HIPAA BREACH ASSESSMENT WORKSHEET

Date: Person Reporting:

DETERMINATION FACTOR	RESULTS/FINDINGS
People Involved- Name and Position	
DESCRIPTION OF INCIDENT	
WAS THE PHI INVOLVED IN THE INCIDENT UNSECURED? **Unsecured PHI is defined as "PHI that is not secured through the use of a technology or methodology specified by the Secretary in guidance." The guidance specifies the technologies and methodologies that render PHI unusable, unreadable, or indecipherable to unauthorized individuals. Encryption and destruction are identified as the two technologies and methodologies for meeting the requirements.**	
1. DESCRIBE THE TYPE OF INFORMATON **WHAT ARE THE TYPES OF IDENTIFIERS** **CAN THE INFORMATION BE RE-IDENTIFIED**	

DETERMINATION FACTOR	RESULTS/FINDINGS
2. WHO (NAME OR POSITION) GAINED UNAUTHORIZED USE OF INFORMATION OR DISCLOSURE OF INFORMATION	
3. WAS THE INFORMATION AQUIRED OR VIEWED	
4. STEPS TAKEN TO MITIGATE HARM **PHI RETURNED AND/OR DESTROYED**	
DO ANY OF THE FOLLOWING EXCEPTIONS APPLY • Was PHI unintentionally accessed by a LADD Inc. or BA employee acting within the scope of their authority? • Was PHI inadvertently disclosed by an authorized LADD Inc. or BA employee to another LADD Inc. or BA employee in which LADD Inc. participates in business with? • LADD Inc. or BA has a good faith belief that the unauthorized person to whom the impermissible disclosure was made, would not have been able to retain the information?	

DETERMINATION FACTOR	RESULTS/FINDINGS
DID A VIOLATION OF THE HIPAA PRIVACY RULE OCCUR **HAS THERE BEEN A BREACH OF UNSECURED PHI REQUIRING REPORTING UNDER THE BREACH NOTIFICATION RULES?** **(Is there a low probability PHI was compromised)**	
FINDINGS/ACTION TO BE TAKEN	

Additional Information that may be needed to investigate the breach

Are there other individuals involved who may have knowledge of the breach?

Questions that may assist to identify the root cause of the breach?

Questions that may assist to identify possible risk to the company?

Is there any other supporting information needed in assessing the breach?

Are there any recommendations to reduce or eliminate future breaches?