Early Years Programmes

Unannounced Compliance Visits 2015/16

SERVICE PROVIDER FILE CHECKLIST*

NOTE TO PROVIDERS: Pobal recommend that Service Providers are familiar with the Programmes "How to" guides and Frequently Asked Questions (FAQ's) available on the PIP Portal and Pobal Website. In order to ensure that an unannounced compliance visit can be accommodated efficiently at a service, it is advised that a Compliance Folder/ file is prepared onsite in advance and made readily available to the Visit Officer on arrival. The following information outlined is for information purposes to assist Service Providers in preparing and collating the relevant information to meet compliance requirements.

Please tick ✓ or

note N/A where
not applicable

	GENERAL	
1	Has the Service Provider downloaded from PIP the County Childcare Committee (CCC) approved Fees Policy, Calendar & Parent fee letter and displayed the information in the Childcare facility?	☐
2	Are PIP registration records up to date in relation to all child start/end dates, leavers, deferrals and changes in level of service (e.g. changing from 5 days p/w to 4 days p/w etc). For existing registrations, revisions to registrations should be processed through the PIP system in a timely manner.	☐
3	Are all signed PIP Parental Declaration Forms on Compliance folder/file for approved ECCE/TEC/CCS children? Where PIP updating is required on existing registrations, are updated PIP Parental Declaration forms signed and on file for each relevant child registered?	☐
4	In the interest of Data Protection, has the service provider disposed of, in an appropriate manner, all documentation with PPSNs, once PIP Parental Declaration forms with Registration ID is printed.	☐
5	Are all signed Parent/Guardian <u>Fee payment letters</u> on Compliance folder/file, for children registered on ECCE/TEC/CCS? Note: These Fee Payment letters will outline any Programme specific information relating to Optional extras, Discounts, Voluntary Donation information where applicable.	☐
	ATTENDANCE RECORDS	
6	Are the roll books / attendance records from the start of the Programme cycles i.e August/ September 2015 currently up-to-date and available on site for each room ?	☐
7	Are the roll books/ attendance records maintained and structured sufficiently to ensure ease of monitoring child attendances which will assist identifying PIP updating requirements. e.g. ECCE and CCS absences of 4 consecutive weeks require a child leaver registration update on PIP, 2 consecutive weeks for TEC. In such instances, the timely identification of a change in pattern of attendance can facilitate follow up conversations to be held with parents to confirm the most appropriate registration e.g child leaver or reduction in level of service.	☐
	FEE RECORDS	
8	In instances whereby fees are applicable to parents whose children are availing of the ECCE/CCS/TEC programmes, are the fee records accessible for the Visit Officer to verify fees charged inline with displayed Fee Payment Policies information. In instances where Direct Debits are applicable and fee information is not maintained in the Fee records, has the Service maintained relevant Bank Statements on site to verify fees paid inline with FPP and Parent Fee letter information ?	☐

	ECCE SPECIFIC	
	Qualifications	
9	Are copies of qualifications for ECCE staff on Compliance Folder / file for all staff working with ECCE registered children in the service? Is there also evidence of signed Grandfathering Clauses where applicable?	☐
	TEC SPECIFIC	
	Parent 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? The TEC Parent Sign-in sheets for each TEC contract that a service is particpating in, can be downloaded from PIP. (Note: Pre- signed sheets are not deemed acceptable).	☐
	CCS SPECIFIC	
	PIP Registrations	
11	Are replacement children availing of CCS in the service who have not had their eligibility verified through the PIP process (i.e. snap shot week registration or late entrant appeal /requests) registered as CCS Not-Funded Registrations on PIP? Please note that where a child is funded under CCS, the band approved may be different to the band applied for. It is the responsibility of the service to be aware of the band that each child is approved funding for.	☐
	FTE Calculators	
12	The maintenance of FTE Calculators must be completed for each month and this is compulsory for the 2015/16 cycle. These must be maintained in the compliance folder of each service, including those who have a central administration function for a number of childcare facilities. ➢ Has the CCS FTE calculator spreadsheet been completed for the CCS snapshot week in October 2015? ➢ From November 2015 has an FTE calculator based on a sample 5 day week been updated by the service provider for each month and maintained in the Compliance folder/file. ➢ The monthly updated FTE Calculators should include CCS child leaver names & dates that CCS leavers were processed through PIP where funding has not been released. ➢ The monthly updated FTE Calculator should include replacement CCS children identified in PIP as CCS Not- Funded Registrations including start dates CCS availed of at the service. ➢ Instructions for completion of the FTE calculator are available on the front tab of the relevant spread sheet. While it is not always possible, access to the most recent soft copy (saved to a computer desktop) of the completed FTE Calculator is preferable as it will assist the Visit Officer in making any edits that may be required on site. This availability should expedite the compliance process.	☐ ☐ ☐ ☐ ☐

*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.