



Governing Body Compliance Report Template

What your board should see every quarter, in the order they should see it.

A CareCompli resource for skilled nursing and assisted living facilities

Why this template exists

Federal guidance is explicit that the governing body owns compliance oversight, and enforcement agencies increasingly test whether boards were actually informed, not just nominally responsible. A board that cannot show it received and engaged with compliance reporting is a board with exposure. This template defines the quarterly report that protects both the board and the program.

The report, section by section

1. Program status at a glance	One page: open complaints, open investigations, corrective actions by status, training completion, audits completed against schedule. Trend indicators against last quarter.
2. Matters requiring board attention	Anything reportable to agencies, any matter involving leadership, any risk crossing a materiality line the board has set.
3. Complaint and hotline summary	Volume, categories, resolution times; anonymized as appropriate.
4. Investigations and outcomes	Substantiated findings, actions taken, agency reports filed.
5. Corrective action health	Overdue items by facility, verification backlog.
6. Training and policy compliance	Completion rates, policies overdue for review.
7. Regulatory developments	What changed this quarter, and what the program did about it.
8. Compliance officer's assessment	The professional judgment paragraph: where the program is strong, where attention is needed.
9. Board acknowledgment	Record of receipt and any board directions given.

Field guide: Section 9 is the one facilities skip and regret. A report delivered but never acknowledged is, evidentially, a report that may never have been read.

State note: Several states impose specific board-level compliance duties, including required certifications or attestations of program adoption and effectiveness on state schedules. The acknowledgment section documents engagement but does not substitute for a state-mandated certification.

How CareCompli answers this

A quarterly board report should be an output of the program, not a quarterly project.

What this document asks of you	In the CareCompli portal
Sections 1 through 7	Generated from live program data: complaints, investigations, corrective actions, training, audits, and policy status are already in the system.
Board acknowledgment	Board members receive documents and sign by emailed link, with the acknowledgment recorded automatically. Board members need no portal accounts.
Attention items	Matters flagged for governance escalation carry through from committee to board packet.
The compliance officer's assessment	The one section a human should write, informed by everything above it.

See it live: carecompli.com | Info@CareCompli.com | (516) 631-0655

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