Early Childhood Care and Education (ECCE)
Unannounced Compliance Visits 2017/18
SERVICE PROVIDER FILE CHECKLIST*

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

Please tick ✓

	Compliance Folder/Records	
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes ☐

	Attendance Records	
2	Are adequate daily attendance records/ roll books per session and/or room, from the start of the Programme cycle currently up-to-date and available on site? Attendance records must include: • **Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐
3	Are the attendance records/ roll books 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. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐

	Minimum Enrolment		
4	Where the DCYA have approved an exemption to the minimum enrolment requirement of 8 ECCE eligible children in each ECCE **session on a daily basis**, is a copy of the approval on file?	Yes ☐	N/A ☐

	PIP Parental Declaration Forms	
5	Are Parental Declaration forms for all registrations (including amendments during the year) printed, signed by parents and on file?	Yes ☐
6	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐

	PIP Registrations		
7	Are all ECCE Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct no of sessions registered?	Yes ☐	
8	Have ECCE Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes in level of service?	Yes ☐	N/A ☐
9	Where the CCC has approved an extended absence (beyond four weeks up to a maximum of six weeks), is a copy of the authorisation on file?	Yes ☐	N/A ☐

	PIP Fees List and Parent Letters	
10	Is the most up to date PIP Fees List and PIP Calendar displayed in the service in a location easily accessible to parents?	Yes ☐
11	Does the PIP Fees List comply with programme requirements and accurately reflect actual fees charged?	Yes ☐
12	Are PIP generated Parent Letters (Service Fees Information Letters) for all registrations printed, signed by parents and on file?	Yes ☐

	Fee Records		
13	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the Fees List? If direct debit is applicable, access to records must be available on site (this can be online access).	Yes ☐	N/A ☐
	Staff Qualifications		
14	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? ***** Leaders in ECCE Standard Capitation sessions who have not achieved a recognised full Level 6 award should provide written evidence of current participation on Level 6 e.g. relevant module results, confirmation from Service Manager or Education Provider of current participation on L6 for compliance purposes. **Note:** Qualifications are checked against the DCYA Early Years Recognised Qualifications listing available on the DCYA website. In instances where awards/certificates available do not contain the course title in the English language, evidence from the education provider in English showing what field and subject the qualification has been granted in e.g. a copy of the transcript of final results must be on file.	Yes ☐	
	Higher Capitation		
15	Is there a copy of the application form for ECCE Higher Capitation submitted to DCYA on file and any correspondence from DCYA confirming higher capitation?	Yes ☐	N/A ☐
16	If the FTE number of children in Higher Capitation approved session and/or room has changed during the year, is a copy of the **Room Amendment Form(s)** submitted to DCYA on file?	Yes ☐	N/A ☐
17	If Higher Capitation approved session staff have left and/or been replaced during the year, is a copy of the **Staff Amendment Form(s)** submitted to DCYA on file?	Yes ☐	N/A ☐
18	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 ☐

Training and Employment Childcare (TEC)
Unannounced Compliance Visits 2017/18
SERVICE PROVIDER FILE CHECKLIST*

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

Please tick ✓

	Compliance Folder/Records	
1	Is there a Compliance Folder/ file maintained and readily available at all times on site? **Note:** Where applicable the compliance folder should include documentation for children originally registered in 2016/17 cycle and re-registered in 2017/18 cycle.	Yes ☐
	Attendance Records	
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? Attendance records must include: • **Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐
3	Are the attendance records/ roll books maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each room to assist identifying PIP updating requirements? The same requirement applies if attendance records are maintained in electronic format. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐
	TEC Sign in Sheets	
4	Are TEC Parent Sign-in sheets complete, up-to-date and available for review for children/families availing of any TEC programme?	Yes ☐
5	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 Declarations	
6	Are Parental Declaration forms for all registrations (including amendments during the year and any top-ups) printed, signed by parents and on file?	Yes ☐
7	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐
	PIP Registrations	
8	Are all TEC Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes ☐
9	Have TEC Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes in level of service?	Yes ☐ N/A ☐
10	Where the CCC has approved an extended absence (beyond two weeks up to a maximum of four weeks), is a copy of the authorisation on file?	Yes ☐ N/A ☐
	PIP Fees List and Parent Letters	
11	Is the most up to date PIP Fees List and PIP Calendar displayed in the service in a location easily accessible to parents?	Yes ☐
12	Does the PIP Fees List comply with programme requirements and accurately reflect actual fees charged?	Yes ☐
13	Are PIP generated Parent Letters (Service Fees Information Letters) for all registrations printed, signed by parents and on file?	Yes ☐

Training and Employment Childcare (TEC) Unannounced Compliance Visits 2017/18 SERVICE PROVIDER FILE CHECKLIST cont

	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 ☐

Community Childcare Subvention (CCS)
Unannounced Compliance Visits 2017/18
SERVICE PROVIDER FILE CHECKLIST*

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

Please tick ✓

	Compliance Folder/Records		
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes	
	Attendance Records		
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? Attendance records must include: • **Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes	
3	Are the attendance records/ roll books maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each room to assist identifying PIP updating requirements? The same requirement applies if attendance records are maintained in electronic format. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes	
	FTE Calculators		
4	Has the CCS FTE Calculator spreadsheet been completed for the final week of the CCS snapshot window in October 2017, as well as for a full 5 day week in each subsequent month? The FTE Calculator should include the following: • Cessation date of leavers • Details of all replacement children, including start dates. These replacement children must be registered on PIP as CCS not funded. **NB:** Services may keep a soft copy of each monthly FTE Calculator on a PC or Laptop that is accessible to the Visit Officer or print a copy. Instruction for completion of the FTE calculator is available on the first tab of the FTE calculator spreadsheet.	Yes	
	PIP Parental Declaration Forms		
5	Are Parental Declaration forms for all registrations (including CCS Not Funded Replacement children where applicable) printed, signed by parents and on file?	Yes	
6	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes	
	PIP Registrations		
7	Are all CCS Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered including correct session type and number of days.	Yes	
8	Have CCS Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers.	Yes	N/A
9	Where the CCC has approved an extended absence (beyond four weeks up to a maximum of six weeks), is a copy of the authorisation on file?	Yes	N/A
10	Have all "Replacement" children availing of CCS in the service been registered as CCS Not Funded on PIP?	Yes	N/A

	PIP Fees List and Parent Letters		
11	Is the most up to date PIP Fees List and PIP Calendar displayed in the service in a location easily accessible to parents?	Yes ☐	
12	Does the PIP Fees List comply with programme requirements and accurately reflect actual fees charged?	Yes ☐	
13	Are PIP generated Parent Letters (Service Fees Information Letters) for all registrations printed, signed by parents and on file?	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 ☐

Community Childcare Subvention Plus (CCSP) including Universal Subsidy (CCSU) Unannounced Compliance Visits 2017/18
SERVICE PROVIDER FILE CHECKLIST*

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

Please tick ✓

Compliance Folder/Records			
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes ☐	
Attendance Records			
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? Attendance records must include: • **Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐	
3	Are the attendance records/ roll books maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each room to assist identifying PIP updating requirements? The same requirement applies if attendance records are maintained in electronic format. Please see _Good Practice Guide for Attendance Records_ in PIP information packs.	Yes ☐	
PIP Parental Declaration Forms			
4	Are Parental Declaration forms for all registrations (including amendments during the year) printed, signed by parents and on file?	Yes ☐	
5	In the interest of Data Protection, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐	
PIP Registrations			
6	Are all CCSP Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes ☐	
7	Have CCSP Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leavers, changes in level of service?	Yes ☐	N/A ☐
8	Where the CCC has approved an extended absence (beyond two weeks up to a maximum of four weeks), is a copy of the authorisation on file?	Yes ☐	N/A ☐
PIP Fees List and Parent Letters			
9	Is the most up to date PIP Fees List and PIP Calendar displayed in the service in a location easily accessible to parents?	Yes ☐	
10	Does the PIP Fees List comply with programme requirements and accurately reflect actual fees charged?	Yes ☐	
11	Are PIP generated Parent Letters (Service Fees Information Letters) for all registrations printed, signed by parents and on file?	Yes ☐	
Fee Records			
12	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the Fees List? If direct debit is applicable, access to records must be available on site (this can be online access).	Yes ☐	N/A ☐

Community Childcare Subvention Resettlement (CCSR)
Unannounced Compliance Visits 2017/18
SERVICE PROVIDER FILE CHECKLIST*

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

Please tick ✓

	Compliance Folder/Records	
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes ☐
	Attendance Records	
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? Attendance records must include: • **Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐
3	Are the attendance records/ roll books maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each room to assist identifying PIP updating requirements? The same requirement applies if attendance records are maintained in electronic format. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐
	PIP Parental Declaration Forms	
4	Are Parental Declaration forms for all registrations (including leavers where applicable), signed by parents and on file? **Note**: The CCSR Parental Declaration Form must be completed offline – i.e. not on PIP. The Parental Declaration Form to be completed is available on the PIP Homepage/PIP Portal in either English or Arabic. It should be completed manually using details provided on the PIP system. **N.B. The Parent must sign the offline CCSR Parental Declaration Form and be given a copy.**	Yes ☐
5	In the interest of Data Protection, has the service returned the relevant Department of Justice & Equality "Resettlement" Letter of Eligibility containing PPS Numbers to Parents?	Yes ☐
	PIP Registrations	
6	Are all CCSR Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes ☐
7	Have CCSR Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leaver, changes in level of service?	Yes ☐ N/A ☐
8	Where the CCC has approved an extended absence (beyond two weeks up to a maximum of four weeks), is a copy of the authorisation on file?	Yes ☐ N/A ☐
	PIP Calendar	
9	Is the most up to date PIP CCSP Calendar displayed in the service in a location easily accessible to parents?	Yes ☐
	Fee Records	
10	Do fee records reflect that NIL fees are charged for CCSR?	Yes ☐

Community Childcare Subvention Resettlement (Transitional) (CCSR(T))
Unannounced Compliance Visits 2017/18
SERVICE PROVIDER FILE CHECKLIST*

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Please tick ✓

	Compliance Folder/Records	
1	Is there a Compliance Folder/ file maintained and readily available at all times on site?	Yes ☐
	Attendance Records	
2	Are adequate daily attendance records/ roll books from the start of the Programme cycle currently up-to-date and available on site? Attendance records must include: • **Name of child** • **Date of attendance** • **Time of child's arrival** • **Time of child's departure**	Yes ☐
3	Are the attendance records/ roll books maintained and structured sufficiently to ensure easy and efficient monitoring of child attendance patterns in each room to assist identifying PIP updating requirements? The same requirement applies If attendance records are maintained in electronic format. Please see *Good Practice Guide for Attendance Records* in PIP information packs.	Yes ☐
	PIP Parental Declaration Forms	
4	Are Parental Declaration forms for all registrations (including leavers where applicable), signed by parents and on file? **Note**: The CCSR (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 ☐
5	In the interest of Data Protection, has the service returned to parents the relevant eligibility/ verification letters containing PPS numbers?	Yes ☐
	PIP Registrations	
6	Are all CCSR (T) Registrations on PIP accurate and reflect actual levels of attendance i.e. correct start/end dates, correct levels of service registered?	Yes ☐
7	Have CCSR (T) Registrations been updated on PIP to reflect any changes since initial registration i.e. absences, leaver, changes in level of service?	Yes ☐ N/A ☐
	PIP Calendar	
8	Is the most up to date PIP CCSP Calendar displayed in the service in a location easily accessible to parents?	Yes ☐
	Fee Records	
9	Do fee records reflect that NIL fees are charged for CCSR (T)?	Yes ☐