PHI Audit User Guide

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PHI Audit Overview

Only community users with selected roles can access PHI Audit. For questions about PHI Audit access, contact your community administrator.

The PHI Audit application enables you to audit:

- Access to operations on a selected patient's data
- A selected user's access to, and operations on, patient data

The purpose of the audit tool is to review users' accesses of Protected Health Information to verify accesses are in line with HIPAA requirements.

PHI Audit allows you to:

- Audit a specific patient's data to retrieve information about auditable actions that have been performed on the data.
- Audit a specific user's actions to determine whose data they have accessed, and which auditable actions they performed on the data.

Auditable Actions

PHI Audit retrieves information associated with actions described in the following table. You can select one or more actions when you create an audit.

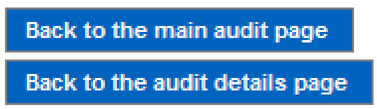
Audit Type	Audited Action	Description
Patient	Patient Search Results	Includes the search results from which the patient was selected.
Patient	Patient Consent	Displays the consent selection that was selected for access to patient data.
Patient	Patient Opt In	Indicates if the Opt In setting was changed.
Patient	Patient Opt Out	Indicates if the Opt Out setting was changed.
Patient	Patient PHI Access	Displays the viewed patient data.
User	Patient Consent	Displays the consent selection the user selected to access patient data.
User	Patient Search Criteria	Audits the criteria used to search for a patient.
User	Patient Search Results	Audits the search results from which the user selected a patient.

User	Patient Opt In	Indicates if the user changed the Opt In setting.
User	Patient Opt Out	Indicates if the user changed the Opt Out setting.
User	Patient PHI Access	Indicates which tabs of patient data the user accessed.

Navigating the PHI Audit Dashboard

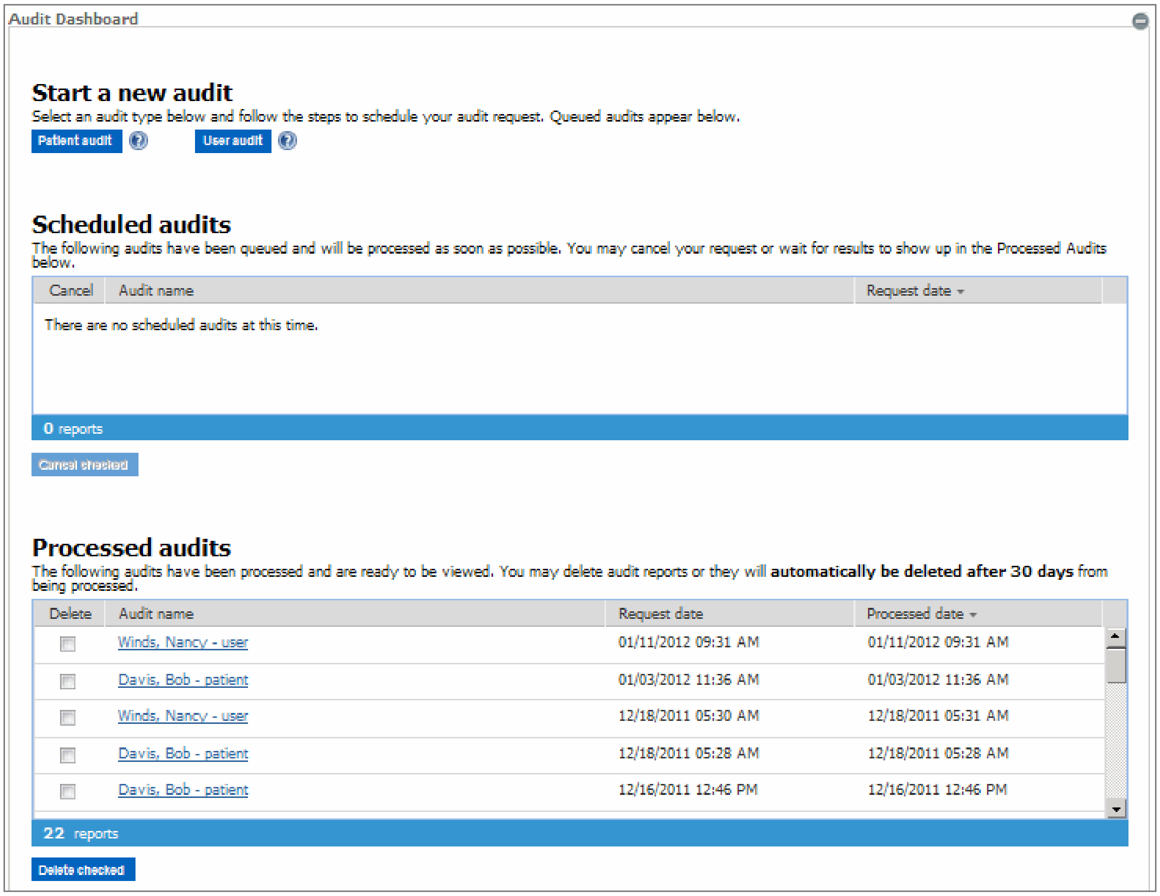
Important: As you perform tasks with the PHI Audit Dashboard, **use the application's buttons to navigate**. Do not use your browser's back button. If you use your browser's back button for navigation, you may be returned to your healthcare community home page.

Examples of application buttons:



You can quickly initiate audit tasks from the Audit Dashboard window. To access tasks, scroll up or down the window as required to reach the section that supports the tasks you want to perform.

In sections that display information in columns, you can sort the information by clicking column headings. Multiple clicks on a heading toggle the sort order between ascending and descending sequence.



The *Start a new audit* section provides access to two wizards used to create patient or user audits. For details, refer to:

- Create a Patient Audit
- Create a User Audit

The Scheduled audits section allows you to view or cancel audits that have not been submitted for system processing. For details, refer to View or Cancel Scheduled Audits.

The *Processed audits* section allows you to view and delete processed audits. For details, refer to:

- View a Processed Audit
- Download Audit Data as CSV
- Delete Processed Audits

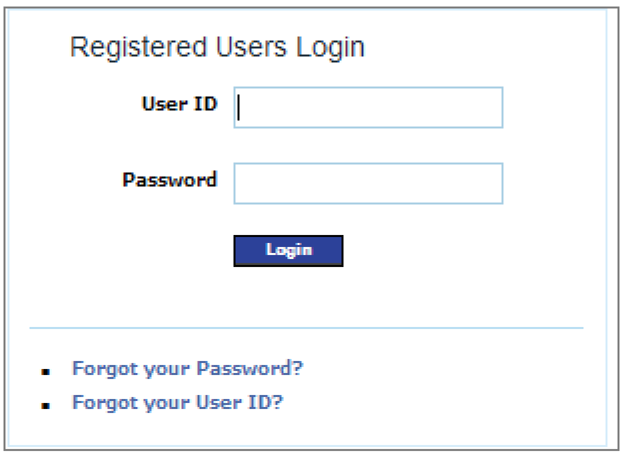
Access PHI Audit

Only community users with selected roles can access PHI Audit. For questions about PHI Audit access, contact your community administrator.

The method used to access PHI Audit can vary depending on your system configuration. If you are not sure how to navigate to PHI Audit, contact your community administrator.

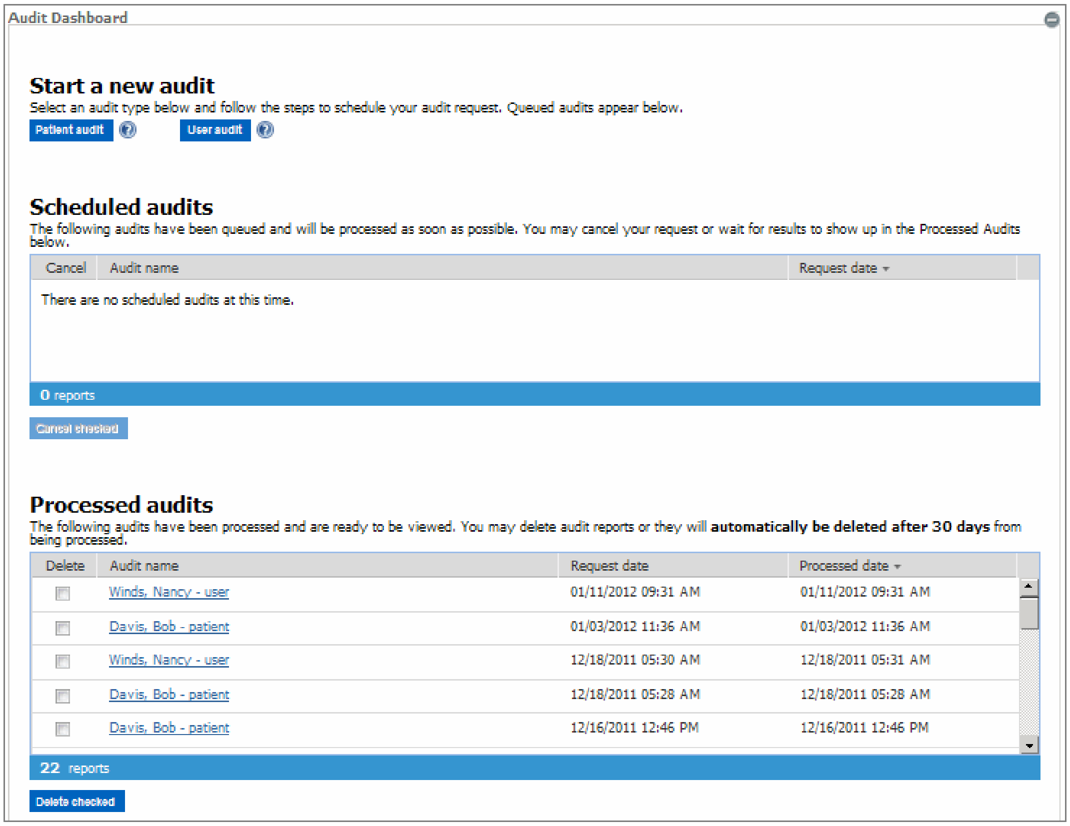
Perform the following steps to access PHI Audit:

1. Access your health care community using the URL provided by your organization. Your healthcare community login page displays.



2. Enter your User ID and Password, then click **Login**. Your health care community home page displays.
3. Navigate to the PHI *Audit Dashboard* screen. For example, click **Audit** on the community home page navigation bar. The PHI *Audit Dashboard* window displays.

This step can vary, depending upon your system configuration. If you are not sure how to navigate to the PHI Audit Dashboard window, contact your community administrator.



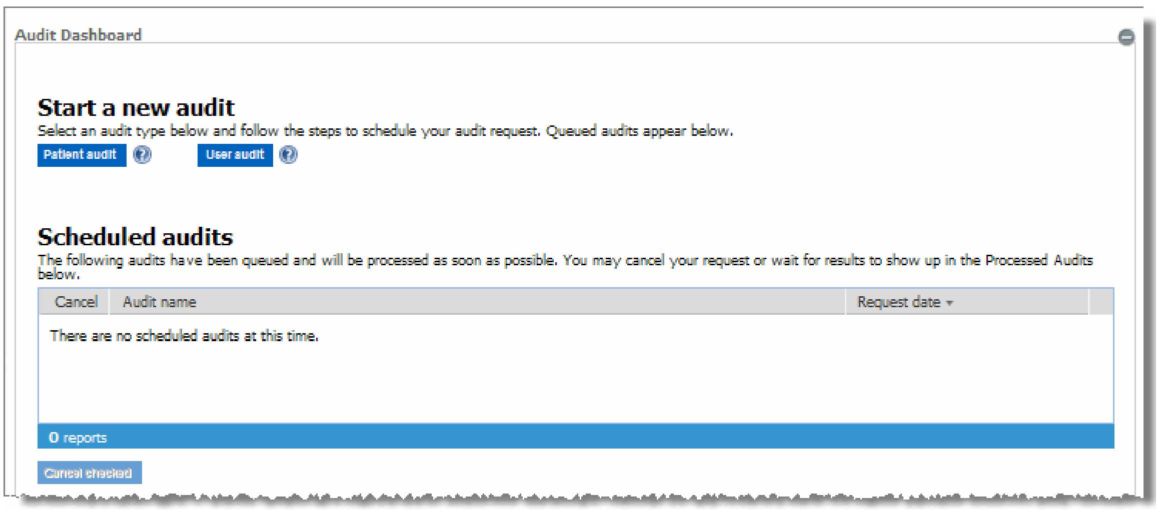
RESULT

You have successfully accessed PHI Audit.

Create a Patient Audit

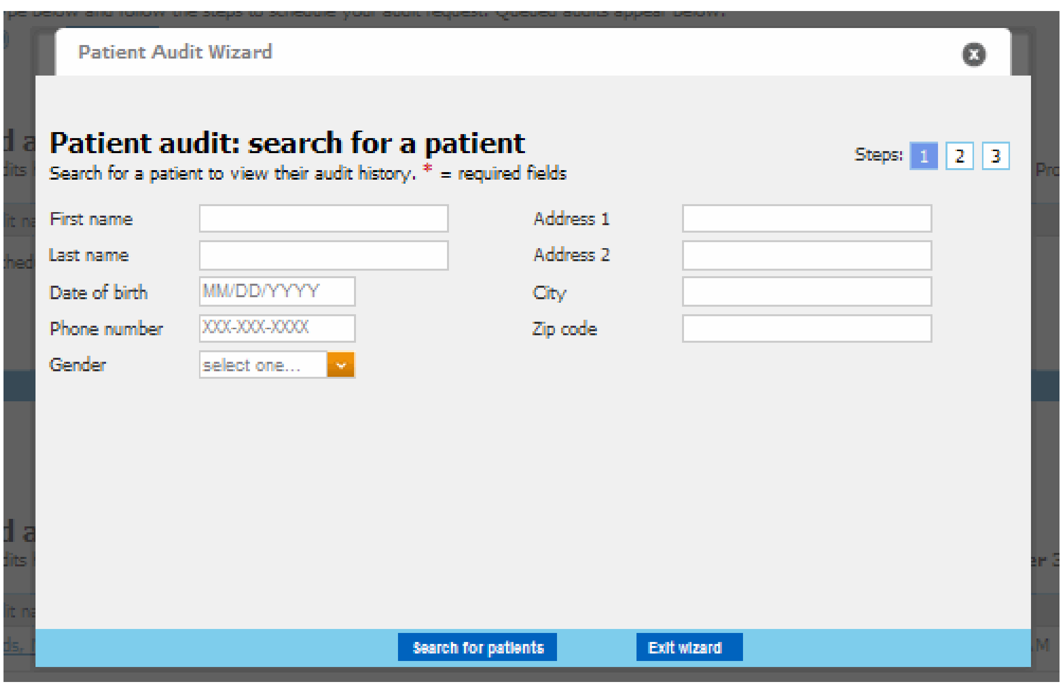
Create a *Patient audit* when you want to audit PHI data actions for a selected patient.

This procedure assumes you have logged in to your healthcare community and navigated to the PHI *Audit Dashboard* window. For details, refer to Access PHI Audit.



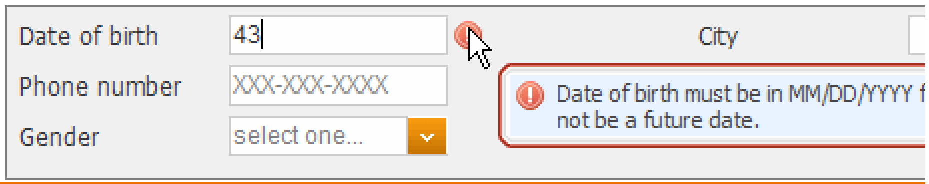
Perform the following steps to create a patient PHI Audit:

1. On the PHI *Audit Dashboard* window, click **Patient audit**. Step 1 of the *Patient Audit Wizard* popup displays.

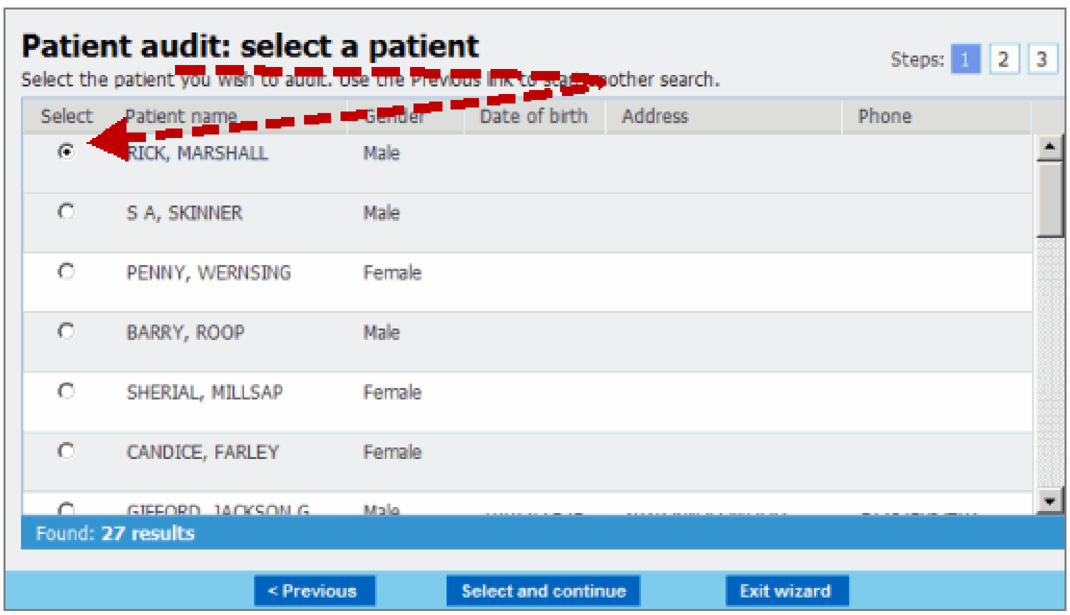


2. Enter your search criteria. Your search criteria may vary, depending on your system configuration.

If you enter search criteria in an invalid format, the error indication displays. Hold your cursor over the indicator for details.



3. When you are Finished entering search criteria, click **Search for patients**. If your search returns no results, or unexpected results, modify your search criteria and try again. Otherwise, the search results display in the *Patient Audit Wizard* Step 1 popup.

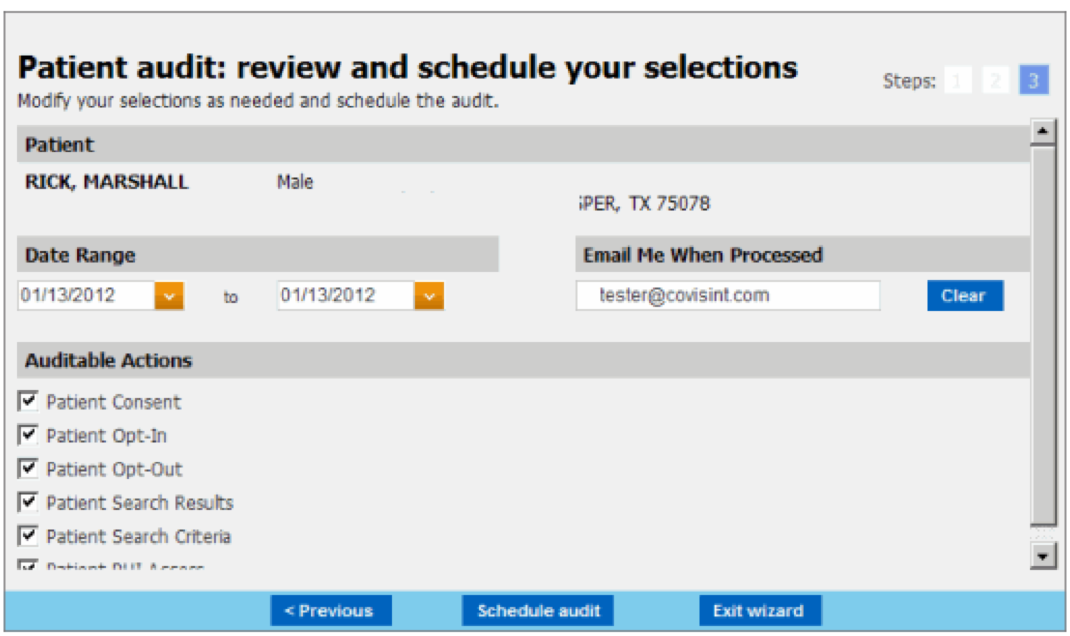


4. Select the patient whose PHI data you want to audit.
5. Click **Select and continue**. Step 2 of the *Patient Audit Wizard* popup displays.

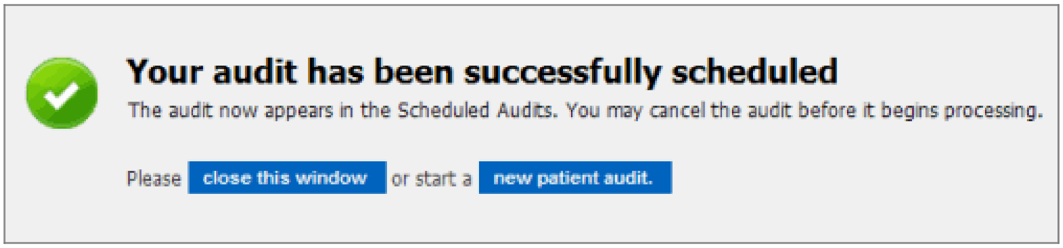
6. Specify a date range for the audit.

   Note: The date range must be no more than 30 days.

   - Enter dates in the required format, or
   - Click the drop down arrow to display a calendar from which you can select a date.
7. Select the **Audit actions** you want to include in the PHI patient data audit. For more information, refer to PHI Audit Overview.
8. Click **Select and review.** Step 3 of the *Patient Audit Wizard* popup displays.



9. Review your audit's date range and Audit actions criteria, and modify as required.
10. Optional - modify the *Email Me When Processed* field.
    - If you want to use the default email address for notification emails, leave the field as-is.
    - If you want the notification email to go to a different email address, click **Clear**, then enter the alternate email address.
11. Click **Schedule audit**. The audit is scheduled, and a success window, similar to the following displays.



12. Click **close this window**. The audit wizard window closes and you are returned to the PHI *Audit Dashboard* window.

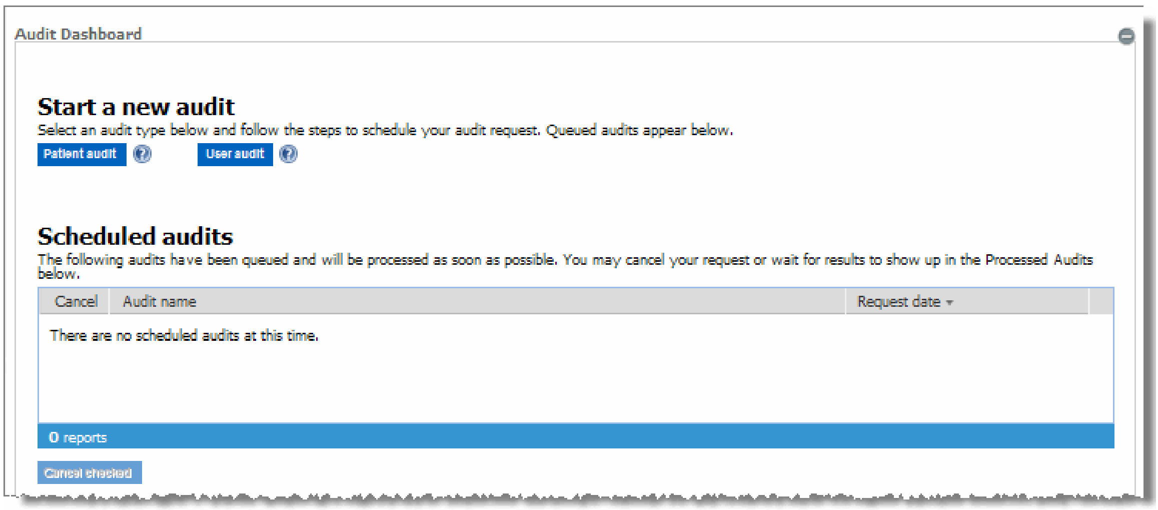
RESULT

You have successfully created and scheduled a PHI patient data audit.

CREATE A USER AUDIT

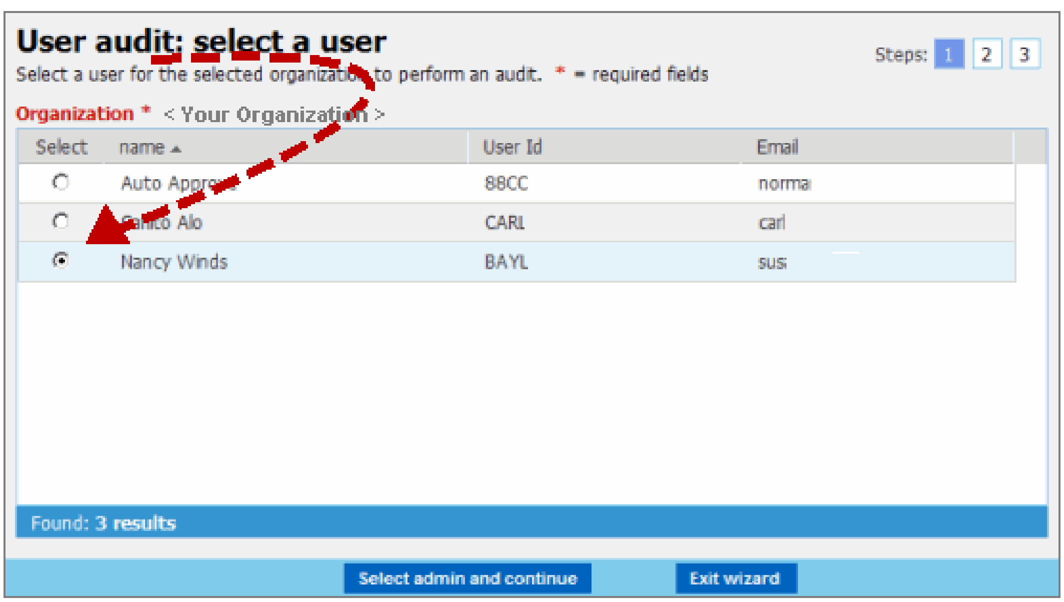
Create a *User audit* when you want to audit PHI data actions performed by a selected user.

This procedure assumes you have logged in to your healthcare community and navigated to the PHI *Audit Dashboard* window. For details, refer to Access PHI Audit.



Perform the following steps to create a user PHI Audit:

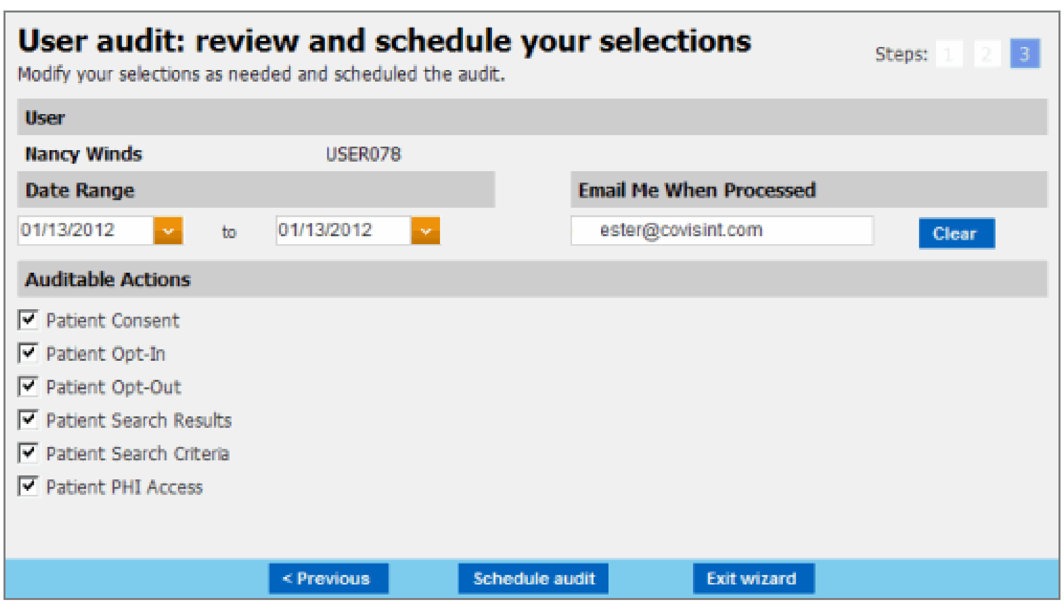
1. On the PHI *Audit Dashboard* window, click **User audit**. Step 1 of the *User Audit Wizard* popup displays the list of available users within your organization.



2. Select the user you want to audit.

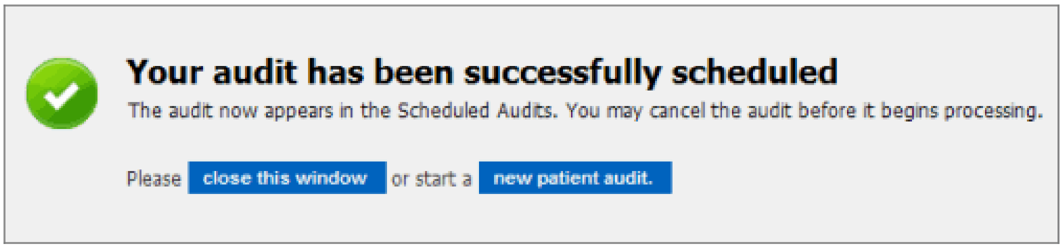
3. Click **Select admin and continue**. Step 2 of the *User Audit Wizard* popup displays.

4. Specify a date range for the audit. **Note**: The date range must be no more than 30 days.
   - Enter dates in the required format, or
   - Click the drop down arrow to display a calendar from which you can select a date.
5. Select the **Audit actions** you want to include in the PHI user data audit. For more information, refer to PHI Audit Overview.
6. Click **Select and review.** Step 3 of the *User Audit Wizard* popup displays.



7. Review your audit's date range and *Audit actions* criteria, and modify as required.

8. Optional - modify the *Email Me When Processed* field.
    - If you want to use the default email address for notification emails, leave the field as-is.
    - If you want the notification email to go to a different email address, click **Clear**, then enter the alternate email address.
9. Click **Schedule audit**. The audit is scheduled, and a success window, similar to the following displays.



10. Click **close this window**. The audit wizard window closes and you are returned to the PHI *Audit Dashboard* window.

RESULT

You have successfully created and scheduled a PHI user data audit.

View or Cancel Scheduled Audits

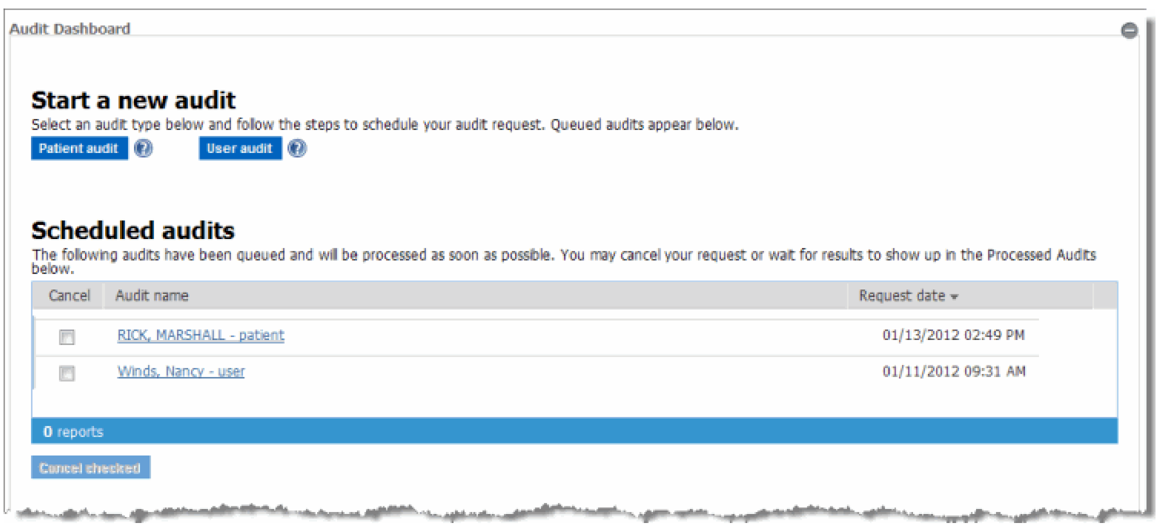
Audits display in the *Scheduled audits* section of the Audit Dashboard window only until they are processed. Audits are processed as soon as possible.

You may not be able to view or cancel scheduled audits, because they have already been moved into the processing phase.

View *Scheduled audits* when you want to:

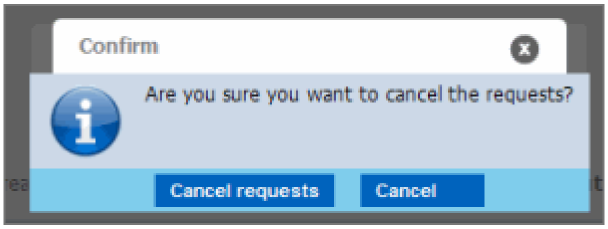
- Review the list of audits that have not been submitted for system processing.
- Cancel scheduled audits so they are not submitted for system processing.

This procedure assumes you have logged in to your healthcare community and navigated to the PHI *Audit Dashboard* window. For details, refer to Access PHI Audit.



Perform the following steps to view *Scheduled audits*:

1. On the PHI *Audit Dashboard* window, scroll down the screen as required to view the **Scheduled audits** section.
    - The list of scheduled audits displays, or
    - The "There are no scheduled audits as this time" message displays,
2. Review the list of scheduled audits as required. If you want to cancel scheduled audits, continue to the next step.
3. Check the **Cancel check box** of each audit you want to cancel.
4. Click **Cancel checked**. A confirmation dialog displays.



5. Click **Cancel requests**. The checked audits are cancelled, and will not be submitted for system processing.

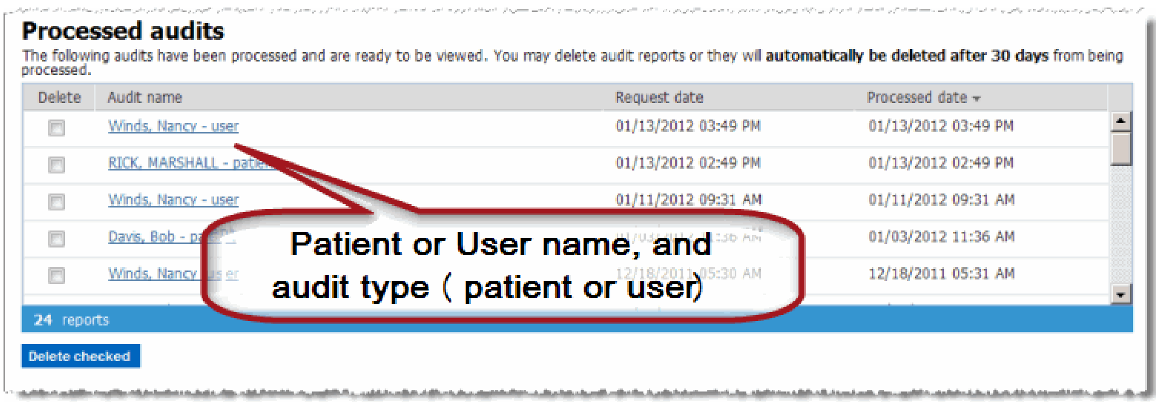
RESULT
You have successfully cancelled a scheduled PHI Audit.

View a Processed Audit

View *Processed audits* when you want to:

- Review the list of audits that have been processed.
- View audit details.

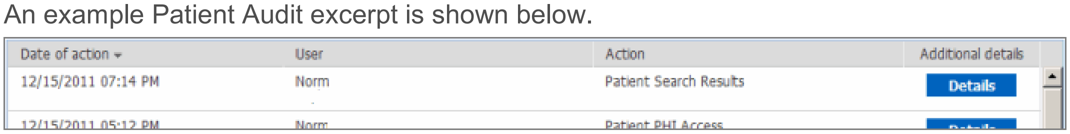
This procedure assumes you have logged in to your healthcare community and navigated to the PHI *Audit Dashboard* window. For details, refer to Access PHI Audit.



Perform the following steps to view *Processed audits*:

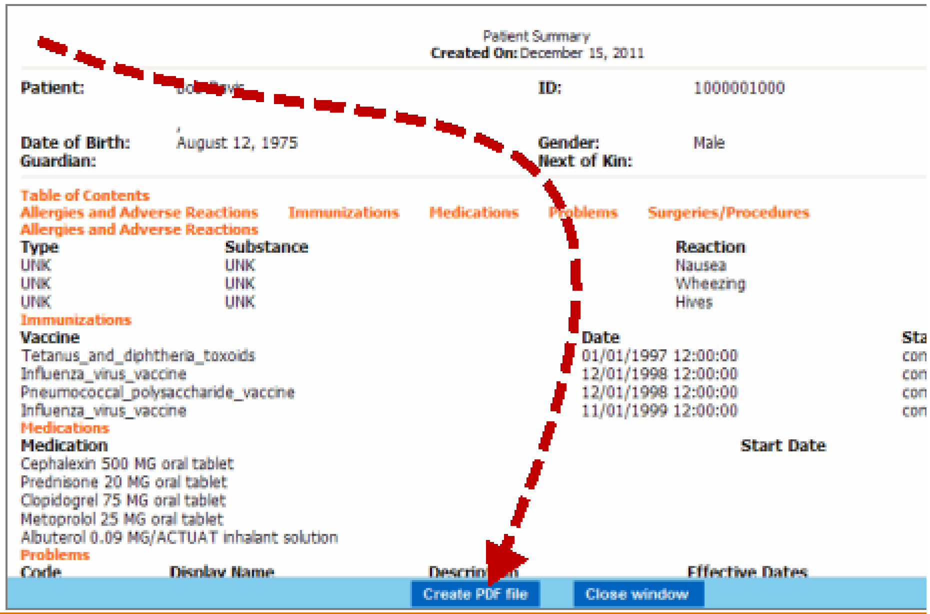
1. On the PHI *Audit Dashboard* window, scroll down the screen as required to view the **Processed audits** section.
2. Sort the audit list as required by clicking column headings. For details, refer to Navigating. the PHI Audit Dashboard.
3. Click the **Audit name** link of the audit whose information you want to view. The *Audit Details* view displays in the Audit Dashboard window. The fields available in the Audit Details view are dependent upon the audit type:
    - Patient audit view
    - User audit view

   An example Patient Audit excerpt is shown below.



4. [Optional] If you want to see more information about an audit action, click its **Details** button. The action's details display in a new window.

[Optional] Click **Create PDF** file to save the audit action details as a PDF.

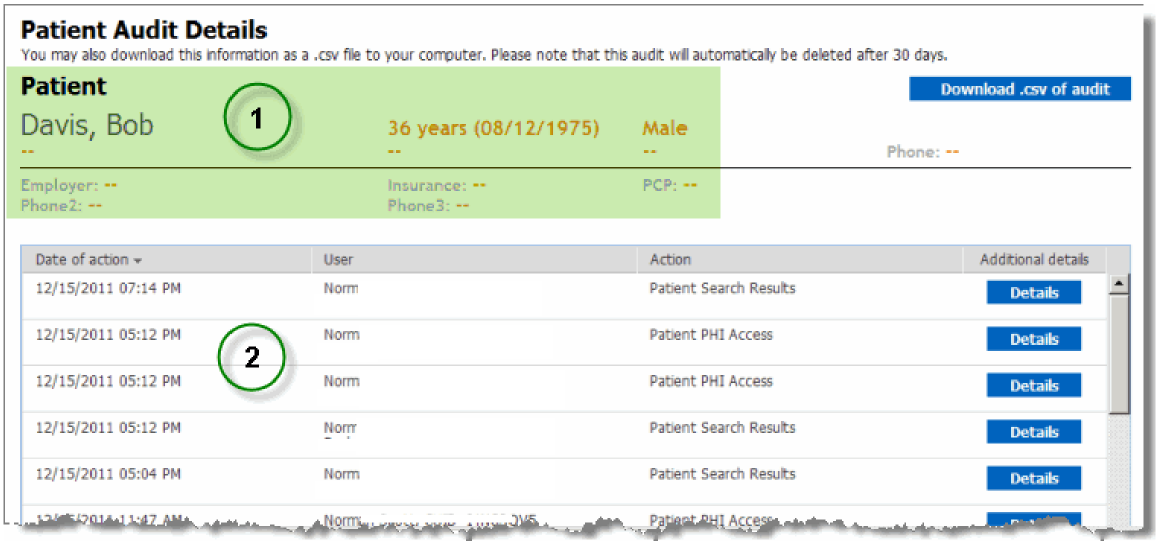


5. When you are finished viewing audit action details, click **Back to the audit details** page. The list of audit details displays in the Audit Dashboard window.
6. When you are finished viewing audit details, click **Back to the main audit page**. The PHI Audit Dashboard page displays.

RESULT

You have successfully viewed a PHI audit.

PATIENT AUDIT DETAILS SCREEN



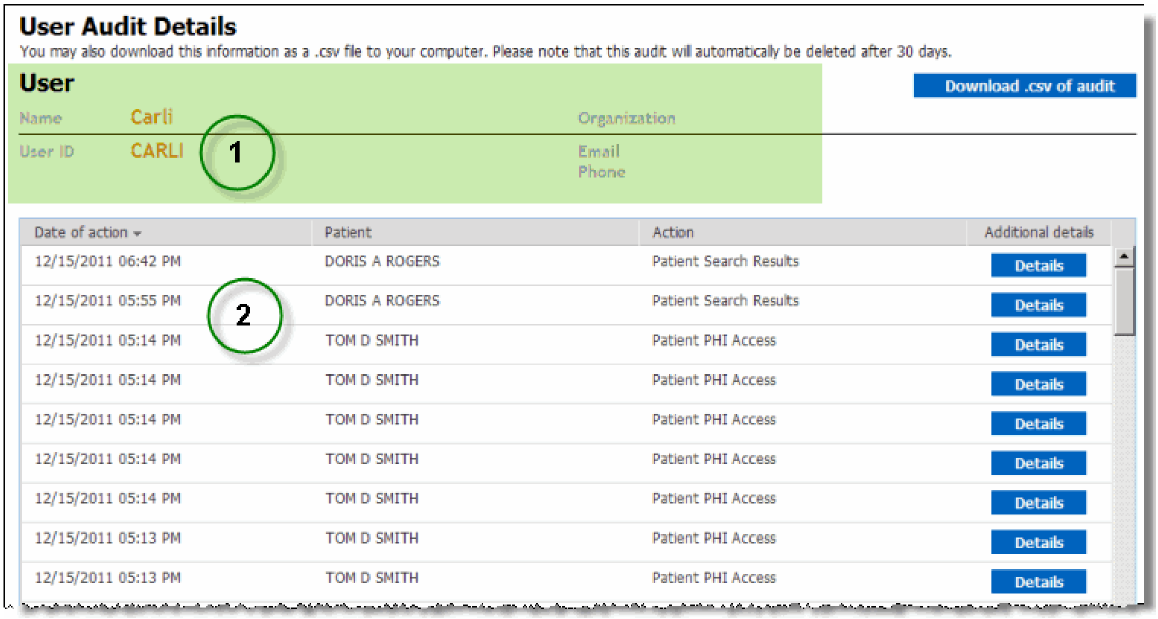
The Patient Audit Details screen is organized in two sections:

1. The patient section displays a summary that includes the patient's name and other key information.
2. The auditable actions section displays a row for each included action.
   - Date on which the action occurred.
   - The user who performed the action.
   - The action name.
   - [Optional] A link to additional details about the action.

From the screen, you can:

- Download the audit data in CSV (Comma Separated Values) format.
- Delete the audit.
- View action details by clicking a Details button.
- Return to the main audit page by clicking the Back to the main audit page button.

USER AUDIT DETAILS SCREEN



The User Audit Details screen is organized in two sections:

1. The user section displays a summary that includes the user's name and other key information.
2. The auditable actions section displays a row for each included action. The row includes:
    - The date on which the action occurred.
    - The patient on whose data the action was performed.
    - The action name.
    - [Optional] A link to additional details about the action.

From the screen, you can:

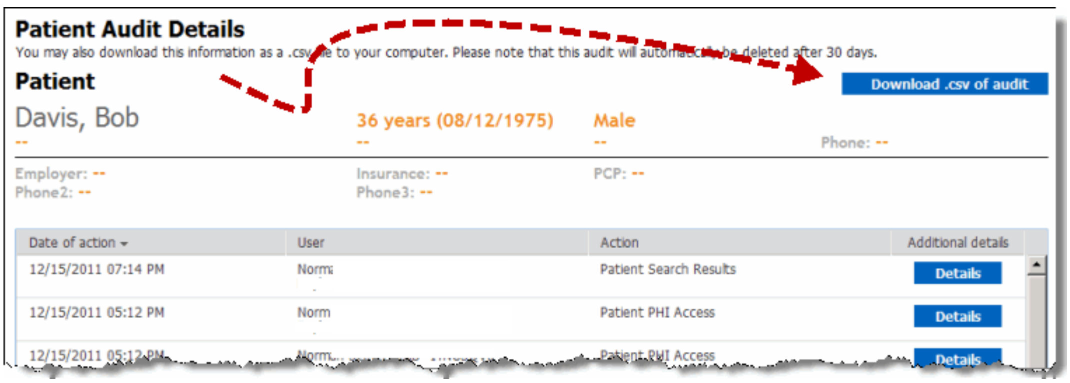
- Download the audit data in CSV (Comma Separated Values) format.
- Delete the audit.
- View action details by clicking a Details button.
- Return to the main audit page by clicking the **Back to the main audit page** button.

DOWNLOAD AUDIT DATA AS CSV

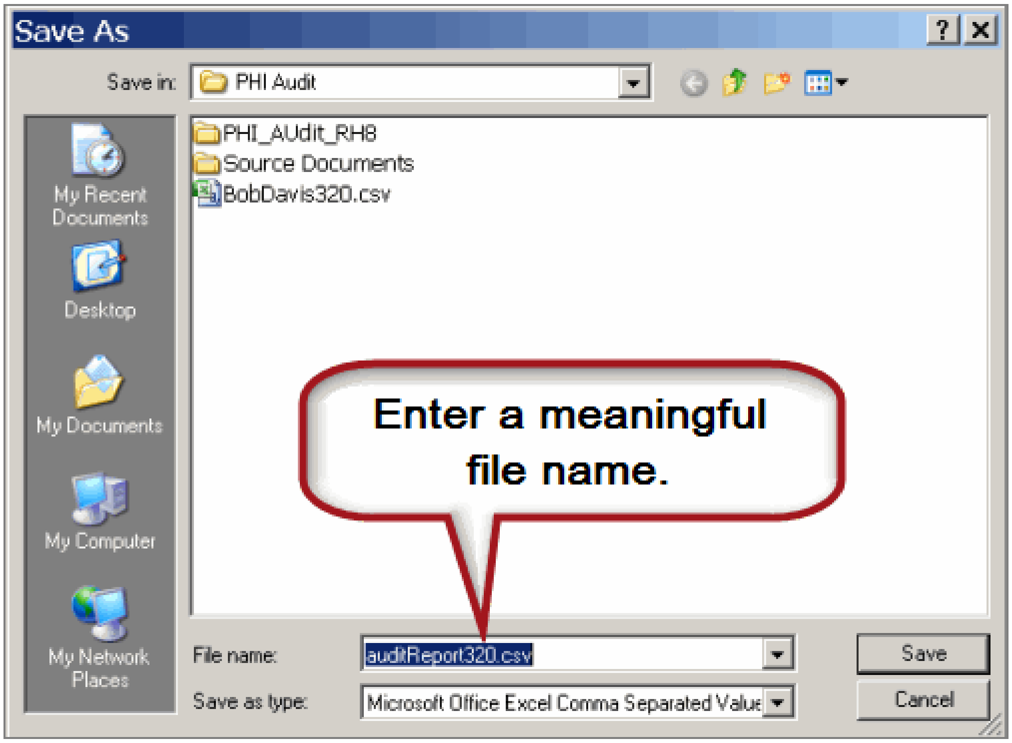
You can download an audit in CSV format. CSV format files can be opened using spreadsheet software such as Microsoft Excel. There is more information in the CSV format files than can be viewed from the Audit Dashboard user interface.

Perform the following steps to download audit data in *.CSV format:

1. In the Processed audits section, click the Audit name link of the audit you want to download. The patient or user *Audit details* display. For details, refer to View a Processed Audit.



2. Click **Download .csv of audit**. A *File Download* dialog displays.
3. In the File Download dialog, click **Save**. A *Save As* dialog, similar to the following displays.



4. In the *Save As* dialog:
   - Navigate to the folder in which you want to save the *.csv file.
   - Enter a meaningful *.csv file name.
   - Click **Save**. The file is saved to the location you selected.
5. To view the saved file, open it with a spreadsheet program such as Microsoft Excel.

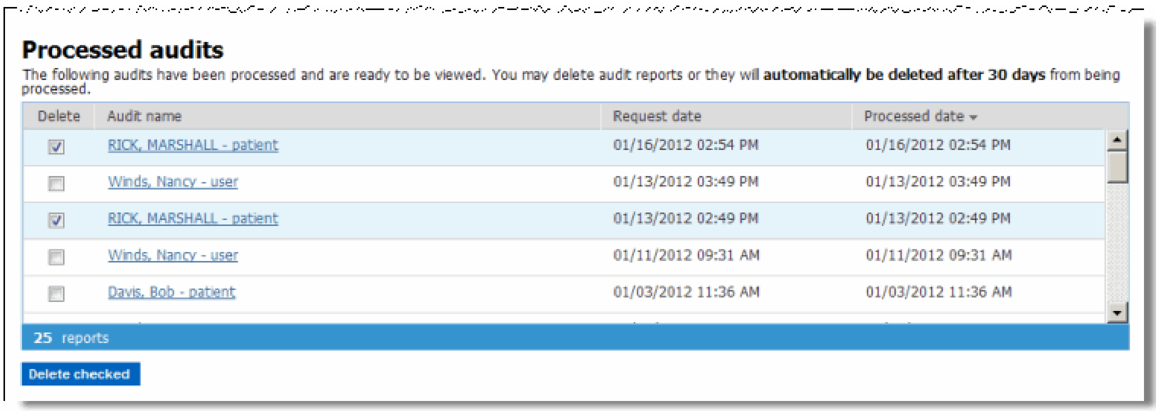
RESULT

You have successfully downloaded and viewed a PHI audit in *.csv format.

Delete Processed Audits

Audits are automatically deleted after a configurable amount of time. Perform this procedure when you want to delete audits before they are automatically deleted.

This procedure assumes you have logged in to your healthcare community and navigated to the PHI *Audit Dashboard* window. For details, refer to Access PHI Audit.

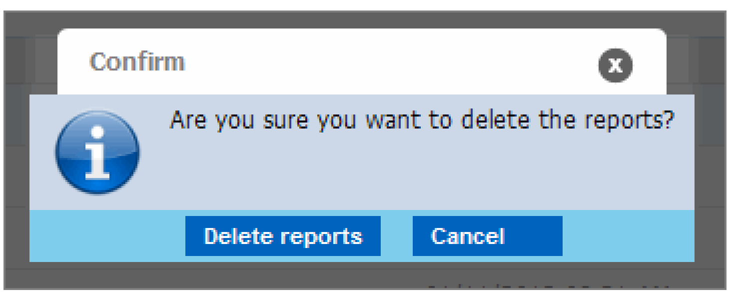


Perform the following steps to delete audits before they are automatically deleted:

1. Scroll down through the Audit Dashboard window to the **Processed audits** section.

   Note: The screen shot indicates the example system is configured to delete audits after 30 days.

2. Check the **Delete check box** of each audit you want to delete..
3. Click **Delete checked**. A confirmation dialog, similar to the following, displays.



4. Click **Delete reports**. The audits are deleted. The *Processed audits* section refreshes.

RESULT

You have successfully deleted processed audits.

Glossary

C

CSV: Comma Separated Values. A plain text format for storing tabular data. Files in CSV format can be opened by spreadsheet software such as Microsoft Excel.

H

HIPAA: The Health Insurance Portability and Accountability Act.

P

PHI: Protected Health Information - information that must be secured to meet HIPAA requirements.