

## SCHEDULE 1

Regulations 2(1) and 4

Information to be contained in a statement of purpose by a service provider

The statement of purpose provided by a service provider must contain the following information—

- (a) the name and principal address of the local authority;
- (b) the name and address of the manager;
- (c) a statement of the range of needs of the individuals for whom the service is to be provided;
- (d) how the service is to be provided to meet the needs of individuals and to support them to meet those needs;
- (e) details of the management and staff structure of the service;
- (f) details of the arrangements made to support the cultural, linguistic and religious needs of individuals;
- (g) details of how the service provider will meet individuals' language and communication needs, including through the medium of Welsh;
- (h) the aims and objectives of the service provider in relation to the service, including cases involving inter-country adoption;
- (i) the arrangements that the service provider has put in place to assess and make provision for adoption support services;
- (j) the relevant qualifications and experience of the manager;
- (k) the number, relevant qualifications and experience of the staff employed by the service provider for the purposes of the service;
- (l) the system in place to monitor and evaluate the provision of services to ensure that the services provided by the service provider are effective and the quality of the service is of an appropriate standard;
- (m) the procedures for recruiting, preparing, assessing, approving and supporting prospective adoptive parents;
- (n) details of the adoption support service advisor and the procedures for the assessment for and provision of adoption support services;
- (o) a summary of the complaints procedures established in accordance with the Representations Procedure (Wales) Regulations 2014(1), the Social Services Complaints Procedure (Wales) Regulations 2014(2) and sections 171 and 172 of the 2014 Act(3);
- (p) the address and telephone number of the service regulator.

## SCHEDULE 2

Regulations 2(1) and 22

### PART 1

Information and documentation to be available  
in respect of persons working in a service

1. Proof of identity including a recent photograph.

(1) [S.I. 2014/1795 \(W. 188\)](#).

(2) [S.I. 2014/1794 \(W. 187\)](#).

(3) "The 2014 Act" is defined in section 2(5) of the Act as the [Social Services and Well-being \(Wales\) Act 2014 \(anaw 4\)](#).

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2. Where required for the purposes of an exempted question in accordance with section 113A(2)(b) of the Police Act 1997<sup>(4)</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>(5)</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 Social Care Wales.
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 22(3) or (6) (fitness of staff), and
    - (ii) no more than three years have elapsed since the certificate was issued;
  - (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.

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(4) 1997 c. 50.

(5) 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.

## SCHEDULE 3

Regulation 28

### PART 1

#### Records to be kept by service providers

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 and 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 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, supervision and appraisal;
  - (j) records of disciplinary action and any other records in relation to the person's employment;

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- (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.

## PART 2

### Interpretation of Part 1

- 5. For the purposes of paragraph 1 of Part 1 of this Schedule—
  - (a) “related person” has the meaning given in regulation 2(1) of the Adoption Support Services (Local Authorities) (Wales) Regulations 2005;
  - (b) an “adoption support plan” is the plan which sets out the adoption support services the local authority has decided to provide for the child and the adoptive family, how these will be provided and by whom (if applicable);
  - (c) “care and support plan” means a plan for the child made under section 54 or section 83 of the 2014 Act;
  - (d) “placement plan” has the meaning given in regulation 36(2) of the Adoption Agencies (Wales) Regulations 2005.

## SCHEDULE 4

Regulation 29

### Notifications by the service provider

- 1. Death of a child placed with prospective adopter where an adoption order has yet to be made.
- 2. Any referral to the DBS pursuant to the Safeguarding Vulnerable Groups Act 2006.