Compliance Guide for Service Providers

November 2019

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1.   Introduction

Pobal is contracted by the Department of Children and Youth Affairs (DCYA) to conduct compliance visits with participating childcare service providers who operate one or more of the national childcare programmes. Compliance visits are **unannounced.** A range of standardised compliance checks are carried out during the course of these visits to ensure that services are complying with DCYA rules and conditions as outlined in your Programme Funding Agreements and the DCYA Programme Rules documents. The purpose of the compliance checks is to provide assurance to DCYA and the exchequer that the significant amount of funding distributed through the early years programmes is protected.

This document provides guidance and assistance to service providers when preparing for a compliance visit. We have outlined the overall compliance process, which incorporates the reviews conducted for quality control purposes, together with the possible compliance outcomes and the remedial action required.

The **Compliance Checklist for Service Providers 2019-2020** (attached here as **Appendix 1** and also available on the PIP Portal) details the information/documents that may be requested during a compliance visit.

It is the responsibility of the service provider to ensure compliance with their contractual requirements. It is important to note that failure to provide the necessary information and/or records on the day of the compliance visit may result in the service being deemed non-compliant and in breach of contractual requirements under your DCYA Funding Agreements. Therefore it is recommended that service providers prepare and maintain a compliance file containing the relevant documentation to accommodate an unannounced compliance visit (see *2. Preparing for your Compliance Visit* below).

This document includes references to certain clauses within your Funding Agreements, the Rules Documents and/or 'How To' guides associated with some of the individual compliance checks i.e. identifying the rule(s) it stems from. It should be noted however that this document cannot be considered an exhaustive list of every check conducted as it does not cover every funding agreement clause and/or rule.

DCYA programme requirements and the compliance checks don't remain static and there can be changes from time to time. It is essential that service providers familiarise themselves with the most up to date programme information including:

- your Funding Agreements and
- DCYA Rules for DCYA Childcare Programmes

The Rules documents are available on the PIP Portal. Any changes/amendments to these will be communicated through the PIP Portal.

There is also supplementary information available on the PIP Portal and Pobal/DCYA websites including the Pobal "How to" guides.

How to Use this Document

	This icon indicates a reference to your Funding Agreement(s), DCYA Rules for Childcare Programmes, 'How to Guides' or other resources which can be referenced for more detailed information and/or guidance.
	You will see this icon throughout the document to indicate important or helpful information which you may need to consider further.

Acronyms used in this document

CCC	City/County Childcare Committee
CCSP	Community Childcare Subvention Plus
CCSR	Community Childcare Subvention Resettlement
CCSR(T)	Community Childcare Subvention Resettlement (Transitional)
CCSU	Community Childcare Subvention Universal
DCYA	Department of Children and Youth Affairs
ECCE	Early Childhood Care and Education
EYPC	Early Years Provider Centre
FTE	Full Time Equivalent
HC	Higher Capitation
LOE	Letter of Eligibility
PHN	Public Health Nurse
PIP	Programme Implementation Platform
SC	Standard Capitation
TEC	Training and Employment Childcare
VO	Visit Officer

2.   Preparing for Your Compliance Visit

Advance preparation is key to a successful compliance visit. To help you plan and prepare for your unannounced compliance visit it is recommended that you maintain a compliance folder with all the requisite documentation. There is an individual compliance checklist available for each of the DCYA funded programmes which are updated each programme year/cycle. These are attached as **Appendix 1** or can be accessed on the Programme Implementation Platform (PIP) – *Compliance Checklist for Service Providers 2019-2020*. It may be useful to place a copy of the individual checklists for each of the programmes you are participating in at the front of your compliance folder/file.

It is important that the key documentation is readily available at all times to facilitate the compliance visit and to reduce the duration of the visits. It might be useful to consider the following questions on a regular basis:

- Do you have all the necessary documentation in your compliance folder?

- Do you have adequate attendance records on-site which record actual arrival and departure times and facilitate the review of patterns of attendance?

- Are your PIP registrations up to date and reflective of current attendance levels?

- Is there a designated staff member on-site with access to the compliance folder?

It is acknowledged that some services file their records in alternative ways which is acceptable, but it should be noted that records must be available to enable the Visit Officer to complete the compliance visit in a reasonable timescale. In this regard it is essential that there is always a staff member on-site with access to the compliance folder and records in the event of a visit.

- Become familiar with the programme information, including your Funding Agreements, DCYA Rules for Programmes, 'How to Guides' and the Compliance Checklists for Service Providers.
- Collate all documents required from the checklist and build a compliance folder of documents so that records are maintained and readily available at all times
- Set aside time regularly to review and amend PIP registrations so that they are accurate and reflect the level of attendance.

2.1   Requirement to facilitate compliance visit

i.   Programme Rules, Terms & Conditions:

'Services must facilitate compliance visits which will be made without notice, to include access to the premises, personnel and relevant records'

> - **Programme Funding Agreements:**
>   Clause 8: *Right of Verification and Audits*
> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
>   **CCSP/U:** 2.6.3
>   **CCSR:** 3.5.3
>   **CCSR(T):** 4.5.3
>   **TEC:** 5.6.3
> - **DCYA Rules for ECCE Programmes:** 2.3.9

All unannounced compliance visits will only be undertaken during dates and operational hours when the service calendar submitted to Pobal indicates that the service is open. However, it should be noted that ECCE visits may be undertaken at the end of an ECCE cycle should the service calendar show the service is in operation in relation to other programmes. It is important that all ECCE documentation is kept on-site and available for review to cover the above eventuality.

ii.   Compliance Check/s:

The Visit Officer (VO) will request access to a service providers premises to conduct a compliance review.

If a Visit Officer is unable to gain access to the service this could result in a non-compliant outcome for that visit*. It is requested that the service complete a Non-Admittance Form and give details of the reason that the visit is not being accommodated.

> - **Pobal compliance visits are unannounced visits.** No notification will be made in advance of the Pobal Visit Officer arriving at the service to conduct the on-site compliance checks.
> - In the absence of a manager/owner on-site, it is important there is a designated staff member in the service at all times who has responsibility for liaising with the Pobal Visit Officer.

iii.   Possible Non-Compliant Outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Admittance Declined	Major Non-Compliant	Visit Officer refused admittance to service in order to conduct the visit.
Admittance gained but no records available for inspection	Major Non-Compliant	Visit Officer is given access to service but documentation required to complete visit is not accessible to staff on-site.
Service not in operation on day of visit	Major Non-Compliant	Service calendar indicates service is open but not in operation.*

*If a service is operating but no-one is on-site for good reason, e.g. outings, graduations etc., this will not be deemed a non-compliant issue. Notice of same should be visible, e.g. on the door of the premises

iv.   Remedial Action

The service must grant the Visit Officer access to the facility and to the relevant records pertaining to the programme(s) under review. A revisit may occur if admittance is declined or no records are available for inspection.

3.   The Compliance Visit – Overview

Further detailed information on some of the specific types of checks is provided in Section 4 of this guidance document.

3.1   Duration of Compliance Visits

Compliance visits are unannounced and a compliance Visit Officer may arrive at a service at any time during service operational hours. The duration of a visit will vary depending on several factors:

- Number of programmes operating
- Number of children registered on the programmes.
- Form of record keeping
- The timing of the visit i.e. point in time in the cycle
- The number of records to be reviewed

Visits are conducted within service operational hours and the Visit Officer will not request staff to be available outside of these hours. On occasion a visit will not be completed within the first day of the visit and the Visit Officer may be required to return the following day (in exceptional circumstances a visit can necessitate several days)

3.2   Compliance Visits

> - Please note all Pobal Visit Officers are Garda vetted and hold official Pobal photographic ID
> - A Visit Officer has a specific role within a childcare service i.e. checking adherence to programme rules and will not be left alone in the presence of children at any time during the visit.

On arrival, after initial introductions and briefing, the Visit Officer will request access to attendance records and documentation detailed on the Compliance Checklist for Service Providers. The Visit Officer will also request access to ECCE rooms and make enquiries as to the number of ECCE sessions in operation, staff cohort and the numbers of ECCE and non-ECCE children enrolled in each session.

The Visit Officer will endeavour to keep disruption to the service to a minimum in so far as possible, but a designated staff member will be required to facilitate the visit. However, advance preparation for the visit can also assist in that regard and potentially reduce the time required of the designated staff member. If all the requisite documentation is readily available in the compliance folder, the designated staff member may not be required for the full duration of the visit. As you will appreciate the Visit Officer may require clarifications during the course of the visit and upon conclusion will require a member of staff to be available to meet with him/her.

A record of the compliance visit is completed by the Visit Officer on a computer tablet. A compliance form is completed on the tablet for each programme operated by the service separately and compliance outcomes are issued for each programme separately.

On completion of the visit, the Visit Officer will go through the preliminary findings with the staff member facilitating the visit, highlight any non-compliant issues identified and request that the staff member review the information recorded on the form. The staff member will then be requested to electronically sign the form confirming that all documentation and explanations provided to the Visit Officer and recorded on the form are true and correct.

All visits are subject to review for quality control purposes by a Compliance Reviewer. This is an additional measure introduced in the interest of ensuring consistency across all compliance visits/outcomes. This can on occasion result in subsequent amendments to the preliminary findings/ non-compliance issues highlighted during the visit i.e. issues may not be deemed non-compliant in final outcomes or additional non-compliance issues may be identified at review stage.

Please note that a service provider may receive more than one visit during a cycle.

3.3   Compliance Outcomes

As the compliance visit is an onsite check, the outcomes are based on the documentation/ information made available on the day of the visit. With the exceptions of copies of staff qualifications, information submitted post visit cannot be considered in determining the final outcome. The compliance outcomes are issued by email to the primary contact email address on PIP. If a service has queries in relation to the compliance outcome the compliance team can be contacted by emailing cvisit@pobal.ie.

The notification email issued to the service provider will give an overall outcome for each programme reviewed during the compliance visit. The compliance outcomes categories are as follows:
- Compliant,
- Minor non-compliant,
- Moderate non-compliant, or
- Major non-compliant.

The table below provides a summary of the compliance outcome categorisations and examples of the main reasons for a given outcome. More detailed information on compliance categorisations across each of the programmes is available in **Appendix 2, Compliance Categorisations** (also available on PIP as part of the Compliance Checklist for Service Providers).

Table 1: Summary of Compliance Categorisations:

Outcome	Reasons
Major non-compliant	Generally relates to issues which may have a potential material negative impact on exchequer funding : • Failure to facilitate a visit • Records not available for review* • PIP updating * • Inadequate attendance records* • Higher Capitation Staff qualification issues (ECCE only)* • Not meeting Higher Capitation cap (ECCE only)* • Service provision issues* • No DCYA and/or Tusla registration
Moderate non-compliant	• Moderate instances of * above • Signed PIP declaration issues • Standard Capitation Staff qualification issues • Fees/Subvention issues • ECCE room not meeting minimum staff ratio requirements
Minor non-compliant	• Minor instances of * above • Fees List issues • Minimum enrolment (ECCE only)
Compliant	• No issues identified (based on sample records checked)

The overall compliance category for each programme will reflect the highest non-compliant categorisation for that programme. The notification email will also give a breakdown of each of the non-compliance outcomes. A list of categorisations/outcomes is available in the Compliance Checklist for Service Providers.

If there is a finding of incorrect registrations, a second email is issued with an attached spreadsheet listing all updates required. If a service requires assistance in completing the required PIP updating, an Early Years Provider Centre (EYPC) representative can be contacted on 01 5117 222 or eypc@pobal.ie

• Depending on the type of non-compliance issue(s) noted during the visit the service may receive an additional compliance visit (revisit) during the same cycle and/or in the next cycle.

It is expected that remedial actions are undertaken by services as soon as is practicable. In the event of visits undertaken towards the end of a cycle this can have an impact on the remedial action required.

> - The local County/City Childcare Committee are available to provide on-going support with all DCYA Childcare Funding programmes

3.4   Compliance Outcomes – Request for review

If a service provider does not agree with the outcome of a compliance visit a request for a review of the outcome can be made by emailing cvisit@pobal.ie. The review of the outcome will be undertaken by the Compliance Team or the Early Years Team depending on the circumstance of the request and a response issued by email to the service provider explaining the rationale for the outcome.

4. Compliance Checks – All Programmes

There are a number of checks that are common to all DCYA funding programmes (exceptions noted). The following sections of this document outline details of some of these checks along with relevant funding agreement requirements and/or rules as laid out in the DCYA Rules for Childcare Programmes.

We have also attempted to document possible non-compliant outcomes in relation to these checks as well as the most common reasons for these outcomes. Examples have been given as a guide but please note it is not all inclusive and there may be a small number of additional reasons for particular outcomes which are not documented below.

> - The following is not an exhaustive list of all possible outcomes and depending on circumstances during a visit, additional checks may be required and the outcomes / rationales may differ

The compliance checks may be conducted by the VO for each DCYA programme in any order, depending on circumstances.

4.1 DCYA reference number & Tusla registration

i. Programme Rules, Terms & Conditions:

'All facilities/locations operated by a service must have an individual DCYA reference number and children must attend the facility/ location in which they are registered'

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:**
>   Chapter 1
> - **DCYA Rules for ECCE Programmes:**
>   Chapter 1

'Service providers must be registered with Tusla for the places being provided as defined….
i.e. services cannot be funded for part-time places when registered with Tusla as a sessional service'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
>   **CCSP/U:** 2.2.7
>   **CCSR:** 3.2.7
>   **CCSR(T):** 4.2.7
>   **TEC:** 5.2.6
>   **DCYA Rules for ECCE Programmes:** 2.2.5
> - **Programme Funding Agreements:**
>   Appendix 1, General Terms & Conditions, Clause 1 or 2

Each facility/location operated must obtain a separate DCYA reference number and be subject to the appropriate Tusla inspection and Change of Circumstance requirements (see DCYA Rules documents) – including where additional rooms are opened within a facility.

> • Please note that service providers who provide care to school age children must have applied to register with Tusla before 18th August 2019

ii.   Compliance Check/s:

The Visit Officer will check that the service provider has a separate DCYA reference number for each facility/location it operates.

During a compliance visit where it is identified that a service is operating in an additional facility/location without a separate DCYA reference number:

- Services without appropriate Tusla registrations - service providers will be requested to contact Tusla immediately in order to obtain appropriate registration status. They will also be requested to contact their local CCC and Pobal to obtain a separate DCYA reference number. Before a DCYA reference number can be assigned to a new facility, Tusla must be notified.
- Pre-school service with appropriate Tusla registration for an existing facility - service providers will be requested to contact their local CCC and Pobal to obtain a separate DCYA reference number for the additional facility.

Registrations for children attending the additional location without a DCYA number and/or Tusla registration will be deemed ineligible under the existing DCYA number.

iii.   Possible Non-Compliant Outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Service operating additional facility with no DCYA reference number and pre-school facility / afterschool facility not registered with Tusla	Major non-compliant	Service operating from location which has not been registered with Tusla and does not have a DCYA reference number
Additional facility, which is Tusla registered, operating in a separate location without DCYA reference number	Major non-compliant	Service operating from location which is registered with Tusla but does not have a DCYA reference number
Registrations deemed incorrect and PIP updating required	Major / Moderate / Minor non-compliant determined by the % of incorrect registrations identified.	Registrations ineligible

iv.   Remedial Action required:

Services must, where required, contact Tusla, their local CCC and Pobal in order to obtain a DCYA registration number for the additional facility. All children attending an additional facility should be re-registered under the new number when obtained.

> - Where a service is operating without Tusla registration the children attending the facility will be deemed ineligible.

4.2   Attendance Records

i.   Programme Rules, Terms & Conditions:

'…..Attendance records must be kept in an appropriate manner that is sufficient to establish actual duration of attendance of each named child in terms of hours'.

'Failure to maintain sufficient attendance records e.g. where attendance records are kept, but in a format which does not allow a compliance visit officer to determine the hours which a child has attended, such as through the use of "ticks"…may result in an assumption of zero hours attendance'.

'The Department can withdraw future payments from the provider and/or require repayment of over-claimed monies already paid for the period concerned'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
>   **CCSP/U:** 2.6.1, 2.6.2
>   **CCSR:** 3.5.1, 3.5.2
>   **CCSR(T):** 4.5.1, 4.5.2
>   **TEC:** 5.6.1, 5.6.2
> - **DCYA Rules for ECCE Programmes:** 2.3.7, 2.3.8
> - **Programme Funding Agreements:** Clause 7: Access and Reporting Requirements
> - **Good Practice Guide – Attendance Records** – attached as appendix to Rules document and available on the PIP Portal

ii.   Compliance Check/s:

Services in receipt of DCYA childcare funding are required to keep appropriate records of attendance for all children and to make these records available for inspection. The Visit Officer will review the records to establish that records are adequate and to confirm:
- Service opening times/days/ weeks are as per calendar submitted
- That registrations are correct in terms of days per week and session type attended and include actual arrival and departure times.
- ECCE staff to child ratios are being met (see ECCE only section below)

- ECCE Higher Capitation minimum staff requirements are met (see ECCE only section below)
- ECCE Higher Capitation FTE is correct (see ECCE only section below)

Details of the minimum requirements for attendance records are laid out in detail in the **Rules documents and Good Practice Appendices as outlined in the box above.**

> ⓘ
> - Where an Afterschool service is operating a drop-off and/or pick-up service, a record of the time the child is in the care of the service must be kept e.g. the times of travel to and from school to the service premises accompanied by service staff. This record can be kept separate from the record of attendance on the service premises.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Records in relation to attendance not available on-site	Major non-compliant	Attendance records are not kept on-site for all or part of cycle*
Attendance records not adequate	Major non-compliant	Attendance records do not meet requirements as laid out by DCYA. Compliance with programme rules cannot be confirmed. Examples: • Records do not allow the Visit Officer to accurately track attendance of all registered children • Records do not allow the Visit Officer to review registrations in a timely manner • Children's times of arrival and departure are not recorded or are not recorded by staff in real time i.e. as child arrives and departs. • Records do not allow Visit Officer to confirm ECCE staffing and Higher Capitation requirements are being met. • Large number of inconsistencies / gaps in records • Where attendance is recorded in advance

Attendance records available but some gaps/inadequacies identified	Moderate non-compliant	Attendance records do not meet requirements as laid out by DCYA but do allow the Visit Officer to track attendance of all registered children. Examples: • Number of gaps during the programme cycle of times in/out but pattern of attendance could be established • Attendance records missing for a limited number of days during the cycle but pattern of attendance could be established

*For periods where no attendance has been recorded or made available for review it may be deemed that the service was not in operation for this period**.**

iv.   Remedial Action required:

Service providers must ensure that attendance records are on-site for the full cycle period of all registrations. Where inadequacies have been identified these should be addressed immediately to ensure appropriate records are kept going forward.

4.3   Registrations and PIP updating requirement

i.   Programme Rules, Terms & Conditions:

> • **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
> **CCSP/U:** 2.5
> **CCSR:** 3.4
> **CCSR(T):** 4.4
> **TEC:** 5.5
> • **DCYA Rules for ECCE Programmes:** 2.3

ii.   Compliance Check/s:

The Visit Officer will review the attendance record of each registered child to confirm that the child is attending as registered. The attendance record is the only record that is used to establish attendance. If a child has not been recorded in the attendance record, it will be deemed that the child did not attend.

The Visit Officer will highlight to the staff member facilitating the visit each incorrect registration identified, if any, with reference to the attendance records. The Visit Officer will record on the compliance form that the review has been completed and all of the incorrect registrations identified have been verified with the staff member (note that this is subject to a second desk-based review, post-visit).

A list of incorrect registrations will be issued to the service following the visit (please note this may be subject to change upon review, post-visit). However, the amendments can be made immediately following the visit should the service provider wish to note the registrations and complete the updates required prior to receipt of this list. The percentage of children with an incorrect registration will determine the level of non-compliant outcome.

It is the responsibility of the service provider to ensure that all relevant attendance records are made available to the Visit Officer for review. Where the attendance records are not made available this may result in the registration being deemed incorrect and/or ineligible.

It should be noted that in the case of a large volume of registrations, sampling may apply.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Registrations deemed incorrect and PIP updating required	Major / Moderate / Minor non-compliant determined by the percentage of incorrect registrations identified.	Examples: • Child has been absent for more than 4 consecutive weeks and extension has not been approved. • Attendance days differ from registration in a consistent pattern over a 4 week period and PIP has not been updated e.g. Child registered for 5 full days but only attending 3 part time days. • Session type differs from registration in a consistent pattern over a 4 week period and PIP has not been updated e.g. Child registered for part-time but only attends sessional on some/all days per week (i.e. change to level of provision). • Leavers not updated on PIP or incorrect leave date entered. • Registration start date incorrect. • Child registered but did not take up a place. • Child does not appear in the attendance record.

Registration/s incorrect with regard to facility child/ren is attending	Major / Moderate / Minor non-compliant determined by the percentage of incorrect registrations identified.	A child is attending a different/sister DCYA registered facility to which they are registered.

iv.   Remedial Action required:

Following the visit service providers will be issued an excel list of any incorrect registrations identified during the visit. It is requested that updates are completed within 10 days of receipt of this list. Updates may be completed prior to receipt of list as noted above.

4.4   Documentation

4.4.1 Documentation Display Requirements – Fees Lists, Letters and Calendars

i.   Programme Rules, Terms & Conditions:

'The approved provider's fees list, service calendar, and copies of any letters or other communications issued to parents which relate to the operation of the……Service, including information relating to deposits and optional additional charges, must be displayed at all times in an area accessible by parents'.

- **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
  CCSP/U: 2.3.2
  CCSR: 3.2.11
  CCSR(T): 4.2.11
  TEC: 5.3.2
- **DCYA Rules for ECCE Programmes:** 2.4.3, 2.4.6
- **Programme Funding Agreements:**
  Appendix 1, General Terms & Conditions, Clause 22 or 14

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ii.   Compliance Check/s:

The Visit Officer will confirm if all the required documentation for all programmes with current registrations on the date of visit is on display and accessible to parents.

For ECCE, CCSP/U and TEC where both fees list and calendar for each programme are on display this is deemed sufficient for compliance purposes.
CSSR/T requires that only the calendar is displayed.

Where all required information is not on display this may result in a minor non-compliant outcome.

iii.   Possible Non-Compliant Outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Service is not displaying the most up to date Fees List and/or Calendar	Minor non-compliant	ECCE, CCSP/U and TEC with current registrations - • Fees list and/or calendar is not on display at date of visit • Fees list and /or calendar has been updated on PIP and documents on display are not the most up to date version.
Service is not displaying the most up to date Calendar	Minor non-compliant	CSSRT programme with current registrations - • Calendar is not on display at date of visit • Calendar has been updated on PIP and documents on display are not the most up to date version.

iv.   Remedial Action Required:

Service to ensure that all required programme documentation is on display from date of visit. If the fees list and/or calendar is updated during the programme cycle, the most up to date version must be on display.

4.4.2 Document Filing Requirement

4.4.2.1   Fee letters

This applies to ECCE, CCSP/U and TEC only.

i.   Programme Rules, Terms & Conditions:

'Services must have a signed letter on file in respect of each parent/guardian of a child on the [funded] *programme, showing the fees that have been approved. These fees must match those shown on the Fees List'*

- **DCYA Transitional Rules for DCYA Targeted Childcare Programmes CCSP/U:** Section 2.3.3
  TEC: Section 5.3.3
- **DCYA Rules for ECCE Programmes:** Section 2.4.4

Signed fees letters are not required for CCSR/T.

Service Providers must have a letter signed by the parent/guardian on file in respect of each child registered on the programmes. The letters signed by parents/guardians must be the letter generated from the current, most up to date fees list submitted on PIP.

ii. Compliance Check/s:

The Visit Officer will check that there is a fees letter that has been fully signed and initialled for each child registered under ECCE, CCSP/U & TEC from the start of the current cycle. In the case of large numbers of registration the Visit Officer may ask to view a sample of letters.

If the Visit Officer finds that 10% or more of the children (or sample of children) do not have a *signed* parent letter on their file then this may result in a minor non-compliant outcome.

iii. Possible non-compliant outcome:

Compliance outcome	Compliance categorisation	Reason for outcome
Signed parent letters not on file for more than 10% children reviewed	Minor non-compliant	ECCE, CCSP/U and TEC – greater than 10% of letters for all registrations, or for sample of registrations, not on file, or not fully signed/initialled, or not made available for review at time of visit. Or letter signed is not the most up to date letter generated from PIP.

iv. Remedial Action required:

Service to ensure that parents of all current registered children have fully signed the most up to date PIP Fees Information letter.

4.4.2.2 PIP Declarations

i. Programme Rules, Terms & Conditions:

'*Parents/guardians must sign a PIP Parent Declaration Form and a PIP approved Service Fees Information Letter to indicate that they understand the terms of the programme and that all child registration details are accurate*'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
>   Chapter 1, Rules Common to all Childcare Programmes
> - **DCYA Rules for ECCE Programmes:**
>   Chapter 1, Rules Common to all Childcare Programmes

## ii.	Compliance Check/s:

The Visit Officer will check that there is a signed PIP Declaration for every registration under each DCYA programme, from the start of the current cycle. In the case of large numbers of registrations the Visit Officer may ask to view a sample of declarations.

If the Visit Officer finds that 10% or more of the children (or sample of children) do not have a *signed* PIP Parent Declaration on their file then this may result in a Moderate non-compliant outcome.

## iii.	Possible non-compliant outcome:

Compliance outcome	Compliance categorisation	Reason for outcome
Signed PIP Parent Declaration not on file for more than 10% children reviewed	Moderate non-compliant	Greater than 10% of signed Parent Declarations for all registrations, or for sample of registrations, not on file or not made available for review at time of visit.

## iv.	Remedial Action required:

Service to ensure that parents of all current registered children have signed the PIP Parent Declaration.

## 4.5	Fees Lists and Calendars

### 4.5.1	Fees lists

## i.	Programme Rules, Terms & Conditions:

'Service Providers must complete a fees list…….at the beginning of each programme year. They must show details of all the fees charged to parents, as well as details of any additional charges, optional extras, discounts or donations applied by the service'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes CCSP/U:** 2.3.1
>   **TEC:** 5.3.1
> - **DCYA Rules for ECCE Programmes:** 2.4.1

Service providers must complete a fees list at the beginning of each programme year. This must show details of all fees charged to parents, and include details of any additional charges, discounts, or donations applied by the service.

- The accuracy of a services fees list may also be checked by CCCs and Early Years throughout the programme cycle

ii.   Compliance Check/s:

For the purpose of the compliance visit, the Visit Officer will check that the current Registered Fees List on PIP:
- i)   Is completed correctly according to the 'How to' guides,
- ii)   Reflects actual fees charged in the service, and
- iii) Includes all required information

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Fees List does not comply with programme requirements	Minor non-compliant	Fees list does not comply with requirements laid out in rules or "How to" document and/or are incorrect or inaccurate. Examples: • Fees list not completed correctly as per "How to" guide • Optional extras not included • All Optional extras listed together with one/no cost • Cost/frequency of optional extras not included or incorrect • Discounts not included (discretionary discounts may be excluded in some circumstances) • Deposits requested but not included • Deposit stated as non-refundable • All session types offered not included • Fees incorrect (i.e. monthly rate outlined instead of weekly rate / weekly rate incorrectly calculated / full subvention not applied / fees have increased but fees list not updated, evidence of notification of increase to parents should be evidenced

		otherwise non-compliance for overcharge)
		• Non-pro rata rates not included
		• ECCE 3hr only session not included if applicable
		• All programme fees not included i.e. service has CCSU registrations but CCSU sessions not included on CCSP fees list
		• Fees charged not in line with fees list e.g. a cohort of children not charged or undercharged.
Charge for inappropriate optional extras	Moderate non-compliant	See Fees Charged, 4.4.2, below

iv.   Remedial Action required:

Service providers must update the fees list to resolve any issues identified during a compliance visit and the revised fees list must be displayed in the service. Where appropriate, parents/guardians should be requested to re-sign updated fees letters.

4.5.2 Calendars

i.   Programme Rules, Terms & Conditions:

'A [programme] *service calendar must be distributed to all parents/guardians showing the days the service is due to be open/closed under the….programme year'.*

> • **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
> **CCSP/U:** 2.3.5
> **CCSR:** 3.2.11
> **CCSR(T):** 4.2.11
> **TEC:** 5.3.4
> • **DCYA Rules for ECCE Programmes:** 2.4.6

Services are required to submit a service calendar on PIP with details of all days/weeks that the service intends to operate for the cycle.

ECCE services are contractually required to operate 183 days over 38 weeks (with the exception of those operating a 41 week service).

For CCSP/U, CCSR/T and TEC the funding approval amounts and weeks payable are calculated based on the calendars submitted.

Any changes to operating days must be updated on the calendar. In certain limited circumstances a calendar may not require an update subject to a force majeure approval and in cases where exceptional circumstances are approved by the CCC.

ii.   Compliance Check/s:

The Visit Officer will review service attendance records to verify that records confirm calendar opening days.

- If force majeure has been approved (or applied for) the Visit Officer will request evidence of the approval and/or application.
- Force majeure should be applied for within 3 weeks of a closure date.

- **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:** 1.2, Force Majeure
- **DCYA Rules for ECCE Programmes:** 1.2, Force Majeure

Where a service has not been operating as per submitted calendar it will be found major non-compliant with regard to Service Provision if this affects the payable weeks in the case of CCSP/U, TEC, CCSR/T and two or more days for ECCE services. Where an ECCE service has not been operating as per submitted calendar but it is limited to one day this will be found moderate non-compliant.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Service provision is not delivering sufficient free hours/days/weeks	Major non-compliant / Moderate non-compliant determined by number of days	ECCE – service not operating 183 days as required. Force majeure not approved/applied for. CCSP/U, TEC, CCSR/T – service not operating number of payable weeks detailed on submitted calendar. Force majeure not approved/applied for.

iv.   Remedial Action required:

Service providers must update the service calendar to reflect correct open days.
Where force majeure is not approved for ECCE service closures additional days may need to be added to the calendar and new calendar displayed and issued to parents.

4.6   Fees Charged

4.6.1 Fees Records

i.   Programme Rules, Terms & Conditions:

'All documentation related to the financial affairs of the service, accounts, fees records, staff qualifications, PIP, fees lists, registers and attendance records must be on-site at all times These records must be kept for a minimum period of seven years from expiry of contract'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes**
>   **CCSP/U:** 2.6.3
>   **CCSR:** 3.5.3
>   **CCSR(T):** 4.5.3
>   **TEC:** 5.6.3
> - **DCYA Rules for ECCE Programmes:** 2.3.9

Services in receipt of DCYA childcare funding are required to keep appropriate records of fees charged to parents and to make these records available for inspection.

ii.   Compliance Check/s:

The Visit Officer will review the fee records to establish that they are appropriate and the correct fee is being applied.

Fees records are not checked where no fees are charged e.g. ECCE 3hr only service, or for one off optional extras e.g. day trips.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Records in relation to fees not available on-site	Moderate non-compliant	Fees records are not kept on-site or are not accessible on-site during the visit – for some or all of cycle
Fee records not adequate to allow compliance to be checked	Moderate non-compliant	Fees records are on-site but are not adequate to allow VO to confirm that correct deductions are being applied
Fee records available but some gaps/inadequacies identified	Minor non-compliant	Some fees records are on-site but not for some period of the cycle and /or not for all children.

iv.   Remedial Action required:

Service providers must ensure that adequate fees records are kept on-site and made available for review in the event of a compliance visit.

4.6.2 Fees Charged

i.   Programme Rules, Terms & Conditions:

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes CCSP/U:** 2.7.4
>   **TEC:** 5.1 (Table)
> - **DCYA Rules for ECCE Programmes:** 2.2.10

As per the submitted fees list the fee charged to parents must include the appropriate reductions in childcare fees for qualifying parents.

ii.   Compliance Check/s:

The Visit Officer will review the fee records to ensure that the correct fee deductions are being applied to all registered children.

Where the fees charged to parents are not in line with the fees list this may result in a non-compliant outcome.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Fees charged are in excess of Registered Fees List amounts	Moderate non-compliant	Examples: • Fees charged at incorrect band • Fees charged greater than €5 above the correct band for an individual child • Fees charged in excess of listed fees • Nominal fee charge where subvention covers cost of place • Fees increased by service but Fees list not updated
Charge for inappropriate optional extras	Moderate non-compliant	Examples: • Fees are charged for extras not permitted in the DCYA guidance on optional extras • Fees charged for extras listed as optional but all parents requested to pay regardless of uptake

iv.   Remedial Action required:

Service providers must ensure that the appropriate fees are being charged in relation to band and session type. Where fees are identified as being overcharged the overcharge must be reimbursed/credited to the parent.

5. Compliance Checks – Programme Specific

5.1 ECCE - Additional rules

The Visit Officer will record the numbers of ECCE and non-ECCE children enrolled in each of the ECCE sessions and request the names and positions of the staff members who work in each session. The Visit Officer will also identify which sessions, if any, have been approved Higher Capitation (HC). The number of children enrolled in each session is reviewed to confirm that minimum enrolment and adult child ratio requirements are being met.

5.1.1 Minimum Enrolment

i.   Programme Rules, Terms & Conditions:

'A childcare provider must have a minimum enrolment number of eight ECCE-eligible children per session'.

* **DCYA Rules for ECCE Programmes:** 2.2.12

ii.   Compliance Check/s:

The Visit Officer will ascertain from the number of ECCE registrations and the attendance records whether the required minimum of 8 ECCE eligible children are enrolled each day per week in each ECCE session.
If the Visit Officer finds that there are fewer than 8 ECCE-eligible children enrolled per session/per day and no DCYA exemption has been granted this may result in a Minor non-compliant outcome.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Fewer than 8 children of pre-school age enrolled in ECCE session, no DCYA exemption granted	Minor non-compliant	Service not meeting the minimum enrolment in each session operating on one or more days, and has not applied for/obtained an exemption to requirement.

iv.   Remedial Action required:

Where an exemption has not been applied for, the service provider should do so by contacting their local City/County Childcare Committee. Where an exemption has been denied the service provider should liaise with their local City/County Childcare Committee to ensure action is undertaken to meet minimum enrolment requirement.

5.1.2 Staff to child ratios

i.   Programme Rules, Terms & Conditions:

'The adult to child ratio for ECCE rooms is 1:11 (all children in the room must be aged between 2.5 and 6 years'.

- **DCYA Rules for ECCE Programmes:** 2.2.6

ii.   Compliance Check/s:

The Visit Officer will ascertain from the number of ECCE registrations, the attendance records and other information provided whether the adult to child ratio is met. The number of children in each session is established from the number enrolled and expected to attend each day and not the actual attendance per day.

- Where a staff member is supported through AIM funding they should not be included for the purpose of meeting adult: child ratios. See AIM funding rules

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Room does not meet staff ratio requirements of the ECCE programme	Moderate non-compliant	Where the number of children enrolled is in excess of the adult: child ratio on any or all days.

iv.   Remedial Action required:

Service provider must ensure that adult: child ratios are met at all times.

5.1.3 Staffing Requirements

The qualification of each staff member is reviewed to ensure that minimum ECCE qualification requirements for Standard (SC) and Higher (HC) Capitation are being met. The Visit Officer will check that all staff hold an award included on the list of DCYA Early Years Recognised Qualifications or a Letter of Eligibility to practice (LoE) issued to the staff member by the DCYA.

Where a service has been approved HC the Visit Officer will confirm that the staff currently working in the HC sessions are those listed on the HC application submitted to Pobal.

5.1.3.1   General

i.   Programme Rules, Terms & Conditions:

'Room Leaders must, at a minimum, hold a qualification that meets the ECCE funding agreement requirements for ECCE Room Leader as set out on the published list of DCYA 'Early Years Recognised Qualifications' or, hold a Letter of Eligibility to Practice at this level issued by the DCYA…'

'The approved provider shall ensure that all staff employed by the approved provider working with children in the Pre-School Service hold, at a minimum, a level 5 qualification on the NFQ in the specialisation of early learning and care….'

> - **DCYA Rules for ECCE Programmes:** 2.5
> - **ECCE Funding Agreement:** Appendix 1, General Terms & Conditions, Clause 12

The named/identified leader of each Standard Cap or Higher Cap ECCE session should hold the appropriate level of award.

ii.   Compliance Check/s:

The Visit Officer will check the qualifications of the room leader(s), evidence of which should be maintained on file.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
The session/room is not led by a person with the minimum Room Leader staff qualification, but the higher qualified individual is in the room as an assistant	Minor non-compliant	It has been identified that staff hold appropriate qualifications but the staff member identified as the leader is not the staff member with the higher level of award.

iv.   Remedial Action required:

Service provider should ensure that the Leader of the ECCE session holds an appropriate qualification.

5.1.3.2   Standard Capitation

i.   Programme Rules, Terms & Conditions:

'A childcare provider must ensure all staff working with children hold, at a minimum, a qualification that meets the requirements of the Child Care Act 1991 (Early Years Services) Regulations 2016.'

> - **DCYA Rules for ECCE Programmes:** 2.5
> - **ECCE Funding Agreement:** Appendix 1, General Terms & Conditions, Clause 12
> - **Child Care Act 1991 (Early Years Services) Regulations 2016.**

ii.   Compliance Check/s:

The Visit Officer will check that all relevant staff qualifications are on-site and that all staff hold an award included on the list of DCYA Early Years Recognised Qualifications, or a Letter of Eligibility (LoE) to practice issued to the staff member by the DCYA. Assistants may also hold a 'grandfathering declaration'.

If the Visit Officer finds that the Leader in a Standard Capitation session does not hold Major Award L6 or the Assistant in a Standard Capitation session does not hold Major Award L5 or the qualifications have not been deemed eligible by DCYA this may result in a moderate non-compliant outcome.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Standard capitation session/s - Leader does not hold Major award L6 or qualification held is not included on DCYA Early Years Recognised Qualifications list or deemed eligible by DCYA	Moderate non-compliant	• Leader's qualification is not on-site at time of visit and not submitted to Pobal post visit* • Leader does not hold an award L6 and no other staff member in session holds an award L6 • Leader's qualification is not included on DCYA Early Years Recognised Qualification list and no LoE has been issued.
Standard capitation session/s - Assistant does not hold Major award L5 or qualification held is not included on DCYA Early Years Recognised Qualifications list or deemed eligible by DCYA	Moderate non-compliant	• Assistant's qualification is not on-site at time of visit and not submitted to Pobal post visit* • Assistant does not hold an award L5 • Assistant's qualification is not included on DCYA Early Years Recognised Qualification list and no LoE or 'grandfathering declaration' has been issued

*If a qualification is not on-site at time of visit it can be submitted to cvisit@pobal.ie within 5 working days. **If the qualification is not submitted it will be deemed that qualification requirements are not being met.** In cases where there is no evidence of a minimum Level 5 qualification or LoE, Tusla will be informed (with the exception of Community Employment (CE) participants in training and staff with a 'grandfathering declaration').

Service provider must ensure that all ECCE staff hold appropriate qualifications and/or a LoE. Any qualifications not included in the DCYA Early Years Recognised Qualifications listing can be submitted to the DCYA for assessment.

5.1.3.3   Higher Capitation

i.   Programme Rules, Terms & Conditions:

'For compliance purposes, any documentation relevant to higher capitation for the programme year should be available for inspection. This includes staff qualifications, a copy of the service's higher capitation application form, any amendment forms submitted during the programme year, and any correspondence from Pobal confirming higher capitation and/or an adjustment to higher capitation'.

> - **DCYA Rules for ECCE Programmes:** 2.5 (special attention should be given to 2.5.1, 2.5.3, 2.5.9 to 2.5.11) and 2.7.10 to 2.7.13

ii.   Compliance Check/s:

The Visit Officer will check that all relevant staff qualifications are on-site and that all staff hold an award included on the list of DCYA Early Years Recognised Qualifications, or a Letter of Eligibility (LoE) to practice issued to the staff member by the DCYA.
Assistants working in a HC session cannot hold a 'grandfathering declaration'.

The Visit Officer will also check the current staff complement against the HC application submitted to Pobal to ensure any changes to staff have been notified.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Higher capitation session/s – Leader not meeting minimum qualification and/or staffing requirement/s.	Major non-compliant	- Leader's qualification is not on-site at time of visit and not submitted to Pobal post visit* - Leader does not hold an award L7+ and no other staff member in session holds an award L7+ - Leader's qualification is not included on DCYA Early Years Recognised Qualification list and no LoE has been issued.

		• Employee with L7+ qualification has been absent for more than 4 consecutive weeks and Pobal has not been notified. • Employee with L7+ qualification has left the service without replacement and Pobal has not been notified. • Employee with L7+ qualification only works part of the week.
Higher capitation session/s - Assistant not meeting minimum qualification and/or staffing requirement/s.	Moderate non-compliant	• Assistant's qualification is not on-site at time of visit and not submitted to Pobal post visit* • Assistant does not hold an award L5 • Assistant's qualification is not included on DCYA Early Years Recognised Qualification list and no LoE has been issued • Assistant holds a 'grandfathering declaration'
Higher capitation room – Leader meets qualification requirements but amendment form for staff changes not submitted to Pobal	Minor non-compliant	Current Leader holds appropriate qualification but Leader has been replaced and Pobal has not been notified.

*If a qualification is not on-site at time of visit it can be submitted to cvisit@pobal.ie within 5 working days. **If the qualification is not submitted it will be deemed that qualification requirements are not being met.** In cases where there is no evidence of a minimum Level 5 qualification or LoE, Tusla will be informed (with the exception of Community Employment (CE) participants in training and staff with a 'grandfathering declaration').

> • HC FTE approval level may also be affected if it is identified that an approved HC session does not meet minimum staffing qualification requirements.

iv.   Remedial Action required:

The service provider must ensure that all HC staff hold appropriate qualifications and/or a LoE. Any changes to HC staff as outlined in the HC application must be notified to Pobal. Any qualifications not included in the DCYA Early Years Recognised Qualifications listing can be submitted to the DCYA for assessment.

5.1.3.4   Higher Capitation Full Time Equivalents (FTE)

i.   Programme Rules, Terms & Conditions:

'Higher Capitation is paid in respect of the number of Full-Time Equivalent (FTE) children registered to the ECCE programme in the qualifying ECCE session'.

'Registering a child as a "leaver" on PIP does not automatically update the higher capitation FTE figure. The Higher Capitation form must also be changed'.

- **DCYA Rules for ECCE Programmes:** 2.5.3, 2.5.8, 2.7.12
- Pobal ECCE Higher Capitation 'How to' guide for ECCE Service Providers (available on PIP portal)

The HC FTE approved is based on the information submitted in the HC application form. If all ECCE sessions operated by a service are approved at HC, fluctuation in numbers of children in attendance do not impact the HC FTE. However, if a service is operating both SC and HC ECCE sessions, the service provider should monitor the FTE enrolled and attending in the HC sessions to ensure the approved HC FTE is met on each day per week. Any reduction in FTE should be notified to Pobal.

ii.   Compliance Check/s:

The Visit Officer will review registrations and attendance to ensure the approved FTE is being met in HC sessions at time of visit. If FTE is not being met the Visit Officer will review FTE approval for the full ECCE cycle. The difference between the approved FTE and the actual FTE in the session will determine the level of non-compliant outcome.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Higher capitation room - some children not attending higher capitation room/session as approved and Pobal have not been informed	Major / Moderate / Minor non-compliant determined by the difference between the approved FTE and the actual FTE in the session.	Service is operating both SC and HC ECCE session - approved FTE is not being met in HC qualifying sessions and amendment form has not been submitted to Pobal.

iv.   Remedial Action required:

Higher Capitation Amendment form must be submitted to Pobal with details of actual FTE attending HC sessions during the programme cycle.

5.2   TEC- Additional rules

5.2.1 Parent Sign-in Sheets

i.   Programme Rules, Terms & Conditions:

'The TEC parent/guardian must sign-in on a weekly basis with the childcare provider to declare to the service that they are still in attendance at their relevant course/work placement; sign-in sheets cannot be pre-signed'.

> • **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:** 5.2.8

Parents availing of TEC programmes are required to sign-in on a weekly basis as confirmation that they are still attending their relevant course/work placement. The sign-in sheet used should be the template available on the PIP portal.

ii.   Compliance Check/s:

The Visit Officer will review the sign-in sheets to ensure they are signed up to date and are not pre-signed. If a parent has nominated an additional adult to sign on their behalf the Visit Officer will request to review the letter of permission. Only one sign-in sheet is required for families where more than one child is registered under the same strand on TEC.

> • Parent sign-in sheets do not negate the requirements to have full and accurate daily attendance records for the child/ren

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Parent sign-in sheets inadequate i.e. not available / not up to date / pre-signed / no letter nominating alternate signee	Minor non-compliant	Examples • Some or all sign-in sheets not available on-site. • Some or all sign-in sheets not kept up to date. • No signed letter of permission on-site for an additional adult to sign on behalf of a parent/guardian. • Some or all sign in sheets are pre-signed.

iv.   Remedial Action required:

Provider should ensure all sign-in sheets are on the relevant template, up-to-date, completed appropriately and on-site. Permission letters should be sought where appropriate and filed.

5.2.2 Fees – Maximum Parental Contribution

i.   Programme Rules, Terms & Conditions:

'Subvention plus the parental contribution combined cannot exceed the cost of the place as per service fees list'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:** 5.1 Table

The subvention plus the parental contribution combined cannot exceed the cost of the place as per the service's fees list. The fees list details the maximum fee that a service can charge.

ii.   Compliance Check/s:

The compliance Visit Officer will review the fees records to confirm that the fee charged does not exceed the cost of the place.

If the Visit Officer finds subvention plus parental contribution exceed the cost of the place this may result in a moderate non-compliant outcome.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Fees overcharged: subvention plus parental contribution combined exceed the cost of the place as per service fees list	Moderate non-compliant	Fee plus Subvention is greater than total cost of place

iv.   Remedial Action required:

Any inappropriate charges must be reimbursed/credited to the parent.

5.2.3 Ongoing Eligibility

i.   Programme Rules, Terms & Conditions:

- **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:** 5.8

ii.   Compliance Check/s:

If made aware that a qualifying parent is no longer attending a course/work placement the provider must contact their local CCC for authorisation to keep the childcare place open. Documentary evidence of this must be retained for compliance purposes.

If the service is aware that a qualifying parent is no longer attending a course/work placement and have not updated PIP or contacted the CCC this may result in a Moderate non-compliant outcome.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
PIP not updated in a timely manner regarding parent who has left their training course / CE placement / place of work	Moderate non-compliant	The service becomes aware that the parent is no longer attending the training course/placement or work and have not contacted their local CCC.

iv.   Remedial Action required:

Provider should contact their local CCC for authorisation to keep the childcare place open. If authorisation is not granted the registration/s should be end dated.

5.3   CCSP- Additional rules

5.3.1 PHN referral

i.   Programme Rules, Terms & Conditions:

'The Service Provider must not ask for voluntary donation or apply any type of fee/cost to parents/guardians of children who are subject to PHN referral'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:** 2.3.9

Where a child is a PHN referral no additional financial contribution can be requested towards the child's childcare cost. This includes fees, deposits and optional extras.

ii.   Compliance Check/s:

The Visit Officer will review fees records and request that the service provider confirm that no additional contribution has been sought.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Parents charged inappropriately	Moderate non-compliant	The Visit Officer evidences a payment from parent during the compliance visit.

iv.   Remedial Action required:

Any inappropriate contribution should be reimbursed to the parent.

5.4 CCSR/T – Additional Rules

5.4.1 Fees Policy

i.   Programme Rules, Terms & Conditions:

'Parents/guardians cannot be asked to make any financial contribution towards their child's childcare cost'.

'Childcare providers must not request booking deposits from parents/guardians to hold a place'.

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:**
>   **CCSR:** 3.2.8 – 3.2.10
>   **CCSR/T:** 4.2.8 – 4.2.10

No additional financial contribution can be requested towards the child's childcare cost. This includes fees, deposits and optional extras.

ii.   Compliance Check/s:

The Visit Officer will review fees records and request that the service provider confirm that no additional contribution has been sought.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Parents charged inappropriately	Moderate non-compliant	The Visit Officer evidences a payment from parent during the compliance visit.

iv.   Remedial Action required:
Any inappropriate contribution must be reimbursed to the parent.

5.4.2. Daily Meal

i.   Programme Rules, Terms & Conditions:

'For [part-time/sessional] *childcare over 5 days per week……A daily meal must be provided for each child, the cost of which is included in the subvention rate'.*

> - **DCYA Transitional Rules for DCYA Targeted Childcare Programmes:**
>   **CCSR/T:** 4.2.5

ii.   Compliance Check/s:

The Compliance Visit Officer will ask the provider to confirm that a daily meal is being provided to CCSR(T) children.

iii.   Possible non-compliant outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Daily meal not provided to CCSR/T child/ren as required	Moderate non-compliant	The Service Provider has not been providing a daily meal as required.

iv.   Remedial Action required:

A daily meal must be provided to all CCSR(T) children if required.

	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 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 checks as outlined below. 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** • **Actual time of child's arrival** • **Actual 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 - Attendance Records* in DCYA Rules documentation.	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 an extended absence has been approved in line with the DCYA Rules, 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 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 www.dcya.gov.ie for more information.	Yes ☐

	Early Childhood Care and Education (ECCE) Unannounced Compliance Visits 2019/2020 **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 ☐	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?	Yes ☐	N/A ☐
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 GDPR, 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 enrolled 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 (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 ☐	
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 i.e. Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes ☐	

Training and Employment Childcare (TEC)
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/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 <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. **Note:** Where applicable, the compliance folder should include documentation for children originally registered in 2018-2019 cycle and re-registered in 2019-2020 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** • **Actual time of child's arrival** • **Actual 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 - Attendance Records* in DCYA Rules documentation.	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? **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.	Yes ☐ N/A ☐
6	Where an extended absence has been approved in line with the DCYA Rules, 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 GDPR, 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 ☐

	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 ☐
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 (i.e. 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 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/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 checks as outlined below. 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** • **Actual time of child's arrival** • **Actual 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 - Attendance Records* in DCYA Rules documentation.	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	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 ☐ N/A ☐
6	Where an extended absence has been approved in line with DCYA Rules, 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 GDPR, 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 (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 ☐

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 ☐
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 ☐

Community Childcare Subvention Resettlement (CCSR)
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/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 checks as outlined below. 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** • **Actual time of child's arrival** • **Actual 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 - Attendance Records* in DCYA Rules documentation.	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	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 ☐ N/A ☐
6	Where an extended absence has been approved in line with the DCYA rules, 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 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 ☐
	Fee Records	
9	Do fee records reflect that NIL fees are charged for CCSR?	Yes ☐

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

Community Childcare Subvention Resettlement (Transitional) (CCSR(T))
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/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 checks as outlined below. 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** • **Actual time of child's arrival** • **Actual 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 - Attendance Records* in DCYA Rules documentation.	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	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 ☐ N/A ☐
6	Where an extended absence has been approved in line with the DCYA Rules, 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 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 ☐

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 ☐
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 ☐

APPENDIX 2 – Compliance Categorisations

CATEGORISATION	ECCE
ECCE Compliant	Service is meeting all programme requirements based on sample records checked on site
ECCE Minor Non-Compliant	Service is not displaying the most up to date Fees List and/or Calendar
	Fewer than 8 children of pre-school age enrolled in ECCE session, no DCYA exemption granted
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Signed parent fees letters not on file for more than 10% children reviewed
	Fees List does not comply with programme requirements
	Fee records available but some gaps/inadequacies identified
	Higher capitation room/session - some children not attending higher capitation room/session as approved and Pobal have not been informed
	The room/session is not led by a person with the minimum Room Leader staff qualification, but the higher qualified individual is in the room/session as an assistant
	Higher capitation room/session – Leader meets qualification requirements but amendment form for staff change/s not submitted to Pobal
	Other
ECCE Moderate Non-Compliant	Service provision is not delivering sufficient free hours/days/weeks
	Attendance records available but some gaps/inadequacies identified
	Signed PIP Parent Declaration Forms not on file for more than 10% children reviewed
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Records in relation to fees not available on site
	Fee records not adequate to allow compliance to be checked
	Fees charged are in excess of Registered Fees List amounts
	Charge for inappropriate optional extras
	Room does not meet staff ratio requirements of the ECCE programme
	Higher capitation room/session - some children not attending higher capitation room/session as approved and Pobal have not been informed
	Standard capitation room/session - Leader does not hold Major award L6 or qualification held is not included on DCYA Early Years Recognised Qualifications list or deemed eligible by DCYA
	Standard capitation room/session - Assistant does not hold Major award L5 or qualification held is not included on DCYA Early Years Recognised Qualifications list or deemed eligible by DCYA
	Higher capitation room/session - Assistant not meeting minimum qualification and/or staffing requirement/s
	Other
ECCE Major Non-Compliant	The service is not in operation on day of visit
	Admittance declined
	Admittance gained but no records available for inspection
	Records in relation to attendance not available on site
	Attendance records not adequate
	Service provision is not delivering sufficient free hours/days/weeks
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Higher capitation room/session - some children not attending higher capitation room/session as approved and Pobal have not been informed
	Higher capitation room/session - Leader not meeting minimum qualification and/or staffing requirement/s
	Other

CATEGORISATION	TEC
TEC Compliant	Service is meeting all programme requirements based on sample records checked on site
TEC Minor Non-Compliant	Service is not displaying the most up to date Fees List and/or Calendar
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	PIP not updated in a timely manner regarding parent who has left their training course / CE placement / place of work
	Parent sign-in sheets inadequate i.e. not available / not up to date / pre-signed / no letter nominating alternate signee
	Signed parent fees letters not on file for more than 10% children reviewed
	Fees List does not comply with programme requirements
	Fee records available but some gaps/inadequacies identified
	Other
TEC Moderate Non-Compliant	Attendance records available but some gaps/inadequacies identified
	Signed PIP Parent Declaration Forms not on file for more than 10% children reviewed
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	PIP not updated in a timely manner regarding parent who has left their training course / CE placement / place of work
	Records in relation to fees not available on site
	Fee records not adequate to allow compliance to be checked
	Fees charged are in excess of Registered Fees List amounts
	Charge for inappropriate optional extras
	Fees overcharged: subvention plus parental contribution combined exceed the cost of the place as per service fees list
	Other
TEC Major Non-Compliant	The service is not in operation on day of visit
	Admittance declined
	Admittance gained but no records available for inspection
	Records in relation to attendance not available on site
	Attendance records not adequate
	Service provision is not delivering sufficient days/weeks
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	PIP not updated in a timely manner regarding parent who has left their training course / CE placement / place of work
	Other

CATEGORISATION	CCSP (including CCSU)
CCSP Compliant	Service is meeting all programme requirements based on sample records checked on site
CCSP Minor Non-Compliant	Service is not displaying the most up to date Fees List and/or Calendar
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Signed parent fees letters not on file for more than 10% children reviewed
	Fees List does not comply with programme requirements
	Fee records available but some gaps/inadequacies identified
	Other
CCSP Moderate Non-Compliant	Attendance records available but some gaps/inadequacies identified
	Signed PIP Parent Declaration Forms not on file for more than 10% children reviewed
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Records in relation to fees not available on site
	Fee records not adequate to allow compliance to be checked
	Fees charged are in excess of Registered Fees List amounts
	Charge for inappropriate optional extras
	Other
CCSP Major Non-Compliant	The service is not in operation on day of visit
	Admittance declined
	Admittance gained but no records available for inspection
	Records in relation to attendance not available on site
	Attendance records not adequate
	Service provision is not delivering sufficient days/weeks
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Other

CATEGORISATION	CCSR/CCSR(T)
CCSR/T Compliant	Service is meeting all programme requirements based on sample records checked on site
CCSR/T Minor Non-Compliant	Service is not displaying the most up to date Calendar
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Other
CCSR/T Moderate Non-Compliant	Attendance records available but some gaps/inadequacies identified
	Signed PIP Parent Declaration Forms not on file for more than 10% children reviewed
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Daily meal not provided to CCSR/T child/ren as required
	Parents charged inappropriately
	Other
CCSR/T Major Non-Compliant	The service is not in operation on day of visit
	Admittance declined
	Admittance gained but no records available for inspection
	Records in relation to attendance not available on site
	Attendance records not adequate
	Service provision is not delivering sufficient days/weeks
	Registration/s deemed incorrect and PIP updating required
	Registration/s incorrect with regard to facility child/ren is attending
	Other