

Annual Compliance & Records Checklist for Therapists

This checklist will help you stay organized with licensing, documentation, and insurance requirements so your practice remains compliant year after year.

Licenses and professional standing

- ☐ Renew state professional license before expiration
- ☐ Renew business licenses or permits required by state or local regulations
- ☐ Maintain memberships in professional associations (APA, NASW, AAMFT, etc.)
- ☐ Verify National Provider Identifier (NPI) information in the NPPES database is accurate
- ☐ Update DEA registration if you are authorized to prescribe controlled substances

Client documentation

- ☐ Review and update informed consent forms for clarity and current legal requirements
- ☐ Update HIPAA Notice of Privacy Practices to reflect any regulatory changes
- ☐ Review telehealth consent forms to ensure compliance with state and federal rules
- ☐ Update emergency contact and crisis protocol procedures
- ☐ Archive inactive client records per state retention rules
- ☐ Securely destroy records that have reached retention limits using HIPAA-compliant methods

Insurance coverage

- ☐ Review professional liability (malpractice) policy for adequate limits and scope
- ☐ Review general business insurance, including property, cyber liability, and workers' compensation (if applicable)
- ☐ Confirm insurance covers telehealth services if offered
- ☐ Obtain updated certificates of insurance for records and renewals
- ☐ Review health insurance panel credentials and note re-credentialing dates

Internal compliance review

- ☐ Audit HIPAA policies and procedures for necessary updates
- ☐ Confirm Business Associate Agreements (BAAs) with vendors handling PHI are current
- ☐ Conduct annual HIPAA security risk assessment
- ☐ Test data backup and recovery systems for reliability and security
- ☐ Review cybersecurity practices — passwords, two-factor authentication, encryption standards
- ☐ Renew staff or contractor confidentiality agreements

Administrative and operations

- ☐ Review and adjust fee schedules as needed
- ☐ Audit vendor contracts (EHR, billing, office lease) for cost efficiency and compliance
- ☐ Review marketing materials for accurate credentials and compliance with advertising rules

Designed for mental health professionals

- Therapists in private practice
- Psychologists
- Licensed clinical social workers

- Professional counselors
- Marriage and family therapists
- Any self-employed or 1099-based mental health provider

Final reminder

Choose a dedicated month each year, often tied to your license renewal date, to complete this checklist so all compliance tasks remain on one organized schedule.

Questions? We help therapists across the country stay compliant, organized, and ready for audits year-round.

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