

Access and Inclusion Model (AIM) Level 7

Compliance Post Inspection Rectification Actions for Providers

Following an AIM Level 7 Compliance Inspection, providers will receive a notification, via the Hive, alerting them to the availability of the Compliance Report and outcomes. For each check conducted the Compliance report will outline the:

- Final compliance outcome (Compliant or Minor Non-Compliant/Moderate Non-Compliant/Major Non-Compliant)
- Reason for non-compliance outcome
- Required rectification action (if applicable); and
- Details of any comments and compliance corrections

For non-compliant outcomes, the provider will be required to take rectification action on the issue identified and make a commitment to comply with the AIM Level 7 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 Compliance 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, then a sanction may be imposed. **In particular, in instances of a non-compliance outcome relating to checks on maintaining reduced ratio and/or additional assistance, if the provider does not take the requisite rectification action within the required timelines, funding associated with the non-compliant capitations will be stopped. If the provider subsequently engages with Pobal to rectify the matter, the funding will then be reinstated. Please note that any funding relating to the period from the date the funding is stopped to the reinstatement date, will not be reimbursed retrospectively.**

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 sanctions are imposed.

Non-Compliant Outcome Reasons		Non-compliant categorisation	Rectification Action for Provider
PRE-REQUISITES			
1	Approved Provider did not facilitate the inspection – 1 st occurrence.	Major non-compliant	<ul style="list-style-type: none"> Facilitate future compliance inspections.
2	Approved Provider did not facilitate the inspection – 2 nd occurrence	Major non-compliant	<ul style="list-style-type: none"> No further Approved Provider action is possible as this constitutes a serious Compliance issue. A sanction may be applied. Facilitate any future compliance inspections.
ATTENDANCE RECORDS			
3	Child attendance records for the period under review do not exist – submit evidence	Major non-compliant	<ul style="list-style-type: none"> The Approved Provider shall ensure that all attendance records for all AIM Level 7 session(s)/room(s) are maintained on-site, in the required format and be made available for inspection at all times. The Approved Provider shall upload evidence using the upload button, of attendance records of DCEDIY funded children, in receipt of AIM Level 7 funding, currently being maintained (see Inspection Comments section for details of records to be submitted). In addition, the Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. Failure to complete this rectification action i.e., to upload the relevant evidence and to complete the self-declaration by the Rectification Due Date, may result in the application of a sanction.
4	Child attendance records for the period under review do not exist – historical issue	Major non-compliant	<ul style="list-style-type: none"> The Approved Provider shall ensure that all attendance records for all AIM Level 7 session(s)/room(s) are maintained on-site, in the required format and be made available for inspection at all times. The Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. Failure to complete this rectification action i.e., to complete the self-declaration by the Rectification Due Date, may result in the application of a sanction.
5	Child attendance records for all rooms are not available on-site for inspection on day of initial inspection.	Major non-compliant	<ul style="list-style-type: none"> The Approved Provider shall ensure that all child attendance records since the start of the programme year, for all AIM Level 7 session(s)/room(s) are available on-site for inspection at all times.

ATTENDANCE RECORDS cont.

6	Child 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"> • The Approved Provider shall ensure that all attendance records for all AIM Level 7 session(s)/room(s) are maintained on-site, in the required format and be made available for inspection at all times. • The Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. • Failure to complete this rectification action i.e., to complete the self-declaration by the Rectification Due Date, may result in the application of a sanction.
7	Child attendance records are not in an adequate format to allow compliance to be checked – submit evidence	Major non-compliant	<ul style="list-style-type: none"> • The Approved Provider shall ensure that all attendance records for all AIM Level 7 session(s)/room(s) are maintained on-site, in the required format and be made available for inspection at all times. • The Approved Provider shall upload evidence using the upload button, of attendance records of DCEDIY funded children, in receipt of AIM Level 7 funding, currently being maintained (see Inspection Comments section for details of records to be submitted). • In addition, the Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. • Failure to complete this rectification action i.e., to upload the relevant evidence and to complete the self-declaration by the Rectification Due Date, may result in the application of a sanction.
8	Child attendance records are not in an adequate format to allow compliance to be checked – historical issue	Major non-compliant	<ul style="list-style-type: none"> • The Approved Provider shall ensure that all attendance records for all AIM Level 7 session(s)/room(s) are maintained on-site, in the required format and be made available for inspection at all times. • The Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. • Failure to complete this rectification action i.e., to complete the self-declaration by the Rectification Due Date, may result in the application of a sanction.

REDUCED RATIO

9	AIM Level 7 reduced ratio is not in line with funding allocation for a sample period reviewed	Major non-compliant	<ul style="list-style-type: none"> • The Approved Provider shall ensure that reduced ratios are maintained in line with the approved AIM Level 7 capitation. • The Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. • Failure to complete this rectification action i.e., to complete the self-declaration by the Rectification Due Date, will result in the funding associated with the non-compliant capitation being stopped
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ADDITIONAL ASSISTANCE

10	An additional staff member was not assigned to the AIM Level 7 room/session, for a sample period reviewed	Major non-compliant	<ul style="list-style-type: none"> • The Approved Provider shall ensure that approved AIM Level 7 capitations in relation to additional assistance staff are maintained at all times. • The Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. <p>Failure to complete this rectification action i.e., to complete the self-declaration by the Rectification Due Date, will result in the funding associated with the non-compliant capitation being stopped.</p>
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AIM 7 QUALIFICATIONS

11	The relevant staff qualifications are not evidenced on-site and were not provided within required timelines.	Minor non-compliant	<ul style="list-style-type: none"> • The Approved Provider shall ensure that all relevant staff qualifications for staff employed under AIM Level 7 are maintained on-site at all times, to allow checks to be conducted. • The Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. • Failure to complete this rectification action i.e., to complete the self-declaration by the Rectification Due Date, may result in the application of a sanction.
12	The Approved Provider is not meeting the staff qualification requirements, at visit date.	Moderate non-compliant	<ul style="list-style-type: none"> • The Approved Provider shall ensure that all AIM Level 7 staff meet the minimum requirement for staff qualifications in line with the AIM programme rules. • The Approved Provider shall complete a self-declaration, by the Rectification Due Date, by selecting the tick box. • Failure to complete this rectification action i.e., to complete the self-declaration by the Rectification Due Date, may result in the application of a sanction.

Compliance Reinstatement Declaration

In the event that a service fails to complete the rectification action(s) in relation to maintenance of reduced ratio or additional assistance, funding associated with the non-compliant capitations will be stopped. If the provider subsequently engages with Pobal to rectify the matter and completes the Compliance Reinstatement Declaration, the funding will then be reinstated. Any funding relating to the period from the date the funding is stopped to the reinstatement date, will not be reimbursed retrospectively. Please note that reviews can not be submitted on the associated capitations until the Compliance Reinstatement Declaration is completed and submitted via the Hive.

REDUCED RATIO			
AIM Level 7 reduced ratio is not in line with funding allocation for a sample period reviewed	Major non-compliant	Not rectified	<ul style="list-style-type: none"> • The Approved Provider shall ensure that reduced ratios are maintained in line with the approved AIM Level 7 capitation. • The Approved Provider shall complete a compliance reinstatement declaration, by selecting the tick box.

Additional Assistance			
An additional staff member was not assigned to the AIM Level 7 room/session, for a sample period reviewed	Major non-compliant	Not rectified	<ul style="list-style-type: none"> • The Approved Provider shall ensure that approved AIM Level 7 capitations in relation to additional assistance staff are maintained at all times. • The Approved Provider shall complete a compliance reinstatement declaration, by selecting the tick box.