

## National Childcare Scheme (NCS)

### Compliance Post Inspection Rectification Actions for Approved Providers

Following a NCS Compliance Inspection, approved providers will receive a notification, via the Hive, alerting them to the availability of the inspection report and outcomes. For each check conducted the inspection report will outline the:

- final compliance outcome (Compliant/Minor Non-Compliant, Moderate Non-Compliant/Major Non-Compliant),
- reason for outcome,
- required rectification action (if applicable) and
- details of any relevant comments, claim corrections and/or calendar closure adjustments.

For any non-compliant outcome, the provider will be required to take rectification action on the issue identified and make a commitment to comply with the NCS requirements going forward. All rectification actions must be taken and reported on through the Hive within the required timeframe. This timeline will be outlined within the report under the title 'Rectification Due Date'. All rectification actions will then be verified by the Compliance team and each non-compliant outcome will be determined as 'Rectified' or 'Not Rectified'.

Where a provider fails to rectify a non-compliance outcome within the required timeframe<sup>1</sup>, then a sanction may be imposed. Where issues in relation to the adequacy of attendance records are not rectified, then a financial correction will be applied i.e. zero or minimum hours of attendance applied to claims from the date the provider was notified the compliance report was available for review to the date of the follow up inspection, and/or ending of relevant claims.

The table below outlines all possible non-compliant outcome reasons and the relevant rectification action which will be required of the provider to ensure no financial corrections and/or sanctions are imposed.

	Non-Compliant Outcome Reasons	Non-Compliant categorisation	Rectification Action for Provider
<b>PRE-REQUISITES</b>			
<b>1.</b>	Service Provider did not facilitate the inspection – 1 <sup>st</sup> occurrence	Major non-compliant	<ul style="list-style-type: none"> <li>• Facilitate future compliance inspections immediately</li> </ul>
<b>2.</b>	Service Provider did not facilitate the inspection – 2 <sup>nd</sup> occurrence	Major non-compliant	<ul style="list-style-type: none"> <li>• Facilitate any future compliance inspections. Please note, that given the seriousness of this outcome, all instances will be escalated accordingly.</li> </ul>
<b>PARENT STATEMENTS</b>			
<b>3.</b>	Signed Parent Statement not on file for all currently	Minor non-compliant	<ul style="list-style-type: none"> <li>• Ensure all parent statements are signed and on file within 30 calendar days of receiving notification that compliance report is available for review. The</li> </ul>

<sup>1</sup> This document makes reference to deadlines for rectification actions, follow up inspections, etc. It should be noted that these are all included with the caveat, that if an appeal of a review decision is received, the compliance process is paused, and these deadlines are adjusted accordingly.

	registered children selected for inspection (greater than or equal to 90% but less than 95% on file)		<p>parent/guardian and the approved provider must sign the parent statement.</p> <ul style="list-style-type: none"> <li>• Upload copies of signed parent statements, identified as not signed/on file at initial inspection, on the Hive within 30 calendar days of receiving notification that compliance report is available for review using the upload/create button</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> <li>• <b>NB</b> All relevant parent statements should be uploaded at the one time before completing the self-declaration.</li> </ul>
<b>4.</b>	Signed Parent Statements not on file for all current registered children (< 90% available) - Conditional follow up	Moderate non-compliant	<ul style="list-style-type: none"> <li>• Ensure all parent statements are signed and on file within 30 calendar days of receiving notification that compliance report is available for review. To be reviewed at an on-site follow up inspection. The parent/guardian and the approved provider must sign the parent statement.</li> </ul>
<b>5.</b>	Signed Parent Statements not on file for all current registered children (< 90% available) - Submit Evidence	Moderate non-compliant	<ul style="list-style-type: none"> <li>• Ensure all parent statements are signed and on file within 30 calendar days of receiving notification that compliance report is available for review. The parent/guardian and the approved provider must sign the parent statement.</li> <li>• Upload copies of signed parent statements, identified as not signed/on file at initial inspection, on the Hive within 30 calendar days of receiving notification that compliance report is available for review using the upload/create button.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> <li>• <b>NB</b> All relevant parent statements should be uploaded at the one time before completing the self-declaration.</li> </ul>
<b>FEES LIST</b>			
<b>6.</b>	Fees Table per the Hive does not comply with programme requirements	Moderate non-compliant	<ul style="list-style-type: none"> <li>• Update fees table on the Hive immediately to comply with programme requirements and ensure correct/updated version is displayed in the facility, and published online if applicable.</li> <li>• Upload photographic evidence on the Hive of updated fees table on display in the facility, and published online if applicable within 30 calendar days (e.g. screenshot of fees table displayed and URL link if applicable) using the upload/create button.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of</li> </ul>

			receiving notification that compliance report is available for review.
<b>FEE RECORDS</b>			
<b>7.</b>	Records in relation to fees not available for inspection on site	Moderate non-compliant	<ul style="list-style-type: none"> <li>• Ensure all fee records for all current children are available on-site immediately.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
<b>8.</b>	Fee records not adequate to allow compliance to be checked	Moderate non-compliant	<ul style="list-style-type: none"> <li>• Ensure all fee records for all current children are maintained in an adequate format to allow compliance to be checked immediately.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
<b>PARENTAL CO-PAYMENT</b>			
<b>9.</b>	Co-payment charged to parent/guardian in excess of fees table	Moderate non-compliant	<ul style="list-style-type: none"> <li>• Ensure all co-payments charged are in line with the Hive Fees Table amounts.</li> <li>• Review all co-payments charged to parents/guardians and reimburse any parents/guardians that have been overcharged.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
<b>10</b>	Service has charged a co-payment for sponsored children	Major non-compliant	<ul style="list-style-type: none"> <li>• Ensure no co-payment is charged to any parent/guardian of sponsored children immediately.</li> <li>• Review records of all sponsored children and reimburse the parents/guardians of any sponsored children who were charged any co-payment.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
<b>ATTENDANCE RECORDS</b>			
<b>11</b>	Attendance records for prior periods do not exist (e.g. destroyed, lost or never kept)	Major non-compliant	<ul style="list-style-type: none"> <li>• Attendance records to be maintained immediately and in the required format that will allow compliance to be checked. To be reviewed at an on-site follow up inspection within 20 working days from receiving notification that compliance report is available for review.</li> </ul>
<b>12</b>	Attendance records for prior periods do not exist (e.g. destroyed,	Major non-compliant	<ul style="list-style-type: none"> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>

	lost or never kept) – historical issue		
13	Attendance records for all rooms are not available on-site for inspection on day of <u>initial inspection</u> <b>Note:</b> this outcome reason will not be issued to the provider until a revisit has been conducted	Major non-compliant	<ul style="list-style-type: none"> <li>Retrieve records immediately. To be reviewed at an on-site <u>revisit</u> inspection within 5 working days of initial inspection.</li> </ul>
14	Attendance records for all rooms are not available on-site for inspection on day of revisit	Major non-compliant	<ul style="list-style-type: none"> <li>Attendance records to be maintained immediately and in the required format that will allow compliance to be checked. To be reviewed at an on-site <u>follow up</u> inspection within 20 working days of receiving notification that compliance report is available for review.</li> </ul>
15	Attendance records for all rooms are not available on-site for inspection on day of revisit – historical issue	Major non-compliant	<ul style="list-style-type: none"> <li>Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
16	Attendance records not adequate to allow compliance to be checked	Major non-compliant	Attendance records to be maintained in the required format that will allow compliance to be checked immediately. To be reviewed at an on-site follow up inspection within 20 working days of receiving notification that compliance report is available for review.
17	Attendance records not adequate to allow compliance to be checked – historical issue	Major non-compliant	<ul style="list-style-type: none"> <li>Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
18	Attendance records available but some gaps/inadequacies identified	Major non-compliant	<ul style="list-style-type: none"> <li>Attendance records to be immediately maintained in the required format that will allow compliance to be checked.</li> <li>Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
<b>OVERCLAIMS</b>			
19	Hive returns were not reflective of all absenteeism and/or leavers	Determined by the % of incorrect registrations identified in the sample checked i.e. <5% Minor non-compliant	<ul style="list-style-type: none"> <li>Ensure all future returns on the Hive are submitted based on actual attendance.</li> <li>Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul> <p><b>Note:</b> any claim corrections recorded to be actioned by Pobal.</p>

		≥5% but ≤20% Moderate non-compliant >20% Major non-compliant	
<b>20</b>	Hive returns were not reflective of all under attendance of 8 to 12 weeks	Minor non-compliant	<ul style="list-style-type: none"> <li>• Ensure all future returns on the Hive are submitted based on actual attendance.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>
<b>21</b>	Hive returns were not reflective of all under attendance of greater than 12 weeks	Determined by the % of incorrect registrations identified in the sample checked i.e. <5% Minor non-compliant ≥5% but ≤20% Moderate non-compliant >20% Major non-compliant	<ul style="list-style-type: none"> <li>• Ensure all future returns on the Hive are submitted based on actual attendance.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul> <p><b>Note:</b> any claim corrections recorded to be actioned by Pobal.</p>
<b>22</b>	Hive was not reflective with regards to actual start dates of child/ren	See above	<ul style="list-style-type: none"> <li>• Ensure all future returns on the Hive are submitted based on actual start dates.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul> <p><b>Note:</b> any claim corrections recorded to be actioned by Pobal.</p>
<b>23</b>	Ineligible claims identified as child/ren did not take up place in the service	See above	<ul style="list-style-type: none"> <li>• Ensure all future returns on the Hive are submitted based on actual attendance.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul> <p><b>Note:</b> any claim corrections recorded to be actioned by Pobal.</p>
<b>24</b>	The Hive claims were incorrect with regards to facility the children are attending	See above	<ul style="list-style-type: none"> <li>• Ensure all future returns on the Hive are submitted based on actual attendance in the facility.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul>

			<b>Note:</b> any claim corrections recorded to be actioned by Pobal.
<b>25</b>	Not all registered Hive children have been evidenced in the attendance records	See above	<ul style="list-style-type: none"> <li>• Ensure that all registrations on the Hive are kept up to date in line with the rules of the programme and all registered children are recorded in attendance records.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> </ul> <p><b>Note:</b> any claim corrections recorded to be actioned by Pobal.</p>
<b>CLOSURES</b>			
<b>26</b>	Registered service calendar on the Hive is not up to date – i.e. does not reflect all identified <u>paid</u> closure days	Minor non-compliant	<ul style="list-style-type: none"> <li>• Update calendar on the Hive immediately, in relation to <u>paid</u> closures, and ensure correct/updated version is displayed in the facility, and published online if applicable.</li> <li>• Upload photographic evidence of updated calendar using the upload/create button.</li> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> <li>• Ensure the calendar on the Hive reflects all subsidised and unsubsidised closures going forward.</li> </ul>
<b>27</b>	Registered service calendar on the Hive is not up to date – i.e. does not reflect all identified <u>unpaid</u> closure days: 1 day closure not reflected on calendar	Moderate non-compliant	<ul style="list-style-type: none"> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> <li>• Ensure the calendar on the Hive reflects all subsidised and unsubsidised closures going forward.</li> </ul> <p><b>Note:</b> any claim corrections (from calendar closure adjustments recorded) to be actioned by Pobal</p>
<b>28</b>	Registered service calendar on the Hive is not up to date - i.e. does not reflect all identified unpaid closure days: more than 1 day closure not reflected on calendar	Major non-compliant	<ul style="list-style-type: none"> <li>• Complete self-declaration within the compliance report on the Hive within 30 calendar days of receiving notification that compliance report is available for review.</li> <li>• Ensure the calendar on the Hive reflects all subsidised and unsubsidised closures going forward.</li> </ul> <p>• <b>Note:</b> any claim corrections (from calendar closure adjustments recorded) to be actioned by Pobal</p>