

# Supporting documents: new provider registration applications

## Important

From 9 February, [care homes](#) and [supported living services](#) need to send additional documents with your applications. This change will help us review your applications more quickly.

We've also added new guidance for [home care \(domiciliary care\) applicants](#) that want to provide specialist services for autistic people and people with a learning disability.

This guidance explains which documents you must send when you apply to register as a provider with CQC. These documents help us assess your application.

## Before you start

It's important that you:

- check which documents you need to send (this depends on your circumstances).

- follow our guidance on what each document should include.

We will reject your application if you do not send all your required documents.

We will also reject your application if your documents:

- contain incorrect or out-of-date information
- do not include the information we ask for
- are not relevant to your service or regulated activities

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# Documents everyone must send

This guidance is for **new provider applicants** only.

If you are applying to be a **registered manager**, [read our manager guidance](#) instead.

## Documents we need from all provider applicants

All provider applicants must send these documents as part of your application:

- [Complaints policy](#)
- [Consent policy and procedure](#)
- [Equality, diversity and human rights policy](#)
- [Governance and quality assurance policies](#)
- [Infection prevention and control policy](#)
- [Medicines management and prescribing policy \(including transportation of patient medication\)](#)
- [Public and employer liability insurance quote or certificate](#)
- [Recruitment policy](#)
- [Safeguarding policy and procedure](#)
- [Statement of purpose](#)

You also need to send us your [financial viability statement](#), unless you are:

- a corporate provider
- an NHS trust
- a care home
- a home care (domiciliary care) agency
- a supported living service (SLS)

You may also need to send [additional documents based on the service you want to provide](#).

# Extra documents we need based on your service

## Additional documents based on your service

You may need to send extra documents if you plan to provide any of the following services:

- [Ambulance services](#)
- [Care homes](#)
- [GPs or independent consulting doctors](#)
- [Home care \(domiciliary care\) agencies](#)
- [Online primary care](#)
- [Oral health](#)
- [Supported living services](#)

If your service is not listed, you only need to send us the [core documents](#) with your application.

## Ambulance services

This information is for **ambulance services only**.

If you're planning to provide other services too, make sure you:

- send all the documents required for each service
- include relevant information for all your services in your documents.

## Documents to send with your application

You only need to send the [documents everyone must send](#) with your application.

## Documents we might ask for

Our inspectors may need extra information to assess your application.

Do **not** send these documents with your application. Keep them ready in case we request them. If you cannot provide them when asked, your application may be delayed.

- Booking policy
- GDPR/data protection arrangements
- List of risk assessments
- Medical emergency policy
- Process for self audit and/or for submission to national audits, accredited software system
- Procurement policy
- Records management policy
- Restraint policy
- Safe handling of bariatric patients' policy
- Staff training matrix
- Staffing structure

- Vehicle details
- Waste management policy

We may also request other documents if they are relevant to your application.

# Care homes

This information is for **care homes only**.

If you're planning to provide other services too (for example, home care), make sure you:

- send all the documents required for each service
- include relevant information for all your services in your documents.

## Extra documents to send with your application

**From 9 February 2026**, in addition to the [documents that everyone must send](#), you need to submit your:

- [Business continuity plan](#)
- [Business plan and forecast](#)
- [Environment risk assessment](#)
- [Evidence of legal occupancy](#)
- [Fire risk assessment](#)
- [Floor plan \(sometimes called 'layout'\)](#)

- [Gas and electrical safety certificates](#)
- [Legionella risk assessment](#)
- [Planning permissions](#)
- [Service user guides](#)
- [Staff training plan](#)

If you applied **before 9 February 2026**, you did not need to include these additional documents. But, we may request them during assessment, so make sure you have them ready.

## Specialist services for autistic people and people with a learning disability

You must also send us your:

- [Positive behaviour support policy](#)
- [Restraint policy](#)

## Documents we might ask for

Our inspectors may need extra information to assess your application.

Do **not** send these documents with your application. Keep them ready in case we request them. If you cannot provide them when asked, your application may be delayed.

- Duty of candour policy
- Freedom to speak up / Whistleblowing / Confidential reporting policy
- Initial assessment/admission policy
- List of risk assessments
- Person centred care planning policy (PCCPP)

- Reportable incidents policy
- Risk management policy
- Safety and security of premises policy
- Sample care plan
- Staffing structure and rotas

We may also request other documents if they are relevant to your application.

## Building control completion certificate

Before we assess your premises (either remotely or in person), we will need to see your building control completion certificate. If this certificate is not available when we request it, your application may be refused.

# GPs or independent consulting doctors

This information is for **GPs or independent consulting doctors only**.

If you're planning to provide other services too, make sure you:

- send all the documents required for each service
- include relevant information for all your services in your documents.

## Documents to send with your application

You only need to send the [documents everyone must send](#) with your application.

## Documents we might ask for

Our inspectors may need extra information to assess your application.

Do **not** send these documents with your application. Keep them ready in case we request them. If you cannot provide them when asked, your application may be delayed.

- Business continuity plan
- Freedom to speak up policy
- Health and safety risk assessment
- List of risk assessments
- Medical emergency policy
- Significant events policy (SAE: serious adverse event)
- Staff training matrix
- Staffing structure

We may also request other documents if they are relevant to your application.

# Home care (domiciliary care) agencies

This information is for homecare agencies (also called domiciliary care agencies) that want to register to provide **personal care only**.

You may also want to register for:

- additional [regulated activities](#) (such as [treatment of disease, disorder and injury](#))
- other [service types](#) (such as supported living)

If so, make sure you:

- send all the documents required for each service you want to provide
- include relevant information for everything you're applying for in your documents

## Extra documents to send with your application

In addition to the [documents that everyone must send](#), you need to submit your:

- [Business plan and financial forecast](#)
- [Evidence of legal occupancy](#)
- [Service user guides](#)
- [Staff training plan](#)

## Specialist services for autistic people and people with a learning disability

**From 9 February 2026**, you must also send us your:

- [Positive behaviour support policy](#)
- [Restraint policy](#)

If you applied **before 9 February 2026**, you did not need to include these additional documents. But, we may request them during assessment, so make sure you have them ready.

## Documents we might ask for

Our inspectors may need extra information to assess your application.

Do **not** send these documents with your application. Keep them ready in case we request them. If you cannot provide them when asked, your application may be delayed.

- Duty of candour policy
- Freedom to speak up / Whistleblowing / Confidential reporting policy
- List of risk assessments
- Person centred care planning policy (PCCPP)
- Reportable incidents policy
- Risk management policy
- Sample care contract
- Sample care plan
- Staffing structure and rotas

We may also request other documents if they are relevant to your application.

# Supported living services

This information is for **supported living services only**.

If you're planning to provide other services too (for example, home care), make sure you:

- send all the documents required for each service
- include relevant information for all your services in your documents.

## Extra documents to send with your application

**From 9 February 2026**, in addition to the [documents that everyone must send](#), you need to submit your:

- [Business plan and financial forecast](#)
- [Evidence of legal occupancy](#)
- [Service user guides](#)
- [Staff training plan](#)

If you applied **before 9 February 2026**, you did not need to include these additional documents. But, we may request them during assessment, so make sure you have them ready.

## Specialist services for autistic people and people with a learning disability

You must also send us your:

- [Positive behaviour support policy](#)
- [Restraint policy](#)

## Documents we might ask for

Our inspectors may need extra information to assess your application.

Do **not** send these documents with your application. Keep them ready in case we request them. If you cannot provide them when asked, your application may be delayed.

- Duty of candour policy
- Freedom to speak up / Whistleblowing / Confidential reporting policy
- List of risk assessments
- Person centred care planning policies
- Reportable incidents policy
- Risk management policy
- Sample care contract
- Sample care plan
- Staffing structure and rotas

We may also request other documents if they are relevant to your application.

## Online primary care

This information is for **online primary care services only**.

If you're planning to provide other services too, make sure you:

- send all the documents required for each service
- include relevant information for all your services in your documents.

Read our definition of an [online primary care service](#).

## Documents to send with your application

You need to send the [documents everyone must send](#) with your application.

Make sure you also complete the additional form for providers of online primary care services. You can find this on our [forms for new provider applicants page](#).

## Documents we might ask for

Our inspectors may need extra information to assess your application.

Do **not** send these documents with your application. Keep them ready in case we request them. If you cannot provide them when asked, your application may be delayed.

- Business continuity plan
- Health and safety risk assessment
- Medical emergency policy
- Medical indemnity insurance covering online services
- Freedom to speak up policy
- Patient pathway
- Records management policy
- Significant events policy (SAE: serious adverse event)
- Staff training matrix
- Staffing structure
- Training and development policy

- Whistleblowing policy

We may also request other documents if they are relevant to your application.

# Oral health services

This information is for **oral health services only**.

If you're planning to provide other services too, make sure you:

- send all the documents required for each service
- include relevant information for all your services in your documents.

## Documents to send with your application

You only need to send the [documents everyone must send](#) with your application.

## Documents we might ask for

Our inspectors may need extra information to assess your application.

Do **not** send these documents with your application. Keep them ready in case we request them. If you cannot provide them when asked, your application may be delayed.

- Business continuity plan
- Freedom to speak up policy
- Health and Safety Executive (HSE) registration (if using X-ray equipment)
- Health and safety risk assessment

- List of risk assessments
- Medical emergency policy
- Quality assurance policy
- Significant events policy (SAE: serious adverse event)
- Staff training matrix
- Staffing structure

We may also request other documents if they are relevant to your application.

# What each document must include

You need to send the right supporting documents with your application. This section explains what they must contain.

## What all documents must include

Every document must include:

- your business name
- the name of the person responsible for the policy
- the date it was created
- the date it will be reviewed

You must also make sure every document:

- is complete and relevant

- does not contain personal information about service users or members of the public
- has up to date references to legislation or guidance, with working links
- is consistent with your other policies
- is accessible to your staff, people who will use your service and their representatives

If you choose to use a third-party template, make sure it suits your service type. For example, a template for residential care will not work for home care applicants.

## Guidance on specific documents

We also provide detailed guidance on what each type of document should contain. Check which documents you need for your application, then read the guidance for each one.

- [Business continuity plan](#)
- [Business plan and financial forecast](#)
- [Complaints policy](#)
- [Consent policy and procedures](#)
- [Environment risk assessment](#)
- [Equality, diversity and human rights policy and procedures](#)
- [Evidence of legal occupancy](#)
- [Financial viability statement](#)
- [Fire risk assessment](#)
- [Floor plan \(sometimes called 'layout'\)](#)
- [Gas and electrical safety certificates](#)
- [Governance and quality assurance policies](#)

- [Infection prevention and control policy](#)
- [Legionella risk assessment](#)
- [Medicines management and prescribing policy \(including transportation of patient medication\)](#)
- [Planning permissions](#)
- [Positive behaviour support policy](#)
- [Public and employer liability insurance quote or certificate](#)
- [Recruitment policy](#)
- [Restraint policy](#)
- [Safeguarding policy and procedures](#)
- [Service user guides](#)
- [Staff training plan](#)
- [Statement of purpose](#)

# Business continuity plan

Services that need to send this document with their application:

- [Care homes](#)

Why we want to see this evidence

A business continuity plan shows how your care home will keep running during and after a disruption. This could be a pandemic, power cut, staffing shortage or natural disaster.

Without a plan, disruptions can put residents at risk and leave staff unsure what to do. We want to see that you have identified what could go wrong and have practical arrangements to keep staff and residents safe and well.

## What to include

### Purpose and scope

We want to know who will be affected by a potential disruption (for example, staff and people who use your service). If you provide more than one type of service, we want to see that you've considered how each will be affected.

### Risk assessment

We want to see that you have clearly identified potential risks to your service. These could include:

- severe weather
- flu outbreaks or pandemics
- utility failures (for example, gas, water or electricity)
- IT system failures and cyber attacks
- staffing shortages
- financial instability
- supplier failure
- building damage or evacuation needs

### Essential services

We want to see that you have identified and prioritised which services must keep running, such as giving medication, providing food and safeguarding.

## Roles and responsibilities

Your plan should contain details of which roles are responsible for which actions. This includes who will activate and manage your plan. It should also include contact details for emergency services, relevant suppliers and local authorities so your staff know who to contact in the event of a disruption.

## Communication

You should show us how you will communicate during disruptions with:

- people who use your service and their families
- staff
- your local commissioner

## Staffing

We want to see your plans for redeploying staff, using agency workers, or working remotely. We also expect to see details of how you will train any emergency staff.

## Evacuation and relocation plans

We want to see that you have contingency plans in place, including safe evacuation routes and agreements with other care providers or local authorities for relocation where necessary.

## IT and data

You need to show:

- you have backup systems, data recovery plans and cybersecurity measures in place
- you have plans to restore normal service if there is disruption

## Testing and reviews

Your plan should state:

- how often you will review it
- how you will test your plans to make sure they are effective
- how you will learn from any incidents that occur

## Related regulations

- [Regulation 12: Safe care and treatment](#)
- [Regulation 15: Premises and equipment](#)
- [Regulation 17: Good governance](#)
- [Regulation 18: Staffing](#)
- [Regulation 20: Duty of candour](#)

# Business plan and financial forecast

Services that need to send this document with their application:

- [Care homes](#)
- [Home care \(domiciliary care\) agencies](#)
- [Supported living services \(SLS\)](#)

## Why we want to see this evidence

Your business plan helps us check that your service will be financially stable and well-managed.

## What to include

Your business plan should show us how you'll meet the needs of the people who use your service.

You must include:

- a summary of your plan
- background information about your company
- details of your service
- market research
- who is responsible for each task
- your company structure
- financial forecasts

If your plan does not include enough detail your application may not be successful.

## Summary of your plan

Tell us about your company's background and experience with this type of service. Explain how this experience is relevant for providing personal care in people's own homes. You should be clear about how your experience helps you meet the needs of people who will use your service.

## About your company

Explain what your company does and how it stands out from your competitors.

Tell us about your management team's relevant experience and qualifications. We also want to know:

- why your team are suitable to manage the provision of personal care.
- how your team's experience is appropriate for the people who will use your service.

Make sure this information relates to the [service user bands](#) you've selected in your application form.

## Details of your service

Describe:

- the services you will provide
- how you will provide it
- who your service is for
- why your service will succeed in the local market

Tell us how you will charge for your service. Give us details of your pricing structure. For example:

- Will you charge by the hour, 45 minutes or 30 minutes?

- How will you charge for evenings and bank holidays?
- Will you charge the same for Local Authority and private funding?
- What will you charge for double-handed calls?

## Market research

You must show us that you understand the local market and that there is demand for your service. (This information should be relevant to the service user bands you selected in your application).

Include:

- recent market research carried out in your local area
- how you did this research
- evidence of local demand for your specific service
- information about local competitors
- markets you plan to target in the future
- research that shows how you decided your pricing and staff pay
- strengths and weaknesses of your business
- potential opportunities and threats to your business

## Staff responsibilities

List all the main tasks and roles in your service, and name the person responsible for each one. Every significant task must have someone specific assigned to it.

## Company structure

Provide details of:

- your ownership structure, including investors
- your company's structure

This information must be accurate and reflect the actual structure and roles in place.

## Financial information

Provide a monthly breakdown of income and expenses for your first 12 months of business.

Include all costs and income associated with providing and managing personal care in people's homes.

Remember, your business plan should be supported by evidence and show how your service will remain financially viable.

# Complaints policy

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

A good complaints policy helps people feel confident they can raise concerns. It also helps you identify problems and improve your service.

## What to include

Your complaints policy must show how you'll handle complaints effectively. If your policy doesn't include enough detail your application may not be successful.

Your policy must explain:

- how people can make a complaint
- how you'll process complaints
- how you'll use complaints to improve your service

## How people can raise complaints

Explain:

- how someone can make a complaint about your service
- how you'll support people who want to complain
- who complaints should be sent to (we need to know their name and contact details)

## Managing complaints

Describe:

- your step-by-step approach to handling complaints
- how long each stage will take
- how you'll keep people updated throughout
- how you'll tell people about the outcome
- where you'll direct people if they're unhappy with the outcome
- how you'll cooperate with any independent review

## Learning from complaints

Tell us:

- how you'll record and review all complaints
- how you'll use feedback to improve your service
- how you'll check your complaints system is working well

## Special circumstances

Explain:

- how people can complain about the registered manager
- who will handle these complaints
- if your nominated individual and registered manager are the same person, how complaints about them will be handled fairly and by whom

## Regulations you must follow

Show how your policy complies with:

- [Regulation 16: Receiving and acting on complaints](#)
- [Regulation 20: Duty of candour](#)
- [The Accessible Information Standard](#)
- [The Equality Act 2010](#)
- [UK GDPR \(United Kingdom General Data Protection Regulation\)](#)
- [The Data Protection Act 2018](#)

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Consent policy and procedures

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

Your consent policy helps us check you understand how to get consent from people who use your service when providing care or treatment.

Your policy should show us how you'll meet the requirements of:

- [Regulation 9: Person-centred care](#)
- [Regulation 11: Need for consent](#)
- [Regulation 13: Safeguarding service users from abuse and improper treatment](#)

## What to include

### Consent processes

- how and when you'll seek consent from people who use your service
- what happens if someone withdraws or refuses their consent
- how you'll ensure informed consent
- when you might need to use advocacy services

- information about Deprivation of Liberty Safeguards (DoLS) or Community Deprivation of Liberty depending on your service type

## Legal representatives for people who use your services

Tell us how and when you'll involve Powers of Attorney and legally appointed deputies

## Mental Capacity Act 2005

You must also clearly explain:

- how you'll meet your responsibilities under the [Mental Capacity Act 2005](#)
- how you'll apply the five principles of the Mental Capacity Act
- how you'll assess mental capacity, including who will do this, when and why

## Additional legal requirements

Tell us how your consent policy complies with:

- [The Accessible Information Standard](#)
- [The Equality Act 2010](#)
- [The UK General Data Protection Regulation \(GDPR\)](#)
- [The Data Protection Act 2018](#)

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Environment risk assessment

Services that need to send this document with their application:

- [Care homes](#)

## Why we want to see this evidence

An environment risk assessment shows us how you identify, evaluate and manage risks in the physical environment of your care home.

The purpose is to keep residents, staff and visitors safe, while meeting your legal responsibilities.

## What to include

Think about the risks that apply to your service. Not all of these will be relevant, but you should show you have considered them.

### General environmental hazards

Your document must show that you have identified, evaluated and put steps in place to manage any risks related to:

- potential causes of slips, trips and falls (for example, wet floors, uneven surfaces, poor lighting)
- obstructions in corridors or communal areas
- furniture placement and stability
- flooring condition and suitability

## Outdoor areas

Your document must show that you have identified, evaluated and put steps in place to manage any risks related to:

- pathways and garden safety
- lighting and handrails
- weather-related risks (for example, ice or flooding)

## Equipment safety

You must show you have:

- carried out portable appliance testing (PAT) of electrical items
- policies in place for the safe use and storage of medical and mobility equipment

## Risks specific to people who use your service

Your document must show that you have identified, evaluated and put steps in place to manage any risks related to:

- falls from beds, chairs or wheelchairs
- scalding from hot water or drinks
- entrapment risks (for example, bedrails)
- access to potentially hazardous areas (for example, kitchens or cleaning cupboards)

## Risks specific to staff

Your document must show that you have identified, evaluated and put steps in place to manage any risks related to:

- manual handling and lifting
- lone working
- stress and mental wellbeing
- training requirements

## Emergency preparedness

- details of evacuation procedures
- details of first aid provision and incident reporting

## Provide links to related documents

Make sure people can access other relevant documents from this risk assessment. For example, provide links to your:

- [business continuity plan](#)
- [gas and electrical safety certificates](#)
- [fire risk assessment](#)
- [infection prevention and control policy](#)
- [legionella risk assessment](#)

Make sure the information you provide is consistent across all of your documents.

## Related regulations and guidance

- [Regulation 12: Safe care and treatment](#)
- [Regulation 15: Premises and equipment](#)
- [Regulation 17: Good governance](#)
- [Regulation 18: Staffing](#)

# Equality, diversity and human rights policy and procedures

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

Your equality, diversity and human rights policy helps us check you can meet your legal obligations and provide inclusive care that respects people's rights.

## All providers should include

### Reasonable adjustments

In your policy you should clearly explain

- how you will make reasonable adjustments so that people with a disability can access and use services on an equal basis to others
- how your technology (including telephone systems and digital services) will be easy to use.

### Understanding and respecting people's needs

We want to know how your staff will understand and respect the personal, cultural, social and religious needs of people who use your service, this includes:

- how these needs may relate to their care needs

- how staff will take these needs into account when delivering services

## Information sharing and management

Tell us:

- how and when you might share information about someone who uses your service with other services or providers
- how you will record information about people who use your service.

## Addressing unacceptable behaviour

We want to see details of how you will address bullying and harassment

## Legal requirements

You should show us how you will meet the requirements of the:

- [The Accessible Information Standard](#)
- [The Equality Act 2010](#)
- [Human Rights Act 1998](#)
- [The UK General Data Protection Regulation \(GDPR\)](#)
- [The Data Protection Act 2018](#)

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Statement of purpose

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

A Statement of Purpose is a legally required document that includes information about you and the care services you provide.

- Your policy must show how you'll meet the requirements of [Schedule 3 of the Care Quality Commission \(Registration\) Regulations 2009 \(as amended 2012\)](#).

## What to include

- Your aims and objectives - these are your aims and objectives in providing the regulated activities at the locations you operate.

## Places where you provide services

Each of your locations should include:

- the address and other contact details
- a description of your location, including any other uses for the property (e.g. is it a domestic dwelling?)
- the type of service you provide at or from the location
- the different needs of people who use your service - your service user bands
- the activities we regulate that you provide at the location

- the registered manager who manages those activities at the location

## Details of your registered managers

Each of your registered managers should include:

- their full name and contact details
- the address we should use to serve notices and other documents to them
- the locations they manage and the percentage of time they spend at each
- the activities we regulate that they manage
- details of any job share arrangements

Find [more information and help with creating a statement of purpose](#).

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your statement of purpose.

# Financial viability statement

Services that need to send this document with their application:

- [All services](#)

Unless you are:

- a [corporate provider](#)
- an NHS trust
- a [care home](#)
- a [home care \(domiciliary care\) agency](#)
- a [supported living service \(SLS\)](#)

## Why we want to see this evidence

This confirms you have the finances to provide your service and keep it running, as set out in your statement of purpose.

## What to include

Your financial viability statement must include:

- name of your business
- your main business address, including contact details
- name, position and signature of applicant.

You must also include details about your financial specialist (such as your accountant). We need to know:

- name of organisation
- professional accreditation body and registration number
- main business address including contact details
- their name, position and signature.

Your statement must be signed by a:

- professionally qualified accountancy company (registered with a recognised supervisory or qualifying body), or
- bank or financial services firm regulated by the Financial Conduct Authority (FCA).
- It must not be signed by a friend or relative.

Your financial specialist may need to see your business plan to help them confirm your business is financially viable.

They must state whether, in their opinion, you are or are not financially viable and any concerns.

We may contact them if we need further information.

## Download the financial viability template

Use the financial viability statement template we've attached to this page. It uses the 2018 version of the Data Protection Act.

Do not use an older version of the form that mentions the Data Protection Act from 1998. Those forms are out-of-date and should not be used anymore.

Financial viability template

[Statement of financial viability: letter template](#)

**File title**

Statement of financial viability: letter template

**Keywords**

[financial](#)

[viability](#)

[template](#)

[letter](#)

**Audience**

[Organisations we regulate](#)

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Care Quality Commission

**Teaser**

Use this template to send a specialist a request for a statement of your financial viability.

**Publisher**

Care Quality Commission

**Legacy file\_id**

2860148

# Staff training plan

Services that need to send this document with their application:

- [Care homes](#)
- [Home care \(domiciliary care\) agencies](#)
- [Supported living services \(SLS\)](#)

## Why we want to see this evidence

We need to be sure that you have identified the training your staff will need in order to provide safe, effective, and person-centred care in line with the aims and objectives you've told us about in your [Statement of purpose](#).

## Regulations you must follow

Your training plan should identify how you will meet the Care Certificate standards and should be aligned with statutory and regulatory requirements -

- [Regulation 18: Staffing](#)
- [Related guidance](#)

Your training plan should reflect the service user bands identified within your application form and Statement of purpose. For example, if you will be supporting people living with dementia, sensory impairments or mental health, your training plan must include appropriate specialist training for each.

If you are planning to be a specialist service, you must make sure you have a training plan that reflects how you will meet all the needs of autistic people and people with a learning disabilities. For example, you must make sure all staff are trained to an appropriate level in order to communicate and work with autistic people and people with a learning disability.

You may wish to look at the [Skills for care website](#) for information and advice about training and development options.

## What to include

This document must include the following items. If it does not your application may not be successful.

### Induction and mandatory training

Explain what your induction process includes and what training new staff will receive. Also, describe the mandatory training and how it meets your business needs.

### Role-specific training

Describe the training each type of job role will get, including managers.

### Specialist training

Let us know about any specialist training your staff will receive.

### Training providers

Tell us the name of the training provider you plan to use for each topic.

## Refresher training

Say how often refresher training will happen for each topic, if applicable.

## Support for overseas workers

Explain any extra support such as a longer induction or language support if needed.

# Service user guides

Services that need to send this document with their application:

- [Care homes](#)
- [Home care \(domiciliary care\) agencies](#)
- [Supported living services \(SLS\)](#)

## Why we want to see this evidence

A good service user guide helps people understand what they can expect from your service. It helps them to make informed decisions and tells them how they can raise any concerns.

## What to include

You must send us copies of any service user guides you have in place. If your guides do not include enough detail your application may not be successful.

Your user guide must be:

- specific to your business, and the services you want to provide
- suitable for people that will use your service.

Your service user guides should reflect the [service user bands](#) you told us about in your [application form](#) and [Statement of purpose](#).

## About your service

Your guide must clearly explain:

- what services you provide
- what services you do not or cannot offer
- how you decide if you can meet someone's needs.

## Practical information

Explain how you:

- charge for your services
- monitor calls and make sure they happen on time
- handle complaints
- deal with safeguarding concerns
- set the contractual terms for your services.

Your guide must also include your contact details.

## Specialist services for autistic people and people with a learning disability

Make your sure your service user guides are accessible. Provide formats that work for everyone. This includes people with varying levels of literacy, people who don't speak English as their first language, and people with a sensory or cognitive impairment.

An accessible guide should:

- use plain language
- follow a logical structure
- include visual aids where helpful
- highlight key information clearly
- use consistent formatting throughout

This is especially important in care settings. People who use your service, their families and your staff need clear information to understand their rights, responsibilities and what to expect from your service.

## Related regulations

- [Regulation 9: Person-centred care](#)
- [Regulation 10: Dignity and respect](#)
- [Regulation 11: Need for consent](#)
- [Regulation 17: Good governance](#)

# Safeguarding policy and procedures

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

Your safeguarding policy must provide guidance about how people can raise concerns about abuse.

- Your policy must show how you'll meet the requirements of [Regulation 13: Safeguarding service users from abuse and improper treatment](#).

## What to include

### Understanding abuse

- Information about the different types of abuse and what constitutes abuse and signs to look for that may indicate abuse is taking place
- The process for reporting and raising safeguarding concerns
- Your approach to restraint, and how to recognise it.

### Preventing abuse

- How you will actively take steps to prevent abuse and specific preventative measures you will take to safeguard people who use your services.

### Reporting abuse

- The name and role of your safeguarding lead, including their contact details including emergency and out of hours contacts

- A clear process or flow chart to quickly find the correct reporting procedure and appropriate contact details. This should be suitable for all levels of the organisation.
- The reporting process with relevant contact details for raising allegations of abuse against the management in the service, with details of how the investigation will be impartial, and include any other parties you may need to involve when reporting an allegation of abuse.
- What will happen once a concern has been reported
- How you will consider people who use your service providing consent during a safeguarding allegation and subsequent investigation.

## Local Authority support

- Information about your Local Authority Safeguarding Team and how they can be contacted (this team must be in the same geographic region you are providing services in)

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Restraint policy

Services that need to send this document with their application:

- Specialist services for autistic people and people with a learning disability

## Why we want to see this evidence

A restraint policy shows how and when restraint may be used in your service. It must be lawful, ethical, and in the best interests of the person.

Restraint should only ever be used as a last resort. Your policy must show a commitment to least restrictive practice. It must also clearly show that you respect the rights, dignity, and safety of people who use your service.

We check this against several regulations under the Health and Social Care Act 2008. See the related regulations section for details.

## What to include

Provide a copy of your restraint policy. This should include:

### Introduction and policy statement

- the purpose of your policy
- your commitment to least restrictive practice and human rights

### Definitions

Include definitions of:

- different types of restraint: physical, mechanical, chemical and environmental
- the difference between restraint and restriction

### Legal and ethical framework

We want to see clear evidence:

- that restraint is used as a last resort only

- you have understood your legal requirements in terms of proportionality, necessity and least restrictive means

## Roles and responsibilities

We want to know

- who can authorise and apply restraint (we do not need to see names of individuals, we only want to know which roles in your service can do so)
- responsibilities of staff, managers and safeguarding leads

## Assessment and decision-making

Include how:

- you use risk assessments and behaviour support plans
- you make consent and best interest decisions under the Mental Capacity Act 2005

## Implementing restraint

Explain how you use:

- approved techniques and equipment
- monitoring during restraint, including physical wellbeing
- time limits and reviews

## After restraint

We want to know about:

- debriefing for staff and the person involved
- incident reporting and analysis
- how you update care plans

## Training

We want to see evidence that your staff do:

- mandatory training in de-escalation and safe restraint techniques
- ongoing supervision and refresher training

## Monitoring and governance

Show us:

- how you audit and review restraint incidents
- details of your internal incident reporting systems
- how and what you report to senior leadership and external bodies such as CQC

## Equality and human rights

We want to see

- consideration of cultural, disability and communication needs
- use of equality impact assessments

## Related regulations and guidance

- [Regulation 9: Person-centred care](#)
- [Regulation 10: Dignity and respect](#)
- [Regulation 11: Need for consent](#)
- [Regulation 12: Safe care and treatment](#)
- [Regulation 13: Safeguarding service users from abuse and improper treatment](#)
- [Regulation 17: Good governance](#)
- [Regulation 18: Staffing](#)

- [Human Rights Act 1998](#)
- [Mental Capacity Act 2005](#)
- [Social Care Institute for Excellence \(SCIE\): Deprivation of Liberty Safeguards \(DoLS\)](#)
- [Department of health and social care: Positive and Proactive Care: reducing the need for restrictive interventions](#)

## National guidance promoting reduction of restrictive practices

- [NICE Guideline NG10: Violence and aggression: short-term management in mental health, health and community settings](#)
- [NICE Guideline NG11: Challenging behaviour and learning disabilities: prevention and interventions for people with learning disabilities whose behaviour challenges](#)
- [GOV.UK: Reducing the Need for Restraint and Restrictive Intervention \(2019\)](#)

# Recruitment policy and procedures

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

Your recruitment policy must show that you have appropriate procedures in place for hiring staff. It should detail your organisation's approach to recruitment, making sure that processes are fair, inclusive and in line with your legal obligations.

- Your policy must show how you'll meet the requirements of [regulation 19: Fit and proper persons employed](#).

## All providers should include

Your Recruitment policy should show:

- how you make sure recruitment is fair and complies with legislation
- the stages of your recruitment process (for example, advert, application, shortlisting, interview, checking identity, taking up references, DBS check, offering post)
- your approach to recruiting volunteers and apprentices (if this applies to your service)
- your recruitment complaints procedure
- details about what you check at each stage of the recruitment process
- information about your approach to sponsoring overseas workers, including what checks you will perform
- what references you require for new employees
- how you check previous employment history, particularly if the applicant has worked in health or social care or with children or vulnerable adults
- how you verify why previous employment ended
- your policy for employing overseas workers - if this is in a separate document, please provide this alongside your main recruitment policy.

Your policy should also show how you will comply with:

- [The Equality Act 2010](#)
- [The UK GDPR](#)
- [The Data Protection Act 2018](#)

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Public and employer liability insurance quote or certificate

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

All providers must have insurance and suitable indemnity arrangements. These must cover potential liabilities arising from death, injury, or other causes, loss or damage to property, and other financial risks.

## All provider applicants aside from home care (domiciliary care) and supported living services should include

You can only submit one document. If the service you are applying for requires both Public and Employee liability insurance, complete the CQC Liability Insurance Supporting Information form with your insurance details and we will ask for evidence of your certificate or quote at your assessment. Your quote must be within its expiry date when you submit your application.

You must submit **one** of the following which should be **specific to the service applying for registration**:

- Public Liability Insurance Certificate of insurance, or Quote, where your service has no employees.
- Public and Employer Liability Insurance Certificate of insurance, or Quote when both are covered by one document.
- CQC liability insurance supporting information form (complete all sections of this form when you have separate documents for Public and Employer Liability insurance or to explain why you currently have no insurance arrangements place)

Download the liability insurance supporting information form

Insurance supporting information form

[Liability\\_insurance\\_supporting\\_information\\_form.docx](#)

## Home care (domiciliary care) agencies and supported living services applicants

### What to include

You may send copies of insurance policies, insurance quotations or letters of intent from insurance providers as evidence of your insurance and indemnity arrangements.

Any quotes must be within their expiry date when you submit your application.

You must send one of the following which should be specific to your service. If you do not, your application may be unsuccessful.

- Public Liability Insurance Certificate of insurance, or quote, where your service has no employees.
- Public and Employer Liability Insurance Certificate of insurance, or quote when both are covered by one document.

# Positive behaviour support policy

Services that need to send this document with their application:

- Specialist services for autistic people and people with a learning disability

## Why we want to see this evidence

A positive behaviour support (PBS) policy shows how you support people who may display distressed behaviours. This includes autistic people and people with a learning disability.

We want to see that you use a proactive, person-centred approach, not reactive or punitive measures.

## What to include

### Purpose and scope

Explain:

- the aim of your PBS approach, such as improving quality of life and reducing restrictive practices
- who the policy applies to, including staff and people who use your service

### Principles

Show how you:

- promote dignity, respect, and person-centred care
- focus on proactive strategies rather than reactive or punitive measures
- understand behaviour as a form of communication

## Assessment and planning

Describe:

- how you carry out functional behaviour assessments
- how you develop individual PBS plans
- how often you review and update plans

## Staff training and support

Describe:

- what mandatory PBS training staff receive
- how you provide ongoing supervision and reflective practice

## Monitoring and evaluation

Explain:

- how you collect data on behaviours and interventions
- how you use evidence to refine support strategies

## Restrictive practices

- Set out clear guidelines for when and how restrictive interventions may be used.
- Show us your commitment to reducing and eliminating restrictive practices

## Safeguarding and risk management

Describe how you identify and manage risks. Make sure you link to your:

- [safeguarding policy and procedures](#)
- [complaints policy](#)

Remember, your documents should be consistent and not contradict each other.

## Equality and inclusion

Show how you consider:

- people's cultural and linguistic needs
- the needs of disabled people

We also want to see how you use equality impact assessments.

## Related regulations and best practice

- [Regulation 9: Person-centred care](#)
- [Regulation 10: Dignity and respect](#)
- [Regulation 11: Need for consent](#)
- [Regulation 12: Safe care and treatment](#)
- [Regulation 17: Good governance](#)
- [Regulation 18: Staffing](#)
- [Mental Capacity Act 2005](#)
- [NICE guideline NG11: Challenging behaviour and learning disabilities: prevention and interventions for people with learning disabilities whose behaviour challenges](#)

# Planning permissions

Services that need to send this document with their application:

- [Care homes](#)

## Why we want to see this evidence

Planning permission confirms your premises are legally authorised for use as a care home. It helps us check the building is suitable and safe for delivering regulated care.

## What to include

Provide a copy of the current planning permission for your premises. This should show:

- the address of your premises
- the use class (such as C2 for residential care)
- any conditions or restrictions that apply

## If you do not have planning permission documents

We still need to see confirmation from the local authority of change of use has been authorised, or that change of use is not required.

## Related regulations

- [Regulation 15: Premises and equipment](#)

# Medicines management and prescribing policy (including transportation of patient medication)

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

Your medicines policy needs to demonstrate that there are appropriate procedures for the safe and effective management of medicines and associated equipment. It must relate to the type of service you provide.

Your policy must show how you'll meet the requirements of:

- [Regulation 12: Safe care and treatment](#)
- [Regulation 13: Safeguarding service users from abuse and improper treatment](#)

## What to include

- How you will assess service users' medication needs
- How you will obtain consent and support those who lack capacity
- The different levels of medication assistance you offer

- Your approach to covert medication administration, PRN (as required) medication, controlled drugs, sharps, and gases
- Information about delegated healthcare tasks (if you provide these)
- How you will manage medicines safely, including medication administration, storage, and handling medication errors and omissions
- How you will administer medicines appropriately to make sure people are safe
- How you will keep enough supplies of medicines (if applicable)
- Procedures for medicine refusals and safe disposal methods
- How you will train staff responsible for administering medications and explain how their competence is assessed and monitored
- How you will make sure staff know who to contact about medication concerns
- How you will set up governance arrangements for medicines administration records to make sure they are accurate and up-to-date
- Details about record keeping and onward reporting of issues
- How you will reflect relevant guidance from the [National Institute for Health and Care Excellence \(NICE\)](#)

## Home care (domiciliary care) agencies

You must also include:

- how you will agree with service users about medicine storage in their homes
- your approach to STOMP (Stopping over-medication of people with a learning disability and autistic people) and STAMP (supporting treatment and appropriate medication in paediatrics) where applicable

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Legionella risk assessment

Services that need to send this document with their application:

- [Care homes](#)

## Why we want to see this evidence

A Legionella risk assessment is a legal requirement. It shows you have identified and are managing the risk of legionella bacteria in your water systems.

Legionella can cause Legionnaires' disease, a serious form of pneumonia. It is particularly dangerous for elderly people and those with weakened immune systems.

We assess this under Regulation 12: Safe care and treatment and Regulation 15: Premises and equipment.

## What to include

Provide a copy of your current Legionella risk assessment, this should cover:

### Water system identification

We want to see mapping of your:

- hot and cold water systems

- showers, taps and sinks
- water tanks and cylinders
- thermostatic mixing valves
- appliances using water, such as washing machines and dishwashers

## Identification of risk factors

You should identify any issues with:

- areas of stagnant water or low usage
- inadequate water temperatures
- corroded or scaled pipes
- dead legs or redundant pipework

## Inspection and testing

We want to see evidence of:

- temperature checks at outlets
- water sampling, if required
- visual inspection of tanks and pipework
- showerhead and tap descaling schedules

## Control measures

Tell us about your:

- regular flushing of infrequently used outlets
- temperature control and monitoring
- cleaning and disinfecting of showerheads and taps

- maintenance of water tanks and pipework
- use of approved fittings

## Record keeping

Include your:

- risk assessment report
- maintenance logs
- temperature monitoring records
- cleaning and disinfection schedules
- action plans for any remedial work

## Review schedule

We expect to see that you carry out an annual review, or sooner if:

- there are changes to the water system
- new residents move in
- building alterations occur
- a case of Legionnaires' disease is suspected

## Staff training

We want to see evidence that staff are:

- trained to recognise risks
- able to carry out basic checks
- know how to report issues promptly

## Related regulations

- [Regulation 12: Safe care and treatment](#)
- [Regulation 15: Premises and equipment](#)
- [Regulation 17: Good governance](#)

# Infection prevention and control policy

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

Your infection prevention and control policy helps us check you can effectively manage infection risks and meet your legal obligations.

Your policy must show how you'll meet the requirements of:

- the [Health and Social Care Act 2008: code of practice on the prevention and control of infections](#)
- your approach to meeting [Regulation 12: Safe care and treatment](#)

## What to include

### Risk assessment and monitoring

Your policy must clearly explain:

- how you identify and assess infection risks
- how you monitor your infection control measures
- the systems you have in place to manage and prevent infection

## Prevention and control measures

- your approach to hand hygiene
- what personal protective equipment (PPE) is available for staff, as well as when and how they use it.
- how staff take precautions based on transmission risks
- your waste, cleaning and decontamination methods (for example, how you handle laundry, including staff uniforms, if this is appropriate for your service).

You should show how you've considered the specific needs of the people who use your service. You should make sure your policy is relevant to those needs.

## Staff health and vaccination

- staff vaccination requirements.
- immunisation requirements for overseas applicants (if relevant).

## Home care (domiciliary care) agencies and supported living services (SLS)

If you provide care in people's homes, your policy must also explain:

- how you assess infection risks in domestic environments
- how staff apply infection control measures in people's homes
- how you handle cleaning and waste management in home settings.

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Governance and quality assurance policies

Services that need to send this document with their application:

- [All services](#)

## Why we want to see this evidence

Your governance and quality assurance policies help us check you have effective systems in place to run a well-led service and provide good quality care.

Your policies must show how you'll meet the requirements of:

- [Regulation 17: Good governance](#)
- [UK General Data Protection Regulation \(GDPR\)](#)
- [Data Protection Act 2018](#)

## What to include

Company structure and accountability

In your policies you must tell us:

- details of how good governance will be achieved
- the responsibilities of specific leaders and staff groups in your governance processes
- how accountability works within your company

We also want to see an organisational structure chart that accurately reflects your business and roles.

## Quality and safety management

We want to know:

- the processes you'll use to assess, monitor and improve the quality and safety of your services
- details of your audits
- how you'll keep making your service better
- how you identify, manage and learn from risks

## Records management

Tell us how you'll properly maintain and store records about:

- people who use your service
- staff
- management procedures

## Feedback systems

Tell us how you will seek and act upon feedback from people using your service.

## Services for autistic people and people with a learning disability

If you plan to be a specialist service, you must show how you have considered the needs of autistic people and people with a learning disability. This includes explaining what you have done to make sure people can access and use your policy.

# Gas and electrical safety certificates

Services that need to send this document with their application:

- [Care homes](#)

## Why we want to see this evidence

We need to see that gas and electrical installations at your care home are safe for people who use your service, your staff and visitors.

## What to include

Provide copies of your current gas and electrical safety certificates. These must be:

- relevant to your service
- valid and up to date (issued within 12 months of submitting your registration application)

If your premises are run using only electricity, we do not need to see a gas safety certificate.

## Related regulations and guidance

- [Regulation 15: Premises and equipment](#)
- [BS 7671 Requirements for electrical installations: IET wiring regulations](#)
- [The Gas Safety \(Installation and Use\) Regulations 1998](#)

# Floor plan (sometimes called 'layout')

Services that need to send this document with their application:

- [Care homes](#)

## Why we want to see this evidence

A floor plan helps us check that your premises are safe, suitable and well laid out for delivering care. It shows how residents, staff and visitors will move around the building.

We will use it to assess your compliance with Regulation 15: Premises and equipment.

## What to include

Provide a clear floor plan of your care home. This should show:

## Resident areas

- bedrooms, with room numbers or identifiers
- ensuite bathrooms, if applicable
- communal lounges and dining areas
- activity rooms or quiet spaces

## Staff and operational areas

- medication storage and administration rooms
- staff offices and break rooms
- laundry and cleaning facilities
- kitchens and food storage areas

## Safety and accessibility features

- fire exits and evacuation routes
- fire extinguishers and alarms
- handrails, ramps and lifts
- accessible toilets and bathrooms

## External areas

- gardens or outdoor spaces
- parking
- waste disposal areas

## Specialist areas, if applicable

- sensory rooms
- therapy rooms

## Related regulations

[Regulation 15: Premises and equipment](#)

# Fire risk assessment

Services that need to send this document with their application:

- [Care homes](#)

## Why we want to see this evidence

A fire risk assessment shows you have identified fire hazards and have measures in place to protect people who use your service, staff and visitors. It also shows that you are meeting your legal responsibilities.

## What to include

Provide a copy of your current fire risk assessment. This should cover:

- identification of fire hazards
- people at risk
- plans to support people who use your service who need support to evacuate, this includes use of personal emergency evacuation plans (PEEPs)
- policies for smoking on the premises
- evaluation of risks and your existing fire safety measures
- fire alarm systems, extinguishers and other firefighting equipment

- fire exits and evacuation routes
- staff training
- fire drills for staff, people who use your service and visitors
- an action plan to address any concerns you have identified

## Related regulations

- [Regulation 12: Safe care and treatment](#)
- [Regulation 15: Premises and equipment](#)
- [Regulation 17: Good governance](#)

# Evidence of legal occupancy

Services that need to send this document with their application

- [Care homes](#)
- [Home care \(domiciliary care\) agencies](#)
- [Supported living services \(SLS\)](#)

## Why we want to see this evidence

We need to confirm you have legal permission to use your premises. This helps us make sure your location is suitable for the service you want to provide.

## What to include

You must provide evidence that you have legal permission to use your chosen location. If your application does not include this evidence, your application may not be successful.

The evidence you provide must:

- be valid at the time of your application
- clearly show you have legal permission to operate your service from this location
- include specific details about how the location is suitable for the type of service you plan to provide

## Types of evidence we accept

Provide one of these documents:

- a copy of your title deeds (if you own the premises)
- a tenancy agreement
- a license agreement

If you don't fully own the premises, you must also provide written permission from either your landlord or mortgage provider.

## Requirements for landlord or mortgage provider permission

The written permission must:

- clearly state that the property can be used for the type of service you plan to provide
- be signed and dated by your landlord or mortgage provider.

If the premises are owned by someone who isn't the provider or one of its directors (for example, a director's spouse or the registered manager), you must provide written permission from this person.

## We cannot accept

- virtual offices
- PO Box addresses that do not have a full physical address
- mortgage statements without specific permission to operate a business
- general business use permission that doesn't mention your specific service type

## How we assess your location

As part of our assessment of your application, we'll check that your location is suitable for your service type. We may ask you about:

- your office equipment
- accessibility
- meeting spaces
- how you'll maintain confidentiality

## Related guidance

You can [read our guidance on what a location is](#) to understand how we define locations and the rules for identifying them.

# How to send your documents to US

## Before you send your documents

Every document must include:

- your business name
- the name of the person responsible for the policy
- the date it was created
- the date it will be reviewed

You must also make sure every document:

- is complete, relevant and up to date.
- does not contain personal information about service users or members of the public
- has up to date references to legislation or guidance, with working links
- is consistent with your other policies
- is accessible to your staff, people who will use your service and their representatives
- contains links that are correct and working
- is relevant to the [service types](#) and [user bands](#) you have selected in your application form
- is unique and tailored to your business

We will reject your application if you do not send all your required documents.

We will also reject your application if your documents:

- contain incorrect or out-of-date information
- do not include the information we ask for

- are not relevant to your service or regulated activities

## How to submit your documents

You need to send your documents at the same time as the rest of your application. Visit our [forms guidance page](#) for information on how to send your application to us.

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