

A new system of registration

How to complete the webform application and declaration to register under the Health and Social Care Act 2008

Guidance for primary dental care providers, private ambulance providers and registered manager applicants

November 2010

Please note that this guidance accompanies the online webform application for primary dental care providers and private ambulance providers who are required to register for the first time under the Health and Social Care Act 2008.

There is separate guidance available if you are completing the electronic 'Word' format or the paper booklet format.

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.

This information is for providers of primary dental care services and private ambulance services that are required to register under the Health and Social Care Act 2008.

It only applies to providers who are already providing, or are intending to provide, services which are defined as regulated activities under the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 and must be registered by 1 April 2011.

It is an offence under section 10 of the Health and Social Care Act 2008 to carry out a regulated 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 can be found on our website.

Completing the provider application webform

When completing the application webform, 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 use the specific application form designed for primary dental care providers and private ambulance providers.

You must complete every field that is mandatory (marked with an asterisk*). Other fields are optional but please provide this information if you have it. We will reject an incomplete application and return it for resubmission. Further information on resubmissions can be found on our website. We are entitled to ask for more information while considering your application. We may also carry out a site visit.

Completing the registered manager application form

If you are an organisation, a partnership or an individual who is not in day-to-day charge of the service, you will also need to submit a registered manager application.

The registered manager application form is not available as a webform. Instead, please download the form from our website and email it back to us. If you are not able to do this, please call us on 03000 616161 or email us at HSCATranche3Registrations@cqc.org.uk. There is guidance on how to complete the registered manager application form at the end of this document, and we have also published it as a separate document.

Before you start the form...

While you are completing the form, it is important to remember several points:

Online help

If you are stuck at any point of the form and do not have this guidance to hand, there is a 'help' link at the top of each page. Clicking on this will open a new browser page with guidance on the section you are currently completing.

If you are unsure of what you should answer to any question, we recommend you read through the relevant pages of this document or use the online help before completing that part of the form.

Timeout

The webform will timeout if it is left inactive for too long. If this happens, you will lose any information you have entered since the last time you used one of the 'save and continue' or 'save and quit' buttons.

The amount of time you have before the form logs you out is one hour. This time is taken from the last time you used one of the save buttons – not from the last you entered any text or clicked on any other buttons.

If you wish to leave the form while you read this guide, the online help or one of our other guidance documents, we recommend that you make sure you have saved all the details you have entered.

You can use the 'save and continue' button even if the page is not complete, and then get back to the page using the 'previous' button on the following one.

Navigating the form

When you are completing the webform, you should not use your browser's 'back' button as this will result in any changes being lost.

There are 'previous' buttons at the bottom of most pages that will allow you to go backwards through the form without losing the details you have entered.

New password

The first time you log in to the form, you will be required to enter a new password and the one we sent to you will no longer work.

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

Logging in	
	<ul style="list-style-type: none"> • When you log in for the first time, you will be asked to confirm your existing password and immediately choose a new one. • As soon as you have done this, the one we sent you will no longer get you access to the form, so you should choose a new password that is memorable to you. • The password you choose must contain: <ul style="list-style-type: none"> - Eight or more alphanumeric characters. - At least one numeral. - At least one capital letter. • For example: <ul style="list-style-type: none"> - Healthcare ✘ (no numerals used) - Dent1st ✘ (too short) - Ambulanc3 ✔ • Once you are happy with the new password you have chosen, enter it in both the 'New Password' and 'Confirm Password' boxes. • Then click on the 'Update Password' button.

Form setup	<p>This first part of the form is where you define who will be completing each section of the application.</p> <p>This will involve entering details for each 'location' from which your organisation provides services and each 'delegate' you wish to assign to complete a section.</p>
	<ul style="list-style-type: none"> • A location is a specific term used in registration. Depending on the type of business you run, it may be a dental practice or an ambulance station or one of several other centres. • No premises used by the business other than for providing services we regulate will need to be detailed during your application. • A more detailed explanation of what constitutes a location is provided via the help link on the webform, or is available in our guide 'What is a location' on our website. • Once this section is complete, you will not be able to make any changes to it without contacting us to have it reset. This could delay your application, so we recommend you are familiar with the definition of a location before you move on to the next part of the form. • Once you have set your password on the first page, the first

thing you will need to do is set up the form with the locations you wish to register.

- The following page on the web form gives you the opportunity to add new locations to your application. You can also assign people within your organisation ('delegates') to complete the sections of the form relating to one, some or all of these locations.
- The first thing you need to do is to add your locations. Every application must include at least one location. Click on the Step A: Add location(s). Until you have added all your locations, you can ignore the Step B section.
- Once you have added your locations, this is where you will proceed to adding delegates.
- You do not have to add delegates as long as you are willing and able to fill in all the sections yourself.
- If you want to add delegates to complete sections of your form, you will need to click on the 'Step B: Add delegate(s)' button on the Form Setup page
- In order to set up a delegate, enter their first name, last name and email address in the boxes provided before clicking on the 'Add new delegate' button.
- Once you have clicked on this button, the delegate's details will appear in the list below. If you make a mistake, click on the 'remove' link and re-enter their name and email address.
- You can now choose to assign the delegate to fill in one, several or all the location sections in your application.
- Once you have added locations and delegates, these will appear in the 'Step C' section of the Form Setup page. Each location name will have a drop-down box in the column entitled 'Currently delegated to'.
- To choose somebody as the person responsible for completing the relevant section of the form, simply click on the down arrow next to the location and select the delegate you want.
- They will then receive an email sent to the address you provided asking them to complete the sections of the form delegated to them.
- You should not click on the 'Complete form setup' button until you are certain you have entered the correct locations for your organisation and delegated any sections you cannot complete yourself. This is important because these details define the form itself so you must not complete this section unless you are sure you are ready.

Form setup completion	Once you have finished setting up the form, you come back to the main page you saw at the beginning, except now it will have some differences that reflect the information you have entered.
	<ul style="list-style-type: none"> • You will see that the 'Form setup' link under Step 1 is no longer active. This is because you have completed this section and you cannot go back and add or remove locations and delegates. • If you realise you have made a mistake in setting up the form, you will need to contact us in order to have it reset. You should call our National Contact Centre on 03000 616161. • In the 'Step 2: Form Completion' section, you will see that there are links to the 'Provider Registration' part of the form and then the sections for each location. • If you have added delegates, you will be able to use a drop-down menu to select sections of the form to be completed by your colleagues. • You will also notice that you can print a version of each section of the form using the links in the right hand column. • Finally, you will see that the 'Submit to CQC' link at the bottom is not active. This is because the form has not been completed – this link will only become active once all the sections are finished.

Application and declaration of compliance

When you start the 'Provider Registration' section of the form, the first page you will see summarises why you need to register and what documents you might need.

At this stage of the form, you can 'Save and Quit' – this feature allows you to save your progress on the form so you can come back to it at a later point.

Note: Please remember to regularly press the save button in case you have to break off from completing the form and the form 'times out' before you have an opportunity to continue.

Type of service provider and service provider details	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.
Legal entities	<p>CQC will register the 'legal person' who is the service provider. The legal person may be one of the following: an organisation, an individual or a partnership. It is always for the provider to declare what type of provider they are and to ensure they make accurate applications for registration.</p> <p>Individual: If you are a sole trader, you should register as an individual. You should also select this type of entity if you are not in a legal partnership or an organisation but you allow other professionals to assess or treat patients as part of your service. For the purposes of registration, these colleagues will be treated as employees of the provider.</p> <p>Partnership: To register as a legal partnership, you must have a formal partnership agreement in place, which includes agreement to share both liabilities and profits: this is a key way of differentiating a legal partnership from just having informal arrangements, for example to share expenses. Please note that for legal reasons, limited liability partnerships (LLPs) should register as an organisation, not as a partnership.</p> <p>If you are a provider that allows other professionals to assess or treat patients as part of your service, for example 'associates' in a dental practice, they will be treated as employees of the provider for the purposes of registration and you should, in most cases, register as an individual. More details on the associate model can be found below.</p> <p>This is because the regulations define 'employment' as including that under a contract of service, an apprenticeship, a contract for services or otherwise than under a contract, or the grant of practising privileges.</p>

	<p>(Please note that if you operate in this way, you must have arrangements in place that meet the requirements set out in Outcome 12 of the essential standards: “Requirements relating to workers”.)</p> <p>Organisation: If you are a registered company or charity, a limited liability partnership (LLP) or other corporate body of persons, you should select this option.</p> <p>Dentist associate model Where a dentist allows other dental care professionals to see patients as part of their practice, for the purposes of registration these people will be treated as their employees.</p> <p>This is permitted under the regulations even though no formal contract of employment will be in place. The provider must then ensure they make arrangements for granting the associate dentists (i.e. their informal partners) permission to see patients as part of the practice.</p>
Regulated activities	<p>Once you have specified the type of business you are registering, you will need to select the regulated activities you will be carrying on.</p> <p>These are specific activities within health or social care, which providers must be registered with us to carry on. Details can be found in Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 (beginning on page 246 of the <i>Essential standards</i> document) and further explanation can be found in the document ‘The scope of registration’ which is published on our website.</p> <p>For primary dental care providers, these regulated activities will normally (but not always) be one or all of the following:</p> <ul style="list-style-type: none"> • Treatment of disease, disorder and injury. • Surgical procedures. • Diagnostic procedures. <p>For private ambulance providers, these regulated activities will normally (but not always) be one or all of the following:</p> <ul style="list-style-type: none"> • Transport services, triage and medical advice provided remotely (this will cover transport services related to persons who require treatment). • Treatment of disease, disorder and injury (this will cover those services in which treatment by a healthcare professional is undertaken). <p>Please consider all regulated activities carefully. In the past,</p>

	<p>some providers have made the mistake of selecting activities that do not apply to their service type. This resulted in their applications having to be resubmitted.</p>
Service provider details	<ul style="list-style-type: none"> • The fields on this page will have been pre-populated with the information we hold about you, so you may not need to fill any in or make any changes. • If you wish to edit the information, however, you should first click on the check box at the bottom. • 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.)
Details of the nominated individual	<p>This section will only appear if you are an organisation applying for registration.</p> <ul style="list-style-type: none"> • 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. • You may 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. • You may only have a maximum of one nominated individual for each regulated activity you register for. • The address of the nominated individual is their business address and contact telephone number. • Service providers who are individuals or partnerships (other than a limited liability partnership) do not appoint a nominated individual. • Please ensure that the name you apply for your CRB disclosure matches exactly your application details. This includes all former names and middle names.
Organisation information	<p>This section will only appear if you are an organisation applying for registration.</p> <ul style="list-style-type: none"> • Each organisation/company has a Registered Company number allocated to it when registering with Companies House. Please provide this number.

	<ul style="list-style-type: none"> • If you a registered charity, the Charity Commission will allocate you a Registered Charity number. Please provide this number. • If you are both a registered company and a charity, please provide both numbers. • 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.
<p>Individuals applying for registration</p>	<p>This section will only appear if you are an individual applying for registration.</p> <ul style="list-style-type: none"> • 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. • Please ensure that the name you apply for your CRB disclosure matches exactly your application details. This includes all former names and middle names.
<p>Partnerships (other than limited liability partnerships) applying for registration</p>	<p>Only complete this section if you are a partnership applying for registration.</p> <ul style="list-style-type: none"> • 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. • 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.) • 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. • Please ensure that the name you apply for your CRB disclosure matches exactly your application details. This includes all former names and middle names. <p>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'.</p>

Other information	This section must be completed by all providers applying to register.
Invoice and financial contact details	<ul style="list-style-type: none"> • There are no fees to apply to register with us for providers new to the scope of registration. • However, annual fees will be payable and we need to know who and where to send invoice and finance details. We launched a consultation about fees in October 2010 and further details can be found on the CQC website. • Please provide us with contact details of the appropriate person within the organisation to contact about this.
Statement of Purpose (to be completed by all applicants)	<ul style="list-style-type: none"> • Each service provider is required by law to have a Statement of Purpose available that includes the information set out in Schedule 3 of the Care Quality Commission (Registration) Regulations 2009. 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: <ul style="list-style-type: none"> ○ Provide an overview of all of your regulated activities and locations, alongside the formal line of accountability and contact details for them. (Guidance about how we define locations is available on our website.) ○ 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. • A template and further guidance for your statement of purpose is available on our website.
Information about nominated individuals	<ul style="list-style-type: none"> • You are required by law either to supply this information (if we request it) or to have it available for us to see 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. • When we carry out a site visit, we will need to see this information. • This information must be available for: <ul style="list-style-type: none"> ○ The nominated individual(s) (for an organisation only) ○ An individual applying for registration

	<ul style="list-style-type: none"> ○ Each partner applying for registration. ● The information includes: <ul style="list-style-type: none"> ○ An enhanced Criminal Records Bureau (CRB) check (including information relevant to vulnerable children or adults) must be available, where one has been returned. ○ If you already have a PCT-countersigned enhanced CRB check, we will not ask you to produce another. You must arrange for your CRB disclosure application to be countersigned by one of our authorised signatories. You can do this using the process that is available from the Post Office. Please see our website for further information. ○ Evidence of proof of identity, which could be a copy of either a birth certificate or a passport. ○ Evidence of satisfactory conduct in relation to previous employment could be used as satisfactory references. ○ Documentary evidence of relevant qualifications, which could be certificates or other suitable evidence of relevant professional qualifications. ○ A full employment history together with satisfactory written explanation for gaps in employment (such as a curriculum vitae). ○ Information about any physical or mental health conditions that could prevent the person carrying out their responsibilities. ● If any of the above are not applicable, please tick 'Yes' on the form.
<p>Respecting and involving people who use services</p>	<ul style="list-style-type: none"> ● 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: <ul style="list-style-type: none"> ○ Use the views and experiences of people who use services, their carers and representatives to influence your service priorities and plans. ○ Use the views and experiences of people to influence how you deliver your services. ○ Increase the influence that people who use services have on both the planning and delivery of services. ● In order to answer these questions you may find it helpful to consider the following: <ul style="list-style-type: none"> ○ Question 1: How do you ensure the views and

	<p>experiences of people who use services are listened to and acted upon?</p> <p>Do you use different methods to hear from people who use your services and their carers, so that anyone can give their views? For example, written and verbal feedback and involving people in groups or discussions? Do you gather views routinely? Do you give people feedback about what you have done with their views?</p> <ul style="list-style-type: none"> ○ Question 2: How have their views and experiences influenced how you deliver the services? <p>Do you draw together what you learn from comments, complaints, surveys and other feedback and use it routinely in making decisions about service improvements? For example, can you provide any evidence of involving people who use services in decisions about new services, refurbishments or other building changes, improving the quality of the services you provide, or the information that is available to them about your treatments?</p> <ul style="list-style-type: none"> ○ Question 3: What is the provider doing to increase the influence people have on the planning or delivery of the services? <p>Have you plans for new, more effective or inclusive ways of getting feedback from people and responding to it? If you feel improvements can be made, what are they?</p>
<p>Equality, diversity and human rights</p>	<ul style="list-style-type: none"> ● When making our assessment, we are asking for information about how: <ul style="list-style-type: none"> ○ The promotion of equality, diversity and human rights influence your service priorities and plans. ○ The promotion of equality, diversity and human rights influence how you deliver services across the range of regulated activities you are applying to register. ○ You are increasing the influence of equality, diversity and human rights issues on the planning and delivery of the services. ● In order to answer these questions you may find it helpful to consider the following: <ul style="list-style-type: none"> ○ Question 1: How do you ensure people’s equality, diversity and human rights are actively promoted in your services? <p>For example, what about access to your services for disabled people? If there are restrictions to physical</p>

	<p>access, how are you mitigating this, and supporting the people who use your service or who would wish to? How do you support someone with a sensory impairment accessing your services, if assistance is required? If your practice is inaccessible to someone using a wheelchair, how do you make sure people who use services know this and how do you support them to receive care elsewhere? How do you communicate with people if English is not their first language?</p> <ul style="list-style-type: none"> ○ Question 2: How does the promotion of equality, diversity and human rights influence how you deliver services across the range of regulated activities you are applying to register? For example, do you have information available in other languages or have the means to obtain information in different languages should the need arise? What do you have in place to support someone with a learning difficulty, for example, to make informed choices about their treatment? ○ Question 3: What are you doing to increase the influence of equality, diversity and human rights issues on the planning and delivery of services? For example: How do you know the diverse needs of those who access your service? Is this included in any surveys you undertake? Do you ask for feedback from any minority groups who may access your service? Do staff you employ understand and respect the beliefs and practices of people’s faith, and understand their responsibilities under equalities legislation? If staff have had equality training, which equality characteristics did the training cover (the complete list is race, gender, disability, sexual orientation, age, religion or belief). How do you make sure people’s knowledge and skills are updated in this area? <ul style="list-style-type: none"> ● 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 be applicable.
Extra information	<ul style="list-style-type: none"> ● Use this section to provide us with any additional information relating to your application.

Regulated activities and locations	You need to tell us about all locations (and their contact details) where you wish to carry on regulated activities.
Locations	<ul style="list-style-type: none"> • 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. • A location can cover an area – but it is the 'main address' at 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. • The term location is important because 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. • If you have queries about locations, please refer to our guidance on locations, available on our website. <p>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.</p>
Regulated activities	<ul style="list-style-type: none"> • 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. • This section asks you to indicate the regulated activities you are applying to register at each location. 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>. • For primary dental care providers, these regulated activities will normally (but not always) be one or all of the following: <ul style="list-style-type: none"> ○ Treatment of disease, disorder and injury. ○ Surgical procedures.

	<ul style="list-style-type: none"> ○ Diagnostic procedures. ● For private ambulance providers, these regulated activities will normally (but not always) be one or all of the following: <ul style="list-style-type: none"> ○ Transport services, triage and medical advice provided remotely (this will cover transport services related to persons who require treatment). ○ Treatment of disease, disorder and injury (this will cover those services in which treatment by a healthcare professional is undertaken). ● Please consider all regulated activities carefully. In the past, some providers have made the mistake of selecting activities that do not apply to their service type. This resulted in their applications having to be resubmitted.
Service type	<ul style="list-style-type: none"> ● 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. ● 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 at each location. ● The service type will help you to know what prompts in the <i>Essential standards of quality and safety</i> 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. ● The service types should reflect those you identify in your Statement of Purpose.
Service user band	<ul style="list-style-type: none"> ● 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 a learning or physical disability. ● You will need to ensure that the needs you identify in your application are the same as those listed in your Statement of Purpose. ● We will not use this information to routinely restrict your registration. However it is important for us to understand who

	<p>you offer services to.</p> <ul style="list-style-type: none"> You may tick more than one box.
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Declaration of compliance	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.
	<ul style="list-style-type: none"> If, for example, you complete your application in November 2010 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 April 2011. 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. Each essential standard applies equally to each provider. However, if you believe that an essential standard is not applicable to your service please review the <i>Guidance about compliance: Essential standards of quality and safety</i> carefully. If you still believe that a standard is not applicable, you must declare non-compliance in your declaration (you cannot declare compliance for something you do not do) and explain why the standard is not applicable in the action plan template provided. In this circumstance we will not require an action plan, just an explanation of how the regulation is not applicable.
Meaning of compliant, and non-compliant	<ul style="list-style-type: none"> 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>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. 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. This declaration will not be made publicly available by CQC.
Completing the action plan	<ul style="list-style-type: none"> 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 essential standards looks like and you

	<p>should use the guidance to help you assess:</p> <ul style="list-style-type: none"> ○ How and why you are not compliant; and ○ What measures you will take to become compliant with the regulations. Each action plan must have a date for completion attached to it. <ul style="list-style-type: none"> ● 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. ● An action plan should follow 'SMART' principles: <ul style="list-style-type: none"> ○ Specific – 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? ○ Measurable – 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? ○ Achievable – are the measures you are going to put in place, achievable, attainable and sustainable? ○ Relevant – have you described the resources needed to implement the changes? Are these in place? ○ Time bound – is there an appropriate date by which the improvements will have been made? How will this date impact on people who use services? ● Compliance conditions will be applied to your registration from 1 April 2011 if you do not achieve compliance by this time. We apply these when you must make improvements to your services in order to meet essential standards. More information on conditions can be found on our website.
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Provider application declaration	
Signing the form	<ul style="list-style-type: none"> • Where the service provider is a partnership or organisation, the form must be signed by an individual duly authorised to do so on behalf of the directors or partners, and the directors or partners must have read and understood the content of the application. • Where the service provider is an individual, the individual applying to register must sign the form. • In signing the application form, you are declaring that the information contained within it is true and accurate. • If you sign the declaration despite knowing the information is not all correct, you could be prosecuted and it could lead to the refusal of the application. • 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 which states you are allowed to carry on the regulated activities from these locations only. • If you do not tick this box, the condition will still apply but your notice of decision will show the condition as one that has been imposed without your agreement. • Now that you have completed your application, you should consider what else you need to do in order to comply with the regulations. • This might include: <ul style="list-style-type: none"> ○ Checking you have the required CRB check. ○ Writing up-to-date statements of purpose. ○ Filling out registered manager applications.
Submitting the form	<ul style="list-style-type: none"> • Once you are content that the form is complete and you have signed the form, you are ready to press the submit button. Submitting the form will be submitted to CQC for processing with the information you have provided and you will be unable to make further changes to your form. If you do wish to make changes, you should contact us by email at HSCATranche3Registrations@cqc.org.uk or by phone on 03000 616161.

The registered manager application form

Registered managers	
Do I need a registered manager?	<ul style="list-style-type: none"> • Each provider must be registered. In addition, where the provider is not themselves in charge of the day-to-day running of the service, a manager must also register. The person undertaking this registered manager role is accountable for the day-to-day running of the regulated activities of the service and therefore should be an individual who has the capability and authority to do so.
Which providers are required to have a registered manager in place?	<ul style="list-style-type: none"> • Individual providers completing this application are not required to appoint a separate registered manager, except where the individual will not be in full-time day-to-day charge of carrying on the regulated activity, or is not fit to manage the carrying on of the activity. • If you are a partnership or an organisation, you are required to have a registered manager in place. If you are a partnership, the registered manager may be a partner if they are in day-to-day charge. • Every registered manager applicant must complete a registered manager application form at the same time as the provider application. • Registered managers can be registered for more than one regulated activity and for more than one location.
If a manager is applying to manage locations for two providers or multiple locations for one provider, will CQC look at this differently?	<ul style="list-style-type: none"> • Yes. We have a duty to look at the locations in question to determine whether it is possible for one person to practically be in full-time day-to-day-charge of both or all locations, across one or more providers. • Areas to be considered are: <ul style="list-style-type: none"> ○ Geographical distance between locations ○ Complexity of the needs of the people who use service ○ Supporting management arrangements ○ Time spent at each location ○ Experience and abilities of the applicant ○ Details of resources i.e. senior staff at each location ○ Details of deputising arrangements

	<ul style="list-style-type: none"> ○ Provider support mechanisms ○ Any history of poor performance at an establishment if currently registered would need to be considered ○ Managers' understanding of their legal obligation to comply with the regulations and accountability in the role. ● These criteria would be explored at the registered manager interview. We may decide that it is not acceptable to have one registered manager for more than one location, based on the criteria above.
Where can I find more information about applying to be a registered manager under the Health and Social Care Act?	<ul style="list-style-type: none"> ● You should refer to our <i>Guidance about compliance: Essential standards of quality and safety</i> to understand the requirements for a registered manager as stated in the regulations.

Completing the form

When completing the application form, you should 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 except those marked with an asterisk (*). These fields are optional but if the information requested is available, please provide it. We will reject an incomplete application and return it for resubmission. Further information on resubmissions can be found on our website. We are entitled to ask for more information while considering your application. **Each applicant will be contacted for an interview, which will be conducted over the phone or face-to-face.** Interviews will be held before the Notice of Decision is issued.

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

Completing the registered manager application	
Details about the applicant	<ul style="list-style-type: none"> ● Where two or more managers are equally accountable for managing the service, they will both have to complete an application form and provide all the necessary documentation.

	<ul style="list-style-type: none"> • A registered manager may hold this role across more than one provider, so if the applicant is already a registered manager for another provider, details for that provider should be entered here. The provider and location ID numbers can be found on the provider’s certificate of registration.
<p>Regulated activities</p>	<ul style="list-style-type: none"> • These are specific activities within health or social care, for which providers must be registered with us to carry on. The registered manager application cannot include any regulated activities that the provider has not applied to be registered for. If additional regulated activities are added, and do not match with the provider’s application, the registered manager application will be rejected. • Details of each regulated activity can be found in Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 (beginning on page 246 of the <i>Guidance about compliance: Essential standards of quality and safety</i>) and further explanation can be found in the document <i>Scope of registration</i> available on our website. <p>For primary dental care providers, these regulated activities will normally (but not always) be one or all of the following:</p> <ul style="list-style-type: none"> • Treatment of disease, disorder and injury • Surgical procedures • Diagnostic procedures. <p>For private ambulance providers, these regulated activities will normally (but not always) be one or all of the following:</p> <ul style="list-style-type: none"> • Transport services, triage and medical advice provided remotely (this will cover transport services related to persons who require treatment) • Treatment of disease, disorder and injury (this will cover those services in which treatment by a healthcare professional is undertaken).
<p>Personal background</p>	<ul style="list-style-type: none"> • You need to apply for an enhanced CRB disclosure from the Care Quality Commission before you submit your application, which we will countersign. If you are a partner in a partnership (i.e. are also the provider) and already have a PCT-countersigned enhanced CRB check, we will not ask you to produce another. If you are not the provider, then we require a CQC countersigned enhanced CRB check. • When applying for registration and after registration has been agreed, a registered manager must have the information and documents specified in Schedule 3 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2010

	<p>available should we ask for them.</p> <ul style="list-style-type: none"> • We will only ask for some of the documentation to support the application. However we may ask for further information if we have any reasons to question the validity of the application. We will ask to see proof of identity when the registered manager applicant is interviewed and retain a copy for our records.
Previous involvement in registered establishments or agencies	<ul style="list-style-type: none"> • If you ticked 'yes' to any of the boxes in this section, please provide details including dates registered, provider, reason for leaving and management or job responsibilities undertaken.
Previous involvement in the management of a relevant service	<ul style="list-style-type: none"> • If you answered 'yes' to this section, please provide details including dates registered, provider, reason for leaving and management or job responsibilities undertaken.
Refusal or cancellation of a relevant service	<ul style="list-style-type: none"> • Please tick 'yes' if you have ever had an application to register under the Health and Social Care Act 2008 refused, or have you had an existing registration cancelled. Please provide details here regarding why the cancellation or refusal was made.
Skills and competence to manage the regulated activities you are applying to be registered for.	<ul style="list-style-type: none"> • When completing this section, you may wish to include the following: <ul style="list-style-type: none"> ○ Current job role within the service ○ What the manager will do to check that the practice continues to meet the essential standards ○ How they ensure that the practice provides a safe service for children and vulnerable people. • The assessor may ask specific questions about this section in the registered manager interview.
Managing more than one location	<ul style="list-style-type: none"> • If you are intending to manage more than one location, you will need to outline: <ul style="list-style-type: none"> ○ Supporting management arrangements ○ Time spent at each location by the applicant ○ Details of resources i.e. senior staff at each location ○ Details of deputising arrangements. • These areas should also be considered for the subsequent section considering how a job share can be managed.

<p>Declaration</p>	<ul style="list-style-type: none"> • By signing the declaration form, you are confirming that: <ul style="list-style-type: none"> ○ The information contained within the application is accurate and correct (completed by the provider) for the location for which you are the registered manager. You may be registered for more than one location. Please ensure this is on your declaration form. ○ Where you are in a job share position, please ensure that both registered managers complete separate application forms identifying the locations this is applicable to. ○ The information in the application is true and accurate. ○ You understand that to knowingly make a false declaration could lead to refusal of the application. ○ You agree to comply with the Health and Social Care Act 2008 and associated regulations. ○ You understand that non-compliance with the relevant legislation could lead to compliance conditions being applied to your registration or the refusal of the application.
<p>Submitting the registered manager application form</p>	<ul style="list-style-type: none"> • Please email the Word document back to us at: HSCATranche3Registrations@cqc.org.uk • If you have completed a paper version of the form, please return it by post to: <p style="margin-left: 20px;">CQC HSCA Dentists and Private ambulances Citygate Gallowgate Newcastle upon Tyne NE1 4PA</p>
<p>What will happen next?</p>	<ul style="list-style-type: none"> • We will interview all applicants to assess their fitness to manage the regulated activities they have applied for. We will contact you to arrange a convenient time for the interview. • The interview can be by telephone or face-to-face and will include questions about: <ul style="list-style-type: none"> ○ Your job role within the practice. ○ Your knowledge of the essential standards of quality and safety. ○ How you will ensure that everyone in the practice meets the standards at all times. ○ Your understanding of the legal responsibilities of a registered manager, including what notifications you must

	<p>send to CQC.</p> <ul style="list-style-type: none"> • We will use the information that we collect from the interview, your application form and the Criminal Records Bureau to make a decision about your application. • We will send you and the registered service provider a notice of our decision.
<p>What can I do to prepare for my interview and my role as a registered manager?</p>	<ul style="list-style-type: none"> • You should read and become familiar with: <ol style="list-style-type: none"> 1. Guidance about compliance: Essential standards of quality and safety 2. The Health and Social Care Act 2008 (Regulated Activities) Regulations 2010 3. The Care Quality Commission (Registration) Regulations 2009 4. The Health and Social Care Act 2008 (especially Part 1). • These documents are on our website and we recently also sent each provider a copy of the <i>Essential standards of quality and safety</i>. It contains the two sets of regulations at the back. • Make sure that you are familiar with your Statement of Purpose, even if you didn't write it. • Give some thought to how you will describe what you do to involve patients in the way that the practice is run and what you can tell the interviewer that shows how you recognise and promote equality and diversity, and respect patients' human rights in your practice.