1. **Policy: Incident Response and Mitigation**

>   KHIE will implement policies and procedures for establishing communications in response to events that are potential incidents; mitigating the adverse effects of incidents; and providing notifications regarding incidents, as required by federal and state laws.

1.1   Incident Response Team. KHIE will utilize its own Issues Task Force, the Cabinet for Health and Family Services' (hereafter, CHFS) Privacy Officer and the Office of Application Technology's (hereafter, OATS) Security Team to manage incident response and mitigation.

>   1.1.1   Issues Task Force is made up of the KHIE Deputy Executive Director; KHIE Division Director; KHIE Project Manager; KHIE PM (Onboarding); KHIE Technical Lead; KHIE PM (Outreach Coordinators); KHIE PM (Public Health Reporting); OATS Branch Manager (Electronic Records Info Systems Branch, ERISB); Information Security Analyst (OATS Security); Security System Architect (OATS Security); KYIR PM; HIE Vendor Representative.

Procedure

1.   To investigate and mitigate a given incident, KHIE will utilize its Issues Task Force, the CHFS Privacy Officer, and the OATS Security team and, in addition, may appoint or request assistance from KHIE staff, Participant's staff, OATS contractors, and the KHIE vendor.

1.2   **Discovering and Reporting of Potential Incidents.**

>   1.2.1   **Discovery by KHIE Staff, OATS Contractors, KHIE Business Associates, or KHIE HIE Vendor.** Anyone who discovers or receives information about or is responsible for a potential incident must immediately report the event to the KHIE Deputy Executive Director and/or the KHIE Division Director, either of whom will convene the Issues Task Force to initiate mitigation.
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>   Issues Task Force is made up of the KHIE Deputy Executive Director; KHIE Division Director; KHIE Project Manager; KHIE PM (Onboarding); KHIE Technical Lead; KHIE PM (Outreach Coordinators); KHIE PM (Public Health Reporting); OATS Branch Manager (Electronic Records Info Systems Branch, ERISB); Information Security Analyst (OATS Security); Security System Architect (OATS Security); KYIR PM; HIE Vendor Representative.

Procedure

1. Whoever discovers the incident shall report it to the KHIE Deputy Executive Director and the KHIE Division Director.

2. The KHIE Deputy Executive Director and/or KHIE Division Director shall convene the Issues Task Force.
3. The KHIE Division Director shall notify the CHFS Chief Privacy Officer.
4. OATS Branch Manager shall report the potential incident to the OATS Security Team which will engage the Incident Response Team. The OATS Security/Incident Response Team will take the lead to investigate and mitigate the incident and will provide guidance until the incident is resolved.
5. The KHIE HIE vendor will conduct the necessary system monitoring audits and investigations.

1.2.2 **Discovery by Participant Staff, Participant Business Associates, or Subcontractors.** Each Participant shall establish procedures for reporting potential incidents within its organization. A Participant aware of a potential incident involving KHIE or confidential information belonging to or entrusted to KHIE must report the event to KHIE within five (5) business days.

Procedure

1. The Participant's Privacy Officer, Security Officer, or other incident response point of contact, in accordance with the Participant's own policies and procedures, shall investigate and conduct an incident risk assessment and begin mitigating the incident.

Review/Revised: 05-16-2024

Review Cycle
Timeline: Annual
Effective Date: 07-01-2023

KHIE
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