Free Essential Staff Compliance Guide

Use this resource to organise a practical review of an England care service. Select the checks that apply to your regulated activities, people, setting and staff roles. A completed checklist is a record of your review; it does not establish legal compliance, CQC approval or an inspection outcome.

Start with one role and one anonymised staff-file review. Use Present / Partial / Missing / Not applicable, explain the evidence, and assign an action for every gap. Do not label a worker “compliant” solely because boxes are ticked.

Check	Evidence and decision
Identity, history and role	Verify identity, employment history and gaps, relevant qualifications and registration; check actual job duties.
References and previous conduct	Obtain required evidence of relevant previous conduct and reasons for leaving where applicable. Verify provenance and resolve inconsistencies; a fixed number of references alone is insufficient.
Right to work	Use the prescribed route before work starts, save the actual check and record any required follow-up. Use the current Home Office guide, including the October 2026 scope.
DBS and barred lists	Establish legal eligibility for this role, workforce and level. Ask only permitted questions; do not request protected cautions or convictions. Record proportionate follow-up.
Appointment decision	Record who reviewed evidence, unresolved concerns, permitted duties and any supervision or conditions. Do not start an unsafe or prohibited activity.

Training and competence

Certificates show participation. Check what the worker can do safely in the actual setting and who assessed it.

Area to assess	Evidence to look for
Safeguarding, consent and capacity	Can the worker recognise a concern, use local contacts and apply the relevant process in a realistic example?
Safety, infection, fire and moving	Role-appropriate learning, access to the actual equipment, observed practice and an agreed route for help.
Equality, communication and information	Accessible support, confidentiality, lawful information sharing and secure record keeping understood in practice.
Person and task-specific skills	Medicines, autism, learning disability, dementia, epilepsy, nutrition, distress or other needs: select the applicable content and practical assessment.
Refresh and reassessment	Record completion and competence separately. Set intervals from applicable duties, guidance, risk and performance; reassess after change or concern.

Record local induction, supervised practice, competence sign-off, probation and role restrictions. Agree supervision and appraisal arrangements, wellbeing support and reasonable adjustments.

Action record

Review field	Your record
Service / reviewer / date	
Person or activity affected / immediate risk	
Evidence checked and what it shows	
Action and responsible person	
Target date / interim safeguards	
Outcome, person’s feedback and closure evidence	
Manager review / next review trigger	

Use, review and sources

Do not enter names, health details or criminal-record information in a shared learning example. Store completed operational records in the organisation's approved system with appropriate access and retention controls.

Recheck the linked official guidance before an important decision and after changes to the law, people supported or service. Revision: 11 October 2026. This is a practical resource, not individual legal or clinical advice.

CQC provider regulations:
https://www.cqc.org.uk/guidance-regulation/providers/regulations-service-providers-and-managers

CQC Regulation 17 (good governance): https://www.cqc.org.uk/guidance-regulation/providers/regulations-service-providers-and-managers/health-social-care-act/regulation-17

DBS filtering guidance:
https://www.gov.uk/government/publications/dbs-filtering-guidance/dbs-filtering-guide

Right-to-work checks:
https://www.gov.uk/government/publications/right-to-work-checks-employers-guide

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