

SCHEDULE 1

Regulation 4(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 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 service 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 service users and their relatives, friends and representatives.
14. The arrangements made for dealing with complaints.
15. The arrangements made 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 made for respecting the privacy and dignity of service users.

SCHEDULE 2

Regulation 7, 9, 19

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

1. Proof of the person's identity, including a recent photograph.
2. The person's birth certificate.
3. The person's current passport (if any).
4. Documentary evidence of any relevant qualifications of the person.
5. Two written references relating to the person.

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6. Evidence that the person is physically and mentally fit for the purposes of the work which he is to perform at the care home or, where it is impracticable for the person to obtain such evidence, a declaration signed by the person that he is so fit.

7. 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 that Act(2), an enhanced criminal record certificate issued under section 115 of that Act; or

(b) in any other case, a criminal record certificate issued under section 113 of that Act,

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

8. 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 1974 (Exceptions) Order 1975(5); or

(b) in respect of which he has been cautioned by a constable and which, at the time the caution was given, he 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 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;

(b) the name, address and telephone number of the service user's next of kin or of any person authorised to act on his 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;

(1) 1997 c. 50. Section 115(5)(ea) was 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) Section 113(3A) and 115(6A) are added to the Police Act 1997 by section 8 of the Protection of Children Act 1999 (c. 14), and amended by sections 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. Relevant amending instruments are S.I. 1986/1249, 1986/2268, 2001/1192.

- (f) if the service user is transferred to another care home or to a hospital, the name of the care home or hospital and the date on which the service user is transferred;
 - (g) if the service user died at the care home, the date, time and cause of death;
 - (h) the name and address of any authority, organisation or other body, which arranged the service user's admission to the care home;
 - (i) 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;
 - (j) 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;
 - (k) a record of any nursing provided to the service user, including a record of his condition and any treatment or surgical intervention;
 - (l) details of any specialist communications needs of the service user and methods of communication that may be appropriate to the service user;
 - (m) details of any plan relating to the service user in respect of medication, nursing, specialist health care or nutrition;
 - (n) a record of incidence of pressure sores and of treatment provided to the service user;
 - (o) a record of falls and of treatment provided to the service user;
 - (p) a record of any physical restraint used on the service user;
 - (q) 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. A copy of 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 26(4)(c).
6. A record of all persons employed at the care home, including in respect of each person so employed, including—
 - (a) his full name, address, date of birth, qualifications and experience;
 - (b) a copy of his birth certificate and passport;
 - (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 care home, the work that he performs and the number of hours for which he is employed each week;

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- (f) correspondence, reports, records of disciplinary action and any other records in relation to his 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.
- 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 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 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 29

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

1. The following details about the children for whom it is intended that accommodation should be provided—
 - (a) their age-range;
 - (b) their sex;
 - (c) the number of children;
 - (d) whether they are disabled, have special needs or any other special characteristics; and
 - (e) the range of needs that the care home is intended to meet.
2. Any criteria used for admission to the care home, including the care home's policy and procedures for emergency admissions, if applicable.
3. 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 of the care home's strategy for counteracting any adverse effects arising from its size, on the children accommodated there.
4. A description of the care home's underlying ethos and philosophy, and where this is based on any theoretical or therapeutic model, a description of that model.
5. The facilities and services to be provided or made available, within and outside the care home, for the children accommodated there.
6. The arrangements made to protect and promote the health of the children accommodated there.
7. The arrangements for the promotion of the education of the children accommodated there, including the facilities for private study.
8. The arrangements to promote children's participation in hobbies and recreational, sporting and cultural activities.
9. The arrangements made for consultation with the children accommodated there about the operation of the care home.
10. The policy on behaviour management and the use of restraint in the care home, including in particular the methods of control and discipline and the disciplinary measures which may be used, the circumstances in which any such measures will be used and who will be permitted to use and authorise them.
11. The arrangements for child protection and to counter bullying.
12. The fire precautions and associated emergency procedures in the care home.
13. The arrangements made for the children's religious instruction and observance.
14. The arrangements made for contact between a child accommodated there and his parents, relatives and friends.
15. The procedure for dealing with any unauthorised absence of a child from the care home.
16. The arrangements for dealing with complaints.
17. The arrangements for dealing with reviews of the placement plans of children accommodated there.

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18. The type of accommodation and sleeping arrangements provided, and, where applicable, how children are to be grouped, and in what circumstances they are to share bedrooms.

19. Details of any specific therapeutic techniques used in the care home and arrangements for their supervision.

20. A description of the care home's policy on anti-discriminatory practice in relation to children and children's rights.

SCHEDULE 6

Regulations 19 and 33(b)

ADDITIONAL INFORMATION AND DOCUMENTS TO BE OBTAINED IN RESPECT OF PERSONS WORKING AT A CARE HOME WHERE CHILDREN ARE ACCOMMODATED

- 1.** Two written references, including a reference from the last employer.
- 2.** 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.
- 3.** A full employment history, together with a satisfactory written explanation of any gaps in employment.

SCHEDULE 7

Regulations 24 and 35(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 Regulations 2001.
- 11.** Any unauthorised absence from the care home of a child accommodated there.
- 12.** The use of 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.