

## SCHEDULE 3

Regulation 31

### Notifications by the service provider

## PART 1

### Notifications to the service regulator

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

#### Commencement Information

**I1** Sch. 3 para. 1 in force at 29.4.2019, see reg. 1(2)

2. Where the service provider (individual or organisation) changes their name.

#### Commencement Information

**I2** Sch. 3 para. 2 in force at 29.4.2019, see reg. 1(2)

[<sup>F1</sup>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.]

#### Textual Amendments

**F1** Ss. 3, 3A substituted for s. 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)

[<sup>F1</sup>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.]

#### Textual Amendments

**F1** Ss. 3, 3A substituted for s. 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.

#### Commencement Information

**I3** Sch. 3 para. 4 in force at 29.4.2019, see reg. 1(2)

**Changes to legislation:** There are currently no known outstanding effects for the *The Regulated Adoption Services (Service Providers and Responsible Individuals) (Wales) Regulations 2019, SCHEDULE 3*. (See end of Document for details)

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 [<sup>F2</sup>body corporate] or partnership.

#### Textual Amendments

**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\(b\)](#)

#### Commencement Information

**I4** [Sch. 3 para. 5](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

#### Commencement Information

**I5** [Sch. 3 para. 6](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

#### Commencement Information

**I6** [Sch. 3 para. 7](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

#### Commencement Information

**I7** [Sch. 3 para. 8](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

#### Commencement Information

**I8** [Sch. 3 para. 9](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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.

#### Commencement Information

**I9** [Sch. 3 para. 10](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

11. Return from absence of the responsible individual.

**Commencement Information**

**I10** [Sch. 3 para. 11](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

**Commencement Information**

**I11** [Sch. 3 para. 12](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

**13.** Any abuse or allegation of abuse in relation to an individual that involves the service provider and/or a member of staff or volunteer.

**Commencement Information**

**I12** [Sch. 3 para. 13](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

**Commencement Information**

**I13** [Sch. 3 para. 14](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

**Commencement Information**

**I14** [Sch. 3 para. 15](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

**16.** Any incident reported to the police.

**Commencement Information**

**I15** [Sch. 3 para. 16](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

**Commencement Information**

**I16** [Sch. 3 para. 17](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

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

**Commencement Information**

**I17** [Sch. 3 para. 18](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

**Changes to legislation:** There are currently no known outstanding effects for the *The Regulated Adoption Services (Service Providers and Responsible Individuals) (Wales) Regulations 2019, SCHEDULE 3*. (See end of Document for details)

[<sup>F3</sup>18A. Any change of telephone number or electronic mail address for the service.]

#### Textual Amendments

**F3** Sch. 3 para. 18A inserted (31.12.2023) by [The Register of Service Providers \(Prescribed Information and Miscellaneous Amendments\) \(Wales\) Regulations 2023 \(S.I. 2023/1325\)](#), regs. 1(2), 16

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

#### Commencement Information

**I18** Sch. 3 para. 19 in force at 29.4.2019, see [reg. 1\(2\)](#)

20. 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 <sup>M1</sup>, notice of the offence charged and the place of charge.

#### Commencement Information

**I19** Sch. 3 para. 20 in force at 29.4.2019, see [reg. 1\(2\)](#)

#### Marginal Citations

**M1** S.I. 2009/37.

21. Any incident of child sexual or criminal exploitation or suspected child sexual or criminal exploitation.

#### Commencement Information

**I20** Sch. 3 para. 21 in force at 29.4.2019, see [reg. 1\(2\)](#)

22. The death of a child placed for adoption by the service.

#### Commencement Information

**I21** Sch. 3 para. 22 in force at 29.4.2019, see [reg. 1\(2\)](#)

23. The instigation and outcome of any child protection enquiry involving a child placed for adoption by the service.

#### Commencement Information

**I22** Sch. 3 para. 23 in force at 29.4.2019, see [reg. 1\(2\)](#)

## PART 2

Notification to the Local Health Board/ [<sup>F4</sup>integrated care board]  
and [<sup>F5</sup>NHS England] by the provider of an adoption society

### Textual Amendments

- F4** Words in [Sch. 3 Pt. 2](#) heading substituted (1.7.2022) by [The Health and Care Act 2022 \(Consequential and Related Amendments and Transitional Provisions\) Regulations 2022](#) (S.I. 2022/634), regs. 1(2), **96(4)(a)**
- F5** Words in [Sch. 3 Pt. 2](#) heading substituted (6.11.2023) by [The Health and Care Act 2022 \(Further Consequential Amendments\) \(No. 2\) Regulations 2023](#) (S.I. 2023/1071), regs. 1(1), **100(4)(a)**

**24.** Death of a child placed for adoption by the service.

### Commencement Information

- I23** [Sch. 3 para. 24](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

**25.** Any serious accident or injury sustained by a child placed for adoption by the service.

### Commencement Information

- I24** [Sch. 3 para. 25](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

## PART 3

Notification to the Local Health Board/ [<sup>F6</sup>integrated care board]  
and [<sup>F7</sup>NHS England] by the provider of an adoption support agency  
or of an adoption society which provides adoption support services

### Textual Amendments

- F6** Words in [Sch. 3 Pt. 3](#) heading substituted (1.7.2022) by [The Health and Care Act 2022 \(Consequential and Related Amendments and Transitional Provisions\) Regulations 2022](#) (S.I. 2022/634), regs. 1(2), **96(4)(b)**
- F7** Words in [Sch. 3 Pt. 3](#) heading substituted (6.11.2023) by [The Health and Care Act 2022 \(Further Consequential Amendments\) \(No. 2\) Regulations 2023](#) (S.I. 2023/1071), regs. 1(1), **100(4)(b)**

**26.** The death, serious accident or injury of a child in the course of receiving adoption support services from the service.

### Commencement Information

- I25** [Sch. 3 para. 26](#) in force at 29.4.2019, see [reg. 1\(2\)](#)

## PART 4

### Notification to the placing agency

**27.** Any serious complaint about a prospective adopter approved by the agency where a child is placed for adoption with that prospective adopter by another adoption agency.

#### Commencement Information

**I26** Sch. 3 para. 27 in force at 29.4.2019, see [reg. 1\(2\)](#)

## PART 5

### Notifications to the area authority

**28.** The death of a child placed for adoption by the service.

#### Commencement Information

**I27** Sch. 3 para. 28 in force at 29.4.2019, see [reg. 1\(2\)](#)

**29.** Any serious accident or injury sustained by a child placed for adoption by the service.

#### Commencement Information

**I28** Sch. 3 para. 29 in force at 29.4.2019, see [reg. 1\(2\)](#)

**30.** Any serious complaint about a prospective adopter approved by the service where a child is placed for adoption with that prospective adopter by the service.

#### Commencement Information

**I29** Sch. 3 para. 30 in force at 29.4.2019, see [reg. 1\(2\)](#)

**31.** Any serious complaint about a prospective adopter approved by the service where a child is placed for adoption with that prospective adopter by another adoption agency (if not notified as the placing agency).

#### Commencement Information

**I30** Sch. 3 para. 31 in force at 29.4.2019, see [reg. 1\(2\)](#)

**32.** The instigation and outcome of any child protection enquiry involving a child placed for adoption by the service.

#### Commencement Information

**I31** Sch. 3 para. 32 in force at 29.4.2019, see [reg. 1\(2\)](#)

## PART 6

Notifications to the placing authority by the provider of an adoption society

33. The death of a child placed for adoption by the service.

**Commencement Information**

I32 Sch. 3 para. 33 in force at 29.4.2019, see reg. 1(2)

34. Any serious accident or injury sustained by a child placed for adoption by the service.

**Commencement Information**

I33 Sch. 3 para. 34 in force at 29.4.2019, see reg. 1(2)

35. Any serious complaint about a prospective adopter approved by the service where a child is placed for adoption with that prospective adopter by another adoption agency.

**Commencement Information**

I34 Sch. 3 para. 35 in force at 29.4.2019, see reg. 1(2)

36. The instigation and outcome of any child protection enquiry involving a child placed for adoption by the service.

**Commencement Information**

I35 Sch. 3 para. 36 in force at 29.4.2019, see reg. 1(2)

## PART 7

Notifications to the placing authority by the provider of an adoption support agency or adoption society which provides adoption support services

37. The death of a child in the course of receiving adoption support services from the service.

**Commencement Information**

I36 Sch. 3 para. 37 in force at 29.4.2019, see reg. 1(2)

38. Any serious accident or injury sustained by a child in the course of receiving adoption support services from the service.

**Commencement Information**

I37 Sch. 3 para. 38 in force at 29.4.2019, see reg. 1(2)

39. The instigation and outcome of any child protection enquiry involving a child receiving adoption support services from the service.

**Changes to legislation:** There are currently no known outstanding effects for the The Regulated Adoption Services (Service Providers and Responsible Individuals) (Wales) Regulations 2019, SCHEDULE 3. (See end of Document for details)

**Commencement Information**

**I38** Sch. 3 para. 39 in force at 29.4.2019, see [reg. 1\(2\)](#)

## PART 8

### Notification to the relevant authority

**40.** Death or any serious accident or injury sustained by a child in the course of receiving adoption support services.

**Commencement Information**

**I39** Sch. 3 para. 40 in force at 29.4.2019, see [reg. 1\(2\)](#)

## PART 9

### Notification to the police

**41.** Any incident of child sexual or criminal exploitation or suspected child sexual or criminal exploitation.

**Commencement Information**

**I40** Sch. 3 para. 41 in force at 29.4.2019, see [reg. 1\(2\)](#)



**Changes to legislation:**

There are currently no known outstanding effects for the The Regulated Adoption Services (Service Providers and Responsible Individuals) (Wales) Regulations 2019, SCHEDULE 3.