Below are links to two OCC documents that address 3rd and 4th Party Risk Management. The OCC is a major bank regulator and examiner.

Both documents are quite detailed and address multiple aspects of an effective program.

Although the documents are not directed to Healthcare, they are relevant in that they address many issues that Healthcare professionals face in managing Business Associates and Subcontractors.

OCC Bulletin 2013-29 – “Third Party Relationships: Risk Management Guidance” - <https://www.occ.gov/news-issuances/bulletins/2013/bulletin-2013-29.html>

OCC Bulletin 2017-7 – “Third Party Relationships: Supplemental Examination Procedures” - <https://www.occ.gov/news-issuances/bulletins/2017/bulletin-2017-7.html>

# On January 25, 2013, Health and Human Services published on its website “SAMPLE BUSINESS ASSOCIATE AGREEMENT PROVISIONS” - <https://www.hhs.gov/hipaa/for-professionals/covered-entities/sample-business-associate-agreement-provisions/index.html>. Every Subcontractor that has PHI or ePHI is also a Business Associate, and therefore must have a BAA.

# OCR Business Associate Template - <https://www.hhs.gov/hipaa/for-professionals/compliance-enforcement/audit/batemplate/index.html>