Early Childhood Care and Education (ECCE)
Compliance Visits 2022/2023
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. For further information please refer to the ECCE Compliance Guide for Service Providers available on the Hive.

All Pobal compliance visits in the 2022/2023 programme cycle will be undertaken in adherence with any relevant public health guidelines.

Please tick ☐

The following points are a guide as to the types of information that Visit Officers seek to review on a Compliance Visit.		
Compliance File		
1	To minimise disruption to the service's operation, Pobal recommend that services collate information for review on these visits in a <u>Compliance File which is readily available, on-site, at all times.</u> This 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 ☐
Tusla Registration		
2	Is the most up to date Tusla Registration Certificate available for review?	Yes ☐
Attendance Records		
3	Are there adequate attendance records on-site for each session? Attendance records must be maintained and readily accessible from the start of the programme year. These are to be maintained by staff in each session, recording the children's times in and out as they arrive and depart as well as any non-attendance (e.g. absences).	Yes ☐
4	Are the attendance records (i.e. Roll Books, Attendance Sheets) maintained and structured adequately to allow for easy and efficient monitoring of child attendance patterns in each session to assist identifying the Hive updating requirements? The same requirement applies **if** attendance records are maintained in electronic format/software package. The package should have the functionality to generate attendance reports by child or session. Please see *Good Practice Guide – Attendance Records* in the programme rules documentation.	Yes ☐

	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	☐
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	☐
7	Did all ECCE children registered on the Hive take up their place in the service?	Yes	☐
8	Are all ECCE children registered on the Hive attending the facility they are registered on the Hive to attend?	Yes	☐
9	Has approval for special circumstances been sought in relation to extended absences and/or under-attendances, in line with the Programme rules, where relevant?	Yes ☐	N/A ☐
Staff Qualifications			
10	Are the relevant staff qualifications* / signed Grandfathering Declarations / DCEDIY Letters of Eligibility to Practice on file for **all staff** 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. **Note:** 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. *Where a Qualification is not on the DCEDIY Early Years Recognised Qualifications list, the individual must apply to the DCEDIY for assessment. See www.gov.ie/dcediy for more information.	Yes	☐
11	Do all ECCE Room Lead Educator/s hold at least a minimum QQI level 6 qualification? Do all ECCE Room Educator/s hold a minimum QQI level 5 qualification?	Yes ☐ Yes ☐	
12	Is there sufficient number of staff, excluding AIM staff, in the ECCE session with the number of children enrolled to attend?	Yes	☐
AIM Level 1 Inclusion Coordinator			
13	Have any changes of circumstances in the employment of the Inclusion Coordinator or extended absence of four or more consecutive preschool weeks been notified to the Pobal AIM team via the Hive?	Yes ☐	N/A ☐
14	Where a replacement Coordinator is engaged with the service, has the AIM Level 1 Application on the Hive been amended?	Yes ☐	N/A ☐

	Hive Parental Declaration Forms		
15	Are Parental Declaration forms for all registrations (including amendments during the year) printed, signed by parents/guardians and on file?	Yes ☐	
16	In the interest of GDPR, has the service disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes ☐	
Fee Records			
17	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 ☐	N/A ☐
Minimum Enrolment			
18	Has a Minimum Enrolment Exemption been applied for, through the relevant CCC, for **each ECCE session and/or room** which does not meet the requirement of 8 ECCE-eligible children enrolled on a daily basis? A copy of the approved exemption notification must be available for review during a compliance visit (electronically or paper based).	Yes ☐	N/A ☐
Hive Fees List, Service Fees Information Letters and Service Calendars			
19	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 ☐	
20	Are Hive generated Service Fees Information Letters i.e. Parent Fees Letters for all registrations printed, each page initialed/signed by parents/guardians and on file?	Yes ☐	
21	Is the most up to date Hive Fees List, and Service Calendar displayed in the service in a location easily accessible to all parents **and** published on any online platform(s) maintained by the provider for the purpose of advertising its services?	Yes ☐	
22	Does the Service Calendar on the Hive reflect all closure days including unplanned closure days? **Note:** Please remember to ensure your Hive generated service calendar is in line with any future closure dates that occur throughout the year. In the event of closures for force majeure, please ensure completed force majeure applications are submitted on the Hive no later than 5 days.	Yes ☐	
23	**Tusla/HSE directed closures:** If applicable, is evidence on-site of any Tusla/HSE directions to close as a result of a public health concern?	Yes ☐	N/A ☐