

**Early Childhood Care and Education (ECCE)
Compliance Inspections 2023/2024
COMPLIANCE CHECKLIST FOR ELC APPROVED PROVIDERS***

*** NOTE TO PROVIDERS:** It is the responsibility of the approved provider to ensure compliance with their contractual requirements. This checklist is intended for information purposes only and is not exhaustive. It is essential that approved 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 approved providers available on the Hive.

Please tick

The following points are a guide as to the types of information that Visit Officers seek to review during a Compliance Inspection.

Compliance File		
1	To minimise disruption to service operation, Pobal recommend that providers collate information for review on these inspections in a <u>Compliance Folder/File which is readily available and 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 attendance records on-site for each session? Attendance records must be maintained and readily accessible from the start of the programme year.	Yes <input type="checkbox"/>
4	Are the attendance records maintained and structured adequately? 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). This will 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 and for each session. Please see <i>Good Practice Guide – Attendance Records</i> in the programme rules documentation.	Yes <input type="checkbox"/>

Hive Registrations		
5	Are all ECCE registered children recorded in the attendance records?	Yes <input type="checkbox"/>
6	Did all ECCE children registered on the Hive take up their place?	Yes <input type="checkbox"/>
7	Are all ECCE Registrations on the Hive accurate and reflective of actual levels of attendance as per the attendance records i.e. correct start/end dates, correct number of days per week?	Yes <input type="checkbox"/>
8	Have ECCE Registrations been updated on the Hive to reflect any changes since initial registration i.e. absences, leavers, number of days per week?	Yes <input type="checkbox"/>
9	If you are operating more than one facility, are all ECCE registered children attending the correct facility?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
10	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 <input type="checkbox"/> N/A <input type="checkbox"/>
Parent Statements		
11	Is there a signed Parent Statement on file for the families of all registered children? Note: Parent Statements should be signed by both the approved provider and the parent/guardian.	Yes <input type="checkbox"/>
Hive Applicant Declaration Forms		
12	Are Applicant Declaration forms for all registrations (including amendments during the year) printed, completed and signed by both the approved provider and the parent/guardian and on file?	Yes <input type="checkbox"/>
13	In the interest of GDPR, has the provider disposed of, in an appropriate manner, all documentation that contains PPS Numbers?	Yes <input type="checkbox"/>
Hive Fee Table & Service Calendar		
14	Does the Hive Fee Table comply with programme requirements and accurately reflect actual fees charged for the types of provision that the service operates?	Yes <input type="checkbox"/>
15	Is the most up to date Hive Fee Table, 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 <input type="checkbox"/>
16	Does the Service Calendar on the Hive reflect all closure days including unplanned closure days, where force majeure is not approved? Note: Please 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 within 5 days.	Yes <input type="checkbox"/>

Hive Fee Table & Service Calendar cont.

17	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 <input type="checkbox"/>
Fee Records		
18	Are adequate fee records accessible for each child for the period under review, which will enable confirmation of the fees, including any optional extras, charged to parents/guardians? Fee Records maintained should clearly demonstrate the fees received from parents/guardians each week/month. 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"/>
Staff Qualifications		
19	Are the relevant staff qualifications* / 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 https://www.gov.ie/en/service/000073 for more information.	Yes <input type="checkbox"/>
20	Do all ECCE Room Lead Educators hold at least a minimum QQI level 6 qualification?	Yes <input type="checkbox"/>
21	Do all ECCE Room Educators hold a minimum QQI level 5 qualification?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
22	Is there sufficient number of staff, excluding AIM staff, in the ECCE session with the number of children enrolled to attend?	Yes <input type="checkbox"/>
Minimum Enrolment		
23	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 inspection (electronically or paper based).	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
AIM Level 1 Inclusion Coordinator		
24	Have any changes of circumstances in the employment of the approved Inclusion Coordinator 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"/>
25	Where a replacement Inclusion Coordinator is engaged with the service, has the AIM Level 1 Application on the Hive been amended?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>

