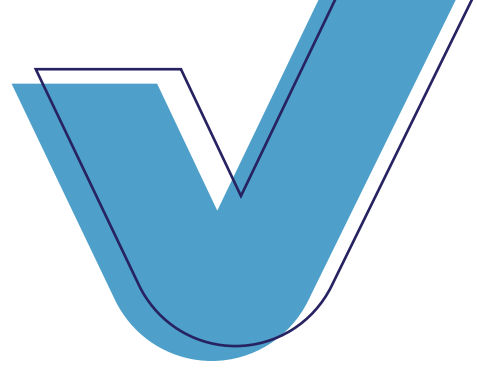


# CHECKLIST

## Top Compliance Risks That Should Be Shared With Your Governing Body



Governing boards are expected to put forth a meaningful effort to review the adequacy of existing compliance systems and functions (**Office of the Inspector General**). It's recommended you share with your board at least annually how your organization is building a culture of safety so they can be knowledgeable and demonstrate their commitment to staff.

While you live in the details, the board is interested in the key financial, operational, and compliance indicators to assess risk. They also want to know the corrective action you are taking to mitigate the risk and engage staff and providers to be part of the overall solution. Use this checklist to build reports, dashboards, or presentations to communicate with your governing body.

### Organizational Compliance

- Percentage of incomplete policy acknowledgments
- Status of policy reviews including date of last update and approval by governing body
- Trends or issues related to monthly exclusion checks and findings
- Status of provider credentials along with confirmed privileges  
(with a focus on any that have not been completed in a timely manner)
- Changes in federal, state, and accreditation standards that require updating and tracking compliance policies
- Report issues found in the audit process

### Risk Mitigation

- Corporate compliance plan including the policies, training, code of conduct, confidential reporting, and disciplinary action for non-compliance
- Plan to ensure 100% compliance with training and access to resources for all providers and staff
- Plan to offer bloodborne pathogen training and a Hepatitis B vaccination to all required staff (with a signed declination on file)
- Snapshot of incidents including report dates, details, and remedial measures
- Risks related to fraud, such as referral relationships, coding and billing irregularities, and privacy breaches that result in duty to report

### Corrective Action Steps

- Progress made on any existing corrective action plans
- Status of inquiries from the Department of Justice (DOJ) or Office of the Inspector General (OIG)

**Struggling to compile or confirm this information?  
Find out how MedTrainer can help.**