PROCEDURE AND AUDIT CHECKLIST

Staffing and safer recruitment procedure checklist

Source anchors

- CQC Regulation 18, staffing
- CQC Regulation 19, fit and proper persons employed
- Health and Social Care Act 2008 (Regulated Activities) Regulations 2014, Regulation 18
- Health and Social Care Act 2008 (Regulated Activities) Regulations 2014, Regulation 19
- Health and Social Care Act 2008 (Regulated Activities) Regulations 2014, Schedule 3
- DBS eligibility guidance
- GOV.UK right to work checks

How to use this checklist

Use this checklist to audit whether the service can show that it plans, recruits, deploys and supports staff safely. It can be used quarterly, after a recruitment audit, after a staffing incident, before a governance review, or before an inspection-readiness review.

This checklist is broader than the standalone safer recruitment evidence checklist. It checks the full staffing loop: workforce plan, recruitment files, induction, competence, rota safety, agency cover, ongoing support and governance.

For each row, record:

- **Met:** evidence is current and complete.
- **Part met:** evidence exists but has a gap or needs follow-up.
- **Not met:** evidence is absent or the control is not working.
- **Not applicable:** the service does not carry out this activity.

Every `Part met` or `Not met` item should create an action with an owner and due date.

The PDF is designed for printing, or for completing on screen with a PDF viewer's Fill & Sign, Markup or comment tools. Use those tools to tick boxes and type into the lines.

Service details

SERVICE NAME	LOCATION

DATE COMPLETED	COMPLETED BY

REGISTERED MANAGER	HR OR RECRUITMENT LEAD
CLINICAL LEAD OR ROLE LEAD	**PERIOD REVIEWED**

1. Workforce plan and staffing model

CHECK AND EVIDENCE	STATUS	OWNER	DUE
1 **Workforce plan names the roles and skill mix needed to deliver the regulated activity safely.** **Evidence:** Workforce plan, statement of purpose.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
2 **Minimum safe staffing level is defined for the service model.** **Evidence:** Staffing policy, rota rules, risk assessment.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
3 **Professional-registration requirements are mapped to roles.** **Evidence:** Role list, registration checks.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
4 **Staffing levels are reviewed against changing needs, activity and service changes.** **Evidence:** Review record, governance minutes.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
5 **Emergency staffing and on-call arrangements are clear.** **Evidence:** On-call rota, escalation procedure.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
6 **Workforce risks are added to the risk register where needed.** **Evidence:** Risk register, staffing review.	☐ Met ☐ Part met ☐ Not met ☐ N/A		

2. Safer recruitment file checks

CHECK AND EVIDENCE	STATUS	OWNER	DUE
1 **Role description and person specification are current.** **Evidence:** Job description, person specification.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
2 **Identity, recent photograph and right-to-work evidence are on file.** **Evidence:** Recruitment file.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
3 **Full employment history and gap explanations are recorded where required.** **Evidence:** Application form, gap note.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
4 **References and conduct evidence are checked and reviewed.** **Evidence:** Reference record, decision note.	☐ Met ☐ Part met ☐ Not met ☐ N/A		

CHECK AND EVIDENCE	STATUS	OWNER	DUE
5 **DBS level is based on role eligibility and the decision is recorded.** **Evidence:** DBS decision, certificate record.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
6 **Qualification, health and professional-registration evidence are checked where relevant.** **Evidence:** Certificates, health declaration, live register check.	☐ Met ☐ Part met ☐ Not met ☐ N/A		

3. Start, induction and restricted duties

CHECK AND EVIDENCE	STATUS	OWNER	DUE
1 **Recruitment file is signed off before unsupervised work.** **Evidence:** Sign-off record, start checklist.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
2 **Any pending check has a risk assessment, supervision plan and clear deadline.** **Evidence:** Exception approval, restriction note.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
3 **Induction covers local safety procedures before unsupervised work.** **Evidence:** Induction record.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
4 **Role-specific training plan is agreed.** **Evidence:** Training matrix, induction plan.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
5 **First supervision, probation or review date is booked.** **Evidence:** Supervision schedule, probation plan.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
6 **Staff know what they may and may not do until competence is signed off.** **Evidence:** Restriction note, staff interview.	☐ Met ☐ Part met ☐ Not met ☐ N/A		

4. Deployment, rota safety and cover

CHECK AND EVIDENCE	STATUS	OWNER	DUE
1 **Planned rota is compared with actual staffing.** **Evidence:** Rota, actual attendance record.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
2 **Skill mix and registered professional cover are checked before service delivery.** **Evidence:** Rota review, duty-manager notes.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
3 **Travel time, visit length, clinic flow or procedure demand are considered where relevant.** **Evidence:** Rota rules, appointment template, visit plan.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
4 **Staffing gaps lead to safe cover, changed activity or escalation.** **Evidence:** Staffing incident, escalation log.	☐ Met ☐ Part met ☐ Not met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
5 **Agency, bank or locum staff receive local induction and role limits.** **Evidence:** Agency file, induction note.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **Fatigue, sickness and welfare concerns are reviewed where they affect safe work.** **Evidence:** Sickness record, welfare note, risk assessment.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

5. Ongoing competence and fitness

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 **Training matrix is current for required role topics.** **Evidence:** Training matrix.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 **Competence assessments are completed for role-specific tasks.** **Evidence:** Competence record, observation.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 **Supervision and appraisal are current against local cadence.** **Evidence:** Supervision log, appraisal record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 **Professional-registration renewals are tracked and checked.** **Evidence:** Register check, assurance calendar.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 **Conduct, capability or health concerns are acted on promptly.** **Evidence:** HR record, restriction note, occupational-health advice.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **DBS renewal or update-service checks follow local policy where used.** **Evidence:** DBS tracker, renewal evidence.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

6. Governance and learning

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 **Recruitment-file audits run at a stated cadence.** **Evidence:** Audit schedule, completed audit.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 **Staffing themes from incidents, complaints and safeguarding concerns are reviewed.** **Evidence:** Governance minutes, incident themes.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 **Agency, vacancy, turnover and sickness patterns are visible to governance.** **Evidence:** Workforce report.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
4 **Overdue training, supervision and appraisal actions are tracked.** **Evidence:** Action log, dashboard.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 **Workforce actions have owners, due dates and completion evidence.** **Evidence:** Improvement actions.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **Registered Manager reviews staffing risks and overdue actions.** **Evidence:** Governance minutes, risk register.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

7. Summary judgement

Which current staffing risk could affect safe care or treatment?

Which recruitment file has the weakest evidence trail?

Which role or skill mix is hardest to cover safely?

Which training, supervision or registration item is overdue?

What would a CQC inspector see if they asked for staffing evidence today?

8. Action log

Action	Source check	Owner	Due date	Completion evidence

9. Completion

Sign-off	Name	Date
Completed by		

Sign-off	Name	Date
Reviewed by Registered Manager		

This checklist is a working tool. It does not replace live regulator guidance, employment law advice, safeguarding advice, DBS guidance, professional-regulator requirements, occupational-health advice or local HR procedures.

Related reading

- Sample policy: Staffing policy
- Sample policy: Recruitment policy
- Related checklist: Safer recruitment checklist
- Related procedure checklist: Risk management and risk register checklist

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