

**Early Childhood Care and Education (ECCE)  
Compliance Visits 2021/2022  
COMPLIANCE CHECKLIST FOR ELC 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, Programme Guides and DCEDIY Rules documentation including AIM Rules available on the Hive and DCEDIY website. The ECCE Compliance Categorisations are attached to this checklist as an Appendix. For further information please refer to the ECCE Compliance Guide for Service Providers available on the Hive.

**All Pobal compliance visits in the 2021/2022 programme cycle will be undertaken in adherence with public health guidelines during the COVID-19 pandemic. In addition, all checks undertaken will take account of any flexibility of programme rules notified to providers through announcements on PIP and the Hive.**

Please tick

<b>Compliance Folder/File</b>		
<b>1</b>	The following points are a guide as to the types of information that Visit Officers seek to review on a Compliance Visit. To minimise disruption to the Service operation, Pobal recommend that Services collate information for review on these visits in a <u>Compliance Folder/File which is readily available, on site, at all times.</u> This Folder/File should not contain any information which is not relevant to the Compliance checks as outlined below. Attendance Records and Fee Records should also be easily accessible.	Yes <input type="checkbox"/>
<b>Tusla Registration</b>		
<b>2</b>	Is the most up to date Tusla Registration Certificate available for review?	Yes <input type="checkbox"/>
<b>Attendance Records</b>		
<b>3</b>	Are there adequate attendance records on site for each session and/or room? Attendance records must be maintained and readily accessible from the start of the programme year.	Yes <input type="checkbox"/>
<b>4</b>	Are the attendance records (i.e. Rolls Books, 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 the Hive updating requirements? The same requirement applies <b>if</b> attendance records are maintained in electronic format. In these instances, Attendance Reports for the cycle should be maintained/easily accessible. Please see <a href="#">Good Practice Guide - Attendance Records</a> in the programme rules documentation.	Yes <input type="checkbox"/>

Hive Registrations		
5	Are all ECCE Registrations on the Hive accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct session type/level of service registered?	Yes <input type="checkbox"/>
6	Have ECCE Registrations been updated on the Hive to reflect any changes since initial registration i.e. absences, leavers, changes to session type/level of service?	Yes <input type="checkbox"/>
7	Where there is an extended absence due to special circumstances, has this been approved by the CCC in line with the programme rules?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
Staff Qualifications		
8	<p>Are the relevant staff qualifications* / signed Grandfathering Declarations/ DCEDIY Letters of Eligibility to Practice on file for <b>all staff</b> working in each ECCE session and/or room with ECCE children enrolled? Having these documents, which meet the relevant qualification requirements, available on site will ensure a reduced level of non- compliance in relation to staff qualifications.</p> <p><b>Note:</b> Qualifications are checked against the DCEDIY Early Years Recognised Qualifications list available on the DCEDIY website. Qualifications must be in English or Irish, any documents not originally in English or Irish must be accompanied with a translation to English or Irish. Certified translations only can be accepted.</p> <p>*Where a Qualification is not on the DCEDIY Early Years Recognised Qualifications list, the individual must apply to the DCEDIY for recognition. See <a href="http://www.gov.ie/dcedy">www.gov.ie/dcedy</a> for more information.</p>	Yes <input type="checkbox"/>
9	<p>Do all ECCE (Standard Capitation) room leaders hold at least a QQI level 6 qualification?</p> <p>Do all ECCE (Higher Capitation) room leaders hold at least a QQI level 7 qualification?</p> <p>Do all ECCE room assistants hold a minimum QQI level 5 qualification?</p>	<p>Yes <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p> <p>Yes <input type="checkbox"/></p>
Higher Capitation		
10	If the FTE in higher capitation partial services has changed during the year, has the ECCE Higher Capitation Application been updated on the Hive?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
11	If higher capitation approved session staff have left and/or been replaced during the year, has the ECCE Higher Capitation Application been updated on the Hive?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
12	Are there staff attendance records on site which show dates of non-attendance of higher capitation staff and the reasons for non-attendance?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
AIM Level 1 Inclusion Coordinator		
13	Have any changes of circumstances in the employment of the Inclusion Co-ordinator or extended absence of four or more consecutive preschool weeks been notified to the Pobal AIM team via the Hive?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

Hive Parental Declaration Forms		
14	Are Parental Declaration forms for all registrations (including amendments during the year) printed, signed by parents/guardians and on file?	Yes <input type="checkbox"/>
15	In the interest of GDPR, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>
Fee Records		
16	Are adequate fee records accessible for the Visit Officer to verify fees/eligible optional extras charged in line with the Hive Fees List? If direct debit is applicable, access to records must be available on site (this can be online access).	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
Minimum Enrolment		
17	Has a Minimum Enrolment Exemption been applied for, through the relevant CCC, for <b>each ECCE session and/or room</b> which does not meet the requirement of 8 ECCE eligible children enrolled on a daily basis? A copy of the approved exemption notification must be available for review during a compliance visit (electronically or paper based).	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
Hive Fees List, Parent Fee Letters and Service Calendars		
18	Does the Hive Fees List comply with programme requirements and accurately reflect actual fees charged for the types of provision that the service operates?	Yes <input type="checkbox"/>
19	Are Hive generated Service Fees Information Letters i.e. Parent Fees Letters for all registrations printed, each page initialled/signed by parents/guardians and on file?	Yes <input type="checkbox"/>
20	Is the most up to date Hive generated Fees List, Service Fees Information Letter (i.e. Parent Fees Letter) and Service Calendar displayed both in the service in a location easily accessible to all parents and on any online platform maintained by the provider for the purpose of advertising its services?  <b>Note:</b> Please remember to ensure your Hive generated service 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 the programme rules.	Yes <input type="checkbox"/>
21	<b>COVID-19 related closures:</b> Is evidence onsite of any TUSLA/HSE directions to close as a result of COVID-19 outbreak (if applicable)?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>