The Office of the National Coordinator for
Health Information Technology

2015 Edition §170.315(d)(3) Audit Report(s)

Testing Components:

Gap | | | | ONC Supplied Test Data

Test Procedure Version 1.0 – Last Updated 1/08/16

Please consult the Final Rule entitled: 2015 Edition Health Information Technology (Health IT) Certification Criteria, 2015 Edition Base Electronic Health Record (EHR) Definition, and ONC Health IT Certification Program Modifications for a detailed description of the certification criterion with which these testing steps are associated. We also encourage developers to consult the Certification Companion Guide in tandem with the test procedure as they provide clarifications that may be useful for product development and testing.

Note: The order in which the test steps are listed reflects the sequence of the certification criterion and does not necessarily prescribe the order in which the test should take place.

Required Tests

(d)(3) Create Audit Report

Enable a user to create an audit report for a specific time period and to sort entries in the audit log according to each of the data specified in the standards in §170.210(e).

Standards:

170.210(e): Record actions related to electronic health information, audit log status, and encryption of end-user devices.

(1) (i) The audit log must record the information specified in sections 7.2 through 7.4, 7.6, and 7.7 of the standard specified at § 170.210(h) and changes to user privileges when EHR technology is in use.

(ii) The date and time must be recorded in accordance with the standard specified at § 170.210(g).

(2) (i) The audit log must record the information specified in sections 7.2 and 7.4 of the standard specified at § 170.210(h) when the audit log status is changed.

(ii) The date and time each action occurs in accordance with the standard specified at § 170.210(g).

(3) The audit log must record the information specified in sections 7.2 and 7.4 of the standard specified at § 170.210(h) when the encryption status of electronic health information locally stored by EHR technology on end-user devices is changed. The date and time each action occurs in accordance with the standard specified at § 170.210(g).

170.210(g): Synchronized clocks. The date and time recorded utilize a system clock that has been synchronized following (RFC 1305) Network Time Protocol, (incorporated by reference in § 170.299) or (RFC 5905) Network Time Protocol Version 4, (incorporated by reference in § 170.299).

170.210(h): Audit log content. ASTM E2147–01(Reapproved 2013), (incorporated by reference in § 170.299)

Criteria ¶	System Under Test	Test Lab Verification
(d)(3) Applies to entire criterion	Generate Audit Report 1. A user generates an audit report for a specific time period. 2. The user generated audit report includes the required content below: • Date and Time of Event; • Patient Identification; • User Identification; • Type of Action (additions, deletions, changes, queries, print, copy); • Identification of the Patient Data that is Acted Upon; and • Changes to user privileges. Synchronized Clocks 1. The date and times recorded in the user generated audit report use synchronized clocks. Change in Audit Log Status (Conditional) If the Health IT Module permits changes to the audit log status: 1. The user generated audit report content includes required content when the audit log status is changed. 2. The date and times recorded in the user generated audit report use synchronized clocks when the audit log status is changed.	Generate Audit Report 1. The tester verifies that the audit report is successfully created for the specified time period. 2. The tester verifies that the audit log records the information specified in sections 7.2 through 7.4, 7.6, and 7.7 of the standard specified at § 170.210(h) when EHR technology is in use: • Date and Time of Event • Patient Identification • User Identification • Type of Action (additions, deletions, changes, queries, print, copy) • Identification of the Patient Data that is Acted Upon • Changes to user privileges Synchronized Clocks 1. The tester verifies that the date and time is recorded in the audit report in accordance with the standard specified at § 170.210(g) Change in Audit Log Status (Conditional) If the Health IT Module permits changes to the audit log status: 1. The tester verifies that the audit log records the information specified in sections 7.2 and 7.4 of the standard specified at § 170.210(h) when the audit log status is changed: • Date and Time of Event; and • User Identification. 2. The tester verifies that the date and time is recorded in accordance with the standard specified at § 170.210(g) when the audit log status is changed.

Criteria ¶	System Under Test	Test Lab Verification
(d)(3) Applies to entire criterion, continued	**Change in Encryption Status (Conditional)** If the Health IT Module permits changes to the encryption status: 1. The user generated audit report content includes required content when the encryption status of electronic health information locally stored by EHR technology on end-user devices is changed. 2. The date and times recorded in the user generated audit report use synchronized clocks when the encryption status of electronic health information locally stored by EHR technology on end-user devices is changed. **Sort Audit Log Entries** A user can sort the audit log information by the required data elements, specified in the standards at §170.210(e).	**Change in Encryption Status (Conditional)** If the Health IT Module permits changes to the encryption status: 1. The tester verifies that the audit log records the information specified in sections 7.2 and 7.4 of the standard specified at § 170.210(h) when the encryption status of electronic health information locally stored by the Health IT Module on end-user devices is changed: • Date and Time of Event; and • User Identification. 2. The date and time each action occurs in accordance with the standard specified at § 170.210(g). **Sort Audit Log Entries** The entries specified in the standards at §170.210(e) are sortable in ascending or descending order by the following data elements: • Date and time of event; • Patient identification; • User identification; • Type of Action (additions, deletions, changes, queries, print, copy); and identification of the Patient Data that is Accessed.

Document History

Version Number	Description of Change	Date
1.0	Final Test Procedure	January 08, 2016

Dependencies: For all related and required criteria, please refer to the Master Table of Related and Required Criteria.