

A new system of registration

## **How to complete the transitional application and declaration form to register under the Health and Social Care Act 2008**

Guidance for providers who are currently registered under the Care Standards Act 2000

**Please note that this guidance accompanies the online application to register under the Health and Social Care Act 2008.**

Alternative guidance is available to accompany the manual application.

This guidance will help you complete the application and declaration form for registration with the Care Quality Commission, and is available from our website.

All health and adult social care providers who provide regulated activities will be required by law to be registered with us. Regulated activities are defined in the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010.

**It is an offence under section 10 of the Health and Social Care Act 2008 to carry out a registerable activity without registering with the Care Quality Commission. You could be prosecuted, and it could lead to your application being refused.**

Please note that this is a guide to the application form only, and not to the wider system of registration. Guidance on the wider system is available on our website.

### **Completing the application form**

**You should only use this application form if you are an independent healthcare or adult social care provider currently correctly registered under the Care Standards Act 2000. The form is not for use by health and social care providers who are registering for the first time, providers who have not previously been required to register, or providers who are incorrectly registered under the Care Standards Act 2000.**

When completing the application form, you should also refer to the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 and our *Guidance about compliance: Essential standards of quality and safety*. Please see our website for further information.

You must complete every field that is mandatory (marked with an asterisk). Other fields are optional, but if you have this information available, please provide it. We will reject an incomplete application and return it for resubmission. For information on our resubmission policy, please see our website. We are entitled to ask for more information while considering your application and we may carry out a site visit if required.

Guidance to help you complete the form is embedded in the webform.

Please note that, at the end of the webform, you will be required to print out, complete and return the Registered Manager declaration and Partnership declaration if they are applicable to your application.

**Please ensure that your completed application and declaration form does not contain any confidential personal information (about people who use services or staff).**

<p><b>Application – set up</b></p>	<p><b>When completing your application online, you will need to use your user-name and password that we have assigned you to gain access to your application.</b></p>
	<p>The first part of the application requires you to enter the details about your service and identify how many locations you have.</p> <p><b>Step A: Add location</b></p> <ul style="list-style-type: none"> <li>This section asks you to identify your locations. A location is a place where regulated activities are provided or provided from. For example, the following would all be "locations": A single nursing home run by an individual, an adult placement scheme run by an organisation, or a domiciliary care agency.</li> </ul> <p><b>Step B: Add delegate(s)</b></p> <ul style="list-style-type: none"> <li>If you wish to delegate the completion of the locations declaration to another person, for example the individual manager of a care home or clinic, please complete step B. You will need to add the name and email address of the person(s) you wish to delegate to in this section. You do not have to appoint any delegates if you do not wish to, but this means that you will be responsible for the completion of the all the location declarations in the application form.</li> </ul> <p><b>Step C: Assign delegate to location</b></p> <ul style="list-style-type: none"> <li>This section allows you to put a delegate name against the appropriate location.</li> <li>Following the submission of this initial stage of the application form, each named delegate will be sent a user-name and password and instructions on the completion of the form they have been assigned. The summary page will then be updated with the locations and delegates so that the delegates can access them directly from the summary page.</li> </ul>

Set-up submission	Once you have submitted this part of the application, you can <b>not</b> go back and re-edit it. If you need to make any changes after this point (for example, you need to include another location that you forgot to enter as part of form set-up), you will need to contact us and we will reset the form for you.
'Save and quit'	Once you have set up your form and you start to complete it, it is possible to 'save and quit'. This function is at the bottom of every page of the application form and allows you to save the information you have entered, then return to access it later.

<b>Section 1: Type of service provider</b>	<b>The service provider is the legal entity or person(s) applying to register. This section asks you to indicate whether you are an organisation, an individual or a partnership applying to register to provide the regulated activities.</b>
	<ul style="list-style-type: none"> <li>• <b>If you are an organisation</b>, the service provider is the name of the company (the legal entity registered at Companies House), charity, Limited Liability Partnership or other body of persons corporate or uni-corporate. Registration is always at the level of the service provider as an organisation, not at the location level.</li> <li>• <b>If you are an individual</b> applying for registration, the service provider refers to you as an individual.</li> <li>• <b>If you are a partnership (other than a limited liability partnership)</b> applying for registration, the service provider will be each of the individuals making up the partnership.</li> </ul>
What are regulated activities?	You need to tell us which regulated activities you want to register. Details can be found in Health and Social Care Act 2008 (Regulated Activities) Regulations 2010.
Service provider details	<p><b>Sections of the application form that are specific to service provider</b></p> <ul style="list-style-type: none"> <li>• If you are an organisation (including limited companies), NHS trust, local authority, charity, limited liability partnership or voluntary organisation, you must complete sections 1.1 and 1.2.</li> <li>• If you are an individual, you must complete section 1.3.</li> <li>• If you are a partnership, you must complete section 1.4.</li> </ul> <p><b>All providers are required to complete the remainder of the form (sections 2 to 5 inclusive).</b></p>

	<p><b>Details of service provider</b></p> <ul style="list-style-type: none"> <li>• Your service provider details will be pre-populated. It is possible to edit these if they are not correct, except for the 'name of the service provider', which is read-only text.</li> <li>• Details of the service provider, including email address and main website (if applicable), will appear in the register that we are legally required to keep and make available to the public. (Only the service address not the private address will appear on the register unless they are the same.)</li> </ul>
<p>1.1 Details of the nominated individual</p>	<ul style="list-style-type: none"> <li>• Each organisation applying for registration must nominate an individual to act as the main point of contact for the Care Quality Commission. They must be a director, manager or secretary of the organisation with responsibility for supervising the management of the regulated activity.</li> <li>• It may be that you wish to appoint one nominated individual to cover one, several or all the regulated activities you undertake. However, it is important that the individual is able to fulfil the responsibility of supervising the management of the regulated activity. Consideration must be given to any other job roles undertaken by the nominated individual.</li> <li>• You may only have a maximum of one nominated individual for each regulated activity you register for.</li> <li>• The address of the nominated individual is their business address and contact telephone number.</li> <li>• Service providers who are an individual or a partnership (other than a limited liability partnership) do not appoint a nominated individual.</li> </ul>
<p>1.2 Organisation information</p>	<ul style="list-style-type: none"> <li>• Each organisation/company has a Registered Company number allocated to it when registering with Companies House. Please provide this number.</li> <li>• If you a registered charity, the Charity Commission will allocate you a Registered Charity number. Please provide this number.</li> <li>• If you are both a registered company and a charity, please provide both numbers.</li> <li>• If you are a subsidiary of a parent company (such as a chain, or a "brand name" provider), please also provide the registered or main address of the parent company.</li> </ul>

<p>1.3 Individuals applying for registration</p>	<p><b>Only complete this section if you are an individual applying for registration.</b></p> <ul style="list-style-type: none"> <li>We require the name, business address and contact details of the individual applying for registration and the name of the service. The name of the service means the name of the hospital, care home or agency and its address.</li> <li>The field 'name of the service provider' will be pre-populated. This is a read-only field and you will not be able to edit it.</li> </ul>
<p>1.4 Partnerships (other than limited liability partnerships) applying for registration</p>	<p><b>Only complete this section if you are a partnership applying for registration.</b></p> <ul style="list-style-type: none"> <li>A partnership is an arrangement where two or more people have joined together in order to provide a service. It is the partnership that is registered, not the individual members of the partnership.</li> <li>Please give the name, address and contact details of each partner, as well as the service address. (Only the service address will appear on the register that we are legally required to keep and make available to the public.)</li> <li>The 'first partner' in the application form will be the person who we send our notices and certificate to and who we will correspond with in the future.</li> </ul> <p><b>Please note that all references to 'partnership' exclude limited liability partnerships. If you are a limited liability partnership you should follow the guidance for 'organisations'.</b></p>

<p><b>Section 2: Other information</b></p>	<p><b>This section must be completed by all providers applying to register.</b></p>
<p>2.0 Invoice and financial contact details</p>	<ul style="list-style-type: none"> <li>There are no fees to apply to register with us for providers who are already registered with us under the Care Standards Act 2000.</li> <li>However, there will continue to be annual fees payable and we need to know who and where to send invoice and finance details.</li> <li>Please provide us with contact details of the appropriate person within the organisation to contact about this.</li> </ul>

<p>2.1 Statement of Purpose (to be completed by all applicants)</p>	<p>Each service provider is required by law to have a Statement of Purpose available that includes the information listed in section 2.2. You do not have to send us a copy of the Statement of Purpose, but you should have it available for us to see should we need to. The Statement of Purpose should aim to achieve two objectives:</p> <ul style="list-style-type: none"> <li>• Provide an overview of all of your regulated activities and locations, alongside the formal line of accountability and contact details for them.</li> <li>• Provide information about your services and their locations, to a level of detail that enables us to understand what actually happens in the location. For example, not just saying that surgery takes place in a hospital, but making clear that this includes specialist surgery such as neurosurgery and cardiac, and that this is for children as well as adults.</li> </ul>
<p>2.2 Information about nominated individuals</p>	<p>You are required by law (Care Quality Commission (Registration) Regulations 2009) either to <b>supply</b> this information if we request it or to <b>have it available for us to see</b> if we so wish. We are not asking you to submit this information now, but only to confirm that you have it available and that it is satisfactory.</p> <p>This information must be available for:</p> <ul style="list-style-type: none"> <li>• The nominated individual(s) (for an organisation)</li> <li>• An individual</li> <li>• Each partner applying for registration.</li> </ul> <p>This information includes:</p> <ul style="list-style-type: none"> <li>• An enhanced Criminal Records Bureau (CRB) check (including information relevant to vulnerable children or adults) must be available. In order to be considered as satisfactory information, this CRB must be less than one year old.</li> <li>• Evidence of proof of identity, that could be either a copy of a birth certificate or passport.</li> <li>• Evidence of satisfactory conduct in relation to previous employment could be used as satisfactory references.</li> <li>• Documentary evidence of relevant qualifications could be certificates or other suitable evidence of relevant professional qualifications.</li> <li>• A full employment history together with satisfactory written explanation for gaps in employment (such as a curriculum vitae).</li> </ul>

	<ul style="list-style-type: none"> <li>Information about any physical or mental health conditions that could prevent the person carrying out their responsibilities.</li> </ul>
<p>2.3 Respecting and involving people who use services</p>	<p>The focus of our assessment is on the impact that involving people who use services has made to services and to the care people receive. We are asking for evidence about how you:</p> <ul style="list-style-type: none"> <li>Use the views and experiences of people who use services, their carers and representatives to influence your service <b>priorities and plans</b>.</li> <li>Use the views and experiences of people to influence how you <b>deliver</b> your services</li> <li><b>Increase the influence</b> that people who use services have on both the planning and delivery of services.</li> </ul> <p>In order to answer these questions you should consider how you:</p> <ul style="list-style-type: none"> <li>Involve people directly in planning and improving the services you want to register – in a range of ways to suit people’s circumstances.</li> </ul> <p>For example, you could involve people who use services to help you make big decisions such as which staff to employ, whether to extend the building, priorities for budgets etc. Or you may involve people in smaller decisions affecting their daily lives, such as helping you to develop menus, and activities carried out in the service etc.</p> <ul style="list-style-type: none"> <li>Routinely make use of the views and experiences of people (individuals using care, their carers and representative groups who reflect the population they serve).</li> </ul> <p>For example, how do you involve people who use services? What do you ask them? How do you do this? When do you do it? How do you ensure people can be involved?</p> <ul style="list-style-type: none"> <li>Have made improvements in your services according to people’s feedback.</li> </ul> <p>You need to tell us what things you have put in place that have been a direct result of people’s feedback. How has this made a difference to people and how do you know it has made a difference?</p> <p><b>Examples of how this is being achieved may include some or all of the following – but this is not an exhaustive list:</b></p>

	<ul style="list-style-type: none"> <li>• The experiences of people who use services and their carers influence individual care planning, service delivery and improvements to the way the service is run. This includes experiences from people using the service, their carers/advocates, as expressed in information from surveys, a service’s own user representative groups or forums, and relevant independent voluntary or community user forums.</li> <li>• Service managers are learning from involving people and are seeking to develop and extend the ways people can share their views and experiences to improve the services in future.</li> <li>• People get feedback on how their views and experiences have been used, and are asked what difference this has made to their care and to how the service operates.</li> <li>• People who use services can influence care and financial decisions – in a dialogue with managers.</li> </ul>
<p>2.4 Equality, diversity and human rights</p>	<p>When making our assessment, we are asking for information about how:</p> <ul style="list-style-type: none"> <li>• The promotion of equality, diversity and human rights influence your <b>service priorities and plans</b>.</li> <li>• The promotion of equality, diversity and human rights influence how you <b>deliver</b> services across the range of regulated activities you are applying to register.</li> <li>• You are <b>increasing the influence</b> of equality, diversity and human rights issues on the planning and delivery of the services.</li> </ul> <p>In order to answer these questions you should consider how you:</p> <ul style="list-style-type: none"> <li>• Ensure that human rights, equality and diversity needs are addressed in your service. For example, what do you do to ensure you understand and act on people’s diverse needs? How do you let people know what you do?</li> <li>• Have the capacity to respond to diverse needs. For example, think about skills base, knowledge and experience, as well as resources needed.</li> <li>• Ensure that independence and choice are promoted whatever the person’s race, age, gender (including gender identity), sexual orientation, disability, religion or belief. For example, how do you ensure people are treated as individuals? How do you know what people’s diverse needs are? What adjustments do you make to ensure people are able to be as independent as they can be and make informed choices?</li> </ul>

	<ul style="list-style-type: none"> <li>• Ensure that human rights and diversity issues are equal in importance to other issues. How do you ensure equality issues are always on the agenda and are embedded in practice, rather than an ‘add on’?</li> <li>• Ensure that race, age, gender (including gender identity), sexual orientation, disability, religion or belief are included, for example in assessment and admission assessments</li> <li>• Ensure that the service and information is accessible to people who use it. For example, do you ensure the information you provide people is in a format they can understand? How do you do this?</li> <li>• Ensure your staff understand and respect the beliefs and rites of people’s faith, and understand their responsibilities under equalities legislation? For example, how do you make sure people’s knowledge and skills are updated in this area?</li> <li>• Manage themes in complaints about race, age, gender (including gender identity), sexual orientation, disability, religion</li> <li>• Ensure there is there a culture of openness and inclusion. For example, how do you ensure people feel comfortable and able to express themselves if they wish?</li> </ul> <p>The answers you give need to reflect your compliance for all your locations and you need to identify if there are any locations where the answers may not applicable.</p>
2.5 Extra information	Use this section to provide us with any additional information relating to your application.
<b>Section 3: Regulated activities and locations</b>	<b>You need to tell us about all locations (and their contact details) where you wish to carry on regulated activities.</b>
Location	<ul style="list-style-type: none"> <li>• You need to tell us about all locations (and their contact details) where you wish to carry on regulated activities.</li> <li>• A location is the place where regulated activities are provided or provided from. For example, a location could be each hospital run by the same company, or each care home run by the same provider, or a single hospital or care home run by an individual or partnership.</li> <li>• A location can cover an area – but it is the 'main address' from which the regulated activity is carried on (such as a hospital), or carried on from (such as a domiciliary agency branch) that we expect to see in applications for registration.</li> </ul>

	<ul style="list-style-type: none"> <li>• The term location is important because in a single application providers will need to declare compliance against each regulated activity at each location. Monitoring this declaration is an important part of how we make judgements about continuing compliance with the essential standards of quality and safety.</li> <li>• If you have queries about locations, please refer to our guidance on locations on our website or get in contact with your assessors.</li> <li>• Your service ID is the number on your current certificate of registration under the Care Standards Act 2000.</li> <li>• For each location, you must tell us whether you currently have a manager in place who is registered with us under the Care Standards Act 2000.</li> <li>• If the post is currently vacant, please tick 'no'</li> </ul> <p><b>Please note that the name you enter for each location will be the name that appears on your certificate and our website. You may need to consider including words such as 'residential home' or 'hospital' as part of the name, if appropriate.</b></p>
Regulated activities	<ul style="list-style-type: none"> <li>• If you are a provider that carries out any of the 'regulated activities' that are defined in the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010, you are required to register with us.</li> <li>• This section asks you indicate the regulated activities you are applying to register. For further information on the detail of the regulated activities, please refer to our <i>Scope of registration</i> guidance which is available on our website. The regulations concerning the regulated activities are also included in the appendices of our <i>Guidance about compliance: Essential standards of quality and safety</i>.</li> </ul>
Service type	<ul style="list-style-type: none"> <li>• In order to complete this section, you need to have identified the service types that apply to you in Step 2 of our <i>Guidance about compliance: Essential standards of quality and safety</i>. The guidance contains the essential standards and consists of outcomes and prompts that we have developed to help you comply with the regulations.</li> <li>• Although you must be registered with us to provide a regulated activity, we still need to know what service type(s) you provide at each location. The service type is a description of the service you provide. Please choose the service type that best describes the service you provide <b>at each location</b>.</li> </ul>

	<ul style="list-style-type: none"> <li>• The service type will help you to know what prompts in the essential standards apply to the service you are providing. They will also help our assessors and inspectors to know about the range of services you are providing when carrying on the regulated activity.</li> <li>• The service types should reflect those you identify in your Statement of Purpose.</li> </ul>
Service user band	<ul style="list-style-type: none"> <li>• This describes the primary needs of the people who use your service. For example, you may offer a service for people with mental health needs, dementia, older people, children (under the age of 18 years old) or people with learning or physical disability.</li> <li>• You will need to ensure that the needs you identify in your application are the same as those listed in your Statement of Purpose.</li> <li>• We will not use this information to routinely restrict your registration, however it is important for us to understand who you offer services to.</li> <li>• You may tick more than one box.</li> </ul>
Multiple locations	<ul style="list-style-type: none"> <li>• You need to provide this information for <b>all</b> locations where you want to carry on regulated activities.</li> </ul>
<b>Section 4: Declaration of compliance</b>	<b>You are asked to declare if you comply with all the regulations for each regulated activity you carry on at each location at the point in time you complete your application.</b>
	<ul style="list-style-type: none"> <li>• You are asked to declare if you comply with all the regulations for each regulated activity you carry on at each location at the point in time you complete your application.</li> <li>• If, for example, you complete your application in May but declare non-compliance for a particular regulated activity, you will need to explain in your action plan how you will be compliant by 1 October 2010. .</li> <li>• You must ensure that you have evidence available to support your declaration against each regulation, including evidence from people who use services. You do not need to submit this evidence but ensure it is available if we ask for it.</li> </ul>

<p>Meaning of compliant, and non-compliant</p>	<ul style="list-style-type: none"> <li>• If you declare compliance with the regulations you must be able to show, if asked, that people who use services experience the outcomes set out in the <i>Guidance about compliance: Essential standards of quality and safety</i>. The ‘outcome box’ in each section of <i>Essential Standards of quality and safety</i> shows what people who use services should experience.</li> <li>• If you declare non-compliance with the regulations, you have not met the regulations as described by the outcome statements in <i>Essential standards of quality and safety</i>. You must state reasons for non-compliance and how you will address the issues, and provide an action plan and date when you will be compliant. Non-compliance is serious and compliance must be achieved as soon as possible.</li> </ul>
<p>Completing the action plan</p>	<p>You need to identify the areas in your service that do not meet the regulations. The <i>Guidance about compliance: Essential standards of quality and safety</i> describes what compliance with the regulations looks like and you should use the guidance to help you assess:</p> <ul style="list-style-type: none"> <li>• How and why you are not compliant; and</li> <li>• What measures you will take to become compliant with the regulations. Each action plan must have a date for completion attached to it.</li> </ul> <p>An action plan must be completed for each regulated activity where non-compliance has been declared. A comprehensive action plan must be provided so that assessors and inspectors are able to fully understand what you are doing to become compliant with those regulations within a specified period of time. The action plan is a critical element to ensuring that the correct conditions are imposed and that subsequent reviews are carried so that you are correctly registered.</p> <p>An action plan should follow the ‘SMART’ principle:</p> <ul style="list-style-type: none"> <li>• <b>Specific</b> – does it identify the details of what the non compliance is, and what action needs to be taken? Does it explicitly say what you want to achieve, and who is going to make these changes?</li> <li>• <b>Measurable</b> – does the action plan say how you are going to ensure that improvements have been made? What measures are you going to put in place? Who will do this?</li> <li>• <b>Achievable</b> – are the measures you are going to put in place, achievable, attainable and sustainable?</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>Relevant</b> – have you described the resources needed to implement the changes? Are these in place?</li> <li>• <b>Time bound</b> – is there an appropriate date by which the improvements will have been made? How will this date impact on people who use services?</li> </ul> <p>Compliance conditions will be applied to your registration from 1 October 2010 if you do not achieve compliance by this time. We apply these when you <b>must</b> make improvements to your services in order to meet essential standards. More information on conditions can be found on our website.</p>
<p><b>Section 5: Provider application declaration</b></p>	
<p>Submitting the form</p>	<ul style="list-style-type: none"> <li>• <b>Where the service provider is a partnership or organisation</b>, the form must be submitted by an individual duly authorised to do so on behalf of the board or partnership, and the board and/or partnership must have read and understood the content of the application.</li> </ul> <p><b>This is important as the Board may need to arrange an extra meeting in order for them to discuss and ‘sign off’ the application within the required window of application.</b></p> <ul style="list-style-type: none"> <li>• <b>Where the service provider is an individual</b>, the individual applying to register must submit the form.</li> </ul> <p>In submitting the application form you are declaring that the information contained within it is true and accurate. Knowingly making a false declaration could render you liable to prosecution and lead to the refusal of the application.</p> <p>You are also asked in the final declaration to agree that the information contained in the application may be used as conditions of registration. This means that where you have listed your locations we will apply a restrictive condition that allows you to carry on the regulated activities from these locations. For more information on conditions, please see our website.</p> <p>If you do not tick this box, your Notice of Decision will show restrictive conditions that have not been agreed.</p>

Once you have submitted the form, you will be informed that the information has been passed to us for approval.

In the 'what to do next' section, it suggests that you print a copy of the form for your records.

In addition, if you are either a partnership (other than a limited liability partnership) or have a registered manager(s), you must complete those sections of the **printed** form and then return them to us at:

Care Quality Commission  
 HSCA Signatories  
 Citygate  
 Gallowgate  
 Newcastle upon Tyne  
 NE1 4PA

**As you have used the webform for your application, all the information has been submitted to us. Please DO NOT send us any print outs of the webform, except for the signatory forms for partners or registered managers if applicable to your service.**

<b>Section 6: Partnerships declaration</b>	<b><u>Only to be completed by existing partnerships (other than limited liability partnerships)</u></b>
	<ul style="list-style-type: none"> <li>• If you are a partnership completing this transitional application, you must complete the declaration and send it to us.</li> <li>• As in section 1.4, the 'first partner' will be the person we send notices, certificates and general correspondence to.</li> <li>• Your application will not be complete unless we receive section 6 from you.</li> </ul>
<b>Section 6: Registered Manager declaration</b>	<b><u>Only to be completed by existing registered managers</u></b>
	If you are a registered manager with a provider completing this transitional application, you must complete the declaration and send it to us.