

Sample HIPAAClickandComply.com
Privacy Policies and Procedures
Table of Contents

1. Uses and Disclosures of Protected Health Information.....	10
PURPOSE.....	10
POLICY.....	10
PROCEDURES.....	10
<i>Disclosure Related to Treatment, Payment and Operations</i>	<i>11</i>
Use Among, and Disclosure to Workforce members	11
Disclosing to Patients.....	11
Disclosing to Family Members or Friends Involved in Care.....	11
Discussing PHI with the Patient’s Family or Friend	11
Finding and Notifying Family Members	12
When the Patient is Present and Able	12
When the Patient is Not Present or Able	12
Disclosing Through a Facility Directory	12
Disclosure to Other Providers.....	13
For Treatment.....	13
For Payment, Operations, Fraud and Abuse Detection, and Compliance	13
For Marketing and Fundraising	13
Disclosure to Affiliates	14
Disclosure to Other Members of Organized Health Care Arrangements (OHCA)	14
Business Associate Use and Disclosure.....	14
For Marketing and Fundraising	15
<i>Public Health</i>	<i>15</i>
Public Health Authority	15
Research.....	15
Alteration or Waiver of Authorization.....	16
Reviews Preparatory To Research	16
Research on Decedent’s Information.....	17
Research with Authorization.....	17
Research with a Limited Data Set.....	17
People Who Might Have Been Exposed to Communicable Diseases	17
People Responsible for Products Regulated by the FDA	18
Employers	18
For Disaster Relief.....	18
When the Patient is Present and Able	19
When the Patient is Not Present or Able	19
<i>Reporting on Crimes, Criminals, Victims and Inmates</i>	<i>19</i>
Child Abuse	19
Abuse, Neglect and Domestic Violence Against an Adult.....	20
Averting Threats	20
Escaped Inmates.....	21
Reporting Violent Criminals.....	21
Law Enforcement Disclosures	22
Legal Orders.....	22
Identifying or Locating a Person.....	23
Victims of Crime.....	23

Sample

Death due to Criminal Conduct	24
Crime on Acme Health Care Premises	24
Reporting a Crime in Emergencies	24
Related to Inmates.....	25
<i>Oversight of Acme Health Care, the Health Care System and Government Programs</i>	<i>25</i>
Requests from the Secretary of the Department of Health and Human Services	25
Other Requests for Use or Disclosure for Oversight Activities.....	25
<i>Judicial or Legal Requests.....</i>	<i>26</i>
Court Order or Administrative Tribunal Order.....	26
Subpoena, Discovery Request, Other Lawful Process Without an Order	27
<i>Military, National Security and Foreign Services</i>	<i>28</i>
U. S. Military Personnel.....	28
Foreign Military Personnel	28
Veterans and Military Personnel Being Discharged	29
Intelligence/Counterintelligence	29
Threats to Public Figures	29
Department of State Suitability Determinations.....	29
<i>Financial Gain Other Than Billing for Services.....</i>	<i>30</i>
Fundraising	30
Marketing.....	30
<i>Exceptions to Disclosure Restrictions for Acme Health Care Workforce members and Business Associates.....</i>	<i>31</i>
Whistleblowers	31
Workforce members Victims of Crime.....	31
<i>Decedents.....</i>	<i>31</i>
Medical Examiners	32
Funeral Directors	32
Organ/Tissue Donation.....	32
Other Uses and Disclosures	32
<i>Authorization to Use or Disclose Protected Health Information</i>	<i>32</i>
FREQUENTLY ASKED QUESTIONS.....	33
AUTHORITY.....	42
2. Minimum Necessary Standard for Protected Health Information (PHI).....	43
PURPOSE.....	43
POLICY.....	43
PROCEDURES.....	43
<i>Minimum Necessary Standard within Acme Health Care</i>	<i>43</i>
Identify PHI Users	43
Apply the Minimum Necessary Standard.....	43
<i>Disclosing PHI.....</i>	<i>44</i>
Determine Type of Request	44
<i>Apply the Minimum Necessary Standard.....</i>	<i>44</i>
Reliance on Requests	44
Making a Request for PHI and Applying the Minimum Necessary Standard.....	45

Sample

Routine Requests for PHI	45
Non-Routine Requests for PHI	45
Minimum Necessary Standard <i>Not</i> Required	45
FREQUENTLY ASKED QUESTIONS.....	45
AUTHORITY	47
3. <i>De-Identification of Protected Health Information (PHI)</i>.....	48
PURPOSE	48
POLICY	48
PROCEDURES	48
<i>De-Identification of PHI</i>	48
De-Identification of PHI	48
Re-Identification of PHI	50
FREQUENTLY ASKED QUESTIONS.....	50
AUTHORITY	51
4. <i>Limited Data Set for Protected Health Information (PHI)</i>.....	52
PURPOSE	52
POLICY	52
PROCEDURES	52
<i>Limited Data Sets</i>	52
Limited Data Set	52
Data Use Agreement	53
Violation of the Data Use Agreement.....	53
FREQUENTLY ASKED QUESTIONS.....	54
AUTHORITY	56
5. <i>Verification Requirements for Use and Disclosure of PHI</i>	57
PURPOSE	57
POLICY	57
PROCEDURES	57
<i>Steps to Follow When Disclosing PHI</i>	57
Obtain Documentation	57
Verify the identities of individuals making the request.....	57
Verify the individual’s authority to obtain PHI	58
FREQUENTLY ASKED QUESTIONS.....	59
AUTHORITY	60
6. <i>Patient’s Right to Notice of Privacy Practices</i>	61
PURPOSE	61

Sample

POLICY	61
PROCEDURES	61
<i>Privacy Restrictions</i>	61
Distribution and Posting Requirements	63
Waiting Room.....	63
Website	63
Public Request	63
Patients and Patient Representatives.....	64
Notice and Acknowledgement of Receipt	64
Emergency Treatment.....	64
Remote Treatment.....	64
Mailing the Notice	64
Emailing the Notice	64
Acknowledgement of Receipt.....	64
Changing Acme Health Care's <i>Notice of Privacy Practices</i>	65
Change the Notice to reflect the new practices.....	65
Change the version number	65
Replace the old Notice.....	65
Notify Patients	65
Copy Retention	66
FREQUENTLY ASKED QUESTIONS	66
AUTHORITY	68
7. Patient's Right to Access Protected Health Information (PHI)	69
PURPOSE	69
POLICY	69
PROCEDURES	69
<i>Patient/Representative Request for PHI</i>	69
Provide a Request for Protected Health Information form	69
Proper Identification	69
Sign and Date Request.....	69
Provide to Privacy Officer	70
The Privacy Officer will:	70
Discuss the PHI request with patient/representative.....	70
Confirm Availability of Information	70
Check to Make Sure there are no Reasons to Deny Access	70
Reasons to Deny Access	70
Confidential Communications	70
Protecting Confidential Sources of Information.....	70
Risks of Harm	71
Legal Matters	71
Audits or Investigations	71
Criminal Investigations.....	71
Psychotherapy Notes.....	71

Sample

Research Studies	71
Inmate Requests	72
Clinical Laboratories.....	72
Acme Health Care does not maintain requested PHI.....	72
If there is No Reason to Deny Access to PHI.....	72
Arrange for Patient/Representative Access to the Requested PHI	72
Respond to Patient Request for Access to PHI Form	72
Provide Copies of PHI	72
Summary or Explanation of Record	73
Preparation Expenses.....	73
Denying Access to PHI.....	73
Provide a Response to Patient for Denial of Access Form	73
Provide for a Review of Denial	74
Review of Decision to Deny Access.....	74
Meet Timelines	74
30-Day Response	74
Additional 30-Day Extension	74
Record Retention	75
FREQUENTLY ASKED QUESTIONS.....	75
AUTHORITY	79
8. Patient's Right to Request Privacy Protection.....	80
PURPOSE.....	80
POLICY.....	80
PROCEDURES.....	80
<i>PHI Restrictions.....</i>	<i>80</i>
Provide a Protected Health Care Information Restriction Request Form.....	80
Privacy Officer Responsibilities	80
The PHI restriction and scope of the request	80
Reasons to Terminate a Restriction	81
Document.....	82
<i>Confidential Communications</i>	<i>82</i>
FREQUENTLY ASKED QUESTIONS.....	82
AUTHORITY	83
9. Patient's Right to Amend Protected Health Information (PHI).....	83
PURPOSE.....	84
POLICY.....	84
PROCEDURES.....	84
<i>Request for Amendment to PHI.....</i>	<i>84</i>
Unable to Act on the Request for Amendment.....	84
Granting the Request for Amendment	85
Denying the Request for Amendment.....	85

Sample

After an Amendment has been Denied..... 86
 Preparing a Rebuttal Statement..... 86
 Future Disclosures 86
 Record Keeping 87

FREQUENTLY ASKED QUESTIONS..... 87

AUTHORITY 87

10. Patient’s Right to an Accounting of Disclosures of Protected Health Information (PHI). 88

PURPOSE 88

POLICY 88

PROCEDURES 88
 Patient Requests Accounting of PHI Disclosures 88
 Providing The Accounting of Disclosures 89
 Suspension of an Individual’s PHI Disclosure Accounting Rights 90

FREQUENTLY ASKED QUESTIONS..... 91

AUTHORITY 92

11. Patient’s Right to Assign a Personal Representative and Rights of Emancipated Minors. 93

PURPOSE 93

POLICY 93

PROCEDURES 93
 Assigning a Personal Representative..... 93
 Personal Representative 93
 Verify the Personal Representative..... 93
 Adult or Emancipated Minor 93
 Unemancipated Minor 93
 Exceptions Under Law..... 94
 Representative of Deceased Individual..... 94
 Verify the Circumstances..... 94
 Abuse, Neglect or Endangerment 94
 Patient Interest 95

FREQUENTLY ASKED QUESTIONS..... 95

AUTHORITY 96

12. Privacy Records and Compliance Reports 97

PURPOSE 97

POLICY 97

PROCEDURES..... 97
 Records and Compliance Reports..... 97
 Record Keeping 98

FREQUENTLY ASKED QUESTIONS..... 98

Sample

AUTHORITY	99
13. Acme Health Care’s Administrative Actions Regarding Protected Health Information (PHI).....	100
PURPOSE	100
POLICY.....	100
PROCEDURES	101
<i>Personnel Designations</i>	<i>101</i>
Privacy Officer and Contact Person.....	101
Other Personnel Assignments and Use Among, and Disclosure to Workforce members	101
Training.....	103
<i>Safeguards.....</i>	<i>104</i>
Personal Safeguards.....	104
Vocal, Telephone and Voice Mail Safeguards	104
Mail and Express Mail Safeguards	104
Fax Safeguards.....	105
Email Safeguards	105
Computer Safeguards.....	105
Safeguards for PDAs.....	106
Office Safeguards.....	106
Safeguards for Using PHI Off-Site.....	107
Disposing of PHI.....	107
<i>Acme Health Care Actions.....</i>	<i>107</i>
Complaints About the Policies and Procedures.....	107
Sanctions.....	108
Mitigation.....	108
Retaliatory Acts	109
Waiver of Rights.....	109
Policies and Procedures	109
Facility Review	110
Documentation.....	110
FREQUENTLY ASKED QUESTIONS.....	110
AUTHORITY	111
14. Business Associates.....	112
PURPOSE.....	112
POLICY.....	112
PROCEDURES	112
<i>Using PHI</i>	<i>112</i>
<i>Disclosing PHI.....</i>	<i>112</i>
Satisfactory Assurance.....	113
Business Associate Contract.....	113
Memorandum of Understanding.....	114

Sample

Breach of Confidentiality or Noncompliance	115
Take Action.....	115
Terminate the Relationship.....	115
Report the Problem	115
FREQUENTLY ASKED QUESTIONS.....	116
AUTHORITY	117

Sample