

A guide for compiling a Statement of Purpose

under the Regulation and Inspection of
Social Care (Wales) Act 2016

Mae'r ddogfen yma hefyd ar gael yn Gymraeg.
This document is also available in Welsh.

Contents	Page number
Part 1: Information about the Statement of Purpose	3
What is a statement of purpose	3
Who is the statement of purpose for?	3
Does a service provider need more than one statement of purpose?	4
When does the statement of purpose need to be amended?	4
The legal context for the statement of purpose	5
Part 2 – Statement of purpose template	6
Section 1 - About the provider	7
Section 2 - Description of the location of the service	8
Section 3 - About the service provided	9
Section 4 - How the service is provided	10
Section 5 - Staffing arrangements	11
Section 6 - Facilities and services	12
Section 7 - Governance and quality monitoring arrangements	14
Glossary of Terms	15

Part 1: Information about the Statement of Purpose

1. What is a statement of purpose?

- 1.1. The statement of purpose is a key document. It sets out the vision for the service and your aspirations for meeting the needs of the people you care for. It should clearly demonstrate that you fully understand their needs and demonstrate how, particularly through the levels and training of staff, the care routines, the environment and your links to other agencies, you will do your best to promote the best possible outcomes for the people you care for.
- 1.2. The information in your statement of purpose must be accurate, kept up to date and should always reflect the range of needs your service is able to meet, including any specialist services. In preparing or updating a statement of purpose, service providers should consider the offence of making a false statement under section 47 of the Regulation and Inspection of Social Care (Wales) Act 2016 (the 2016 Act).

2. Who is the statement of purpose for?

- 2.1. The statement of purpose is a legal requirement. If you make an application to register a service with us you have to include a statement of purpose as part of your application. This will tell us:
 - a) details about you;
 - b) where the service is located;
 - c) the type of the service you provide;
 - d) the aims and objectives of the service; and
 - e) how the service will be provided.
- 2.2. The statement of purpose can be used to provide information to anyone who may have an interest in your service. It provides a benchmark for you, the regulator and commissioners to measure how the service is performing.
- 2.3. When considering your application to register, we will need to be satisfied that your service will make proper provision for the well-being of people and is able to meet the standards required in the regulations. The statement of purpose will be a key source of evidence used by us to inform decisions to grant or refuse applications for registration and variations to registration.
- 2.4. Following registration, we will consider whether the service is being provided in line with the statement of purpose at every inspection.

3. Does a service provider need more than one statement of purpose?

- For accommodation based services, a statement of purpose is required for each location where a service is provided.
- For community based services, a statement of purpose is required for each regional partnership area in which the service is being provided.
- For fostering and adoption services, a statement of purpose is required for each regional partnership area in which the service is being provided.

4. When does the statement of purpose need to be amended?

4.1. You should amend your statement of purpose when you make changes which results in it no longer accurately describing the service you provide and/or how it is provided. You should review your statement of purpose at least annually or when changes are being made to the service.

4.2. When significant changes to the service are going to be made there is a requirement to inform the regulator 28 days in advance of the proposed changes using our online notification process. You will need to submit your amended statement of purpose.

Examples of significant changes include:

- Where a service which does not provide nursing care intends to provide nursing care;
- provision of additional specialist services e.g. palliative care or acquired brain injury;
- where a specific service referred to in the statement of purpose is to be withdrawn; or
- changes to the normal staffing arrangements as described in section 5 of the statement of purpose.

Please refer to section 3 '[About the service provided](#)'.

4.3. We will consider the changes proposed and will need to be satisfied that:

- a) Your service will continue to make proper provision for the well-being of people using your service;
- b) is able to meet the standards required by the regulations; and
- c) does not constitute a change that requires an application for a variation of your registration.

5. The legal context for the statement of purpose:

5.1. Schedule 2 of The Regulated Services (Registration) (Wales) Regulations 2017 sets out the information which must, as a minimum be included within the statement of purpose. A list of this required information can be found at [annex 2](#).

5.2. Regulations 3, 4, 6, 7 and 8 of The Regulated Services (Registration) (Wales) Regulations 2017 places specific requirements on the provider in relation to the statement of purpose when making an application to register or vary a regulated service. A list of this required information can be found at [annex 1](#)

5.3. In addition, the statement of purpose is referenced in many of the regulations within The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017. These regulations set out the requirements in relation to service providers and responsible individuals.

Part 2
Statement of Purpose Template

Section 1: About the provider

Service provider	<i>This should be the name of registered provider</i>
Legal entity	Individual <input type="checkbox"/>
	Limited company <input type="checkbox"/>
	Public limited company <input type="checkbox"/>
	Limited liability partnership <input type="checkbox"/>
	Charitable company <input type="checkbox"/>
	Charitable incorporated company <input type="checkbox"/>
	Other corporate body <input type="checkbox"/>
	Committee <input type="checkbox"/>
	Charitable trust <input type="checkbox"/>
	Other unincorporated body <input type="checkbox"/>
	Local Authority <input type="checkbox"/>
	Local Health Board <input type="checkbox"/>
Partnership <input type="checkbox"/>	
Responsible individual	<i>This should be the name of the person designated as the responsible individual</i>
Manager of service	<i>This should be the name of the person who will manage the service on a day to day basis.</i>
Name of service	
Address of service	

Section 2: Description of the location of the service

a) Accommodation based services

This section should include where the service is located and a description of the area, community facilities and services available to support the range of needs of the people the service is intended for as described in section 3

b) Community based services e.g. domiciliary support services

This will be the regional partnership area in which the service is provided please refer to the Statement of Purpose guide for a full break down for each regional partnership area.

(tick the area where the service is provided)

Gwent regional partnership board

North Wales regional partnership board

Cardiff and Vale regional partnership board

Western Bay regional partnership board

Cwm Taf regional partnership board

West Wales regional partnership board

Powys regional partnership board

Section 3 About the service provided

a) Range of needs we can support

In this section describe the range of health or care needs the service will provide support for, including any specialist services/care provision.

Detail the care and support the service offers and to whom

It is important that you describe the range of needs your service is able to meet. Your service will need to be flexible and therefore may not necessarily be meeting all of these needs all of the time. This is because people's needs change and services need to be adaptable in responding e.g. increasingly frail elderly people who can have a wide range of changing needs including palliative care towards the end of their lives.

b) Age range of people using the service

c) Accommodation Based services

Maximum Capacity

Detail the number of people able to use the service, for example in a residential setting, this will be the maximum number of people who can be accommodated

d) Community based services only

Number of Care Hours delivered

Detail the average number of care hours delivered per week. (tick the relevant box)

- 0-250
- 251-500
- 501-750
- 751-1000
- 1001-1500
- 1501-2000
- 2001-3000
- 3000+

Section 4: How the service is provided

In this section, you should set out clearly how you intend to provide the service. You should describe how you will support people to achieve their best possible outcomes and provide care and support in a way that protects, promotes and maintains their independence, safety and wellbeing. If you have said that specialist care is offered, you must use this section to detail what makes it a specialist service. You should include details of any specific models of care being used at the service and the involvement of any external specialist agencies that will provide help and support in areas of expertise.

This section should also include:

a) Arrangements for admitting, assessing, planning and reviewing people's care

- *Arrangements for managing planned, urgent and respite admissions*
- *Arrangements for initial and ongoing assessment of care and support needs*
- *How the personal plan will be developed and reviewed in consultation with the person receiving care and support and or their representative*

b) Standard of care and support

Where appropriate, this needs to describe how the service will support people to:

- *be as physically, mentally and emotionally healthy as possible;*
- *be safe;*
- *be involved in activities, hobbies or individual interests;*
- *access education, learning and development opportunities;*
- *have control over everyday life and where relevant participation in work;*
- *maintain their linguistic, cultural and /or religious identities;*
- *maintain family and personal relationships; and develop their potential, learn and practice life skills.*

c) Language and communication needs for people using the service

This section should also describe how the provider will meet people's language and communication needs including the extent to which the service makes provision for the Welsh language offer ([Welsh Government information pack on the active offer](#)).

Section 5: Staffing arrangements

This section needs to describe how the staffing arrangements are appropriate for the range of needs and specialist services to be provided as described in section 3.

It should demonstrate how staff will be deployed to provide reliable and safe care to individuals.

This should include the following:

<p>a) Numbers and qualifications of staff</p>	<p><i>This section should include the numbers and qualifications of the following staff:</i></p> <ul style="list-style-type: none"> • <i>manager and their specific qualifications;</i> • <i>deputy manager and their specific qualifications;</i> • <i>other supervisory staff and their specific qualifications;</i> • <i>registered nurses and the nature of their registration e.g RGN, RMN, RNLD etc;</i> • <i>senior social care staff providing direct care and a description the qualification levels i.e. level 2/3 QCF**;</i> • <i>other social care staff providing direct care and a description the qualification levels i.e. level 2/3 QCF** and</i> • <i>other types of qualified staff not listed above and a description the qualification levels.</i> <p><i>Where specialist care e.g. dementia, palliative care etc is provided, you must be able to demonstrate the staff qualifications, training and skills to provide this specialist care.</i></p> <p><i>The number of staff required should be sufficient to draw upon to sustainably and reliably meet the needs of a typical rota.</i></p> <p><i>**In the case of domiciliary support service, you may wish to provide the total numbers of social care staff working in an average week, the total number of staff hours per week and description the qualification levels i.e. level 2/3 QCF.</i></p>
<p>b) Staff levels</p>	<p><i>This section should include the day time and night time staffing levels that will normally be in place. This is the planned number of staff on a day to day basis the service will deploy i.e. the typical rota.</i></p> <p><i>In care home services where individuals are assessed as requiring 24 hour nursing care (due to the intensity, complexity and/or acuity of their needs), this section</i></p>

	<i>should describe the number of registered nurses that will be working at the service at all times.</i>
c) Specialist staff	<i>In this section record the number and details of specialist staff.</i>
d) Deployment of staff at service (for accommodation based services only)	<p><i>In this section describe how the staffing will be deployed across the care environment / accommodation design and layout to oversee and meet the needs of those individuals. This is of particular importance for multi-floor or multi-building sites.</i></p> <p><i>In describing staffing levels, you may have fixed numbers or ratios. You should explain how dependency levels are factored into your determination.</i></p> <p><i>You may wish demonstrate the staff structure by a diagram.</i></p>
e) Arrangements for delegated tasks	<p><i>In this section detail the governance arrangements for the delegation of any specialist care tasks or decision making.</i></p> <p><i>Demonstrate how staff will be deployed to provide reliable and safe care to individuals</i></p>
f) Supervision arrangements	<i>In this section detail the supervision and support arrangements, particularly for care and support staff.</i>
g) Staff training	<i>In this section detail the staff training programme.</i>

Section 6: Facilities and services

Accommodation based services only

This section is where you should describe the design, layout, facilities and/or equipment available and how they support the range of needs of the people the service is intended for as described in section 3 above. If there are any unique or specific features about these, you should describe them here.

N.B. This section does not apply to supported living arrangements

You should provide information about:

a) Number of single and shared rooms	<i>Detail the number of single and shared rooms</i>
b) Number of rooms with en suite facilities	<i>Detail the number of rooms with en suite facilities</i>
c) Number of dining areas	<i>Detail the number of dining areas</i>
d) Number of communal areas	<i>Detail the number of communal areas</i>
e) Specialist bathing facilities	<i>Detail the specialist bathing facilities at this service</i>
f) Specialist equipment	<i>Detail the specialist equipment at this service</i>
g) Security arrangements in place and use of CCTV	<i>Detail the Security arrangements in place and use of CCTV</i>
h) Access to outside space and facilities at this service	<i>In this section describe the outside space and facilities available and how these can be accessed by people</i> <i>It is important that you describe how the environment and facilities support people with impairments to have as full a life as possible and to have access throughout the home and its surroundings.</i>

i) Community based services only:

In this section you should;

- provide information about the facilities to; securely store records;*
- meet with people using the service;*
- provide staff training; and*
- meet with staff.*

Section 7: Governance and quality monitoring arrangements

In this section, you should describe the oversight and governance arrangements in place to establish and maintain a culture which ensures that the best possible outcomes are achieved for individuals.

This should include the arrangements for:

- *how the responsible individual will maintain oversight of the management, quality, safety and effectiveness of the service including frequency of visits to the service;*
- *management structure of the service, lines of accountability, delegation and responsibility;*
- *the measures that will be used to monitor, review and improve the quality of care and support;*
- *arrangements for dealing with complaints and*
- *arrangements for consulting people using the service, staff and other stakeholders to affect the way in which the service is delivered and improved*

**Annex 1: The Regulated Services (Registration) (Wales) Regulations 2017:
Regulation 3, 4, 6, 7 and 8.**

Regulation 3: A person who wants to provide a regulated service⁽¹⁾ must, in addition to the information set out in section 6(1)(a) to (c) provide the Welsh Ministers with the following—

- a) the information listed in Schedule 1;
- b) in respect of applicants for registration as the provider of a care home service, a secure accommodation service or a residential family centre service, a statement of purpose for each place at which the service is to be provided;
- c) in respect of applicants for registration as the provider of an adoption service, a fostering service, an adult placement service or an advocacy service, a statement of purpose for each place from which the service is to be provided;
- d) in respect of applicants for registration as the provider of a domiciliary support service, a statement of purpose for each place in relation to which the service is to be provided.

Regulation 4: The statement of purpose which is required to be provided in accordance with regulation 3(b), (c) or (d) must contain the information described in Schedule 2.

Regulation 6: An application for variation of registration made pursuant to section 11(1)(a)(i) must, in addition to the information set out in section 11(3)(a)(i) and, where appropriate, section 11(3)(a)(ii), contain the following—

- a) the information listed in Schedule 1;
- b) in respect of applications for variation of registration to provide a care home service, a secure accommodation service or a residential family centre service, a statement of purpose for each place at which the service is to be provided;
- c) in respect of applications for variation of registration to provide an adoption service, a fostering service, an adult placement service or an advocacy service, a statement of purpose for each place from which the service is to be provided;
- d) in respect of applications for variation of registration to provide a domiciliary support service, a statement of purpose for each place in relation to which the service is to be provided.

Regulation 7: An application for variation of registration made pursuant to section 11(1)(a)(ii) must, in addition to the information set out in section 11(3)(a)(i), contain the following—

- a) the information listed in Schedule 1;
- b) in respect of an application for variation of registration to provide a care home service, a secure accommodation service or a residential family centre service at a place which is not already specified in the provider's registration in relation to that service, a statement of purpose for that place;

⁽¹⁾ See section 2 of and Schedule 1 to the Act for the definition of “regulated service”.

- c) in respect of an applications for variation of registration to provide an adoption service, a fostering service, an adult placement service or an advocacy service from a place which is not already specified in the provider's registration in relation to that service, a statement of purpose for that place;
- d) in respect of an application for variation of registration as the provider of a domiciliary support service in relation to a place which is not already specified in the provider's registration in relation to that service, a statement of purpose for that place.

Regulation 8: The statement of purpose which is required to be provided in accordance with regulation 6(b), (c) or (d) or in accordance with regulation 7(b), (c) or (d) must contain the information described in Schedule 2.

Annex 2: Schedule 2, The Regulated Services (Registration) (Wales) Regulations 2017: Information required to be contained in a statement of purpose

The information that is required to be contained in a statement of purpose is as follows

- a) the name of the applicant;
- b) where the applicant is an individual, the individual's correspondence address;
- c) where the applicant is an organisation, the address of the organisation's principal or registered office;
- d) in the case of a care home service, the name and address of the place at which the service is provided;
- e) in the case of a domiciliary support service—
 - a. the name of the service;
 - b. the area in relation to which the service is provided;
 - c. the addresses of the office or offices from which the service will be provided;
 - d. the addresses of any other office or offices which are used in connection with the provision of the service;
- f) the name of the individual designated by the applicant as the responsible individual for the place at, from or in relation to which the service is to be provided;
- g) a statement of the range of needs of the individuals for whom the regulated service is to be provided to include the age range, number and sex of such individuals;
- h) how the service is to be provided to meet the needs of individuals and support them to achieve their personal outcomes, as required by regulations under section 27 and taking into account the range of needs set out in the statement of purpose (see paragraph (g));
- i) details of the proposed management and staffing structure of the service;
- j) details of the premises, facilities and equipment that will be available to individuals in accordance with the requirements of the regulations made under section 27 and taking into account the range of needs set out in the statement of purpose (see paragraph (g));
- k) in the case of a care home service, a secure accommodation service or a residential family centre service, a description of the area in which the service is located and the community facilities and services available there;
- l) details of the arrangements made to support the cultural, linguistic and religious needs of the individuals;
- m) details of the arrangements made for consulting individuals about the operation of the regulated service;
- n) details of how the provider will meet individuals language and communication needs, including through the medium of Welsh;
- o) details of any healthcare (including nursing) or therapy to be provided at the premises at which it is intended to provide the regulated service.

Glossary of terms

Accommodation based services: These include care home services, residential family services and secure accommodation services.

Community based services: These include domiciliary care services including supported living arrangements, advocacy services, adult placement services, adoption services and fostering services.

Regional partnership area: these are the regional partnership areas set out in the Partnership Arrangements (Wales) Regulations 2015. These regulations require local authorities and local health boards to make partnership arrangements to carry out specified functions. Within these regulations seven partnership areas are identified. They are as follows:

1. Partnership arrangements under the direction of Gwent regional partnership Board
 - Aneurin Bevan University Health Board
 - Monmouthshire County Council
 - Newport City Council
 - Torfaen County Borough Council
 - Blaenau Gwent County Borough Council
 - Caerphilly County Borough Council.
2. Partnership arrangements under the direction of North Wales regional partnership board
 - Betsi Cadwaladr University Health Board
 - Flintshire County Council
 - Wrexham County Borough Council
 - Isle of Anglesey County Council
 - Gwynedd County Council
 - Denbighshire County Council
 - Conwy County Borough Council.
3. Partnership arrangements under the direction of Cardiff and Vale regional partnership board
 - Cardiff and Vale University Health Board
 - Cardiff City and County Council
 - Vale of Glamorgan Council.
4. Partnership arrangements under the direction of Western Bay regional partnership board
 - Abertawe Bro Morgannwg University Health Board
 - Swansea City and County Council
 - Bridgend County Borough Council
 - Neath Port Talbot County Borough Council.
5. Partnership arrangements under the direction of Cwm Taf regional partnership board

- Cwm Taf University Health Board
 - Rhondda Cynon Taf County Borough Council
 - Merthyr Tydfil County Borough Council.
6. Partnership arrangements under the direction of the West Wales regional partnership board
- Hywel Dda University Health Board
 - Pembrokeshire County Council
 - Carmarthenshire County Council
 - Ceredigion County Council
7. Partnership arrangements under the direction of Powys regional partnership board
- Powys Teaching Health Board
 - Powys County Council.

Specialist care/service: When we refer to a specialist service, we mean a service that is specifically tailored to care for a specific group of people or with a particular type of condition – for example acquired brain injury, learning disability, sensory impairment etc. This will include a higher than average level of need which may require:

- special training and or qualifications to understand and meet needs;
- an environment designed to support the particular condition or group of people;
- specialist equipment to support the particular condition or group of people; and/or
- higher intensity of skilled support hours.

Models of care: this is the approach or the way services are delivered. Models of care are normally based on best practice in the care for a particular group of people as they progress through the stages of a condition, injury or event.