# CE Compliance Checklist for Group Practices

A print-ready operational checklist for tracking licenses, renewals, CE progress, ethics and category requirements, proof documents, and audit readiness across a clinical roster.

## 01 Roster setup

Get every clinician into one place.

- [ ] List every clinician who bills or delivers clinical services, including contractors and associates.
- [ ] Record each clinician's role and credential type.
- [ ] Note employment type, such as W-2, contractor, or pre-licensure associate.
- [ ] Assign an owner responsible for keeping each record current.

## 02 License information

The identity and standing of each credential.

- [ ] Capture license type and abbreviation per clinician.
- [ ] Record license number with limited, need-to-know access.
- [ ] Note issuing state and board for each license.
- [ ] Mark primary versus secondary jurisdictions.
- [ ] Confirm current status, such as active, lapsed, or probation.

## 03 Renewal cycle

When each clock runs out.

- [ ] Record the renewal date for every license.
- [ ] Note cycle length, such as one year or two years.
- [ ] Capture cycle start and end dates.
- [ ] Note any grace or late-renewal window.

## 04 CE requirements

The hours, tracked against the clock.

- [ ] Record total hours required this cycle per license.
- [ ] Track hours completed and hours remaining.
- [ ] Compare pace against the percentage of the cycle elapsed.

## 05 Ethics and category requirements

Where totals hide shortfalls.

- [ ] Track ethics hours required and completed separately.
- [ ] Record state-specific one-time requirements.
- [ ] Track cultural competency or diversity hours where required.
- [ ] Track supervision hours for clinicians who supervise.

## 06 Online, live, and self-study limits

Format rules, not just hours.

- [ ] Note each board's cap on self-study or asynchronous hours.
- [ ] Track any live or interactive minimum.
- [ ] Record the delivery format of each logged course.

## 07 Board-approved provider requirements

Not all hours are eligible.

- [ ] Confirm each course provider is approved for that board.
- [ ] Record the provider approval number where applicable.
- [ ] Flag courses that count in one state but not another.

## 08 Documentation

Proof, not just numbers.

- [ ] Keep a certificate of completion on file for every course.
- [ ] Map each certificate to the category it satisfies.
- [ ] Store documents centrally, not in individual inboxes.
- [ ] Keep a current copy of each clinician's license on file.

## 09 Audit readiness

Could you produce it today?

- [ ] Confirm you could assemble a full packet on short notice.
- [ ] Ensure certificates are matched to requirements in advance.
- [ ] Keep provider-approval evidence alongside each course.
- [ ] Maintain a per-clinician cover summary of requirements met.

## 10 Clinician communication

Keep people in the loop.

- [ ] Make sure clinicians know what the practice tracks.

- [ ] Send renewal reminders at 90, 60, and 30 days.
- [ ] Log every request for a missing document.
- [ ] Capture clinician attestations where you rely on them.

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## 11 Admin review cadence

The recurring rhythm.

- [ ] Run a quick monthly scan of the whole roster.
- [ ] Run a full quarterly reconciliation.
- [ ] Assign a named reviewer for each cycle.
- [ ] Define what triggers an escalation.

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## 12 New clinician onboarding

Start the record right.

- [ ] Collect license and CE history at hire.
- [ ] Verify the license at primary source.
- [ ] Add the clinician to the roster and tracker.
- [ ] Set renewal reminders immediately.

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## 13 Departing clinician offboarding

Close it out cleanly.

- [ ] Capture a final CE and license status snapshot.
- [ ] Retain records per your retention policy.
- [ ] Remove the clinician from the active roster.
- [ ] Revoke tracker and document access.

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## 14 Privacy and data boundaries

Collect only what oversight needs.

- [ ] Track only what a compliance decision actually requires.
- [ ] Limit who can see license numbers and sensitive fields.
- [ ] Avoid storing unrelated personal or health information.
- [ ] Let clinicians see what the practice can see about them.

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## 15 Escalation and follow-up process

When something is off, what happens next.

- [ ] Define the triggers for escalation.
- [ ] Name an owner for each follow-up.
- [ ] Document every outreach and its outcome.
- [ ] Set a no-bill or stop-work threshold for a lapsed license.