

Audit readiness *checklist*

The same checklist I use on day one with every client. Work through it with your office manager. Be honest. A "no" today is a fix, not a finding.

22–25

Audit-ready. Maintain it.

15–21

Gaps to close this quarter.

0–14

High risk. Act now.

01 Policies & procedures

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- ☐ **Policies reviewed and signed in the last 12 months**
Dated, approved and easy for staff to find.
- ☐ **HIPAA privacy and security policies in place**
Including breach response and minimum-necessary use.
- ☐ **Current, written incident reporting process**
Staff know what to report, to whom and how fast.
- ☐ **Emergency and infection-control plans on file**
Updated for your current space, staff and services.
- ☐ **A named compliance lead**
One person owns compliance, and everyone knows who.

02 Staff training

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- ☐ **Annual HIPAA training complete for all staff**
Sign-in sheets or certificates for every employee.
- ☐ **New hires trained before patient contact**
Orientation checklist signed and kept in the file.
- ☐ **OSHA, fraud-waste-abuse and role training logged**
Each training dated, with who attended.
- ☐ **Training records in one place**
Pull any employee's history in under five minutes.
- ☐ **Managers trained to coach and document**
Performance issues handled consistently and on paper.

03 Credentialing & licensing

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- ☐ **Every provider license current and verified**
Primary-source verification on file, with expiry dates tracked.
- ☐ **Payer enrollments active and up to date**
No lapsed contracts, addresses or tax IDs.
- ☐ **Re-credentialing dates on a calendar**
Reminders set at least 90 days ahead.
- ☐ **Exclusion checks (OIG/SAM) run monthly**
For all staff and contractors, with results saved.
- ☐ **Facility licenses and certificates posted**
CLIA, DEA, state and local, all current.

04 Documentation & records

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- ☐ **Clinical notes signed and timely**
Within your policy window, with no unsigned backlog.
- ☐ **Chart audits done at least quarterly**
Findings tracked and corrected.
- ☐ **Consent and intake forms current**
Signed, dated and stored in the record.
- ☐ **Access to records limited by role**
Logins reviewed; former staff removed the day they leave.
- ☐ **Business associate agreements on file**
For every vendor that touches patient data.

05 Operations & workflows

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- ☐ **Written SOPs for intake, scheduling and billing**
Someone new could follow them on day one.
- ☐ **Clear owner for every handoff**
No task lives in "someone's head."
- ☐ **Staff turnover tracked and understood**
You know your rate and why people leave.
- ☐ **KPIs reviewed monthly**
Visits, no-shows, days in A/R, denials.
- ☐ **A mock audit in the last 12 months**
Gaps found by you, before a surveyor finds them.



Not sure where to start? *Let's look together.*

Bring your score to a free 30-minute call. You'll leave knowing your top three fixes.

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