| **Section** | **Page** | **Change** |
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| Cover Letter | n/a | Updated opening paragraph. |
| How to Use this Manual – Legal Review | n/a | Removed second paragraph.  Added policies to list of policies for legal review to synchronize document with list. |
| How to Navigate the SHIPM Document in Adobe Acrobat or the free Adobe Reader | n/a | Removed this topic – SHIPM will be published in .docx format for ease of accessibility. |
| SHIPM | n/a | Non-substantive changes (formatting, small wording changes, grammar) have been made throughout the document to enhance clarity and understanding. |
| SHIPM and all attachments | n/a | AB434 – State Web accessibility: standards and reports (Chapter 780, October 14, 2017) – SHIPM and all attachments were reviewed for accessibility.  Some attachments were updated for formatting to resolve errors; no substantive content changes were made. |
| 2 – Privacy | n/a | All of Chapter 2 – Privacy has been reviewed and many policies updated (see individual policy updates below) to reflect a new CalOHII policy requiring policies and procedures for all topics in this section. The change in policy ensures departments are in compliance with federal Office for Civil Rights audit protocols. The specific changes are noted below for each policy topic. |
| 2.1.1 – Authorization | 18 | Updated II. Policy and III. Implementation Specifics for consistency with other policies – policies and procedures statements have been moved to “Implementation Specifics.” |
| 2.2.1 – Decedents | 23-25 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Added III.B.4 to reflect missing HIPAA requirement regarding permitted disclosures to individuals involved in a deceased patient’s care.  Updated IV. References to reflect citation for new requirement. |
| 2.2.2 – Employers | 26-27 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.3 – Fundraising | 28 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.4 – Health Oversight | 30, 32 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.5 – Judicial and Administrative Proceedings | 34-35 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.6 – Law Enforcement | 37, 40 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.8 – Opportunity to Agree or Object | 44, 47 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated II. Policy and III. Implementation Specifics for consistency with other policies – policies and procedures statements have been moved to “Implementation Specifics.”  Updated IV. References to reflect correct citation for policies and procedures requirement. |
| 2.2.9 – Organ Procurement | 48-49 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.10 – Public Health Activities | 50-51 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.11 – Required by Law and Required Disclosures | 53, 55 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.12 – Research | 56-57 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Per U.S. Health and Human Services (HHS), Office of Civil Rights (OCR) Guidance (dated June 2018) on the use and disclosure of PHI data for Research, updated II. Policy to add disclosure of information with an authorization.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.13 – Specialized Government Functions | 58, 61 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.14 – Treatment, Payment and Health Care Operations (TPO) | 62, 64 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies. Note: All items in III. Implementation Specifics were re-numbered for this update.  Updated IV. References to reflect citation for new requirement. |
| 2.2.15 – Underwriting | 65-66 | Updated III. Implementation Specifics for consistency with other policies – policies and procedures statements have been moved to the beginning of “Implementation Specifics.” Other items in the section were renumbered to reflect movement.  Updated IV. References to reflect additional citation for policies and procedures requirement. |
| 2.2.16 – Victims of Abuse, Neglect, or Domestic Violence | 67-69 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.2.17 – Health Information Exchange (HIE) | 70, 73 | Updated III. Implementation Specifics for consistency with other policies – policies and procedures statements have been moved to the beginning of “Implementation Specifics.”  Updated IV. References to reflect additional citation for policies and procedures requirement. |
| 2.3.1 – Genetic Information | 75-76 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.3.2 – HIV/AIDS Information | 77, 79 | Updated II. Policy to reflect missing citation.  Updated III. Implementation Specifics for consistency with other policies – policies and procedures statements have been moved to the beginning of “Implementation Specifics.” Other items in the section were renumbered to reflect movement.  Updated IV. References to reflect additional citation for policies and procedures requirement and new citation in policy statement. |
| 2.3.3 – Mental Health Records | 80, 84 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.3.4 – Substance Use Disorder Treatment | 87-88 | Updated III.B.2.d to reflect guidance on data sharing for the Opioid crisis.  Updated III.C.1 to reflect missing citation. |
| 2.3.5 – Developmental Services Records | 93, 96-97 | Updated II. Policy to provide Department of State Hospitals and Department of Developmental Services specific guidance for disclosures of information and development/implementation of policies and procedures.  Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.3.6 – Psychotherapy Notes | 98, 100 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.4.1 – Breach and Breach Notification | 102-104, 106, 107 | Updated III. Implementation Specifics for consistency with other policies – policies and procedures statements have been moved to the beginning of “Implementation Specifics.” Other items in the section were renumbered to reflect movement.  Updated III.B to provide guidance on circumstances that do not constitute a reportable breach.  Updated III.C to remove erroneous statement regarding risk assessment.  Updated note in II. Policy, III.E and III.G.2 to reflect updated definition of “breach” – removing “unsecured” from each item.  Updated III.E to move accounting of disclosure requirement (from III.E.2) to a separate item (III.E.3) and added more detail for clarity.  Updated IV. References to reflect citation addition. |
| 2.5.1 – De-identification | 109, 112 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.7.1 – Minimum Necessary | 115-116 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated III.A.3 to better align with HIPAA regulations.  Updated IV. References to reflect citation for new requirement. |
| 2.8.1 – Patient’s (Personal) Representative | 117, 119 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 2.9.1 – Requirements for Telehealth | 120-121 | Updated III.B to reflect industry best practices regarding content of policies and procedures.  Updated IV. References to reflect citation for new requirement. |
| 2.10.1 – Multiple Covered Functions | 122-123 | Updated III. Implementation Specifics to reflect new CalOHII requirement that state entities have policies and procedures for all Privacy-related policies.  Updated IV. References to reflect citation for new requirement. |
| 3.1.1 – Contingency Plans | 129 | Per California Department of Technology (CDT), Technology Letter 18-03 Recovery and Response Plans for Critical Infrastructure Policy (published 6/2018) - updated III.B.1 to include critical infrastructure. |
| 3.1.2 – Incident Procedures | 133 | Per HHS, Health Industry Cybersecurity Practices (published 12/2018) – updated III.E to include additional organizations for reporting cyber incidents. |
| 3.1.4 – Security Management Process | 142 | Added III.C.7 to reflect new requirement for security assessment (per AB670 – Information technology security; Chapter 518, October 6, 2015).  Removed erroneous citation from IV. References. |
| 3.3.1 – Audit Controls | 165-167 | Updated III.C to clarify documentation requirements per Corrective Action Plan “lesson learned.”  Per CDT, Policy/Guideline Update #04 Endpoint Protection Standard (published 01/2019) and DGS SAM Revision 443 - updated III.D.2 to add an item for endpoint protection standards.  Updated IV. References to reflect new citations for documentation and endpoint protection standards. |
| 4.1.4 – Staffing: Privacy Official, Security Official | 193 | Updated III.C and IV. References to correct erroneous citation. |
| 4.2.1 – Consequences of Non-Compliance | 199 - 200 | Updated III.D to remove non-compliance violation table since the civil monetary penalties are updated each year for inflation. The text was updated to explain the annual inflation adjustment and provide the citation for current penalties.  Updated IV. Reference to reflect the new citation for non-compliance violations. |
| 4.4.1 – Business Associate Agreement | 204, 206 | Removed CA SAM 4983 from II. Policy citations.  Updated III.F.9 to clarify breach reporting requirements for the business associate to the state entity and removed “unsecured” for consistency with 2.4.1 Breach and Breach Notification policy.  Updated III.F.10 to clarify business associate requirements regarding patient access to information. |
| 5.3.1 – Notice of Privacy Practices | 235 | Updated III.B.1.d to add hyperlink to new definition for “prominent.” |
| 5.4.1 – Patient’s (Individual’s) Right to Access Health Information | 238-239, 241, 245 | Updated III.A.1 to remove “written” from the request requirement. Per HIPAA regulations, the covered entity “may” require request in writing.  Updated III.A.1 to reflect input from a department regarding need for clarity and update on timing for access rights – corrected the timing in III.A.1.b, added a new requirement (III.A.1.c), and updated citations for III.A.1.  Updated III.A.4 to better align with CA Health and Safety code – moved item d to the end of item b.  Updated III.A.8 to clarify fees that can be charged for processing requests for access to health records.  Updated IV. References to reflect citation additions to III.A |
| 5.5.1 – Restriction for Self-Pay | 246 | Updated II. Policy and III. Implementation Specifics to help clarify self-pay patient status. |
| SHIPM Definitions | 254, 255, 257, 269 | The following definitions were updated or added:   * Breach – updated definition to remove “unsecured” and clarify examples for encrypted and unencrypted * De-identified Information – added links to the California Health and Human Services’ Data Playbook site and de-identification guidelines * Federal Trade Commission Act – new definition to support 2.1.1 Authorizations * Prominent – new definition to support 5.3.1 Notice of Privacy Practice * Public Health Authority – new definition to support 2.2.10 Public Health Activities * Unsecured Health Information – removed definition; no longer used in SHIPM |
| Attachment – 4.1.1 – HIPAA Required Policies and Procedures | All | Updated to add new policy requirement for all policies in Section 2 – Privacy.  Updated to sync checklist with current SHIPM:   * Removed 3.1.8 – Workforce Security (retired in 2017) * Removed 3.2.1 – Access (moved to 3.3.5 in 2017) * Updated 3.3.1 – Audit Controls (reflect new language) * Added 3.3.4 – Integrity * Added 3.3.5 – Access Control * Removed 3.4.1 – Documentation |