HEALTHCARE LICENSE AND CERTIFICATE REVIEW TEMPLATE

License and Certificate Review Checklist

Review facility licences, professional registrations, service certificates, safety and inspection approvals, source verification, scope, restrictions, expiry, renewals, regulatory changes, and corrective actions.

FACILITY / LOCATION	AUDIT DATE	AUDITOR	APPROVER

Adapt credential types, verification sources, renewal windows, display rules, retention periods, reporting obligations, approval authorities, and restriction procedures to current facility policy and applicable local requirements.

1. Audit setup, scope, requirements matrix, and governance

1 **Confirm the facility, audit date, auditor, compliance owner, credentialing or HR contact, department representatives, and escalation contacts for the review.** METADATA + SIGN-OFF

Compliant | Needs attention | Critical gap | N/A

Execution tip: Identify who can restrict services or duties when a required licence or certificate is missing, expired, invalid, or restricted.

2 **Define the licences, registrations, permits, certificates, approvals, inspection records, and role-specific credentials included in the audit scope.** SCOPE CHECKLIST

Compliant | Needs attention | Critical gap | N/A

Execution tip: Include organizational, departmental, professional, safety, equipment, and other regulated credentials that apply to the audited operation.

3 **Verify the organization maintains a current requirements matrix showing each required credential, issuing authority, holder, scope, effective date, expiry date, renewal cycle, and owner.** CRITICAL REQUIREMENTS MATRIX

Compliant | Needs attention | Critical gap | N/A

Execution tip: Compare the matrix with current legal, regulatory, accreditation, payer, contract, and facility requirements.

4 **Confirm current policies define how licences and certificates are obtained, verified, approved, renewed, restricted, archived, and escalated when gaps occur.** CRITICAL CONTROL PROCEDURE REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Check ownership, approval authority, source-verification method, renewal lead time, and restriction rules.

5 **Review previous expiries, lapses, missing certificates, restrictions, survey findings, regulator notices, incidents, and overdue corrective actions.** PREVIOUS FINDINGS REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Use repeat gaps to target high-risk services, credential types, departments, and renewal processes.

6 **Capture the audit start time, sampled departments, credential categories, sample size, and approved evidence-handling method while protecting confidential information.** AUDIT EVIDENCE SETUP

Compliant | Needs attention | Critical gap | N/A

Execution tip: Record enough evidence to reproduce the review without exposing unnecessary personal or regulated information.

2. Facility, operator, service, and departmental licences

7 **Verify sampled facility or operator licences are current, issued to the correct legal entity, and match the facility name, address, service type, and operating location.**

CRITICAL | FACILITY LICENCE VERIFICATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Check the authoritative issuer record where required and compare number, status, address, scope, and expiry.

8 **Confirm department- or service-specific approvals are current where applicable, such as laboratory, pharmacy, imaging, blood services, ambulance, rehabilitation, or other regulated activities.**

CRITICAL | SERVICE LICENCE REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Use the service's actual activity list to confirm no regulated function is operating outside the approved scope.

9 **Check licence conditions, capacity limits, operating restrictions, supervision requirements, and other conditions are reflected in day-to-day operations.**

CRITICAL | LICENCE CONDITION CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: A current licence can still be non-compliant if the organization operates outside its stated conditions.

10 **Verify certificates or licences that must be displayed or made available to patients, staff, surveyors, or regulators are current, legible, and located as required.**

DISPLAY + ACCESS CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Remove superseded copies so staff and visitors cannot mistake an expired certificate for the current one.

11 **Confirm changes in ownership, legal name, address, service line, capacity, location, or operating model trigger timely review and required updates with the issuing authority.**

CRITICAL | CHANGE-TRIGGER REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Check whether recent organizational changes created a requirement to amend, reissue, or notify the authority.

12 **Verify inactive, surrendered, expired, cancelled, or replaced facility licences are clearly marked and removed from current-use registers and displays while retained according to policy.**

SUPERSEDED LICENCE CONTROL

Compliant | Needs attention | Critical gap | N/A

Execution tip: Archive historical evidence without allowing an old document to appear current.

3. Professional licences, registrations, and role certificates

13 **Verify each sampled staff member's required professional licence or registration is current and appropriate for the jurisdiction, role, and clinical activities assigned.**

CRITICAL | PROFESSIONAL LICENCE CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Match the credential to the actual duties being performed rather than only the job title.

14 **Confirm licence or registration number, issuing authority, status, effective date, expiry date, and holder identity match the approved verification record.**

CRITICAL | IDENTITY + STATUS VERIFICATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Resolve name changes, duplicate names, or conflicting identifiers before accepting the credential.

15 **Check role-required certificates such as life-support, specialty, technical, radiation, laboratory, pharmacy, or other competence-related certifications are current where applicable.**

CRITICAL | ROLE CERTIFICATE REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Use the facility's role matrix to determine which certificates are mandatory for each assignment.

16 **Verify any condition, limitation, probation, supervision requirement, restricted activity, or other licence condition has been reviewed before duties are assigned.**

CRITICAL | RESTRICTION REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Confirm the roster, privilege, access, and supervision plan reflects every current restriction.

17 **Confirm temporary, provisional, emergency, limited, or time-bound licences and certificates have documented validity dates, scope, approval authority, and monitoring requirements.**

CRITICAL | TEMPORARY AUTHORIZATION CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Do not treat a temporary approval as open-ended; monitor the exact end date and permitted scope.

18 **Verify staff with an expired, suspended, revoked, invalid, or unverifiable required credential are prevented from performing affected duties until authorized release criteria are met.**

CRITICAL | CRITICAL DUTY RESTRICTION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Document what work was restricted, when the restriction started, and who authorized any later return to duty.

4. Source verification, authenticity, and evidence quality

19 **Verify licences and certificates are checked against the authoritative issuing source or other approved verification method when required by law, regulation, accreditation, payer rules, or facility policy.**

CRITICAL | SOURCE VERIFICATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Retain the source, date, result, reviewer, and any reference number needed to reproduce the verification.

20 **Confirm verification evidence records the credential holder, credential number, issuer, current status, scope or level, effective date, expiry date, and any restrictions shown by the source.**

CRITICAL | VERIFICATION EVIDENCE

Compliant | Needs attention | Critical gap | N/A

Execution tip: Do not accept a screenshot or copy that omits the current status or issuer.

21 **Inspect sampled certificates for legibility, completeness, consistent identifiers, unexplained alteration, mismatched dates, or other signs that require authenticity review.**

CRITICAL | AUTHENTICITY REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Escalate suspicious or altered documentation instead of manually correcting it in the file.

22 **Verify the name, date of birth or approved identifier, legal entity name, facility address, asset number, or other holder details match the person, organization, service, or equipment the certificate applies to.**

CRITICAL | HOLDER MATCH CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Use documented processes for name changes, mergers, rebranding, and site transfers.

23 **Where an external verification service or credentialing organization is used, confirm the service is approved and the underlying verification remains traceable to the required source.**

THIRD-PARTY VERIFICATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Confirm contracts define responsibility for accuracy, timeliness, corrections, and notification of status changes.

24 **Confirm discrepancies, possible fraud, conflicting status information, or an unavailable authoritative source trigger documented escalation and interim restriction where necessary.**

CRITICAL | DISCREPANCY ESCALATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Do not close a discrepancy based only on verbal assurance from the credential holder.

5. Expiry, renewal, recertification, and reminder controls

25 **Verify the licence and certificate register contains every key expiry, renewal, recertification, and review date for sampled credentials.**

CRITICAL | EXPIRY REGISTER REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Sample several near-expiry items to confirm the register reflects the source document and current status.

26 **Confirm reminders are generated early enough for the holder, manager, compliance team, and other responsible owners to act before expiry.**

RENEWAL REMINDER CONTROL

Compliant | Needs attention | Critical gap | N/A

Execution tip: Use lead times that account for issuer processing, evidence collection, approvals, and contingency planning.

27 **Check renewal or recertification applications, fees, supporting documents, continuing requirements, and approvals are submitted and tracked before the existing credential expires.**

RENEWAL WORKFLOW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Track the application through final issuance rather than assuming submission equals renewal.

28 **Verify a renewed licence or certificate is rechecked, approved, linked to the correct holder, and replaces the previous current copy in operational systems.**

CRITICAL | RENEWED CREDENTIAL VERIFICATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Confirm the new expiry date and status are updated everywhere the old credential was used.

29 **Where an issuer allows a documented grace, extension, temporary authority, or pending-renewal status, confirm the facility has evidence that continued operation is legally and operationally permitted.**

CRITICAL | EXTENSION / PENDING STATUS CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Never infer a grace period; use the issuer's documented status and facility approval process.

30 **Confirm overdue, expired, or unrenewed credentials automatically trigger escalation, duty or service restriction where required, an owner, due date, and closure evidence.**

CRITICAL | EXPIRY ESCALATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Test whether the control actually stops or flags affected work rather than only sending a reminder.

6. Scope, conditions, restrictions, and operational use

31 **Verify each sampled licence or certificate covers the actual service, location, role, procedure, equipment, capacity, or activity for which it is being relied upon.** CRITICAL | SCOPE MATCH REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Compare the credential wording with real operations, not only with the register description.

32 **Confirm location-specific, site-specific, employer-specific, or facility-specific limitations are understood and applied where the credential is not universally portable.** CRITICAL | LOCATION LIMIT CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Check remote sites, satellite services, mobile units, and telehealth arrangements separately where applicable.

33 **Verify supervision, staffing, responsible-person, medical-director, pharmacist, laboratory-director, radiation-safety, or other named-role conditions are met where required.** CRITICAL | RESPONSIBLE PERSON CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Confirm both the named individual's current status and their actual availability or oversight arrangement.

34 **Check operational conditions attached to certificates - such as inspection frequency, quality controls, reporting, premises standards, or equipment limitations - are tracked and completed.** CERTIFICATE CONDITION TRACKING

Compliant | Needs attention | Critical gap | N/A

Execution tip: Treat certificate conditions as active controls, not as one-time paperwork.

35 **Confirm credential status is linked to rostering, access, ordering, prescribing, scheduling, privileges, contractor approval, or other operational controls where appropriate.** CRITICAL | SYSTEM ACCESS ALIGNMENT

Compliant | Needs attention | Critical gap | N/A

Execution tip: Test whether an expired or restricted credential is reflected promptly in the systems that enable work.

36 **Verify a change in role, service, department, location, technology, ownership, procedure, or responsibility triggers credential review before the new work starts.** CRITICAL | CHANGE-OF-SCOPE REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Build credential review into change management so requirements are assessed before go-live.

7. Department, equipment, safety, and inspection certificates

37 **Verify current inspection, test, or compliance certificates exist for regulated building, engineering, safety, or clinical systems where required by the applicable authority.** CRITICAL · REGULATED SYSTEM CERTIFICATE

Compliant · Needs attention · Critical gap · N/A

Execution tip: Examples may include lifts, boilers, electrical systems, fire systems, medical gas, radiation, or other locally regulated systems.

38 **Confirm maintenance, calibration, validation, or inspection certificates used to demonstrate equipment readiness are linked to the correct asset and current service interval.** CRITICAL · ASSET CERTIFICATE TRACEABILITY

Compliant · Needs attention · Critical gap · N/A

Execution tip: Match serial number or asset ID, service date, result, technician or provider, and next due date.

39 **Verify specialised departments maintain their required current service certificates, accreditations, permits, or operating approvals where applicable.** CRITICAL · SPECIALISED SERVICE REVIEW

Compliant · Needs attention · Critical gap · N/A

Execution tip: Check the credential applies to the exact scope currently delivered by the department.

40 **Confirm fire, emergency, occupancy, environmental, radiation, hazardous-material, or other safety certificates are current where required by local rules or facility policy.** CRITICAL · SAFETY CERTIFICATE REVIEW

Compliant · Needs attention · Critical gap · N/A

Execution tip: Coordinate with facilities and EHS teams so regulatory certificates are not separated from the central register.

41 **Verify external contractors and service providers maintain current licences or certificates required for the regulated work they perform on behalf of the facility.** CONTRACTOR CERTIFICATE CHECK

Compliant · Needs attention · Critical gap · N/A

Execution tip: Define which party verifies, monitors, and receives notice of contractor credential changes.

42 **Confirm an unavailable, failed, expired, or invalid critical safety certificate triggers risk assessment, interim control, service restriction, and escalation until acceptable evidence is restored.** CRITICAL · CRITICAL CERTIFICATE RESPONSE

Compliant · Needs attention · Critical gap · N/A

Execution tip: Do not rely on scheduled maintenance alone when the required certificate itself is not valid.

8. Document control, display, accessibility, and retention

43 **Verify the central register links to the current approved copy or verification evidence for each sampled licence and certificate.**

CENTRAL REGISTER TRACEABILITY

Compliant | Needs attention | Critical gap | N/A

Execution tip: A register entry without supporting evidence should not be treated as complete.

44 **Confirm superseded, expired, or replaced versions are archived or clearly marked so they cannot be mistaken for the current credential.**

VERSION CONTROL

Compliant | Needs attention | Critical gap | N/A

Execution tip: Use a single source of truth for current status and preserve historical records separately.

45 **Check current licences and certificates are accessible to authorized staff, auditors, surveyors, or regulators within the required timeframe.**

ACCESSIBILITY CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Test retrieval in practice, including after-hours or during a survey scenario.

46 **Verify displayed certificates are readable, protected from damage or tampering, and updated promptly after renewal or status change.**

DISPLAY CONDITION CHECK

Compliant | Needs attention | Critical gap | N/A

Execution tip: Compare the displayed version with the central register and issuing source.

47 **Confirm retention periods for licences, certificates, verification records, renewal history, restrictions, and corrective actions follow applicable policy and legal requirements.**

RETENTION REVIEW

Compliant | Needs attention | Critical gap | N/A

Execution tip: Retain enough history to show what was valid at the time a service or duty was performed.

48 **Verify confidential personal licences, certificates, identity data, and verification evidence are protected from unnecessary access, disclosure, alteration, or insecure transmission.**

CRITICAL | CONFIDENTIAL RECORD CONTROL

Compliant | Needs attention | Critical gap | N/A

Execution tip: Limit access while keeping compliance evidence available to authorized reviewers.

9. Status changes, adverse actions, notifications, and change control

49 **Verify regulator, licensing-board, certifying-body, insurer, accreditor, or other issuer notices affecting credential status are received, reviewed, and linked to the correct record.** CRITICAL · ADVERSE STATUS MONITORING

Compliant · Needs attention · Critical gap · N/A

Execution tip: Define who monitors each source and how urgent notices are escalated outside routine renewal cycles.

50 **Confirm suspension, revocation, probation, restriction, non-renewal, inspection failure, or other adverse status is updated promptly in the register and operational systems.** CRITICAL · STATUS CHANGE CONTROL

Compliant · Needs attention · Critical gap · N/A

Execution tip: Measure the time from notice to restriction where the change affects safe or authorized operations.

51 **Check required notifications to regulators, boards, accreditors, payers, insurers, contractors, or other stakeholders are completed when triggering events occur.** CRITICAL · REQUIRED NOTIFICATION REVIEW

Compliant · Needs attention · Critical gap · N/A

Execution tip: Use jurisdiction-specific rules to define reportable events, recipients, timing, and evidence.

52 **Verify ownership, address, legal entity, service scope, responsible-person, equipment, or location changes are assessed for licence or certificate amendment requirements.** REGULATORY CHANGE REVIEW

Compliant · Needs attention · Critical gap · N/A

Execution tip: Include planned changes so required approvals are obtained before implementation where necessary.

53 **Confirm incidents, complaints, quality failures, sanctions, or enforcement actions trigger licence or certificate re-review when they could affect authorization or standing.** CRITICAL · EVENT-TRIGGERED RECHECK

Compliant · Needs attention · Critical gap · N/A

Execution tip: Link incident investigation with credential status rather than reviewing each process in isolation.

54 **Retain evidence of notices, acknowledgments, regulator correspondence, amendment requests, restrictions, interim controls, decisions, and final resolution.** COMMUNICATION RECORD

Compliant · Needs attention · Critical gap · N/A

Execution tip: A complete chronology helps demonstrate timely response and supports future audit or survey review.

10. Findings, restrictions, corrective actions, verification, and sign-off

55 **Calculate the overall licence-and-certificate compliance result and summarize expired items, missing evidence, scope mismatches, restrictions, repeat gaps, and affected services or staff groups.** AUDIT SCORE + SUMMARY

Compliant | Needs attention | Critical gap | N/A

Execution tip: Separate immediate authorization risk from the underlying renewal, verification, ownership, or document-control causes.

56 **Create immediate restriction or containment for every critical missing, expired, invalid, suspended, revoked, or out-of-scope licence or certificate that affects authorized operation.** CRITICAL | CRITICAL RESTRICTION ACTION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Record what service, duty, access, equipment, or activity was stopped or restricted before normal work continued.

57 **Assign each finding an owner, priority, due date, root-cause requirement, corrective action, interim control, and objective closure-evidence rule.** CRITICAL | CORRECTIVE ACTION ASSIGNMENT

Compliant | Needs attention | Critical gap | N/A

Execution tip: Use short deadlines for authorization risk and realistic deadlines for permanent process improvement.

58 **Correct system causes such as incomplete requirement matrices, fragmented ownership, weak source verification, late reminders, poor change management, or outdated displays and registers.** CRITICAL | SYSTEM CORRECTIVE ACTION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Fix the process that allowed the gap, not only the individual document.

59 **Verify closure through authoritative re-checks, renewed or amended credentials, updated system controls, completed notifications, objective evidence, or focused re-audit.** CRITICAL | CLOSURE VERIFICATION

Compliant | Needs attention | Critical gap | N/A

Execution tip: Re-check the authoritative source or objective evidence before removing a critical restriction.

60 **Record the final audit decision, remaining restrictions, next review date, auditor, compliance or credentialing approver, relevant operational approval, date, time, and signature.** CRITICAL | APPROVAL + SIGNATURE

Compliant | Needs attention | Critical gap | N/A

Execution tip: Keep affected work restricted until all release conditions are documented and approved.