1.0 PURPOSE

To establish a process for handling breach notifications as they relate to breaches of unsecured PHI.

2.0 SCOPE

The UMMC Breach of Unsecured Protected Health Information Notification Policy is established to facilitate institutional compliance with handling unsecured PHI breach notifications as required by the Health Information Technology for Economic and Clinical Health (HITECH) Act.

3.0 STANDARDS

In the event UMMC discovers a breach of Unsecured PHI, which poses a significant risk of financial, reputational, or other harm to the individual, the Office of Integrity and Compliance will notify each individual whose unsecured PHI has been, or is reasonably believed to have been accessed, acquired, or disclosed as a result of such breach.

The notification requirement applies to any Unsecured PHI accessed, maintained, retained, modified, recorded, stored, destroyed, or otherwise held, used or disclosed by UMMC. The notification requirements also apply to breaches committed by UMMC or one of its Business Associates.

For purposes of this policy, a breach will be treated as discovered by UMMC or a Business Associate as of the first day on which the breach is known to UMMC or one of its Business Associates, respectively, including any person, other than the individual committing the breach, that is an employee, officer, or other agent of UMMC or a Business Associate.
All individuals must immediately report any suspected PHI breach to the Office of Integrity and Compliance. An individual can and will be subject to disciplinary actions for failing to report a known breach.

4.0 DEFINITIONS

The term “breach” means the unauthorized acquisition, access, use, or disclosure of PHI which compromises the security or privacy of such information, except where an unauthorized person to whom such information is disclosed would not reasonably have been able to retain such information.

The term “breach” does not include:

(a) any unintentional acquisition, access, or use of PHI by an employee or individual acting under the authority of the Company or Business Associate if-

(i) such acquisition, access, or use was made in good faith and within the course and scope of the employment or other professional relationship of such employee or individual, respectively, with UMMC or a Business Associate; and

(ii) such information is not further acquired, accessed, used, or disclosed by any person; or

(b) any inadvertent disclosure from an individual who is otherwise authorized to access PHI at a facility operated by UMMC or Business Associate to another similarly situated individual at the same facility; and

(c) any unauthorized disclosure in which an unauthorized person to whom protected health information is disclosed would not reasonably have been able to retain the information.
5.0 PROCEDURE

Deadline for Notice

Unless otherwise specified below, UMMC must provide notifications of a breach of Unsecured PHI as soon as practicable and in no case later than sixty (60) calendar days after the discovery of a breach.

Methods of Notice

Notice to individual patients

Notice of a breach provided to an individual must meet the following requirements:

(a) The notice must be written and delivered to the individual by first-class mail addressed to the individual (or the next of kin of the individual if the individual is deceased) at the individual’s (or next of kin’s) last known address. In the alternative, if the individual (or next of kin) has so specified, the notification may be delivered by electronic mail. The notification may be provided in one or more mailings as information becomes available.

(b) In the case in which there is insufficient, or out-of-date contact information (including a phone number, email address, or any other form of appropriate communication) that precludes direct written (or, if specified by the individual, electronic) notification, a substitute form of notice must be provided, including, in the case that there are ten (10) or more individuals for which there is insufficient or out-of-date contact information, a conspicuous posting for a period (determined by the Secretary) on the home page of the Web site of UMMC or notice in major print or broadcast media, including major media in geographic areas where the individuals affected by the breach likely
reside. Such a notice in media or web posting will include a toll-free number where an individual can learn whether or not the individual's Unsecured PHI is possibly included in the breach.

(c) If UMMC determines that immediate notification is required because of possible imminent misuse of Unsecured PHI, UMMC may provide information by telephone or other means, as appropriate, in addition to the written notification required.

Notice to Media

Notice shall be provided to prominent media outlets, following the discovery of a breach of Unsecured PHI, if the Unsecured PHI of more than 500 residents is, or is reasonably believed to have been, accessed, acquired, or disclosed during such breach.

Notice to Secretary

Notice shall be provided to the Secretary of Unsecured PHI that has been acquired or disclosed in a breach. If a distinct breach was with respect to 500 or more individuals, such notice must be provided immediately. If a distinct breach was with respect to less than 500 individuals, UMMC will maintain a log of any such breach discovered and annually submit the log to the Secretary, documenting the breaches discovered during the year involved. This report will be made no later than 60 days after the end of the calendar year. The internal log (with supporting documentation) shall be maintained for six (6) years.

Content of Notification

Regardless of the method by which notice is provided to individuals as set forth above, notice of a breach shall include, to the extent possible, the following:
(a) A brief description of what happened, including the date of the breach and the date of the discovery of the breach, if known.

(b) A description of the types of Unsecured PHI that were involved in the breach (such as full name, social security number, date of birth, home address, account number, diagnosis or disability code).

(c) The steps individuals should take to protect themselves from potential harm resulting from the breach.

(d) A brief description of what UMMC is doing to investigate the breach, to mitigate losses, and to protect against any further breaches.

(e) Contact procedures for individuals to ask questions or learn additional information, which shall include a toll-free telephone number, an e-mail address, Web site, or postal address.

**Delay of Notification**

Notification may be delayed if a law enforcement official determines that a notification, notice or posting would impede a criminal investigation or cause damage to national security.

**6.0 CONTACT INFORMATION**

For questions about the UMMC Breach Notification Policy or for more information, call the Office of Integrity and Compliance at 815-3944.