



PRIVACY, SECURITY AND HIPAA COMPLIANCE PLAN

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I. Introduction

A number of federal and state laws together with federal and state regulations restrict the ability of Dynamic Physical Therapy (hereinafter "Dynamic" or "Company") to use, transmit, store and disclose protected health information (PHI). These laws and regulations include the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"). These laws and regulations underwent significant changes since 1996. The most significant changes were in the form of the HIPAA Privacy and Security Rules, the Breach Notification Rule, the Omnibus Rule, and the HITECH Act. Each of these rules and regulations come with their own implementation standards.

Some, like the HITECH Act were enacted to account for changes in medical technology. Others, like the Omnibus Rule, mandated that HIPAA Business Associates be HIPAA compliant in addition to Covered Entities (BAs include all third-party health care vendors that handle health care data).

It is the Company's policy to comply fully with HIPAA's requirements. To that end, all owners, operators, employees and staff members, whether full-time, part-time or temporary, who have access to PHI must comply with these policies and procedures.

The term "employee" or "staff member" includes all of these types of workers. For purposes of this plan and the Company's use and disclosure procedures, the workforce includes individuals who would be considered part of the workforce under HIPAA such as employees, volunteers, interns, board members and other persons whose work performance is under the direct control of the Company, whether or not they are paid by the Company

No third party rights (including but not limited to rights of participants, beneficiaries, covered dependents, or business associates) are intended to be created by this Plan. Dynamic reserves the right to amend or change this Plan at any time (and even retroactively) without notice.

All staff members must comply with all applicable HIPAA privacy and information security policies. If after an investigation you are found to have violated the organization's HIPAA privacy and information security policies then you will be subject to disciplinary action up to termination or legal ramifications if the infraction requires it.

II. Policies and Procedures

A. Coverage

Protected Health Information ("PHI"). Protected health information means information that is created or received by the Company and relates to the past, present, or future physical or mental health condition of a care recipient, patient, customer or client ("participant"); the provision of health care to a participant; or the past, present, or future payment for the provision of health care to a participant; and that identifies the participant or for which there is a reasonable basis to believe the information can be used to identify the participant. Protected health information includes information of persons living

or deceased. PHI excludes student education records as defined by the Family Educational Rights and Privacy Act (FERPA), and employee records held by Dynamic in its role as employer.

B. Documents Subject to Policies

All documents containing PHI are subject to the policies of this Plan. Some examples of PHI are:

- Participant's medical record number
- Participant's demographic information (e.g. address, telephone number)
- Information doctors, nurses and other health care providers put in a participant's medical record
- Images of the participant
- Conversations a provider has about a participant's care or treatment with nurses and others
- Information about a participant in a provider's computer system or a health insurer's computer system
- Billing information about a participant at a clinic
- Any health information that can lead to the identity of an individual or the contents of the information can be used to make a reasonable assumption as to the identity of the individual

Just like paper records, Electronic Health Records ("HER") must comply with HIPAA and other state and federal laws. Unlike paper records, electronic health records can be encrypted - using technology that makes them unreadable to anyone other than an authorized user - and security access parameters are set so that only authorized individuals can view them. Further, EHRs offer the added security of an electronic tracking system that provides an accounting history of when records have been accessed and who accessed them. EHR includes Adobe Acrobat files, data files, and emails containing PHI.

Documents sent or received via facsimile transmission ("faxes") may also contain PHI. Documents received in such a fashion must be safeguarded upon receipt, that they are received in a secure location and the documents are not accidentally disclosed before they are filed.

C. Definitions & General Policies

1. Privacy Officer

The [Title or Name of Dynamic Owner or Staff Member] will be the HIPAA Privacy Officer for Dynamic. The Privacy Officer will be responsible for the development and implementation of policies and procedure relating to privacy, including but not limited to this Privacy Policy and the Company's use and disclosure procedures. The Privacy Officer will also serve as the contact person for participants who have questions, or complaints regarding the privacy of their PHI.

2. Use and Disclosure Defined

The Company will use and disclose PHI only as permitted under HIPAA. The terms "use" and "disclosure" are defined as follows:

- *Use.* The sharing, employment, application, utilization, examination, or analysis of individually identifiable health information by any person working for or within the Company, or by a Business Associate of the Company.

• *Disclosure.* For information that is protected health information, disclosure means any release, transfer, provision of access to, or divulging in any other manner of individually identifiable health information to persons not employed by or working within Dynamic with a business need to know PHI.

3. Access Limited to Certain Employees.

All owners, operators and employees who perform Participant functions directly on behalf of the Company or on behalf of group health plans will have access to PHI.

These employees with access may use and disclose PHI as required under HIPAA but the PHI disclosed must be limited to the minimum amount necessary to perform the job function. Employees with access may not disclose PHI unless an approved, compliant authorization is in place or the disclosure otherwise is in compliance with this Plan and the use and disclosure procedures of HIPAA.

Staff members may not access either through the Company's information systems or the participant's medical record the medical and/or demographic information for themselves, family members, friends, staff members or other individuals for personal or other non-work related purposes, even if written or oral participant authorization has been given. If the staff member is a Participant in Dynamic's plans, the staff member must go through their Provider in order to request their own PHI.

In the very rare circumstance when a staff member's job requires him/her to access and/or copy the medical information of a family member, a staff member, or other personally known individual, then he/she should immediately report the situation to the Privacy Officer who will determine whether to assign a different staff member to complete the task involving the specific Participant.

D. Participant Rights

1. Access to Protected Health Information and Requests for Amendment

HIPAA gives participants the right to access and obtain copies of their PHI that the Company or its business associates maintains. HIPAA also provides that participants may request to have their PHI amended. The Company will provide access to PHI and it will consider requests for amendment that are submitted in writing by participants.

2. Accounting

An individual has the right to obtain an accounting of certain disclosures of his or her own PHI. This right to an accounting extends to disclosures made in the last six years, other than disclosures:

1. to carry out treatment, payment or health care operations;
2. to individuals about their own PHI;
3. incident to an otherwise permitted use or disclosure or pursuant to an authorization;
4. for purposes of creation of a facility directory or to persons involved in the participant's care or other notification purposes;
5. as part of a limited data set; or

6. for other national security or law enforcement purposes.

The Company shall respond to an accounting request within 60 days. If the Company is unable to provide the accounting within 60 days, it may extend the period by 30 days, provided that it gives the participant notice (including the reason for the delay and the date the information will be provided) within the original 60-day period.

The accounting must include the date of the disclosure, the name of the receiving party, a brief description of the information disclosed, and a brief statement of the purpose of the disclosure (or a copy of the written request for disclosure, if any).

The first accounting in any 12-month period shall be provided free of charge. The Privacy Officer may impose reasonable production and mailing costs for subsequent accountings. The Privacy Officer is responsible for responding to a request for Accounting.

3. Requests for Alternative Communication Means or Locations

Participants may request to receive communications regarding their PHI by alternative means or at alternative locations. For example, participants may ask to be called only at work rather than at home. Such requests may be honored if, in the sole discretion of Dynamic, the requests are reasonable.

However, Dynamic shall accommodate such a request if the participant clearly provides information that the disclosure of all or part of that information could endanger the participant. The Privacy Officer in collaboration with managers has responsibility for administering requests for confidential communication.

4. Requests for Restrictions on Uses and Disclosures of PHI

A participant may request restrictions on the use and disclosure of the participant's PHI. It is the Company's policy to attempt to honor such requests if, in the sole discretion of the Company, the requests are reasonable. The Privacy Officer is charged with responsibility for processing requests for restrictions.

5. When a Participant Requests a Copy of his/her Record

A participant can request a copy of his/her medical record by completing a Request for Accessing/Inspecting/Copying Health Information form and submitting it to the Department that maintains the information being requested. The Department in collaboration with the Privacy Officer must process and respond to the request.

Participants can receive this form from Patient Services or by going directly to the department that maintains their records.

6. Participants Request for copy of records while checking out after an appointment

It's okay to provide a participant with a copy of a clinic note or labs that are maintained in their files. It is recommended that you follow the best practice of stamping or writing "Participant Copy" on each page.

7. Acceptable Methods of Verification of Identity for Release of PHI

The Company will take reasonable steps and exercise professional judgment to verify the identity of the individual making a request for access to his/her own PHI.

- a. **If the request is made in person**, verification of identity may be accomplished by asking for photo identification (such as a driver's license). A copy of the I.D. must be attached to the request and placed in the Participants record.
- b. **If the request is made over the telephone**, verification will be accomplished by requesting identifying information such as social security number, birth date, and medical record number and confirming that this information matches what is in the participant's record. Or, verification will occur through a callback process using phone numbers documented in the participant record to validate the caller's identity.
- c. **If the request is made in writing**, verification will be accomplished by requesting a photocopy of photo identification if a photocopy of the ID is not available, the signature on the written request must be compared with the signature in the participant record. In addition, Dynamic will need to verify the validity of the written request by contacting the participant by telephone.

8. When the requestor is the Participants Legally Authorized Representative

Verification of identity will be accomplished by asking for a valid photo identification (such as driver's license) if the request is made in person. Once identity is established, authority in such situations may be determined by confirming the person is named in the medical record or in the participant's profile as the participant's legally authorized representative. Or, if there is no person listed in the medical record as the participant's legally authorized representative, authority may be established by the person presenting an original of a valid power of attorney for health care or a copy of a court order appointing the person guardian of the participant and a valid photo I.D. A copy of the I.D. and legal notice must be attached to the request and placed in the Participants record.

9. Other Methods

The Company may use any other method of verification that, in the Company's discretion, is reasonably calculated to verify the identity of the person making the request. Some acceptable means of verification include, but are not limited to:

Requesting to see a photo ID

Requesting a copy of a power of attorney

Confirming personal information with the requestor such as date of birth, policy number or social security number

Questioning a child's caretaker to establish the relationship with the child

Calling the requestor back through a main organization switchboard rather than a direct number

E. Breach Disclosure Policy/Noncompliance Notice

1. Purpose

The purpose of this section is to address the Company's privacy requirements for reporting, documenting, and investigating a known or suspected action or adverse event resulting from unauthorized use or disclosure of individually identifiable health information.

A privacy breach is an adverse event or action that is unplanned, unusual, and unwanted that happens as a result of non-compliance with the privacy policies and procedures of the Company. A privacy breach must pertain to the unauthorized use or disclosure of health information, including 'accidental disclosures' such as misdirected e-mails or faxes.

The Privacy Officer shall immediately investigate and attempt to resolve all reported suspected privacy breaches.

Staff members are required to verbally report to his/her supervisor any event or circumstance that is believed to be an inappropriate use or disclosure of a participant PHI. If the supervisor is unavailable, the staff member must notify the Privacy Officer within 24 hours of the incident. If the manager determines that further review is required, the manager and staff member will consult with the Privacy Officer to determine whether the suspected incident warrants further investigation. In all cases and Incident Report must be filled out and submitted to the appropriate reviewer.

The Privacy Officer will document all privacy incidents and corrective actions taken. Documentation shall include a description of corrective actions, if any are necessary, or explanation of why corrective actions are not needed, and any mitigation undertaken for each specific privacy incident. All documentation of a privacy breach shall be maintained with the Privacy Officer and shall be retained for at least six years from the date of the investigation. Such documentation is not considered part of the participant's health record.

If the participant is not aware of a privacy incident, the Privacy Officer shall investigate the incident thoroughly before determining whether the participant should be informed. If the participant is aware of a privacy incident, the Privacy Officer shall contact the participant within three (3) business days of receiving notice of the incident. The method of contact is at the discretion of the Privacy Officer,

but resulting communications with the participant must be documented in the incident report. In addition, any privacy incident that includes a disclosure for which an accounting is required must be documented and entered into accounting.

Staff who fail to report known PHI/security incidents, or fail to report them promptly, may be subject to disciplinary action up to termination.

2. Breach Reporting Procedure

The Company has developed an Incident Report form. This form is used to document reports of privacy breaches that have been referred to the Privacy Officer from staff members who have reviewed or received the suspected incident.

After receiving the Incident Report form from staff members, the Privacy Officer classifies the incident and its severity and analyzes the situation. Documentation shall be retained by the Company for a minimum of six years from the date of the reported incident.

If the Privacy Officer is able to resolve the incident, the Privacy Officer shall also document the actions taken to resolve the issue in the Incident Report form.

3. Breach Notification Requirements

Following a breach of unsecured protected health information, covered entities must provide notification of the breach to affected individuals if necessary and in certain circumstances, to the media. In addition, business associates must notify covered entities that a breach has occurred.

• Individual Notice

Covered entities must notify affected individuals following the discovery of a breach of unsecured protected health information. Covered entities must provide this individual notice in written form by first-class mail, or alternatively, by e-mail if the affected individual has agreed to receive such notices electronically. If the covered entity has insufficient or out-of-date contact information for 10 or more individuals, the covered entity must provide substitute individual notice by either posting the notice on the home page of its web site or by providing the notice in major print or broadcast media where the affected individuals likely reside. If the covered entity has insufficient or out-of-date contact information for fewer than 10 individuals, the covered entity may provide substitute notice by an alternative form of written, telephone, or other means.

These individual notifications must be provided without unreasonable delay and in no case later than 60 days following the discovery of a breach and must include, to the extent possible, a description of the breach, a description of the types of information that were involved in the breach, the steps affected individuals should take to protect themselves from potential harm, a brief description of what the covered entity is doing to investigate the breach, mitigate the harm, and prevent further breaches, as well as contact information for the covered entity. Additionally, for substitute notice provided via web posting or major print or broadcast media, the notification must

include a toll-free number for individuals to contact the covered entity to determine if their protected health information was involved in the breach.

- *Media Notice*

Covered entities that experience a breach affecting more than 500 residents of a State or jurisdiction are, in addition to notifying the affected individuals, required to provide notice to prominent media outlets serving the State or jurisdiction. Covered entities will likely provide this notification in the form of a press release to appropriate media outlets serving the affected area. Like individual notice, this media notification must be provided without unreasonable delay and in no case later than 60 days following the discovery of a breach and must include the same information required for the individual notice.

- *Notice to the Secretary*

In addition to notifying affected individuals and the media (where appropriate), covered entities must notify the Secretary of breaches of unsecured protected health information. Covered entities will notify the Secretary by visiting the HHS web site and filling out and electronically submitting a breach report form. If a breach affects 500 or more individuals, covered entities must notify the Secretary without unreasonable delay and in no case later than 60 days following a breach. If, however, a breach affects fewer than 500 individuals, the covered entity may notify the Secretary of such breaches on an annual basis. Reports of breaches affecting fewer than 500 individuals are due to the Secretary no later than 60 days after the end of the calendar year in which the breaches occurred.

- *Notification by a Business Associate*

If a breach of unsecured protected health information occurs at or by a business associate, the business associate must notify the covered entity following the discovery of the breach. A business associate must provide notice to the covered entity without unreasonable delay and no later than 60 days from the discovery of the breach. To the extent possible, the business associate should provide the covered entity with the identification of each individual affected by the breach as well as any information required to be provided by the covered entity in its notification to affected individuals.

3. Complaint/Concerns Reporting

Concerns about the Company's privacy practices may arise in a variety of contexts and may be received by many different persons at the Company. It is important that the Company responds to concerns and complaints in a timely manner. When a staff member hears or receives a complaint/concern, he/she should ask the complainant whether or not the complainant wishes to file a formal complaint and offer to assist the complainant with the form. Even if the person does not wish to file a complaint or provide identifying information, the staff member should proceed with the procedures outlined below.

a. Filing a Complaint. A Participant's complaints of alleged privacy rights violations may be forwarded through multiple channels, such as telephone calls, letter via mail/email, in person. If these complaints are received by a staff member the person receiving the complaint will:

- In response to a Telephone Call or In-Person Request to File a Complaint – Complete the Privacy Complaint Form and immediately forward to the Privacy Officer. Offer to forward a copy of the complaint form to the complainant.
- In response to a Letter or Email (print out) – Complete the Privacy Complaint Form and immediately forward to the Privacy Officer. Attach the written complaint to the complaint form.
- In response to an Anonymous Complaint– Complete the Privacy Complaint Form based on the information provided and immediately forward to the Privacy Officer. When possible, explain to the complainant that the Company has an obligation to follow up on complaints whether or not they are anonymously filed.

b. Staff Members – Call the Privacy Officer. Staff members may also complete the Privacy Complaint Form and forward to the Privacy Officer. Staff members can also fill out the complaint form. Upon receipt of a complaint, the Privacy Officer will initiate primary investigation.

c. Initial review – All complaints will be initially reviewed by the Privacy Officer or his/her designee to determine if the complaint alleges a violation of established policies and procedures or other known regulations regarding the protection of individually identifiable health information. If there is no legitimate allegation, the Privacy Officer will, when possible, contact the Complainant by letter and inform him/her of this finding within 60 days. All documentation will be maintained as prescribed in this policy.

d. Complaints requiring further review – If there is a legitimate allegation, the Privacy Officer or his/her designee will conduct a detailed investigation by reviewing the covered University unit practices, contacting employees, students, or volunteers as needed, working with the Security Officer (as applicable), and utilizing other University resources as needed. Upon conclusion of the investigation, the Privacy Officer will, when possible, contact the Complainant by letter and inform him/her of the finding within 60 days.

e. 60-day time frame – In the event that this 60-day period cannot be met, the Privacy Officer shall, when possible, communicate this determination to the Complainant in writing and include an estimated timeframe for completion of the investigation.

f. Outcome of Investigation - The purpose of the investigation is to determine the compliance of the Company's policies and procedures implementing the privacy standards mandated by HIPAA. The Company will mitigate, to the extent practicable, any harmful effect that is known of a use or disclosure of PHI in violation of the Company's policies and procedures or HIPAA's privacy requirements by the Company or any of its Business Associates. In the event that disciplinary action is recommended, the Privacy Officer or his/her designee will coordinate any action with management.

g. Documentation - All complaints sent to the Privacy Officer shall be documented in a format that includes all of the information contained on the Privacy Complaint Form. The Privacy Officer will maintain all completed complaint documentation for six years from the initial date of the complaint.

4. Non-Retaliation

The Company shall not intimidate, threaten, coerce, discriminate against, or take any other form of retaliatory action against any person who has reported a privacy incident. No individual shall be required to waive his or her privacy rights under HIPAA as a condition of treatment, payment, enrollment or eligibility.

F. Privacy Notice

The Privacy Officer is responsible for developing and maintaining a notice of the Company's privacy practices that describes:

- the uses and disclosures of PHI that may be made by the Company;
- the individual's rights; and
- the Company's legal duties with respect to the PHI.

The privacy notice will inform participants that the Company will have access to PHI. The privacy notice will also provide a brief but appropriate description of the Company's complaint procedures, the name and telephone number of the contact person for further information, and the date of the notice.

The notice of privacy practices will be individually delivered to all participants:

- on an ongoing basis, at the time of an individual's enrollment into a Company program or at the time of treatment and consent; and
- within 60 days after a material change to the notice.

The Company will also provide notice of availability of the privacy notice at least once every three years.

A standard privacy notice is included as a template document in the Appendix to this Plan.

G. Disclosures

1. Use and Disclosure Defined

The Company will use and disclose PHI only as permitted under HIPAA. The terms "use" and "disclosure" are defined as follows:

- *Use.* The sharing, employment, application, utilization, examination, or analysis of individually identifiable health information by any person working for or within the Company, or by a Business Associate of the Company.

• *Disclosure.* For information that is protected health information, disclosure means any release, transfer, provision of access to, or divulging in any other manner of individually identifiable health information to persons not employed by or working within Dynamic with a business need to know PHI.

2. Access to PHI Is Limited to Certain Employees

All staff who performs Participant functions directly on behalf of the Company or on behalf of group health plans will have access to PHI as determined by their department and job description and as granted by the Privacy Officer.

These employees with access may use and disclose PHI as required under HIPAA but the PHI disclosed must be limited to the minimum amount necessary to perform the job function. Employees with access may not disclose PHI unless an approved compliant authorization is in place or the disclosure otherwise is in compliance with this Plan and the use and disclosure procedures of HIPAA.

Staff members may not access either through our information systems or the participant's medical record the medical and/or demographic information for themselves, family members, friends, staff members or other individuals for personal or other non-work related purposes, even if written or oral participant authorization has been given. If the staff member is a Participant in Dynamic's plans, the staff member must go through their Provider in order to request their own PHI.

In the very rare circumstance when a staff member's job requires him/her to access and/or copy the medical information of a family member, a staff member, or other personally known individual, then he/she should immediately report the situation to his/her manager who will determine whether to assign a different staff member to complete the task involving the specific Participant.

Your access to your own PHI must be based on the same procedures available to other participants not based on your job-related access to our information systems. For example, if you are waiting for a lab result or want to view a clinic note or operative report, you must either contact your physician for the information or make a written request to the Privacy Officer. You cannot access your own information; you must go through all the appropriate channels as any Participant would have to.

3. Disclosures of PHI Pursuant to an Authorization

PHI may be disclosed for any purpose if an authorization that satisfies all of HIPAA's requirements for a valid authorization is provided by the participant. All uses and disclosures made pursuant to a signed authorization must be consistent with the terms and conditions of the authorization.

4. Permissive Disclosures of PHI: for Legal and Public Policy Purposes

PHI may be disclosed in the following situations without a participant's authorization, when specific requirements are satisfied. The Company's use and disclosure procedures describe specific requirements that must be met before these types of disclosures may be made. Permitted are disclosures:

- about victims-of abuse, neglect or domestic violence;
- for judicial and administrative proceedings;
- for law enforcement purposes;
- for public health activities;
- for health oversight activities;
- about decedents;
- for tissue donation purposes;
- for certain limited research purposes;
- to avert a serious threat to health or safety;
- for specialized government functions; and
- that relate to workers' compensation programs.

5. Complying With the "Minimum-Necessary" Standard

HIPAA requires that when PHI is used or disclosed, the amount disclosed generally must be limited to the "minimum necessary" to accomplish the purpose of the use or disclosure.

The "minimum-necessary" standard does not apply to any of the following:

- uses or disclosures made to the individual;
- uses or disclosures made pursuant to a valid authorization;
- disclosures made to the Department of Labor;
- uses or disclosures required by law; and
- uses or disclosures required to comply with HIPAA.

Minimum Necessary When Disclosing PHI. For making disclosures of PHI to any business associate or providers, or internal/external auditing purposes, only the minimum necessary amount of information will be disclosed.

All other disclosures must be reviewed on an individual basis with the Privacy Officer to ensure that the amount of information disclosed is the minimum necessary to accomplish the purpose of the disclosure.

Minimum Necessary When Requesting PHI. For making requests for disclosure of PHI from business associates, providers or participants for purposes of claims payment/adjudication or internal/external auditing purposes, only the minimum necessary amount of information will be requested.

All other requests must be reviewed on an individual basis with the Privacy Officer to ensure that the amount of information requested is the minimum necessary to accomplish the purpose of the disclosure.

6. Disclosures of PHI to Business Associates

With the approval of the Privacy Officer and in compliance with HIPAA, employees may disclose PHI to the Company's business associates and allow the Company's business associates to create or receive PHI on its behalf. However, prior to doing so, the Company must first obtain assurances from the business associate that it will appropriately safeguard the information. Before sharing PHI with outside consultants or contractors who meet the definition of a "business associate," employees must contact the Privacy Officer and verify that a business associate contract is in place.

Business Associate is an entity that:

- performs or assists in performing a Company function or activity involving the use and disclosure of protected health information (including claims processing or administration, data analysis, underwriting, etc.); or
- provides legal, accounting, actuarial, consulting, data aggregation, management, accreditation, or financial services, where the performance of such services involves giving the service provider access to PHI.

Examples of Business Associates are:

- A third party administrator that assists the Company with claims processing.
- A CPA firm whose accounting services to a health care provider involves access to protected health information.
- An attorney whose legal services involve access to protected health information.

- A consultant that performs utilization reviews for the Company.
- A health care clearinghouse that translates a claim from a non-standard format into a standard transaction on behalf of the Company and forwards the processed transaction to a payer.
- An independent medical transcriptionist that provides transcription services for the Company.
- A pharmacy benefits manager that manages a health plan's pharmacist network.

7. Disclosures of De-Identified Information

The Company may freely use and disclose de-identified information. De-identified information is health information that 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. There are two ways a covered entity can determine that information is de-identified: either by professional statistical analysis, or by removing 18 specific identifiers.

The eighteen (18) specific elements listed below - relating to the participant, employee, relatives, or employer - must be removed, and you must ascertain there is no other available information that could be used alone or in combination to identify an individual.

1. Names; 2. Geographic subdivisions smaller than a state; 3. All elements of dates (except year) related to an individual - including dates of admission, discharge, birth, death - and for persons the year of birth cannot be used; 4. Telephone numbers; 5. FAX numbers; 6. Electronic mail addresses; 7. Social Security Number; 8. Medical Record numbers; 9. Health plan beneficiary numbers; 10. Account numbers or identifying information; 11. Certificate/license numbers; 12. Vehicle identifiers and serial numbers including license plates; 13. Device identifiers and serial numbers; 14. Web URLs; 15. Internet protocol addresses; 16. Biometric identifiers, including finger and voice prints; 17. Full face photos, and comparable images; 18. Any unique identifying number, information, characteristic or code.

8. Removing PHI from Company Premises

When Dynamic deems it necessary for an employee to work from a location other than one of our sites, PHI may be accessed and/or removed under the following circumstances:

- 1 Before removing PHI from Dynamic for company business you must receive the approval from the Privacy Officer.
- 2 Dynamic will only allow the paper (participant records, reports) removal of PHI when transported in a secure lock box and when approved by the department Director and the Privacy Officer.

3 Dynamic will provide laptop computers for employees *required* to work offsite and access PHI in a non-Dynamic setting. Any files saved on these computers are saved to the network and are therefore secure.

4. Staff members that work at school sites and create paper files are required to keep these files locked securely at all times. While in transit, these files are kept locked in secured carrying cases.

5. Staff member with progress notes and other forms that need to be signed by their supervisors can be brought back to Dynamic in a locked carrying case. These documents can also be saved on the Dynamic server in a designated secure file on the company network, or on a password-protected flash drive received by IT.

6. The electronic removal of PHI (using flash drives) for the purposes of working from a non-Dynamic setting may be approved in advance by IT only. In the very rare circumstance that it becomes necessary, the PHI should be rigorously safeguarded physically as well as electronically, including *employee-performed* encryption of all files. Most flash drives have the capability to assign a password.

7. The following safeguards are required of all employees when working from a non-Dynamic site:

- When outside the facility, only work on health information in a **secure private environment**.
- Keep the information with you **at all times** while in transit.
- Do not permit others to have access to the information.
- Never email participant information.
- Don't save participant information to your home computer.
- Do not print records of any type.
- Do not record login information on or near the computer.
- Return all information the next business day or as soon as required.

If the Company uses a third party vendor for the daily transportation of paper participant charts or records from clinic site to clinic site, the vendor is state-licensed, bonded and insured as a Mail Courier Service provider.

The Company will immediately investigate any incident that involves the loss or theft of PHI that was taken off-site.

9. Faxing PHI

Each fax should be accompanied by an Dynamic fax cover sheet. Faxing of highly confidential information is not recommended. Faxing of highly confidential information is only permitted if the sender first calls the recipient and confirms that the recipient or his/her designee can be waiting at the fax machine, and then, the recipient or his/her designee waits at the fax machine

to receive the fax and then calls the sender to confirm receipt of the document. Both the sender and the recipient must be attentive to the sensitive nature of highly confidential information.

If the fax was transmitted to the wrong recipient, in all cases follow these steps:

Fax a request to the incorrect fax number explaining that the information has been misdirected, and ask that the materials be returned or destroyed. Document the incident on an Incident Report Form and notify the HIPAA Privacy Officer. Verify the fax number with the recipient before attempting to fax the information again.

III. Cyber Security/ Database Security Policy

A. General Provisions

The Company has established technical and physical safeguards to prevent PHI from intentionally or unintentionally being used or disclosed in violation of HIPAA's requirements. Technical safeguards include limiting access to information by creating computer firewalls. Physical safeguards include locking doors or filing cabinets and periodically changing door access codes. Additionally all staff members can only access PHI by using their own login information.

B. Server Security.

Firewalls ensure that only authorized employees will have access to PHI, that they will have access to only the minimum amount of PHI necessary for their job functions, and that they will not further use or disclose PHI in violation of HIPAA's privacy rules.

The Privacy Officer shall be responsible for maintaining and updating the security of the Company's PHI.

C. Data Storage / Backup / Remote Access.

All data maintained electronically is backed up using industry standards with off-site storage of media.

Robust password access must be utilized at all times.

Data storage units such as portable hard drives shall be password-only. Encryption of archived data is recommended in addition to password-only access.

Dynamic currently utilizes technology that allows it to quickly remove, disable and start staff member access to PHI.

Dynamic employees currently do not have remote access capabilities. This Plan shall be amended should that capability become necessary.

D. Website

No PHI shall be accessible through the website maintained by the company or any of its business associates.

No PHI shall be referenced in any websites maintained, operated or controlled by Dynamic, whether or not owned by Dynamic. This includes social media websites, applications and internet sites such as Facebook, Instagram or Twitter.

E. Specific Procedures for Dynamic's Data Security and Maintenance

Specific measures regarding paper data storage, electronic data storage on-site and electronic data storage off-site are as follows:

1. Paper data storage (on-site)

[To be completed after second site visit by counsel]

2. Electronic Data Storage (on-site)

[To be completed after second site visit by counsel]

3. Electronic Data Storage (off-site)

[To be completed after second site visit by counsel]

F. Breach Notification

Upon breaches of PHI or other confidential information made as a result of data security, website information, social media postings, the Company shall substantially follow the procedures outlined in Section II.E., above.

IV. Electronic Mail and Internet Policies

5.1. All email messages, documents, and correspondence and data obtained through Dynamic or Dynamic network resources are considered Dynamic property.

5.2. Employees, owners and operators of email through Dynamic's computers and other electronic systems shall have no expectation of privacy in email.

5.3. Dynamic may monitor messages and internet use without prior notice. Dynamic may monitor messages and internet use without prior notice.

5.6. Users shall not misuse their email privileges, i.e., sending and forwarding non-business related mass emails.

5.7 Users shall delete chain and junk email messages without forwarding or replying to them. Electronic chain letters and other forms of non-business related mass mailings are prohibited.

5.8. Personnel shall not use Dynamic resources to view, record, or transmit materials which violate Dynamic policies. Inappropriate messages, pictures, and/or other visual images/materials include, but are not limited to:

5.8.1. **Fraudulent messages** - Messages sent under an anonymous or assumed name with the intent to obscure the origin of the message.

5.8.2. **Harassment messages** - Messages that harass an individual or group for any reason, including race, sex, religious beliefs, national origin, physical attributes, or sexual preference.

5.8.3. **Obscene messages** - Messages that contain obscene or inflammatory remarks.

5.8.4. **Pornographic materials** - This includes, but is not limited to pictures, audio/video files, literature, or newsgroups.

5.9. Users shall not engage in spamming activities. Electronic chain letters and other forms of non-business-related mass mailings are prohibited.

5.10. Users shall not photograph, post, or transmit patient images or information, electronically or otherwise, unless doing so is in accordance with an approved use or disclosure, and approved methods for doing so are utilized.

5.11. Users shall not share sensitive, restricted, or protected health information (PHI) to any cloud provider that has not been approved by the Privacy Officer (including but not limited to Google Apps, DropBox.com, GoogleDocs, iCloud, etc.).

5.12. Users shall not send or forward email containing sensitive, restricted, or protected health information (PHI) to public email systems (including but not limited to Hotmail.com, gmail.com) where an approval from the Privacy Officer is not in place.

5.13. Users shall not forward sensitive information, PHI, or other UAB business information to non-business-related email accounts, including but not limited to Gmail, Yahoo, iCloud, etc.

5.14. Personal email accounts shall never be used for official Dynamic business.

5.15 Dynamic reserves the right to block access to non-business-related material.

5.16 Email transmission of PHI, if necessary, shall be conducted with the highest level of security applied and only in situations where the email is necessary for the treatment of the patient, payment, and health care operations. For users of the uabmc.edu email system only: To send email transmissions over the Internet, PHI and other sensitive information shall be encrypted. Email shall not be transmitted over the Internet from any other email system unless/until an encryption method is approved for that email system.

5.17. Users shall comply with all laws related to copyright, intellectual, and personal property.

5.18. Users shall check their email regularly and delete unneeded email.

5.19. Users shall not knowingly download non-work-related executable files from the Internet.

5.20. Users shall not establish peer-to-peer connections to external parties.

5.21. Users shall not knowingly enable anyone to gain unauthorized access or control of any device, application, or system to the data networks

5.22. Users shall report suspicious emails to any owner or the Privacy Officer immediately.

5.23. For the Dynamic network, the use of any software or service that hides the identity of the user or the location of the user while using the Internet is prohibited (including but not limited to proxy bypass, anonymization networks such as Tor, and VPN connections).

5.24. Individuals may be granted access to the email account of their former employee or vendor with Privacy Officer approval. This may require written approval from requestor's supervisor.

5.24.1. The account shall be used only for the retrieval of existing email and shall not be used to impersonate the former personnel or send email communications on their behalf.

5.24.2 Access shall be granted for 7 days and any extension must be approved by the Privacy Officer.

5.25. Users shall not utilize their Dynamic passwords on any non-Company systems (i.e., banking, personal email, etc.).

5.26. Users shall not circumvent Dynamic technical security controls.

5.27. Users shall not transfer restricted or sensitive information to an unencrypted or unapproved device.

5.28. Users shall always log off application, workstations, laptops, and devices after use.

5.29. Users shall not store restricted or sensitive information on non-Dynamic equipment such as personally-owned devices unless properly authorized to do so.

5.30. Users shall not provide personal or official Dynamic information solicited by unknown individuals or suspected phishing email or websites.

5.31. Users shall follow the same security policies at any alternate workplaces as those required by Dynamic.

5.32. Outgoing email protocol. The following protocol is recommended prior to sending any outgoing emails from Dynamic to any other recipient.

1. Review recipients, carbon copies and blind copies. Are they correct?
2. Review the subject line. Is it correct?
3. Review the text of the email. Is it correct? Does it contain any PHI?
4. Open any attached files and confirm they are the correct files.
5. Confirm any delivery receipt and return receipts requested.
6. Send the email.

5.33 Enforcement: Any user found to have violated this policy may be subject to disciplinary action, up to and including termination of employment or assignment, depending on the severity of the infraction. In addition, Dynamic may report the matter to civil and criminal authorities as may be required by law.