AALNC Annual Forum 2024
APRIL 18 – 20 · PITTSBURGH, PA
PRE-FORUM: APRIL 18
OMNI PITTSBURGH HOTEL

AALNC

The EHR Audit Trail Enigma: Understanding the benefits and uses of these mysterious documents

Pamela Hernandez, MBA-HML, BSCJ, RN, CPC, LNC

Shelly Combs, BSN, RN, EMT-B, CEN, CADS, LNC

Amy Puls, MSN, RN, APNP, FNP-BC

Conflict of Interest Disclosure

- We, Pamela Hernandez, Shelly Combs & Amy Puls, certify that, to the best of our knowledge, no affiliation or relationship of a financial nature with a commercial interest organization has significantly affected our views on the subject which is being presented.

AALNC
Annual Forum 2024

AALNC

Learner Outcomes/Objectives

- Discuss the basic rules and regulations that govern the production of EHR audit trails

- Identify 3 common uses for EHR audit trail analysis in medical malpractice

- Identify and discuss how education related to EHR audit trail analysis is beneficial in the medical malpractice field

Our Why

Collectively we are three diverse and experienced nurses who joined forces in late 2022 to provide education to others related to EHR audit trail analysis. The benefits of EHR audit trails in the medical malpractice arena are extensive and it is expected that the use of the data collected within the audit trails will only continue to grow. Our goal is to provide education that is valuable to others in both the healthcare and legal arena.

Audit Trail Requirements

Requirements and standards related to Audit Trails

Pamela Hernandez, MBA-HML, BSCJ, RN, CPC, LNC

Audit Trails and Their Requirements

- What is an Audit Trail?

  - Audit Trail is defined as "a record that shows who has accessed a computer system, when it was accessed, and what operations were performed during the access period."

Audit Trails and Their Requirements

- Audit Trail
  - Retention
  - Technology Requirements
  - Regulations

Audit Trails

Technology Requirements	Regulation
American Recovery & Reinvestment Act	CFR
Office of the National Coordinator for Health Information Technology (ONC-HIT)	CMS
HITECH	HIPAA
NIST	Federal Rules of Civil Procedure
	ASTM Standards

The Courts and Production

- Consistently, defendants argue that the audit trail is not relevant and, therefore, the Court should deny its disclosure.

- Many defendants state audit trail requests are a "fishing expedition".

- Many defendants argue that audit trail requests place an undue burden

REQUIREMENTS RECAP

- Audit Trails are the DNA of the medical record.

- EHR users are not required to retain audit trails.
  - They are required to retain audit data.
  - This data (sometimes called metadata) is generated during the creation of each individual's medical record.

- Audit Trails are not burdensome and are relevant to medical records review. They provide proof of authenticity and proof of accuracy of the EHR.

- Any facility that receives federal funding must use an ONC certified electronic medical records system and be able to provide an audit trail.

Audit Trail Analysis Benefits in Medical Malpractice

What can the audit trail show us and why should be analyzing the data

Shelly Combs, BSN, RN, EMT-B, CEN, CADS, LNC

AALNC Annual Forum 2024
APRIL 18 – 20 · PITTSBURGH, PA
PRE-FORUM: APRIL 18
OMNI PITTSBURGH HOTEL

3 Common Findings with Analysis

- Views of the record
  - Who
  - What
  - When

- Signing Actions
  - Pend/Save
  - Addendums
  - Sign

- Additional Discovery Documents
  - All the things we don't typically get with the printed legal record

Viewing actions.........Epic

	Timestamp (CDT)	Access By Name	Event	Event Area	Type	Encounter	Platform	Workstation	Associated Data
109	06/02/2017 08:15:40 AM	Yogibear, Ranger, MD	Report with patient data viewed	Patient Clinical Info	View	N/A	Hyperspace	KS839SP02WS8680	Report viewed KS HOME MEDS (NAVIGATOR) [50075160]
110	06/02/2017 08:15:40 AM	Yogibear, Ranger, MD	Report with patient data viewed	Patient Clinical Info	View	N/A	Hyperspace	KS839SP02WS8680	Report viewed Visit Info Reports: Recent Visits to Others in Visit Providers Specialty [22330]
111	06/02/2017 08:15:40 AM	Yogibear, Ranger, MD	Report with patient data viewed	Patient Clinical Info	View	N/A	Hyperspace	KS839SP02WS8680	Report viewed Visit Info Reports: Recent Visits to Visit Provider [22326]
112	06/02/2017 08:15:40 AM	Yogibear, Ranger, MD	Report with patient data viewed	Patient Clinical Info	View	N/A	Hyperspace	KS839SP02WS8680	Report viewed REFERRING PROVIDER NAV SEC [30070031]
113	06/02/2017 08:15:49 AM	Yogibear, Ranger, MD	View clinical notes section	Clinical Notes	View	Office Visit on 06/02/17	Hyperspace	KS839SP02WS8680	Note IDs Progress Notes by Yogibear, Ranger, MD on 06/02/17 [191732267] Note accessed from Patient Chart Visit Navigator SEC_CHARTING_MULTIPLE [118]
114	06/02/2017 08:15:51 AM	Yogibear, Ranger, MD	Visit Navigator Flowsheet section viewed	Flowsheets	View	Office Visit on 06/02/17	Hyperspace	KS839SP02WS8680	Flowsheet Template KSC PAIN SOAPP-R [133]
115	06/02/2017 08:15:51 AM	Yogibear, Ranger, MD	Report with patient data viewed	Patient Clinical Info	View	N/A	Hyperspace	KS839SP02WS8680	Report viewed KSC PAIN_SOAPPR_SCORING [800001]
116	06/02/2017 08:20:43 AM	Yogibear, Ranger, MD	Order Entry activity accessed	Orders	View	Office Visit on 06/02/17	Hyperspace	KS839SP02WS8680	
122	06/02/2017 08:23:56 AM	Yogibear, Ranger, MD	Report with patient data viewed	Patient Clinical Info	View	N/A	Hyperspace	KS839SP02WS8680	Report viewed KSC PAIN_SOAPPR_SCORING [800001]
123	06/02/2017 08:23:56 AM	Yogibear, Ranger, MD	Report with patient data viewed	Patient Clinical Info	View	N/A	Hyperspace	KS839SP02WS8680	Report viewed KS HOME MEDS (NAVIGATOR) [50075160]

Viewing actions.........Cerner

Date & Time	Personnel Name	User ID	Role	Device Name	Application	Access Type	Event	Event Name	Event Type	Event Description
4	09/12/2019 22:25:51 CDT			WH UC/PCT Bed Placement	STVNFLCTX82/5PBD0S2	HNA: Powerchart	View	Care Plan - View	Care Plan	Read	The user selected plan profile within powerorders to view plans
5	09/12/2019 22:25:51 CDT			WH UC/PCT Bed Placement	STVNFLCTX82/5PBD0S2	HNA: Powerchart	View	Order Profile - View	View Orders	Order Profile	The user viewed the order profile from powerorders/medication list
24	09/12/2019 22:23:33 CDT			WH UC/PCT Bed Placement	STVNFLCTX82/5PBD0S2	HNA: Powerchart	View	Clinical Diagnosis - View	Clinical Diagnoses	Read	Diagnoses were visible or a process associated with diagnoses was viewed
25	09/12/2019 22:23:33 CDT			WH UC/PCT Bed Placement	STVNFLCTX82/5PBD0S2	HNA: Powerchart	View	Procedures - View	Procedures	Read	Procedures were visible or a process associated with procedures was viewed, such as an order
26	09/12/2019 22:23:33 CDT			WH UC/PCT Bed Placement	STVNFLCTX82/5PBD0S2	HNA: Powerchart	View	Care Plan - View	Care Plan	Read	The user selected plan profile within powerorders to view plans
28	09/12/2019 22:23:33 CDT			WH UC/PCT Bed Placement	STVNFLCTX82/5PBD0S2	HNA: Powerchart	View	Order Profile - View	View Orders	Order Profile	The user viewed the order profile from powerorders/medication list
32	09/12/2019 22:22:17 CDT			WH UC/PCT Bed Placement	STVNFLCTX82/5PBD0S2	HNA: Powerchart	View	IView - Open	Interactive View	View	The user opened the interactive view
96	09/12/2019 18:40:40 CDT			WH RN	STVNFLCTX63/5NQC0S2	HNA: Powerchart	View	Clinical Diagnosis - View	Clinical Diagnoses	Read	Diagnoses were visible or a process associated with diagnoses was viewed
97	09/12/2019 18:40:40 CDT			WH RN	STVNFLCTX63/5NQC0S2	HNA: Powerchart	View	Procedures - View	Procedures	Read	Procedures were visible or a process associated with procedures was viewed, such as an order
98	09/12/2019 18:40:40 CDT			WH RN	STVNFLCTX63/5NQC0S2	HNA: Powerchart	View	Clinical Diagnosis - View	Clinical Diagnoses	Read	Diagnoses were visible or a process associated with diagnoses was viewed
15	09/12/2019 18:37:38 CDT			WH RN	STVNFLCTX63/5NQC0S2	HNA: Powerchart	View	IView - Open	Interactive View	View	The user opened the interactive view
17	09/12/2019 18:36:26 CDT			WH RN	STVNFLCTX63/5NQC0S2	HNA: Powerchart	View	IView - Open	Interactive View	View	The user opened the interactive view
18	09/12/2019 18:35:02 CDT			WH RN	STVNFLCTX63/5NQC0S2	HNA: Powerchart	View	IView - Open	Interactive View	View	The user opened the interactive view
18	09/12/2019 18:34:59 CDT			WH RN	STVNFLCTX63/5NQC0S2	HNA: Powerchart	View	IView - Open	Interactive View	View	The user opened the interactive view

Signing Actions........Epic

	Timestamp (CDT)	Access By Name	Event	Event Area	Type	Encounter	Platform	Workstation	Associated Data
675	07/12/2017 10:51:51 AM	Yogibear, Ranger, MD	Pend clinical note	Clinical Notes	Modify	Office Visit on 07/12/17	Hyperspace	KS847SM01WS6987	Note Progress Notes by Yogibear, Ranger, MD on 07/12/17 [193152767] Note accessed from Patient Chart
679	07/12/2017 10:51:56 AM	Yogibear, Ranger, MD	Clinical Note Signed	Clinical Notes	Modify	Office Visit on 07/12/17	Hyperspace	KS847SM01WS6987	Note Progress Notes by Yogibear, Ranger, MD on 07/12/17 [193152767]
725	07/14/2017 04:15:10 PM	Yogibear, Ranger, MD	Clinical Note Signed	Clinical Notes	Modify	Office Visit on 07/12/17	Hyperspace	KS239SP02WS8658	Note Progress Notes by Yogibear, Ranger, MD on 07/12/17 [193277682]
859	07/17/2017 10:06:23 AM	Heart, Clogged J, MA II	Clinical Note Signed	Clinical Notes	Modify	Office Visit on 07/12/17	Hyperspace	KS739SP02WS8686	Note Progress Notes by Heart, Clogged J, MA II on 07/12/17 [193309289]
1301	07/18/2017 09:01:31 AM	Tropical, Annie, DC	Pend clinical note	Clinical Notes	Modify	Office Visit on 07/17/17	Hyperspace	KS739SP02WS8662	Note Progress Notes by Tropical, Annie, DC on 07/18/17 [193356633] Note accessed from Patient Chart
1302	07/18/2017 09:01:32 AM	Tropical, Annie, DC	Clinical Note Signed	Clinical Notes	Modify	Office Visit on 07/17/17	Hyperspace	KS739SP02WS8662	Note Progress Notes by Tropical, Annie, DC on 07/18/17 [193356633]
1353	07/18/2017 09:28:08 AM	Tropical, Annie, DC	Pend clinical note	Clinical Notes	Modify	Office Visit on 07/18/17	Hyperspace	KS839SP02WS4714	Note Progress Notes by Tropical, Annie, DC on 07/18/17 [193359110] Note accessed from Patient Chart

Signing Actions........Cerner

	Date & Time	Personnel Name	User ID	Role	Device Name	Application	Access Type	Event	Event Name	Event Type	Event Description
266	09/12/2019 13:30:04 CDT			Care Management Staff	STVNFLCTX83/C9KDMF2	HNA: Powerchart	Sign	Clinical Document - Sign	Maintain Clinical Document	Attempt to Sign Document	The user signed a clinical document
525	09/12/2019 09:26:32 CDT			WH Physician	STVNFLCTX34/43YYJB2	HNA: Powerchart	Sign	Clinical Document - Sign	Maintain Clinical Document	Attempt to Sign Document	The user signed a clinical document
526	09/12/2019 09:26:32 CDT			WH Physician	STVNFLCTX34/43YYJB2	HNA: Powerchart	Modify	Clinical Document - Modify	Maintain Clinical Document	Attempt to Modify Document	The user modified a clinical document
755	09/12/2019 06:45:03 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Modify	Clinical Document - Modify	Maintain Clinical Document	Attempt to Modify Document	The user modified a clinical document
756	09/12/2019 06:45:03 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Modify	Clinical Document (no sign/authenticate privilege) - Submit	Maintain Clinical Document	Attempt to Submit Document	A user without sign/authenticate privileges submitted a clinical document to another provider for authentication. Seen generated by these products: Medical Transcription Management and PowerNote.
774	09/12/2019 05:48:46 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Modify	Clinical Document - Save	Maintain Clinical Document	Attempt to Save Document	The user saved a clinical document
775	09/12/2019 05:48:46 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Modify	Clinical Document - Save	Maintain Clinical Document	Attempt to Save Document	The user saved a clinical document
777	09/12/2019 05:43:58 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Add	Clinical Document - Copy Forward	Maintain Clinical Document	Attempt to Copy Forward Document	The user copied a structured document to a new document
780	09/12/2019 05:43:58 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Add	Clinical Document Smart Template - Insert	Maintain Clinical Document	Attempt to Insert Smart Template	The user inserted a smart template into a document
784	09/12/2019 05:43:58 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Add	Clinical Document Smart Template - Insert	Maintain Clinical Document	Attempt to Insert Smart Template	The user inserted a smart template into a document
1578	09/11/2019 15:19:16 CDT			Care Management Staff	STVNFLCTX84/C9KDMF2	HNA: Powerchart	Sign	Clinical Document - Sign	Maintain Clinical Document	Attempt to Sign Document	The user signed a clinical document
1908	09/11/2019 07:38:25 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	Modify	Clinical Document - Modify	Maintain Clinical Document	Attempt to Modify Document	The user modified a clinical document
1909	09/11/2019 07:38:25 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	Sign	Clinical Document - Sign	Maintain Clinical Document	Attempt to Sign Document	The user signed a clinical document
1921	09/11/2019 07:23:47 CDT			WH Midlevel	STVNFLCTX63/93VJZC2	HNA: Powerchart	Modify	Clinical Document (no sign/authenticate privilege) - Submit	Maintain Clinical Document	Attempt to Submit Document	A user without sign/authenticate privileges submitted a clinical document to another provider for authentication. Seen generated by these products: Medical Transcription Management and PowerNote.

The Unknown Documents........Epic

	B	C	E	F	G	K	L	N	O
1	Timestamp (CDT)	Access By Name	Event	Event Area	Type	Encounter	Platform	Workstation	Associated Data
158	06/02/2017 10:59:51 AM	Yogibear, Ranger, MD	In Basket message viewed	Patient Clinical Info	View	Office Visit on 06/02/17	Hyperspace	KS239SP02WS8658	VIEW EXTENSION REPORT - RESULTS [1005500], KS LAST 5 APPT REPORT [40150700] In Basket message 105326732 Message type Results
177	06/02/2017 02:57:32 PM	Heart, Clogged J, MA II	In Basket message viewed	Patient Clinical Info	View	Office Visit on 06/02/17	Hyperspace	KS739SP02WS8686	Print group report IDs IN BASKET: CONSOLIDATED STANDARD HEADER [5506], EpicView Report [2599] In Basket message 105339766 Message type Result Notes
182	06/02/2017 02:57:36 PM	Heart, Clogged J, MA II	In Basket message viewed	Patient Clinical Info	View	Office Visit on 06/02/17	Hyperspace	KS739SP02WS8686	Print group report IDs IN BASKET: CONSOLIDATED STANDARD HEADER [5506], EpicView Report [2599] In Basket message 105339766 Message type Result Notes

	B	C	E	F	G	K	L	N	O
1	Timestamp (CDT)	Access By Name	Event	Event Area	Type	Encounter	Platform	Workstation	Associated Data
416	07/08/2017 11:33:12 AM	Winters, OldMan, MD	BestPractice Advisories displayed	Patient Clinical Info	View	Office Visit on 07/08/17	Hyperspace	KS853FM03WS7533	ALERT_ID 723 ALT_DAT 57059 ALT_ID 34797041
417	07/08/2017 11:33:14 AM	Winters, OldMan, MD	BestPractice Advisories viewed	Patient Clinical Info	View	Office Visit on 07/08/17	Hyperspace	KS853FM03WS7533	ALERT_ID 723 ALT_DAT 57059 ALT_ID 34797041

The Unknown Documents........Epic

	B	C	E	F	G	K	L	N	O
1	Timestamp (CDT)	Access By Name	Event	Event Area	Type	Encounter	Platform	Workstation	Associated Data
1116	07/17/2017 03:02:45 PM		Image viewed	Documents	View	N/A	Hyperspace	KS708FD02WS6647	Coverage subscriber Ratchett, Mickey [1634605] Document name 29239779
1117	07/17/2017 03:02:45 PM		Image viewed	Documents	View	N/A	Hyperspace	KS708FD02WS6647	
1120	07/17/2017 03:03:47 PM		Image viewed	Documents	View	N/A	Hyperspace	KS708FD02WS6647	Coverage subscriber Ratchett, Mickey [1634605] Document name 15369276

	B	C	E	F	G	K	L	N	O
1	Timestamp (CDT)	Access By Name	Event	Event Area	Type	Encounter	Platform	Workstation	Associated Data
316	07/08/2017 11:07:08 AM	Tiptop, Quietly R, CMA I	Care Everywhere document accessed	Patient Clinical Info	View	N/A	Hyperspace	KS753FM03WS7605	Care Everywhere Document Clinical Summary received from CHI St. Luke's Health on 07/08/2017

	B	C	E	F	G	K	L	N	O
1	Timestamp (CDT)	Access By Name	Event	Event Area	Type	Encounter	Platform	Workstation	Associated Data
139	06/02/2017 08:31:12 AM	Redhot, Cinnamon	Imaging Exam begun	Patient Clinical Info	Modify	Appointment on 06/02/17	Hyperspace	KS239XR01WS5915	Order IDs Imaging ordered on 06/02/17 - LUMBAR SPINE 2 VIEWS UPRIGHT [78295451]
151	06/02/2017 08:40:06 AM	Redhot, Cinnamon	Imaging Exam ended	Patient Clinical Info	Modify	Appointment on 06/02/17	Hyperspace	KS239XR01WS0964	Order IDs Imaging ordered on 06/02/17 - LUMBAR SPINE 2 VIEWS UPRIGHT [78295451]

The Unknown Documents.....Cerner

	Date & Time	Personnel Name	User ID	Role	Device Name	Application	Access Type	Event	Event Name	Event Type	Event Description
537	09/12/2019 09:25:51 CDT			WH Physician	STVNFLCTX34/43YYJB2	HNA: Powerchart	Message	Inbox - View	Inbox	View Message	The user viewed an item in inbox
538	09/12/2019 09:25:51 CDT			WH Physician	STVNFLCTX34/43YYJB2	HNA: Powerchart	Message	Inbox - View	Inbox	View Message	The user viewed an item in inbox
1914	09/11/2019 07:35:11 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	Message	Inbox - View	Inbox	View Message	The user viewed an item in inbox
2004	09/11/2019 07:04:24 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	Message	Inbox - View	Inbox	View Message	The user viewed an item in inbox
2076	09/11/2019 07:01:16 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	Message	Inbox - View	Inbox	View Message	The user viewed an item in inbox

	Date & Time	Personnel Name	User ID	Role	Device Name	Application	Access Type	Event	Event Name	Event Type	Event Description
780	09/12/2019 05:43:58 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Add	Clinical Document Smart Template - Insert	Maintain Clinical Document	Attempt to Insert Smart Template	The user inserted a smart template into a document
784	09/12/2019 05:43:58 CDT			WH Midlevel	STVNFLCTX41/93VJZC2	HNA: Powerchart	Add	Clinical Document Smart Template - Insert	Maintain Clinical Document	Attempt to Insert Smart Template	The user inserted a smart template into a document
1934	09/11/2019 07:22:28 CDT			WH Midlevel	STVNFLCTX63/93VJZC2	HNA: Powerchart	Add	Clinical Document Smart Template - Insert	Maintain Clinical Document	Attempt to Insert Smart Template	The user inserted a smart template into a document
3152	09/10/2019 17:17:06 CDT			WH Midlevel	STVNFLCTX55/93VJZC2	HNA: Powerchart	Add	Clinical Document Smart Template - Insert	Maintain Clinical Document	Attempt to Insert Smart Template	The user inserted a smart template into a document

	Date & Time	Personnel Name	User ID	Role	Device Name	Application	Access Type	Event	Event Name	Event Type	Event Description
2006	09/11/2019 07:04:15 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	View	Care Plan - View	Care Plan	Read	The user selected plan profile within powerorders to view plans
2007	09/11/2019 07:04:15 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	View	Order Profile - View	View Orders	Order Profile	The user viewed the order profile from powerorders/medication list
2028	09/11/2019 07:02:57 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	View	Care Plan - View	Care Plan	Read	The user selected plan profile within powerorders to view plans
2036	09/11/2019 07:02:56 CDT			WH Physician	STVNFLCTX93/43YYJB2	HNA: Powerchart	View	Order Profile - View	View Orders	Order Profile	The user viewed the order profile from powerorders/medication list

When Should The Audit Trail Be Considered?

- To validate the integrity of records
  - To ensure **ALL** available records were provided
  - EVERY SINGLE CASE
- Abnormal signing actions
  - Signatures days, months, or weeks later
  - A timeframe that seems to have been altered or edited
- Abnormal or inconsistent entries
  - Often your gut instinct
  - Bulk entries at the exact same time
  - Potential missing information

3 Steps to Recommending an Audit Trail

- **Identify** the **need** (always recommend the AT)
  - Missing records
  - Large time gaps
  - Suspicious addendums, signatures, or documentations
- **Illustrate** the **reason**
  - Paint the picture
- **Display** the **benefit**
  - Describe possible outcomes

Identify the Need

Case Study

Ms. B was seen for an annual physical by her PCP on 09/10/2018. She was having dyspareunia. A pelvic exam was not performed at that appointment due to time constraints. Ms. B indicates she was asked to make another appointment to address this issue. **DYSPAREUNIA**

Due to scheduling difficulties, her provider canceling appointments, and appointments scheduling out quite far, Ms. B was not able to get back in for her pelvic until the following year when she returned for another CPE. **NO PELVIC EXAM PERFORMED**

She continued to have dyspareunia and was now also experiencing post-coital bleeding. A pap was attempted, but due to significant cervical mass it was not completed. She was subsequently referred for pelvic ultrasound and Gynecology appointment. **DYSPAREUNIA AND POST-COITAL BLEEDING WITH CERVICAL MASS**
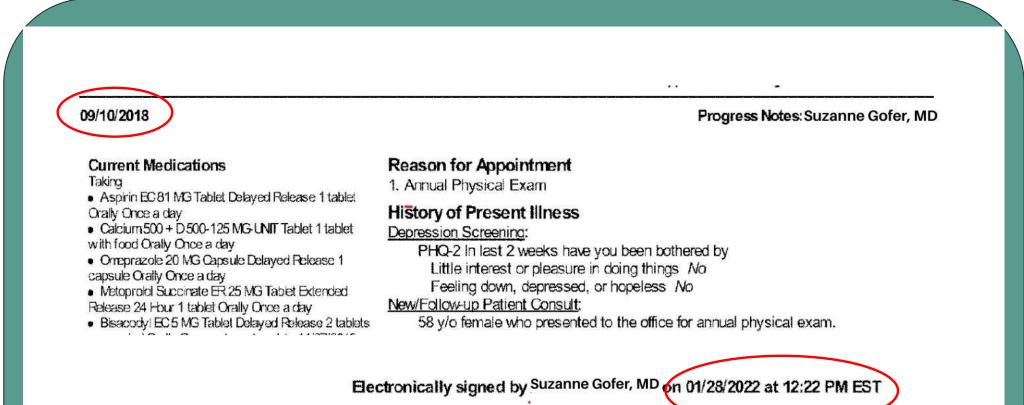
She was diagnosed with cervical cancer with metastasis and is pursuing litigation against her PCP for delayed care and diagnosis. Her PCP, Dr. Gofer is indicating she was unaware of any concerns for dyspareunia and would have performed a pelvic exam initially if she was aware. **DELAYED CANCER DIAGNOSIS**

Illustrate the Reason

09/10/2018
Progress Notes: Suzanne Gofer, MD

Current Medications
Taking
- Aspirin EC 81 MG Tablet Delayed Release 1 tablet Orally Once a day
- Calcium 500 + D 500-125 MG-UNIT Tablet 1 tablet with food Orally Once a day
- Omeprazole 20 MG Capsule Delayed Release 1 capsule Orally Once a day
- Metoprolol Succinate ER 25 MG Tablet Extended Release 24 Hour 1 tablet Orally Once a day
- Bisacodyl EC 5 MG Tablet Delayed Release 2 tablets

Reason for Appointment
1. Annual Physical Exam

History of Present Illness
Depression Screening:
   PHQ-2 In last 2 weeks have you been bothered by
      Little interest or pleasure in doing things No
      Feeling down, depressed, or hopeless No
New/Follow-up Patient Consult:
   58 y/o female who presented to the office for annual physical exam.

Electronically signed by Suzanne Gofer, MD on 01/28/2022 at 12:22 PM EST

Sign off status: Completed

Display the Benefit

Possible Outcomes

- Dr. Gofer may not have known about the dyspareunia. Could have been discussed with nurse and not relayed.
- Dr. Gofer knew about the concern but did not document it.
- Ms. B may have cancelled several appointments.
- Ms. B may not have understood the urgency of things.
- Dr. Gofer knew about the concern, documented it, and then went back into the chart to make necessary edits to hide things.
- All versions of the note can be requested in further discovery.

Audit Trail Misconceptions

Fiction	Fact
Difficult to Produce	A few clicks of some buttons by IT
Burdensome	ASTM states otherwise
Not beneficial/not needed	Depends on the case
Expensive	No more than requesting medical records
Only show wrongdoings	Can support and refute MR documentation
Fishing Expedition	The patient has a right to know who accessed their information and what occurred during such access. (ASTM E2147-18)

Barriers to Production

- Misconceptions – don't know what they don't know
- Facilities do not want to produce them - fear
- Facilities do not know HOW to produce them
  - Historically used for internal audits to study clinical activity (Rule, Chiang, Hribar, 2020)
- PDF vs Excel
  - Should always be produced in Excel to avoid losing important data
- Locked vs Unlocked
  - Should be unlocked
  - You can unlock it if needed
- Incomplete or Edited
  - Compare against the printed MR

Example of Excel Format -> PDF

RECOMMENDATION RECAP

- Recommending an audit trail takes 3 steps:
  - Identify a NEED,
  - Illustrate a REASON,
  - Display a BENEFIT.

- Misconceptions about audit trails contribute to production barriers.

- ATs should be produced in:
  - Unaltered,
  - Unlocked,
  - Excel format.
  - From the date in question THROUGH the date the records were printed.

References

- Adam Rule, M. F. (2020, March). Using electronic health record audit logs to study clinical activity: a systematic review of aims, measures, and methods, . Journal of the American Medical Informatics Association(3), 480-490. Retrieved February 4, 2023, from https://academic.oup.com/jamia/article-abstract/27/3/480/5637327?redirectedFrom=fulltext

- ASTM . (2023, February 27). ASTM. Retrieved from Standard Specification for Audit and Disclosure Logs for Use in Health Information Systems: https://www.astm.org/e2147-18.html

- Centers for Medicare and Medicaid Services. (2024, April). Centers for Medicare and Medicaid Services. Retrieved from Centers for Medicare and Medicaid Services: https://www.cms.gov/

- CMS. (2023, September). Health Information Technology for Economic and Clinical Health (HITECH) Audits. Retrieved from Centers for Medicare & Medicaid Services: https://www.cms.gov/medicare/audits-compliance/part-a-cost-report/health-information-technology-economic-and-clinical-health-hitech-audits#:~:text=The%20American%20Recovery%20%26%20Reinvestment%20Act,Users%E2%80%9D%20of%20Electronic%20Health%20Records.

- Duger, D., & Arora, K. (2022, January 30). Future of Electronic Medical Records: Experts Predict EMR Trends in 2022. Retrieved December 21, 2023, from https://www.selecthub.com/medical-software/emr/electronic-medical-records-future-emr-trends/

- Health and Human Services. (2023). Health Insurance Portability and Accountability Act of 1996. Retrieved from Office of the Assistant Secretary for Planning and Evaluation-HHS: https://aspe.hhs.gov/reports/health-insurance-portability-accountability-act-1996

- HHS. (2017, June 16). US Department of Health and Human Services. Retrieved from HITECH Act Enforcement Interim Final Rule: https://www.hhs.gov/hipaa/for-professionals/special-topics/hitech-act-enforcement-interim-final-rule/index.html

- ONC. (2023, May). Retrieved from Office of the National Coordinator for Health Information Technology: https://search.usa.gov/search?utf8=%E2%9C%93&affiliate=www.healthit.gov&query=Audit+trail

- Pasha, S. (2022, May/June). Audit Trails: The Not-So-Silent Witness. DuPage County Bar Association Brief. Retrieved October 13, 2023, from https://www.dcba.org/mpage/v34-Saira-Pasha

- United States Government. (2024, April). Federal Register. Retrieved from Federal Register: https://www.federalregister.gov/

Let the Questions Begin! (and contact info)

All of us -
- info@audittrailnurses.com

Shelly –
scombs@tsclegalnurseconsulting.com

LinkedIn QR

Pam –
pamela@epiphany-nc.com

LinkedIn QR

Amy –
apuls@globalnurseconsulting.com

LinkedIn QR