

Healthcare Audit Checklist

Name of facility:			
Address:			
Contact number:		Date of audit:	
<i>This checklist is based on the U.S. Department of Health and Human Services Office of Inspector General's General Compliance Program Guidance (2023)</i>			
1. Written policies and procedures	Yes	No	Remarks
Is there a relevant code of conduct?			
Are policies and procedures in place to ensure compliance?			
Are regulations, applicable laws, and requirements followed?			
Are there processes to reduce risks caused by noncompliance with laws and regulations?			
Is there a compliance program operating?			
2. Compliance leadership and oversight	Yes	No	Remarks
Is there a compliance committee?			
Is there a compliance officer?			
Is there board compliance oversight?			
3. Enforcing standards: Consequences and incentives	Yes	No	Remarks
Are clear and documented consequences for non-compliance with established standards communicated to all relevant staff?			
Are incentives for compliance with standards formally implemented and regularly reviewed?			
Is there a mechanism in place to consistently monitor compliance with established standards?			

3. Enforcing standards: Consequences and incentives	Yes	No	Remarks
Are corrective actions taken promptly and effectively when non-compliance is identified?			
4. Training and education	Yes	No	Remarks
Is there an annual training plan?			
Is the training material accessible to designated users?			
5. Effective lines of communication with the compliance office and disclosure program	Yes	No	Remarks
Is there open communication between the compliance officer and entity personnel?			
Is the disclosure program easily accessible to staff?			
6. Risk assessment, auditing and monitoring	Yes	No	
Is there a risk assessment process?			
Is there a schedule for auditing and monitoring?			
Are auditing and monitoring activities conducted consistently?			
7. Responding to detected offenses and developing corrective action initiatives	Yes	No	
Are there methods and guidelines in place for addressing concerns or conducting necessary investigations within the organization?			
Are there procedures for investigations into violations?			
Are there procedures for reporting to the government?			
Are there procedures for implementing corrective action initiatives?			

Additional notes**Auditor:****Signature:**