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TREAS HEALTHCARE INNOVATIONS

COMPLIMENTARY · FOR MEDSPA OWNERS

The Compliance *Readiness* Checklist

Know where you stand. Quietly.

A private walk-through of the records owners are most often asked for. Work through each section with your binder or EMR open. Mark each line In place or Needs work. Anything you can't find in two minutes belongs in the second column.

When you're done, you'll have an honest picture of the business behind your practice, and a short list of where to begin.

TWELVE SECTIONS | ABOUT 30 MINUTES | RECORDS IN HAND

This checklist offers general operational guidance only. It is not legal or medical advice, and requirements differ from state to state. Review your findings with your attorney and medical director.

i. Supervision & medical director

- A signed medical director agreement, current and on file — In place ☐ Needs work ☐
- The medical director's license verified, with a copy on file — In place ☐ Needs work ☐
- A written chart review schedule, plus proof that reviews happened — In place ☐ Needs work ☐
- The medical director's availability and contact plan written down — In place ☐ Needs work ☐

ii. Delegation & standing orders

- Written standing orders for each delegated treatment — In place ☐ Needs work ☐
- A delegation log showing who may perform which services — In place ☐ Needs work ☐
- Standing orders signed, dated and reviewed on a set schedule — In place ☐ Needs work ☐

iii. Good-faith exams

- A clear rule for who performs the exam before treatment — In place ☐ Needs work ☐
- The exam documented in the chart before the first treatment — In place ☐ Needs work ☐
- A written telehealth exam process, if you use one — In place ☐ Needs work ☐

iv. Consents & charting

- A treatment-specific consent for every service you offer — In place ☐ Needs work ☐
- Consents signed and dated before treatment begins — In place ☐ Needs work ☐
- Chart notes complete and signed by the treating provider — In place ☐ Needs work ☐
- Lot numbers and units recorded for every injectable — In place ☐ Needs work ☐

v. Photo documentation

- A before-and-after photo release, separate from the treatment consent — In place ☐ Needs work ☐
- Photos stored in a secure system appropriate for patient information — In place ☐ Needs work ☐

vi. Medications & product

- Purchasing records from licensed suppliers — In place ☐ Needs work ☐
- Storage and temperature logs where they are required — In place ☐ Needs work ☐
- An inventory log reconciled every month — In place ☐ Needs work ☐
- Compounded products documented with their source — In place ☐ Needs work ☐

vii. Staff credentials & training

- Current license copies for every provider — In place ☐ Needs work ☐
- Scope of practice defined for each role — In place ☐ Needs work ☐
- Device and laser training records on file — In place ☐ Needs work ☐
- New-hire onboarding and policy acknowledgments signed — In place ☐ Needs work ☐

viii. OSHA

- A bloodborne pathogens exposure control plan — In place ☐ Needs work ☐
- A laser safety plan, if you use lasers — In place ☐ Needs work ☐
- A hazard communication program with current safety data sheets — In place ☐ Needs work ☐

ix. HIPAA

- A notice of privacy practices posted and given to patients — In place ☐ Needs work ☐
- Business associate agreements with your vendors — In place ☐ Needs work ☐
- Access controls on records, computers and phones — In place ☐ Needs work ☐
- Staff texting and messaging habits addressed in policy — In place ☐ Needs work ☐

x. Advertising

- Before-and-after galleries backed by signed releases — In place ☐ Needs work ☐
- Provider titles and credentials stated accurately — In place ☐ Needs work ☐
- Pricing claims and specials reviewed before they post — In place ☐ Needs work ☐

xi. Adverse events

- A written procedure for handling and reporting adverse events — In place ☐ Needs work ☐
- Emergency supplies and protocols reviewed with staff — In place ☐ Needs work ☐

xii. Policies & handbook

- An employee handbook that is current and acknowledged by staff — In place ☐ Needs work ☐
- Every policy kept in one place the team can find — In place ☐ Needs work ☐
- A review date on every policy — In place ☐ Needs work ☐

YOUR NEXT STEP

Every gap has a *first step*.

Count your Needs work marks. Then circle the three that would cause the most trouble if someone asked to see them tomorrow. Those three are where to begin.

If the list feels long, that's normal. Most practices grow faster than their paperwork. The goal isn't perfection overnight. It's a clear plan, worked steadily, until your records match the care you give.

Want a second set of eyes?

Book a complimentary 30-minute discovery call. You'll leave with your top three priorities, whether or not we work together.

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Warmest,



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