely manner to coordinate an approach.
- Limitations, or perceived limitations, of parties involved in the response are raised early.

**Accountability of provider**
- Providers are expected to comply with their responsibilities under relevant Commonwealth legislation to support the safety, care and wellbeing of residents.
- Providers are expected to prepare and maintain up-to-date OMPs.
- Providers will be given guidance to support their compliance and their compliance will be monitored, with detected non-compliance actioned quickly.
- Providers are expected to provide information to all parties which is timely and responsive to the changing profile of the outbreak, to allow safe and appropriate decision making which supports the clinical safety and welfare of their residents.
Roles and responsibilities

Commonwealth Government
Commonwealth Department of Health

Role
• Provide funding for aged care services and supports the RACF’s capacity to manage the outbreak.

Tasks
• Support viability and capacity of provider to manage outbreak.
• Allocate state-based 24/7 case manager.
• Facilitate adequate access to primary care for residents of the RACF.
• Facilitate access to resources, including surge workforce (where required) and personal protective equipment (PPE).
• Provide funding to assist management of the outbreak, where appropriate.
• Facilitate relocation of cohorts, where appropriate. Provides rapid response COVID-19 in-reach pathology testing services, if required.
• Assist providers with access to aged care advocacy services for residents and their representatives and notify national and state-based advocacy services of outbreaks.
• Respond to media requests directed to the Department.

Aged Care Quality and Safety Commission

Role
• Provide regulatory oversight of RACFs—to protect and enhance the safety, health, well-being and quality of life of people residing in the RACF.

Tasks
• Provide guidance and advice to support the provider’s compliance with relevant Commonwealth legislation.
• Monitor compliance with the Aged Care Act 1997 and Aged Care Quality and Safety Commission Act 2018.
• Respond to identified compliance issues, including escalating concerns that cannot be resolved locally immediately to the Senior Inter-governmental Oversight Group.
• Take action to work with the provider to resolve complaints received about the service.
### Aged care approved provider (provider)

**Role**
- Lead and manage implementation of the OMP in response to the outbreak in the RACF—to support the safety, care and wellbeing of residents and staff as required by legislation, including the *Aged Care Act 1997*, the *CDNA Guidelines* and relevant NSW legislation (i.e Public Health Orders). This includes adequate capacity to manage the outbreak in situ subject to particular circumstances of the outbreak.
- Regularly communicate with residents and their representatives — updating them on the outbreak response, including each resident’s circumstances and preferences.
- Develop and maintain an OMP to ensure preparedness in the event of the outbreak including engagement with Local Health District.

**Tasks**
- Notify and liaise with the local Public Health Unit (PHU), and the Commonwealth Department of Health.
- Establish an Outbreak Management Team in conjunction with the PHU (immediately) and co-chair daily meetings of the Outbreak Management Team until the outbreak is closed.
- Update the OMP.
- Assess staff resources, detailed in the OMP:
  - Contingency planning in the event of significant staff loss (30-40 per cent)
  - Surge staff planning – including identifying staff through usual recruitment agencies, staff from within the broader organisation, and other providers.
- Lead, direct, monitors and oversee outbreak response in the RACF.
- Advise of the Infection Control Local Lead.
- Implement infection prevention and control measures, including:
  - Isolating and cohorting residents and staff
  - Instructing on PPE, hand hygiene, and environmental cleaning
  - Instituting contact and droplet precautions
  - Assessing the RACF for potential breaches (e.g. food trolleys, medication trolleys)
  - Displaying visible signage throughout the RACF
  - Designating an infection control practitioner role to support adherence to PPE, if required seek support from CEC
  - Certifying that all staff entering the RACF are orientated and trained in infection control and the use of PPE.
- Restrict visitor and community (including health workers) to minimal essential requirements. Non-essential visitors will be precluded from face to face visits with residents (detailed in CDNA Guidelines). Keep a log of all visitors entering the RACF, including areas and residents visited.
- Manage staff, including rostering and isolation measures for exposed staff.
- Implement a timely and responsive COVID-19 communication policy with residents and their families.
• Engage surge workforce where critical staff are not able to be sourced through other avenues, if required.
• Monitor resident welfare and well-being, and regularly communicates with residents and their families.
• Work with GPs to review/develop advance care plans for residents.
• Enable access and respond to aged care advocates, provide to residents and their representatives communications, collateral and materials provided by advocacy services.
• Facilitate pathology requisition orders and timely specimen collection.
• In coordination with the Senior Inter-governmental Oversight Group, liaise with GPs and allied health personnel to ensure approach to acute and chronic disease is addressed, and de-conditioning, grief, cognitive decline and psychiatric sequelae of isolation and loss are addressed.

**NSW Government**

**Local Public Health Unit (PHU)**

*Role*

• Lead the public health response and support the RACF in executing its role.

*Tasks*

• Establish Outbreak Management Team immediately with the RACF, and co-chair subsequent daily meetings until outbreak is closed.
• Notify PHEOC Department of Health of any confirmed cases, deaths and recovered cases associated with an RACF (thus triggering the Incident Action Plan).
• Active surveillance, investigation and management of cases in staff and residents.
• Contact tracing and management.
• Support the RACF manager in their role in leading the outbreak response.
• Ensure that public health and initial infection control measures are implemented to control the outbreak. If barriers are identified that cannot be resolved locally, escalate to Senior Inter-governmental Oversight Group to ensure appropriate resourcing and outcomes.
• Where the PHU has limited capacity to respond, the PHU should discuss surge support with PHEOC.
• Interview the case(s), with NCIMS case questionnaire, and confirm swab results. Liaise with PHEOC to develop a script for case interview.
• Regularly liaise with PHEOC and seek support immediately where containment issues are identified.

**Local Health District**

*Role*

• Establish clinical outreach team, infection control and testing requirements.
• Work collaboratively with residents’ usual general practitioners, and other treating specialists, as is usual practice.
• Support clinical governance within the RACF.
• Plan to ensure Local Health District preparedness to any potential outbreak including engagement with aged care providers.
• Facilitate hospital transfers, where needed.

Tasks
• Determine clinical lead and outreach model (Hospital in the Home /geriatric outreach model) with specialist clinician support (e.g. geriatrics, infectious diseases, palliative care) to maximise clinical care of residents both COVID-19 positive and negative.
• In partnership with the Clinical Excellence Commission, advise on infection prevention and control measures, including isolating and cohorting residents (for both COVID-19 positive and negative residents), with support for monitoring as needed.
• Determine, through the LHD Clinical Governance mechanisms, the level and type of specialist and support care required (for example, infectious disease, palliative care, geriatrics, allied health). Assist the RACF in testing of all residents and staff.
• Support staff/GPs to support appropriate patient-centred care and review/develop advance care plans for residents.
• Liaise regularly and provides clinical information and support to GPs, NPs and allied health professionals where indicated.
• Determine the processes for clinical deterioration, including care in RACF and/or support to transfer to hospital as clinically determined and consistent with the wishes of the resident.
• Provide expert advice to RACF for initial infection prevention and control, with support for monitoring as needed (Clinical Excellence Commission may be consulted).
• Facilitate testing through provision of staff and laboratory processing.

Clinical Excellence Commission
Role
• Provide expert advice on COVID-19 infection prevention and control.

Tasks
• Review and provide expert advice on RACF’s OMP.
• Provide advice to LHD Infection Prevention and Control Teams deployed.
• Member of the Standards and logistical support team.
• Support implementation of the OMP and provide infection prevention and control guidance.
• Develop resources for LHD/provider teams during outbreak.
• Provide mentorship and coaching with outbreak team infection leads.
Role
- Oversee the public health response, supporting the local PHU as needed.
- PHEOC operations team are the key liaison point for public health response.

Tasks
- Support the PHU and RACF in a) convening Outbreak Management Team, and b) effectively managing the public health aspects of the incident.
- Assign a PHEOC Deputy Controller/Senior Medical Adviser and Operations team member to assist in managing the outbreak.
- Liaison will encompass:
  - Communicating with other Local Health Districts.
  - Sharing information with Senior Inter-governmental Oversight Group, and other stakeholders, in support of the PHU.
  - Clarity and accuracy of messaging to government and external media requests.
- Notify the Aged Care Quality and Safety Commission of all cases and deaths during the outbreak, and when the outbreak is closed.

Trigger events

Trigger events requiring escalation to the Senior Inter-governmental Oversight Group:

It is expected the provider, with support from the PHU, will lead the outbreak response, with support and advice from other parties as described above. The following issues are triggers that require decision making by the Senior Inter-governmental Oversight Group (described below):

- Rapid deterioration of the situation
- The provider does not demonstrate capability to effectively lead and manage the outbreak response
- The RACF premises are unsuitable to manage the outbreak effectively
- The Local Health District does not have capacity to provide a clinical outreach response
- Any other issue impacting on the effective management of the outbreak.
### Governance

The following governance structures must be notified within one hour of notification of a COVID-19 outbreak in a residential aged care facility (RACF).

<table>
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<th>Name</th>
<th>Key roles</th>
<th>Functions</th>
<th>Meeting Frequency</th>
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| Senior Inter-governmental Oversight Group (SIOG) | • Deputy Secretary of Ageing and Aged Care, Commonwealth Department of Health, Mr Michael Lye  
• Aged Care Quality and Safety Commissioner (Commonwealth), Janet Anderson  
• Deputy Secretary of Health System Strategy and Planning, NSW Ministry of Health, Dr Nigel Lyons  
• State Manager NSW and ACT, Department of Health, Ms Lisa Peterson  
• Deputy Controller, Operations team, NSW Ministry of Health, Dr Michael Douglas  
• Director Aged Care Unit NSW Ministry of Health, Ms Stefanie Williams  
CHAIR: Department of Health | • Monitor progress of outbreak management by the RACF and the PHU and agree any actions required to address critical or emerging issues that require government support  
• Consider any relevant information including: advice from the provider and the PHU, the OMP and expert clinical advice  
• Consider issues identified under trigger events  
• Document agreed actions  
• Advise relevant Ministers on response to outbreak  
• Communicate to peak bodies | Initial meeting at identification of the outbreak and then meeting frequency as required |
| Outbreak Management Team (note, actual team membership may depend on) | • RACF including:  
  o CEO or senior delegate  
  o Manager  
  o Clinical Supervisor  
• Director, Public Health Unit (PHU) or delegate | • RACF to stand up Outbreak Management Team to assume control of the outbreak with support from the PHU  
• Ensure strong and effective management structures in place to manage the outbreak  
• Develop and oversee the implementation of the OMP—noting that this plan will remain dynamic | Daily |
| Deputy Controller, Operations Team representatives, Public Health Emergency Operations Centre (PHEOC) | Support the provider to implement appropriate control measures including restriction of resident movement, restriction of visitor access, rapid audit of infection prevention and control, access to and correct usage of PPE |
| Local Health District, Clinical Team may include: | • Assess staff resources and surge staff planning within the OMP. Staffing should include: |
| o Infectious Disease Consultant | o Identification of an infection control lead/champion |
| o Geriatrician | o Additional clinical support to meet the increased care needs of COVID-19 positive residents |
| o Palliative Care support | o Additional allied health staff to avoid deconditioning of quarantined residents, particularly COVID-19 negative residents |
| o Hospital in the Home lead | o Additional hospitality staff to support changes in practices due to infection control |
| o Infection Prevention and Control Practitioner | o Additional lifestyle staff to support enhanced communication with families and changes in activities due to quarantining |
| Additional inputs: | • Recommend activating the Commonwealth workforce surge program (if required). |
| • State Manager, NSW/ACT, Department of Health | • Ensure resources are adequate, including: |
| • Testing Team | o PPE |
| • Clinical Excellence Commission | o Medical and allied health workforce |
| • Aged Care Quality and Safety Commission | o Laboratory and testing |
| CHAIR: provider and PHU, or other as agreed by SIOG | • Identify and investigate all positive COVID-19 cases |
| | • Establish approach to clinical care including escalation pathway to hospital |
| | • Ensure a communication strategy is in place for each resident and their representative (use external expertise as required i.e. OPAN) |
| | • Support communication between all stakeholders |
| | • Identify instances where there is inconsistent advice or conflict within the OMT and resolve, referring to the SLST or escalating to the SIOG where necessary |
| | • Identify alternate accommodation options, if required |
### Immediate response to a COVID-19 outbreak and the outbreak management plan (OMP)

Within 12 hours of identification of a COVID-19 outbreak, the RACF and the PHU establish the Outbreak Management Team and schedule meeting. An initial priority of the group will be supporting the provider to work through the OMP, or revise it (if needed) in instances where the provider already has one in place. All agreed actions must be documented.

Within 48 hours of identification of a COVID-19 outbreak, the Senior Inter-governmental Oversight Group will convene. This Group will consider progress of outbreak management by the RACF and the PHU and agree any actions required to address critical or emerging issues that require government support, based on the protocol’s stated principles.

For the avoidance of doubt, none of these events should delay immediate actions required in response to an outbreak—including isolation of residents and/or staff members who test positive to COVID-19 and other infection control measures.
Outputs from the first Senior Inter-governmental Oversight Group meeting

The first meeting of the Senior Inter-governmental Oversight Group is expected to result in:

- A communication strategy, detailing how information will be:
  - shared in a timely, streamlined way
  - recorded to ensure transparency and accountability
  - communicated to the provider
  - escalated within organisations (e.g. to relevant Ministers)
  - shared on media announcements (to ensure a consistent approach across government)
- An agreed list of trigger events and processes to manage based on progress of the provider and the PHU in managing the outbreak.
- Agreed responsibilities for decisions and actions.
- An agreement of frequency of meetings.

NSW Government operated residential aged care facilities and multi-purpose services (MPSs)

The NSW Government operates 63 MPSs and 9 RACFs. In instances where outbreaks occur within one of these facilities, it is acknowledged that the governance structure and roles and responsibilities described in this document also apply. NSW Health is in a unique position in these potential instances as both the provider and providing support and services described under the NSW Government role. Considering the expertise in these instances of the NSW Government in leading a public health response, expertise in infection control and providing clinical care, by agreement the frequency of meetings and representation at meetings may vary.