

HIPAA, Audit 04-07
Risk Analysis Work Sheet

| <u>Risk</u> | <u>Control</u> | <u>Control In Place</u> | <u>Risk Assessment</u> | <u>Obj</u> |
|--|---|--|------------------------|------------|
| Patient information is disseminated to unauthorized individual. | Document used to input information to DOCUMENTED is destroyed via shredder; access to actual information has been restricted to only necessary personnel. | Yes / No; to be validated in fieldwork. | Medium | |
| Third party associates improperly communicate patient information. | Business Associate agreement restricts how information is to be disseminated; non-adherence to the agreement will result in termination. | Yes; this audit will not review the compliance by Business Associates. | Medium | |
| Imposed fines for non-compliance based on inadequate training of applicable personnel. | All current employees, identified as having access to information were trained at implementation of Act; ongoing training provided as required. | Yes / No; depends on proper definition of applicable employees | Medium | |