

Southwest Iowa MHDS Region

HIPAA Privacy Policies & Procedures



Geographic Area: Cass, Fremont, Harrison, Mills, Monona, Montgomery, Page, Pottawattamie and Shelby counties.

APPROVED BY GOVERNING BOARD: 11/05/2019

PRIVACY POLICIES AND PROCEDURES

I. GENERAL PRINCIPLES

These policies and procedures implement privacy protections in accordance with the Health Insurance Portability and Accountability Act of 1996. Privacy Regulations (“Privacy Regulations”) promulgated by the Secretary of the U.S. Department of Health and Human Services (“Secretary of HHS”) at 45 C.F.R. Subtitle A, Subchapter C and the Health Information Technology for Economic and Clinical Health Act, Title XIII of Division A of the American Recovery and Reinvestment Act “(HITECH”).

II. PURPOSE AND SCOPE

The purpose and scope of these policies and procedures is to delineate the privacy policies of Southwest Iowa MHDS Region (Region) and the procedures for implementing the policies to achieve compliance with the Privacy Regulations.

III. PROTECTED HEALTH INFORMATION DEFINITION

PHI is any individual identifiable health information that is transmitted or maintained in any form, including genetic and demographic information collected from an individual and:

- A. Is created or received by a health care provider, the Region, or health care clearinghouse; and
- B. Relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual; and
 - 1. That identifies the individual; or
 - 2. With respect to which there is a reasonable basis to believe the information can be used to identify the individual.

PHI includes information of persons living or deceased, including genetic information.

IV. DESIGNATION OF PRIVACY OFFICER

- A. The Privacy Officer for the Region is:
Lonnie Maguire, MSW
Southwest Iowa MHDS Region
Disability Services Director
Address: 719 Market Street, Harlan Iowa 51537
Email: lmaguire@swiamhds.org Phone: 712-755-2843 (ext 2)

B. The Privacy Officer has overall responsibility for administering the policies and procedures to assure compliance with the Privacy Regulations. Additionally, the Privacy Officer is the designated authority to receive and process: (i) all complaints, (ii) request for copies of PHI, (iii) requests for communications by alternative means or alternative locations (confidential communications), (iv) subpoenas and other requests from judicial authorities, and (v) other correspondence and matters related to the privacy of PHI.

C. Compliant Filing Procedures

The Privacy Officer is designated to receive complaints filed with the Region regarding the Region's privacy policies and procedures and its compliance with those privacy policies and procedures. Complaints must be filed in writing and directed to the Privacy Officer. The writing must contain a description of the complaint and an explanation of the circumstances surrounding the complaint. The Region is not required to respond to complaints, but the Privacy Officer shall be responsible for documenting receipt of a complaint and any resolution thereof.

Complaints may also be filed with the Secretary of HHS. No retribution or negative action will be taken or tolerated because an individual files a complaint with the Region or the Secretary.

D. Business Associate Agreements

The Privacy Officer is responsible for ensuring that the Region complies with the provisions of the HIPAA privacy rule regarding business associates, including the requirement that the Region have a HIPAA-compliant business associate agreement in place with all business associates, and that all business associates have written contractual agreements in place with any subcontractor or vendor with whom it share PHI in accordance with 45 C.F.R. § 164.314. The Privacy Officer shall also be responsible for monitoring compliance by all business associates with the HIPAA privacy rules and these policies and procedures.

V. NOTICE OF PRIVACY PRACTICES – SYNOPSIS

A. Each member will receive a Notice of Privacy Practices (the "notice") from the Region. However, we have provided below a summary of some of the important points contained in the Notice.

B. The Region generally uses and discloses PHI only in furtherance of providing community based services for consumers receiving services from providers. The Region uses and discloses the PHI to process requests for payment, to respond to eligibility and benefit inquiries from providers, and for other reasons

related to the operation of the Region. The Region contracts with business associates to perform various services or to perform certain specified functions, such as administration of claims, auditing, IT support and similar functions. The Region utilizes these business associates to receive, create, maintain, use and disclose relevant PHI for the purposes of treatment, payment of health claims and health care operations.

- C. The Region requires each business associate to adopt the Region's Privacy Policies and Procedures or a similar set of policies and procedures that meet the same objectives required by the Privacy Regulations and HITECH, including, but not limited to, notification of breach of unsecured PHI.
- D. Periodically the Region requests proposals from third-party administrators, pharmacy benefit managers, insurance and stop-loss companies to ensure the viability of the Region. In the course of developing proposals, occasionally specific PHI is required by these companies. The Region assists in providing the required information in furtherance of its responsibility to maintain plan integrity and fiscal health. These companies are included in the forth in these policies and procedures for business associates.
- E. The Region may disclose PHI to various health care providers for the purpose of treatment, payment for services to consumers, or in furtherance of other health care operations of the Region.
- F. The Notice will inform consumers that the Region will have access to PHI in connection with its administrative functions. The Notice will also provide a description of the Region's compliance procedures, the name and telephone number of the contact person for further information, and the date of the Notice. The Notice shall be placed on the Region's website. The Notice will also be individually delivered as required by law. The Region will also provide notice of availability of the Notice (or a copy of the Notice) at least once every three years in compliance with the HIPAA Privacy Regulations. Additionally, the Region will prominently post any changes or revisions for the Notice on its website by the effective date of the material change to the privacy notice, or otherwise, provide information about the material change and how to obtain the revised notice, in its next annual mailing to individuals then served by the Region.

VI. RETENTION OF DOCUMENTATION

- A. Documentation required by the Privacy Regulations shall be maintained for six (6) years from the date a document is created or the date when it was last in effect, whichever is later.
- B. A database for retaining required documentation has been created. Required documentation shall be entered in the electronic database and retained for six

(6) years from the date a document is created or the date when it was last in effect, whichever is later, beginning with the required compliance date of the Privacy Regulations. The Privacy Officer shall be responsible for assuring that relevant data is entered promptly and destroyed appropriately.

- C. Where electronic copies are not available or actual practice requires paper copies of documents, the paper copies shall be securely maintained for the required six (6) years. The Privacy Officer shall maintain a list of documents that must be retained in paper form.

VII. CONSUMER PRIVACY RIGHTS

A. Policy

Consumers generally have the following rights:

1. The right to request restrictions on certain uses and disclosures of PHI. However, the Region is not obligated to agree to a requested restriction.
2. The right to receive confidential communications of PHI, provided that the consumer: (i) describes in writing the desired alternative location for, or alternative means of communication, and (ii) indicates in the writing that the disclosure of the PHI in a manner inconsistent with the request could endanger the individual.
3. The right to inspect and obtain a paper or electronic copy of most PHI contained in a designated record set. If an electronic copy of the PHI is requested, a copy of the electronic form and format requested will be produced if readily producible in such form and format; otherwise, an agreement with the consumer will be made as to an agreed upon readable electronic format.
4. The right to request amendment of PHI; however, the Region is not obligated to agree to a requested amendment.
5. The right to receive an accounting or audit of electronic disclosures of PHI made within the past three years.
6. The right to obtain a paper copy of the Notice of Privacy Practices even if previously agreeing to receive such notice electronically.
7. The right to receive notification if unsecured PHI has been breached. A breach means the acquisition, access, use, or disclosure of unsecured PHI in a manner not permitted under HIPAA that compromises the security or privacy of PHI.

8. The right to ask a health care provider to withhold PHI from the Region if the consumer paid in full for the medical care and the disclosure is not otherwise required by law. The request for restriction will only be applicable to that particular service, and each service thereafter will require a separate request to the consumer's health care provider for restriction of disclosure.

B. Procedures

1. Consumer Requested Restrictions

- a. The consumer must submit all restriction requests in writing to the Privacy Officer.
- b. The Region shall monitor and maintain a log of requests for restrictions on uses and disclosures of PHI. The Privacy Officer shall be responsible for determining the reasonableness of all requests, and for conveying in writing the Region's decision on such requests.
- c. A log shall be maintained of such requests and the disposition of such requests.
- d. The consumer shall be notified of the decision concerning the requested restriction.
- e. The Privacy Officer is not obligated to agree to such requests but shall include in the consideration of a request the impact and feasibility of such request in view of difficulties or disruptions that may result on administration of the Region.
- f. If the Privacy Officer agrees to request for restriction, the Privacy Officer will:
 - (i) Document such restriction and maintain it in accordance with the Retention of Documentation policy and procedures referenced in Article VI above; and
 - (ii) Take the appropriate and necessary steps to ensure that the Region complies with the restriction.
- g. Even if the Region has agreed to a restriction, the Region may disclose the restricted PHI to a health care provider for emergency treatment of the individual.

- h. The Privacy Officer may terminate a restriction, if:
 - (i) The consumer requests or agrees in writing to terminate the restriction; or
 - (ii) The Privacy Officer informs the consumer that the restriction is terminated with respect to PHI received or created after the effective date of the termination.

2. Confidential Communications with Consumers

- a. A consumer may request, in writing, confidential communications if the disclosure of PHI could endanger the consumer.
- b. The written request shall be sent to the Privacy Officer and must:
 - (i) specify in writing the alternative address or alternative means for confidential communications, and
 - (ii) state that the disclosure of the PHI in a manner inconsistent with the request could endanger the consumer.
- c. The Privacy Officer will accommodate a consumer's reasonable request to receive communications regarding his/her PHI in an alternative manner or at an alternative location when disclosure of the PHI in a manner inconsistent with the consumer's request could endanger the consumer.
- d. The Privacy Officer will take the appropriate and necessary steps to ensure that the Region complies with any approved request for confidential communications.

3. Right of Access

- a. Consumers have the right to request electronically or in writing a paper or electronic copy of their PHI maintained by the Region in designated record sets. See Article VII "Region Consumer Privacy Rights" above regarding the specific form and format of an electronic request for a copy of PHI.

"Designated record set" is a term that is defined in the Privacy Regulations. The designated record sets shall generally only include claims history, payments, benefits and eligibility. A

consumer has a right to access, inspect, and obtain a copy of PHI about the consumer maintained in a designated record set, for as long as the PHI is maintained in the designated record set, except for:

- (i) Psychotherapy notes;
 - (ii) Information compiled in reasonable anticipation of or for use in, a civil, criminal, or administrative action or proceeding; or
 - (iii) PHI maintained by a Covered Entity that is:
 - (a) Subject to the Clinical Laboratory Improvements Amendments of 1988, 42 U.S.C. 263a, to the extent the provision of access to the member would be prohibited by law; or
 - (b) Exempt from the Clinical Laboratory Improvements Amendments of 1988, pursuant to 42 C.F.R. § A493.3(A)(2).
- b. Consumers may request information by submitting a written request to the Privacy Officer.
- c. If the requested information is on site at the Region, the request will be honored or denied within thirty (30) days of receipt.
- d. If some or all of the requested information is not on site, or is maintained by a business associate, the request will be honored or denied within sixty (60) days. An approved request shall be forwarded promptly to the relevant business associates.
- e. If necessary, the Privacy Officer may take one extension of thirty (30) days in which to make access available. The Privacy Officer shall send a written notice to the consumer of the delay with the reasons for the delay and the date by which the consumer will be allowed access. The written notice shall be maintained in accordance with the Retention of Documentation policy and procedures referenced in Article VI above.
- f. If the request is granted in whole or in part, the Privacy Officer will inform the consumer that the request has been granted in whole or in part.

- g. The Privacy Officer will establish the amount of the charge for copying the requested information, if there is to be a charge. If established, the charge shall be based only on actual costs. The costs to be considered shall be the cost of supplies, labor for copying, preparation of the information, and postage if mailed. The Privacy Officer will communicate to the consumer the charge for copying the requested information. The Privacy Officer may from time to time establish the appropriate charge for copying the requested information. Such established charges shall be reviewed at least annually to verify that the charges are reflective of actual costs.
- h. If the request is denied in whole or in part, the Privacy Officer shall provide written notice of the denial in plain language and include: (i) the reasons for the denial, (ii) an explanation of the consumer's right for a review of the denial, and (iii) a description of how the consumer may file a complaint with the Region or the U.S. Department of Health and Human Services ("HHS"). The denial shall be maintained in accordance with the Document Retention and Destruction policy and procedures referenced in Article VI above.
- i. If the reason for denial is that the information is not maintained by the Region, the Privacy Officer shall direct the consumer to where the information may be obtained, if such location is known by the Region.
- j. If the consumer requests in writing a review of the denial, the request will be forwarded for review and resolution to a designated licensed health care professional that has not been directly involved with the review process resulting in the denial.
- k. The designated reviewing health care professional shall, within a reasonable time, review the denial in accordance with the standards established in Section 164.524(a)(3) of the Privacy Regulations.
- l. The results of the review will be sent to the consumer in a written notice and the Region will take appropriate action to follow the health care professional's determination. The written notice shall be maintained in accordance with the Document Retention and Destruction policy and procedures referenced in Article VI above.

4. Right to Request Amendment

- a. Consumers have the right to request an amendment to their PHI maintained by the Region.
- b. Consumers may request amendment of information by submitting a written request to the Privacy Officer.
- c. The Region will act upon the request within sixty (60) days of receipt.
- d. If necessary, the Privacy Officer may take one extension of thirty (30) days in which to determine whether to make an amendment. The Privacy Officer will send a written notice to the member of the delay with an explanation of why the delay is required, and the date by which a decision will be made regarding the requested amendment. The written notice shall be maintained in accordance with the Retention of Documentation policy and procedures referenced in Article VI above.
- e. If the request for amendment is accepted, the Region shall:
 - (i) Identify the designated record set(s) in which the PHI that is the subject of the amendment request is contained and make the amendment;
 - (ii) Inform the consumer that the amendment is accepted;
 - (iii) Obtain from the consumer the names and addresses of persons to whom the amended information should be sent;
 - (iv) Once agreement is obtained from the consumer:
 - (a) Make reasonable efforts to provide the persons identified by the consumer with the amended information; and
 - (b) Make reasonable efforts to provide the amended information to other relevant persons and business associates: (i) that have the PHI

that is the subject of the amendment; and (ii) that may have relied or could rely on the PHI to make a decision about the consumer.

- f. If the request is denied in whole or in part, the Privacy Officer shall provide a written notice of the denial and include:
 - (i) The reasons for denial;
 - (ii) The consumer's right to submit a statement disagreeing with the denial;
 - (iii) How the consumer may submit the statement of disagreement;
 - (iv) A statement that the consumer may request the Region to include the consumer's request for amendment and its denial with any future disclosures of the disputed PHI, in lieu of submitting a statement of disagreement; and
 - (v) A clear statement of the consumer's right to complain to the Region and to the Secretary of HHS.
- g. The denial shall be maintained in accordance with the Document Retention and Destruction policy and procedures referenced in Article VI above,
- h. The Region, at its option, may prepare a rebuttal statement.
- i. Upon the request of the consumer, any future disclosures will include the request for amendment and the denial.
- j. Any future disclosures will include any statement of disagreement and rebuttal.
- k. The Privacy Officer will maintain a log of all requests for amendment and the applicable resolutions.
- l. When another covered entity sends the Region amended PHI, the Privacy Officer will ensure that the Region takes all appropriate and necessary steps to amend the PHI that it maintains in designated record set(s).

VIII. DISCLOSURES AND USES OF PROTECTED HEALTH INFORMATION

- A. The Region will not and is not required to obtain a consent or authorization to use and disclose PHI to carry out treatment or payment or health care operations.
- B. When the use and disclosure of PHI is not for treatment, payment, health care operations, or otherwise permitted or required by law without an authorization, the Region will obtain a valid authorization from the consumer prior to using or disclosing PHI.
 - 1. There will not be a Region authorization for information containing PHI when it comes directly from the consumer and not the Region. For example, a doctor's note describing a condition supporting a disability claim that did not originate from the Region will not require a Region authorization.
- C. When the Region receives an authorization for disclosures from another entity or person, the Privacy Officer will review the authorization to determine: (i) that it is a valid authorization pursuant to Section 164.508 of the Privacy Regulations, and (ii) the minimum amount of information that is necessary to disclose to comply with the authorization.

IX. CLASSES OF USERS OF PROTECTED HEALTH INFORMATION

For the purposes of these policies and procedures, the classes of users, or workforce, includes individuals who would be considered part of the workforce under HIPAA such as employees, volunteers, trainees, and other persons whose work performance is under the direct control of the Region, whether or not they are paid by Region. The term "employee" used herein includes all of these types of workers. Classes of users of PHI are to have access to the minimum amount of PHI reasonably necessary to perform their functions and responsibilities. The classes of persons within the Region who need access to PHI to carry out their duties, along with the conditions of access and the uses of such information are set forth in the HIPAA and Minimum Necessary Policy of the Region.

X. PROTECTION OF PROTECTED HEALTH INFORMATION

- A. Access by the various classes of PHI users shall be limited to the minimum necessary amount of PHI information reasonably calculated to allow performance of their duties.

- B. Access by the various classes of PHI users shall be limited and controlled by network passwords. Access to PHI will be limited to those classes of users requiring the information.
- C. Appropriate administrative, technical and physical safeguards shall be observed. Administrative safeguards include implementing procedures for use and disclosure of PHI. Technical safeguards include limiting access to information by creating computer firewalls. Physical copies of records and reports containing PHI shall be maintained in secure filing cabinets, locked drawers or locked rooms and not left open or available for inadvertent exposure.
 - 1. Documents containing PHI shall not be left out on desks or in other areas where there is a significant risk of inadvertent disclosure.
 - 2. At the end of the work day, documents containing PHI shall be filed in locked filing cabinets, locked desks or locked offices. Documents to be discarded that contain PHI will be shredded or placed in locked bins.
 - 3. Staff involved in opening and sorting mail shall identify mail that contains PHI and shall route it to appropriate personnel. Mail or other documents containing PHI shall be processed timely and not left out where there is significant danger of inadvertent disclosure.

XI. ROUTINE DISCLOSURES AND REQUESTS OF PROTECTED HEALTH INFORMATION

- A. The Region generally discloses PHI only in furtherance of providing the medical and/or dental benefits described in the Region's specific benefit documents. The Region discloses PHI (i) to conduct payment functions that include billings, claims management, collection activities and related health care data processing, (ii) to respond to eligibility and benefit inquiries from providers, and (iii) for other reasons related to the operation of the specific benefit plan (these reasons are described in the Notice as "health care operations"). Health care operations may include any of the following activities: conducting quality assessment and improvement activities, reviewing Region performance, conducting or arranging for medical review, legal services and auditing functions, business planning and development, business management and general administrative activities, and other health care operations permitted by the HIPAA Privacy Regulations. The Region contracts with business associates to perform various services or to perform certain specified functions, such as administration of claims, member service support, utilization management, coordination of benefits, subrogation, pharmacy benefit management, and other similar functions. The Region utilizes these

business associates to receive, create, maintain, use, and disclose relevant PHI for the purposes of treatment, payment of health claims and health care operations. The Region must obtain assurances from the business associate that it will appropriately safeguard the information through a business associate agreement in accordance with 45 C.F.R. 164.314.

- B. The Region may disclose PHI to various health care providers for the purpose of treatment, payment, services to consumers, or in furtherance of disease management or other health care operations of the Region.
- C. In general, the Region will request PHI on a routine basis only for those purposes described in paragraphs A through C above. Where the Region requests PHI from a consumer, a non-covered entity, or another covered entity, it will limit its request to the amount of PHI necessary to accomplish those purposes outlined above (i.e., in paragraphs A through C).
- D. The Region will not disclose or request an entire medical record unless the entire record is reasonably necessary to accomplish the purpose of the disclosure or request.
- E. The Region may disclose PHI to authorized parties as necessary to carry out the legally mandated administrative appeal process or judicial process related to benefit determinations, payment of claims, health care treatment and enrollment/coverage determinations.

XII. NON-ROUTINE DISCLOSURES AND REQUESTS OF PROTECTED HEALTH INFORMATION

- A. The Privacy Officer will review each non-routine disclosure on an individual basis. The Privacy Officer will determine the minimum amount of PHI necessary for the disclosure, using established criteria that includes, but is not limited to:
 - 1. Identifying the type of PHI requested (e.g., demographic, diagnosis, or procedures information); and
 - 2. Evaluating the purpose for the disclosure (e.g., treatment, payment or health care operations).
- B. The Region may rely on public officials and other covered entities under the Privacy Regulations to request only the minimum necessary amount of PHI.
- C. Where the Region is requesting PHI on a non-routine basis, the Privacy Officer will review the request to ensure that the Region is limiting its request to only the information it reasonably needs to accomplish the purpose of the disclosure or request.

- D. The Region will not disclose or request an entire medical record unless the entire record is reasonably necessary to accomplish its purpose.

XIII. VERIFYING IDENTITY AND AUTHORITY PRIOR TO DISCLOSURES

- A. Where the Region does not know the identity of the individual or entity (including public officials), it shall use its professional judgment to verify the identity and the authority of the individual or entity before disclosing the requested PHI unless the disclosure is for one of the reasons identified in § 164.510 of the Privacy Rule (e.g., in an emergency).
- B. If the Privacy Regulations require documentation, statements, or representations (e.g., subpoena, authorization, and government letterhead) as a condition of making a disclosure, the Region may rely on such materials to make the disclosure of PHI without performing additional verification, unless otherwise required by the Privacy Regulations or other law.
- C. With respect to disclosures to public officials, the Region may rely on the following to verify:
 - 1. Public official's identity:
 - a. If the request for PHI is made in person, agency identification, badge, or other proof of government status;
 - b. If the request for PHI is made in writing, the request is on government letterhead; or
 - c. If the request is to an entity or individual acting on behalf of a government entity, documentation that the entity or individual is acting on behalf of the government entity.
 - 2. Public official's authority:
 - a. A written or oral statement of legal authority for the disclosure of PHI; or
 - b. A warrant, subpoena, administrative or court order, or other legal process that provides legal authority for the disclosure.

XIV. DISCLOSURES TO BUSINESS ASSOCIATES

- A. The Region uses business associates that are not part of the Region workforce to carry out various Region functions of payment for services and health care operations. These functions may include, but are not limited to,

administration of claims, consumer support, provider relations, utilization review, pharmacy benefit managers, coordination of benefits, subrogation, stop-loss companies, and other necessary activities.

B. Business Associate Procedures

1. Each business associate will adopt privacy policies and procedures acceptable to the Region. The policies and procedures will be referenced in the business associate agreement and will be either identical to these policies and procedures or approved by the Privacy Officer as complying with the HIPAA Privacy Regulations and HITECH.
2. It is reasonable to presume the PHI requested by a business associate is the minimum information necessary that is required to perform the business associate task(s). The Privacy Officer may rely on requests of business associates as being requests for the minimum necessary amount of PHI.
3. Each business associate agreement or subcontract shall contain an obligation to use the PHI only for the purposes and functions required by the Region, and only as long as there is relation to the Region.
4. Each business associate agreement or subcontract shall contain an obligation that the business associate must comply with the Privacy Rule and the Security Rule of the HIPAA Regulations and as set forth in HITECH, including notifying the Region of a breach.
5. The Privacy Officer shall review at least annually the business associate's policies and procedures regarding recurring information disclosures for appropriateness and to ascertain that the minimum necessary is being disclosed.
6. The Privacy Officer will consider the following factors in reviewing and approving the business associate's policies and procedures regarding recurring disclosures of PHI:
 - a. The nature of the PHI: such as whether it is benefit information, claims history, eligibility, diagnoses, procedures, or other relevant categorizations;
 - b. The functions performed by the business associate; and
 - c. Whether the entity or business associate is engaged in a pattern of activity that constitutes a material breach or violation of the business associate agreement.

XV. JUDICIAL, ADMINISTRATIVE AND GOVERNMENTAL DISCLOSURES

- A. Disclosures of PHI may be made in the following instances:
1. In response to a court order or administrative tribunal, provided that only the PHI expressly authorized by the order will be disclosed.
 2. In response to a subpoena, discovery request, or other lawful process, that is not accompanied by an order of a court or administrative tribunal, if:
 - a. The Region receives satisfactory assurance from the party seeking the information that reasonable efforts have been made by such party to ensure that the individual who is the subject of the PHI that has been requested has been given notice of the request. Satisfactory assurance means:
 - (i) The requesting party has mailed a written notice to the individual's last known address;
 - (ii) The requesting party provides the Region a written statement, with accompanying documentation, demonstrating that the notice was given and that it contained sufficient information about the litigation or proceeding in which the PHI is requested to permit the individual to raise an objection with the court or tribunal; and no objections were raised or all objections were resolved.
 - b. The Region receives satisfactory assurance that the party requesting the PHI has made reasonable efforts to obtain a protective order. A qualified protective order means that the parties involved in the dispute are:
 - (i) Prohibited from using or disclosing the PHI for any purpose other than the proceeding for which the information was requested; and
 - (ii) Required to return to the Region or to destroy the PHI at the end of the proceeding.

3. In response to authorized public health requests;
 4. For purposes of health oversight activities;
 5. For purposes of HHS enforcement of Privacy Regulations;
 6. About decedents;
 7. For cadaveric, eye and tissue-donation purposes;
 8. For certain limited research purposes;
 9. To avert a serious threat to health or safety; and
 10. For specialized government functions.
- B. PHI may not be disclosed for marketing purposes if direct or indirect financial remuneration not reasonably related to the cost of making the communication is involved.
- C. PHI may not be sold to third parties; however, the sale of PHI does not include a disclosure for public health purposes, for research purposes, where only remuneration for the cost to prepare and transmit the PHI is received, for treatment and payment purposes, for a business associate or its subcontractor to perform health care functions in accordance with an applicable business associate agreement, or for other purposes as required and permitted by law.

XVI. DISCLOSURES TO CONSUMERS IN FURTHERANCE OF TREATMENT, CLAIM ADJUDICATION, PRECERTIFICATION, AND OTHER PAYMENT ISSUES

- A. Generally, Region personnel may use, disclose, and discuss an individual's PHI with the individual. There are exceptions for psychotherapy notes and certain institutional requests.
- B. Procedure for identifying consumers: A consumer may be identified in person by personal knowledge, government issued identification or other similar documentation. A person may be identified over the telephone. Before discussing PHI by telephone with a consumer or personal representative, the identity of the individual must be ascertained:
1. Identify the consumer. A consumer may be identified over the phone if he or she has the following minimum required personal information:

- a. Consumer's Social Security Number, or a consumer-unique identification number assigned by the Region or Region administrator;
 - b. Consumer's address;
 - c. Consumer's phone number.
2. In the course of a consumer service call or other contact with a consumer, the consumer should have knowledge available to the consumer of information such as:
 - a. Provider's name;
 - b. Past services;
 - c. Prior contacts, etc.
3. If a consumer's identity is not certain or becomes suspect, no PHI should be disclosed.
4. If the caller is inquiring about another individual, verify the right of the caller to access the requested PHI.
5. Generally, parents have a right to access the PHI of minor children. If there are notes in the record addressing the issue of parental rights such as limiting a non-custodial parent's right of access, the notes should be followed when determining what access a parent should have to a minor child's PHI.
6. As permitted by state law, if a dependent child has established with the Region an approved mode of alternate confidential communications, disclosure of PHI to the parent may not be permitted.
7. It is the obligation of the requesting individuals to prove their right to the PHI. This may not be possible over the phone.

XVII. DISCLOSURES TO PROVIDERS IN FURTHERANCE OF CLAIM ADJUDICATION, PRECERTIFICATION, AND OTHER PAYMENT ISSUES

- A. PHI may be discussed with or disclosed to a consumer's health care providers in furtherance of treatment, health care operations and payment.
- B. Procedure for identifying provider in provider phone conversations.

1. Verify the identity of the individual as a provider authorized to request information or discuss the PHI. If Region personnel originate the phone conversation, it may be assumed the call recipient is appropriate. For example, when calling the listed number of a hospital business office, it may be initially presumed the answering person is an authorized representative of the provider. A provider may be identified over the phone if the provider is known from prior contacts or has the correct:
 - a. Consumer's name and identifying demographic information; or
 - b. The consumer's social security number or consumer unique identification number assigned by the Region or Region administrator; or
 - c. Demonstrates knowledge of the relevant consumer and history.
2. If the identity or authority of the provider personnel is in doubt, information should not be disclosed.

XVII. PROCEDURE FOR SENDING PHI VIA FAX

1. The Region FAX machines for sending and/or receiving PHI at each location are in secure designated locations.
2. An individual at each location has been trained and tasked to identify PHI related faxes and distribute them appropriately.
3. If the FAX machine used for PHI at any location is not secure, then PHI may be sent only with an advance call to make sure the recipient is waiting for the FAX to minimize inadvertent disclosures.
4. A Confidential Fax Coversheet to provide extra protection for PHI has been developed. The headline of the coversheet states in large bold type: "Confidential Health Information Enclosed." Beneath this headline is a statement: "Health Care Information is personal and sensitive information related to a person's health care. It is being faxed to you after appropriate authorization from the patient/consumer or under circumstances that do not require patient/consumer authorization. You, the recipient, are obligated to maintain the health care information in a safe, secure and confidential manner. Re-disclosure of the health care information transmitted without additional patient/consumer consent or as permitted by law is prohibited.

Unauthorized re-disclosure or failure to maintain confidentiality could subject you to penalties described in federal and state law."

5. Included at the bottom of the fax coversheet is a warning: "IMPORTANT WARNING: This message is intended for the use of the person or entity to which it is addressed and may contain information that is privileged and confidential, the disclosure of which is governed by applicable law. If the reader of this message is not the intended recipient, or the employee or agent responsible to deliver it to the intended recipient, you are hereby notified that any dissemination, distribution, or copying of this information is STRICTLY PROHIBITED. If you have received this message by error, please notify us immediately and destroy the related message. "
6. In addition to the warnings described in (4) and (5) above, the fax coversheet contains standard information including:
 - a. Date and time of the fax;
 - b. Sender's name, address, telephone number and fax number;
 - c. The authorized recipient's name, telephone number and fax number;
 - d. Number of pages transmitted; and
 - e. Information regarding verification of receipt of the fax.
7. Staff shall make certain the fax transmittal has received the proper authorization as required by law (i.e., that an appropriate release or authorization is on file) or that there is implied consent because the transmittal is in furtherance of treatment, health care operations or payment.
8. When expecting the arrival of a fax containing PHI, coordinate with the sender whenever possible so the faxed document can be promptly retrieved upon arrival.
9. As with other PHI that arrives in the mail or by other means, make sure faxes that contain PHI are placed in the designated secure/confidential location when they are delivered, and not left in an in-box in view of passers-by.
- 1 1. Confirm the accuracy of fax numbers. It should be presumed the fax numbers provided by business associates are correct and secure. The numbers provided by recipients generally may be relied upon as valid. If there is reason to believe a number is not valid or security is suspect, the number, or security of recipient machines, should be checked by calling the intended recipients to double-check the numbers. In instances where faxes are

regularly sent to the same recipients, program these fax numbers into the machine's memory, using the speed-dial numbers. Programmed numbers should be tested at regular intervals.

12. Make sure fax machine prints a confirmation of each outgoing transmission and require machine operators to: (a) make sure the intended destination matches the number on the confirmation, and (b) staple the confirmation to the document that was faxed.
13. In the event of a misdirected fax, be sure that improperly faxed documents are either immediately returned or destroyed by the recipient. Document that the fax was misrouted and take (and document) steps to prevent a reoccurrence of the error.
14. Proof of delivery of PHI that is faxed will be retained as evidence of the time/date of the transmittal, the intended recipient, its contents, and the fax number at which it was confirmed to have been received.
15. Included in the business associate agreements or two-way covered entity agreements are provisions requiring organizations that will receive your faxes to place their fax machines in secure areas.
16. As with all other paper documents that contain PHI, faxes that contain PHI are handled and stored in the regular secure manner and shredded when they have outlived their usefulness.

XIX. PROCEDURE FOR SENDING AND RECEIVING EMAIL CONTAINING PHI

- A. Email internal to the Region's network.
 1. Before sending PHI in an internal email the appropriateness of the communication shall be considered. The criteria used to determine appropriateness of the communication are the same as apply to any communication of PHI.
 2. Before sending PHI via internal email, the email address and recipient should be verified.
 3. Emails containing PHI should be deleted from the system after they are no longer required.
- B. Email external to the Region network over the Internet.

Emails sent via the Internet shall be encrypted to reduce the risk of inadvertent disclosure of PHI. If encryption is not available then another secure means of communication must be used.

1. The email address of the recipient should be verified prior to sending the email.
2. The criteria used in determining the appropriateness of whether to send PHI via email over the Internet are the same as determining whether to send internal email to other Region employees or plan sponsor employees. Consideration should be given to the sensitivity of the information and the potential of inadvertent disclosure.
3. Where possible, verification that the recipient received the email should be obtained.
4. The email shall contain a notice that the email contains PHI.

XX. CONVERSATIONS CONCERNING PHI

- A. Employees should conduct conversations concerning PHI in a manner that limits the risk of inadvertent disclosure of PHI through casual overhearing. Some conversations, because of their sensitive nature or the PHI or concerns by the consumer of inadvertent disclosure, may only be possible in a private office or location.
- B. Personnel initiating conversations or phone calls concerning PHI should be aware of their surroundings. For example, a call concerning PHI made by a staff person to a business associate to discuss whether a diagnosis supports a certain procedure should not be made from a reception area with people in the waiting area.
- C. Personnel initiating a call concerning PHI should be aware of the surroundings of the call recipient. Inquiry may need to be made as to whether the recipient can converse without danger of PHI being inadvertently disclosed to individuals in the immediate area of the call recipient.
- D. When consumers initiate discussion of PHI with Region personnel, the Region personnel shall be cognizant of the potential for inadvertent disclosure of PHI when discussion takes place in reception or common areas of offices. Region personnel shall move appropriate conversations to offices or other quieter locations that reduce the potential for inadvertent disclosure.
- E. Leaving voice mail or forwarding voice mail containing PHI should be done with the same considerations as engaging in conversations concerning PHI.

XXI. TRAINING

A. Policy:

All personnel shall be trained in the requirements of protecting, using and disclosing PHI.

B. Procedures:

1. All personnel shall be trained in the requirements and procedures necessary to implement the privacy policies contained herein as relates to their respective jobs.
2. Training shall consist of content sufficient to provide:
 - a. An overview of HIPAA, HITECH and the Privacy Regulations; and
 - b. Detailed training on the policies and procedures relevant to the person's responsibilities.

C. The training materials will be maintained by the Region on its website or Intranet for reference and review. In-service, refresher trainings will be conducted upon determination by the Privacy Officer that the policies, procedures and laws have changed sufficiently to require further training or, that compliance would be enhanced by additional training.

D. New employees and employees changing assignments will be required to undergo relevant privacy training as a condition of their assuming their responsibilities.

E. A log shall be maintained that tracks the initial training given to all employees, as well as updates and in-service refresher training modules.

XXII. SANCTIONS AND MITIGATION

A. The Region may discipline any employee who has violated these policies and procedures or the Privacy Regulations. Depending on the severity of the violation, employee discipline may include all disciplinary action available under the Region's Personnel Policy and Procedure Manual, including, but not limited to, verbal warning, letter of reprimand, retraining, suspension or termination as appropriate. The Privacy Officer will document and maintain any sanctions that are imposed pursuant to the Document Retention and Destruction policy and procedures referenced in Article VI above.

B. The Region will not discipline an employee who:

1. Testifies or assists in an investigation, compliance review, or hearing regarding the Region's compliance with the Privacy Regulations; or
 2. Opposes any act or practice that the employee believes, in good faith, is in violation of the law, and if the employee has not disclosed the PHI in violation of the Privacy Regulations and if the opposition is reasonable.
- C. The Region will take the appropriate and necessary steps to limit the harm of a use or disclosure by an employee or business associate in violation of these policies and procedures or the Privacy Regulations.

XXIV. RESERVATION OF RIGHT TO CHANGE POLICIES, PROCEDURES OR NOTICE

The Region reserves the right to change these privacy policies and procedures and the Notice of Privacy Practices as the laws change or as circumstances dictate. When necessary, a revised Notice of Privacy Practices will be distributed to consumers.

No third-party rights (including, but not limited to, rights of consumers, beneficiaries, covered dependents, or business associates) are intended to be created by these privacy policies and procedures. To the extent these privacy policies and procedures establish requirements and obligations above and beyond those required by HIPAA, they shall be aspirational and shall not be binding upon the Region. To the extent these policies and procedures are in conflict with the HIPAA privacy rules, the HIPAA privacy rules shall govern.

NOTICE OF PRIVACY PRACTICES FOR HEALTH CARE PROVIDERS

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.

If you have any questions about this Notice of Privacy Practices contact the Southwest Iowa MHDS Regional Privacy Officer:

Lonnie Maguire, Southwest Iowa MHDS Region Privacy Officer,
Address: 719 Market Street, Harlan Iowa 51537
Phone: 844-934-4222 ext 2

This Notice of Privacy Practices describes how the Covered Entity may use and disclose your protected health information to carry out treatment, payment or health care operations and for other purposes that are permitted or required by law. It also describes your rights to access and control your protected health information (“PHI”). “PHI” is information about you, including demographic information, that may identify you and that relates to your past, present or future physical or mental health or condition and related health care services.

The Covered Entity is required to abide by the terms of this Notice of Privacy Practices. The Covered Entity may change the terms of this notice, at any time. The new notice will be effective for all PHI that the Covered Entity maintains at that time. Upon request, the Covered Entity will provide you with any revised Notice of Privacy Practices.

PERMITTED USES AND DISCLOSURES OF PHI

Your PHI may be used and disclosed by the Covered Entity for the purpose of providing or accessing health care services for you. Your PHI may also be used and disclosed to pay your health care bills and to support the business operation of the Covered Entity.

The following categories describe ways that the Covered Entity is permitted to use and disclose health care information. Examples of types of uses and disclosures are listed in each category. Not every use or disclosure for each category is listed; however, all of the ways the Covered Entity is permitted to use and disclose information falls into one of these categories:

1) Treatment:

The Covered Entity may use and disclose your PHI to provide, coordinate or manage your health care and any related services. This includes the coordination or management of your health care with a third party that has already obtained your permission to have access to your PHI. For example, the Covered Entity would disclose your PHI, as necessary, to a home health agency that provides care to you. Another example is that PHI may be provided to a facility to which you have been referred to ensure that the facility has the necessary information to treat you.

2) Payment

The Covered Entity may use and disclose health care information about you so that the treatment and services you receive may be billed to and payment may be collected from you, an insurance company or a third party. The Covered Entity may also discuss your PHI about a service you are going to receive to determine whether you are eligible for the service, and

for undertaking utilization review activities. For example, authorizing a service may require that your relevant PHI be discussed with a provider to determine your need and eligibility for the service.

3) Healthcare Operations

The Covered Entity may use or disclose, as-needed, your PHI in order to support its business activities. These activities include, but are not limited to, quality assessment activities, employee review activities, licensing and conducting or arranging for other business activities. For example, the Covered Entity may use or disclose your PHI, as necessary, to contact you to remind you of your appointment or to provide information about alternate services or other health-related benefits.

The Covered Entity may share your PHI with third party “business associates” that perform various activities (e.g., billing, transcription services) for the Covered Entity. Whenever an arrangement between the Covered Entity and a business associate involves the use or disclosure of your PHI, the Covered Entity will have a written contract that contains terms that will protect the privacy of your PHI.

USES AND DISCLOSURES OF PHI REQUIRING YOUR WRITTEN AUTHORIZATION

Other uses and disclosures of your PHI will be made only with your written authorization, unless otherwise permitted or required by law as described below. You may revoke this authorization, at any time, in writing, except to the extent that the Covered Entity has taken an action in reliance on the use or disclosure indicated in the authorization.

The Covered Entity also may keep psychotherapy notes. These are given a higher degree of protection and cannot be disclosed without your express permission except to carry out certain treatment, payment, or health care operations including allowing the note taker to use them for treatment, using the notes for training programs, or using the notes in defense of a legal proceeding. You have the opportunity to specifically authorize disclosure of psychotherapy notes on the *Authorization for Release of PHI* form.

We will not use or disclose your PHI for marketing purposes without your written authorization unless the marketing is conducted through a face-to-face communication or involves a gift of nominal value.

We will not accept payment of any kind for your PHI without your written authorization. Sale of PHI is prohibited only as it is defined by law and does not include accepting payment for your treatment.

You may revoke an authorization at any time by notifying us in writing. If this should ever be the case, please be aware that revocation will not impact any uses or disclosures that occurred while the authorization was in effect.

The Covered Entity may use and disclose your PHI in the following instances. You have the opportunity to agree or object to the use or disclosure of all or part of your PHI. If you are not present or able to agree or object to the use or disclosure of the PHI, then the Covered Entity may, using professional judgment, determine whether the disclosure is in your best interest. In this case, only the PHI that is relevant to your health care will be disclosed.

1) Others Involved in Your Healthcare

Unless you object, the Covered Entity may disclose to a member of your family, a relative, a close friend or any other person you identify, your PHI that directly relates to that person's involvement in your health care. If you are unable to agree or object to such a disclosure, the Covered Entity may disclose such information as necessary if the Covered Entity, based on its professional judgment, determines that it is in your best interest. The Covered Entity may use or disclose PHI to notify or assist in notifying a family member, personal representative or any other person that is responsible for your care of your location, general condition or death. Finally, the Covered Entity may use or disclose your PHI to an authorized public or private entity to assist in disaster relief efforts and to coordinate uses and disclosures to family or other Individuals involved in your health care.

2) Emergencies

The Covered Entity may use or disclose your PHI in an emergency treatment situation. If this happens, the Covered Entity shall try to obtain your acknowledgment of receipt of the Notice of Privacy Practices as soon as reasonably practicable after the delivery of treatment.

OTHER PERMITTED AND REQUIRED USES AND DISCLOSURES THAT MAY BE MADE WITHOUT YOUR AUTHORIZATION OR OPPORTUNITY TO OBJECT

The Covered Entity may use or disclose your PHI in the following situations without your consent or authorization. These situations include:

1) Required By Law

The Covered Entity may use or disclose your PHI to the extent that the law requires the use or disclosure. You will be notified, as required by law, of any such uses or disclosures.

2) Public Health

The Covered Entity may disclose your PHI for public health activities and purposes to a public health authority that is permitted by law to collect or receive the information. The disclosure will be made for the purpose of controlling disease, injury or disability. The Covered Entity may also disclose your PHI, if directed by the public health authority, to a foreign government agency that is collaborating with the public health authority.

3) Communicable Diseases

The Covered Entity may disclose your PHI, if authorized by law, to a person who may have been exposed to a communicable disease or may otherwise be at risk of contracting or spreading the disease.

4) Health Oversight

The Covered Entity may disclose your PHI to a health oversight agency for activities authorized by law, such as audits, investigations and inspections. Oversight agencies seeking this information include government agencies that oversee the health care system, government benefit programs, other government regulatory programs and civil rights laws.

5) Abuse or Neglect

The Covered Entity may disclose your PHI to a public health authority that is authorized by law to receive reports of child abuse or neglect. In addition, the Covered Entity may disclose your PHI if it believes that you have been a victim of abuse, neglect or domestic violence to

the governmental entity or agency authorized to receive such information. In this case, the disclosure will be made consistent with the requirements of applicable federal and state laws.

6) Food and Drug Administration

The Covered Entity may disclose your PHI to a person or company required by the Food and Drug Administration to report adverse events, product defects or problems, biologic product deviations, track products; to enable product recalls; to make repairs or replacements, or to conduct post marketing surveillance, as required.

7) Legal Proceedings

The Covered Entity may disclose PHI in the course of any judicial or administrative proceeding, in response to an order of a court or administrative tribunal (to the extent such disclosure is expressly authorized), in certain conditions in response to a subpoena, discovery request or other lawful process.

8) Law Enforcement

The Covered Entity may also disclose PHI, so long as applicable legal requirements are met, for law enforcement purposes. these law enforcement purposes include (1) legal processes and otherwise required by law, (2) limited information requests for identification and location purposes, (3) pertaining to victims of a crime, (4) suspicion that death has occurred as a result of criminal conduct, (5) in the event that a crime occurs on Covered Entity premises, and (6) medical emergency (not on the Covered Entity's premises) and it is likely that a crime has occurred.

9) Coroners, Funeral Directors, and Organ Donation

The Covered Entity may disclose PHI to a coroner or medical examiner for identification purposes, determining cause of death or for the coroner or medical examiner to perform other duties authorized by law. We may also disclose PHI to a funeral director, as authorized by law, in order to permit the funeral director to carry out their duties. We may disclose such information in reasonable anticipation of death. PHI may be used and disclosed for cadaveric organ, eye or tissue donation purposes.

10) Research

The Covered Entity may disclose your PHI to researchers when their research has been approved by an Institutional Review Board that has reviewed the research proposal and established protocols to ensure the privacy of your PHI.

11) Criminal Activity

Consistent with applicable federal and state laws, the Covered Entity may disclose your PHI, if it believes that the use or disclosure is necessary to prevent or lessen a serious and imminent threat to the health or safety of a person or the public. The Covered Entity may also disclose PHI if it is necessary for law enforcement authorities to identify or apprehend an Individual.

12) Military Activity and National Security

When the appropriate conditions apply, the Covered Entity may use or disclose PHI of Individuals who are Armed Forces personnel (1) for activities deemed necessary by

appropriate military command authorities; (2) for the purpose of a determination by the Department of Veterans Affairs of your eligibility for benefits, or (3) to foreign military authority if you are a member of that foreign military service. The Covered Entity may also disclose your PHI to authorized federal officials for conducting national security and intelligence activities, including for the provision of protective services to the President or others legally authorized.

13) Workers' Compensation

Your PHI may be disclosed by the Covered Entity as authorized to comply with workers' compensation laws and other similar legally established programs.

14) Inmates

The Covered Entity may use or disclose your PHI if you are an inmate of a correctional facility and the Covered Entity created or received your PHI in the course of providing care to you.

15) Required Uses and Disclosures

Under the law, the Covered Entity shall make disclosures to you and when required by the Secretary of the Department of Health and Human Services to investigate or determine the Covered Entity's compliance with the requirements of 45 C.F.R. section 164.500 et. seq.

YOUR RIGHTS

The following are a list of your rights with respect to your PHI and a brief description of how you may exercise these rights:

RIGHT TO INSPECT AND COPY YOUR PHI

This means you may inspect and obtain a copy of PHI about you that is contained in a designated record set for as long as the Covered Entity maintains the PHI. A "designated record set" contains medical and billing records and any other records that the Covered Entity uses in making decisions about you.

Under 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 PHI that is subject to law that prohibits access to PHI. Depending on the circumstances, a decision to deny access may be reviewable. In some circumstances, you may have a right to have this decision reviewed. Please contact the Covered Entity Privacy Officer if you have questions about access to your medical record.

RIGHT TO REQUEST A RESTRICTION OF YOUR PHI

This means you may ask the Covered Entity not to use or disclose any part of your PHI for the purposes of treatment, payment or healthcare operations. You may also request that any part of your PHI not be disclosed to family members or friends who may be involved in your care or for notification purposes as described in this Notice of Privacy Practices. Your request must state the specific restriction requested and to whom you want the restriction to apply.

The Covered Entity is not required to agree to a restriction that you may request, except in the case of a disclosure you have restricted under 45 C.F.R. §164.522(a)(1)(vi) related to restricted disclosures to health plans if the disclosure is for the purpose of carrying out payment or health

care operations and is not otherwise required by law, and the PHI pertains solely to a health care item or service for which you have (or someone other than you but not the health plan has) paid out-of-pocket, in full. If the Covered Entity believes that it is in your best interest to permit use and disclosure of your PHI, your PHI will not be restricted. If the Covered Entity does agree to the requested restriction, it may not use or disclose your PHI in violation of that restriction unless it is needed to provide emergency treatment. With this in mind, please discuss any restriction you wish to request with the Covered Entity. You may request a restriction in writing to the Covered Entity Privacy Officer. To request a restriction, you must provide us, in writing 1) what information you want to limit; 2) whether you want to limit our use, disclosure or both; and 3) to whom you want the limits to apply.

RIGHT TO REQUEST CONFIDENTIAL COMMUNICATIONS FROM THE COVERED ENTITY BY ALTERNATIVE MEANS OR AT AN ALTERNATIVE LOCATION

The Covered Entity will accommodate reasonable requests. The Covered Entity may also condition this accommodation by asking you for information as to how payment will be handled or specification of an alternative address or other method of contact. The Covered Entity will not request an explanation from you as to the basis for the request. Please make this request in writing to the Covered Entity Privacy Officer.

RIGHT TO REQUEST AN AMENDMENT TO YOUR PHI

This means you may request an amendment of PHI about you in a designated record set for as long as the Covered Entity maintains this information. In certain cases, the Covered Entity may deny your request for an amendment. If the Covered Entity denies your request for amendment, you have the right to file a statement of disagreement with the Covered Entity and the Covered Entity may prepare a rebuttal to your statement and will provide you with a copy of any such rebuttal. All requests for amendments must be in writing.

RIGHT TO RECEIVE AN ACCOUNTING OF CERTAIN DISCLOSURES OF YOUR PHI

This right applies to disclosures for purposes other than treatment, payment or healthcare operations as described in this Notice of Privacy Practices. It excludes disclosures the Covered Entity may have made to you, to family members or friends involved in your care, or for notification purposes. You have the right to receive specific information regarding these disclosures that occur after April 14, 2003.

RIGHT TO OBTAIN A PAPER COPY OF THIS NOTICE

You have the right to obtain a paper copy of this notice, upon request, even if you have agreed to accept this notice electronically.

THE COVERED ENTITY'S DUTIES AND OTHER INFORMATION

The Covered Entity is required by law to maintain the privacy of PHI and to provide you with this notice of our legal duties and privacy practices with respect to PHI, and abide by the terms of the notice currently in effect.

We must inform you of any breach of your PHI that compromises your PHI and that is held or transmitted in an unsecured manner, within 60 days after we discover, or by exercising reasonable diligence, should have discovered the breach.

We reserve the right to change our policies and practices regarding how we use or disclose PHI, or how we will implement Individual rights concerning PHI. We reserve the right to change this notice and to make the provisions in our new notice effective for all information we maintain. If we change these practices, we will publish a revised Notice of Privacy Practices. The revised notice will be posted and available at our places of service.

COMPLAINTS

You may file a complaint to the Covered Entity or to the Secretary of Health and Human Services if you believe your privacy rights have been violated by the Covered Entity. You may file a complaint against the Covered Entity by notifying the Covered Entity Privacy Officer. The Covered Entity will not retaliate against you for filing a complaint.

You may contact the Covered Entity Privacy Officer, Lonnie Maguire, Southwest Iowa MHDS Region Privacy Officer Address: 719 Market Street, Harlan Iowa 51537 Phone: 844-934-4222 ext 2. for further information about the complaint process.

This notice was published and becomes effective on 9/8/14.