



**Quality
Compliance
Systems**

AN  RLDatix COMPANY

Know your Regulations?

**Health and Social Care Act
2008 (Regulated Activities)
Regulations 2014**

Know your Regulations?



QCS Start connects each CQC regulation to the practical policies, records, audits and systems new providers need to evidence safe, compliant and well-led care and support from day one.

Why QCS covers regulated activities

For new providers, CQC registration is not just about submitting the right forms, it is about showing that the service understands the regulated activities it will deliver and has the right systems, policies, records and governance in place from day one.

QCS supports providers by linking the key expectations behind regulated activities to the everyday tools needed to evidence safe, effective and well-led care: policies and procedures, care management, staffing and rostering, audits, mock inspections and feedback surveys.

This useful guide explains each regulation with a handy space to make comments and notes to support you to underpin your registration application.



Know your Regulations?

QCS Start has everything You Need to Get Registration Right because it naturally explains why the features matter, not just what they are.

Built Around the Regulations You Need to Evidence

QCS Start helps you connect your regulated activities to the systems, policies and records CQC will expect to see. From person-centred care and safeguarding to staffing, governance, complaints and duty of candour, QCS Start gives new providers practical tools and guidance to show how you will deliver safe, compliant and well-led care and support from day one.

With expert-maintained QCS Start policies, procedures and guidance link in to our wider care management tools, rostering support, audits, mock inspections and feedback surveys, QCS Start helps you to start building the systems CQC expects to see, not just for registration, but for running a safe, compliant and well-led service after approval.

1. Policies and procedures

QCS Start policies and procedures help new providers show CQC that they understand the legal and regulatory expectations linked to their regulated activities. They provide practical guidance for delivering safe, person-centred care, managing risk, safeguarding people, handling complaints, supporting staff and maintaining good governance.

This supports Regulations 9, 10, 11, 12, 13, 16, 17, 18, 19 and 20.

2. Care management

QCS care management tools help providers turn regulatory expectations into everyday records and actions. From assessments and care and support plans to risk management, consent, medication and incident records, providers can evidence how care is planned, delivered, reviewed and improved.

This supports Regulation 9: Person-centred care, Regulation 11: Need for consent, Regulation 12: Safe care and treatment, and Regulation 14: Meeting nutritional and hydration needs.

3. Rostering and staffing

QCS rostering and staffing support helps providers plan safe staffing levels, manage availability, keep training visible and demonstrate that staff are deployed in line with people's needs. This helps new services evidence that they have enough suitably trained, competent and experienced staff.

This supports Regulation 18: Staffing and Regulation 19: Fit and proper persons employed.

4. Audits and governance

QCS audits help new providers move beyond having policies in place and show how they will check that those policies are working in practice. Audit tools support quality assurance, risk management, record accuracy and continuous improvement, helping providers evidence good governance from the start.

This supports Regulation 17: Good governance, having systems and processes in place to ensure all other regulations are being met, including audits, assurance, feedback, risk mitigation and accurate records.

5. Mock inspections

QCS mock inspections support helps providers test their readiness before CQC asks questions. It gives new services a structured way to review whether they can evidence safe, effective, caring, responsive and well-led care, identify gaps early and take action before registration or inspection.

This supports Regulation 17: Good governance and help Prepare for What Regulators Will Ask on inspection.

6. Feedback surveys

QCS feedback surveys help providers collect views from people using the service, relatives, staff and other stakeholders. This supports a culture of listening, learning and improvement, helping providers evidence that feedback is used to improve quality and safety.

This supports Regulation 16: Receiving and acting on complaints and Regulation 17: Good governance, where feedback and improvement are central expectations.



Fundamental Standards

The fundamental standards are the standards below which your care must never fall.



Know your Regulations?

Regulation 8: General »

All registered persons must meet and comply with every regulation for each regulated activity and follow the Mental Capacity Act 2005 to determine capacity.

NOTES AND COMMENTS

Regulation 9: Person-centred care »

Ensure people get person-centred care through assessment, partnership and following the Mental capacity Act (2005) and best interest processes.

NOTES AND COMMENTS

Regulation 9A: Visiting and accompanying in care homes, hospitals and hospices »

Ensure people receive visits from those they want to see, take visits outside of the home and their safety is supported when visiting takes place.

NOTES AND COMMENTS

Regulation 10: Dignity and respect »

People are treated with respect, dignity and privacy and providers pay due regards to the protected characteristics cited in the Equality Act 2010.

NOTES AND COMMENTS



Know your Regulations?

Regulation 11: Need for consent »

People who use the service give consent before any care or treatment is given. Consent is gained lawfully and people gaining consent have knowledge and understanding of the care/treatment they need consent for.

NOTES AND COMMENTS

Regulation 12: Safe care and treatment »

This regulation covers 4 key areas:

- ⦿ Preventing unsafe care and treatment and avoidable harm through risk assessment
- ⦿ Ensuring safe equipment and safe premises
- ⦿ Ensuring safe medication management by provision of suitably trained, competent,
- ⦿ Experienced and skilled staff to keep people safe.

NOTES AND COMMENTS

Regulation 13: Safeguarding service users from abuse and improper treatment »

Effective safeguarding of people who use the service from suffering from abuse or improper treatment. This includes discrimination, restraint and inappropriate Deprivation of Liberty under the Mental Capacity Act 2005.

NOTES AND COMMENTS



Know your Regulations?

Regulation 14: Meeting nutritional and hydration needs »

People who use services have adequate nutrition and hydration to sustain life and good health and reduce the risks of malnutrition and dehydration while they receive care and treatment.

NOTES AND COMMENTS

Regulation 15: Premises and equipment »

Premises are clean, suitable, maintained, appropriately located and equipment is clean, suitable, maintained, stored securely and used properly. Providers retain responsibility for delegated elements of premises such as contractors, suppliers for example.

NOTES AND COMMENTS

Regulation 16: Receiving and acting on complaints »

People can complain about their care/treatment. The provider must have a system in place for identifying, receiving and handling complaints. Complaints are fully investigated, and action taken when failings are identified.

NOTES AND COMMENTS



Know your Regulations?

Regulation 17: Good governance »

Systems and processes are in place to ensure all other regulations are being met. This means having effective governance, assurance and audits in place. This includes monitoring and driving improvement in quality and safety, seeking feedback, mitigating risk for all and maintaining accurate records for everyone using the service or employed.

NOTES AND COMMENTS

Regulation 18: Staffing »

Having enough qualified, competent and experienced staff to meet the other regulations, and therefore the needs of people using the service. Staff must have support, training, professional development, supervision and appraisals, alongside support to develop further.

NOTES AND COMMENTS

Regulation 19: Fit and proper persons employed »

Providers must only employ fit and proper staff through robust safe recruitment procedures and checks and monitoring of staff. Procedures must be in place to manage staff who are no longer fit for duties.

NOTES AND COMMENTS



Know your Regulations?

Regulation 20: Duty of candour »

The duty of candour requires registered providers and managers to act in an open and transparent way with people receiving care or treatment from them. They must also be aware of the 'notifiable safety incidents' and how they will respond if incidents occur.

NOTES AND COMMENTS

Regulation 20A: Requirement as to display of performance assessments »

CQC Ratings must be displayed conspicuously and legibly at every location delivering the regulated activity and on websites.

NOTES AND COMMENTS



Know your Regulations?

Non-Fundamental Standards



Know your Regulations?

Regulation 4: Requirements where the service provider is an individual or partnership »

Ensures that people who use services have their needs met because the service is provided by an appropriate person (good character, able, competent and can evidence this to CQC).

NOTES AND COMMENTS

Regulation 5: Fit and proper persons: directors »

Ensures that staff working at director level are fit and proper to perform in this role.

NOTES AND COMMENTS

Regulation 6: Requirement where the service provider is a body other than a partnership »

Ensures that the nominated individual for the company who is responsible for supervising the management of regulated activities is fit and proper to perform the role.

NOTES AND COMMENTS

Regulation 7: Requirements relating to registered managers »

The intention of this regulation is to ensure that people who use services have their needs met because the regulated activity is managed by an appropriate person.

NOTES AND COMMENTS



Care Quality Commission (Registration) Regulations 2009

Regulation 12: Statement of purpose »

Providers must produce and maintain a clear statement of all information in Schedule 3. This includes notifying CQC of any changes in the statement.

NOTES AND COMMENTS

Regulation 13: Financial position »

Providers ensure all reasonable steps are taken to meet financial demands of providing a safe service in accordance with their statement of purpose.

NOTES AND COMMENTS

Regulation 14: Notice of absence »

CQC must have assurance that a service will continue to be properly managed if the person in charge of their service is absent.

NOTES AND COMMENTS



Care Quality Commission (Registration) Regulations 2009

Regulation 15: Notice of changes »

CQC must be notified of specific changes in the running of the service. CQC must have assurance that providers have taken the correct action. This includes manager changes, changes to registered details of the service, financial insolvency of the registered person or the service closes.

NOTES AND COMMENTS

Regulation 16: Notification of death of service user »

CQC must be notified of the deaths of people who use services so that where needed, CQC can take follow-up action. Notifications include those deaths that :

- ⦿ Occurred while services were being provided in the carrying on of a regulated activity or;
- ⦿ Have, or may have, resulted from the carrying on of a regulated activity

NOTES AND COMMENTS

Regulation 17: Notification of death or unauthorised absence of a service user who is detained or liable to be detained under the Mental Health Act 1983 »

CQC must be notified of the death/ unauthorised absence of a person in any location who is detained under the Mental Health Act 1983 so that CQC can take follow-up action where needed.

NOTES AND COMMENTS



Know your Regulations?

Care Quality Commission (Registration) Regulations 2009

Regulation 18: Notification of other incidents »

Providers must notify CQC of all incidents that affect the health, safety and welfare of people who use services. The full list of incidents is in the text of the regulation.

NOTES AND COMMENTS

Regulation 19: Fees »

Providers give timely and accurate written information about the cost (fees, contracts and terms and conditions) of their care and treatment to people who use services. This applies for people paying full or part of the cost of their care.

NOTES AND COMMENTS

Regulation 22A: Form of notifications to the Commission »

Notifications made pursuant to regulations 14 to 18 and 21 and 22 must be made using the forms provided by the Commission for this purpose.

NOTES AND COMMENTS



CQC Information Hub

The one stop place to find
information on the CQC Single
Assessment framework

[VISIT THE HUB](#)



Know your Regulations?



Regulation - How QCS Helps

Regulation 4: Individual or partnership providers

QCS Start helps new providers evidence that the right people, systems and records are in place to deliver regulated activities safely.

Regulation 5: Fit and proper persons: directors

QCS Start supports director-level accountability through policies, governance tools and evidence of oversight.

Regulation 6: Body other than a partnership

QCS Start helps nominated individuals evidence effective supervision and governance of regulated activities.

Regulation 7: Registered managers

QCS Start supports registered managers with the policies, audits, records and tools needed to manage regulated activities effectively.

Regulation 8: General

QCS Start helps providers understand and apply the regulations that apply to each regulated activity they deliver.

Regulation 9: Person-centred care

QCS Start care and support planning, guidance, assessments and policies help providers evidence care and support is tailored to each person's needs and preferences.

Regulation 9A: Visiting and accompanying

QCS Start policies support providers to manage visiting safely while protecting people's rights, relationships and wellbeing.

Regulation 10: Dignity and respect

QCS Start policies and staff guidance help providers embed dignity, privacy, equality and respectful care and support into everyday practice.

Regulation 11: Need for consent

QCS Start care management tools, policies and expert guidance helps new providers evidence lawful consent, capacity assessments and best-interest decision-making.

Regulation 12: Safe care and treatment

QCS Start risk assessments, medication policies and guidance, care and support records and audits help providers evidence safe care, support and treatment and reduce avoidable harm.

Regulation 13: Safeguarding

QCS Start safeguarding policies, reporting guidance and training oversight help providers protect people from abuse and improper treatment.

Regulation 14: Nutrition and hydration

QCS Start care, support planning guidance, policies and monitoring tools help providers evidence that nutritional and hydration needs are assessed, met and reviewed.



Know your Regulations?

Regulation 15: Premises and equipment

QCS Start audits and policies help providers check that premises and equipment are safe, suitable, clean and properly maintained.

Regulation 16: Complaints

QCS Start complaints policies, feedback surveys and records help providers capture concerns, respond properly and evidence learning.

Regulation 17: Good governance

QCS Start audits, mock inspections, policies and feedback tools help providers evidence oversight, improvement and regulatory compliance.

Regulation 18: Staffing

QCS Start rostering, training tracking and staffing policies help providers evidence safe staffing levels and competent, supported staff.

Regulation 19: Fit and proper staff

QCS Start recruitment, induction and HR policies help providers evidence safer recruitment and ongoing suitability checks.

Regulation 20: Duty of candour

QCS Start policies and incident guidance help providers respond openly, honestly and appropriately when things go wrong.

Regulation 20A: Display of ratings

QCS Start guidance helps providers understand how to display CQC ratings clearly once registered and rated.

Registration Regulation 12: Statement of purpose

QCS Start templates and guidance help providers describe their regulated activities, aims, locations and service model clearly.

Registration Regulation 13: Financial position

QCS Start supports providers to evidence that governance and planning are in place to deliver a safe, sustainable service.

Registration Regulation 14: Notice of absence

QCS Start policies help providers plan for manager absence and maintain continuity of safe, well-led care.

Registration Regulation 15: Notice of changes

QCS Start guidance helps providers understand when operational, management or registration changes must be notified to CQC.

Registration Regulation 16: Notification of death

QCS Start incident and notification guidance helps providers recognise when deaths must be reported to CQC.

Registration Regulation 17: Death or unauthorised absence under MHA

QCS Start guidance supports providers to understand specialist notification duties linked to detained or liable-to-be-detained people where applicable.

Registration Regulation 18: Notification of other incidents

QCS Start incident policies and reporting tools help providers identify, record and notify relevant safety and welfare incidents.

Registration Regulation 19: Fees

QCS Start guidance helps providers understand their responsibilities around clear information, contracts, terms, care and support costs.

Registration Regulation 22A: Form of notifications

QCS Start guidance helps providers use the correct CQC forms and processes when submitting statutory notifications.

