

ECCE Programme

Unannounced Compliance Visits 2016/17

SERVICE PROVIDER FILE 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 Frequently Asked Questions (FAQ's) available on the PIP Portal and Pobal and DCYA websites.

Please tick ✓

Compliance Folder/Records		
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes <input type="checkbox"/>
Attendance Records		
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? It should be noted that for 2016/17, attendance records must include: <ul style="list-style-type: none"> • Name of child • Date of attendance • Time of child's arrival • Time of child's departure 	Yes <input type="checkbox"/>
3	Are the attendance records/ roll books (including attendance records held in electronic format) maintained and structured sufficiently to ensure ease of monitoring child attendances in each room to assist identifying PIP updating requirements?	Yes <input type="checkbox"/>
Minimum Enrolment		
4	Where the DCYA have approved an exemption to the minimum enrolment requirement of 8 children in each ECCE session, is a copy of the approval on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
PIP Parental Declaration Forms		
5	Are Parental Declaration forms for all registrations (including amendments during the year) printed, signed by parents and on file?	Yes <input type="checkbox"/>
6	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>
PIP Registrations		
7	Are all ECCE Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes <input type="checkbox"/>
8	Have ECCE Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes in level of service?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
9	Where the CCC has approved an extended absence (absence of more than 4 consecutive weeks), is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
PIP Fees List and Parent Letters		
10	Is the most up to date Fees List and Calendar displayed in the service in a location easily accessible to parents?	Yes <input type="checkbox"/>
11	Does the Fees List and Service Calendar comply with programme requirements and accurately reflect actual fees charged?	Yes <input type="checkbox"/>
12	Are Parent Fees Letters for all registrations printed, signed by parents and on file?	Yes <input type="checkbox"/>

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Unannounced Compliance Visits 2016/17
SERVICE PROVIDER FILE CHECKLIST cont.

Fee Records

13	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 <input type="checkbox"/>	N/A <input type="checkbox"/>
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Staff Qualifications

14	<p>Are the relevant staff qualifications* / signed Grandfathering declarations/ DCYA Letters of Eligibility on file for all staff working in each ECCE room/ session?</p> <p>* Leaders in ECCE Standard Capitation sessions who have not achieved a recognised full Level 6 award should provide written evidence of acceptance on Level 6 from their Training Provider for compliance purposes.</p> <p>Note: Qualifications are checked against the DCYA Early Years Recognised Qualifications listing 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.</p>	Yes <input type="checkbox"/>	
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Higher Capitation

15	Is there a record of any dates of non-attendance of staff on file and the reasons for non-attendance?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
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TEC Programme

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Please tick ✓

Compliance Folder/Records		
1	Is there a Compliance Folder/ file maintained and readily available at all times on site? Note: Where applicable the compliance folder should include documentation for children originally registered in 2015/2016 cycle and re-registered in 2016/2017 cycle.	Yes <input type="checkbox"/>
Attendance Records		
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? It should be noted that for 2016/17, attendance records must include: <ul style="list-style-type: none"> • Name of child • Date of attendance • Time of child's arrival • Time of child's departure 	Yes <input type="checkbox"/>
3	Are the attendance records/ roll books (including attendance records held in electronic format) maintained and structured sufficiently to ensure ease of monitoring child attendances in each room to assist identifying PIP updating requirements?	Yes <input type="checkbox"/>
PIP Parental Declaration Forms		
4	Are Parental Declaration forms for all registrations (including amendments during the year and any top-ups) printed, signed by parents and on file?	Yes <input type="checkbox"/>
5	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>
PIP Registrations		
6	Are all TEC Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes <input type="checkbox"/>
7	Have TEC Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes in level of service?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
8	Where the CCC has approved an extended absence (absence of more than 2 consecutive weeks), is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
PIP Fees List and Parent Letters		
9	Is the most up to date Fees List and Calendar displayed in the service in a location easily accessible to parents?	Yes <input type="checkbox"/>
10	Does the Fees List and Service Calendar comply with programme requirements and accurately reflect actual fees charged?	Yes <input type="checkbox"/>
11	Are Parent Fees Letters for all registrations printed, signed by parents and on file?	Yes <input type="checkbox"/>
Fee Records		
12	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 <input type="checkbox"/> N/A <input type="checkbox"/>
TEC Sign in Sheets		
13	Are TEC Parent Sign-in sheets complete, up-to-date and available for review for children/families availing of any TEC programme?	Yes <input type="checkbox"/>
14	If an additional adult signs on behalf of a parent, is there a letter of permission signed by the parent and the additional adult on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

CCS Programme

Unannounced Compliance Visits 2016/17

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Please tick ✓

Compliance Folder/Records		
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Attendance Records		
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3	Are the attendance records/ roll books (including attendance records held in electronic format) maintained and structured sufficiently to ensure ease of monitoring child attendances in each room to assist identifying PIP updating requirements?	Yes <input type="checkbox"/>
PIP Parental Declaration Forms		
4	Are Parental Declaration forms for all registrations (including CCS Not Funded Replacement children where applicable) printed, signed by parents and on file?	Yes <input type="checkbox"/>
5	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>
PIP Registrations		
6	Are all CCS Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes <input type="checkbox"/>
7	Have CCS Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
8	Where the CCC has approved an extended absence (absence of more than 4 consecutive weeks), is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
9	Have all "Replacement" children availing of CCS in the service been registered as CCS Not Funded on PIP?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
PIP Fees List and Parent Letters		
9	Is the most up to date Fees List and Calendar displayed in the service in a location easily accessible to parents?	Yes <input type="checkbox"/>
10	Does the Fees List and Service Calendar comply with programme requirements and accurately reflect actual fees charged?	Yes <input type="checkbox"/>
11	Are Parent Fees Letters for all registrations printed, signed by parents and on file?	Yes <input type="checkbox"/>
Fee Records		
12	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 <input type="checkbox"/> N/A <input type="checkbox"/>

CCS Programme
Unannounced Compliance Visits 2016/17
SERVICE PROVIDER FILE CHECKLIST cont.

FTE Calculators

13	<p>Has the CCS FTE Calculator spreadsheet been completed for the final week of the CCS snapshot window in October 2016, as well as for a full 5 day week in each subsequent month? The FTE Calculator should include the following:</p> <ul style="list-style-type: none">• Cessation date of leavers• Details of all replacement children, including start dates. These replacement children must be recorded on PIP <p>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.</p>	Yes <input type="checkbox"/>
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CCSP Programme

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Please tick ✓

Compliance Folder/Records		
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes <input type="checkbox"/>
Attendance Records		
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? It should be noted that for 2016/17, attendance records must include: <ul style="list-style-type: none"> • Name of child • Date of attendance • Time of child's arrival • Time of child's departure 	Yes <input type="checkbox"/>
3	Are the attendance records/ roll books (including attendance records held in electronic format) maintained and structured sufficiently to ensure ease of monitoring child attendances in each room to assist identifying PIP updating requirements?	Yes <input type="checkbox"/>
PIP Parental Declaration Forms		
4	Are Parental Declaration forms for all registrations (including amendments during the year) printed, signed by parents and on file?	Yes <input type="checkbox"/>
5	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>
PIP Registrations		
6	Are all CCSP Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes <input type="checkbox"/>
7	Have CCSP Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes in level of service?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
8	Where the CCC has approved an extended absence (absence of more than 2 consecutive weeks), is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
PIP Fees List and Parent Letters		
9	Is the most up to date Fees List and Calendar displayed in the service in a location easily accessible to parents?	Yes <input type="checkbox"/>
10	Does the Fees List and Service Calendar comply with programme requirements and accurately reflect actual fees charged?	Yes <input type="checkbox"/>
11	Are Parent Fees Letters for all registrations printed, signed by parents and on file?	Yes <input type="checkbox"/>
Fee Records		
12	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 <input type="checkbox"/> N/A <input type="checkbox"/>

CCS Resettlement/ Relocation Programme

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Please tick ✓

Compliance Folder/Records		
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes <input type="checkbox"/>
Attendance Records		
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? It should be noted that for 2016/17, attendance records must include: <ul style="list-style-type: none"> • Name of child • Date of attendance • Time of child’s arrival • Time of child’s departure 	Yes <input type="checkbox"/>
3	Are the attendance records/ roll books (including attendance records held in electronic format) maintained and structured sufficiently to ensure ease of monitoring child attendances in each room to assist identifying PIP updating requirements?	Yes <input type="checkbox"/>
PIP Parental Declaration Forms		
4	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 <input type="checkbox"/>
5	In the interest of Data Protection, has the service returned the relevant Department of Justice & Equality “Relocation” <u>or</u> “Resettlement” Letter of Eligibility containing PPS Numbers to Parents?	Yes <input type="checkbox"/>
PIP Registrations		
6	Are all CCSR Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes <input type="checkbox"/>
7	Have CCSR Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
8	Where the CCC has approved an extended absence (absence of more than 2 consecutive weeks), is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
PIP Fees List and Parent Letters		
9	Is the most up to date Fees List and Calendar displayed in the service in a location easily accessible to parents?	Yes <input type="checkbox"/>
10	Does the Fees List and Service Calendar comply with programme requirements and accurately reflect NIL fees charged for CCSR?	Yes <input type="checkbox"/>
11	Are Parent Fees Letters for all registrations printed, signed by parents and on file?	Yes <input type="checkbox"/>
Fee Records		
12	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the Fees List?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>