

Part 4: Guidance tables

These tables are designed to help the following decide how the code and related guidance applies to the regulated activities and type of service they provide:

- registered providers
- the directors of infection prevention and control (DIPC) (NHS provider organisations)
- service providers (adult social care, primary care dental and primary care medical and independent healthcare providers, independent sector ambulance providers)

Further guidance on the activities that are covered by regulations are [available on the Care Quality Commission \(CQC\) website](#).

Because of the wide range of services provided in health and adult social care, service providers should carry out their own risk assessments to help them decide the elements to be included in their policies, or whether or not a policy is required at all.

They will need to be able to justify their decisions.

Tables 1a and 1b: The application of the code of practice to regulated activities

Tables 2a and 2b: A guide to potential sources of professional infection prevention advice

Tables 3a and 3b: Policies appropriate to regulated activities

Table 1a: The application of the code of practice to regulated activities

This table provides a guide as to which criteria may apply to each regulated activity. This is a matter for local determination.

Compliance criterion and description	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983	Surgical procedures
1. Systems to manage and monitor IPC. These use risk assessments and consider the susceptibility of service users and any risks that their environment and other users may pose to them	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Provide and maintain a clean and appropriate environment in managed premises to facilitate IPC	Not applicable	Yes	Yes	Yes	Yes	Yes	Yes
3. Ensure appropriate antimicrobial use to optimise patient outcomes and to reduce the risk of adverse events and antimicrobial resistance	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Yes	Yes

Compliance criterion and description	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983	Surgical procedures
4. Provide suitable accurate information on infections to service users, their visitors and any person concerned with providing further support or nursing/ medical care in a timely fashion	Yes	Yes	Yes	Yes	Yes	Yes	Yes
5. Ensure that people who have or are at risk of developing an infection are identified promptly and receive the appropriate treatment and care to reduce the risk of transmission of infection to other people	Not applicable	Yes	Yes	Yes	Yes	Yes	Yes

Compliance criterion and description	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983	Surgical procedures
6. Systems to ensure that all care workers (including contractors and volunteers) are aware of and discharge their responsibilities in the process of preventing and controlling infection	Yes	Yes	Yes	Yes	Yes	Yes	Yes
7. Provide or secure adequate isolation facilities. See note 1	Not applicable	Yes	Yes	Not applicable	Yes	Yes	Yes
8. Secure adequate access to laboratory support as appropriate. See note 2	Not applicable	Not applicable	Yes	Not applicable	Yes	Yes	Yes
9. Have and adhere to policies, designed for the individual's care and provider organisations that will help to prevent and control infections	See tables 3a and 3b	Yes	Yes	Yes	Yes	Yes	Yes

Compliance criterion and description	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983	Surgical procedures
10. Providers have a system in place to manage the occupational health needs and obligations of staff in relation to infection	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Table note 1: Unlikely or does not apply to primary dental/medical care.

Table note 2: Does not apply to primary dental care.

Table 1b: The application of the code of practice to regulated activities

This table provides a guide as to which criteria may apply to each regulated activity. This is a matter for local determination.

Compliance criterion and description	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
1. Systems to manage and monitor IPC. These use risk assessments and consider the susceptibility of service users and any risks that their environment and other users may pose to them	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
2. Provide and maintain a clean and appropriate environment in managed premises to facilitate IPC	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
3. Ensure appropriate antimicrobial use to optimise patient outcomes and to reduce the risk of adverse events and antimicrobial resistance	Yes	Not applicable	Yes	Yes	Yes	Not applicable	Yes	Yes

Compliance criterion and description	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
4. Provide suitable accurate information on infections to service users, their visitors and any person concerned with providing further support or nursing and/or medical care in a timely fashion	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
5. Ensure that people who have or are at risk of developing an infection are identified promptly and receive the appropriate treatment and care to reduce the risk of transmission of infection to other people	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
6. Systems to ensure that all care workers (including contractors and volunteers) are aware of and discharge their responsibilities in the process of preventing and controlling infection	Yes	Yes	Yes	Yes	Yes	Not applicable	Yes	Yes
7. Provide or secure adequate isolation facilities. See note 2	Not applicable	Not applicable	Not applicable	Yes	Not applicable	Not applicable	Not applicable	Not applicable

Compliance criterion and description	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
8. Secure adequate access to laboratory support as appropriate. See note 3	Yes	Yes	Not applicable	Yes	Yes	Not applicable	Yes	Yes
9. Have and adhere to policies, designed for the individual's care and provider organisations that will help to prevent and control infections	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
10. Providers have a system in place to manage the occupational health needs and obligations of staff in relation to infection	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Note 1: Applies to transport and triage services delivered at site.

Note 2: Unlikely or does not apply to primary dental/medical care.

Note 3: Does not apply to primary dental care.

Table 2a: A guide to sources of professional IPC and antimicrobial stewardship advice

Professional group	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983	Surgical procedures
1. Director of IPC and/or service providers	Not applicable	Yes	Not applicable	Not applicable	Yes	Yes	Yes
2. Infection control nurse or infection control practitioner	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Yes	Yes
3. Consultant microbiologist	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Yes	Yes
4. Designated site lead for infection (not always a healthcare worker)	See note 1	Yes	Yes	Yes	Yes	Yes	Yes
5. Access to consultant in communicable disease control or local health protection team	Not applicable	Yes	Yes	Yes	Yes (see note 2)	Yes	Yes (see note 3)
6. Fully constituted infection control team and infection control committee. See note 4	Not applicable	Not applicable	Yes	Not applicable	Yes	Yes	Yes

Professional group	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983	Surgical procedures
7. Primary care pharmacists and/or medicines optimisation teams antimicrobial pharmacists	Yes	Yes	Yes	Not applicable	Yes (see note 2)	Not applicable	Yes (see note 2)
8. Primary healthcare teams	Yes	Yes	Yes	Not applicable	Not applicable	Not applicable	Not applicable
9. Occupational health services (consult when risk of transmission from care workers to service user or vice versa)	Yes	Yes	Yes	Yes	Yes (see note 2)	Yes	Yes (see note 2)

Note 1: Providers of domiciliary care need to have a designated lead.

Note 2: Applies to primary dental and/or medical care.

Note 3: Decontamination lead will be responsible for these areas

Note 4: Unlikely or does not apply to primary dental/medical care.

Table 2b: A guide to sources of professional IPC and antimicrobial stewardship advice

Professional group	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
1. Director of IPC/service providers	Not applicable	Not applicable	See note 2	Yes	Yes	Not applicable	Not applicable	Yes
2. Infection control nurse/infection control practitioner	Not applicable	Not applicable	See note 2	Yes	Not applicable	Not applicable	Not applicable	Not applicable
3. Consultant microbiologist	Yes	Yes	Not applicable	Yes	Yes	Not applicable	Not applicable	Not applicable
4. Designated site lead for infection (may not always be a healthcare worker)	Yes	Not applicable	Yes	Yes	Yes	Yes	Not applicable	Yes
5. Access to consultant in communicable disease control/local health protection team	Yes (see note 4)	Yes	See note 2	Not applicable	Yes	Not applicable	Not applicable	Yes
6. Fully constituted infection control team and infection control committee. See note 3	Yes	Not applicable	See note 2	Yes	Not applicable	Not applicable	Not applicable	Not applicable

Professional group	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
7. Primary care pharmacists/Medicines Optimisation Teams Antimicrobial Pharmacists	See note 4	Not applicable	Not applicable	Not applicable	Yes	Not applicable	Yes	Yes
8. Primary healthcare teams	Not applicable	Not applicable	Not applicable	Yes	Not applicable	Yes	Yes	Yes
9. Occupational health services (consult when risk of transmission from care workers to service user or vice versa)	Yes (see note 4)	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Note 1: Applies to transport and triage services delivered at site.

Note 2: Relevant to acute and independent sector ambulance providers.

Note 3: Applies to transport and triage services delivered at site

Note 4: Applies to primary dental/medical care

Table 3a: Policies appropriate to regulated activities

Compliance with criterion 9	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983
a) Standard and transmission-based IPC precautions	Yes	Yes	Yes	Yes	Yes	Yes
b) Aseptic technique	Not applicable	Yes	Yes	Yes	Yes	Yes
c) Outbreaks of communicable infection. See note 1	Not applicable	Yes	Yes	Yes	Yes	Yes
d) Isolation of service users with an infection. See note 1	Not applicable	Yes	Yes	Yes	Yes	Yes
e) Safe handling and disposal of sharps	Yes	Yes	Yes	Yes	Yes	Yes
f) Prevention of occupational exposure to blood-borne viruses, inc. prevention of sharps injuries	Yes	Yes	Yes	Yes	Yes	Yes

Compliance with criterion 9	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983
g) Management of occupational exposure to blood-borne viruses and post-exposure prophylaxis	Yes	Yes	Yes	Yes	Yes	Yes
h) Closure of rooms, wards, department, and premises to new admissions. See note 2	Not applicable	Yes	Yes	Yes	Yes	Yes
i) Disinfection. See note 2	Not applicable	Yes	Not applicable	Yes	Yes	Yes
j) Decontamination of reusable medical devices. See note 3	Not applicable	Yes	Not applicable	Not applicable	Yes	Yes
k) Single-use medical devices. See note 3	Yes	Yes	Yes	Yes	Yes	Yes
l) Antimicrobial prescribing and stewardship	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Yes

Compliance with criterion 9	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983
m) Reporting of infection to UKHSA or local authority and mandatory reporting of healthcare associated infections to UKHSA. See notes 1 and 2	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Not applicable
n) Control of outbreaks and infections associated with specific alert organisms/alert conditions. See note 1	N/A	Yes	Yes	Yes	Yes	Yes
o) CJD/vCJD – handling of instruments and devices. See note 1	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Yes
p) Safe handling and disposal of waste	Yes	Yes	Yes	Yes	Yes	Yes
q) Packaging, handling and delivery of laboratory specimens. See note 1	Yes	Yes	Yes	Yes	Yes	Yes
r) Care of deceased persons. See note 2	Yes	Yes	Yes	Not applicable	Yes	Yes

Compliance with criterion 9	Personal care	Accommodation for persons who require nursing or personal care	Accommodation for persons who require treatment for substance misuse	Accommodation and nursing or personal care in the further education sector	Treatment of disease, disorder or injury	Assessment or medical treatment for persons detained under the Mental Health Act 1983
s) Use and care of invasive devices. See note 1	Yes	Yes	Yes	Yes	Yes	Yes
t) Purchase, cleaning, decontamination, maintenance and disposal of equipment. See note 3	N/A	Yes	Yes	Yes	Yes	Yes
u) Surveillance and data collection. See note 1	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Yes
v) Dissemination of information	Not applicable	Yes	Yes	Yes	Yes	Yes
w) Isolation facilities. See note 2	Not applicable	Yes	Yes	Yes	Yes	Yes
x) Uniform and dress code	Yes	Yes	Yes	Yes	Yes	Yes
y) Immunisation of service users. See note 1	Not applicable	Yes	Yes	Yes	Yes	Yes

Note 1: Does not apply to primary dental care.

Note 2: Unlikely or does not apply to primary dental/medical care.

Note 3: Decontamination lead will be responsible for these areas.

Table 3b: Policies appropriate to regulated activities

Compliance with criterion 9	Surgical procedures	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
a) Standard and transmission-based IPC precautions	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
b) Aseptic technique	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
c) Outbreaks of communicable infection. See note 2	Yes	See note 3	Yes	Yes	Yes	Yes	Not applicable	Yes	Not applicable
d) Isolation of service users with an infection. See note 2	Yes	Yes	Not applicable	Yes	Yes	Not applicable	Not applicable	Yes	Not applicable
e) Safe handling and disposal of sharps	Yes	Yes	Yes	See note 4	Yes	Yes	Yes	Yes	Yes

Compliance with criterion 9	Surgical procedures	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
f) Prevention of occupational exposure to blood-borne viruses, inc. prevention of sharps injuries	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
g) Management of occupational exposure to blood-borne viruses and post-exposure prophylaxis	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
h) Closure of rooms, wards, department, and premises to new admissions. See note 5	Yes	Not applicable	Not applicable	Not applicable	Yes	Not applicable	Not applicable	Yes	Yes
i) Disinfection. See note 6	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes

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Compliance with criterion 9	Surgical procedures	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of Pregnancies	Services in slimming clinics	Nursing care	Family planning services
n) Control of outbreaks and infections associated with specific alert organisms/alert conditions. See note 2	Yes	Not applicable	Not applicable	Not applicable	Yes	Yes	Not applicable	Not applicable	Yes
o) CJD/vCJD – handling of instruments and devices. See note 2	Yes	Not applicable	Not applicable	Not applicable	Not applicable	Yes	Not applicable	Not applicable	Not applicable
p) Safe handling and disposal of waste	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
q) Packaging, handling and delivery of laboratory specimens. See note 2	Yes	Yes	Yes	Not applicable	Yes	Yes	Not applicable	Yes	Yes

Compliance with criterion 9	Surgical procedures	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, Triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of pregnancies	Services in slimming clinics	Nursing care	Family planning services
r) Care of deceased persons. See note 5	Yes	Yes	Yes	Yes	Yes	Not applicable	Not applicable	Yes	Yes
s) Use and care of invasive devices. See note 2	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
t) Purchase, cleaning, decontamination, maintenance and disposal of equipment. See note 6	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
u) Surveillance and data collection. See note 2	Yes	Not applicable	Not applicable	Not applicable	Yes	Yes	Not applicable	Not applicable	Not applicable
v) Dissemination of information	Yes	Not applicable	Not applicable	Yes	Yes	Yes	Not applicable	Yes	Yes

Compliance with criterion 9	Surgical procedures	Diagnostic and screening procedures	Management of supply of blood and blood derived products etc.	Transport services, triage and medical advice provided remotely. See note 1	Maternity and midwifery services	Termination of Pregnancies	Services in slimming clinics	Nursing care	Family planning services
w) Isolation facilities. See note 5	Yes	Yes	Yes	Not applicable	Yes	Not applicable	Not applicable	Not applicable	Not applicable
x) Uniform and dress code	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
y) Immunisation of service users. See note 2	Yes	Not applicable	Not applicable	Not applicable	Yes	Yes	Not applicable	Not applicable	Yes

Note 1: Applies to transport and triage services delivered at site

Note 2: Does not apply to primary dental care

Note 3: Applies to invasive diagnostic procedures

Note 4: Relevant to acute and independent sector ambulance providers

Note 5: Unlikely or does not apply to primary dental/medical care

Note 6: Decontamination lead will be responsible for these