

## SCHEDULE 1

Regulation 5

## Prescribed offences – services regulated under the 2017 Regulations

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 7(3) and (5) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the statement of purpose	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 11(3) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the financial sustainability of the service	An amount corresponding to level 4 on the standard scale
Regulation 12(1) and (2) of the 2017 Regulations	Contravention of, or failure to comply with, requirements to have in place specified policies and procedures	An amount corresponding to level 4 on the standard scale
Regulation 19(1), (2) and (3) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information about the service	An amount corresponding to two times level 4 on the standard scale
Regulation 20(1) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of a service agreement	An amount corresponding to level 4 on the standard scale
Regulation 35(1) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the fitness of staff	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 38(1) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information for staff	An amount corresponding to two times level 4 on the standard scale
Regulation 59(1), (2) and (3) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to records	An amount corresponding to two times level 4 on the standard scale
Regulation 60(1), (2) and (4) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to notifications	An amount corresponding to two times level 4 on the standard scale
Regulation 67(1) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to appoint a manager	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 74(1) and (2) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a	An amount corresponding to two times level 4 on the standard scale

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<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
	responsible individual to report on the adequacy of resources	
Regulation 75(1) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the making by a responsible individual of other reports to the service provider	An amount corresponding to two times level 4 on the standard scale
Regulation 80(4) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a report in respect of a quality of care review	An amount corresponding to two times level 4 on the standard scale
Regulation 81(1) of the 2017 Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a statement of compliance with the requirements as to standards of care and support	An amount corresponding to two times level 4 on the standard scale
Regulation 84(1) and (3) of the 2017 Regulations	Contravention of, or failure to comply with requirements in relation to the responsible individual's duty to make notifications to the service regulator	An amount corresponding to two times level 4 on the standard scale

SCHEDULE 2

Regulation 6

Prescribed offences – regulated adoption services

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 5(3) and (5) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirement to give notice of revision to the statement of purpose	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 9(3) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirement to provide copy accounts	An amount corresponding to level 4 on the standard scale
Regulation 10(1) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements to have in place specified policies and procedures	An amount corresponding to level 4 on the standard scale

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 13(1), (2) and (3) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information about the service	An amount corresponding to two times level 4 on the standard scale
Regulation 14(1) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of a service agreement	An amount corresponding to level 4 on the standard scale
Regulation 23(1) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the fitness of staff	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 26(1) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information for staff	An amount corresponding to two times level 4 on the standard scale
Regulation 30(1) and (2) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to records	An amount corresponding to two times level 4 on the standard scale
Regulation 31(1), (2), (3) and (5) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to notifications	An amount corresponding to two times level 4 on the standard scale
Regulation 36(1) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to appoint a manager	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 43(1) and (2) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to report on the adequacy of resources	An amount corresponding to two times level 4 on the standard scale
Regulation 44(1) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the making by a responsible individual of other reports to the service provider	An amount corresponding to two times level 4 on the standard scale
Regulation 49(4) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a report in respect of a quality of service review	An amount corresponding to two times level 4 on the standard scale
Regulation 50(1) of the Adoption Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by	An amount corresponding to two times level 4 on the standard scale

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<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
	a responsible individual of a statement of compliance with the requirements as to standards of support	
Regulation 53(1) and (3) of the Adoption Services Regulations	Contravention of, or failure to comply with requirements in relation to the responsible individual's duty to make notifications to the service regulator	An amount corresponding to two times level 4 on the standard scale

SCHEDULE 3

Regulation 7

Prescribed offences – adult placement services

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 3(3) and (5) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirement to give notice of revision to the statement of purpose	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 7(3) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirement to provide copy accounts	An amount corresponding to level 4 on the standard scale
Regulation 8(1) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements to have in place specified policies and procedures	An amount corresponding to level 4 on the standard scale
Regulation 11(1) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of a carer agreement	An amount corresponding to level 4 on the standard scale  An amount corresponding to two times level 4 on the standard scale
Regulation 16(1), (2) and (3) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information about the service	
Regulation 28(1) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the fitness of staff	An amount corresponding to two and a half times level 4 on the standard scale

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 31(1) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information for staff	An amount corresponding to two times level 4 on the standard scale
Regulation 40 (1) and (2) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to records	An amount corresponding to two times level 4 on the standard scale
Regulation 41(1) and (3) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to notifications	An amount corresponding to two times level 4 on the standard scale
Regulation 46(1) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to appoint a manager	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 53(1) and (2) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to report on the adequacy of resources	An amount corresponding to two times level 4 on the standard scale
Regulation 54(1) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the making by a responsible individual of other reports to the service provider	An amount corresponding to two times level 4 on the standard scale
Regulation 59(4) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a report in respect of a quality of care review	An amount corresponding to two times level 4 on the standard scale
Regulation 60(1) of the Adult Placement Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a statement of compliance with the requirements as to standards of care and support	An amount corresponding to two times level 4 on the standard scale
Regulation 63(1) and (3) of the Adult Placement Services Regulations	Contravention of, or failure to comply with requirements in relation to the responsible individual's duty to make notifications to the service regulator	An amount corresponding to two times level 4 on the standard scale

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## SCHEDULE 4

Regulation 8

## Prescribed offences – regulated advocacy services

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 4(3) and (5) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirement to give notice of revision to the statement of purpose	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 8(3) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirement to provide copy accounts	An amount corresponding to level 4 on the standard scale
Regulation 9(1) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements to have in place specified policies and procedures	An amount corresponding to level 4 on the standard scale
Regulation 15(1), (2) and (3) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information about the service	An amount corresponding to two times level 4 on the standard scale
Regulation 24(1) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the fitness of staff	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 27(1) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information for staff	An amount corresponding to two times level 4 on the standard scale
Regulation 31(1) and (2) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to records	An amount corresponding to two times level 4 on the standard scale
Regulation 32(1) and (3) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to notifications	An amount corresponding to two times level 4 on the standard scale
Regulation 37(1) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to appoint a manager	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 44(1) and (2) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to report on the adequacy of resources	An amount corresponding to two times level 4 on the standard scale
Regulation 45(1) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the making by a	An amount corresponding to two times level 4 on the standard scale

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
	responsible individual of other reports to the service provider	
Regulation 50(4) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a report in respect of a quality of service review	An amount corresponding to two times level 4 on the standard scale
Regulation 51(1) of the Advocacy Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a statement of compliance with the requirements as to standards of advocacy	An amount corresponding to two times level 4 on the standard scale
Regulation 54(1) and (3) of the Advocacy Services Regulations	Contravention of, or failure to comply with requirements in relation to the responsible individual's duty to make notifications to the service regulator	An amount corresponding to two times level 4 on the standard scale

## SCHEDULE 5

Regulation 9

## Prescribed offences – regulated fostering services

<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 4(3) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirement to give notice of revision to the statement of purpose	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 8(3) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirement to provide copy accounts	An amount corresponding to level 4 on the standard scale
Regulation 9(1) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements to have in place specified policies and procedures	An amount corresponding to level 4 on the standard scale
Regulation 12(1), (2) and (3) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information about the service	An amount corresponding to two times level 4 on the standard scale

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<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
Regulation 30(1) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the fitness of staff	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 33(1) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the provision of information for staff	An amount corresponding to two times level 4 on the standard scale
Regulation 39(1) and (2) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to records	An amount corresponding to two times level 4 on the standard scale
Regulation 40(1), (2), (3), (4), (5) and (8) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to notifications	An amount corresponding to two times level 4 on the standard scale
Regulation 50(1) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to appoint a manager	An amount corresponding to two and a half times level 4 on the standard scale
Regulation 57(1) and (2) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the duty of a responsible individual to report on the adequacy of resources	An amount corresponding to two times level 4 on the standard scale
Regulation 58(1) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the making by a responsible individual of other reports to the service provider	An amount corresponding to two times level 4 on the standard scale
Regulation 63(4) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a report in respect of a quality of care review	An amount corresponding to two times level 4 on the standard scale
Regulation 64(1) of the Fostering Services Regulations	Contravention of, or failure to comply with, requirements in relation to the preparation by a responsible individual of a statement of compliance with the requirements as to standards of care and support	An amount corresponding to two times level 4 on the standard scale
Regulation 67(1) and (4) of the Fostering Services Regulations	Contravention of, or failure to comply with requirements in relation to the responsible individual's duty to make	An amount corresponding to two times level 4 on the standard scale



<b>Provision creating offence</b>	<b>General nature of the offence</b>	<b>Amount of penalty</b>
	notifications to the Welsh Ministers	