

Camden HIE Policies and Procedures Overview

Updated 9/2018

chie@camdenhealth.org



 Camden Coalition

HEALTH INFORMATION EXCHANGE

 Camden Coalition
of Healthcare Providers

Agenda

- Purpose of Presentation
- Policies Overview
- Authorized User Agreement
- Contact information



Purpose of Presentation

- To present an overview of each of the Camden HIE Policies and Procedures
- To encourage discussions of the policies and procedures to foster better understanding
- To give Authorized Users an understanding of which policy to reference in response to a given situation



Policy 2- Patient Participation and Choice

Purpose of Policy 2

- To define procedures ensuring that Patients understand **how their information will be used** through the Camden HIE and must be given **the right to “Opt-out”** of having their information in the Camden HIE made available for access

- Patients can choose to be excluded from the Camden HIE by opting out
 - The request must be made in writing
 - Participants are required to develop workflows to ensure that the Patient’s Data is not accessible to the Camden HIE
- “All or none”- a patient cannot choose to include certain data and omit other data
- Authorized Users should be able to educate the Patient on the Camden HIE and the Opt-Out process



Policy 3- Participants and Authorized Users

Purpose of Policy 3

- To define the agreements and necessary procedures required of a Health Care Provider or other organization **to become a Participant in the Camden HIE**
- Only Health Care Providers and organizations found eligible and approved by the Coalition may be Participants in the Camden HIE
- **Authorized Users must be authorized** by a Participant to qualify to use the Camden HIE

• Examples of eligible Participants

- Physicians/Physician Practices
- Hospitals
- Clinical Laboratories
- Affiliated HIEs
- Governmental agencies
- Other licensed Health Care Providers (e.g., Home Health Agencies)

• Examples of eligible Authorized Users

- Physicians/Physician Practices
- Clinical staff
- IT staff
- Administrative staff with HIE responsibilities

- **Each Participant shall appoint a point of contact for all matters related to the Camden HIE**



Policy 4- Compliance with Law

Purpose of Policy 4

- To ensure that **each Participant and Authorized User shall, at all times, comply** with all this Camden HIE Policy Manual, Camden HIE standards and requirements, and applicable federal, state, and local laws and regulations
- Include but are not limited to: those protecting the confidentiality and security of individually identifiable health info and establishing certain individual privacy rights

- Participants will be informed if Camden HIE policies are updated
- Participants are responsible for appropriate internal policies and procedures to ensure compliance
- **The more restrictive/protective standards will apply to conduct by Participants and Authorized Users in regards to the Camden HIE**



Policy 6- Patient Rights

Purpose of Policy 6

- To ensure that the Coalition shall afford Patients the full scope of rights in accordance with **HIPAA, HITECH, and other federal and state laws**

- Patient's Rights:
 - Access to data
 - Accounting of Disclosure
 - Amendment of
 - Opting out of the HIE
- Participant's responsibilities:
 - Authorizing use/disclosure of data
 - Limiting Patient access to Data to that Participant's respective medical records
 - Receive requests for Data from the Camden HIE



Policy 7- Access

Purpose of Policy 7

- To set forth standards for **verifying and authenticating** the identity and the authority of an Authorized User requesting Data through the Camden HIE

- Access to Data in the Camden HIE is determined based on role
- Access can be removed or disabled as appropriate
- **Participants are responsible for notifying the Coalition if an Authorized User's access needs to change**
- **Authorized Users are not permitted to enter or access Data using another person's password**



Policy 9- Permitted Uses

Purpose of Policy 9

- To ensure that Data is used and accessed only as permitted **under federal and state law** and these Camden HIE Policies
- To ensure that Participants and Authorized Users have **proper measures and safeguards** in place to assure that Data is used only for Permitted Uses

- Must be consistent with all applicable federal, state and local laws and regulations
- Participants are **responsible to ensure that certain documentation exist** or that other conditions be met prior to using or disclosing Data
- Use encryption or a secure method of sending data
- **7 Use Cases**, fully detailed in policy manual



Policy 9- HIE Permitted Use Cases

#1 Treatment

For the provision, coordination, or management of health care and related services

- Outpatient clinical provider accesses Data for Patient's follow-up office visit
- Care Coordination teams reviews Data on behalf of those Participants contributing such Data to determine whether hospitalized Patient is a candidate for care coordination intervention
- Clinical provider at county jail reviews records contained in HIE for incarcerated Patient at jail's health clinic
- Authorized Users and Participants view Medicaid Prescription data
- Emergency room physician reviews Data when Patient presents at ED
- Managed care organization's care coordinator, in collaboration with members' physicians and/or care coordinators, accesses HIE Data in connection with developing care coordination plan for MCO member. (Managed Care personnel performing administrative functions for the payor such as cost evaluation, will have access to the minimum necessary PHI in order to perform those functions).
- Coalition's care coordination team records medication reconciliation and care coordination activities in HIE that is viewable by other treating clinicians



Policy 9- HIE Permitted Use Cases

#2 Population Health and ACO

For the creation of an Accountable Care Registry to track Patients by primary care practice and payer. Includes practices' Patient records, Patient capitation lists from Managed Care Organizations, and hospital records

- Primary Care Practice receives daily report of ED and inpatient admission and contacts Patient and hospital to coordinate care while in the hospital
- Care coordination team uses data for outreach and follow up appointments



Policy 9- HIE Permitted Use Cases

#3 Health Care Operations

- Coalition staff analyzes data for better understanding of patient population
- Evaluate impact of clinical intervention
- Report to funders the impact of program on hospital utilization

#4 Population Health- Camden Health explorer

- A publicly available website that allows users to observe real-time hospital-utilization and other population health trends in anonymized Data
- Coalition and analysts transfer HIE Data to the Coalition's securer server, which then will be cleaned, analyzed, and de-identified by Coalition staff and its business associate, BlueLabs, before becoming part of the Health Explorer



Policy 9- HIE Permitted Use Cases

#5 Health Care Research

- If approved by the Institutional Review Board, researchers may use HIE Data to perform health care research
- Coalition may construct a limited data set of Emergency Department and inpatient encounters for treatment and control groups in the Randomized Control Test to be shared with researchers

#6 Population Health and Public Surveillance

- The Coalition may construct a report for the ACO to confirm whether or not a patient has an assigned Primary Care Provider, and whether or not that Primary Care Provider is assigned to the correct Practice that they work for
- Identify gaps in care and monitor preventative health care maintenance of both a patient and a population
- Identifying patients that could become, or have recently become a high-risk patient



Policy 9- HIE Permitted Use Cases

#7 Community-Based Outreach

For providing minimal access to data sets to support approved community-based programs and activities

- Through Faith in Prevention, Faith Based Leaders are permitted access to a minimum data set of consented individuals from their Faith Based Organization to provide outreach and support
- Community based resources, that may not otherwise be considered a Covered Entity pursuant to HIPAA, may be permitted minimal HIE access to provide services to a patient



Policy 10- Breach Notification

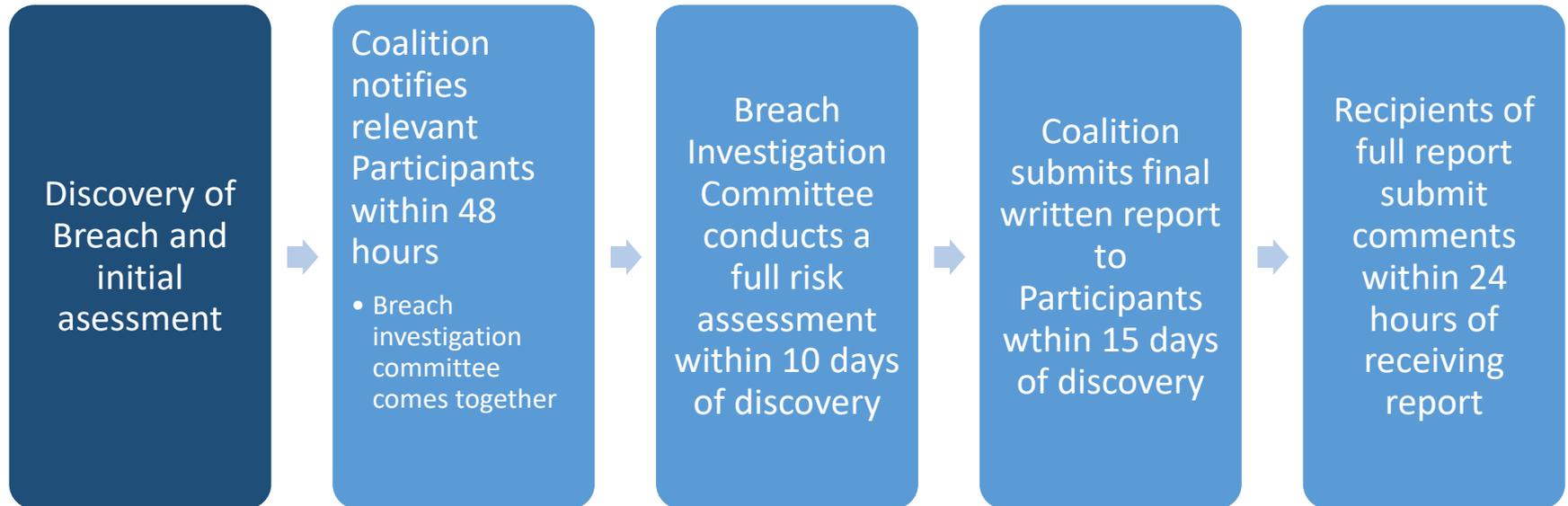
Purpose of Policy 10

- To establish the Coalition's policy and procedure regarding reporting to Camden HIE Participants **Breaches of Protected Health Information (PHI)** relating to the Camden HIE, when such reporting is required under HITECH and the Coalition's Participation Agreements with Participants

- The Coalition is required to report any breach of PHI to the relevant HIE Participants
- Anyone that has reason to believe that a Breach has or may have occurred shall promptly report such information to the Coalition
- Coalition will activate the Breach Investigation Committee
- Coalition will retain all documentation regarding breaches, including copies of breach notifications sent in accordance with this policy
- *Note: Refer to example Press Statement in full Policies and Procedures document*



Policy 10- Breach Timeline



Policy 10- Actions related to Breach

- Will presume that a potential Breach is a Breach unless it determines that there was a low probability that PHI was/will be compromised
- Possible temporary actions:
 - Preventing an otherwise Authorized User from accessing the Camden HIE
 - Preventing a specific Participant from accessing the Camden HIE
 - Preventing all Participants from accessing the Camden HIE
- Depending on the outcome of the investigation, temporary actions may become permanent



Policy 11- Special Protection

Purpose of Policy 11

- To ensure that certain Data subject to **“Special Protection”** is not accessed or disclosed except in strict accordance with State and federal law
- Camden HIE shall ensure such Data is **afforded specific procedural, technological and/or other safeguards** as may be necessary and appropriate

- Example categories of Sensitive Information:
 - HIV/AIDS
 - Venereal Diseases
 - Drug or Alcohol Addiction Treatment Records
 - Mental Health Facility Records, Behavioral Health Information
 - “Psychotherapy Notes”
 - Genetic Information
 - Minor’s Emancipated Treatment
 - Data related to services paid for “out of pocket” in full by a Patient or representative on behalf of Patient



Policy 11 (continued)

- Must comply with standards and requirements in the Camden HIE Policy Manual and with applicable federal/state laws before allowing access of Sensitive Information
- Participants and Authorized Users shall not re-disclose Sensitive Information that is under Special Protection
- Sanctions for non-compliance with this policy will be imposed in accordance with the Camden HIE “Enforcement and Penalties” policy (policy #15)



Policy 12- Minimum Use Necessary

Purpose of Policy 12

- To promote the privacy principles of **collection limitation, use limitation, data integrity and quality** and security safeguards and controls

- Participants and Authorized Users will only access the minimum amount of Data necessary
- As allowed under HIPAA, access to Data for Treatment of a patient is not subject to minimum necessary requirements
- A Participant or Authorized User must not disclose an entire medical record except when specifically justified and necessary



Policy 13- Auditing and Education

Purpose of Policy 13

- To ensure proper access, use and confidentiality of PHI accessed through the Camden HIE by Authorized Users
- To verify **compliance with access controls** and administrative and other safeguards
- To **provide appropriate education**, mitigation, monitoring and reporting of inappropriate access, use or disclosure

- Periodic audits shall be conducted by representatives of the Coalition
- Ad hoc audits in response to complaints
- Required participation, includes site visits and required documentation within **ten (10) calendar days** of notification



Policy 13A- HIE Audit Elements

Level	Report	Frequency
Community	# of Participants (i.e., clinics)	Quarterly
Community	# of Authorized Users	Quarterly
User	# of logins	Monthly
User	# of Patient records accessed	Monthly
Clinic	Number of Patients opted out and associated Authorized User	Monthly
Clinic	Patient consents	Semi-annually
Enterprise	# of orphan entries	Semi-annually
Enterprise	# of MPI duplicates	Semi-annually
Enterprise	Regression testing	Ad hoc



Policy 13B- Education Schedule

Level	Description	Frequency
All Users	HIPAA and security protocols	Annually
Registration	Patient consenting	Annually
All Users	Updates to HIE Policy Manual	Ad hoc
All Users	Updates to HIE system and/or new functionality	Ad hoc



Policy 14- Data Quality and Integrity

Purpose of Policy 14

- To ensure that Patient Data accessed through the HIE is **complete, accurate and available** to Participants and Authorized Users
- To ensure that this Data **has not been altered or destroyed** in an unauthorized manner

- Data sources required to be able to push updates to the HIE
- Participants encouraged to contact Coalition team about data errors, missing data or delayed data
- Periodic audits of Camden HIE Data can include:
 - Accuracy of data available to Authorized Users
 - Completeness of the data available to Authorized Users
 - Timeliness of data available to Authorized Users



Policy 15- Enforcement and Penalties

Purpose of Policy 15

- To provide a response process for when a Camden HIE Participant or its users are suspected of or determined to be violating any Camden HIE Policy, or any federal or state law governing the use and disclosure of Patient Data

- **Participant responsibilities:**

- Require compliance by all Authorized Users, employees, agents and contractors
- Take disciplinary action when violation occurs
- Report suspected violations to the Participant and Coalition team

Coalition responsibilities:

- Conduct an inquiry and present findings

Oversight Committee responsibilities:

- Take further action regarding violation inquiry
- Record decision in a Determination Letter within 48 hours of final vote
- Follow all federal and state laws regarding reporting legal violations to proper authorities



Policy 15- Penalties

- Examples of sanctions:
 - Extended period of suspension from the Camden HIE
 - Established probationary period for restricted use of the Camden HIE
 - Termination of use of the Camden HIE
- May issue a sanction against a all Authorized Users of a Participant, or an individual Authorized User with regard to accessing the Camden HIE
- Appeal process detailed in policy manual



Governance and Oversight

Policy 17

- To establish and define the responsibilities of a decision-making and governing body for the Camden HIE

- Consists of representatives from Participants that are Health Care Providers
- Strives to operate through consensus
- Must be unanimous on:
 - Approval/ amendments
 - Use Cases
- **Examples of Areas of Oversight:**
 - Development and approval of Policies, Participation Agreement and Use Cases
 - Addition of new Participants and Data types
 - Camden HIE Technology
 - Camden HIE Services
 - Involvement in efforts to connect Camden HIE to other HIEs



Authorized User Agreement

- All individuals with access to the Camden HIE must sign an Authorized User Agreement
 - Binds individual to policies, procedures and standards of the Camden HIE
 - Includes 25 terms and conditions
 - References Participation Agreement between employer and Coalition



Contact Information

chie@camdenhealth.org

- Christine McBride, Program Manager
 - 856-365-9510 ext. 2082
 - cmcbride@camdenhealth.org
- Abigail Fallen, Senior Program Manager
 - 856-365-9510 ext. 2010
 - afallen@camdenhealth.org

