

# Journal Pre-proof



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## **Investigating the association between COVID-19 vaccination and care home outbreak frequency and duration**

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## 1 **Abstract**

### 2 **Objectives**

3 At the end of 2020, many countries commenced a vaccination programme against  
4 SARS-CoV-2. Public health authorities aim to prevent, and interrupt, outbreaks of  
5 infectious disease in social care settings. We aimed to investigate the association  
6 between the introduction of the vaccination programme and the frequency and  
7 duration of COVID-19 outbreaks in Northern Ireland (NI).

### 8 **Study Design**

9 We undertook an ecological study using routinely available national data.

### 10 **Methods**

11 We used Poisson regression to measure the relationship between the number of RT-  
12 PCR confirmed COVID-19 outbreaks in care homes and, as a measure of  
13 community COVID-19 prevalence, the Office for National Statistics COVID-19  
14 Infection Survey estimated number of people testing positive for COVID-19 in NI. We  
15 estimated the change in this relationship and estimated the expected number of care  
16 home outbreaks in the absence of the vaccination programme. A Cox proportional  
17 hazards model estimated the hazard ratio of a confirmed COVID-19 care home  
18 outbreak closure.

### 19 **Results**

20 Care home outbreaks reduced by two-thirds compared to expected following the  
21 introduction of the vaccination programme, from a projected 1,625 COVID-19  
22 outbreaks (95% prediction interval 1,553 – 1,694) between 7 December 2020 and 28  
23 October 2021 to an observed 501. We estimated an adjusted hazard ratio of 2.53 of  
24 the outbreak closure assuming a 21-day lag for immunity.

### 25 **Conclusions**

26 These findings describe the association of the vaccination with a reduction in  
27 outbreak frequency and duration across NI care homes. This indicates probable  
28 reduced harm and disruption from COVID-19 in social care settings following  
29 vaccination. Future research using individual level data from care home residents will  
30 be needed to investigate effectiveness of the vaccines and the duration of their  
31 effects.

### 32 **Keywords**

33 COVID-19; SARS-CoV-2; Care Homes; Outbreak; Vaccination

## 1 Introduction

2 COVID-19 has caused a disproportionately high number of deaths among the  
3 residents of care homes in the UK<sup>1</sup>; an experience shared by other countries.<sup>2-5</sup> In  
4 Northern Ireland (NI), there have been 1,127 COVID-19-related deaths among care  
5 home residents by the week ending 5 November 2021<sup>6</sup>. Care home residents may  
6 be at high risk of exposure to SARS-CoV-2 because of outbreaks in these closed  
7 settings and greater vulnerability to severe outcomes because of age and  
8 comorbidities.<sup>2,3</sup> A range of factors contribute to the risk, size and duration of  
9 outbreaks in care homes, including the background community incidence of  
10 infection, the prevalence of infection in care home staff, care home size, the use of  
11 bank and agency staff, regional variation and whether homes provided sick pay to  
12 their staff.<sup>5,7</sup> Though comparison of mortality rates across different stages of the  
13 pandemic is difficult, international evidence demonstrates a lower level of excess  
14 deaths among care home residents in the second wave of the pandemic.<sup>8</sup> This  
15 suggests that the enhancement of infection prevention and control measures  
16 including the restriction of visiting, cohorting of staff and/or the increased testing of  
17 staff and residents may have reduced transmission compared to the earlier period,  
18 though there may also have been some displacement of the timing of deaths,  
19 bringing deaths forwards in time during the first wave.

20 In light of the exposure and vulnerability of care home residents to SARS-CoV-2, the  
21 UK Joint Committee on Vaccination and Immunisation recommended that residents  
22 and staff of care home should be the first group to be offered vaccination when it  
23 became available in late 2020.<sup>9</sup> On 8 December 2020, Health and Social Care  
24 (HSC) Trusts (public healthcare providers) began a vaccination programme for staff  
25 and residents in care homes in NI. The programme primarily used Pfizer BioNTech  
26 COVID-19 mRNA Vaccine BNT162b2 (with a small number of exceptions for *ad hoc*  
27 doses of the AstraZeneca COVID-19 vaccine given to those who missed vaccination  
28 at the time of the visit to the care home by those delivering the vaccination  
29 programme). In contrast to the other parts of the UK, NI delivered the great majority  
30 of the care home vaccination programme with a 21-day interval between doses, as  
31 most implementation occurred before the change in policy to a 12-week dosing  
32 interval, which was announced on 31 December 2020. In advance of individual-level  
33 data being available, we sought to investigate the association between the COVID-  
34 19 vaccination programme on COVID-19 outbreak frequency and duration. The  
35 vaccination programme was introduced at a time when there were changes in non-  
36 pharmaceutical interventions (including a period of 'lockdown') in NI, which were  
37 associated with considerable changes in the growth of the epidemic. Investigation of  
38 the association between the vaccination programme and changes in COVID-19  
39 outcomes therefore needed to use methods that would not be confounded by this  
40 changing context. The aim of our study was to assess the association of the COVID-  
41 19 vaccine programme and the frequency and duration of confirmed COVID-19  
42 outbreaks in care homes.

## 1 **Methods**

### 2 **Research ethics**

3 This study was undertaken using routine data, accessed under pre-existing  
4 information governance arrangements, for the purpose of health protection  
5 surveillance, and for health and social care service delivery and evaluation.  
6 Research ethics approval was not required.

### 7 **Study population**

8 There were 480 operational care homes in NI on 18 November 2021 (Table 1).<sup>10</sup>  
9 Care home occupancy is dynamic over time, though occupancy is high. The majority  
10 of homes were independent, with some were directly operated by HSC Trusts.

11 Table 1. Number and size of care homes registered in NI on 18 November 2021.

Care home type	Number	Maximum approved places
Residential	235	5,344
Nursing	245	10,710
Total	480	16,054

12

### 13 **Definitions**

#### 14 *Possible case of COVID-19*

15 Any resident (or staff) with symptoms of COVID-19 (high temperature, new  
16 continuous cough or loss of taste/smell), or new onset of influenza-like illness or  
17 worsening shortness of breath. Symptoms may be more nuanced in older people  
18 with co-morbidities in care homes who may present with Flu Like Illness (FLI),  
19 respiratory illness, new onset confusion, reduced alertness, reduced mobility, or  
20 diarrhoea and sometimes do not develop fever. This may be true for COVID-19, so  
21 such changes should alert staff to the possibility of new COVID infection

#### 22 *Confirmed case of COVID-19*

23 Any resident (or staff) with Reverse Transcription Polymerase Chain Reaction (RT-  
24 PCR) laboratory-confirmed diagnosis of COVID-19.

#### 25 *COVID-19 outbreak*

26 Two or more cases in a facility which meet the case definition of a possible or  
27 confirmed case of COVID-19, within a 14-day period among either residents or staff  
28 in the care home

#### 29 *Confirmed COVID-19 outbreak*

30 Identification of two or more confirmed COVID-19 cases (both symptomatic and  
31 asymptomatic detection), among either residents or staff in the care home, within a  
32 14-day period.

#### 33 *Closed outbreaks*

1 An outbreak was closed when there have been no new cases for 14 days after  
2 symptom onset of most recent case and a terminal clean was complete.

### 3 **Data sources and preparation**

#### 4 *Daily returns from care homes to the Regulation and Quality Improvement Authority*

5 All care homes in NI participated in a monitoring scheme through which they  
6 submitted daily aggregate data to the Regulation and Quality Improvement Authority  
7 (RQIA). Summary information from these reports was made available to us in the  
8 Public Health Agency (PHA). The submissions from each care home for the previous  
9 calendar month, along with the maximum number of staff employed and number of  
10 beds occupied during that month, were used to estimate of the number of staff and  
11 residents for each care home.

#### 12 *Care home outbreak surveillance*

13 The PHA health protection (HP) team was notified by care homes of cases of  
14 COVID-19. An outbreak was declared when two or more cases among care home  
15 residents or staff in a facility meet the case definition of a possible or confirmed case  
16 of COVID-19 within a 14-day period, according to the definitions above.<sup>11</sup> Once an  
17 outbreak was notified information was entered into the management information  
18 system, HP Zone. Data was extracted from HP Zone by the HP surveillance team,  
19 cleaned and entered into a database.

#### 20 *Office for National Statistics (ONS) COVID-19 Infection Survey (CIS)*

21 The ONS CIS tests approximately 5,000 people for COVID-19 in NI over two-week  
22 time windows, and provides openly available modelled estimates of the number of  
23 people in NI who would test positive, if tested.<sup>12</sup> This is an estimate of community  
24 prevalence of COVID-19, which does not include care homes or hospitals. Full  
25 details of the survey methods are available from the ONS.<sup>12</sup> We used the 'Estimated  
26 number of people testing positive for COVID-19' from 'Official reported estimates of  
27 the percentage of the population testing positive for COVID-19, NI', from 17 October  
28 2020 to 23 October 2020, to 31 October 2021 to 6 November 2021, which was the  
29 full range of results available that used a consistent method.

### 30 **Testing practices**

31 A regular programme of COVID-19 testing (screening) for all care home residents  
32 and staff in NI commenced on 3 August 2020. All asymptomatic residents were  
33 tested for COVID-19 every 28 days and all asymptomatic staff were tested every 7  
34 days with a RT-PCR test. Health and Social Care Trusts offered Loop-mediated  
35 isothermal amplification (LAMP) tests for residents for whom RT-PCR testing was  
36 unsuitable, but we were advised by the responsible team in PHA that this was used  
37 very rarely. If a single case was identified through a positive test result, the whole  
38 home was tested. Detailed guidance was provided to homes about the pattern of  
39 testing during and after outbreaks.

### 40 **Statistical methods**

#### 41 *Outbreak Frequency*



1 We used the ONS CIS estimated number of people testing positive for COVID-19 as  
2 a measure of the severity of the epidemic in the general population. We explored the  
3 relationship between this measure and the weekly frequency of new PCR-confirmed  
4 COVID-19 care home outbreaks by plotting these in a scatter plot. We used *ccf* in R  
5 v 4.0.2 for the cross-correlation function to assess for a time lag between the  
6 variables, and applied the time lag associated with the maximum correlation before  
7 fitting a Poisson regression model using *glm* in R v 4.0.2. We chose a Poisson model  
8 because the dependent variable was a count of events, and the low value daily  
9 counts of care home outbreaks did not meet the assumptions required for linear  
10 regression. We divided the time series into a pre-vaccination period, before 7  
11 December 2020, a 'washout' period from 7 December 2020 to 28 February 2021  
12 inclusive, and a post-vaccination period from 1 March 2021 to 3 November 2021.  
13 The majority of care homes had first vaccinations delivered during December 2020  
14 (Figure S1). Staff and residents were offered vaccination at the same time. Those  
15 that were in an outbreak at the time vaccination was due were deferred. By the end  
16 of December 2020, at least 356 (74%) had their first dose, and by the end of January  
17 2021, at least 404 (84%) had their first dose (for these estimates, any  
18 incompleteness in reporting will bias the estimate downwards). This three-month  
19 'washout' period conservatively allowed the great majority of care homes to have  
20 been given two visits for vaccination (with the 21-day dosing interval), with time for  
21 an immune response to the second dose. ONS CIS results were reported weekly as  
22 midpoint estimates of the reported week, so we added three to the first day of the  
23 reporting window to make the value represent the middle of the time period, and  
24 interpolated daily estimates using *spline(method = "fmm")* in R v4.0.2. Poisson  
25 generalized linear regression models were created for the pre- and post-vaccination  
26 time periods separately, to investigate the relationship in each time period, then in a  
27 single multivariable model with the pre-vaccination time period as the reference  
28 category. This was conducted for all care homes, and for nursing and residential  
29 homes separately. The expected number of care home outbreaks in the absence of  
30 the vaccination programme was projected from the observed number of community-  
31 acquired COVID-19 hospitalisations using *predict.glm* to estimate the daily and total  
32 number of new care home outbreaks that would have been expected if the  
33 conditions of the pre-vaccination time period had continued. The total projected  
34 number of outbreaks for the time and its confidence limits were estimated by 1,000  
35 simulations that used *rpois* for random daily projections, summing the projected  
36 number of outbreaks in the time period for each simulation, and taking the median  
37 and the 2.5% and 97.5% quantiles of the simulated total outbreak counts.

### 38 *Outbreak Closure*

39 A Cox proportional hazards model was used to produce the hazard ratios (HR) and  
40 95% confidence intervals (CIs) to measure the hazard ratio for a care home COVID-  
41 19 outbreak being declared over. The likelihood of an outbreak is known to be  
42 directly related to care home size.<sup>5,13</sup> For this analysis, residents in each home  
43 ranged from one to 100 and staff from three to 280. Community prevalence of  
44 COVID-19 affects prevalence of the virus in care home settings.<sup>13</sup> To adjust for this,  
45 the rolling 7-day prevalence of COVID-19 at Super Output Level (SOA) and care  
46 home size were adjusted for in the model.

47 Each of the homes with a reported outbreak represented a case with the time since  
48 first visit at which COVID-19 vaccination was administered to staff and/or residents



1 as the exposure and duration of outbreak as the outcome. The exposure time was  
2 lagged by 21 days from the first visit to vaccinate the staff and residents to account  
3 for the lead time from vaccination to immunity. The 21-day lag period was chosen as  
4 a time point by which vaccine would be in effect (69% vaccine effectiveness at 14-20  
5 days and 79% at 21-28 days after first dose in people aged 80 years or older).<sup>14</sup> A  
6 Kaplan Meier plot was produced showing 'survival' of outbreaks by care home  
7 vaccination status. The time lag was altered to 14, 28 and 35 days as a sensitivity  
8 analysis for the Cox regression (which includes the time period of the second dose of  
9 vaccine for most care homes). We considered only the effect of time from first  
10 vaccine (rather than whether there was a second vaccine visit) as we had no way of  
11 separating any changes associated with the passage of time from the first dose from  
12 any change associated with a second dose. Most homes received their second visit  
13 at 21 days, and the presence of an outbreak was a potential reason for the second  
14 vaccine being delayed.

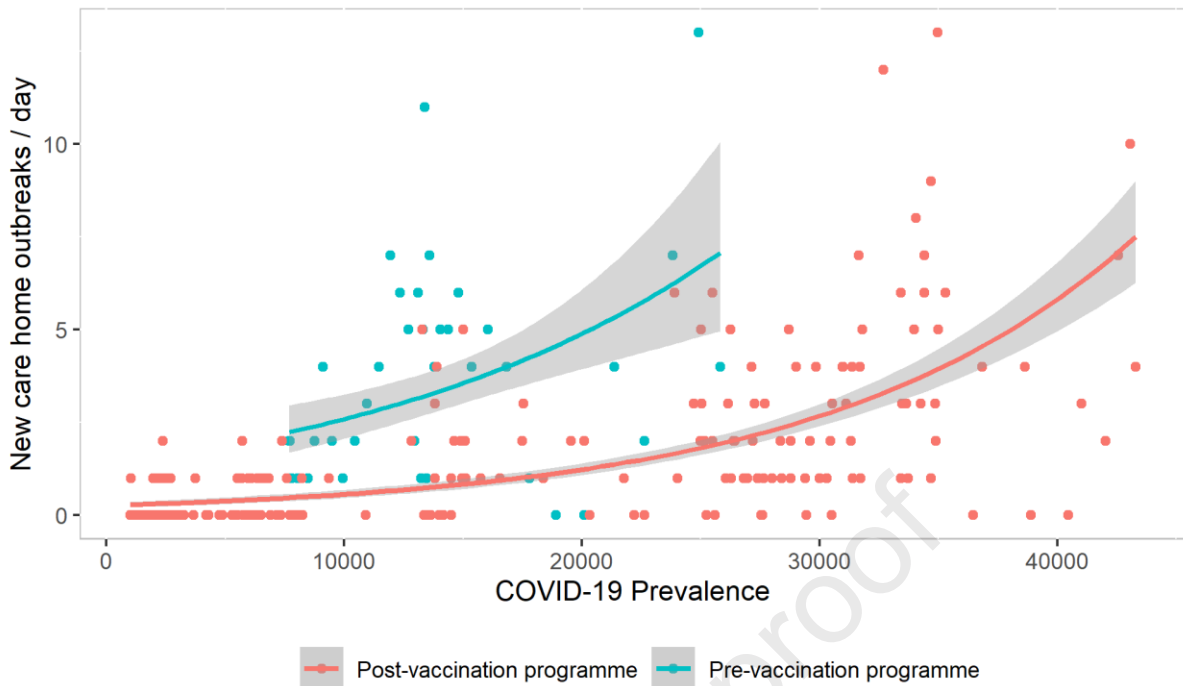
## 15 **Results**

### 16 **Study population**

17 The Northern Ireland Statistics and Research Agency (NISRA) estimated the  
18 population of NI on 30 June 2019 to be 1,893,700, of which 38,700 (2%) were over  
19 the age of 85.<sup>15</sup> Total care home residents and staff were estimated to be 12,884  
20 and 20,537 respectively. Using aggregate data provided by RQIA as of 8 April 2021  
21 the overall vaccination coverage for residents was estimated to be 11,608 (90.1%)  
22 and 10,368 (80.5%) for first and second vaccines and 14,524 (70.7%) and 13,173  
23 (64.1%) for staff respectively.

### 24 **The frequency of COVID-19 outbreaks in care homes**

25 There was a 7-day time lag between care home outbreaks and the estimated  
26 number of people who would have tested positive in the community according to the  
27 ONS CIS (Figure S2). The trends in care home outbreaks happened earlier than the  
28 community prevalence. The association between the number of people who would  
29 have tested positive and the daily number of new care home outbreaks with  
30 confirmed COVID-19 is shown, adjusted for the 7-day time lag. The gradient of this  
31 relationship was different in the pre-vaccination and post-vaccination time periods  
32 (Figure 1). The pattern was the very similar in nursing and residential homes when  
33 shown separately (Figures S3 and S4).



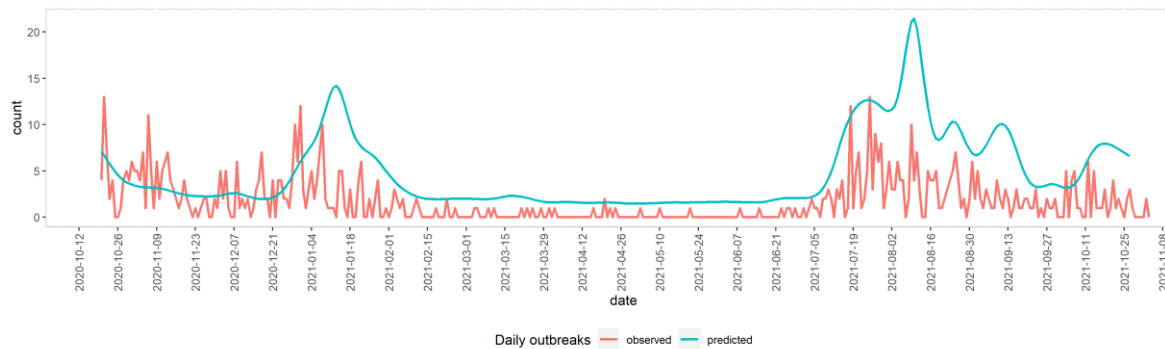
1

2 **Figure 1.** Number of people who would have tested positive for COVID-19 in the  
 3 Office for National Statistics COVID-19 Infection Survey (COVID-19 Prevalence) and  
 4 incident care home outbreaks per day pre- and post-vaccination programme.

5

6 Poisson regression models for the pre- and post-vaccination time periods are shown  
 7 (Table 1), illustrating a change in the relationship. A multivariable Poisson regression  
 8 model of the number of new care home outbreaks per day as the dependent  
 9 variable, and the modelled number of people who would have tested positive for  
 10 COVID-19 showed a significant association between the post-vaccination period and  
 11 reduced care home outbreaks (incidence rate ratio 0.28 (0.23-0.35)). When  
 12 investigated separately, nursing homes (IRR 0.27 (0.21-0.35)) and residential homes  
 13 (IRR 0.27 (0.19-0.40)) showed the same relative effect.

14 We used the relationship between the number of people who would have tested  
 15 positive for COVID-19 in the Office for National Statistics COVID-19 Infection Survey  
 16 and care home outbreaks from pre-vaccination period to project the number of  
 17 outbreaks expected in the washout and post-vaccination period. The projection  
 18 estimated 1,625 (95% prediction interval 1,553 – 1,694) outbreaks would occur  
 19 between 7 December 2020 and 28 October 2021 and we observed 501 outbreaks in  
 20 that time period. The observed and projected number of care home outbreaks are  
 21 shown as a time series (Figure 2).



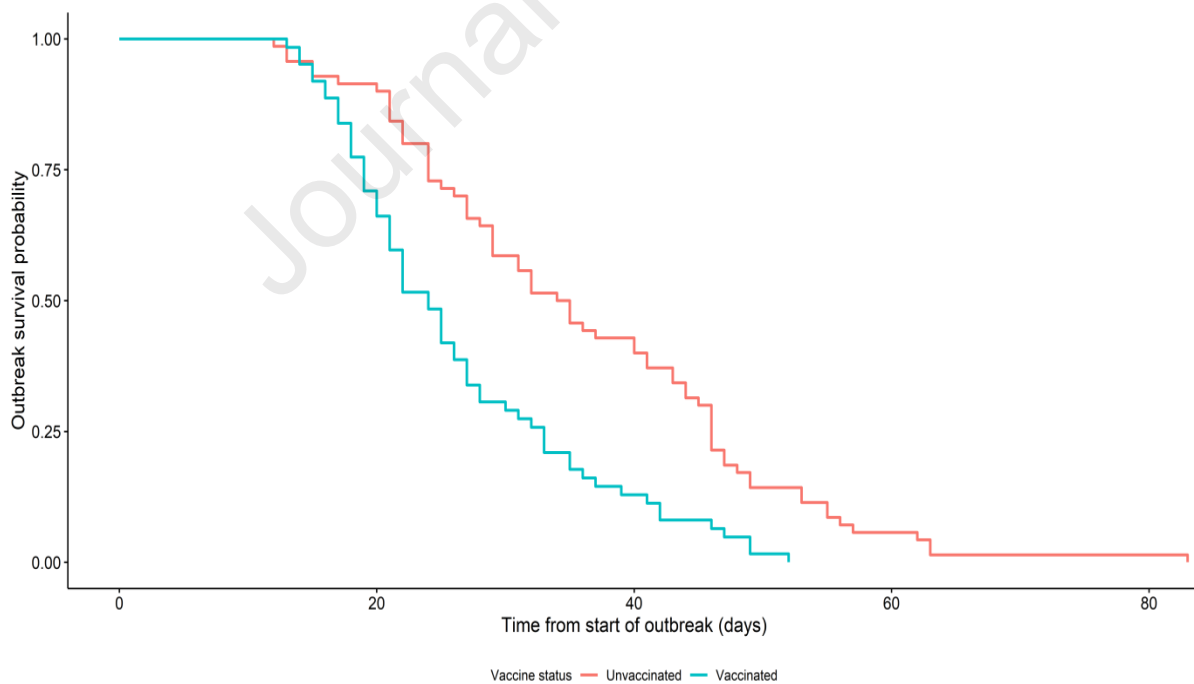
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2 **Figure 2** Observed and predicted care home outbreaks per day.

3

4 **The duration of COVID-19 outbreaks in care homes**

5 We used a Cox proportional hazards model to investigate whether care homes that  
 6 had been offered the vaccination had a higher likelihood of outbreak closure than  
 7 those homes that had not reached that immunity threshold. Between 7 December  
 8 2020 to 8 April 2021 there were 179 confirmed COVID-19 outbreaks in care homes  
 9 following the first vaccination, 175 of which had ended at the time of analysis.  
 10 Median outbreak duration was 29 days from notification to closure (Table S1). A  
 11 Kaplan Meier plot illustrates the divergence of the outbreak duration in vaccinated  
 12 compared to unvaccinated care homes (Figure 3).



13

14 **Figure 3** Kaplan Meier plot illustrating survival of outbreaks by vaccination status.

15

16 The findings indicate that vaccinated homes had a significantly higher hazard ratio of  
 17 experiencing outbreak closure over time than homes in which the vaccination

1 programme had not yet been implemented (Table 2). These findings remain after  
 2 adjusting for care home size and measures of community prevalence of COVID-19.  
 3 The daily hazard ratios analysis illustrating the effect of using different time lags for  
 4 immunity from vaccination shows the effect days post-vaccination the likelihood of  
 5 outbreak closure increases and appears to stabilise by day 28 (Figure S5).

6

7 **Table 2.** Hazard ratios and 95% confidence intervals for outbreak closure in homes  
 8 according to time since first vaccination.

Time after vaccination	N (112)	Unadjusted Model		Adjusted Model*	
		HR (95% CI)	p	HR (95% CI)	p
14 days	79	2.22 (1.52-3.24)	<.001	2.44 (1.64-3.63)	<.001
21 days	62	2.24 (1.56-3.22)	<.001	2.53 (1.88-4.31)	<.001
28 days	42	2.57 (1.75-3.78)	<.001	2.84 (1.88-4.34)	<.001
35 days	32	2.27 (1.51-3.43)	<.001	2.55 (1.63-3.99)	<.001

9 Note: HR = hazard ratio; CI confidence interval; \*= models adjusted for care home  
 10 size and community prevalence.

## 11 Discussion

12 The COVID-19 pandemic has had a severe impact on care home residents and staff  
 13 worldwide. Consequently, residents and staff were amongst the first groups to be  
 14 offered vaccination. Our findings suggest that the introduction of the COVID-19  
 15 vaccination programme in NI was associated with a two-thirds reduction in the  
 16 frequency of confirmed COVID-19 outbreaks in care homes compared to the  
 17 expected number. This relative effect was the same in nursing and residential  
 18 homes. We showed that the outbreak duration was shorter in homes where the  
 19 vaccine had been delivered. These findings provide evidence that the vaccination  
 20 programme had a positive impact on outbreaks in care homes.

21 Outbreaks occurred in the post vaccination period and there are many potential  
 22 explanations for this. Not all residents and staff will have been vaccinated, and not all  
 23 those vaccinated will have been fully protected against infection. Furthermore, the  
 24 care home population is dynamic, with new residents arriving, many of whom would  
 25 not have been vaccinated. The workforce is also dynamic, and staff may frequently  
 26 move between care homes and not all were vaccinated. The social care working  
 27 group of the Scientific Advisory Group for Emergencies (SAGE) have advised that in  
 28 order to protect against outbreaks in care homes vaccination uptake rates of 90% of  
 29 residents and 80% of staff are required.<sup>16</sup> As of 4 April 2021, 94% of all eligible  
 30 people living in older adult care homes and 78.9% of all eligible workers in all in  
 31 England have received at least their first vaccination.<sup>16</sup> This had led the English  
 32 Department of Health and Social Care to launch a consultation on COVID-19  
 33 vaccination as condition of work for people who work in care homes.<sup>16</sup> Other  
 34 jurisdictions can be expected to observe these developments with interest.

35 The findings of this study should be interpreted in the context of its methodological  
 36 limitations. We did not have access to individual vaccination status at the time of

1 writing and future work on individual level data will be needed to validate our  
2 findings. We chose not to use aggregate counts of the number of individuals  
3 vaccinated within homes, or the number of cases within outbreaks. Though these  
4 aggregate data were reported and collected, we were advised by PHA that these  
5 data were not suitable for statistical analysis due to variation in the completeness  
6 and quality of these between and within homes, and over time. Therefore, we used  
7 the dates of events, which were considered more robust. Outbreak dates were  
8 recorded by PHA. We did not attempt to account for the potentially complex  
9 interactions between past outbreaks, delays to vaccination, and the resulting  
10 synergistic effects of vaccination on a background of recent infection, which would  
11 reduce the chance of future outbreaks. This warrants deeper exploration in future.  
12 Individual-level data would enable linkage across a range of administrative datasets  
13 to assess the effectiveness of the vaccination programme against a range of  
14 outcomes. Reliable information about whether individuals are in a specific care home  
15 is elusive in administrative information systems and the challenges of accurately  
16 identifying and following these individuals have been well-documented.<sup>17-18</sup> The  
17 pandemic has also highlighted how investment in development of minimum dataset  
18 for care home residents is needed to understand the health needs and outcomes of  
19 this vulnerable population. The association between community prevalence and care  
20 home outbreaks measured in the pre-vaccination status might be sensitive to the fact  
21 that the ONS CIS data were not available for a period of very low community  
22 prevalence. Though we did not aim to measure the incremental benefit of the second  
23 dose that was delivered after a 21-day interval, there was no obvious increase at 28  
24 or 35 days in sensitivity analyses, or in the estimates of hazard ratio with time  
25 beyond 21 days in Figure S5. This might be explained by the wide confidence limits  
26 (our study was not designed or powered to directly compare the effect of the second  
27 to first doses), that infection prevention and control measures in place during this  
28 period may have been sufficiently robust to mask the incremental benefit of the  
29 second dose, or that the benefit of the first dose may give a level of protection due to  
30 network effects that, at a group level, makes the effect of the second dose less  
31 evident.

32 By the end of 2020, the UK Medicines and Healthcare products Regulatory Agency  
33 (MHRA) approved two vaccines, Pfizer-BioNTech and Oxford-AstraZeneca, for  
34 administration. The speed with which these vaccines were available has been  
35 unprecedented. In the UK, as of 1 December 2021, 116 million COVID-10 vaccines  
36 have been administered.<sup>19</sup> Public Health England recently reported that a single  
37 dose of the Pfizer vaccine was approximately 60-70% effective at preventing  
38 symptomatic disease which increased to approximately 85-90% following two doses  
39 in over 70-year-olds.<sup>20</sup> For those vaccinated who later developed COVID-19 there  
40 was a 44% lower risk of hospitalisation and a 51% lower risk of death compared to  
41 unvaccinated people.<sup>20</sup> In looking specifically at care home residents, a large UK  
42 cohort study of 10,400 residents reported vaccine effectiveness estimates of 62%  
43 against PCR-confirmed infection following first vaccination.<sup>21</sup> Furthermore, a recent  
44 preliminary study suggests that a single dose of vaccine may be sufficient to obtain a  
45 high level of S-protein IgG antibody in nursing home residents previously diagnosed  
46 with COVID-19.<sup>22</sup> Collectively, these findings are encouraging and demonstrate the  
47 success of the vaccination programme in the early stages in reducing outbreaks  
48 across NI care homes. This evidences a significant degree of protection among a  
49 vulnerable and at-risk population against the severe consequences of COVID-19.

1 Future research using individual level data and across longer periods post  
 2 vaccination will be needed to determine the magnitude and duration of this  
 3 protection.

4 **Declaration of Conflict of Interest:** DTB is jointly employed by Queen's University  
 5 Belfast and the Public Health Agency, NI; he is seconded to the NI Department of  
 6 Health.

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