**EARLY YEARS FUNDING COMPLIANCE PROVIDER GUIDANCE**

Bradford Council has a duty to ensure that public money is appropriately utilised for the purposes it is given. To ensure providers are meeting the requirements of receiving early years funding Bradford Council will carry out funding compliance visits.

The intention of a compliance visit is to assure Bradford Council that a provider is fully compliant with the terms and conditions of the funding as set out in the Early Years Funding Provider Agreement.

Providers will be advised of the date and time of a Funding Compliance Visit [FCV] in writing sent by email to the current Bradford Schools Online account email address.

The FCV will be carried out by 2 Early Years Service officers and should take up to 2hrs depending on the number of children and the ease of reviewing the required documentation; this will include time for initial feedback. If the visit time needs to be extended, the officers will discuss this with the provider. If a provider uses an electronic system for children records and registers then the provider is responsible for ensuring that all the required evidence is accessible and a person is available to navigate the system alongside the officer.

The owner/director/nominated member of the management/childminder must be present during the FCV. If they are unable to attend then they must inform the early years service officers due to carry out the FCV who they wish to nominate to be present e.g. the setting manager.

Following the FCV a report detailing the outcome will be sent to the provider. There are 3 possible outcomes.

1. Full compliance – no actions
2. Part compliance – minor breach/es identified with actions for the provider to fulfil within a given timescale.
3. Non compliance – major breach/es identified with actions for the provider to fulfil within a given timescale. The report will include the action Bradford Council intends to take such as
	1. a hold on future payments
	2. reclaiming funding for incorrect claims
	3. arrangement for a second funding compliance visit
	4. referral to the council fraud department

Providers should be compliant at all times with all requirements of receiving early years funding. To support providers to check they have everything in place the EARLY YEARS FUNDING COMPLIANCE CHECKLIST is available.The checklist details the documentation that will be sought by Bradford Council as part of a routine Funding Compliance Visit.

**EARLY YEARS FUNDING COMPLIANCE CHECKLIST**

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| **DOCUMENTATION** |  |
| **Early Years Funded Hours Parent Agreement**There must be a signed agreement in place for every child funding has been claimed for* the name on the form must match the name on the census claim, and the name checked on the official ( official ID should be checked but copies should not be retained)

The form must be retained for 3 years commencing the start date of the funded hours |  |
| **Evidence of eligibility for funded 2 year olds** –one of the followingIncome based eligibility* print out or screenshot of a positive eligibility check carried out through the Bradford online 2 year old eligibility checker

If a positive check could not be acquired* a copy of parents correspondence from HMRC or DWP for non working and low income criteria
* a copy of the NAS card for those supported under part VI of the Immigration and Asylum Act 1999

Other eligibilityCopy of * child’s adoption certificate
* email from social worker for looked after children
* special guardianship order
* child’s statement of special educational needs (SEN) or an education, health and care plan
* child’s Disability Living Allowance award letter

The evidence must be retained for 3 years commencing the start date of the funded hours  |  |
| **Daily attendance registers** * Daily registers must be available for the period the funding compliance visit will cover, this will be stated in the appointment letter
* registers must include children’s full names as stated on the census claim and the signed parent agreement
* registers must have recorded the arrival and departure times to record the hours of attendance
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| **Monitoring attendance*** Evidence that the monitoring attendance procedure set out in Monitoring attendance guidance for early years funded places for 2’s, 3’s and 4 year olds has been followed for children absent from their funded entitlement hours. Guidance is on Bradford Schools Online
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| **Evidence of the organisations business structure*** Self employed – HMRC document
* Limited Company Memorandum and articles of association
* Partnership or Sole Trader – HMRC document
* Community Interest Company - Memorandum and articles of association
* Voluntary Management Organisation – Governance documents and HMRC document
* Registered Charity – evidence registered with charities commission
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| **Admission and charging policy**Compliance with the requirement that providers* publish their admissions criteria and ensure that parents understand which hours / sessions can be taken as free provision
* are completely transparent about any additional charges
* ensure their invoices and receipts are clear, transparent and itemised allowing parents to see that they have received their child’s free entitlement completely free of charge and understand fees paid for additional hours or services

 invoices and receipts should include the provider’s full details |  |
| **Business Rates – for group based settings*** Business rate account is in place and payments are up to date – this check would be carried out by Bradford Council before the visit and any issues raised with the provider at the visit
* If business rates are not applicable evidence
* - that the lease/rent agreement includes business rate
* - or the evidence the organisation is exempt
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| **Council Tax – for Childminders*** Council tax payments are up to date, this check would be carried out before the visit and any issues raised with the provider at the visit
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| **Bank Account**Evidence the Early Years Funding is being paid into a business bank account that is in the name of the organisation which is also the Ofsted registered organisation.* Officers will have the account details at the visit and the provider will be requested to show evidence such as a copy of bank account statement showing account name and address
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*Early Years Service April 2018*