BAA Vendor Checklist

One page per vendor. Business associate agreement review for a therapy practice.

A tracking worksheet, not a contract. The agreement itself comes from the vendor or HHS sample provisions.

Practice, vendor and service

Practice (covered entity) _____ Vendor _____ Date _____

Service it provides _____ Account owner and plan _____ Incident contact (phone or email) _____

1. Client information (PHI) it creates, receives, stores or sends

- ☐ Clinical notes
- ☐ Intake and consent forms
- ☐ Scheduling, contact details
- ☐ Billing and insurance
- ☐ Session audio or video
- ☐ Client messages

2. Business associate, or does an exception apply?

- ☐ Yes: business associate
- ☐ Treatment provider
- ☐ Conduit (transmit only)
- ☐ Incidental access only
- ☐ Payment processing only
- ☐ Health plan or workforce

Why, in one line _____

3. BAA status

- ☐ Vendor's own BAA
- ☐ Our BAA (HHS sample based)
- ☐ Inside terms of service
- ☐ Requested, not yet signed

Date signed or accepted _____ Plan and services the BAA covers _____ Signed copy kept at _____

4. Required elements present (164.504(e)(2), 164.314(a))

- ☐ Permitted uses listed
- ☐ No other use or disclosure
- ☐ Safeguards, Security Rule
- ☐ Reports misuse and breaches
- ☐ Reports security incidents
- ☐ Subcontractors bound
- ☐ Client access (164.524)
- ☐ Amendment (164.526)
- ☐ Accounting (164.528)
- ☐ Books open to HHS
- ☐ Return or destroy at end
- ☐ We can terminate for cause

5. Clauses that matter in a therapy practice

Breach reporting window _____ Who notifies clients and HHS _____ Data export at cancellation _____

Own use of data, AI training _____ Key subcontractors, data location _____ No blocking of our access _____

6. Notes and follow up

Fixes requested, workflow changes, risks you are accepting and why

_____

_____

_____

Decision: use / fix first / stop _____ Reviewed by _____ Date _____ Next review _____

Keep the signed BAA with this page. Never write passwords here. No client names on this form.

A tracking worksheet, not a contract or legal advice. Use HHS sample BAA provisions or the vendor's BAA, attorney reviewed.

Free printable from Lotus & Tulip · lotustulip.com/business-associate-agreement-for-therapists.html

BAA Vendor Checklist

One page per vendor. Business associate agreement review for a therapy practice.

FILLED EXAMPLE · fictional practice, vendor, people and dates

Practice, vendor and service

Practice (covered entity): Bramblewood Counseling, PLLC

Vendor: K. Moreno Billing (fictional)

Date: 11/10/2026

Service it provides: Claims follow up and denials

Account owner and plan: C. Delgado, monthly retainer

Incident contact (phone or email): (555) 010-0162, kmoreno@example.com

1. Client information (PHI) it creates, receives, stores or sends

- [ ] Clinical notes
- [ ] Intake and consent forms
- [x] Scheduling, contact details
- [x] Billing and insurance
- [ ] Session audio or video
- [ ] Client messages

2. Business associate, or does an exception apply?

- [x] Yes: business associate
- [ ] Treatment provider
- [ ] Conduit (transmit only)
- [ ] Incidental access only
- [ ] Payment processing only
- [ ] Health plan or workforce

Why, in one line: Billing and claims for us; she receives names, DOB, insurance IDs, codes

3. BAA status

- [ ] Vendor's own BAA
- [x] Our BAA (HHS sample based)
- [ ] Inside terms of service
- [ ] Requested, not yet signed

Date signed or accepted: 11/10/2026

Plan and services the BAA covers: All billing services in our agreement

Signed copy kept at: Practice drive: Legal / BAAs

4. Required elements present (164.504(e)(2), 164.314(a))

- [x] Permitted uses listed
- [x] No other use or disclosure
- [x] Safeguards, Security Rule
- [x] Reports misuse and breaches
- [x] Reports security incidents
- [x] Subcontractors bound
- [x] Client access (164.524)
- [x] Amendment (164.526)
- [x] Accounting (164.528)
- [x] Books open to HHS
- [x] Return or destroy at end
- [x] We can terminate for cause

5. Clauses that matter in a therapy practice

Breach reporting window: 3 business days

Who notifies clients and HHS: Practice; she supports

Data export at cancellation: Not applicable: works in our EHR

Own use of data, AI training: None permitted

Key subcontractors, data location: None without our written OK

No blocking of our access: Yes: EHR access is ours

6. Notes and follow up

Fixes requested, workflow changes, risks you are accepting and why

Attorney reviewed our BAA 11/07. She now works only in the EHR billing portal.

No spreadsheets by email. She deletes old local files; confirmed in writing 11/10.

Logged in vendor log row 4. Recheck if she adds staff or a subcontractor.

Decision: use / fix first / stop: Use

Reviewed by: C. Delgado, LPC

Date: 11/10/2026

Next review: 11/2027

Keep the signed BAA with this page. Never write passwords here. No client names on this form.

A tracking worksheet, not a contract or legal advice. Use HHS sample BAA provisions or the vendor's BAA, attorney reviewed.

Free printable from Lotus & Tulip · lotustulip.com/business-associate-agreement-for-therapists.html

Annual BAA Review

Ten checks once a year and whenever you add a vendor, plus a log of every vendor

Annual review, in order

- [ ] 1. List every app, service and person that touches client information.
- [ ] 2. Mark each one: business associate, or which exception applies.
- [ ] 3. Confirm a signed BAA exists for every business associate.
- [ ] 4. Check the BAA covers the plan and services you actually use.
- [ ] 5. Note each breach reporting window; ask for shorter where you can.
- [ ] 6. Confirm you can export all records if you cancel the service.
- [ ] 7. Check what the vendor may do with your data, including AI training.
- [ ] 8. Remove client information from tools that will not sign a BAA.
- [ ] 9. Update your breach plan, incident contacts and state law notes.
- [ ] 10. File signed copies; keep them at least six years after they end.

Vendor log

Vendor and service	PHI it touches	BA? or exception	BAA date	Copy kept at	Report window	Reviewed

Exceptions: treatment provider, conduit (transmits only, like the postal service or an internet provider), incidental access only, payment processing only, health plan paying claims, or your own workforce. Anything that stores client information is not a conduit.

A tracking worksheet, not a contract or legal advice. Use HHS sample BAA provisions or the vendor's BAA, attorney reviewed.

Free printable from Lotus & Tulip · lotustulip.com/business-associate-agreement-for-therapists.html

L&T

Lotus & Tulip

Liked this free printable?

The complete, ready to print version is here:

Therapy Progress Notes and Intake Templates

Fillable PDF, 20 pages: SOAP, DAP and BIRP notes, intake, treatment plan and safety plan

Holiday sale on Etsy until Dec 2: about $7.36, was $9

Get it on Etsy

etsy.com/listing/4607261084 | instant digital download

See every page first: lotustulip.com/therapy-progress-notes-and-intake-templates.html

More free printables: lotustulip.com/free-tools.html

Lotus & Tulip printables. Personal and professional use with your own clients or students.