

Agency Assessment Checklist

Purpose & Context

In England, nursing agencies are not regulated by any statutory body. Care providers remain legally responsible for ensuring the compliance and suitability of any agency workers deployed in their services.

This checklist has been developed by Ocean Healthcare to help care providers verify that the agencies they work with are operating safely, responsibly and in line with good practice.



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How to Use this Checklist

This checklist is designed for care providers, commissioning bodies and procurement teams. Each question can be answered as 'Yes' or 'No'. If YES, they may want to collect and record proof of compliance and tick 'Evidence Provided'.

Providers should retain a copy of this completed checklist to demonstrate due diligence during CQC inspections or audits.

When to Use This Checklist:

- ☐ New Agency On-boarding
 - ☐ Annual Review
 - ☐ Spot-Check / File Audit
 - ☐ Post-Incident Review
 - ☐ Other: _____
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Agency Assessment Record

Agency Details

Agency Name: _____

Care Service / Location: _____

Assessment Completed By (Name & Role): _____

Date of Assessment: _____

Governance & Registration

	Yes	No	Evidence Provided
Is the agency a member of a recognised body such as the REC?	☐	☐	☐
Has the agency undergone an independent compliance audit (e.g. Neuen, ISO, REC)?	☐	☐	☐
Does the agency have published compliance and safeguarding policies?	☐	☐	☐
Is there a named compliance lead responsible for vetting standards?	☐	☐	☐

Evidence / Notes:

Right to Work & Identity Checks

	Yes	No	Evidence Provided
Are right-to-work checks completed before deployment?	☐	☐	☐
Are original identity documents verified in person or by accredited digital check?	☐	☐	☐
Are right-to-work records retained and available for inspection?	☐	☐	☐

Evidence / Notes:

DBS & Safeguarding

	Yes	No	Evidence Provided
Are enhanced DBS checks obtained for all workers before first placement?	☐	☐	☐
Are Adult First checks used appropriately and transparently disclosed?	☐	☐	☐
Does the agency conduct documented risk assessments on DBS disclosures?	☐	☐	☐
Is there a process for barring list checks and periodic DBS re-checks?	☐	☐	☐
Evidence / Notes:			

Competence & Training

	Yes	No	Evidence Provided
Are staff competency-assessed before placement?	☐	☐	☐
Does the agency provide or verify mandatory training (e.g. medication, safeguarding)?	☐	☐	☐
Is training refreshed at least annually?	☐	☐	☐
Evidence / Notes:			

References & Employment History

	Yes	No	Evidence Provided
Are a minimum of two recent professional references obtained before placement and kept on file?	☐	☐	☐
Are employment gaps accounted for and documented?	☐	☐	☐
Is there a documented process for verifying references and escalating safeguarding concerns before deployment?	☐	☐	☐
Evidence / Notes:			

Worker Supervision & Feedback

	Yes	No	Evidence Provided
Is there a documented process for monitoring worker performance, collecting feedback and addressing concerns?	☐	☐	☐
Are incidents, complaints, and safeguarding alerts tracked and reviewed?	☐	☐	☐
Does the agency maintain a worker performance log?	☐	☐	☐
Evidence / Notes:			

Transparency & Partnership

	Yes	No	Evidence Provided
Does the agency share full compliance documentation with clients on request?	☐	☐	☐
Is the agency transparent about pay, rates, and margins?	☐	☐	☐
Does the agency provide clear points of contact for escalation and issue resolution?	☐	☐	☐
Evidence / Notes:			

Review & Next Steps

For each question in the checklist, consider the following:

If you answered YES

- Confirm you have gathered and reviewed supporting evidence
- Record where that evidence is stored
- Ensure documentation is current and proportionate

A “Yes” should be supported by evidence - not assumption.

If you answered NO

- Do not proceed without further clarification
- Request evidence from the agency
- Consider whether the agency presents elevated risk

A “No” indicates a potential compliance or safeguarding risk.

If you CAN’T ANSWER

This indicates the necessary information or evidence has not been provided or reviewed. Contact the agency directly, request written evidence, and document what you receive. Do not rely on verbal reassurance alone.

Disclaimer

This checklist is provided as general guidance and does not replace statutory requirements, contractual obligations, or professional regulatory advice. Care providers remain responsible for ensuring compliance within their services and for making proportionate safeguarding decisions based on the information available. Use of this document does not constitute legal advice.