PROCEDURE AND AUDIT CHECKLIST

Training, competency and mandatory training procedure checklist

Source anchors

- CQC Regulation 18, staffing
- CQC Regulation 12, safe care and treatment
- CQC Regulation 19, fit and proper persons employed
- Oliver McGowan Code of Practice
- Skills for Care induction and Care Certificate standards
- GMC continuing professional development
- NMC continuing professional development

How to use this checklist

Use this checklist to audit whether the service can show that staff are trained, competent and restricted from tasks they cannot yet do safely. It can be used monthly, after a training audit, after an incident linked to competence, before governance review, or before an inspection-readiness review.

This checklist treats training as a safety control, not as a certificate folder. It checks whether learning is assigned, completed, understood, refreshed and applied in practice.

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	TRAINING LEAD

CLINICAL LEAD OR ROLE LEAD	PERIOD REVIEWED

1. Training requirements and matrix

CHECK AND EVIDENCE	STATUS	OWNER	DUE
1 **Training needs analysis is current by role.** **Evidence:** Training needs analysis, role list.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
2 **Training matrix shows required, completed, due and overdue topics.** **Evidence:** Training matrix.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
3 **Refresher cycles are defined and tracked.** **Evidence:** Matrix, policy, assurance calendar.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
4 **Learning disability and autism training level is matched to role.** **Evidence:** Training matrix, role mapping.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
5 **Professional-regulator or CPD requirements are identified where relevant.** **Evidence:** Registration record, CPD tracker.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
6 **Matrix is reviewed at the stated cadence.** **Evidence:** Review record, governance minutes.	☐ Met ☐ Part met ☐ Not met ☐ N/A		

2. Induction and pre-start controls

CHECK AND EVIDENCE	STATUS	OWNER	DUE
1 **New starters receive local induction before unsupervised work.** **Evidence:** Induction record.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
2 **Urgent safety topics are completed before relevant duties.** **Evidence:** Training matrix, restriction note.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
3 **Role-specific training plan is assigned.** **Evidence:** Training plan, line-manager note.	☐ Met ☐ Part met ☐ Not met ☐ N/A		
4 **Supervisor, buddy or assessor is named where needed.** **Evidence:** Induction plan, rota.	☐ Met ☐ Part met ☐ Not met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
5 **Agency, bank, contractor or locum staff receive local safety induction.** **Evidence:** Local induction record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **Induction gaps have controls, supervision and deadlines.** **Evidence:** Exception record, action log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

3. Mandatory and role-specific training

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 **Mandatory topics match the service model and people using the service.** **Evidence:** Topic list, statement of purpose.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 **Safeguarding, IPC, fire, health and safety, incident and information-governance training are current where required.** **Evidence:** Training matrix.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 **Clinical, medicines, equipment, moving and handling or driving topics are assigned where relevant.** **Evidence:** Role-specific training plan.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 **Training evidence is retained and traceable to the person.** **Evidence:** Certificates, attendance records.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 **Training provider or content quality is checked where needed.** **Evidence:** Provider record, course outline.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **Overdue training is escalated before it becomes a safety gap.** **Evidence:** Overdue report, action log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

4. Competence and restricted tasks

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 **Competency assessments are defined for tasks where certificates are not enough.** **Evidence:** Competence framework.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 **Assessors are competent to sign off practice.** **Evidence:** Assessor record, role lead sign-off.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 **Observed or supervised practice is recorded where required.** **Evidence:** Observation record, supervised-practice log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
4 **Staff know which tasks they may not perform until signed off.** **Evidence:** Restriction note, staff interview.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 **Rota or duty leads know about restricted tasks.** **Evidence:** Rota note, handover record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **Competence concerns trigger supervision, retraining or restriction.** **Evidence:** Supervision note, action log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

5. Professional development and ongoing review

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 **CPD and revalidation needs are visible where professional registration applies.** **Evidence:** CPD tracker, appraisal record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 **Training needs from incidents, complaints, safeguarding and audits are added to the matrix or action log.** **Evidence:** Incident review, audit action.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
3 **Staff learning needs are reviewed in supervision or appraisal.** **Evidence:** Supervision record, appraisal record.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 **Training records are updated when roles or duties change.** **Evidence:** Role-change record, matrix update.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 **Refresher training is scheduled before expiry.** **Evidence:** Assurance calendar, matrix.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **Staff can raise learning or confidence concerns without blame.** **Evidence:** Staff interview, supervision themes.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

6. Governance and assurance

CHECK AND EVIDENCE	STATUS		OWNER	DUE
1 **Training audit runs at a stated cadence.** **Evidence:** Audit schedule, completed audit.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
2 **Governance reviews overdue training, competence checks and restrictions.** **Evidence:** Governance minutes, dashboard.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

CHECK AND EVIDENCE	STATUS		OWNER	DUE
3 **Training-related risks are added to the risk register where needed.** **Evidence:** Risk register, action log.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
4 **Overdue actions have owners, due dates and completion evidence.** **Evidence:** Improvement actions.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
5 **Repeated gaps are reviewed as management or workforce themes.** **Evidence:** Governance minutes, supervision themes.	☐ Met ☐ Not met	☐ Part met ☐ N/A		
6 **Registered Manager signs off serious training-risk decisions.** **Evidence:** Decision note, risk assessment.	☐ Met ☐ Not met	☐ Part met ☐ N/A		

7. Summary judgement

Which training or competence gap creates the highest current risk?

Which role or task has the weakest competence evidence?

Which staff member or team has repeated overdue training?

Which restriction, refresher or action is overdue?

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

8. Action log

Action	Source check	Owner	Due date	Completion evidence

9. Completion

Sign-off	Name	Date
Completed by		
Reviewed by Registered Manager		

This checklist is a working tool. It does not replace live regulator guidance, professional-regulator requirements, employment law advice, safeguarding advice, occupational-health advice, clinical judgement or sector-specific training standards.

Related reading

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