



health information exchange:
audit report recipient
training guide

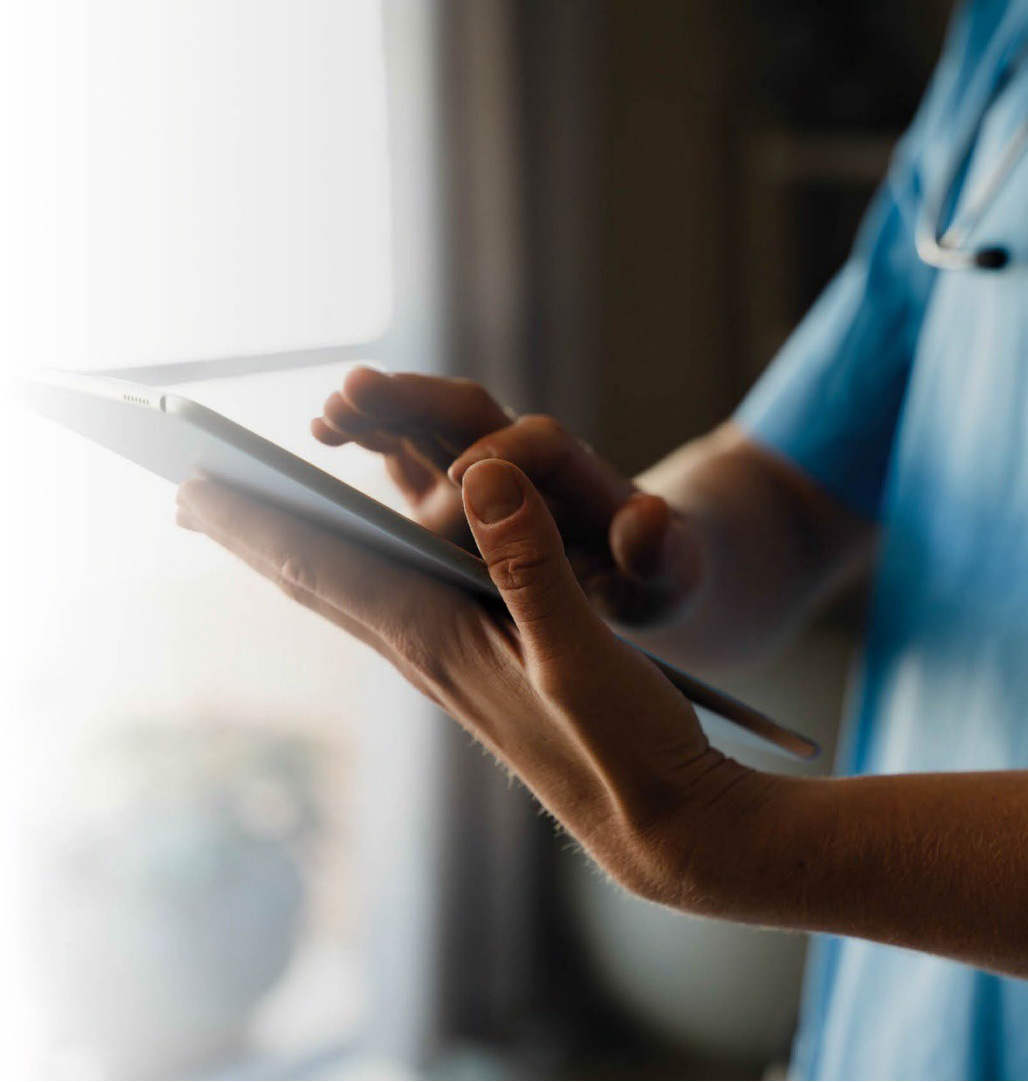


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audit report expectations

- As the Audit Report Recipient for your organization, you will have access to HealtheConnections (HeC) audit reports. These are available within the HealtheConnections user portal.
- You are strongly encouraged to review your list of authorized users often and report any users that require deactivation to HealtheConnections.
- All participants of HealtheConnections are required to complete audit attestations at least annually.
- Public Health and Organ Procurement organizations are required to review their accesses weekly.
- Break the glass reports will need to be reviewed within five (5) business days of an occurrence. You will be notified daily of any occurrences from the previous day/weekend.

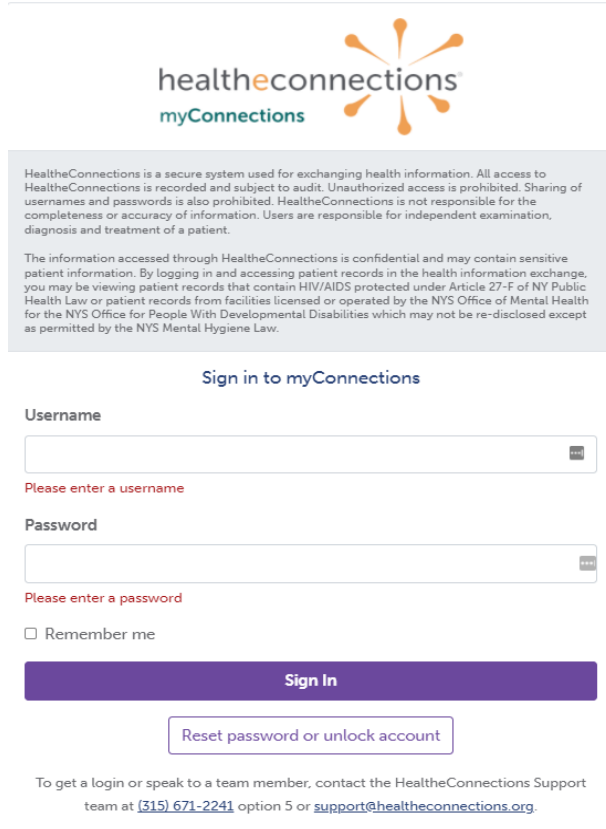
audit requirements and timing

- **Daily:** you will have 1 week to complete each audit
 - Emergency access using “**Break the Glass**” (BTG) functionality
 - Each BTG instance must be audited. Notices are sent daily. You are required to return the attestations at least weekly (you can attest to up to 7 days at a time)
- **Weekly:** you will have 1 week to complete each audit
 - **Public Health (PH) Participants** (e.g., county departments of health)
 - **Organ Procurement Participants**
 - Audit of PH: Patient Records Accessed is required weekly, regardless of activity.
- **Annually:** you will have 4 weeks to complete your audit
 - **Public Health and Organ Procurement Participants**
 - Active User List audit is sent annually.
 - **All other Participants** (consent-based access)
 - Patient Records Accessed Report
 - Users: User Login & Active User List Reports
 - Consent: Consent Sample Report

available audit reports

- **Patient Records Accessed Report** - This report lists patient records that have been accessed by users from your organization.
- **Consent Sample Report** - This report is a sample of active consents on file associated with your organization.
- **User Login Report** - This report provides you with a snapshot of your users and the number of logins per month by each user.
- **Active User Report** – This report lists all your users and the type of accesses they have been granted.
- **Break the Glass (BTG) Reports** - This report is available daily if a “Break the Glass” event has occurred for your organization. These reports are only available to those participants that have an ER or Urgent Care.
- **Public Health: Patient Records Accessed** - These reports are only available to those participants designated as public health organizations.

accessing audit reports



The screenshot shows the login interface for HealthConnections myConnections. At the top, the logo features the text "healthconnections" in a dark blue font and "myConnections" in a lighter blue font, with an orange starburst icon to the right. Below the logo is a grey box containing a disclaimer: "HealthConnections is a secure system used for exchanging health information. All access to HealthConnections is recorded and subject to audit. Unauthorized access is prohibited. Sharing of usernames and passwords is also prohibited. HealthConnections is not responsible for the completeness or accuracy of information. Users are responsible for independent examination, diagnosis and treatment of a patient." Below this is another grey box with a confidentiality notice: "The information accessed through HealthConnections is confidential and may contain sensitive patient information. By logging in and accessing patient records in the health information exchange, you may be viewing patient records that contain HIV/AIDS protected under Article 27-F of NY Public Health Law or patient records from facilities licensed or operated by the NYS Office of Mental Health for the NYS Office for People With Developmental Disabilities which may not be re-disclosed except as permitted by the NYS Mental Hygiene Law." The main login area is titled "Sign in to myConnections" and includes a "Username" field with a red error message "Please enter a username", a "Password" field with a red error message "Please enter a password", and a "Remember me" checkbox. A purple "Sign In" button is prominently displayed, along with a "Reset password or unlock account" button. At the bottom, contact information for the support team is provided: "To get a login or speak to a team member, contact the HealthConnections Support team at (315) 671-2241 option 5 or support@healthconnections.org."

- On your initial login, you will be prompted to setup a multi-factor authentication from OKTA
 - Follow the prompts on the screen to set this up – it only takes a few minutes!
 - In order to access the myConnections portal, you will need to complete this step.
- Enter your username and password
- Click “Sign in”
- If you forgot your password, click “Need help signing in?” You’ll receive an email from noreply@okta.com, which may go to your Junk folder. If it is not in your Junk folder, contact our Support team at support@healthconnections.org

accessing audit reports

- Once you have logged in, the following screen will appear.
- Select the “Reports” at the top of the page.



The screenshot shows the user interface for healthconnections myConnections. At the top, there is a navigation bar with the following items: Training, Reports (circled in red), Marketing, and Contact Us. Below the navigation bar, there is a welcome message: "Welcome back," followed by links for "MY ACCOUNT" and "LOG OUT". There is also a link for "Admin Console (STAGING)". Below the navigation bar, there are three main content areas: "WE WANT TO HEAR FROM YOU!" with a "Share Your Feedback" button, "Participant Map" with a map icon, and "Data Contributors" with a bar chart icon.

accessing audit reports

- Select the desired report by clicking on it.

Reports

[COVID-19 \(+\) Patient Hospitalizations \(DEMO\)](#)

[COVID-19 Results \(DEMO\)](#)

[COVID-19 Vaccinations \(DEMO\)](#)

Audit Reports (MODE) - DEMO

- [Active Consent Report \(DEMO\)](#)
- [Active User List \(DEMO\)](#)
- [Break The Glass Report \(DEMO\)](#)
- [Consent Sample Report \(DEMO\)](#)
- [Organization Site / Facility Report \(DEMO\)](#)
- [Patient Records Accessed \(DEMO\)](#)
- [PH: Patient Records Accessed \(DEMO\)](#)
- [User Login Report \(DEMO\)](#)

viewing audit reports

- Data will default to the first organization on your list. If your account is associated with more than one organization, you will be able to choose between the organizations in the filter panel.

Active User List (DEMO)

Find our Audit Training Materials and Attestation Forms here.
Have a question or see an error? Connect with our support team (* Do not include PHI) here.

Active User Report (DEMO)

	Name	My Connections Username	Email	Organization	Site Name	Provider Group Key	User Created	Training Due Date	Last Successful Login	Break the Glass Enabled	Patient Lookup	Public Health Patient Lc
1	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	1900-01-01		YES	
2	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	1900-01-01	YES	YES	
3	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-08-07		YES	
4	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-08-07	YES	YES	
5	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-08-10	YES	YES	
6	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-08-15	YES	YES	
7	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-08-18		YES	
8	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-08-19	YES	YES	
9	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-09-01	YES	YES	
10	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-09-10	YES	YES	
11	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2020-10-06	YES	YES	
12	User A	User Name A	User Email Addy A	Organization A	Site 2	123	2020-08-07	2021-09-06	2021-06-27	YES	YES	

Filters

[Active User Report \(DEMO\)](#)

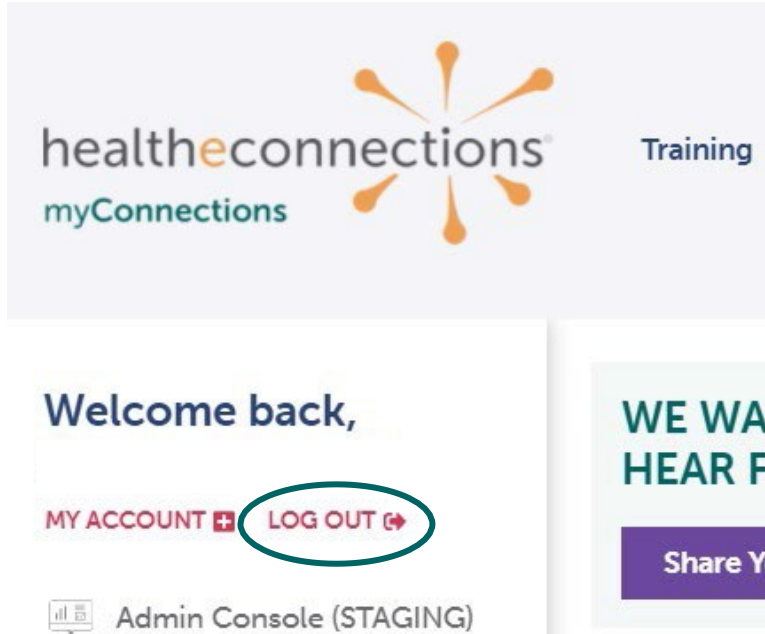
ORGANIZATION

- Organization A
- Organization B

Annotations:

- You can find quick links to our training materials, attestations forms and support desk here.
- Report data can be exported to a CSV file for offline viewing.
- Options for filtering the reports are found in the filters panel.

viewing audit reports



- Once you have reviewed a report and need to review another report, you can select another report at top of the page.
- Once your review is complete, you can exit HealthConnections by clicking on “Log Out”.

attestation of audit reports

- All participants of HealthConnections are required to complete an audit attestation for each audit. The audit attestation certifies compliance with HealthConnections' policies for access and usage of the health information exchange.
- HealthConnections will notify each organization via email with a copy of the attestation form and a deadline for returning the form.
- You will be asked to review reports and sign the attestation, indicating that the audit was complete. You may also be asked to provide consents.
 - If no discrepancies exist, sign and return the attestation form for each audit completed to Support@healthconnections.org. In the subject line of the email, include Your Organization Name – Attestation Form. Refer [here](#) for how to provide consents, if asked.
 - Alternatively, if you use Outlook, you can use the voting button functionality within your email to attest rather than returning the hardcopy signed attestation
- If any discrepancies were discovered during your audit, please contact HealthConnections support at 315-671-2241 ext 5, for instructions on how to proceed.

annual review: consent sample report

Consent Sample Report: This report is a sample of patient consent in place for your organization.

YOUR ACTIONS:

You will receive an email notifying you: **1)** that your audit is due; **2)** the month under audit. You are required to locate the consent forms for all patients on the selected month's report.

- Review the forms to ensure the patient's name, DOB, and consent choice on the form match the report and the form is signed by the patient or their legal representative.
- The effective date on the form should be on/before the date on the report.
- You no longer need to send the consent forms to us for review, but you are required to provide them as evidence if requested.
 - If you are asked to (or elect to) return the consent forms, Please note that these can only be returned via **fax** at 315.407.0053 or **Direct Mail** at support@hiemail.healthconnections.org.
 - In the subject line of the Direct Mail or on the fax cover sheet, include ***Your Organization Name – Consent Forms***.
 - **DO NOT SEND CONSENT FORMS VIA OUTLOOK OR OTHER STANDARD EMAIL SOFTWARE**

annual review: patient records accessed report

Patient Records Accessed Report: this report lists patient records that have been accessed by users from your organization

YOUR ACTIONS:

You will receive an email notifying you: **1)** that your audit is due; **2)** the month under audit. You are required to review the accesses from the selected month's report.

- Review the sample size* of patient accesses on the report.
*The sample size is the same as the consent sample size. For example, if you have 25 consents on the Consent Sample report, review the first 25 patients on the Patients Records Accessed report.
- Verify that the users' accesses to the patient data are appropriate (e.g., for “Level 1” uses: treatment, care management, quality improvement, etc.).
- Note: payment is not a permitted Level 1 use.

annual review: user audit reports

User Login Report: This report is a list of your authorized users who have logged in during the last 13 months and the number of logins per month

Active User List Report: This report is a complete list of your authorized users and the types of access they have been granted

YOUR ACTIONS:

Review the reports as follows:

- **User Login Report:** Ensure that these employees were in roles that required access at the time of their access. Notify HealthConnections support if there are any inappropriate accesses, such as employees who accessed myConnections after their termination date.
- **Active User List Report:** Notify HealthConnections support of any required changes, such as employees with incorrect type of access, name changes, or terminated employees. Consider deactivating active users who are not on the “User Login Report” (those who have not used their access in the last 13 months).

Notify Support for any issues identified: Phone: 315-671-2241 X 5; Fax: 315-407-0053

NOTE: As a reminder, when an employee leaves your organization, HealthConnections must be notified within 24 hours of their departure.

daily review: “break the glass” reports

Break the Glass (BTG) Reports: These reports are available daily if a “Break the Glass” event has occurred for your organization. HealthConnections will notify you when BTG events have occurred, and the report is available.

YOUR ACTIONS:

You can review these reports daily and will be required to attest within five (5) business days.

You shall attest daily or for multiple days by noting the date range (no longer than one week) on the attestation form.

weekly review: public health: patient records accessed

Public Health: Patient Records Accessed - These reports are only available to those participants designated as **public health or organ procurement** organizations. HeC will notify you weekly with an email to attest.

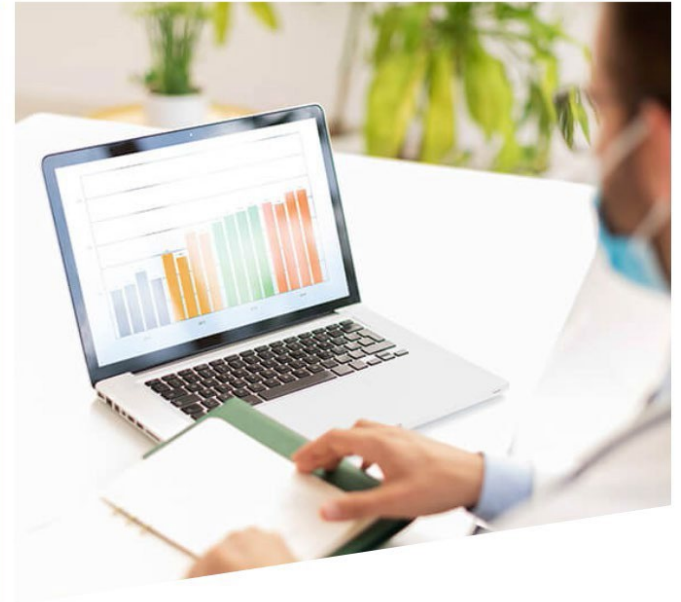
YOUR ACTIONS:

- These reports will be available every Monday for your review from the previous week.
- You will be required to return your attestation form within five (5) business days.
- You are required to review the last three accesses of the prior week.
- An attestation is required even if the report shows no activity for the reporting period.

NOTE: These organizations also complete an [annual user audit](#).

quick tips

- Always log in using an up-to-date browser (Chrome, Mozilla Firefox, Edge)
- Log into myConnections at <https://hie.healthconnections.org/#/health-login>
 - Add a bookmark for this address for future ease of access
- If you need assistance, contact HealthConnections support at support@healthconnections.org or 315.671.2241 ext 5 for your credentials

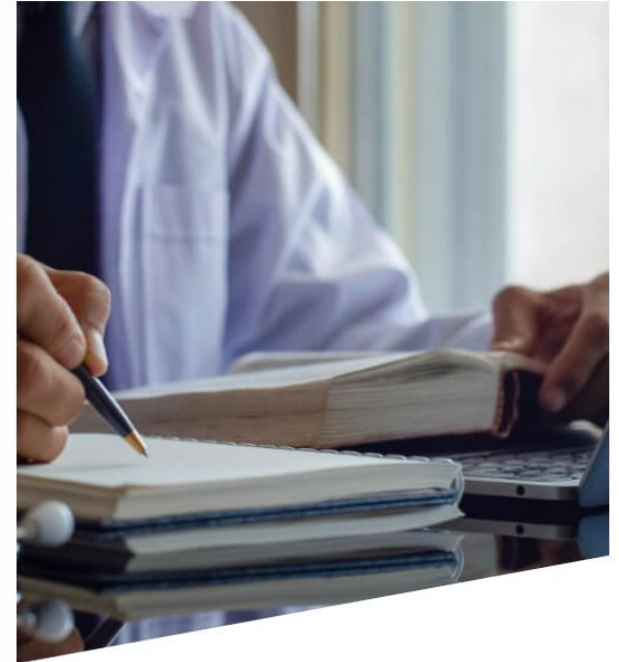


compliance reminder

You have an important role in ensuring we monitor and safeguard access to patient data. By signing the HealthConnections Participation Agreement, your organization agreed to comply with New York State and HealthConnections' policies to complete the auditing process.

If you encounter issues, we are a phone call away and can walk you through any issues to wrap up your audit. However, if you do not complete and return your audit attestation, we are required by regulation to apply sanctions.

These sanctions may include retraining, escalation within your leadership, a request to remove and replace the Audit Contact, a suspension of users, and/or a suspension of the ability to add new users.



thank you!

support@healtheconnections.org

315-671-2241 x5

