SCHEDULE 1

Regulations 3, 6, 7 and 11

Information to be provided by an applicant for registration or by a service provider on application for a variation of registration

Information required about the applicant where the applicant is an individual

1. The applicant's full name, date of birth, home address, electronic mail address and telephone number.

2. Details of the applicant's professional or technical qualifications and experience so far as such qualifications and experience are relevant to providing the regulated service or services in respect of which the applicant is applying to be registered as a service provider.

3. Details of the applicant's employment history, including the name and address of his or her present employer and of any previous employers.

4. Details of any business the applicant carries on or has carried on.

5. The name and addresses of two referees—

(a) who are not relatives of the applicant;

(b) each of whom is able to provide a reference as to the applicant's competence to provide the regulated service or services that the applicant has applied to provide; and

(c) one of whom has employed the applicant for a period of at least 3 months unless it is not practicable to obtain such a reference.

6. Details as to whether the applicant—

(a) has been made bankrupt and is undischarged from the bankruptcy order;

(b) has been the subject of a sequestration order that has not been rescinded;

(c) is subject to a moratorium period under a debt relief order (within the meaning of section 251A of the Insolvency Act 1986(**1**)); or

(d) has made a composition or arrangement with creditors and has not been discharged in respect of the composition or arrangement.

Information required about the applicant where the applicant is an organisation

7. Where the organisation is a body corporate other than a local authority or Local Health Board—

(a) the name of the organisation;

(b) the address of the registered office of the organisation;

(c) if different from the address of the registered office or if there is no registered office, the address of the principal office of the organisation;

(d) the electronic mail address and telephone number of the organisation;

(e) if the organisation is a company, the company number;

(f) if the organisation is a charity, the charity number;

(g) where the organisation is a company and is a subsidiary of a holding company—

(i) the name and address of the registered office of the holding company;

(ii) the electronic mail address and telephone number of the holding company;

(iii) the company number of the holding company;

(**1**) 1986 c. 45.

(iv) if the holding company is a charity, the charity number of the holding company;

(v) the name and address of the registered office of any other subsidiary of the holding company;

(vi) the electronic mail address and telephone number of any other subsidiary of the holding company;

(vii) the company number of any other subsidiary of the holding company;

(viii) if the subsidiary is a charity, the charity number of any subsidiary of the holding company.

8. Where the organisation is a local authority—

(a) the name and address of the principal office of the authority;

(b) the electronic mail address and telephone number of the authority;

(c) details of the leader of the Council and the Director of Social Services.

9. Where the organisation is a Local Health Board—

(a) the name and address of the principal office of the Board;

(b) the electronic mail address and telephone number of the Board;

(c) details of the chairperson and chief executive.

10. Where the organisation is a partnership—

(a) the name of the partnership;

(b) the address of the principal office of the partnership;

(c) the electronic mail address and telephone number of the partnership.

11. Where the organisation is an unincorporated body—

(a) the name of the body;

(b) the address of the principal office of the body;

(c) the electronic mail address and telephone number of the body.

12. In all cases where the applicant is an organisation, information about the governance arrangements of the organisation, including details of any delegations of the responsibilities of the organisation.

Information required about all applicants

13. Details of any previous applications for registration as a service provider under the Act.

14. Details of any registrations as a service provider under the Act.

15. Details of any previous application for registration under Part 2 of the Care Standards Act 2000(**2**).

16. Details of any registrations under Part 2 of the Care Standards Act 2000.

17. Details of any previous applications for registration as a service provider under the Health and Social Care Act 2008(**3**).

18. Details of any registrations as a service provider under the Health and Social Care Act 2008.

(**2**) 2000 c. 14.
(**3**) 2008 c.14.

19. Details of any previous applications for registration as a person providing a care service under Part 5 of the Public Services Reform (Scotland) Act 2010(**4**).

20. Details of any registrations as a person providing a care service under Part 5 of the Public Services Reform (Scotland) Act 2010.

21. Details of any previous applications for registration under Part 3 of the Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003(**5**).

22. Details of any registrations under Part 3 of the Health and Personal Social Services (Quality, Improvement and Regulation) (Northern Ireland) Order 2003.

Information required in respect of each individual designated by the applicant to be a responsible individual

23. Date of birth, telephone number, correspondence address and electronic mail address of each individual designated by the applicant to be a responsible individual.

24. Details of the professional or technical qualifications and experience of each individual designated by the applicant to be a responsible individual so far as such qualifications and experience are relevant to—

(a) the performance and functions of the responsible individual conferred by the regulations under section 28; and

(b) the service to be provided at the place in respect of which the responsible individual is designated.

25. Details as to whether each individual designated by the applicant to be a responsible individual—

(a) has been made bankrupt and is undischarged from the bankruptcy order;

(b) has been the subject of a sequestration order that has not been rescinded;

(c) is subject to a moratorium period under a debt relief order (within the meaning of section 251A of the Insolvency Act 1986(**6**)); or

(d) has made a composition or arrangement with creditors and has not been discharged in respect of the composition or arrangement.

26. Details of the employment history of each individual designated by the applicant to be the responsible individual, including the name and address of his or her present employer and of any previous employers.

27. Details of any business which is being carried on or has been carried on by each individual designated by the applicant to be the responsible individual.

28. In respect of each individual designated by the applicant to be the responsible individual, the name and addresses of two referees—

(a) who are not relatives of the individual;

(b) each of whom is able to provide a reference as to the individual's competence to perform the duties of a responsible individual for the place or places in respect of which the individual has been designated by the applicant to be the responsible individual; and

(c) one of whom has employed the individual for a period of at least 3 months unless it is not practicable to obtain such a reference.

(**4**) 2010 asp 8.
(**5**) S.I. 2003/431 (N.I. 9).
(**6**) 1986 c. 45.

Information about the service to be provided

29. Details of the scale of charges that are intended to be payable by service users.

30. In the case of a care home service, secure accommodation service or residential family centre service, the date on which it is intended to begin providing the service at each place specified in the application.

31. In the case of a domiciliary support service, the date on which it is intended to begin providing the service in relation to each place specified in the application.

Information about the accommodation at which the service is to be provided

32. Where the applicant is seeking to provide a care home service(**7**), a secure accommodation service(**8**) or a residential family centre service(**9**)—

(a) the proposed name, address and telephone number of the premises at which it is intended to provide the regulated service;

(b) a description of the premises, including a statement as to whether the premises are purpose-built or have been or are intended to be converted for use as the place at which the service is to be provided;

(c) evidence of the following—

(i) a completed risk assessment as required under the Regulatory Reform (Fire Safety) Order 2005(**10**);

(ii) building regulations approval;

(iii) food business registration;

(iv) planning permission;

(d) evidence of consultation with or approval of any regulatory bodies, where such consultation or approval is required;

(e) details of any other business that is or will be provided at the same premises at which it is intended that the regulated service will be provided;

(f) details and documentary evidence of ownership status of the building including, if leased or rented, the length of any notice period.

Information about the offices from which the service is to be provided

33. Where the applicant is seeking to provide an adoption service, a fostering service, an adult placement service, an advocacy service or a domiciliary support service, the address, telephone number and electronic mail address of the office or offices from which the service is to be provided.

Documents required from the applicant

34. Where the applicant is an individual—

(a) evidence of the person's identity to include a photograph;

(b) documentary evidence in respect of any qualifications the applicant has provided details about in paragraph 2 of this Schedule;

(**7**) *See* section 2(1)(a) of and paragraph 1 of Schedule 1 to the Act for the definition of "care home service".
(**8**) *See* section 2(1)(b) of and paragraph 2 of Schedule 1 to the Act for the definition of "secure accommodation service".
(**9**) *See* section 2(1)(c) of and paragraph 3 of Schedule 1 to the Act for the definition of "residential family centre service".
(**10**) S.I. 2005/1541, to which there are amendments not relevant to these Regulations.

(c) subject to sub-paragraph (d), a report by a general medical practitioner as to whether the applicant is physically and mentally fit to comply with the duties imposed on a service provider in regulations under section 27;

(d) where the applicant is unable to obtain the report referred to in sub-paragraph (c), a statement by the applicant as to the state of his or her physical and mental health;

(e) where required for the purposes of an exempted question asked for a prescribed purpose under section 113B(2)(b) of the Police Act 1997(**11**), a copy of an enhanced criminal record certificate issued under section 113B of that Act together with, where applicable, suitability information relating to children or vulnerable adults.

For the purposes of this sub-paragraph and for the purposes of paragraph 42, "suitability information relating to children or vulnerable adults" means the information specified in sections 113BA and 113BB respectively of the Police Act 1997;

(f) where required for the purposes of an exempted question in accordance with section 113A(2)(b) of the Police Act 1997, a copy of a criminal record certificate issued under section 113A of that Act together with, after the appointed day and where applicable, the information mentioned in section 30A(3)(**12**) of the Safeguarding Vulnerable Groups Act 2006 (provision of barring information on request).

For the purposes of this sub-paragraph and for the purposes of paragraph 43, "the appointed day" means the day on which section 30A of the Safeguarding Vulnerable Groups Act 2006 comes into force.

35. Where the applicant is an organisation other than a local authority or Local Health Board, the last two annual reports and accounts, if any.

36. In respect of applicants other than local authorities and Local Health Boards—

(a) a business plan;

(b) a reference from a bank expressing an opinion as to the applicant's financial standing;

(c) details as to projected cash flow in respect of the individual or organisation applying to be registered as a service provider.

37. In respect of all applicants, a certificate of insurance in respect of liability which may be incurred in respect of death, injury, public liability, damage or other loss.

Documents required in respect of each individual designated by the applicant as a responsible individual.

38. Evidence of the person's identity to include a photograph.

39. Documentary evidence of all qualifications the applicant has provided details about in paragraph 24 of this Schedule.

40. Subject to paragraph 41 a report by a general medical practitioner as to whether the responsible individual is physically and mentally fit to comply with their duties in regulations under section 28.

41. Where the responsible individual is unable to obtain the report referred to in paragraph 40 a statement by the responsible individual as to the state of his or her physical and mental health.

42. Where required for the purposes of an exempted question asked for a prescribed purpose under section 113B(2)(b) of the Police Act 1997, a copy of an enhanced criminal record certificate

(**11**) 1997 c. 50.

(**12**) 2006 c. 47. Sections 30 to 32 of the Safeguarding Vulnerable Groups Act 2006 as originally enacted are to be replaced by new sections 30A and 30B as a result of the substitutions made by section 72(1) of the Protection of Freedoms Act 2012 (c. 9). Section 72(1) is to be commenced on a day to be appointed.

issued under section 113B of that Act together with, where applicable, suitability information relating to children or vulnerable adults(**13**).

43. Where required for the purposes of an exempted question in accordance with section 113A(2)(b) of the Police Act 1997, a copy of a criminal record certificate issued under section 113A of that Act together with, after the appointed day(**14**) and where applicable, the information mentioned in section 30A(3) of the Safeguarding Vulnerable Groups Act 2006 (provision of barring information on request).

44. In relation to an applicant who is a body corporate other than a local authority, a signed declaration by each of the persons mentioned in paragraph 45 to the effect that they have read and understood the requirements imposed on responsible individuals by regulations under section 28 and that they intend to support the individual designated as responsible individual in the exercise of their duties as set out in those regulations.

45. Those persons are—

(a) any person who has been appointed as a director, manager or secretary of the body corporate;

(b) any person who has been appointed as a trustee of the body corporate.

46. In relation to an applicant who is a local authority, a signed declaration by the person described in paragraph 47 to the effect that they have read and understood the requirements imposed on responsible individuals by regulations under section 28 and that they intend to support the individual designated as responsible individual in the exercise of their duties as set out in those regulations.

47. The person is either—

(a) the director of social services of the authority, or

(b) if the director of social services is the responsible individual, the chief executive of the authority.

48. In relation to an applicant who is an unincorporated body, a signed application by each of those persons who are concerned in the management and control of the body to the effect that they have read and understood the requirements imposed on responsible individuals by regulations under section 28 and that they intend to support the individual designated as responsible individual in the exercise of their duties as set out in those regulations.

49. In relation to an applicant who is a partnership, a signed declaration by each partner to the effect that they have read and understood the requirements imposed on responsible individuals by regulations under section 28 and that they intend to support the individual designated as responsible individual in the exercise of their duties as set out in those regulations.

(**13**) *See* paragraph 34(e) of this Schedule for the meaning of "suitability information relating to children or adults".
(**14**) *See* paragraph 34(f) of this Schedule for the meaning of "the appointed day".