



Healthcare Audit Preparation Checklist: Readiness & Documentation

Policy and Procedure Review

Confirm all relevant policies and procedures are current, accessible, and understood by staff.

Last Policy Review Date

Policy Version in Use

- ☐ Version 1.0
- ☐ Version 1.1
- ☐ Version 2.0

Summary of Recent Policy Updates

Copy of Current Policy Documents

[📁 Upload File](#)

Policy Accessibility

- ☐ Accessible Online
- ☐ Accessible in Print
- ☐ Both Online and Print

Number of Staff Trained on Current Policies

Enter a number...

Documentation Review

Verify completeness and accuracy of all required documentation (e.g., patient records, incident reports, training records).

Last Document Review Date

Enter date...

Summary of Recent Documentation Changes

Write something...

Sample Patient Record (Redacted)

 Upload File

Number of Incident Reports Reviewed

Enter a number...

Completeness of Standard Forms

- ☐ Complete
- ☐ Mostly Complete
- ☐ Needs Improvement

Date of Last Patient Record Retention Check

Enter date...

Description of any identified gaps or inconsistencies

Write something...

Access Controls

Review and validate access controls for electronic health records (EHR) and other sensitive data.

Authentication Method

- ☐ Username/Password
- ☐ Multi-Factor Authentication (MFA)
- ☐ Biometrics

Number of Users with Admin Access

Enter a number...

Data Access Restrictions Applied (Select all that apply)

- ☐ Role-Based Access Control (RBAC)
- ☐ Attribute-Based Access Control (ABAC)
- ☐ Data Masking
- ☐ Encryption

Last Access Control Review Date

Enter date...

Password Complexity Requirements Met?

- ☐ Yes
- ☐ No
- ☐ Not Applicable

Description of Access Control Procedures

Write something...

Training Records

Confirm all staff have received required training and documentation is readily available for review.

Last Training Date

Enter date...

Training Module Completed

- ☐ HIPAA Privacy
- ☐ Cybersecurity Awareness
- ☐ Infection Control
- ☐ Patient Safety
- ☐ Emergency Preparedness


Training Score (%)

Enter a number...

Training Comments

Write something...

Training Certificate

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Trainer Name

- ☐ Trainer 1
- ☐ Trainer 2
- ☐ Trainer 3

Business Associate Agreements (BAA)

Ensure all BAAs are up-to-date, executed, and compliant with HIPAA regulations.

BAA Execution Date

Enter date...

BAA Type

- ☐ Standard BAA
- ☐ Customized BAA

Summary of BAA Services

Write something...

Copy of Signed BAA

 Upload File

BAA Status

- ☐ Active
- ☐ Expired
- ☐ Under Review

BAA Expiration Date

Enter date...

Number of Covered Records

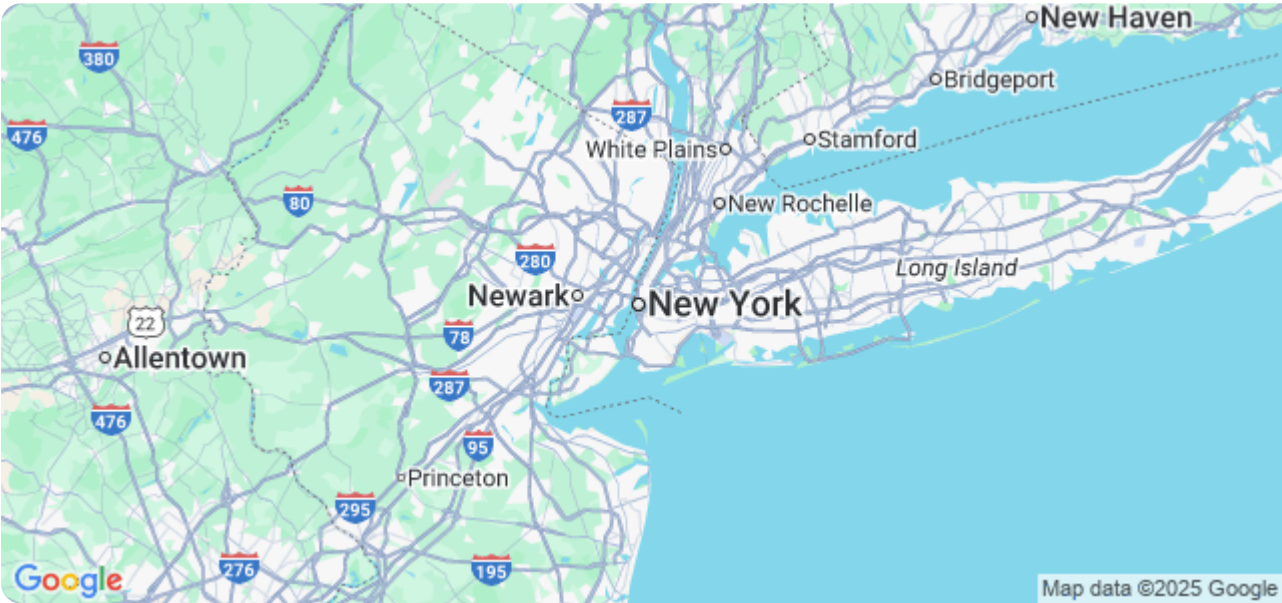
Enter a number...

Physical Security

Assess physical security measures (e.g., access badges, surveillance systems) and ensure they are functioning correctly.

Main Entrance Security Checkpoint Location

 [Set My Current Location](#)



Number of Security Cameras Functioning

Enter a number...

Access Badge System Status

- ☐ Fully Operational
- ☐ Minor Issues
- ☐ Significant Issues

Date of Last Physical Security Inspection

Enter date...

Description of Any Identified Physical Security Weaknesses

Write something...

Visitor Management System Status

- ☐ Operational
- ☐ Needs Review
- ☐ Not Operational

IT Security

Review IT security controls (e.g., firewalls, intrusion detection systems) and ensure they are properly configured and monitored.

Firewall Rule Count

Enter a number...

Antivirus Software Status

- ☐ Active
- ☐ Inactive
- ☐ Needs Update

Last Security Patch Installation Date

Enter date...

Vulnerability Scan Findings (Select All That Apply)

- ☐ High Severity
- ☐ Medium Severity
- ☐ Low Severity
- ☐ None

Notes on Recent Security Events or Concerns

Write something...

Password Policy Compliance

- ☐ Compliant
- ☐ Non-Compliant
- ☐ Needs Review

Emergency Preparedness

Validate emergency preparedness plans and procedures, including backup and disaster recovery processes.

Last Emergency Drill Date

Enter date...

Scheduled Drill Start Time

Number of Participants in Last Drill

Enter a number...

Brief Description of Last Drill Scenario

Write something...

Drill Outcome

- ☐ Successful
- ☐ Requires Improvement
- ☐ Unsatisfactory

Areas Requiring Improvement (Based on Last Drill)

- ☐ Communication
- ☐ Evacuation Procedures
- ☐ Staff Training
- ☐ Resource Availability
- ☐ N/A

Emergency Contact List (Uploaded File)

 Upload File

Corrective Action Plans

Review and update corrective action plans for previously identified deficiencies.

Description of Identified Deficiency

Write something...

Date Deficiency Identified

Enter date...

Severity Level (1-5, 1=Low, 5=High)

Enter a number...

Responsible Department

- ☐ Clinical
- ☐ IT
- ☐ Finance
- ☐ Compliance

Detailed Corrective Action Plan

Write something...

Target Completion Date

Enter date...

Status

- ☐ Not Started
- ☐ In Progress
- ☐ Completed
- ☐ On Hold

Signature of Responsible Party

Audit Trail Review

Examine audit trails to identify unauthorized access or modifications to data.

Start Date of Audit Trail Review

End Date of Audit Trail Review

Number of Records Reviewed

Types of Access Reviewed (e.g., EHR, Billing, Security)

- ☐ EHR Access
- ☐ Billing System Access
- ☐ Security Logs
- ☐ Pharmacy Records
- ☐ Lab Results


Summary of Findings (e.g., Anomalies, Suspicious Activity)

Write something...

Were any unauthorized access attempts detected?

- ☐ Yes
- ☐ No

Supporting Documentation (Screenshots, Log Exports)

 Upload File