

Preliminary Self-check Sheet for Guidance Audit

Name of institution		Select your business type from below.			
Name of contact		<input type="checkbox"/> Non-accredited daycare	<input type="checkbox"/> Home-visit daycare	<input type="checkbox"/> Kindergarten that has not adopted the new system	
Name of respondent		<input type="checkbox"/> Extended-hours daycare	<input type="checkbox"/> Temporary daycare	<input type="checkbox"/> Daycare for sick children	<input type="checkbox"/> Family support center

Enter the actual number for the previous year.

Number of children eligible for tuition assistance	0-2 years old	3 years old	4 years old	5 years old	Total

*Enter the monthly average number of children eligible for a tuition waiver from April to March of the previous year.

Choose those that apply. You can select more than one.

Method of collecting tuition for children eligible for tuition assistance	<input type="checkbox"/> Collected from parents (individual reimbursement)
	<input type="checkbox"/> Requested from the municipality (as legal representation)

*This is how you collect tuition and fees for children eligible for a tuition waiver in the previous year.

1. In relation to Article 54 of the Operating Standards (Records of Education, Daycare, and Other Child and Child Care Support Provided) and Article 61, Paragraph 2 of the Operating Standards (Retention of Records of Specified Child and Child Care Support Provided)

(1) Select all of the following information that you have records for. (Re: Article 54)

- ☐ Dates on which service was provided
- ☐ Hours during which service was provided
- ☐ Details of service provided

(2) Describe the document(s) in which the above three items can be found. (Re: Article 54)

[Example] Daily reports, attendance record, daycare schedule

(3) Are records of each of the items in (1) above kept for five years? Select all that apply. (Re: Article 61, Paragraph 2)

- ☐ Records of all three items are retained for five years.
- ☐ Records of one or more of the three items are retained for five years.
- ☐ Records of all three items are retained but not for five years. *Four years or less
- ☐ Records of one or more of the three items are retained but not for five years. *Four years or less
- ☐ No records are retained for any of the three items. *Not even for a month.

2. In relation to Article 55 of the Operating Standards (Receipt of Tuition and Specified Fees)

(1) Select all of the statements below that apply to your institution concerning tuition and fees. (Re: Article 55, Paragraphs 1 and 2)

- ☐ Tuition and specified fees are shown separately in the daycare brochure, etc.
- ☐ Tuition and specified fees are separated but not shown in the daycare brochure or other explanatory documents.
- ☐ The admission contract (application form), etc., has a description that indicates the cost.
- ☐ The breakdown of specified fees is shown in the daycare brochure, etc.
- ☐ The breakdown of specified fees is explained orally each time. *There is no written explanation.

***Attach a document that shows the tuition and fees for the previous year.**

(2) Describe how you manage the expenditures of specified fees collected. (Re: Article 55, Paragraph 2)

[Example] We keep a cashbook. / We retain receipts sorted by account.

3. In relation to Article 56 of the Operating Standards (Issuance of Receipt and Certificate of Specified Child and Child Care Support Provided)

***Respond if your institution offers individual reimbursement.**

(1) Select all of the statements below that apply to your institution concerning the collection of tuition and fees. (Re: Article 56, Paragraph 1)

- ☐ Tuition and fees are collected by direct debit.
- ☐ Tuition and fees are collected in a monthly tuition envelope.
- ☐ Tuition and fees are collected in cash.
- ☐ Other (Describe how you collect tuition/fees: _____)

(2) Select all of the statements below that apply to your institution concerning the issuance of receipts. (Re: Article 56, Paragraph 1)

- ☐ They are issued every month (once a month).
- ☐ The amount is collected for each use and a receipt is issued each time.
- ☐ They are issued every two months or more (Write the number of months: _____)
- ☐ No receipt is issued.

(3) Select all of the statements below that apply to your institution concerning the information provided in the receipts. (Re: Article 56, Paragraph 1)

- ☐ Tuition and specified fees are shown separately.
- ☐ All the collected amounts are shown. (An amount collected only once a year is also listed in the month it is collected.)
- ☐ Some of the collected amounts are not shown. (Example: Cost incurred in certain months)
- ☐ The amounts of tuition and specified fees shown are the same as those shown in the daycare brochure, etc.
- ☐ We fill out the receipt entirely.
- ☐ We ask parents to fill out some part of the receipt.

(4) Select all of the statements below that apply to your institution concerning the issuance of certificates of service. (Re: Article 56, Paragraph 2)

- ☐ They are issued every month (once a month).
- ☐ A certificate of service is issued for each use.
- ☐ They are issued every two months or more.
- ☐ No certificate of service is issued.

(5) Select all of the statements below that apply to your institution concerning the information provided in the certificates of service. (Re: Article 56, Paragraph 2)

- ☐ Four pieces of information (date service is provided, hours service is provided, details of service provided by business type, and cost) are provided.
- ☐ One or more of the four pieces of information (date service is provided, hours service is provided, details of service provided by business type, and cost) is not provided.
- ☐ The information provided in the certificate of service is the same as the contents of the record of specified child and child care support provided.
- ☐ We fill out the certificate of service entirely.
- ☐ We ask parents to fill out some part of the certificate of service.

4. In relation to Article 57 of the Operating Standards (Replacement of Terms in the Case of Receipt as Legal Representation) and Article 61, Paragraph 2 of the Operating Standards (Retention of Documents Pertaining to Receipt as Legal Representation)

***Respond if your institution receives tuition assistance as legal representation (i.e., requests tuition assistance from the municipality instead of collecting tuition from parents).**

(1) Select all of the statements below that apply to your institution concerning the collection of tuition and fees. (Re: Article 57)

- ☐ Tuition (covered by the waiver program) is also collected from parents.
- ☐ Specified fees (not covered by the waiver program) are collected from parents.
- ☐ The full amount of tuition is collected from parents, and the amount received as legal representation is refunded to the parents.
- ☐ No amount is collected from parents. *Neither tuition nor specified fees are collected.

(2) Select all of the statements below that apply to your institution concerning the issuance of certificates of service. (Re: Article 57)

- ☐ They are issued every month (once a month).
- ☐ They are issued every two months or more (Write the number of months: _____)
- ☐ A certificate of service is issued for each use.
- ☐ No certificate of service is issued.

(3) Select all of the statements below that apply to your institution concerning the notification of the amount you receive as legal representation. (Re: Article 57)

- ☐ We inform parents of the amount via the municipality-specified receipt/certificate of service form.
- ☐ We post the amount on our website.
- ☐ We prepare a document to inform parents of the amount.
- ☐ We don't disclose the amount.

(4) Select all of the statements below that apply to your institution concerning the documents related to receipt as legal representation. (Re: Article 61, Paragraph 2)

- ☐ They are retained for five years.
- ☐ They are retained but not for five years. *Four years or less
- ☐ They are not retained. *Not even for a month

5. In relation to Article 58 of the Operating Standards (Notification to Municipality Regarding Parents Eligible for Tuition Assistance) and Article 61, Paragraph 2 of the Operating Standards (Retention of Notifications to Municipality)

(1) Have you ever been asked by an eligible parent to list a fictitious tuition amount (amount covered by the waiver program)? (Re: Article 58)

- ☐ We didn't respond to the request and notified the municipality of the incident.
- ☐ We neither responded to the request nor notified the municipality of the incident.
- ☐ We complied with the request.
- ☐ We have never been asked.

***Respond to the following statement if you selected "Notified the municipality of the incident" in (1) above.**

(2) Select one of the following that applies to your institution concerning incident notifications filed with the municipality. (Re: Article 61, Paragraph 2)

- ☐ They are retained for five years.
- ☐ They are retained but not for five years. *Four years or less
- ☐ They are not retained. *Not even for a month

6. In relation to Article 59 of the Operating Standards (Principle of Equal Treatment of Children Qualified for Tuition Assistance)

(1) Select all of the statements below that apply to your institution concerning discriminatory treatment. (Re: Article 59)

- ☐ Parents have complained about discriminatory treatment based on social status.
- ☐ Parents have complained about discriminatory treatment based on religion.
- ☐ Parents have complained about discriminatory treatment based on nationality.
- ☐ We have never received complaints about discriminatory treatment.
- ☐ The fees collected from parents differ depending on their qualification status.
- ☐ The eligibility for discounts, such as sibling discounts, differs depending on the qualification status.

(2) Select all of the statements below that apply to your institution concerning instructions, etc. given to employees about discriminatory treatment. (Re: Article 59)

- ☐ Instructions, etc. are given orally at the time of hiring.
- ☐ Instructions, etc. are given in writing at the time of hiring.
- ☐ Instructions, etc. are not given at the time of hiring.
- ☐ Instructions, etc. are given orally on a regular basis (at least once a year), and written summaries, etc. are also prepared.
- ☐ Instructions, etc. are given orally on a regular basis (at least once a year), but written summaries, etc. are not prepared.
- ☐ Instructions, etc. are not provided once a year.

7. In relation to Article 60 of the Operating Standards (Confidentiality)

- (1) Select all of the statements below that apply to your institution concerning confidentiality. (Re: Article 60, Paragraph 1)
- ☐ Parents have complained that our staff have disclosed confidential information about their child or his/her family.
 - ☐ We have received no complaints of confidential information about a child or his/her family being disclosed.
- (2) Select all of the statements below that apply to your institution concerning the retention of documents containing information about a child or his/her family. (Re: Article 60, Paragraph 1)
- ☐ They are stored in a locked filing cabinet, desk, etc.
 - ☐ They are stored in a locked room.
 - ☐ They are stored in a room that is not locked but that cannot be accessed by a third party (non-staff member).
 - ☐ They are stored in a room that is not locked and that can be accessed by a third party (non-staff member).
 - ☐ They are stored in a corner of a room without a lock where child care is provided and events are held.
- (3) Select all of the statements below that apply to your institution concerning instructions, etc. given to employees, etc. about confidentiality. (Re: Article 60, Paragraph 2)
- ☐ Instructions, etc. are given orally at the time of hiring.
 - ☐ Instructions, etc. are given in writing at the time of hiring.
 - ☐ Instructions, etc. are not given at the time of hiring.
 - ☐ Instructions, etc. are given orally on a regular basis (at least once a year), and written summaries, etc. are also prepared.
 - ☐ Instructions, etc. are given orally on a regular basis (at least once a year), but written summaries, etc. are not prepared.
 - ☐ Instructions, etc. are not provided once a year.
 - ☐ We instruct employees not to divulge confidential information even after their term of employment ends.
 - ☐ We instruct employees not to divulge confidential information only during their term of employment.
- (4) Select all of the statements below that apply to your institution concerning disclosure of information about a child to a third party organization. (Re: Article 60, Paragraph 3)
- ☐ We have disclosed information about a child to a third party organization.
 - ☐ We have never disclosed information about a child to a third party organization.
 - ☐ We obtain oral consent of parents every time we intend to disclose information about their child.
 - ☐ We obtain written consent of parents every time we intend to disclose information about their child.
 - ☐ We obtain written consent of parents in case we disclose information about their child in the future.
 - ☐ We have never obtained consent of parents for disclosing information about their child.

8. In relation to Article 61 of the Operating Standards (Maintenance of Records)

- (1) Select all of the following that you currently maintain. (Re: Article 61, Paragraph 1)
- ☐ Notice of employment (or employment contract, etc.)
 - ☐ Staff list
 - ☐ Employee CVs
 - ☐ Copies of employees' qualification certificates
 - ☐ Documents certifying enrollment in social insurance
 - ☐ Complaint log
 - ☐ Incident report
 - ☐ Safety plan
 - ☐ Wage rules
 - ☐ Payroll
 - ☐ Cashbook (including income and expenditure statements, profit and loss statements, etc.)