

CalOHII Compliance Program  
Artifacts Request

ARTIFACT REQUEST LIST

#	Checklist	Title	Description
1	<input type="checkbox"/>	Accounting of Disclosures (a)	Documentation of organization's policies & procedures.
2	<input type="checkbox"/>	Accounting of Disclosures (b)	Also, include an example of a recent accounting for a disclosure of Health Information (PHI/ePHI), and/or a description of such process.
3	<input type="checkbox"/>	Authorizations for Disclosure (a)	Documentation of organization's policies & procedures for authorizations for the release of Health Information (PHI/ePHI).
4	<input type="checkbox"/>	Authorizations for Disclosure (b)	Also, include sample of forms and logs/report to tract patient authorizations for the release of Health Information (PHI/ePHI).
5	<input type="checkbox"/>	Breach Documentation and Log (a)	Organization's policies & procedures related to breach documentation.
6	<input type="checkbox"/>	Breach Documentation and Log (b)	Also, include a list of any organization's breach(es) that have occurred in the most recent 12 month period, including ( <i>at a minimum</i> ): Date/Time of discovery, nature of breach, number of individuals affected, notifications sent (when and who), and outcome of analysis.
7	<input type="checkbox"/>	Breach Notification (a)	Documentation regarding the process organization follows regarding breach notifications.
8	<input type="checkbox"/>	Breach Notification (b)	Also, include a copy of organization's breach notification related to the most recent breach activity ( <i>if any</i> ).
9	<input type="checkbox"/>	Business Associate Agreement (a)	Documentation ( <i>policy</i> ) that describes how an organization's Business Associate may protect against reasonably anticipated threats and that the Business Associate workforce has been adequately trained.
10	<input type="checkbox"/>	Business Associate Agreement (b)	Also, include a current example of organization's Business Associate Agreement - executed with another organization.
11	<input type="checkbox"/>	Companion Guide(s) for Transaction and Code Sets ( <i>for HIPAA standard transactions and code sets</i> )	Current Companion Guides (that are currently in-force with another organization), including Cover Page and Table of Contents of each Companion Guide associated with the Transactions identified.
12	<input type="checkbox"/>	Contingency Plan / Disaster Recovery Plan	Organization's documentation that indicates plans and/or procedures have been created and tested to ensure continuity of operations and appropriate access to Health Information (PHI/ePHI) during contingency operations. This evidence should demonstrate that emergency modes of operation, data back-up/restore prioritization, user access and technology recovery have been addressed.
13	<input type="checkbox"/>	Business Continuity Plan	Organization's documentation that indicates plans and/or procedures have been created and tested to ensure continuity of business operations and appropriate access to Health Information (PHI/ePHI) during different levels of disaster.
14	<input type="checkbox"/>	Data Backup Plan	Documentation of organization's policies and procedures of how datasets containing electronic Health Information (ePHI) are backed up including associated restoration steps. <i>May include checklists, schedules, prioritization, etc.</i>
15	<input type="checkbox"/>	Data Retention and Destruction Policy	Documentation that identifies organization's methods for retaining and destroying either: hardcopy documents containing Health Information (PHI) and/or electronic media containing electronic Health Information (ePHI).
16	<input type="checkbox"/>	Designated Record Set (DRS) - <i>if applicable</i>	Detailed documentation of what organization information is contained in a Designated Record Set containing Health Information (PHI). <i>May be a policy or a separate document.</i>
17	<input type="checkbox"/>	Emergency Mode of Operation Plan ( <i>if not contained in Contingency Plan / Disaster Recovery Plan</i> )	Documentation that identifies organization's implemented procedures for continuation of business operations and protection of electronic protected health information while operating in an emergency mode. Such procedures would include, but not be limited to, a plan for accessing safeguarded information systems and workstations in a timely manner to ensure availability of electronic Health Information (ePHI).

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18	<input type="checkbox"/>	Facility Security Plan ( <i>Safeguards</i> )	Documentation of organization's implemented policies and procedures to safeguard the facility(s) and the equipment within the facility from unauthorized physical access, tampering, and theft.
19	<input type="checkbox"/>	Health Information (PHI/ePHI) locations	Documentation or inventory of system & application locations in organization, and flow of documents containing Health Information (PHI/ePHI). <i>Example of documentation includes: logical mapping of systems and data flow of datasets containing electronic Health Information (ePHI).</i>
20	<input type="checkbox"/>	Incident Reporting	Documentation of organization's implemented policies and procedures, and information that defines a security incident and CDA response efforts.
21	<input type="checkbox"/>	Individuals Right to Access and Amendment to Health Records	Documentation of organization's policies and procedures, and information that describes the process where as a patient, consumer, subscriber, etc. may request access to – or the amendment of – their CDA Health Information (PHI/ePHI). <i>May be several policies or procedures to cover access, right to amend and denials of either.</i>
22	<input type="checkbox"/>	List of Privacy and Security Policies & Procedures	Inventory list of all existing organization Privacy and Security Policies, Procedures and Plans. <i>This is only a request for a list, not the individual document(s).</i>
23	<input type="checkbox"/>	List of transmitted and received HIPAA standard transactions	Documentation (inventory) of all Transactions and Code Sets in use at organization.
24	<input type="checkbox"/>	Media Handling / Re-use	Documentation of organization's policies and procedure, and information that describes how devices and media containing Health Information (PHI/ePHI) are handled (the processes organization uses to receive, store, wipe <i>clean</i> , destroy, and account for, etc.)
25	<input type="checkbox"/>	Minimum Necessary Access Policy	Documentation of policies & procedures identifying how organization maintains Minimum Necessary access to Health Information (PHI/ePHI) by the workforce. <i>Should include physical (for hardcopy access) and technological security measures.</i>
26	<input type="checkbox"/>	Notice of Privacy Practices	The documentation (such as the organization NPP) that would be provided to a patient, consumer, subscriber, etc.
27	<input type="checkbox"/>	Privacy Training Documentation and Tracking	Documentation that reflects Privacy training - includes organization's privacy training policies and procedures and the tracking documents.
28	<input type="checkbox"/>	Risk Assessment / Analysis	Any organization documentation ( <i>policy</i> ) describing the process to assess potential risks and threats to Health Information (PHI/ePHI).
29	<input type="checkbox"/>	Risk Assessment(s), as required by SAM and HIPAA	<i>Report</i> from most recently performed risk assessment, by organization or on organization's behalf, as required by HIPAA - Include date, identified gaps and corrective action plan(s).
30	<input type="checkbox"/>	Security Training Documentation and Tracking	Documentation that reflects Security Training and Awareness - includes organization's security training policies and procedures and the tracking documents.
31	<input type="checkbox"/>	Technical and non-Technical evaluation(s)	<i>Report</i> from most recently performed evaluation, by organization or on organization's behalf, as required by HIPAA - Include date, identified gaps and corrective action plan(s).
32	<input type="checkbox"/>	Trading Partner Agreement (TPA)	An example of a current organization Trading Partner Agreement (that is currently in-force with another organization)
33	<input type="checkbox"/>	Transactions and Code Sets Companion Guide (for HIPAA standard transactions and code sets)	An example of a current organization Companion Guide (that is currently in-force with another organization)
34	<input type="checkbox"/>	Workstation Use & Security	Documentation of organization's policies & procedures for maintaining secure access to workstations/systems containing electronic Health Information (ePHI). <i>Should include physical security access measures (building security, locking cabinets/rooms, etc.) as well as logical secure access measures (time-out, login authentication, logout, screensavers, etc.)</i>