

SCHEDULE 2

Regulation 3(2)(b)

Documents to be supplied on an application for registration as a person who carries on an establishment or agency

Documents concerning applicant

1. The responsible person's birth certificate.
2. Certificates or other suitable evidence relating to the responsible person's professional or technical qualifications, so far as such qualifications are relevant to providing services for persons for whom services are to be provided at the establishment or by the agency.
- 3.—(1) Subject to sub-paragraph (2), a report by a general medical practitioner as to whether the responsible person is physically and mentally fit to carry on an establishment or agency of the same description as the establishment or agency.
(2) Where the responsible person is unable to obtain the report referred to in sub-paragraph (1), a statement by the responsible person as to the state of his physical and mental health.
4. In relation to the responsible person—
 - (a) an enhanced criminal record certificate issued under section 113B of the Police Act 1997(1) which includes, as applicable, suitability information relating to vulnerable adults (as defined in section 113BB(2) of that Act) or suitability information relating to children (as defined in section 113BA(2) of that Act) or both; and
 - (b) the application for that certificate which was signed by the CI.
5. Where the applicant is a body corporate, a copy of each of its last two annual reports.
6. Where the organisation is a subsidiary of a holding company, the name and address of the registered or principal office and the last two annual reports (if any) of the holding company and of any other subsidiary of that holding company.
7. The last annual accounts (if any) of the establishment or agency.
8. A certificate of insurance for the applicant in respect of liability which may be incurred by the applicant in relation to the establishment or agency in respect of death, injury, public liability, damage or other loss.

Criminal record certificates in respect of staff

- 9.—(1) A statement confirming that—
 - (a) the documents specified in sub-paragraph (2) have been issued—
 - (i) in the case of any applicant, to every person, other than the applicant, who works, or is intended to work, for the purposes of the establishment or agency; and
 - (ii) where the applicant is an organisation, to the responsible individual; and
 - (b) the applicant will make the documents available for inspection by the CI if the CI so requires.
- (2) The following documents are specified—

(1) 1997 c.50. Section 113B was inserted by the Serious Organised Crime and Police Act 2005 (c.15), and amended by the Protection of Vulnerable Groups (Scotland) Act 2007 (asp. 14), the Policing and Crime Act 2009 (c.26), the Safeguarding Vulnerable Groups Act 2006 (c.47), and the Armed Forces Act 2006 (c.52). Section 113BB(2) was inserted by the Safeguarding Vulnerable Groups Act 2006 and amended by the Policing and Crime Act 2009. Section 113BA(2) was inserted by the Safeguarding Vulnerable Groups Act 2006 and amended by the Policing and Crime Act 2009, the Education and Inspections Act 2006 (c.40) and the Education and Skills Act 2008 (c.25).

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 the position falls within regulation 5A(a) of the Police Act 1997 (Criminal Records) Regulations 2002⁽²⁾ an enhanced criminal record certificate issued under section 113B of the Police Act 1997 which includes, as applicable, suitability information relating to vulnerable adults (as defined in section 113BB(2) of that Act) or suitability information relating to children (as defined in section 113BA(2) of that Act), or both; or
- (b) in any other case, a criminal record certificate issued under section 113A⁽³⁾ of the Police Act 1997.

Other documents

10.—(1) In the case of—

- (a) a fostering agency;
- (b) a voluntary adoption agency, or
- (c) an adoption support agency,

a copy of the children’s guide.

- (2) in the case of a residential family centre, a copy of the resident’s guide.

(2) [S.I. 2002/233](#). Regulation 5A was inserted by The Police Act 1997 (Criminal Records) (Amendment) Regulations 2006 ([S.I. 2006/748](#)).

(3) Section 113A was inserted by the Serious Organised Crime and Police Act 2005 ([c.15](#)) and amended by the Protection of Vulnerable Groups (Scotland) Act 2007, the Policing and Crime Act 2009, the Police Act 1997 (Criminal Records)(Electronic Communications) Order 2009 ([S.I. 2009/203](#)), the Criminal Justice and Immigration Act 2008 ([c.4](#)) and the Safeguarding Vulnerable Groups Act 2006.