

APPENDIX **D**

Simplified Crosswalk—HIPAA, PCI, and SOX

Title	Citation	PCI Cross Reference	SOX Cross Reference
Security Management Process	164.308(a)(1)(i)	12.1, 12.1.1, 12.1.1, 12.1.3, 12.2, 12.6, 12.9, 12.9.1, 12.9.2, 12.9.3, 12.9.4 NA - ALL	CA (DS5) Monitoring CE (ME12) Internal Control Program
Risk Analysis	164.308(a)(1)(ii)(A)		CA (A16) Risk Assessment
Risk Management	164.308(a)(1)(ii)(B)		CA (A16) Risk Assessment
Information System Activity Review	164.308(a)(1)(ii)(D)	10.2.7 (Y), 10.3, 10.3.1 (Y), 10.3.2 (Y), 10.3.3 (Y), 10.3.4 (Y), 10.3.5 (Y), 10.3.6 (Y), 10.6, 11.5, 12.9.6,	CA (DS5) Monitoring
Assigned Security Responsibility	164.308(a)(2)		CA (DS5) Monitoring
Authorization and/or Supervision	164.308(a)(3)(ii)(A)	2.2.3, 7.1.4 (Y), 7.2, 7.2.3 (Y), 8.2 (Y), 8.5.1, 8.5.16, 10.2.7 (Y), 10.3, 10.3.1 (Y), 10.3.2 (Y), 10.3.3 (Y), 10.3.4 (Y), 10.3.5 (Y), 10.3.6 (Y), 10.6, 11.5,	
Termination Procedures	164.308(a)(3)(ii)(C)	8.2 (Y), 8.5.1, 8.5.16,	
Isolating Health Care Clearinghouse Function	164.308(a)(4)(ii)(A)	2.1.1, 2.2.3, 6.6, 7.1.4 (Y), 12.8.2,	
Access Authorization	164.308(a)(4)(ii)(B)	2.2.3, 7.1.4 (Y), 7.2, 7.2.3 (Y), 8.2 (Y), 8.5.1, 8.5.16,	
Access Establishment and Modification	164.308(a)(4)(ii)(C)	8.2 (Y), 8.5.1, 8.5.16,	
Protection from Malicious Software	164.308(a)(5)(ii)(B)	5.1, 5.1.1, 5.2, NA - ALL	CA (DS9) Manage Configuration

Log-in Monitoring	164.308(a)(5)(ii)(C)	10.1 (Y), 10.2, 10.2.1 (Y), 10.2.5 (Y), 10.2.7 (Y), 10.3, 10.3.1 (Y), 10.3.2 (Y), 10.3.3 (Y), 10.3.4 (Y), 10.3.5 (Y), 10.3.6 (Y), 10.5.4 (Y), 10.6, 11.5,	CA (DS5) Monitoring
Password Management	164.308(a)(5)(ii)(D)	2.1, 2.1.1, 8.4 (Y), 8.5, 8.5.2, 8.5.3, 8.5.7, 8.5.8 (Y), 8.5.9 (Y), 8.5.10 (Y), 8.5.11 (Y), 8.5.12 (Y), 8.5.13 (Y), 8.5.14 (Y),	
Response and Reporting	164.308(a)(6)(ii)	12.6, 12.9, 12.9.1, 12.9.2, 12.9.3, 12.9.4, 12.9.6, NA-ALL	CA (DS5) Monitoring
Contingency Plan	164.308(a)(7)(i)	9.1.1 NA	
Evaluation	164.308(a)(8)	11.3, 12.1, 12.1.1, 12.1.2, 12.1.3, 12.2 NA-ALL	CA (DS5) Monitoring
Facility Access Control and Validation Procedures	164.310(a)(2)(iii)	NA	CA (DS12) Physical Security
Unique User Identification	164.312(a)(2)(i)	3.2, 8.1 (Y), 8.2 (Y), 8.5.1, 8.5.8 (Y), 8.5.16, 12.3.2	
Emergency Access Procedure	164.312(a)(2)(ii)	7.1.4 (Y)	
Automatic Logoff	164.312(a)(2)(iii)	8.5.15 (Y), 12.3.8	
Encryption and Decryption	164.312(a)(2)(iv)	3.5, 3.5.1, 3.5.2, 3.6, 3.6.1, 3.6.2, 3.6.3, 3.6.4, 3.6.5, 3.6.6, 3.6.7, 3.6.8, NA -ALL	
Audit Controls	164.312(b)	10.1 (Y), 10.2, 10.2.1 (Y), 10.2.5 (Y), 10.2.7 (Y), 10.3, 10.3.1 (Y), 10.3.2 (Y), 10.3.3 (Y), 10.3.4 (Y), 10.3.5 (Y), 10.3.6 (Y), 10.5.4 (Y), 10.6, 11.5,	
Data Integrity	164.312(c)(1)	2.3, 4.1 (Y), 4.1.1 (Y),	CA (DS9) Manage Configuration
Person or Entity Authentication	164.312(d)	3.2, 8.1 (Y), 8.2 (Y), 8.5.1, 8.5.8 (Y), 8.5.16, 12.3.2,	
Integrity Controls	164.312(e)(2)(i)	2.1.1, 4.1 Y, 4.1.1	
Encryption	164.312(e)(2)(ii)	2.1.1, 4.1 Y, 4.1.1	