

SCHEDULE 3

Regulation 60

Notifications by the service provider

PART 1

Notifications to the service regulator in respect of all services

1. Any revision to the statement of purpose, 28 days prior to the revised statement of purpose coming into effect.

2. Service provider (individual or organisation) changes their name.

[^{F1}3. Where, on or after 1 April 2020, the service provider is a body corporate, any change in the—

- (a) directors,
- (b) trustees, or
- (c) members of the managing committee,

of the body corporate.

F1 Sch. 3 paras. 3, 3A substituted for Sch. 3 para. 3 (1.4.2020) by [The Regulation and Inspection of Social Care \(Wales\) Act 2016 and Regulated Services \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/389\)](#), regs. 1(2), **9(a)**

3A. Where, on or after 1 April 2020, the service provider is an unincorporated body, any change in the persons who are concerned in the management and control of the body.]

F1 Sch. 3 paras. 3, 3A substituted for Sch. 3 para. 3 (1.4.2020) by [The Regulation and Inspection of Social Care \(Wales\) Act 2016 and Regulated Services \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/389\)](#), regs. 1(2), **9(a)**

4. Where the service provider is an individual, the appointment of a trustee in bankruptcy in relation to that individual.

5. Where the service provider is a body corporate or partnership, the appointment of a receiver, manager, liquidator or provisional liquidator in relation to that [^{F2}body corporate] or partnership.

F2 Words in Sch. 3 para. 5 substituted (1.4.2020) by [The Regulation and Inspection of Social Care \(Wales\) Act 2016 and Regulated Services \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/389\)](#), regs. 1(2), **9(b)**

6. Where the service provider is a partnership, death of one of the partners.

7. Where the service provider is a partnership, any change in the partners.

8. Expected absence of the responsible individual for 28 days or more, 7 days prior to commencement of the absence.

9. The unexpected absence of the responsible individual, no later than 7 days after the commencement of the absence.

10. Unexpected absence of the responsible individual for 28 days or more, where no prior notification has been given, immediately on the expiry of 28 days following the commencement of the absence.

11. Return from absence of the responsible individual.

12. The responsible individual ceases, or proposes to cease, being the responsible individual for the service.

13. Any abuse or allegation of abuse in relation to an individual that involves the service provider and/or a member of staff ^{F3}and/or a volunteer].

F3 Words in Sch. 3 para. 13 added (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(a)**

14. Service provider, responsible individual or appointed manager convicted of a criminal offence.

15. Any allegation of misconduct by a member of staff.

16. Any occurrence of [^{F4}category 3 or 4 pressure damage or unstageable pressure damage].

F4 Words in Sch. 3 para. 16 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(b)**

17. Serious accident [^{F5}or injury to] an individual.

F5 Words in Sch. 3 para. 17 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(c)**

18. The outbreak of any infectious disease.

19. Any incident reported to the police.

20. Any events which prevent, or could prevent, the provider from continuing to provide the service safely.

21. Where accommodation is provided, the death of an individual and the circumstances.

22. Any request to a supervisory body in relation to the application of the deprivation of liberty safeguards (DOLS).

23. The premises are, or are proposed to be, significantly altered or extended.

24. Additional premises are, or are proposed to be acquired.

25. Any proposal to change the address of the principal office, 28 days prior to the change taking place.

PART 2

Additional notifications to the service regulator
where care and support is provided to children

26. Any referral to the DBS pursuant to the Safeguarding Vulnerable Groups Act 2006.

27. Where the service provider, responsible individual or appointed manager is charged with any offence specified in the Schedule to the Safeguarding Vulnerable Groups Act 2006 (Prescribed Criteria and Miscellaneous Provisions) Regulations 2009 ^{F6}, notice of the offence charged and the place of charge.

F6 [S.I. 2009/37](#).

28. Instigation and subsequent outcome of any child protection enquiry involving a child accommodated by the service.

29. Any allegation that a child accommodated by the service has committed a serious offence.

30. [^{F7}Any incident of child sexual or criminal exploitation or suspected child sexual or criminal exploitation].

F7 Words in Sch. 3 para. 30 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(d)**

31. Any incident where an accommodated child goes missing or has an unexplained absence.

PART 3

Notifications to the placing authority where a care home service is provided to children

32. Any abuse or allegation of abuse in relation to a child accommodated by the service that involves the provider or a member of staff.

33. Serious accident [^{F8}or injury to] a child accommodated by the service.

F8 Words in Sch. 3 para. 33 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(e)**

34. Any occurrence of [^{F9}category 3 or 4 pressure damage or unstageable pressure damage.]

F9 Words in Sch. 3 para. 34 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(f)**

35. The outbreak of any infectious disease.

36. Any incident reported to the police.

37. The death of a child accommodated by the service and the circumstances.

38. Any referral to the DBS pursuant to the Safeguarding Vulnerable Groups Act 2006.

39. An allegation that a child accommodated by the service has committed a serious offence.

40. Any incident where an accommodated child goes missing or has an unexplained absence.

41. Instigation and subsequent outcome of any child protection enquiry involving a child accommodated by the service.

42. [^{F10}Any incident of child sexual or criminal exploitation or suspected child sexual or criminal exploitation].

Changes to legislation: There are currently no known outstanding effects for the *The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017, SCHEDULE 3*. (See end of Document for details)

F10 Words in Sch. 3 para. 42 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(g)**

PART 4

Notifications to the local authority in whose area the home is situated where a care home service is provided to children

43. Death of a child and the circumstances.

44. [^{F11}Any incident of child sexual or criminal exploitation or suspected child sexual or criminal exploitation].

F11 Words in Sch. 3 para. 44 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(g)**

45. Any incident where an accommodated child goes missing or has an unexplained absence.

PART 5

Notifications to the appropriate police officer where a care home service is provided to children

46. [^{F12}Any incident of child sexual or criminal exploitation or suspected child sexual or criminal exploitation].

F12 Words in Sch. 3 para. 46 substituted (1.4.2019) by [The Regulated Services \(Service Providers and Responsible Individuals\) \(Wales\) \(Amendment\) Regulations 2019 \(S.I. 2019/757\)](#), regs. 1(2), **17(g)**

PART 6

Notifications to the health board in whose area the home is situated where a care home service is provided to children

47. The outbreak of any infectious disease.

48. The death of a child and the circumstances.

Changes to legislation:

There are currently no known outstanding effects for the The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017, SCHEDULE 3.