



## SELF AUDIT

### TO DETERMINE READINESS FOR AN OSHA/HIPAA INSPECTION

A SELF AUDIT CHECKLIST TO DETERMINE YOUR INSPECTION READINESS

Effective Date: 06-03-2024

Name of Office: \_\_\_\_\_

Date: \_\_\_\_\_

## Introduction

This Checklist serves as a self-audit to determine your readiness for a no-notice visit from a State or Federal Inspector checking your level of compliance with OSHA and/or HIPPA regulations and policies.

Approach this self-audit as if you were conducting a “Mock Inspection” on your dental practice.

While the items on this self-audit are only a portion of the total number of criteria that will be examined by a State or Federal inspector, this abridged self-audit will reveal your level of readiness should an OSHA or HIPPA Inspector made a surprise visit to your office.

## SECTION 1: OSHA PAPERWORK ITEMS

(Enter your initials if the criterion has been met, “N/A” if not applicable, or “N/C” and circle if non-compliant.)

1.1 List of employees and job descriptions.

1.2 List of Hazards in the workplace.

1.3 List the level of exposure to hazards that each employee has.

1.4 List of Personal Protection Equipment Provided for each task.

1.5 A copy of the pre-exposure management program (prevention methods).

1.6 A copy of the post exposure management with examples of exposure incident reports.

1.7 Copy of the dental office safety training program.

1.7.1 Proof of the meeting going over office emergencies and policies.

1.7.2 Proof of annual fire extinguisher inspections.

- 1.7.3 Extinguisher signs visible.
- 1.7.4 Proof of office fire inspections.
- 1.7.5 Proof of monthly check of eyewash station.
  - 1.7.5.1 Eyewash sign is visible.
- 1.7.6 Documented annual check on all equipment.
- 1.7.7 Documented equipment repair logs.
- 1.8 A copy of the dental office Infection Control Training conducted annually (Note: included with OSHA).
- 1.9 A copy of the OSHA's annual bloodborne pathogen training.

**Note: there are 26 additional OSHA criteria that a State or Federal inspector will examine. Our OSHA training program will ensure your office and staff meet all 44 inspection criteria for OSHA paperwork.**

**SECTION 2: OSHA ITEMS THAT MUST BE POSTED IN A PUBLIC PLACE**

(Enter your initials if the criterion has been met, "N/A" if not applicable, or "N/C" and circle if non-compliant.)

- 2.1 Copy of all dental credential certifications and Licenses.
- 2.2 Consumer placard with State Board Contact information.
- 2.3 OSHA poster with Department of Labor Poster-equal opportunity.

2.4 State workforce and employment poster.

2.5 All radiation hazards- radiation symbol and warning on the outside of the room where radiation is emitted.

2.6 Exit routes map of office posted.

**Note: there are 5 additional OSHA criteria that a State or Federal inspector will examine. Our OSHA training program will ensure your office and staff meet all 11 inspection criteria for OSHA items that must be publicly displayed.**

If you did not score 90% or better on both sections of the OSHA self-audit, you must **take remedial action now**.

For **OSHA Compliance Training**, you have two options: 1) live on-site training, or 2) Zoom-based training.

Both options include online training for you and your staff via The Dental Learning Center.

Our training is specific to dental practices and fulfills the annual requirement for Infection Control training and OSHA updates to comply with Federal and State laws. We will clarify any confusion between the state and federal mandates and proposed CDC guidelines.

Our program includes the following:

#### OSHA

- Safe work processes and best practices for safety and Infection Control compliance
- COVID-19 and Airborne Transmission Prevention Recommendations
- A comprehensive review of regulations, required documentation, and systems implementation
- A review of the Bloodborne Pathogens Standards, including:
  - Education expectations
  - Labeling and posting requirements
  - Proper PPE implementation
  - Employer and employee compliance requirements

To obtain OSHA Compliance Training, click [here](#).

(Continue to the next page for the HIPPA Self-Audit.)

## SECTION 3: HIPAA ITEMS

(Enter your initials if the criterion has been met, "N/A" if not applicable, or "N/C" and circle if non-compliant.)

- 3.1 Written office policies to adhere to keeping patient's information private.
- 3.2 Posted privacy policies in the waiting room of your office.
- 3.3 List of information that is considered private (HIPAA notes).
- 3.4 Creation/existence of a HIPAA folder.
- 3.5 Training log for all HIPAA training for staff.
- 3.6 Documentation of a yearly audit of the office (e.g., a risk assessment conducted by come in the office as a patient would and see where private information if visible).
  - 3.6.1 Documentation of corrective actions for anything that could lead to a breach.
- 3.7 Documentation of breaches that have taken place, updated annually. (Note: If none, ensure the report states, "No HIPAA breaches to report," and place in the HIPAA file.)
- 3.8 A written protocol for obtaining permission to share information.

**Note: there are 6 additional HIPPA criteria that a State or Federal inspector will examine. Our HIPPA training program will ensure your office and staff meet all 14 HIPPA inspection criteria.**

If you did not score 90% or better on the HIPPA self-audit, you must **take remedial action now**.

For **HIPPA Compliance Training**, you have two options: 1) live on-site training, or 2) Zoom-based training.

Both options include online training for you and your staff via The Dental Learning Center.

Our HPPA Compliance program includes the following:

- Provisions of the Health Insurance Portability and Accountability Act, including:
  - HIPAA terms, privacy and security rules,
  - HIPAA compliance, patient rights, employer and employee responsibilities,
  - The role and responsibilities of the HIPAA officer
  - Company policies and disclosures, and HIPAA regulations, including
    - Public Law 104-191, and the following rules:
      - Privacy Rule
      - Security Rule
      - Enforcement Rule
      - Omnibus Rule.
  - Essential information about:
    - Administrative Requirements
    - Security and Privacy provisions of regulation text 45 CFR Parts 160, 162, and 164

To obtain HIPPA Compliance Training, click [here](#).