

# Sample Checklist for HIPAA Compliance Audit

HIPAA Compliance Officer : \_\_\_\_\_ Audit Date: \_\_\_\_\_

Action Items	Notes
<b>1. Check in With HIPAA Compliance Leads</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Security and privacy officer</li> <li><input type="checkbox"/> Director of staff training</li> <li><input type="checkbox"/> Incident response lead</li> <li><input type="checkbox"/> System and hardware specialists</li> </ul>	
<b>2. Review the Physical Security of the Facility</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Secure PHI disposal bins</li> <li><input type="checkbox"/> Locked storage cabinets</li> <li><input type="checkbox"/> Visitor access controls</li> <li><input type="checkbox"/> Biometric scanners</li> </ul>	
<b>3. Review ePHI Storage and Access Controls</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Encryption of stored and transmitted ePHI</li> <li><input type="checkbox"/> Multi-factor authentication for system access</li> <li><input type="checkbox"/> Monitoring systems and access logs</li> <li><input type="checkbox"/> Automatic log-off features</li> </ul>	
<b>4. Run Risk Assessment Procedures</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Cyberthreat identification and response</li> <li><input type="checkbox"/> Vulnerability analysis on access controls</li> <li><input type="checkbox"/> Firewall configurations/network segmentation</li> </ul>	
<b>5. Update HIPAA Training and Education Programs</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> PHI identification, storage, and disposal</li> <li><input type="checkbox"/> Incident response procedures</li> <li><input type="checkbox"/> Secure communication practices</li> <li><input type="checkbox"/> Medical device access controls</li> </ul>	
<b>6. Ensure Business Associates Are Maintaining Compliance</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> EHR, telehealth, and device vendors</li> <li><input type="checkbox"/> Medical transcriptionists</li> <li><input type="checkbox"/> Consultants and lawyers</li> </ul>	
<b>7. Implement a Breach Documentation and Response Plan</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Notification of affected patients/individuals</li> <li><input type="checkbox"/> Notification to appropriate media outlets</li> <li><input type="checkbox"/> HHS reporting procedures</li> </ul>	