

Health Care Privacy Compliance Handbook, 3rd Edition

1—Appendix A: Security Standards Matrix

Excerpted from 45 C.F.R. § 164 , Subpart C, Appendix A

| Standards | Sections | Implementation Specifications: (R)=Required, (A)=Addressable | |
|----------------------------------|-------------------------------|--------------------------------------------------------------|-----|
| Security Management Process | 45 C.F.R. § 164.308(a) (1) | Risk Analysis | (R) |
| | | Risk Management | (R) |
| | | Sanction Policy | (R) |
| | | Information System Activity Review | (R) |
| Assigned Security Responsibility | 45 C.F.R. § 164.308(a) (2) | | (R) |
| Workforce Security | 45 C.F.R. § 164.308(a) (3) | Authorization and/or Supervision | (A) |
| | | Workforce Clearance Procedure | (A) |
| | | Termination Procedures | (A) |
| Information Access Management | 45 C.F.R. § 164.308(a) (4) | Isolating Healthcare Clearinghouse Function | (R) |
| | | Access Authorization | (A) |

| | | | |
|-----------------------------------------------------|-------------------------------|--------------------------------------------|-----|
| | | Access Establishment and Modification | (A) |
| Security Awareness and Training | 45 C.F.R. § 164.308(a) (5) | Security Reminders | (A) |
| | | Protection from Malicious Software | (A) |
| | | Log-in Monitoring | (A) |
| | | Password Management | (A) |
| Security Incident Procedures | 45 C.F.R. § 164.308(a) (6) | Response and Reporting | (R) |
| Contingency Plan | 45 C.F.R. § 164.308(a) (7) | Data Backup Plan | (R) |
| | | Disaster Recovery Plan | (R) |
| | | Emergency Mode Operation Plan | (R) |
| | | Testing and Revision Procedures | (A) |
| | | Applications and Data Criticality Analysis | (A) |
| Evaluation | 45 C.F.R. § 164.308(a) (8) | | (R) |
| Business Associate Contracts and Other Arrangements | 45 C.F.R. § 164.308(b) (1) | Written Contract or Other Arrangement | (R) |

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