Date Audit Conducted: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Employee: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Auditor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

***Access Auditing Document***

|  |  |  |
| --- | --- | --- |
| Question | Expected Response | Actual Response & Notes |
| What PII are you accessing? | Elements to match approved authorization |  |
| What prompts you to access PII? | Manager request, recurring audit, parental request |  |
| How is the PII/data transmitted to you? | Secure FTP, Vendor FTP, Flip Drive, Secure Email |  |
| How are you documenting access? | Tracker, emails, documents produced with PII |  |
| Where are you saving documentation? | Secure drive, paper files |  |
| Who has access to your documentation? | Manager, other staff on team, etc. |  |
| Are there other staff members who access PII in this way? | Name of others with permission granted |  |

**Plan of Action:**

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**Employee Signature** - \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Auditor Signature**- \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Date**- \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date**-\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_