

## SCHEDULE 1

Regulation 3

Information required in respect of persons seeking to carry on, manage or be employed to work at a social work service

1. Proof of identity, including a recent photograph.
2. Where an individual is or will be engaging in activity which is regulated activity within the meaning of Schedule 4 to the SVGA 2006, an enhanced certificate issued under section 113B of the PA 1997, including, as applicable, suitability information relating to children (as defined in section 113BA(2) of that Act) and suitability information relating to vulnerable adults (as defined in section 113BB(2) of that Act).
3. Where an individual is or will be engaging in activity which is not regulated activity, relating to children within the meaning of Schedule 4 to the SVGA 2006 but is regulated activity relating to children within the meaning of that Schedule as it had effect immediately before the coming into force of section 64 of the POFA 2012, an enhanced certificate issued under section 113B of the PA 1997.
4. Where an individual is or will be engaging in activity which is not regulated activity relating to adults as defined in Part 2 of Schedule 4 to the SVGA 2006 but is or will be working with adults, as defined in regulation 5(B) of the Criminal Records Regulations 2002, an enhanced certificate issued under section 113B of the PA 1997.
5. Two written references, including a reference from the person's most recent employer, if any.
6. Documentary evidence of any relevant qualifications.

## SCHEDULE 2

Regulation 12

Amendment of the Her Majesty's Chief Inspector of Education, Children's Services and Skills (Fees and Frequency of Inspections) (Children's Homes etc.) Regulations 2007

1. In regulation 2 (interpretation)—
  - (a) after the definition of "existing provider" insert—

““providers of social work services” has the same meaning as in the Care Standards Act 2000”;
2. After regulation 7A (holiday practices for disabled children) insert—

**“Providers of social work services**

**7B.—**(1) For the purposes of section 12(2) of the 2000 Act, the fee to accompany an application by a person seeking to be registered under Part 2 of the 2000 Act as a provider of social work services shall be £2046.

(2) For the purposes of section 12(2) of the 2000 Act, the fee to accompany an application by a person seeking to be registered under Part 2 of the 2000 Act as a manager of social work services shall be £1024.”.
3. After regulation 13 insert—

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#### **“Providers of social work services**

**13A.**—(1) For the purposes of section 15(3) of the 2000 Act, the fee to accompany an application by the registered provider in respect of a provider of social work services under section 15(1)(a) of the 2000 Act shall, subject to paragraph (2), be £3070.

(2) In the case of an application for the variation of a condition for the time being in force where the variation of the condition is a minor variation, the fee shall be £99.”.

### SCHEDULE 3

Regulation 13

Information to be supplied on an application for registration as a provider of social work services

## PART 1

### Information about the applicant

1. The name of the corporate body and the address of the registered office or principal office of the body.
2. The full name, date of birth, address and telephone number of the responsible individual.
3. Details of the professional or technical qualifications of the responsible individual and that individual’s experience of providing relevant services in a social work service.
4. If the corporate body is a subsidiary of a holding company, the name and address of the registered or principal office of the holding company and of any other subsidiary of that holding company.
5. A reference from a bank expressing an opinion as to the applicant’s financial standing.
6. A statement as to whether the responsible individual has been adjudged bankrupt, is a person in respect of whom a debt relief order has been made or sequestration of his estate has been ordered, or whether the responsible individual has made a composition or arrangement with, or granted a trust deed for, their creditors.
7. A statement as to the applicant’s ability to ensure the financial viability of the service.
8. A business plan in respect of the service.
9. Details of the cash-flow or, where unavailable, predicted cash-flow in respect of the service.

## PART 2

### Information about the service and proposed arrangements under section 1 of the CYPA 2008

10. The name, address, telephone number, facsimile number (if any), and electronic mail address (if any) of the principal office of the corporate body.
11. Where the service is being operated from more than one site, the name, address, telephone number, facsimile number (if any), and electronic mail address (if any) of each site.
12. A statement of the proposed arrangements to be entered into with the local authority under section 1 of the CYPA 2008.

13. A copy of the safeguarding and whistleblowing policies in respect of the social work service.
14. A statement as to the accommodation, facilities and services which are to be provided by the service including the extent and, where appropriate, location of such accommodation, facilities and services and where the service is being operated at more than one site, details of the accommodation, facilities and services at each site.
15. The date on which the corporate body was established or is proposed to be established.
16. A statement as to the security arrangements, including arrangements for the purposes of—
  - (a) safeguarding access to information held by the service; and
  - (b) restricting access from adjacent premises or, when the premises form part of a building, from other parts of the building.
17. The name and address of any other establishment or agency, of a description specified in section 4(8)(a) or (9)(a) of the Act or any holiday scheme for disabled children in which the applicant has or has had a business or financial interest, or at which the applicant is or has been employed, and details of such interest or employment.
18. Whether any other business is or will be carried on in the same premises as those of the service and, if so, details of that business.
19. A list of posts at the service and the duties and responsibilities attaching to each post.

## PART 3

### Further information about staff

20. Where a person, other than the applicant, is working at or intends to work at a social work service, information as to whether that person is related to any applicant in respect of the service, and their relationship.

## SCHEDULE 4

Regulation 13

Documents to be supplied on an application for registration as a provider of social work services

### **Documents concerning applicant**

1. The responsible individual's birth certificate.
2. Certificates or other suitable evidence relating to the responsible individual's professional or technical qualifications, so far as such qualifications are relevant to providing a social work service.
- 3.—(1) Subject to sub-paragraph (2), a report by a general medical practitioner as to whether the responsible individual is physically and mentally fit to provide a social work service.  
(2) Where the responsible individual is unable to obtain the report referred to in sub-paragraph (1), a statement by the responsible individual as to their state of physical and mental health.
4. In relation to the responsible individual —
  - (a) where that individual is or will be engaging in activity which is regulated activity within the meaning of Schedule 4 to the SVGA 2006, an enhanced certificate issued under section 113B of the PA 1997, including, as applicable, suitability information relating to

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- children (as defined in section 113BA(2) of that Act) or suitability information relating to vulnerable adults (as defined in section 113BB(2) of that Act);
- (b) where that individual is or will be engaging in activity which is not regulated activity relating to children within the meaning of Schedule 4 to the SVGA 2006 but is regulated activity relating to children within the meaning of that Schedule as it had effect immediately before the coming into force of section 64 of the POFA 2012, an enhanced certificate issued under section 113B of the PA 1997;
  - (c) where that individual is or will be engaging in activity which is not regulated activity relating to adults as defined in Part 2 of Schedule 4 to the SVGA 2006 but is or will be working with adults, as defined in regulation 5(B) of the Criminal Records Regulations 2002, an enhanced certificate issued under section 113B of the PA 1997.
5. A copy of each of its last two annual reports (if any) of the body corporate.
6. Where the organisation is a subsidiary of a holding company, the name and address of the registered or principal office and the last two annual reports (if any) of the holding company and of any other subsidiary of that holding company.
7. The last annual accounts (if any) of the body.
8. A certificate of insurance for the applicant in respect of liability which may be incurred by the applicant in relation to the provision of a social work service.

#### **Disclosure and barring service checks**

- 9.—(1) A statement confirming that—
- (a) the documents specified in sub-paragraph (2) have been issued—
    - (i) in the case of any applicant, to every person, other than the applicant, who works, or is intended to work, for the purposes of the service; and
    - (ii) to the responsible individual; and
  - (b) the applicant will make the documents available for inspection by HMCI if HMCI so requires.
- (2) The following documents are specified—
- (a) where that individual is or will be engaging in activity which is regulated activity within the meaning of Schedule 4 to the SVGA 2006, an enhanced certificate issued under section 113B of the PA 1997, including, as applicable, suitability information relating to children (as defined in section 113BA(2) of that Act) or suitability information relating to vulnerable adults (as defined in section 113BB(2) of that Act);
  - (b) where that individual is or will be engaging in activity which is not regulated activity, relating to children within the meaning of Schedule 4 to the SVGA 2006 but is regulated activity relating to children within the meaning of that Schedule as it had effect immediately before the coming into force of section 64 of the POFA 2012, an enhanced certificate issued under section 113B of the PA 1997;
  - (c) where that individual is or will be engaging in activity which is not regulated activity relating to adults as defined in Part 2 of Schedule 4 to the SVGA 2006 but is or will be working with adults, as defined in regulation 5(B) of the Criminal Records Regulations 2002, an enhanced certificate issued under section 113B of the PA 1997.

## SCHEDULE 5

Regulation 13

Information and documents to be supplied on an application for registration as the manager

### PART 1

#### Information

1. The applicant's full name, date of birth, current address and telephone number.
2. Where applicable, any other addresses the applicant has lived at within five years of making the application.
3. Details of the applicant's professional or technical qualifications and experience so far as such qualifications and experience are relevant to providing a social work service.
4. Details of the applicant's professional training relevant to carrying on or managing a social work service.
5. Details of the applicant's employment history, including the name and address of their present employer and of any previous employers.
6. Details of any business the applicant carries on or manages or has carried on or managed.
7. 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 manage a social work service; and
  - (c) one of whom has employed the applicant for a period of at least 3 months, but the requirement for the name and address of a referee who has employed the applicant for a period of at least 3 months does not apply where it is impracticable to obtain a reference from a person who fulfils that requirement.

### PART 2

#### Documents

8. The applicant's birth certificate.
9. Certificates or other suitable evidence relating to the applicant's professional or technical qualifications, so far as such qualifications are relevant to providing a social work service.
- 10.—(1) Subject to sub-paragraph (2), a report by a general medical practitioner as to whether the applicant is physically and mentally fit to manage a social work service.  
(2) Where the applicant is unable to obtain the report referred to in sub-paragraph (1), a statement by the applicant as to the state of their physical and mental health.
- 11.—(1) Where that individual is or will be engaging in activity which is regulated activity within the meaning of Schedule 4 to the SVGA 2006, an enhanced certificate issued under section 113B of the PA 1997, including, as applicable, suitability information relating to children (as defined in section 113BA(2) of that Act) or suitability information relating to vulnerable adults (as defined in section 113BB(2) of that Act);

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(2) where that individual is or will be engaging in activity which is not regulated activity, relating to children within the meaning of Schedule 4 to the SVGA 2006 but is regulated activity relating to children within the meaning of that Schedule as it had effect immediately before the coming into force of section 64 of the POFA 2012, an enhanced certificate issued under section 113B of the PA 1997;

(3) where that individual is or will be engaging in activity which is not regulated activity relating to adults as defined in Part 2 of Schedule 4 to the SVGA 2006 but is or will be working with adults, as defined in regulation 5(B) of the Criminal Records Regulations 2002, an enhanced certificate issued under section 113B of the PA 1997.

## SCHEDULE 6

Regulation 17

### Particulars to be recorded in the registers kept by HMCI

1. The full name and address of each person registered.
2. The address of the registered office or principal office of the organisation.
3. The full names and addresses of any responsible individual.
4. The full name, address and telephone number of the service.
5. The date of registration and of the issue of the certificate of registration and, where applicable, the date of any cancellation of registration.
6. The details of any conditions imposed on registration, any additional conditions imposed and any variation of any condition.
7. The registration number.
8. The date and nature of any enforcement action being taken against the service.