

CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION POLICY

This policy establishes that the Erie County Board Developmental Disabilities (Board) is committed to protecting each employee or individual's right to confidentiality. All information contained in an employee or individual's record is considered confidential. The Board recognizes an employee, individual, parent or guardian as the person responsible for providing authorization for use and disclosure of information when authorization is required.

The Board also recognizes that the content of these records is a proper subject for access or discussion only for certain persons engaged in official duties relative to that employee or individual. Contract providers or independent contractors engaged in official duties relative to that employee or individual may have access in the same manner. Volunteers will only be permitted access to records as deemed appropriate by the Department Director/designee.

It is understood that circumstances may require the Board to release information to ensure health, safety, and provision of services to individuals supported or employee welfare in emergency situations. If so warranted, the Board will only release necessary information in strict accordance to all legal requirements and procedures for confidentiality of individual information including their protected health information as defined in the Health Insurance Portability and Accountability Act (HIPAA).

The Superintendent shall establish, revise and keep current the procedures to be utilized in the implementation of this policy. The superintendent/ designee shall ensure compliance with these procedures. All revisions and changes will be shared with the Board when made.

Superintendent Signature: Carrie Beion Date: 8/17/17

Implemented: 7/2011

Board Approval: 7/2011, 7/16/2015, 8/17/17

Revised: 7/2015, 5/8/17

Reviewed: 7/2015, 5/8/17

CROSS REFERENCE:

Ohio Revised Code 149.43, 5123.61, 5123.89

45 CFR Part 160 and 164 generally

45 CFR 164.504(g) for entities with multiple functions

ORC § 5126.044 Ohio law on confidentiality

OAC § 5123:2-1-02(I)(7) General DD Board confidentiality requirements

OAC § 5123:2-4-01(C)(2)(b) General requirements for DD Board confidentiality policies

OAC § 5123:2-12-02(J)(2) Supported Living requirements for confidentiality policies and standards

OAC § 5123:2-15-01 (C)(6) Habilitation Center/TCM requirements for confidentiality policies and standards

45 CFR 164.302 Applicability

45 CFR 164.304 Definitions

45 CFR 164.306 Security Standards: General Rules

45 CFR 164.308 Administrative Safeguards
45 CFR 164.310 Physical Safeguards
45 CFR 164.312 Technical Safeguards
45 CFR 164.314 Organizational Requirements
45 CFR 164.316 Policies and Procedures and Documentation Requirements
45 CFR 164.318 Compliance Dates for the Initial Implementation of the Security Standards
45 CFR 164.402-410 Breach/Notice of Breach to Individuals
45 CFR 164.502(b)(1) minimum necessary standard
45 CFR 164.502(a)(1)(iii) incidental uses and disclosures
45 CFR 164.514 (a-e), 45 CFR 164.502 (d)
NIST SP 800-14
NIST SP 800-18
NIST SP 800-26
NIST SP 800-30
NIST SP 800-53
NIST SP 800-66

Attachments: Consent to Release Information, Notice of Privacy Practices and Sign off sheet

POLICY: Administrative Resolution of Complaints for Individuals, Information Technology General Operations and Security Policy, Document Management, Retention and Destruction of Administrative Records Policy, Building Security and usage Policy.

PROCEDURES: Confidentiality of Protected Health Information

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

I. DEFINITIONS

- A. Applicable Requirements: Applicable Federal and Ohio Law contract between the Board and other persons or entities which conform to Federal and Ohio Law.
- B. ARRA: The American Recovery and Reinvestment Act of 2009.
- C. Authorization: An 'authorization' allows for the use and disclosure of Protected Health Information (PHI) for purposes other than Treatment, Payment, and Health Care Operations (TPO).
- D. Board: The Erie County Board of Developmental Disabilities.
- E. Breach: Any unintentional or unauthorized acquisition, access, use or disclosure of PHI by a workforce member or person acting under the authority of the agency as a business associate which compromises the security or privacy of the PHI.
- F. Business Associate (BA): A person or entity which creates, uses, receives or discloses PHI held by a covered entity to perform functions or activities on behalf of the covered entity. (45 CFR 160.103) For the purposes of this procedure this would include any individual or agency under contract with the Board to deliver services on behalf of the Board.
- G. Complaint Officer: The Board employee designated by the Superintendent to be responsible for receiving complaints on behalf of individuals pertaining to how their PHI is being handled.
- H. Confidential Information: shall mean private or otherwise sensitive information (not classified as protected health information (PHI)) that must be restricted to those with a legitimate business need. Examples of Confidential Information includes: personnel information, system access passwords, file encryption keys, etc.
- I. Confidentiality Officer: A Board employee designated by each Department Director/designee to ensure the confidentiality of information of each individual from that component.
- J. Covered Entity: A health plan, health care clearinghouse, or a health care provider who transmits any health information in electronic form. For the purpose of this procedure this includes the Board or any workforce member defined by procedure.
- K. Council of Government (COG): A group of DD Boards or other governmental entities which have entered into an agreement under ORC Chapter 167 and are operating in accordance with that agreement.
- L. Disclosure: The release, transfer, provision of access to, or divulging in any other manner of information outside the agency holding the information for non TPO purposes.
- M. Electronic Data Interchange (EDI): Inter-company, computer-to-computer transmission of business information in a standard format.
- N. Employee: a person working for another for pay.
- O. Guardian: A person who has the authority by law to act on behalf of an individual. This includes parents or properly appointed agents, such as those identified in documents like Durable Power of Attorney for Healthcare, or persons designated by state law.
- P. EHR: An electronic record of health-related information on an individual.
- Q. Home and Community-Based Services Waiver Program (HCBS): Medicaid-funded home and community-based services waiver program available to individuals with a developmental disability granted to the Ohio Department of Jobs and Family Services by The Center for Medicaid and Medicare Services as permitted in §1915c of the Social Security Act, with day-to-day administration performed by DODD.
- R. Health Care Clearinghouse: A public or private entity, including a billing service, community health management information system or community health information

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

system that does either of the following functions:

1. Processes or facilitates the processing of health information received from another entity in a nonstandard format or containing nonstandard data content into standard data elements or a standard transaction.
 2. Receives a standard transaction from another entity and processes or facilitates the processing of health information into nonstandard format or nonstandard data content for the receiving entity.
- S. Health Care Operations: Any one of the following activities to the extent the activities are related to providing health care:
1. Conducting quality assessment and improvement activities.
 2. Reviewing the competence or qualifications of health care professionals, evaluating practitioner and provider performance, health plan performance, conducting training programs in which students, trainees, or practitioners in areas of health care learn under supervision to practice or improve their skills as health care providers, training of non-health care professionals, accreditation, certification, licensing, or credentialing activities.
 3. Conducting or arranging for medical review, legal services, and auditing functions, including fraud and abuse detection and compliance programs.
 4. Business planning and development.
 5. Business management and general administrative activities:
 - a) Management activities related to HIPAA compliance;
 - b) Customer Service;
 - c) Resolution of internal grievances;
 - d) Due Diligence;
 - e) Activities designed to de-identify health information and fundraising activities for the benefit of the agency;
 - f) DD operations includes transportation services.
- T. Health Oversight Agency: Health oversight agency means an agency or authority of the United States, a State, a territory, a political subdivision of a State or territory, or an Indian tribe, or a person or entity acting under a grant of authority from or contract with such public agency, including the employees or agents of such public agency or its contractors or persons or entities to whom it has granted authority, that is authorized by law to oversee the health care system (whether public or private) or government programs in which health information is necessary to determine eligibility or compliance, or to enforce civil rights laws for which health information is relevant.
- U. Health Plan: An individual or group plan that provides, or pays the cost of medical care. Health plan includes the following, singly or in combination:
1. The Medicaid program under Title XIX of the Act, 42 U.S.C. § 1396, et seq.
 2. Any other individual or group plan, or combination of individual or group plans, that provides or pays for the cost of medical care.
- V. HIPAA: The Health Insurance Portability and Accountability Act of 1996, codified in 42 USC §§ 1320 – 1320d-8.
- W. Incidental Disclosure: A disclosure not specifically authorized which occurs during the normal course of business, such as an overheard conversation.
- X. Individual: An individual applying for services, receiving services and supports, or terminated from services from the Board or a contracted entity or person under the Board's authority.
- Y. Individual File: A group of records maintained by or for the Board that is:
1. The medical records and billing records about individuals maintained by or for a covered health care provider.

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

2. The enrollment, payment, claims adjudication, and case or medical management record systems maintained by or for a health plan.
 3. Used, in whole or in part, by or for the covered entity to make decisions about individuals.
 4. For purposes of this definition, the term file means any item, collection, or grouping of information that includes protected health information and is maintained, collected, used, or disseminated by or for the Board.
- Z. Information Security Officer: An employee who serves as the process owner for all ongoing activities that serve to provide appropriate access to and protect the confidentiality and integrity of individuals, providers, employees, and business information in compliance with organization policies and standards.
- AA. Minimum Necessary: "When using or disclosing the protected health information or when requesting protected health information from another covered entity, the Board must make reasonable efforts to limit the protected health information to the minimum necessary to accomplish the intended purpose of the use, disclosure, or request." (45 C.F.R. §164.502(b) and 45 C.F.R. §164.514(d)).
- BB. Minor: An individual under the age of 18 and has not been legally emancipated by a court.
- CC. Mitigation: Diminishing any harmful effect that is known to the covered entity of a use or disclosure of protected health information in violation of its policies and procedures or the requirement of HIPAA rules by the covered entity or its business associate.
- DD. MOU: Memorandum of Understanding between governmental entities which incorporates elements of a business associate contract in accordance with HIPAA rules.
- EE. Parent: Means either parent. If the parents are separated or divorced, parent means the parent with legal custody of the child. Parent also includes a child's guardian, custodian, or parent surrogate. At age eighteen the individual must act on his or her own behalf, unless he/she has a court appointed guardian. This term does not include the state, if a child is a ward of the state.
- FF. Payment: Payment includes all activities involved in billing and reimbursement.
- GG. Privacy Officer: An employee appointed by the Superintendent to develop privacy policies and ensure Board's compliance with HIPAA policies and procedures.
- HH. Protected Health Information (PHI): Individually identifiable health information that is or has been electronically maintained or electronically transmitted by a covered entity, as well as such information when it takes any other form that is:
1. Created or received by a health care provider, health plan, employer, or health care clearinghouse; and
 2. Relates to the past, present, or future physical or mental health or condition of an individual, the provision of health care to an individual.
 3. Protected health information excludes individually identifiable health information in: (i) Education records covered by the Family Educational Rights and Privacy Act, as amended, 20 U.S.C. 1232g; (a)(4)(B)(iv); and (iii) Employment records held by the Board in its role as employer.
- II. Provider: Provider means a person or entity which is licensed or certified to provide services, including but not limited to health care services, to persons with DD, in accordance with applicable requirements. A Covered Provider is a Health Care Provider who transmits any health information in electronic form.
- JJ. Safeguards: Appropriate administrative, technical, and physical safeguards to protect the privacy of protected health information. Safeguards must be adequate to reasonably safeguard protected health information from any intentional or

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

unintentional use of disclosure that is in violation of the standards, implementation specifications or other requirements of the HIPAA rules.

- KK. Sanctions: A penalty or disciplinary action taken against workforce members who fail to comply with the privacy policies and procedures of the covered entity or the requirements of HIPAA rules.
- LL. Service Coordinator: A Service Coordinator performs the role as the single point of contact with individuals that live either in their own home, in their family's home, nursing home, or enrolled on an Individual Options Waiver or a Level 1 waiver, and for families and guardians. The Service Coordinator may act in concert with another agency or individual in coordinating services (for example, may work with the school district for an eligible child who attends school), or will be the lead coordinator for county board DD services.
- MM. TPO: Treatment, Payment or Health care operations under HIPAA rules.
- NN. Treatment: Is broadly defined and includes traditional health care services (nursing, PT, OT, ST, psychological), as well as habilitation services, delegated nursing and case management/service coordination.
- OO. Unsecured PHI: PHI that is not rendered unusable, unreadable, or indecipherable to unauthorized persons through the use of technology (i.e., encrypted). Unsecured PHI can include information in any form or medium, including electronic, paper, or oral form.
- PP. Use: With respect to individually identifiable health information, the sharing, employment, application, utilization, examination, or analysis of such information within an entity that maintains such information.
- QQ. Workforce Member: Employees, volunteers, trainees, and other persons whose conduct, in the performance of work for the Board, is under the direct control of the Board, whether or not they are paid by the Board.

II. PRIVACY MANAGEMENT PROCESS

- A. Assign Privacy Responsibility
The Board will identify and assign privacy responsibilities to designated individual(s) responsible for Privacy Safeguards and rule compliance. The individual's position description should be updated to reflect assigned duties. Specific responsibilities of the Privacy Officer shall include:
 - 1. Ensuring privacy policies, procedures, and standards are in place and adhered to by the Board.
 - 2. Providing basic privacy support for all systems and users.
 - 3. Providing on-going employee privacy education.

III. CONFIDENTIALITY

All information contained in an employee or individual's record is considered confidential. The content of these records is a proper subject for access or discussion only as an official member of an interdisciplinary team who is engaged in official duties relative to that employee or individual. Contract providers or independent contractors who are members of an interdisciplinary team may have access in this same manner. Volunteers will only be permitted access to records as deemed appropriate by the Department Director/designee.

IV. SAFEGUARDS

- A. All Board personnel collecting, maintaining, using, or otherwise having access to personally identifiable data shall be informed of the confidentiality policies and procedures of the Board and are responsible for implementing them.

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- B. Each Department Director/designee shall be assigned the responsibility for assuring the confidentiality of any personally identifiable data.
- C. Each Department shall maintain, for public inspection, a current list of the names and positions of those employees within the department who may have access to the personally identifiable data and what PHI they may have access to.
- D. When appropriate the Board will take the necessary measures to de-identify the protected health information of individuals in accordance with 164.514 (a-e) and 164.502 (d). A record has been de-identified when health information does not identify an individual and with respect to which there is no reasonable basis to believe that the information can be used to identify an individual. To de-identify you must remove any number or element that will identify the individual.

V. RIGHTS TO ACCESS

- A. The parent has the right to inspect and review any Board record related to his/her minor son or daughter enrolled in any program of the Board; a court-appointed guardian has the same right with respect to the records of his/her appointee; an employee or individual has the same rights regarding his/her own records.
- B. The Board may presume that the parent has authority to inspect and review records relating to the individual unless the Board has been advised that the parent does not have the authority under state law related to guardianship, separation, and divorce.
- C. Any program department shall comply with the employee, individual, parent or guardian requests for access to confidential material within ten (10) days. Requests occurring before an IFSP/ISP meeting or a hearing related to identification, evaluation, or placement of the individual shall have immediate response.
- D. The Board is required to give an employee, individual, parent or guardian access to protected health information (under most circumstances) but is required to take reasonable steps to verify the identity of the individual making the request. No particular identification requirements are mandated (e.g., drivers license, photo ID); it is left up to the discretion of the Board.
- E. The Board may charge a fee for copies of records which are made for the employee, individual, parent or guardian under this rule if the fee does not effectively prevent that person from exercising the right to inspect and review those records.
- F. The Board may not charge a fee to search for or to retrieve information.

VI. EMPLOYEE, INDIVIDUAL, PARENT, OR GUARDIAN AUTHORITY

- A. The Board recognizes an employee, individual, parent or guardian as the person responsible for providing authorization for use and disclosure of information for an individual.
- B. Employees or Individuals who are not minors and who do not have a legal guardian are recognized by the Board as their own guardian.
- C. A person who has the authority by law (such as a legal guardian) to act on behalf of an individual will be recognized by the Board unless it is decided that it is not in the best interest of that individual because the Board has reason to believe that one of the following conditions exist:
 - 1. The individual has been or may be subjected to domestic violence, abuse, or neglect by a parent or guardian.
 - 2. Treating such person as the guardian/parent could endanger the individual.
- D. The parent of a minor will be recognized by the Board as the individual's guardian except as provided in Section 3 above. Once a minor reaches the age of eighteen or becomes married, whichever occurs first, the parent will no longer be recognized

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

as the guardian of the individual, unless this authority is designated by law.

- E. In the event an individual is deceased the following provisions apply:
1. PHI generated during the life of an individual is protected from disclosure after death unless disclosure is for treatment, payment, or health care operations. The Board and its employees cannot release PHI regarding a deceased individual unless a valid personal representative has been established and has requested the PHI through the proper authorization process.
 2. If under applicable law, an executor, administrator, or other person has the authority to act on behalf of a deceased individual or of the individual's estate, the Board will recognize such person as a personal representative of the individual.
 3. Absent an executor, administrator, or other court-appointed representative for the deceased individual's estate, the following persons listed below may authorize the release of information in order of priority. An entire category must be exhausted (i.e. no people in the category exist or are still alive) before moving to the next category:
 - a) Spouse;
 - b) Adult children;
 - c) Adult grandchildren;
 - d) Parents;
 - e) Adult descendents of parents (brothers and sisters);
 - f) Brothers and sister's adult children;
 - g) Brothers and sister's adult grandchildren;
 - h) Grandparents;
 - i) Adult descendents of grandparents (uncles and aunts).

VII. PERMITTED USES AND DISCLOSURES WITHOUT A WRITTEN AUTHORIZATION

Personally identifiable information from the records of an employee or individual may be disclosed without the written consent of the employee, individual, parent or guardian in some instances. The Board may use and disclose in the following situations without an authorization:

- A. Use and disclosure during emergency situations.
1. For the purposes of this procedure, an emergency situation shall be defined as an incident that puts the employee or individual's health and/or safety in immediate risk.
 2. In the event of an emergency disclosure of information, the person disclosing the information shall report the disclosure to an immediate supervisor. A good faith effort to report the disclosure to the employee, individual, parent or legal guardian and to obtain written acknowledgment shall be made as soon as is practicable following stabilization of the situation.
 3. To determine whether disclosure to a family member, relative, personal representative is in the best interest of the employee or individual and, if so, disclose only the personal information that is directly relevant to the individual's care related to the situation.
 4. To use and disclose personal information about victims of crime to law enforcement officers if they are unable to obtain the employee or individual's agreement because of incapacity or other emergency circumstances, including those situations that occur in locations other than on the premises of the agency.
 5. To use or disclose the restricted personal information if the employee or

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- individual is in need of emergency treatment, even when the employee or individual previously requested restriction of uses and disclosures.
- B. Use and disclosure to other staff who are acting in the capacity of an official member of an interdisciplinary team who are engaged in official duties relative to that employee or individual. In addition, the Board may disclose to the individual's team as identified by the individual/parent/guardian or as indicated in their individual services plan, the information directly relevant to such person's involvement with the individual's care or payment related to the individual's health care.
 - C. Use and disclosure for treatment, payment, and operations.
 - D. Use and disclosure to other providers when necessary for the provider's treatment and payment.
 - E. Use and disclosure when reporting child abuse.
 - 1. Information may be disclosed by the Board to a public health authority or other appropriate government authority authorized to receive reports of abuse, neglect or domestic violence about a child whom the Board reasonably believes to be a victim of abuse, neglect or domestic violence, without consent or authorization. The Board is not required to inform the victim of the disclosure.
 - F. Use and disclosure related to abuse, neglect and domestic violence.
 - 1. Information may be disclosed by the Board to any governmental authority authorized to receive reports of abuse, neglect or domestic violence about an individual whom the Board reasonably believes to be a victim of abuse, neglect or domestic violence. There are three circumstances in which the Board may disclose information about these victims:
 - a) law requires disclosure related to abuse and the disclosure must comply with and is limited to the relevant requirements of such law, or
 - b) the individual has agreed to such disclosure, or
 - c) the disclosure is expressly authorized by statute or regulation and either the Board believes that disclosure is necessary to prevent serious harm to the individual or to other potential victims, or that individual is unable to agree due to incapacity, and the law enforcement or public official authorized to receive the report represents that the information sought is not intended to be used against the individual, and that an immediate enforcement activity would be materially and adversely affected by waiting.
 - 2. The Board is required to promptly inform the victim/parent/guardian that it has disclosed information to report abuse, neglect or domestic violence unless the victim's safety would be placed in jeopardy due to the receipt of this information. The Board may provide this information orally, written notification is not required, and may be undesirable due to the potential for further harm to the individual by the abuser. The Board is not required to inform a parent/guardian if it is believed that the parent/guardian is responsible for the abuse, neglect or other injury, and that informing this person would not be in the individual's best interest.
 - G. Use and disclosure about an individual who is a victim of crime.
 - 1. Health information may be disclosed for victims of a crime. State or other law may mandate disclosure.
 - 2. The Board is required to obtain employee, individual, parent or guardian agreement, except for disclosures required by law. The agreement may be

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- obtained orally or in writing. The agreement requirement is waived if any of the following conditions apply:
- a) The covered entity is unable to obtain the agreement because of the employee or individual's incapacity or other emergency circumstance; or
 - b) The law enforcement official represents that the information is needed to determine whether a violation of law by a person other than the victim has occurred, and the information is not intended to be used against the victim; or
 - c) The law enforcement official represents that immediate law enforcement activity that depends upon the disclosure would be harmed by waiting until the employee or individual is able to agree; or
 - d) The Board believes the disclosure is in the best interest of the employee or individual.
3. The Privacy Rule does not allow the Board to initiate disclosures of information, the disclosure must be in response to a request from law enforcement, and the minimum necessary standard applies to all disclosures.
4. The Board is required to promptly inform the victim, parent or guardian that it has disclosed information to report abuse, neglect or domestic violence unless the victim's safety would be placed in jeopardy due to the receipt of this information.
- H. Use and disclosure related to crime perpetrated by an individual served by the Board.
- 1. Staff members who are victims of a crime perpetrated by an individual served by the Board may disclose certain information about the individual to a law enforcement agency.
 - 2. If a staff member or a business associate of the Board is the victim of a crime perpetrated by an individual served by the Board, they may disclose information to the appropriate law enforcement agency for the purposes of reporting the crime. The information which may be disclosed is limited to the individual's:
 - a) Name and address;
 - b) Date and place of birth;
 - c) Social Security Number;
 - d) ABO blood type and ph factor;
 - e) Type of injury;
 - f) Date and time of treatment;
 - g) Date and time of death, if applicable;
 - h) A description of distinguishing physical characteristics, including height, weight, gender, race, hair and eye color, presence or absence of facial hair (beard or moustache), scars, and tattoos.
- I. Uses and disclosures required by other laws.
- J. Use and disclosure during judicial proceedings.
- K. Use and disclosure to Federal, State, and other legal or regulatory officials in connection with the audit and evaluation of federally supported program, or in connection with the enforcement of or compliance with the Federal legal requirements which relate to these problems.
- L. Use and disclosure to a law enforcement officer or official of the courts engaged in

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

investigations.

- M. Use and disclosure approved by the employee, individual, parent or guardian through verbal agreement. The Board may use and disclose certain information without the written consent or authorization if the employee, individual, parent or guardian has been informed in advance of the use or disclosure and has the opportunity to agree, prohibit, or restrict the disclosure. The Board may orally inform the employee, individual, parent or guardian of the permitted uses and disclosures permitted by this procedure. The Human Resource department is responsible for documenting the agreement, prohibition or restriction of an employee. The primary person responsible for the coordination of services for the individual, as identified by the Board, must document the agreement, prohibition, or restriction through field-notes or other appropriate means.
1. If the employee or individual is present for or otherwise available prior to a use or disclosure and has the capacity to make health care decisions, the Board may use or disclose the information if it:
 - a) Obtains verbal agreement; or
 - b) Provides the employee or individual with the opportunity to object to the disclosure, and the individual does not express an objection; or
 - c) Reasonably infers from the circumstances, based on the exercise of professional judgment that the employee or individual does not object to such disclosure.

VIII. SUBPOENAS AND SEARCH WARRANTS

Records maintained by the Board regarding individuals supported by the Board are confidential, are not public records and can only be disclosed under certain circumstances. All Board personnel will abide by the following procedure if someone presents a subpoena or search warrant. If a proper subpoena has not been issued, or the person is not a law enforcement officer, or the law enforcement officer does not have a search warrant, the Board will not furnish any confidential information to the person. Employee records are considered public records as long as they do not contain protected health information (PHI).

A. Subpoenas

1. If a subpoena is issued to an employee of the Board, which requests that the employee produce documents maintained by the Board regarding individuals supported by the Board, or employees employed by the board, the employee shall immediately notify the Department Director/designee or the Superintendent. The Board shall contact the Prosecuting Attorney or other legal counsel to address the validity of and obligation to respond to the subpoena.
2. No employee has authority to, shall not agree to disclose, and shall not disclose any records maintained by the Board regarding individuals supported by the Board, or employees of the board unless approved by the Department Director/designee or Superintendent.

B. Search Warrants

1. Board personnel who are approached by anyone alleging to be a law enforcement officer should immediately contact the applicable Department Director/designee. Until approved by the Department Director/designee or Superintendent, Board personnel shall not disclose any information. Board personnel shall refer the person to the Department Director/designee.

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

2. The Department Director/designee shall ask for the officer's identification and the search warrant. The Department Director/designee shall photocopy the ID and contact the applicable law enforcement agency to verify the identity of the law enforcement officer. The Department Director/designee should initially review the search warrant to determine the scope of the search warrant.
3. If presented with a search warrant, Board personnel will not interfere with the search and seizure. If this happens at night or on a weekend, Board personnel shall contact the Department Director/designee at home.
4. Board personnel shall always cooperate with law enforcement agents who have shown appropriate identification and authorization for the search. If the agent requests a password to databases, Board personnel shall reply with the request. The password is not the Board personnel's personal property. Failure to cooperate by, for example, refusing to give a password to an agent, may qualify as acting outside the scope of one's employment and subject the staff member to disciplinary action. Interfering with or impeding a lawful search may also constitute a criminal offense under State and Federal law.
5. Upon presentation of a search warrant, the Board shall immediately contact the Erie County Prosecuting Attorney.

IX. USES AND DISCLOSURES WITH AN AUTHORIZATION

- A. When a request for disclosure of information of an employee or individual is received by any Department that information will be sent within ten (10) days of receipt of the request provided that appropriate consent is obtained.
- B. The employee, individual, parent or guardian will be given the opportunity to agree or object to the release of all protected health information, in a manner that is understandable to that person, prior to the release of the information.
- C. Each department shall implement procedures to obtain written consent of the employee, individual, parent or guardian before disclosing information from records or when the Board is requesting information from another agency. The written consent must be signed and dated by the employee, individual, parent or guardian giving the consent and shall specify the records to be disclosed, the purpose or purposes of the disclosure, and the party or class of parties to whom the disclosure may be made and the time period for which permission is granted.
- D. Consent must also be obtained in accordance with the Family Education Rights and Privacy Act (FERPA), prior to disclosing information:
 1. To officials of another school, school district, or other educational agency in which a school-aged student is to be enrolled.
 2. When the transfer of records is initiated by the parent served through the educational component.
 3. When a school district or other educational agency includes a notice in its policies and procedures that it forwards education records on request to a school district or other educational agency in which a student is to be enrolled.
- E. When a disclosure is made, a department shall, upon request, provide a copy of the record which is disclosed to the employee, individual, parent or guardian.
- F. Disclosure of information authored by a party or agency other than staff or consultants of the Board requires authorization of that party/agency.
- G. Disclosure of information also includes verbal sharing (meetings, telephone conversations, etc.) which requires written consent as outlined above. Record of

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

such disclosure shall be recorded.

- H. Reports made under Section 5123.61 of the ORC are not public records as defined in Section 149.43 of the code.

X. REQUESTING AUTHORIZATIONS

- A. In situations when an authorization is required, Board employees should complete the form, Consent to Release Information.
- B. The receiving party can be an individual, an organization, or classes of individuals or organizations.
- C. The authorization should be completed including all required elements being specific with the portion of the information to be released. Avoid specifying the entire individual's file unless absolutely necessary.
- D. The expiration date in general should be no more than one year from the date of the authorization.
- E. The employee, individual, parent, or guardian should be asked to approve the authorization.

XI. CORE ELEMENTS OF A VALID AUTHORIZATION

Authorizations for the release of information may be received on forms prepared by other organizations. These forms are acceptable if they contain at least the following elements and are written in plain language. If any of the following elements are exempt, authorization will be denied:

- A. A description of the information to be used or disclosed that identifies the information in a specific and meaningful fashion.
- B. The name or other specific identification of the person or class of persons authorized to make the requested use or disclosure.
- C. The name or other specific identification of the person or class of persons to whom the Board may make the requested use or disclosure.
- D. An expiration date.
- E. A statement of the employee, individual, parent, and guardian's right to revoke the authorization in writing and the exceptions to the right to revoke, together with a description of how the employee, individual, parent or guardian may revoke the authorization.
- F. A statement that the information used or disclosed pursuant to the authorization may be subject to re-disclosure by the recipient and no longer be protected by the HIPAA Privacy Regulations.
- G. A statement that the Board is not allowed to require the employee, individual, parent or guardian to sign the authorization in order to receive services from the Board.
- H. Signature of the employee, individual, parent or guardian and the date.
- I. If a surrogate decision maker of the individual signs the authorization form, a description of such surrogate decision maker's authority to act for the individual is required.
- J. The authorization form may contain elements or information in addition to the required elements, provided that such additional information or elements are not inconsistent with the required elements.

XII. DEFECTIVE AUTHORIZATIONS

An authorization form is considered defective and invalid if any material information in the authorization is known to be false by the Board or its employees or if any of the following

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

defects exist:

- A. The expiration date has passed or the expiration event is known by the covered entity to have occurred.
- B. The authorization form has not been filled out completely.
- C. The authorization form is known by the covered entity to have been revoked.
- D. The authorization form lacks any one of the core elements previously described.
- E. The authorization form is combined with another document.

XIII. PROCESSING AUTHORIZATIONS

- A. The Department Director/designee should review the authorization against the criteria above (Core Elements for a Valid Authorization and Defective Authorizations) to verify the validity of the authorization. For any defects, contact the employee, individual, parent or guardian so that it can be corrected.
- B. Verify the identity of the person requesting the information. (see below)
- C. Send the information as requested from the official file.
- D. Save a copy of the authorization in the individual's file, and give or send a copy to the employee, individual, parent or guardian upon request.

XIV. VERIFICATION OF THE IDENTITY OF THE PERSON REQUESTING THE INFORMATION

- A. The Board must verify the identity of a person requesting information and the authority of any such person to have access to information if the identity or any such authority of such person is not known to the Board. To verify the requestor of information, the Board employee responding to the request may verify the person through:
 - 1. A known place of business;
 - 2. A known address;
 - 3. A known phone or fax number;
 - 4. A known human being.
- B. The Board must obtain verification of the identity prior to the disclosure of the requested information. Documentation of the verification must be maintained in the official file.
- C. When the person requesting the information is a public official, the Board may rely, if such reliance is reasonable under the circumstances, on any of the following to verify identity when the disclosure of information is to a public official or a person acting on behalf of the public official.
 - 1. If the request is made in person, presentation of agency identification badge, other official credentials, or other proof of government status.
 - 2. If the request is in writing, the request is on the appropriate government letterhead.
 - 3. If the disclosure is to a person acting on behalf of a public official, a written statement on appropriate government letterhead that the person is acting under the government's authority or other evidence or documentation of agency, such as a contract for services, memorandum of understanding, or purchase order, that establishes that the person is acting on behalf of the public official.
 - 4. A written statement of the legal authority under which the information is requested, or, if a written statement would be impracticable, an oral statement of such legal authority.
 - 5. If a request is made pursuant to legal process, warrant, subpoena, order,

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

or other legal process issued by a grand jury or a judicial or administrative tribunal is presumed to constitute legal authority.

- D. When the person requesting the information is a person assisting in the individual's care, the Board is required to verify the identity and authority of the person before disclosing information and assure that the information requested falls within the normal area of support the person provides to the individual. Staff receiving a request for information in this situation shall obtain verification from the individual/agency by:
 - 1. Having personal knowledge of the person's role with the individual (i.e., social worker, nurse, service coordinator, etc.);
 - 2. By confirming the person's role through written verification from employer or relationship with the individual;
 - 3. By confirming through other county board staff having knowledge of the requestor's role with the individual.
- E. Verification is not required if there is an imminent threat to safety. It is lawful to disclose information to prevent or lessen a serious and imminent threat to the health or safety of a person or the public if disclosure is made to a person reasonably able to prevent or lessen the threat. If these conditions are met, no further verification is needed. In such emergencies, the Board is not required to demand written proof that the person requesting the information is legally authorized. Reasonable reliance on verbal representations is appropriate.
- F. Disclosure to the Secretary of the Department of Health and Human Services is required for purposes of enforcing Security and Privacy regulations. When information is requested by the Secretary of the Department of Health and Human Services for compliance purposes, the Board must verify the identity of the requestor and their authority to access protected health information as would be required for any other law enforcement or oversight agency request for disclosure.

XV. RIGHT TO REVOKE AN AUTHORIZATION

- A. An employee, individual, parent or guardian may revoke an authorization at any time, provided that the revocation is in writing, except to the extent that:
 - 1. The Board has taken action in reliance thereon; or
 - 2. If the authorization was obtained as a condition of obtaining insurance coverage, other law provides the insurer with the right to contest a claim under the policy or the policy itself.
- B. An authorization which has been revoked is no longer valid.
- C. Upon written notice of revocation, further use or disclosure of PHI shall cease immediately except to the extent that the office, facility, program or employee has acted in reliance upon the authorization or to the extent that use or disclosure is otherwise permitted or required by law.

XVI. MINIMUM NECESSARY USE AND DISCLOSURE

All persons who handle individual information in any manner are expected to know and abide by the following:

- A. Access to the information will be granted based on the individual's role and determined by each Department Director/designee of the Board. The Board will identify:
 - 1. Those persons or classes of persons, who require access to individual information to carry out their duties, in the workforce, including interns and trainees, according to job classification with the necessary minimal

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- necessary information required for successful job performance to serve the individual, and
2. For each such person or class of persons, the category or categories of information to which access is needed and any conditions appropriate to such access.
- B. Whenever requesting information from another entity, the Board personnel shall limit the request to the minimum necessary.
 - C. All personnel should take care to avoid requesting the entire individual file unless this is absolutely necessary.
 - D. The Department Director/designee may rely on the belief that the information requested is the minimum amount necessary to accomplish the purpose of the request when:
 1. The disclosure is made to a public official, permitted to receive information, and the public official represents that the request is the minimum necessary information;
 2. The request is from another covered entity;
 3. The request is from a professional at the Board, or a business associate, and the professional or business associate asserts that the request is for the minimum necessary.
 - E. The Board will implement controls/measures to limit access for minimal necessary use and disclosure including but not limited to:
 1. Computer access levels and passwords;
 2. Limited access to files, sign-out procedures;
 3. Securing file cabinets and file rooms at night.

XVII. EXEMPTIONS FROM THE MINIMUM NECESSARY PROVISIONS

This minimum necessary provision shall NOT APPLY to the following outlined uses and disclosures of PHI:

- A. For treatment purposes;
- B. For information requested by the employee, individual, parent or guardian;
- C. For information requested pursuant to a valid authorization by the individual/parent/guardian;
- D. For compliance with standardized Health Insurance Portability and Accountability Act (HIPAA) transactions;
- E. For required disclosures to the Department of Health and Human Services (DHHS) for enforcement purposes;
- F. For instances required by other law;
- G. When ordered by the court (only information directly requested by such an order is to be provided).

XVIII. NON-ROUTINE DISCLOSURES OR REQUESTS

- A. For non-routine disclosures, when subject to the minimum necessary provision, the Privacy Officer (or his/her designee) shall review the request for compliance with the minimum necessary requirements.
- B. For non-routine requests, the requesting party will utilize the minimum necessary principle.

XIX. ROUTINE DISCLOSURES OR REQUESTS

- A. Procedures for Routine Disclosures - Will follow the minimum necessary standards and document on the Consent to Release information form.

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- B. Procedures for Routine Requests - Will follow the minimum necessary standards and procedures for requesting information.

XX. DISPOSAL OF RECORDS

The Department Director/designee shall make varied attempts to obtain prior written permission from the individual/parent/guardian in the event that official personally identifiable information collected, maintained, or used is destroyed. Copies of these records shall be made available to the individual/parent/guardian upon request. Records will only be disposed of in accordance with the Document Management Policy and Schedule of Records Retention and Disposition (Form RC-2).

XXI. MAINTENANCE OF RECORDS

- A. Employee and Individual records are maintained in both paper and electronic paperless format(s) dependent on department procedures. All electronic data will be recorded within 45 days of receipt, paper records will be recorded within 10 days of receipt.
- B. No records will be physically removed from the premises, copies will be provided in accordance with disclosure requirements.

XXII. ACCOUNTING OF DISCLOSURES

- A. PHI used or maintained in electronic format is subject to the accounting requirements for the following types of disclosures:
 - 1. Treatment, payment and health care operations for three years prior to the request.
 - 2. Other disclosures for six years prior to the request including:
 - a) Between BA and covered entity;
 - b) Health oversight;
 - c) Reports of MUIs outside of the covered entity;
 - d) Other disclosures not specifically exempted by 164.528.
- B. Electronic Accounting rules apply if:
 - 1. The record exists on or before January 1, 2009, the new accounting requirements will apply to disclosures made from the record on or after January 1, 2014.
 - 2. The record exists after January 1, 2009, the new accounting requirements will apply to disclosures made from that record on or after the later of January 1, 2011 or the date the covered entity acquires the electronic health record.
- C. If the Board discloses an individual's identity or releases a record or report regarding an eligible individual, the Board shall maintain a record of when and to whom the disclosure or release was made in accordance with the following procedure:
 - 1. An individual/parent/guardian requesting an accounting shall do so in writing to their Service Coordinator. The individual/parent/guardian must state the period of time desired for the accounting, which must be within the six years prior to the date of the individual/parent/guardian's request, and shall not be before April 14, 2003.
 - 2. The accounting must be in writing and include the following for each disclosure:
 - a) The date of the disclosure;
 - b) The name of the entity or person who received the information and,

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- if known;
 - c) The address of such entity or person;
 - d) A brief description of the information disclosed;
 - e) A brief statement of the purpose of the disclosure that reasonably informs the individual/parent/guardian of the basis for the disclosure; or, in lieu of such statement:
 - i. A copy of the individual/parent/guardian's written authorization under the rules; or
 - ii. A copy of a written request for a disclosure, if any.
3. If, during the period covered by the accounting, the Board has made multiple disclosures of information to the same person or entity for monitoring purposes or for disclosures required by law, the accounting may be limited, with respect to such multiple disclosures, and include:
- a) The information required as listed in section 2 for the first disclosure during the accounting period;
 - b) The frequency, periodicity, or number of the disclosures made during the accounting period;
 - c) The date of the last such disclosure during the accounting period.
4. The Board will act on an individual/parent/guardian's request for accounting no later than 60 days after the date of the individual/parent/guardian's request. The Board may extend the time by not more than 30 days if the Board gives the individual/parent/guardian written notice of the extension and the reason for the extension. The request should:
- a) Be in writing and made either by the individual/parent/guardian or with the individual/parent/guardian's consent.
 - b) The request should be given to the individual's Service Coordinator and a copy forwarded to the Privacy Officer.
 - c) The individual's Service Coordinator will consult with their supervisor and they will collaboratively evaluate how to efficiently process the request.
 - d) The Service Coordinator shall inform the individual/parent/guardian that their request will be processed and inform them of the timelines as indicated above.
 - e) The Service Coordinator will provide a copy to the Privacy Officer and implement the necessary steps to process the request within the indicated timelines.
 - f) The Privacy Officer of the Board shall maintain a file of all requests for accountings by individuals/parents/guardians and ensure that the Board retains documentation relating to disclosures for at least six years (effective April 14, 2003) or as otherwise required by applicable requirements and Board procedures.
5. If any Board record includes information on more than one individual, the individual/parent/guardian of the individuals shall have the right to inspect and review only the information relating to their individual.
6. Exceptions: The following disclosures are not subject to the accounting requirements, if carried out in accordance with HIPAA Privacy Rules:
- a) To carry out treatment, payment and health care operations, except that PHI maintained electronically is subject to accounting for three years prior to the request.

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- b) To individuals of protected health information about them.
- c) A use or disclosure otherwise permitted or required by the HIPAA Privacy Rules.
- d) Pursuant to an authorization.
- e) For the facility's directory or to persons involved in the individual's care or to other notification purposes.
- f) For national security or intelligence purposes.
- g) To correctional institutions or law enforcement officials.
- h) That occurred prior to the compliance date for the covered entity.

XXIII. AMENDMENT OF RECORD AT PARENT/ GUARDIAN/ INDIVIDUAL REQUEST

- A. An individual/parent/guardian who believes that information in their record is inaccurate or misleading or violates the privacy or other rights of the individual may make a request to their Service Coordinator of that component, which maintains the information, to amend the information. The procedure to request information is outlined below:
 - 1. The Request should be in writing and made either by the individual/parent/guardian or with the individual/parent/guardian's consent.
 - 2. The request should be given to the individual's Service Coordinator and a copy forwarded to the Privacy Officer.
 - 3. The individual's Service Coordinator will consult with their supervisor and they will collaboratively evaluate how to efficiently process the request.
 - 4. The supervisor shall present the request with recommendation on how to fulfill the request to the Department Director/designee who will decide whether or not to amend the information.
 - 5. The request will be processed no later than 60 days after the date of the request. The Board may extend the time by not more than 30 days if the Board gives the individual/parent/guardian written notice of the extension.
 - 6. The Service Coordinator will provide a copy to the Privacy Officer and implement the necessary steps to process the request within the indicated timelines.
 - 7. The Privacy Officer of the Board shall be notified of all requests for amendments and ensure that the Board retains documentation relating to the amendments for at least six years or as otherwise required by applicable requirements and Board procedures.
- B. If the Board accepts the requested amendment, in whole or in part, the Board will make the appropriate amendment, and inform the individual and other persons or entities who have had access to the information. This includes the release of this information to outside entities as the result of a written request.
- C. If a decision is made not to amend the information in accordance with the request, the Department Director/designee shall inform the individual/parent/guardian of the refusal in writing, which includes the following:
 - 1. The basis for the denial;
 - 2. The individual/parent/guardian's right to submit a written statement disagreeing with the denial and how the individual/parent/guardian may file such a statement;
 - 3. A statement that, if the individual/parent/guardian does not submit a statement of disagreement, the individual/parent/guardian may request that the Board provide the individual/parent/guardian's request for amendment and the denial with any future disclosures of the individual

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- information that is the subject of the amendment;
4. A description of how the individual/parent/guardian may complain to the Board or the Secretary of Health & Human Services. The description must include the name, or title, and telephone number of the contact person or office.
- D. The Board will permit the individual/parent/guardian to submit to the Board a written statement disagreeing with the denial of all or part of a requested amendment and the basis of such disagreement.
- E. The Board may prepare a written rebuttal to the individual/parent/guardian's statement of disagreement. Whenever such a rebuttal is prepared, the Board must provide a copy to the individual/parent/guardian who submitted the statement of disagreement.
- F. With regards to future disclosures of covered records the following applies:
1. Records must include the statements of disagreement and rebuttals.
 2. Future disclosures of covered records must include relevant amendments and rebuttals.
 3. If an individual/parent/guardian has not submitted a statement of disagreement, the Board must include the following with all subsequent disclosures:
 - a) The individual/parent/guardian's request for an amendment.
 - b) The Board notice of denial.
 - c) If the disclosure which was the subject of amendment was transmitted using a standard Electronic Document Imaging format and the format does not permit including the amendment or notice of denial, the Board may separately transmit the information to the recipient of the transaction in a standard Electronic Digital Imaging format.
- G. The Board that is informed by another entity of an amendment to an individual's information must amend the information in designated record sets.
- H. The individual/parent/guardian may exercise their due process rights as outlined in the Complaint Resolution Policy/Procedure at any time during this process.

XXIV. INDIVIDUAL REQUESTED RESTRICTIONS OF THEIR INFORMATION

Individuals/parents/guardians have the right to request restrictions over and above the standard protections offered by Board policies. Granting these requests will be done at the Board's discretion, which shall include consideration of whether the restriction can be administered. Any request granted will be honored, except in emergency situations, or until terminated. Procedures to request a restriction are outlined below:

- A. Requests shall be in writing and made either by the individual/parent/guardian or with the individual/parent/guardian's consent. The request should be given to the Service Coordinator and a copy forwarded to the Privacy Officer.
- B. The individual's Service Coordinator will consult with their supervisor and they will collaboratively evaluate:
1. The Board's ability to administer such a restriction, and the costs involved;
 2. The health/safety/welfare needs of the individual requesting the restriction.
- C. Based on this evaluation, a recommendation shall be made to the Department Director/designee who will either approve or deny the request.
- D. The Service Coordinator shall inform the individual/parent/guardian of the decision, and document the decision in the individual's file, provide a copy to the Privacy Officer and implement the necessary steps to ensure proper enforcement of the restriction.

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- E. These restrictions will not apply during an emergency. In the event these restrictions are broken in the course of an emergency, and information is disclosed to a health care provider, a request shall be made to that provider to not further use or disclose the information.

XXV. TERMINATION OF THE RESTRICTION

- A. In the event that the Board wishes to terminate the restriction, the request will be discussed with the individual/parent/guardian. The individual/parent/guardian's written agreement to terminate the restriction must be filed in their master file, or if it is received verbally, that verbal agreement must be documented in the file and a copy given to the Privacy Officer.
- B. The Board may unilaterally terminate the restriction. Such a termination without the individual/parent/guardian's agreement must be documented in the individual's file and the individual/parent/guardian must be notified. Such a termination will apply only to information created after the date of the termination.

XXVI. INDIVIDUAL REQUEST FOR CONFIDENTIAL COMMUNICATIONS

Individuals/parents/guardians are entitled to request confidential communications, including for example, not sending information to their home address or telephoning their home number. These requests will be honored to the extent that they can be reasonably accommodated with our administrative systems by following the steps outlined below:

- A. Requests for confidential communications should be made in writing by the individual/parent/guardian.
- B. The request should be given to the Service Coordinator and a copy forwarded to the Privacy Officer.
- C. When the Service Coordinator receives a request, they may not ask the reason for the request.
- D. The Service Coordinator will work in conjunction with their supervisor to develop a plan to implement the request if appropriate.
- E. The Service Coordinator shall contact the individual/parent/guardian making the request to obtain an alternate means of contacting them (e.g. cell phone, PO Box, etc.).
- F. The individual/parent/guardian will be informed at that time of steps the Board will take to implement the request.
- G. If existing systems are capable of administering the request, the Service Coordinator shall make sure that necessary steps are taken to implement the request, such as adjusting phone numbers or addresses in computer files or mailing lists.
- H. The Service Coordinator shall assure that the request is documented, and disposition is filed in the individual's file.
- I. When needed, the Privacy Officer will make recommendations to the Superintendent of improvements necessary in computer systems or administrative procedures in order to implement reasonable requests for confidential communications.

XXVII. BREACH

Upon the discovery of a breach the Department Director/designee will take immediate action in an effort to minimize the misuse of the information in question. The Privacy Officer will be notified, will determine if the incident is a breach and will work in conjunction with the responsible department to ensure that appropriate notice is given, and will track

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

and report the Board's breaches in accordance with applicable requirements.

The Department Director/designee will work with the Human Resources department to determine the appropriate sanctions to be taken against the workforce member(s) responsible for the breach in accordance with the Corrective Action for Management Employees & Corrective Action for Civil Service Employees procedures and Union contracts.

The Board will determine if additional safeguards need to be put into place based upon the nature of the breach and risk of further exposure to the individuals involved. These safeguards may include but are not limited to; performing credit checks, purchasing identity theft insurance, revising procedures on how PHI is secured, etc..

XXVIII. NOTICE OF A BREACH TO EMPLOYEES AND INDIVIDUALS

The Board will provide notice in the event of a breach of unsecured PHI. Notifications will be sent to the affected person(s), the Secretary of Health and Human Services (HHS) and under some circumstance the media.

- A. Breaches Subject to Notification: Notification requirements only apply to breaches of unsecured PHI. Both of the following must be determined to be true to require notification:
 - 1. Whether there is a breach as defined in the ARRA and as determined by the Privacy Officer.
 - 2. Whether the breach includes unsecured PHI.
- B. The Department Director/designee in which the breach took place will work with the Privacy Officer to ensure proper notice is given. The notice will be in writing and must include the following:
 - 1. A brief description of what happened, including the date of the breach and the date of the discovery of the breach, if known;
 - 2. A description of the types of unsecured PHI involved in the breach (such as whether full name, social security, number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved);
 - 3. Any steps individuals should take to protect themselves from potential harm resulting from the breach;
 - 4. A brief description of what the Board is doing to investigate the breach, to mitigate harm to employees and individual's and to protect against any further breaches;
 - 5. Contact procedures for persons affected to ask questions or learn additional information, shall include a telephone number, an e-mail address, web site, or postal address.
- C. The notice must be provided in one of the following three formats, depending on circumstances:
 - 1. Written Notice
 - a) Written notification by first-class mail to the employee or individual at the last known address of the person or, if the person agrees to electronic notice and such agreement has not been withdrawn, by electronic mail.
 - b) If the covered entity knows the person is deceased and has the address of the next of kin or personal representative of the person, written notification by first class mail to either the next of kin or personal representative of the affected person.
 - 2. Substitute notice may be given in the event that the contact information is

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

not available; a substitute form of notice reasonably calculated to reach the individual shall be provided. Substitute notice need not be provided in the case where the person is deceased.

- a) In the case in which contact information is not available for fewer than 10 people, then such substitute notice may be provided by an alternative form of written notice, telephone, or other means.
 - b) In the case in which contact information is not available for 10 or more people, then such substitute notice shall:
 - (i) Be in the form of either a conspicuous posting for a period of 90 days on the Board's Web site, or conspicuous notice in major print or broadcast media in geographic areas where the individuals affected by the breach likely reside;
 - (ii) Include a toll-free phone number that remains active for at least 90 days that an individual can call to learn whether the persons unsecured PHI may be included in the breach.
3. In any case deemed to require urgency because of possible imminent misuse of unsecured PHI the people will be contacted by telephone or other means, in addition to providing the required written notice.

D. Timeliness of Notification:

Notification shall be made without unreasonable delay and in no case later than 60 calendar days after discovery of a breach. Notification must be delayed if law enforcement determines that the notice will impede a criminal investigation. This type of delay shall be documented including the specific time frame for the delay, and who is requesting the delay and the rationale.

E. Other parties required to receive notice: In addition to providing notice to the employee or individual, the following must also be notified:

- 1. For a breach of unsecured PHI involving more than 500 people, prominent media outlets serving the State or jurisdiction must also be notified. The Board shall also notify the Secretary of HHS without unreasonable delay and in no case later than 60 days from discovery of the breach. The content of the notice to the individual shall be the same,
- 2. For breaches of unsecured PHI involving less than 500 people, the Board shall maintain a log or other documentation of such breaches and, not later than 60 days after the end of each calendar year, provide notice to the Secretary of HHS of breaches occurring during the preceding calendar year. The Privacy Officer will be responsible for making this notification.

XXIX. COMPLAINT RESOLUTION

- A. Any employee, individual, parent, guardian that has a concern about their privacy rights, that their privacy rights have been violated, or disagree with a decision that has been made by the Board concerning their privacy rights should contact their Service Coordinator and make their concern known, or contact:

Erie County Board Privacy Officer:
4405 Galloway Rd. Sandusky, Ohio 44870
(419) 626-0208

or

Erie County Board Complaint Officer:
4405 Galloway Rd. Sandusky, Ohio 44870
(419) 626-0208

or

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

The Secretary of the U.S Department of Health and Human Services at:
200 Independence Ave. SW, Washington D.C. 20201
1-877-696-6775

or

The Office for Civil Rights, U.S. Department of Health and Human Services at:
200 Independence Ave. SW, Room 509 F, HHH Building, Washington D.C., 20201
or

Call OCR's hotline – 1-800-368-1019; E-mail – orcmail@hhs.gov

- B. The Board will assist an employee, individual, parent, guardian in making a complaint to any of the above listed offices if the individual/parent/guardian requests assistance.
- C. If any workforce member receives a complaint from an employee, individual, parent, guardian about their privacy rights they should:
 - 1. Forward that complaint in writing to the Complaint Officer or Privacy Officer.
 - 2. The Complaint Officer will notify the Privacy Officer who will notify the Department Director(s)/designee(s) that a complaint has been filed.
 - 3. The Privacy Officer will work in conjunction with the component to resolve the complaint as outlined in the Administrative Resolution of Complaints Policy/Procedure.
- D. The Board will retain all documentation of complaints related to the uses and disclosures of related PHI, and the dispositions of these complaints, in accordance with the HIPAA documentation policy as defined under the HIPAA Privacy Rules CFR 164.530 (J).
- E. If it has been determined that an employee is in violation of this procedure, corrective action may be taken against that employee as outlined in the Corrective Action for Management Employees & Corrective Action for Civil Service Employees procedures as applicable. Appropriate action will also be taken for other workforce members in violation of the Confidentiality of Protected Health Information Held by the Board policy and this procedure.
- F. If a workforce member is found to have incidentally disclosed employee or individual information, that workforce member will be trained on the confidentiality policy and the proper methods for disclosing individual information. If there are reoccurring offenses, the employee will be subject to corrective action in accordance with the Corrective Action for Employees policy and Corrective Action for Management Employees or Corrective Action for Civil Service Employees procedures. Appropriate actions will also be taken for other workforce members found to have reoccurring offenses of incidentally disclosing PHI. The Board recognizes that incidental disclosures occur, however, measures will be taken to minimize incidents (i.e.... training, information systems security, file security, etc). All incidents of incidental disclosure of information will be reported to the Privacy Officer.
- G. The Board will not take any retaliatory measure against the complainant during or following this process as specified under HIPAA rules 45 CFR 160.310 (b).

XXX.

NOTICE

The Board shall give adequate notice of the uses and disclosures of PHI that may be made by the Board, and of the employee, individual, parent, guardian's rights and the Board's legal duties with respect to PHI.

- A. An employee, individual, parent, guardian has a right to adequate notice of the uses and disclosures of the PHI that may be made by or on behalf of the Board,

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

and of the employee, individual, parent, guardian's rights and the Board's legal duties with respect to the individual's PHI. The Board will provide notice:

1. No later than April 14, 2003 to individuals enrolled in Board services;
 2. Thereafter, at the time of enrollment, to individuals who are new enrollees;
 3. In an emergency treatment situation, as soon as reasonably practicable after the emergency situation;
 4. Within 60 days of a material revision to the notice to individuals enrolled in Board services;
 5. Once every three years, the Board shall notify individuals enrolled in the Board services of the availability of the notice and how to obtain the notice.
- B. Except in an emergency situation, the Board shall make a good faith effort to obtain a written acknowledgment of receipt of the initial notice provided, and if not obtained, document its good faith efforts to obtain such acknowledgment and the reason why the acknowledgment was not obtained.
- C. An acknowledgment is not required for revised notices or periodic notices on availability of notice and how to obtain notice.
- D. The Notice of Privacy Practice shall be available at all sites operated by the Board for individuals to request to take with them.
- E. The Board shall post the notice in a clear and prominent location where it is reasonable to expect individuals seeking service from the Board to be able to read the notice. e.g. posted on the Board's website.
- F. Whenever the notice is revised, the Board shall make the notice available upon request on or after the effective date of the revision and shall promptly post as required in this paragraph.
- G. The notice of privacy practices must be written in plain language and must contain the following elements:
1. The following statement in a header or otherwise prominently displayed:
"THIS NOTICE DESCRIBES HOW MEDICAL INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY".
 2. A description, including at least one example, of the types of uses and disclosures that the Board is permitted to make for purposes of treatment, with sufficient detail to place an individual/parent/guardian on notice of the uses and disclosures permitted or required. The description should clarify that any disclosure outside of the Board requires prior authorization;
 3. A description, including at least one example, of the types of uses and disclosures that the Board is permitted to make for purposes of payment and health care operations, with sufficient detail to place an individual/parent/guardian on notice of the uses and disclosures permitted or required;
 4. A description of each of the other purposes for which the Board is permitted or required to use or disclose PHI without an individual/parent/guardian's consent or authorization, with sufficient detail to place an individual/parent/guardian on notice of the uses and disclosures permitted or required;
 5. A statement that other uses or disclosures will be made only with the individual/parent/guardian's written authorization, and that the authorization may be revoked in accordance with the procedure on authorizations;
 6. If the Board intends to contact the individual/parent/guardian for

**ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES
CONFIDENTIALITY OF PROTECTED HEALTH INFORMATION PROCEDURE**

- appointment reminders, treatment alternatives or other health related benefits, a separate statement describing such contacts;
7. A statement of the individual/parent/guardian's rights with respect to the individual's PHI, and a brief description of how the individual/ parent/guardian may exercise those rights, including: the right to request restrictions on certain uses/disclosures of PHI, and the fact that the Board does not have to agree to such restrictions; the right to receive confidential communications of PHI; the right to inspect and copy PHI upon written request; the right to amend PHI; the right to receive an accounting of disclosures of PHI, and; the right to receive a paper copy of the privacy notice (each of the above in accordance with relevant procedures);
 8. A statement of the Board's duties with respect to PHI, including statements: that the Board is required by law to maintain the privacy of PHI and to provide individuals/parents/guardians with notice of its legal duties and privacy policies; that the Board is required to abide by the terms of the currently effective privacy notice;
 9. A statement that the Board reserves the right to change the terms of the notice and make the new notice provisions effective for all PHI that is maintained, along with a description of how the Board will provide individuals/parents/guardians with the revised notice;
 10. A statement that individuals/parents/guardians may complain to the Board and to the Secretary of the U.S. Department of Health and Human Services about privacy rights violations, including a brief statement about how a complaint may be filed and an assurance that the individual/ parent/guardian will not be retaliated against for filing a complaint;
 11. The name, or title, and telephone number of the person or office to contact for further information;
 12. The effective date of the notice, which may not be earlier than the date printed or published.
- H. When there is a material change to the uses or disclosures, the individual/ parent/guardian's rights, the Board's legal duties, or other privacy practices described in the notice, the Board shall provide a notice of such change.
1. Notice of material changes shall be made no later than 60 days after the change is effective.
 2. The notice shall incorporate all material changes and shall be distributed in accordance with this procedure within the time period required in this procedure.
 3. Except when required by law, a material change to any term may not be implemented prior to the effective date of the notice reflecting the change.
 4. The Board is not required to obtain acknowledgment of a revised notice.
- I. The Board will maintain the web site; the notice will be posted on the web site and be made available electronically through the web site.
- J. The Board shall retain copies of the notices issued by the Board and any written acknowledgments of receipt of the notice or documentation of good faith efforts to obtain such written acknowledgment. Copies of such notices shall be retained for a period of at least six years from the later of the date of creation of the notice or the last effective date of the notice. Acknowledgments or documentation of good faith efforts to obtain acknowledgment shall be retained for a period of at least six years from the date of receipt.



ERIE COUNTY BOARD OF DEVELOPMENTAL DISABILITIES

GENERAL RELEASE OF CLAIMS AND CONSENT TO PARTICIPATE

I, _____ the undersigned, either individually, or as guardian to _____, hereby agree to indemnify and save harmless Erie County Board of Developmental Disabilities, the Board of County Commissioners of Erie County, Ohio, their employees, agents, representatives or assigns, from and against all claims, demands, payments, losses and expenses, including but not limited to attorney fees, court costs, penalties and interest, for any personal injuries, including death or permanent incapacitation, or damage to personal or real property received or sustained by the undersigned for participation in recreational activities on the property of the Erie County Board of Developmental Disabilities.

Effective dates: _____

Dated: _____

Individual participant name
[Printed Name]

Signature

Date

Guardian or Parent
[Printed name]

Signature

Date



Erie County Board of Developmental Disabilities

Notice of Privacy Practices

This Notice of Privacy Practices ("Notice") describes how medical information about individuals we serve may be used and disclosed and how you can get access to this information.

Please review it carefully.

Understanding Your Health Record/Information

The Erie County Board of Developmental Disabilities collects and maintains a record of information about individuals we serve, some of which is "protected health information" under federal law. Typically, "protected health information" may contain information about the individual's diagnoses, testing and treatment and a plan for future care or treatment, but also may include demographic information that may identify the individual and that relates to past, present or future physical or mental health or condition. Protected health information is essential to the care we provide for individuals we serve. It serves as a:

- Basis for planning care and treatment.
- Means of communication among the many health professionals.
- Legal document describing the care provided.
- Means to verify that services billed were actually provided.
- Tool in educating professionals.
- Tool with which we can assess and continually work to improve the care we provide and the outcomes we achieve.

Individual health records contain personal health information, the confidentiality of which is protected under both state and federal law. Understanding that we expect to use and disclose this health information helps you to:

- Ensure its accuracy.
- Better understand who, what, where, when and why your health care providers and others access your health information, and
- Make more informed decisions when authorizing disclosure to others.

Your Health Information Rights

Although individual health records are the property of the healthcare practitioner or facility that compiled it, the information belongs to you. Under the federal Privacy Rules, 45 CFR Part 164, you have the right to:

- Receive notice of the uses and disclosures we expect to make of your health information, including a paper copy of the notice if requested, even if you have agreed to receive the notice electronically.

- Request additional restrictions on the uses and disclosures of your health information (though we are not required to agree to any such request) or request that we send you confidential communications by alternative means or alternative locations.
- Inspect and obtain a copy of your health record.
- Request that your health record be amended.
- Obtain an accounting of disclosures of your health information for six years prior to the date you ask, for the purposes other than treatment, payment or health care operations.

Under the federal law, however, you may not inspect or copy the following records; psychotherapy notes, information compiled in reasonable anticipation of, or use in, a civil, criminal or administrative action or proceeding and protected health information that is subject to law that prohibits access to protected health information. In some circumstances, you may have the right to have this decision reviewed.

Please direct requests, in writing to: HIPAA Officer, Erie County Board of Developmental Disabilities, 4405 Galloway Rd, Sandusky, Ohio, 44870. Phone: 419-626-0208.

Our Responsibilities

We are required by the Federal Privacy Rules to:

- Maintain the privacy of protected health information,
- Provide you with notice as to our legal duties and privacy practices with respect to health information we collect and maintain about individuals,
- Abide by the terms of this notice, subject to the following reservation of rights.

For more information see: www.hhs.gov/ocr/privacy/hipaa/understanding/consumers/noticepp.html

Uses and Disclosures for Treatment, Payment and Health Operations, Based on Your Consent

We will use health information for treatment.

For example: Protected health information will be recorded in individual's records and used to determine the course of treatment. Providers will record services they provide and their observations. Other board providers will be given copies of various reports that should assist him or her in providing coordinated services.

We may use and disclose health information about individuals served (for example, by calling you or sending you a letter) to remind them of an appointment with us, to recommend they attain medical treatment through outside provider, or to provide information about treatment alternatives.

We will use health information for payment.

For example: A bill may be sent to your insurance company or health plan, or to Medicaid. The information on or accompanying bill may include information that identifies the individual served, as well as the diagnosis, procedures and treatments we provide.

We will use health information for regular health operations.

For example: Members of the staff may use the information in individual's records to access the care and outcomes of the case and others like it. This information will then be used in an effort to continually improve the quality and effectiveness of the healthcare and service we provide.

We will provide some information to our business associates.

For example: We provide some services with business associates, who are independent professionals that use health information provided by us in order to perform these services. Examples include residential service providers, transcription services and contracted therapy services. We may disclose individual's health information to our business associates so that they can perform the job we've asked them to do. To protect your health information, however, we require the business associate to appropriately safeguard your information.

Uses and Disclosures that We May Make Unless You Object

Directory: Unless you notify us that you object, we may use individual's names and location in the facility in our directory. This information may be provided to members of your family, friends or to other people who ask for the individual by name. (include if applicable)

Family or Friends involved in care: Unless you object, professionals, using their best judgment, may disclose to a family member, other relative, close personal friend or any person you identify, health information relevant to that person's involvement in individual care or payment related to the care.

Emergencies: We may use or disclose your protected health information in an emergency treatment situation. If this happens, we will try to obtain your consent as soon as reasonably practicable after the delivery of treatment.

Fundraising: We may use health information in connection with limited fund raising activities permitted under the Federal Privacy Rules. Periodically we will mail newsletters and/or other correspondence advocating DD causes. You may contact our HIPAA Officer at 419-626-0208 to request that these materials not be sent to you.

In these cases we never share your information unless you give us written permission:

- Marketing purposes
- Sale of your information
- Most sharing of psychotherapy notes

Required disclosures

The Federal Privacy Rules require us to disclose your personal health information in two instances: to you at your request, and to the Secretary of Health and Human Services when requested as part of an investigation or compliance review. For more information see: www.hhs.gov/ocr/privacy/hipaa/understanding/consumers/index.html

Disclosure Permitted Without Consent for National Priority Purposes

In addition, law permits uses and disclosure of individual health information without your consent or authorization for certain "national priority" purposes, including:

- When required by state or federal law.
- To state and federal public health authorities, including state medical officers, the Food and Drug Administration (FDA), and other agencies charged with preventing or controlling disease.
- To government authorities, including protective service agencies, authorized to receive reports of abuse, neglect or domestic violence.

- To governmental health oversight agencies, such as the state and federal Departments of Health and Human Services, Medicare/Medicaid Peer Review Organizations (PRO's) and other licensing authorities.
- When required or court ordered in a judicial or administrative proceeding.
- To law enforcement officials for certain law enforcement purposes, including the reporting of certain types of wounds or injuries, or pursuant to a warrant, subpoena, or other legal process, or for the purpose of identifying or locating a subject, fugitive, material witness, missing person, or victim, provided that the conditions in the rule are met.
- To coroners, medical examiners or funeral directors for the purpose of identifying a deceased person or carrying out their duties as required by law.
- When required to avert a serious threat to health and safety.
- When requested for certain specialized government functions authorized by law, including military and similar situations.
- As authorized by law in connection with workers compensation programs.

Uses and Disclosures Specifically Authorized By You

We expect to make other uses and disclosures of your protected health information only on the basis of specific written forms signed by you. You have the right to revoke any such authorization at any time, except to the extent we have already relied on it in making an authorized use or disclosure.

For More Information or to Report a Problem

If you have questions you may contact any program administrator, the HIPAA Officer or the Superintendent, at 4405 Galloway Rd., Sandusky, Ohio, 44870. Phone: 419-626-0208.

If you believe your privacy rights have been violated, you can file a complaint with the HIPAA Officer at the above address, or with the U.S. Department of Health and Human Services Office for Civil Rights by sending a letter to 200 Independence Avenue, S.W., Washington, D.C. 20201, calling 1-877-696-6775, or visiting www.hhs.gov/ocr/privacy/hipaa/complaints/

There will be no retaliation for filing a complaint.

Changes to the Terms of this Notice

We reserve the right to change our health information practices and the terms of this notice, and to make the new provisions effective for all protected information we maintain, including health information created or received prior to the effective date of any such revised notice. Should our health information practices change, the new notice will be available upon request, in our office, and on our website. We will not disclose your health information without your consent or authorization, except as described in this notice.

This Notice of Privacy Practices is effective as of:

April 14th, 2003

The Notice of Privacy Practices was last revised on 6/24/15



Erie County Board of Developmental Disabilities

ACKNOWLEDGEMENT OF RECEIPT OF NOTICE OF PRIVACY PRACTICES

I acknowledge that I have been provided the Erie County Board of Developmental Disabilities' (Board) Notice of Privacy Practices ("Notice"):

- It tells me how the Board will use my health information for the purposes of my treatment, payment for my treatment, and the Board health care operations.
- The Notice explains in more detail how the Board may use and share my health information for other than treatment, payment, and health care operations.
- The Board will also use and share my health information as required/permitted by law.
- The Board may also exchange my health information for treatment purposes when participating in Health Information Exchange (HIE).

I consent to the Board using and disclosing my treatment records maintained by the Board for the purposes detailed in the Board's Notice of Privacy Practices.

Individual's Complete Legal Name: _____
(please print)

Individual's DOB _____ Date: _____

Signature: _____
(Individual or legal representative*)

*May be requested to show proof of representative status

Office use only

I attempted to obtain the individual's signature on this acknowledgement, but was unable to do so as documented below:					
Date attempted:		Name:		Reason:	