CareSync EXPERTS

FREE CHECKLIST

CQC Registration Documents Checklist

The 10 documents every new provider must send with a CQC registration application, what CQC expects each one to cover, and the extra documents that apply to some services. Tick each one off before you apply.

CHECKED AGAINST	FOR	INCLUDES
CQC guidance, 18 October 2026	New providers in England	The 5 May 2026 document rules

10
documents everyone must send with the application

5
reasons CQC gives for rejecting documents

5 May
2026, when the building control certificate rule began

1
separate, clearly named file for each document

i How to Use This Checklist

STEP 1
Work through **Section 1**. Check each document covers every point CQC lists, then write its version and date in the right hand column.

STEP 2
Use **Sections 2 and 3** to see which extra documents apply to your service, such as a building control certificate or supported living documents.

STEP 3
Finish with the **final checks** on page 4. Only apply when every box is ticked, so nothing is missing, out of date or generic.

! Why CQC Rejects Applications

CQC says it will reject an application if any required document is:

Missing	Wrong	Out of date	Omitted	Not relevant
not sent with the application	not the document CQC asked for	expired or not reviewed	left out of the bundle	not specific to your service

ii What's Inside

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1 The 10 Documents Everyone Must Send

Source: CQC, Documents everyone must send

CQC asks every new provider for these documents. The "should cover" points draw on CQC's registration guidance and the regulations. Make each one specific to your service, not a generic template.

	DOCUMENT	IT SHOULD COVER	VERSION AND DATE
☐	**Statement of purpose** Registration Regulations 2009, reg 12	All the information the regulations require: your aims and objectives, the services you provide, who you support, your locations and your registered manager. It must match your application exactly.	
☐	**Complaints policy** Regulation 16	How people raise a complaint, who handles it, timescales and how to escalate. Written for your service, with an easy read version for the people you support.	
☐	**Consent policy and procedure** Regulation 11	How you get consent to care and treatment, and what you do when a person lacks capacity, consistent with the five principles of the Mental Capacity Act 2005.	
☐	**Equality, diversity and human rights policy** Equality Act 2010	How you protect the rights of people who use the service and staff, and prevent discrimination in care, recruitment and employment.	
☐	**Governance and quality assurance policies** Regulation 17	Management and governance, continual improvement, how you gather and act on feedback, quality and safety monitoring, record keeping and data protection (UK GDPR).	
☐	**Infection prevention and control policy** Regulation 12	How you prevent and control infection in the setting where you give care, including hand hygiene, protective equipment, outbreaks and staff training.	
☐	**Medicines management and prescribing policy** Regulation 12, including transport	Staff training, supply, storage, administration, recording, auditing and disposal of medicines, and how medicines are transported.	
☐	**Public and employer liability insurance** Quote or certificate	A current quote or certificate in the name of the provider that is applying. For supported living, CQC asks for it with the supporting information request form.	
☐	**Recruitment policy** Regulations 5, 19 and Schedule 3	Fit and proper person checks for staff and directors, the records Schedules 3 and 4 require, equality in recruitment, and how you recruit volunteers.	
☐	**Safeguarding policy and procedure** Regulation 13	How you prevent, spot and report abuse, with local authority contacts. It should be accessible to the people you support, their advocates and families, and staff.	

Your progress 1 2 3 4 5 6 7 8 9 10

Shade a box for each document that is ready

2 Documents That Depend on Your Service

Source: CQC, Supporting documents

IN FORCE FROM 5 MAY 2026

- [ ] **Building control final certificate**

For each location that needs building regulations approval, send the final certificate from building control. If a location is new, converted or altered, check with your building control body before you apply.

ONLY IF CQC ASKS FOR IT

- [ ] **Financial viability statement**

Not needed for corporate providers, NHS trusts, care homes, home care agencies or supported living services. Other applicants should check whether it applies to them.

3 Extra Documents for Supported Living

Source: CQC, Registering supported living services

CQC's supported living guidance also asks for these documents. Most of them help home care agencies too, so they are worth preparing either way.

	DOCUMENT	IT SHOULD COVER	VERSION AND DATE
☐	**Business plan**	Executive summary, the services you will offer, marketing, financial planning and budget.	
☐	**Mental Capacity Act and DoLS policy**	Consistent with the five principles of the Act and with Regulation 13(4)(b).	
☐	**Quality assurance policy**	Person-centred care, feedback, quality measures, improvements, and staff training and support.	
☐	**Organisational structure**	Who is responsible for what, from the board or owner to frontline staff.	
☐	**Staffing structure** Regulation 18	How many staff, in which roles, and how you will keep enough suitably skilled staff on duty.	
☐	**Training matrix**	The training each role needs and when it is refreshed.	
☐	**Sample care contract**	Your agreement for care, kept separate from the tenancy.	
☐	**Sample care plan**	In a format the person can understand.	
☐	**Tenancy agreement**	A sample tenancy, which shows housing and care are separate.	

Keep Your Documents Working After Registration

Registration is the start, not the finish. Inspectors check that your policies match what staff actually do. Give every policy an owner and a review date, and update it when the law, CQC guidance or your service changes. OUR ADVICE

4 Name Every File Clearly

Our suggestion

CQC asks for each document as a separate, clearly named file. A simple pattern makes your bundle easy to check.

```
01 Statement of purpose, v1.0, October 2026.pdf
02 Complaints policy, v1.0, October 2026.pdf
02a Complaints policy, easy read, v1.0, October 2026.pdf
```

5 Final Checks Before You Apply

Tick every line before you submit. Points marked CQC come from CQC's guidance; the rest are checks our team uses on every application we support.

- ☐ All **10 documents** in Section 1 are ready, plus any from Sections 2 and 3 that apply to you. — CQC
- ☐ Every document is **specific to your service**: your name, your locations, your service type. No other provider's name and no template wording left in. — CQC
- ☐ Every document is **current**, with a version number, a date and a review date. — CQC
- ☐ Your **statement of purpose matches the application**: the same regulated activities, service types, locations and people supported. — CQC
- ☐ Each document is saved as a **separate, clearly named file**. — CQC
- ☐ The **building control final certificate** is included for any location that needs building regulations approval. — CQC
- ☐ The **insurance** quote or certificate is in the name of the provider that is applying, and has not expired. — OUR CHECK
- ☐ Names and roles are **the same everywhere**: the registered manager and nominated individual match across the application and every document. — OUR CHECK
- ☐ Each policy says **who is responsible** and how staff will be trained in it, so it reads as a working document, not a file for CQC. — OUR CHECK
- ☐ Someone other than the author has **read every document** start to finish before you apply. — OUR CHECK

Want an Expert to Check Your Documents?

Our team is led by a former CQC Senior Inspector Manager with more than 20 years in regulation. We check every document against CQC's requirements before you apply.

94% approved first time
1,200+ providers supported
10+ years in CQC compliance

SPEAK TO OUR TEAM
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SOURCES, CHECKED 18 OCTOBER 2026

CQC, Documents everyone must send (updated 3 February 2026) · CQC, Supporting documents (updated 27 April 2026) · CQC, Registering supported living services · Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 · Care Quality Commission (Registration) Regulations 2009

This checklist is general information, not legal advice. CQC can change its requirements, so check cqc.org.uk before you apply. © 2026 Care Sync Experts. More free guides at caresyncexperts.co.uk/knowledge-hub