Request for Approval Under the Generic Clearance for Emergency Epidemic Investigation Data Collections (0920-1011)

Instruction: This form should be completed by the primary contact person from the CDC CIO that will be sponsoring the investigation.

Determine if your investigation is appropriate for this Generic mechanism: *Instruction: Before completing and submitting this form, determine first if the proposed investigation is appropriate for the EEI Generic ICR mechanism. Complete the checklist below. If you select "yes" to all criteria in Column A, the EEI Generic IR mechanism can be used. If you select "yes" to any criterion in Column B, the EEI Generic ICR mechanism cannot be used.*

Column A	**Column B**
CDC epidemiological assistance is requested by one or more external partners (e.g., local, state, tribal, military, port, other federal agency, or international health authority or other partner organization). ☒ Yes ☐ No	The Investigation is initiated by CDC, without request from an external partner. ☐ Yes ☒ No
The investigation is urgent in nature (i.e., timely data are needed to inform rapid public health action to prevent or reduce injury, disease, or death). ☒ Yes ☐ No	The investigation is not urgent in nature. ☐ Yes ☒ No
The investigation is characterized by undetermined agent, undetermined source, undetermined mode of transmission, or undetermined risk factors. ☒ Yes ☐ No	The investigation is conducted for the primary purpose of program evaluation, surveillance, needs assessment, or research to contribute to generalizable knowledge. ☐ Yes ☒ No
One or more CDC staff (including trainees and fellows) will be deployed to the field. ☒ Yes ☐ No	CDC staff (including trainees or fellows) are not deployed to the field. ☐ Yes ☒ No
Data collection will be completed in 90 days or less. ☒ Yes ☐ No	Data collection expected to require greater than 90 days. ☐ Yes ☒ No

Did you select "Yes" to ***all*** criteria in Column A?

If yes, the EEI Generic ICR may be appropriate for your investigation. → You may proceed with this form.

Did you select "Yes" to ***any*** criterion in Column B?

If yes, the EEI Generic ICR is not appropriate for your investigation. → Stop completing this form now.

GenIC # 2014015 - XXX **Date** 08/12/2014

Title of Investigation: *Instruction: Provide the title of the investigation in the following format: [Undetermined agent, undetermined source, undetermined mode of transmission, undetermined risk factor] for [disease/problem] among [subpopulation]—[State], [Year]*

Undetermined risk factors for transmission of Human Parechovirus 3 among severely ill neonates and infants – Kansas and Missouri, 2014

Location of Investigation: *Instruction: Indicate location where investigation will occur. If multiple locations, specify each one.*

State:	Missouri and Kansas
City/County (if applicable)	Kansas City
Country	USA

Requesting Agency: *Instruction: Indicate name of agency requesting epidemiological assistance and the name and position title of the requestor*

Agency:	Kansas Department of Health and Environment
Name and Position Title:	Charlie Hunt, State Epidemiologist

Note: Attach the Letter of Invitation requesting support. The letter should include the following information: 1) background on the outbreak or event; 2) steps already taken toward prevention and control, if any; 3) request for CDC assistance, including objectives of the investigation; and 4) how data will be used to inform prevention and control measures. Sensitive information in the Letter of Invitation not appropriate for public dissemination should be redacted.

Description of Investigation

1. Problem to be Investigated: *Instruction: Provide a summary of the outbreak or event. The summary should include all the information you know at this time about the outbreak or event and the investigation that is planned. At a minimum, please provide the following information: 1) background necessary to understand the importance of the outbreak or event, including a justification of the need for an investigation and why this issue requires an urgent response; 2) the objectives of the investigation, including how the information collected will be used to inform prevention and control measures; and 3) a brief overview of the investigation planned, including study design, respondents, mode of data collection. In the description, indicate whether a data collection instrument is attached with the GenIC request (refer to as Appendix 1, etc) and what instruments will be developed in the field. (suggested length: 250-500 words).*

Human Parechovirus 3 (HPeV3) causes a spectrum of diseases in young children including aseptic meningitis, gastroenteritis, encephalitis, respiratory diseases, and neonatal sepsis-like disease. Since 7th June 2014, there have been at least 14 cases of human parechovirus 3 (HPeV3) detected in the cerebrospinal fluid (CSF) of severely ill neonates and infants at a large referral children's hospital in Kansas City, MO. Six of these samples have been sequenced by CDC's picornavirus lab and 5 were found to be either identical or very similar. Cases have presented in the last two weeks and transmission is considered to be ongoing. Presenting cases have required treatment in an intensive care unit; current number of hospitalized cases is unknown.

The hospital identifying cases (Facility A) tests regularly for HPeV3, and reports that this number of cases appears higher than expected for this time of year. In addition, there seems to be some clustering around one or two specific nurseries, with one such nursery (Nursery A) being associated with severe infections in young neonates (<2 wks old). Two cases from Nursery A were born on the same day and a third within a week. Facility A is a referral hospital and as such draws patients from surrounding states. Of these 14 case-patients, nine are known to be residents of Kansas and four of Missouri. Data collection might also extend to neighboring states (NE, IA) depending on the geographic distribution of newly identified cases.

The Kansas Department of Health and Environment requests CDC assistance with an investigation to 1) assist local public health authorities with control of HPeV3 transmission among neonates and infants; 2) assist in the systematic collection of data to identify routes of transmission and risk factors for infection; 3) further define the scope of the outbreak across the affected public health jurisdictions.

At present, two data collection tools have been generated to collect information about case-patients. These include a medical chart abstraction form (Appendix 1) and an interview questionnaire (Appendix 2) for the primary care-giver of case-patients. Interviews will be conducted in-person or on the telephone, depending on their location. Case finding activities will include collection of stool specimens from siblings of case-patients for testing to include HPeV3. These forms might be modified or additional data collection instruments created in the field based on the needs of the investigation.

2. Characteristics of Outbreak or Event (Check all that Apply):

- ☐ Undetermined agent
- ☐ Undetermined source
- ☒ Undetermined mode of transmission
- ☒ Undetermined risk factor

3. Respondents: *Instruction: Select all that apply. For each respondent type selected, provide a brief description. Be sure to include a description of control respondents, if applicable. Use as much space as necessary for each description.*

- ☐ General public (describe):
  The primary care-giver of case-patients will be interviewed using a standardized questionnaire to understand exposures that could be associated with illness
- ☐ Healthcare staff (describe):
  Staff providing care for the case-patients might be interviewed to identify symptoms
- ☐ Laboratory staff (describe):

NA

☐ Patients (describe):

Chart abstraction will be used to collect diagnoses, symptoms and treatment information about case-patients

☐ Restaurant staff (describe):

NA

☐ Other (describe):

In an effort to find additional cases, stool specimens from siblings of case-patients will be collected for testing to include HPeV3.

4. Selection of Respondents: *Instruction: Provide a brief description of how respondents will be identified and selected. Use as much space as necessary for the description.*

Families of case-patients and hospital staff who provided care will be identified using hospital records. Telephone or in-person interviews will be conducted with primary caregivers of confirmed or suspected case-patients. Siblings of case-patients will be asked to submit stool specimens for laboratory testing to include HPeV3.

5. Study Design: *Instruction: Select all that apply. For each study design planned, provide a brief description. Use as much space as necessary for the description.*

☐ Epidemiologic Study (indicate which type(s) below)

☒ Descriptive Study (describe):

This is a descriptive study to systematically collect information about clinical illness and potential exposures associated with HPeV3 illness in order to identify risk factors and modes of transmission.

☐ Cross-sectional Study (describe):

☐ Cohort Study (describe):

☐ Case-Control Study (describe):

☐ Other (describe):

☐ Environmental Assessment (describe):

☒ Laboratory Testing (describe):

Biological samples from siblings and suspect cases will be sent to the laboratory at Facility A to confirm case status following local policies and procedures.

☐ Other (describe):

6. Data Collection Mode: *Instruction: Select all that apply. For each data collection mode planned, provide a brief description. Use as much space as necessary for the description.*

☒ Survey Mode (indicate which mode(s) below):

☒ Face-to-face Interview (describe):
Families of case-patients might be interviewed in-person depending on their location (Appendix 2).

☒ Telephone Interview (describe):
Families of case-patients will be contacted by telephone for interview. (Appendix 1)

☐ Self-administered Paper-and-Pencil Questionnaire (describe):

☐ Self-administered Internet Questionnaire (describe):

☐ Other (describe):

☒ Medical Record Abstraction (describe):
Medical records of confirmed case-patients will be identified for abstraction of key clinical information (Appendix 2) The mother's labor, delivery, and follow-up medical records also might be abstracted to identify risk factors and mode of transmission.

☒ Biological Specimen Sample
Specimen collection (CSF, blood, stool) and testing for HPeV3 will be carried out by hospital staff on suspected cases to confirm diagnoses. Collection, storage, and transportation will be conducted following local policies and procedures.

☐ Environmental Sample:

☐ Other (describe):

7. Type of Information to be Collected: *Instruction: Select all that apply. For each type of information to be collected, provide a brief description. Use as much space as necessary for the description.*

☒ Behaviors (describe):
Attendance at daycare, doctors' offices, hospitals.

☒ Clinical information/symptoms (describe):
Clinical symptoms compatible with HPeV3, among cases and potential contacts.

☒ Contact information (describe):
Telephone number, email, residence address.

☒ Demographic information (describe):
Name, Sex, DOB, Race, ethnicity.

☐ Environmental factors (describe):

☒ Exposures (describe):
Information regarding exposures to potentially infected people will be collected.

☒ Medical history (describe):
Past medical history of case-patients will be collected.

☒ Risk factors (describe):
Risk factors for this illness are currently unknown. The questions are broad in order to

formulate hypotheses regarding risk factors and routes of transmission.

☒ Specimen/lab information (describe):

Stool specimens from siblings of case-patients will be collected for testing to include HPeV3 as part of case-finding activities.

☐ Travel history (describe):

☐ Other (describe):

8. Duration of Data Collection (number of weeks):

2 weeks

Research Determination: *Instruction: Indicate the research determination decision. If the decision is research, provide the research determination letter and IRB approval, if required.*

☐ Research ☒ Not Research

CDC Investigation Lead: *Instruction: Indicate the name, title, and affiliation of the person who will serve as the CDC lead for this investigation.*

Name:	Dr Claire Midgley
Title:	EISO
Affiliation:	NCIRD/DVD/EB

CDC Sponsoring Program and Primary Contact Person: *Instruction: Indicate the sponsoring CIO/Division/Branch for this investigation. Indicate the name, title, and contact information of the CDC Primary Contact Person for this investigation. Indicate the preferred method of contact during the OMB approval process. Note, contact person or a designee must be available during the OMB approval process in case questions arise.*

CIO/Division/Branch:	NCIRD/DVD/EB
Name:	John Watson
Title:	Medical Officer, NCIRD/DVD/EB

Certification: *Please read the certification carefully. Type your name to validate that you are providing certification. Note: If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved. Certification should be signed by the CDC Primary Contact Person for this Investigation.*

I, [insert name of CDC sponsoring program contact], certify the following to be true:

1. The collection is voluntary.
2. Respondents will not be personally identified in any published reports of the study.
3. Information gathered will be primarily used to inform effective prevention and control measures.

CDC Sponsoring Program Primary Contact Name:	John Watson
Date of Certification:	8/11/14

Requested Approval Date (mm/dd/yyyy): *Instruction: Indicate the date by which approval is needed.*

E-mail the completed form to the Information Collection Request Liaison (ICRL) or EIS program ICRL designee.

EEI Information Collection Request Liaison:
Danice Eaton, PhD, MPH
EIS Program Staff Epidemiologist
EWB/DSEPD/CDC
2400 Century Center, MS E-92
Office: 404.498.6389
Deaton@cdc.gov

For internal use. Do not complete.

Date/Time initial GenIC received by ICRL	8/11/2014, 12:45 PM
Date/Time final GenIC received by ICRL	8/12/2014, 10:28 AM
Date/Time submitted to OMB	
Date/Time approved	
