

<b>TITLE: CCHIE SYSTEM AND PATIENT ACCESS AUDIT POLICY</b>	
<b>STATUS: FINAL</b>	<b>EFFECTIVE DATE: 8/14/2020</b>
<b>VERSION: 8</b>	<b>PAGE: 1 OF 3</b>

## I. PUPOSE

It is the policy of ClinicalConnect HIE (CCHIE) to comply with all regulatory requirements and industry best practices for the auditing, logging, and monitoring of the use and disclosure of protected health information (PHI) and other confidential sent to or created by CCHIE. This policy addresses CCHIE's objective and commitment to implement sufficient audit controls for CCHIE System to ensure the privacy and security of all PHI sent to CCHIE as well as other sensitive and business confidential information.

## II. SCOPE

This policy applies to CCHIE staff and its Participants.

## III. DEFINITIONS

"CCHIE Services" includes but are not limited to the following:

- ConnectChart Clinical Data Repository,
- ConnectAlert Notifications,
- ConnectQuality Reporting,
- ConnectDirect Secure Email Solution,
- Etc.

"CCHIE System" includes, but is not limited to, any application, server, data store, gateway, or other technical device that collects, stores, or processes PHI or provides any other business function for CCHIE.

"Participant" is an organization (including physician practice) that has signed a Data Exchange Agreement with CCHIE.

"Protected Health Information" or "PHI" shall have the same meaning as set forth in HIPAA.

#### IV. POLICY

- A. CCHIE shall arrange for account audits to ensure that users granted access to each CCHIE System have the minimum level of access to PHI and other sensitive and business confidential information granted within the scope of their responsibilities. These audits shall occur, at minimum, monthly.
- B. CCHIE shall, at minimum, annually assess its compliance to regulatory requirements and industry best practices.
- C. Each Participant shall establish policies and procedures to perform audits of its staff's access to patient and other sensitive information through all CCHIE Services in which it participates.
- D. Upon the Participant's request, CCHIE shall furnish any of the following audit reports regarding the PHI it has sent to CCHIE's Clinical Data Repository:
  - Report of all Participants and individual's which may have accessed a certain patient's information
  - Report of all patients a certain Participant or user may have accessed
  - Historical reporting of a patient's participation (opt-in and opt-out status)
- E. CCHIE shall make every effort to provide a requested audit report to a Participant via secure transmission methods within two (2) business days.
- F. If a requested audit report will be delayed, CCHIE shall timely inform the Participant the reason for the delay and provide an updated timeframe.
- G. Each Participant shall establish procedures to coordinate with CCHIE regarding patient inquiries and requests.
- H. Participants shall work collaboratively with CCHIE when patient requests for accounts require investigation and information from multiple Participants.
- I. If a patient contacts CCHIE directly to request access information, CCHIE will advise the patient to contact their treating Participant's designated privacy officer.
- J. Non-hospital Participants shall have the option to make prior arrangements with a member hospital of CCHIE, so that the member hospital can become the audit agent and take the lead role in investigating the patient's inquiry. Member hospitals are not obligated to comply with the non-hospital Participant's request to be their audit agent but may choose to do so based on an established working relationship.

Regardless, non-hospital Participants shall remain responsible for ensuring that patient inquiries are appropriately responded to.

- K. Audit results shall be reviewed on a timely basis by the receiving Participant, or their audit agent. Participants, or their audit agent, are directly accountable for further investigating events discovered during an audit review and taking appropriate actions based on the audit findings.
- L. Participant, or their audit agent, shall communicate any inappropriate access discovered through the audit review to CCHIE.
- M. CCHIE shall notify all applicable Participants who have accessed the patient in question and are involved in the audit investigation.

**V. Revision History**

<b>DATE</b>	<b>AUTHOR</b>	<b>COMMENTS</b>
05/09/2014	Jacqueline Smith	Creation of the policy
06/22/2015	Erika Jones	Title change
09/14/2016	Jones/Szymanski	Review Policy – no changes
03/05/2019	Joanne Onyshko	Added part L of document – if a patient contacts CCHIE directly for access information
03/26/2019	Phyllis Szymanski	Approved section L
03/20/2020	Joanne Onyshko	Reviewed policy, no changes.
08/14/2020	Keith Dukes	The following revisions were implemented: <ul style="list-style-type: none"> <li>• Broadened language within PURPOSE.</li> <li>• Added “CCHIE System” to definition.</li> <li>• Added section B to address annual assessments</li> <li>• Consolidated sections C and D.</li> <li>• Added clarification on Participant procedures for coordinating with CCHIE on patient requests.</li> <li>• Moved section H to section E.</li> <li>• Added clarification for 2-day turnaround time for audit report.</li> </ul>
03/07/2022	Keith Dukes	Reviewed policy – no changes necessary