

Table of Contents Appendix Tab 10

Sample Documents

Caution & Use Restriction: *These sample documents are for illustrative purposes. The documents are for a hypothetical employer that has interpreted “gray” areas of law in a manner that fits its risk tolerance. These sample documents may not be used “as is” for any purpose, but they may be used as a starting point to develop tailored documents that take into account an employer’s particular plan design, administrative choices, and risk tolerance. Any other use of these sample documents is strictly prohibited. Nothing contained in this publication is to be considered as the rendering of legal advice for specific cases, and readers are responsible for obtaining such advice from their own legal counsel. This publication and the sample documents herein are intended for educational and informational purposes only.*

I. Portability Sample Documents

A. HIPAA Information Packet (to be distributed preenrollment)	
1. Guide to Initial HIPAA Notice of Special Enrollment Rights and PCEs	17
2. Initial HIPAA Notice of Special Enrollment Rights and PCEs	18
3. [Alternative] Initial HIPAA Notice of Special Enrollment Rights and PCEs [for plans using the Alternative Method of crediting coverage]	21
B. Form for Employee to Decline Coverage [for plans that require a written employee statement when coverage is declined]	
	27
C. Individual Notice of Preexisting Condition Exclusion Determination	
	29
D. Certificate of Creditable Coverage	
1. Background Information About HIPAA’s Certificate of Creditable Coverage Requirement	41
2. Sample Certificate of Group Health Plan Coverage	42
3. Hypothetical Certificates of Creditable Coverage	
a. Guide to Hypothetical Certificates of Creditable Coverage	45
b. Hypothetical Certificate #1 (Termination of Employment with Dependents)	46
c. Hypothetical Certificate #2 (Dependent with Different Period of Coverage)	49
d. Hypothetical Certificate #3 (Dependent Loses COBRA Coverage)	52
E. Special Enrollment Form (Loss of Other Coverage Including Medicaid or a State Children’s Health Insurance Program)	
1. Guide to Special Enrollment Form (Loss of Other Coverage Including Medicaid or a State Children’s Health Insurance Program)	81
2. Special Enrollment Form (Loss of Other Coverage Including Medicaid or a State Children’s Health Insurance Program)	82
F. HIPAA Portability Procedures	
1. Guide to Sample HIPAA Portability Procedures	91
2. Sample HIPAA Portability Procedures	93
G. Sample Procedures for Individuals to Request Certificates of Creditable Coverage From ABC, Inc.’s Group Health Plan	
	105

II. Privacy and AS Sample Documents

A. Chart Describing HIPAA Privacy and Security Compliance Documents	111*
B. Sample HIPAA Privacy Compliance Checklist for Employers/Plan Sponsors	
1. Guide to Sample HIPAA Privacy Compliance Checklist for Employers/Plan Sponsors	121
2. Sample HIPAA Privacy Compliance Checklist for Employers/Plan Sponsors	122
C. Sample HIPAA Security Compliance Checklist for Employers/Plan Sponsors	
1. Guide to Sample HIPAA Security Compliance Checklist for Employers/Plan Sponsors	129
2. Sample HIPAA Security Compliance Checklist for Employers/Plan Sponsors	130
D. Sample HIPAA Privacy Compliance Checklist for Business Associates	
1. Guide to Sample HIPAA Privacy Compliance Checklist for Business Associates	141
2. Sample HIPAA Privacy Compliance Checklist for Business Associates	142
E. Sample HIPAA Security Compliance Checklist for Business Associates	
1. Guide to Sample HIPAA Security Compliance Checklist for Business Associates	147
2. Sample HIPAA Security Compliance Checklist for Business Associates	148
F. PHI Tracking Materials	
1. Guide to PHI Tracking Materials	181
2. PHI Tracking Materials	
a. Internal PHI Flowchart	182
b. Internal PHI Questionnaire	183
c. Health Plan Identifier Worksheet	185
d. External PHI Flowchart	186
e. Business Associate Tracking Worksheet	187
G. Sample HIPAA Privacy & Security Policies for Self-Funded Plans	
1. Guide to Sample HIPAA Privacy Policy for Self-Funded Plan	221
2. Sample HIPAA Privacy Policy for Self-Funded Plan	222
3. Guide to Sample HIPAA Security Policy for Self-Funded Plan with Third-Party Administrator	231
4. Sample HIPAA Security Policy for Self-Funded Plan with Third-Party Administrator	232
H. Sample HIPAA Privacy & Security Policies for Fully Insured Plan With No Access to PHI	
1. Guide to Sample HIPAA Privacy Policy for Fully Insured Plan With No Access to PHI	241
2. Sample HIPAA Privacy Policy for Fully Insured Plan With No Access to PHI	242
3. Guide to Sample HIPAA Security Policy for Fully Insured Plan With No Access to PHI	243
4. Sample HIPAA Security Policy for Fully Insured Plan With No Access to PHI	244
I. Sample HIPAA Privacy Use and Disclosure Procedures	
1. Guide to Sample HIPAA Privacy Use and Disclosure Procedures	251

* Updated item for 1st Qtr. 2010.

2. Sample HIPAA Privacy Use and Disclosure Procedures	252
J. Sample HIPAA Privacy Disclosure Log	
1. Guide to Sample HIPAA Privacy Disclosure Log	271
2. Sample HIPAA Privacy Disclosure Log	272
K. Sample Notice of Privacy Practices	
1. Guide to Sample Notice of Privacy Practices	301*
2. Sample Summary of Privacy Practices	302
3. Sample Notice of Privacy Practices	303*
L. Sample Business Associate Contract Provisions	
1. Guide to Sample Business Associate Contract Provisions	331
2. Sample Business Associate Contract Provisions	332
M. Sample Authorization for Release of Information	
1. Guide to Sample Authorization for Release of Information	361
2. Sample Authorization for Release of Information	362
N. Sample HIPAA Privacy & Security Plan Amendment	
1. Guide to Sample HIPAA Privacy & Security Plan Amendment	381
2. Sample HIPAA Privacy & Security Plan Amendment	382
O. Sample Sponsor Certification to Group Health Plan	
1. Guide to Sample Plan Sponsor Certification to Group Health Plan	391
2. Sample Plan Sponsor Certification to Group Health Plan	392
P. Sample Documents for Implementing Individual Rights	
1. Guide to Sample Documents for Implementing Individual Rights	401*
2. Sample Request to Inspect or Copy Protected Health Information	402
3. Sample Response to Request to Inspect or Copy Protected Health Information	405
4. Sample Request to Amend or Correct Protected Health Information	407
5. Sample Response to Request to Amend or Correct Protected Health Information	409
6. Sample Request for an Accounting of Disclosures of Protected Health Information	411*
7. Sample Response to Request for an Accounting of Disclosures of Protected Health Information	413
8. Sample Request for Restrictions on Use or Disclosure of Protected Health Information	415*
9. Sample Response to Request for Restrictions on Use or Disclosure of Protected Health Information	417
10. Sample Request for Alternate Communications	419
11. Sample Response to Request for Alternate Communications	421
Q. Sample Job Descriptions for Privacy Official and Contact Person and Security Official	
1. Guide to Job Description for Privacy Official and Contact Person	451*
2. Sample Job Description for Privacy Official and Contact Person	452*

* Updated item for 1st Qtr. 2010.

3. Guide to Sample Job Description for Security Official	454*
4. Sample Job Description for Security Official	455*
R. Sample Trading Partner Agreement	
1. Guide to Sample Trading Partner Agreement	481
2. Sample Trading Partner Agreement	482
S. Sample Notice of Availability of Notice of Privacy Practices	
1. Guide to Sample Notice of Availability of Notice of Privacy Practices	501
2. Sample Notice of Availability of Notice of Privacy Practices	502

[Next Page Is Page 17.]

* Updated item for 1st Qtr. 2010.