



Procedure to Audit OPERATOR ACTIVITY LOG on OPTUM

Prepared for Doctors' Office Use
2016

POLICY

The policy is a requirement of HIPAA and Meaningful Use

- ❖ To routinely review your staff's activity on the Optum system.

Purpose

- ❖ To identify any suspicious activity that could be construed as a breach of patient information

Action

- ❖ If suspicious activity is identified you are to report this to your immediate Supervisor and Risk Manager at Argus Medical Management

SUMMARY OF PROCEDURE

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Guidelines on What to Audit

For offices with less than 5 staff:

1. Select 2 staff members each week (rotate names every other week).
2. Go to Administration- Security Logs- Operator Activity Log
3. When window opens, select “show one day” and enter the date which you will select randomly.
4. Select the operator from the drop down selection
5. Final step- select GO

For offices that have more than 5 staff:

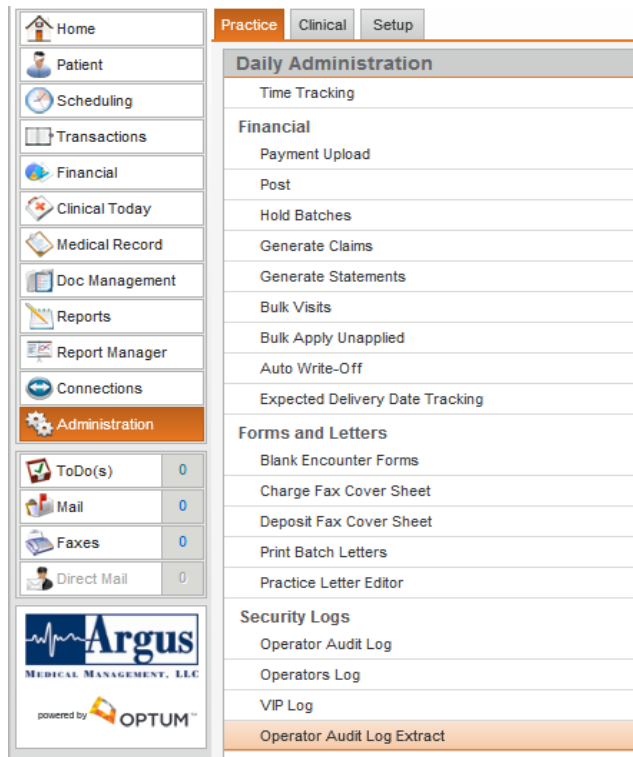
- Select 3-5 operators to audit.
- If office staff exceeds 20 you should create the file weekly. Follow steps 1-5 to create the files.

How to Download Operator Audit Extract Logs

Required for SRA Portion of Meaningful Use

Running the Logs

1. Select the **Administration** module, and then select **Operator Audit Log Extract** (under Daily Administration).



2. Check both boxes for **Include PM** and **Include EMR**. Choose your **Search Date** by Clicking on the calendar (this will vary by day). The **Operator** should be set to **All**. The **Extract From** option should be set to your group. Click Extract Log.

Operator Audit Log Extract

Include PM

Include EMR

Search Day (Extract is limited to one day)

06/11/2014 

Operator

- All - 

Extract From

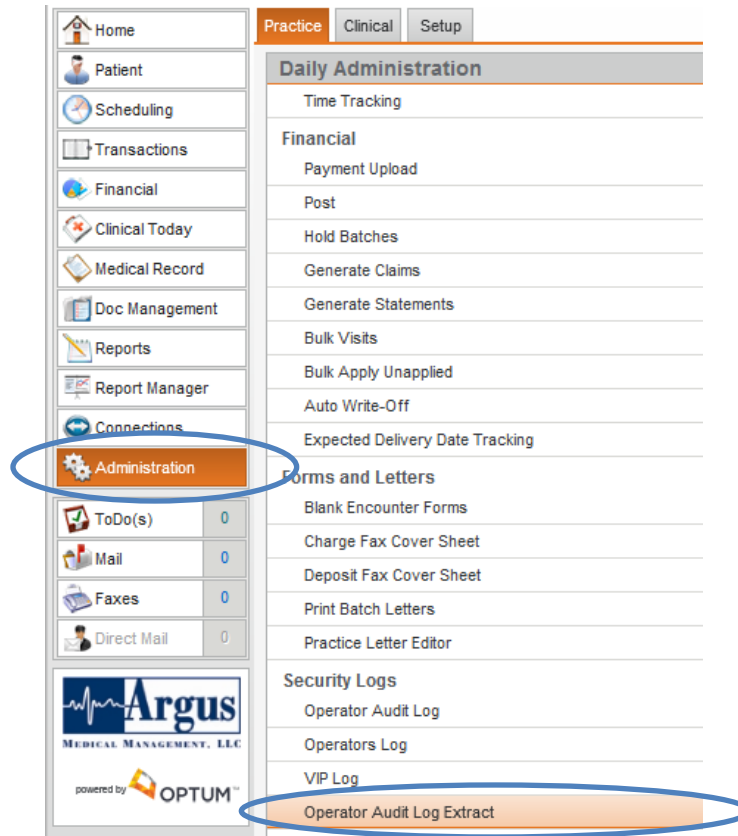
Lakewood Primary Care 

Extract Log

Downloading from CareTracker


Note: Please allow time for the report to run before attempting to download.















1. Select the **Administration** module, and then select **Operator Audit Log Extract** (under Daily Administration).



2. Click on the **Published Extracts** tab.



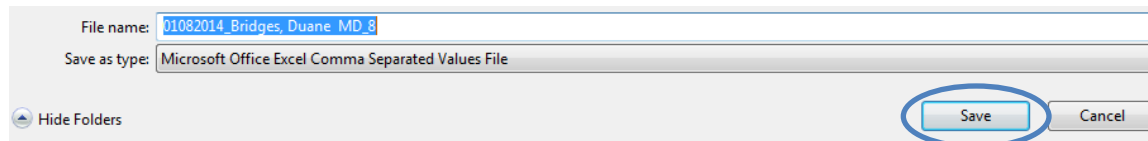
3. Find the report with the Log Date that you need. Click on the  button to download the file.

File Name	Operator	Extracted From	Extract Date	Log Date	Extract Type	File
01082014_Bridges, Duane MD_8.csv		All Groups	03/13/14	01/08/14	PM/EMR	 
01092014_Bridges, Duane MD_9.csv		All Groups	03/13/14	01/08/14	PM/EMR	 
01102014_Bridges, Duane MD_10.csv		All Groups	03/13/14	01/10/14	PM/EMR	 
01112014_Bridges, Duane MD_11.csv		All Groups	03/13/14	01/11/14	PM/EMR	 
01122014_Bridges, Duane MD_12.csv		All Groups	03/13/14	01/12/14	PM/EMR	 
01132014_Bridges, Duane MD_13.csv		All Groups	03/13/14	01/13/14	PM/EMR	 
01142014_Bridges, Duane MD_14.csv		All Groups	03/13/14	01/14/14	PM/EMR	 

4. Click On the  icon next to Save. Select **Save as**.



5. Choose a folder where you would like to store the file. Click **Save**.



Run the Operator Activity Report on Optum CareTracker

The screenshot shows the Optum CareTracker interface. At the top left, there is a user profile for 'Test, Beverly' with a chart number '49628419'. Below this is a navigation menu with several categories: Home, Patient, Scheduling, Transactions, Financial, Clinical Today, Medical Record, Doc Management, Reports, Intelligence, Connections, and Administration. The 'Administration' category is circled in red. To the right of the navigation menu is a 'Daily Administration' section with various sub-sections: Time Tracking, Financial, Forms and Letters, and Security Logs. The 'Security Logs' section is also circled in red, and it contains sub-items: Operator Audit Log, Operators Log, and VIP Log.

Use drop down to select the operator.

Leave Type to "Show All:"

The screenshot shows the Operator Activity Report form. It has several fields: 'Operator' with a dropdown menu showing 'Current Operator', 'Type' with a dropdown menu showing 'Show All', 'Show' with a dropdown menu showing 'One Day', and 'Ending on' with a date field showing '10/14/2013'. There is a 'Go' button on the right. Annotations include a red circle around the 'Operator' dropdown, a blue arrow pointing to the 'Type' dropdown, and a black arrow pointing to the 'Ending on' date field.


Enter Date

Copying & Pasting Your Data into Excel Spreadsheet

- When report is shown on screen follow these steps:
 1. Hold down CTRL key and press A (all)- the entire screen will turn color.
 2. Hold down CTRL key (again) and press the letter “c” (copy)
 3. Open an Excel spreadsheet
 4. Place you cursor in the top left corner (Column A, Row 1) and Hold down CTRL key (again) and press the letter “v” key. This will paste the data copied into the spreadsheet.
 5. Enter the operator name for Sheet 1.
- Repeat steps 1-5 for 2nd operator

Sample of CareTracker Operator Activity

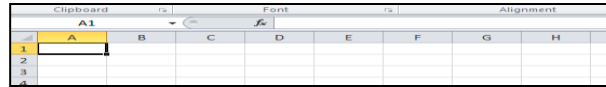
Operator: Type:

Show: Ending on: 

Date	Time	Operator	Name	Patient	Group	Comment
OCT 14, 2013	05:44:15 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	05:44:13 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	04:18:31 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	04:18:30 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	04:04:43 PM	vbigam	Vivian Bigam	Vivian Bigam	Ferrera, Wanyik, Veskovic	Operator Logout of CareTracker. from 72.245.255.90.
OCT 14, 2013	03:50:38 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	03:50:37 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	03:49:46 PM	vbigam	Vivian Bigam	Vivian Bigam	Thomas, John L DO	Operator Logout of CareTracker. from 72.245.255.90.
OCT 14, 2013	02:28:42 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	02:28:41 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	12:21:35 PM	vbigam	Vivian Bigam	Vivian Bigam	Ibarra, Rodolfo MD	Operator Logout of CareTracker. from 72.245.255.90.
OCT 14, 2013	12:21:00 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.90.
OCT 14, 2013	12:14:39 PM	vbigam	Vivian Bigam		Ibarra, Rodolfo MD	Generate Report: from 72.245.255.90.
OCT 14, 2013	12:14:29 PM	vbigam	Vivian Bigam		Ibarra, Rodolfo MD	Generate Report: from 72.245.255.90.
OCT 14, 2013	12:11:17 PM	vbigam	Vivian Bigam		Ibarra, Rodolfo MD	Generate Report: from 72.245.255.90.

How To Paste & Print Document To Excel Worksheet

- Open Excel document.



- Place your cursor in Column A Row 1 and press Control V. The copied Operator log will now appear on the sheet.
 - *Note: Some columns may show ##### symbol.*
- To Open ALL columns simultaneously place your cursor in the upper left hand box (see example) and double click your mouse (the screen will turn blue).

	A	B	C	D	E	F	G
1	Date	Time	Operator	Name	Patient	Group	Comment
2	23-Oct-13	#####	vbigam	Vivian Bigam	Vivian Bigam	Training Gro.	Operator
3	23-Oct-13	#####	vbigam	Vivian Bigam		Training Gro.	Log into
4	23-Oct-13	#####	vbigam	Vivian Bigam		Training Gro.	Log into
5	23-Oct-13	#####	vbigam	Vivian Bigam	Vivian Bigam	Training Gro.	Operator

- While the screen is still blue hover your mouse in the top row until it changes shape to a cross (†). Double click your mouse. All columns will automatically resize.
- To Print your document select File> Print> Page Setup. When the Page setup screen appears you will need to change: Orientation to Landscape & Scaling to Fit 1 to 199, click OK.

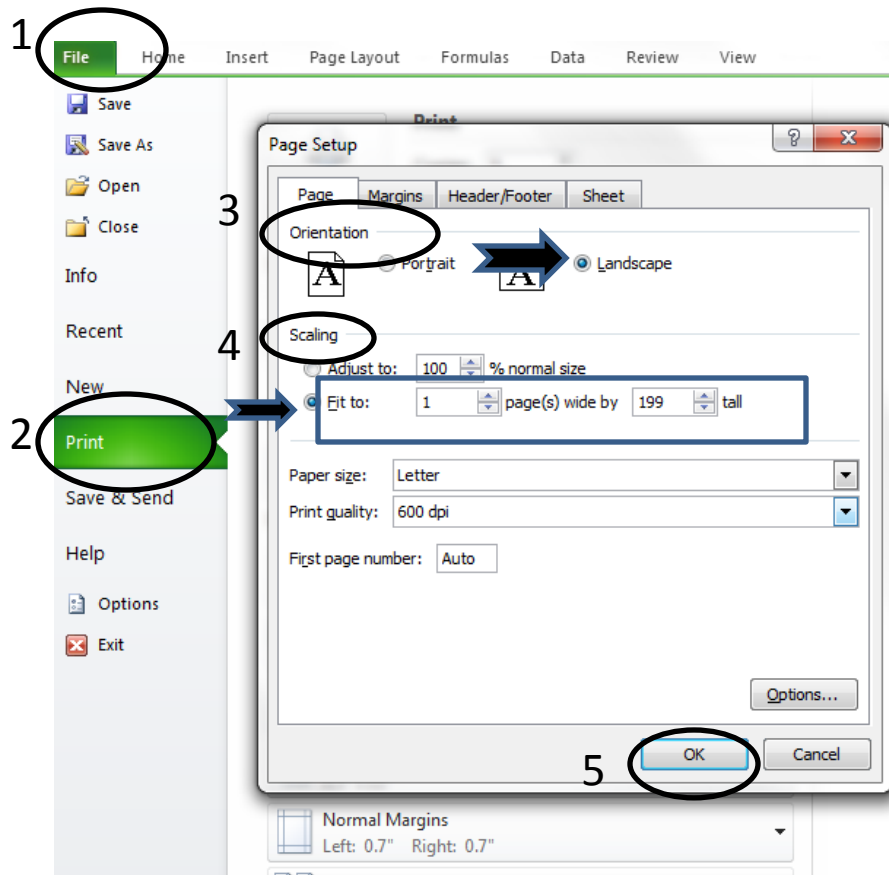
Sample Excel Worksheet

	A	B	C	D	E	F	G	H	I
L	Date	Time	Operator	Name	Patient	Group	Comment		
2	14-Oct-13	5:44:15 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
3	14-Oct-13	5:44:13 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
4	14-Oct-13	4:18:31 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
5	14-Oct-13	4:18:30 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
5	14-Oct-13	4:04:43 PM	vbigam	Vivian Bigam	Vivian Bigam	Ferrera, Wanyik, Veskovic	Operator Logout of CareTracker. from 72.245.255.90.		
7	14-Oct-13	3:50:38 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
3	14-Oct-13	3:50:37 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
9	14-Oct-13	3:49:46 PM	vbigam	Vivian Bigam	Vivian Bigam	Thomas, John L DO	Operator Logout of CareTracker. from 72.245.255.90.		
0	14-Oct-13	2:28:42 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
1	14-Oct-13	2:28:41 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
2	14-Oct-13	12:21:35 PM	vbigam	Vivian Bigam	Vivian Bigam	Ibarra, Rodolfo MD	Operator Logout of CareTracker. from 72.245.255.90.		
3	14-Oct-13	12:21:00 PM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
4	14-Oct-13	12:14:39 PM	vbigam	Vivian Bigam		Ibarra, Rodolfo MD	Generate Report: from 72.245.255.90.		
5	14-Oct-13	12:14:29 PM	vbigam	Vivian Bigam		Ibarra, Rodolfo MD	Generate Report: from 72.245.255.90.		
6	14-Oct-13	12:11:17 PM	vbigam	Vivian Bigam		Ibarra, Rodolfo MD	Generate Report: from 72.245.255.90.		
7	14-Oct-13	11:31:56 AM	vbigam	Vivian Bigam		Ibarra, Rodolfo MD	Generate Report: [Finacial] PC9063\GRP13356\Global - Co		
8	14-Oct-13	11:18:53 AM	vbigam	Vivian Bigam	Mei Test	Ibarra, Rodolfo MD	View Patient Data from 72.245.255.90.		
9	14-Oct-13	11:18:53 AM	vbigam	Vivian Bigam	Mei Test	Ibarra, Rodolfo MD	View Patient Data from 72.245.255.90.		
0	14-Oct-13	11:18:52 AM	vbigam	Vivian Bigam	Mei Test	Ibarra, Rodolfo MD	View Patient Data from 72.245.255.90.		
1	14-Oct-13	10:37:35 AM	vbigam	Vivian Bigam	Mei Test	Mei, Weiping Sarah, MD	View Patient Data from 72.245.255.90.		
2	14-Oct-13	10:37:32 AM	vbigam	Vivian Bigam		Mei, Weiping Sarah, MD	Patient Search: [Last Name=test] [First Name=me] from 72		
3	14-Oct-13	10:36:37 AM	vbigam	Vivian Bigam		Ferrera, Wanyik, Veskovic	Log into CareTracker from Support Link. from 72.245.255.9		
4	14-Oct-13	10:24:26 AM	vbigam	Vivian Bigam	Mei Test	Mei, Weiping Sarah, MD	View Patient Data from 72.245.255.90.		

	Vivian Bigam	Operator name	
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Printing the Excel Report

To Print your document select **File> Print> Page Setup**. When the Page setup screen appears you will need to change: Orientation to Landscape & Scaling to Fit 1 to 199, click OK.

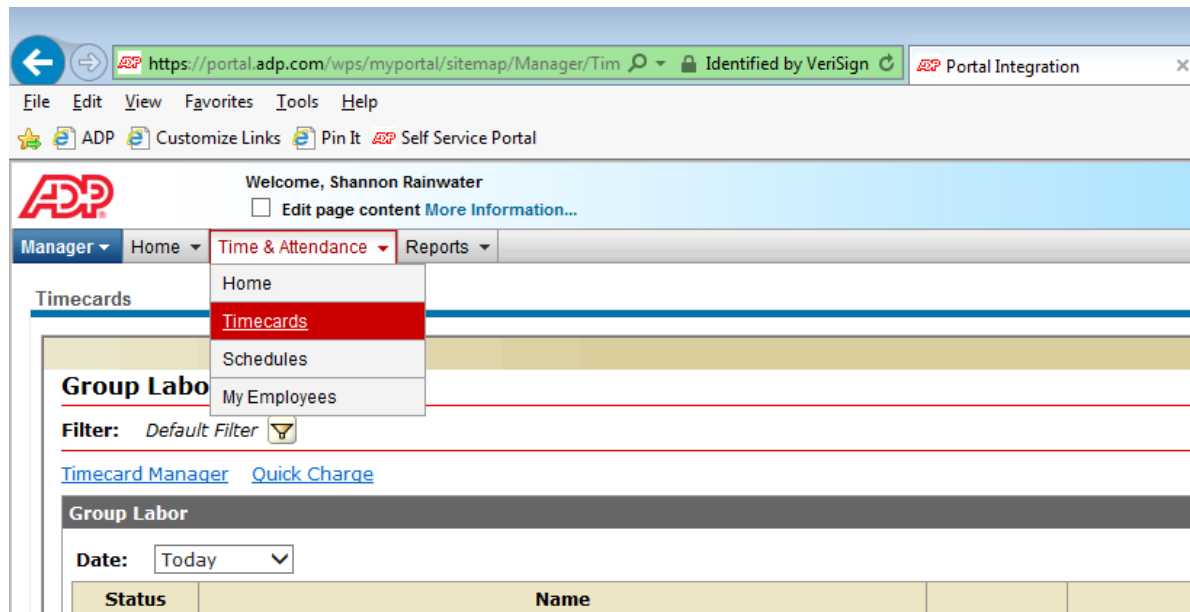


How to Perform the Audit (on the report)

- **For each line on the log:**
 - **Verify** that the operator worked on the date and time indicated in the date and time columns.
 - *Go to “Time and Attendance”, verify operator worked dates and times on report day. See “Verifying Operator Hours” slide*
 - **Verify** that the operator had **authority** to view the patient/group listed. (Is this a task assigned/expected “Security Role” of this staff person?)
 - **Verify** that the operator had **reason and authority** to perform the task listed in “Comments”. (Is there a reason why operator was doing this task?)
- **Any “No” response would need to be reported along with the log, to the Privacy Officer, and Systems Management Security Officer, and any incident would be reported on the form “SF-1090”**

Verifying Operator Hours

To verify that an employee or operator was on duty at the time they appear on the log, you may use ADP Time & Attendance:



1. Log On to ADP Time & Attendance System
2. Scroll over the **“Time & Attendance”** Tab, a drop down menu will appear
3. Click on **“Timecards”**
4. Click the link **“Timecard Manager”**

Verifying Operator Hours (cont.)

The screenshot shows the ADP Timecard Manager interface. At the top, the browser address bar displays "https://portal.adp.com/wps/myportal/sitemap/Manager/Tim" and "Identified by VeriSign". The page title is "Portal Integration". Below the browser, there are navigation links for "File", "Edit", "View", "Favorites", "Tools", and "Help". The main content area shows the breadcrumb "You are here: Group Labor > Timecard Manager". A filter section includes "Filter: Default Filter" and "(127 of 208)". The employee name "Miramontes, Gustavo (OU4000769)" is selected. The "Pay Date Range" is set to "User-Defined Date Range" with dates "10/17/2013" to "10/17/2013". A search box contains "miram" and a dropdown menu shows "0U4000769 Miramontes, Gustavo" and "0U4002085 Miramontes Maciel, Alicia". Below the search are buttons for "Save" and "Save & Calculate". A table displays the timecard data for 10/17/2013:

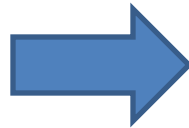
Select	Supervisor Approval	Date In	Time In	Time Out	Hours
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Thu 10/17/2013	09:00 AM	09:30 AM	0.50
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Thu 10/17/2013	09:30 AM	12:30 PM	3.00
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Thu 10/17/2013	01:00 PM	05:30 PM	4.50
Total Hours:					8.00

At the bottom of the table are buttons for "Save", "Save & Calculate", "Insert", "Copy", "Paste", "Clear", and "Delete".

5. Type and then select the employee's last name into the **"Find"** field, their timecard will pull up
6. Select **User Defined Date Range** from the **"Pay Date Range"** drop down menu
7. Enter the date you are looking for in both the first and second date fields
8. Click **Find**
9. The hours they were clocked in will appear for you to verify.

Create Your Audit Report

After completing your audit, you will create an Audit Report.



Download the Audit Report form, go to ArgusLink.

MEDICAL MANAGEMENT, LLC
The Physician Practice Management Company

AUDIT REPORT FOR: OPERATORS/USERS ACTIVITY ON OPTUM CARETRACKER SYSTEM

DOCTOR OFFICE: _____

Name of who Performed Audit: _____
Position Title of Auditor: _____
Date the Audit was Performed: _____

A. AUDIT REPORT DETAILS

Name of Employee / System User: _____
Date/Dates of Operator Report: _____

Questions to be Answered by Auditor:

1) Did the Auditor find "UNUSUAL" Activity on the User?
_____ NO. There is no unusual activity found on the employee/user. *Skip 2), proceed to B.*
_____ YES. Unusual activity is/are found on the user.

If YES, the auditor must fillout **FORM SF-1090 (Operator Log Audit Incident Report Form)**
Note: This form is available to view and print on ArgusLink.

2) Did the Auditor NOTIFY the Security Officer? _____ YES _____ NO
Note: Security Officials & their contact information are available on ArgusLink.

If NO, pls explain. _____

If YES, pls provide details.
Name of Security Official: _____
Date & Time Reported to Official: _____

B. AUDIT ENCLOSURES / ATTACHMENTS

1) This Audit Report (completely filled out) .
2) CareTracker Optum Operator Activity Report (with signatures of Auditor on each page) .
3) If any incident, add FORM SF-1090 (must be completely filled out) .

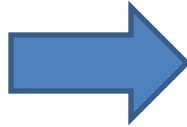
C. FILE THIS REPORT

Auditor will attach this sheet to the **Operator Activity Report** (generated from Optum) and if there is an incident, enclose **FORM SF-1090** (must be completely filled out) and **SEND TO: ARGUS MEDICAL MANAGEMENT ATTENTION: PEACHY PAULINO, Security Official Team Member.**
Note: Use a secure and sealed envelope.



REPORTING AUDITOR SIGN OFF: _____
Auditor Signature / Date

FOR ANY INCIDENT: Fill Out FORM SF-1090

If the Auditor finds any “unusual” activity on the Operator/User being audited, it is required to fill out the FORM SF-1090.



Download FORM SF-1090, go to ArgusLink.

 **Form SF-1090** 

OPERATOR LOG AUDIT INCIDENT REPORT FORM

INCIDENT DATE: _____ **REPORT DATE:** _____

OPERATOR (STAFF) NAME: _____ **PHYSICIAN NAME:** _____

ATTACH COPY OF THE AUDIT LOG WITH PATIENT NAMES, DATES AND TIMES AND COMMENTS

STAFF NAME COMPLETING REPORT: _____

STAFF NAME(S) INVOLVED IN INCIDENT: _____

NATURE OF INCIDENT: Viewed unauthorized patient data Altered unauthorized data
 Copied/Downloaded unauthorized data Other, please explain any of these incidents in detail below.

CONSEQUENCE OF THE ERROR: (i.e. patient information altered needs correction, stolen, sold, etc.)

CORRECTIVE ACTION / SANCTION PLAN: *(Work with HIPAA Privacy Officer to develop plan to prevent recurrence)*

CORRECTIVE ACTION TIMEFRAME: Immediately One Week Two Weeks One Month

DATE FOR COMPLETION: _____ **DATE COMPLETED:** _____

A COPY OF THIS REPORT SHOULD BE SENT TO: the **PHYSICIAN**, the **REGIONAL MANAGER**, the

Send Audit Report & Attachments to Argus

- The Audit Report packet includes the following:
 1. The Audit Report, completely filled out. *(see page 14)*
 2. Operator Activity Report on the excel format, printed and with your signature on each page. *(see page 9)*
 3. ONLY IF ANY INCIDENT, add the FORM SF-1090, completely filled out. *(see page 15)*
- Send the Audit Report Packet to Argus:
 1. Put 1, 2 and 3 (if applicable) together and enclose in a secure and sealed envelope.
 2. Put under ATTENTION: Peachy Paulino, Security Official Team Member.

VIEW Audit Report on eBridge

To view or access your Audit Reports, go to ArgusLink.

Click the eBridge icon.

You will be given a Username and Password on eBridge.

Contact HelpDesk for any issues on your login.

The screenshot shows the ArgusLINK website interface. The top navigation bar includes links for Home, Billing & Cred, EMR, Operations & Risk Mgmt, HIPAA-MU (selected), HR & Payroll, Accounting, My Account, and Users Grid. The date is Wednesday, October 30, 2013. The main content area is titled 'HIPAA-MU' and contains several sections:

- MU Audit Program**: Information about the Meaningful Use (MU) AUDIT PREPARATION PROGRAM, including instructions for participation and contact information for Vivian Bigam.
- HIPAA/MU Audit/HITECH Bulletin**: Guidelines for Meaningful Use Audits, listing three key steps: knowing where to access the HIPAA Manual, where to find the Auditor's Checklist, and where to find Historical Audit Reports & Logs.
- HIPAA Manual with Forms and Logs to Print**: A complete manual of all policies and procedures for office compliance with federal HIPAA privacy and security regulations. It includes links to the HIPAA MANUAL (2013, 2012, and 2011 versions) and FORMS & LOGS (2013 HIPAA Revised PF - 1000 Notice PrivacyPractices, 2013 HIPAA Form PF - 3000 Auth Release, 2013 HIPAA Form PF - 4000 Tracking Log Requests Amend Disclosures, 2013 HIPAA Form PF - 5000 Authorization To Communicate, 2013 HIPAA Form PF - 6000 Record Of Destruction, 2013 HIPAA Form PF - 7000 Verification Identity, 2013 HIPAA Form PF - 8000 Incident Report Form, 2013 HIPAA Form SF - 1080 Temporary Access Log, and 2013 HIPAA Form SF - 1010 Visitor Log).
- HIPAA-MU Audit Team**: A list of team members with their photos and contact information: Linda Grow (Privacy Officer), Vivian Bigam (Security Official, EMR Specialist), Pegi Comer (RN, MHA Security Official, EMR Specialist), and Christine Yoshioka (Security Official, EMR Specialist).

A red circle highlights the 'Historical Audits & Logs' link in the bottom left section, which states: 'To view electronic copy of documentations on previous Audits (internal and external) & HIPAA Logs, login to eBridge.' A purple arrow points from the text on the left to this link.

VIEW Audit Report on eBridge (cont.)

When you login to eBridge → click RETRIEVE tab → you will see this screen

The screenshot shows the eBridge search interface. It features three main search sections: 'Index Search', 'Scan Date Search', and 'Text Search'. The 'Index Search' section includes four input fields: 'Doctor Office', 'Type of Audit', 'Document Type', and 'Month/Year'. The 'Scan Date Search' section has 'Start Date' and 'End Date' fields, each with a calendar icon. The 'Text Search' section has a single large text input field. A green 'Search' button is located at the bottom center of the form.

Select: INTERNAL AUDIT

This is a close-up of the 'Document Type' dropdown menu. The menu is open, displaying four options: 'CMS Letters', 'Employee Training', 'Office Assessment', and 'Operator Activity Log on Optum'. The 'Operator Activity Log on Optum' option is highlighted with a red circle.

Select: OPERATOR ACTIVITY LOG on Optum

QUESTIONS?

Contact the Security Official Team

Linda Grow – 1.562.299.5203, lgrow@argusmso.com

Vivian Bigam – 1.562.299.5220, vbigam@argusmso.com

Peachy Paulino – 1.562.299.5252, ppaulino@argusmso.com