

Sample Checklist for HIPAA Compliance Audit

HIPAA Compliance Officer: _____

Audit Date: _____

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