

COMPLIANCE AUDIT POLICY

The Birth to Five Service is accountable for the commissioning of the Early Years Entitlement, as part of this there is a duty to ensure that funding provided by the local authority is spent appropriately and that childcare providers operate within the legal framework. Our Compliance Audit Policy operates within the Code of Practice for 3 and 4 year olds and the Local Authority Guidelines.

- The Birth to Five Service will conduct Compliance Audits with EYE providers on an annual basis and as required, to ensure appropriate delivery.
- We will notify providers in advance of a compliance audit and look where possible to hold these at mutually agreeable times. Where the Birth to Five Services has serious concerns that there is a breach of the Code of Practice or Local Authority Guidelines, a no notice compliance audit will be completed.
- We will select commissioned childcare providers on a rolling annual programme to receive a compliance audit. Any childcare provider who has been identified as a Setting Causing Concern by the Birth to Five Service will automatically receive a compliance audit. In addition any childcare provider whom the Birth to Five Services receives information in relation to non compliance will be prioritised for a compliance audit.
- We will detail recommendations and outcomes of the compliance audit on the Birth to Five Service's Action Pads and leave a copy of this with the provider on the day of the compliance audit. On occasions where this is not possible, actions will be sent to the childcare provider within 5 working days via email.
- Additional action points may be set within 28 days of the compliance audit by the Lead Consultant or additional information sought by telephone at any point if deemed necessary in establishing compliance during the internal monitoring process.
- We will, where necessary, request to see the accounts in relation to the EYE to determine that funding provided has been spent appropriately.
- We will make subsequent visits where required to ensure that the actions detailed have been met.
- Where childcare providers fail to meet actions without good reason the Birth to Five Service will implement the Removal of Early Years Funding Policy as detailed in the Provider Agreement.

These documents will be reviewed on a regular basis and the latest version will be available on the Birth to Five website: www.birthtofive.org.uk