HEALTHCARE STAFF CREDENTIAL AUDIT TEMPLATE

Staff Credential Audit Checklist

Audit identity, licences, registrations, certifications, education, source verification, privileges, scope, screening, competency, renewals, and corrective-action closure across the healthcare workforce.

FACILITY / LOCATION	AUDIT DATE	AUDITOR	APPROVER

Adapt credential types, verification sources, recredentialing cycles, screening requirements, privilege rules, competency evidence, approval authorities, and restriction procedures to current facility policy and applicable local requirements.

1. Audit setup, workforce scope, and credentialing governance

1 **Confirm the facility, audit date, auditor, credentialing owner, human-resources contact, medical-staff or clinical-governance contact, department leaders, and escalation contacts.** METADATA + SIGN-OFF

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Identify who can immediately restrict duties and who can approve credential exceptions.

2 **Define the staff groups in scope, including employed, contracted, agency, locum, temporary, telehealth, volunteer, trainee, and other personnel whose role requires credentials or documented authorization.** WORKFORCE SCOPE CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Include employed, contracted, agency, locum, temporary, telehealth, trainee, and volunteer roles where credentials apply.

3 **Verify current policies define credentialing, primary-source verification where required, appointment, privileging or scope authorization, renewal, expiry monitoring, suspension, and escalation responsibilities.** CRITICAL POLICY VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check policy version, approval, review date, responsibilities, and staff access.

4 **Review previous expired credentials, missing verifications, unauthorized assignments, privilege or scope mismatches, sanctions, complaints, incident links, and overdue corrective actions.** PREVIOUS FINDINGS REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use repeat issues to target high-risk roles, departments, agencies, and renewal processes.

5 **Confirm the organization has identified the current legal, regulatory, payer, accreditation, professional-board, and facility requirements that apply to each audited staff category.** CRITICAL REQUIREMENTS MATRIX CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Do not assume one credential standard applies to every profession or jurisdiction.

6 **Capture the audit start time, sampled departments, staff categories, sample size, and approved evidence-handling method while protecting confidential personnel information.** CRITICAL SAMPLE + EVIDENCE SETUP

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use a defensible sample and protect confidential personnel information during evidence capture.

2. Identity, application, employment status, and role classification

7 **Verify each sampled staff record contains sufficient identity information to match the person to the credential file and assigned workforce record.**

CRITICAL | IDENTITY VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Match identity evidence to the person, credential record, and workforce record.

8 **Confirm the current job title, profession, employment or contract status, department, supervisor, and work location are accurately recorded.**

CRITICAL | ROLE RECORD CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Confirm the person is working in the role and location recorded in the system.

9 **Check the role description identifies the qualifications, licences, certifications, competencies, experience, and supervision level required for the assigned duties.**

CRITICAL | ROLE REQUIREMENT MATRIX

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use a role matrix so every required qualification can be tested consistently.

10 **Verify the application, declaration, or workforce record captures material information required by facility policy, including relevant practice history, gaps, restrictions, or disclosures where applicable.**

APPLICATION / DISCLOSURE REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Escalate material omissions or inconsistencies before final approval.

11 **Confirm name changes, duplicate identities, professional aliases, or identifier differences are reconciled so credentials cannot be attributed to the wrong person.**

IDENTITY RECONCILIATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Resolve name changes and identifier mismatches before attributing a credential.

12 **Check staff are not assigned to regulated or restricted duties before the required identity, qualification, and authorization checks are complete.**

PRE-AUTHORIZATION CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Do not roster staff into restricted duties until mandatory checks are complete.

3. Licences, registrations, certifications, and current professional standing

13 **Verify each sampled professional licence or registration is current, issued by the applicable authority, and appropriate for the jurisdiction and role being performed.**

CRITICAL | LICENCE / REGISTRATION CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Verify status with the applicable licensing or registration authority where required.

14 **Confirm licence numbers, issuing bodies, effective dates, expiry dates, status, restrictions, and renewal evidence are recorded accurately.**

CRITICAL | CREDENTIAL STATUS + EXPIRY

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Record issuing body, number, status, effective date, expiry, and restrictions.

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

CRITICAL | ROLE-REQUIRED CERTIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check certifications that are genuinely required for the assigned role.

16 **Verify licences, registrations, and certifications are checked through the authoritative source or other approved verification method required by facility policy or applicable standards.**

CRITICAL | AUTHORITATIVE-SOURCE VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Retain source, date, method, result, reviewer, and exception follow-up.

17 **Confirm any limitation, condition, probation, lapse, pending action, or restriction is reviewed before the person is scheduled for affected duties.**

CRITICAL | RESTRICTION REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Treat probation, conditions, lapses, and pending actions as active review items.

18 **Check credentials due to expire are visible in the monitoring process early enough for renewal, reassignment, or restriction before the expiry date.**

EXPIRY ALERT CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use alerts early enough to renew or restrict duties before expiry.

4. Education, training, experience, references, and primary-source verification

19 **Verify education, degree, training-program, residency, fellowship, apprenticeship, or other qualification records required for the role are documented.**

EDUCATION + TRAINING RECORD

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check education and training against the exact role requirement, not just the job title.

20 **Confirm primary-source verification is completed for qualifications where required by law, accreditation, payer, medical-staff rules, or facility policy.**

CRITICAL | PRIMARY-SOURCE VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use direct or approved source verification when required by applicable rules.

21 **Check relevant work history and experience support the complexity, risk, and independence level of the role or requested clinical activities.**

EXPERIENCE REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Evaluate recent and relevant experience for the risk and independence level of the role.

22 **Verify professional references, peer information, or previous-employer information required by the credentialing process are complete and evaluated.**

CRITICAL | REFERENCE / PEER REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Ensure required references are current, relevant, and actually reviewed.

23 **Confirm unexplained gaps, inconsistent dates, unverifiable qualifications, or discrepancies between applications and source records are investigated before approval.**

DISCREPANCY RESOLUTION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Investigate gaps, inconsistent dates, and unverifiable qualifications before approval.

24 **Check verification evidence identifies the source, verification method, date, result, reviewer, and any follow-up needed to resolve exceptions.**

VERIFICATION AUDIT TRAIL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Keep a traceable verification record rather than a simple checked box.

5. Appointment, privileges, scope of practice, and authorization to work

25 **For staff requiring formal appointment or clinical privileges, verify current approval exists and has been granted through the organization's authorized process.** CRITICAL APPOINTMENT / PRIVILEGE CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Verify approval is current and issued by the authorized body or person.

26 **Confirm approved privileges, scope of practice, procedure permissions, supervision requirements, and location-specific limits match the duties currently assigned.** CRITICAL SCOPE MATCH VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Compare actual duties with the documented scope or privilege list.

27 **Check temporary, emergency, provisional, or time-limited privileges or authorizations have defined start and end dates, approval authority, and monitoring requirements.** CRITICAL TEMPORARY AUTHORIZATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Temporary approvals need clear dates, authority, and monitoring.

28 **Verify staff do not perform procedures, prescribe, order, supervise, interpret, administer, or independently practice beyond their current authorized scope.** CRITICAL OUT-OF-SCOPE CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Stop affected activities immediately when scope or privilege is not valid.

29 **Confirm changes in role, department, specialty, technology, procedure, or level of independence trigger review of credentials and authorization before the new duties begin.** CRITICAL ROLE-CHANGE REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Reassess authorization before new duties, locations, technologies, or procedures begin.

30 **Check restricted, suspended, expired, or withdrawn privileges or scopes are reflected promptly in rostering, access, ordering, scheduling, and other operational systems.** RESTRICTION SYSTEM UPDATE

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Update rostering and access systems when privileges are restricted or withdrawn.

6. Background, sanctions, exclusions, conduct, and fitness-related checks

31 **Verify background, criminal-history, vulnerable-person, or other statutory screening required for the role and jurisdiction is complete and current at the approved interval.** CRITICAL · BACKGROUND SCREENING

Compliant · Needs attention · Critical gap · N/A

◇ Execution tip: Apply the screening type and frequency required for the role and jurisdiction.

32 **Confirm required professional disciplinary, sanction, debarment, exclusion, or adverse-action checks are completed using the applicable authoritative source and approved frequency.** SANCTION / EXCLUSION CHECK

Compliant · Needs attention · Critical gap · N/A

◇ Execution tip: Use the authoritative registry or database specified by policy or law.

33 **Check staff or contractors subject to an exclusion, suspension, restriction, or other disqualifying action are not assigned work that conflicts with that status.** CRITICAL · DISQUALIFYING STATUS CONTROL

Compliant · Needs attention · Critical gap · N/A

◇ Execution tip: Do not assign conflicting duties when an exclusion, suspension, or restriction applies.

34 **Verify required health, immunization, occupational-health, fit testing, or fitness-for-duty clearances are current where they are prerequisites for the assigned role.** OCCUPATIONAL CLEARANCE

Compliant · Needs attention · Critical gap · N/A

◇ Execution tip: Verify role-required health or fitness clearances without exposing unnecessary medical details.

35 **Confirm material complaints, misconduct findings, patient-safety events, or professional-conduct concerns that affect credentialing are escalated to the authorized reviewer.** CRITICAL · CONDUCT ESCALATION

Compliant · Needs attention · Critical gap · N/A

◇ Execution tip: Escalate conduct or safety concerns that may affect ongoing authorization.

36 **Check the organization documents the decision, restrictions, monitoring, and reassessment when a screening result or conduct issue requires conditional approval rather than routine clearance.** CONDITIONAL APPROVAL REVIEW

Compliant · Needs attention · Critical gap · N/A

◇ Execution tip: Document who approved any condition, restriction, monitoring, and reassessment plan.

7. Competency, orientation, mandatory training, and continuing requirements

37 **Verify each sampled staff member completed role-appropriate orientation before independent work or within the facility-approved onboarding timeframe.** ORIENTATION COMPLETION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Verify orientation before independent practice where required.

38 **Confirm competency assessment is current for high-risk skills, equipment, procedures, medications, infection-control practices, emergency response, or other role-critical activities.** CRITICAL | COMPETENCY VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use objective competency evidence for high-risk skills and activities.

39 **Check mandatory training required by facility policy or applicable rules is complete, current, and linked to the correct staff record.** CRITICAL | MANDATORY TRAINING STATUS

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Track mandatory training by role, due date, and current status.

40 **Verify continuing education, professional development, continuing-practice, case-volume, or recertification evidence is maintained where required for ongoing authorization.** CRITICAL | CONTINUING REQUIREMENT CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Check continuing education, practice, or recertification evidence where applicable.

41 **Confirm competency gaps, failed assessments, overdue training, or insufficient recent experience trigger supervision, remediation, restricted duties, or reassessment as appropriate.** REMEDIATION / RESTRICTION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Link failed or overdue competency to supervision, remediation, or restricted duties.

42 **Check staff returning after extended leave, role change, or prolonged non-practice are reassessed against the facility's return-to-practice requirements before full duties resume.** CRITICAL | RETURN-TO-PRACTICE REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Reassess staff returning after role change, long leave, or prolonged non-practice.

8. Agency, locum, contractor, temporary, trainee, and telehealth personnel

43 **Verify agency, locum, contractor, and temporary personnel meet the same applicable minimum credential and authorization requirements before assignment to patient-care duties.**

CRITICAL | AGENCY / LOCUM CREDENTIALS

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Apply the same applicable minimum credential controls to external staff.

44 **Confirm contracts clearly allocate responsibility for credential collection, source verification, renewal monitoring, incident notification, and removal of ineligible workers.**

CRITICAL | CONTRACT RESPONSIBILITY CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Make credentialing responsibilities explicit in agency and contractor agreements.

45 **Check the facility independently verifies or receives acceptable evidence for critical credentials rather than relying on an undocumented assurance from the supplying organization.**

CRITICAL | CRITICAL CREDENTIAL VERIFICATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Do not rely only on undocumented agency assurance for critical credentials.

46 **Verify trainees, students, residents, observers, volunteers, and supervised roles have documented status, supervision, permitted activities, and required pre-placement checks.**

CRITICAL | TRAINEE / SUPERVISION STATUS

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Keep supervision and permitted activities explicit for trainees and observers.

47 **Confirm telehealth or remote practitioners meet the applicable licensure, credentialing, privileging, location, payer, and technology-related requirements for the service being delivered.**

TELEHEALTH AUTHORIZATION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Confirm remote practitioners meet the rules for the service and patient location.

48 **Check temporary or external staff are removed, restricted, or re-verified promptly when assignment dates, licences, certificates, contracts, or authorization periods expire.**

CRITICAL | TEMPORARY EXPIRY CONTROL

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Remove or re-verify external staff when time-limited credentials or assignments end.

9. Expiry monitoring, recredentialing, file integrity, and change management

49 **Verify the credential register or system records the key expiry and review dates for licences, certifications, privileges, appointments, screenings, competency, and other time-limited requirements.**

EXPIRY REGISTER CHECK

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Make every important expiry and review date visible in one controlled register.

50 **Confirm automated or manual reminders provide enough lead time for the staff member, manager, and credentialing team to act before a credential becomes invalid.**

CRITICAL | RENEWAL ALERT WORKFLOW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Set reminders early enough for staff, managers, and credentialing teams to act.

51 **Check recredentialing or periodic review occurs at the interval required by the applicable credential type, facility policy, payer, accreditor, or governing authority.**

RECREDENTIALING REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Use the required recredentialing interval for each practitioner or credential type.

52 **Verify source documents, verification evidence, approvals, restrictions, renewal history, and corrective actions are complete, traceable, and protected from unauthorized alteration or access.**

FILE INTEGRITY + ACCESS

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Protect source documents, approvals, restrictions, and audit history from unauthorized change.

53 **Confirm changes such as name, registration number, employing entity, role, specialty, sanction, health restriction, or employment status are updated across all relevant systems.**

CHANGE MANAGEMENT

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Synchronize material changes across HR, credentialing, rostering, and access systems.

54 **Review expired, overdue, missing, or conflicting credential records and confirm the organization can identify exactly who is affected, what duties are restricted, and who authorized the response.**

EXCEPTION STATUS REVIEW

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Know exactly who is affected and which duties are restricted for every unresolved exception.

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

55 **Calculate the overall staff-credential compliance result and summarize expired credentials, missing verifications, scope mismatches, screening gaps, repeat issues, and affected departments.**

AUDIT SCORE + SUMMARY

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Separate immediate authorization risk from underlying process and system causes.

56 **Create immediate restriction or containment for every critical credential gap that could allow unqualified, unauthorized, excluded, or improperly privileged work to continue.**

CRITICAL | CRITICAL DUTY RESTRICTION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Record what duties, access, or assignments were restricted before 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 immediate risk and realistic deadlines for permanent prevention.

58 **Correct system causes such as unclear role requirements, weak source verification, fragmented records, late reminders, agency gaps, poor access integration, or inconsistent renewal ownership.**

CRITICAL | SYSTEM CORRECTIVE ACTION

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Fix role matrices, source checks, reminders, agency controls, and system integration - not only the individual file.

59 **Verify closure through authoritative re-checks, renewed credentials, amended privileges, training or competency evidence, corrected system access, 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 closing a critical finding.

60 **Record the final audit decision, remaining restrictions, next review date, auditor, credentialing or HR approver, clinical-governance approval where applicable, date, time, and signature.**

CRITICAL | APPROVAL + SIGNATURE

Compliant | Needs attention | Critical gap | N/A

◇ Execution tip: Keep affected duties restricted until every release condition is documented and approved.