PATIENT IDENTIFICATION AUDIT TEMPLATE

# Patient Identification Checklist

Audit registration, two-identifier checks, ID bands, medication and blood matching, specimen labeling, procedures, diagnostics, transfers, electronic records, mismatch response, and corrective actions.

| FACILITY / LOCATION | AUDIT DATE | AUDITOR | APPROVER |
|---|---|---|---|
| | | | |

Adapt approved identifiers, special-population rules, evidence, and escalation to current facility policy and applicable local requirements.

## 1. Audit setup, identification scope, and governance

**1** **Confirm the facility, audit date, auditor, patient-identification owner, clinical or registration lead, health-information contact, and escalation contacts.** METADATA + SIGN-OFF

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Identify who can stop care, correct a record, replace an ID band, and approve release after an identity discrepancy.

**2** **Define the departments, patient groups, encounters, registration points, bedside care, diagnostics, procedures, pharmacy, laboratory, imaging, transfer, and discharge steps included.** SCOPE CHECKLIST

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Include both planned workflows and higher-risk exceptions such as emergencies, transfers, unknown patients, and duplicate records.

**3** **Verify current policy requires at least two approved person-specific identifiers before care, treatment, or services and does not use room, bed, or physical location as an identifier.** CRITICAL CRITICAL POLICY VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Confirm the approved identifier set is clear for each care setting and is available to frontline staff.

**4** **Confirm the policy covers admission or transfer and positive patient identification before medication, blood, specimen collection, diagnostic testing, treatment, and procedures.** CRITICAL CRITICAL WORKFLOW COVERAGE

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Trace the policy across the actual patient journey rather than reviewing the document alone.

**5** **Review previous wrong-patient events, near misses, duplicate records, incorrect wristbands, mislabeled specimens, wrong-chart orders, and unresolved corrective actions.** PREVIOUS FINDINGS REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use repeat failures to target units, shifts, systems, and handoffs with the highest identification risk.

**6** **Capture the audit start time, locations sampled, roles observed, sample size, and approved evidence method without collecting unnecessary patient information.** AUDIT EVIDENCE SETUP

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use de-identified evidence wherever possible and follow facility privacy requirements.

## 2. Registration, admission, and encounter creation

**7** **Verify patient identity is established at registration or admission using the facility-approved process before a new encounter or record is created.**

CRITICAL | CRITICAL REGISTRATION ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Compare the registration workflow with the approved identity-verification standard and escalation path.

**8** **Confirm core demographics and approved identifiers are entered accurately and consistently in the patient record, including any required aliases or previous names.**

DEMOGRAPHIC ACCURACY CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Sample source information against the record and investigate transposed dates, spelling differences, or duplicate entries.

**9** **Check controls for patients with the same or similar names, the same date of birth, multiple births, or other high-risk similarities are active and understood.**

CRITICAL | HIGH-RISK NAME MATCH CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Look for alerts, distinguishing fields, staff prompts, and documented verification steps.

**10** **Verify unknown, unconscious, or unidentified patients receive a unique temporary identifier that cannot be confused with another active patient.**

CRITICAL | CRITICAL TEMPORARY ID CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Confirm temporary identifiers are unique, visible, and carried through orders, specimens, and treatment.

**11** **Confirm temporary or corrected identities are reconciled safely when verified information becomes available, including controlled record merge or correction where required.**

CRITICAL | IDENTITY RECONCILIATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Review who can approve identity changes and how downstream orders, labels, results, and documents are corrected.

**12** **Observe staff asking patients or representatives to state identifying information when possible instead of relying only on yes/no confirmation.**

ACTIVE IDENTITY CONFIRMATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use open-ended confirmation where feasible to reduce confirmation bias and wrong-patient selection.

## 3. Two-identifier checks at the point of care

**13** **Confirm staff use at least two approved patient identifiers immediately before medications, treatments, diagnostic tests, procedures, or other patient-specific services.** CRITICAL | CRITICAL TWO-IDENTIFIER OBSERVATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Observe the check in real time and confirm both identifiers are matched to the intended care.

**14** **Verify the identifiers stated by the patient or representative match the wristband, electronic record, order, or other approved source before care proceeds.** CRITICAL | CRITICAL ID MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Do not accept a partial match when the workflow requires two approved identifiers.

**15** **Confirm room number, bed number, location, diagnosis, or visual recognition alone is not used as the patient's identifying method.** CRITICAL | CRITICAL NON-ID EXCLUSION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Ask staff which identifiers are approved and test understanding with a realistic scenario.

**16** **Check identity is reverified after interruptions, room moves, transfers, handoffs, or other changes that could separate the patient from the intended task or order.** REVERIFICATION CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Target busy transitions where staff may assume identity rather than verify it again.

**17** **Verify barcode, RFID, biometric, or other identification technology supports - but does not bypass - the approved identity verification workflow.** TECHNOLOGY WORKFLOW CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Review device failures, unavailable scanners, manual workarounds, and override controls.

**18** **Confirm any mismatch, missing identifier, or uncertainty causes an immediate stop until identity is resolved and documented through the approved process.** CRITICAL | CRITICAL STOP-AND-VERIFY

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Record who resolved the discrepancy, what evidence was used, and when care was released to continue.

## 4. Identification bands, technology, and special populations

**19** **Inspect sampled identification bands or equivalent patient identifiers for accuracy, legibility, secure attachment, and agreement with the active record.** CRITICAL | ID BAND CONDITION + MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Compare the band with the live record rather than relying on appearance or location.

**20** **Confirm missing, damaged, illegible, or incorrect identification bands are replaced promptly only after the patient has been reverified using the approved process.** CRITICAL | CRITICAL BAND REPLACEMENT

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check that staff do not simply copy information from a questionable band.

**21** **Verify barcodes, RFID tags, or other electronic identity tools scan correctly and link to the intended patient record without silent workarounds.** ELECTRONIC ID TEST

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Test a representative workflow and review recent scan or interface failures.

**22** **Check newborn and infant identification processes clearly link the infant to the correct parent or guardian and distinguish multiple births according to facility policy.** CRITICAL | CRITICAL NEWBORN ID CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Review matching, transfer, separation, reunion, and discharge steps for newborns and multiples.

**23** **Verify emergency and unidentified-patient workflows create unique temporary identities and prevent accidental reuse, duplication, or merging with another patient.** CRITICAL | CRITICAL UNKNOWN-PATIENT CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Trace one temporary identity through orders, specimens, treatment, and later reconciliation.

**24** **Confirm allergy, fall-risk, blood-type, or other alert bands are not treated as substitutes for the required primary patient identifiers.** ALERT BAND DISTINCTION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Ask staff to distinguish identity bands from clinical-risk or alert bands.

## 5. Medication, blood, and treatment identity checks

**25** **Observe medication administration and confirm at least two approved identifiers are matched to the medication order or administration record before the dose is given.**

CRITICAL | CRITICAL MEDICATION ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Sample high-risk and routine medications across more than one shift where possible.

**26** **Verify blood and blood-component administration uses the facility-approved positive patient-identification and bedside verification process before transfusion starts.**

CRITICAL | CRITICAL TRANSFUSION ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Confirm the patient's identity, product, documentation, and required independent or electronic checks all agree.

**27** **Check prepared infusions, syringes, treatment solutions, and patient-specific therapies remain clearly linked to the correct patient throughout preparation and administration.**

CRITICAL | PATIENT-SPECIFIC THERAPY MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Look for unlabeled items, staging mix-ups, and interruptions between preparation and use.

**28** **Confirm discharge or take-home medications, devices, education materials, and prescriptions are handed to the correct patient or authorized representative.**

DISCHARGE ITEM ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Match the patient, medication or device, instructions, and destination before handoff.

**29** **Review barcode medication administration or other electronic alerts for overrides, scan failures, wrong-patient warnings, and repeated workarounds.**

ELECTRONIC MEDICATION ALERT REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Investigate patterns rather than treating every override as an isolated event.

**30** **Verify wrong-patient medication or treatment events and near misses trigger immediate clinical assessment, reporting, record correction, and follow-up action.**

CRITICAL | CRITICAL WRONG-PATIENT RESPONSE

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Separate immediate patient harm assessment from the system-level corrective action.

## 6. Specimen collection, labeling, and diagnostic matching

**31** **Confirm the collector verifies at least two approved patient identifiers immediately before collecting blood or another diagnostic specimen.**

CRITICAL | CRITICAL PRE-COLLECTION ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Observe the identification step before collection rather than relying on a preprinted label alone.

**32** **Verify specimen containers are labeled in the presence of the patient immediately after collection and before the collector leaves the patient-care area.**

CRITICAL | CRITICAL BEDSIDE LABELING

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check that labels are applied to the specimen actually collected from the verified patient.

**33** **Confirm specimen labels contain the required patient identifiers and other required details such as specimen type, collection time, collector, or site according to policy.**

SPECIMEN LABEL COMPLETENESS

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Compare a sample of labels with the order and laboratory requirements.

**34** **Check staff do not prelabel specimen containers in a way that creates a realistic risk of attaching the label to another patient's specimen.**

CRITICAL | PRELABELING RISK CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Review workflows during peak-volume collection rounds and multi-patient phlebotomy.

**35** **Verify unlabeled, mislabeled, or mismatched specimens are contained, reported, and recollected or otherwise managed through the approved exception process.**

CRITICAL | CRITICAL SPECIMEN MISMATCH RESPONSE

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Do not normalize relabeling unless the approved policy explicitly permits a controlled exception.

**36** **Confirm diagnostic requests, images, pathology materials, and results are matched to the correct patient before release, interpretation, communication, or clinical action.**

CRITICAL | DIAGNOSTIC ID MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Trace one diagnostic item from order through result and confirm identity continuity at each handoff.

## 7. Procedures, imaging, and treatment-plan matching

**37** **Confirm the patient identity, consent, intended procedure or treatment, and order are reconciled before the procedure or treatment begins.**

CRITICAL | CRITICAL PROCEDURE ID MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Any discrepancy between the patient, consent, schedule, order, or record should stop the workflow.

**38** **Verify the final time-out or equivalent safety pause includes active confirmation of the correct patient's identity using the approved identifiers.**

CRITICAL | CRITICAL TIME-OUT ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Observe whether the team actively participates rather than passively accepting a displayed name.

**39** **Check imaging, radiology, radiation therapy, dialysis, rehabilitation, and other repeated treatments are matched to the correct patient and treatment plan for every session.**

CRITICAL | REPEATED TREATMENT ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Do not rely on familiarity with a frequent patient instead of the approved identity check.

**40** **Confirm implants, devices, blood products, or other patient-specific items are matched to the correct patient before use or placement.**

CRITICAL | PATIENT-SPECIFIC ITEM MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Link the patient, order, item, size or type, and documentation before the item is used.

**41** **Verify sedation, anaesthesia, and intra-procedure medication documentation remain linked to the correct patient record throughout the episode of care.**

INTRA-PROCEDURE RECORD MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check the active chart and handoff points where wrong-chart documentation can occur.

**42** **Confirm any disagreement between identity, consent, procedure plan, imaging, order, or team understanding is resolved before proceeding.**

CRITICAL | CRITICAL PROCEDURE STOP CONDITION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Document the discrepancy, resolution, decision-maker, and release to proceed.

## 8. Transfers, handoffs, discharge, and alternative verification

**43** **Verify patient identity is actively confirmed during internal transfer or handoff and matched with the records, medications, devices, and care plan received by the next team.**

CRITICAL | TRANSFER ID VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Observe both sending and receiving steps when possible.

**44** **Confirm external referrals, ambulance transfers, inter-facility transfers, and accompanying documents are matched to the correct patient before departure.**

CRITICAL | EXTERNAL TRANSFER MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check labels, documents, medications, imaging, and receiving destination together.

**45** **Verify patients who cannot communicate, have language or cognitive barriers, or lack a representative are identified using the facility-approved alternative process.**

CRITICAL | ALTERNATIVE VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Confirm staff know the approved fallback and do not improvise identifiers.

**46** **Check telehealth or remote-care workflows verify the patient's identity before clinical advice, treatment, prescription, or disclosure of patient-specific information.**

REMOTE CARE ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use an approved remote identity process appropriate to the service and privacy requirements.

**47** **Confirm discharge instructions, prescriptions, personal belongings, transport arrangements, and follow-up information are matched to the correct patient or authorized representative.**

DISCHARGE MATCH

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Include similar-name patients and simultaneous discharges in the sample where practical.

**48** **Verify newborn, pediatric, behavioral-health, emergency, and other special-population workflows use clearly defined identification and escalation methods appropriate to the setting.**

SPECIAL POPULATION REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check the policy and actual workflow for populations where standard verbal confirmation may not be possible.

## 9. Electronic records, orders, results, and mismatch response

**49** **Verify the electronic or paper record displays approved patient identifiers clearly enough to support safe selection and matching at the point of care.**

RECORD DISPLAY CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Review screens and printouts used during real work, not only the main patient profile.

**50** **Check same-name, similar-name, duplicate-record, or other patient-matching alerts are visible, meaningful, and acted on by staff.**

CRITICAL | DUPLICATE RECORD ALERT

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Review whether alert fatigue or poor design causes staff to dismiss important warnings.

**51** **Confirm orders, notes, results, forms, labels, and scanned documents are entered or filed in the correct patient's record and wrong-chart entries are corrected promptly.**

CRITICAL | CRITICAL WRONG-CHART CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Sample transitions where multiple records may be open at the same time.

**52** **Verify interfaces between the EHR, laboratory, imaging, pharmacy, bedside devices, barcode systems, and other connected platforms preserve patient identifiers accurately.**

SYSTEM INTERFACE ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Investigate interface errors, delayed updates, duplicate identifiers, and manual re-entry points.

**53** **Confirm staff verify patient identity before communicating results, releasing information, or discussing patient-specific care through phone, portal, or other channels.**

INFORMATION RELEASE ID CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use an approved identity check before disclosure, especially when the recipient is not physically present.

**54** **Review wrong-patient events and near misses for immediate containment, clinical assessment, privacy or record-correction needs, root cause, and organization-wide learning.**

CRITICAL | CRITICAL INCIDENT RESPONSE

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Trace one event from detection through correction, communication, action ownership, and verified closure.

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

**55** **Calculate the overall patient-identification compliance result and summarize high-risk units, recurring mismatch types, wrong-chart trends, specimen errors, and technology failures.** AUDIT SCORE + SUMMARY

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Separate immediate patient risk from underlying registration, workflow, system, or training causes.

**56** **Create immediate containment for every critical identity mismatch, missing identifier, wrong chart, mislabeled specimen, or wrong-patient care risk.** CRITICAL | CRITICAL CONTAINMENT ACTION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Record what was stopped, corrected, relabeled, isolated, or reassessed before normal work resumed.

**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 immediate safety risks and realistic deadlines for permanent prevention.

**58** **Correct system causes such as weak registration controls, inconsistent identifier rules, poor screen design, duplicate records, unsafe labeling, scanner failures, or training gaps.** CRITICAL | SYSTEM CORRECTIVE ACTION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Fix the workflow and system conditions that allowed the mismatch, not only the individual mistake.

**59** **Verify closure through direct observation, record review, system testing, competency evidence, incident follow-up, or a targeted repeat audit.** CRITICAL | CLOSURE VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Do not close a critical finding based only on an owner's written statement.

**60** **Record the final audit decision, remaining restrictions, next review date, auditor, responsible approver, date, time, and signature.** CRITICAL | APPROVAL + SIGNATURE

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Keep any unresolved high-risk workflow restricted until release conditions are documented and approved.