Marcia McLure, Ph.D.
McLure-Moynihan Inc.
www.mmiec.com
For Health Colloquium at Harvard
August 19, 2001
• Introduction to HIPAA
• Primer on Electronic Commerce (EC)
• Primer on Financial EC
• Healthcare EC
• The HIPAA Transaction Sets
• HIPAA is a Compliance Initiative…
  • …but the mindset of the regulators is different from “Fraud and Abuse”. Final enforcement rules are not finalized.

• HIPAA is an IT Initiative…
  • …but while it shares features with Y2K it is both bigger and more beneficial.
• HIPAA is all about Standards!

• Standards for automating the business process of Claims Administration

• Standards for the security and confidentiality of Health Information
Mars Global Observer

RIP $125 Million
Administrative Simplification

• New England Journal of Medicine article claims 19-24% of US Healthcare Costs are Administrative.

• Private Sector Response - the Bush Administration and WEDI.
1993 WEDI Recommendations

- To automate the claims process will require:
  - Standards for key Employer-Health Plan data exchanges.
  - Standards for key Payer-Provider data exchanges.
  - Uniform Code Sets
  - National Identifiers
    - Patient
    - Provider
    - Payer
    - Employer
1993 WEDI Recommendations

- National Guidelines to preempt state standards
  - Signatures
  - Security

- The Clinton Reform Initiative incorporated many of the WEDI recommendations with some embellishments.

- Support for Administrative Simplification survived the death of the Clinton Healthcare Reform Initiative
Privacy

The “leak” of the HIV Positive Diagnosis led to an alarmed public and a series of hearings on Privacy.

- Bipartisan consensus on administrative simplification found its expression in HIPAA legislation of 1996. WEDI recommendations were incorporated with additional requirements related to Privacy.
### Who Has to Comply?

<table>
<thead>
<tr>
<th>Organization</th>
<th>Directly Affected</th>
<th>Indirectly Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>All qualified health plans, ERISA, Medicare, Medicaid</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Healthcare clearinghouses</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Providers</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Employers</td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>

“Covered Entity”
Who Has to Comply?

- Section 162-923
- A covered entity may use a business associate, including a healthcare clearinghouse, to conduct a transaction covered by this part. If a covered entity chooses to use a business associate to conduct all or part of a transaction on behalf of the covered entity, the covered entity must require the business associate to do the following:
  - Comply with all applicable requirements of this part
  - Require any agent or subcontractor to comply with all applicable requirements of this part.

“Business Associate”
# Penalties

<table>
<thead>
<tr>
<th>Monetary Penalty</th>
<th>Term of Imprisonment</th>
<th>Offense</th>
</tr>
</thead>
<tbody>
<tr>
<td>$100</td>
<td>N/A</td>
<td>Single violation of a provision</td>
</tr>
<tr>
<td>Up to $25,000</td>
<td>N/A</td>
<td>Multiple violations of an identical requirement or prohibition made during a calendar year</td>
</tr>
<tr>
<td>Up to $50,000</td>
<td>Up to one year</td>
<td>Wrongful disclosure of individually identifiable health information</td>
</tr>
<tr>
<td>Up to $100,000</td>
<td>Up to five years</td>
<td>Wrongful disclosure of individually identifiable health information committed under false pretenses</td>
</tr>
<tr>
<td>Up to $250,000</td>
<td>Up to 10 years</td>
<td>Wrongful disclosure of individually identifiable health information committed under false pretenses with intent to sell, transfer, or use for commercial advantage, personal gain, or malicious harm</td>
</tr>
</tbody>
</table>

Failure to implement transaction sets can result in fines up to $225,000 per year ($25,000 per requirement, times nine transactions)

Failure to implement privacy and security measures can result in jail time

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1996-2001 Waiting for Rules

**NCVHS**
- DHHS charged National Committee on Vital Health Statistics (NCVHS) to hold hearings on:
  - Transaction Standards
  - Code Sets
  - Identifiers

**Final and Proposed Rules**
- Security Proposed Rule 8/98
- Privacy Proposed Rule 11/99
- Final Rule on Transaction Sets and Code Sets issued 8/00 effective 10/02

*Final Rules on Identifiers and Security expected late 2001*
National Identifiers

• Patient ID
  – No NCVHS recommendation

• Provider ID
  – HCFA-maintained Provider ID# recommended

• Payer ID/HealthPlan ID
  – HCFA-maintained database recommended. Requires Funding (and release of final rule).

• Employer ID
  – Tax ID #
Security/Privacy

• Security rules deal with how data is stored and accessed.
• Privacy rules deal with how and to whom data is disclosed.
Security

• “Protected Health Information”
  – individually identifiable that has ever been:
    • electronically transmitted
    • electronically stored

• Administrative procedures---documented general practices for establishing and enforcing security policies

• Physical safeguards---documented processes for protecting physical computer systems, buildings, and so on

• Technical security services---processes that protect, control, and monitor access

• Technical security mechanisms---mechanisms for protecting information and restricting access to data transmitted over a network
A complete Internet communications implementation must include adequate encryption, employment of authentication or identification of communications partners, & a management scheme to incorporate effective password/key management systems.

Acceptable encryption hardware & software approaches

Acceptable authentication/identification approaches
Security

• Authentication
  • Did the sender of the message (user of the system) really send this message or was it sent by a “bad guy”.

• Encryption
  • Scrambling a message so that only the sender and the receiver can “unscramble” the message using a Key.
Are You In The “Chain of Trust”

• “a contract entered into by two business partners in which the partners agree to electronically exchange data and protect the integrity and confidentiality of the data exchanged.”
Security

- First assign responsibility for HIPAA security compliance.
- Self assessment tool kits are available from multiple sources.
- “For the Record” is an excellent book that was a source book for the security proposed rule. (nap.edu)
- Most people and literature overemphasize the technology and underemphasize the cultural and physical aspects of security.
Privacy

• The Privacy Rule defines “protected health information”, provides guidelines for disclosure of data and policies for authorized disclosure.

• Privacy guidelines are very controversial with over 60,000 comments from both sides of the debate.

• Final Privacy rules differed from Proposed Rules and administration and expense estimates vary widely.
Privacy

“The Privacy Advocate will be to the Information Age what the Environmental Advocate was to the Industrial Age.”

Covered entities have potential liability under common law and state statutes. HIPAA sets a floor, not a ceiling, and more stringent state laws preempt HIPAA.

This is a people issue. How can management create a climate of confidentiality that can ensure patient trust?
Health Information

• Health Information...Any information, whether oral or recorded in any form or medium.

• Identifiable Health Information
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 (i) that identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.”
Protected Health Information (§164.501):

“means individually identifiable health information…that is:

• (i) Transmitted by electronic media;
• (ii) Maintained in any medium described in the definition of electronic media …[under HIPAA], or
• (iii) Transmitted or maintained in any other form or medium.”
Key Requirements

- Notice
- Consent
- Authorization
- Right to Request Restriction
- Right of Access
- Right to Amend
- Right to an Accounting
Eliminating Paperwork

• A Decades-Old Quest
  – 1950s First Steps
  – 1960s Tape-based Standards
  – 1970s Industry-Specific Standards
  – 1980 Cross-Industry Standards
  – 1990s EDI evolves into EC
  – 2000s Stay Tuned!
What Took So Long?

- Primitive networks.
- Lack of electronic format standards.
- Expensive hardware and software.
- Lack of consensus among trading partners.
The Local Area Network
The Wide Area Network
Value Added Networks

- VANs offer store and forward mail box services.
- Operated by GEIS, AT&T, MCI-Worldcom and others.
- VANs support numerous communications interfaces, security, 24 hour support and an audit trail.
The Internet

• A Public Packet Network that looks free!
  • But there is no support, no security, no audit trail.

Despite shortcomings, the Internet and its protocols appear to be the dominant network of the future.
Let’s Define Our Terms

• Electronic Data Interchange:
  – The exchange of computer-processable data in a standardized format between two enterprises.

• Electronic Commerce:
  – Any use of a variety of technologies that eliminate paper and substitute electronic alternatives for data collection and exchange. Options include Interactive Voice Response, Fax, Email, Imaging, Swipe Cards and multiple Web-based Internet tools.
EDI and EC: A Place for Both

- **EDI**
  - Standards-based data exchange - the foundation of quality transaction processing.
  - System to system exchanges of highly *structured* data.

- **Electronic Commerce:**
  - Multiple ways to communicate unstructured data.
  - People-to-system or people-to-people exchanges.
“X12 Standards do not define the method in which interchange partners should establish the required electronic media communication link, nor the hardware and translation software requirements to exchange EDI data.”

Source = HIPAA Implementation Guidelines
Is Getting Paid Important?

- Banks are involved with two HIPAA transactions, claims payments and premium payments.
- Banking industry networks are secure, widely used and as familiar as direct deposit of payroll and social security payments.
- Electronic Funds Transfer (EFT) is the transfer of value through the banking system.
Trade Payments…

… transfer value from payer to payee and provides the remittance information need to relieve the receivable account of the payee.
EDI Payments...

... are Trade Payments that
• transfer value using EFT
• exchange remittance
detail via EDI
Funds Transfer Systems

- Fedwire
- Automated Clearinghouse
Fedwire

Originator’s Bank A

Federal Reserve System

Beneficiary’s Bank B

Bank A

Bank B
Automated Clearing House

Originator’s Bank → Regional ACH → Federal Reserve System → Beneficiary’s Bank

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Fedwire vs. ACH

Fedwire
• Immediate funds transfer.
• Limited data carrying capability.
• Expensive to send and receive.

ACH
• Good funds arrive the day after payment origination.
• Extensive Data carrying capability in CTX (Corporate Trade Exchange).
• Inexpensive to send and receive.
**Option 1: Dollars & Data Travel Together**

835 Electronic Payment Order with remittance information

- **Payer (Originator)**
- **Originator’s Bank**
- **Receiver’s Bank**
- **Provider (Beneficiary)**

835 Electronic funds transfer between banks which includes remittance information in an “electronic envelope”.

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Option 2: Dollars & Data Travel Separately

835 Electronic Payment Order with no remittance information

Originator’s Bank

Electronic Funds transfer between banks

Receiver’s Bank

VAN

Electronic remittance information sent through non-bank electronic network.

Payer (Originator)

Provider (Beneficiary)

Credit Advice

835

Electronic remittance information sent through non-bank electronic network.
Eliminating Paperwork

- Format Standards
- EDI Management Software
What Standards?

• What is ANSI?
  – American National Standards Institute
  – Since 1917 the only source of American National Standards

• What is ASC X12
  – Accredited Standards Committee X12, chartered in 1979
  – Responsible for cross-industry standards for electronic documents
We are used to standard forms.

We need to obtain information from the equivalent of an electronic standard form.
Standard Forms and Standard Formats
EDI Standard/Document

Standard Paper Forms = Transaction Sets

Invoice (810)
Purchase Order (850)
Healthcare Claim (837)
EDI Standard/Document

Formats Use Standard Segments
Segments = Lines or Boxes on Forms

Name (N1)
Address Information (N3)
Reference Number (REF)
Date/Time Reference (DTM)
EDI Standard/Document
Segment

Segment ID
NM1*P2*1*Clinton*Hilary*R~

Segment Delimiter
Segment Terminator
EDI Standard/Document

Segments are composed of Data Elements

Individual Name

Name, Last

Middle Initial

Insured

Person

Name, First

NM1*P2*1*Clinton*Hilary*R~
How Does EDI Work?

EDI is the computer-to-computer exchange of routine business information...

Field Name | Value Added Network | "Standard"
--- | --- | ---
PO Number | BEG03 | BEG03
Line Item No. | PO101 | PO102
Qty. Ordered | PO103 | PO104
Unit of Meas. | PO107 | SCH01
Unit Price | SCH07 | SCH07
Buyer's P/N | 9980301 | AE123
Vendor's P/N | 9980302 | BE123
Delivery Qty | SCH08 | SCH09
Delivery Date | SCH08 | SCH09

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X12 Standards

X12 Standards establish standards for the “enveloping” of data for successful message routing.

EDI allows “trading partners to use the electronic equivalent of “return receipt mail” with a transaction set called the Functional Acknowledgement (997).
EDI Standard/Document

The outer envelopes are crucial to support of the Functional Acknowledgement (997) standard.

As will become apparent, the 997 and message tracking are crucial for making HIPAA standards work.
EDI Management Software

- Translation
- Trading Partner Profiles
- Interchange Control
- Mapping
Healthcare EDI/EC

- Medicare practices and procedures created today’s electronic claims processes.
- Claims clearinghouses arose to meet the mapping and editing needs of providers and commercial claims payers.
- Medicaid’s practices and procedures created today’s electronic eligibility processes.
Electronic Claims Processing

- Hospital Patient Accounting System
- Medical Group Patient Accounting System
- Provider Patient Accounting System
- DDE
- PC
- Clearinghouse
- Fiscal Intermediary
- Claims Payer
- X12
- X12
- ?

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Transaction Set Standards

- Healthcare Claim or Encounter (837)
- Enrollment and Disenrollment in a Health Plan (834)
- Eligibility for a Health Plan (270-271)
- Claim Payment and Remittance Advice (835)
- Premium Payments (820)
- Healthcare Claim Status (276-277)
- Referral Certification and Authorization (278)
- Coordination of Benefits (837)
- Later…
- Healthcare Claim Attachment (275)
- First Report of Injury (148)
Beyond Formats

• Data Element Standards
  – Existing groups such as NUBC, ADA, NUCC continue to define data elements of a claim
• but…
• X12 and HHS determine data elements for claims status, eligibility, treatment authorization, remittance messages.

• Code Sets
  – HIPAA aims to standardize code set adoption.
  – NCVHS endorsed “defacto” standards ICD-9 CM, CPT-4, HCPCS, CDT-2 and NDC code sets.
X12 Standards

HIPAA Implementation Guidelines, to be issued when updates to the standards are promulgated by DHHS, are the standard for purposes of HIPAA-compliance. They are subsets of the complete standard as approved by ANSI X12.

HIPAA standard transmissions must incorporate other X12 standards used for message management in order to function in commercial software.
Standard Transaction Sets

Major Goal for Human Resources:

Eliminate the errors and time-lags in benefit administration by revolutionizing enrollment and premium payment.

Requirements: Support for X12 Benefit Enrollment and Maintenance standard (834) and the Premium and other Payroll Deduction Payment (820).
Health Plan

Employer/
Plan Sponsor

Human Resources
Benefit Enrollment and Maintenance (834)

Accounts Payable
Payment/Remittance (820)

Treasury (820)
Bank
Bank
Treasury (820)

Membership Accounting
Premium Billing
Employers Achieve High ROI

• AT&T
  – Saved $15 million in first year of EDI enrollment.
    • WEDI pilot in 1993
    • Substantial decrease in claims paid to ineligible claimants

• Regents of the University of California
  – Implemented HIPAA compliant enrollment
  – Found and corrected $1 million billing error

• Pacific Business Group on Health/CALINX
  – Workgroup examined and adopted X12 standards as part of CALINX initiative. CALPERS, UC System, SBC and others using HIPAA transactions.
834 Benefit Enrollment and Maintenance

- Human Resources
- Vendor
- Health Plan PPOs, etc.
- Providers

Benefit Enrollment and Maintenance (834)
Eligibility Inquiry and Response (270-271)
Enrollment Updates can be of two different types; Updates or Full File Audits

• Updates contain additions, changes and deletions. X12 developers recommend transmissions as often as daily but biweekly probably is preferable.

• Full File Audits are a complete list of all covered lives and related coverage details. These are often sent monthly or quarterly.
Opportunities

The 834 is the standard of choice for the Human Resource Department, linking HR to all benefit administrators. Lower claims expense and improved customer service for employees and dependents are key benefits.

Related Risks

Mistakes in implementation may have an impact on many employees.
This transaction set can be used to:

• make a payment,

• send a remittance advice,

• or make a payment & send a remittance advice.

The 820 can be an order to a financial institution to make a payment to a payee. It can also be a remittance advice identifying the detail needed to perform cash application to the payee’s financial institution, or through a third party agent.
Opportunities

Automation of premium payments brings discipline and standardization to business practices.

Automated Health Premium Payments lay the groundwork for benefits that are paid through all premium deduction. The 820 can also be used for all EDI payments other than claims payments.

Related Risks

Errors in implementation can cause problems for many employees.
Considerations for Broader Adoption of EDI Payments

• Many hospitals can save up to .50% on much of what they buy through AP automation. Kaiser Permanente reduced AP staff by 1/3rd.

• Current check production processes are slow, costly and insecure. Kaiser reduced check costs by 30% through EDI and outsourcing.

• EDI payment applications for AP and payroll may be needed for HIPAA compliance with outgoing claims payments.
The Claims Process

Provider

Admitting
Eligibility Inquiry (270)
Eligibility Response (271)

Utilization Review
Certification Request (278)
Certification Response (278)

Billing and Collections
Claim/Encounter (837)
Status Inquiry (276)
Status Response (277)
Payment/Remittance (835)

Treasury

Payer

Verification Function

Utilization Review

Claims Processing

Bank

Bank

Treasury

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Standard Transaction Sets

Providers are not mandated to do business electronically and can use clearinghouses if they chose to not support the standards.

The EDI standards offer varying degrees of “opportunity” and the providers should see:

• Lower bad debt writeoffs
• Lower days in Accounts Receivable
• Higher value added jobs in Patient Accounting
• Possibly fewer FTEs in the Business Office.
Standard Transaction Sets

Target “metrics” are crucial.

How many payers can you connect to for:
- Eligibility Transactions,
- EDI Claims,
- EDI Status Reports,
- Electronic Payments and Remittance Advices.

If you spend the money to automate where will the benefits accrue?
Standard Transaction Sets

Major Goal for Patient Accounting:

• Eliminate Eligibility Phone Calls
• Expand Eligibility to all inpatient and outpatient services.

Requirements: Support for X12 Eligibility Standards (270-271).

• Classic Business Process Improvement—Get things right at the beginning of the process!
Eligibility, Coverage or Benefit Inquiry

270

Eligibility Transaction Processing is captured in the back and forth exchange of 270 and 271 Transactions.

The 271 can also be the capitation roster but that is not a HIPAA mandated transaction.
These transaction sets can be sent in both a batch and real time mode.

*Batch* files are often sent in a “store and forward” mode with receipt of a response occurring in a separate communication session.

*Real Time* transactions occur with both and inquiry and a response occurring within the same communication session.
Eligibility Management

Opportunities

Stanford University reports that 50% of its bad debt was attributable to bad eligibility data.

NEHEN experience shows eligibility to be the best candidate for initial EDI implementation.

Related Risks

EDI Eligibility processing changes many jobs in patient accounting. Integration may not be supported by the underlying systems and procedures.
Standard Transaction Sets

Major Goal for Patient Accounting:

- Eliminate the “black hole” of lost claims by revolutionizing claims tracking.

  Requirements: Support for X12 “enveloping standards” the claim standard (837) and the claim status standards (276-277).
This **transaction set** can be used to:

- submit health care claim billing information
- encounter information
- Or both

**Providers of Health Care Services**

**Intermediary Billers & Claims Clearinghouses**

Directly

**Payers**
837 Information Flows

Functional Acknowledgement
Informs the sender that the transmission arrived. It can also send information about the syntactical quality of the 837.

Unsolicited Claims Status
Can indicate which claims in the 837 batch passed front end edits and what additional information may be needed by Payer.

Claim Payment/Remittance Advice
Payer can send Electronic Remittance data either with an Electronic Funds Transfer or separately.
It can also be used to transmit health care claims and billing payment information between payers with different payment responsibilities where coordination of benefits is required or between payers and regulatory agencies to monitor the rendering, billing, and/or payment of health care services within a specific health care/insurance industry segment.
EDI Coordination of Benefits

Provider
Patient
Accounting
System

837

Claims
Payer #1

835

Claims
Payer #2

837

Claims
Payer #3

835

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EDI Coordination of Benefits

Provider
Patient
Accounting
System

Claims
Payer #1

837

Claims
Payer #2

837

Claims
Payer #3

837

835

835

835
837 Health Care Claim

Opportunities

• All providers will benefit from increased acceptance of EDI claims.
• Sophisticated providers will be able to initiate direct sends more readily.
• COB processing will be revolutionized… but not soon.

Related Risks

Loss of local code usage may have an impact for reimbursement from some payers (Medicaid).
Health Care Claim Status Request and Notification

The HIPAA Implementation Guidelines describe how Claims Status data can be exchanged in the 276 and 277 Transactions.

The Claims Status Response can be used without an related 276 preceding it. The 277 can be:

...a notification about health care claim status including front end acknowledgements and,

...a request for additional information about a health care claim by the payer.

These are important but non-HIPAA mandated uses of the Standard.
Health Care Claim Status Inquiry
Requests claims status information from payer.

Unsolicited Claims Status Notification
Can indicate which claims in the 837 batch passed front end edits and what additional information may be needed by Payer.

Health Care Claims Status Notification
Informs the receiver that about the status of claims inquired about in a preceding 276.
Payers may provide claims status reports from various points in the adjudication process.

• Pre-adjudication (accepted/rejected claim status)
• During adjudication (claims pended)
• Adjudicated but not yet paid claims.

The standard provides Claim Status Category Codes for “categories” of messages. These include A for acknowledged, E for errors, P for Pending, F for finalized and R for requests.
Health Care Claim Status Request and Response

Business Issues

Many payers, particularly Medicaid agencies, put claims status messages such as rejections on remittance advices. Payers have widely varying ability to support the standard. Providers should be aware of the payer business model and capability.

Providers must integrate status data into the accounts receivable process to automate claims tracking.
278

Health Care Services Review Information

This **transaction set** can be used to transmit health care service information, such as:

- Subscriber
- Patient
- Demographic
- Diagnosis or Treatment Data

*for the purpose of request for:*

- Review
- Certification
- Notification
- Reporting the outcome of a health care services review.
Users of this transaction include:

• Managed Care Payors
• Providers
• Utilization Review Firms

This transaction should not be used for Medical Management/Case Review
Opportunities

• Authorization goes hand-in-glove with Eligibility. Texas and Washington state hospital associations pushing for adoption of 278-based forms.

Related Risks

This standard has relatively little support among payers today. Don’t gear up to support the 278 until your trading partners commit.
Standard Transaction Sets

Major Goal for Patient Accounting:

- Automate remittance and payment processing for claims payments from top 50 payers.

Requirements: Support for X12 Healthcare Claim Payment Standard (835).
Health Care Claim Payment/Advice

This transaction set can be used to make a payment, send an Explanation of Benefits (EOB) remittance advice, or make a payment and send an EOB remittance advice only, from a health insurer to a health care provider either directly or via a financial institution.

One 835 describes one payment which may represent reimbursement for one or many claims.
835

Health Care Claim Payment/Advice

This is more than “just a check” because we are dealing with the data and documents needed for both the originator (payer) and the beneficiary (provider).
For Payers, sending a secure electronic 835 can be done for less than the cost of a stamp. Many payers print and collate checks and EOBs with the potential for sending EOB data to the wrong party.

For Providers, receipt of the 835 provides the opportunity to automate posting and closing tasks. Automated secondary billing is also facilitated through receipt of ERA data.

Related Risks

Financial EDI is new to most payers.
Where Are We Now?

- **Claims Administration** will move into the mainstream of Corporate Electronic Document Exchange.
  - ASC X12 and other standards bodies can help move the industry to long sought goals of a “networked” healthcare industry.

- **Providers and Payers** will adopt improved Security practices to keep patient information confidential
  - Internet security guidelines will also allow the E-commerce revolution to find applications in healthcare.
Where Are You Now?

• ASSESS YOUR SITUATION
  If you are looking for a Big Opportunity, Seek out a Big Problem.

• GET TO WORK!
  Well Done is Better than Well Said. -Ben Franklin
Compliance Planning

• Create Team, Educate the Team and Strategize
• Perform High Level Assessment
  – Security
  – Data Sets
  – Transaction Standards
  – Privacy
• Evaluate multiple options (in-house vs. outsource, build vs. buy etc)
• Develop Comprehensive Plan
The Challenge

Change Management

- Comprehensive Analysis of Current Procedures
  - Comprehensive workflow analysis and data modeling to avoid major errors.
- Detailed Vision of Future State
  - Best Practices must be understood in detail
  - HIPAA Plan consistent with IS and Corporate Strategic Plans
- Step-by-Step Implementation Plan
- Appropriate Staffing and Funding

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