

## SCHEDULE 1

Regulation 4(1)(c)

### INFORMATION TO BE INCLUDED IN THE STATEMENT OF PURPOSE

1. The name and business address of every registered person.
2. The relevant qualifications and experience of every registered person.
3. The number, relevant qualifications and experience of the staff working at the care home.
4. The organisational structure of the care home.
5. The age-range and sex of the service users for whom it is intended that accommodation should be provided.
6. The range of needs that the care home is intended to meet.
7. Whether nursing is to be provided.
8. Any criteria used for admission to the care home, including the care home's policy and procedures (if any) for emergency admissions.
9. The arrangements for service users to engage in social activities, hobbies and leisure interests.
10. The arrangements made for consultation with services users about the operation of the care home.
11. The fire precautions and associated emergency procedures in the care home.
12. The arrangements made for service users to attend religious services of their choice.
13. The arrangements made for contact between services users and their relatives, friends and representatives.
14. The arrangements for dealing with complaints.
15. The arrangements for dealing with reviews of the service user's plan referred to in regulation 15(1).
16. The number and size of rooms in the care home.
17. Details of any specific therapeutic techniques used in the care home and arrangements made for their supervision.
18. The arrangements for respecting the privacy and dignity of service users.
19. The arrangements made to discharge the obligation of the registered person under regulation 12 (4)(b).
20. Details of—
  - (a) the care home's policy on behaviour management and the use of restraint;
  - (b) the methods of control that may be used in the home (if any) and the circumstances in which, and by whom, they may be used.

## SCHEDULE 2

Regulations 7, 9, 19

### INFORMATION AND DOCUMENTS TO BE AVAILABLE IN RESPECT OF PERSONS CARRYING ON, MANAGING, OR WORKING AT, CARE HOMES

1. Proof of identity including a recent photograph.

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2. Either—

- (a) where the certificate is required for a purpose relating to section 115(5)(ea) of the Police Act 1997 (registration under Part II of the Care Standards Act 2000) (1), or the position falls within section 115(3) or (4) of the Police Act 1997(2), an enhanced criminal record certificate issued under section 115 of that Act in respect of which less than three years have elapsed since it was issued; or
- (b) in any other case, a criminal record certificate issued under section 113 of that Act in respect of which less than three years have elapsed since it was issued,

including, where applicable, the matters specified in section 113(3A) or (3C) or 115(6A) or (6B) of that Act(3).

3. Two written references, including a reference from the last employer, if any.

4. 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.

5. Documentary evidence of any relevant qualification.

6. A full employment history, together with a satisfactory written explanation of any gaps in employment.

7. Details of any criminal offences—

- (a) of which the person has been convicted, including details of any convictions which are spent within the meaning of section 1 of the Rehabilitation of Offenders Act 1974(4) and which may be disclosed by virtue of the Rehabilitation of Offenders Act 1975 (Exceptions) Order 1975 (as that Order stands amended from time to time)(5); or
- (b) in respect of which he or she has been cautioned by a constable and which, at the time the caution was given, he or she admitted.

### SCHEDULE 3

Regulation 17(1)(a)

#### RECORDS TO BE KEPT IN A CARE HOME IN RESPECT OF EACH SERVICE USER

1. The following documents in respect of each service user—

- (a) the assessment referred to in regulation 14(1);
- (b) the service user's plan referred to in regulation 15(1).

2. A recent photograph of the service user.

3. A record of the following matters in respect of each service user—

- (a) the name, address, date of birth and marital status of each service user;

(1) Section 115(ea) is inserted by the Care Standards Act 2000, section 104, on a date to be appointed. Sections 113 and 115, as amended, have not yet been brought into force.

(2) A position is within section 115(3) if it involves regularly caring for, training, supervising or being in sole charge of persons aged under 18. A position is within section 115(4) if it is of a kind specified in regulations and involves regularly caring for, training, supervising or being in sole charge of persons aged 18 or over.

(3) Sections 113(3A) and 115(6A) are added to the Police Act 1997 by section 8 of the Protection of Children Act 1997 (c. 14) from a date to be appointed, and amended by section 104 and 116 of, and paragraph 25 of Schedule 4 to, the Care Standards Act 2000. Sections 113(3C) and 115(6B) are added to the Police Act 1997 by section 90 of the Care Standards Act 2000 on a date to be appointed.

(4) 1974 c. 53.

(5) S.I.1975/1023. At the coming into force of these regulations the following instruments have made relevant amendments to the Order: S.I. 1986/1249; 1986/2268; and S.I. 2001/1192.

- (b) the name, address and telephone number of the service user's next of kin or of any person authorised to act on his or her behalf;
  - (c) the name, address and telephone number of the service user's general practitioner and of any officer of a local social services authority whose duty it is to supervise the welfare of the service user;
  - (d) the date on which the service user entered the care home;
  - (e) the date on which the service user left the care home and the place he or she went to;
  - (f) if the service user died at the care home, the date, time and cause of death;
  - (g) the name and address of any authority, organisation or other body which arranged the service user's admission to the care home;
  - (h) a record of all medicines kept in the care home for the service user, and the date on which they were administered to the service user;
  - (i) a record of any accident affecting the service user in the care home and of any other incident in the care home which is detrimental to the health or welfare of the service user, which record shall include the nature, date and time of the accident or incident, whether medical treatment was required and the name of the persons who were respectively in charge of the care home and supervising the service user;
  - (j) a record of any nursing provided to the service user, including a record of his or her condition and any treatment or surgical intervention;
  - (k) details of any specialist communications needs of the service user and methods of communication that may be appropriate to the service user;
  - (l) details of any plan relating to the service user in respect of medication, nursing, specialist health care or nutrition;
  - (m) a record of incidence of pressure sores and of consequent treatment provided to the service user;
  - (n) a record of falls and of consequent treatment provided to the service user;
  - (o) a record of any physical restraint used on the service user;
  - (p) a record of any limitations agreed with the service user as to the service user's freedom of choice, liberty of movement and power to make decisions.
4. Copies of the care home's correspondence relating to each service user.

#### SCHEDULE 4

Regulation 17(2)

##### OTHER RECORDS TO BE KEPT IN A CARE HOME

1. A copy of the statement of purpose.
2. A copy of the service user's guide.
3. A record of all accounts kept in the care home.
4. A copy of all inspection reports.
5. A copy of any report made under regulation 27(4)(c).
6. A record of all persons working at the care home, which shall include in respect of an individual falling within regulation 19(1) the following matters—
  - (a) his or her full name, address, date of birth, qualifications and experience;

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- (b) a copy of his or her birth certificate and passport (if any);
  - (c) a copy of each reference obtained in respect of him or her;
  - (d) the dates on which he or she commences and ceases to be so employed;
  - (e) the position he or she holds at the care home, the work that he or she performs and the number of hours for which he or she is employed each week;
  - (f) correspondence, reports, records of disciplinary action and any other records in relation to his or her employment.
7. A copy of the duty roster of persons working at the care home, and a record of whether the roster was actually worked.
8. A record of the care home's charges to service users, including any extra amounts payable for additional services not covered by those charges, and the amounts paid by or in respect of each service user.
9. A record of all money or other valuables deposited by a service user for safekeeping or received on the service user's behalf, which—
- (a) shall state the date on which the money or valuables were deposited or received, the date on which any money or valuables were returned to a service user or used, at the request of the service user, on his behalf and, where applicable, the purpose for which the money or valuables were used; and
  - (b) shall include the written acknowledgement of the return of the money or valuables.
10. A record of furniture brought by a service user into the room occupied by him or her.
11. A record of all complaints made by service users or representatives or relatives of service users or by persons working at the care home about the operation of the care home, and the action taken by the registered person in respect of any such complaint.
12. A record of any of the following events that occur in the care home—
- (a) any accident;
  - (b) any incident which is detrimental to the health or welfare of a service user, including the outbreak of infectious disease in the care home;
  - (c) any injury or illness;
  - (d) any fire;
  - (e) except where a record has been made under paragraph 14, any occasion on which the fire alarm equipment is operated;
  - (f) any theft or burglary.
13. Records of the food provided for service users in sufficient detail to enable any person inspecting the record to determine whether the diet is satisfactory, in relation to nutrition and otherwise, and of any special diets prepared for individual service users.
14. A record of every fire practice, drill or test of fire equipment (including fire alarm equipment) conducted in the care home and of any action taken to remedy defects in the fire equipment.
15. A statement of the procedure to be followed in the event of a fire, or where a fire alarm is given.
16. A statement of the procedure to be followed in the event of accidents or in the event of a service user becoming missing.
17. A record of all visitors to the care home, including the names of visitors.

## SCHEDULE 5

Regulations 4 and 30

### ADDITIONAL INFORMATION TO BE INCLUDED IN THE STATEMENT OF PURPOSE WHERE CHILDREN ARE ACCOMMODATED

1. A statement of the facilities and services to be provided, within and outside the home, for the children accommodated in the home.
2. The following details—
  - (a) the age-range, sex and numbers of children for whom it is intended that accommodation should be provided;
  - (b) whether it is intended to accommodate children who are disabled, have special needs, or any other special characteristics;
  - (c) the range of needs (other than those mentioned in sub-paragraph (b)) that the home is intended to meet.
3. The criteria used for admission to the care home, including the care home's policy and procedures for emergency admissions (if the care home provides for emergency admissions).
4. If the care home provides or is intended to provide accommodation for more than six children, a description of the positive outcomes intended for children in a care home of such a size, and a description of the care home's strategy for counteracting any adverse effects arising from its size, for the children accommodated there.
5. A description of the care home's ethos and philosophy, and the theoretical or therapeutic basis for the care provided.
6. The arrangements made to protect and promote the health of the children accommodated in the care home.
7. The arrangements for the promotion of the education of the children accommodated in the care home, including the facilities for private study.
8. The arrangements to promote the participation of children in hobbies and recreational, sporting and cultural activities.
9. The arrangements made for consultation with the children accommodated in the care home about its operation.
10. The arrangements for child protection and to counter bullying.
11. The procedure for dealing with any unauthorised absence of a child from the care home.
12. The fire precautions and associated emergency procedures made for children in the care home.
13. The arrangements made for the children's religious instruction and observance.
14. The arrangements made for contact between any child accommodated in the care home and his or her parents, relatives and friends.
15. The arrangements for dealing with complaints.
16. The arrangements for dealing with reviews of placement plans.
17. The type of accommodation and sleeping arrangements provided (including details of any zones for particular types of children) and the circumstances in which children may share bedrooms.
18. Details of any specific therapeutic techniques used in the care home and arrangements for their supervision.

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**19.** Details of the care home's policy on anti-discriminatory practice in relation to children and children's rights.

**SCHEDULE 6**

Regulations 25 and 36(a)

**MATTERS TO BE MONITORED AT A CARE HOME  
WHERE CHILDREN ARE ACCOMMODATED**

- 1.** Compliance with any plan for the care of the child prepared by the placing authority and the placement plan of each child accommodated in the care home.
- 2.** The deposit and issue of money and other valuables handed in for safekeeping.
- 3.** Daily menus.
- 4.** All accidents and injuries sustained in the care home or by children accommodated there.
- 5.** Any illnesses of children accommodated in the care home.
- 6.** Complaints in relation to children accommodated in the care home and their outcomes.
- 7.** Any allegations or suspicions of abuse in respect of children accommodated in the care home and the outcome of any investigation.
- 8.** Staff recruitment records and conduct of required checks for new workers in the care home.
- 9.** Visitors to the care home and to children in the care home.
- 10.** Notifications of the events listed in Schedule 5 to the Children's Homes (Wales) Regulations 2002.
- 11.** Any unauthorised absence from the care home of a child accommodated there.
- 12.** The use of any disciplinary measures in respect of children accommodated in the care home.
- 13.** The use of physical restraint in respect of children accommodated in the care home.