Audit Objectives – Determine whether the IHE designated an individual to coordinate the information security program; performed a risk assessment that addresses the three areas noted in 16 CFR 314.4 (b) and documented safeguards for identified risks.

Suggested Audit Procedures
a. Verify that the IHE has designated an individual to coordinate the information security program.
b. Obtain the IHE risk assessment and verify that it addresses the three required areas noted in 16 CFR 314.4 (b).
c. Obtain the documentation created by the IHE that aligns each safeguard with each risk identified from step b above, verifying that the IHE has identified a safeguard for each risk.