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Preserving Integrity in California's Healthcare Eligibility, Enrollment & Retention System (CalHEERS): Policy Recommendations Matrix*

April 2012

INDIVIDUAL ACCESS	CORRECTION	OPENNESS & TRANSPARENCY	INDIVIDUAL CHOICE	COLLECTION, USE, & DISCLOSURE	DATA QUALITY & INTEGRITY	ACCOUNTABILITY
Individuals should have a reasonable & accessible means of access to their own individually identifiable information.	Individuals should have practical, efficient, & timely means for disputing the accuracy or integrity of their individually identifiable information.	Individuals should be able to understand what individually identifiable information is collected or accessed by CalHEERS; how that information is used & disclosed; for how long it is retained; & whether or how they can exercise choice over such collection, use, & disclosure.	Individuals should have reasonable opportunities to exercise some choice with respect to collection, use & disclosure of their individually identifiable information. What choices should be provided depends on the context for information sharing.	CalHEERS should follow federal Exchange regulations that prohibit using or disclosing identifiable information about any individual collected in order to perform the core functions of an exchange for any other purpose.	CalHEERS should update or correct individually identifiable information when appropriate, & provide timely notice of these changes to individuals & to others with whom the underlying information has been shared.	CalHEERS should sufficiently monitor for internal compliance including authentication & authorizations for access to or disclosure of individually identifiable health information.
Individuals should be able to obtain their own personal information easily, consistent with security needs for authentification & the functional impairments of the individual.	Individuals should be able to easily correct information or dispute a document that includes incorrect personally identifiable information.	Individuals should receive a notice of policies & operations, including the parameters of information collection, use & disclosure, in a timely way & in advance of the collection, use, &/or disclosure of individually identifiable information.	Individuals should have the ability to designate someone else, such as a family member, care-giver, or legal guardian, to make decisions on their behalf.	Information collected for Exchange core functions should not be used for marketing.	CalHEERS should develop processes & deploy technical capabilities to detect, prevent, & mitigate any unauthorized changes to, or deletions of, individually identifiable information.	CalHEERS should develop reasonable mitigation measures, including notice to individuals & appropriate authorities of privacy violations or security breaches.

* These policy recommendations serve as CU and CDT's "initial" policy recommendations. CDT and CU will continue to continue filling in and completing the matrix as policies are developed in response to operational data flow decisions.

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Individuals should have prompt access to their individually identifiable information.		Individuals should receive communication about policies & procedures in a manner that is appropriate & understandable to all.	Individuals should have the ability to make their own decisions that are communicated through the use of chosen translators, legally recognized translation systems, or language facilitators.	Individuals should be able to anonymously explore or search the CalHEERS website.	CalHEERS should develop methods to ensure individual accounts are not shared or accessed by unauthorized parties.	CalHEERS should have the capacity to receive & act on complaints by individuals, including taking corrective measures.
Individuals should have information in a readable form & format, including in electronic form.			Individuals should have access to a fair & not unduly burdensome decision making process.	Individuals should only be required to provide the minimum personally identifiable information necessary to complete the application.	Individuals should be provided unique log-in accounts, including designated Assisters.	
			Individuals enrolled in non-health programs who might be eligible for CalHEERS programs should be specifically asked for consent before an actual application is initiated.	When data about an individual exists in another database, CalHEERS should consider whether it is necessary for a copy of that data to also be collected & stored in the CalHEERS system.	CalHEERS should be able to track the source of all changes to a person's personally identifiable information to be able to properly identify the sources of any mistakes or misinformation.	

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			Individuals should have the right to refuse consent for the sharing of specific information.	CalHEERS should include the federal prohibition on use & disclosure of exchange information for non-exchange purposes in contracts with all other relevant parties.		
			Individuals should be provided "just-in-time" consent in specific instances where they must be able to understand & indicate consent before they are able to move forward in the application process.	CalHEERS should require the use of "de-identified" data for such purposes whenever possible.		
			Individuals should have access to consent language that is written in a clear & concise manner, comprehensible to individuals of all cultural, language, economic, educational & health status needs.	CalHEERS should strictly prohibit re-identification of any disclosed de-identified data in binding contracts & all policies.		