

**Early Childhood Care and Education (ECCE)
Unannounced Compliance Visits 2019/2020
COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS***

* **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 Funding Agreements, "How to" guides and DCYA Rules documentation available on the PIP Portal and DCYA website. The Compliance Categorisations are attached to this checklist as an Appendix. For further information please refer to the Compliance Guide for Service Providers available on PIP.

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 <u>Compliance Folder/File which is readily available, on site, at all times.</u> This Folder/File should not contain any information which is not relevant to the Compliance checks as outlined below. Attendance Records and Fee Records should also be easily accessible.	Yes <input type="checkbox"/>
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: <ul style="list-style-type: none"> • Full name of child • Date of attendance • Actual time of child's arrival • Actual time of child's departure 	Yes <input type="checkbox"/>
3	Are the attendance records (i.e. Rolls Books, <u>Weekly Attendance Sheets</u>) 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 <u>Good Practice Guide - Attendance Records</u> in DCYA Rules documentation.	Yes <input type="checkbox"/>
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 <input type="checkbox"/>
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 <input type="checkbox"/> N/A <input type="checkbox"/>
6	Where an extended absence has been approved in line with the DCYA Rules, is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
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 list 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 list, the individual must apply to the DCYA for recognition. See <u>www.dcy.gov.ie</u> for more information.	Yes <input type="checkbox"/>

**Early Childhood Care and Education (ECCE)
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COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS***

-continued-

Higher Capitation

8	Is there a copy of the application form for ECCE Higher Capitation and any amendments submitted to Pobal for the current cycle on file and any correspondence from Pobal confirming higher capitation?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
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?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
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 <input type="checkbox"/>	N/A <input type="checkbox"/>
11	Is there a record of any dates of non-attendance of higher capitation staff on file and the reasons for non-attendance?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>

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 <input type="checkbox"/>
13	In the interest of GDPR, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>

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 <input type="checkbox"/>	N/A <input type="checkbox"/>
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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 enrolled on a daily basis? A copy of the approved exemption notification should be maintained and filed with the Compliance information for review.	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
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PIP Fees List, Parent Fee Letters and Calendars

16	Is the most up to date Fees List, Service Fees Information Letter (i.e. Parent Fees Letter) and Calendar displayed in the service in a location easily accessible to all parents? Note: Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year. In the event of closures for force majeure / exceptional circumstances please retain evidence of notification email in line with DCYA Rules.	Yes <input type="checkbox"/>
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 <input type="checkbox"/>
18	Are PIP generated Service Fees Information Letters (i.e. Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes <input type="checkbox"/>

**Training and Employment Childcare (TEC)
Unannounced Compliance Visits 2019/2020
COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS***

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Please tick ✓

Compliance Folder/Records

1	<p>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 <u>Compliance Folder/File which is readily available, on site, at all times.</u> This Folder/File should not contain any information which is not relevant to the Compliance checks as outlined below. Attendance Records and Fee Records should also be easily accessible.</p> <p>Note: Where applicable, the compliance folder should include documentation for children originally registered in 2018-2019 cycle and re-registered in 2019-2020 cycle.</p>	Yes <input type="checkbox"/>
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Attendance Records

2	<p>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:</p> <ul style="list-style-type: none"> • Full name of child • Date of attendance • Actual time of child's arrival • Actual time of child's departure 	Yes <input type="checkbox"/>
3	<p>Are the attendance records (i.e. Rolls Books, <u>Weekly Attendance Sheets</u>) 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 - Attendance Records in DCYA Rules documentation.</p>	Yes <input type="checkbox"/>

PIP Registrations

4	<p>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?</p>	Yes <input type="checkbox"/>
5	<p>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?</p> <p>Note: Following commencement of NCS, amendments to existing registrations can only be made by contacting the CCC and Pobal directly. A copy of the related communication must be maintained on file for review.</p>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
6	<p>Where an extended absence has been approved in line with the DCYA Rules, is a copy of the authorisation on file?</p>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

PIP Declarations

7	<p>Are Parental Declaration Forms for all registrations (including amendments during the year and any top-ups) printed, signed by parents and on file?</p>	Yes <input type="checkbox"/>
8	<p>In the interest of GDPR, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?</p>	Yes <input type="checkbox"/>

Fee Records

9	<p>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).</p>	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
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**Training and Employment Childcare (TEC)
Unannounced Compliance Visits 2019/2020
COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS***
-continued-

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 <input type="checkbox"/>
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 <input type="checkbox"/> N/A <input type="checkbox"/>

PIP Fees List and Parent Letters

12	Is the most up to date Fees List, Service Fees Information Letter (i.e. Parent Fees Letter) and Calendar displayed in the service in a location easily accessible to all parents? Note: Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year. In the event of closures for force majeure / exceptional circumstances please retain evidence of notification email in line with DCYA Rules.	Yes <input type="checkbox"/>
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 <input type="checkbox"/>
14	Are PIP generated Service Fees Information Letters (i.e. Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes <input type="checkbox"/>

Community Childcare Subvention Plus (CCSP) including Universal Subsidy (CCSU)

Unannounced Compliance Visits 2019/2020

COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS*

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Please tick ✓

Compliance Folder/Records

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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: <ul style="list-style-type: none"> • Full name of child • Date of attendance • Actual time of child's arrival • Actual time of child's departure 	Yes <input type="checkbox"/>
3	Are the attendance records (i.e. Rolls Books, <u>Weekly Attendance Sheets</u>) 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 <u>Good Practice Guide - Attendance Records</u> in DCYA Rules documentation.	Yes <input type="checkbox"/>

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 <input type="checkbox"/>
5	Following commencement of NCS, have CCSP Registrations been updated on PIP during the relevant Saver Management Windows to reflect any changes since initial registration i.e. absences, leavers, changes to session type/level of service? Where a child has left the service outside of the Saver Management Window is a copy of the notification to Pobal on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
6	Where an extended absence has been approved in line with DCYA Rules, is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

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 <input type="checkbox"/>
8	In the interest of GDPR, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>

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 <input type="checkbox"/> N/A <input type="checkbox"/>
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PIP Fees List and Parent Letters

10	Is the most up to date Fees List, Service Fees Information Letter (i.e. Parent Fees Letter) and Calendar displayed in the service in a location easily accessible to all parents? Note: Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year. In the event of closures for force majeure / exceptional circumstances please retain evidence of notification email in line with DCYA Rules.	Yes <input type="checkbox"/>
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**Community Childcare Subvention Plus (CCSP) including Universal Subsidy (CCSU)
Unannounced Compliance Visits 2019/2020
COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS*
-continued-**

PIP Fees List and Parent Letters continued

11	Does the Fees List comply with programme requirements and accurately reflect actual fees charged for types of provision that the Service operates?	Yes <input type="checkbox"/>
12	Are PIP generated Service Fees Information Letters (i.e. Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes <input type="checkbox"/>

Community Childcare Subvention Resettlement (CCSR)

Unannounced Compliance Visits 2019/2020

COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS*

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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: <ul style="list-style-type: none"> Full name of child Date of attendance Actual time of child's arrival Actual time of child's departure 	Yes <input type="checkbox"/>
3	Are the attendance records (i.e. Rolls Books, <u>Weekly Attendance Sheets</u>) 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 <u>Good Practice Guide - Attendance Records</u> in DCYA Rules documentation.	Yes <input type="checkbox"/>
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 <input type="checkbox"/>
5	Following commencement of NCS, have CCSR Registrations been updated on PIP during the relevant Saver Management Windows to reflect any changes since initial registration i.e. absences, leavers, changes to session type/level of service? Where a child has left the service outside of the Saver Management Window is a copy of the notification to Pobal on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
6	Where an extended absence has been approved in line with the DCYA rules, is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
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 <input type="checkbox"/>
8	In the interest of GDPR, 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 <input type="checkbox"/>
Fee Records		
9	Do fee records reflect that NIL fees are charged for CCSR?	Yes <input type="checkbox"/>

**Community Childcare Subvention Resettlement (CCSR)
Unannounced Compliance Visits 2019/2020
COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS***

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PIP Calendar

10	Is the most up to date Calendar displayed in the service in a location easily accessible to all parents? Note: Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year. In the event of closures for force majeure / exceptional circumstances please retain evidence of notification email in line with DCYA Rules.	Yes <input type="checkbox"/>
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Community Childcare Subvention Resettlement (Transitional) (CCSR(T))

Unannounced Compliance Visits 2019/2020

COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS*

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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: <ul style="list-style-type: none"> • Full name of child • Date of attendance • Actual time of child's arrival • Actual time of child's departure 	Yes <input type="checkbox"/>
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 <u>if</u> 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 - Attendance Records in DCYA Rules documentation.	Yes <input type="checkbox"/>
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 <input type="checkbox"/>
5	Following commencement of NCS, have CCSR(T) Registrations been updated on PIP during the relevant Saver Management Windows to reflect any changes since initial registration i.e. absences, leavers, changes to session type/level of service? Where a child has left the service outside of the Saver Management Window is a copy of the notification to Pobal on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
6	Where an extended absence has been approved in line with the DCYA Rules, is a copy of the authorisation on file?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
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 <input type="checkbox"/>
8	In the interest of GDPR, 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?	Yes <input type="checkbox"/>

Community Childcare Subvention Resettlement (Transitional) (CCSR(T))

Unannounced Compliance Visits 2019/2020

COMPLIANCE CHECKLIST FOR SERVICE PROVIDERS*

-continued-

Fee Records

9	Do fee records reflect that NIL fees are charged for CCSR?	Yes <input type="checkbox"/>
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PIP Calendar

10	Is the most up to date Calendar displayed in the service in a location easily accessible to all parents? Note: Please remember to ensure your Service's PIP Calendar is in line with any further closure dates that occur throughout the year. In the event of closures for force majeure / exceptional circumstances please retain evidence of notification email in line with DCYA Rules.	Yes <input type="checkbox"/>
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