

Provider Guide for the delivery of 2, 3 and 4 year old Funded Education (FE) places

POLICIES AND PROCEDURES

Attendance Monitoring / Safeguarding

Providers must record the attendance of all funded children in a register which meets the requirements of Ofsted and City of York Council (CYC) internal and external audit departments. Attendance should be monitored regularly.

If a child does not attend for two consecutive days and their absence is unknown providers must contact the parent/carer to determine the reason for absence, where necessary, reminding them their place is funded by CYC and should be used on a regular basis. If attendance does not improve a letter should be sent to the parent/carer explaining that if they do not use their place within the next two weeks it will no longer be available. Copies of any correspondence should be kept and a note made on the register. If an audit highlights non-attendance or reduced attendance and no evidence is available to suggest that the parent has been contacted, the LA may give consideration as to whether the funding should be reclaimed. Exceptions will be made for individual circumstances such as children with additional needs or vulnerable children.

If there is a safeguarding concern over a child, the provider must contact the 'Children's Front Door', York's Advice and Assessment Service.

Extended Holidays

Children may be absent due to extended family holidays but parents must inform the provider of the period their child will be absent. During absence their place will be funded for a maximum of 4 weeks per term if the provider has a return date for that child. If the holiday extends beyond 4 weeks or the child does not return, providers must inform CYC as funding may be reduced.

If the child returns at a later date their funded place may not be available until the start of the following term.

Closures

Closures lasting for one week or more must be discussed with the Early Years and Childcare team to determine whether FE can be claimed during this period. This applies whether the reason for closure was unforeseen or planned, e.g. fire, flood or planned building/redecoration work.

The period of closure must be notified to CYC as soon as possible so that the funding can be adjusted if the period of closure has already been claimed.

If the closure is planned providers should inform CYC at least one term in advance and the funding cannot be claimed for that period.

It is accepted that providers may have no choice but to close for a day or two in cases where it would be illegal to remain open, e.g., if the heating fails and the temperature falls below the legal minimum or it is not possible to meet staff ratios due to illness. In these cases the funding can still be claimed and providers must put strategies in place to rectify the problem promptly.

Where possible, providers should make every effort to provide the funded children with additional hours to replace those they have missed during the period of closure.

Staff Training Days / Public Holidays

Providers must offer the full 38 weeks (or for registered number of weeks if less than 38 weeks) FE to all eligible children and therefore the funding cannot be claimed during a period of closure for staff training. Where a setting has to close for training, the FE should be offered at an alternative time in compensation. However, there is no obligation to offer alternative provision due to public holiday closure. We recommend that providers make parents aware of this during the registration process.

Withdrawing from offering Funded Education places

If a provider wishes to withdraw from the directory and delivery of the FE, they must notify the Early Years and Childcare Service in writing as soon as possible. They must also inform all their parents by letter, giving at least a term's / 3 months notice to enable parents to make alternative arrangements.

Data Protection / Privacy Notice / Information Commissioner's Office

Providers are required to:

- a) Display a copy of the Privacy Notice on their notice board for visiting parents/carers.
- b) Ensure they have a process in place to issue this Privacy Notice to the parents/carers of all **new** children. This can be done at the same time as other communications are issued e.g. as part of a brochure or an induction pack or during the enrolment/registration process.
- c) If parents require additional information, please refer them to the following YorOK website. Should parents/carers be unable to access the CYC website, you should arrange for a paper copy of the additional information to be made available upon request.

- d) A Privacy Notice is now incorporated within the Parental Declaration Form and can be found at Raise York
- e) Register with the Information Commissioner's Office. (Not all providers have to register however this should be confirmed with the ICO). Further details can be found at the following website - [Information Commissioner's Office - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

Changes to provider details

- a) Providers must inform CYC whenever there is a change in circumstances, these include:
 - a change of ownership, committee, manager or premises – contact the FIS.
 - a change to the name or address of the contact responsible for administration of the FE - contact the Funding team.
 - a change of bank details
- b) If your setting changes ownership you will be required to inform Ofsted.
- c) If a change means the Provider is no longer eligible to receive the FE the provider will be removed from CYC's Directory of Providers. Any funding already paid during that term may have to be repaid.

Appeals Process

An Appeals Process is available for:

- a) parents who are not satisfied that their child has received the FE place to which they are entitled.
- b) providers who wish to appeal against issues relating to the administration of the FE places.

A link to the documents can be found at Raise York -

Funding Process

1. Interim Payments

- a) Interim payments for 2, 3 and 4 year old funding are processed during the first week of term, based on the number of estimated hours submitted onto the portal at the start of each term.
- b) Estimates must be entered onto the portal by the deadlines specified in the termly funding letter.
- c) The Interim payment will be based on 85% of this estimated number of hours per week. Payments will be made based on three equal terms of 12.67 weeks (38 weeks ÷ 3).

2. Entering Actual Claim Data

- a) Providers will be funded for all eligible children whose details have been added onto the portal by the deadline dates for that term.
- b) If a child starts after the deadline for importing data the setting may be able to receive funding for the child, depending on:
 - When the child started at your setting
 - If the child has been attending another setting (including outside CYC area)

3. Final Payments

- a) A provider's termly funding is based upon the total number of 'Actual' hours entered on the portal. The final payment (made during the second half of the term) is calculated as follows:
- b) Final payment = Total termly hours x hourly rate x 12.67 weeks – interim payment.
- c) Final payments will be made as soon as possible during the second half of a term, once all overclaims have been resolved.
- d) If a provider's interim payment has exceeded the total funding due to them for the term resulting in an overpayment, the balance owed to CYC will usually be deducted from the funding balances owed on their other headcounts for the term. Should the amount exceed all funding amounts due for that term an invoice may be issued to the provider to recoup the balance owed or the amount may be recouped from future funding terms.
- e) If late data submission results in an over claim, you will not receive the corresponding funding as it will have already been allocated to another setting

4. Reduced Interim Payments

A reduced interim payment (i.e. less than 85%) may be made by the LA if a provider has input inaccurate estimated figures, resulting in significant overpayments, in two successive terms. The amount that the interim payment is reduced by will depend on the amount overpaid in previous terms.

For a setting placed under temporary registration, (due to an inadequate Ofsted judgement) funding payments will be made as follows:

- An appropriate interim payment will be made and processed in the usual way at the start of the term (this is likely to be 50% of the estimated take up rather than 85%).
- Any remaining balance will be paid during the second half of the term based on the data submitted onto the funding portal and will reflect whether the provider is to be funded for the full term or a half term.

A reduced interim payment may also be made for settings with change in circumstance such as undergoing a change in ownership, being sold or due to close during/at the end of a term.

5. Funding a child who moves setting during the term

- a) CYC will fund a child for half a term to allow for children who move provision during a term. To ensure that you receive the correct funding, please indicate on the Notes section (Actuals Tab) of the portal where a child will only be at your setting for half a term.
- b) The following policy is for children who take up a place for periods of time less than half a term:
 - The LA fund a minimum of half a term therefore if a child leaves a setting during the first half of the term, half a terms funding (12.67 / 2 weeks) will be paid to the setting that the child attended at the start of the term.
 - If a child leaves a setting after the start of the second half of the term, half a terms funding will be paid to the setting where the child attended at the start of the second half of the term.
- c) In exceptional circumstances where a child has started a new provision but leaves during their settling in period, there will be discretion for the LA to waive this policy, to ensure the funding is allocated in a fair and appropriate manner.
- d) When a child moves provider it is expected that the notice period will be honoured by the parent/carer. FE funding may not be paid to a new provider if the notice period is still in effect at the previous provider.
- e) If a child moves to your provision from another provider the provider must check with the parent/carer that they have informed the previous provider that the child will no longer be claiming the FE at their setting and that they have honoured the agreed notice period. You should clearly explain the funding procedure to the parent/carer, emphasising the checking process between providers, including schools, to ensure the child is not claiming more than 15/30 hours across two providers/local authorities. This will help to avoid potential overclaims.

6. Settling in period

Children may take up reduced hours during the settling in period, however you can claim for their normal pattern of attendance for the term, during this period. We recommend a maximum of a 3 week settling in period.

7. Children starting late in the term

CYC endeavour to be as flexible as possible in delivering the FE and do not recoup FE for a child who leaves a setting late in the term. If a child starts a setting very late in the term, we would encourage Providers to be flexible in allowing the child to access a FE place, despite them not having received funding for the child for that short period of time in a term.

Termly Claiming Process – Pre-school Playgroups, Private Day Nurseries, Independent Schools and Childminders

When	Action	Who
Previous Term		
Approx. 2 weeks before end of term	Funding letter sent to settings registered e.mail account and saved on the portal	Funding team
New Term		
2 nd day of new term	Deadline for entering estimated take up of FE hours for 2, 3 and 4 year olds onto the portal.	Provider
Week 1	Interim Payment sent to Creditors team, to be processed within 10 working days.	Funding team
Prior to / at start of new term	Ensure a Parental Declaration Form is completed / resigned for all children accessing a FE place.	Provider
Census Date		
Approx 2 weeks after Census date (Dependent on term length)	Deadline for providers to enter 2, 3 and 4 year old 'Actual' hours onto the portal	Provider
Approx. 3 weeks after Census	Deadline for providers to advise Early Years and Childcare Service Funding Team of any changes to their 'Actual' data on the portal	Funding Team

date (Dependent on term length)		
2 nd half of term	Overclaims resolved after 'Actual' data Deadline passed and portal closed	Funding team & Provider
2 nd half of term	Boundary Checks completed – only applicable DfE Census term (Spring/January)	Funding team
2 nd half of term	Final Payment made to providers.	Funding team
2 nd half of term	Providers made aware of overclaims	Funding team

Claiming Process

1. Online Funding Portal

- a) The Guidance Notes for claiming the FE via the portal can be downloaded from the yor-ok.org website. The termly funding letter and supporting documents will also be saved on the Portal. It is important that the funding letter is read as this will contain important deadline dates for submitting your Estimate and Actual child data.
- b) It is essential that your Estimate and Actual figures are entered onto the Portal within the time scales specified in the funding letter, as failure to update the system may result in no payment of the FE for that term.

2. Different Local Authority Arrangements.

- a) If a child who is resident in City of York attends a provider located in another LA, the other LA will fund the funded early education place. Similarly, if a child who lives out of the York area attends a provider in York, CYC will fund the FE place.
- b) Each LA has different procedures for claiming funding and may also fund the entitlement at a different rate. If a child transfers to a new provider located in a different LA mid-term, the LA in which the new provider is located may not be able to fund the place until the start of the following term.
- c) Lists of 'out of area' children are sent to each LA every Spring term in order to check that children are not being funded for more than their FE.

30 hours Extended Entitlement for 3 and 4 year olds

Eligibility Criteria

- 1) Both parents are working (or sole parent in a lone parent family) & each parent earns on average:
 - a weekly minimum equivalent to 16 hrs at national minimum wage (NMW) (for under 25 yr olds) or national living wage (NLW) (if over 25 yrs old), and
 - less than £100,000 per year

OR

- 2) Both parents are employed but one or both parents is temporarily away from the workplace on:
 - Parental leave
 - Maternity leave
 - Paternity leave
 - Adoption leave or
 - Statutory sick pay

OR

- 3) One parent is employed & one parent has substantial caring responsibilities based on specific benefits received for caring, or
- 4) One parent is employed & one parent is disabled or incapacitated based on receipt of specific benefits.

Additional Information

A parent/carer will be eligible if they expect (on average) to earn the stated minimum wage over the coming three months:

For example, a parent/carer who is on a zero-hours contract will qualify if on average they work two weeks out of every three, and when they are working they get 25 hours of work at the minimum wage.

'Parent' means a person who has parental responsibility for the child. In cases where a parent has remarried or is living with a partner, the step-parent or partner must also meet the earning threshold.

Checking Process

1. Parents will need to go online to www.childcarechoices.gov.uk to determine whether they are eligible for a 30 hours place.
2. Families need to go online to the Childcare Choices website www.childcarechoices.gov.uk in order to determine whether they are eligible for

the 30 hours. Eligible families will receive an 11 digit 30 hours eligibility code which they must taken to the provider(s) where they would like to access a 30 hours place. The provider can use the Portal to check that the 30 hours code is valid.

3. Providers **must** make a note of the voucher code on the Parent Declaration Form and add this code onto the portal.
4. Rechecks

Families eligible for the 30 hours are required to go onto the Childcare Choices website every 3 months to reconfirm their eligibility.

Following the 3 monthly reconfirmation, if a family is no longer eligible for the extended entitlement they will have their extended entitlement place removed at the end of the following term (the grace period).

Providers will be able to see which families are in a grace period on the funding portal. The funding team will undertake audits of all codes six times per year and following each audit the portal will update to show which codes are in their grace period.

Providers should regularly remind parents/carers that they need to reconfirm their eligibility every 3 months.

Models of Delivery / Patterns of take up for the early education place

Children can access their FE place in two ways:

1. The “term time only” model : 15/30 hrs per week for 38 weeks per year

Up to 15/30 hours / wk for 38 weeks per year => maximum of 190 / 380 hrs per term
=> 570 / 1140 hrs per year.

2. The stretched / flexible model

The provider will claim funded education entitlement in the following funding blocks across the academic year:

Term	Funding Block	Maximum Hours per Term
Autumn Term	1 st September to 31 st December	190 / 380
Spring Term	1 st January to 30 th April	190 / 380
Summer Term	1 st May to 31 st August	190 / 380

A child can access up to 22.25 hrs per week over 51 weeks of the year (17 weeks per term)

The funded entitlement can be taken flexibly within the following limits:

- Between 6am - 8pm
- A maximum of 10 hours can be taken in one day
- A maximum of two sites per day.

Parental Declaration (PD) Forms

1. Overview

- a) Funding cannot be claimed until a PD Form has been completed and signed by either the parent or the child's legal guardian.
- b) A PD Form must be completed at all providers if a child is accessing their FE place across more than one provider.
- c) If a child is claiming from providers located in different authorities it will be necessary to complete form at each provider, but these may be different. This is because each authority has a different system for administering the funding. Some authorities may be less flexible in how a parent can access funding. The parent/carer should check with the relevant authority for rules relating to funding in that area.
- d) The number of hours entered on the PD Form under "Number of FE Hours per week" must correspond to the number of hours entered into the portal and hence the number of hours to be funded by the Local Authority.
- e) The boxes indicating whether the child is attending for a full / half term and term time / stretched offer must be ticked appropriately.
- f) The Provider must explain to the parent/carer the claiming procedure, what FE their child is entitled to and how they can access this.
- g) The parent must bring some form of identification, for example, the child's birth certificate, passport, red book, medical card or child benefit form to verify the child's name and date of birth. This process could be incorporated into the Providers' registration process for new children. Due to the Data Protection Act, copies should not be retained. Providers should sign their Registration Form to confirm they have seen the documentation.
- h) The PD can be down loaded from the portal. A copy must be kept by the Provider, along with the attendance register, for 4 terms and made available for audit if required. If requested, a completed copy should be given to the parent/carer.

2. Completing the PD Form

- a) Child's details – ensure the parent completes **all** their child's details including their full legal name, which must be transferred correctly onto the portal.
- b) Number of hours claimed - Number of FE hours to be claimed at the setting. This should be a maximum of 15 hours / week (190 hours / term) for children not eligible for the extended entitlement and 30 hours / week (380 hours / term) for children who are eligible for the extended entitlement.

3. Provider / Parent Declaration

- a) Please ensure both the Provider and the parent/carer read and understand the conditions included on the form before signing.

Early Education Funding PRIVACY NOTICE

We keep our privacy notice under regular review and it was last reviewed and updated in February 2020.

City of York Council (CYC) are the “Controller” and we are registered with the Information Commissioner’s Office (ICO) (General Data Protection Regulation (GDPR) and the Data Protection Act 2018) – reference Z5809563.

Why do we collect information?

The information you provide enables us to:

- Make payment of the early education and related funding
- Complete the statutory Early Years Census annual return
- Assess our own performance and improve our service
- Create statistics that are anonymous and cannot be linked back to you or your provision for the purpose of local and national surveys

The collection of the information for the above reasons is carried out in line with:

- Early Education and Childcare Statutory Guidance for Local Authorities 2018
- Childcare Act 2016
- Sufficiency duty within Childcare Act 2006
- SEND code of practice 0-25 years 2015

What information do we collect?

We may collect and use the following information:

- Personal information (including name, date of birth, National Insurance number / NASS number and contact details)
- Characteristics (including gender and ethnicity)

Who is collecting the information?

- Information is collected by the Early Years and Childcare Service - some data may be collected via the early years provision your child attends.

How is the information collected and stored?

Information about your provision is collected through:

- Completion of the application form for 2 year old early education places
- Completion of the Parental Declaration form for early education places
- Completion of the Disability Access Fund application form

When we ask you for personal information, we will:

- ensure you know why we need it
- only ask for what is necessary for the work we are undertaking
- store it securely
- ensure access is only given to authorised staff on a need to know basis
- securely and confidentially delete/destroy the information 7 years after we no longer have a need for it

We ask that you:

- give us accurate information
- inform us of any changes?
- inform us as soon as possible if you notice mistakes in the information we hold about your provision

Where required or appropriate to, at the end of the retention period, we will pass onto the City Archives any relevant information

Who do we share data with?

We may share information about your provision with other relevant professionals. Below is a list of parties with whom we regularly share information:

- Department for Education
- Educational settings
- Professionals from Health, Social Care and Early Help teams
- Local Area Teams including Families Information Service
- Business Intelligence Unit
- School Support Services

- Troubled Families
- Auditing services

We will not give information about you to anyone outside CYC without your consent unless required to do so by law e.g. in delivering our statutory functions (Children and Families Act 2014), or such actions are necessary for safeguarding children and young people.

We may use the information to create statistics that are anonymous and cannot be linked back to your provision or individuals. We could use these statistics to see how the Early Years and Childcare Service and the wider Council and its partners are supporting early years providers, to help design better services and to contribute to national surveys and government returns e.g. to the Department for Education (DfE).

We are required by law to pass some of your information to the Department for Education (DfE) for the purposes set out above. The DfE may share individual level personal data that we supply to them, with third parties. This will only take place where legislation allows it to do so and it is in compliance with the Data Protection Act 1998 and any successor legislation.

Your rights

You can find out about your rights under data protection law, on the [Information Commissioner's Office \(ICO\)](https://ico.org.uk/) website. You can also find out more about how the City of York Council uses personal information and your rights at <https://www.york.gov.uk/privacy>. However for some of the most frequently asked about rights, see below:

If you want to exercise any of your rights, or If you have a question or a complaint about how we are using your information please contact the council's Data Protection Officer, by email to foi@york.gov.uk or phone [01904 554145](tel:01904554145) or write to:

Data Protection Officer
City of York Council
West Offices
Station Rise
York
YO1 6GA.

You can contact the DfE at:

Public Communications Unit
Department for Education

Sanctuary Buildings
Great Smith Street
London
SW1P 3BT

Tel: 0870 000 2288
Email:

info@education.gsi.gov.uk

Website: <http://www.education.gov.uk/>

APPEALS PROCESS for Parents and Providers - Early Education Funding for 2,3 and 4 year olds

The following is City of York's (CYC's) Appeals process for:

- Parents or carers who are not satisfied that their child has received the early education funding to which their child is entitled, or
- Providers to appeal against issues relating to the administering of the early education funding.

All three and four year olds, and two year olds who meet eligibility criteria, are entitled to a funded early education place, consisting of up to 15 hours per week, for 38 weeks of the year.

Working families may also be eligible for a further 15 hours in addition of the universal 15 hours entitlement, if they meet certain eligibility criteria. These places are available in all settings that are registered to provide funded early years provision and can be with nurseries, playgroups, childminders, maintained nursery schools, nursery classes in primary schools or out of school clubs.

For Parents/carers, in the first instance you should always contact the provider(s) concerned to discuss the problem and if necessary go through the provider's internal complaints procedure to try and resolve the problem. However if you are not happy with the outcome then you can appeal to City of York Council, through the following process:

All complaints will be dealt with fairly, swiftly and courteously and be given equal importance.

First Stage

This appeal must be made in writing to the Early Years and Childcare Sufficiency Manager.

Early Years and Childcare Service
City of York Council
West Offices
Station Rise
York YO1 6GA

You can expect them to respond to your query within 10 working days. However, if the problem is going to take longer to resolve you will receive an interim reply telling you a date by which you can expect a full response.

Parents/carers will need to provide the following information:

- Full name and date of birth of the Child concerned.
- Name and Address of the provider where the child attends. If your child attends more than one provider please give details of all providers where you child attends.
- Total funding received at all providers for the term concerned.
- Full details of the nature of the complaint.

Providers will need to provide the following information:

- Full name and date of birth of the Child concerned
- Name and address of any other setting that you are aware the child attends
- Total funding claimed and total received for the child concerned
- Full details of the nature of the complaint.

Second Stage

If she or he is unable to find a solution or you are still not satisfied with the response, then the matter will be referred to the EEF Advisory Group, an independent group with representation from the Private, Voluntary and Independent sector for their consideration at an Appeals meeting.

The parent / Provider will be able to attend the meeting or they can choose to have the appeal presented to the group by the Early Years and Childcare Sufficiency Manager.

Assessment by an independent body

You can complain to the Local Government Ombudsman, an independent organisation which will investigate any sort of complaint about the council. But they will only do this after you have been through all of the stages of the council's complaints procedure. The contact details are;

Local Government Ombudsman
The Oaks
No.2 Westwood Way
Westwood Business Park
Coventry
CV4 8JB

Tel: 024 7682 0000 Fax: 024 7682 0001

Email: enquiries.coventry@lgo.org.uk

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INFORMATION AND GUIDANCE RELATING TO BILLING

Free at the point of delivery

Funded Early Education (FEE) places must be provided free at the point of delivery, this means that providers cannot charge parents for any part of their funded hours, refund them at a later date or charge a top-up fee (the difference between what a provider would normally charge for a non funded session and the amount they receive from the LA to deliver the FEE place).

DfE statutory guidance states the following in relation to the early education places:

- If providers charge for any goods or services, for example meals, uniform, optional extras or additional hours of provision outside of the early education place; this should not be a condition of children accessing that place.
- Ensure that parents can clearly see, from the information they receive from their provider, that they have received their child's full 15/30 hour place completely free.

If the FEE place accessed by a child covers a lunch/snack period, there are three options:

- The provider can choose to include the cost of the lunch/snack within the funded hours
- The provider can make a charge for lunch/snack and the parent/carer pays the additional charge.
- The parent/carer can bring a packed lunch/snack for the child.

If the parent/carer does not want to / cannot afford to pay for a lunch/snack for their child, they must be given the option of providing a packed lunch/snack.

Any charges made for lunch / snacks or additional hours should be clearly explained to the parent/carer. We recommend that all settings should provide parents with full written details of their funding structure prior to their child taking up a place at the setting.

Charging for additional childcare

Providers should clearly show on the invoice to parents the number of funded hours which have been deducted in respect of their child's place. Additional charges, such as lunch/snack costs and charges made for attendance outside of the funded entitlement hours should be clearly stated on the invoice.

To help calculate a parent/carers bill, providers will need to determine the hourly rate / session rate for the additional hours accessed over and above the FEE place.

Some providers use different rates depending on whether a child attends full time, full days, half days or a combination of these.

If parents are eligible for help with childcare costs through Working Tax Credits (WTC) the amount declared on the tax credit form must be the amount they actually pay for childcare (i.e. cost of childcare less the reduction for the FEE place). It is the parents responsibility to claim WTC, provider should signpost parents to the WTC Helpline on 0845 3003900.

Example Billing Template

The nursery in this example is open from 8 am to 6 pm, 50 weeks of the year.
Full day rate is £35.00 (equivalent hourly rate £3.50 per hour).

The child in this example is booked to attend 3 full days every week for a full year.

	Item	Comments/ Description	Hours	Amount (£)
A	Total hours booked	10 hours per day X 3 days per week X 50 weeks per year	1,500	
B	Free Early Education hours	15 hours per week X 38 weeks per year	570	
C	Hours parents need to pay for	A – B	930	
D	Hourly rate as above			£3.50
E	Total amount parents need to pay	C X D		£3,255.00
F	12 equal monthly payment	E / 12		£271.25

The above example is for a very common take-up pattern in York nurseries, however, a number of other templates could be used where a daily rate rather than an hourly rate is used or when the bill is calculated on a monthly basis rather than equal payments spread across the year.

Support available

The Early Years and Childcare Service can support providers to ensure that parents' invoices are set out clearly so that parents can easily recognise and understand the

hours they have accessed in relation to the Funded Early Education place and how any fees relate to additional services or hours.
For further support, please contact the team on 01904 553880.

Please note that the LA has a duty to investigate any complaints received from the parents concerning charging discrepancies.

FINANCIAL AUDIT VISITS

1. Overview

- a) CYC will audit a sample of providers each term. This is to ensure that;
- b) Funding is being claimed in accordance with CYC procedures and the DfE Statutory Guidance for Local Authorities on the Delivery of Two, Three and Four Year Olds and Securing Sufficient Childcare.
- c) Parents/carers receive their child's Funded Early Education in the form of a free place or, if they are accessing additional childcare, their invoice clearly shows the free hours.
- d) Audit visits will be undertaken by both the Veritau, (CYC internal auditors) and the Early Years and Childcare team.
- e) The visit will offer the provider the opportunity to discuss any questions, concerns, clarify any points regarding the funding process or provide feedback relating to delivery of the Funded Early Education places.

2. Early Years and Childcare Service Audit process

- a) During a routine audit, the most recent three complete terms will be checked. This will include:
 - Checking the attendance of a random sample of children entered on the Online Funding Portal
 - Checking attendance on the register accurately reflects funding data on the Portal
 - Checking correct completion of Parent Declaration Forms with child data on the Portal
- b) The following documents for the three previous terms must be available on the day of the audit:
 - Register of funded children
 - Copies of the Parental Declarations Forms
- c) The audit may take up to half a day depending on the size of the provision. It may be necessary for a return visit to complete all the checks.
- d) During the visit, we will discuss our findings and detail any further action required by you or the Early Years and Childcare Service.
- e) If the team identify any incorrect or inappropriate claims, funding may be reclaimed from the provider. Details of the appeals process for providers who wish to appeal against decisions relating to the administration of the Funded Early Education Funding on the Online Funding Portal via the Raise York website: Raise York