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.

2002 Immunization Registry Conference, Philadelphia, PA. October 28-30, 2002

NYC Health

CiR Citywide Immunization Registry

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 $\leq$ 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
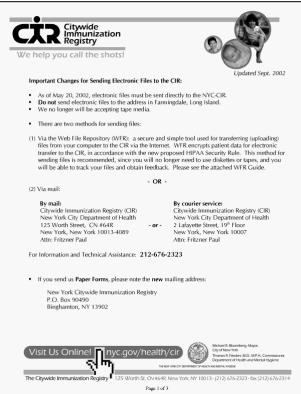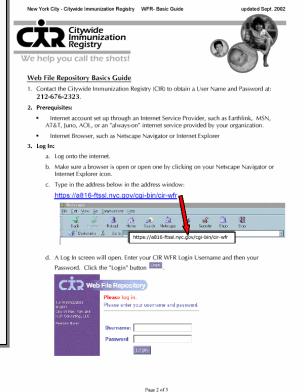
- Increase feedback to providers

Marketing and Training

- In-house training for CIR staff

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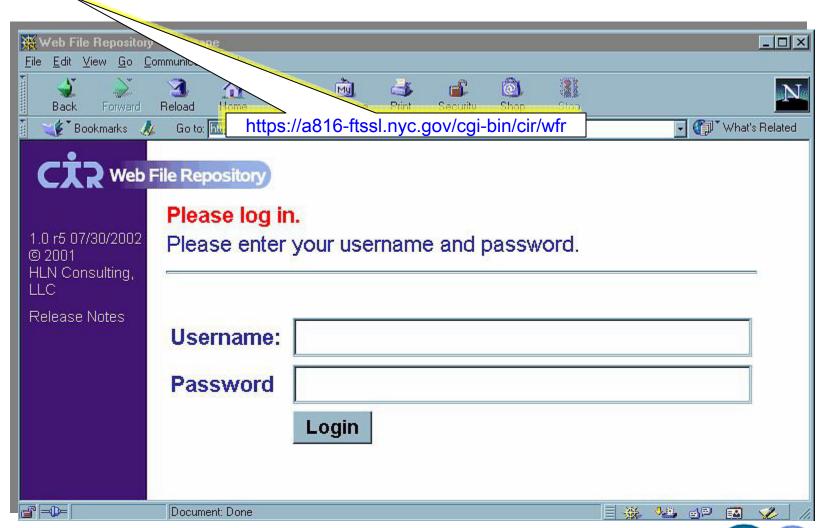
  - no site visits required

Marketing and Training

Log In Screen

Uploading Files (Step1: Browse)
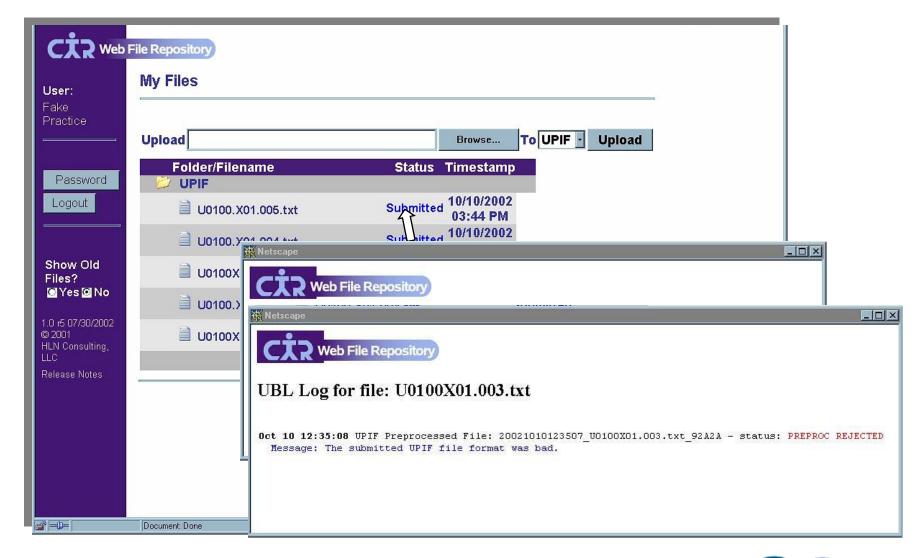
Uploading Files (Step 2: Upload)

File Status & Feedback

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