

Implementing a HIPAA-Compliant Electronic File Transfer Application for Reporting to the NY Citywide Immunization Registry

Amy Metroka, Shirley Huie, Angel Aponte, Fritzner Paul
NYC Department of Health and Mental Hygiene

Noam Arzt, Michael Berry
HLN Consulting, LLC

Alison Chi
Medical & Health Research Association of NYC, Inc.

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Objectives of Presentation

- Overview of NYC and the Citywide Immunization Registry (CIR)
- The CIR Web File Repository (WFR)
- Marketing and Training
- WFR Screens
- Results: Data on current WFR use
- Conclusions
- Planned Enhancements



Overview of NYC

- ~125,000 births annually
- ~1,250 pediatric provider sites
 - 104 public
 - ~1,146 private
- ~30 managed care organizations



Overview of CIR

- Mandatory reporting of immunizations administered to children age ≤ 7 years
 - Providers may report electronically on-line (child by child), or by batch through submitting file extracts
 - 123 provider sites submit file extracts
 - 60% of all reports



Overview of CIR

- Before May 2002, files were downloaded onto disks or tapes and mailed to vendor
 - Many steps and manual interventions required for processing
- End of May, CIR pulled handling of electronic submissions in-house.
 - Hired new vendor for key entry of paper forms – 30,000 forms per month are key entered and an electronic file is created



WFR

- A Web-based, electronic file transfer application – deployed in May, 2002
 - Enables providers to send files with patient data to CIR over the Internet
 - Enables key entry vendor to send large files (compressed zip) to CIR over the Internet
 - Encrypts data from sender's desk-top to the CIR's Web server



WFR

- HIPAA compliant
- Only Web browser software required on provider's desk-top
- Gives feedback to providers on status of file submissions



Purpose of WFR

- Reduce media-handling by CIR staff
- Internet-enable batch file reporting by providers
- Automate receipt and processing of files
- Comply with emerging HIPAA provisions:
 - encryption, files quickly swept to a protected server, authentication, audit trail
- Increase feedback to providers



Marketing and Training

- In-house training for CIR staff
- CIR staff used telephone and e-mail for all marketing and training
 - no site visits required



Marketing and Training



We help you call the shots!



Updated Sept. 2002

Important Changes for Sending Electronic Files to the CIR:

- As of May 20, 2002, electronic files must be sent directly to the NYC-CIR.
- Do not send electronic files to the address in Farmingdale, Long Island.
- We no longer will be accepting tape media.

- There are two methods for sending files:

(1) Via the Web File Repository (WFR): a secure and simple tool used for transferring (uploading) files from your computer to the CIR via the Internet. WFR encrypts patient data for electronic transfer to the CIR, in accordance with the new proposed HIPAA Security Rule. This method for sending files is recommended, since you will no longer need to use diskettes or tapes, and you will be able to track your files and obtain feedback. Please see the attached WFR Guide.

- OR -

(2) Via mail:

By mail:

Citywide Immunization Registry (CIR)
New York City Department of Health
125 Worth Street, CN #64R
New York, New York 10013-4089
Attn: Fritzner Paul

By courier service:

Citywide Immunization Registry (CIR)
New York City Department of Health
2 Lafayette Street, 19th Floor
New York, New York 10007
Attn: Fritzner Paul

For Information and Technical Assistance: 212-676-2323

- If you send us **Paper Forms**, please note the **new** mailing address:

New York Citywide Immunization Registry
P.O. Box 90490
Binghamton, NY 13902

Visit Us Online! nyc.gov/healthy/cir



Michael R. Bloomberg, Mayor
City of New York
Thomas R. Frieden, M.D., M.P.H., Commissioner,
Department of Health and Mental Hygiene
THE NEW YORK CITY DEPARTMENT OF HEALTH AND MENTAL HYGIENE

The Citywide Immunization Registry 125 Worth St. CN #64R, New York, NY 10013 - (212) 676-2323 - fax (212) 676-2314

Page 1 of 3

New York City - Citywide Immunization Registry WFR - Basic Guide

updated Sept. 2002



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Web File Repository Basics Guide

1. Contact the Citywide Immunization Registry (CIR) to obtain a User Name and Password at: 212-676-2323.

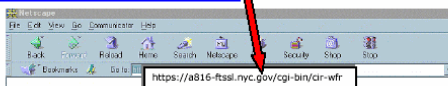
2. Prerequisites:

- Internet account set up through an Internet Service Provider, such as Earthlink, MSN, AT&T, Juno, AOL, or an "always-on" internet service provided by your organization.
- Internet Browser, such as Netscape Navigator or Internet Explorer

3. Log In:

- Log onto the internet.
- Make sure a browser is open or open one by clicking on your Netscape Navigator or Internet Explorer icon.
- Type in the address below in the address window:

<https://a816-ftssl.nyc.gov/cgi-bin/cir-wfr>



- A Log In screen will open. Enter your CIR WFR Login Username and then your Password. Click the "Login" button.

Page 2 of 3

New York City - Citywide Immunization Registry WFR Basic Guide

updated Sept. 2002

4. Uploading Files:

After successful Log In, you should see a Welcome screen with your User Name, similar to this:

The user may change the password here, by clicking on the Password Button **Password** in the left-hand column, and following the directions.

To upload your files to the UPIF Files folder of the CIR:

- First click on the Browse button **Browse...** (near the top of the screen) and browse your directories to select your file(s). Once you have located your file(s), click on the Upload Button **Upload** to upload your file(s) into the UPIF Files folder of the CIR. The UPIF folder is the default. You may upload as many files as you need. If you large files or many files, you may submit a zipped file. Our system will accept compressed files, such as zip and tar. Each file should be no larger than 1MB.
- If your Upload is successful, you will see your file(s) listed, along with the Status and Timestamp. The file will be automatically processed after about 5 minutes, and the Status will change. See example, below.

5. Obtain Feedback:

After you see the Status change from Pending to a different message, click on the file name to view the file processing results. Please call us if you need any further details about your files.

6. To Log Out:

Click on the Logout Button **Logout** in the left-hand column.

Page 3 of 3



Log In Screen

<https://a816-ftssl.nyc.gov/cgi-bin/cir/wfr>

Web File Repository

File Edit View Go Communications

Back Forward Reload Home My Print Security Shop Stop

Bookmarks Go to: <https://a816-ftssl.nyc.gov/cgi-bin/cir/wfr> What's Related

CIR Web File Repository

1.0 r5 07/30/2002
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LLC
Release Notes

Please log in.
Please enter your username and password.

Username:

Password:

Login

Document: Done



Uploading Files (Step1: Browse)

CIR Web File Repository

User: Fake Practice

Upload **Browse...** To **UIF** **Upload**

Folder/Filename	Status	Timestamp
UIF		
-- No Files --		

File Upload

Look in:

U0100X01.001

File name: **Open**

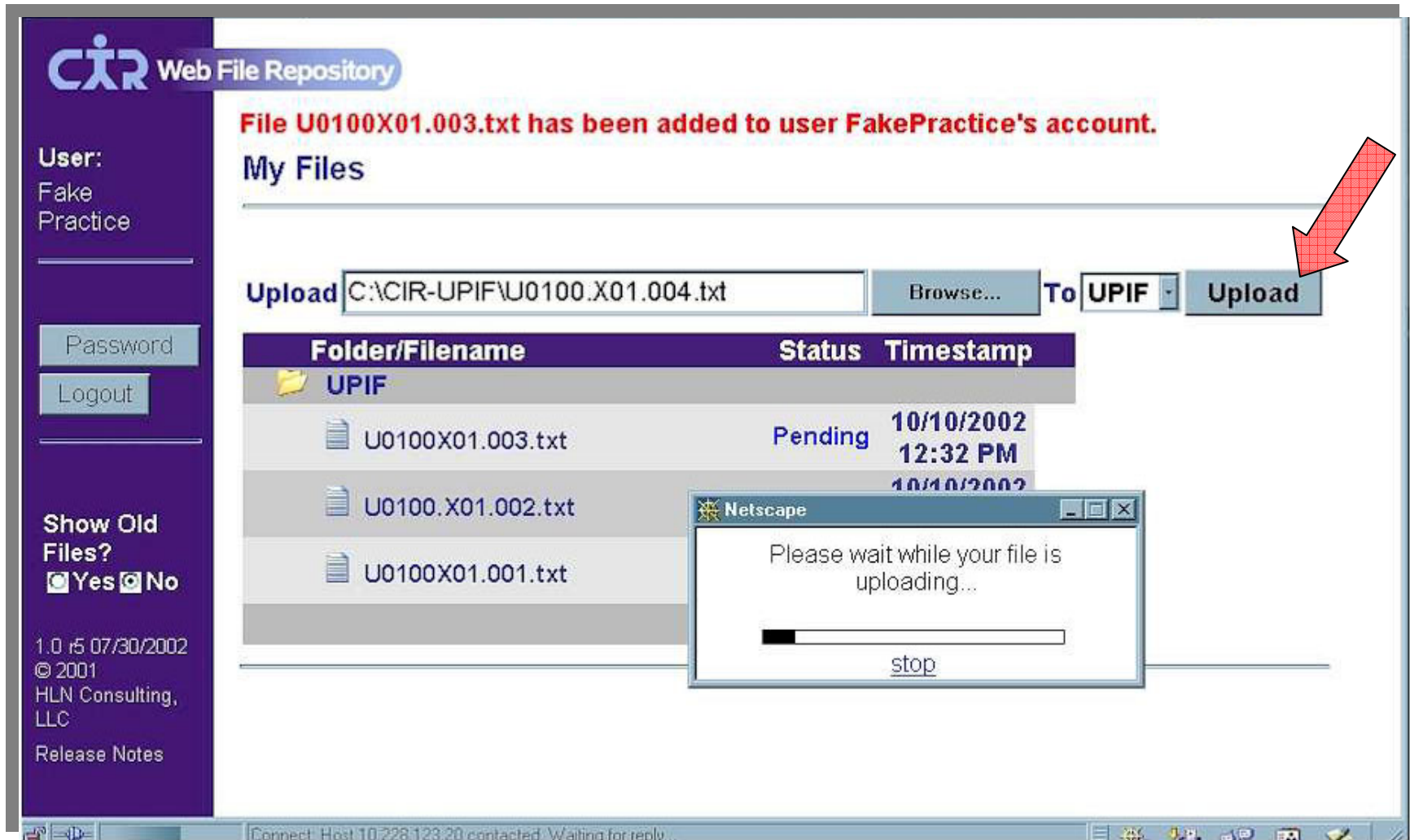
Files of type: **Cancel**

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Document: Done



Uploading Files (Step 2: Upload)



CIR Web File Repository

User:
Fake
Practice

Password
Logout





Show Old Files?
☒ Yes ☐ No


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File U0100X01.003.txt has been added to user FakePractice's account.

My Files

Upload Browse... To **UIP** Upload

Folder/Filename	Status	Timestamp
 UIP		
 U0100X01.003.txt	Pending	10/10/2002 12:32 PM
 U0100.X01.002.txt		10/10/2002
 U0100X01.001.txt		

Netscape
Please wait while your file is uploading...

[stop](#)

Connect: Host 10.228.123.20: contacted: Waiting for reply...



File Status & Feedback

The screenshot displays the CIR Web File Repository interface. On the left is a purple sidebar with user information and navigation links. The main area shows a 'My Files' section with an upload form and a table of files. A file named 'U0100X01.003.txt' is highlighted with a 'Submitted' status. An arrow points to this status. Below the table, a Netscape browser window is open, displaying the 'UBL Log for file: U0100X01.003.txt'. The log shows a 'PREPROC REJECTED' status with a message: 'The submitted UPIF file format was bad.'

CIR Web File Repository

User: Fake Practice

Upload Browse... To **UPIF** Upload

Folder/Filename	Status	Timestamp
UPIF		
U0100X01.005.txt	Submitted	10/10/2002 03:44 PM
U0100X01.004.txt	Submitted	10/10/2002
U0100X		
U0100X		
U0100X		

UBL Log for file: U0100X01.003.txt

Oct 10 12:35:08 UPIF Preprocessed File: 20021010123507_U0100X01.003.txt_92A2A - status: **PREPROC REJECTED**
Message: The submitted UPIF file format was bad.

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Release Notes

Document: Done



Data on current use by provider sites

Method of reporting	#	%
using WFR	71	(58%)
sending diskettes, CD-ROMs	39	(32%)
not reporting (need more intensive outreach)	13	(10%)
Provider sites submitting files	123	(100%)



Current Use

- Key entry vendor submitting large volumes of data using WFR
 - Sample file size: 455 kb → 51kb
[9 : 1 compression ratio]
 - Average # of sites submitted (files) per upload: 42
 - Frequency: Bi-weekly



Conclusions

- ✓ Uptake successful, but further effort is required
 - ✓ Barriers: no Internet access (15 sites)
 - ✓ Providers report WFR is easy to use
 - like feedback
- ✓ Receipt and handling of electronic file submissions significantly streamlined for CIR staff



Conclusions

- ✓ A Web-based, HIPAA-compliant application for electronic reporting has potential for adoption by a large # of providers
 - ✓ Also useful to MCOs, other agencies for data exchange
- ✓ Use of this type of application streamlines processing of large volumes of electronic data by registries



Planned Enhancements

- Push feedback on status of file submissions via e-mail
 - Give more detailed feedback
- Create automated interface for WFR



Contact Information

Citywide Immunization Registry,
NYC Dept. of Health and Mental Hygiene

Amy Metroka, Director

ametroka@health.nyc.gov

<http://www.nyc.gov/health/cir>

