

GUIDE

Compliance Reports You Can't Live Without

Essential data summaries to encourage safe and ethical patient care with survival tips & tricks for inspections.



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In MedTrainer: Report Name

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Why Are Compliance Reports Vital?

Encourage. Enable. Enforce.

Every healthcare organization needs efficient and effective compliance reporting capabilities in order to **encourage**, **enable**, and **enforce** practices that are safe, ethical, and compliant for both patients and employees. **Compliance reports** identify areas that may require additional attention, revision, or updates in order to meet regulatory requirements.

Rules. Regulations. Requirements.

Patients, providers, and all staff depend on their organization to provide ongoing educational programs that are up-to-date with the newest **rules**, **regulations**, and **requirements** in healthcare provision. **Compliance reports** display whether or not your facility and staff are in alignment with industry and regulatory standards, in preparation for inevitable inspections.

Prepare. Professionalism. Peace of Mind.

Data collection and comprehensive reporting is a priority for any compliance professional. Whether you're presenting survey results, company progress, or compliance gaps to your boss, a board of directors, or fellow colleagues, having the information compiled into an accessible, digestible format is critical. **Compliance reports** help you **prepare** for presentations, demonstrate **professionalism**, and give both you and your leadership **peace of mind**, knowing exactly where your organization's compliance stands.

Quick Reference Guide: Healthcare Inspections

The reports highlighted throughout this guide outline the information needed by the governing bodies listed below. Knowing what might be surveyed and having the appropriate reports to back up your data, will keep you informed and prepared.

Areas of Interest for External Inspections:

External inspections are required by outside governing bodies that follow federal rules, regulations, and laws in order to protect both patients and workers.

Occupational Safety and Health Administration (OSHA)

- Management Leadership
- Worker Participation
- Hazard Identification and Assessment
- Hazard Prevention and Control
- Education and Training
- Program Evaluation and Improvement
- Communication & Coordination for Host Employers, Contractors, and Staffing Agencies

U.S. Department of Health and Human Services Office of Inspector General (OIG)

- Waste
- Fraud
- Abuse

U.S. Department of Health and Human Services Office for Civil Rights (OCR)

- Health Information Portability and Accountability Act of 1996 (HIPAA)
- Patient Privacy and Security
- Policies and Procedures for Protected Health Information (PHI)

Centers for Medicare and Medicaid Services (CMS)

- Electronic Health Record (EHR) System
- Medicare–Medicaid Plans (MMPs)
- Medicare Advantage Organizations (MAOs)
- Prescription Drug Plans (PDPs)
- Children’s Health Insurance Program (CHIP)

Commercial Payers / Private Insurance Companies

- Validity of Reimbursements
- Underpayment or Overpayment on Claims
- Sufficient Medical Documentation

Areas of Interest for Internal Inspections:

External inspections are required by outside governing bodies that follow federal rules, regulations, and laws in order to protect both patients and workers.

- Documentation
- HIPAA Compliance
- Training and Education
- Licensure and Certification
- Payer Enrollment
- Hand Hygiene
- Personal Protective Equipment (PPE)
- Emergency Response
- Disaster Preparedness
- Equipment Use and Application
- De-escalation Strategies
- Communication Skills
- Debriefing Strategies
- Medication Management
- AED Location Awareness
- CPR / BLS / ACLS Competency

Report: Credentialing

Ensuring your providers meet the necessary clinical standards is required. A comprehensive and up-to-date credentialing report summarizes clinical privileges, verifications, exclusions, and documents.

Essential Fields:

- Provider Name
- Clinical Privileges
- Verifications
 - DEA Certification
 - CDS Certification
 - National Practitioner Data Bank (NPDB) ID
 - National Provider Identifier (NPI)
 - Primary Source Verification (PSV)
- Exclusions
 - OIG-LEIE
 - SAM
- Mandatory Documents
 - Driver's License or U.S. Passport
 - Educational Degree
 - Professional Medical License

Helpful Fields:

- Primary Location
- Department
- Position
- American Medical Association (AMA) ID
- Council for Affordable Quality Healthcare (CAQH ProView) ID
- Eligibility for Participation in Medicare
- Vaccines
- Medical Malpractice Insurance
- Background Check

Survival Tips & Tricks

#1 **Accrediting bodies that require a complete AMA profile:**

- Centers for Medicare and Medicaid Services (CMS)
- The Joint Commission (TJC)
- Healthcare Facilities Accreditation Program (HFAP)
- DNV Healthcare (DNV)
- Accreditation Association for Ambulatory Health Care (AAAHC)

#2 **An NPI is a HIPAA Administrative Standard required of any HIPAA-covered entity. A HIPAA-covered entity is:**

- Healthcare provider (individual or organization) that conducts certain transactions in electronic form
- Healthcare clearinghouse
- Healthcare plan (including commercial, Medicare, and Medicaid)

In MedTrainer:
[Credentialing Global Report](#)

Can help with inspections from (but not limited to):

- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- Centers for Medicare and Medicaid Services (CMS)
- Commercial Payers / Private Insurance Companies
- Internal

Reminders

Credentialing Report	Run bi-weekly
Commercial Payers / Insurance Companies	Credentialing data frequently requested monthly
Centers for Medicare and Medicaid Services (CMS)	Recredentialing required every 3 years
Commercial Payers / Insurance Companies	Recredentialing required every 2-3 years

Report: Payer Enrollment

Enrolling providers with payers is time-consuming with countless, critical forms and communications that cannot be missed. Superior reporting capabilities keeps you ultra organized and automation can save you 3 – 4 weeks from start to finish, so your providers can start seeing patients sooner.

Essential Fields:

- Provider Name
- Payer
 - Effective Date
 - Recredentialing Date

Helpful Fields:

- Provider Position
- Provider Email/Contact Info
- Enrollment Status
- Enrollment Notes

Survival Tips & Tricks

#1

Periodically filter your enrollment report by due date and set reminders so you don't miss key deadlines. You can also find software that automatically sets reminders. Automation can save you up to several weeks per provider.

#2

Many insurance companies and healthcare facilities require the completion and ongoing reattestation of a Council for Affordable Quality Healthcare (CAQH ProView) profile in order to stay in-network. Refresh your attestation date prior to sending a new payer application, maximizing the amount of days enrolled before having to reattest again in 90 days.

In MedTrainer:
[Global Enrollment Report](#)

Can help with inspections from (but not limited to):

- Centers for Medicare and Medicaid Services (CMS)
- Commercial Payers / Private Insurance Companies
- Internal

Reminders

Payer Enrollment Report Run bi-weekly

CAQH Proview Reattest every 90 days

Report: Exclusions

An exclusions report indicates violations made by individuals that make them ineligible to work in healthcare, and employing them can result in costly fines and reputational damage.

Essential Fields:

- Provider Name
- Exclusion (OIG-LEIE / SAM)
- State-Specific Exclusion
- Status (No Exclusion/Unverified/Excluded)
- Last Exclusion Check Date

Helpful Fields:

- Supervisor
- Location
- Department
- Position
- Employee Status (Active/Inactive)



Survival Tips & Tricks

#1

Individuals who appear on the System for Award Management (SAM) exclusions list are debarred from participating in federal contracts, including Medicare and Medicaid. Consistently running SAM checks is imperative to the integrity of your healthcare business.

#2

Facilities that hire an individual on OIG's List of Excluded Individuals/Entities (LEIE) risk incurring civil monetary penalties (CMPs). OIG recommends healthcare entities routinely run a report to verify your employees' eligibility to practice.

In MedTrainer:
[Exclusions](#)

Can help with inspections from (but not limited to):

- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- Centers for Medicare and Medicaid Services (CMS)
- Commercial Payers / Private Insurance Companies

Reminders

Exclusions Report Run monthly
OIG-LEIE & SAM Checks Complete monthly

Report: Licenses

A report of this nature houses all licenses and certifications that require continuing education or refreshers, including medical, board-certification, first aid, restraint, de-escalation strategy, and more.

Essential Fields:

- Employee Name
- License/Certification Type
- License Number
- State
- Expiration Date

Helpful Fields:

- Employee's Unit/Department
- Supervisor
- Original Date Obtained
- Renewal Date
- Status (Active/Expired)



Survival Tips & Tricks

#1

Set reminders for 90, 60, 30, and 10 days so certifications don't lapse.

#2

With your reminder emails, include a list of CEU courses that your organization offers or other options you've seen in the community.

In MedTrainer:
[CEU Licenses](#)

Can help with inspections from (but not limited to):

- Occupational Safety and Health Administration (OSHA)
- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- Centers for Medicare and Medicaid Services (CMS)
- Commercial Payers / Private Insurance Companies
- Internal

Reminders

Licenses Report Run bi-weekly to monthly
CPR/BLS/ACLS Recertification required every 2 years; refreshers every 90 days to once a year
Restraint/De-escalation Recertification required every 1-2 years

Report: Courses

Inspectors verify that employers provide ongoing training and education for staff that meet federal regulations. An educational-based report of all courses assigned to staff, overdue, or in-progress is essential to healthcare compliance.

Essential Fields:

- Position
- Staff/Student Name
- Course Name
- Date/Future Date Assigned
- Date Completed

Helpful Fields:

- Location
- Department
- Assigned By
- Supervisor
- Student Status (Active/Inactive)
- Staff/Student Email

Survival Tips & Tricks

#1

Create a standard course bundle for each role to save time when you onboard new employees.

#2

Knowing which compliance training to choose for your team can be challenging. View [the 10 most popular compliance training topics](#) healthcare teams are using to keep their staff engaged.

In MedTrainer:
[Assigned Courses Report](#)

Can help with inspections from (but not limited to):

- Occupational Safety and Health Administration (OSHA)
- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- Centers for Medicare and Medicaid Services (CMS)
- Internal

Reminders

Courses Report Run monthly and upon new hire onboarding
OSHA Training required at least annually
HIPAA Training recommended annually

Report: Course Performance

While some sections of your staff training program may perform well, others might require updates or adjustments to stay compliant and pass inspections.

Essential Fields:

- Employee Name
- Course Title
- Stage (Assigned/Completed)
- Date Assigned
- Date Completed
- Course Chapter
- Status (Failed/Passed)

Helpful Fields:

- Employee Department
- Supervisor
- Retest Date
- Retest Status (Failed/Passed)

Survival Tips & Tricks

#1

Microlearning is an effective method for staff development. It involves:

- Short lessons (typically 3-12 minutes)
- Highly informational
- Focuses on 1 or 2 main learning objectives
- Knowledge checks or interactive exercises

#2

Use a course performance report to identify any gaps in staff training, so that a process improvement plan can be developed and executed.

In MedTrainer:
[Failed/Passed Courses](#)

Can help with inspections from (but not limited to):

- Occupational Safety and Health Administration (OSHA)
- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- Centers for Medicare and Medicaid Services (CMS)
- Internal

Reminders

Course Performance Report Run monthly

Knowledge Checks Varies from every 90 days to once a year depending on course

Report: Incidents

Every healthcare organization is required to report incidents as they occur, whether related to equipment, patients, or employees. A summary of incidents is key to accountability and identifying areas for procedural and/or process improvement.

Essential Fields:

- Location
- Department
- Date of Incident
- Incident Type
- Type of Person Involved (Employee/Patient)
- Name of Person Involved
- Incident Description
- Status

Helpful Fields:

- Antecedent (Yes/No)
- Antecedent Details
- Date of Birth
- Follow-Up Date
- Resolution Date
- Elapsed Time Since Incident
- Total Incident Types
- Number of Incidents

Survival Tips & Tricks

#1

The healthcare and social assistance industries have the **highest rate of worker-related injuries than any other field**. Having a user-friendly method for reporting incidents will increase the likelihood staff will make a report, necessary for maintaining compliance.

#2

Monthly, pull a report of all incidents and sort by each column to identify trends.

For example, if one department consistently leads in a certain type of incident, additional training or a review of medical supplies may be needed, in order to address what's causing the recurring incident.

In MedTrainer:
[Incident Report Summary](#)

Can help with inspections from (but not limited to):

- Occupational Safety and Health Administration (OSHA)
- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- U.S. Department of Health and Human Services Office for Civil Rights (OCR)
- Centers for Medicare and Medicaid Services (CMS)

Reminders

Patient-Related Incident Report Run daily
Employee-Related Incident Report Run at minimum weekly
Equipment-Related Incident Report Run daily

Report: Safety Plans

Knowing which safety plans have been created, assigned, and acknowledged by staff can help to save lives. A collective report on safety plans also demonstrates awareness, preparedness, and readiness for inevitable inspections.

Essential Fields:

- Safety Plan Title
- Employee Name
- Date Assigned
- Date Accepted

Helpful Fields:

- Acknowledgement/Acceptance
- Deadline
- Status-Assigned (Pending)
- Status-Accepted (Completed)



Survival Tips & Tricks

#1

Common Safety Plans to Consider:

- Fire Prevention
- Exposure Control
- Hazardous Communication
- Environmental Sustainability
- Injury and Illness
- Hazard Assessment Inspection
- Aerosol Transmissible Diseases Exposure
- Infection Prevention
- Laboratory Personnel

#2

Housing safety plans electronically not only saves time, money, and paper, but also makes it significantly less likely that these critical plans will get lost in the shuffle, boosting your preparedness for OSHA and OIG inspections.

In MedTrainer:
Safety Plans Assigned

Can help with inspections from (but not limited to):

- Occupational Safety and Health Administration (OSHA)
- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- Centers for Medicare and Medicaid Services (CMS)
- Internal

Reminders

Safety Plan Report	Run monthly
OSHA Compliance	Review monthly
OIG Compliance	Review monthly
CMS Compliance	Review monthly
Internal Compliance	Review monthly

Report: Policies

Policies could be one of the first things inspected during a survey, and having them readily accessible to all employees reduces risk and keeps everyone on the same page.

Essential Fields:

- Employee Name
- Policy Name
- Policy Status (Completed/Past Due)
- Assigned Date
- Completed Date

Helpful Fields:

- Location
- Department
- Employee Status (Active/Inactive)
- Assigned By
- Version of Policy (1, 2, 3, etc.)
- Label/Category

Survival Tips & Tricks

#1

Track your policy updates by storing old versions for reference. Keeping record of these documents demonstrates process improvement and program development.

#2

Workplace violence and physical assaults continue to rise in the healthcare and social services fields. Take preventative action by implementing a zero-tolerance policy for workplace violence, applicable to all workers, patients, clients, contractors, and visitors.

In MedTrainer:
[Assigned Policies](#)

Can help with inspections from (but not limited to):

- Occupational Safety and Health Administration (OSHA)
- U.S. Department of Health and Human Services Office of Inspector General (OIG)
- U.S. Department of Health and Human Services Office for Civil Rights (OCR)
- Centers for Medicare and Medicaid Services (CMS)
- Commercial Payers / Private Insurance Companies
- Internal

Reminders

Policies Report..... Run monthly
Review and Update Policies..... Every 6 months to once a year

Checklist: Making Your Compliance Reports Work for You

Implementing a rigorous compliance program can be tedious, time-consuming, and sometimes even daunting. With so much to consider, it can be hard to know where to start. Here is a checklist of some questions to ask yourself as you evaluate your compliance reports.

- Is there information I need that isn't included in one of my reports? Can I add it?
- Is there a way to import information or will I need to manually add it?
- Will my reports satisfy an OSHA, OIG, OCR, or CMS inspector?
- Is it feasible to complete provider exclusion checks monthly? If not, what changes do I need to make?
- Do I have reminders set for credentialing tasks to avoid lapses on payer enrollments?
- Can I easily identify patterns on incident reports (common staff, departments, or locations) to take corrective action?
- Can I quickly provide updates on staff who need to read and acknowledge my facility's required safety plans?
- If I need to make an update to a safety plan or policy, what's the easiest way for me to notify staff that they need to acknowledge the new version?
- Are all my staffs' licenses and certifications current?
- Do I have a way to ensure all employees are meeting OSHA, OIG, OCR, and CMS training requirements?
- Can I tell which courses are not being completed by staff? How will I remind them?
- Can I identify performance improvement initiatives on our training outcomes?

Are Your Reports Not Making the Grade?

Adopting an efficient software system can help to significantly reduce your burden by streamlining, simplifying, and automating your compliance reports. MedTrainer puts all your data and documents in one platform with pre-built and configurable reports that make it easy to provide status updates at any time. Eliminate manual tasks with automatic DEA verification, the ability to schedule and email reports, and automatically escalate policy approval and incident reports.

Simplify your reporting process today with MedTrainer.

[Learn More](#)