

SCHEDULE 1

Regulation 3(1)(c)

INFORMATION TO BE INCLUDED IN THE STATEMENT OF PURPOSE

1. The name and address of the registered provider and of any registered manager.
2. The relevant qualifications and experience of the registered provider and any registered manager.
3. The number, relevant qualifications and experience of the staff working at the residential care home.
4. The philosophy of care.
5. The status and constitution of the home.
6. The organisational structure of the home.
7. The number of residents to be accommodated or provided with services.
8. The range of needs, (categories of care) that the home is intended to meet and the number in each category.
9. Any criteria used for admission to the home, including the home's policy and procedures (if any) for emergency admissions.
10. The arrangements for residents to engage in social activities, hobbies and leisure interests.
11. The arrangements made for consultation with residents about the operation of the home.
12. The fire precautions and associated emergency procedures in the home.
13. The arrangements made, so far as is practicable that residents have the opportunity to attend religious services of their choice.
14. The arrangements made for contact between residents and their relatives, friends, representatives, and the local community where practicable.
15. The arrangements for dealing with complaints.
16. The arrangements made for dealing with reviews of the resident's care plan referred to in regulation 16(1).
17. The number and size of rooms in the home.
18. Details of any specific therapeutic techniques used in the home and arrangements made for their supervision.
19. The arrangements made for respecting the privacy and dignity of residents.

SCHEDULE 2

Regulation 7, 9, 21

INFORMATION AND DOCUMENTS TO BE OBTAINED IN RESPECT OF PERSONS CARRYING ON, MANAGING OR WORKING AT A RESIDENTIAL CARE HOME

1. Proof of the person's identity, including a recent photograph.
2. Either –

Status: This is the original version (as it was originally made).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

- (a) where a certificate is required for a purpose relating to registration under Part III of the Order, or the position falls within section 115(3) or (4) of that Act, an enhanced criminal record certificate issued under section 115 of the Police Act 1997(1);
 - (b) in any other case, a criminal certificate issued under section 113 of that Act, including, where applicable, the matters specified in sections 113(3EA) and 115(6EA)(2) of that Act and the following provisions once they are in force, namely section 113(3EC)(a) and (b) and section 115(6EB) (a) and (b)(3) of that Act.
3. Two written references relating to the person, including a reference from the person's present or most recent 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 is reasonably practicable, verification of the reason why the employment or position ended.
 5. Details and documentary evidence of any relevant qualifications or accredited training of the person and if applicable, registration with an appropriate professional regulatory body.
 6. A full employment history, together with a satisfactory written explanation of any gaps in employment.
 7. Evidence that the person is physically and mentally fit for the purposes of the work which he is to perform at the home or, where it is impracticable for the person to obtain such evidence, a declaration signed by the person that he is so fit.

SCHEDULE 3

Regulation 19(1)(a)

RECORDS TO BE KEPT IN A RESIDENTIAL CARE HOME IN RESPECT OF EACH RESIDENT

1. The following documents in respect of each resident –
 - (a) the assessment of needs and associated care plan, referred to in regulation 15(1);
 - (b) the resident's care plan referred to in regulation 16(1).
2. A recent photograph of the resident.
3. A record of the following matters in respect of each resident –
 - (a) the name, address, date of birth and marital status of each resident;
 - (b) the name, address and telephone number of the resident's next of kin or of any person authorised to act on his behalf;
 - (c) the name, address and telephone number of the resident's general practitioner and of any officer of a HSS Trust whose duty it is to supervise the welfare of the resident;
 - (d) the date on which the resident was admitted to the residential care home;
 - (e) the date on which the resident was discharged from the home;
 - (f) if the resident is transferred to another home, nursing home or to a hospital, the name of the home or hospital and the date on which the resident is transferred;
 - (g) if the resident died at the home, the date and time of death;

(1) 1997 c. 50

(2) Section 113(3EA) and 115(6EA) are inserted by S.I.2003/417 (N.I. 4) Article 17

(3) Section 113(3EC) and 115(6EB) are inserted by S.I. 2003/417 (N.I. 4) Article 47

- (h) the name and address of any HSS Trust, organisation or other body, which arranged the resident's admission to the home;
 - (i) a record of all medicines kept in the home for the resident, and the date on which they were administered to the resident;
 - (j) a record of any accident affecting the resident in the home and of any other incident in the home which is detrimental to the care, health, safety or welfare of the resident, which record shall include the nature, date and time of the accident or incident, whether medical treatment was required and the name of the individuals who were supervising the resident;
 - (k) a contemporaneous note of all care and services provided to the resident, including a record of his condition and any treatment or other intervention;
 - (l) details of any specialist communications needs of the resident and methods of communication that may be appropriate to the resident;
 - (m) details of any health care plan relating to the resident in respect of medication, specialist health care provision or nutrition;
 - (n) the wishes of the resident regarding any specific arrangements at the time of death;
 - (o) a record of falls and of treatment provided to the resident;
 - (p) a record of incidence of pressure ulcers and of treatment provided to the resident;
 - (q) a record of any restraint used in relation to the resident;
 - (r) a record of any limitations agreed with the residents to the resident's freedom of choice, liberty of movement and power to make decisions.
4. A copy of correspondence relating to each resident.

SCHEDULE 4

Regulation 19(2)

OTHER RECORDS TO BE KEPT IN A RESIDENTIAL CARE HOME

1. A copy of the statement of purpose.
2. A copy of the resident's guide.
3. A record of all accounts relating to the residential care home including a record of resident's fees and financial arrangements that are handled by the home and a record of persons working at the home acting as the appointee or agent of a resident.
4. A copy of all inspection reports.
5. A copy of any report made under regulation 29(4)(c) or a copy of any written record or report made under regulation 30.
6. A record of all persons employed at the home, which includes in respect of each person so employed –
 - (a) his full name, address, date of birth, qualifications and experience and if applicable, confirmation of his registration status with an appropriate professional regulatory body;
 - (b) a copy of his birth certificate and passport (if any);
 - (c) a copy of each reference obtained in respect of him;
 - (d) the dates on which he commences and ceases to be so employed;
 - (e) the position he holds at the home, the work that he performs and the number of hours for which he is employed each week;

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

- (f) correspondence, reports, records of disciplinary action and any other records in relation to his employment including the recruitment process under which he was appointed.
 - (g) the training and development activities completed by him.
7. A copy of the duty roster of persons working at the home, and a record of whether the roster was actually worked.
8. A record of the home's charges to residents, including any separate amounts payable for additional services not covered by those charges, and the amounts paid by or in respect of each resident.
9. A record of all money or other valuables deposited by a resident for safekeeping or received on the resident'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 resident or used, at the request of the resident, 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 and personal possessions brought by a resident into the room occupied by him.
11. A record of all complaints made by residents or representatives or relatives of residents or by persons working at the home about the operation of the 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 home –
- (a) any accident;
 - (b) any incident which is detrimental to the care, health, safety or welfare of a resident, including the outbreak of infectious disease in the home;
 - (c) any injury or serious illness;
 - (d) any fire;
 - (e) except where a record to which paragraph 14 refers is to be made, any occasion on which the fire alarm equipment is operated;
 - (f) any theft or burglary.
13. Records of the food provided for residents 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 residents.
14. A record of every fire practice, drill or test of fire equipment (including fire alarm equipment) conducted in the home, including staff attending, 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 activated.
16. A statement of the procedure to be followed in the event of accidents or in the event of a resident becoming missing.
17. A record of charges made to residents for transport and the amounts paid by or in respect of each resident.
18. Where residents collectively own the vehicles –
- (a) a record is kept with the amounts paid by or in respect for each resident running the vehicle;

- (b) a record is kept of journeys made and names of residents being transported.
- 19. A record of the programme of events and activities that includes the name of the person leading the activity and the names of those who participated.
- 20. A record of all staff meetings held and the names of all those attending.
- 21. A record of training undertaken as referred to in Regulation 20(1)(c)(i).
- 22. A record of all visitors to the home, including the names of all visitors.