

CORE PROCESS

Compliance & Quality Assurance

PURPOSE

To ensure care delivery and documentation meet regulatory, payer, and internal standards, and to drive continuous improvement that reduces risk and protects clients, staff, and the organization.



01

POLICY & PROCEDURE MAINTENANCE

Compliance Officer

- Maintain current written policies and SOPs for all key compliance areas.
- Review and update them on a set schedule based on regulatory, payer, and internal changes.
- Get leadership approval and communicate updates to staff, keeping records for audit..



02

AUDIT & CHART REVIEW

QA Nurse / Auditor

- Define an audit plan with sampling, frequency, and focus areas.
- Select charts or records regularly for spot checks or targeted reviews.
- Check documentation for timeliness, completeness, accuracy, and compliance.
- Log findings, scores, and trends, and flag items needing corrective action.



03

INCIDENT REPORTING & INVESTIGATION

Owner: QA Manager / Supervisor

- Ensure staff know how and where to report incidents and concerns.
- Log each incident with core details (who, what, when, where).
- Assign an investigator and start fact-finding within required timeframes.
- Document root cause, actions taken, and outcomes for each case..



04

TRAINING & REMEDIATION

Owner: HR / QA Trainer

- Use audits, incidents, and rule changes to identify training needs.
- Assign targeted training to individuals, teams, or the whole organization.
- Deliver training and track attendance and completion.
- Verify that performance or documentation improves after remediation.



05

SURVEY READINESS & REPORTING

Owner: Compliance Officer / Leadership Team

- Keep required survey documentation organized and up to date.
- Run internal readiness checks or mock surveys to find gaps.
- Track key compliance and quality metrics and report them to leadership.
- Create and monitor action plans until issues are fully resolved.