Population Assessment Manual

Revised July 2019

Department of State Health Services Immunization Unit
Assessment, Compliance, & Evaluation (ACE) Group
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Overview

POPULATION-BASED ASSESSMENTS
Overview

The Centers for Disease Control and Prevention (CDC) Immunization Program Operations Manual (IPOM) lists population assessment as a vital component of a successful immunization program. Activities such as assessments validate coverage reports received from schools and sample surveys to estimate immunization and exemption rates among child-care facility attendees which help immunization programs evaluate progress toward immunization goals. The National Immunization Survey (NIS) provides immunization coverage data on children 19 - 35 months of age. Routine assessment of children entering school and child-care provide additional population data points. Achieving and maintaining 95% coverage of all Advisory Committee on Immunization Practices (ACIP) recommended pediatric vaccines remains a high priority. DSHS submits an annual summary on compliance activities and coverage rates in schools to the CDC.

To comply with the Family Educational Rights and Privacy Act (FERPA), all data collected must be de-identified. DSHS and Local Health Department (LHD) personnel shall not record information such as name, social security number, address, or telephone number. However, for quality assurance purposes, the date of birth is requested.

Auditors should always request de-identified records, regardless of the method of obtaining them (mail, fax, etc.). If data is collected at the facility by public health staff, public health staff should not record identifying information (e.g. name, address, etc.). Records that public health staff receives that are NOT de-identified can be de-identified by health department staff. The only exception to collecting identifying information is to collect date of birth, which is needed to validate certain records (e.g. MMR received after 1 year of age).

The following summarizes immunization coverage assessments or surveys conducted in Texas:

1. **Child-Care Audit**

An annual child-care audit will be conducted on a randomly selected set of 20% of the licensed child-care centers (LCCC) and registered child-care homes (RCCH) in the Public Health Region (PHR). The audits require a review of the immunization records of 100% of children enrolled in an assigned LCCC and RCCH.

2. **School Audit**

An annual school audit will be conducted in which PHRs and LHDs review a certain number of immunization records of children enrolled at assigned schools. DSHS Assessment, Compliance, and Evaluation (ACE) Group will assign individual schools and districts to be audited based on the audit criteria: public school districts or private schools that did not respond to the most recent Annual Report of Immunization Status or reported unusually high numbers of students provisionally enrolled and/or delinquent with vaccine requirements.

3. **Annual Report of Immunization Status**
An annual assessment of children in schools will be conducted, in which all schools review immunization records of all children who have entered kindergarten and 7th grade to ascertain compliance with the Texas school vaccination law. This information will be used to estimate the school’s coverage and compliance rates. Schools submit summary results to the DSHS ACE Group in Austin via the web-based Child Health Reporting System (CHRS).

4. Texas School Immunization Validation Survey

The Texas School Immunization Validation Survey will assess the reliability of the school-reported results of the Annual Report of Immunization Status. ACE staff will select schools for PHRs and LHDs to survey. A sample of student’s immunization records will be assessed for compliance with immunization requirements. The results of the survey will provide a statewide immunization compliance estimate that will be used to determine the validity of the school-reported Annual Report of Immunization Status results.

More detailed information for each type of assessment or audit is available in the corresponding section in this manual.

CONCEPTS: RECOMMENDATIONS AND REQUIREMENTS

Age–Appropriate

A vaccine dose is considered age-appropriate when it is given to a child at the age recommended by ACIP. A child is age-appropriately vaccinated if, from birth, he or she has received all recommended vaccines at the age at which they are recommended.

Up-to-Date

A child’s vaccinations are up-to-date if he or she has received all the vaccines recommended for his or her age.

All children who are age-appropriately vaccinated are up-to-date, but not all children who are up-to-date are age-appropriately vaccinated.

Individual Children: Compliant or Covered

Immunization Compliance

A child is in compliance with immunization requirements if he or she has received all the vaccinations required for his or her age or has allowable document of immunity (e.g. laboratory evidence of prior infection) or an allowable exclusion from vaccination (e.g. conscientious exemption).
Vaccination Coverage

A child is “covered” (protected) according to immunization requirements if he or she has received all the vaccinations required for his or her age.

All children who are “covered” are also in compliance, BUT not all children who are in compliance are “covered”. Therefore, any child who is either “not compliant” or “not covered” is susceptible to disease.

Doses vs. Intervals

Texas Administrative Code (TAC), Title 25 Health Services Rule §97.63 requires children to have certain vaccines based on number of doses when attending child-care facilities, pre-kindergarten, early childhood programs, and Texas elementary and secondary schools. The requirements do not specify a required time between doses (interval).

If a student is provisionally enrolled, s/he would follow the ACIP Catch-Up Schedule. Per TAC Rule §97.66, a child or student must complete the required subsequent doses in each vaccine series on schedule and as rapidly as medically feasible. DSHS uses the ACIP Catch-Up Schedule to determine how quickly subsequent doses of a vaccine can be given to comply with the requirement of completing the doses “as rapidly as medically feasibly.” The amount of time between intervals is different depending on the vaccine.

EXCLUSIONS FROM COMPLIANCE

Below is the pertinent section of the Texas Administrative Code (TAC) regulating exemptions from immunization requirements.

**Title 25 Health Services Texas Administrative Code**

**Rule § 97.62 Exclusions from Compliance**

Exclusions from compliance are allowable on an individual basis for medical contraindications, reasons of conscience, including a religious belief, and active duty with the armed forces of the United States. Children and students in these categories must submit evidence for exclusion from compliance as specified in the Health and Safety Code, §161.004(d), Health and Safety Code, §161.0041, Education Code, Chapter 38, Education Code, Chapter 51, and the Human Resources Code, Chapter 42.

1. To claim an exclusion for medical reasons, the child or student must present an exemption statement to the school or child-care facility, dated and signed by a physician (M.D. or D.O.), properly licensed and in good standing in any state in the United States who has
examined the child or student. The statement must state that, in the physician's opinion, the vaccine required is medically contraindicated or poses a significant risk to the health and well-being of the child or student or any member of the child's or student’s household. Unless it is written in the statement that a lifelong condition exists, the exemption statement is valid for only one year from the date signed by the physician.

2. To claim an exclusion for reasons of conscience, including a religious belief, the child's parent, legal guardian, or a student 18 years of age or older must present to the school or child-care facility a completed, signed and notarized affidavit on a form provided by the department stating that the child's parent, legal guardian, or the student declines vaccinations for reasons of conscience, including because of the person's religious beliefs. The affidavit will be valid for a two-year period from the date of notarization. A child or student, who has not received the required immunizations for reasons of conscience, including religious beliefs, may be excluded from school in times of emergency or epidemic declared by the commissioner of the department.

(A) A person claiming exclusion for reasons of conscience, including a religious belief, from a required immunization may only obtain the affidavit form by submitting a request (via online, fax, mail, or hand-delivery) to the department. The request must include the following information:

(i) full name of child or student;
(ii) child's or student’s date of birth (month/day/year);
(iii) complete mailing address, including telephone number; and
(iv) number of requested affidavit forms (not to exceed 5).

(B) Requests for affidavit forms must be submitted to the department through one of the following methods:

(i) written request through the United States Postal Service (or other commercial carrier) to the department at: DSHS Immunization Unit, Mail code 1946, P.O. Box 149347, Austin, Texas 78714-9347;

(ii) by facsimile to (512) 776-7544;

(iii) by hand-delivery to the department's physical address at 1100 West 49th Street, Austin, Texas 78756; or

(iv) via the department's affidavit request website at https://corequest.dshs.texas.gov/.
(C) The department will mail the requested affidavit form(s) (not to exceed five forms per child or student) to the specified mailing address.

(D) The department shall not maintain a record of the names of individuals who request an affidavit and shall return the original documents (when applicable) with the requested affidavit forms.

3. To claim an exclusion for armed forces, persons who can prove that they are serving on active duty with the armed forces of the United States are exempted from the requirements in these sections.
POLICY FOR HANDLING IMMUNIZATION EXEMPTION AFFIDAVIT FORMS DURING POPULATION ASSESSMENT

Policy Statement

DSHS is prohibited from maintaining any record of the names of individuals requesting an exemption affidavit form. All DSHS employees must adhere to this policy to maintain the confidentiality of individuals requesting exemption affidavit forms.

Requirements for Handling Exemption Affidavit Forms during Population Assessment

In some cases, PHRs and/or LHDs may not be able to conduct an audit or assessment on-site. If this situation occurs, the school or childcare facility may make copies of the official exemption affidavit forms and mail the copies to the PHR or LHD.

PHRs and LHDs are prohibited from scanning, e-mailing, or otherwise sharing or maintaining copies of exemption affidavit forms.

The PHR or LHD must destroy all copies of exemption affidavit forms once the audit/assessment is complete.
Child-Care Audit
Contractor’s Guide 2.1.02, 2.2.01, & 2.2.02
OVERVIEW – CHILD-CARE AUDIT

Timeline

- September to July annually.
- Survey assignments are mailed out in September.
- Data entry into CHRS due by July 15, 2020.

Purpose of Survey

Audits of children in selected LCCCs and RCCHs are conducted to measure facilities’ compliance with state immunization requirements.

Method of Survey

The child-care audit is conducted every year by Responsible Entity (RE) staff. RE staff will conduct a detailed audit of 20% of the facilities in the regional area, as assigned by the DSHS ACE Group in Austin. One hundred percent of the immunization records in the selected facilities will be assessed. Immunization records should not be assessed for children only enrolled in before or after school programming. If an assigned facility cannot be located in CHRS, even if it is closed, email DSHS ACE Group in Austin.

The data should be recorded onto the Detail Report of Immunization Status, Child-Care Facilities form. A copy of the form is posted on the RE School & Childcare Compliance website. RE staff will enter data on the web-based system CHRS at http://chrstx.dshs.state.tx.us/CHRS/login.aspx. Your user ID and password will be the same as previous years. New users should email schoolimm@dshs.texas.gov for a user ID and password and include their first name, last name, and the cities/counties covered.

Texas Health & Human Services Child-Care Licensing (CCL) and DSHS have developed a protocol to coordinate inspections and monitoring of LCCCs and RCCHs to eliminate duplicate inspections of immunization records. This protocol is required by House Bill 1555 of the 75th legislature, which amended Section 42 of the Human Resources Code.

This agreement requires DSHS auditors to notify the appropriate CCL regional office, in writing, of audit results within two weeks of the completion of the audit visit. If a facility is reported to be in compliance with the minimum state vaccine requirements for Texas children, CCL will not review that facility’s immunization records at the next scheduled inspection. If a facility is not in compliance after the follow-up visit conducted by DSHS, CCL will take action to assure that non-compliance is corrected. Sample letters are available in Appendix 1.

Please use the list of CCL regional offices on the CCL website that is listed in the child-care audit procedure section to make the required notifications. It is not necessary to address the letter to a
facility’s specific licensing representative; CCL will distribute them to the appropriate person.

**Roles & Responsibilities**

**Austin**
- Establish timeline.
- Create/maintain manual.
- Provide technical assistance to REs.
- Import licensed facilities list file annually from CCL.
- Create standardized report forms for REs.
- Analyze data from audits conducted by both the PHR and LHDs.

**PHR**
- Assign facilities to LHD staff. If a child-care facility is associated with the wrong county/PHR, please contact our Austin office as soon as the error is discovered.
- Provide technical assistance to the LHD.
- Routinely meet with CCL licensing staff to go over immunization requirements.
- Contact child-care facilities selected for audit.
- Conduct audits following DSHS audit procedures.
- Develop a remedial plan for LCCC/RCCH that are found to be <95% compliant.
- Notify CCL of audit results.

**LHD**
- Routinely meet with CCL staff to go over immunization requirements and foster working relationships.
- Contact child-care facilities selected for audit.
- Conduct audits following DSHS audit procedures.
- Develop a remedial plan for LCCC/RCCH that are found to be <95% compliant.
- Notify CCL of audit results.

**CHILD-CARE AUDIT PROCEDURE**

**Contacting LCCC/RCCH Administrators**

Contact the directors of the LCCCs/RCCHs to be sampled concerning their participation in the audit. Plan how the audit will be conducted. Will it be done on-site, through the mail, or electronically? If there are travel restrictions, the childcare facility should send the immunization records via mail or electronically. If the audit will be done on-site, arrange the date and time for the visit. Inform the LCCC/RCCH director that the enrollment total for all children in the target age
levels at the facility is needed. The enrollment totals should include only children currently enrolled at these facilities. The total number should not include children that have moved and no longer attend the school. Inquire about how immunization records are stored (paper, electronic, or both).

1. Contact the Child-Care Licensing Representative (CCL Rep) in the area so they are aware of which facilities were selected for the audit and can provide assistance if needed. The contact information for the CCL Reps can be found at https://www.dfps.state.tx.us/Child_Care/Local_Child_Care_Licensing_Offices/default.asp

2. Prior to visiting the facility, verify the facility is still open by looking on the HHS CCL website at https://www.dfps.state.tx.us/Child_Care/Search_Texas_Child_Care/ppFacilitySearchDayCare.asp

3. If the audit will be conducted on-site, spend a few minutes after arriving at the facility to explain the purpose of the survey with the director. Fill out as many sections as possible of the Detail Report of Immunization Status form prior to visiting the LCCC/RCCH or coordinating data collection through the mail. To comply with the Family Educational Rights and Privacy Act (FERPA), all data collected must be de-identified. DSHS and LHD personnel shall not record information such as name, social security number, address, or telephone number.

NOTE: Before determining a facility as a “non-responder,” three contact attempts must be made. If the facility does not respond to the attempts, the facility should be reported to CCL. Example wording can be found in the resources section of this document. Documentation regarding contact attempts should be included in the non-responder audit report. The date, method of contact, address, telephone number, name of person contacted, and other notes should be included in the documentation.

Instructions for Conducting the Audit

1. Review one hundred percent of the immunization records for currently enrolled children in the selected facilities. All data obtained using this methodology shall be kept at the PHR. The data can be recorded onto the Detail Report of Immunization Status, Child-Care Facilities form which is posted on the RE School & Childcare Compliance website: https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/, or directly into the online system. The spreadsheet located on the RE website should be used as there are built-in formulas and conditional formatting which will make it easier for the person auditing immunization records.

If a currently enrolled child does not have an acceptable vaccine record per TAC Rule §746.623, please advise facility staff to contact the clinic where the student received immunizations, search the student’s name in ImmTrac2, or ask the parent or guardian for the acceptable documentation. Additionally, provide a list of non-compliant children to the director.
2. When counting doses, the auditor should look at the doses that the child has received up to and including their current age. As a result, the number enrolled in each group will vary. Examples are included at the end of this section.

3. An education opportunity presents itself if a high percent of children is provisionally enrolled or are delinquent for vaccines. PHR/LHD staff should determine the reason why the childcare facility is not in compliance (e.g. poor record keeping, misunderstanding of requirements, etc.).

There are several tools at an auditor’s disposal including the following:

- Texas Minimum State Vaccine Requirements
- ACIP Recommendations
- Provisional Enrollment Flowchart
- Provisional Enrollment Dosing Schedule

4. If a facility is below 95% compliance in any vaccine category, a follow-up visit must be conducted 30 days after the initial visit to the childcare facility. If a facility is still non-compliant, a referral shall be made to the local HHS Child-Care Licensing division office.

5. RE staff will enter all data into CHRS. Do not email or mail copies of childcare audit reports to DSHS ACE Group Austin. Data can be entered into CHRS any time between September 1st and July 15th.

6. If a facility is closed, DSHS ACE group should be informed via email.

**Tips for Entering Immunization Records onto the Childcare Audit Form**

- Enter the number of children that are enrolled in the childcare facility
- Organize vaccine records by the age of the children.
- Determine the number of children who have valid vaccine exemptions on file.
- Determine the number of children who are up-to-date.
- Place the information in the corresponding cells on the spreadsheet.
- The childcare audit spreadsheet will tabulate the percentage of children who are up-to-date, delinquent, and in compliance. Compliance rates **cannot** be greater than 100%.

A detail audit sheet has been included in this year’s PAM as an additional tool for auditors to use when auditing facilities. The Detail Audit Sheet is posted on the RE website: [https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/](https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/).
**Steps for Completing the Detail Audit Sheet**

1. Fill in the facility information in Rows 1A-4E

2. Fill in the appropriate information in rows 1AC-4AN

3. For schools, beginning on line 10A-F, fill in for every student that is being reviewed. Each sheet has room for 20 students.

4. For daycare facilities, beginning on line 10B-F, fill in for every child that is being reviewed. Each sheet has room for 20 children.

5. For each dose of vaccine that was received, place a checkmark in the cell. This indicates the number of doses of that vaccine that were received.

6. For each dose of vaccine that is MISSING, place an “X” in the cell. To ensure it is noticed, it is recommended that a red pen is used to annotate the “X” and also a circle around the “X”.

7. Use the abbreviations (NR=no record; PE=provisional enrollment; ME=medical exemption; RE=religious exemption; CE=conscientious exemption) in the first block of the applicable vaccine if a dose of vaccine was not received for one of the reasons. It is recommended that a red pen is used to annotate the NR, PE, ME, RE, or CE for quick identification.

8. It may be necessary to use more than one sheet per facility/school.

9. Upon completion of documenting all students/children, on each sheet,
   a. Count the number of students/children that are up-to-date (by checkmarks) for each vaccine. Document the number at the bottom of the page under the vaccine type.
   b. Count the number of students/children that have no record (NR) for each vaccine. Document the number at the bottom of the page under the vaccine type with NR.
   c. Count the number of students/children that are provisionally enrolled (PE) for each vaccine. Document the number at the bottom of the page under the vaccine type with PE.
   d. Count the number of students/children that have medical exemptions (ME) for each vaccine. Document the number at the bottom of the page under the vaccine type with ME.
   e. Count the number of students/children that have religious exemptions (RE) for each vaccine. Document the number at the bottom of the page under the vaccine type with RE.
   f. Count the number of students/children that have conscientious exemptions (CE) for each vaccine. Document the number at the bottom of the page under the vaccine type with CE.
10. For daycare facilities, the information from this(these) form(s) will be entered onto the Childcare Audit Sheet and THEN it will be entered into CHRS.

**NOTE:** When conducting childcare audits, please note any common mistakes/misunderstandings/issues, frequently asked questions, or other notable trends. These items should be reported back to DSHS through the quarterly report process.

Example #1. If a child is 5-6 months of age, you would indicate s/he received the following on the childcare audit spreadsheet:

**Age: By 5 months (5-6 months)**
- DTaP/DT/DTP
- PCV

**Age: By 5 months (5-15 months)**
- Hib

**Age: By 5 months (5-18 months)**
- Hep B
- Polio

Example 2: If a child is 45 months of age, you would indicate s/he received the following vaccines on the childcare audit spreadsheet:

**Age: By 16 months (>16 months)**
- MMR
- Varicella

**Age: By 19 months (>19 months)**
- Hep B
- DTaP/DT/DTP
- Polio

**Age: By 43 months (>43 months)**
- Hep A
School Audit

Contractor’s Guide 2.1.03, 2.2.01, & 2.2.02
OVERVIEW – SCHOOL AUDIT
TEXAS EDUCATION CODE CHAPTER 38. HEALTH AND SAFETY
SUBCHAPTER A. GENERAL PROVISIONS

§ 38.002. IMMUNIZATION RECORDS; REPORTING.

(a) Each public school shall keep an individual immunization record during the period
of attendance for each student admitted. The records shall be open for inspection at
all reasonable times by the Texas Education Agency or by representatives of local
health departments or the Texas Department of State Health Services.

(b) Each public school shall cooperate in transferring students' immunization records to
other schools. Specific approval from students, parents, or guardians is not required
before transferring those records.

(c) TEA and the Texas Department of State Health Services shall develop the form for
a required annual report of the immunization status of students. The report shall be
submitted by all schools at the time and in the manner indicated in the instructions
printed on the form.

Added by Acts 1995, 74th Leg., Ch. 260, § 1, eff. May 30, 1995.

Timeline

- September to June.
- Line listing of public, charter or private schools to be audited are emailed out in September
  and December.
- Submit Detail Audit Report of Immunization Compliance on the provided spreadsheet via
  email (schoolimm@dshs.texas.gov) to DSHS ACE Group in Austin by July 15, 2020. Do
  not mail school audit reports to ACE. Do not email PDF versions of completed school
  audits. DSHS ACE Group epidemiologists must have Excel files to compile the data into an
  Access database and analyze the data.

Purpose of Survey

The DSHS ACE Group in Austin conducts an audit of a public, charter or private school to
measure compliance with state immunization requirements.

In accordance with Section 38.002, Texas Education Code, public schools are required to maintain
immunization records of students and make them available for review by LHD or DSHS staff.

Method of Survey
The DSHS ACE Group in Austin will assign public school districts/schools, charter school districts/schools, and private schools for audit. Schools selected for audit will fall into one of three categories:

- 1st time non-responders to Annual Report of Immunization Status
- >5% of student population delinquent on ≥two vaccines on Annual Report of Immunization Status
- >5% of provisionally enrolled students on Annual Report of Immunization Status

The audit lists that are distributed to each PHR will identify the audit category for each school on the list. For public school districts, individual schools within the districts have been identified for audit based on the immunization data the individual school submitted to their district, who in turn reported the data on the Annual Report of Immunization Status. This only applies to districts that responded to the survey. Non-responder districts should still have schools selected at random.

If a school district or private school is identified as a non-responder on the 2019-2020 Annual Report of Immunization Status, the facility should be audited between January and June 2020. The reason behind auditing non-responding facilities during the same school year as the Annual Report of Immunization Status is to encourage the facility to report the following year. Additionally, a facility may be unaware that reporting annual immunization data is required by law. DSHS ACE Group in Austin will distribute the line listing of non-responders after the Annual Report of Immunization Status closes in December 2019.

If a school district or private school was audited last year, did not have a passing audit, and is on the audit list again this year; in-person educational outreach should occur. If a school district is selected for audit again this year, but the individual schools are different than last year, it is not necessary to provide education outreach. If education outreach is necessary, it is indicated on the school line listing. RE staff should determine the reason the school was not in compliance (e.g. poor record keeping, misunderstanding of requirements, etc.). In-depth education may include reviewing school vaccine requirements and defining commonly used terms on the Annual Report of Immunization Status such as provisional enrollment, delinquent, etc., as well as how to fill out the Annual Report of Immunization Status. The education that is provided during an audit visit could translate into more accurately reported immunization data reported on the Annual Report of Immunization Status, which equates to better overall data quality for the State of Texas (and less audits in the future!). The findings of the visit should be compiled into a short summary and emailed to schoolimm@dshs.texas.gov.

The list of resources at an auditor’s disposal include the following:

- Texas Minimum State Vaccine Requirements
- ACIP Recommendations
- Provisional Enrollment Flowchart
- Provisional Enrollment Dosing Schedule
- Annual Report of Immunization Status PowerPoint
- Annual Report of Immunization Status Immunization Reporting Guide
Roles & Responsibilities

Austin

- Establish timeline.
- Provide technical assistance to REs.
- Work with public school districts to identify specific schools within each district to target for auditing.
- Provide line listings of public school districts/individual schools, charter school districts/individual schools and private schools to be audited.
- Create standardized report forms for RE.
- Contact the Texas Education Agency (TEA) and the Texas Private School Accreditation Commission (TEPSAC) about facilities that did not agree to conduct a school audit.
- Analyze data.

PHR

- Assign school audits to LHD staff. If a school is associated with the wrong county/PHR, please contact the Austin office as soon as the error is discovered.
- Provide technical assistance to LHD staff. Assign deadlines for audits to be completed.
- Contact school administrators prior to audit.
- Conduct audit.
- Follow DSHS audit procedures.

LHD

- Contact school administrators prior to audit.
- Conduct audits.
- Follow DSHS audit procedures.
SCHOOL AUDIT PROCEDURE

Preparing for School Audit: Contacting Public, Charter or Private Schools

1. DSHS ACE Group will send out two-line listings of schools to be audited. The first line listing will be distributed at the beginning of September with the childcare line listing, validation surveys, and the PAM. The first line listing will contain the names of schools that reported a high vaccine delinquent or high provisional enrollment rate on the 2018-2019 Annual Report of Immunization Status or were non-responders. These schools can be audited anytime between September 2019 and June 2020; however, DSHS ACE Group prefers that these audits occur during the fall semester when possible to improve data provided in the 2019-2020 Annual Report of Immunization Status.

The second line listing will be distributed in December after the 2019-2020 Annual Report of Immunization Status closes. This line listing will be of schools that did not submit an Annual Report of Immunization Status for the 2019-2020 school year. These schools must be audited between January and June 2020.

2. Review the line list distributed by the DSHS ACE Group in Austin.

3. Plan how each audit will be conducted. Will it be done on-site, through the mail, or electronically? If there are travel restrictions, the school district/individual school or private school should send the immunization records via mail or electronically.

4. Contact the school administrators. If the audit will be done on-site, arrange the date and time for the visit. The school administrator should be informed of the reason for the audit when initial contact is made, and again when the audit occurs. Some school personnel do not submit an Annual Report of Immunization Status because they believe an audit is automatic.

5. Facilities that do not cooperate: please make two documented attempts to contact the school administrator regarding the audit. If a facility does not respond, please make an in-person visit. If the facility refuses to participate in the audit, notify DSHS Central Office staff via email at schoolimm@dshs.texas.gov (who will then contact TEA or TEPSAC) and make a note on the Detail School Audit Report form located on the RE website: https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/

6. If a school is no longer operational, notify DSHS Central Office staff via email and make a note on the Detail School Audit Report form.

Instructions for Sampling Public, Charter or Private School Records

1. If a public school district or private school has been selected for audit due to being a non-responder, randomly pull 100 records from the elementary school, 100 records from the middle/junior high school, and 100 records from the high school for the identified district or school. Remember, these records need to be DE-IDENTIFIED and RANDOMLY
Central Office has received reports of school staff “cherry-picking” records with good immunization coverage. “The Random Generator website referenced in the Validation Survey Section should be used in making the random selection. Please refer to pages 33-34 for instructions. The sampling worksheet that was used should be included in the audit report.

NOTE: If a school has fewer than 100 students, skip the random number generator step and audit all records at that school.

If a district or school has been selected for audit due to a high provisional enrollment and/or vaccine delinquency rate, randomly pull 100 records from the specified grade listed on the line listing. Remember, these records need to be DE-IDENTIFIED and RANDOMLY selected — Central Office has received reports of school staff “cherry-picking” records with good immunization coverage. “Cherry picking” refers to only auditing student records with good immunization coverage. The sampling worksheet that was used should be included in the audit report. The Random Generator website referenced in the Validation Survey Section should be used in making the random selection. Please refer to pages 33-34 for instructions.

NOTE: If the specified grade has fewer than 100 students, skip the random number generator step and audit all records for the specified grade.

Please refer to the following grade break-down:

- Elementary School: K-5th Grade
- Middle/Junior High: 6th-8th Grade
- High School: 9th-12th Grade

Example: A private school is selected to be audited due to not responding to the Annual Report of Immunization Status. The school has grades K-8. The total enrollment for K-5th grade is 150 students and the total enrollment for 6th-8th grade is 80. Randomly select 100 records for the K – 5th grade audit. Audit all immunization records for 6th-8th grades. A total of 180 immunization records should be audited. The results should be noted on the corresponding page of the Detail Audit Report form.

Example: A middle school has been selected for audit due to a high provisional enrollment rate for 7th graders in the Annual Report of Immunization Status. There are 75 students enrolled in 7th grade. The auditor should audit all immunization records for students enrolled in 7th grade.


- The assessment date is the date the audit is being conducted.
- Using the assessment date of the audit, assess records for compliance using the Texas Minimum State Vaccine Requirements for Students. The school audit sheet is located on the RE website: https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/.
- Compliance rates cannot be greater than 100%.
• Provide feedback to schools on any non-compliant students who need immunizations or updated exemptions on file. The law requires students be in compliance with vaccines in order to enroll or remain enrolled in school.

A detail audit sheet is a tool for auditors to use when auditing facilities. Using the Detail Audit Sheet is intended to serve as a tool and individuals are not required to use it. The Detail Audit Sheet is located on the RE website: https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/

Steps for Completing the Detail Audit Sheet

1. Fill in the facility information in Rows 1A-4E
2. Fill in the appropriate information in rows 1AC-4AN
3. For schools, beginning on line 10A-F, fill in for every student that is being reviewed. Each sheet has room for 20 students.
4. For daycare facilities, beginning on line 10B-F, fill in for every child that is being reviewed. Each sheet has room for 20 children.
5. For each dose of vaccine that was received, place a checkmark in the cell. This indicates the number of doses of that vaccine that were received.
6. For each dose of vaccine that is MISSING, place an “X” in the cell. To ensure it is noticed, it is recommended that a red pen is used to annotate the “X” and also a circle around the “X”.
7. Use the abbreviations (NR=no record; PE=provisional enrollment; ME=medical exemption; RE=religious exemption; CE=conscientious exemption) in the first block of the applicable vaccine if a dose of vaccine was not received for one of the reasons. It is recommended that a red pen is used to annotate the NR, PE, ME, RE, or CE for quick identification.
8. It may be necessary to use more than one sheet per facility/school.
9. Upon completion of documenting all students/children, on each sheet,
   a. Count the number of students/children that are up-to-date (by checkmarks) for each vaccine. Document the number at the bottom of the page under the vaccine type.
   b. Count the number of students/children that have no record (NR) for each vaccine. Document the number at the bottom of the page under the vaccine type with NR.
   c. Count the number of students/children that are provisionally enrolled (PE) for each vaccine. Document the number at the bottom of the page under the vaccine type with PE.
d. Count the number of students/children that have medical exemptions (ME) for each vaccine. Document the number at the bottom of the page under the vaccine type with ME.

e. Count the number of students/children that have religious exemptions (RE) for each vaccine. Document the number at the bottom of the page under the vaccine type with RE.

f. Count the number of students/children that have conscientious exemptions (CE) for each vaccine. Document the number at the bottom of the page under the vaccine type with CE.

10. For schools, the information from this(these) form(s) will be entered onto the School Audit Form.

NOTE: When conducting school audits, please note any common mistakes/misunderstandings/issues, frequently asked questions, or other notable trends. The auditor should also include reasons why the schools/districts have high provisional or delinquent rates. These items should be reported back to DSHS through the quarterly report process.

Submission of School Audit Report to the DSHS Regional or Austin Office

The Excel version of the school audit form provided by DSHS ACE Group should be used. REs should save the audit data by the facility name and email the spreadsheet to schoolimm@dshs.texas.gov. DSHS ACE Group epidemiologists will compile the data and analyze the data. School audits submitted on a different format (i.e. PDF) will not be accepted. Submit completed Detail School Audit Report of Immunization Compliance form to DSHS ACE Group in Austin by July 15, 2020.
OVERVIEW - ANNUAL REPORT OF IMMUNIZATION STATUS

In accordance with Section 38.002, Education Code and 25 TAC §97.71, all public school districts, accredited charter and accredited private schools must complete the Annual Report of Immunization Status each year. The purpose of this report is to monitor compliance with the Texas immunization requirements outlined in 25 TAC §§97.61-97.72.

Timeline

- Last Friday in October to the 2nd Friday in December.
- The common assessment date for the survey is the last Friday in October: October 25, 2019.
- School nurses will complete data entry into CHRS by the second Friday in December: December 13, 2019.

Purpose of Survey

Texas DSHS Immunization staff review immunization records of children entering schools each year to monitor compliance with the Texas Minimum State Vaccine Requirements for Students Grades K - 12. DSHS ACE Group in Austin distributes the Annual Report of Immunization Status to each public Independent School District (ISD), accredited charter school district, and accredited private school in Texas. The data is self-reported by each public ISD, charter school district, and private school. If a charter school is part of a charter school district, the district will report the immunization data for the entire district, the same as an ISD. Results of the data are submitted to the CDC each April and published on the DSHS website.

A copy of the current Texas Minimum State Vaccine Requirements for Students Grades K - 12 and are provided in Appendix 3 and online.

Survey Methodology

An annual survey of immunization status is mailed to public school districts, charter school districts, and accredited private schools throughout Texas to collect the immunization status of children and the number of exemption affidavit forms filed at the public ISD, charter or private school level.

All reports must be submitted by school staff online through CHRS. Mailed, faxed, hand-delivered, or emailed reports will not be accepted. Schools that submit paper copies of the report are contacted by Central Office staff and are instructed to submit the report online. Reports that are only submitted via fax, mail, or email will not be included in Annual Report of Immunization Status results.

After the reporting period opens, DSHS ACE group will generate a weekly list of non-responders and will email the list to PHR staff who will in turn distribute the list to LHD staff. RE staff will need to contact the public school districts, charter school districts, and private schools on the list and inform them that it is a requirement to report the immunization status annually. RE staff should use the most up-to-date list of non-responders when contacting facilities on the list. The weekly
spreadsheet that contains the list of non-responders is saved by the date the list was generated. If all of the private schools and public school districts are contacted on the non-responder list and the Annual Report of Immunization Status is submitted, there is a strong possibility there will be fewer facilities on the audit list the following year.

Best practice would be for the RE to contact all non-reporting schools on a list sent early during the survey period and then contact any schools still remaining on the list toward the end of the survey period. If the school needs technical assistance to complete the report, the RE has the option of providing it or connecting the school with Central Office staff to conduct the technical assistance.

Prior to contacting the facilities on the non-responding list, REs have the ability to verify a school has submitted the Annual Report of Immunization Status in CHRS. Once the RE logs into CHRS, select the Facility tab. Once the Facility tab has been selected, there is the option to select Find Facility. The facility can be searched by either name or Facility ID. If the current status is final, the facility has submitted the Annual Report of Immunization Status. The As of Date indicates when the Annual Report of Immunization Status was submitted. The RE is also able to see when the report was last updated and who updated the information based on the information at the bottom of the image.
After searching for the facility and verifying the Annual Report of Immunization Status has not been submitted, the RE will need to contact the public school district or private school. A sample script is below if a RE is interested in guidance on what they should say when contacting the facility:

“I am contacting you as a friendly reminder as we noticed your facility hasn’t reported the immunization status of your students for the Annual Report of Immunization Status. Friday, December 13, 2019 is the deadline to submit the immunization data. Submitting an Annual Report of Immunization Status is required by law. If you don’t submit the immunization data for your students, your facility may be audited.”

Roles & Responsibilities

Austin

- Establish timeline.
- Coordinate with TEA and TEPSAC to identify schools and address any issues with schools not responding.
- Distribute Annual Report to public school districts, charter school districts, and accredited private schools in Texas.
- Provide technical assistance to RE staff and school nurses.
- Generate non-responder lists throughout the reporting window.
- Analyze data.
- Report data.

PHR

- Assist Austin staff in contacting public school districts, charter school districts, and private schools for survey submission to Austin.
- Provide technical assistance to schools and LHD staff.
- Review and distribute non-responder lists to LHD throughout reporting window.
- Contact facilities on the non-responder list throughout the reporting window.

LHD

- Provide technical assistance to schools.
- Assist PHR in contacting public, charter and private schools for survey submission to Austin.
- Contact facilities on the non-responder list throughout the reporting window.

A copy of the 2019 - 2020 Annual Report of Immunization Status and the instructions for completion are available in Appendix 2.
Texas School Immunization Validation Survey
Contractor’s Guide 2.1.03
OVERVIEW - TEXAS SCHOOL IMMUNIZATION VALIDATION SURVEY

Timeline

- For the 2019-2020 school year, September through May.
- Validation surveys should be completed after the school district or private school has submitted the Annual Report of Immunization Status in CHRS.
- For the 2019-2020 school year, the CoCASA transfer files are due to the DSHS ACE Group in Austin by June 1, 2020. (Please note: this is different than the Contractor's Guide. An official email will go out with the extended date.)

Purpose of Survey

The Texas Immunization Cooperative Agreement with the CDC requires DSHS to annually validate the school-reported immunization coverage levels. The Texas School Immunization Validation Survey is a school-based survey developed to assess the results of the Annual Report of Immunization Status for reliability, which consists of school-reported immunization compliance data from Texas public ISDs, accredited charter and accredited private schools. The validation survey authenticates the statewide immunization compliance levels for kindergarten and 7th grade students attending Texas schools (both public and private).

Method of Survey

The DSHS ACE Group in Austin provides the sampling list of schools to each PHR. PHR and LHD personnel conduct the survey based on jurisdictional responsibility. Assigned facilities and number of records to be sampled will be provided by email to the PHR offices in Excel workbooks from DSHS ACE Group. It is the responsibility of the PHR/LHD conducting the survey to work with the school nurse or the ISD Public Education Information Management System (PEIMS) coordinator to obtain de-identified immunization records.

Once the data collection phase has been completed an e-mail containing the CoCASA records will be sent to DSHS ACE Group in Austin. DSHS ACE Group epidemiologists will analyze the data collected. Results will be distributed to DSHS Regional Immunization Program Managers and will also be posted on the DSHS Immunization Unit website at http://www.dshs.texas.gov/immunize/coverage/validation.shtm.

Participation by schools in the survey is voluntary. However, before accepting refusal from a school, the purpose and public health benefits of the survey should be discussed with school officials.
Roles & Responsibilities

Austin

- Establish timeline
- Conduct sampling
- Create/maintain manual
- Provide technical assistance to PHRs
- Submit validation listing to PHRs
- Analyze and report data

PHR

- Ensure receipt of school listing from Austin
- Assign facilities to LHD staff
- Provide technical assistance to LHD staff
- Contact school administrators prior to survey
- Conduct survey
- Follow DSHS survey procedures
- Complete survey by deadline established by DSHS ACE Group in Austin

LHD

- Contact school administrators prior to survey
- Conduct survey
- Follow DSHS survey procedures
- Complete survey by deadline established by PHRs

Questions regarding the survey may be directed to Imm.Epi@dshs.texas.gov.
VALIDATION SURVEY PROCEDURE

Preparing for the Survey: Contacting School Administrators

1. Review line list distributed by DSHS ACE Group in Austin.

2. Contact the school administrators in writing at the schools that will be sampled concerning their participation in the survey. Plan how the survey will be conducted. Will it be done on-site, electronically/virtually, or through the mail? If the survey will be done on-site, arrange the date, and time for the visit. **Tell the school the enrollment total for all students in the target grade level at the school will be needed. The enrollment totals should include only students currently enrolled at these schools.** Enrollment totals should not include students that have moved or transferred to another school. Inquire about how their records are stored (paper, electronic, or both). Make sure the school or the district PEIMS Coordinator has a sequentially numbered roster of active students or can generate a numbered roster of active students in the target grade level at the selected schools. Two copies are needed. One copy contains personal identifiers (such as student’s name) and the other copy has had all identifiers removed except date of birth. The school nurse or PEIMS Coordinator will keep the roster that contains the personal identifiers and give the copy containing only the dates of birth to the reviewer. To maintain compliance with FERPA, the reviewer should not view the names of the students at any time during the survey. If a numbered roster isn’t available, then an alternative sampling method will need to be used. Details concerning the sampling procedure are addressed following this section under Instructions for Sampling School Records.

3. Fill out as many sections on the sampling worksheet (Appendix 8) as possible prior to visiting the school, or coordinate data collection through the mail. These sections include the name of the school, address, and class (Kindergarten or 7th), and the name and contact information for the health department personnel who will conduct the survey. If available at this time, record the enrollment total for the target grade on the sampling worksheet.

4. If the survey is conducted on-site, be sure to explain the purpose of the survey with the school administrator and/or school nurse.

Instructions for Sampling School Records

1. Ensure that the school nurse or PEIMS Coordinator has the numbered student roster generated before completing these steps. Two copies are needed. One copy contains personal identifiers (such as student’s name) and the other copy has had **all identifiers removed except date of birth.** The enrollment number that was provided for the target grade should match the total on the roster. The school nurse or PEIMS Coordinator will keep the roster that contains the personal identifiers and give the copy containing only the dates of birth to the reviewer. It is important that both numbered lists are generated at the same time and both match up correctly. For example, the number 10 student on both lists should be the same person. This procedure will allow the reviewer to
be relatively assured the immunization records of the students sampled for the survey are the ones pulled, while maintaining compliance with FERPA. A photocopy of the numbered roster can also be made and the names and the other identifiers blacked out and given to the reviewer if one cannot be generated electronically. If the survey is to be done on-site, have the school generate these lists prior to the reviewer’s visit. If record collection is by mail, have them send the reviewer the numbered roster removed of all personal identifiers except date of birth.

If a numbered roster cannot be generated and the school maintains a card file of immunization records, an alternative sampling method must be used: Have the school nurse take the total number of cards in the file and starting at one end, count the cards until the first card corresponding to the first random number generated by the Random Number Generator is reached, and pull that card. Continue from that point until all the cards corresponding to the random numbers have been pulled; refer to the Excel workbook provided by DSHS ACE Group for the number of records to be pulled. If total grade enrollment is less than the preferred number of records, then all student records should be used. The school nurse will need to make copies of the cards and black out names, phone numbers, addresses, social security numbers, or any other identifiers (except date of birth).

2. Because the new version of CoCASA does not have the Random Number Generator, you need to use this Random Number Generator website to generate a list of random numbers: [https://www.randomizer.org/](https://www.randomizer.org/). To use:

- In a web browser, navigate to [https://www.randomizer.org/](https://www.randomizer.org/).
- Scroll down to the Generate Numbers header.
- Type 1 into the first box, “How many sets of numbers do you want to generate?”
- Type the number of student records you want select (e.g. 100), into the second box, “How many number in set?”. This is the number of records that need to be selected from the grade being sampled. If total grade enrollment is less than the preferred number of records in the grade being sampled, all students will be selected for the sample and this random generator step can be skipped.
- If using the random number generator to select records for school audits, type 100 into this box regardless of the type of school that is being audited.
- Type 1 into the third box, “Number Range (e.g, 1-50)”.
- Type the number of enrolled students in the grade being sampled into the fourth box. It is important to use a current enrollment total to prevent a number being picked that does not have a corresponding student record.
- Keep “Yes” as the selection for the fifth box, “Do you wish each number in a set to remain unique?”
- Change “No” to “Yes, least to greatest” for the sixth box, “Do you wish to sort the numbers that are generated?”
- Keep “Place Markers Off” for the seventh box, “How do you wish to view your random numbers?”
Figure 1. In the above example, 100 records are being selected from a grade at a public or charter school that has a grade enrollment of 165.

- Click “Randomize Now!”
- In the pop-up window, “Results”, click on “Download”. This will generate a .csv file with a sorted set of numbers that you will use to identify which student records to pull.
- Working from the numbered roster with the dates of birth, find the student record whose number corresponds with the first number generated from the random number generator. Write down the date of birth of this student in the adjacent column. Follow this method for the rest of the numbers generated from the random number generator.
- You can use the sampling worksheet provided to record the student’s birthdates and randomly generated number. Alternatively, you can record the birthdates in the csv generated by the random generator website or print out the list and write out the dates. If you choose one of the latter two options, attach the list to the sampling worksheet before sending.

Provide the school nurse with a copy of the completed sampling worksheet so that they can pull the records of students corresponding to the numbers on their copy of the roster. As an alternative, the reviewer may highlight them on a copy of the roster provided. Regardless, the sampling worksheet should still be completed.

Instructions for Obtaining Immunization Histories and Entering Records

1. If the survey is done on-site, the school nurse will need to pull the records, photocopy them, and black out the names and social security numbers on all copies. If the survey is coordinated through the mail, the school nurse will obtain the immunization records of the
students selected for the survey and mail them to the reviewer. The school may provide records electronically or on paper.

Collection of the following information is required:

- Student’s date of birth
- Dates of DTP/DTaP/DT/Td/Tdap doses
- Dates of Polio doses
- Dates of MMR doses
- Dates of Hepatitis B doses
- Date of Varicella doses
- History of Varicella disease
- Dates of Hepatitis A doses
- Date of MCV4 dose
- Any Exemptions (medical, religious or conscientious)

Remember to de-identify confidential information.

2. Referring to the sampling worksheet or roster, double check to make sure the correct records were pulled based on the date of birth. Contact the school nurse if you notice any discrepancies.

Refer to Appendix 6: CoCASA Instructions for instructions on entering records in CoCASA.

NOTE: Vaccination dates after the assessment date cannot be entered into CoCASA. When conducting the survey, please do not include students who have left the school prior to this date.

Saving Validation Survey Data Files for Submission to the DSHS PHRs or DSHS ACE Group in Austin

After all of the vaccination histories have been entered into CoCASA, save all data files prior to sending them on. If sending from a LHD, save the data and submit it via an email attachment to the DSHS PHR office. If sending from a DSHS PHR office, consolidate the data from each local department and submit via email attachment to the DSHS ACE Group. Please include all sampling worksheets and the completed data quality checklist (Appendix 7) in the email attachments. It is not necessary to send copies of the child immunization records.

DSHS ACE Group email address: Imm.Epi@dshs.texas.gov.

Refer to Appendix 6: CoCASA Instructions for instructions on exporting and backing up CoCASA data.
Appendices
Appendix 1:

Sample Letters
SUGGESTED TEXT FOR CHILD-CARE FACILITIES
THAT ARE IN COMPLIANCE

[DATE]

Texas Health and Human Services (HHS)
Child-Care Licensing Division
[ADDRESS]
[CITY, STATE, ZIP]

RE: Facility in Compliance

Dear Program Administrator:

On [DATE], [FACILITY NAME] was audited by Department of State Health Services (DSHS) staff to measure the facility’s compliance with the minimum state vaccine requirements for Texas children. The immunization levels found at that audit exceeded 95% for each vaccine and the facility is in compliance with these requirements.

We are notifying you of this as part of the agreement reached between DSHS and Texas Health and Human Services (HHS) to eliminate duplicative inspections of child-care facilities, as required by HB 1555 (75th legislature).

For further information about this audit, please contact [AUDITOR/PROGRAM MANAGER] at [AREA CODE & PHONE NUMBER].

Sincerely,
Texas Health and Human Services (HHS)
Child-Care Licensing Division

RE: Facility in Compliance after Two DSHS Visits

Dear Program Administrator:

On [DATE], [FACILITY NAME] was audited by Department of State Health Services (DSHS) staff to measure the facility’s compliance with the minimum state vaccine requirements for Texas children. The immunization levels found at that audit were below 95% for one or more vaccines and the facility was out of compliance with the requirements. A second visit was scheduled on [DATE]. At that visit, the auditor found that the deficiencies had been corrected and the facility is now in compliance.

We are notifying you of this as part of the agreement reached between DSHS and Texas Health and Human Services (HHS) to eliminate duplicative inspections of child-care facilities, as required by HB 1555 (75th legislature).

For further information about this audit, please contact [AUDITOR/PROGRAM MANAGER] at [AREA CODE & PHONE NUMBER].

Sincerely,
SUGGESTED TEXT FOR CHILD-CARE FACILITIES THAT ARE NOT IN COMPLIANCE AFTER TWO VISITS

[DATE]

Texas Health & Human Services (HHS)
Child-Care Licensing Division
[ADDRESS]
[CITY, STATE, ZIP]

RE: Facility NOT in Compliance after Two DSHS Visits

Dear Program Administrator:

On [DATE], [FACILITY NAME] was audited by Department of State Health Services (DSHS) staff to measure the facility’s compliance with the minimum state vaccine requirements for Texas children. The immunization levels found at that audit were below 95% for one or more vaccines and the facility was out of compliance with the requirements. A second visit was scheduled on [DATE]. At that visit, the auditor found that the deficiencies had not been corrected.

We are notifying you of this as part of the agreement reached between DSHS and Texas Health and Human Services (HHS) to eliminate duplicative inspections of child-care facilities, as required by HB 1555 (75th legislature). Since this facility remains out of compliance after two visits by DSHS, additional follow-up by HHS is necessary.

For further information about this audit, please contact [AUDITOR/PROGRAM MANAGER] at [AREA CODE & PHONE NUMBER].

Sincerely,
SUGGESTED TEXT FOR CHILD-CARE FACILITIES THAT DID NOT RESPOND TO THREE AUDIT REQUESTS

[DATE]

Texas Health and Human Services (HHS)
Child-Care Licensing Division
[ADDRESS]
[CITY, STATE, ZIP]

RE: Facility NOT Responding to Request for Audit

Dear Program Administrator:

On [DATE], [FACILITY NAME] was contacted by [Department of State Health Services (DSHS)/Local Health Department] staff to measure the facility’s compliance with the minimum state vaccine requirements for Texas children. [FACILITY NAME] did not respond to the request for an audit. On [DATE], a second request was made and went unanswered and on [DATE], a third request was made and went unanswered.

We are notifying you of this as part of the agreement reached between DSHS and Texas Health and Human Services (HHS) to eliminate duplicative inspections of child-care facilities, as required by HB 1555 (75th legislature). Since this facility did not respond to multiple requests made by DSHS, additional follow-up by HHS is necessary.

For further information about this audit, please contact [AUDITOR/PROGRAM MANAGER] at [AREA CODE & PHONE NUMBER].

Sincerely,
Appendix 2:
2019-2020 Annual Report of Immunization Status Packet
INSTRUCTIONS FOR THE 2019-2020 ANNUAL REPORT OF IMMUNIZATION STATUS

Enclosed is the 2019-2020 Annual Report of Immunization Status for schools. This information is collected under the authority of Texas Education Code §38.002 and 25 TAC §97.71. It is used to measure compliance with immunization requirements. As required by state law, all schools must complete this report.

IMPORTANT: If you have received more than one Annual Report of Immunization Status form for the same school, you must contact us immediately at (800) 252-9152 or email schoolimm@dshs.texas.gov for detailed instructions.

If one or more of the following scenarios applies to your facility, check the appropriate line(s), fill in your Facility Name and Facility ID and return it via fax or email to (512) 776-7544, schoolimm@dshs.texas.gov. If one or more of the following apply, it is not necessary to fill out the rest of the report.

______ Closed or No Longer in Business
______ Inactive / Temporary Closure
______ Juvenile Justice Alternative Education Program (JJAEP)
______ No Immunization Records Kept on Site / Students Accounted for on Survey of School Where Enrolled
______ No Students Currently Enrolled
______ Psychiatric Facility
______ Alternative Adult Education
______ Transitional Facility (houses youth that have transitioned from foster care and teaches life skills for independent living)
______ Dual Credit Campus (an institution of higher education, like a university, that provides college credits to high school students)
______ Pre-K Only Facility (no students in K - 12)

___________________________________  ______________________________
Facility Name          Facility ID

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ONLINE DATA ENTRY

Each individual public school district, charter school district, and private school must submit the Annual Report of Immunization Status online.

1) Go to artximmunize.com for the Annual Report of Immunization Status.

2) There are three tutorials at the top right-hand corner of this web page to help assist in this process. ‘User Account’ tutorial provides instructions on creating a new user account; the ‘Imm Data Entry’ tutorial provides instructions on immunization data entry; and the 'Imm Reporting Guide’ provides guidance on commonly used terms and scenarios.

3) NOTE: ‘VHSS Data Entry’ tutorial provides instructions on Vision-Hearing-Spinal Screening data entry.

4) Open each tutorial and either print out the slides or save the files to your computer. NOTE: VHSS data entry is not required until January 15, 2020.

5) Log in to the website – Your username and password are the same as last year. Refer to the ‘User Account’ tutorial as needed for instructions. You will need your Facility ID and FIN located at the top of the Annual Report of Immunization Status form, included in this mailing.

6) After logging in, refer to the ‘Imm Data Entry’ tutorial on artximmunize.com. This tutorial contains instructions for entering your Annual Report of Immunization Status data online. Refer to the instructions on pages 2 - 6 of this tutorial to supplement the online data entry instructions. The data entry online report form is in the same order as it appears on your paper copy of the Annual Report of Immunization Status form.

NOTE: If you have problems logging in, send an email to chrs.loginhelp@dshs.texas.gov. If you have questions with data entry, send an email to schoolimm@dshs.texas.gov or call 1-800-252-9152.

Include the following information in your email so we can best assist you:

- Your first and last name,
- Your phone number,
- Your facility name,
- Your facility ID (printed on your Annual Report of Immunization Status form), and
- A detailed description of the issue you are having.

REPORTING TIMELINE

Report the immunization status of students between Friday, October 25, 2019 and Friday, December 13, 2019. The website will not allow submission of immunization data until Friday, October 25, 2019. DSHS does not accept mailed or emailed copies of the immunization report.
DSHS does not grant extensions past the deadline. Failure to submit your Annual Report of Immunization Status by December 13, 2019 may result in your facility being chosen for a school audit.

DATA PUBLICATION

Data provided in the Annual Report of Immunization Status is published annually online at https://www.dshs.texas.gov/immunize/coverage/schools/. Data entry errors made by school staff will not be corrected once the information is published online. Therefore, it is imperative that the data be checked before submission. This immunization data is also submitted to the Centers for Disease Control and Prevention (CDC).

SECTION 1:

PUBLIC SCHOOL DISTRICT/ CHARTER SCHOOL DISTRICT or PRIVATE SCHOOL INFORMATION

Use the following information to access the online Annual Report of Immunization Status:

(A) Facility Name
(B) Facility ID
(C) FIN
(D) For data reporting purposes, ensure your mailing address accurately reflects the location of your facility. If it does not match, contact us at (800) 252-9152 or email schoolimm@dshs.texas.gov for further instructions.

Enter your contact information:

(E) Name and title
(F) Email address and phone number

Complete the following information for your ENTIRE public school district/charter school district or private school, for ALL grades K - 12. (Private schools - enter your specific private school information, NOT diocese total or parent organization information.)

NOTE: Do not include information on Pre-K students.

(G) Total number of students with at least ONE conscientious exemption in your public school district/charter school district/private school for ALL grades K - 12.
(H) Total number of students enrolled in your public school district/charter school district/private school. Total number of students enrolled in your public school district/charter school district/private school regardless of what grade levels you have in your district or school. For example, a private school with only grades 8 - 12 must provide the total number of students enrolled in grades 8 - 12.

• Do not include information on Pre-K students.
(I) Indicate the grade level(s) at your facility (check all that apply).

NOTE: If your public school district/charter school district/or private school does not provide education to students enrolled in grades K and 7 (e.g. 9-12 only), answer only questions A through I in Section 1.
SECTION 2:
IMMUNIZATION STATUS

The information below must be submitted for Kindergarten and 7th grade students in your public school district/charter school district/or private school. For a list of immunization requirements, see the Texas Minimum State Vaccine Requirements for Students Grades K - 12 (Stock No. 6-14) attached or at www.immunizetexas.com/.

NOTE: If your public school district/charter school district/or private school does not provide education to students enrolled in grades K and 7 (e.g. 9-12 only), answer only questions A through H in Section 1 above.

1 – Tables

The following refer to questions (a) through (g) in Table 2: KINDERGARTEN, and Table 3: 7th GRADE.

For clarification of terms “conscientious exemption” or “provisional enrollment,” see below Charts– Vaccine Specific Information.

1. Total number of schools in your public school district with Kindergarten (2a)/7th grade (3a).

   HINT: For most private schools, the number should be 1.

2. Total number of students enrolled in Kindergarten (2b)/7th grade (3b).

3. Total number of Kindergarten (2c)/7th grade (3c) students with a conscientious exemption on file for at least one vaccine. Review records of all students with an affidavit on file, regardless of the number of vaccines checked on the student’s form.

   HINT: If you document that you have at least one student with a conscientious exemption on file on question 2c or 3c, you must also document the corresponding vaccine or vaccines that the student is exempted from in Column 3 of Chart – Vaccine Specific Information.

4. Total number of Kindergarten (2d)/7th grade (3d) students with a conscientious exemption to all required vaccines.

   Count the number of students that presented an Exemption from Immunizations for Reasons of Conscience Form with all vaccines checked.

   HINT: The number must be less than or equal to the number reported in 2c or 3c.

   NOTE: You might not have any students in this category.

5. Total number of Kindergarten (2e)/7th grade (3e) students with a medical exemption.
HINT: If you document that you have at least one student with a medical exemption on file on question 2e or 3e, you must also document the corresponding vaccine(s) that the student is exempted from in Column 4 of Chart – Vaccine Specific Information.

6. Total number of Kindergarten (2f)/7th grade (3f) students with a medical exemption to all required vaccines.
   
   Count the number of students that have presented a medical exemption statement for all vaccines.
   
   HINT: The number must be less than or equal to the number reported in 2e or 3e.
   
   NOTE: You might not have any students in this category.

7. Total number of Kindergarten (2g)/7th grade (3g) students with no immunization record on file.
   
   NOTE: Do not include students with an exemption to any or all vaccine(s).
   Students without immunization records or valid vaccine exemptions on file who are not enrolled provisionally must receive vaccines as soon as medically feasible. Per Texas Education Code 38.001, each student shall be fully immunized against diphtheria, rubella, rubella, mumps, tetanus, and poliomyelitis, unless a valid vaccine exemption is on file or the child meets the provisional enrollment criteria.

8. Total number of kindergarten (2h)/7th grade (3h) students who are provisionally enrolled.
   
   NOTE: This number must be less than or equal to the sum of Column 2 of Chart – Vaccine Specific Information.

Chart – Vaccine-Specific Information

Column 1 - Up-to-Date

In this column, include only the number of students who are up-to-date or completely vaccinated. For example, include all those who have completed all required doses of a specific vaccine for their age. A student that has provided required documentation to support serologic evidence of infection or serologic confirmation of immunity to measles, mumps, rubella, hepatitis B, or hepatitis A, should be included as being up-to-date.

NOTE: Students that have received varicella vaccine and have a history of illness must be captured in Column 6 – History only.

Column 2 - Provisional

In this column, include the number of students who are provisionally enrolled. A student can enroll provisionally under the following circumstances:
(1) When a student has started a series of required vaccinations and is on schedule to receive the remaining doses as rapidly as medically feasible;

(2) When a student has transferred from one Texas school to another Texas school and is waiting on the transfer of immunization records (30-day period);

(3) When a student is a dependent of a person who is on active duty with the armed forces of the United States and is waiting for the transfer of records from a previous school; or

(4) When a student fits the definition of homeless or in foster care, a student can provisionally enroll for 30 days if acceptable evidence of vaccination is not available.

(5) Refer to 25 TAC §97.66 for complete information regarding provisional enrollment. Also go to https://www.dshs.texas.gov/immunize/school/school-requirements.aspx for a provisional enrollment flowchart and a provisional enrollment dosing schedule.

**Column 3 - Conscientious**

In this column, include the number of students who have an official Exemption from Immunizations for Reasons of Conscience affidavit form on file from the Texas Department of State Health Services (DSHS). The notarized original form must be on file at your school.

**Column 4 - Medical**

In this column, include the number of students who have a valid medical exemption on file with your school. The student’s physician (M.D. or D.O.) must sign the medical exemption statement. The medical exemption must state that, in the physician’s opinion, the required vaccine is medically contraindicated or poses a significant risk to the health and well-being of the child, or any member of the child’s household. Unless the written statement specifies that a lifelong condition exists, the exemption statement is valid for only one year from the date signed by the physician.

**NOTE:** Students with a history of illness of varicella should be reported in Column 6 – History and not counted as a medical exemption.

**NOTE:** A medical exemption is not a conscientious exemption.

**Column 5 - Delinquent**

In this column, include the number of students who are delinquent with vaccination requirements. Delinquent students are those who are not up-to-date on their immunizations; do not have the required immunizations for their age; do not qualify for provisional enrollment; or do not have a valid medical or conscientious exemption on file. Therefore, do not include students that have been accounted for in Columns 1 - 4.

**NOTE:** According to state law, these students should not be attending school, until immunization records are provided to you.

**Column 6 - History**

In this column, include the number of students with a documented history of varicella (chickenpox) infection. Acceptable documentation of infection is a written statement from a parent (or legal guardian or managing conservator), school nurse, or physician attesting to a child’s positive history
of varicella disease, or of varicella immunity, per 25 TAC §97.65. Do not include students accounted for in columns 1 - 5.

NOTE: If a student has received varicella vaccine and has a documented history of illness, include the student in column 6 ONLY.

Column 7 - Totals

Add each line for each vaccine. The total for every vaccine must equal the total enrollment for the specified grade level in 2b or 3b above. The number in column 7 must be the same for each vaccine since it is the total number of students enrolled for that reported grade.

HINT: As you enter your report online, automatic data validations will check the accuracy of your data.

Additional Information

All Schools

- Fill out all required fields for the report. If there are no students in a particular category or if the category is not applicable to you, place a zero in the box.
- If your facility only has grades above 7th grade, you are only required to complete Section 1 of this report.
- If you have access to a computer software program that calculates your Annual Report of Immunization Status, do not send the computerized printout to DSHS. Instead, use your printout to complete the Annual Report of Immunization Status online.
- Do NOT select “submit” until data for all grades are finalized. If you submit your information before all data is entered, you will not be able to continue with data entry, and your report will be incomplete. If this happens, contact us at (800) 252-9152 or email schoolimm@dshs.texas.gov.
- Carefully review your report before you submit it. Once submitted, changes will not be allowed. Check to ensure all numbers are entered correctly and check the calculations.
- It is very important that you keep a copy of your report for your records. After you submit your data online, you will have the opportunity to print a summary report.

Public School Districts

- This report must include your total district numbers for all requested grades. Do not submit a separate report for each kindergarten and 7th grade school in your district.

Charter School Districts

- It is important that only one report is submitted per charter school district. Charter school district reports must reflect all campuses assigned to each charter school district as organized in the Texas Education Agency’s AskTED database (http://tea4avholly.tea.state.tx.us/tea.askted.web/Forms/Home.aspx).
Private Schools

- If you received more than one report and the forms have different facility ID numbers, contact us immediately at (800) 252-9152 or email schoolimm@dshs.texas.gov. Do not combine different reports.
- For Catholic diocese schools, submit the reports with information specific to the school name listed, not the diocese total.

Contact the Immunization Unit at (800) 252-9152 or email schoolimm@dshs.texas.gov if you have questions or concerns about the Annual Report of Immunization Status or need more information about immunization requirements.

Questions and Answers

Report Preparation

Q: Why don’t I have the option to report Pre-K data?
A: The Annual Report of Immunization Status no longer collects pre-kindergarten immunization data.

Q: How should I answer the question that asks for the “Total number of schools in your public school district/charter school district/private school with grade K or 7?”
A: This number reflects the number of physical campuses in your public school district/charter school district/private school with this grade level. Diocese schools should not report diocese totals. This also applies to the Kindergarten and 7th grade data tables (table 1 and 2).

Q: I see the question that states, “Total number of students with a conscientious exemption for all vaccines.” What does this mean?
A: This question refers to the number of students that have a conscientious exemption affidavit on file and are exempt from all required vaccines. This number is a subset of the previous question (number of students with an exemption to one or more vaccines) and should be a smaller number. Some children may not have an immunization record on file. Others may have an incomplete record on file.

Q: Some of my students have conscientious exemption affidavits with all vaccine categories checked (i.e., “exempt from all vaccines”) but also have an immunization record on file indicating that they meet some of the vaccine requirements (e.g., three doses of Hepatitis B vaccine). How should I categorize these students on the report?
A: If a student has received all the doses of a required vaccine and has an exemption on file for that vaccine, count this student in the number for the up-to-date total in Column 1 for that vaccine. For example, if a student received three doses of Hepatitis B vaccine and had a vaccine exemption for all required vaccines, the student would be included in the total number of students who are up-to-date in Column 1 for Hepatitis B vaccine and the student would be counted in Column 3, conscientious exemptions, for all the other vaccines.
Q: I see the question (2g, 3g) that asks for the total number of students without an immunization record. What does this mean?

A: Document the total number of students in this grade level that do not have an immunization record OR an exemption on file. These students must be included in the counts of delinquent students in Column 5. Do not include provisionally enrolled students in column 5.

Q: Is the “Delinquent” column (5) for all my students who do not have a shot record on file?

A: This is for students that are out of compliance and considered delinquent. In some cases, these students may be counted as “without a shot record” in 2g/3g. The following scenarios are examples, but this is not a complete list:

- The student was provisionally enrolled but did not receive the necessary doses of vaccine or did not present an immunization record within the allotted time and is now delinquent.
- The student has not received the required vaccines and does not have a valid conscientious or medical exemption on file.
- A student has a conscientious exemption that has expired.
- A student’s immunization record is not up-to-date (i.e. missing vaccine doses).

Q: How do I complete the column labeled “Students with a History of Illness” for varicella (chickenpox)?

A: The 25 TAC §97.65 allows students with a documented history of varicella (chickenpox) illness to satisfy the varicella school entry requirements. Count a student enrolled with a documented history of varicella (chickenpox) illness ONLY in the “Students with a History of Illness” Column 6.

Q: I have a student who has received one dose of varicella but also has a documented history of varicella illness. How should I count this student?

A: Count all students that have a documented history of varicella illness on file at the school in Column 6, “History of Illness”.

Questions and Answers
Report Submission

Q: I am a new user for my school and do not have a user ID or password. How do I get this information?

A: You will need your Facility ID and FIN number (located on the mailing address page in the lower right hand side). Go to the Child Health Reporting System (CHRS) website at www.artximmunize.com. Under the login box, choose the link “Click here to register for a new school or child-care facility user account.” Refer to the tutorial on the CHRS website for more detailed instructions.
Q: I don’t have a password or I forgot my password. How do I get a new one?
A: You will need your Facility ID and FIN number (located on the mailing address page in the lower right hand side). Go to the CHRS home page at www.artximmunize.com and select “I forgot my User ID/Password – School/Child-Care Facility User.” Refer to the tutorial on the CHRS website for more detailed instructions.

Q: Once logged into the system, I entered my Contact Information and clicked “Save.” The system will not allow me to answer the next two questions: “Total number of students with a conscientious exemption” and “Total school enrollment K - 12.”
A: You must go back and select “Edit”, enter the totals for both questions and then select “Save” again.

Q: I accidentally clicked submit before my report was complete, how can I complete my report?
A: Once you submit your report, you are unable to edit any information. Therefore, you must complete a paper copy of the form (included in your mailing). You must email the completed report to schoolimm@dshs.texas.gov and document “Report was not complete when submitted online”.

NOTE: This is the only mistake where we will accept a paper copy.
1. Enter all immunization data for the 2019 - 2020 school year. Immunization data can be entered electronically between Friday, October 25, 2019, and Friday, December 13, 2019. Ensure your facility’s immunization data reflects the 2019 - 2020 school year.

2. Verify your school name, school address, Facility ID, and FIN are correct (located on the mailing address page in the lower right hand side).

3. Ensure ALL of your contact information is complete and accurate with your name, title, phone number, and email. We may need to contact you with questions or concerns.

4. Ensure you correctly answer questions G and H at the top of your report. G must reflect the number of students in K - 12 with at least one conscientious exemption on file and H must reflect your district’s total K - 12 enrollment.

5. In tables 2 and 3, ensure that the number of students with an exemption to ALL vaccines (2d/3d) is included in the number of students with an exemption to at least ONE vaccine (2c/3c).

6. Verify all data has been entered for Kindergarten and 7th grade. If your facility does not have Kindergarten or 7th grade, only section 1 must be completed.

7. Once you have verified ALL information is complete and accurate, submit your report.

8. Print a copy of your completed report for your records.

If you have additional questions, contact the Immunization Unit at (800) 252-9152 or schoolimm@dshs.texas.gov.
NOTE: Submit this report by Friday, December 13, 2019.

SECTION 1: PUBLIC SCHOOL DISTRICT/CHARTER SCHOOL DISTRICT/PRIVATE SCHOOL INFORMATION

(ALL SCHOOLS must complete Section 1)

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>(A) Name of Public School District/Charter School District/Private School</td>
<td></td>
</tr>
<tr>
<td>(B) Facility ID Number</td>
<td></td>
</tr>
<tr>
<td>(C) FIN</td>
<td></td>
</tr>
<tr>
<td>(D) Mailing Address</td>
<td></td>
</tr>
<tr>
<td>(E) Name &amp; Title of Person Completing Form</td>
<td></td>
</tr>
<tr>
<td>(F) Email and Phone Number</td>
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</tr>
</tbody>
</table>

Complete items **G** and **H** for your public school district/charter school district/private school.

**G** What is the total number of K - 12 students in your public school district/charter school district/private school with at least one conscientious exemption? _____

**H** What is the total enrollment number of K – 12 students in your public school district/charter school district/private school? ___________________________
**SECTION 2. Table 1: KINDERGARTEN**

2a. Total number of schools in your public school district/charter school district/private school with grade K. _________

2b. Total enrollment for grade K. _________

2c. Total number of K students with a **conscientious exemption** for at least one vaccine (must be not be more than (G) above). _________

2d. Of the students included in 2c, how many have a **conscientious exemption for all** required vaccines? _________

2e. Total number of K students with a **medical** exemption for at least one vaccine. _________

2f. Of the students included in 2e, how many have a **medical exemption for all** required vaccines? _________

2g. Total number of K students **without** an immunization record. (Do not include students from 2d above) _________

2h. Total number of K students provisionally enrolled for at least one vaccine. (See provisional flowchart that is attached for more information. Do not include students from 2c, 2d, 2e, 2f, and 2g above Chart – Vaccine Specific Information.) _________

<table>
<thead>
<tr>
<th>Vaccine</th>
<th>Number of Students Up-To-Date</th>
<th>Number of Students Provisionally Enrolled</th>
<th>Number of Students that are Exempt with Official State of Texas Form</th>
<th>Number of Students that are Exempt with a Statement from a Health Care Provider</th>
<th>Number of Students Out of Compliance</th>
<th>Number of Students with a History of Illness*</th>
<th>(7) Total from Columns 1 - 6 (2b)</th>
</tr>
</thead>
<tbody>
<tr>
<td>DTaP</td>
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<tr>
<td>Hepatitis A</td>
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</tr>
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</tr>
</tbody>
</table>

*If a student has received varicella vaccine and has a documented history of illness, include the student in column 6 ONLY.

*If a student has required documentation on evidence of immunity or prior history of disease of measles, mumps, rubella, hepatitis B, or hepatitis A, include them as up-to-date.
### SECTION 2. Table 2: 7th Grade

#### 3a. Total number of schools in your public school district /charter school district/private school with 7th grade. __

#### 3b. Total enrollment for 7th grade. ________

#### 3c. Total number of 7th grade students with a conscientious exemption for at least one vaccine (must be more than (G) above). ________

#### 3d. Of the students included in 3c, how many students have a conscientious exemption for all required vaccines? ________

#### 3e. Total number of 7th grade students with a medical exemption for at least one vaccine. ________

#### 3f. Of the students included in 3e, how many have a medical exemption for all required vaccines? ________

#### 3g. Total number of 7th grade students without an immunization record. (Do not include students from 2d above) ________

#### 3h. Total number of 7th grade students provisionally enrolled for at least one vaccine. (See provisional enrollment flowchart that is attached for more information. Do not include students from 3c, 3d, 3e, 3f, and 3g above.) ________

<table>
<thead>
<tr>
<th>Vaccine</th>
<th>Number of Students Up-to-Date</th>
<th>Number of Students Provisionally Enrolled</th>
<th>Number of Students that are Exempt with Official State of Texas Form</th>
<th>Number of Students that are Exempt with a Statement from a Health Care Provider</th>
<th>Number of Students Out of Compliance</th>
<th>Number of Students with a History of Illness*</th>
<th>(7) Total from Columns 1 – 6 (3b)</th>
</tr>
</thead>
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<td>Tdap/Td</td>
<td>(1) Up-to-Date</td>
<td>(2) Provisional (3h)</td>
<td>(3) Conscientious (3c)</td>
<td>(4) Medical (3e)</td>
<td>(5) Delinquent (3g)</td>
<td>(6) History</td>
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</tbody>
</table>

* If a student has received varicella vaccine and has a documented history of illness, include the student in Column (6) ONLY.

* If student required documentation evidence of immunity or prior history of disease to measles, mumps, rubella, hepatitis B, or hepatitis A, include them as up-to-date.
Appendix 3:

2019-2020 Texas Minimum State Vaccine Requirements for Students in Grades K-12
Appendix 4:

2019-2020 Texas Minimum State Vaccine Requirements for Child-Care and Pre-K Facilities
Appendix 5:

ACIP Recommended Childhood Immunization Schedule
Instructions for Using CoCASA to Perform School Validation Surveys

NOTE: The following instructions are for CoCASA v14.03. Reference a previous version of the PAM if you need instructions on using an older version, though it is recommended that you update your software to the newest version every year. The software is not forwards compatible-this means you cannot open CoCASA files exported from a newer version using an older version of CoCASA.

Getting Started

It is very important that the most current version of the Comprehensive Clinical Assessment Software Application (CoCASA) is used. CoCASA may be downloaded for free from the CDC’s website at http://www.cdc.gov/vaccines/programs/cocasa/index.html.

Using the CoCASA software

Locate the CoCASA icon on the computer desktop and double click to open.

Or

Click on the Start Menu > CoCASA.
CoCASA opens to the Providers Screen. Just below the menus, there is a tab for Providers and another for Assessments. Next to the tab names “Providers” and “Assessments”, there are numbers in parentheses. These are the number of providers and assessments currently in the CoCASA program. In the below example, there are 181 providers and 181 assessments.

On the Providers tab the tree displays each school in alphabetical order, with that school’s associated assessments underneath in a sub-tree. Click on the school name to view or edit the school information page. Click the plus sign next to the name of the school to expand the tree and view or edit the assessments.

On the Assessment tab the tree displays all of the assessments in assessment date order, regardless of school, with the most recent assessment at the top. Click on an assessment to view or edit the assessment.

To search for a school, type in part of the school name in the search bar at the top of the navigation pane and click Find.

Setting Up the Assessment Site Information

In the Providers tab, click Add a New Provider on the right side of the screen or right click in the navigation pane on the left side of the screen and choose “Add New Provider”.

Fill in the site information, filling in at minimum, the name of the school being surveyed (Provider site name), the address of the school (Street address 1), the city (City), zip code (Zip), county (County), and the public health region (Region) that the school is in.

To navigate thru the fields, you can use your tab key or click the mouse in any field.

In the VFC PIN field, enter the school/campus ID for the school being assessed. This ID can be found on the line listing you received from DSHS.

NOTE: Newer versions of CoCASA do not save automatically. You have to click Save Changes to save changes to the provider, assessment or patient information. If you click away, in the navigation pane for example, a “Discard your changes?” window will pop-up asking you if you want to save. Use Undo Changes to revert any fields back to their previous values.

To delete a school, click Delete This Provider on the right side of the Providers screen.

Assessment Setup

Once you have added a new provider, click on the Add New Assessment button in the top right hand corner of the screen or right click the school name in the navigation pane and choose “Add New Assessment”. The Assessments screen comes up:

To setup the Assessment, first enter an Assessment Name appropriate to the assessment being conducted. Include school name, grade level, assessment type and year so you can easily identify which school to include when you export the files from CoCASA (for example, Pflugerville
Elementary- Travis KG Validation 2019). The **Assessment Date** should be the day the survey was conducted.

Next, set the **Age Range for this Assessment** to the appropriate age range for the grade being sampled: **4 to 7 years** if you are performing a Kindergarten Validation Survey and **11 to 14 years** if you are performing a 7th grade Validation Survey. For the **As Of** date, enter the date of the last Friday in October of the current school year (e.g., 10/25/2019), regardless of when the survey is actually conducted. The boxes for **Earliest Date of Birth** and **Latest Date of Birth** will be calculated automatically.

**Last**, check the appropriate boxes in the **Antigens Assessed** section for the grade being sampled:

For the kindergarten surveys, check DTaP, IPV, MMR, HepB, VAR, and HepA. For 7th grade surveys, check DTaP, IPV, MMR, HepB, VAR, HepA, Tdap, MenACWY. Select “No” in the **Record Brand Names?** section.
To delete an assessment, click **Delete This Assessment** on the right side of the Assessments screen.

**Data Entry of Immunization Records**

After setting up the assessment, click on the *Patients()* tab at the top of the window. The Patients screen comes up:

Enter the student’s **Date of Birth** (mm/dd/yyyy format). Enter the corresponding record number from the Validation Survey Sampling Sheet in the required **Identifier** field.

In the **Doses** tab in the bottom table, enter all vaccination dates received on or before the assessment’s **As Of** date (the last Friday of October) for the **Antigens** required for the grade being surveyed:

- **Kindergarten:** DTaP, IPV, MMR, HepB, VAR, and HepA
- **Seventh Grade:** DTaP, IPV, MMR, HepB, VAR, HepA, Tdap, MenACWY.

Do not enter dates for vaccines received after the last Friday of October in the current school year. If a student received multiple immunizations on the same date, you can click on the antigen and dose you’d like to add a date to and use the quick buttons F1 thru F9 to add the dates that have already been entered. F10 clears all of the dates saved as F1 thru F6, not all dates entered.
When you are finished editing the doses, click **Save Changes** at the bottom of the Patients screen.

In the **Reasons Not Given** tab of the table, use the **Vaccines Not Given** and the **Reason Not Given** drop-down fields to capture medical contraindications, philosophical exemptions, lab evidence of immunity of **history of varicella** that may be included in the student’s school immunization record. CoCASA requires a date to save the Reasons Not Given entry. If the student’s school immunization record does not have a date affiliated with the reason not given, use the assessment date, in this case 12/19/2019.

**NOTE:** CoCASA versions 14.01 and 14.02 do not have a Reasons Not Given section. To collect philosophical objection, medical contraindications, missing immunizations or history of illness information as with previous versions, download version 14.03.
You can navigate to a student’s record by clicking on the record number in the panel left of the Patients screen or, type the record number into the search bar at the top of the navigation pane and click Find.

Once you finish entering student data for this assessment, make sure that the number in the parentheses in the Patients () tab is the number of student records you meant to sample. This should match the number of records assigned by DSHS ACE Group for that specific school or district. Or if the total enrollment of the grade is less than the number of records assigned, the number in parentheses should match the total enrollment.

Exporting CoCASA Data

Select File, Import, then CoCASA data from the main menu.
The **Export CoCASA Data** screen will appear. Check the boxes next to the assessments to be exported from the providers list. Choose **All Data** under the Export Options. The **from** and **to** dates may be left blank. Deselect the **Encrypt** box if you do not wish to apply a password.

Hit the **Export** button and navigate to the folder you want to save the file in.

![Export CoCASA Data](image)

Rename the **File name** to a name that identifies the school name, county and assessment type (eg. School ABC- Travis KG Validation 2019).
Click **Save**. The Export CoCASA Data window will appear notifying you that the data has been exported successfully. Click **Ok**.

Attach the XML files in an e-mail to the designated contact. If sending from a LHD, the designated contact is the PHR office. If sending from a PHR, the designated contact is the DSHS ACE Group at Imm.Epi@dshs.texas.gov. Include any sampling worksheets and all appropriate quality check lists.

**Backing Up Data**

Back up your CoCASA data routinely by choosing **Back Up Data** from the **Utilities** menu.

A message box will appear notifying you that the data was backed up successfully.
NOTE: If you ever need the file path for the current location of your CoCASA database, choose **Utilities, Database Functions, View Database Location**. You can also use the Utilities-Database Functions menu to copy or repair the database or connect the CoCASA application to a different database.
Appendix 7:
Validation Survey Data Quality Check List
Validation Survey Data Quality Check List

This form should be used to ensure that data submitted are complete and accurate.

<table>
<thead>
<tr>
<th>Review Criteria</th>
<th>Yes</th>
<th>No</th>
<th>Comment/Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>All personal identifiers, except date of birth, have been de-identified from all records</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All vaccine histories for each vaccine are entered for each record. Please ensure all required vaccines are recorded.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Correct age range was used for the grade level being sampled, when setting up the assessment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All records requested per school are entered into CoCASA and that data file is not blank.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facility ID, street address, city, zip, county name, and region is entered for each school</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check that the assessment date is the date of the last Friday in October</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>All schools provided on the line listing have been included in the electronic file.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I certify that the information submitted has been reviewed and verified.

_________________________________________ _______________________
PHR Immunization Program Manager Signature Date
Appendix 8: Validation Survey Sampling Sheet
Validation Survey Sampling Sheet for [SCHOOL/FACILITY NAME]

School/Facility Address: ________________________________________________________________

City: ________________________________  County: ________________________________

Facility ID: ________________________________

School Type: □ Private  □ Public/Charter

Grade to be sampled: □ KG  □ 7th

How many students are currently enrolled in the grade to be sampled: ______________________

Organization conducting survey: ______________________________________________________

Survey conducted by: _______________________________________________________________

Phone number: ______________________  Email Address: ________________________________
Number of Records to Sample:

Refer to the Excel workbook provided by DSHS ACE Group for number of records to sample for each school and grade.

If total grade enrollment is less than the preferred sample size, include ALL records for that grade.

Example:

<table>
<thead>
<tr>
<th>Record Number</th>
<th>Date of Birth</th>
<th>Corresponding Number (Randomly Generated Number)</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>05/05/2012</td>
<td>18</td>
</tr>
</tbody>
</table>
Frequently Asked Questions

Schools

What is the difference between a school audit and a school validation? The audit is required when a facility has been identified to have poor compliance with immunization program requirements. A school / ISD will be selected for audit of the school if any of the following apply:

- >5% of student population delinquent on ≥two vaccines
- >5% of provisionally enrolled students, or
- Non-responder for Annual Report of Immunization Status

The school validation survey randomly selects schools to participate in a survey recording dose level information to calculate a verified compliance rate among students in Texas schools. The compliance rate is compared to the immunization data the schools submitted for the Annual Report of Immunization Status.

Are private schools allowed to create polices that do not accept conscientious exemption affidavits? Yes. As long as the child-care facility does not accept state tax funds, it can create a policy that does not accept unvaccinated children. The Attorney General’s Opinion regarding charter and private schools accepting unvaccinated children can be found at https://www.texasattorneygeneral.gov/opinions/greg-abbott/ga-0420

Are we required to keep courtesy copies of immunization records we receive from schools or child-care facilities? Keep the courtesy copies until finished with the reporting period for the specific task (validations, audits, etc.) in case there are any questions. Once the reporting period ends for the specific task, place documents in the confidential shred bin.

Who should audit the campus if the district administration office is located in a different county? The audit should be conducted by the auditor who has jurisdiction over the campus.

What is the correct response if a school district cites violation of FERPA as a reason not to participate in the validation survey? Texas Education Code, Chapter 38, Section 38.002 requires each public school to keep an individual immunization record during the period of the attendance for each student admitted. The records shall be open for inspection at all reasonable times by the
Texas Education Agency or by representatives of local health departments or the Texas Department of Health. FERPA only applies to schools that receive federal funding.

**Why can’t I access CHRS using the following link [http://www.artximmunize.com](http://www.artximmunize.com)?** This web address will only work for external users and will not work on a DSHS connected network. Anyone accessing the CHRS website while on a DSHS network, should use the following website: [http://chrstx.dshs.state.tx.us/CHRS/login.aspx](http://chrstx.dshs.state.tx.us/CHRS/login.aspx).

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**Child-Care**

**What should I do if the child-care facility is permanently or temporarily closed?** The DSHS ACE Group in Austin should be notified via email if the facility is permanently or temporarily closed. A note should also be placed on the submitted audit report. If the facility is closed temporarily, the facility can be visited next year.

**If the child-care center compliance rate is 94.7% (i.e., it rounds up to 95%) on the audit, would the facility be marked as non-compliant?** The compliance rate should be indicated as 94.7%, but the facility should not be dinged for non-compliance.

**What should I do if a healthcare provider argues about the age requirements for when a child should receive certain vaccines?** Provide a copy of TAC Rule §97.63 since it indicates students are required by law to receive certain vaccines on or after a certain birthday. Giving the doctor(s) copies of the childcare and school vaccine charts is also an idea so the healthcare provider will have references that summarize the vaccine requirements for individuals enrolled in schools and childcare facilities.

**Where does it state children enrolled in a childcare facility must meet vaccine requirements?** TAC Rule §746.613 explicitly states that children enrolled in childcare centers must meet and continue to meet applicable immunization requirements.

**If an assigned childcare facility is licensed by HHS as a childcare facility, but provides education to children over five years of age, should I only audit the immunization records of children who are younger than five? Or should I audit the immunization records for all children attending the facility?** These facilities are considered to be unaccredited private schools. In this scenario, the immunization records for 100% of the currently enrolled children should be audited. The auditor would use the childcare and school audit forms. Per TAC Rule §746.613, the facility must maintain current immunization records for each child in its care.

**How often is the list of childcare facility listing updated on the CCL website?** The CCL database updates nightly.

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**Vaccine Exemptions**
Is a conscientious exemption notarized by a notary public for another state valid? No. A conscientious exemption affidavit is only valid if it is notarized by a notary public for the State of Texas.

Are non-medical vaccine exemption forms from other states valid for enrollment in Texas childcare facilities, elementary schools, secondary schools, and institutions of higher education? No, only State of Texas vaccine exemption affidavits are valid for people who decline vaccines for reasons of conscience, including a religious belief.

How do we identify altered vaccine exemptions? If exemptions are altered, how should we proceed? A valid conscientious exemption affidavit is printed on special paper that has the following characteristics:

- heavier than Xerox paper
- State of Texas seal imprinted in the middle of the paper
- red number in upper right hand corner of the page
- void will appear across the sheet of paper if a copy is made.

The auditor should inform the school or childcare personnel the form isn’t valid and educate the facility staff on how to identify a real vs fake conscientious exemption affidavit. Additionally, the child with the fake conscientious exemption affidavit should not be allowed to return to school until s/he has started the vaccine series or has a valid conscientious exemption. More information can be found in Rule 97.62 of the TAC.

If a student has a conscientious exemption with all of the boxes checked and a partial immunization record, are both accepted? Yes. The student would be marked up-to-date for the # of required vaccines s/he has received in the school EHR, Annual Report of Immunization Status, or on the audit report.

Tips for Conducting Audits

- Check in the Child Health Reporting System (CHRS) if the school or child-care facility has the correct address and phone number. The HHS child-care licensing website should be checked prior to the visit to ensure the facility is still operating.
- Send out a letter to school or child-care facility to notify them that their facility has been selected for an audit.
- If an audit will be conducted in-person, the superintendent or principal should be contacted in writing to schedule an appointment. The person conducting the audit should speak with the school nurse and explain the process, anticipated amount of time, and the documents that should be available during the audit.
• The school or child-care facility should be contacted by email or phone one week prior to the audit as well as a called the day before to ensure the facility has all the information needed and that there have not been any changes in staff since the facility was first contacted.
• Get familiar with rules and regulations regarding vaccine requirements in schools and child-care facilities.
• When the audit has been completed, it is a good idea to explain the results to the school/child-care staff and answer any questions.

Timeline & Tips for Completing School & Childcare Compliance Tasks
The timeline below is simply a suggestion from an auditor and REs are not required to follow it.

1. Staff should plan a “cutoff date” for completing all required tasks in order to allow enough time for completing tasks, like follow-up visits to non-compliant childcare facilities and submitting documents on time.
2. Allow at least 30-45 days for any follow-up in order to ensure assignments are submitted on time to either PHR or ACE Group.
3. Complete childcare audits first, since follow-up visits are required for non-compliant facilities.
4. Use a spreadsheet for tracking purposes.

<table>
<thead>
<tr>
<th>Month</th>
<th>Task</th>
<th>Amount of Time Facility Has to Prepare for Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>September</td>
<td>• Review the PAM, templates, &amp; update any educational material</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>• Compile any necessary materials</td>
<td></td>
</tr>
<tr>
<td>October through February</td>
<td>• Contact 3-5 LCCs at a time, notify of upcoming audit, &amp; audit immunization records</td>
<td>3-4 weeks</td>
</tr>
<tr>
<td>November through February</td>
<td>• Complete LCCC audits</td>
<td>3-4 weeks</td>
</tr>
<tr>
<td>November</td>
<td>• Contact schools &amp; remind staff to submit the Annual Report of Immunization Status</td>
<td>N/A</td>
</tr>
<tr>
<td>Month Period</td>
<td>Action Description</td>
<td>Timeframe</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-------------------------------------------------------------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>December through end of January</td>
<td>Contact schools regarding validation survey</td>
<td></td>
</tr>
<tr>
<td>January through February</td>
<td>Contact RCCHs, notify of upcoming audit, &amp; audit immunization records.</td>
<td>2-3 weeks</td>
</tr>
<tr>
<td>March through May</td>
<td>Notify school or upcoming audit and audit immunization records</td>
<td>2-3 weeks</td>
</tr>
</tbody>
</table>

---

**Appendix 10:**

**Resources**
Online Resources

**ACIP Catch-Up Schedule:** The tables below provide catch-up schedules and minimum intervals between doses for children whose vaccinations have been delayed. A vaccine series does not need to be restarted, regardless of the time that has elapsed between doses. Use the section appropriate for the child’s age. [https://www.cdc.gov/vaccines/schedules/hcp/imz/catchup.html](https://www.cdc.gov/vaccines/schedules/hcp/imz/catchup.html)

**ACIP Vaccine Recommendations:** The current vaccine recommendations for children and adults. [https://www.cdc.gov/vaccines/schedules/index.html](https://www.cdc.gov/vaccines/schedules/index.html)

**CHRS:** Website used to enter childcare facility audit data and the Annual Report of Immunization Status [http://chrstx.dshs.state.tx.us/CHRS/login.aspx](http://chrstx.dshs.state.tx.us/CHRS/login.aspx)

**CoCASA:** The Comprehensive Clinic Assessment Software Application (CoCASA) is a tool for assessing immunization coverage and practices within a provider clinic, or any other environment where immunizations are provided. This software is designed to be used in conjunction with the Assessment, Feedback, Incentives, and eXchange (AFIX) Program. [http://www.cdc.gov/vaccines/programs/cocasa/index.html](http://www.cdc.gov/vaccines/programs/cocasa/index.html)

**DSHS School & Childcare Immunization Website:** The website that contains information on State of Texas school & childcare immunization requirements, immunization laws and rules, and publications. [https://www.dshs.texas.gov/immunize/school/school-requirements.aspx](https://www.dshs.texas.gov/immunize/school/school-requirements.aspx)

**HHS Childcare Licensing Website:** Find regional CCL offices [https://hhs.texas.gov/services/safety/child-care/contact-child-care-licensing](https://hhs.texas.gov/services/safety/child-care/contact-child-care-licensing)

**HHS Childcare Licensing:** Search for Child Care Center or Home [https://www.dfps.state.tx.us/Child_Care/Search_Texas_Child_Care/ppFacilitySearchDayCare.asp](https://www.dfps.state.tx.us/Child_Care/Search_Texas_Child_Care/ppFacilitySearchDayCare.asp)
**ImmTrac2**: State of Texas Immunization Registry
https://immtrac.dshs.texas.gov/TXPRD/portalInfoManager.do

**ImmTrac2 Childcare Facility Sample Enrollment Letter**: Letter encouraging childcare facilities to register as an authorized ImmTrac2 user https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/

**School Compliance RE Tools Page**: Webpage contains the school and childcare documents and tools, which include the PAM, audit forms, and the Contractor’s Guide.
https://www.dshs.texas.gov/immunize/Responsible-Entities/Childcare-and-School-Audits/