**Statewide Health Information Policy Manual (SHIPM) – 3.1.4 Security Management Process**

*Compliance Review Tool Question #45*

## Artifact Must Haves and Best Practices

| **Item #** | **Topic** | **Covered (Y or N)** | **Comment** |
| --- | --- | --- | --- |
| 1 | Was an artifact(s) submitted describing the location(s) and the flow of health information? | Y🞏 N🞏 |  |
| 2 | Does the artifact(s) identify the functions that require access to health information? | Y🞏 N🞏 |  |
| 3 | Does the artifact(s) identify the location of both electronic and hardcopy health information? | Y🞏 N🞏 |  |
| 4 | Does the artifact(s) identify the purpose for access to health information? | Y🞏 N🞏 |  |
| 5 | Does the artifact(s) identify the systems/processes that access health information (both incoming and outgoing)? | Y🞏 N🞏 |  |
| 6 | Does the artifact(s) specify how health information is segregated from any other joint information systems? | Y🞏 N🞏 |  |
| 7 | Does the artifact(s) categorize and classify the information assets and determine the asset’s needed level of protection? | Y🞏 N🞏 |  |
| 8 | Does the artifact(s) have official review/acceptance: |  |  |
| 8a | * Effective Date?
 | Y🞏 N🞏 |  |
| 8b | * Revision Date?
 | Y🞏 N🞏 |  |
| 8c | * Authorizing Sr./Executive Management Signature?
 | Y🞏 N🞏 |  |

Title(s) of Submitted Policy/Document/Artifact(s) Reviewed:

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Stored Location of, or link to Artifact(s) Reviewed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Overall CalOHII Reviewer Comments:

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Name of CalOHII Reviewer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date Reviewed: \_\_\_\_\_\_\_\_\_\_\_\_

Title of or link to Other Source(s) used (e.g., sources not in checklist, templates) – *optional*:

<https://www.hhs.gov/sites/default/files/ocr/privacy/hipaa/administrative/securityrule/rafinalguidancepdf.pdf>

[*https://www.documents.dgs.ca.gov/sam/SamPrint/new/sam\_master/sam\_master\_File/chap5300/5315.3.pdf*](https://www.documents.dgs.ca.gov/sam/SamPrint/new/sam_master/sam_master_File/chap5300/5315.3.pdf)

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