



# HIPAA Compliance Checklist

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for Document  
Management Systems



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Use this checklist to ensure that a document management system, like Docupile, meets HIPAA compliance standards.



## 1) Data Encryption

Is data encrypted both in transit and at rest?



Verify if the system uses SSL/TLS for data in transit.



Check if AES-256 encryption is used for data at rest.



## 2) Access Controls

Are there strict access controls in place?



Ensure multi-factor authentication (MFA) is required.



Verify if role-based access control (RBAC) is implemented.



## 3) Audit Trails

Does the system maintain comprehensive audit trails?



Check if all user activities are logged.



Verify if access logs are regularly reviewed.



## 4) Secure Storage

Is data stored in HIPAA-compliant data centers?

- Ensure data centers have physical security measures like surveillance and controlled access.
- Verify if digital protections such as firewalls and intrusion detection systems are in place.



## 5) Regular Security Assessments

Are regular security assessments conducted?

- Check if periodic vulnerability scans and security assessments are performed.
- Ensure the system is updated based on the findings of these assessments.



## 6) User Training

Is ongoing HIPAA training provided to personnel?

- Verify if staff handling PHI receive regular training on HIPAA regulations and best practices.
- Check if the training includes data handling procedures and security protocols.



## 7) Business Associate Agreement (BAA)

Is there a signed BAA with the document management provider?

- Ensure a BAA is in place to confirm the provider's compliance with HIPAA regulations.



## 8) Incident Response Plan

Does the system have an incident response plan?

- Verify if there is a documented plan for responding to data breaches or security incidents.
- Check if the plan includes procedures for notifying affected parties.



## 9) Data Backup and Disaster Recovery

Are data backup and disaster recovery plans implemented?

- Ensure regular data backups are performed.
- Verify if there is a disaster recovery plan to restore data in case of an incident.



## 10) Physical Security

Are physical security measures in place?

- Check if data centers have controlled access, surveillance, and secure disposal methods for hardware.



## 11) Privacy Practices

Are there clear privacy practices and notices?

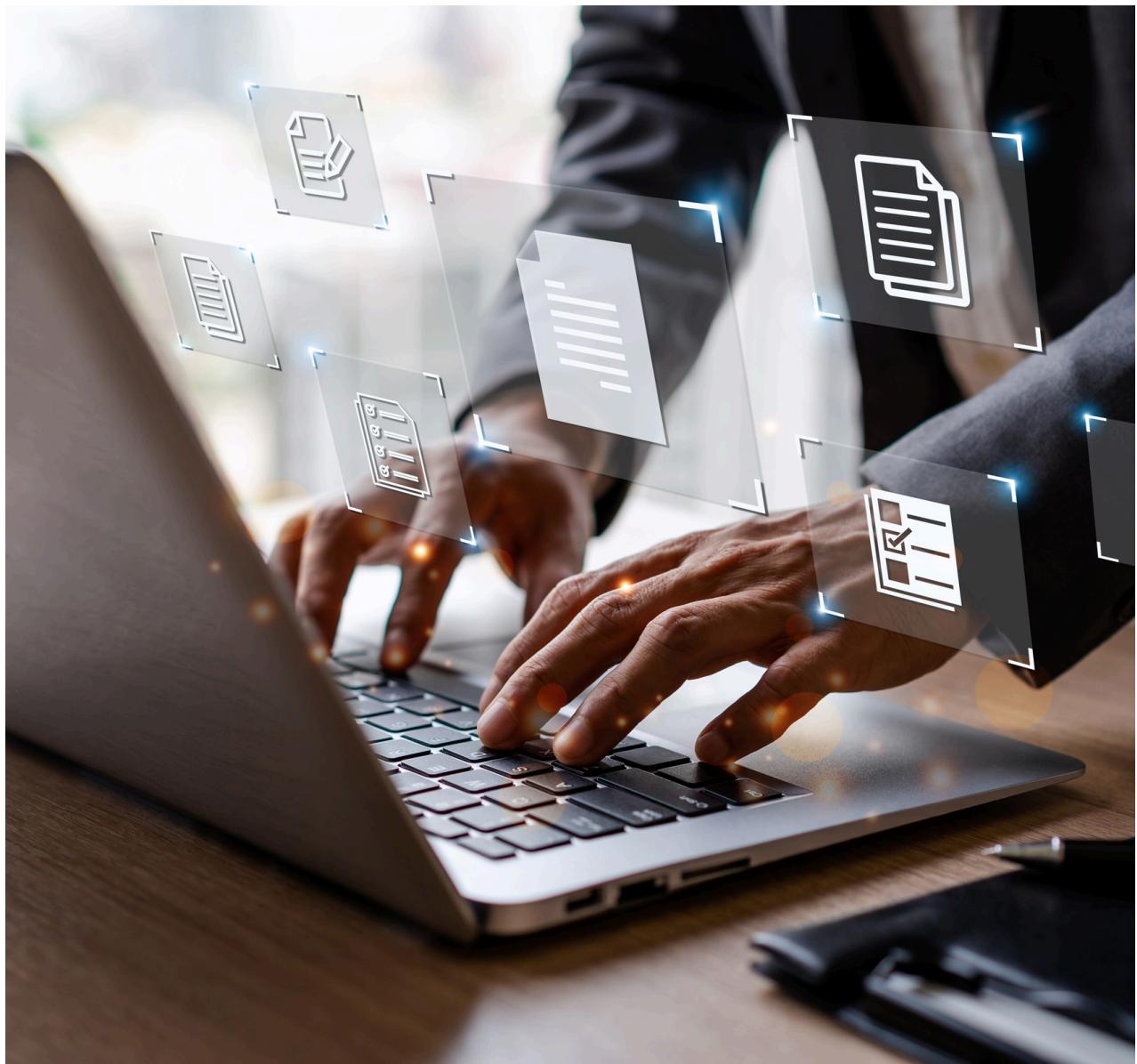
- Ensure the system provides a notice of privacy practices.
- Verify if there are policies for obtaining patient consent for data use and sharing.



## 12) Compliance Documentation

Is documentation available to demonstrate HIPAA compliance?

- Check if the provider can provide compliance reports and certifications.



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