Checklist Category	Document Name/Description
General Information	
General Information	Size of Covered Entity: number of employees, members or patients, facilities, EMR facility (Y/N)
HIPAA Security	
General Governance - HIPAA Security	Identify any applicable industry guidance (e.g., studies, practices, regulations, etc.) or other reference material used to develop any of the policies and procedures requested below **(No need to provide this documentation - just identify)**
General Information - HIPAA Security	Security Officer Contact Information (name, email, phone, address and admin contact info)
Administrative Safeguards	Entity-level Risk Assessment
Administrative Safeguards	Organizational chart
Administrative Safeguards	Information Security Polices, specifically those documenting security management practices and processes, such as: - Access Control - Data Protection - Acceptable Use - Workstation Security - Workforce/HR Security - Sanction Procedures
Administrative Safeguards	Security Incident Management Plan
Administrative Safeguards	Business Continuity/Disaster Recovery Plan
Administrative Safeguards	Data back Up and Recovery Procedures
Physical Safeguards	Physical Security Policies and Procedures
Physical Safeguards	Data Destruction and Media Reuse Procedures
Technical Safeguards	Encryption Policies and Procedures
Technical Safeguards	Management's internal control/internal audit policies and procedures relative to monitoring IT safeguards
Technical Safeguards	System-generated user access listing of all individuals with access to systems housing ePHI
Technical Safeguards	System-generated listing of all New Hires within the past year

Checklist Category	Document Name/Description
Technical Safeguards	User authentication policies and procedures
HIPAA Privacy	
General Governance - HIPAA Privacy	Identify and applicable industry guidance (e.g. studies, practices, regulations, etc) or other reference material used to develop any of the policies and procedures requested below **(No need to provide this documentation - simply identity)**
HIPAA Privacy	Privacy Officer Contact Information (name, email, phone, address and admin contact info)
HiIPAA Privacy	Privacy Policy(s) and Notice of Privacy Practices
HIPAA Privacy	Privacy Practices Documentation, including: - Use and disclosure - Rights to request privacy information - Right to request privacy protection of PHI - Access of individuals to PHI - Denial of access to PHI procedures - Amendment of PHI - Accounting of disclosures of PHI - Administrative requirements - Transition provisions
HIPAA Privacy	Training documentation for employees over privacy practices and organization training policy(s)
HIPAA Privacy	Polices and procedures in place over administrative, technical, and physical safeguards over all forms of PHI
HIPAA Privacy	Complaint handling policies and procedures
HIPAA Privacy	Population of complaints over privacy practices made within the past year (complaint log)
HIPAA Privacy	Sanction and disciplinary policies and procedures for when a breach occurs
HIPAA Privacy	Mitigation and disciplinary policies and procedures for when a breach occurs
HIPAA Privacy	Anti-intimidation/anti-retaliation policies and procedures

Checklist Category	Document Name/Description
HIPAA Privacy	Policies and procedures over Uses and Disclosures of PHI, to include: - Deceased individuals - Personal Representatives - Confidential Communications - Business Associate Contract Requirements - Health Plan Documentation Requirements - Treatment, Payment or Operations - Consent and authorization requirements - Judicial or administrative proceeding requirements - Research requirements - Approval or waiver requirements - De-identification/Re-identification of PHI procedures - Restriction of PHI - Minimum Necessary requirements - Limited information provided for fundraising purposes - Health care underwriting requirements - Identity verification procedures for individuals requesting PHI
HITECH Organizational Process Based Capabilities	
HITECH	Breach Notification processes, entity-level risk assessment documentation and capabilities