

Protecting Clients & Their Information

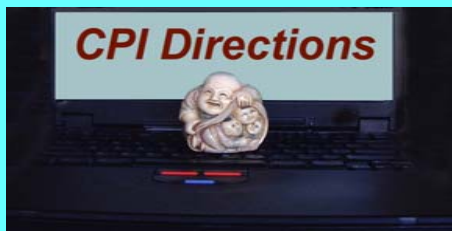
NY Software Industry Association Security & Privacy Rights SIG

New York NY, March 10, 2004

Is There a Gold Lining in the “Cloud of HIPAA?”

Held at the:

**IBM Corporation, Inc.
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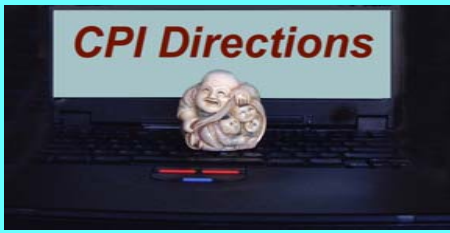


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Health Insurance Portability & Accountability Act of 1996 (HIPAA)

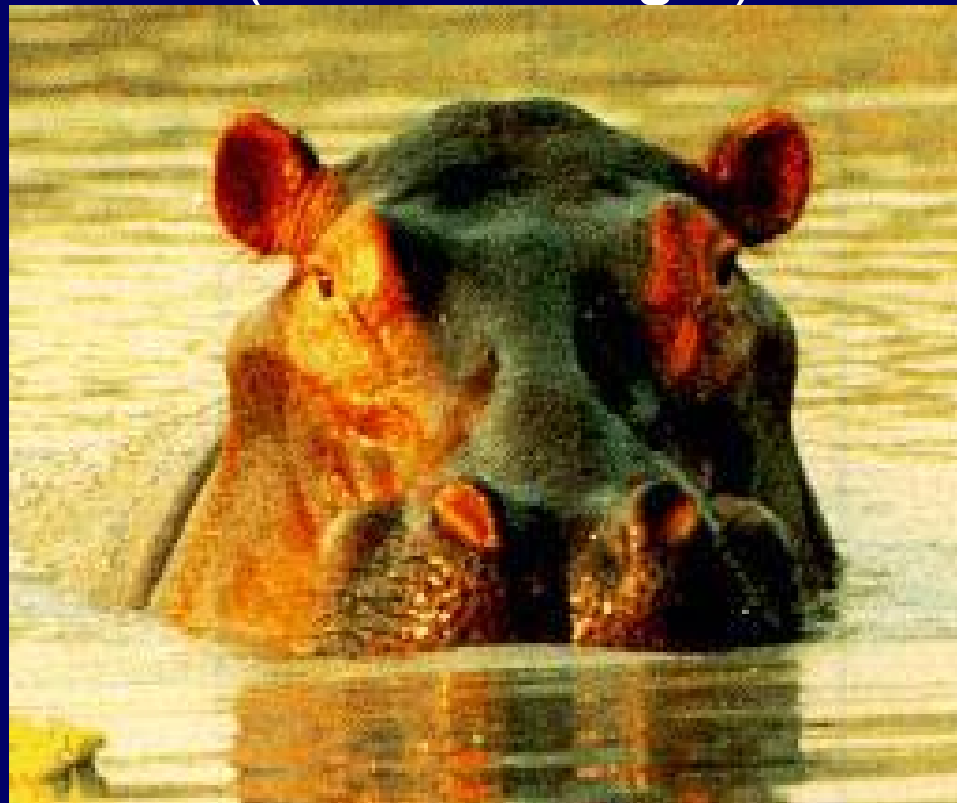
Panelists

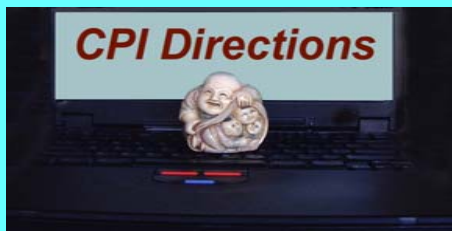
- **Matt Rosenblum**, Chief Operations Officer, CPI Directions, Inc. (moderator)
- **Barbara Soldano**, MSW, Information Security Officer, New York State Office for Technology
- **Dr. Kent D. Boklan**, Vice President & Head of Technology, Umbanet, Inc. and Faculty member at CUNY Graduate Center & Queens College
- **Ann Kayman**, JD, Chief Executive Officer, New York Grant Company



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Health Insurance Portability & Accountability Act of 1996 **(HIPAA is Huge!)**

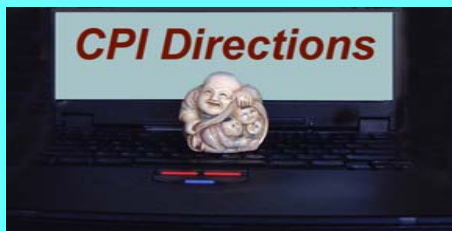




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Focus on 3 HIPAA Rule-Sets

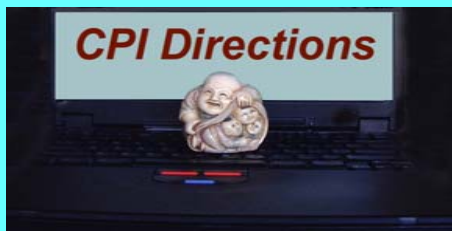
- **Transaction & Code Set Standards (TCS)**: standardizes & reduces # of electronic formats (claims, eligibility, enrollment, etc.), and prescribes code sets (diagnoses, medical procedures, etc.)
- **Privacy Standards**: provides that our ***PHI*** will be protected from ***bad*** uses and disclosures, and provides the patient/ client with certain ***controls*** and ***rights***
- **Security Standards**: aim is to provide administrative, technical, and physical-space safeguards



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Some General HIPAA Terms

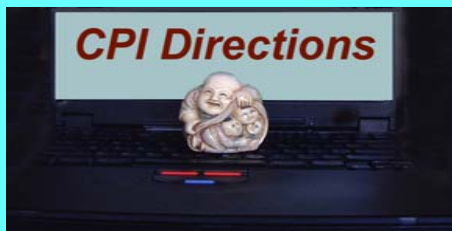
- **Covered Entity (CE)**: Health Plans, Clearinghouses, Healthcare Providers that transact PHI electronically
- **Business Associate (BA)**: Indirectly covered - Attorneys, IT vendors, consultants, transcription services, etc.
- **Protected Health Information (PHI)**: individually identifiable health info that relates to past, present, or future health; written, oral, stored in any media
- **TPO**: routine uses and disclosures for Treatment, Payment, Healthcare Operations
- **Authorization** to use & disclose PHI for non-TPO
- **Minimum Necessary**: Role-, use-based *need to know*



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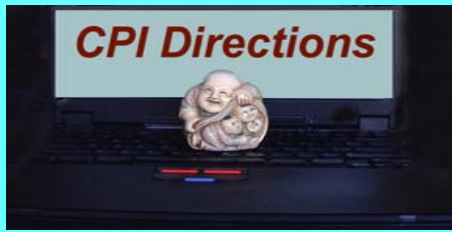
Tracking the HIPAA HIPPO

- Requests to amend/access PHI; CE denials; complaints
- NPPs & Acknowledgements
- Authorizations
- Workforce awareness training
- Disclosure accountings
- Patient requests for confidential communications
- Agreed-upon restrictions
- Opt-outs from fundraising
- Opt-outs from facility directory
- Business associate contracts
- Data use agreements
- Amendments of PHI in various sections of the medical record, electronic databases, and already disclosed to other providers & BAs
- Identifiers of PHI in various places in the Designated Record Set (DRS)
- *Breaches* in HIPAA rules
- Etc., etc., etc., etc.



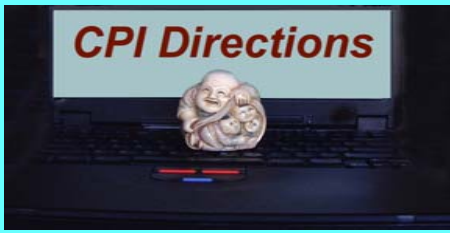
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Administrative Safeguards			
Standards	CFR	Implementation Specifications	Required or Addressable
Security Management Process	164.308(a)(1)	Risk Analysis & Risk Management	(R)
		Sanction Policy	(R)
		Information System Activity Review	(R)
Assigned Security Responsibility	164.308(a)(2)	Security Official	(R)
Workforce Security	164.308(a)(3)	Authorization and/or Supervision	(A)
		Workforce Clearance Procedure, Termination Procedures	(A)
Information Access Management	164.308(a)(4)	Isolating Healthcare Clearinghouse Function	(R)
		Access Authorization, Establishment, and Modification	(A)
Security Awareness and Training	164.308(a)(5)	Security Reminders	(A)
		Protection from Malicious Software	(A)
		Log-in Monitoring	(A)
		Password Management	(A)
Security Incident Procedures	164.308(a)(6)	Response and Reporting	(R)
Contingency Plan	164.308(a)(7)	Data Backup Plan & Disaster Recovery Plan	(R)
		Emergency Mode Operation Plan	(R)
		Testing and Revision Procedure	(A)
		Applications and Data Criticality Analysis	(A)
Evaluation	164.308(a)(8)	<i>(as per Security Management, above)</i>	(R)
Business Associate Contracts	164.308(b)(1)	Written Contract or Other Arrangement	(R)



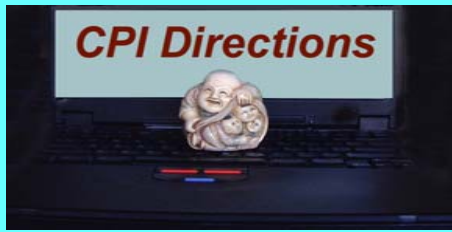
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Physical Safeguards			
Standards	CFR Sections	Implementation Specifications (R)=Required (A)=Addressable	Required or Addressable
Facility Access Controls	164.310(a)(1)	Contingency Operations	(A)
		Facility Security Plan	(A)
		Access Control and Validation Procedures	(A)
		Maintenance Records	(A)
Workstation Use	164.310(b)	<i>(as per Security Management, Awareness, and Access Controls, above)</i>	(R)
Workstation Security	164.310(c)	<i>(as per Security Management, Awareness, and Access Controls, above)</i>	(R)
Device and Media Controls	164.310(d)(1)	Media Disposal	(R)
		Media Re-use	(R)
		Media Accountability	(A)
		Data Backup and Storage (during transfer)	(A)



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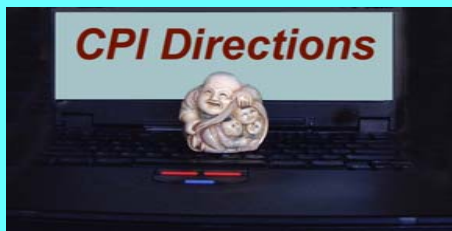
Technical Safeguards			
Standards	CFR Sections	Implementation Specifications	Required or Addressable
Access Control	164.312(a)(1)	Unique User Identification	(R)
		Emergency Access Procedure	(R)
		Automatic Logoff	(A)
		Encryption and Decryption (data at rest)	(A)
Audit Controls	164.312(b)	Record and Examine Activity in Information Systems	(R)
Integrity	164.312(c)(1)	Protection Against Improper Alteration or Destruction of Data	(A)
Person or Entity Authentication	164.312(d)	Verification of user	(R)
Transmission Security	164.312(e)(1)	Integrity Controls	(A)
		Encryption (FTP and Email over Internet)	(A)



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Two HIPAA Realities

- HIPAA is a marathon, not a 100-yard dash
- HIPAA will require the same internalization into organizational process as did the Medicare & Medicaid regulations, and that took a over a decade



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“HIPAA is the catalyst that moves the healthcare industry from the paper- to the digital-age”

For additional information, please contact:

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