Surveillance protocol for SARS-CoV-2 infection among health workers

Version: 1

Date: 28 May 2020

Contact: Alessandro Cassini (cassinia@who.int) or the WHE IPC team (WHEipc@who.int)



Contents

1	Background	3
2	Aim of the surveillance protocol in health workers	
3	Role of WHO	
4	Surveillance method	4
4	4.1 Design	4
	4.2 Target population	4
	4.3 Data collection and analysis	5
4	4.4 Suggested data-collection tool	5
5	Ethical considerations	6
Ар	pendix A: Surveillance questionnaire for SARS-CoV-2 infection among health workers	7
Ар	pendix B: Go.Data software	14
	Go.Data: what is it?	14
	What are the key features of the Go.Data software?	14
	Options for Go.Data hosting in countries	16
	Go.Data terms of use and software license agreement	17

1 Background

Coronavirus disease 2019 (COVID-19) was first detected in Wuhan city, China in December 2019. On 30 January 2020, the Director-General of WHO declared that the outbreak constituted a Public Health Emergency of International Concern. On 11 March 2020, after evaluating its seriousness and spread, the Director-General announced that the outbreak was to be considered as a pandemic that could still be controlled. According to current evidence, the causative SARS-CoV-2 virus is primarily transmitted between people through respiratory droplets and contact routes. Transmission of the virus can therefore occur via direct contact with infected people, via indirect contact with surfaces in the immediate environment or via objects used on an infected person (for example, a stethoscope or thermometer). Airborne transmission may also be possible in specific circumstances and settings in which procedures or support treatments that generate aerosols are performed. Asymptomatic and pre-symptomatic individuals may be able to transmit infection.

People who come into contact with a COVID-19 patient, and/or who care for COVID-19 patients, are most at risk of infection. This inevitably places health workers at high risk. Health workers play a critical role, not only in the clinical management of patients but also in ensuring that adequate infection and prevention control (IPC) measures are implemented in health care facilities. Assessing the potential risk factors for SARS-CoV-2 infection among health workers is essential for characterizing virus transmission patterns, preventing future infections of health workers and preventing health-care-associated infection with SARS-CoV-2.

This surveillance protocol is based upon the use of a questionnaire (Appendix A) that can be implemented in facilities where cases of COVID-19 have been reported among health workers. It is based on the review and adaptation carried out by WHO and the Istituto Superiore di Sanità of the document: *Health workers exposure risk assessment and management in the context of COVID- 19 virus – Interim guidance 4 March 2020*, available at: https://apps.who.int/iris/bitstream/handle/10665/331340/WHO-2019-nCov-HCW risk assessment-2020.1-eng.pdf.

Each country may need to tailor selected aspects of this protocol to align with their public health, testing and clinical systems related to health workers, according to capacity, availability of resources and cultural appropriateness. However, by using the standardized protocol provided below, surveillance data on COVID-19 among health workers and their epidemiological exposure can be systematically collected and rapidly shared in a format that can be easily aggregated, tabulated and analysed across settings locally, nationally and globally. This will then allow for the timely investigation of COVID-19 among health workers and their related exposure, thus informing public health responses and policy decisions. Such information is particularly important in the context of a novel respiratory pathogen such as SARS-CoV-2.

2 Aim of the surveillance protocol in health workers

The purpose of this protocol is to describe the epidemiology of COVID-19 among health workers, including their exposure characteristics and risk factors, as part of case investigation. The questionnaire should be used for surveillance and epidemiological purposes only and should not be used, for example, to identify health worker breaches in adherence to personal protective equipment (PPE) procedures or to expose health workers to the risk of legal action.

The results of such targeted surveillance will also support identification of the most appropriate IPC measures to be strengthened at facility and country level to better protect health workers. Furthermore, based on the findings of this surveillance, the international scientific community will obtain vital evidence to inform the updating of IPC and management guidance for the prevention of COVID-19 among health workers.

3 Role of WHO

WHO headquarters will provide technical support and coordination, and will host a secured database platform (Go.Data) for data collection that will be made available to countries. WHO will access the country data only if permission is granted by individual countries and will analyse data in aggregate form, if agreed. Countries will be able to access and analyse only their own data. Such targeted surveillance can also be implemented independently in countries and regions by using the current protocol along with existing national or regional data-collection systems.

4 Surveillance method

4.1 Design

It is proposed that national, regional and local health authorities undertake COVID-19 surveillance among health workers in conjunction with their ongoing COVID-19 surveillance efforts. Health authorities should decide how best to integrate such targeted surveillance into existing mechanisms for the surveillance of COVID-19 and/or other diseases among the general population.

The surveillance method will be based on the six-part questionnaire provided in Appendix A administered in survey format. It includes a number of essential questions that should always be answered and additional questions that are also important but not essential to be answered, in particular in case of time or resource constraints. The questionnaire can be administered directly to the health worker (on paper or electronically), during a phone interview or in person. If done in person, the interviewer should take all of the IPC measures recommended for contact with COVID-19 patients. All health workers interviewed should be willing and physically able to respond to the questionnaire.

4.2 Target population

Health workers who test positive for SARS-CoV-2 regardless of their symptoms are the main target population. The criteria for inclusion are all staff involved in the provision of care to a COVID-19 patient or working in a health care facility caring for COVID-19 patients. This will include personnel present in the patient's room and personnel who may not have provided direct patient care but who could have come into contact with a patient's biological fluid/respiratory secretions, or with potentially contaminated objects or environmental surfaces. The term "health worker" includes allied health workers and auxiliary health workers such as cleaning and laundry personnel, x-ray physicians and technicians, clerks, phlebotomists, respiratory therapists, nutritionists, social workers, physical therapists, laboratory personnel, cleaners, admission/reception clerks, patient transporters, catering staff and so on).

This protocol and its associated questionnaire should be adapted to the local context (for example, to ensure that the definition of "health worker" reflects local definitions) and to testing strategies (for example, administered to all health workers at the moment of testing where the routine testing of health workers is enforced). However, it would be highly advisable to maintain the essential questions (which are clearly marked in the questionnaire) to enable comparison across different settings.

Some countries may decide to retrospectively administer the questionnaire to all infected health workers, regardless of the time of infection. To avoid recall bias, it is advisable to administer the questionnaire only to health workers who tested positive in the previous 7 days, given that they will be asked to remember the events of the 14 days prior to being tested.

Investigators should also consider the risk of response bias regarding PPE use or close contact; this bias could be reduced by administering the questionnaire at the time of testing prior to the result becoming known.

4.3 Data collection and analysis

Each participating authority should identify a contact person for data collection. If requested by the participating authority, WHO will provide dedicated access to the Go.Data web platform to submit data and access related technical support. If shared with WHO, data should be inserted in pseudonymized form (alphanumeric identification code) into the Go.Data platform.

All health workers identified by the surveillance process will need to complete the questionnaire provided in Appendix A. This questionnaire covers: (1) information on the interviewer; (2) demographic information on the interviewee, and on potential exposure not related to the health facility; (3) information on the health care facility and on the health worker's basic knowledge of IPC measures and PPE use; (4) activities carried out during interaction with a COVID-19 patient; (5) adherence to IPC measures and on the availability and use of PPE; and (6) information on accidental exposure to biological material. To ensure the collection of at least the minimum required amount of information, questions considered to be essential are marked with an asterisk in the questionnaire. It is advisable to collect at least this minimum dataset at facility or ward level.

Data can be analysed in aggregate form to describe both structural indicators (for example, availability and access to PPE and to IPC components at the facility level) and procedural indicators (for example, knowledge and adherence to PPE) among infected health workers. Moreover, aggregate data can be analysed to determine the number of health workers found to be positive for SARS-CoV-2, ideally over the total number of health workers caring for COVID-19 patients or based on the total number of health workers tested, at the facility and/or ward level.

4.4 Suggested data-collection tool

Countries and institutions implementing this targeted surveillance protocol should adopt data-collection tools according to their needs and practice. Upon request, WHO will provide a Go.Data data-implementation template of the questionnaire shown in Appendix A. If the country or institution so requires, WHO will also offer access to a secured server to host the Go.Data collection tool. WHO will then provide technical support and coordination of data collection via the Go.Data platform. If data is shared with WHO, a data-sharing agreement will be signed by both parties.

The web questionnaire on the Go.Data platform consists mainly of closed-ended questions related to demographic information, exposure risk situations and IPC measures.

Go.Data is an electronic data-collection tool that has been designed to be used by WHO, the Global Outbreak Alert and Response Network (GOARN), Member States and partners to support and facilitate outbreak investigations. The tool includes functionality for case and contact field data collection, contact follow-up and visualization of chains of transmission. The tool comprises a web application and an optional mobile app, and is intended for use by any outbreak responders, including WHO staff, and staff from ministries of health and partner institutions.

Key features of the Go.Data software include (for more details and screen shots, please refer to Appendix B):

- it is open source and free for use with no licensing costs;
- it offers different types of operation (server or stand-alone) on different platforms (Windows, Linux, Mac);
- it allows for data collection from cases and contacts, including laboratory data;
- it is not built for a specific disease or specific country, and is highly configurable, with configurable reference, outbreak and location data;
- one Go.Data installation can be used to collect data for many outbreaks;
- it provides multilingual support, with the possibility of adding and managing additional languages though the user interface;

- it allows for granular user roles and permissions, including the possibility of providing user access at outbreak level;
- outbreak templates are included for easier creation of outbreak data-collection forms;
- it generates a contact follow-up list and visualizes chains of transmission;
- users with appropriate rights can configure the case-investigation form, contact follow-up form and laboratory data-collection form; and
- it has an optional mobile app (Android and iOS) focused on case and contact data collection, contact tracing and follow-up.

Several options are available for Go.Data hosting in countries (see Appendix B).

For further information contact: godata@who.int or visit https://www.who.int/godata

5 Ethical considerations

Ethical requirements will vary by country. It should be noted that this targeted surveillance data collection is considered to be part of public health surveillance in the context of COVID-19 (emergency response) and may not require ethical approval from an institutional review board.

The purpose of the surveillance questionnaire must be explained to all health workers included in the targeted surveillance activity, and informed consent from the interviewee might be required. Depending on the local context, each participant should be informed that participation in surveillance is voluntary and that they are free to withdraw, without justification, at any time without consequences and without affecting their professional responsibilities.

Participant confidentiality must be maintained throughout, especially in the case of health workers exposed to SARS-CoV-2. An identification number should be assigned to all participants by the surveillance team. The identification numbers assigned to individuals will be kept confidential and managed by the surveillance team and the country authority (Ministry of Health or equivalent) and will not be disclosed elsewhere.

If data are shared by the implementing organization with WHO or any agency or institution providing support for data analysis, it is the responsibility of the institution collecting the data to share pseudonymized data only (based on the use of an identification number and deletion of any personally identifiable information).

If groups implementing the surveillance opt to use open source Go.Data as a tool to run this targeted surveillance, then several options are available for Go.Data hosting in countries. Detailed information on this is presented in Appendix B of this document. The group implementing the surveillance will need to consider the best approach given the setting. If the Go.Data server is to be based at WHO, then access to the Go.Data application on this server will be restricted to users who have valid login credentials for the Go.Data application. Please see Appendix B for the terms of use of Go.Data.

Appendix A: Surveillance questionnaire for SARS-CoV-2 infection among health workers

Questions marked with an * should be considered as essential

 Interviewer information and contextual information (to be filled in by interviewer; some questions might require information from the health care facility administrator) 		
A. Interviewer name and last name		
B. Interview date (dd/mm/yyyy)	1 1	
B. Interview date (dd/mm/yyyy)		
C. Interviewer phone number/email		
*D. Test date (dd/mm/yyyy)		
, , , , , , , , , , , , , , , , , , , ,		
*E. Reason for test	□ Onset of symptoms	
	☐ Face-to-face contact (within 1 metre) with a confirmed	
	COVID-19 case	
	□ Other, specify:	
	a other, specify.	
*F. To date, how many health workers have been		
tested in the same facility?		
*G. Test result	□ Positive	
	□ Negative	
[If not yet known, complete when result is available]		
*H. Are there COVID-19 patients in the health care	□ Yes □ No □ Unknown	
facility?	Number of patients (approximate number if exact number	
,	not known):	
*I. Are there areas dedicated to COVID-19 cases in	□ Yes □ No □ Unknown	
the health care facility?	, , , , , , , , , , , , , , , , , , ,	
*J. Are there health workers dedicated only to the care of COVID-19 patients?	□ Yes □ No □ Unknown	
*K. If yes, how many health workers are dedicated	Number of health workers:	
to the care of COVID-19 patients in the same facility?	□ Unknown	
,		
2. Health worker information		
A. Family name		
B. First name		
C. Date of birth (dd/mm/yyyy)		
D. C.	A41 5 1 0 6 11	
D. Sex	☐ Male ☐ Female ☐ Prefer not to answer	
E. City		
*F. Country		
G. Contact details (email and/or phone number)		
*U Type of health personnel	Modical doctor	
*H. Type of health personnel	☐ Medical doctor☐ Physician assistant	
[Adapt to local context or review according to	☐ Registered nurse (or equivalent)	
international terminology]	□ Assistant nurse, nurse technician (or equivalent)	
3,,	□ Radiology/x-ray technician	

	□ Phlebotomist
	□ Ophthalmologist
	□ Physical therapist
	□ Respiratory therapist
	□ Nutritionist/dietician
	□ Midwife
	□ Pharmacist
	□ Pharmacy technician or dispenser
	☐ Laboratory personnel
	□ Admission/reception clerk
	□ Patient transporter
	□ Catering staff □ Cleaner
	□ Other [specify]:
	d Other [specify].
*I. Health care facility unit type in which the health	[Tick all that apply]
worker works	□ Outpatient
	□ Emergency
[Adapt to local context]	□ Medical unit
	□ Intensive care unit
	□ Cleaning services
	□ Laboratory
	□ Pharmacy
	□ Other [<i>specify</i>]:
J. Date of communication of the test result	
(dd/mm/yyyy)	
(44)	
[If not yet known, complete when result is available]	
*K. In the 14 days prior to the onset of your	□ Confirmed COVID-19 case
symptomatology and/or day of the test, you have	☐ Health worker with confirmed COVID-19
been during your work in close contact with:	□ Neither of the above
	□ Unknown
*I In the 14 days prior to the enset of your	Confirmed COVID 10 case or symptometric person to
*L. In the 14 days prior to the onset of your	☐ Confirmed COVID-19 case or symptomatic person to
symptomatology and/or day of the test, you have been in close contact with:	whom you were providing care outside of your primary working context (e.g. while providing medical assistance to
been in close contact with.	acquaintances)
	□ Confirmed COVID-19 case or symptomatic person at
	home
	☐ Confirmed COVID-19 case or symptomatic person outside
	your working and domestic environments (e.g. means of
	transport, supermarket)
	□ None of the above
	□ Unknown
3. Health worker and health care facility inform	nation
A. Date of health worker first exposure to confirmed	/
COVID-19 patient (dd/mm/yyyy)	
	□ Not known
B. Name of health care facility where the COVID-19	
patient received care:	

*C. Type of health care setting where the health worker was exposed to a COVID-19 patient	 □ Hospital □ Outpatient clinic □ Primary health centre □ Home care for mild cases □ Other [specify]:
D. City	
*E. Country	
F. Number of health workers in the facility	
G. Number of health worker tested for COVID-19 in the facility in the same period	
*H. Are you part of the staff dedicated to the care of COVID-19 patients?	□ Yes □ No □ Unknown
*I. Have you attended training courses on infection prevention and control (IPC) programmes?	□ Yes □ No □ Unknown
*J. When did you attend the most recent IPC training course in the health care facility in which you work?	□ Date (dd/mm/yyyy):/ □ I don't remember/I'm not sure □ I don't know what IPC is
*K. How much training time on IPC (standard precautions, additional precautions) did you receive in the health care facility in which you work?	□ < 2 hours □ > 2 hours □ I don't know what IPC is
*L. Have you participated in training courses on the use of personal protective equipment (PPE)?	□ Yes □ No □ Unknown
*M. Was the PPE training carried out remotely or were practical sessions on standard precautions/additional precautions carried out?	□ Only remote/theoretical □ Just practical □ Both □ I don't know what standard/additional precautions are
*N. Do you know the 5 recommended moments for hand hygiene in health care?	☐ I don't know them ☐ I know them and practise them for each patient ☐ I know them and practise them when I can ☐ I know them, but I don't have time to practise them
*O. Is alcohol-based hand rub available at the point of care (in the ward, near the patient's bed)?	☐ Yes ☐ No ☐ Sometimes ☐ I don't know
*P. Is appropriate personal protective equipment (PPE) continuously available for care to COVID-19 patients	□ Yes □ Yes, but not all equipment (click on all applicable items) □ Medical mask always available □ Respirator (N95 or FFP2 or FFP3 standard, or equivalent) always available □ Disposable gown always available □ Gloves always available □ Eye protection (goggles or face shield) always available □ I don't know

4. Health worker activities performed on confirmed COVID-19 patient		
*A. Did you provide direct care to a confirmed COVID-	□ Yes □ No □ Unknown	
19 patient?		
*B. Did you have close contact (within 1 metre) with a confirmed COVID-19 patient in a health care facility?	□ Yes □ No □ Unknown	
- If yes, what was the longest period of close	□ < 2 minutes	
contact with the COVID-19 case?	□ 2–5 minutes	
contact with the covid 15 case.	□ 5–15 minutes	
	□ > 15 minutes	
	□ Unknown	
*C. During the health care interaction with the COVID-	□ Yes □ No □ Unknown	
19 patient, did you wear PPE?		
If yes, for each item of PPE below, indicate how often ye	ou used it as follows:	
 "Always, as recommended" should be conside 	red as wearing the PPE when indicated more than 95% of	
the time.		
 "Most of the time" should be considered as 50 		
 "Occasionally" should be considered as 20% to 	less than 50% of the time.	
"Rarely" should be considered as less than 209	6.	
4 Cinala alaura	— Aboron as grandad	
1. Single gloves	□ Always, as recommended	
	□ Most of the time	
	Occasionally	
	□ Rarely	
2. Medical mask	☐ Always, as recommended	
2. Wedicar mask	□ Most of the time	
	□ Occasionally	
	□ Rarely	
	,	
3. Respirator (e.g. N95, FFP2 or equivalent)	☐ Always, as recommended	
	☐ Most of the time	
	□ Occasionally	
	□ Rarely	
4. Face shield or goggles/protective glasses	☐ Always, as recommended	
4. Tace siliely of goggles/protective glasses	□ Most of the time	
	□ Occasionally	
	□ Rarely	
	,	
5. Disposable gown	☐ Always, as recommended	
	☐ Most of the time	
	□ Occasionally	
	□ Rarely	
D. During the health care interaction with the COVID-	☐ Always, as recommended	
19 patient did you remove and replace your PPE	□ Most of the time	
according to protocol (e.g. when a medical mask	□ Occasionally	
became wet, disposed of the wet PPE in the waste	□ Rarely	
bin, performed hand hygiene, etc.)?	'	
E. During the health care interaction with the COVID-	□ Always, as recommended	
19 patient did you perform hand hygiene before and	□ Most of the time	
after touching the patient?	□ Occasionally	
	Rarely	
[Note: this is irrespective of wearing gloves]		
F. During the health care interaction with the COVID-	□ Always, as recommended	
19 patient did you perform hand hygiene before and	☐ Most of the time	

after any clean or aseptic procedure was performed (e.g. inserting peripheral vascular catheter, urinary	□ Occasionally □ Rarely
catheter, intubation, etc.)?	
G. During the health care interaction with the COVID-	□ Always, as recommended
19 patient did you perform hand hygiene after	☐ Most of the time
exposure to body fluid?	□ Occasionally
	□ Rarely
H. During the health care interaction with the COVID-	□ Always, as recommended
19 patient did you perform hand hygiene after	□ Most of the time
touching the patient's surroundings (e.g. bed, door handle, etc.)?	□ Occasionally □ Rarely
nanule, etc.j:	□ nately
[Note: this is irrespective of wearing gloves]	
I. During the health care interaction with the COVID-	□ Always, as recommended
19 patient were high-touch surfaces decontaminated	☐ Most of the time ☐ Occasionally
frequently (at least three times daily)?	□ Rarely
J. Did you have direct contact with the environment	□ Yes □ No □ Unknown
in which the confirmed COVID-19 patient was cared for (e.g. bed, linen, medical equipment, bathroom,	
etc.)?	
*K. Were you involved in health care interaction(s)	☐ Other health care facility (public or private)
(paid or unpaid) in another health care facility during	□ Ambulance
	☐ Home care
the above period?	
the above period?	□ No other health care facility
the above period?	
the above period?	
	□ No other health care facility
5. Adherence to IPC measures when performing	
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.)	□ No other health care facility aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy,
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning,	□ No other health care facility aerosol-generating procedures; e.g. tracheal intubation,
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy,
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE?	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy,
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6):
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE?	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]:
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item of PPE below, indicate how often you want item.	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]:
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you was as recommended" should be consided the time.	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]: Yes No Unknown Ou used it as follows: red as wearing the PPE when indicated more than 95% of
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you was recommended" should be consider that time. • "Most of the time" should be considered as 50	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]: Yes No Unknown ou used it as follows: red as wearing the PPE when indicated more than 95% of
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you was recommended" should be consider the time. "Always, as recommended" should be considered as 50 will be considered as 50 will be considered as 20% to considered as	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]: Yes No Unknown ou used it as follows: red as wearing the PPE when indicated more than 95% of the time or more, but not 95–100% eless than 50% of the time.
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you was recommended" should be consider that time. • "Most of the time" should be considered as 50	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]: Yes No Unknown ou used it as follows: red as wearing the PPE when indicated more than 95% of the time or more, but not 95–100% eless than 50% of the time.
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you was recommended" should be consider the time. "Always, as recommended" should be considered as 50 will be considered as 50 will be considered as 20% to considered as	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]: Yes No Unknown ou used it as follows: red as wearing the PPE when indicated more than 95% of the time or more, but not 95–100% less than 50% of the time. Always, as recommended
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you "Always, as recommended" should be consider the time. "Most of the time" should be considered as 500 "Occasionally" should be considered as 20% to "Rarely" should be considered as less than 20%	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]: Yes No Unknown ou used it as follows: red as wearing the PPE when indicated more than 95% of the time or more, but not 95–100% less than 50% of the time. Always, as recommended Most of the time
5. Adherence to IPC measures when performing nebulizer treatment, open airway suctioning, cardiopulmonary resuscitation, etc.) *A. During aerosol-generating procedures on a COVID-19 patient did you wear PPE? If yes, answer the following questions (if not, go to sect B. What type of aerosol-generating procedure was carried out? C. During the health care interaction with a COVID-19 patient did you wear PPE? If yes, for each item of PPE below, indicate how often you "Always, as recommended" should be consider the time. "Most of the time" should be considered as 500 "Occasionally" should be considered as 20% to "Rarely" should be considered as less than 20%	aerosol-generating procedures; e.g. tracheal intubation, collection of sputum, tracheostomy, bronchoscopy, Yes No Unknown ion 6): Tracheal intubation Non-invasive ventilation Manual ventilation before intubation Tracheostomy Bronchoscopy Cardiopulmonary resuscitation Other [specify]: Yes No Unknown ou used it as follows: red as wearing the PPE when indicated more than 95% of the time or more, but not 95–100% less than 50% of the time. Always, as recommended

2. N95 mask (or equivalent respirator)	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
3. Face shield or goggles/protective glasses	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
4. Disposable gown	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
5. Waterproof apron	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
D. During aerosol-generating procedures on the COVID-19 patient did you remove and replace your PPE according to protocol (e.g. if the respirator became wet, disposed of the wet PPE in the waste bin, performed hand hygiene, etc.)?	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
E. During aerosol-generating procedures on the COVID-19 patient did you perform hand hygiene before and after touching the patient? [Note: this is irrespective of wearing gloves]	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
F. During aerosol-generating procedures on the COVID-19 patient did you perform hand hygiene before and after any clean or aseptic procedure was performed (e.g. inserting peripheral vascular catheter, urinary catheter, intubation, etc.)?	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
G. During aerosol-generating procedures on the COVID-19 patient did you perform hand hygiene after touching the patient's surroundings (e.g. bed, door handle, etc.)? [Note: this is irrespective of wearing gloves]	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely
H. During aerosol-generating procedures on the COVID-19 patient were high-touch surfaces decontaminated frequently (at least three times daily)?	□ Always, as recommended □ Most of the time □ Occasionally □ Rarely

6. Accidental exposure to biological material	
*A. During the health care interaction with a COVID-19	□ Yes □ No
patient were you accidently exposed to biological	
fluid/respiratory secretions?	
[See below for examples]	
If yes, which type of accident?	□ Splash of biological fluid/respiratory secretions in the mucous membrane of the eyes
	☐ Splash of biological fluid/respiratory secretions in the mucous membrane of the mouth/nose
	☐ Splash of biological fluid/respiratory secretions on non-intact skin
	☐ Puncture/sharp accident with any material
	contaminated with biological fluid/respiratory secretions

Appendix B: Go.Data software

Go.Data: what is it?

Go.Data is a field data-collection platform focusing on case data (including laboratory, hospitalization and other variables, through a case investigation form) and contact data (including contact follow-up). Main outputs from the Go.Data platform are contact follow-up lists and chains of transmission.

What are the key features of the Go.Data software?

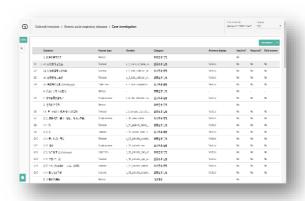
Multiplatform

Go.Data offers different types of operation (online, offline) and different types of installation (server, standalone). It functions on a range of operating systems (Windows, Linux, Mac). In addition, Go.Data has an optional mobile app for Android and iOS. The mobile app is focused on case and contact data collection, and contact tracing and follow-up.

Multilingual

Go.Data is multilingual, with the possibility to add and manage additional languages through the user interface.

Configurable



It is highly configurable, with the possibility to manage:

reference data,

Case

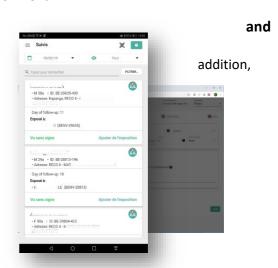
- location data, including coordinates,
- outbreak data, including variables on the case investigation form and the contact follow-up form. One Go.Data installation can be used to manage multiple outbreaks. Each outbreak can be configured in a different way to match the specifics of a pathogen or environment.

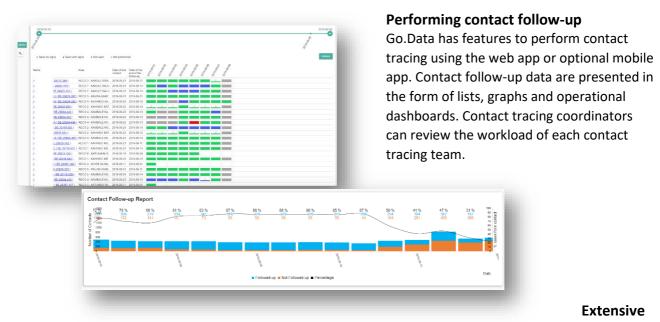
contact data collection

The user can add cases, contacts and laboratory results. In users also have an option to create events that may be relevant for outbreak investigation.

Contact follow-up lists are generated using outbreak parameters (that is, the number of days to follow up contacts, how many times per day should contacts be followed up).

Extensive data export and import features are available to support the work of the data managers and data analysts.





visualization features

Go.Data can be used to generate chains of transmission in the form of:

- networks, simple and hierarchical;
- timelines, using date of onset, date of reporting or date of last contact; and
- bar charts combining the date of onset, hospitalization data, laboratory testing data and outcome.



System administration

System administrators have access to an extensive set of features to manage users, assign roles and permissions and limit access to specific outbreak(s) only. In addition, they

have access to usage logs, and can create and restore backups and manage the settings of one Go.Data instance.

Please visit <u>www.who.int/godata</u> or contact <u>godata@who.int</u> for more information.

Options for Go.Data hosting in countries

OPTION #1 CENTRALLY HOSTED SERVER

One Go.Data installation for the entire region or for multiple countries. Separate outbreak is created for each country on the central server instance of Go.Data, and user access is provided at outbreak level (i.e. users from one country can only access case and contact data from their own country).



- Maintenance is easier.
- Installation of any updates is done centrally.
- Synchronization of the mobile phones can be done from anywhere.



- Countries may be reluctant to host detailed information that is required for contact tracing (e.g. names, addresses) on an external server.
- May require agreements between centralized server owner and Member States for this arrangement.
- Centralized server to manage user accounts and user access.

OPTION #2 COUNTRY HOSTED SERVER

Separate Go.Data installation for each country. Countries install Go.Data on their infrastructure.



- Country has complete ownership and control of the server.
- Synchronization of the mobile phones can be done from anywhere.



- Likely to take more time to implement, as this option requires internal governmental approvals and provisioning infrastructure.
- Requires dedicated staff/team to manage the server.
- Not all countries may be in a position to host a Go.Data server.

OPTION #3 STANDALONE INSTALLATION

Go.Data is installed on one or more computers in the country. These are typically personal computers or notebook/laptop computers. Data can be replicated across the computers.



- Fast to implement.
- User has complete ownership and control of the computer and data.



- In order to synchronize mobile phones, users have to be physically in the same location where the computer is.
- If there are multiple instances in a country it will be required to setup consolidation point.
- Personal data stored on multiple standalone computers.
- Limited availability of Go.Data to when laptop is running.
- Increased security risks through loss or damage of the standalone computer.

Go.Data terms of use and software license agreement

Please read these Terms of Use and Software License Agreement (the "Agreement") carefully before installing the Go.Data Software (the "Software").

By installing and/or using the Software, you (the "Licensee") enter into an agreement with the World Health Organization ("WHO") and you accept all terms, conditions, and requirements of the Agreement.

1. Components of the software

1.1. The Software is a product developed by WHO (the "Software") and enables you to input, upload and view your data (the "Data").

This Agreement governs your use of the Software you have downloaded.

2. Third-party software

- 2.1. Third-party software embedded in the Software. The Software utilizes third party open source software, issued under multiple license types (including Artistic 2.0, Apache 2.0, the "GNU Affero GPL version 3", BSD (3 clause), ISC, WTFPL and the "MIT license") (the "Third Party Components") which are embedded within the Software.
- 2.2. WHO disclaimers for third-party software. WHO makes no warranties whatsoever, and specifically disclaims any and all warranties, express or implied, that either of the Third Party Components are free of defects, virus free, able to operate on an uninterrupted basis, merchantable, fit for a particular purpose, accurate, non-infringing or appropriate for your technical system.
- [2.3. Other third-party software. To the extent you are required to enter into a user license in order to use the Software, WHO is not a party to any such license, and WHO therefore disclaims all liability, responsibility, and/or involvement with any such license. WHO shall not be held liable or responsible for either any breach of any of the terms and conditions of such user licenses entered by you, or any damages arising from your use of such user licenses].
- 2.4. No WHO endorsement of third-party software. The use of the Third-Party Components or other third-party software does not imply that these products are endorsed or recommended by WHO in preference to others of a similar nature.

3. License and terms of use for the software

3.1. Copyright and license. The Software is copyright (©) World Health Organization, 2018, and is distributed under the terms of the GNU Affero General Public License (GPL), version 3. As stated in the source code for the Software, the Software incorporates or makes reference to the Third-Party Components, and WHO issues the Software under GNU Affero GPL "version 3" in part to comply with the terms of those software. WHO disclaims any responsibility or liability with respect to the use or completeness of such license.

4. Copyright, disclaimer and terms of use for the maps

- 4.1. The boundaries and names shown, and the designations used on the maps [embedded in the Software] (the "Maps") do not imply the expression of any opinion whatsoever on the part of WHO concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. Dotted and dashed lines on maps represent approximate border lines for which there may not yet be full agreement.
- 4.2. Unlike the Software, WHO is not publishing the Maps under the GNU Affero GPL. The Maps are not based on "R", they are an independent and separate work from the Software, and are not distributed as "part of a whole" with the Software, as those terms and concepts are used in the GPL.

5. Retained rights and limitations on use

- 5.1. Retained Rights. Except as otherwise indicated herein, WHO owns and shall retain all right, title and interest in and to the Software, including all intellectual property rights embodied therein, including (i) all of the service marks, trademarks, trade names or any other designations associated with the Software; and (ii) all copyrights, patent rights, trade secret rights, and other proprietary rights relating to the Software. Nothing contained in this License shall be deemed to convey to the Licensee any title or ownership in the Software or the related documentation.
- 5.2. *Technical limitations of use*. You shall not remove any WHO identification or notices of any proprietary, patent or copyright restrictions from the Software, or any support material such as the related documentation.

6. Acknowledgment and use of WHO name and emblem

6.1. You shall not state or imply that results from the Software are WHO's products, opinion, or statements. Further, you shall not (i) in connection with your use of the Software, state or imply that WHO endorses or is affiliated with you or your use of the Software, the Software, the Maps, or that WHO endorses any entity, organization, company, or product, or (ii) use the name or emblem of WHO in any way. All requests to use the WHO name and/or emblem require advance written approval of WHO.

7. Disclaimers by WHO

- 7.1. No WHO warranties. WHO makes no warranty with respect to the Software, and disclaims all statutory or implied warranties, expressed or implied, as to the accuracy, completeness or usefulness of any information, apparatus, product, or process related to the Software, including, without limitation, to any warranty of design or fitness for a particular purpose, even if WHO has been informed of such purpose. WHO does not represent that the use of the Software would not infringe third parties' proprietary rights. WHO provides the Software "as is", and does not represent that the Software is operational, free of defects, virus free, able to operate on an uninterrupted basis, or appropriate for your technical system.
- 7.2. Country or area designations. The designations employed and the presentation of the material in the Software do not imply the expression of any opinion whatsoever on the part of WHO concerning the legal status of any country, territory, city or area, or of its authorities, or concerning the delimitation of its frontiers or boundaries.
- 7.3. *Mentions of companies or products*. Any mention of specific companies or of certain manufacturers' products does not imply that they are endorsed or recommended by WHO in preference to others of a similar nature that are not mentioned. Errors and omissions excepted, the names of proprietary products are distinguished by initial capital letters.

8. Limitation of WHO's Liability

- 8.1. WHO shall not be liable for any loss or damage arising directly or indirectly in connection with, or resulting from, your use of the Software.
- 8.2. WHO further expressly excludes liability for any indirect, special, incidental or consequential damages which may arise in respect of the Software and its use, and the results thereof.
- 8.3. WHO expressly excludes liability for any damages which may arise in respect of the use of the Data by the Licensee.

9. Your Indemnification of WHO

9.1. You shall indemnify, hold harmless, and defend at your own expense WHO, its officers, agents, and employees from and against any claims, demands, causes of action, and liability of any nature or kind resulting from or relating to your use of the Software.

10. Term and termination of this agreement

- 10.1. This Agreement shall remain in effect so long as you hold any copy of the Software on any of your computer systems or storage media. This Agreement, including the rights granted under it, shall terminate automatically upon any breach by you of any of its terms. Further, WHO may terminate this Agreement, including the rights granted under it, at any time, with immediate effect, for any reason, by written notice to you. This Agreement is the entire agreement between you and WHO with respect to its subject matter. This Agreement may only be amended by mutual written agreement of you and WHO.
- 10.2. Upon termination of this License for any reason whatsoever, you shall immediately cease all use of the Software and destroy and/or remove all copies of the Software from your computer systems and storage media.

11. General provisions

- 11.1. You may not assign this Agreement without the prior written agreement of WHO (such agreement not to be unreasonably withheld).
- 11.2. This Agreement may not be supplemented, modified, amended, released or discharged, unless approved in writing by WHO. WHO reserves the right to make changes and updates to this Agreement without prior notification. Such changes and updates shall be applied as of the date of their issuance. Any waiver by WHO of any default or breach hereunder shall not constitute a waiver of any provision of this Agreement or of any subsequent default or breach of the same or a different kind.
- 11.3. If any provision of this Agreement is invalid or unenforceable, it is to that extent to be deemed omitted. The remainder of the Agreement shall be valid and enforceable to the maximum extent possible.
- 11.4. Paragraph headings in this Agreement are for reference only.
- 11.5. Any matter relating to the interpretation or application of this Agreement which is not covered by its terms shall be resolved by reference to Swiss law. Any dispute relating to the interpretation or application of this Agreement shall, unless amicably settled, be subject to conciliation. In the event of failure of the latter, the dispute shall be settled by arbitration. The arbitration shall be conducted in accordance with the modalities to be agreed upon by the parties or, in the absence of agreement, in accordance with the UNCITRAL Arbitration Rules. The parties shall accept the arbitral award as final.

12. Privileges and Immunities of WHO

12.1. Nothing contained herein or in any license or terms of use related to the subject matter herein (including, without limitation, the GNU General Public License discussed in paragraph 3.1 above) shall be construed as a waiver of any of the privileges and immunities enjoyed by the World Health Organization under national or international law, and/or as submitting the World Health Organization to any national jurisdiction.

© World Health Organization 2020. Some rights reserved. This work is available under the <u>CC BY-NC-SA 3.0</u> IGO licence.

WHO reference number: WHO/2019-nCoV/HCW_Surveillance_Protocol/2020.1