

NOTE: Free Customization is available to match your current policy template. Call for more Information.

Sanction Policy

**Identifier:**

ECP-204

**Version #:**

1.0

**Approved By:**

Jane Doe, President

**Effective Date:**

January 27, 2004

**Purpose:**

The purpose of this policy is to apply appropriate sanctions against workforce members who fail to comply with the security policies and procedures of the <<organization name>>.

<<Organization name>> will ensure all members of its workforce comply with the security policies or the organization as well as state and federal regulations such as HIPAA by applying sanction and disciplinary actions appropriate for the breach of policy.

**Scope:**

This policy applies to all <organization name>> workforce members including, but not limited to full-time employees, part-time employees, trainees, volunteers, contractors, temporary workers.

**Policy:**

<<Organization name>> will appropriately discipline employees and other workforce members for any violation of security policy or procedure to a degree appropriate for the gravity of the violation.

These sanctions include, but are not limited to, re-training, verbal and written warnings and immediate dismissal from employment.

In addition, workforce members who knowingly and willfully violate state or federal law for improper use or disclosure of an individual's information are subject to criminal investigation and prosecution or civil monetary penalties.

<<Organization name>> will record all disciplinary actions taken in the employment records of the employee.

<<Organization name>> will investigate any security incidents or violations and mitigate to the extent possible any negative effects that the incident may have had in a timely manner.

<<Organization name>> and its workforce members will not intimidate or retaliate against any workforce member or individual that reports the incident.



Responsibilities:

All individuals identified in the scope of this policy are responsible for:

- Compliance with any sanction that is applied to them under this policy

The <<organization name>> Security Officer is responsible for:

- Reviewing reported security incidents and violations of security policy and levying, based on the gravity of the breach, appropriate sanctions upon the workforce member



Compliance:

Failure to comply with this or any other security policy will result in disciplinary actions as per the Sanction Policy. Legal actions also may be taken for violations of applicable regulations and laws such as HIPAA.

Sanction Policy is a required implementation specification defined within the Security Management Process standard (164.308 (a)(1)) in the Administrative Safeguards category of the HIPAA Security Rule.



Procedure(s):

None

**Form(s):**

None

**Definition(s):**

Definitions for all policies are included in the glossary section of the Appendix.

**References:**

- HIPAA Final Security Rule, 45 CFR Parts 160, 162, and 164, Department of Health and Human Services, <http://www.cms.hhs.gov/hipaa/hipaa2/regulations/security/default.asp>, February 20, 2003.
- Getting Started with HIPAA, Uday O. Ali Pabrai, Premier Press, April 2003.
- CMS, “CMS Information Systems Security Policy, Standards and Guidelines Handbook”, CMS, February 2002.
- International Standards Organization (ISO/IEC 17799:2000(E))

**Contact:**

John Doe, Security Officer
1234 Anystreet
Anywhere, IL 55555

E: John.doe@anywhere.com

P: 555.555.5555

F: 777.777.7777

**Policy History:**

Initial effective date: January 27, 2004