

SCHEDULE 1

Regulations 28 and 36

PART 1

Information and documentation to be available in respect of adult placement carers and persons working at the service

1. Proof of identity including a recent photograph.
2. Where required for the purposes of an exempted question in accordance with section 113A(2)(b) of the Police Act 1997⁽¹⁾, a copy of a valid 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) of the Safeguarding Vulnerable Groups Act 2006⁽²⁾ (provision of barring information on request).
3. 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 a valid enhanced criminal record certificate issued under section 113B of that Act together with, where applicable, suitability information relating to vulnerable adults (within the meaning of section 113BB(2) of that Act).
4. Two written references, including a reference from the last employer, if any.
5. Where a person has previously worked in a position whose duties involved work with children or vulnerable adults, so far as reasonably practicable verification of the reason why the employment or position ended.
6. Documentary evidence of any relevant qualification.
7. Where relevant, documentary evidence of registration with SCW.
8. A full employment history, together with a satisfactory written explanation of any gaps in employment.
9. Evidence of satisfactory linguistic ability for the purposes of providing care and support to those individuals for whom the worker or adult placement carer is to provide care and support.
10. Details of registration with or membership of any professional body.

PART 2

Interpretation of Part 1

11. For the purposes of paragraphs 2 and 3 of Part 1 of this Schedule—
 - (a) if the person to whom the certificate relates is not registered with the DBS update service, a certificate is only valid if—
 - (i) it has been issued in response to an application by the service provider in accordance with regulation 28(3) or (6), or 36(3) or (6), and
 - (ii) no more than three years have elapsed since the certificate was issued;
 - (b) if the person to whom the certificate relates is registered with the DBS update service, the certificate is valid regardless of when it was issued.

(1) 1997 c. 50.
(2) 2006 c. 47.

SCHEDULE 2

Regulation 40

Records to be kept in respect of services

Records to be kept

1. In respect of each adult placement carer, records of—
 - (a) full name;
 - (b) sex;
 - (c) date of birth;
 - (d) address;
 - (e) qualifications relevant to, and experience of work involving vulnerable adults;
 - (f) a copy of the carer agreement;
 - (g) a copy of any relevant individual placement agreements;
 - (h) a record of the monitoring undertaken in respect of the placement.
2. In respect of each individual, records of—
 - (a) all relevant assessments;
 - (b) care and support plans;
 - (c) personal plans;
 - (d) reviews of personal plans.
3. A record of any charges by the service provider to individuals for the provision of care and support and any additional services.
4. Where applicable, a record of all medicines kept by the adult placement carer for each individual and the date and time on which they were administered to the individual.
5. A record of all money or other valuables deposited by the individual with the adult placement carer for safekeeping or received on the individual's behalf, which must include a record of—
 - (a) the date on which the money or valuables were deposited or received;
 - (b) the date on which any money or valuables were—
 - (i) returned to the individual, or
 - (ii) used, at the request of the individual, on their behalf;
 - (c) where applicable, the purpose for which the money or valuables were used;
 - (d) the written acknowledgment of the return of the money or valuables.
6. A record of the following events that occur in the home of the adult placement carer—
 - (a) any serious accident or injury which is significantly detrimental to the well-being of an individual;
 - (b) any theft or burglary;
 - (c) any safeguarding referral made in respect of an individual;
 - (d) date and circumstances of any measures of control, restraint or discipline used on an individual.
7. A record of all complaints made by individuals or their representatives or by persons working at the service or by adult placement carers about the operation of the service, and the action taken by the service provider in respect of any such complaint.

8. A record of all persons working at the service, which must include the following matters—
 - (a) the person’s full name, address, date of birth, qualifications and experience;
 - (b) a copy of the person’s birth certificate and passport (if any);
 - (c) a copy of each reference obtained in respect of the person;
 - (d) the dates on which the person commences and ceases to be so employed;
 - (e) the position the person holds at the service, the work he or she performs and the number of hours for which he or she is employed each week;
 - (f) records of disciplinary action and any other records in relation to the person’s employment;
 - (g) a record of the date of a DBS certificate and whether there was any action taken as a result of the content of the certificate.
9. A copy of the duty roster of persons working at the service, and a record of whether the roster was actually worked as intended.

SCHEDULE 3

Regulation 41

Notifications by the service provider

1. Any revision to the statement of purpose, 28 days prior to the revised statement of purpose coming into effect.
2. Where the service provider (individual or organisation) changes their name.
3. Where the service provider is a company, any change in the directors of the company.
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 company or partnership.
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, a member of staff, volunteer and/or a adult placement carer.
14. Where the service provider, responsible individual or appointed manager convicted of a criminal offence.

Status: This is the original version (as it was originally made). This item of legislation is currently only available in its original format.

15. Any allegation of misconduct by a member of staff.
16. Serious accident or injury of an individual placed with an adult placement carer.
17. Any incident reported to the police.
18. Any events which prevent, or could prevent, the service provider from continuing to provide the service safely.
19. The death of an individual placed with an adult placement carer and the circumstances.
20. Any request to a supervisory body in relation to the application of the deprivation of liberty safeguards (DOLS)(3).
21. Any proposal to change the address of the principal office, 28 days prior to the change taking place.

SCHEDULE 4

Regulation 63

Notifications by the responsible individual

1. The appointment of a manager (see regulation 46(1)).
2. The appointment of a manager (see regulation 46(1)).
3. The expected absence of the appointed manager for 28 days or more, 7 days prior to the commencement of the absence.
4. The unexpected absence of the appointed manager, no later than 7 days after the commencement of the absence.
5. The unexpected absence of appointed manager 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.
6. Return from absence of appointed manager.
7. Interim arrangements where the manager is absent for longer than 28 days.
8. Someone other than the appointed manager is proposing to manage or is managing the service.
9. The appointed manager ceases, or proposes to cease, managing the service.

(3) See Part 1 of the Mental Capacity Act 2005 (c. 9).