

## **2 PRIVACY**

This Policy describes standards for the privacy of personal information collected and stored in the Alaska Homeless Management Information System (AKHMIS), as well as personal information collected for the purposes of the Coordinated Entry Systems for the two Continuums of Care (AK CoCs) across the State of Alaska – Anchorage CoC and Balance of State CoC. The standards seek to protect the confidentiality of personal information while allowing for reasonable, responsible, and limited uses and disclosures of data. This Privacy Policy (hereinafter referred to as “Policy”) is based on principles of fair information practices recognized by the information privacy and technology communities. This Policy defines the privacy standards that will be required of any organization within the State of Alaska that records, uses, or processes protected personal information (PPI) on clients at risk of or experiencing homelessness for the AKHMIS and / or the CoCs Coordinated Entry System (CES) process. Organizations must also comply with federal, state, and local laws that require additional confidentiality protections, where applicable. This Policy recognizes the broad diversity of organizations that participate in the AKHMIS and / or the CES processes and the differing programmatic and organizational realities that may demand a higher standard for some activities. Some organizations (e.g., those serving victims of domestic violence) may choose to implement higher levels of privacy standards because of the nature of the clients they serve and / or service provision. Others (e.g., large emergency shelters) may find higher standards overly burdensome or impractical. At a minimum, however, all organizations must meet the privacy standards described in this Policy. This approach provides a uniform floor of protection for clients at risk of or experiencing homelessness with the possibility of additional protections for organizations with additional needs or capacities. The following sections discuss the Alaska Continuums of Care Statewide Privacy Policy (AK CoC Statewide Privacy Policy).

### **2.1 ALASKA COC STATEWIDE PRIVACY POLICY (AK COC STATEWIDE PRIVACY POLICY) DEFINITIONS**

**Protected Personal Information (PPI):** Any information maintained by or for a Covered Homeless Organization about a client at-risk of or experiencing homelessness that: (1) identifies, either directly or indirectly, a specific individual; (2) can be manipulated by a reasonably foreseeable method to identify a specific individual; or (3) can be linked with other available information to identify a specific individual.

**Coordinated Entry System (CES):** a process developed to ensure that all people experiencing a housing crisis have fair and equal access and are quickly identified, assessed for, referred, and connected to housing and assistance based on their strengths and needs.

**Covered Homeless Organization (CHO):** Any organization (including its employees, volunteers, affiliates, contractors, and associates) that records, uses, or processes PPI on clients at risk of or experiencing homelessness for an HMIS or CES. This definition includes organizations that have direct access to the AKHMIS and/or the AK CoCs CES and those that do not have direct access to the AKHMIS but do record, use, or process PPI.

**Processing:** Any operation or set of operations performed on PPI, whether or not by automated means, including but not limited to collection, maintenance, use, disclosure, transmission, and destruction of the information.

**AKHMIS and CES Uses and Disclosures:** The uses and disclosures of PPI that are allowed by this Policy.

**Uses and Disclosures:** Uses are internal to a CHO involving interaction with PPI. Disclosures are activities in which a CHO shares PPI externally.

**SCOPE & APPLICABILITY** This Policy applies to any homeless assistance organization that records, uses, or processes protected personal information (PPI) for the AKHMIS and / or an AK CoCs’ CES. A provider that meets this definition is referred to as a Covered Homeless Organization (CHO).

**HIPAA CONSIDERATIONS** All Partner Agencies are expected to uphold federal, state, and local confidentiality regulations to protect records and privacy. The HIPAA regulations

prevail if an agency is covered by the Health Insurance Portability and Accountability Act (HIPPA). ALLOWABLE AKHMIS AND CES USES, AND DISCLOSURES OF PROTECTED PERSONAL INFORMATION (PPI) Client consent for any uses and disclosures defined in this section is assumed when organizations follow HUD HMIS Standards for notifying clients of privacy policies. A CHO may use or disclose PPI from the AKHMIS and/or the CoCs' CES under the following circumstances: • To provide or coordinate services for an individual or household; • For functions related to payment or reimbursement for services; • To carry out administrative functions, including but not limited to legal, audit, personnel, oversight, and management functions; • When required by law; • For research and/or evaluation; or • For creating de-identified client-level data.

CHOs, like other institutions that maintain personal information about individuals, have obligations that may transcend the privacy interests of clients. The following additional uses and disclosures recognize those obligations to use or share personal information by balancing competing interests in a responsible and limited way. Under this Policy, these additional uses and disclosures are permissive and not mandatory (except for first-party access to information and any required disclosures for oversight of compliance with this Policy). However, nothing in this Policy modifies an obligation under applicable law to use or disclose personal information. Uses and disclosures required by law. A CHO may use or disclose PPI when required by law to the extent that the use or disclosure complies with and is limited to the requirements of the law. Uses and disclosures to avert a serious threat to health or safety. A CHO may, consistent with applicable law and standards of ethical conduct, use or disclose PPI if: • The CHO, in good faith, believes the use or disclosure is necessary to prevent or lessen a serious and imminent threat to the health or safety of an individual or the public; and • The use or disclosure is made to a person reasonably able to prevent or lessen the threat, including the target of the threat. Uses and disclosures about victims of abuse, neglect, or domestic violence. A CHO may disclose PPI about an individual whom the CHO reasonably believes to be a victim of abuse, neglect or domestic violence to a government authority (including a social service or protective services organization) authorized by law to receive reports of abuse, neglect or domestic violence under the following circumstances: • Where the disclosure is required by law and the disclosure complies with and is limited to the requirements of the law; • If the individual agrees to the disclosure; or • To the extent that the disclosure is expressly authorized by statute or regulation; and the CHO believes the disclosure is necessary to prevent serious harm to the individual or other potential victims; or if the individual is unable to agree because of incapacity, a law enforcement or other public official authorized to receive the report represents that the PPI for which disclosure is sought is not intended to be used against the individual and that an immediate enforcement activity that depends upon the disclosure would be materially and adversely affected by waiting until the individual is able to agree to the disclosure. A CHO that makes a permitted disclosure about victims of abuse, neglect, or domestic violence must promptly inform the individual that a disclosure has been or will be made, except if: • The CHO, in the exercise of professional judgment, believes informing the individual would place the individual at risk of serious harm; or • The CHO would be informing a personal representative (such as a family member or friend), and the CHO reasonably believes the personal representative is responsible for the abuse, neglect or other injury, and that informing the personal representative would not be in the best interests of the individual as determined by the CHO, in the exercise of professional judgment. Uses and disclosures for academic research or evaluation purposes. A CHO may use or disclose PPI for academic research or evaluation conducted by an individual or institution that has a formal relationship with the CHO if the research/evaluation is conducted either • By an individual employed by or affiliated with the

research/evaluation entity where the research/evaluation project is conducted under a written research/evaluation agreement approved in writing by a program administrator (other than the individual conducting the research/evaluation) designated by the CHO or • By an institution for use in a research/evaluation project conducted under a written research/evaluation agreement approved in writing by a program administrator designated by the CHO. A written research/evaluation agreement must:

- Establish rules and limitations for the processing and security of PPI in the course of the research/evaluation;
- Provide for the return or proper disposal of all PPI at the conclusion of the research/evaluation;
- Restrict additional use or disclosure of PPI, except where required by law; and
- Require that the recipient of data formally agree to comply with all terms and conditions of the agreement.

A written research/evaluation agreement is not a substitute for approval of a research project by an Institutional Review Board, Privacy Board, or other applicable human subjects protections. Any research/evaluation on the nature and patterns of homelessness (at the CoC-wide or system-wide level) that uses PPI AKHMIS data will take place within the bounds of specific agreements between researchers and the entity that administers the AKHMIS. These agreements must be approved by the Executive Committee(s) of the Board(s) of Director(s) for the applicable CoC(s) and must reflect adequate standards for the protection of confidentiality of data. Disclosures for law enforcement purposes. A CHO may, consistent with applicable law and standards of ethical conduct, disclose PPI for a law enforcement purpose to a law enforcement official under any of the following circumstances:

- In response to a lawful court order, court-ordered warrant, subpoena, or summons issued by a judicial officer, or a grand jury subpoena;
- If the law enforcement official makes a written request for protected personal information that:
  - Is signed by a supervisory official of the law enforcement organization seeking the PPI;
  - States that the information is relevant and material to a legitimate law enforcement investigation;
  - Identifies the PPI sought;
  - Is specific and limited in scope to the extent reasonably practicable in light of the purpose for which the information is sought; and
  - States that de-identified information could not be used to accomplish the purpose of the disclosure.
- If the CHO believes in good faith that the PPI constitutes evidence of criminal conduct that occurred on the premises of the CHO;
- In response to a verbal request for the purpose of identifying or locating a suspect, fugitive, material witness, or missing person and the PPI disclosed consists only of name, address, date of birth, place of birth, Social Security Number, and distinguishing physical characteristics; or
- If the official is an authorized federal official seeking PPI for the provision of protective services to the President or other persons authorized by 18 U.S.C. 3056, or to foreign heads of state or other persons authorized by 22 U.S.C. 2709(a)(3), or for the conduct of investigations authorized by 18 U.S.C. 871 and 879 (threats against the President and others); and the information requested is specific and limited in scope to the extent reasonably practicable in light of the purpose for which the information is sought.

**PRIVACY REQUIREMENTS** All CHOs involved with the AKHMIS and / or the AK CoCs CES must comply with the privacy requirements described in this document with respect to:

- Data collection limitations;
- Data quality;
- Purpose and use limitations;
- Openness;
- Access and correction; and
- Accountability.

A CHO must comply with federal, state, and local laws that require additional confidentiality protections. All additional protections must be described in the CHO's privacy notice. A CHO must comply with all privacy protections in this Notice and with all additional privacy protections included in its privacy notice, where applicable.

A CHO may maintain a common data storage medium with another organization (including but not limited to another CHO) that includes sharing PPI. When PPI is shared between organizations,

responsibilities for privacy may reasonably be allocated between the organizations. Organizations sharing a common data storage medium and PPI may adopt differing privacy policies as they deem appropriate, administratively feasible, and consistent with this Policy, which allows for the de-duplication of clients at risk of or experiencing homelessness at the CoC level. COLLECTION LIMITATION A CHO may collect PPI only when appropriate to the purposes for which the information is obtained or when required by law. A CHO must collect PPI by lawful and fair means and, where appropriate, with the knowledge of the individual. A CHO must post a sign at each intake desk (or comparable location) that explains generally the reasons for collecting this information (Alaska CoC Statewide Consumer Notice). Consent of the individual for data sharing may be assumed when the Alaska CoC Statewide Consumer Notice is properly displayed according to this Policy. CONSENT FOR HOUSEHOLDS Except for RHY-funded and YHDP-funded projects, consent for data sharing for a minor in a household may be assumed when the Alaska CoC Statewide Consumer Notice is properly displayed according to this Policy and the parent or legal guardian of the minor is present. Consent for sharing data for some household members may be denied even if there is consent to share data for other members of the household. CONSENT FOR ADULT INDIVIDUALS WHO HAVE A LEGAL GUARDIAN Except for RHY-funded and YHDP-funded projects, consent of the guardian on behalf of the individual for data sharing may be assumed when the Alaska CoC Statewide Consumer Notice is properly displayed according to this Policy and the guardian is present. The guardian may deny consent for sharing the individual's data with other Organizations. DATA QUALITY PPI collected by a CHO must be relevant to the purpose for which it is to be used. To the extent necessary for those purposes, PPI entered into AKHMIS should be accurate, complete, and timely, as defined by the AKHMIS Data Quality Plan. A CHO must develop and implement a plan to dispose of or remove identifiers from PPI that are not in current use seven years after the PPI was created or last changed (unless a statutory, regulatory, contractual, or other requirement mandates longer retention). PURPOSE SPECIFICATION AND USE LIMITATION A CHO may use or disclose PPI only if the use or disclosure is allowed by this Policy. A CHO may assume consent for all uses and disclosures specified in this Policy and for uses and disclosures determined by the CHO to be compatible with those specified in this Policy. This Policy limits the disclosure of PPI to the minimum necessary to accomplish the purpose of the disclosure. Uses and disclosures not specified in this Notice can be made only with the consent of the client or when required by law. A CHO processing PPI for the purposes of the AKHMIS and / or the AK CoCs CES will agree to additional restrictions on the use or disclosure of the client's PPI at the request of the client, where it is reasonable to do so. This can include, but is not limited to, the following additional restrictions: • Entering client PPI into the AKHMIS so that it is not shared with any other CHO, or • Using de-identified client information when coordinating services through the AK CoCs CES processes. In the exercise of professional judgment, a CHO will communicate with a client who has requested additional restrictions when it is reasonable to agree to these and alternatives in situations where it is not reasonable. OPENNESS A CHO must adhere to this Policy describing its practices for processing PPI and provide a copy of this Policy to any individual upon request. If a CHO maintains a public web page, the CHO must post the current version of this policy on the web page. A CHO must post the Alaska CoC Statewide Consumer Notice stating the availability of this Policy to any individual who requests a copy. This Policy may be amended at any time, and amendments may affect PPI obtained by a CHO before the date of the change. An amendment to this Policy regarding use or disclosure will be effective with respect to information processed before the amendment unless otherwise stated. In addition, CHOs that are recipients of federal financial assistance shall provide required information in languages other than English that are common in the community if speakers of these languages are found in significant

numbers and come into frequent contact with the program. See HUD Limited English Proficiency Recipient Guidance published on December 18, 2003 (68 FR 70968).

**ACCESS AND CORRECTION** In general, a CHO must allow an individual to inspect and to have a copy of any PPI about the individual. A CHO must offer to explain any information that the individual may not understand. A CHO must consider any request by an individual for correction of inaccurate or incomplete PPI pertaining to the individual. A CHO is not required to remove any information but may, in the alternative, mark information as inaccurate or incomplete and may supplement it with additional information. A CHO may reserve the ability to rely on the following reasons for denying an individual inspection or copying of the individual's PPI:

- Information compiled in reasonable anticipation of litigation or comparable proceedings;
- Information about another individual (other than a health care or homeless provider);
- Information obtained under a promise of confidentiality (other than a promise from a health care or homeless provider) if disclosure would reveal the source of information; or
- Information, the disclosure of which would be reasonably likely to endanger the life or physical safety of any individual.

A CHO can reject repeated or harassing requests for access or correction. A CHO denying an individual's request for access or correction must explain the reason for the denial to the individual and include documentation of the request and the reason for the denial as part of the PPI about the individual.

**ACCOUNTABILITY** A CHO must establish a procedure for accepting and considering questions or complaints about this Policy. A CHO must require each member of its staff (including employees, volunteers, affiliates, contractors, and associates) to sign a confidentiality agreement that acknowledges receipt of a copy of this Policy and that pledges to comply with this Policy.

**SPECIAL CONSIDERATION FOR RHY-FUNDED AND YHDP-FUNDED PROVIDERS** This section addresses special considerations for Runaway and Homeless Youth (RHY) Program and Youth Homelessness Demonstration Program (YHDP) service providers, per the YHDP Program HMIS Manual and the RHY Program HMIS Manual.

**NO CONSENT REQUIRED FOR DATA COLLECTION** Data collection is the process of collecting and entering information into the AKHMIS and/or the AK CoCs CES by RHY and YHDP program staff. All RHY and YHDP projects are required to collect specific data elements, including the HUD Universal Data Elements and program-specific data elements for the project for which they receive funding (Street Outreach Program, Basic Center Program, Transitional Living Program). The Runaway and Homeless Youth Act requires that a RHY grantee "keep adequate statistical records profiling the youth and family members whom it serves (including youth who are not referred to out-of-home shelter services)." RHY grantees are not required to obtain youth or parental consent to collect and enter youth data into the AKHMIS and/or the AK CoCs CES.

**CONSENT NEEDED FOR DATA SHARING** Data sharing refers to sharing client information per the Policy in this document. For RHY and YHDP grantees, data can only be shared if written consent is obtained from the parent or legal guardian of a youth under age 18 or with written consent from a youth 18 or older. The RHY rule states the following regarding data sharing: Pursuant to the Act, no records containing the identity of individual youth served by a Runaway and Homeless Youth grantee may be disclosed except:

- For Basic Center Program (BCP) grants, records maintained on individual youth shall not be disclosed without the informed consent of the youth and parent or legal guardian to anyone other than another organization compiling statistical records, or a government organization involved in the disposition of criminal charges against the youth;
- For Transitional Living Programs (TLP), records maintained on individual youth shall not be disclosed without the informed consent of the youth to anyone other than an organization compiling statistical records;
- Research, evaluation, and statistical reports funded by grants provided under section 343 of the Act are allowed to be based on individual youth data, but only if such data are de-identified in ways that preclude disclosing information on identifiable youth;
- Youth

served by a Runaway and Homeless Youth grantee shall have the right to review their records; to correct a record or file a statement of disagreement; and to be apprised of the individuals who have reviewed their records; • The Department of Health and Human Services (HHS) policies regarding confidential information and experimentation and treatment shall not apply if HHS finds that state law is more protective of the rights of youth; • Procedures shall be established for the training of RHY program staff in the protection of these rights and for the secure storage of records. 45 CFR § 1351.21.