Early Childhood Care and Education (ECCE)
Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST*

* **NOTE TO PROVIDERS:** It is the responsibility of the Service Provider to ensure compliance with their contractual requirements. This checklist is intended for information purposes only and is not exhaustive. It is essential that Service Providers are familiar with the programme information including the Grant Agreements, "How to" guides and Rules for DCYA Childcare Funding Programmes available on the PIP Portal, and Pobal and DCYA websites.

Please tick ✓

	Compliance Folder/File		
1	The following points are a guide as to the types of information that Visit Officers seek to review on an unannounced Compliance Visit. To minimise disruption to the Service operation, Pobal recommend that Services collate information for review on these visits in a Compliance Folder/File which is readily available, on site, at all times. This Folder/File should not contain any information which is not relevant to the Compliance Visit. Attendance Records and Fee Records should also be easily accessible.	Yes	

	Attendance Records		
2	Are there adequate attendance records on site for each session and/or room? Attendance records must be from the start of the programme year to date, and include: • **Full Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes	
3	Are the attendance records (i.e. Rolls Books, <u>Weekly</u> Attendance Sheets) maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each session and/or room to assist identifying PIP updating requirements? The same requirement applies **if** attendance records are maintained in electronic format. In these instances, Attendance Reports for the cycle should be maintained/easily accessible. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes	

	PIP Registrations			
4	Are all ECCE Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct session type/level of service registered?	Yes		
5	Have ECCE Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes to session type/level of service?	Yes	N/A	
6	Where the CCC has approved an extended absence (beyond 4 weeks up to a maximum of 6 weeks), is a copy of the authorisation on file?	Yes	N/A	

	Staff Qualifications		
7	Are the relevant staff qualifications* / signed Grandfathering declarations/ DCYA Letters of Eligibility on file for **all staff** working in each ECCE session and/or room with ECCE children enrolled? Having these documents available on site will ensure a reduced level of non-compliance in relation to staff qualifications. **Note:** Qualifications are checked against the DCYA Early Years Recognised Qualifications listings available on the DCYA website. In instances where awards/certificates available do not contain the course title in the English language, evidence from the education provider in English showing what field and subject the qualification has been granted in e.g. a copy of the transcript of final results must be on file. *Where a Qualification is not on the DCYA Early Years Recognised Qualifications lists, the individual must apply to the DCYA for recognition.	Yes	

	Higher Capitation		
8	Is there a copy of the application form for ECCE Higher Capitation, submitted to Pobal, on file and any correspondence from Pobal confirming higher capitation?	Yes / N/A	

Early Childhood Care and Education (ECCE)
Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST* cont.

	Higher Capitation cont.		
		Yes	N/A
9	If the FTE number of children in Higher Capitation approved session(s) and/or room(s) has changed during the year, has the ECCE Higher Capitation Form been updated on PIP?	☐	☐
10	If Higher Capitation approved session staff have left and/or been replaced during the year, has the ECCE Higher Capitation Form been updated on PIP?	☐ Yes	☐ N/A
11	Is there a record of any dates of non-attendance of higher capitation staff on file and the reasons for non-attendance?	☐ Yes	☐ N/A
	PIP Parental Declaration Forms		
12	Are Parental Declaration forms for **all registrations** (including amendments during the year) printed, signed by parents and on file?	Yes ☐	
13	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐	
	Fee Records		
14	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the Fees List? If direct debit is applicable, access to records must be available on site (this can be online access).	☐ Yes	☐ N/A
	Minimum Enrolment		
15	Has a Minimum Enrolment Exemption been applied for, through the relevant CCC, for **each ECCE session and/or room** which does not meet the requirement of 8 ECCE eligible children attending on a daily basis? A copy of the approved exemption notification should be maintained and filed with the Compliance information for review.	☐ Yes	☐ N/A
	PIP Fees List, Parent Fee Letters and Calendars		
16	Is the most up to date Fees List, Service Fees Information Letter (Parent Fees Letter) and Calendar displayed in the service in a location easily accessible to parents? **Note:** Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year.	Yes ☐	
17	Does the Fees List comply with programme requirements and accurately reflect actual fees charged for the types of provision that the Service operates?	Yes ☐	
18	Are PIP generated Service Fees Information Letters (Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes ☐	

* **NOTE TO PROVIDERS:** It is the responsibility of the Service Provider to ensure compliance with their contractual requirements. This checklist is intended for information purposes only and is not exhaustive. It is essential that Service Providers are familiar with the programme information including the Grant Agreements, "How to" guides and Rules for DCYA Childcare Funding Programmes available on the PIP Portal, and Pobal and DCYA websites.

Please tick ✓

	Compliance Folder/Records	
1	The following points are a guide as to the types of information that Visit Officers seek to review on an unannounced Compliance Visit. To minimise disruption to the Service operation, Pobal recommend that Services collate information for review on these visits in a Compliance Folder/File which is readily available, on site, at all times. This Folder/File should not contain any information which is not relevant to the Compliance Visit. Attendance Records and Fee Records should also be easily accessible. **Note:** Where applicable, the compliance folder should include documentation for children originally registered in 2017/18 cycle and re-registered in 2018/19 cycle.	Yes ☐
	Attendance Records	
2	Are there adequate attendance records on site for each session and/or room? Attendance records must be from the start of the programme year to date, and include: • **Full Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐
3	Are the attendance records (i.e. Rolls Books, Weekly Attendance Sheets) maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each session and/or room to assist identifying PIP updating requirements? The same requirement applies **if** attendance records are maintained in electronic format. In these instances, Attendance Reports for the cycle should be maintained/easily accessible. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐
	PIP Registrations	
4	Are all TEC Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct session type/level of service registered?	Yes ☐
5	Have TEC Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes to session type/level of service?	Yes ☐ N/A ☐
6	Where the CCC has approved an extended absence (beyond 2 weeks, up to a maximum of 4 weeks), is a copy of the authorisation on file?	Yes ☐ N/A ☐
	PIP Declarations	
7	Are Parental Declaration forms for **all registrations** (including amendments during the year and any top-ups) printed, signed by parents and on file?	Yes ☐
8	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐
	Fee Records	
9	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the Fees List? If direct debit is applicable, access to records must be available on site (this can be online access).	Yes ☐ N/A ☐
	TEC Sign in Sheets	
10	Are TEC Parent Sign-in sheets complete, up-to-date and available for review for children/families availing of any TEC programme?	Yes ☐
11	If an additional adult signs on behalf of a parent, is there a letter of permission signed by the eligible parent and the additional adult on file?	Yes ☐ N/A ☐

Training and Employment Childcare (TEC)
Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST* cont.

	PIP Fees List and Parent Letters	
12	Is the most up to date Fees List, Service Fees Information Letter (Parent Fees Letter) and Calendar displayed in the service in a location easily accessible to parents? **Note:** Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year.	Yes ☐
13	Does the Fees List comply with programme requirements and accurately reflect actual fees charged for the types of provision that the Service operates?	Yes ☐
14	Are PIP generated Service Fees Information Letters (Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes ☐

Community Childcare Subvention (CCS)
Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST*

* **NOTE TO PROVIDERS:** It is the responsibility of the Service Provider to ensure compliance with their contractual requirements. This checklist is intended for information purposes only and is not exhaustive. It is essential that Service Providers are familiar with the programme information including the Grant Agreements, "How to" guides and Rules for DCYA Childcare Funding Programmes available on the PIP Portal and Pobal and DCYA websites.

Please tick ✓

	Compliance Folder/Records	
1	The following points are a guide as to the types of information that Visit Officers seek to review on an unannounced Compliance Visit. To minimise disruption to the Service operation, Pobal recommend that Services collate information for review on these visits in a Compliance Folder/File which is readily available, on site, at all times. This Folder/File should not contain any information which is not relevant to the Compliance Visit. Attendance Records and Fee Records should also be easily accessible.	Yes ☐

	Attendance Records	
2	Are there adequate attendance records on site for each session and/or room? Attendance records must be from the start of the programme year to date, and include: • **Full Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐
3	Are the attendance records (i.e. Rolls Books, Weekly Attendance Sheets) maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each session and/or room to assist identifying PIP updating requirements? The same requirement applies **if** attendance records are maintained in electronic format. In these instances, Attendance Reports for the cycle should be maintained/easily accessible. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐

	PIP Registrations		
4	Are all CCS Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct level of service registered including correct session type and days attended during the Snapshot Window, from 17th September to 12th October 2018.	Yes ☐	
5	Have CCS Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers.	Yes ☐	N/A ☐
6	Where the CCC has approved an extended absence (beyond 4 weeks, up to a maximum of 6 weeks), is a copy of the authorisation on file?	Yes ☐	N/A ☐

	FTE Calculators	
7	Has the CCS FTE Calculator spreadsheet been completed for the final week of the CCS snapshot window, 8th to 12th October 2018, as well as for a full 5 day week in each subsequent month? The FTE Calculator should include the following: • Cessation date of leavers • Details of all replacement children, including start dates. These replacement children must be registered on PIP as CCS not funded. • A true reflection of the session type/level of service the child is due to attend (no. of days enrolled) versus actually attends **NB:** Services may keep a soft copy of each monthly FTE Calculator on a PC or Laptop that is accessible to the Visit Officer or print a copy. Instruction for completion of the FTE calculator is available on the first tab of the FTE calculator spreadsheet.	Yes ☐

	PIP Parental Declaration Forms	
8	Are Parental Declaration forms for **all registrations** (including CCS Not Funded Replacement children, where applicable) printed, signed by parents and on file?	Yes ☐

	Community Childcare Subvention (CCS) **Unannounced Compliance Visits 2018/19** **SERVICE PROVIDER CHECKLIST* cont.**	
	PIP Parental Declaration Forms cont.	
9	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐
10	Have all ''Replacement'' children availing of CCS in the Service been registered as CCS Not Funded on PIP?	Yes ☐ N/A ☐
	Fee Records	
11	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the Fees List? If direct debit is applicable access to records must be available on site (this can be online access).	Yes ☐ N/A ☐
	PIP Fees List and Parent Letters	
12	Is the **most up to date** Fees List, Service Fees Information Letter (Parent Fees Letter) and Calendar displayed in the service in a location easily accessible to parents? **Note:** Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year.	Yes ☐
13	Does the Fees List comply with programme requirements and accurately reflect actual fees charged for types of provision that the Service operates?	Yes ☐
14	Are PIP generated Service Fees Information Letters (Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes ☐

Community Childcare Subvention Plus (CCSP) including Universal Subsidy (CCSU) Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST*

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Please tick ✓

	Compliance Folder/Records	
1	The following points are a guide as to the types of information that Visit Officers seek to review on an unannounced Compliance Visit. To minimise disruption to the Service operation, Pobal recommend that Services collate information for review on these visits in a Compliance Folder/File which is readily available, on site, at all times. This Folder/File should not contain any information which is not relevant to the Compliance Visit. Attendance Records and Fee Records should also be easily accessible.	Yes ☐
	Attendance Records	
2	Are there adequate attendance records on site for each session and/or room? Attendance records must be from the start of the programme year to date, and include: **Full Name of child** **Date of attendance** **Time of child's arrival** **Time of child's departure**	Yes ☐
3	Are the attendance records (i.e. Rolls Books, <u>Weekly</u> Attendance Sheets) maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each session and/or room to assist identifying PIP updating requirements? The same requirement applies **if** attendance records are maintained in electronic format. In these instances, Attendance Reports for the cycle should be maintained/easily accessible. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐
	PIP Registrations	
4	Are all CCSP Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, session type/correct level of service registered?	Yes ☐
5	Have CCSP Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes to session type/level of service?	Yes ☐ N/A ☐
6	Where the CCC has approved an extended absence (beyond 2 weeks, up to a maximum of 4 weeks), is a copy of the authorisation on file?	Yes ☐ N/A ☐
	PIP Parental Declaration Forms	
7	Are Parental Declaration forms for **all registrations** (including amendments during the year) printed, signed by parents and on file?	Yes ☐
8	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐
	Fee Records	
9	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the Fees List? If direct debit is applicable access to records must be available on site (this can be online access).	Yes ☐ N/A ☐
	PIP Fees List and Parent Letters	
10	Is the most up to date Fees List, Service Fees Information Letter (Parent Fees Letter) and Calendar displayed in the service in a location easily accessible to parents? **Note:** Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year.	Yes ☐
11	Does the Fees List comply with programme requirements and accurately reflect actual fees charged for types of provision that the Service operates?	Yes ☐

Community Childcare Subvention Plus (CCSP) including Universal Subsidy (CCSU)
Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST* cont.

PIP Fees List and Parent Letters cont.	
12 Are PIP generated Service Fees Information Letters (Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes ☐

Community Childcare Subvention Resettlement (CCSR)
Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST*

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Please tick ✓

	Compliance Folder/Records	
1	The following points are a guide as to the types of information that Visit Officers seek to review on an unannounced Compliance Visit. To minimise disruption to the Service operation, Pobal recommend that Services collate information for review on these visits in a Compliance Folder/File which is readily available, on site, at all times. This Folder/File should not contain any information which is not relevant to the Compliance Visit. Attendance Records should also be easily accessible.	Yes ☐
	Attendance Records	
2	Are there adequate attendance records on site for each session and/or room? Attendance records must be from the start of the programme year to date, and include: • **Full Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐
3	Are the attendance records (i.e. Rolls Books, <u>Weekly</u> Attendance Sheets) maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each session and/or room to assist identifying PIP updating requirements? The same requirement applies **if** attendance records are maintained in electronic format. In these instances, Attendance Reports for the cycle should be maintained/easily accessible. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐
	PIP Registrations	
4	Are all CCSR Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct session type/level of service registered?	Yes ☐
5	Have CCSR Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leaver, changes to session type/level of service?	Yes ☐ N/A ☐
6	Where the CCC has approved an extended absence (beyond 2 weeks, up to a maximum of 4 weeks), is a copy of the authorisation on file?	Yes ☐ N/A ☐
	PIP Parental Declaration Forms	
7	Are Parental Declaration forms for **all registrations** (including leavers where applicable), signed by parents and on file? **Note**: The CCSR Parental Declaration Form must be completed offline i.e. not on PIP. The Parental Declaration Form to be completed is available on the PIP Homepage/PIP Portal in either English or Arabic. It should be completed manually using details provided on the PIP system. **N.B. The Parent must sign the offline CCSR Parental Declaration Form and be given a copy.**	Yes ☐
8	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers and returned the relevant Department of Justice & Equality "Resettlement" Letter of Eligibility containing PPS Numbers to Parents?	Yes ☐
	Fee Records	
9	Do fee records reflect that NIL fees are charged for CCSR?	Yes ☐

	Community Childcare Subvention Resettlement (CCSR) Unannounced Compliance Visits 2018/19 SERVICE PROVIDER CHECKLIST* cont.	
	PIP Calendar	
10	Is the most up to date Calendar displayed in the service in a location easily accessible to parents? **Note:** Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year.	Yes ☐

Community Childcare Subvention Resettlement (Transitional) (CCSR(T)) Programme
Unannounced Compliance Visits 2018/19
SERVICE PROVIDER CHECKLIST*

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Please tick ✓

	Compliance Folder/Records	
1	The following points are a guide as to the types of information that Visit Officers seek to review on an unannounced Compliance Visit. To minimise disruption to the Service operation, Pobal recommend that Services collate information for review on these visits in a Compliance Folder/File which is readily available, on site, at all times. This Folder/File should not contain any information which is not relevant to the Compliance Visit. Attendance Records should also be easily accessible.	Yes ☐
	Attendance Records	

2	Are there adequate attendance records on site for each session and/or room? Attendance records must be from the start of the programme year to date, and include:
	   • **Full Name of child**
	   • **Date of attendance**
	   • **Time of child's arrival**
	   • **Time of child's departure**
		Yes ☐

3	Are the attendance records (i.e. Rolls Books, <u>Weekly</u> Attendance Sheets) maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each session and/or room to assist identifying PIP updating requirements? The same requirement applies **if** attendance records are maintained in electronic format. In these instances, Attendance Reports for the cycle should be maintained/easily accessible. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐
	PIP Registrations	
4	Are all CCSR(T) Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct session type/level of service registered?	Yes ☐
5	Have CCSR(T) Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leaver, changes to session type/level of service?	Yes ☐ N/A ☐
6	Where the CCC has approved an extended absence (beyond 2 weeks up to a maximum of 4 weeks), is a copy of the authorisation on file?	Yes ☐ N/A ☐
	PIP Parental Declaration Forms	
7	Are Parental Declaration forms for **all registrations** (including leavers where applicable), signed by parents and on file? **Note:** The CCSR(T) Parental Declaration Form must be completed offline – i.e. not on PIP. The Parental Declaration Form to be completed is available on the PIP Homepage/PIP Portal. It should be completed manually using details provided on the PIP system. **N.B. The Parent must sign the offline CCSR(T) Parental Declaration Form and be given a copy.**	Yes ☐
8	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers and returned the relevant eligibility/verification letters containing PPS Numbers to Parents?	
	Fee Records	
9	Do fee records reflect that NIL fees are charged for CCSR?	Yes ☐
	PIP Calendar	
10	Is the most up to date Calendar displayed in the service in a location easily accessible to parents? **Note:** Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year.	Yes ☐