



Forensis™
DIGITAL DOCUMENT MANAGEMENT

HIPAA BUSINESS ASSOCIATE AGREEMENT

Forensis Technologies, LLC acknowledges that it is a “Business Associate” of _____ as defined by the standards for Privacy of Individually Identifiable Health Information under the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), as amended by Sections 13400 through 13424 of the Health Information Technology for Economic Clinical Health Act (the “HITECH Act”), which was enacted as part of the American Recovery and Reinvestment Act of 2009 (“ARRA”). In accordance with the terms set forth in this “Privacy Agreement,” **Forensis Technologies, LLC** and _____, shall use reasonable best efforts to protect the privacy of Protected Health Information.

1. Terms and Terminology.

1.1. *Provider*. “Provider” means _____.

1.2. *Business Associate*. “Business Associate” means **Forensis Technologies, LLC**.

1.3. *Patient*. “Patient” means a patient of Provider.

1.4. *Terms*. Terms used, but not defined, in this Privacy Agreement shall have the same meaning as those terms in the Privacy Rule or the Security Rule.

1.5. *Privacy Rule*. “Privacy Rule” shall mean the standards for Privacy of Individually Identifiable Health Information contained in 45 CFR Parts 160 and 164, Subparts A and E.

1.6. *Protected Health Information*. “Protected Health Information” and/or “PHI” means information, whether oral or recorded in any form or medium, including demographic information, that: (i) 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; (ii) identifies the individual, or for which there is a reasonable basis for believing that the information can be used to identify the individual; and (iii) is received by Business Associate from or on behalf of Provider, or is created by Business Associate for Provider, or is made accessible to Business Associate by

Provider. PHI includes, without limitation, “Electronic Protected Health Information” and/or “EPHI,” as that term is defined at 45 CFR § 160.103.

1.7. *Patient Record*. “Patient Record” means any item, collection, or grouping of information that includes Protected Health Information that is maintained, collected, used, or distributed by Provider.

1.8. *Services Agreement*. “Services Agreement” means the Forensics Service Agreement.

1.9. *Person*. “Person” means any legal entity or individual.

1.10. *Security Rule*. “Security Rule” means the Security Standards for the Protection of Electronic Protected Health Information contained in 45 CFR Parts 160 and 164, Subparts A and C.

1.11. *Personal Health Records*. “Personal Health Records” means electronic records of personal health information, regardless of whether the information has been created or received by Provider, health plan, employer, or health care clearinghouse, in order to distinguish it from individually identifiable health information that is created or received by Provider, health plan, employer, or health care clearinghouse. Personal Health Records includes the kinds of records managed, shared and controlled by or primarily for the Patient, but not records managed by or primarily for commercial enterprises, such as life insurance companies.

1.12. *Unsecured Protected Health Information*. “Unsecured Protected Health Information” and/or “Unsecured PHI” means information that is not secured through the use of a technology or methodology identified by the Secretary to render the Protected Health Information unusable, unreadable and undecipherable to unauthorized users.

2. Business Associate’s Obligations.

2.1. *Business Associate Subject to Same Standards and Same Penalties as Provider*. Business Associate will comply with the use and disclosure provisions of the Privacy Rule and the security standards regarding administrative, physical and technical safeguards of the Security Rule. As set forth in the HITECH Act, Business Associate will be subject to civil and criminal penalties for violation of the Privacy Rule or the Security Rule.

2.2. *Permitted Uses and Disclosures*. Business Associate shall use or disclose PHI solely as necessary to perform the services set forth in the Services Agreement, and as permitted or required by this Privacy Agreement or as required by law.

2.3. *Safeguards*. Business Associate shall use appropriate privacy and security measures to prevent the use or disclosure of PHI other than as permitted under this Privacy Agreement. Such measures shall include, but not be limited to: (i) implementing and maintaining appropriate administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of any EPHI that it creates, receives, maintains, or transmits on behalf of Provider, as required by the Privacy Rule and Security Rule; and (ii)

taking measures to ensure compliance with standards and implementation specifications with respect to the administrative, physical, and technical safeguards, as required by 45 C.F.R. §§ 164.308, 164.310, 164.312, and 164.316.

2.4. *Mitigation.* If Business Associate uses or discloses PHI in a manner other than as permitted under this Privacy Agreement, Business Associate shall use its reasonable best efforts to mitigate the effects of the use or disclosure. These efforts shall include, but are not be limited to, ensuring that the improper use of PHI is discontinued immediately, seeking return or destruction of the improperly disclosed PHI, and ensuring that any person to whom PHI was improperly disclosed will not re-disclose such information.

2.5. *Duty to Report.* Business Associate shall immediately notify Provider of any use or disclosure of PHI of which Business Associate is aware that is not expressly authorized under this Privacy Agreement, whether made by Business Associate, its employees, representatives, agents, or subcontractors. Business Associate shall also immediately notify Provider of any attempted or successful unauthorized access, use, disclosure, modification, or destruction of information, or interference with the system operations in an information system. Business Associate shall provide in such notice the remedial or other actions taken to correct the unauthorized use or disclosure.

2.6. *Agents.* Business Associate will ensure that any of its employees, agents, subcontractors, or other third parties with which Business Associate does business are aware of and are bound to abide by Business Associate's obligations under this Privacy Agreement.

2.7. *Access to Patient Record.* Business Associate understands that a Patient has the right to access the PHI in its Patient Record in accordance with 45 C.F.R. § 164.524. To provide Patients with access to Patient Records held by Business Associate, Business Associate agrees to provide access to, or copies of, any Patient Record upon request by Provider. Provider shall request access by giving at least 48 hours notice by facsimile, telephone, or electronic mail. Business Associate may charge Provider for the reasonable costs of copying only if Provider is allowed under state and federal law to recoup such costs from the Patient.

2.8. *Amendments to Patient Record.* Business Associate understands that a Patient may have the right to amend the PHI in its Patient Record. To provide Patients with the ability to amend PHI in Patient Records held by Business Associate, Business Associate agrees to make amendments to any Patient Record upon request of Provider. Business Associate shall make such amendment within 30 days of the written request of Provider.

2.9. *Duty to Document Disclosures.*

- a. Business Associate will document each disclosure it makes of PHI to any other person, including Provider. The documentation shall include:
 - i. The date of the disclosure;

- ii. The name of the person receiving the PHI, and, if known, the address of such person; and
 - iii. A brief statement of the purpose of the disclosure or, instead of such statement, a copy of the request for disclosure.
- b. Notwithstanding Section 2.9(a), Business Associate is not required to document the following disclosures:
- i. Unless otherwise required by Section 2.10, disclosures made for the purpose of, or incidental to, carrying out treatment, payment, or health care operations;
 - ii. Disclosures made prior to April 14, 2003;
 - iii. Disclosures made to provide the Patient with access to its PHI under Section 2.7;
 - iv. Disclosures made pursuant to a Patient's written authorization;
 - v. Disclosures required by law for national security or intelligence purposes;
 - vi. Disclosures to correctional institutions or law enforcement officials having lawful custody of a Patient;
 - vii. Disclosures made as part of a limited data set;
 - viii. Disclosures made to persons involved in the individual's care; and
 - ix. Disclosures made for notification purposes such as in an emergency.

2.10. *Accounting of Disclosures.* Business Associate understands that a Patient has the right to an accounting of disclosures of PHI. To provide Patients with such an accounting, Business Associate will make available the documentation Business Associate has collected in accordance with Section 2.9 upon written request of Provider. Business Associate shall provide the accounting within 30 days of receipt of Provider's request. If disclosures were made by Business Associate through the use of an electronic health record, the Patient has the right to receive an accounting of disclosures of personal health records made by Business Associate for treatment, payment, and health care operations during the previous 3 years.

2.11. *Minimum Necessary.* Business Associate represents and warrants that it will use and disclose PHI in accordance with the Privacy Rule's "minimum necessary" standards.

2.12. *Other Uses and Disclosures.* Business Associate will not use or disclose Protected Health Information in any manner that would not be permissible under the Privacy Rule or the Security Rule if used or disclosed by Provider.

2.13. *Books and Records and Internal Practices.* Business Associate agrees to make all internal practices, books, and records relating to the use and disclosure of PHI available to Provider or to the Secretary of the U.S. Department of Health and Human Services (the “Secretary”), in a time and manner designated by Provider or the Secretary for the purposes of the Secretary determining Provider’s compliance with the Privacy Rule and the Security Rule.

2.14. *Business Associate’s Obligations Regarding Unsecured Protected Health Information.* Business Associate shall comply with the following obligations that relate to Unsecured PHI.

- a. *Notification of Provider.* Business Associate will notify Provider of any Patient whose Unsecured PHI has been, or is reasonably believed by Business Associate to have been, inappropriately accessed, disclosed, or used. Such notification shall include the names and contact information of the Patients involved and shall be made without unreasonable delay, but in no case later than 30 days following discovery of such breach, unless delayed for law enforcement purposes.
- b. *Notification of Patient.* Business Associate will notify the Patient by first class mail or by e-mail (if the Patient has indicated a preference to receive information by e-mail) of any breaches of Unsecured PHI as soon as possible, but in any event, no later than 60 days following the discovery of the breach. Business Associate will obtain Provider’s approval of the form and content of the written notification before its issuance.
- c. *Posting Notice of Breach.* In the event the breach involves 10 or more Patients whose contact information is out of date, Business Associate will post a notice of the breach on the home page of its website or in a major print or broadcast media. Business Associate will obtain Provider’s approval of the form and content of the written notice before its posting.
- d. *Contacting Media Outlets.* If a breach involves more than 500 Patients in a single state or jurisdiction, Business Associate will send a notice to prominent media outlets. Business Associate will obtain Provider’s approval of the form and content of the written notice before its issuance to the media outlets.
- e. *Contents of Notice.* The notices required under this Section shall include the following:
 - i. A brief description of the breach , including the date of the breach and the date of its discovery, if known;

- ii. A description of the types of Unsecured PHI involved in the breach;
- iii. Steps the Patient should take to protect himself/herself from potential harm resulting from the breach;
- iv. A brief description of actions Business Associate is taking to investigate the breach, mitigate losses, and protect against further breaches; and
- v. Contact information, including a toll-free telephone number, e-mail address, website or postal address to permit Patient to ask questions or obtain additional information.

3. Obligations of Provider.

3.1. *Notice of Privacy Practices.* To the extent that such limitation or restriction may affect Business Associate's use or disclosure of PHI, Provider shall provide Business Associate with a copy of its Notice of Privacy Practices, and notify Business Associate of:

- a. Any limitation(s) in its Notice of Privacy Practices;
- b. Any changes in, or revocation of, permission by a Patient to use or disclose PHI; and
- c. Any restriction to the use or disclosure of PHI to which Provider has agreed, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

3.2. *Permissible Requests.* Provider shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if used or disclosed by Provider.

4. Term and Termination.

4.1. *Term.* The Term of this Privacy Agreement shall be effective as of the effective date of the Services Agreement and shall continue in effect until all obligations of the parties have been met, unless terminated by mutual agreement of the parties or as provided in Section 4.

4.2. *Termination for Cause.* Provider may immediately terminate this Privacy Agreement and the Services Agreement if, after providing Business Associate written notice of the existence of a material breach of this Privacy Agreement, Business Associate fails to, or is unable to, cure the breach upon mutually agreeable terms within 10 days.

4.3. *Effect of Termination.*

- a. Except as provided in Section 4.3(b), upon expiration or termination of the Services Agreement for any reason, Business Associate shall return or destroy all PHI, including PHI that is in the possession of subcontractor or agents of Business Associate. Business Associate shall retain no copies of PHI.
- b. To the extent that it is not feasible for Business Associate to return or destroy all PHI, then
 - i. Business Associate's obligations under this Privacy Agreement shall continue for as long as Business Associate maintains such PHI; and
 - ii. Business Associate's further uses and disclosures of PHI shall be limited to those purposes that make it not feasible for Business Associate to return or destroy the information for as long as Business Associate maintains such PHI.

5. Miscellaneous Provisions.

5.1. *Notice.* Notices, requests, and other communications that are required to be in writing must be personally delivered, mailed by prepaid certified mail, return receipt requested, or sent by overnight carrier, and must be addressed as follows. Such notice shall be effective upon being mailed or personally delivered.

If to Provider:

NAME
ADDRESS

If to Business Associate:

Forensis Technologies, LLC
4300 SW 73rd Ave., Suite 103
Miami, FL 33155

5.2. *Mutual Representation and Warranty.* Business Associate and Provider each represents and warrants to the other that all of its employees, agents, representatives, and members of its work force, whose services may be used to fulfill obligations under this Privacy Agreement and/or the Services Agreement, are or shall be appropriately informed of the terms of this Privacy Agreement and are under legal obligation to fully comply with all provisions of this Privacy Agreement.

5.3. *Business Associate Warranty.* To the extent required by law or regulations, Business Associate warrants that it has implemented a Red Flags Program in accordance with the Federal Trade Commission's Identity Theft Prevention Red Flags Rule, 16 CFR § 681.1 *et seq.*, or that it agrees to comply with Provider's Red Flags Program.

5.4. *No Third Party Beneficiaries.* Nothing express or implied in this Privacy Agreement is intended to confer, or shall confer, any rights, remedies, or liabilities upon any person other than Business Associate and Provider.

5.5. *Effect of Assignment.* This Privacy Agreement shall be binding upon and shall inure to the benefit of Business Associate and Provider and their respective transferees, successors and assigns, except that Business Associate shall not have the right to assign or transfer this Privacy Agreement, or Business Associate's rights and obligations hereunder, without Provider's prior written consent. Upon assignment or transfer of this Privacy Agreement, Business Associate shall return or destroy all PHI in accordance with the terms set forth in Section 4.3.

5.6. *Regulatory References.* A reference in this Privacy Agreement to a section in the Privacy Rule or the Security Rule or a term defined in the Privacy Rule or the Security Rule means the section or definition as in effect or as amended.

5.7. *Amendment.* Business Associate and Provider agree to take such action to amend this Privacy Agreement as is necessary for Provider to comply with the requirements of the Privacy Rule and the Security Rule.

5.8. *Survival.* The respective rights and obligations of Business Associate under this Privacy Agreement shall survive the termination of this Privacy Agreement and the Services Agreement.

5.9. *Interpretation.* Any ambiguity in this Privacy Agreement shall be resolved to permit Provider to comply with the Privacy Rule and the Security Rule.

5.10. *Captions and Headings.* The captions and headings in this Privacy Agreement are included for convenience and reference only, and shall in no way be held or deemed to define, limit, describe, explain, modify, amplify or add to the interpretation, construction or meaning of, or the scope or intent of, this Privacy Agreement.

IN WITNESS WHEREOF, Provider and Business Associate have executed or caused the execution of this Privacy Agreement as of the dates set forth below:

Provider:

COMPANY NAME

Signature: _____


Print Name: _____

Title: _____

Date: _____

Business Associate:

FORENSIS TECHNOLOGIES, LLC

Signature: 

Print Name: Bryant S. Hansen, J.D.

Title: CEO

Date