

Healthcare Compliance Internal Audit Checklist

An **Healthcare compliance internal audit checklist** ensures that medical facilities adhere to regulatory standards and industry best practices. It systematically reviews policies, procedures, and documentation to identify potential risks and areas for improvement. Utilizing this checklist helps maintain patient safety, data security, and operational efficiency.

General Information

Facility Name	
Date of Audit	
Auditor Name	

Checklist Items

- **Policies & Procedures**
 - Are all policies and procedures current and reviewed annually?
 - Is there documented evidence of staff training on policies?
 - Are compliance officer roles and responsibilities defined?
- **Patient Safety**
 - Are infection control protocols up to date and consistently followed?
 - Are incidents and adverse events reported and tracked?
- **Data Privacy & Security**
 - Is patient information stored and transmitted securely (HIPAA compliant)?
 - Are regular risk assessments conducted for IT systems?
 - Is access to sensitive data restricted to authorized personnel?
- **Billing & Coding Compliance**
 - Are billing practices regularly reviewed for accuracy?
 - Are coding protocols compliant with current guidelines?
 - Is there a process for addressing billing or coding discrepancies?
- **Staff Training & Competency**
 - Have all staff completed mandatory compliance and safety training?
 - Are continuing education records maintained and up to date?
- **Licensing & Credentialing**
 - Are all staff licenses and certifications current?
 - Is there a tracking system for credential expirations?
- **Incident Reporting & Resolution**
 - Is there a standardized process for reporting incidents?
 - Are corrective actions tracked and documented?

Follow-Up Actions

Area	Action Required	Responsible Person	Deadline	Status

Note: This checklist should be customized based on facility size, specialty, and applicable federal and state regulations.