

**STATE OF MAINE**

**IMMUNIZATION REQUIREMENTS FOR HEALTHCARE WORKERS**

**10-144 CODE OF MAINE RULES**  
**CHAPTER 264**



Maine Department of Health and Human Services  
Maine Center for Disease Control and Prevention  
11 State House Station  
Augusta, Maine 04333-0011

Date Amended:

**10-144 DEPARTMENT OF HEALTH AND HUMAN SERVICES****MAINE CENTER FOR DISEASE CONTROL AND PREVENTION****Chapter 264: IMMUNIZATION REQUIREMENTS FOR HEALTHCARE WORKERS**

**SUMMARY Purpose:** ~~Healthcare workers are at risk for exposure to and possible transmission of vaccine preventable diseases due to their contact with patients, or infectious material from patients. The health and safety of the health care workers and the patients they care for is an essential area of concern.~~

This rule is issued pursuant to the statutory authority of the Department of Health and Human Services to require immunization of the employees of designated health care facilities as set forth in 22 M.R.S.A. §802, ~~as amended by P.L. 2001, Ch. 185 to reduce the risk for exposure to, and possible transmission of, vaccine preventable diseases due to healthcare workers' contact with patients, or infectious material from patients.~~ It prescribes the dosage for required immunizations and defines responsibilities, exclusion periods, record keeping and reporting requirements for officials of hospitals and healthcare facilities.

**1. Definitions**

- A. ~~"Certificate of Immunization"~~ means a written statement from a physician, nurse, physician assistant or health official who has administered an immunization agent to an employee, specifying the vaccine administered and the date it was administered. Secondary school or collegiate health records, having been compiled and maintained as an official document based on certificates of immunization, which provide at a minimum the month and year that the immunization was administered and/or which contain copies of laboratory evidence of immunity, may also be accepted as proof of immunization.
- B. ~~"Chief administrative officer"~~ means the person designated as the president, chief executive officer, administrator, director or otherwise the senior official of a designated health facility.
- C. ~~"Declination"~~ means a formal process where an individual makes an informed choice declining Hepatitis B vaccination, following standards and procedures established by the federal Occupational Safety and Health Administration (OSHA) regulations (29 CFR 1910.1030(f)(2)(iv) (effective July 6, 1992).
- D. ~~"Designated Healthcare Facility"~~ means a licensed nursing facility, residential care facility, ~~Intermediate Care Facility for the Mentally Retarded (ICF/MR), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID),~~ multi-level health care facility, hospital, or home health agency.
- E. ~~"Disease"~~ means the following conditions which may be preventable by immunization agent:
  - (1.) Rubeola (measles);
  - (2.) Rubella (German measles);

- ~~(3.)~~ Hepatitis B;
- ~~(4.)~~ ~~Seasonal~~ Influenza;
- ~~(5.)~~ Mumps; and
- ~~(6.)~~ Varicella (chickenpox);
- ~~(7.)~~ ~~2009 Novel H1N1 Influenza.~~

F. "Employee" means a person who performs a service for wages or other remuneration for a designated health facility.

G. "Exemption" means a formal procedure to procure discharge from requirement to vaccinate.

H Extreme public health emergency means the occurrence or imminent threat of widespread exposure to a highly infectious or toxic agent that, as declared by the governor of the State, poses an imminent threat of substantial harm to the population of the State.

HI. "Immunization agent" means a vaccine, antitoxin, or other substances used to increase an individual's immunity to disease.

IJ. "Public ~~H~~health ~~O~~fficial" means a local health officer, the Director of the Maine Center for Disease Control and Prevention (Maine CDC), or a designated employee or agent of the Maine Department of Health and Human Services (Department).

K. Public health threat means a condition or behavior that can reasonably be expected to place others at significant risk of exposure to a toxic agent or environmental hazard or infection with a notifiable disease or condition, as defined in 22 MRS §801.

## 2. Immunizations Required

A. Except as otherwise provided by law, each ~~D~~esignated ~~H~~healthcare ~~F~~acility in the State of Maine ~~shall~~must require for all employees proof of immunization or documented immunity against:

- ~~(1.)~~ Rubeola (measles);
- ~~(2.)~~ Mumps;
- ~~(3.)~~ Rubella (German measles);
- ~~(4.)~~ Varicella (chicken pox);
- ~~(5.)~~ Hepatitis B; and
- 6. Seasonal Influenza.

7. In the event of a public health emergency or extreme public health emergency declared by the governor, the Department may impose control measures, including, but not limited to, mass vaccinations and exclusions from the workplace, and may require immunization or documented immunity to protect public health and minimize the impact from the specific communicable disease.

B. In accordance with 29 CFR 1910.1030(f)(1)(i) (effective July 6, 1992) of the Occupational Safety and Health Administration (OSHA) regulations, ~~D~~designated ~~H~~healthcare ~~F~~facilities ~~shall~~must make available the Hepatitis B vaccine to all health care workers with a risk of occupational exposure, provided at no cost to the employee and at a reasonable time and place.

~~C. All Designated Healthcare Facilities shall adopt and implement a policy that recommends and offers annual immunizations against seasonal influenza to all personnel who provide direct care to residents of the facility.~~

~~D. All Designated Healthcare Facilities shall adopt and implement a policy that recommends and offers immunization against 2009 Novel H1N1 Influenza to all personnel who provide direct care to residents of the facility.~~

~~E~~C. No chief administrative officer may permit any employee to be in attendance at work without a certificate of immunization for each disease or other acceptable evidence of immunity to each disease, or documentation of authorized exemption or declination in accordance with 22 MRS § 802(4-B).

### 3. Exceptions and Declinations

An employee who does not provide proof of immunization or immunity for a vaccine required under this rule~~meet the immunization/immunity requirement~~ may be permitted to attend work ~~under the following conditions:~~if that employee is exempt in accordance with 22 MRS § 802(4-B). Documentation for an employee's immunization exemption must be maintained in the permanent health record for that employee.

~~A. The employee presents to the designated healthcare facility a physician's written statement that immunization against one or more of these diseases is medically inadvisable. If the statement does not include all diseases, the employee must meet the immunization/immunity requirements for any diseases not covered by the statement.~~

~~B. The employee states in writing an opposition to immunization because of a sincere religious belief or for philosophical reasons.~~

~~C. Declination for Hepatitis B pursuant to OSHA Regulations: An exemption is available to an employee who declines Hepatitis B vaccination in accordance with the applicable regulations established by the Occupational Safety and Health Administration.~~

### 4. Certification of Immunization and Proof of Immunity

#### A. Certificate of Immunization

To demonstrate proper immunization against each disease, an employee ~~shall~~must present the designated healthcare facility with a ~~C~~ertificate of ~~i~~mmunization from a physician, nurse or health official who has administered the immunizing agent(s) to the employee. Physicians within their own practice may authorize their own employees to issue a certificate of immunization on behalf of the physician. The certificate ~~shall~~must specify the immunizing agent, and the date(s), including month and year, on which it was administered. Physicians, having reviewed official patient records created by another practitioner which indicate that a particular patient has received an immunization on a specified date, demonstrating at a minimum the month and year the immunization was given, may certify that the immunization was given. Adequately prepared secondary and/or collegiate school health records will also be considered acceptable for the purpose of meeting this requirement.

#### B. **Proof of Immunity**

To demonstrate that an employee is immune to any of the diseases, the employee ~~shall~~must present the hospital/facility with laboratory evidence demonstrating immunity, or other acceptable evidence of immunity. (See Section 7-B Individual Health Records.)

### 5. **Immunization Dosage**

A. The following schedule contains the minimally required number of doses for the immunizing agents addressed under ~~this rule~~these rules:

- ~~(1.)~~ **Rubeola (Measles):** Two ~~(2)~~ doses of live measles vaccine given after the first birthday, with a minimum of four weeks separating the ~~2~~two doses.
- ~~(2.)~~ **Mumps:** Two ~~(2)~~ doses of live mumps vaccine given after the first birthday.
- ~~(3.)~~ **Rubella (German Measles):** Two ~~(2)~~ doses of live rubella vaccine given after the first birthday.
- ~~(4.)~~ **Varicella (Chickenpox):** Two ~~(2)~~ doses of live varicella vaccine given after the first birthday, with a minimum of four weeks separating the ~~2~~two doses.
- ~~(5.)~~ **Hepatitis B:** Three ~~(3)~~ doses of hepatitis B vaccine, the first two given one month apart and the third given five months after the second.
- ~~(6.)~~ **Influenza:** Annual dose of inactivated influenza vaccine or live attenuated influenza vaccine.
- ~~(7)~~ ~~—————~~ **2009 Novel H1N1 Influenza:** ~~one dose of inactivated influenza vaccine or live attenuated influenza vaccine against 2009 novel H1N1 influenza. In the event of a public health emergency or extreme public health emergency declared by the governor, the Maine CDC will specify the recommended dose for any vaccination imposed as a control measure to protect public health.~~

B. Any such immunizing agent must meet the standards for biological products which are approved by the United States Public Health Service.

## 6. Exclusions from the Workplace

### A. Exclusion by order of Public Health Official

An employee not immunized or otherwise immune from a disease ~~shall~~must be excluded from the worksite, when in the opinion of a public health official, the employee's continued presence at work poses a clear danger to the health of others. The documented occurrence of a single case of rubeola (measles), mumps, rubella (German measles) or varicella (chickenpox) in a designated healthcare facility or amongst its employees may be interpreted as a clear danger to the health of others.

The chief administrative officer ~~shall~~must exclude the employee during the period of danger or for one incubation period following immunization of the employee, when one or more cases of disease are present.

### B. The following periods are defined as the "period of danger:"

- ~~(1.)~~ **Measles:** 15 days from the onset of symptoms from the last identified case
- ~~(2.)~~ **Mumps:** 18 days from the onset of symptoms from the last identified case
- ~~(3.)~~ **Rubella:** 23 days from the onset of symptoms from the last identified case
- ~~(4.)~~ **Varicella:** 16 days from the onset of symptoms from the last identified case.

### C. Except as otherwise provided for by law, contract or collective bargaining agreement, an employer will not be responsible for maintaining an employee in pay status as a result of this rule.

### D. When a public health official determines there are reasonable grounds to believe a public health threat exists, an exempted employee may be immunized or tested for serologic evidence of immunity. Employees without serologic evidence of immunity and those who become immunized against the disease in question at the time of a documented case or cases of disease must be excluded from the work site during one incubation period.

## 7. Records and Record Keeping

### A. Designated Record Keeping

The chief administrative officer in each designated healthcare facility ~~shall~~must be responsible for the maintenance of employee immunization records. The chief administrative officer may designate a person to be responsible for record keeping.

### B. Individual Health Records

Each designated healthcare facility ~~shall~~must adopt a uniform, permanent health record for maintaining information regarding the health status of each employee. The immunization status of each employee with regard to each disease ~~shall~~must be noted on

the employee's health record. The health record of each employee ~~shall~~must include at a minimum the month and year that each immunizing agent was administered.

Where an exception has been granted for ~~a medical or religious~~ reason authorized by law, the written request for exemption must be on file with the employee health record. Where laboratory or other acceptable evidence of immunity has been submitted, a copy of the documentation must also be on file.

### C. **List of Non-Immunized Employees**

The chief administrative officer or his/her designee in each designated healthcare facility ~~shall~~must keep a listing of the names of all employees within the facility who are not currently immunized or do not have documented serological immunity against each disease. This list ~~shall~~must include the names of all employees with authorized exemptions from immunization as well as any who are otherwise not known to be immune and ~~shall~~must state the reason that the employee is not immune. The purpose of the list is to provide an efficient means to rapidly contact non-immunized employees in the event of disease outbreaks and exclude them from the workplace as necessary.

### D. **Required Reports**

#### 1. **Routine Reporting**

The chief administrative officer of each designated healthcare facility is responsible for submitting a summary report on the immunization status of all employees by December 15 of each calendar year, on a form prescribed by the ~~Department~~Maine CDC, to the Director of the Maine CDC of the Department of Health and Human Services. The summary report will include the following information at a minimum: ~~S~~specific contact information identifying the facility; the name of the chief administrative officer; the total number of employees; the number of employees born on or after January 1, 1957; and the number of employees identified by vaccine type as either immunized, serological proof of immunity, exempt in accordance to law, having declined hepatitis B vaccine, or out of compliance. The summary report may be constructed so as to reflect meaningful data by groupings within the facility (e.g., pediatric unit). Each report ~~shall~~must be signed by the ~~hospital/facility's~~ chief administrative officer as a certification that the information is accurate.

#### ~~2. **Reporting on 2009 Novel H1N1 Influenza A and Influenza**~~

~~The chief administrative officer of each designated healthcare facility is responsible for submitting a summary report on a form prescribed by the Department, to the Director of the Maine CDC by December 15, 2009, March 15, 2010, and June 15, 2010 on the number of employees who are vaccinated and the total number of employees who are offered the vaccine for 2009 Novel H1N1 Influenza.~~

#### ~~3.2~~ **Maine CDC Sample Survey**

The Maine CDC will, ~~from time to time~~ conduct periodic reviews by, selecting a sample of employee health records for the purpose of comparing reported results

against the criteria delineated in these rules. The results of this sample survey will be shared with the chief administrative officer of the designated healthcare facility for the purpose of identifying problem areas that may be occurring in the maintenance of their employee health records. Any published or unpublished reports of such sampling of employee health records ~~shall~~must not identify individual employees and/or designated healthcare facilities, directly or indirectly.

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**STATUTORY AUTHORITY:** 22 M-R-S-~~A~~ §802(3)

**EFFECTIVE DATE:**

April 16, 2002

**NON-SUBSTANTIVE CORRECTIONS:**

May 13, 2002 - corrected the spelling of DEPARTMENT in header, page 1

May 10, 2004 - spacing, capitalization and punctuation only

**EFFECTIVE DATE:**

October 6, 2009 to January 4, 2010: filing 2009-531 (EMERGENCY)

December 8, 2009 – filing 2009-644

~~, 2020 – filing 2020- (ROUTINE TECHNICAL)~~