

# **Building Relationships and Tools to Cope with the HIPAA Administrative Simplification Regulations**

*Presented to New Mexico CHILI*

*October 23, 2001*

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*North Carolina Healthcare Information & Communications  
Alliance, Inc. (NCHICA)*

# WEDI SNIP

*Workgroup on **E**lectronic  
**D**ata **I**nterchange  
**S**trategic **N**ational  
**I**mplementation **P**rocess*

## WEDI & SNIP

- **Workgroup on Electronic Data Interchange**
  - Named in 1996 HIPAA Law
  - Official advisor to the National Committee on Vital & Health Statistics (NCVHS) & DHHS
- **Strategic National Implementation Process**
  - Formed by WEDI in 2000
  - Receives Industry Input
  - Develops strategies, tools (including education) for HIPAA implementation



## SNIP Regional Efforts

*Keys to Achieving HIPAA  
Compliance*

# Trust

- **Joint ownership**
- **Joint accountability**
- **No dominant player**
- **Balanced interests**
- **No hidden agendas**
- **Neutral meeting ground**

## **Allies to Consider Include:**

- Association of Health Plans
- Hospital Association
- Medical Society
- Nurses Association
- Health Information Management Assn.
- Association of Local Health Directors
- Association of Pharmacists
- Bar Association
- Vendors

# HIPAA GIVES

*Government Information  
Value Exchange for States*

# WHAT IS HIPAA GIVES?

- **HIPAA Program / Project Managers and Staff from State Governments including:**
  - Alabama, Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Florida, Georgia, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Missouri, Montana, Nebraska, New Hampshire, New Jersey, New Mexico, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, Rhode Island, South Dakota, Tennessee, Texas, Utah, Vermont, Virginia, Washington, Wisconsin
  - **Not: DE, MS, NV, SC, WV, WY**

# HIPAA GIVES

- **Goals:**

- Establish an information clearinghouse via a national web site for exchanging individual state deliverables for HIPAA-related projects, such as:
  - Position Descriptions
  - Scope Documents
  - RFP Samples
  - Organizational Structures
  - Budget Frameworks
  - Assessment Tools
  - Work Plan Templates
  - Sample Policies and Procedures
- Provide a forum via conference calls for states to discuss and resolve issues related to HIPAA implementation

# HIPAA GIVES

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## HIPAA GIVES.org

GIVING & SHARING THE HIPAA WAY

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**About HIPAA GIVES**

**Government Information Value Exchange for States (GIVES)** is a collaborative state government health care focus group resulting in the sharing of information through a clearinghouse highway and providing a forum for discussing and resolving issues in meeting the **Health Insurance Portability and Accountability Act (HIPAA)** legislation.

GIVES has been established to meet the immediate need to exchange information, identify common government challenges and share solutions in order to attain HIPAA compliance in the timeframe required. By providing a government-focused network, our goal is to minimize duplicate effort ..... (more in our [Mission Statement](#))


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### Project Management

Subcategories: [Organizational Charts](#) | [Work Plans](#) | [Position Descriptions](#) | [Status Reporting/Progress Tracking](#) | [Issue Tracking](#) | [Strategy](#) | [Committee/Focus Groups Scope Documents](#) | [Staffing Plans/Roles and Responsibilities](#) | [Related Link](#)

#### Organizational Charts

- ▶ [GA RFP.pdf](#) : RFP created by the Georgia Department of Community Health and the Board of Regents of the University System of Georgia. Scope of the project includes designing/implementing new information systems; providing claims and customer support; and providing administrative support for all health benefit programs, including Medicaid. (posted by Georgia - Dept of Community Health on 8/3/01) [More Info](#)
- ▶ [NC DHHS HIPAA org chart.gif](#) : NC DHHS HIPAA Effort Organizational Chart. Demonstrates relationship between the DHHS HIPAA Program Management Office (PMO) and the rest of the Department of Health and Human Services. (posted by North Carolina - Dept of Health and Human Services on 6/26/01) [More Info](#)
- ▶ [NC DHHS PMO Org Chart.gif](#) : NC Department of Health and Human Services HIPAA Program Management Office (PMO) Organizational Chart. (posted by North Carolina - Dept of Health and Human Services on 6/26/01) [More Info](#)

#### Work Plans

- ▶ [Approach to Business Operations Plan.doc](#) : A high-level description of the activities to be undertaken by a Business Operations Team. This group will be responsible for all business process re-engineering and policy revision necessary to comply with the HIPAA security, privacy, and transaction/code set requirements. (posted by North Carolina - Dept of Health and Human Services on 8/20/01) [More Info](#)
- ▶ [privacy.mpp](#) : Boilerplate project plan for the Privacy provisions of HIPAA. (posted by California - Dept of Health Services - Payment Systems Division on 8/6/01) [More Info](#)
- ▶ [CODESA~1.mpp](#) : Boilerplate project plan for codesets and identifiers. (posted by California - Dept of Health Services - Payment Systems Division on 8/6/01) [More Info](#)
- ▶ [Security.mpp](#) : Boilerplate project plan for the Security provisions of HIPAA - Written BEFORE Final Rule was published. (posted by California - Dept of Health Services - Payment Systems Division on 8/6/01)

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**Awareness and Training**

Subcategories: [Training Materials](#) | [Communications](#) | [GIVES Presentations](#) | [Glossaries](#) | [Presentations](#) | [Related Links](#)

**Training Materials**

- ▶ [Appchart.doc](#) : This chart summarizes the Covered Entity provisions of HIPAA. It is a companion to the Covered Entity PowerPoint presentation. (posted by California - Dept of Health Services - Payment Systems Division on 8/8/01) [More Info](#)
- ▶ [ApplDefs.ppt](#) : This is the Power Point presentation for our 'HIPAA Applicability and Definitions' class. This class is designed for programs who want to get the "Am I a covered entity?" question answered. (posted by California - Dept of Health Services - Payment Systems Division on 8/8/01) [More Info](#)
- ▶ [HIPAA101.ppt](#) : This is the Power Point presentation for our 'HIPAA 101' class. It's the first class in our HIPAA curriculum. (posted by California - Dept of Health Services - Payment Systems Division on 8/8/01) [More Info](#)

**Communications**

- ▶ [aHipaaPartners 4-17-01.doc](#) : Newsletter article concerning HIPAA impacts/compliance activities in the state of Washington. (posted by Washington - Dept of Health on 8/8/01) [More Info](#)
- ▶ [july issue.p65](#) : This July issue of the HIPAA Headlines - an internal newsletter to educate Idaho DHW staff discusses the Idaho HIPAA Coordinating Council. MUST HAVE PAGEMAKER 6.5 TO VIEW THIS FILE. (posted by Idaho - Dept. of Health and Welfare - HIPAA Project on 8/31/01) [More Info](#)
- ▶ [June 2001.doc](#) : This is a newsletter for Idaho Dept of Health & Welfare staff. It is put out monthly. (posted by Idaho - Dept. of Health and Welfare - HIPAA Project on 8/28/01) [More Info](#)

**GIVES Presentations**

- ▶ [HIPAA Summit-GIVES.ppt](#) : The presentation on GIVES and the North Carolina Healthcare Information and Communications Alliance (NCHICA) given at the 2nd National HIPAA Conference in Washington D.C. on 3/2/2001. (posted by North Carolina - Dept of Health and Human Services on 5/3/01) [More Info](#)

**Glossaries**

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# NCHICA

*North **C**arolina **H**ealthcare  
Information & **C**ommunications  
**A**lliance, Inc.*

# WHAT IS NCHICA ?

- 501(c)(3) nonprofit research & education
- 195+ members including:
  - Providers
  - Health Plans
  - Clearinghouses
  - State & Federal Government Agencies
  - Professional Associations and Societies
  - Research & Pharmaceutical Research Organizations
  - Vendors
- Mission: Implement information technology and secure communications in healthcare

# HIPAA Implementation Issues

- Health care is a “cottage industry” with multiple standards and vendors
- Complexity of settings from IDS to private physician practices
- Shortage of resources (\$’s and human)
- Competing priorities for resources
- Implementation has to occur locally
- Potential for many solutions

# Why collaborate?

- Standards are dependant on consistent policies, practices and technology among business associates.
- Actions of a business associate may generate liabilities for one's own organization.
- Sloppy planning and implementation by even the smallest entity will be costly to everyone.

# NC's Approach to HIPAA

- NCHICA is facilitating HIPAA planning among the following entities:
  - Providers
  - Health Plans
  - State Government
  - Local Government
  - Vendors
- Professional associations and societies are playing a key role.

# HIPAA Implementation Planning Task Force

- **Goal:**
  - Develop overall strategy for addressing HIPAA compliance in an orderly and most efficient manner possible.
- **Coordinate Activities of Work Groups:**
  - Transactions, Codes & Identifiers
  - Data Security
  - Network Security & Interoperability
  - Privacy
  - Awareness, Education & Training
- **Over 300 Participants Involved in Effort**

# HIPAA Implementation Planning Task Force

Dave Kirby (Duke Univ. Health Sys), Harry Reynolds (BCBS)

## Transactions, Codes and Identifiers

Stacey Barber (EDS)  
Roger McKinney (Carolinas Health System)  
Ken Pervine (Bladen County Hosp.)

## Awareness, Education and Training

Steve Wagner (NC MGMA)  
Katherine McGinnis (Eastern AHEC)  
Clyde Hewitt (PhoenixHealth)

## Privacy

Jean Foster (Pitt Co Mem. Hosp.)  
Judy Beach (Quintiles)

## Security

Dave McKelvey (Duke Univ.)  
Joe Christopher (Sampson Regional MC)  
Harold Frohman (Raytheon)  
Rosemary Abell (Keane)

## Consent & Patient Rights

### Contracts

### Minimum Necessary Disclosure

### Minors' Issues

### Research

### State Law

## Network Security & Interoperability

### Data Security

# **Compliance Strategies & Tools**

# Steps to Compliance

- Awareness & Education
- Form HIPAA Team
- Self-evaluation / Gap Analysis
- Risk Analysis
- Compliance Plan, Budget & Timeline
- Execute Plan
- Reevaluate Plan and Adjust with New Regulations

# Self Assessments & Gap Analysis

Where are we now?

Where do we need to go?

How do we get there?

# The Regulations

- Mostly mandate what has to be done
- Not how it is implemented

# Self-assessments

- Develop clear picture of current readiness to comply
- Compare with requirements
- Document gaps where changes may need to be made
- Document requirements where additional resources are required
- Document “Due Diligence” in complying

# Critical Self-assessment

NOTE: Legal counsel should be consulted prior to deployment as data collected in a self-assessment process may be subject to discovery proceedings or considered a public record.

# Areas to be Considered

- Hardware
- Software
- Personnel Policies
- Information Practice Policies
- Disaster Preparedness
- Business Partner Agreements
- Management of Change

# The Compliance Balancing Act

- There is no one right answer for compliance
  - no check box to provide a safe harbor
- Organizations will have to:
  - assess their own risk
  - build and document a plan for compliance
  - allocate resources
  - execute and continually update the plan
  - be able to prove that you did what you said

# Updating the Plan

- Staff changes
- Change of location
- Upgrade to computer system or applications
- Changes in communications methods
- Change in business partners, ownership
- etc., etc., etc.



# Security Self-assessment / Gap Analysis Tools

*HIPAA EarlyView™ Security*

*HIPAA EarlyView™ Privacy*

# TOOLS AND RESOURCES

- General Resources:  
[www.nchica.org](http://www.nchica.org)  
[www.hipaagives.org](http://www.hipaagives.org)
- Strategic National Implementation Process (SNIP):  
[snip.wedi.org](http://snip.wedi.org)

# TOOLS AND RESOURCES (cont'd)

- Public Resources:
  - Federal HHS/HIPAA:  
[www.aspe.os.dhhs.gov/admnsimp](http://www.aspe.os.dhhs.gov/admnsimp)
  - ASC X12N Transaction Standards:  
[www.wpc-edi.com/hipaa](http://www.wpc-edi.com/hipaa)

# **NCHICA**

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& Communications Alliance, Inc.**

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**Questions ???**