| Early Childhood Care and Education (ECCE) |
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| **Compliance Inspections 2024/2025** |
| **Compliance Checklist For ELC Providers** |

**NOTE TO PROVIDERS:** It is the responsibility of the 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.

To minimise disruption to the provider's operation, Pobal recommend that providers collate information for review on these inspections in a Compliance File which is readily available and on-site at all times. This File should not contain any information which is not relevant to the Compliance checks as outlined below. Attendance Records and Fee Records should be easily accessible.

**The following is a guide as to the types of information that Visit Officers will seek to review during a Compliance Inspection.**

Please tick ☐

| | Compliance File | |
|:---:|:---|:---:|
| **1** | Is the Compliance File readily available and is information up to date? | Yes☐ |

**It is recommended that the following be kept in the Compliance File:**

| | Tusla Registration | |
|:---:|:---|:---:|
| **2** | Is the most up to date Tusla Registration Certificate available for review? | Yes☐ |
| | Is the provider operating in line with their current Tusla registration levels? | Yes☐ |

| | Parent Statements | |
|:---:|:---|:---:|
| **3** | Is there a signed and dated parent statement on file per family of all currently registered children? **Note**: Parent statements should be signed by **both** the approved provider and the parent/guardian. | Yes☐ |

| | ECCE Applicant Declaration Forms | |
|:---:|:---|:---:|
| **4** | Are ECCE Applicant Declaration forms for all registrations (including amendments during the year) printed, completed and signed by **both** | Yes☐ |

| | the approved provider and the parent/guardian and on file? | |
|---|---|---|

| | **ECCE Staff Qualifications** | |
|---|---|---|
| 5 | 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. <br><br>**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. <br>*Where a Qualification is not on the DCEDIY Early Years Recognised Qualifications list, the individual must apply to the DCEDIY for assessment. <br>See  https://www.gov.ie/en/service/000073 for more information. | Yes ☐ |
| 6 | Do all ECCE Room Lead Educators hold at least a minimum QQI level 6 qualification? | Yes ☐ |
| 7 | Do all ECCE Room Early Years Educators hold a minimum QQI level 5 qualification? | Yes ☐ |
| 8 | Is there sufficient staff, **excluding AIM staff**, in each ECCE session for the number of children enrolled to attend? | Yes ☐ |

**The following must also be kept on-site and available for review by a Visit Officer:**

| | **Fee Records** | |
|---|---|---|
| 9 | Are adequate fee records on-site for each child for the period under review, which will enable confirmation of the fees, including any optional extras, charged to parents/guardians? <br>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 ☐ |

| Attendance Records | | |
|---|---|---|
| **10** | Are there adequate attendance records on-site for each session and/or room?<br><br>**Note:** Attendance records must be maintained and readily accessible from the start of the programme year.<br><br>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.<br><br>The same applies if attendance records are maintained in an <u>electronic format/software package</u>. The package should have the functionality to generate weekly or monthly attendance reports either by programme, child, or session.<br><br>Please see *Good Practice Guide – Attendance Records* in the programme rules documentation. | Yes ☐ |

**The following should be up to date and maintained accurately:**

| Hive registrations | | |
|---|---|---|
| **11** | Are all ECCE registered children recorded in the attendance records? | Yes ☐ |
| **12** | Did all ECCE children registered on the Hive take up their place? | Yes ☐ |
| **13** | If you are operating more than one facility, are all ECCE registered children attending the correct facility? | Yes ☐ |
| **14** | 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 ☐ |
| **15** | 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 ☐ |
| **16** | Has approval for special circumstances been sought in relation to extended absences and/or under-attendances, in line with programme rules?<br>Note: Exemption application forms are available in the ECCE Documents section of the Hive. | Yes ☐  N/A ☐ |

| | **Hive Fee Table** | |
|---|---|---|
| **17** | 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 ☐ |
| **18** | Are all the sessions offered by the service listed on the Hive Fee Table, including a 3hr ECCE only session? | Yes ☐ |
| **19** | Is the most up to date Hive Fee Table, displayed in the facility 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 ☐ |
| | **Service Calendar/Closures** | |
| **20** | Is the most up to date Hive Service Calendar displayed in the facility 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 ☐ |
| **21** | Does the Service Calendar on the Hive reflect all closure days? | Yes ☐ |
| **22** | **Force majeure closures** – applications must be submitted to Pobal within 5 days of the onset of event. <br> **Note:** Force Majeure Application Form is available in the ECCE Documents section of the Hive. | |
| | **AIM Level 1 Inclusion Coordinator** | |
| **23** | 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 ☐   N/A ☐ |
| | **Minimum Enrolment** | |
| **24** | 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? <br><br> A copy of the approved exemption notification must be available for review during a compliance inspection (electronically or paper based). | Yes ☐   N/A ☐ |