

PROCEDURE AND AUDIT CHECKLIST

Supervision, appraisal and staff support procedure checklist

Source anchors

- [CQC Regulation 18, staffing](#)
- [CQC Regulation 17, good governance](#)
- [Health and Social Care Act 2008 \(Regulated Activities\) Regulations 2014, Regulation 18](#)
- [Health and Social Care Act 2008 \(Regulated Activities\) Regulations 2014, Regulation 17](#)
- [Skills for Care supervision guidance](#)
- [GMC appraisal and revalidation](#)
- [NMC revalidation requirements](#)

How to use this checklist

Use this checklist to audit whether supervision and appraisal are happening, being recorded, producing actions and surfacing workforce risks. It can be used quarterly, after a supervision audit, after a staff-support concern, before governance review, or before an inspection-readiness review.

This checklist looks for a real support and assurance loop: scheduled sessions, meaningful records, competence follow-up, wellbeing support, concern escalation and governance oversight.

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 	SUPERVISION LEAD
CLINICAL LEAD, WHERE RELEVANT 	PERIOD REVIEWED

1. Cadence, schedule and coverage

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 Supervision cadence is defined by role, risk and experience. Evidence: Supervision policy, role map.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 Appraisal cadence is defined and visible. Evidence: Appraisal schedule.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 New starters and probationary staff have planned supervision. Evidence: Induction plan, probation record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 Clinical or professional supervision arrangements are defined where relevant. Evidence: Clinical supervision plan, professional requirements.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 Regular agency, bank or locum workers are included where needed. Evidence: Worker list, supervision schedule.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 Overdue, cancelled and missed sessions are visible. Evidence: Supervision register, overdue report.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

2. Session quality and records

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 Supervision records show date, type, supervisor and supervisee. Evidence: Supervision sample.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 Records show meaningful discussion, not only tick-box completion. Evidence: Supervision sample, staff feedback.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 Previous actions are reviewed in the next session. Evidence: Supervision records, action log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 Training, competence and confidence are discussed where relevant. Evidence: Supervision record, training matrix.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
5 Wellbeing, workload and support needs are considered. Evidence: Supervision record, welfare note.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 Records avoid unnecessary confidential detail. Evidence: Record sample, storage check.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

3. Reflective and clinical supervision

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 Reflective supervision triggers are defined. Evidence: Procedure, incident process.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 Serious incidents, safeguarding concerns or complaints lead to support review where relevant. Evidence: Incident sample, supervision note.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 Clinical supervision covers scope, judgement, cases and professional standards where needed. Evidence: Clinical supervision sample.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 Supervision does not replace investigation, safeguarding or HR action where needed. Evidence: Decision note, linked record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 Staff involved in distressing events receive timely support. Evidence: Support record, debrief note.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 Learning from reflective sessions is captured without unnecessary personal detail. Evidence: Learning log, governance minutes.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

4. Appraisal and development

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 Annual appraisals are completed or scheduled. Evidence: Appraisal tracker.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 Appraisals review performance, values, conduct and role expectations. Evidence: Appraisal sample.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 Appraisals review training, competence, CPD and professional requirements where relevant. Evidence: Appraisal sample, CPD record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 Development plans have actions, owners and review points. Evidence: Development plan.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
5 Adjustments, wellbeing or support needs are recorded and followed up. Evidence: Appraisal record, support action.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 Managers and senior staff also receive appraisal or oversight. Evidence: Manager appraisal record, provider review.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

5. Concerns, restrictions and support actions

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 Competence, conduct, health or wellbeing concerns trigger appropriate action. Evidence: Supervision note, HR record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 Restricted duties are recorded and communicated where needed. Evidence: Restriction note, rota note.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 Support actions have owners, due dates and review dates. Evidence: Action log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 Safeguarding, professional-regulator or HR escalation is considered where relevant. Evidence: Decision note, linked record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 Staff know how to raise concerns outside supervision. Evidence: Staff interview, whistleblowing route.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 Repeated themes are escalated beyond individual supervision where needed. Evidence: Governance minutes, risk register.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

6. Governance and assurance

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 Supervision and appraisal audits run at a stated cadence. Evidence: Audit schedule, completed audit.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 Governance reviews overdue sessions, appraisal gaps and repeated cancellations. Evidence: Governance minutes, dashboard.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 Themes from supervision link to training, staffing, risk and improvement actions. Evidence: Training matrix, risk register, action log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
4 Staff-support and wellbeing themes are reviewed proportionately. Evidence: Workforce report, governance minutes.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 Overdue actions are followed up by the Registered Manager. Evidence: Action log, dashboard.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 Provider or Nominated Individual reviews senior-manager support where needed. Evidence: Provider review, supervision record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

7. Summary judgement

Which team or role has the weakest supervision coverage?

Which repeated support theme needs governance review?

Which supervision or appraisal action is overdue?

Which competence, conduct or wellbeing concern needs escalation?

What would a CQC inspector see if they asked for supervision 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, professional-regulator requirements, occupational-health advice, clinical judgement or local HR procedures.

Related reading

- Sample policy: [Supervision, appraisal and staff support policy](#)
- Related procedure checklist: [Training, competency and mandatory training checklist](#)
- Related procedure checklist: [Staffing and safer recruitment checklist](#)
- Related procedure checklist: [Risk management and risk register checklist](#)

An example for guidance, not a ready-to-use checklist. Adapt it to your own service, procedures, roles and local arrangements. It is guidance, not legal advice, and you are responsible for checking that any document you use is current.