



# **Compliance Guide for Service Providers**

**CCSP (including CCSU and  
CCSR) & TEC Saver  
Programmes**

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**An Roinn Leanaí, Comhionannais,  
Míchumais, Lánpháirtíochta agus Óige**  
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## Acronyms used in this document

CCC	City/County Childcare Committee
CCSP	Community Childcare Subvention Plus
CCSR	Community Childcare Subvention Resettlement
CCSU	Community Childcare Subvention Universal
DCYA	Department of Children and Youth Affairs (the former name of the current DCEDIY)
DCEDIY	Department of Children, Equality, Disability, Integration and Youth
ECCE	Early Childhood Care and Education
ELC	Early Learning and Care
EYPC	Early Years Provider Centre
NCS	National Childcare Scheme
PIP	Programme Implementation Platform
SAC	School Aged Childcare
TEC	Training and Employment Childcare
VO	Visit Officer

The Department of Children and Youth Affairs (DCYA) has had a name change to Department of Children, Equality, Disability, Integration and Youth (DCEDIY). For the purpose of this document the term DCYA and DCEDIY are used because some of the rules documents etc. issued in advance of the name change still refer to the DCYA.

## COVID-19

All Pobal compliance visits in the 2020/2021 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 the programme rules notified to providers through announcements on the Programme Implementation Platform (PIP). This document has been prepared on the assumption of on-site visits.

However as an interim measure, compliance checks will be conducted remotely with Compliance staff contacting Service Providers for submission of documentation online. Service Providers will be supported in this with guidance on how to collate and submit the requested documentation to Pobal.

## 1. Introduction

Pobal is contracted by the DCEDIY to conduct compliance visits with participating childcare service providers who operate one or more of the national childcare programmes. These national childcare programmes are Early Childhood Care and Education (ECCE), the National Childcare Scheme (NCS), the Training and Employment Childcare (TEC) Saver Programme and the Community Childcare Subvention Programmes (CCSP) including Community Childcare Subvention Universal (CCSU) and Community Childcare Subvention Resettlement (CCSR), Saver Programmes. The ECCE programme and NCS are available on the Hive (Early Years Platform). The Saver Programmes are available on PIP. A range of standardised compliance checks are carried out during the course of these visits to ensure that services are complying with DCEDIY rules and conditions as outlined in your Programme Funding Agreements, the Programme Rules and Policy Guidelines documents. The purpose of the compliance checks is to provide assurance to DCEDIY and the exchequer that the significant amount of funding distributed through the Early Learning and Care (ELC) and School Aged Childcare (SAC) programmes is protected.

This document provides guidance and assistance to service providers when preparing for a compliance visit (there is a separate Compliance Guide for Service Providers for the ECCE programme). 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 2020-2021** (see **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 Programme Funding Agreements. Therefore it is recommended that service providers prepare and maintain a compliance file containing the relevant documentation to accommodate a compliance visit (see Section 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.

DCEDIY 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:

- Funding Agreements
- DCYA Rules for CCSP (including CCSU/CCSR) and TEC Saver 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/DCEDIY websites including the Pobal "How to Guides".

## 1.1 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.

## 2. Preparing for Your Compliance Visit

Advance preparation is key to a successful compliance visit. To help you plan and prepare for your 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 DCEDIY funded programmes which are updated each programme year/cycle. These are attached as **Appendix 1** or can be accessed on PIP – *Compliance Checklist for Service Providers 2020-2021*. It may be useful to place a copy of the individual checklist 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 (VO) 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 checklists 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'.*



- **DCYA Rules for Saver Programmes:**  
**CCSP/CCSU/CCSR: 12.3**  
**TEC: 10.2**
- **Saver Programme Funding Agreements:**  
Clause 8: Right of Verification and Audits

All compliance visits will only be undertaken during dates and operational hours when the service calendar submitted to Pobal indicates that the service is open.

### ii. Compliance Check/s:

The VO will request access to a service providers premises to conduct a compliance review.

If a VO is unable to gain access to the service this could result in a non-compliant outcome for that visit<sup>1</sup>. 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 may be announced or unannounced.** In the case of unannounced visits no notification will be made of the Pobal VO 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 VO.

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<sup>1</sup> 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. Evidence of communication in relation to event may be required at a later date to confirm the reason why no-one was on site.

### iii. Possible Non-Compliant Outcomes:

<b>Compliance outcome</b>	<b>Compliance categorisation</b>	<b>Reason for outcome</b>
Admittance Declined	Major Non-Compliant	VO refused admittance to service in order to conduct the visit.
Admittance gained but no records available for inspection	Major Non-Compliant	VO 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. <sup>1</sup>

### iv. Remedial Action

The service must grant the VO 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

A compliance VO 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 VO 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 VO may be required to return the following day.

#### 3.2 Compliance Visits



- Please note all Pobal VOs are Garda vetted and hold official Pobal photographic ID
- A VO 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 VO will request access to attendance records and documentation detailed on the Compliance Checklist for Service Providers.

The VO 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 VO 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 VO 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 VO 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 VO 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 quality control measure 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.

VOs reserve the right to take copies of any records, books or other documents or extracts therefrom, that they find during the course of their inspection. 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. 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. If a service has queries in relation to the compliance outcome the compliance team can be contacted by emailing [cvisit@pobal.ie](mailto: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	<p>Generally relates to issues which may have a potential material negative impact on exchequer funding :</p> <ul style="list-style-type: none"> <li>• Failure to facilitate a visit</li> <li>• Records not available for review*</li> <li>• PIP updating *</li> <li>• Inadequate attendance records*</li> <li>• Service provision issues*</li> <li>• No DCEDIY and/or Tusla registration</li> </ul>
Moderate non-compliant	<ul style="list-style-type: none"> <li>• Moderate instances of * above</li> <li>• Signed PIP declaration issues</li> <li>• Fees/Subvention issues</li> </ul>
Minor non-compliant	<ul style="list-style-type: none"> <li>• Minor instances of * above</li> <li>• Fees List issues</li> </ul>
Compliant	<ul style="list-style-type: none"> <li>• No issues identified (based on sample records checked)</li> </ul>

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.

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](mailto: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 City/County Childcare Committee (CCC) are available to provide on-going support with all DCEDIY 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](mailto: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 DCEDIY 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 DCEDIY 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 be registered with Tusla, have an individual DCYA reference number and children must attend the facility/ location in which they are registered. Proof of Tusla registration must be available on the premises for inspection’.*



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU/CCSR: 1.3, 1.5**  
**TEC: 1.3, 1.5**

*‘Service providers must be registered with Tusla for the places being provided as defined....e.g. services cannot be funded for part-time places when registered with Tusla as a sessional service’.*



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU/CCSR: 1.3**  
**TEC: 1.3**
- **Saver Programme Funding Agreements:**  
Clause 3.2: Terms and Conditions of Funding

Each facility/location operated must obtain a separate DCYA reference number and be subject to the appropriate Tusla inspection and Change of Circumstance requirements.

## ii. Compliance Check/s:

The VO 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 must 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.
- Services with appropriate Tusla registration for an existing facility and the additional facility must 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 appropriate Tusla registration may require updating on PIP.

## iii. Possible Non-Compliant Outcomes:

Compliance outcome	Compliance categorisation	Reason for outcome
Service operating additional facility with no DCYA reference number and 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.

## 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 attendance records may result in an assumption of zero hour’s attendance’.*

*‘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 minimal hours attendance (i.e. sessional/half sessional service).*

*‘The DCYA may withdraw future payments from the provider and/or require repayment of over-claimed monies already paid for the period concerned’.*



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU/CCSR:** 11.1, 11.2, 11.3  
**TEC:** 9.1, 9.2, 9.3
- **Saver Programme Funding Agreements:**  
Clause 7: Access and Reporting Requirements
- **Good Practice Guide – Attendance Records:**  
Included in Rules document and available on the PIP Portal

### ii. Compliance Check/s:

Services in receipt of DCEDIY childcare funding are required to keep appropriate records of attendance for all children and to make these records available for inspection. The VO 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.

Details of the minimum requirements for attendance records are laid out in detail in the **Rules documents and Good Practice Guide 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 from when the child is in the care of the service must be kept i.e. a record of the time of travel to and from school to the service premises while in the care of 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 <sup>2</sup>
Attendance records not adequate	Major non-compliant	<p>Attendance records do not meet requirements as laid out by DCEDIY. Compliance with programme rules cannot be confirmed.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Records do not allow the VO to accurately track attendance of all registered children</li> <li>• Records do not allow the VO to review registrations in a timely manner</li> <li>• 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.</li> <li>• Large number of inconsistencies / gaps in records</li> <li>• Where attendance is recorded in advance</li> </ul>
Attendance records available but some gaps/inadequacies identified	Moderate non-compliant	<p>Attendance records do not meet requirements as laid out by DCEDIY but do allow the VO to track attendance of all registered children.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Number of gaps during the programme cycle of times in/out but pattern of attendance could be established</li> <li>• Attendance records missing for a limited number of days during the cycle but pattern</li> </ul>

<sup>2</sup> 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.

of attendance could be established

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 Requirements

i. Programme Rules, Terms & Conditions:

*‘Where attendance differs from registration in a consistent pattern over a 4 week period, registrations must be updated to reflect the actual number of days the child attends.’*

*‘Updates on PIP registrations must be completed within the next available Saver Management Window. Failure to update registrations to reflect the actual attendance pattern may result in an over-claim due to the Department. Over-claims will be recouped in accordance with the terms of the Saver Programme Funding Agreement.’*



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU/CCSR:** Chapter 10  
**TEC:** Chapter 8
- **Saver Programme Funding Agreements:**  
Clause 7.1: Access and Reporting Requirements

ii. Compliance Check/s:

The VO 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 VO will highlight to the staff member facilitating the visit each incorrect registration identified, if any, with reference to the attendance records. The VO will record on the compliance form that the review has been completed and all of the incorrect registrations identified have been discussed 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 VO 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.	<p>Examples:</p> <ul style="list-style-type: none"> <li>• Child has been absent for more than 4 consecutive weeks and extension has not been approved.</li> <li>• 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.</li> <li>• 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).</li> <li>• Leavers not updated on PIP or incorrect leave date entered.</li> <li>• Registration start date incorrect.</li> </ul>

		<ul style="list-style-type: none"> <li>• Child registered but did not take up a place.</li> <li>• Child does not appear in the attendance record.</li> </ul>
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 DCEDIY 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 in the next Saver Management Window. 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:

*‘A copy of the Fees List, together with copies of any standard letters issued to parents, must be published in an area of the service accessible and visible to parents.’*

*‘An updated copy of Fees Lists must be published in an area of the service accessible to parents, as well as on any online platform maintained by the provider for the purpose of advertising its services’.*

*‘A copy of the service calendar, together with copies of any standard letters issued to parents, must be published in an area of the service accessible and visible to parents as well as on any online platform maintained by the provider for the purpose of advertising its services.’*



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU/CCSR:** 2.5, 2.6, 3.2  
**TEC:** 2.5, 2.6, 3.3
- **Saver Programme Funding Agreements:**  
**CCSP/CCSU/CCSR:** Appendix 1, Clause 14 General Terms and Conditions  
**TEC:** Appendix 1, Clause 18 General Terms and Conditions

## ii. Compliance Check/s:

The VO 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/guardians.

For CCSP/CCSU and TEC where both fees list and calendar for each programme are on display this is deemed sufficient for compliance purposes. CCSR 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	CCSP/CCSU and TEC with current registrations - <ul style="list-style-type: none"><li>• Fees list and/or calendar is not on display at date of visit</li><li>• Fees list and /or calendar has been updated on PIP and documents on display are not the most up to date version.</li></ul>
Service is not displaying the most up to date Calendar	Minor non-compliant	CCSR programme with current registrations - <ul style="list-style-type: none"><li>• Calendar is not on display at date of visit</li><li>• Calendar has been updated on PIP and documents on display are not the most up to date version.</li></ul>

## 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 CCSP, CCSU and TEC.

**i. Programme Rules, Terms & Conditions:**

*‘Service Providers must have a signed letter on file in respect of each parent/guardian of a child on the [funded] Saver Programme, showing the fees that have been approved. These fees must match those shown on the Fees List’.*



- **DCYA Rules for Saver Programmes**  
**CCSP/ CCSU:** 2.4, 2.7  
**TEC:** 2.4, 2.7

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 VO will check that there is a Service Fees Information letter that has been fully signed and initialled for each child registered under CCSP, CCSU and TEC from the start of the current cycle. In the case of large numbers of registrations the VO may ask to view a sample of letters.

If the VO finds that more than 10% 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:**

<b>Compliance outcome</b>	<b>Compliance categorisation</b>	<b>Reason for outcome</b>
Signed parent letters not on file for more than 10% children reviewed	Minor non-compliant	CCSP/CCSU 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 to indicate that they understand the terms of the programme and that all child registration details are accurate'.



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU/CCSR: 7.1**  
**TEC: 6.5.2**

##### ii. Compliance Check/s:

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

If the VO finds that more than 10% 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 Fee Lists and Calendars

### 4.5.1 Fees lists

This applies to CCSP, CCSU and TEC.

##### i. Programme Rules, Terms & Conditions:

*‘Service Providers must complete a Fees List at the beginning of each programme year. A services’ fees list must show details of all the fees charged to parents, as well as details of any additional charges, discounts, voluntary donations etc. applied by the service.’*



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU: 2.1**  
**TEC: 2.1**
- **Saver Programme Funding Agreements:**  
Clause 2.1: Pre-Payment Conditions



- 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 VO will check that the current Registered Fees List on PIP:

- Is completed correctly according to the ‘How to Guides’,
- Reflects actual fees charged in the service, and
- 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	<p>Fees list does not comply with requirements laid out in rules or “How to Guides” and/or are incorrect or inaccurate.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Fees list not completed correctly as per “How to Guide”</li> <li>• Optional extras not included</li> <li>• All Optional extras listed together with one/no cost</li> <li>• Cost/frequency of optional extras not included or incorrect</li> <li>• Discounts not included (discretionary discounts may</li> </ul>

		<p>be excluded in some circumstances)</p> <ul style="list-style-type: none"> <li>• Deposits requested but not included</li> <li>• Deposit stated as non-refundable</li> <li>• All session types offered not included</li> <li>• 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)</li> <li>• Non-pro rata rates not included</li> <li>• All programme fees not included i.e. service has CCSU registrations but CCSU sessions not included on CCSP fees list</li> <li>• Fees charged not in line with fees list e.g. a cohort of children not charged or undercharged.</li> </ul>
Charge for inappropriate optional extras	Moderate non-compliant	See Fees Charged, 4.6.2 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 as well as on any online platform maintained by the provider for the purpose of advertising its services. Where appropriate, parents/guardians should be requested to re-sign updated fees letters.

**4.5.2 Calendars**

**i. Programme Rules, Terms & Conditions:**

*‘Service Providers must complete a Service Calendar at the beginning of each programme year. The services’ calendar must be uploaded on PIP.....’*

*‘A service calendar must be distributed to all parents/guardians showing the days the service is due to be open under the ... Saver Programme year...’*



- **DCYA Rules for Saver Programmes**  
CCSP/CCSU/CCSR: 3.1  
TEC: 3.1
- **Saver Programme Funding Agreements:**  
Clause 2.1: Pre-Payment Conditions

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.

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.

ii. **Compliance Check/s:**

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



- If force majeure has been approved (or applied for) the VO will request evidence of the approval and/or application.
- Force majeure should formally be applied for no later than 3 days after the incident even if the incident is ongoing.



- **DCYA Rules for Saver Programmes**  
CCSP/CCSU/CCSR: Chapter 13  
TEC: 11.1, 11.2, 11.3, 11.4
- **Saver Programme Funding Agreements:**  
Clause 12: 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. If a service is closed for 3 days or more in a single week this is regarded as a non-payment week.

iii. **Possible non-compliant outcomes:**

Compliance outcome	Compliance categorisation	Reason for outcome
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Service provision is not delivering sufficient free days/weeks	Major non-compliant	Service not operating number of payable weeks detailed on submitted calendar.  Force majeure not approved/applied for.
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iv. Remedial Action required:

Service providers must update the service calendar to reflect correct open days.

Where force majeure is not approved for service closures additional days may need to be added to the calendar and new calendar displayed and issued to parent/guardians.

## 4.6 Fees

### 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 the Funding Agreement.’*

*‘Records of income, to include receipts from parents, to be kept up to date and available for verification purposes.’*



- **DCYA Rules for Saver Programmes**  
**CCSP/CCSU:** 12.3, 17.1  
**TEC:** 10.2, 13.1

Services in receipt of DCEDIY 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 VO will review the fee records to establish that they are appropriate and the correct fee is being applied.

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
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:

*‘The fees lists will demonstrate that the appropriate reductions in childcare fees for qualifying parents will be applied’.*

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



- **DCYA Rules for Saver Programmes**  
**CCSP: Chapter 6** (Table 1)  
**CCSU: 16.4**  
**TEC: Chapter 6** (Table 1)

ii. Compliance Check/s:

The VO 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: <ul style="list-style-type: none"> <li>• Fees charged at incorrect band</li> <li>• Fees charged greater than €5 above the correct band for an individual child</li> <li>• Fees charged in excess of listed fees</li> <li>• Nominal fee charge where subvention covers cost of place</li> <li>• Fees increased by service but Fees list not updated</li> </ul>
Charge for inappropriate optional extras	Moderate non-compliant	Examples: <ul style="list-style-type: none"> <li>• Fees are charged for extras not permitted in the DCEDIY guidance on optional extras</li> <li>• Fees charged for extras listed as optional but all parents requested to pay regardless of uptake</li> </ul>

**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 TEC - Additional Rules

#### 5.1.1 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 Rules for Saver Programmes**  
**TEC: 6.3**

The sign-in sheet used should be the template available on the PIP portal.

ii. Compliance Check/s:

The VO 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 VO 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 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 <ul style="list-style-type: none"><li>• Some or all sign-in sheets not available on-site.</li><li>• Some or all sign-in sheets not kept up to date.</li><li>• No signed letter of permission on-site for an additional adult to sign on behalf of a parent/guardian.</li></ul>

		<ul style="list-style-type: none"> <li>Some or all sign in sheets are pre-signed.</li> </ul>
--	--	--

iv. Remedial Action required:

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

**5.1.2 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 Rules for Saver Programmes**  
TEC: Chapter 6 (Table 1)

The fees list details the maximum fee that a service can charge.

ii. Compliance Check/s:

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

If the VO 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.

### 5.1.3 Ongoing Eligibility

#### i. Programme Rules, Terms & Conditions:

*'The childcare provider must contact their local CCC where a parent/guardian hasn't signed in if there are exceptional circumstances, for authorisation to keep the TEC Saver place open.'*



#### › DCYA Rules for Saver Programmes TEC: 6.3

#### 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:

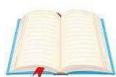
Provider should contact their local CCC for authorisation to keep the childcare place open. If authorisation is not granted the registration/s should be end dated.

## 5.2 CCSR – Additional Rules

### 5.2.1 Fees

#### i. Programme Rules, Terms & Conditions:

*'Parents/guardians cannot be asked to make any financial contribution towards their child's childcare cost. This includes booking deposits and optional extras'.*



#### ▸ DCYA Rules for Saver Programmes CCSR: 15.4

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 VO 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 VO evidences a payment from parent during the compliance visit.

#### iv. Remedial Action required:

Any inappropriate contribution must be reimbursed to the parent.

## Appendix 1 – Compliance Checklist for Service Providers

### Community Childcare Subvention Plus (CCSP) Saver Programme including Universal Subsidy (CCSU) Saver Programme Compliance Visits 2020/2021

#### COMPLIANCE CHECKLIST FOR ELC and SAC 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 DCEDIY website. The Compliance Categorisations are attached to this checklist as an Appendix. For further information please refer to the relevant Compliance Guide for Service Providers available on PIP.

**All Pobal compliance visits in the 2020/2021 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.**

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 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"/>
Tusla Registration		
2	Is the most up to date Tusla Registration Certificate available for review?	Yes <input type="checkbox"/>
Attendance Records		
3	Are there adequate attendance records on site for each session and/or room?	Yes <input type="checkbox"/>
4	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 PIP 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"/>
PIP Registrations		
5	Are all CCSP Saver Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, session type/correct level of service registered?	Yes <input type="checkbox"/>
6	Have CCSP Saver Registrations been updated on PIP during the relevant Saver Management Windows to reflect any changes since initial registration i.e. absences, changes to session type/level of service?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

7	Has PIP been updated with leavers and/or cancellations in line with the programme rules?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
8	Where there has been 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"/>
9	Are Parental Declaration forms for all registrations (including amendments during the year) printed, signed by parents/guardians and on file?	Yes <input type="checkbox"/>	
10	In the interest of GDPR, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>	
<b>Fee Records</b>			
11	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the PIP 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"/>
<b>PIP Fees List and Parent Fee Letters</b>			
12	Is the most up to date PIP 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 any online platform maintained by the provider for the purpose of advertising its services.  <b>Note:</b> Please remember to ensure your PIP 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"/>	
13	Does the PIP Fees List comply with programme requirements and accurately reflect actual fees charged for the types of provision that the Service operates?	Yes <input type="checkbox"/>	
14	Are PIP generated Service Fees Information Letters (i.e. Parent Fees Letters) for all registrations printed, each page initialled/signed by parents and on file?	Yes <input type="checkbox"/>	

**Community Childcare Subvention Resettlement (CCSR) Saver Programme**  
**Compliance Visits 2020/2021**  
**COMPLIANCE CHECKLIST FOR ELC and SAC 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 DCEDIY website. The Compliance Categorisations are attached to this checklist as an Appendix. For further information please refer to the relevant Compliance Guide for Service Providers available on PIP.

**All Pobal compliance visits in the 2020/2021 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.**

Please tick ✓

<b>Compliance Folder/File</b>		
1	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>		
2	Is the most up to date Tusla Registration Certificate available for review?	Yes <input type="checkbox"/>
<b>Attendance Records</b>		
3	Are there adequate attendance records on site for each session and/or room?	Yes <input type="checkbox"/>
4	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 PIP 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"/>
<b>PIP Registrations</b>		
5	Are all CCSR Saver Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct session type/level of service registered?	Yes <input type="checkbox"/>
6	Have CCSR Saver Registrations been updated on PIP during the relevant Saver Management Windows to reflect any changes since initial registration i.e. absences, changes to session type/level of service?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
7	Has PIP been updated with leavers and/or cancellations in line with the programme rules?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
8	Where there has been 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"/>

PIP Parental Declaration Forms		
9	<p>Are Parental Declaration forms for <b>all registrations</b> (including leavers where applicable), signed by parents and on file?</p> <p><b>Note:</b> 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.</p> <p><b>N.B. The Parent must sign the offline CCSR Parental Declaration Form and be given a copy.</b></p>	Yes <input type="checkbox"/>
10	<p>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 &amp; Equality "Resettlement" Letter of Eligibility containing PPS Numbers to Parents?</p>	Yes <input type="checkbox"/>
Fee Records		
11	<p>Do fee records reflect that NIL fees are charged for CCSR?</p>	Yes <input type="checkbox"/>
PIP Calendar		
12	<p>Is the most up to date PIP Service Calendar displayed in the service in a location easily accessible to all parents?</p> <p><b>Note:</b> Please remember to ensure your Service's PIP generated CCSP 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.</p>	Yes <input type="checkbox"/>

## Training Employment Childcare (TEC) Saver Programme

### Compliance Visits 2020/2021

#### COMPLIANCE CHECKLIST FOR ELC and SAC 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 DCEDIY website. The Compliance Categorisations are attached to this checklist as an Appendix. For further information please refer to the relevant Compliance Guide for Service Providers available on PIP.

**All Pobal compliance visits in the 2020/2021 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.**

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?	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 PIP 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"/>
<b>PIP Registrations</b>		
<b>5</b>	Are all TEC Saver Registrations on PIP accurate and reflective of actual levels of attendance i.e. correct start/end dates, correct session type/level of service registered?	Yes <input type="checkbox"/>
<b>6</b>	Have TEC Saver Registrations been updated on PIP during the relevant Saver Management Windows to reflect any changes since initial registration i.e. absences, changes to session type/level of service?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

7	Has PIP been updated with leavers and/or cancellations in line with the programme rules?	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
8	Where there has been 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"/>
<b>PIP Declarations</b>			
9	Are Parental Declaration Forms for all registrations (including amendments during the year and any top-ups) printed, signed by parents/guardians and on file?	Yes <input type="checkbox"/>	
10	In the interest of GDPR, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>	
<b>Fee Records</b>			
11	Are adequate fee records accessible for the Visit Officer to verify fees charged in line with the PIP 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"/>
<b>TEC Saver Sign in Sheets</b>			
12	Are TEC Saver Parent Sign-in sheets complete, up-to-date and available for review for children/ families availing of any TEC programme?	Yes <input type="checkbox"/>	
13	If a designated adult signs on behalf of a parent, is there a letter of permission signed by the eligible parent and the designated adult on file?	Yes <input type="checkbox"/>	
<b>PIP Fees List and Parent Fee Letters</b>			
14	Is the most up to date PIP 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 PIP 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"/>	
15	Does the PIP 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"/>	
16	Are PIP generated Service Fees Information Letters (i.e. Parent Fees Letters) for all registrations printed, each page initialled/signed by parents/guardian and on file?	Yes <input type="checkbox"/>	

## Appendix 2 – Compliance Categorisations

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

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

	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