

EXAMPLE SECURITY PARTNERS

DOCUMENT REGISTER

Sample Dental Group (made up) · As of Oct 16, 2026

13

DOCUMENTS

11

APPROVED

1

REVIEW OVERDUE

1

DUE IN 60 DAYS

96%

STAFF ACKNOWLEDGED

2

OPEN EXCEPTIONS

1

PAST EXPIRY

NEEDS ATTENTION

Document	Department	Owner	What is wrong
Backup and Restore Procedure	IT	Outsourced IT provider	Draft, not approved
HIPAA Privacy and Patient Records Policy	Legal and Compliance	Office Manager (Privacy Officer)	Review overdue by 31 days; Acknowledged by 12 of 14
Business Continuity and Disaster Recovery Plan	Operations	Practice Administrator	Draft, not approved
Access Control and Account Management Policy	Security	Practice Administrator	Acknowledged by 13 of 14
Information Security Policy	Security	Practice Administrator	Acknowledged by 13 of 14
Third-Party Risk Management Procedure	Security	Practice Administrator	1 exception past expiry
Authentication Standard (Passwords and MFA)	Security	Practice Administrator	No acknowledgment count

BY DEPARTMENT

Department	Documents	Approved	Review overdue	No owner	Open exceptions
Company-wide	1	1	0	0	0
Finance	1	1	0	0	0
Human Resources	1	1	0	0	0
IT	1	0	0	0	0

Department	Documents	Approved	Review overdue	No owner	Open exceptions
Legal and Compliance	2	2	1	0	0
Operations	2	1	0	0	0
Security	5	5	0	0	2

REGISTER

ID	Document	Department	Type	Owner	Approver	Version	Approved	Next review	Acknowledged	Status
P-03	Acceptable Use Policy	Company-wide	Policy	Practice Administrator	Dr. R. Example, Managing Partner	1.0	Aug 6, 2026	Aug 6, 2027	14 of 14	Approved
P-09	Payment and Vendor Bank-Change Verification Procedure	Finance	Procedure / runbook	Billing Lead	Dr. R. Example, Managing Partner	1.0	Sep 10, 2026	Sep 10, 2027	3 of 3	Approved
P-08	Employee Handbook	Human Resources	Handbook	Office Manager	Dr. R. Example, Managing Partner	2026.1	Jan 12, 2026	Jan 12, 2027	14 of 14	Approved
P-06	Backup and Restore Procedure	IT	Procedure / runbook	Outsourced IT provider	Dr. R. Example, Managing Partner					Draft
P-07	HIPAA Privacy and Patient Records Policy	Legal and Compliance	Policy	Office Manager (Privacy Officer)	Dr. R. Example, Managing Partner	2.1	Sep 15, 2025	Sep 15, 2026	12 of 14	Approved
P-13	Records Retention and Disposal Schedule	Legal and Compliance	Standard	Office Manager (Privacy Officer)	Dr. R. Example, Managing Partner	1.2	Nov 4, 2024	Nov 4, 2026	4 of 4	Approved
P-11	Business Continuity and Disaster Recovery Plan	Operations	Plan	Practice Administrator	Dr. R. Example, Managing Partner					Draft
P-10	Infection Control and Sterilization Procedure	Operations	Procedure / runbook	Clinical Lead	Dr. S. Sample, Partner	4.0	Mar 2, 2026	Mar 2, 2027	9 of 9	Approved
P-04	Incident Response Plan	Security	Plan	Practice Administrator	Dr. R. Example, Managing Partner	1.0	Aug 20, 2026	Aug 20, 2027	5 of 5	Approved
P-02	Access Control and Account Management Policy	Security	Policy	Practice Administrator	Dr. R. Example, Managing Partner	1.0	Aug 6, 2026	Aug 6, 2027	13 of 14	Approved
P-01	Information Security Policy	Security	Policy	Practice Administrator	Dr. R. Example, Managing Partner	1.0	Aug 6, 2026	Aug 6, 2027	13 of 14	Approved

ID	Document	Department	Type	Owner	Approver	Version	Approved	Next review	Acknowledged	Status
P-12	Third-Party Risk Management Procedure	Security	Procedure / runbook	Practice Administrator	Dr. R. Example, Managing Partner	1.0	Sep 3, 2026	Sep 3, 2027	2 of 2	Approved
P-05	Authentication Standard (Passwords and MFA)	Security	Standard	Practice Administrator	Dr. R. Example, Managing Partner	1.0	Oct 16, 2026	Oct 16, 2027		Approved

OPEN EXCEPTIONS

Document	Exception and reason	Covers	Approved by	Expires
Access Control and Account Management Policy	Shared sign-in on the patient check-in PC: the practice software's kiosk mode does not support named users. Screen locks after 2 minutes and the PC has no email.	Front desk check-in PC	Dr. R. Example, Managing Partner	Jan 31, 2027
Third-Party Risk Management Procedure	Imaging vendor keeps an always-on remote support tool on the imaging PC until it moves to on-request sessions.	Imaging workstation, operatory 2	Dr. R. Example, Managing Partner	Sep 30, 2026 (past)

WHAT EACH SECURITY DOCUMENT COVERS

Document	Framework outcomes	Risks treated
Acceptable Use Policy	PR.AT-01	R-03 Staff do not know their security duties
Payment and Vendor Bank-Change Verification Procedure	PR.AA-05	R-02 Email account takeover leads to payment fraud
Backup and Restore Procedure	PR.DS-11, RC.RP-03	R-04 Backups have never been restored in a test
HIPAA Privacy and Patient Records Policy	GV.OC-03, PR.DS-01	R-07 Patient records sent to the wrong person by email or fax
Records Retention and Disposal Schedule	PR.DS-01	R-07 Patient records sent to the wrong person by email or fax
Business Continuity and Disaster Recovery Plan	RC.RP-01, RC.RP-02, PR.IR-03	R-01 Ransomware encrypts the practice management server and imaging; R-08 No agreed way to keep seeing patients during a long outage
Incident Response Plan	RS.MA-01, RS.MA-02, RS.CO-02, ID.IM-04	R-01 Ransomware encrypts the practice management server and imaging; R-02 Email account takeover leads to payment fraud
Access Control and Account Management Policy	PR.AA-01, PR.AA-02, PR.AA-05	R-06 Shared sign-ins at the front desk

Document	Framework outcomes	Risks treated
Information Security Policy	GV.PO-01, GV.PO-02, GV.OC-03, GV.RR-02	R-03 Staff do not know their security duties
Third-Party Risk Management Procedure	GV.SC-01, GV.SC-02, GV.SC-06, ID.RA-10	R-05 Imaging vendor has always-on remote access
Authentication Standard (Passwords and MFA)	PR.AA-03, PR.AA-04	R-02 Email account takeover leads to payment fraud; R-06 Shared sign-ins at the front desk

Every open risk in the loaded register is linked to at least one document.

Approval dates and acknowledgment counts are as reported by the client. This register does not hold signatures.