

SCHEDULE 1

Regulation 3(2)(a)

Information to be supplied on an application for registration
as a person who carries on an establishment or agency

PART 1

Information about the applicant

1. Where the applicant is an individual—

- (a) the responsible person's full name, date of birth, current address and telephone number;
- (b) where applicable, any other addresses the responsible person has lived at within five years of the date of making the application;
- (c) details of the responsible person's professional or technical qualifications and experience of carrying on an establishment or agency, so far as such qualifications and experience are relevant to providing services for persons to whom services are to be provided at the establishment or by the agency;
- (d) details of the responsible person's employment history, including the name and address of their present employer and of any previous employers;
- (e) details of any business the responsible person carries on or has carried on;
- (f) the name and addresses of two referees—
 - (i) who are not relatives of the responsible person;
 - (ii) each of whom is able to provide a reference as to the responsible person's competence to carry on an establishment or agency of the same description as the establishment or agency; and
 - (iii) one of whom has employed the responsible person for a period of at least 3 months,

but the requirement for the name and address of a referee who has employed the responsible person for a period of at least 3 months shall not apply where it is impracticable to obtain a reference from a person who fulfils that requirement;

- (g) if the applicant intends to carry on the establishment or agency in partnership with others, the information specified in sub-paragraphs (a) to (f) of this paragraph in relation to each partner of the applicant.

2. Where the applicant is a partnership—

- (a) the name and address of the partnership;
- (b) in relation to each member of the partnership, the information specified in paragraph 1(a) to (f).

3. Where the applicant is an organisation—

- (a) the name of the organisation and the address of the registered office or principal office of the organisation;
- (b) the full name, date of birth, address and telephone number of the responsible individual;
- (c) details of the professional or technical qualifications of the responsible individual and that individual's experience of carrying on an establishment or agency of the same description as the establishment or agency, so far as such qualifications and experience are relevant to providing services for persons for whom services are to be provided at the establishment or by the agency;

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- (d) if the organisation 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;
4. In all cases except where the applicant is a local authority—
- (a) a reference from a bank expressing an opinion as to the applicant’s financial standing;
 - (b) a statement as to whether the responsible person 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 person has made a composition or arrangement with, or granted a trust deed for, their creditors;
 - (c) a statement as to the applicant’s ability to ensure the financial viability of the establishment or agency for the purpose of achieving the aims and objectives of the establishment or agency set out in its statement of purpose;
 - (d) a business plan in respect of the establishment or agency;
 - (e) details of the cash-flow or, where unavailable, predicted cash-flow in respect of the establishment or agency.

PART 2

Information about the establishment or agency

5. The name, address, telephone number, facsimile number (if any), and electronic mail address (if any) of the establishment or agency.
6. Where the establishment or agency 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.
7. The description of establishment or agency by reference to a description of establishment or agency specified in section 4(8)(a) or (9)(a) of the Act in respect of which the applicant seeks to be registered.
8. The statement of purpose of the establishment or agency.
9. A statement as to the accommodation, facilities and services which are to be provided by the establishment or agency including the extent and, where appropriate, location of such accommodation, facilities and services and where the agency is being operated at more than one site details of the accommodation, facilities and services at each site.
10. Where applicable, details of any travel arrangements between sites.
11. The date on which the establishment or agency was established or is proposed to be established.
12. Details of the scale of charges payable by the service users.
13. In respect of each of the premises to be used by an establishment—
- (a) a description of the premises, including a statement as to whether the premises are purpose-built or have been converted for use as an establishment;
 - (b) a description of the area in which the premises are located.
14. In respect of the premises to be used by an establishment or for the purposes of an agency, a statement as to whether, at the date the application is made, the premises are capable of being used for the purpose of—

- (a) achieving the aims and objectives set out in the statement of purpose of the establishment or agency; and
- (b) providing facilities and services in accordance with the statement referred to in paragraph 9,

without the need for planning permission, building works, or conversion of the premises and, if the premises are not capable of such use at the date the application is made, details of the permission, works or conversion needed.

15. A statement as to the security arrangements, including arrangements for the purposes of—

- (a) safeguarding access to information held by the establishment or agency; and
- (b) restricting access from adjacent premises or, when the premises form part of a building, from other parts of the building.

16. 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, 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.

17. Whether any other business is or will be carried on in the same premises as those of the establishment or agency and, if so, details of that business.

Information about staff posts

18. A list of staff posts at the establishment and the duties and responsibilities attaching to each post.

PART 3

Further information about staff

19. In respect of any person, other than the applicant, who works at, or is intended to work at the establishment or for the purposes of the agency—

- (a) whether the person is, or is intended to be, resident in the premises used as the establishment or for the purposes of the agency; and
- (b) if the person is a relative of any person who has made an application in respect of the establishment or agency, their relationship to such person.

20. Where a person is, or is intended to be resident in the premises used as the establishment or for the purposes of the agency the name, sex and date of birth of that person.