

COMPLETE COMPLIANCE CHECKLIST

1. Does your office maintain an active compliance program or plan?
2. Does your office consistently update this plan as new requirements are identified or as new business activities and functions are initiated?
3. Does your compliance plan consider occupational safety and hazards specific to your workplace?
4. Is one person clearly responsible or designated for the implementation and enforcement of the compliance plan?
5. Do you have procedures for addressing employee complaints and concerns?
6. Are employees appropriately trained on the office's compliance plan, as well as occupational hazard safety concerns?
7. Does your office audit and assess the workplace to determine if hazards exist which may require the use of personal protective equipment?
8. If hazards do exist, does your office provide, free of charge, personal protective equipment which will protect exposed employees from these hazards?
9. Does your office ensure that the personal protective equipment properly fits each and every employee whose duties may involve exposure to hazards?
10. Are employees trained on proper use and maintenance of personal protective equipment?
11. Are gloves, masks, glasses or aprons (or lab coats) required for employees whose duties include potential exposure to blood or other infectious disease?
12. Does your office maintain all personal protective equipment in a clean, dry and sanitary location?
13. Is personal protective equipment easily accessible to all employees who may be required to use them, particularly in the event of an emergency?
14. Does your office have procedures to assess damage and wear-and-tear to personal protective equipment?
15. Does your office have procedures to repair or replace worn personal protective equipment while simultaneously providing enough additional personal protective equipment for all employees to perform their job duties?
16. Does your office have procedures for the proper disposal of personal protective equipment which has been worn, is contaminated, or otherwise unusable?

17. Does your office have procedures for cleaning spills of blood or other potentially infectious material?
18. Is personal protective equipment readily available for the cleanup of unanticipated spills of blood or other potentially infectious material?
19. Does your office have appropriate hand washing facilities and antiseptic hand wash for employees' immediate use?
20. Are food and beverage storage areas kept away from storage areas for blood or other potentially infectious materials?
21. Are food and beverage storage areas kept away from storage areas for drugs and dangerous chemicals?
22. Are containers used for needles, syringes and other sharp objects properly labeled, puncture-resistant and leak proof?
23. Is there an adequate number of fire extinguishers in the facility?
24. Does your office have a procedure for assessing, maintaining, and/or replacing fire extinguishers at least annually?
25. Are fire extinguishers easily accessible and free of obstruction?
26. Does your office have a procedure for training employees on the proper handling and use of fire extinguishers in the event of an emergency?
27. Does your office have a procedure of plan for general clean up and housekeeping duties?
28. Is your office kept in good working order?
29. Is your office kept clean and sanitary?
30. Are regulated wastes, such as potentially infectious material, disposed of in accordance with all applicable regulations
31. Are sharp objects stored in a manner that will prevent employees from accidental injuries?
32. Is there a list of hazardous chemicals, drugs or materials stored or used at your office which is distributed to employees?:
33. Is this list updated as necessary when new hazardous material is acquired or used?
34. Does your office have a policy or procedure regarding communication of hazards including a Material Safety Data Sheet (MSDS)?

35. Does each container for hazardous materials have a label addressing the product identity, usage directions, and potential health or physical hazards?
36. Is an MSDS available for each type of hazardous material used by your office?
37. Does your office require a comprehensive employee training program on hazardous substances before an employee begins work, including "Right to Know" explanation, location, and possible danger of hazardous materials, what to do and who to contact in an emergency situation, and use of personal protective equipment and other safety measures?
38. Are respirators provided for employees in case of exposure to atmospheric contamination?
39. In rooms or areas where noxious or toxic fumes, gases or chemicals are used, are there proper ventilation or dispersion mechanisms?
40. Are proper warning signs installed and/or displayed in areas where employees may be exposed to hazardous gases, fumes or chemicals?
41. If employees conduct maintenance or repair work on office machinery which may contain strong levels of energy (electrical, pneumatic, etc.), does your office have a procedure for locking out the equipment before work is conducted?
42. Are employees who perform these functions specifically trained on power sources, switches and the potential hazard of stored energy?
43. Are proper lockout devices, such as restraints or outlet plugs, provided and used during maintenance activities?
44. Are proper tagout materials, including red tags with appropriate warnings, provided and used during maintenance activities?
45. Does your office have procedures for emergency situations and evacuation of the facility?
46. Does your office provide a comprehensive training program for employees on identification of emergency situations, emergency protocol, exit route identification & usage, and evacuation and post-evacuation procedures?
47. Does your office have fire doors which close automatically?
48. Does your office have exit routes which are constructed using fire-resistant materials?
49. Does your office have exit routes that lead out to safe areas, such as streets, sidewalks, or open areas?
50. Are the exit doors unlocked at all times employees are, or may be, in the facility?
51. Does your office have a fire prevention program, and is this plan disseminated and explained to employees?

52. Does your office have an emergency action plan, and is this plan disseminated and explained to employees?
53. Do you have written logs, updated timely and appropriately, covering office procedures and happenings, including freezer storage logs, refrigeration storage logs, percutaneous injury logs and training logs?
54. Do you have written policies and procedures regarding compliance related activities?
55. Do you have copies of training materials and policies and procedures available for immediate inspection (either by employees or by OSHA inspectors)?
56. Is ergonomics considered when your office is being designed or redesigned?
57. Do computer work stations offer adjustable monitors?
58. Do all work stations have adjustable chairs?
59. Do computer work stations have ergonomically appropriate wrist support on keyboards and/ or mice?
60. Do all chairs used by employees offer appropriate back support?
61. Does your office have an assigned HIPAA Privacy Officer and written duties for this role?
62. Does your office have an assigned HIPAA Security Officer and written duties for this role?
63. Does your office have updated HIPAA manuals?
64. Does your office do a minimum of annual training on HIPAA related issues?
65. Is HIPAA training immediately performed for all new employees?
66. Is all HIPAA training properly documented?
67. Does your practice have written procedures for properly protecting PHI (Protected Health Information), storing, PHI, and handling PHI in the event your practice relocates or is sold?
68. Does your practice have documentation addressing PHI, including who and how you are able to communicate patient information with?
69. Does your practice check for Medicare Exclusions for all new employees and annually for all established employees as mandated by the federal government?
70. Do you know how long your records must be maintained?
71. Do you have written protocol for how records are destroyed?

72. Are you aware (and have documentation) addressing specific rules within your state such as discounting of care, marketing guidelines, etc?
73. Does your practice conduct self-audits at least once annually?
74. Does your practice evaluate coding and documentation guidelines at least annually?
75. Does your practice strategize when finding areas of weakness, and plan for how to reduce these areas of weakness or prevent entirely? Is this documented?
76. Does your practice regularly evaluate forms that are used to insure they are clear, thorough and up to date?
77. Does your practice use an outside billing service? If so, have you evaluated their level of compliance?
78. Do you have written and signed contracts on file for all business associates?
79. Does your practice have written job descriptions for each role as well as a written procedure manual?
80. Does your practice have an employee policy manual specifically addressing guidelines within the practice?
81. Are your written job descriptions and manuals all current?
82. Has your practice evaluated anti-kickback laws to insure you are not in violation?
83. Do you give away gifts to patients? If so, are you aware of the guidelines that must be followed for this?
84. Do you do regular employee job reviews?
85. Are you familiar with your current coding and documentation guidelines?
86. Does your practice have written policy addressing how it will respond to compliance related violation?