



HIPAA Privacy & Security Compliance Rounds Checklist

The following elements are basic components for demonstrating compliance to HIPAA Privacy and Security Rules as well as organizational policies and procedures for safeguarding Protected Health Information.

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|--------------|------------------|------------------|
| Date: | Reviewer: | Location: |
|--------------|------------------|------------------|

| Compliance Element | Yes | No | N/A | Comments |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|-----|----------|
| General | | | | |
| The Notice of Privacy Practices posted in public locations in the community. | | | | |
| The Notice of Privacy Practices available on website. | | | | |
| Compliance Hotline poster visible in public locations in community. | | | | |
| There are no overhead paging/announcements of resident-specific health information. | | | | |
| Telephone voice mail message volume is kept low/not audible to others. | | | | |
| Phone conversations, speakerphone use, and dictation occur in areas where resident information is not overheard. | | | | |
| Workstations and computer monitors are positioned in a manner that avoids access by public/others. | | | | |
| Unattended computers are returned to the log-on screen (automatically or by user) or have password-enabled screen savers when not in use. | | | | |
| Staff awareness of e-mail encryption. | | | | |
| Staff are not posting or displaying computer log-ons or passwords in easily accessible areas. | | | | |
| Staff are not observed sharing passwords. | | | | |
| Staff are signing on/logging off computers correctly. | | | | |
| Mailroom: no exposed PHI in open access mailboxes. | | | | |
| Appropriate disposal processes for confidential information in place. | | | | |
| PHI is shredded or discarded in secure container. There is no recycling of paper containing PHI (e.g., for notes, memos, etc.). Are documents stored in boxes under desks, on window sills or in other unlocked storage areas? | | | | |
| Doors to non-public areas are kept closed. | | | | |
| Health records are stored in a secure location. | | | | |
| If using off-site facility for long-term storage of medical records, can manager retrieve any document from long-term storage within two working days? | | | | |
| After-hours access by housekeeping/other staff is restricted and/or supervised. | | | | |
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| Resident Care Areas | | | | |
| Staff discussions of residents are held in areas where conversation is not easily overheard. | | | | |
| Conversations with resident/family & friends are held in areas where information is not easily overheard. | | | | |

