The National Healthcare Safety Network (NHSN) Manual

HEALTHCARE PERSONNEL SAFETY COMPONENT PROTOCOL

Healthcare Personnel Vaccination Module: Influenza Vaccination Summary

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1. Introduction to Healthcare Personnel Safety Component

In recent years, occupational hazards faced by healthcare personnel (HCP) in the United States have received increasing attention. Although recommendations, guidelines, and regulations to minimize HCP exposure to such hazards have been developed, additional information is needed to improve HCP safety. In particular, existing surveillance systems are often inadequate to describe the scope and magnitude of occupational exposures to infectious agents and non-infectious occupational hazards that HCP experience, the outcomes of these exposures and injuries, and the impact of preventive measures. The lack of ongoing surveillance of occupational exposures, injuries, and infections in a national network of healthcare facilities using standardized methodology also compromises the ability of the Centers for Disease Control and Prevention (CDC) and other public health agencies to identify emerging problems, to monitor trends, and to evaluate preventive measures.

The Healthcare Personnel Safety (HPS) Component of the National Healthcare Safety Network (NHSN) was launched in 2009. The component consists of two modules: 1) Healthcare Personnel Exposure; and (2) Healthcare Personnel Vaccination. The exposure module includes: Blood/Body Fluid Exposure Only; Blood/Body Fluid Exposure with Exposure Management; and Influenza Exposure Management. The Healthcare Personnel Vaccination Module, modified in 2012, includes: Influenza Vaccination Summary.

Data collected in this surveillance system will assist healthcare facilities, HCP organizations, and public health agencies to monitor and report trends in blood/body fluid exposures, to assess the impact of preventive measures, to characterize antiviral medication use for exposures to influenza, and to monitor influenza vaccination percentages among HCP. In addition, this surveillance component will allow CDC to monitor national trends, to identify newly emerging hazards for HCP, to assess the risk of occupational infection, and to evaluate measures, including engineering controls, work practices, protective equipment, and post-exposure prophylaxis designed to prevent occupationally-acquired infections. Hospitals and other healthcare facilities participating in this system will benefit by receiving technical support and standardized methodologies, including a Web-based application, for conducting surveillance activities on occupational health. The NHSN reporting application will enable participating facilities to analyze their own data and compare these data with a national database.

2. Healthcare Personnel Safety Reporting Plan

The *Healthcare Personnel Safety Monthly Reporting Plan* (CDC 57.203) is used by NHSN facilities to inform CDC which healthcare personnel safety modules are used during a given month. This allows CDC to select the data that should be included in the aggregate data pool for analysis. Each participating facility is to enter a monthly plan to indicate the modules to be used, if any, and the exposures and/or vaccinations that will be monitored.

A plan must be completed for every month that data are entered into NHSN, although a facility may choose "No NHSN Healthcare Personnel Safety Modules Followed this Month" as an option. When creating a plan for the influenza vaccination summary, all months will be included in the plan regardless of whether data are entered each month. Once the influenza vaccination summary is selected on the reporting plan, it is automatically updated with this information for the entire NHSN-defined influenza season (July 1 to June 30). The *Instructions for Completion of the Healthcare Personnel Safety Monthly Reporting Plan Form* includes brief instructions for collection and entry of each data element on the form.

3. Healthcare Personnel Vaccination Module: Influenza Vaccination Summary

Introduction

The Advisory Committee on Immunization Practices (ACIP) recommends that all persons six months of age and older, including HCP and persons in training for healthcare professions, should be vaccinated annually against influenza.[1,2] Persons who are infected with influenza virus, including those who are pre-symptomatic, can transmit the virus to coworkers and patients, including those at higher risk for complications from influenza. Vaccination of working age adults, including HCP, has been associated with reduced risk of influenza illness, and reduced work absenteeism, antibiotic use, and medical visits. [3,4] In addition, HCP vaccination has been found to reduce deaths among nursing home patients [5,6] and elderly hospitalized patients.[6] Although annual vaccination is recommended for all HCP and is a high priority for reducing morbidity associated with influenza in healthcare settings, national survey data have demonstrated that vaccination coverage levels are only approximately 60% [7]. This is well below the Healthy People 2020 goal of 90% for HCP influenza vaccination [8].

Healthcare facilities should provide influenza vaccine to HCP using approaches that have demonstrated effectiveness in increasing vaccination coverage. Healthcare administrators should consider the level of vaccination coverage among HCP to be one measure of a patient safety quality program and consider obtaining signed declinations from personnel who decline influenza vaccination for reasons other than medical contraindications.[9-12] Influenza vaccination rates (including ward-, unit-, and specialty-specific coverage rates) among HCP within facilities should be regularly measured and reported to facility administrators and staff.[12]

Healthcare facilities should offer influenza vaccinations to all HCP, including night, weekend, and temporary staff. Efforts should be made to educate HCP regarding the benefits of vaccination and the potential health consequences of influenza illness for their patients, themselves, and their family members. Studies have demonstrated that organized campaigns can attain higher rates of vaccination among HCP with moderate effort and by using strategies that increase vaccine acceptance.[9,13,14] All HCP should be provided convenient access to influenza vaccine at the work site, free of charge. [9,14,15]

HCP Influenza Vaccination Measure

The HCP Influenza Vaccination Measure is designed to ensure that reported HCP influenza vaccination percentages are consistent over time within a single healthcare facility and comparable across facilities. The use of this measure to monitor influenza vaccination among HCP may also result in increased influenza vaccination uptake among HCP, because improvements in tracking and reporting HCP influenza vaccination status will allow healthcare institutions to better identify and target unvaccinated HCP. Increased influenza vaccination coverage among HCP is expected to result in reduced morbidity and mortality related to influenza virus infection among patients. The HCP Vaccination Module of the HCP Safety Component will allow NHSN users to report HCP influenza vaccination percentages using this HCP Influenza Vaccination Measure.

Settings

All types of healthcare facilities including acute care hospitals, long term acute care hospitals, psychiatric hospitals, rehabilitation hospitals, outpatient dialysis centers, ambulatory surgery centers, and long term care facilities are invited to join NHSN and use the measure.

Requirements
Participating facilities are required to report data according to this protocol, using the NHSN definitions described herein, to ensure data are uniformly reported across participants. Within the HPS Component, monthly reporting plans must be created or updated to include HCP influenza vaccination summary reporting. Once the "Influenza Vaccination Summary" box is checked on one monthly reporting plan, then the system will auto-check that same box on every monthly reporting plan throughout the entire NHSN-defined influenza season (defined as the 12 months from July 1 – June 30).

CDC/NHSN encourages that HCP influenza vaccination summary counts be updated on a monthly basis and suggests that healthcare facilities update new counts within 30 days of the end of each month (e.g., all October data should be added by November 30) so they have the greatest impact on influenza vaccination activities. However, entering a single influenza vaccination summary report at the conclusion of the measure reporting period will meet the minimum data requirements for NHSN participation.

Reporting Instructions

Forms, Description, and Purpose (See also: *Tables of Instructions for Completion of Healthcare Personnel Influenza Vaccination Summary Form* in Chapter 4)

All facilities using the Influenza Vaccination Summary Module should complete the following forms:

- *Healthcare Personnel Safety Monthly Reporting Plan Form* (CDC 57.203) – This is used to collect data on which modules and which months (if any) the facility intends to participate in the NHSN HPS Component. Once the influenza vaccination summary is selected on the reporting plan, it is automatically updated with this information for the entire NHSN-defined influenza season (July 1 to June 30).

- *Healthcare Personnel Influenza Vaccination Summary Form* (CDC 57.214) – This is used to collect data on summary influenza vaccination counts among HCP working in a facility. The summary reporting replaces the individual-level influenza vaccination reporting that was previously a part of the HPS Component. The form should be completed on a monthly basis. HCP influenza vaccination summary reporting in NHSN consists of a single data entry screen per influenza season, so each time a user enters updated data for a particular influenza season, all previously entered data for that season will be overwritten and a new modified date will be auto-filled by the system. When entering summary data, all required fields that are indicated with an asterisk must be completed. Otherwise, the data cannot be saved. Users should enter "0" in a field if no HCP at the facility fall into that category.

The *Seasonal Survey on Influenza Vaccination Programs for Healthcare Personnel* (CDC 57.215) is encouraged to be completed by facilities, but is not required at this time in NHSN. The survey collects data on types of personnel groups that are included in a facility's annual influenza vaccination campaign, methods a facility is using to deliver influenza vaccine to its HCP, strategies a facility uses to promote/enhance HCP influenza vaccination, etc. Only one survey should be completed at the end of the influenza season.

Measure Specifications

Denominator
The denominator for this measure consists of HCP who are physically present in the healthcare facility for at least 30 working days between October 1 and March 31 (i.e., the measure reporting period) of the following year. Denominators are to be calculated separately for three required categories and can also be calculated for a fourth optional category:

a. Employees: This includes all persons who receive a direct paycheck from the reporting facility (i.e., on the facility's payroll), regardless of clinical responsibility or patient contact.

b. Licensed independent practitioners (LIPs): This includes physicians (MD, DO), advanced practice nurses, and physician assistants who are affiliated with the reporting facility, but are not directly employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact. Post-residency fellows are also included in this category if they are not on the facility's payroll.

c. Adult students/trainees and volunteers: This includes medical, nursing, or other health professional students, interns, medical residents, or volunteers aged 18 or older who are affiliated with the healthcare facility, but are not directly employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact.

d. Other contract personnel (optional): Facilities may also report on individuals who are contract personnel. However, reporting for this category is optional at this time. Contract personnel are defined as persons providing care, treatment, or services at the facility through a contract who do not fall into any of the above-mentioned denominator categories. (See Appendix A for a suggested list of contract personnel. This list may be updated as a revised version becomes available.)

Denominator Notes

1. The denominator includes HCP who have worked at the facility for at least 30 working days during the reporting period, regardless of clinical responsibility or patient contact. This includes HCP who joined after October 1 or left before March 31, or who were on extended leave during part of the reporting period. Working for any number of hours a day counts as one working day.

2. Both full-time and part-time personnel should be included. HCP should be counted as individuals rather than full-time equivalents. If a HCW works in two or more facilities, each facility should include the HCW in their denominator.

3. Licensed practitioners who receive a direct paycheck from the reporting facility, or who are owners of the reporting facility, should be counted as employees.

4. The denominator categories are mutually exclusive. The numerator data are to be reported separately for each of the denominator categories.

Numerator
The numerator for this measure consists of HCP in the denominator population, who during the time from when the vaccine became available (e.g., August or September) through March 31 of the following year:

a. received an influenza vaccination administered at the healthcare facility; or

b. reported in writing (paper or electronic) or provided documentation that influenza vaccination was received elsewhere; or

c. were determined to have a medical contraindication/condition of severe allergic reaction to eggs or other component(s) of the vaccine, or history of Guillain-Barré Syndrome (GBS) within 6 weeks after a previous influenza vaccination; or

d. were offered but declined influenza vaccination; or

e. had an unknown vaccination status or did not otherwise meet any of the definitions of the above-mentioned numerator categories.

Numerator Notes

1. Persons who declined vaccination because of conditions other than those specified in category (c) above should be categorized as declined vaccination.*

2. Persons who declined vaccination and did not provide any other information should be categorized as declined vaccination.

3. Persons who did not receive vaccination because of religious exemptions should be categorized as declined vaccination.

4. Persons who deferred vaccination all season should be categorized as declined vaccination.

5. The numerator data are mutually exclusive. The sum of the numerator categories should be equal to the denominator for each HCP group.

*Note: For the purposes of this measure, a medical contraindication to vaccination with trivalent inactivated influenza vaccine (TIV) is defined as having a severe allergic reaction to eggs or other components of the influenza vaccine or a history of GBS within 6 weeks after a previous influenza vaccination. A healthcare facility may grant medical exemptions to HCP with other conditions besides those defined by the measure and may include these conditions in its list of acceptable medical contraindications to influenza vaccination. However, to ensure that data are comparable across different facilities reporting data using this measure, only those HCP with one of the two conditions stated above should be reported to NHSN as having a medical contraindication to influenza vaccination.

In addition to the two defined medical contraindications to vaccination with TIV mentioned above, the following conditions are accepted medical contraindications to live attenuated influenza vaccine (LAIV): pregnancy; known severe immunodeficiency (e.g., hematologic and solid tumors; receiving chemotherapy; congenital immunodeficiency; long-

term immunosuppressive therapy; patients with HIV infection who are severely immunocompromised); certain chronic medical conditions include asthma and chronic pulmonary, cardiovascular (except isolated hypertension), renal, hepatic, neurologic/neuromuscular, hematologic, or metabolic disorders. Individuals older than 49 years of age are also not eligible to receive LAIV. HCP who have a medical contraindication to LAIV other than a severe allergic reaction to a vaccine component and history of GBS within 6 weeks after a previous influenza vaccination should be offered TIV by their facility, if available. Medical contraindications for LAIV should not be considered contraindications as those individuals can be given TIV.

Data Sources

Data sources for the required data elements include management/personnel data, medical or occupational health records, and vaccination record documents. HCP can self-report in writing (paper or electronic) that the vaccination was received elsewhere or provide documentation of receipt of the influenza vaccine elsewhere. (For the purposes of this reporting measure, verbal statements about receiving vaccination elsewhere are not acceptable.) However, HCP can provide verbal or written documentation of medical contraindications and verbal or written declination of the influenza vaccine.

Methodology

The Influenza Vaccination Summary Module enables a healthcare facility to record information on influenza vaccination for HCP working in the healthcare facility for at least 30 working days between October 1 and March 31. Data are required to be entered for five numerator fields pertaining to vaccination status, and three denominator categories pertaining to HCP. A fourth denominator category regarding contract personnel is optional at this time; therefore, each facility may decide whether they would like to report these particular data.

This module requires that data be provided to CDC as per reporting requirements. Data covering the entire denominator reporting period (October 1 to March 31) must be entered once into NHSN for each reporting year. The data can be entered on a monthly and/or quarterly basis, but only cumulative data should be entered. Any new data that are entered into NHSN will overwrite and replace the previously entered data. Thus, if a facility would like to keep track of its monthly numbers, it should maintain its own record of this, as it will not be able to review monthly reporting numbers in NHSN.

Data Analyses

Influenza vaccination status is calculated separately among each of the three required denominator groups of HCP: employees, LIPs, and adult students/trainees and volunteers. Influenza vaccination status can also be calculated for the fourth optional category of contract personnel using the modify option within the analysis function. Separate measures are calculated by dividing the number of HCP in one numerator field (e.g., number of HCP who received an influenza vaccination at this healthcare facility since influenza vaccine became available this season) by the number of HCP in that denominator group, and multiplying by 100 to produce a vaccination percentage for that specific group. Percentages of vaccination received elsewhere, medical contraindications, declinations, and unknown vaccination status can also be calculated using the third, fourth, and fifth numerator fields, respectively. Calculations for employee vaccination percentages are shown below. Vaccination percentages for LIPs, adult students/trainees and volunteers, and other contract personnel are calculated in the same manner.

Employee Vaccination Percentages

Employee Vaccination Percentage (at this healthcare facility)

$$\frac{\text{\# Employees vaccinated onsite}}{\text{\# Employees working in the required time period}} \times 100 = \text{Pct. of Employees Vaccinated Onsite}$$

Employee Vaccination Percentage (outside this healthcare facility)

$$\frac{\text{\# Employees vaccinated elsewhere}}{\text{\# Employees working in the required time period}} \times 100 = \text{Pct. of Employees Vaccinated Elsewhere}$$

Employee Medical Contraindication Percentage

$$\frac{\text{\# Employees reporting contraindication}}{\text{\# Employees working in the required time period}} \times 100 = \text{Pct. of Employees Reporting Contraindication}$$

Employee Declination Percentage

$$\frac{\text{\# Employees declined vaccine}}{\text{\# Employees working in the required time period}} \times 100 = \text{Pct. of Employees Reporting Declination}$$

Employee Unknown Vaccination Percentage

$$\frac{\text{\# Employees with unknown vaccination}}{\text{\# Employees working in the required time period}} \times 100 = \text{Pct. Employees with Unknown Status}$$

HCP Vaccination Percentages

In addition to calculating vaccination percentages for individual denominator groups, percentages can be calculated for all HCP (both employees and non-employees). Percentages can also be calculated for the optional category of contract personnel using the modify option within the analysis function. To determine vaccination for all HCP, the system will add the total number of HCP (employees, LIPs, and adult students/trainees and volunteers) in one numerator field (e.g., number of HCP who received an influenza vaccination at this healthcare facility since influenza vaccine became available this season). The number is divided by the total number of HCP who were working at this healthcare facility for at least 30 working days between October 1 and March 31, and multiplied by 100 to produce a vaccination percentage for that group of HCP. Percentages of vaccination received elsewhere, medical contraindications, declinations, and unknown vaccination status can also be calculated using the third, fourth, and fifth numerator fields, respectively. Calculations for HCP vaccination percentages are shown below. The second calculation in this section shows how a percentage is computed for other contract personnel. Vaccination percentages for other contract personnel are computed in the same manner for the other calculations in this section.

HCP Vaccination Percentage (at this healthcare facility) [excluding OCP]

$$\frac{\text{\# Employees + \# LIPs + \# ASTV vaccinated onsite}}{\text{\# Employees + \# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of HCP Vacc. Onsite (exc. OCP)}$$

HCP Vaccination Percentage (at this healthcare facility) [including OCP]

$$\frac{\text{\# Employees + \# LIPs + \# ASTV + \# OCP vaccinated onsite}}{\text{\# Employees + \# LIPs + \# ASTV + \# OCP working in the required time period}} \times 100 = \text{Pct. of HCP Vacc. Onsite (inc. OCP)}$$

HCP Vaccination Percentage (outside this healthcare facility) [excluding OCP]

$$\frac{\text{\# Employees + \# LIPs + \# ASTV vaccinated elsewhere}}{\text{\# Employees + \# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of HCP Vacc. Elsewhere (exc. OCP)}$$

HCP Medical Contraindication Percentage [excluding OCP]

$$\frac{\text{\# Employees + \# LIPs + \# ASTV reporting contraindication}}{\text{\# Employees + \# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of HCP Reporting Contra. (exc. OCP)}$$

HCP Declination Percentage [excluding OCP]

$$\frac{\text{\# Employees + \# LIPs + \# ASTV declined vaccine}}{\text{\# Employees + \# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of HCP Reporting Declination (exc. OCP)}$$

HCP Unknown Vaccination Percentage [excluding OCP]

$$\frac{\text{\# Employees + \# LIPs + \# ASTV with unknown status}}{\text{\# Employees + \# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of HCP with Unknown Status (exc. OCP)}$$

Non-Employee Vaccination Percentages

Vaccination percentages can be calculated for all non-employees (LIPs and adult students/trainees and volunteers). Percentages can also be calculated for the optional category of contract personnel using the modify option within the analysis function. To determine vaccination for all non-employees, the system will add the total number of HCP (LIPs and adult students/trainees and volunteers) in one numerator field (e.g., number of HCP who received an influenza vaccination at this healthcare facility since influenza vaccine became available this season). The number is divided by the total number of HCP who were working at this healthcare facility for at least 30 working days between October 1 and March 31, and multiplied by 100 to produce a vaccination percentage for that group of non-employees. Percentages of vaccination received elsewhere, medical contraindications, declinations, and unknown vaccination status can also be calculated using the third, fourth, and fifth numerator fields, respectively. Calculations for non-employee vaccination percentages are shown below. The second calculation in this section shows how a percentage is computed for other contract personnel. Vaccination percentages for other contract personnel are computed in the same manner for the other calculations in this section.

Non-Employee Vaccination Percentage (at this healthcare facility) [excluding OCP]

$$\frac{\text{\# LIPs + \# ASTV vaccinated onsite}}{\text{LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of Non-Employees Vacc. Onsite (exc. OCP)}$$

Non-Employee Vaccination Percentage (at this healthcare facility) [including OCP]

$$\frac{\text{\# LIPs + \# ASTV + \# OCP vaccinated onsite}}{\text{\# LIPs + \# ASTV + \# OCP working in the required time period}} \times 100 = \text{Pct. of Non-Employees Vacc. Onsite (inc. OCP)}$$

Non-Employee Vaccination Percentage (outside this healthcare facility) [excluding OCP]

$$\frac{\text{\# LIPs + \# ASTV vaccinated elsewhere}}{\text{\# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of Non-Employees Vacc. Elsewhere (exc. OCP)}$$

Non-Employee Medical Contraindication Percentage [excluding OCP]

$$\frac{\text{\# LIPs + \# ASTV reporting contraindication}}{\text{\# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of Non-Employees Reporting Contra. (exc. OCP)}$$

Non-Employee Declination Percentage [excluding OCP]

$$\frac{\text{\# LIPs + \# ASTV declined vaccine}}{\text{\# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of Non-Employees Reporting Declination (exc. OCP)}$$

Non-Employee Unknown Vaccination Percentage [excluding OCP]

$$\frac{\text{\# LIPs + \# ASTV with unknown vaccination}}{\text{\# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of Non-Employees with Unknown Status (exc. OCP)}$$

Vaccination Compliance

To determine vaccination compliance, the system will add the total number of HCP who received an influenza vaccination at this healthcare facility to the total number of HCP who provided a written report or documentation of influenza vaccination outside this healthcare facility since influenza vaccine became available this season. The number is divided by the total number of HCP who were working at this healthcare facility for at least 30 working days between October 1 and March 31. This number is then multiplied by 100 to obtain a percentage. Percentages can also be calculated for the optional category of contract personnel using the modify option within the analysis function. Calculations for employee vaccination compliance percentages are shown below. Vaccination compliance percentages for LIPs, adult students/trainees and volunteers, and other contract personnel are calculated in the same manner.

Employee Vaccination Compliance Percentage

$$\frac{\text{\# Employees vaccinated onsite + \# Employees vaccinated elsewhere}}{\text{\# Employees working in the required time period}} \times 100 = \text{Pct. of Employee Vacc. Compliance}$$

HCP Vaccination Compliance Percentage [excluding OCP]

$$\frac{(\text{\# Emp. + \# LIPs + \# ASTV vacc. onsite}) + (\text{\# Emp. + \# LIPs + \# ASTV vacc. elsewhere})}{\text{\# Emp. + \# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of HCP Vacc. Comp. (exc. OCP)}$$

HCP Vaccination Compliance Percentage [including OCP]

$$\frac{(\text{\# Emp. + \# LIPs + \# ASTV + \# OCP vacc. onsite}) + (\text{\# Emp. + \# LIPs + \# ASTV + \# OCP vacc. elsewhere})}{\text{\# Emp. + \# LIPs + \# ASTV + \# OCP working in the required time period}} \times 100 = \text{Pct. of HCP Vacc. Comp. (inc. OCP)}$$

Non-Employee Vaccination Compliance Percentage [excluding OCP]

$$\frac{(\text{\# LIPs + \# ASTV vacc. onsite}) + (\text{\# LIPs + \# ASTV vacc. elsewhere})}{\text{\# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of Non-Employee Vacc. Comp. (exc. OCP)}$$

Non-Employee Vaccination Compliance Percentage [including OCP]

$$\frac{(\text{\# LIPs + \# ASTV + \# OCP vacc. onsite}) + (\text{\# LIPs + \# ASTV + \# OCP vacc. elsewhere})}{\text{\# LIPs + \# ASTV + \# OCP working in the required time period}} \times 100 = \text{Pct. of Non-Employee Vacc. Comp. (inc. OCP)}$$

Vaccination Non-Compliance

To determine vaccination non-compliance, the system will add the total number of HCP who declined to receive the influenza vaccination to the total number of HCP with unknown vaccination status. The number is divided by the total number of HCP who were working at this healthcare facility for at least 30 working days between October 1 and March 31. This number is then multiplied by 100 to obtain a percentage. Percentages can also be calculated for the optional category of contract personnel using the modify option within the analysis function. A calculation for employee vaccination non-compliance is shown below. Vaccination non-compliance percentages for LIPs, adult students/trainees and volunteers, and other contract personnel are calculated in the same manner.

Employee Vaccination Non-Compliance Percentage

$$\frac{\text{\# Employees declined vacc. + \# Employees with unknown status}}{\text{\# Employees working in the required time period}} \times 100 = \text{Pct. of Employee Vacc. Non-Compliance}$$

HCP Vaccination Non-Compliance Percentage [excluding OCP]

$$\frac{(\text{\# Emp. + \# LIPs + \# ASTV declined vacc.}) + (\text{\# Emp. + \# LIPs + \# ASTV with unknown status})}{\text{\# Emp. + \# LIPs + \# ASTV working in the required time period}} \times 100 = \text{Pct. of HCP Vacc. Non-Comp. (exc. OCP)}$$

HCP Vaccination Non-Compliance Percentage [including OCP]

$$\frac{(\text{\# Emp. + \# LIPs + \# ASTV + \# OCP dec. vacc.}) + (\text{\# Emp. + \# LIPs + \# ASTV + \# OCP with unknown status})}{\text{\# Emp. + \# LIPs + \# ASTV + \# OCP working in the required time period}} \times 100 = \text{Pct. of HCP Vacc. Non-Comp. (inc. OCP)}$$

Non-Employee Vaccination Non-Compliance Percentage [excluding OCP]

$$\frac{(\#\text{ LIPs } + \#\text{ ASTV declined vacc.}) + (\#\text{ LIPs } + \#\text{ ASTV with unknown status})}{\#\text{ LIPs } + \#\text{ ASTV working in the required time period}} \times 100 = \text{Pct. of Non-Employee Vacc. Non-Comp. (exc. OCP)}$$

Non-Employee Vaccination Non-Compliance Percentage [including OCP]

$$\frac{(\#\text{ LIPs } + \#\text{ ASTV} + \#\text{ OCP declined vacc.}) + (\#\text{ LIPs } + \#\text{ ASTV} + \#\text{ OCP with unknown status})}{\#\text{ LIPs } + \#\text{ ASTV} + \#\text{ OCP working in the required time period}} \times 100 = \text{Pct. of Non-Emp. Vacc. Non-Comp. (inc. OCP)}$$

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OMB No. 0920-0666
Exp. Date: 01/31/2015
www.cdc.gov/nhsn

Healthcare Personnel Safety Monthly Reporting Plan

*required for saving

Facility ID#: _____ *Month/Year: _____ /_____

☐ No NHSN Healthcare Personnel Safety Modules followed this month

Healthcare Personnel Exposure Modules

☐ Blood/Body Fluid Exposure Only

☐ Blood/Body Fluid Exposure with Exposure Management

☐ Influenza Exposure Management

Healthcare Personnel Vaccination Module

☐ Influenza Vaccination Summary

Assurance of Confidentiality: The voluntarily provided information obtained in this surveillance system that would permit identification of any individual or institution is collected with a guarantee that it will be held in strict confidence, will be used only for the purposes stated, and will not otherwise be disclosed or released without the consent of the individual, or the institution in accordance with Sections 304, 306 and 308(d) of the Public Health Service Act (42 USC 242b, 242k, and 242m(d)).

Public reporting burden of this collection of information is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to CDC, Reports Clearance Officer, 1600 Clifton Rd., MS D-74, Atlanta, GA 30333 ATTN: PRA (0920-0666).

CDC 57.203, 7.0

4. Table 1. Instructions for Completion of the Healthcare Personnel Safety Monthly Reporting Plan Form (CDC 57.203)

This form collects data on which options and which months a facility intends to participate in NHSN Healthcare Personnel Safety (HPS) Component. This form should be completed for every month that the facility will participate in the HPS Component.

Data Field	Instructions for Data Collection
Facility ID #	Required. The NHSN-assigned facility ID will be auto-entered by the application.
Month/Year	Required. Enter the month and year for the surveillance plan being recorded.
No NHSN Healthcare Personnel Safety Modules Followed this Month	Conditionally required. Check this box if you do not plan to follow any of the NHSN Healthcare Personnel Safety Modules during the month and year selected.
Healthcare Personnel Exposure Module	
Blood/Body Fluid Exposure Only	Conditionally required. Check this box if you plan to follow blood/body fluid exposures only, without following exposure management during the month and year selected.
Blood/Body Fluid Exposure with Exposure Management	Conditionally required. Check this box if you plan to follow blood/body fluid exposure with exposure management during the month and year selected.
Influenza Exposure Management	Conditionally required. Check this box if you plan to follow influenza exposure management (i.e., antiviral chemoprophylaxis and/or treatment)
Healthcare Personnel Vaccination Module	
Influenza Vaccination Summary	Conditionally required. Check this box if you plan to follow the influenza vaccination summary option. Once the influenza vaccination summary is selected on the reporting plan, it is automatically updated with this information for the entire NHSN-defined influenza season (July 1 to June 30).

Healthcare Personnel Influenza Vaccination Summary

*required for saving

Record the number of healthcare personnel (HCP) for each category below for the influenza season being tracked.

*Facility ID#:

*Vaccination type: Influenza	*Influenza subtype[a]: ☐ Seasonal	*Influenza Season[b]:	Date Last Modified: __/__/____

	Employee HCP	Non-Employee HCP		
	*Employees (staff on facility payroll)	*Licensed independent practitioners: Physicians, advanced practice nurses, & physician assistants	*Adult students/ trainees & volunteers	Other Contract Personnel
1. Number of HCP who worked at this healthcare facility for at least 30 days between October 1 & March 31				
2. Number of HCP who received an influenza vaccination at this healthcare facility since influenza vaccine became available this season				
3. Number of HCP who provided a written report or documentation of influenza vaccination outside this healthcare facility since influenza vaccine became available this season				
4. Number of HCP who have a medical contraindication to the influenza vaccine				
5. Number of HCP who declined to receive the influenza vaccine				
6. Number of HCP with unknown vaccination status (or criteria not met for questions 2-5 above)				

Custom Fields

Label		Label	
_____	____/____/_____	_____	____/____/_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Comments

[a] For the purposes of NHSN, influenza subtype refers to whether seasonal or non-seasonal vaccine is used. Seasonal is the default and only current choice.
[b] For the purposes of NHSN, a flu season is defined as July 1 to June 30.

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CDC 57.214 v7.0

Healthcare Personnel Influenza Vaccination Summary

Question 1 (Denominator) Notes:

- Include all HCP who have worked at the facility for at least 30 working days during the reporting period, regardless of clinical responsibility or patient contact. This includes HCP who joined after October 1 or left before March 31, or who were on extended leave during part of the reporting period. Working for any number of hours a day counts as one working day.
- Include both full-time and part-time persons. If an HCW works in two or more facilities, each facility should include the HCW in their denominator. Count HCP as individuals rather than full-time equivalents.
- Licensed practitioners who receive a direct paycheck from the reporting facility, or who are owners of the reporting facility, should be counted as employees.
- The HCP categories are mutually exclusive. Each HCP should be counted only once in the denominator (question 1).

Questions 2-6 (Numerator) Notes:

- Questions 2-6 are mutually exclusive. The sum of the HCP in questions 2-6 should equal the number of HCP in question 1 for each HCP category. Questions 2-6 are to be reported separately for each of the three HCP categories.
- Only the following HCP should be counted in question 4: HCP with (1) a severe allergic reaction to eggs or other vaccine component(s) or (2) a history of Guillain-Barré Syndrome within 6 weeks after a previous influenza vaccination.
- The following should be counted in question 5 (declined to receive influenza vaccine):
  - HCP who declined vaccination because of conditions **other than** those included in question 4.
  - HCP who declined vaccination and did not provide any other information.
  - HCP who did not receive vaccination because of religious exemptions.
  - HCP who deferred vaccination for the entire influenza season (i.e. from October 1 to March 31).

4. Table 2. Instructions for Completion of Healthcare Personnel Influenza Vaccination Summary Form (CDC 57.214)

This form is used to collect information on summary influenza vaccination counts among healthcare personnel. Data can be entered monthly, but should represent cumulative counts for an entire influenza season. A monthly reporting plan for the influenza season for which data were collected (CDC 57.203) must be completed before a vaccination summary record can be entered in NHSN. A Seasonal Survey on Influenza Vaccination Programs for Healthcare Personnel (CDC 57.215) is also available and is optional but requested to be completed.

Data Fields	Instructions for Completion
Facility ID #	*Required.* The NHSN-assigned facility ID will be auto-entered.
Vaccination Type	*Required.* Influenza is the default and only current choice.
Influenza Subtype	*Required.* Seasonal is the default and only current choice.
Influenza Season	*Required.* Select the influenza season years for which data were collected (e.g., 2012/2013).
Date Last Modified	The Date Last Modified will be auto-entered and will indicate the date that these data were last changed by a user.
Employee HCP (staff on facility payroll)	*Required.* Defined as all persons that receive a direct paycheck from the healthcare facility (i.e., on the facility's payroll), regardless of clinical responsibility or patient contact.
Non-Employee HCP: Licensed independent practitioners: Physicians, advanced practice nurses & physician assistants	*Required.* Defined as physicians (MD, DO); advanced practice nurses; and physician assistants only who are affiliated with the healthcare facility, but are not directly employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact. Post-residency fellows are also included in this category.
Non-Employee HCP: Adult students/trainees and volunteers	*Required.* Defined as adult students/trainees and volunteers: medical, nursing, or other health professional students, interns, medical residents, or volunteers aged 18 or older that are affiliated with the healthcare facility, but are not directly employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact.
Non-Employee HCP: Other contract personnel	*Optional.* Defined as persons providing care, treatment, or services at the facility through a contract.
Question 1 (Denominator)	The denominator categories are mutually exclusive. The numerator data are to be reported separately for each of the denominator categories.
1. Number of HCP who worked at this healthcare facility for at least 30 days between October 1 & March 31	*Required.* Indicate the number of HCP that worked at this healthcare facility for at least 30 working days between October 1 and March 31 of the influenza season. This includes HCP who joined after October 1 or left before March 31, or who were on

Data Fields	Instructions for Completion
	extended leave during part of the reporting period. Working for any number of hours a day counts as one working day. Both full-time and part-time persons should be included. HCP should be counted as individuals rather than full-time equivalents. If a healthcare worker (HCW) works in two or more facilities, each facility should include the HCW in their denominator. Licensed practitioners that receive a direct paycheck from the reporting facility, or who are owners of the reporting facility, should be counted as employees.
Questions 2-6 (Numerator)	The numerator data are mutually exclusive. The sum of the numerator categories should be equal to the denominator for each HCP group.
2. Number of HCP who received an influenza vaccination at this healthcare facility since influenza vaccine became available this season	*Required.* Enter the total number of HCP that received an influenza vaccination at this healthcare facility since the influenza vaccine became available this season.
3. Number of HCP who provided a written report or documentation of influenza vaccination outside this healthcare facility since influenza vaccine became available this season	*Required.* Enter the total number of HCP that reported in writing (paper or electronic) or provided documentation of influenza vaccination outside this healthcare facility since the influenza vaccine became available this season. <u>For the purposes of this reporting measure, verbal statements are not acceptable.</u>
4. Number of HCP who have a medical contraindication to the influenza vaccine	*Required.* Enter the total number of HCP determined to have a medical contraindication to influenza vaccination. Documentation is not required for reporting a medical contraindication. For this measure, for injectable trivalent influenza vaccine (TIV), accepted contraindications include (1) severe allergic reaction (e.g., anaphylaxis) after a previous vaccine dose or to a vaccine component, including egg protein, and (2) history of Guillain-Barré Syndrome within 6 weeks after a previous influenza vaccination. Additional contraindications for live attenuated influenza vaccine (LAIV) include pregnancy; known severe immunodeficiency (e.g., hematologic and solid tumors; receiving chemotherapy; congenital immunodeficiency; long-

Data Fields	Instructions for Completion
	term immunosuppressive therapy; patients with HIV infection who are severely immunocompromised); certain chronic medical conditions include asthma and chronic pulmonary, cardiovascular (except isolated hypertension), renal, hepatic, neurologic/neuromuscular, hematologic, or metabolic disorders. Individuals older than 49 years of age are also not eligible to receive LAIV.
5. Number of HCP who declined to receive the influenza vaccine	*Required*. Enter the total number of HCP that were offered an influenza vaccination but declined to receive this. Documentation is not required for reporting a declination. The following individuals should be counted in this category: • HCP that declined vaccination because of conditions other than those included in Question 4. • HCP that declined vaccination and did not provide any other information. • HCP that did not receive vaccination because of religious exemptions. • HCP that deferred vaccination for the entire measure reporting period (i.e., from October 1 to March 31).
6. Number of HCP with unknown vaccination status (or criteria not met for questions 2-5 above)	*Required.* Enter the total number of HCP with unknown vaccination status (or did not meet the criteria for Questions 2-5 above).

Custom Fields & Comments	Instructions for Completion
Custom fields	*Optional.* Can be used to fulfill other reporting requirements not supported by the categories above; e.g., reporting vaccination rates by occupational group or by unit/department.
Comments	*Optional.* Enter any additional information on the Influenza Vaccination Monthly Summary. This information may not be analyzed.

Seasonal Survey on Influenza Vaccination Programs for Healthcare Personnel

*required for saving

Facility ID #: _____

*Date Entered: _____ (Month/Year)

*For Season: _____ - _____ (Specify years)

*1. Which personnel groups are included in your facility's annual influenza vaccination campaign? *(check all that apply)*

- ☐ Full-time employees
- ☐ Part-time employees

Licensed independent practitioners:

- ☐ Non-employee physicians
- ☐ Non-employee advanced practice nurses
- ☐ Non-employee physician assistants

- ☐ Students and trainees (e.g. interns, residents)
- ☐ Adult volunteers
- ☐ Other, specify: _____

*2. Are healthcare personnel at your facility required to pay out-of-pocket costs for influenza vaccination received at your facility?

- ☐ Yes
- ☐ No

If yes, how much do each of the following groups need to pay for influenza vaccination?

Full-time employees:	$ _____
Part-time employees:	$ _____
Non-employee physicians:	$ _____
Non-employee advanced practice nurses:	$ _____
Non-employee physician assistants:	$ _____
Students and trainees:	$ _____
Adult volunteers:	$ _____
Other, specify: _____	$ _____

*3. Which of the following methods is your facility using this influenza season to deliver vaccine to your healthcare personnel? *(check all that apply)*

- ☐ Have mobile vaccination carts
- ☐ Provide vaccination in Occupational/Employee Health
- ☐ Provide vaccination in wards, clinics, cafeterias, or common areas
- ☐ Provide vaccination during nights and weekends
- ☐ Provide vaccination at any meetings or grand rounds
- ☐ Provide visible vaccination of any key personnel/leadership
- ☐ Other, specify: _____
- ☐ None of the above

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CDC 57.215 Rev. 1, NHSN v7.1

Seasonal Survey on Influenza Vaccination Programs for Healthcare Personnel

*4. Which of the following strategies does your facility use to promote/enhance healthcare personnel influenza vaccination at your facility? *(check all that apply)*

- ☐ Send vaccination reminders by mail, e-mail, and/or pager
- ☐ Coordinate vaccination with other annual programs (e.g. tuberculin skin testing)
- ☐ Require receipt of vaccination for credentialing (if no contraindications)
- ☐ Require receipt of vaccination as a condition of employment
- ☐ Advertise vaccination with a campaign including posters, flyers, buttons, and/or fact sheets
- ☐ Provide education on the benefits and risks of vaccination
- ☐ Track unit-based vaccination rates for some or all units/departments
- ☐ Plan to provide feedback on vaccination rates to facility administration
- ☐ Provide incentives for vaccination
- ☐ Track vaccination on a regular basis for targeting purposes
- ☐ Other, specify: _____
- ☐ No formal promotional activities are planned

*5. Does your facility require healthcare personnel who receive off-site influenza vaccination to provide documentation of their vaccination status?

- ☐ Yes
- ☐ No

If yes, what type of documentation is acceptable? *(check all that apply)*

- ☐ Receipt or other proof of purchase from pharmacy or other vaccinator
- ☐ Insurance claim for receipt of influenza vaccination
- ☐ Note from person or organization that administered the vaccination
- ☐ Handwritten statement or e-mail from healthcare worker
- ☐ Signature of healthcare worker on standard facility form attesting to vaccination
- ☐ Other, specify: _____

*6. What does your facility require from healthcare personnel who refuse influenza vaccination? (*check one*)

- ☐ Standardized paper or electronic declination form completed by healthcare worker
- ☐ Reading a statement about the risks of non-vaccination (no signature required)
- ☐ Verbal declination of vaccination by healthcare worker
- ☐ Facility does not track vaccine declinations
- ☐ Other, specify: _____

4. Table 3. Instructions for Completion of Seasonal Survey on Influenza Vaccination Programs for Healthcare Personnel (CDC 57.215)

This survey is used to collect information on the influenza vaccination programs at each healthcare facility. Facilities are encouraged to complete this survey, but it is not required at this time. Only one survey should be completed per facility per year, at the end of each influenza season.

Data Fields	Instructions for Completion
Facility ID #	*Required.* The NHSN-assigned facility ID will be auto-entered.
Date Entered	*Required.* The month and year of the seasonal survey will be auto-entered.
For Season	*Required.* Enter the years of the vaccination season for which the survey was completed. This is entered in the format: yyyy – yyyy. Vaccination season is July 1 of the current year to June 30 of the following year.
1. Which personnel groups are included in your facility's annual influenza vaccination campaign?	*Required.* Select the personnel group(s) you included in your campaign or program. <u>Employee healthcare personnel (staff on facility payroll)</u>: Defined as all persons that receive a direct paycheck from the healthcare facility (i.e., on the facility's payroll), regardless of clinical responsibility or patient contact. (This is a required denominator category for reporting healthcare personnel influenza vaccination summary data.) <u>Non-Employee healthcare personnel: Licensed independent practitioners</u>: Defined as physicians (MD, DO); advanced practice nurses; and physician assistants only who are affiliated with the healthcare facility, but are not directly employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact. Post-residency fellows are also included in this category. (This is a required denominator category for reporting healthcare personnel influenza vaccination summary data.) <u>Non-Employee healthcare personnel: Adult students/trainees and volunteers</u>: Defined as adult students/trainees and volunteers: medical, nursing, or other health professional students, interns, medical residents, or volunteers aged 18 or older that are affiliated with the healthcare facility, but are not directly

Data Fields	Instructions for Completion
	employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact. (This is a required denominator category for reporting healthcare personnel influenza vaccination summary data.) <u>Non-Employee healthcare personnel: Other contract personnel</u>: Defined as persons providing care, treatment, or services at the facility through a contract. (This is an optional denominator category for reporting healthcare personnel influenza vaccination summary data.)
2. Are healthcare personnel at your facility required to pay out-of-pocket costs for influenza vaccination received at your facility?	*Required.* Select Yes or No. If yes, indicate the exact amount of out-of-pocket costs that the personnel groups were required to pay for influenza vaccination at your facility.
3. Which of the following methods is your facility using this influenza season to deliver vaccine to your healthcare personnel?	*Required.* Select all methods that your facility used this influenza season to deliver vaccine to your healthcare personnel.
4. Which of the following strategies does your facility use to promote/enhance healthcare personnel influenza vaccination at your facility?	*Required.* Select all strategies that your facility used to promote/enhance healthcare personnel influenza vaccination at your facility.
5. Does your facility require healthcare personnel who receive off-site influenza vaccination to provide documentation of their vaccination status?	*Required.* Select Yes or No. If yes, select all types of documentation for off-site influenza vaccination that your facility accepted. (Please note that for the Healthcare Personnel Vaccination Module, healthcare personnel who received vaccination outside this healthcare facility are required to provide a written report or documentation of influenza vaccination.)
6. What does your facility require from healthcare personnel who refuse influenza vaccination?	*Required.* Select one option that describes what your facility required from healthcare personnel who refused influenza vaccination.

5. Key Terms

Key term	Definition for purposes of the HCP Influenza Vaccination Summary Module
Adult students/trainees and volunteers	Medical, nursing, or other health professional students, interns, medical residents, or volunteers aged 18 or older that are affiliated with the healthcare facility, but are not directly employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact.
Contract personnel	Persons providing care, treatment, or services at the facility through a contract who do not meet the definition of employees, licensed independent practitioners, or adult students/trainees and volunteers.
Employees	Persons who receive a direct paycheck from the healthcare facility (i.e., on the facility's payroll), regardless of clinical responsibility or patient contact.
Healthcare personnel (HCP)	The entire population of healthcare workers working in healthcare settings. HCP might include (but are not limited to) physicians, nurses, nursing assistants, therapists, technicians, emergency medical service personnel, dental personnel, pharmacists, laboratory personnel, autopsy personnel, students and trainees, contractual staff not employed by the healthcare facility, and persons (e.g., clerical, dietary, housekeeping, maintenance, and volunteers) not directly involved in patient care but potentially exposed to infectious agents that can be transmitted to and from HCP. It includes students, trainees, and volunteers.
HCP Influenza Vaccination Measure reporting period	The reporting period for the HCP Influenza Vaccination Measure is October 1 to March 31. This reporting period refers to the denominator only.
Healthcare worker (HCW)	A person who works in the facility, whether paid or unpaid, who has the potential for exposure to infectious materials, including body substances, contaminated medical supplies and equipment, contaminated environmental surfaces, or contaminated air. Healthcare worker is the singular form of healthcare personnel.
Influenza season	For the purposes of NHSN, an influenza season is defined as July 1 to June 30 (of the following year).
Licensed independent practitioners (LIPs)	Physicians (MD, DO), advance practice nurses, and physician assistants who are affiliated with the healthcare facility, but are not directly employed by it (i.e., they do not receive a paycheck from the facility), regardless of clinical responsibility or patient contact. Post-residency fellows are also included in this category if they are not on a facility's payroll.

Key term	Definition for purposes of the HCP Influenza Vaccination Summary Module
Seasonal influenza vaccine	A vaccine for seasonal influenza virus strains that is offered on an annual basis.

Appendix A

Influenza Vaccination Summary: List of Contracted Healthcare Personnel (HCP)
The list below includes contracted HCP who provide direct patient care and non-direct care. It is noted that HCP listed below can transmit influenza to patients, families, and other staff members. Agency and traveling nurses represent a substantial portion of contracted workers who provide direct patient care in organizations across the country.

Contracted HCP can include the following *direct* care providers:

- Chaplains
- Dieticians
- Dialysis technicians
- EKG technicians
- EMG technicians
- Home health aides
- Laboratory: Phlebotomists
- Nurses (through agency and travel employers)
- Nursing aides
- Occupational therapists
- Patient care technicians
- Pharmacists
- Pharmacy/medication technicians
- Physical therapists
- Psychologists
- Psych techs/Mental health workers
- Radiology – X-ray technicians
- Recreational therapists/Music therapists
- Respiratory therapists
- Speech therapists
- Social workers/Case managers
- Surgical technicians
- Ultrasound technicians

Contracted HCP can include the following *non-direct* providers:

- Admitting staff/clerical support/registrars
- Biomedical engineers
- Central supply staff
- Construction workers
- Dietary/food service
- IT staff

- Laboratory: technicians
- Landscapers
- Laundry staff
- Pharmacists
- Pharmacy/medication technicians
- Housekeeping (Please note many housekeeping staff are in patient rooms interacting with patients and visitors.)
- Maintenance staff/engineers
- Patient transporters
- Security staff
- Utilization review nurses