

## 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?	Yes No
SLA	Have you signed and returned the relevant period Service Level Agreement?	Yes No
Ι.	Attendance & Child Records	
1.1	Are attendance records kept and are they up to date?	Yes No
1.2	Does the Early Years census return submitted match the attendance register? (Most recent headcount)	Yes No
1.3	Do the children's records match those submitted to the Provider Portal?	Yes No
1.4	Are copies of parental declaration forms safely stored for 12 months after children have left the setting?	Yes 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?	□ Yes □ No
	Do you request and record proof of address eg utility bills, benefits letters, bank letter, Council Tax?	Yes 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?	Yes No



2.3	Are placement forms or eligibility codes stored safely for eligible disadvantaged 2-year-olds (Together for Twos)??	Yes No
2.4	Are all eligibility codes for Working Parent/Families entitlements validated and reconfirmed on time? Do you keep parents informed of application, reconfirmation due dates and grace period expiry?	Yes No
2.5	Are all children routinely checked for Early Years Pupil Premium eligibility?	Yes No
2.6	Do you keep a record of EYPP funding allocation and spend?	Yes No
2.7	Are you registered for Tax Free Childcare?	Yes No
2.8	Are children who are eligible for Disability Access Fund and/or I:I SEN funding in receipt of the additional support?	Yes No
2.9	Have you seen and uploaded any proof of special criteria for entitlement to Together for Twos or EYPP eg Adoption, Special Guardianship or Child arrangements order or EHCP/ DLA letter?	Yes No
3.	Funded Entitlement Delivery	
3.1	Are invoices and receipts clear, transparent, and itemised with funded hours clearly shown?	Yes No
	<ul> <li>Funded and non-funded (ie chargeable) hours shown clearly and separately by day, week or month eg No of funded hours x £0.00 (must always be £0)</li> </ul>	
	No of chargeable hours x £6.80 (your own rate here)	
	<ul> <li>Additional food items, activities and consumables are clearly and separately itemised eg 5 lunches x £2.00 or 1 dance class x £2.50 (your costed rate here)</li> </ul>	
	• Your full details, Ofsted URN number and head office with contact details (including company or charity registration numbers)	
	<ul> <li>Invoices dated and invoicing period clear</li> </ul>	
	<ul> <li>Date and amount of payment by parent recorded in receipts</li> </ul>	



3.2	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.	Yes No
	<ul> <li>Do you exercise discretion to waive or reduce optional charges?</li> <li>Are the support arrangements for low-income and diadvantaged parameters show?</li> </ul>	
	<ul><li>disadvantaged parents clear?</li><li>Are reasonable alternatives clearly communicated?</li></ul>	
3.3	Does the parent contract clearly and simply explain terms and conditions for funded entitlements?	Yes No
	• Does the contract match the practice, charging and fee structure?	
3.4	Is there a charging policy and fee structure which is clear and transparent?	Yes No
	• Are parents able to calculate cost of childcare by hour or session?	
	<ul> <li>Are you clear about how many hours are in one session?</li> <li>Are charges for any additional and optional hours, items, consumables and activities clearly published?</li> <li>Are reasonable alternatives offered and set out?</li> </ul>	
3.5	Is there a deposit in place for funded entitlements?	Yes No
	<ul> <li>Is this fully refundable and when is it refunded to parent? (no later than headcount payment)</li> <li>Are there a registration or administrative fees charged (or by any other description)? This is not permitted.</li> </ul>	
3.6	What is the hourly or daily rate for chargeable/non funded/private fee hours and is it clear for parents?	Yes No
3.7	How and when are funded entitlement sessions are offered?	Yes No
	<ul> <li>No more than 10 hours per day eg 6 hours x 5 days for 30 hours or 3 hours x 5 days</li> <li>Is the model fair, equal, accessible, and supportive of the child's needs and working patterns?</li> <li>Is there a cap on number of funded places either by age or type?</li> </ul>	
3.8	What are opening and closing times for the setting and are they clearly advertised?	Yes No
3.9	Is your setting All Year Round or Term Time only?	AYR TTO
3.10	Is the entitlement stretched and are the hours on a pro-rata basis, if stretched?	Yes No
	How many hours over how many weeks?	



	• When are closure periods or INSET days?	
3.11	<ul> <li>Is there a clear understanding that "funding follows the child"?</li> <li>Are notice periods applied to the funded entitlements?</li> <li>How does the provide resolve disputes in relation to notice periods?</li> </ul>	Yes 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?	Yes No
4.3	If provider employs staff, are there in place staff contracts?	Yes No
	<ul> <li>Are your staff and/or childminding assistants paid above the National Minimum Wage and/or at London Living Wage?</li> </ul>	
4.4	Are safer recruitment practices followed?	Yes No
	<ul><li>Are there references in place?</li><li>Have suitability checks been carried out?</li></ul>	
4.5	Is setting advertised on Family Services Directory (FSD) with up- to-date information?	□ Yes □ No
4.6	Does provider have their own up-to-date website?	Yes No
	Are entrance and external display boards up to date?	□ Yes □ No
4.7	<ul> <li>Is the complaints policy displayed or easily accessible to parents?</li> <li>Is the Ofsted parent poster displayed?</li> <li>Is the Royal Greenwich Useful Safeguarding Contact Telephone Numbers and Referral Pathways displayed for staff or easily accessible for all?</li> </ul>	
For advice and support, contact		
Providers: Childcare Support <u>Childcare-support@royalgreenwich.gov.uk</u> 020 8921 3877		
Parents: Families Information Service <u>fis@royalgreenwich.gov.uk</u> 020 8921 6921		

