

CARE STANDARDS ACT 2000

APPLICATION TO REGISTER AN ADULT PLACEMENT SCHEME

Notes for applicants

[Mae'r ddogfen hon hefyd ar gael yn Gymraeg](#) / This document is also available in Welsh

1. Purpose

- 1.1 These notes for applicants are relevant to individuals, organisations and local authorities that wish to apply to be registered to carry on or manage an Adult Placement Scheme. It is important that the applicant fully understands their obligations and responsibilities under the regulations. Where an application is from an organisation, a 'responsible individual' must be nominated for registration purposes, who is either a director, a company secretary, or any other senior officer meeting the requirements in Regulation 8 of the Adult Placement Schemes (Wales) Regulations 2004. It is important that the responsible individual has been made fully aware of the role and responsibility undertaken when making an application on behalf of an organisation.

This document is intended to provide guidance in the process of submitting your application. It also gives details of the information you are required to provide in accordance with the Regulations and gives you ideas of possible evidence that you may wish to use in your application in order to meet the required National Minimum Standards (see Annex A). This is not an exhaustive or prescriptive list and we would encourage providers to submit other areas of related best practice. **It should be noted that it is the Regulations and not the Standards against which your application will be measured.**

- 1.2 We hope that these notes will assist you in:

- understanding what you need to think about before applying for registration
- beginning to understand what the Regulations and National Minimum Standards are intended to achieve and the part they play in the registration process.

1.3 When you have read these notes and the other documents provided we hope you will have an outline of:

- what needs to happen before you will be ready to lodge your application
- what we will do when we get your application and
- what we are looking for

1.4 Arranging adult placements for vulnerable individuals carries considerable responsibilities and may result in such individuals being placed at risk. Therefore, great care needs to be taken to check that everything is as it should be before a scheme is registered. This process must be completed before a scheme is permitted to operate.

1.5 The most important part of our work is to see that potentially vulnerable people get high quality services and our aim in commenting on your proposals is to help you to meet the requirements of the Act, the Regulations and the National Minimum Standards.

1.6 Achieving registration is a detailed process on the part of both the applicant and CIW. Properly approached, it serves to establish a sound basis for the longer-term regulatory relationship. The information you provide, including your personal details, is treated with care and, other than when the law allows, will not be disclosed outside of the Welsh Government.

2. Why am I required to register?

2.1 CIW has a responsibility under the terms of the Care Standards Act 2000 and regulations made under it. The purpose of such regulation is to:

- make sure that you are suitable to carry on this responsibility
- check that you have the knowledge and resources needed to provide and sustain a good quality of service
- ensure that you will engage staff with the appropriate qualifications, experience, knowledge and skills to meet the needs of the users of the service you intend to provide and support those staff appropriately
- check that any premises you use as an office are suitable for the purpose
- ensure that the way you go about running your service is satisfactory
- check that the records which must be kept are kept in a satisfactory manner and will, in future, help us to check the quality of the service you are providing

2.2 The following sections take each of these points in turn.

3. How do we set about deciding if you are a suitable person?

3.1 We will seek to do this through the information collected in the application form and associated documentation.

- We will check that you are physically and mentally fit to carry on or be responsible for supervising the management of the Adult Placement Scheme. We will send a copy to your doctor of any medical history you may provide to us

and also ask the doctor for his/her comments. Sometimes we need to contact further specialists but we would always discuss this with you first.

- We will check that you are who you say you are, by the checking of your birth or marriage certificate, passport and any other relevant documents.
- We will look into your background. We will undertake checks with the Disclosure and Barring Service (DBS) and take up personal, professional and financial references.

Rehabilitation of Offenders Act 1974

Due to the nature of an application for registration applicants are exempt from s.4(2) of the Rehabilitation of Offenders Act 1974. Rehabilitation of Offenders Act 1975 (Exceptions) Order 1975 (as amended) provides that applicants are not entitled to withhold information about convictions which for other purposes are 'spent' under the 1974 Act.

3.2 This is important because if you or any other applicant has any convictions, we will need to make a judgement about whether the material revealed by the DBS renders you unfit to act in the capacity for which you are applying. We will carefully consider the nature of the offence, how old you were at the time, your personal circumstances then and now and the chances of this affecting your suitability to be involved in the organisation of care services to vulnerable people. It is possible to approve applications in some situations where offences have been committed.

3.3 On the other hand, if you fail to declare any conviction, other order of the court or caution in connection with any offence, it may look like you are trying to hide it. If someone is dishonest in order to obtain registration, they are unlikely to be considered a fit person.

3.4 **Please note that** on the 29 May 2013, legislation came into force that allows certain old and minor cautions and convictions to no longer be subject to disclosure. All cautions and convictions for specified serious violent and sexual offences, and other specified offences of relevance for posts concerned with safeguarding children and vulnerable adults, will remain subject to disclosure. In addition, all convictions resulting in a custodial sentence, whether or not suspended, will remain subject to disclosure, as will all convictions where an individual has more than one conviction recorded.

3.5 As the person carrying on the agency, you will be responsible for screening all your staff to the required standard. In order to do this you will need to be registered with the Disclosure and Barring Service or, if you process less than 100 checks a year, with an umbrella body. They can be contacted at either, Disclosure and Barring Service Registration Team, PO Box 110, Liverpool L69 3JD Information Line 0870 90 90 811 or [at www.gov.uk/government/organisations/disclosure-and-barring-service/about](http://www.gov.uk/government/organisations/disclosure-and-barring-service/about)

Registration with the DBS or an umbrella body can sometimes take time and – if you have not already done so - you should apply for registration as soon as you have decided to prepare your CIW application for registration.

3.6 CIW may at any time require you to demonstrate that you have checked all staff backgrounds to the required standard.

4. How will we check on your knowledge and resources?

4.1 As you will appreciate, there are Standards set for the experience, qualifications, knowledge and skills registered providers and any staff must have. We will seek to satisfy ourselves that you meet these Standards through the information provided in both parts of your application form and in a formal interview.

- We will ask you to provide a full record of what you have done since leaving school. This will include any periods of study, unpaid work and qualifications you have undertaken.
- We may check with previous employers as necessary, even if you have not given them as referees, to establish what relevant skills and experience you have.
- We will look at any training courses you have attended and, where necessary, check on the detail of what was studied. Where any qualifications are involved we will want to see your certificates and may check details with the body that awarded them.
- If you decide not to take day to day control yourself you may employ a manager to undertake this task or you may lack the required experience and qualifications to undertake this role. If so, the manager will be required to submit an application and will be subject to the same checks as you.
- Some of this checking will be done through an interview. This process will be completed before a formal decision is made about whether you are to be registered and what, if any, conditions might apply to your registration.

5. How will we ensure you engage Adult Placement carers with the appropriate experience, knowledge and skills?

5.1 The range and numbers of Adult Placement carers needed along with the relevant qualifications, experience, knowledge and skills will be dependent upon the nature and size of scheme you intend to provide. You will need to provide evidence that your Adult Placement carers have the appropriate skills to provide services for each of the client groups you have identified in your application. As with registered managers, the Standards set out in general terms what these must be. You will need to discuss the particular staffing proposals for your scheme with the inspector.

6. How will we go about checking the office?

6.1 We will satisfy ourselves as to the suitability whereby considering the information supplied in the application form which may include making a visit or visits to the building you intend to use. We will check:

- to see that you have sufficient control over the office/premises you intend to use to ensure that staff and others with a proper interest can have access during normal office hours
- that the office/premises and any records you keep – whether on an IT system or otherwise are secure
- that the office/premises is properly equipped
- that the proposed office/premises and contents are adequately insured

7. How will we check your proposed way of working?

7.1 Part 2 of the application form will tell us how you plan to meet the National Minimum Standards. Following receipt of your application, the formal “Fit Person” interview or interviews will clarify any of your answers in order to enable us to make a decision.

In considering your application we will look at your proposed means of meeting each of the Regulations and Standards. We will:

- examine your proposals to assess whether the information you have supplied adequately upholds the Statement of Purpose
- look in detail at how you intend to assess, select and prepare Adult Placement carers and staff
- how you intend to assess, plan and introduce Adult Placement carers to the individuals who will be living in their homes
- examine the documents and information you intend to supply to Adult Placement carers and how you intend to use them
- carefully assess the suitability of the policies you intend to use
- consider how you intend to keep the records you are required to keep
- look at how you intend to support Adult Placement carers and the range of training opportunities you intend to provide for them
- wish to understand how you will manage, monitor and control the quality of all aspects of the service you provide.

8. Next steps

8.1 We suggest that you now take a close look at the relevant Regulations and National Minimum Standards. The Adult Placement Scheme (Wales) Regulations 2004 and the matching Standards can be accessed on: www.CIW.org.uk

8.2 Once you have done this, we hope that the structure, purpose and requirements of the attached application forms, namely Part 1 for an application for an individual or an organisation, Part 1A (Manager), Part 2 (evidence of ability to meet the

Regulations and Standards), Disclosure and Barring Service request and Medical declaration and financial enquiry will all become clearer. Where the application is from an organisation, checks will be carried out on the responsible individual and additional information about the organisation will be required.

8.3 Should you have any questions at this stage about the requirements and process, we would be glad to discuss these. You should however note that it is for you to:

- prepare and structure your application, you may wish to obtain advice from your own independent sources
- demonstrate that you will be able to meet – and continue to meet - the requirements of the Regulations and Standards

8.4 The onus is on you to provide evidence for this purpose. It would clearly be inappropriate for CIW to become involved in advising on the detailed nature of your business decisions, choices and risks.

9. Conclusion

9.1 As you can see the process is detailed and involves initial investment of time and resources. Nevertheless, we believe that the process of preparing for and securing registration provides an opportunity to lay a sound foundation for the future regulatory relationship between registered providers and CIW.

Annex A

The schedule below provides examples of the kind of information which you may wish to submit along with your application. You may consider different information to be more appropriate and use other examples of good practice from your scheme that best reflects the way in which your organisation proposes to meet the minimum requirements. We welcome this approach. This format is designed to promote innovation and creativity in the approach to regulation of an Adult Placement Scheme.

NB: Where supporting evidence is in bold it has a format that is specified by regulation, this is a legal requirement and therefore you must submit these documents as part of your application.

STANDARD 1 - INFORMATION

- **Statement of Purpose**
- Copy of Adult Placement Scheme Guide in suitable format
- How do you intend to keep the Statement of Purpose & Adult Placement Scheme Guide under review?
- Proposal for seeking service user views

STANDARD 2 – NEEDS ASSESSMENT

- Template for Adult Placement Scheme Guide
- Format for assessment document to be used for service users who are not referred through a statutory agency
- Details of how you ensure that an appropriate assessment has taken place

STANDARD 3 – MATCHING AND PLACEMENT

- **Copy of the Adult Placement agreement**
- Details of the Adult Placement carer's skills mix
- How do you ensure that Adult Placement carers have the skills to meet the requirements of the individual

STANDARD 4 – TRIAL VISITS

- Procedure for trial visits/introductions for service users to the placement
- Procedure for making an emergency placement
- How do you review the success of the trial period?

STANDARD 5 – ADULT PLACEMENT AGREEMENT

- **Copy of the Adult Placement agreement**
- Appropriate language and format
- Procedure for reviewing Adult Placement plan

STANDARD 6 – PARTICIPATION AND DECISION MAKING

- **Copy of the Scheme’s complaints procedure**
- Quality Assurance system in place
- Guidance for handling service users money

STANDARD 7 – RISK TAKING

- What arrangements are in place for reporting risks
- Details of the schemes risk assessment and risk management strategy

STANDARD 8 - CONFIDENTIALITY

- **Copy of staff handbook**
- **Complaints Procedure**
- Confidentiality Policy including information to be provided to service users
- How will you ensure that service user information and records are accurate, secure and compliant with the Data Protection Act

STANDARD 9 – PERSONAL DEVELOPMENT

- **Statement of Purpose**
- **Placement Agreement**
- How do adult plans demonstrate developing independence

STANDARD 10 – EDUCATION AND EMPLOYMENT

- **Statement of purpose**
- **Adult Placement Guide**
- **Placement Agreement**

STANDARD 11 – COMMUNITY LINKS AND SOCIAL INCLUSION

- **Statement of Purpose**
- Evidence of how links are forged with the local community
- How do you promote social inclusion

STANDARD 12 – LEISURE

- **Statement of Purpose**
- **Placement Agreement**
- **Adults’ plan**

STANDARD 13 – RELATIONSHIPS

- **Statement of Purpose**
- **Placement Agreement**
- **Adults’ plan**
- Policy regarding relationships and sexuality

STANDARD 14 – DAILY ROUTINES

- **Statement of Purpose**
- **Placement Agreements**
- **Adults' plan**
- What systems are in place to allow for consultation

STANDARD 15 – MEALS

- **Adult Placement Agreement**
- **Adult Placement Scheme Guide**
- **Adult plans/reviews**
- Specialist dietary information

STANDARD 16 – PERSONAL CARE

- **Statement of Purpose**
- **Placement agreement**
- Copy of report format to meet regulation 23
- Details of reviews held and scheduled to take place
- Training and development plan

STANDARD 17 – HEALTH CARE

- **Statement of Purpose**
- **Placement agreement**
- Training for Adult Placement carers

STANDARD 18 – MEDICATION

- **Placement Agreement**
- **Adults' plan**
- Medication policy and procedures including:
 - risk management
 - assessments/guidance
 - 'consents' to administration of medication
 - training

STANDARD 19 – AGEING AND DEATH

- **Adults' plans**
- **Placement Agreement**
- Policy on ageing and death
- Training programme for Adult Placement carers
- Induction training

STANDARD 20 – ROLES AND RESPONSIBILITIES

- **Placement Agreement**
- **Statement of Purpose**
- **Staff handbook**
- Policy on missing persons'
- Arrangements for dealing with emergencies outside office hours
- Insurance policy
- Organisational structure

STANDARD 21 – QUALITIES AND QUALIFICATIONS

- Recruitment and induction procedures
- Details of how Adult Placement carers competencies will be met
- Copy of training and development plan

STANDARD 22 – SUPERVISION AND SUPPORT

- **Statement of Purpose**
- **Adult Placement Agreement**
- Copies of minutes of meetings, agendas, attendance sheets
- Mechanisms for dealing with poor practice

STANDARD 23 – RECORDS

- As contained in schedules 3 and 4
- Identify contingencies for effective backups of electronically held records
- Describe how individuals are enabled to access case file information and how this affects the approach to inspection

STANDARD 24 – SAFE WORKING PRACTICES

- **Copy of Health and Safety Policy Including;**
- How do you ensure the environment is safe
- Risk assessment undertaken on the property and equipment in which the service is to be provided

STANDARD 25 – CONCERNS AND COMPLAINTS

- **A copy of the Adult Placement Scheme Guide**
- Copy of the complaints policy and procedure including stages and time-scales and in an appropriate format
- Detail the arrangements for the training on complaints for administrative and managerial staff

STANDARD 26 – PROTECTION FROM ABUSE

- Arrangements for supplying information contained in Regulation 28
- Arrangements for access to up to date copies of relevant policies and procedures e.g. local authority adult protection procedures
- Copy of the policy and procedure of the Adult Placement Scheme for dealing with the allegations of abuse in line with the CIW's All Wales Procedure to include, notification processes time-scales and possible actions
- Details of relevant training on prevention of abuse, including the procedure for dealing with physical and or verbal aggression by service users
- How to deal with whistle blowing

STANDARD 27 – PREMISES

- **Statement of Purpose**
- **Copy of Adult Placement agreement**
- Arrangements for reviewing quality and improving the quality of the operation of the scheme, including the quality of the accommodation and care provided in placements

STANDARD 28 – Individual Rooms

- **Copy of Adult Placement agreement**
- **Copy of the Adult Placement Scheme Guide**

STANDARD 29 – Adaptations and Equipment

- Copy of policy on risk assessment and risk management for service users
- How are safe work practices such as moving an handling covered in induction and on-going training programmes with Adult Placement carers