

## SCHEDULE 1

Regulations 2(1) and 23

### PART 1

#### Information and documentation to be available in respect of persons working in regulated services

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<sup>(1)</sup>, 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<sup>(2)</sup> (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 children (within the meaning of section 113BA(2) of that Act) or 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 support to those individuals for whom the worker is to provide 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 23(3) or (6) (fitness of staff), and
    - (ii) no more than three years have elapsed since the certificate was issued;

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(1) 1997 c. 50.

(2) 2006 c. 47. Sections 30 to 32 of the Safeguarding Vulnerable Groups Act 2006 as originally enacted are to be replaced by new sections 30A and 30B as a result of substitutions made by section 72(1) of the Protection of Freedoms Act 2012. Section 72(1) is to be commenced on a day to be appointed.

*Status: This is the original version (as it was originally made).*

- (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.

## SCHEDULE 2

Regulations 2(1) and 30

### Records to be kept

1. In respect of each individual—
  - (a) full name;
  - (b) date of birth;
  - (c) whether the person is—
    - (i) a child who may be adopted, their parent or guardian;
    - (ii) a person wishing to adopt a child;
    - (iii) an adopted person, their parent, birth parent, former guardian or related person;
  - (d) description of support requested;
  - (e) description of need for support along with any assessment of that need;
  - (f) description of support provided;
  - (g) whether the support is provided on behalf of a local authority under regulations made under section 3(4)(b) of the 2002 Act;
  - (h) plans including—
    - (i) adoption support plans;
    - (ii) care and support plans;
    - (iii) placement plans;
  - (i) reviews of plans referred to in sub-paragraph (h).
2. A record of any charges by the service provider to individuals for the provision of support and any additional services.
3. A record of all complaints made by individuals or their representatives or by persons working at the service about the operation of the service, and the action taken by the service provider in respect of any such complaint.
4. A record of all persons working at the service, which must include the following matters—
  - (a) full name and home address;
  - (b) date of birth;
  - (c) qualifications relevant to, and experience of, working with individuals;
  - (d) the dates on which the person commences and ceases to be so employed;
  - (e) whether the person is employed by the service provider under a contract of service, a contract for services, or otherwise than under contract, or is employed by someone other than the service provider;
  - (f) the position the person holds at the service, the work the person performs and the number of hours for which the person is employed each week;
  - (g) a copy of the person's birth certificate and passport (if any);
  - (h) a copy of each reference obtained in respect of the person;
  - (i) training undertaken by the person, their supervision and appraisal;

- (j) records of disciplinary action and any other records in relation to the person's employment;
- (k) a record of the date of the person's latest DBS certificate and whether there was any action taken as a result of the content of the certificate.

## 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.
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 and/or a member of staff or volunteer.
14. Service provider, responsible individual or appointed manager convicted of criminal offence.
15. Any allegation of misconduct by a member of staff.
16. Any incident reported to the police.
17. Any events which prevent, or could prevent, the provider from continuing to provide the service safely.
18. Any proposal to change the address of the principal office, 28 days prior to the change taking place.

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19. Any referral to the DBS pursuant to the Safeguarding Vulnerable Groups Act 2006.
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(3), notice of the offence charged and the place of charge.
21. Any incident of child sexual or criminal exploitation or suspected child sexual or criminal exploitation.
22. The death of a child placed for adoption by the service.
23. The instigation and outcome of any child protection enquiry involving a child placed for adoption by the service.

## PART 2

Notification to the Local Health Board/clinical commissioning group and National Health Service Commissioning Board by the provider of an adoption society

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

## PART 3

Notification to the Local Health Board/clinical commissioning group and National Health Service Commissioning Board by the provider of an adoption support agency or of an adoption society which provides adoption support services

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

## 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.

## PART 5

Notifications to the area authority

28. The death of a child placed for adoption by the service.
29. Any serious accident or injury sustained by a child placed for adoption by the service.
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.

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

**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).

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

## 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.

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

**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.

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

## 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.

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

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

## 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.

## PART 9

Notification to the police

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

## SCHEDULE 4

Regulation 53

### Notifications by the responsible individual

1. The appointment of a manager (see regulation 37(1)).
2. The expected absence of the appointed manager for 28 days or more, 7 days prior to the commencement of the absence.
3. The unexpected absence of the appointed manager, no later than 7 days after the commencement of the absence.
4. 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.
5. Return from absence of appointed manager.
6. Interim arrangements where the manager is absent for longer than 28 days.
7. Someone other than the appointed manager is proposing to manage or is managing the service.
8. The appointed manager ceases, or proposes to cease, managing the service.