



Provider Compliance & Audit Tool

Delivery of Funded Early Years Entitlements

This tool is optional for you to help you check if you are compliant with the delivery of entitlements. This tool is used by Royal Greenwich when monitoring compliance. Royal Greenwich will endeavour to be reasonable and pragmatic where providers are actively and positively moving towards compliance.

	Compliance Focus	Only tick box if in place for most children
Data Protection	Have parental declaration forms been fully completed, with consent provided and safely stored or (signed page) uploaded to the Provider Portal?	<input type="checkbox"/> Yes <input type="checkbox"/> No
SLA	Have you signed and returned the relevant period Service Level Agreement?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.	Attendance & Child Records	
1.1	Are attendance records kept and are they up to date?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.2	Does the Early Years census return submitted match the attendance register? (Most recent headcount)	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.3	Do the children's records match those submitted to the Provider Portal?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.4	Are copies of parental declaration forms safely stored for 12 months after children have left the setting?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Eligibility of Children	
2.1	Do you request and record proof of dates of birth for children eligible for funding eg birth certificate? Do you request and record proof of address eg utility bills, benefits letters, bank letter, Council Tax?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
2.2	Are parent details including National Insurance/ NASS numbers and dates of birth recorded on the Parental Declaration Form and the Provider Portal?	<input type="checkbox"/> Yes <input type="checkbox"/> No

3.2	<p>Is there a setting policy where parents who are not able to or are unwilling to pay for optional and voluntary charges? Additional charges must not be a condition attached to the offer of a funded place.</p> <ul style="list-style-type: none"> • Do you exercise discretion to waive or reduce optional charges? • Are the support arrangements for low-income and disadvantaged parents clear? • Are reasonable alternatives clearly communicated? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.3	<p>Does the parent contract clearly and simply explain terms and conditions for funded entitlements?</p> <ul style="list-style-type: none"> • Does the contract match the practice, charging and fee structure? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.4	<p>Is there a charging policy and fee structure which is clear and transparent?</p> <ul style="list-style-type: none"> • Are parents able to calculate cost of childcare by hour or session? • Are you clear about how many hours are in one session? • Are charges for any additional and optional hours, items, consumables and activities clearly published? • Are reasonable alternatives offered and set out? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.5	<p>Is there a deposit in place for funded entitlements?</p> <ul style="list-style-type: none"> • Is this fully refundable and when is it refunded to parent? (no later than headcount payment) • Are there a registration or administrative fees charged (or by any other description)? This is not permitted. 	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.6	<p>What is the hourly or daily rate for chargeable/non funded/private fee hours and is it clear for parents?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.7	<p>How and when are funded entitlement sessions are offered?</p> <ul style="list-style-type: none"> • No more than 10 hours per day eg 6 hours x 5 days for 30 hours or 3 hours x 5 days • Is the model fair, equal, accessible, and supportive of the child's needs and working patterns? • Is there a cap on number of funded places either by age or type? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.8	<p>What are opening and closing times for the setting and are they clearly advertised?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.9	<p>Is your setting All Year Round or Term Time only?</p>	<input type="checkbox"/> AYR <input type="checkbox"/> TTO
3.10	<p>Is the entitlement stretched and are the hours on a pro-rata basis, if stretched?</p> <ul style="list-style-type: none"> • How many hours over how many weeks? 	<input type="checkbox"/> Yes <input type="checkbox"/> No

	<ul style="list-style-type: none"> When are closure periods or INSET days? 	
3.11	<p>Is there a clear understanding that “funding follows the child”?</p> <ul style="list-style-type: none"> Are notice periods applied to the funded entitlements? How does the provide resolve disputes in relation to notice periods? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	General	
4.1	Date of last Ofsted visit and rating?	
4.2	Do your bank account details and business operating name match those held by Royal Greenwich?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.3	<p>If provider employs staff, are there in place staff contracts?</p> <ul style="list-style-type: none"> Are your staff and/or childminding assistants paid above the National Minimum Wage and/or at London Living Wage? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.4	<p>Are safer recruitment practices followed?</p> <ul style="list-style-type: none"> Are there references in place? Have suitability checks been carried out? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.5	Is setting advertised on Family Services Directory (FSD) with up-to-date information?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.6	Does provider have their own up-to-date website?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.7	<p>Are entrance and external display boards up to date?</p> <ul style="list-style-type: none"> Is the complaints policy displayed or easily accessible to parents? Is the Ofsted parent poster displayed? Is the Royal Greenwich Useful Safeguarding Contact Telephone Numbers and Referral Pathways displayed for staff or easily accessible for all? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p><i>For advice and support, contact</i></p> <p>Providers: Childcare Support Childcare-support@royalgreenwich.gov.uk 020 8921 3877</p> <p>Parents: Families Information Service fis@royalgreenwich.gov.uk 020 8921 6921</p>		