

## **HIPAA - Accounting of Disclosures Audit & Monitoring**

### **Audit Program**

#### **Patient Right**

*Upon request, an accounting of all of the protected health information maintained in his or her medical or billing records made during the six years preceding the patient's request. (however, not before April 14, 2003)*

The Process – Review the policy and privacy regulation requirements. Disclosure Trac software is used by a department to enter pre-defined disclosure events into an input screen. When a patient requests an Accounting of Disclosures for a specific period of time (i.e. 4/14/2003 – 12/31/2006), then the Accounting Disclosure Report is printed. Examples – infection control – CDC reporting, cancer registry, registration - dog bites, government agencies, etc.

#### Objectives:

Determine departments are consistently entering the re-defined disclosure events, all required information is included, test the ability to print accounting of disclosures upon request, and review the entire process related to actual patient requests.

#### Requirements:

1) Date of disclosure, 2) Name of entity or person; if known the address, 3) Brief description of what was disclosed, and 4) Brief statement of the purpose that informs reader of the basis for the disclosure. Must provide within 60 days of the patient's request. However, an exception is suspension – a health oversight agency or law enforcement official enforcement may suspend a patient's right to receive an accounting.

#### Audit Steps:

##### Monitoring (input and retrieval)

1. Request the Disclosures Audit Report monthly or for a period of time (i.e. 7/1/2006 – 12/31/2006) from medical records.
2. Review for reasonableness – number of events per department; do all department have entries? If not, investigate why?
3. Select 10 patients during the period and request the accounting of disclosure
4. Examine for completeness
5. Depending on results, you may want to audit.

##### Auditing (input, retrieval and the entire process, compliance with requirements)

1. Request the Disclosure Audit Report for the period 4/14/2003 – 12/31/2006 from medical records.
2. Review for reasonableness - the number of events per department
3. Select 50 – 100 patients with disclosure events and request the accounting of disclosure
4. Examine for completeness
5. Identify any actual patient requests for an accounting of disclosure

- a. review the request
  - b. assure the identity of the requester was confirmed
  - c. determine if there was check for suspension of accounting
  - d. review for completeness (the 4 requirements)
  - e. review compliance with the 60 day period
  - f. If, more than one accounting in a 12-month period a fee should have been charged.
6. Prepare an audit report with background, objective, scope, conclusions, recommendations (if necessary), and mitigate any problems (corrective action).
  7. Follow-up with-in 30-90 days to determine corrective action was taken by management.