CareSync EXPERTS

CQC Nominated Individual Checklist

For providers that are organisations. Regulation 6 of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 requires you to name a nominated individual and take all reasonable steps to make sure they are fit for the role.

1. Before you appoint

Regulation 6 and the Schedule 3 information

- [ ] Employed as a director, manager or secretary of the organisation
- [ ] Senior enough to speak for the organisation about how the regulated activity is provided
- [ ] Good character checked: any convictions, and professional registers (Schedule 4, Part 2). Reasons recorded if you appoint despite a concern
- [ ] Qualifications, competence, skills and experience assessed and recorded
- [ ] Health information obtained, with reasonable adjustments considered
- [ ] Proof of identity with a recent photograph
- [ ] Enhanced DBS with barred list information where it applies. Certificate number and date ready for CQC
- [ ] Full employment history, with gaps explained in writing
- [ ] Evidence of conduct in previous care work, and why work with children or vulnerable adults ended
- [ ] Relevant qualification certificates seen and copied
- [ ] If they are also a director: Regulation 5 fit and proper person checks completed

Good to know

Sole traders and partnerships do not need a nominated individual.

The nominated individual is not registered with CQC. The provider checks their fitness.

CQC may hold a nominated individual discussion during registration.

2. Tell CQC

Application section 1.9, and Registration Regulations 2009, regulation 15

- [ ] At registration: a nominated individual named in section 1.9 for every regulated activity (one per activity; one person can cover all)
- [ ] On a change: sections 1 and 7 of CQC's changes form, emailed to HSCA_applications@cqc.org.uk as soon as reasonably practicable
- [ ] If a director joins or leaves: section 8 as well
- [ ] A copy of the form, your checks and CQC's reply kept on file

Late or missing notification of a change is an offence under regulation 25 of the Registration Regulations 2009, with a fine of up to £2,500.

3. Show your oversight

Our suggested governance rhythm. Keep a record of each

Monthly	Quality report reviewed; supervision with the registered manager recorded; notifications checked
Quarterly	Service visit and conversations with people and staff; risk register and improvement plan reviewed; one area audited in depth
Yearly	Registered manager appraisal; independent audit or mock inspection; statement of purpose, continuity plan and your own training reviewed