

## SCHEDULE 1

Regulation 5(1)

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

1. A statement of the aims and objectives of the agency.
2. The nature and range of the services which the agency provides.
3. The name and address of the registered provider and of any registered manager.
4. The relevant qualifications and experience of the registered provider and any registered manager.
5. The range of qualifications of the domiciliary care workers supplied by the agency and the types of settings in which they are supplied to work.
6. The complaints procedure established in accordance with regulation 22.
7. Status, constitution and organisational structure, which identify the lines of accountability and specify the roles and responsibilities for areas of activity.
8. A description of the agency's underlying ethos and philosophy of care.

## SCHEDULE 2

Regulations 8(3) and 10(2)

### INFORMATION AND DOCUMENTS REQUIRED IN RESPECT OF REGISTERED PROVIDERS AND MANAGERS OF AN AGENCY

1. Proof of identity, including a recent photograph.
2. When Part V of the Police Act 1997(1) is commenced in Northern Ireland, either—
  - (a) where a certificate is required for a purpose which is prescribed by regulations under section 113B of that Act, an enhanced criminal record certificate issued under that section; or
  - (b) in any other case, a criminal record certificate issued under section 113A of that Act,and an application for either certificate shall be accompanied where applicable by an adult's suitability statement under section 113D 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 the person has previously worked in a position which involved work with children or vulnerable adults, verification, so far as reasonably practicable, of the reason why he ceased to work in that position.
5. Details and documentary evidence of any relevant qualifications or accredited training
6. A full employment history, together with a satisfactory written explanation of any gaps in employment.
7. Details of health record.
8. Details of registration with, or membership of, any professional regulatory body.
9. Details of any professional indemnity insurance.

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(1) 1997 c. 50

SCHEDULE 3

Regulation 13

INFORMATION AND DOCUMENTS REQUIRED  
IN RESPECT OF DOMICILIARY CARE WORKERS

1. Name, address, date of birth and telephone number.
2. Name, address and telephone number of next of kin
3. Proof of identity, including a recent photograph.
4. Two written references, relating to the person, including a reference from the person's present or most recent employer, if any.
5. Where the person has previously worked in a position which involved work with children or vulnerable adults, verification, so far as reasonably practicable, of the reason why he ceased to work in that position.
6. Evidence of a satisfactory knowledge of the English language, where the person's qualifications were obtained outside the United Kingdom.
7. Details and documentary evidence of any relevant qualifications or accredited training of the person and, if applicable, registration with an appropriate regulatory body.
8. A full employment history, together with a satisfactory written explanation of any gaps in employment and details of any current employment other than for the purposes of the agency.
9. Details of physical and mental health record, including immunisation status.
10. A statement by the registered provider, or the registered manager, as the case may be, that the person is physically and mentally fit for the purposes of the work which he is to perform.
11. Details of any professional indemnity insurance.
12. When Part V of the Police Act 1997 is commenced in Northern Ireland, either—
  - (a) where a certificate is required for a purpose which is prescribed by regulations under section 113B of that Act, an enhanced criminal record certificate issued under that section; or
  - (b) in any other case, a criminal record certificate issued under section 113A of that Act, and an application for either certificate shall be accompanied where applicable by an adult's suitability statement under section 113D of that Act.

SCHEDULE 4

Regulation 21(1)

RECORDS TO BE MAINTAINED FOR INSPECTION

**Records relating to domiciliary care workers and service users**

1. Copies of all agreements between the agency and domiciliary care workers supplied or to be supplied by the agency and evidence that a copy of any standard terms and conditions has been supplied by the agency to each domiciliary care worker, including recruitment and selection records in respect of all domiciliary care workers supplied by an agency.
2. Copies of any statement given to a service user setting out the qualifications and relevant experience of a domiciliary care worker supplied to that service user.

3. An alphabetical index of service users, including the full name, address and telephone number of each of them and any serial numbers assigned to them.

4. An alphabetical index of domiciliary care workers supplied or available for supply by the agency, including any serial numbers assigned to them.

5. Details of each supply of a domiciliary care worker to a service user.

#### **Records relating to training and development of staff**

6. Where the agency is acting otherwise than as an employment agency, details of the training undertaken by all employees including, where applicable, induction training.

7. Annual staff appraisals.

#### **Other records**

8. All information provided to the Regulation and Improvement Authority for the purposes of registration in relation to the agency.

9. Details of every allegation of abuse, neglect or other harm made against an employee of, or any domiciliary care worker who works for, the agency, (whether or not the subject of a complaint made under regulation 22), including details of the investigations made, the outcome and any action taken in consequence.

10. Details of any physical restraint used on a service user by a person who works as a domiciliary care worker for the purposes of the agency.

11. The service user plan devised for each service user in accordance with regulation 15, and a detailed record of the prescribed services provided to that service user.