




**Department of Finance & Administration
Division of TennCare**

Policy Number: PRIV 008	
Policy Subject: Accounting of Disclosures of Enrollee Records	
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Position: Chief Compliance and Privacy Officer	
Signature: 	

PURPOSE OF POLICY

This policy addresses how the Division of TennCare (TennCare) will account for disclosures of enrollee Protected Health Information (PHI), including electronic Protected Health Information (ePHI), or Personally Identifiable Information (PII) when required by the Health Insurance Portability and Accountability Act of 1996 (HIPAA) or other federal and state laws, regulations, and polices.

POLICY

TennCare shall timely respond to enrollee requests for accounting of disclosures of PHI or PII maintained by TennCare. TennCare will provide enrollees with all the privacy rights granted by federal and state laws and regulations.

DISCUSSION & LEGAL BASIS

TennCare complies with HIPAA and federal and state laws and regulations in responding to enrollee requests for accounting of disclosures. Pursuant to HIPAA, TennCare is not compelled to provide an accounting of PHI disclosures made:

- a) to carry out treatment, payment, or health care operations;
- b) to enrollees or their personal representatives;
- c) pursuant to an authorization;
- d) to persons involved in the enrollee’s care, if authorized by the enrollee;
- e) for national security or intelligence purposes;
- f) to correctional institutions or law enforcement in limited circumstances;
- g) as part of a limited data set (see definitions);

- h) incidental to a use or disclosure permitted by HIPAA and TennCare policy; or
- i) more than six (6) years prior to the date of request or prior to April 14, 2003.

Publishing PHI or PII in a facility directory (e.g., by a hospital) is also exempt but would not generally occur in TennCare operations.

Some disclosures may be temporarily exempt from disclosure if requested by a law enforcement agency or a health care oversight agency.

PROCEDURE

1. The Privacy Office is responsible for receiving and processing requests for accountings of disclosures, and for responding to reports of disclosures that may not be permitted by HIPAA or by TennCare policies and procedures.
2. TennCare staff must report the following disclosures to the Privacy Office and record any disclosures of PHI not otherwise allowed by either:
 - a. an enrollee's authorization; or
 - b. to carry out treatment, payment, or health care operations.

All improper disclosures are to be reported to the Privacy Office, Office of General Counsel (OGC).

3. Enrollee PHI or PII disclosed by TennCare staff that must be logged:
 - a. disclosures to a public health official (e.g., FDA, CDC, Bureau of Vital Statistics) such as the reporting of disease or injury (and would not include DHHS staff providing treatment);
 - b. disclosures in response to mandatory child or elder abuse reporting laws (other than protective services staff who respond to such report) to an entity authorized by law to receive the abuse report;
 - c. disclosures from an individual's record when reasonably believed to be a victim of abuse, neglect, or domestic violence to an entity authorized by law to receive the abuse report;
 - d. disclosures from an individual's record to a health oversight agency for oversight activities authorized by law, including:
 - audits;

- civil, administrative, or criminal investigations, proceedings, or actions;
 - inspections; and
 - licensure or disciplinary actions;
- e. disclosures made for the purposes of research following privacy board approval;
- f. disclosures for workers' compensation;
- g. disclosures about an individual pursuant to a court order in a court case or other legal proceeding;
- h. disclosures about an individual provided for law enforcement purposes;
- i. disclosures about an individual related to decedent status or tissue donation;
- j. disclosures about an individual to prevent or lessen a serious threat to health or safety of a person or the public; and
- k. disclosures about an individual provided for specialized government functions related to Armed Forces personnel.
4. For all disclosures covered by this policy, TennCare shall track and record the date, nature, and purpose of each disclosure of a record, and to whom the disclosure was made. Records of disclosures shall be retained for a minimum of six (6) years after the disclosure was made.
5. TennCare must act on an enrollee's request for an accounting of disclosures within sixty (60) days of receipt. If we are unable to provide the accounting within sixty (60) days, we have one (1) opportunity to extend the time by giving the enrollee a written statement of the reasons for the delay, extending the time by no more than thirty (30) days.
6. Enrollee requests for accounting of disclosures should be submitted to:

Division of TennCare
Attention: Privacy Office
310 Great Circle Road
Nashville, TN 37243
866-797-9469
Privacy.TennCare@tn.gov

In the event of disclosure of an enrollee's PII or PHI not permitted under HIPAA or other federal or state laws or regulations, TennCare will attempt to mitigate any potential harmful effects and will log such a disclosure in a manner consistent with this policy.

7. Enrollees may receive one (1) accounting of disclosures free of charge per year. Additional accountings of disclosures are subject to applicable fees.

DEFINITIONS

Enrollee: An individual applying for or currently enrolled in any category of State of Tennessee's Medicaid program (TennCare), and Children's Health Insurance Program (CHIP, known as CoverKids in Tennessee), or in any Tennessee federal Medicaid waiver program approved pursuant to Sections 1115 or 1915 of the Social Security Act. For purposes of TennCare privacy policies, the term "enrollee" may also be used to reference one who was previously an enrollee during a period for which there is a privacy request or compliance inquiry.

Incidental Disclosure: A term of art used to describe inadvertent or uncalculated releases of information that may occur incidentally during TennCare operations, such as when a person overhears a nearby TennCare employee discuss health information on the phone.

Limited Data Set: PHI that excludes direct identifiers (e.g., names, address, Social Security numbers) of the individual, relatives, employers, or household members. *See* 45 C.F.R. § 164.514.

Payment: Activities undertaken to obtain premiums, determine eligibility and benefits, or provide reimbursement for the provision of health care.

Personal Representative: An individual or entity legally authorized to act on behalf of the individual enrollee.

Personally Identifiable Information (PII): Information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

Protected Health Information (PHI): Information that is: (i) transmitted by electronic media; (ii) maintained in electronic media; or (iii) transmitted or maintained in any other form or medium, including demographic information that identifies or may be used to identify an individual and that:

- (1) is created or received by a health care provider, health plan, public health authority,

employer, life insurer, school or university, or health care clearinghouse; and
(2) relates to the past, present, or future physical or mental health or condition of an individual, the provision of health care to an individual, or the past, present, or future payment for the provision of health care to an individual. *See* 45 C.F.R. § 160.103.

Electronic Protected Health Information (ePHI): Electronic health information (ePHI) is any PHI that is created, stored, transmitted, or received electronically.

SSA-Provided Information: Information, such as an individual’s Social Security number, supplied by the Social Security Administration to TennCare to determine entitlement or eligibility for federally funded programs.

Treatment: The provision, coordination, or management of health care.

OFFICE OF PRIMARY RESPONSIBILITY

TennCare Privacy Office, Office of General Counsel (OGC)

REFERENCES

45 C.F.R. § 160.103
45 C.F.R. § 164.501
45 C.F.R. § 164.512
45 C.F.R. § 164.514
45 C.F.R. § 164.528
45 C.F.R. § 164.530
42 U.S.C.A. § 1320d-5
5 U.S.C. § 552a (c)(1), (c)(3), (j), (k)
The Privacy Act of 1974
NIST SP800-53
OMB Circular A-130