DEPARTMENT OF HEALTH AND HUMAN SERVICES

CENTERS FOR MEDICARE & MEDICAID SERVICES OMB Exempt

# COVID-19 STAFF VACCINATION MATRIX INSTRUCTIONS FOR PROVIDERS

The Matrix is used to identify the vaccination status for facility staff and others. The facility completes section I, staff name, and columns 1–11, which are described in detail below, or provide a list containing the same information required in the matrix.

**Unless stated otherwise, for each staff mark an X for all columns that are pertinent.**

1. **Direct facility hire (DH) or Other (O):** Direct facility hires (DH) are employees who are directly hired by the facility. Other (O) includes licensed practitioners, adult students, trainees, volunteers and individuals who provided care, treatment or other services for the facility and/or its residents under other arrangement. **Do not include contracted staff.** NOTE: Facility staff who have been suspended or are on extended leave e.g., Family and Medical Leave Act (FMLA) leave, or Worker’s Compensation Leave, do not count as unvaccinated staff.
2. **Title:** Identify the staff’s title (e.g., RN, LPN, CNA).
3. **Position:** Identify the staff’s position (e.g., staff nurse, charge nurse, infection preventionist, restorative aide).
4. **Assigned work area:** The physical location in the facility (e.g., laundry room, kitchen, unit, ward, wing). If the staff is PRN/floater/agency, indicate their assigned work area on the first day of the survey.
5. **Partially vaccinated:** Staff who have received one dose of a multi-dose vaccine.
6. **Completely vaccinated:** Staff who have received one dose of a single dose vaccine or all doses of a multi-dose vaccine. (For the purpose of this document, fully vaccinated and completely vaccinated are the same)
7. **Booster dose:** A dose of vaccine administered when the initial sufficient immune response to the primary vaccination series is likely to have waned over time.
8. **Pending (P) or Granted (G) medical exemption:** Per CDC certain allergies or recognized medical conditions, which may provide grounds for a medical exemption (Please refer to the [CDC](https://www.cdc.gov/vaccines/covid-19/downloads/summary-interim-clinical-considerations.pdf)).
9. **Pending (PN) or Granted (GN) non-medical exemption:** May be a religious exemption in accordance with Title VII.
10. **Temporary delay per CDC/new hire:** Vaccination that must be temporarily deferred, as recommended by the [CDC](https://www.cdc.gov/vaccines/covid-19/downloads/summary-interim-clinical-considerations.pdf), due to clinical considerations including known COVID-19 infection until recovery from the actual illness and criteria to discontinue isolation have been met. Newly hired staff, who are not completely vaccinated due to timing requirements between doses.
11. **Not vaccinated without exemption or delay:** Any facility staff who have not received any doses of a vaccine and do not qualify for any of the exemptions or delays.

**Section I**

**Total number of staff:** All staff that work in the facility. Staff includes direct facility hires and others (see #1). **Do not include contracted staff.**

**Number partially vaccinated staff (column 5):** Number of staff who received partial vaccination at any time as defined as staff who have received at a minimum, the first dose of the primary vaccination series for a multi-dose COVID-19 vaccine.

**Number completely vaccinated staff (column 6):** Number of staff who completed vaccination at any time is defined as staff with administration of a single-dose vaccine, or the administration of all required doses of a multi-dose vaccine.

**Number of staff with pending exemption (columns 8 and 9):** Number of staff with a request (pending) a medical or non-medical exemption.

**Number of staff with granted exemption (columns 8 and 9):** Number of staff who was granted a qualifying medical or non-medical exemption.

**Number of staff with temporary delay (column 11):** Number of staff whose COVID-19 vaccination must be temporarily delayed, as recommended by the CDC, due to clinical precautions and considerations.

**Number of staff not vaccinated without exemption or delay:** Number of staff who have not received any doses of a vaccine and do not qualify for an exemption or temporary delay.

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|  | **COVID-19 Staff Vaccination Status for Providers** |
| Complete this form or provide a list containing the same information required in this form.**Section I***: Complete based on the Day 1 of the survey:*Total # of staff:      # partially vaccinated staff (5):      # completely vaccinated staff (6):      # pending exemption (8 and 9):      # granted exemption (8 and 9):      # temporary delay/new hire (10):       # not vaccinated without exemption/delay (11):      **Note:** The sum of the #’s for columns 5, 6, 8 through 11 should equal the total # of staff.  | **Direct facility hire (DH), Other (O)** | **Title** | **Position** | **Assigned work area** | **Vaccinated** | **Not Vaccinated** |
| **Partially vaccinated**  | **Completely vaccinated**  | **Booster dose** | **Pending (P) or Granted (G) medical exemption** | **Pending (PN) or Granted (GN) non-medical exemption** | **Temporary delay per CDC/ new hire** | **Not vaccinated without exemption/delay** |
| **Staff Name**  | **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** |
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**Instructions for Surveyors to Determine Compliance at**

**§483.80(i) COVID-19 Vaccination of Facility Staff**

# Note: The list of vaccinated staff maintained by the facility or the Staff Vaccine Matrix are used for sampling staff. Refer to Long-Term Care Survey Process Procedure Guide and/or CMS 20054, Infection Prevention, Control & Immunization, for instructions for sampling contracted staff. A Staff Formula spreadsheet is available in the Survey Resources folder that can be used to calculate the formulas listed below. Please attach the completed spreadsheet to the LTCSP software or the survey shell.

# Section II –Verification of National Health Care Safety Network (NHSN) data *Surveyors are NOT required to complete this task unless there are complaints/concerns related to NHSN data. Regardless of the timeframe of the NHSN complaint/concern, surveyors should review the most recent NHSN data to perform this task. There is no ability to retrieve archived NHSN data.*

# Please fill in the blanks with data directly from [this link](https://download.cms.gov/covid_nhsn/covid-19%20nursing%20home%20resident%20and%20staff%20vaccination%20rates.xlsx). NHSN as reported for week ending on (report header):

* Recent Percentage of Staff who are Fully Vaccinated:       If there is no data present in NHSN, please ask the facility staff the rationale while onsite. (For the purpose of this document, fully vaccinated and completely vaccinated are the same)
* Review the staff matrix or the facility’s list of staff and their vaccination status, which is obtained on the first day of the survey. Calculate the percentage of the staff who have completed vaccinations using the formula listed in Figure 1 (do not round). Compare the facility’s data with the above NHSN data.

**Figure 1:** Formula to calculate percentage of vaccinated staff to compare with NHSN data

# of total staff

# Completely vaccinated (6)

**% staff**

**received completed = X 100**

**vaccination**

* If there is a 10% or less difference between the facility documentation and the NHSN data, no further investigation is required.
* If there is a greater than 10% difference, ask the facility to verify and explain why there is a significant variation.
* If the information presented to the surveyor is incorrect (and NHSN is correct), or if both sources are incorrect, this likely demonstrates the facility’s failure to have a process for tracking and securely documenting the COVID-19 vaccination status for all staff [per §483.80(i)(3)(iv)], consider citing F888.
* If the information reported to NHSN is incorrect (and the information reviewed onsite is correct) or data is not present, inform the facility to immediately correct the information in the NHSN system.

# Section III – Determine facility’s compliance of F888

* Determine the percentage of staff vaccinated: (Follow the data in Section I provided on the facility matrix)
* Use the formula below (or in the Staff Formula spreadsheet) to calculate the percentage (round to the whole number) of staff that received a completed COVID-19 vaccination series.

**%Vaccinated = + + X 100**

# of total staff

# Temporarily delayed (10)

# Granted exemption (8 and 9)

# Completely vaccinated (6)

* If the percent vaccinated is less than 100%, cite F888.
* If the facility’s staff vaccination rate is below 100% because of newly hired staff, who are not yet eligible to receive the second dose in a two-dose series, the facility will be considered compliant with the 100% staff vaccination requirement. The facility would need to be compliant with §483.80(i)(3)(iii),

including adhering to additional precautions that are intended to mitigate the spread of COVID-19.

* ***NOTE:*** *When egregious cases of noncompliance are present, state survey agencies should notify the CMS location of the information.*