

Compliance Risk Assessment Questionnaire for Healthcare

A **compliance risk assessment questionnaire** for healthcare helps identify potential regulatory and operational risks within medical organizations. It ensures adherence to legal standards, protects patient data, and improves overall healthcare quality. Regular assessments enable proactive risk management and strengthen compliance frameworks.

Section 1: General Compliance

1. Are all staff members trained annually on relevant healthcare laws and regulations (e.g., HIPAA, OSHA)?
 - Yes
 - No
 - Not sure
2. Is there a designated compliance officer or team responsible for monitoring regulatory requirements?
 - Yes
 - No
3. Are periodic internal audits conducted to assess compliance with applicable regulations?
 - Quarterly
 - Annually
 - Not conducted

Section 2: Patient Data Protection

4. Are patient records securely stored and accessed only by authorized personnel?
 - Always
 - Sometimes
 - Never
5. Does your organization have policies for reporting and managing data breaches?
 - Yes
 - No
6. Are electronic health records (EHR) systems regularly updated and tested for vulnerabilities?
 - Yes
 - No
 - Not applicable

Section 3: Regulatory Reporting & Documentation

7. Are compliance-related incidents and corrective actions properly documented?
 - Always
 - Sometimes
 - Never
8. Are mandatory reports (e.g., for patient safety, adverse events) submitted promptly to authorities?
 - Always
 - Sometimes
 - Never
9. Is there a process for updating policies and procedures in response to regulatory changes?
 - Yes
 - No

Section 4: Risk Management

10. Does management regularly review and assess organizational risks?
 - Yes
 - No
11. Is there a whistleblower policy in place, and are staff aware of how to report concerns?
 - Yes
 - No
12. After identifying risks, are mitigation actions documented and monitored for effectiveness?
 - Always
 - Sometimes
 - Never

Additional Comments

Please provide any additional information or concerns related to compliance risks:

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