



Feidhmeannacht na Seirbhíse Sláinte  
Health Service Executive

# Compendium of Standard Operating Procedures for Early Years<sup>1</sup> Services

Having regard to Regulation 8, 10, 11, 12, 14 and 31 of the Child Care (Pre School Services) (No 2) Regulations 2006 and of the Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

And having regard to the matter of:

- Inspections
- Complaints
- Advisory Services

*It should be acknowledged that these Standard Operating Procedures are designed to assist Early Years Personnel in undertaking their work when engaging with Early Years Service providers and their employees. It is important that Early Years Personnel regularly consult with their line management in regard to issues that arise and ensure that there is appropriate governance of activities undertaken by the sector.*

---

<sup>1</sup> The reader should note that the term 'Early Years Services' is an overarching term that will include Pre-School Services. In some instances the term 'Pre-School services' will be used – reflecting the contents of the appropriate legislation and regulation. It must be noted that the terms “pre-school services” and “early years services” are used interchangeably on some occasions through out this document.

**DISCLAIMER: This document is not and cannot be considered as a comprehensive set of procedures in regard to the Regulations nor can it be taken as a legal interpretation. This document has been designed to assist the reader in understanding issues addressed in the regulation.**

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**INTRODUCTION:**

Please note that the Early Years Garda Vetting, Employee References and Qualifications Standard Operating Procedures have been implemented since the **1<sup>st</sup> August 2012** it is now being incorporated into this Compendium. While this document is aimed at assisting personnel in understanding issues raised in the Regulations it should be read in conjunction with the following:

- Child Care Act 1991 [as amended]
- Child Care (Pre-School Services) (No 2) Regulations 2006 [S.I. No. 604 of 2006]
- Child Care (Pre-School Services) (No 2) (Amendment) Regulations 2006 [S.I. 643 of 2006].
- Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection (DOH&C 2006)
- National Standards for Preschool Services [DOHC 2010]
  
- **Other relevant materials include the following:**
  - Building Legislation, Regulations and Planning Acts<sup>2</sup>
  - Children Act 2001
  - Child Care (Amendment) Act 2007
  - Child Care (Amendment) Act 2011
  - Children First: National Guidance for the Protection & Welfare of Children (DCYA 2011)
  - Child Protection and Welfare Practice Handbook (HSE 2011)
  - Criminal Justice Act 2006 (Section 176 – Reckless endangerment of children)
  - Criminal Justice (Withholding of Information on Offences Against Children and Vulnerable Persons) Act 2012
  - Data Protection Acts 1988 & 2003<sup>3</sup>
  - Disability Act 2006
  - Freedom of Information Acts 1997 & 2003<sup>4</sup>
  - Health Act 2004
  - Health Act 2007
  - National Standards for Pre-School Services (DOHC 2010).
  - National Vetting Bureau (Children and Vulnerable Persons) Act 2012
  - Our Duty to Care: The principles of good practice for the protection of children & young people (DOHC 2004)

---

<sup>2</sup> [www.environ.ie](http://www.environ.ie)

<sup>3</sup> As per Section 23(2) of the Data Protection (Amendment) Act 2003.

<sup>4</sup> As per Section 32(2) of the Freedom Of Information (Amendment) Act 2003

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Note: Comments / complaints in regard to a service offered by the HSE<sup>5</sup>**

If any person [*a early years service provider or employee*] has a comment or complaint to make in regard to the service offered by any member of the Early Years Inspection Team, they can:-

- Talk to any member of HSE staff, service manager or complaints officer.
- Email [yoursay@hse.ie](mailto:yoursay@hse.ie) with your comment, compliment or complaint.
- Send a letter or fax to any HSE location.
- Ring the HSE at 1850 24 1850.
- Use the HSE website comments and compliments facility at [www.hse.ie](http://www.hse.ie)
- See [www.healthcomplaints.ie](http://www.healthcomplaints.ie) for further information.

**How will a complaint be dealt with?**

- Depending on the nature and seriousness of the complaint:
  - a staff member/service manager will attempt to resolve the complaint locally; or
  - a complaints officer will look into the issues raised in the complaint.

Comments and Complaints will be followed up having regard to “Your Service Your Say” – HSE Complaints Policy and Procedures Manual [2009].

It should be acknowledged that these Standard Operating Procedures are designed to assist Early Years Personnel in undertaking their work when engaging with Early Years Service providers and their employees. It is important that Early Years Personnel regularly consult with their line management in regard to issues that arise and ensure that there is appropriate governance of activities undertaken by the sector.

The signature for Early Years Inspection service refers to the Inspectorate and persons responsible for managing the service.

Administration personnel can sign the following:

Annual Fees - AF1, AF2, AF3

Notification – NP3, NP4, NP6(2), NP7

---

<sup>5</sup> Adopted from “National Healthcare Charter – you and your health service. Your Service Your Say. Tell us...your feedback” [HSE Leaflet 2012]

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Index sheet**

Introduction	Page 2
Early Years Garda Vetting, Employee References and Qualifications SOP	Page 5
Early Years Garda Vetting, Employee References and Qualifications Letters	Page 11
Early Years Fixing of Numbers SOP	Page 25
Early Years Fixing of Numbers Letters	Page 27
Early Years Fixing of Numbers Flow Chart	Page 31
Early Years Annual Fee Standard SOP	Page 32
Early Years Annual Fee Letters	Page 33
Early Years Notification of a Preschool Service, Change in Circumstances, Cessation of Service SOP	Page 38
Early Years Notification of a Preschool Service, Change in Circumstances, Cessation of Service, Guidance Note – Schedule, forms and letters	Page 40
Early Years Advisory Service SOP	Page 58
Early Years Advisory Visit/Consultation Record/Letters	Page 60
Early Years Inspection of Pre-School Service SOP	Page 64
Early Years Inspection of Pre-School Service Letters	Page 67
Early Years Complaints SOP	Page 71
Early Years Complaints Form, Complaints Log and Letters	Page 75
Early Years Complaints Flow Chart	Page 82



Feidhmeannacht na Seirbhíse Sláinte  
Health Service Executive

# **Standard Operating Procedure**

## **Garda Vetting, Employee References [and recorded validations] & Qualifications**

### **For early years / pre-school<sup>6</sup> services**

As referred to in Regulation 8 of *[Management & Staffing]* and,  
Regulation 14 *[Records]* of  
SI 604/2006 — Child Care (Pre-School Services) (No2) Regulations 2006

---

<sup>6</sup> This also refers to Child Minders. It must be noted that the terms “pre-school services” and “early years services” are used interchangeably through out this document.

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**INTRODUCTION:**

Although this document has been implemented since **1<sup>st</sup> August 2012** it is now being incorporated into this compendium. While this document should be read in conjunction with; Questions & Answers on Management and Staffing in early years / pre-school services giving particular attention to: Employee References, Qualifications & Garda Vetting [HSE March 2013] and other documents; it should be remembered that adults who are caring for the children should possess the necessary experience, skills, attributes and competencies. All staff are recruited in accordance with the best human resource practices. An up-to-date and accurate **personnel file** is kept for each member of staff<sup>7</sup> that includes the following records:

- proof of identity<sup>8</sup> and that the person is over 18 years of age;
- proof of satisfactory Garda Vetting, and international vetting (Police Clearance) where required;
- two validated<sup>9</sup> references, including a reference from the most recent place of employment;
- verification of qualifications [as stated on the ‘notification form’ and for staff who state on their CV / Application Form that they are qualified], and
- investigation of any gaps in employment.

Adapted from National Standards for Preschool Services  
(DOHC 2010) Section 5.4 pg. 10.

**1.0 Purpose:**

To define the national response when the following **are not** available on file on the date of Inspection of a Pre-School / Early Years Service/s:

- (A) Processed Garda Vetting<sup>10</sup> [including processed Police Clearance where necessary], and / or
- (B) Completed employee references and recorded validations, and / or
- (C) **Certified** copy of qualification/s [where necessary],

**2.0 Scope:**

- The SOP covers all Pre-school / Early Years Services that are **subject to notification** under the Childcare (Pre-School Services) (No2) Regulations (2006).
- This SOP is for use by all Early Years Service Inspection Teams in the HSE / other HSE personnel – as appropriate.

**3.0 Responsibility:**

Area Manager Children & Family Services and / or designate

---

<sup>7</sup> The term ‘staff’ in this document includes any person who is a staff member, voluntary worker, student or a person who does relief work – sometimes referred to as ‘relief staff’. Vetting for persons on a board of management etc. will be implemented from 2014.

<sup>8</sup> Identification: The organisation should ensure that the identity of the applicant is confirmed against some documentation (ID card, driving licence or passport) which gives his or her full name, address together with a signature or photograph. This should be compared with the written application.  
From point (vi) page 9 of “Our Duty to Care” [DOHC 2004]

<sup>9</sup> Verifying, validating, confirming, checking and vetting are terms that are used interchangeably in this document.

<sup>10</sup> Processed Police Clearance is required for those who have lived / worked abroad

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

Inspectors involved with Early Years Services.  
Other HSE personnel – as appropriate.

**4.0 Relevant forms / letters:**  
Inspection Outcome Report

**Garda Vetting:**

Letter requesting Garda vetting is returned [GV1 (a)]  
Reminder request for Processed Garda Vetting [GV2 (a)]  
Letter indicating file is gone to Senior Management [GV3 (a)]

**Employee References and recorded Validations of:**

Letter requesting references and recorded validations are returned [RF1(a)]  
Reminder request for references and recorded validations are returned [RF2(a)]  
Letter indicating file is gone to Senior Management [RF3 (a)]

**Qualifications and validation of [where necessary]:**

Letter requesting certified copy of qualifications are returned [Qual 1(a)]  
Reminder request for certified copy of qualifications are returned [Qual 2(a)]  
Letter indicating file is gone to Senior Management [Qual 3(a)]

**5.0 Relevant Legislation / Documents**

Child Care Act 1991  
Children Act 2001  
Child Care (Amendment) Act 2007  
Child Care (Amendment) Act 2011  
Child Care (Pre-School Services) (No2) Regulations 2006  
Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006  
Child Care (Pre-School Services) (No2) Regulations 2006 and  
Explanatory Guide to Requirements and Procedures for Notification and  
Inspection (DOH&C 2006)  
Children First: National Guidance for the Protection & Welfare of  
Children (DCYA 2011)  
Child Protection and Welfare Practice Handbook (HSE 2011)  
Criminal Justice Act 2006 (Section 176 – Reckless endangerment of children)  
Criminal Justice (Withholding of Information on Offences Against Children and  
Vulnerable Persons) Act 2012  
Data Protection Acts 1988 & 2003  
Disability Act 2006  
Freedom of Information Acts 1997 & 2003  
Health Act 2004  
Health Act 2007  
National Standards for Pre-School Services (DOHC 2010).

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

National Vetting Bureau (Children and Vulnerable Persons) Act 2012  
Our Duty to Care: The principles of good practice for the protection of children & young people (DOHC 2004)

**6.0 Procedure:**

**(A) Garda Vetting**

Garda Vetting is required on all staff, students and volunteers in the Pre-School service **prior to** being appointed or assigned or being allowed access to a child attending the service *i.e.* including cook, manager, caretaker, etc.(as appropriate).

1. The non availability of a processed Garda Vetting / Police Clearance Certificate for staff, students and volunteers in an Early Years/ Pre-School Service is documented as a non compliance on the Inspection Outcome Report (see guidance on Sample Inspection Outcome Report).
2. Should Garda Vetting not be available for each staff member, students and volunteers, evidence which supports that the Garda Vetting was applied for will be requested.  
For example a copy of the completed Garda Vetting Form by the applicant and relevant documentation<sup>11</sup>, indicating the date on which it was applied for.
3. The notified service provider is requested on the Inspection Outcome Report to forward a copy of the processed Garda Vetting / Police Clearance Certificate for the outstanding staff member/s within 12 weeks of issue of this report. The early years inspector records receipt of this on file and inspects the processed Garda Vetting / Police Clearance Certificate and then returns it to the service provider.

Should the provider not return the Garda Vetting within 12 weeks of issue of the Inspection Outcome Report, forward the GV1(a) letter – requesting the information to be returned within 6 weeks.

4. If the request for Garda Vetting remains unanswered a second reminder letter is sent GV2(a) for response within 6 weeks.
5. If the second reminder letter remains unanswered a final letter is sent to the provider requesting immediate response GV3(a). The notified service provider is also informed that the Service file has gone to HSE Management for review and consideration including the possibility of legal action. The service provider is requested to make immediate contact with the HSE Early Years Services office.

**(B) References and recorded validations**

---

<sup>11</sup> Correspondence to the organisation that undertakes Garda Vetting and other documentation

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.



**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

- 1) The non availability of 2 references and recorded validations for staff, students and volunteers in an Early Years/ Pre-School Service is documented as a non compliance on the Inspection Outcome Report (see guidance on Sample Inspection Outcome Report).
- 2) The Service Provider is requested on the Inspection Outcome Report to forward a copy of the received reference(s) and / or recorded validations for the outstanding staff member, student or volunteer in the Service within 6 weeks of issue of the Inspection Outcome Report. The early years inspector records receipt of this on file and inspects the copy of the reference and recorded validation/s and then returns it to the service provider.
- 3) Should the Service Provider not forward the outstanding reference(s) and recorded validations within 6 weeks of issue of the Inspection Outcome Report forward a reminder letter RF1(a) – requesting the information within a further 6 weeks.
- 4) If the request for references and / or recorded validations remains unanswered a second reminder letter is sent RF2(a) requesting immediate response within 6 weeks.
- 5) If the second reminder letter remains unanswered a final letter is sent to the Service Provider RF3(a) requesting immediate response. The Service Provider is also informed that the service provider file has gone to HSE Management for review and consideration including the possibility of legal action. The service provider is requested to make immediate contact with the HSE Early Years Service office.

**(C) Qualifications [where appropriate]**

- 1) The non availability of certified copies of qualifications for staff who state that they are qualified in their CV / Application Form in an Early Years/ Pre-School Service is documented as a non compliance on the Inspection Outcome Report (see guidance on Sample Inspection Outcome Report).
- 2) The Service Provider is requested on the Inspection Outcome Report to forward a certified<sup>12</sup> copy of the qualification for the outstanding staff member, student or volunteer in the Service within 6 weeks of issue of the Inspection Outcome Report. The early years inspector records receipt of this on file and inspects the certified copy of the qualification and then returns it to the service provider.
- 3) Should the Service Provider not forward the outstanding certified copy of the qualification within 6 weeks of issue of the Inspection Outcome Report forward a reminder letter Qual1 (a) – requesting the information within a further 2 weeks.

---

<sup>12</sup> The words ‘**certified copy**’ here should be taken to mean the following:

- That the person carrying on the preschool service has seen and inspected the original certificate of qualification and can verify the copy is ‘a true copy’ or an ‘authentic copy’ of the original.  
-In the absence of an original certificate of qualification, that the copy of the certificate of the qualification bears the stamp of the awarding body/college etc.

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

- 4) If the request for a certified copy of the qualification remains unanswered a second reminder letter is sent Qual2 (a) requesting immediate response within 1 week.
- 5) If the second reminder letter remains unanswered a final letter is sent to the Service Provider Qual3 (a) requesting immediate response. The Service Provider is also informed that the service provider file has gone to HSE Management for review and consideration including the possibility of legal action. The service provider is requested to make immediate contact with the HSE Early Years Service office.

**7.0 Frequency of Review:**

The HSE Early Years Service will annually review this SOP as part of its service quality enhancement.

**8.0 Method used to review operation of this SOP:**

The Standard Operating Procedure will be reviewed by the Early Years Services National Office in conjunction with Early Years Services Inspection Teams.

**9.0 Appendices:**

**Garda Vetting:**

- GV1 (a) - Letter requesting Garda vetting is returned
- GV2 (a) - Reminder request for Processed Garda Vetting
- GV3 (a) - Letter indicating file is gone to Senior Management

**Employee References and recorded Validations of:**

- RF1 (a) - Letter requesting references and recorded validations are returned
- RF2 (a) - Reminder request for references and recorded validations are returned
- RF3 (a) - Letter indicating file is gone to Senior Management

**Qualifications and validation of [where necessary]:**

- Qual 1(a) - Letter requesting certified copy of qualifications are returned
- Qual 2(a) - Reminder request for certified copy of qualifications are returned
- Qual 3(a) - Letter indicating file is gone to Senior Management

## **Letters arising from Inspection Outcome Reports**

**GV1(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**Processed Garda Vetting and Police Clearance [where necessary] in regard to staff**

Dear

I write in connection with the outstanding processed Garda vetting/Police clearance. The Inspection of your service on the (date).....revealed that Garda vetting/Police clearance was unavailable on staff member (name staff member).

Please forward this document to this office within 6 weeks.

Yours sincerely,

---

Inspector (s)

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**GV2(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**Processed Garda Vetting and Police Clearance [where necessary] in regard to staff**

Dear

This is the second reminder letter in connection with the outstanding processed Garda vetting/Policy clearance for a staff member(s) (name) in your Early Years Pre-School Service and to my letter dated.... requesting that a copy of the Garda Vetting / Police Clearance be returned to this office.

Please forward this documentation within 6 weeks. Failure to do so will leave this office with no option but to refer your file to HSE Senior Management for their further consideration.

Yours sincerely,

---

Inspector (s)

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**GV3(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**Processed Garda Vetting and Police Clearance [where necessary] in regard to staff**

Dear

I write in connection with the outstanding Garda Vetting/Police Clearance and to my letters dated .... and .....requesting a copy of the Garda vetting/Police clearance for .....

Please be advised that due to the serious nature of this breach of Regulation 8(2) or /& 8(3) of the above stated regulations and your failure to respond to correspondences that it is being recommended that your file be sent to HSE Senior Management for review and consideration including the possibility of legal action. Please make immediate contact with this office

Yours sincerely,

---

Inspector (s)

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Rf1(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**References for staff and recorded validations of these**

Dear

I write in connection with the outstanding Reference(s) and recorded validations for staff / student / volunteer in your Service. The Inspection of your service on the (date)..... revealed that Reference(s) and recorded validations was unavailable on staff member (name).

Please forward 2 references for this staff member / student / volunteer to this office within 6 weeks.

Yours sincerely,

---

Inspector (s)

FOOTNOTE

Insert staff member, student or volunteer above as required.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Rf2(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**References for staff and recorded validations of these**

Dear

This is the second reminder letter in connection with the outstanding Reference and recorded validations for a staff member (name)..... in your Pre-School Service and to my letter dated.... requesting that the received references and recorded validations be forwarded to this office within 6 weeks.

Please forward 2 references for this staff member within 6 week. Failure to do so will leave this office with no option but to refer your file to HSE Senior Management for their further consideration.

Yours sincerely,

---

Inspector (s)

**FOOTNOTE**

Insert staff member, student or volunteer etc above as required

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Rf3(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**References for staff and recorded validations of these**

Dear

I write in connection with the outstanding References and recorded validations and to my letters dated .... and .....requesting References for (name) .....

Please be advised that due to the serious nature of this breach of Regulation 8(2) or /& 8(3) of the above stated regulations and your failure to respond to correspondences that it is being recommended that your file be sent to HSE Senior Management for review and consideration including the possibility of legal action.

Please make immediate contact with this office

Yours sincerely,

---

Inspector (s)



**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Qual 1(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**Certified copy of qualification/s for staff [where necessary]**

Dear

I write in connection with the outstanding certified copy of qualification/s for staff in your Service. The Inspection of your service on the (date)..... revealed that a certified copy of qualification/s was unavailable on staff member/s (name).

Please forward a certified copy of qualification/s for this staff member to this office within 6 weeks.

Yours sincerely,

---

Inspector (s)

**FOOTNOTE**

Insert staff member, student or volunteer above as required.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013  
**Qual 2(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**Certified copy of qualification/s for staff [where necessary]**

Dear

This is the second reminder letter in connection with the outstanding certified copy of qualification/s for a staff member (name)..... in your Pre-School Service and to my letter dated.... requesting that the certified copy of qualification/s be forwarded to this office within 6 weeks.

Please forward 2 references for this staff member within 1 week. Failure to do so will leave this office with no option but to refer your file to HSE Senior Management for their further consideration.

Yours sincerely,

---

Inspector (s)

FOOTNOTE

Insert staff member, student or volunteer above as required

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Qual 3(a)**

**Date**

**Name & Address**

**RE: Child Care (Pre-School Services) (No2) Regulations 2006 & Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

**Certified copy of qualification/s for staff [where necessary]**

Dear

I write in connection with the outstanding certified copy of qualification/s and to my letters dated .... and .....requesting References for (name) .....

Please be advised that due to the serious nature of this breach of Regulation 8(2) or /& 8(3) of the above stated regulations and your failure to respond to correspondences that it is being recommended that your file be sent to HSE Senior Management for review and consideration including the possibility of legal action.

Please make immediate contact with this office

Yours sincerely,

---

Inspector (s)

**Examples of Inspection Outcome Reports [IOR] Documentation**

**EXAMPLE 1 Garda Vetting**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records)		
Compliant ✓	Non- Compliant	Not Applicable
Compliance Information:	The processed Garda vetting form/Police clearance records were available for all staff, students and volunteers on work placement .	
Non-Compliance Information:		
Action Required:		

**EXAMPLE 2 Garda Vetting**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records)		
Compliant	Non- Compliant ✓	Not Applicable
Compliance Information:	Processed Garda Vetting was available for 12 staff of the 13 staff members in your service.	
Non-Compliance Information:	Processed Garda vetting <i>form</i> /Police clearance was not available for (number) staff member in the Service. It was noted that the application for Garda vetting/Police clearance was submitted to Garda vetting Control Unit on <u>date</u> .	
Action Required:	<ul style="list-style-type: none"> <li>• A copy of the <i>received</i> processed Garda vetting/Police clearance must be forwarded to this office within 12 weeks of the issue of this report.</li> <li>• The staff member without Garda vetting/Police clearance must never be left alone with children. He/she must be supervised at all times until the processed Garda Vetting / Police Clearance is returned and evaluated.</li> </ul>	

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
 Issued: 15/05/2013  
 Implementation 20/05/2013  
 Review: 20/09/2013

**EXAMPLE 3 Garda Vetting**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records)		
Compliant	Non- Compliant ✓	Not Applicable
Compliance Information:	Processed Garda Vetting/Police clearance was available for 4 out of 5 staff members in the service.	
Non-Compliance Information:	Police clearance was not available for 1 staff member who lived outside of Ireland and U.K. between 2007–2009.	
Action Required:	<ul style="list-style-type: none"> <li>• Police clearance must be obtained for this staff member immediately.</li> <li>• A copy of the police clearance must be forwarded to this office on receipt.</li> <li>• No staff member should be left unsupervised without Garda Vetting or Police clearance.</li> </ul>	

**EXAMPLE 4 Garda Vetting**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records)		
Compliant	Non- Compliant ✓	Not Applicable
Compliance Information:	Processed Garda Vetting was available for all staff members in the service.	
Non-Compliance Information:	Garda vetting was not available for 1 student on a 3 month work placement in your Service.	
Action Required:	<ul style="list-style-type: none"> <li>• The student on work placement without Garda vetting in your Service must never be left unsupervised or alone with children or included in the overall adult/child ratios for the Service.</li> <li>• A copy of the processed Garda Vetting for this student must be secured and forwarded to this office. This will be returned to the Service Provider.</li> <li>• It is advisable that the student in securing the placement in Early Years / Pre-School Service be provided with a copy of the processed Garda Vetting to enable transfer to the service provider prior to the placement.</li> </ul>	

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
 Issued: 15/05/2013  
 Implementation 20/05/2013  
 Review: 20/09/2013

**EXAMPLE 1 References**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records)		
Compliant ✓	Non- Compliant	Not Applicable
Compliance Information:	The References and recorded validations were available for all staff (students and volunteers on work placement).	
Non-Compliance Information:		
Action Required:		

**EXAMPLE 2 References**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records)		
Compliant	Non- Compliant ✓	Not Applicable
Compliance Information:	References and recorded validations were available for 3 of the 4 staff in the pre-school service.	
Non-Compliance Information:	References were not available for 1 staff member in the service. <u>RECORDED VALIDATION OF REFERENCE NOT ON FILE FOR 2 STAFF MEMBERS</u>	
Action Required:	<ul style="list-style-type: none"> <li>• 2 References AND RECORDED VALIDATIONS for this staff member must be forwarded to this office within 6 weeks of issue of this report.</li> <li>• The staff members without References must never be left alone with children. He/she must be supervised at all times until the References are returned and evaluated.</li> <li>• <u>References and validation of reference must be obtained</u></li> <li>• <u>REFERENCES &amp; RECORDED VALIDATIONS OF REFERENCES MUST BE PUT ON FILE ALSO</u></li> </ul>	

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
 Issued: 15/05/2013  
 Implementation 20/05/2013  
 Review: 20/09/2013

**EXAMPLE 3 References**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records)		
Compliant	Non- Compliant ✓	Not Applicable
Compliance Information:	All staff members in the service had 2 References available.	
Non-Compliance Information:	References were not available for 1 student on a 3-month work placement in your service. <u>RECORDED VALIDATIONS OF REFERENCES WERE NOT COMPLETED IN REGARD TO A STAFF MEMBER</u>	
Action Required:	<ul style="list-style-type: none"> <li>• The student on work placement without 2 References in your service must never be left unsupervised or alone with children or included in the overall adult/child ratios for the service.</li> <li>• 2 References and recorded validations from reputable sources must be secured and copies forwarded to this office within 6 weeks of issue of this report.</li> <li>• <u>RECORDED VALIDATIONS OF REFERENCES MUST BE PUT ON FILE ALSO</u></li> </ul>	

**EXAMPLE 1 QUALIFICATIONS**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records) AND Section 33 Enforcement		
Compliant ✓	Non- Compliant	Not Applicable
Compliance Information:	The References were available for all staff (students and volunteers on work placement). <u>Certified copies of qualifications were on file for all staff</u>	
Non-Compliance Information:		
Action Required:		

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
 Issued: 15/05/2013  
 Implementation 20/05/2013  
 Review: 20/09/2013

**EXAMPLE 2 Qualifications**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records) AND Section 33 Enforcement		
Compliant	Non- Compliant ✓	Not Applicable
Compliance Information:	Inspectors were informed that 4 staff were Qualified. Certified copies of qualification were available for 3 of the 4 staff in the pre-school service, who were qualified.	
Non-Compliance Information:	Certified copy of qualification was not available for 1 staff member in the service.	
Action Required:	<ul style="list-style-type: none"> <li>• Certified copy of qualification must be obtained and placed on the personnel file for that staff member</li> <li>• Copies of qualifications must be forwarded within 6 weeks of issue of this report.</li> </ul>	

**EXAMPLE 3 Qualifications**

Information on Management & Staffing and Records		
Regulation 8 and 14 (Management & Staffing and Records) AND Section 33 Enforcement		
Compliant	Non- Compliant ✓	Not Applicable
Compliance Information:	All staff members in the service had certified copies of qualifications on file.	
Non-Compliance Information:	However the Service Manager [See 5.2 of the National Standards] had not a certified copy of qualification on personnel file.	
Action Required:	<ul style="list-style-type: none"> <li>• However the Service Manager must obtain and place a certified copy of qualification on their personnel file.</li> <li>• A copy of same must be forwarded to this office within 6 weeks of issue of this report.</li> </ul>	



## **Regulation 12**

### **EARLY YEARS SERVICES FIXING OF NUMBER OF CHILDREN ATTENDING AN EARLY YEARS SERVICE**

#### **1. Purpose**

To ensure that an Early Years Service provider adheres to the relevant space requirements, adult : child ratios, group sizes and age of the children when determining the number of preschool children that can be catered for at the same time in any premises in which a preschool service is being carried on.

The number of preschool children attending a service at any time can be fixed where the health, safety and welfare of the preschool children attending the service is compromised due to:

- The age range of the children in attendance
- Adult : child ratios
- Group size
- Space per child

#### **2. Scope**

All notified Early Years services

#### **3. Responsibility**

Early Years Inspection Service

#### **4. Relevant Legislation & Standards**

- Child Care Act 1991
- Child Care (Pre-School Services) (No 2) Regulations 2006 [S.I. No. 604 of 2006]
- Child Care (Pre-School Services) (No 2) (Amendment) Regulations 2006 [S.I. 643 of 2006].
- Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection (DOH&C 2006)
- National Standards for Preschool Services [DOHC 2010]

#### **5. Relevant Forms/documents**

Early Years Inspection Tool

Early Years Inspection Outcome Report

Letter of response to Pre-School Provider to fix number of children attending service FN1

Letter following decision of representation FN2

Letter following decision on request to seek amendment to decision FN3

## **6. Procedure**

- 6.1 The premises and the service are inspected.
- 6.2 Where non compliances have been identified the decision may be made to fix the maximum number of preschool children who may be catered for at the same time in the premises, having regard to the relevant space requirements, adult:child ratios, group sizes and age of the children. The provider is informed verbally that a decision is being made to fix the number of preschool children attending the service.
- 6.3 Letter FN1 sent to service provider to inform of decision with reason and explanation of the representation process.
- 6.4 If representation is not received within 21 days, document this information on the file and continue with the process
- 6.5 If representation is received by the Early Years Services Inspection Team it is forwarded to the Area Manager, Children & Family Services or their Designated Officer who reviews the file in consultation with relevant others where appropriate and notifies the service provider in writing with a decision (FN2).
- 6.6 The service provider may apply in writing to the Area Manager, Children & Family Services or their Designated Officer at any time after the decision is made, seeking amendment of the decision on the grounds that the circumstances which led to the decision have changed
- 6.7 The Area Manager, Children & Family Services or their Designated Officer reviews the correspondence and file and sends letter FN3 to provider with decision.
- 6.8 The inspection team should be informed of the Area Manager, Children & Family Services or their Designated Officer's decision
- 6.9 The Early Years file is updated with relevant decisions and copies of letters sent and received.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**FN1(a)**

Date

Name

Address of Preschool

**RE: “Fixing the maximum number of children that can be catered for in a service”**

Regulation 12 (1), Child Care (Pre School Services) (No 2) Regulations 2006 and  
Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear

An inspection of (name of the premises) was carried out on the *date by (insert name of inspection team members) under the above regulations*

*The findings of the inspection in relation to numbers are as follows:*

(E.g. The number of children present in each room, their ages, type of service availed of and adult /child ratio can be documented in a table if more than one room)

Age of child	Type of Service <sup>13</sup>	Number of children present	Number of Adults available	number of adults required	Space available	Space required
0-1						
1-2 etc						
Total						

There was (insufficient space/inadequate number of adults available to supervise the children) in the service at the time of the inspection taking into account the ages of the children and their length of stay

In accordance with Regulation 12 (1), Part 111 of the Child Care (Pre School Services) (No 2) Regulations 2006 and of the Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006 a decision has been made to fix the maximum number of children that can be catered for in the above service at \*\* children at any one time because of the reasons stated above. **Or** a decision has been made to fix the maximum number of children that can be catered for in the above service at \*\* children at any one time because of the reasons stated above and because of the ongoing breach of the (adult /child ratio, space requirements, group size) as highlighted on previous inspections dated and detailed as follows

<sup>13</sup> If the Service is an ECCE service – the applicable adult : child ratios apply.

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

- 
- 
- 

If you wish to make representation on this decision you can write to (**Area Manager, Children & Family Services or their Designated Officer, name, address and contact details**) within 21 days of receipt of this notice. This representation will be reviewed and you will receive written notification of the decision of this representation.

You may seek further amendment of this decision if circumstances change within your premises. This must be requested in writing.

Should you require any further clarification on this matter please do not hesitate to contact this office.

Yours sincerely,

Yours sincerely,

---

Early Years Inspection Service

---

Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013  
**FN2(a)**

Date

Name

Address of Preschool

**RE: Response to representation made by a service provider in regard to a decision by Early Years Services to fix the maximum number of preschool children who may be catered for at the same time in your premises.**  
Regulation 12(3), Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006.

Dear

I refer to your correspondence received on (date) with regard to representation made on the decision by the HSE to fix the maximum number of preschool children who may be catered for at the same time in your premises.

In accordance with Regulation 12 (2), Part 111 of the Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006 having taken your written representation into consideration and having reviewed the information available on your file regarding this matter a decision to ( proceed with the fixing of the maximum number of preschool children which can be catered for at the same time in your premises has been made)

**or**

a decision not to proceed with the fixing of the maximum number of preschool children which can be catered for at the same time in your premises has been made on this occasion.

Reason: *(fill in relevant reason)*

You may seek further amendment of this decision if circumstances change within your premises. This must be submitted in writing to the Regional Director of Children and Families [**insert name, address and contact details**].

Should you require any further clarification on this matter please do not hesitate to contact this office.

Yours sincerely

---

Area Manager, Children & Family Services (or their Designated Officer)

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**FN3(a)**

Date

Name

Address of Preschool

**RE: Consideration of representations made and decision whether the maximum number fixed be amended.**

Regulation 12 (5), 12 (6) Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006.

Dear

I refer to your correspondence received on (date) with regard to your request to amend the decision by the HSE in correspondence dated. .... to fix the maximum number of preschool children who may be catered for at the same time in your premises.

In accordance with Regulation 12 (5)(6), of Part III of the Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006 and having taken into account your written representation to amend the decision on the grounds that the circumstances which led to the decision have changed.

I wish to advise you that it has been agreed to (amend the decision) or ( to uphold the decision) to fix the maximum number of preschool children who may be catered for in the premises at any one time for the following reasons

- 
- 

You may seek further amendment of this decision if circumstances change within your premises. This must be requested in writing. You should note that you are obliged to adhere to the 'number fixed' [e.g. the maximum number of preschool children who may be catered for at the same time in your premises] as outlined in this correspondence.

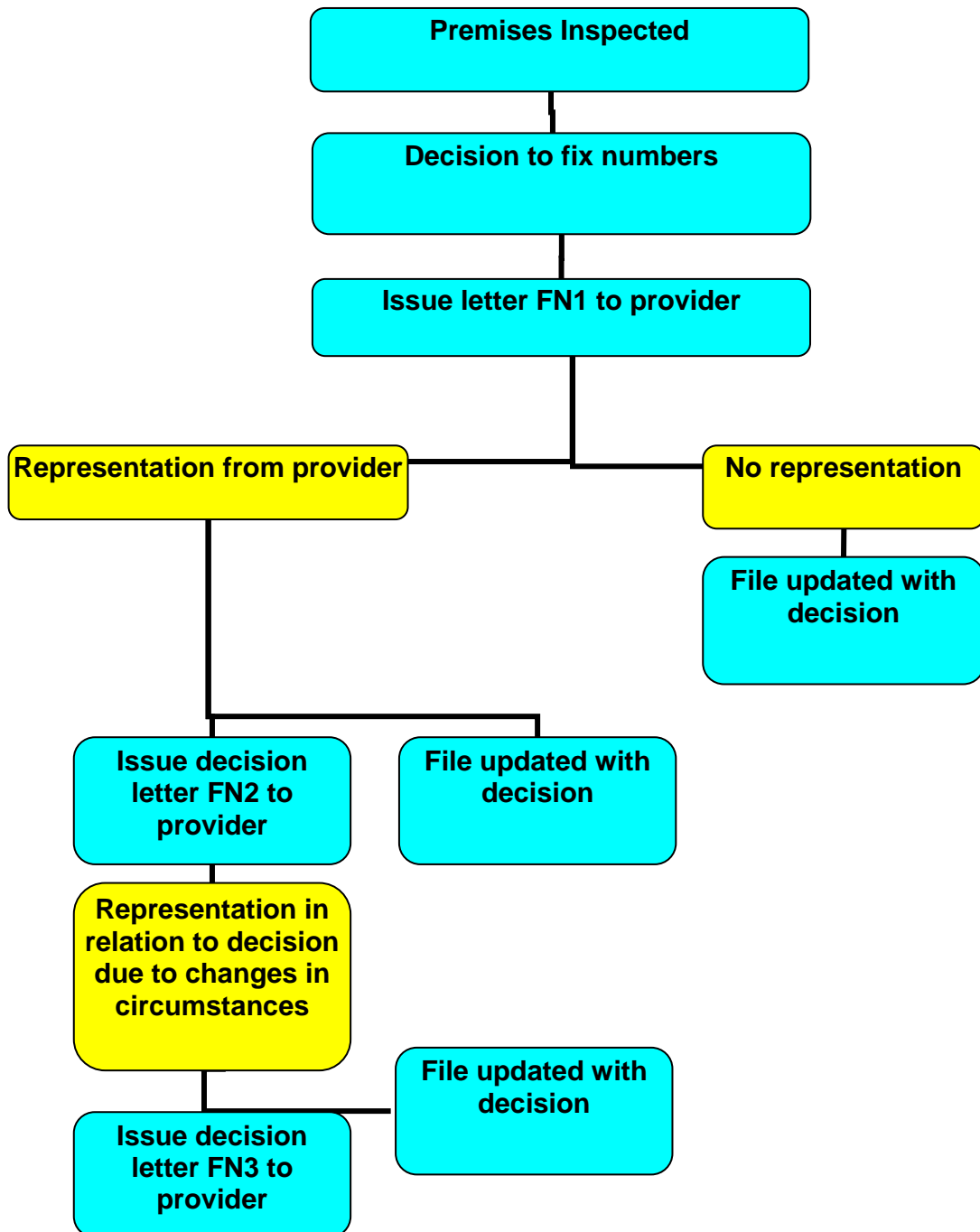
Should you require any further clarification on this matter please do not hesitate to contact this office.

Yours sincerely

---

Service Director of Children & Family Services (or their Designated Officer)

**FLOW CHART**  
*EARLY YEARS SERVICES FIXING OF NUMBER OF CHILDREN ATTENDING AN EARLY YEARS SERVICE*



## **Regulation 31**

### **ANNUAL FEE [AND EXEMPTIONS]**

#### **1. PURPOSE**

To ensure all Early Years Service providers pay annual fees (unless exemption applies) in accordance with the Regulation.

The Annual Fee is submitted to the Early Years Service. The annual fee is payable on the first anniversary of notification of the service to the Early Years Service and on an annual basis thereafter. Early Years Service providers will be notified in writing when the fee is due for payment. Early Years Service providers can make 'application' for exemption from paying fees.

#### **2. SCOPE**

Early Years Service providers as appropriate

#### **3. RESPONSIBILITY**

Early Years Inspection Service.

#### **4. RELEVANT LEGISLATION/ DOCUMENTS**

Child Care Act 1991

Child Care (Pre-School Services) (No 2) Regulations 2006 [S.I. No. 604 of 2006]

Child Care (Pre-School Services) (No 2) (Amendment) Regulations 2006 [S.I. 643 of 2006].

Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection (DOH&C 2006)

National Standards for Preschool Services [DOHC 2010]

#### **5. RELATED FORMS/RECORDS**

Request for Annual Fee (AF1)

Acknowledgement of Fees (AF2)

Acknowledgement Exemption Form (AF3)

Change in Circumstances Form (NP5)

#### **6. PROCEDURE**

6.1 Request for Annual Fee letter (AF1) and the Change of Circumstances Form (NP5) is sent out to all notified service providers.

6.2 On receipt of correct annual fee and completed Change of Circumstances Form (NP5), cheque is date stamped and forwarded to relevant accounts department (Local arrangements may apply).

6.3 Acknowledgment of receipt of fees (AF2) or request for exemption (AF3) is forwarded to service provider.

6.4 Update premises file/premises database/annual fees database.



**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**AF1(a)**

Date  
Name  
Address of Preschool

**RE: Annual Fees – payment of**

Regulation 31, Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Service Provider,

Under Part VII of The Child Care Act 1991 and in accordance with Part VI Regulation 31 (1) of the Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006 an Annual Fee is payable by a preschool service towards the cost of inspection.

The Health Service Executive is now requesting payment of this fee for the year (*specify year*). The appropriate fees are detailed as follows:

<b>Full Day Care</b>	<b>€80.00</b>
<b>Sessional Care</b>	<b>€40.00 (less than 3.5 hours per day)</b>
<b>Child Minder</b>	<b>€40.00</b>
<b>Drop-In</b>	<b>€80.00</b>
<b>Part Time Day Care</b>	<b>€80.00</b>
<b>Overnight Pre-School Services</b>	<b>€80.00</b>

In accordance with Regulation 31 (2) the annual fee is payable on the first anniversary of notification of the service to the HSE and on an annual basis thereafter. You will be notified in writing when the fee is due for payment.

Applications for an exemption from the fee will be considered from services where a child is not maintained for profit. Such applications should be accompanied by a letter from the service provider / committee / board of management outlining the reasons for such a request. Please indicate clearly the name and address of chair person [where appropriate].

**Please complete the enclosed form (NP5) and return to this office with the appropriate fee or written request for an exemption within 28 days**

Yours sincerely

\_\_\_\_\_  
Early Years Inspection Service

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

Page 33 of 82

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

---

*Please detach this portion and include with your payment or request for exemption. If requesting an exemption please include a letter detailing reasons for request.*

Name \_\_\_\_\_ Amount enclosed € \_\_\_\_\_

Address \_\_\_\_\_

Name of Pre-School Service \_\_\_\_\_

Address of Pre-School Service \_\_\_\_\_

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**AF 2(a)**

Date  
Name  
Address

**RE: Annual Fees – payment of**

Regulation 31, Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Service Provider,

I wish to acknowledge receipt of Postal Order / Money Order / Cheque / other [delete as appropriate] for the sum of €40.00 / €80.00 in respect of the annual fee for (*Name of Pre-School Service*) required under the above Regulation.

An official receipt is enclosed / will be issued to you in due course (*delete as appropriate*).

If you have any queries, please do not hesitate to contact me at the above number/ address.

Yours sincerely

---

Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**AF 3(a)**

Date

Name

Address of Preschool

**RE: Annual Fees – exemption**

Regulation 31, Child Care (Pre School Services) (No 2) Regulations 2006 and of the Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Service Provider,

Thank you for your correspondence regarding the above premises.

Your request for exemption of the annual fee has been granted. However this exemption remains open to review if circumstances change.

Or your request for an exemption has been declined for the following reason(s)

- 
- 

Yours sincerely

---

Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**NP 5(a)**

**In accordance with Regulation 11 (1) of the Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006 the following notification is required to be completed where a change in the notification details of a service occur.**

**Notification in change in Circumstances**

Name of Early Years Service: \_\_\_\_\_

Address: \_\_\_\_\_

Contact Details: \_\_\_\_\_

No. of children catered for in the Premises: \_\_\_\_\_

Age range of children to be catered for: \_\_\_\_\_

No. of staff employed: \_\_\_\_\_

Manager/Designated Person  
In charge: \_\_\_\_\_

Current Community Chairperson  
(If applicable): \_\_\_\_\_

Company Secretary  
(If applicable): \_\_\_\_\_

Opening Hours: \_\_\_\_\_

Days of Operation: \_\_\_\_\_

Please outline any change  
In notified circumstances: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please add page if necessary.

Print Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Position \_\_\_\_\_ Date: \_\_\_\_\_

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**REGULATION 10**  
**REGULATION 11(1)**  
**REGULATION 11(2)**

**NOTIFICATION OF AN EARLY YEARS SERVICE**  
**NOTIFICATION IN CHANGE OF CIRCUMSTANCES**  
**NOTIFICATION OF CESSATION OF AN EARLY YEARS SERVICE**

**1. Purpose**

All notifications submitted to Early Years Services of the HSE

- To ensure that an Early Years Service providers notify the HSE in accordance with statute
- To ensure that any change in particulars in the notification are recorded on the Pre-School Notification schedule.
- To define the process for dealing with notified pre-school services that cease to operate.

**2. Scope**

All notified Early Years services

**3. Responsibility**

Early Years Inspection Service

**4. Relevant Legislation**

Child Care Act 1991

Child Care (Pre-School Services) (No 2) Regulations 2006 [S.I. No. 604 of 2006]

Child Care (Pre-School Services) (No 2) (Amendment) Regulations 2006 [S.I. 643 of 2006].

Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to

Requirements and Procedures for Notification and Inspection (DOH&C 2006)

National Standards for Preschool Services [DOHC 2010]

**5. Relevant Forms/documents**

Notification of Early Years Service (Pre-School Service) **(NP1)**

Guidance to completion of Early Years (Pre-school) Services Notification schedule **(NP2)**

Cover letter for notification schedule **(NP 3)**

Acknowledgement of Receipt of Notification schedule **(NP 4)**

Change of circumstances form **(NP 5)**

Letter re cessation to accompany **NP6 (2)**

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

Notification form of cessation of service **NP 6 (1)**

Acknowledgement of correspondence regarding cessation of service (**NP 7**)

## **6. Procedure**

- 6.1 All Notification Schedules are date stamped on arrival into Early Years Inspection Service (**NP1**)
- 6.2 The form is assessed by the Early Years Inspection Service to ensure that it is a valid notification and that all sections are appropriately completed.
- 6.3 Invalid / incomplete forms are returned to the service provider outlining reason for non-acceptance.
- 6.4 Where the form is valid an acknowledgement of the notification is issued by written correspondence (**NP 4**)

### **Change in Circumstances.**

- 6.5 Change of circumstance form (**NP 5**) is routinely forwarded with notification of annual fees due. (**AF1**)
- 6.6 Where an Early Years service notifies the HSE in writing of any change in the particulars in the service which is not received on NP5, the NP5 form is forwarded to provider for completion
- 6.7 On receipt of NP5 date stamped and filed.

### **Cessation of Service.**

- 6.8 When the Early Years Inspectorate is made aware of a pre-school ceasing to operate or possible cessation to operate, the provider is requested to give notice in writing of cessation by completing the NP6(1) form. As appropriate NP6(2) is forwarded
- 6.9 On receipt of the written notice to cease (NP1) a letter acknowledging the closure is sent to the provider. (**NP 7**)
- 6.10 On receipt of NP6 the service is verified as being closed. Verification has to be based on recorded notes of a telephone call or visit and is recorded on file.
- 6.11 If a written Notice to Cease is not received, the inspection team must verify closure of the service.
- 6.12 The Data-base recording the 'List of Notified Pre-school Services' is updated

**NP1(a)**

**HSE Office Address &  
Phone No.**



Feidhmeannacht na Seirbhíse Sláinte  
Health Service Executive

**Notification of Early Years Service (Pre-School Service)**

Child Care Act 1991, Part VII, Child Care (Pre-school Services) (No 2) Regulations 2006 and Childcare (Pre-school Services) (No2) (Amendment) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection

**Before completing this form please read:**  
**“Guide to Completion of Early Years Service (Pre-School Services) Notification Form” attached.**



**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**SCHEDULE (This section must be completed for all Notifications)**

*Notification to the Health Service Executive by a person proposing to carry on a pre-school service.*

I \_\_\_\_\_ aged over eighteen years, hereby give notice to the Health Service Executive that it is my intention to carry on a pre-school service situated at:

Name of pre-school service: \_\_\_\_\_

Address of pre-school: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone No.: \_\_\_\_\_

Mobile No.: \_\_\_\_\_

Fax No.: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Type of facility – Please tick as appropriate

Childminding Service	
Full Day Care Service	
Overnight Pre-School Service	
Part-time Day Care Service	
Pre-School Service in a drop-in centre	
Pre-School Service in a temporary drop-in centre	
Sessional Pre-School Service	

Have you previously contacted the Health Service Executive to avail of their pre-school advisory service?  Yes  No

If yes, date of contact: \_\_\_\_\_

**If the pre-school service is carried on by an individual, please complete Section 1, 3 and 4.**

**If the pre-school service is carried on by an organisation such as a voluntary group, company or other body, please complete Section 2, 3 and 4.**

### **Section 1 (Service Provider)**

#### **Service Provider Details**

Name: _____
Previous Name(s): _____
Date of Birth: _____
Home Address: _____ _____
Home Telephone No.: _____ Mobile No. : _____
Fax No.: _____ E-mail address: _____
(a) Relevant qualification(s) (title and date of qualification(s), name of organisation granting qualification(s)/awarding body(ies)).
Qualification(s): _____ _____
Name of Organisation(s)/awarding body(ies): _____ _____
Address of Registered Office of Organisation(s) or awarding body(ies): _____ _____

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

---

(b) Relevant experience including previous voluntary or paid work with children.

Insert details here (use additional sheet if necessary): \_\_\_\_\_

---

---

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Person in Charge of Operating the Service (Only if different from Service Provider)**

Name: \_\_\_\_\_

Previous Name(s): \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Home Address: \_\_\_\_\_

\_\_\_\_\_

Home Telephone No.\*: \_\_\_\_\_ Mobile No.\*: \_\_\_\_\_

Fax No.\*: \_\_\_\_\_ E-mail address\*: \_\_\_\_\_

*\* only if different from the above*

- (a) Relevant qualification(s) (title and date of qualification(s), name of organisation granting qualification(s)/awarding body(ies)).

Qualification(s): \_\_\_\_\_

\_\_\_\_\_

Name of Organisation(s)/awarding body(ies): \_\_\_\_\_

\_\_\_\_\_

Address of Registered Office of Organisation(s) or awarding body(ies): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- (b) Relevant experience including previous voluntary or paid work with children.

Insert details here (use additional sheet if necessary): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## **Section 2 (Service run by an Organisation)**

### **Details of Organisation**

Name of Organisation: _____
Address of Organisation: _____ _____
Telephone No.: _____ Mobile No. : _____
Fax No.: _____ E-mail address: _____
Name of person acting on behalf of Organisation: _____
Position in Organisation: _____
Address (if different from above): _____ _____
Home Telephone No.*: _____ Mobile No. *: _____
Fax No.*: _____ E-mail address*: _____
<i>* only if different from the above</i>

### **For Registered Companies only**

Name of Company: _____
Address of Registered Office: _____ _____
Company Secretary Name: _____
Company Registration No. (if applicable): _____

**Person in Charge of Operating the Service**

Name: \_\_\_\_\_

Previous Name(s): \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Home Address: \_\_\_\_\_  
\_\_\_\_\_

Home Telephone No.: \_\_\_\_\_ Mobile No. : \_\_\_\_\_

Fax No.: \_\_\_\_\_ E-mail address: \_\_\_\_\_

(a) Relevant qualification(s) (title and date of qualification(s), name of organisation granting qualification(s)/awarding body(ies)).

Qualification(s): \_\_\_\_\_  
\_\_\_\_\_

Name of Organisation(s)/awarding body(ies): \_\_\_\_\_  
\_\_\_\_\_

Address of Registered Office of Organisation(s) or awarding body(ies): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) Relevant experience including previous voluntary or paid work with children.

Insert details here (use additional sheet if necessary): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section 3**

- (a) Is service operating in a domestic dwelling  Yes  No
- (b) State the number of children it is proposed to cater for in the premises: \_\_\_\_\_  
Age range of children to be catered for: \_\_\_\_\_
- (c) Number of staff employed: \_\_\_\_\_
- (i) Adult childcare staff (working directly with children): \_\_\_\_\_
- (ii) Student childcare staff: \_\_\_\_\_
- (iii) Ancillary staff (staff not working directly with children): \_\_\_\_\_
- d) Days of opening: \_\_\_\_\_
- e) Hours of opening: \_\_\_\_\_
- (f) No. of weeks open: \_\_\_\_\_
- (g) No. of weeks closed (if appropriate): \_\_\_\_\_
- (h) Dates closed (if appropriate)
- |     | from  | to    |
|-----|-------|-------|
| (1) | _____ | _____ |
| (2) | _____ | _____ |
- (i) Duration of service and nature of event (in the case of a pre-school service in a temporary drop-in Centre): \_\_\_\_\_  
\_\_\_\_\_

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

<p><b>Section 4:</b> Declaration</p> <p><i>The owner of a private pre-school service or the Chairperson of a community service (i.e. the person who has overall responsibility for running the service), must sign this Declaration.</i></p> <p>I declare that all the information set out in this notice is correct.</p> <p>Signed _____ Date: _____</p>
---

Please detail below easy to follow-directions to your premises: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



## ***GUIDE TO COMPLETION OF EARLY YEARS SERVICE (PRE-SCHOOL SERVICES) NOTIFICATION FORM***

Regulations 10 and 11 of the Child Care (Pre-School Services) (No. 2) Regulations 2006 set out the requirements with regard to the Notification of a Pre-School Service:

### **Regulation 10 (Notice to be Given by Person Proposing to Carrying on a Pre-School Service)**

- (1) Where a person proposes to carry on a pre-school service that person shall, at least 28 days before the commencement of the service, give notice in writing to the Health Service Executive.*
- (2) Notwithstanding paragraph (1) herein, where a person proposes to carry on a pre-school service in a temporary drop-in centre, that person shall, at least 14 days before the commencement of the service, give notice in writing to the Health Service Executive.*
- (3) A notice under paragraph (1) or (2) of this Regulation shall be in the form set out in the Schedule to these Regulations or in a form to the like effect which shall contain all the particulars specified in that form.*

### **Regulation 11 (Notification of Change of Circumstances)**

- (1) A person carrying on a pre-school service shall, within 28 days, notify in writing the Health Service Executive of any change in the particulars contained in the notice given by that person in the Schedule to these Regulations or in a form to the like effect.*
- (2) A person who ceases to carry on a pre-school service shall, within 14 days of the cessation of the service, give notice in writing to the Health Service Executive.*

### **General Guidance:**

In accordance with the requirements listed under Regulation 10 and Regulation 11 above, a notification form must be completed and submitted to the HSE at least 28 days prior to commencement of the pre-school service, and at least 14 days prior to the commencement of a temporary drop-in centre. The HSE must be notified within 28 days of any change in the particulars detailed in the notification form submitted upon commencement of the pre-school service. The HSE must also be notified in writing within 14 days of the cessation of the pre-school service.

Queries regarding the completion of this form or notification procedure should be directed to your local Pre-School Services Office in the Health Service Executive.

Where an information request may be not applicable, either record N/A for “not applicable” in that part or score a line through to indicate this.

The local HSE office address should be inserted in the box on front cover of the Notification Form. It is recommended that these forms are printed on orange paper for ease of identification.

## **SCHEDULE**

This section is to be completed by:

The owner of a private pre-school service **or** the Chairperson of a community service (i.e. the person who has overall responsibility for running the service.) In this section write your name, address and the name and address of the pre-school service and contact details. The name of the pre-school may not be applicable to childminders operating under their own name or temporary drop-in centres

The following types of childcare services are required to notify the Health Service Executive:

- A **Childminding** service is a pre-school service, which may include an overnight service, offered by a person who single-handedly takes care of pre-school children, including the childminder’s own children in the childminders home for a total of more than 2 hours per day, except where the exemptions provided in Section 58 of the Child Care Act 1991 apply.

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

- A **Full Day Care** service is a pre-school service offering a structured day care service for pre-school children for more than 5 hours per day, and which may include a sessional pre-school service for pre-school children not attending the full day care service.
- An **Overnight** pre-school service is a service in which pre-school children are taken care of for a total of more than 2 hours between the hours of 7pm and 6am except where the exemptions provided in Section 58 of the Child Care Act 1991 apply.
- A **Part-Time Day Care** service means a pre-school service offering a structured day care service for pre-school children for a total of more than 3.5 hours and less than 5 hours per day; and which may include a sessional pre-school service for pre-school children not attending the part-time day care service.
- A pre-school service in a **Drop-in Centre** is a pre-school service offering day care which is used exclusively on an intermittent basis.
- A pre-school service in a **Temporary Drop-in Centre** means a pre-school service offering day care exclusively on a temporary basis.
- A **Sessional** pre-school service is a pre-school service offering a planned programme to pre-school children for a total of not more than 3.5 hours per session.

**The type of service or types of services (where more than one type of service is provided in the premises) must be clearly indicated.**

## **SECTION 1**

Section 1 is to be completed where an individual (usually a private provider) is the person carrying on the pre-school service. Where the individual carrying on the pre-school service (service provider) and the adult in charge of operating the pre-school service are the same person, it is sufficient to record details in part (a) and (b) only. If completing Section 1, do not complete Section 2, instead proceed to Sections 3 and 4.

## **SECTION 2**

Section 2 is to be completed where the pre-school service is carried on by an organisation such as a voluntary group, company or other body. The name of the person acting on behalf of the Organisation should be the person who has overall responsibility for running the service (i.e. Chairperson). Parts (a) and (b) of Section 2 refers to the adult in charge of operating the pre-school service (i.e. play leader/manager)

## **SECTION 3**

In part (a) domestic dwelling relates to all or part of a persons own home, used as the setting for a pre-school service.

In part (b), the number of children catered for in the premises means the total number of pre-school places that the service can provide at any one time (i.e. maximum capacity). An approximate number will suffice where a service proposes to cater for a range of ages making an exact calculation difficult to determine.

In part (c), the number of staff employed should be the sum of subsections (i), (ii) and (iii). Part d) and e) are self explanatory.

In part (f) and (g), information on weeks open or closed in the service is intended for open and closed periods of one or more weeks. Service closure for occasional days and bank holidays do not need to be recorded. Where exact dates are not known, approximate dates for relevant closure periods should be recorded (e.g. Christmas, Easter, Halloween, Summer, other).

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

Part (i) relates to temporary drop-in services only.

## **SECTION 4**

This section must be signed by the person proposing to carry on the pre-school service (i.e. the service provider) or the Chairperson as mentioned in the Schedule. This person is legally responsible for operating the pre-school service.

### **ANNUAL FEES (Regulation 31)**

1. A person carrying on a pre-school service shall pay to the Health Service Executive an annual fee towards the cost of inspections under Part VII of the Act and the amount of such fee shall be:
  - (a) where the service provided does not exceed 3.5 hours in the day - €40.00
  - (b) childminding service - €40.00
  - (c) in all other cases - € 80.00
2. The Health Service Executive shall, as near as may be to the first anniversary of the notification referred to in Regulation 10 of these Regulations, and annually thereafter, notify the person carrying on a pre-school service of the annual fee to be paid to it by that person.
3. The person carrying on a pre-school service shall, within 28 days of the receipt by him or her of a notification under paragraph (2) of this Regulation pay the Health Service Executive the fee specified in the notification.
4. The Health Service Executive may exempt from a fee a person carrying on a pre-school service in which no pre-school child is maintained for profit. This in particular applies to Community Playgroups.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**NP3 (a)**

Date

Name

Address of Pre-school

**RE: Notification of an Early Years Service**

Regulation 10, Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Service Provider,

Please find enclosed:

Notification of Early Years Service (Pre-School Service) Schedule & Guide to Completion of Early Years Service (Pre-School Service) Notification Form.

Please complete and return to the above address. If you have any queries please contact this office (details above/below).

There is no fee payable with notification form however an annual fee towards the cost of inspection is payable on the first anniversary of notification and on an annual basis thereafter. You will be notified when the fee is due to be paid.

Yours Sincerely

---

Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**NP 4(a)**

Date

Name

Address of Preschool

**RE: Acknowledgement of Notification of an Early Years Service**

Regulation 10, Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Service Provider,

I wish to acknowledge receipt of your completed Notification of Early Years Service (Pre-School Service) received on the \_\_\_\_\_ for (name and address of service)

An Inspection of your service will take place in due course. Please be advised that the service will be inspected under the Child Care (Pre-School Services)(No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection.

The Early Years Service Provider is now listed as ..... You must notify this office in writing within 28 days of any change to the particulars contained in your Notification Form.

If you intend to cease operating you must notify this office within 14 days of the cessation of the service.

Failure to provide such information is an offence under the Regulations.

If you have any queries regarding the above please don't hesitate to contact this office.

Yours Sincerely

\_\_\_\_\_

Early Years Inspection Service

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013  
**NP 5(a)**

**In accordance with Regulation 11 (1) of the Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006 the following notification is required to be completed where a change in the notification details of a service occur.**

**Notification in change in Circumstances**

Name of Pre-School Service: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Contact Details: \_\_\_\_\_  
No. of children catered for in the premises: \_\_\_\_\_  
No. of staff employed: \_\_\_\_\_  
Manager/Designated Person  
in charge: \_\_\_\_\_  
Current Community Chairperson  
(If applicable): \_\_\_\_\_  
Company Secretary  
(If applicable): \_\_\_\_\_  
Opening Hours: \_\_\_\_\_  
Days of Operation: \_\_\_\_\_  
Please outline any change  
In notified circumstances: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please add page if

necessary. Print Name: \_\_\_\_\_ Signature: \_\_\_\_\_  
Position \_\_\_\_\_ Date: \_\_\_\_\_

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013  
**NP 6(1)(a)**

**In accordance with Regulation 11 (2) of the Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006 the following notification is required to be completed where a person ceases to carry on a preschool service.**

**NOTIFICATION OF CESSATION OF SERVICE**

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Service Type: \_\_\_\_\_ Date of Closure: \_\_\_\_\_

Reason for Closure: \_\_\_\_\_  
\_\_\_\_\_

No. of places in the service: \_\_\_\_\_

(NB this should detail all pre-school children who attended the service i.e. number on the register.)

I wish to inform you that I have ceased to operate a pre-school service at the above address.

Print Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**For official use only:**

Date of follow up visit / telephone call or evidence recorded on file: \_\_\_\_\_

Date of Letter of Acknowledgement sent: \_\_\_\_\_

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013  
**NP 6(2)(a)**

Date

Name

Address of Preschool

**RE: RE: Acknowledgement of Cessation of an Early Years Service**  
Regulation 11(b), Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Service Provider,

I wish to acknowledge your correspondence/contact on \_\_\_\_\_ stating that you have decided to cease to operate a pre-school service on [date] \_\_\_\_\_ at [location] \_\_\_\_\_

Please complete the attached form and return to this office. When the service closure has been verified your file will be closed accordingly and your name removed from the list of notified services as referred to in Section 56(3) of the Child Care Act 1991.

Yours Sincerely

\_\_\_\_\_

Early Years Inspection Service



**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013  
**NP 7(a)**

Date

Name

Address of Preschool

**RE: RE: Acknowledgement of Cessation of an Early Years Service**

Regulation 11(b), Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Service Provider,

I wish to acknowledge your correspondence/contact on \_\_\_\_\_ stating that you have decided to cease to operate a pre-school service on [date] \_\_\_\_\_ at [location] \_\_\_\_\_

Yours Sincerely

\_\_\_\_\_

Early Years Inspection Service

## **ADVISORY SERVICES OFFERED BY EARLY YEARS SERVICES**

**REFERENCE:** Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection (DOH&C 2006)

### **1 Purpose**

To ensure that requests for advisory consultations regarding a proposed new service, expansion or alterations/change in circumstances of pre-school services are recorded and followed up in an appropriate manner.

Any request for advice relating to pre-school services regulations requirements subject to enforcement by the Early Years Inspection Service of the Health Service Executive

**Advisory consultations [telephone/email contacts and visits] include the following:**

- Advisory responses to plans.
- Advisory visits to proposed pre-school premises at planning/construction phase at the request of Early years providers/builders/developers/architects.
- Advisory visits to new premises or existing pre-schools for proposed alteration.

### **2. Scope**

All notified Early Years services

### **3. Responsibility**

Early Years Inspection Service

### **4. Relevant Legislation & Standards**

- Child Care Act 1991
- Child Care (Pre-School Services) (No 2) Regulations 2006 [S.I. No. 604 of 2006]
- Child Care (Pre-School Services) (No 2) (Amendment) Regulations 2006 [S.I. 643 of 2006].
- Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection (DOH&C 2006)
- National Standards for Preschool Services [DOHC 2010]

### **5. Related Forms/Records**

Early Years Services Advisory Consultation Record **A1**  
Advisory Letter **A2**

### **6. Procedure**

#### **6.1 Recording of Information**

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

6.1.1 The person receiving the request for advice shall record contact details of the premises/proposed premises on form A1 and decide the need for site visit/consultation meeting. A request for a copy of the plans/proposal should be made.

**6.2 Advisory Visit/Meeting - Pre-School Service**

6.2.1 Advice is issued as appropriate.

6.2.2 Where an advisory consultation/visit is carried out, the advisory visit record A2 shall be completed.

**6.3 Records**

6.3.1 A follow-up visit/communication is scheduled where appropriate

6.3.2 The file is updated/new file is opened with details of visit/communication as appropriate.

**A1(a)**

**Advisory Visit/Consultation Record**

**Provider Details**

<b>Name of Provider:</b>	
<b>Address of Provider:</b>	
<b>Contact No. Tel: (1)</b>	
<b>Contact No. Tel (2)</b>	
<b>Fax no:</b>	
<b>Email Address:</b>	

**Proposed Facility/Existing Facility**

<b>Name of Facility:</b>	
<b>Address of Facility:</b>	
<b>Number of Children:</b>	
<b>Age range of Children:</b>	

**In attendance at meeting / visit / telephone call / email:** \_\_\_\_\_

\_\_\_\_\_

**Category of Service**

**Sessional pre-school**  **Part-time day care**  **Full Day Care**  **Childminding**

**Pre-school service in a drop-in centre**  **overnight pre-school**

**Pre-school service in a temporary drop-in centre**

**Details of Proposal:** \_\_\_\_\_

\_\_\_\_\_

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

---

---

---

---

*Summary of Advice Given:* \_\_\_\_\_

---

---

---

---

---

---

---

**Date** \_\_\_\_\_ **Time** \_\_\_\_\_ **Venue** \_\_\_\_\_

**Signed:**

\_\_\_\_\_  
Early Years Inspection Service

\_\_\_\_\_  
Early Years Inspection Service

**Date:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**A2 (a)**

**Date:**

**Name**

**Address**

**Re.: Details of Proposal to ..... A/the.....Care Service at.....**

**Child Care (Pre-School Services) (No2) Regulations 2006 and Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

Dear .....,

I write regarding our/my visit/meeting on.....at.....attended by.....with reference to a proposal to.....

Compliance with the Child Care (Pre-School Services) (No2) Regulations 2006 and Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006 is a statutory requirement for all notifiable pre-school services

A copy of the regulations can be downloaded from various websites including: [www.irishstatutebook.ie](http://www.irishstatutebook.ie) or [www.hse.ie](http://www.hse.ie) or by entering the Title of the Regulation into a 'search engine' on the web.

It is acknowledged that you have stated that you intend to cater for up to (number) preschool aged children in your service [state type of service here].

As discussed the observations noted on the plans/premises on the (date) under the above regulations which will require further consideration and attention in your proposed/extended premises are:

Regulation.....

- 

Regulation.....

- 

Regulation.....

Please note that this is not an exhaustive list of requirements and shall not be regarded as a full interpretation of all relevant legislation. You must refer to the above Regulations and to the Explanatory Guide to Requirements and Procedure for Notification and Inspection) of these Regulations.

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

In addition to compliance with the above regulations it is your responsibility to ensure that you comply with other relevant legislative requirements with regard to this premises e.g. planning, building legislation, fire safety legislation etc.

These recommendations are made without prejudice to any decision that may be made at a later stage relating to the inspection of all or part of the premises.

Yours sincerely,

---

Early Years Inspection Service

---

Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**INSPECTION OF EARLY YEARS SERVICE Reviewed Date 10/07/13**

**1. Purpose:**

To define the process for dealing with the inspection of all Notified Services (i.e. Initial, Annual and Follow up Inspections) as defined under Child Care (Pre-School Services) (No 2) Regulations 2006.

Definitions:

Annual Inspection – is conducted within 3 months of receipt of the Notification Schedule and thereafter once a year.

Follow up Inspection – Where there are concerns a more structured and frequent visiting pattern to maintain safety, wellbeing and development of children can be put in place. E.G. Serious or on going non-compliances.

**2. Scope:**

All notified early year's services.

**3. Responsibility:**

Early Years Inspection Team

**4. Relevant Legislation / Documents:**

Child Care Act 1991

Child Care (Pre-School Services) (No 2) Regulations 2006 [S.I. No. 604 of 2006]

Child Care (Pre-School Services) (No 2) (Amendment) Regulations 2006 [S.I. 643 of 2006].

Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection (DOH&C 2006)

National Standards for Preschool Services [DOHC 2010]

**5. Relevant Forms:**

Standardised Inspection Tool (IP01)

Inspection Outcome Report (IP02)

Action Plan returned from provider (IP02(2))

Inspection Cover Letter (IP02(1))

Referral Letter (IPO3)

Acknowledgement Letter to correspondence received (IP04)

Letter following review (IP05)

**6. Procedure:**

6.1 An Inspection (Initial, Annual or Follow up) is scheduled by the Inspection team. It should be noted that the 'Initial Inspection' will be scheduled for a date in consultation with the early year's service provider except where there are extenuating circumstances. Subsequent inspections will be undertaken on 'un-announced' dates.

6.2 (a) The Inspection Team identifies themselves and show their warrant/identification.



**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

- (b) If refused admission proceed to (6.14)
- 6.3 The provider is advised of the purpose, nature and extent of the inspection.
- 6.4 The inspection is carried out (including discussion with any staff member) using the amended SOPs in regard to Regulation 8 and 14. and agreed inspection tool.(IP01)
- 6.5 A closing meeting is held with the service provider/person in charge, where the authorised inspection officer provides feedback and discuss findings and actions/referrals required.  
The provider/manager is informed that a written report will be issued. (IP02)
- 6.6 Discuss any areas of concern in the Inspection or Inspection Outcome Report with line managers. After the report is issued if an area of difficulty persists, a meeting may be convened with the service provider to discuss outstanding issues.
- 6.7 The Inspection Team complete the Inspection Outcome Report (IP02) and forwards it to the Editorial Board.
- 6.8 On return from the Editorial Board the Inspection Team forward the Inspection Outcome Report (IP02) and send it with a Cover Letter (IP02(1) ) to the service provider/manager. An action plan detailing how the non compliances are to be addressed is requested from the provider within 10 working days of issue of the Inspection report IPO2 (2)). The date the report is issued is documented on page one of the IOR(IPO2)
- 6.9 Referrals are made as appropriate.(IP03)
- 6.10 On receipt of the action plan it is reviewed and if the Inspector is satisfied with the response forward IPO4 .
- 6.11 The IOR (IPO2) and the provider's response are forwarded for publication
- 6.12 If the Inspector is not satisfied with the action plan they revert to the provider (IPO4) or a follow up visit may be required.
- 6.13 **Follow up Inspection.**
- 6.14 A Follow up Inspection shall be scheduled subject to the level of non-compliance identified to review actions taken by the Provider to address non compliances identified and record same on file.
- 6.15 A Follow Up Inspection Outcome Report is issued to the provider detailing the ongoing non compliances identified on the previous inspection, and will detail any new non compliances found and detailing any further actions required to be undertaken to ensure compliance.(IP05)<sup>14</sup>
- 6.16 The follow up Inspections will be published with the providers response.
- 6.17 File copy of all correspondence received in the service providers file.
- 6.18 Acknowledge all correspondence received (IP04)
- 6.19 Where access is denied/inspection refused
- Inform the provider that where the Health Service Executive has received notification in accordance with section 51 in respect of a pre-school service, an authorised person shall be entitled at all reasonable times to enter any premises (including a private dwelling) in which the service is being carried on (Child Care Act Part VII Section 55 (1))

---

<sup>14</sup> IOR not required for review/follow up inspection

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

- If access is denied refer to the Line managers to initiate further action which may include legal proceedings
- Update file

### **7.0 Cases of serious or ongoing non compliances**

The Inspection team liaise with the relevant line manager as soon as possible following Inspection and advises of the situation.

- If there is an immediate risk to children attending the service the HSE will take appropriate action which may include requesting the service provider to voluntarily close until issues/remedial works are addressed and taking legal action – where necessary.
- Legal proceedings may be initiated .In such cases the report is not published until after the court case.
- Relevant line manager may convene a meeting with the service provider to determine appropriate actions. The outcome of the meeting/contact is documented and recorded on file. Please note:
  - If actions are not addressed within any agreed Time Frames this may be referred to line managers for legal proceedings
  - If actions are addressed within any agreed Time Frames, document and record on file in regard to date/s for Follow up / Review / Full Inspection.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**



Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**Feidhmeannacht na Seirbhíse Sláinte (Services) (No 2) Regulations 2006**  
**Health Service Executive**

**IP02(1)**

(Pre-School Provider Name)  
(Address line 1)  
(Address line 2)  
(Address line 3)

**Re: Name and address of pre-school service  
DCYA identifier:**

Dear (insert name of pre-school Provider/ Company Secretary),

A (*insert type of inspection – initial, annual, follow-up*) inspection of the above Pre-School Service was carried out on the (*insert date*) from (*insert time of inspection*).

The inspection was facilitated by (*insert name and position of person*), and the outcome of the inspection was discussed with him/her (*insert name if different. If an outcome discussion was not possible delete this section of the sentence*).

Please find attached the Inspection Outcome Report outlining the findings of the inspection team at the time of inspection. If there are any factual inaccuracies in details recorded (i.e. names, addresses etc) in the Inspection Outcome Report please contact this office **within 10 working days**.

The service was found to be fully compliant with the Child Care (Pre-School Services)(2) Regulations 2006.

*Or*

A written response detailing the action plan to address the non-compliances highlighted in this report is requested. Please complete the enclosed Action Plan template and return to the pre-school services office **within 10 working days**. This Action Plan is also available on the HSE website at [www.hse.ie](http://www.hse.ie). The inspection report and your response will be placed on the HSE website in due course.

*And / or*

A follow up inspection visit will be carried out to determine the status of the non compliances detailed in this report in due course.  
If you require clarification on any of the enclosed, please contact us at the number listed above.

Yours sincerely,

\_\_\_\_\_  
Early Years Inspection Service

\_\_\_\_\_  
Early Years Inspection Service



**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**



Feidhmeannacht na Seirbhíse Sláinte  
Health Service Executive

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013  
**IP04(a)**

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Re: Acknowledgement of correspondence**

Child Care (Pre School Services) (No 2) Regulations 2006 and of the  
Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear \_\_\_\_\_

We acknowledge receipt of your correspondence received on the \_\_\_\_\_, the contents of which has been noted and attached to your file.

( Any representations made by the provider or action plan received are responded to)

Yours sincerely,

\_\_\_\_\_  
Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**IP03(a)**

**Date**

**Name of Agency,  
Address of Agency**

**Re:**

Child Care (Pre School Services) (No 2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

Dear Sir/Madam,

I write in reference to the above named (Early Years) located at (Address of service)

This service caters for approximately (xx) Pre-School children ranging in age from (x months to x-year-old children.)

I wish to draw your attention to the following, which was noted during a recent inspection of the service by the early years inspection service.

- 
- 
- 

I would appreciate it if you would acknowledge receipt of this correspondence.

If you require further clarification or wish to discuss any issue in relation to this referral, please do not hesitate to contact me.

Yours sincerely,

\_\_\_\_\_  
Early Years Inspection Service

\_\_\_\_\_  
Early Years Inspection Service

## **COMPLAINTS PROCEDURE / PROTOCOL**

### **REFERENCE:**

Child Care (Pre School Services) (No 2) Regulations 2006 and  
Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006

### **1.0 Purpose**

To define the process for dealing with complaints against any Early Years Services as defined under the Child Care Act 1991 Part VII, and the Child Care (Pre School Services) (No2) Regulations 2006  
All complaints received in relation to Pre-School Services as defined under the Child Care Act 1991 Part VII Child Care (Pre School Services) (No2) Regulations 2006 and Child Care (Pre School Services) (No 2) (Amendment) Regulations 2006.  
Complaints received relating to a child not under the remit of the Preschool Regulations.  
Complaints received pertaining to a Non Notified Service.

### **2.0 Scope**

**All notified early years services**

**Referral of complaints relating to Non Notified services**

**N.B.** The term '**complaint**' is not intended to include matters of a child protection and welfare nature. Such matters should be considered, discussed and referred having regard to:-

- Children First: National Guidance for the Protection and Welfare of Children [DCYA 2011],
- Child Protection and welfare Practice Handbook [HSE 2011]
- National Standards for Preschool Services [DOHC 2010], and
- Our Duty to Care: The principles of good practice for the protection of children & young people (DOHC 2004) – see separate section

### **3.0 Responsibility**

Early Years Inspection Service

### **4.0 Relevant Legislation / Documents:**

Child Care Act 1991

Child Care (Pre-School Services) (No 2) Regulations 2006 [S.I. No. 604 of 2006]

Child Care (Pre-School Services) (No 2) (Amendment) Regulations 2006 [S.I. 643 of 2006].

Child Care (Pre-School Services) (No2) Regulations 2006 and Explanatory Guide to Requirements and Procedures for Notification and Inspection (DOH&C 2006)

National Standards for Preschool Services [DOHC 2010]

### **5.0 Relevant Forms**

Complaints Form (Ref CP1)

Summary of Issues for the Provider (Ref CP2)

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

Letter to complainant acknowledging complaint will be investigated (Ref CP3)  
Report to provider regarding the complaint investigation (Ref CP4)  
Letter to Complainant re outcome of investigation (Ref CP5)  
Complaints Log (Ref CP6)

**6.0 Procedure:**

- 6.1 Where appropriate the complainant is given an opportunity to discuss their concern firstly with the provider and to revert to the Early Years Inspection Service as necessary.
- 6.2 If the complainant does not wish to speak directly with the provider the Early Years Inspection Team receives and documents the complaint details on the Complaints Form (CP1)
- 6.3 If the Early Years Inspection Team is unavailable the Early Years Administration Staff record the details of the complaint on the Complaints Form (CP1), and informs the relevant inspection team.
- 6.4 The Early Years Inspection Team will make contact with the complainant if possible and discuss the details of the complaint.
- 6.5 The Early Years Team will **Assess the Information** from the complainant and consider the following
  - Whether the complaint is within the scope of the legislation enforced by the HSE Early Years Inspection Service. If not the complainant will be informed and the Inspection team will refer the matter and/or the complainant to the appropriate service.
  - If the complaint relates to a child not under the remit of the Pre-School Regulations, the complainant will be informed of this and as necessary an appropriate referral made.
  - If the complaint refers to a non-notified service, the provider will receive a visit. The Early Years Inspection Team will ask permission to enter the service. It will be established if the service is required to notify and the provider will be advised accordingly. If access is denied a court warrant may be sought to gain access to the premises. All reasonable steps are taken and clearly recorded on file.
- 6.6 Where the complaint details are within the remit of the Pre-School Regulations **the following actions shall be taken:**
  - The complainant will be informed of the complaints process.
  - A letter, if name and address are available, is sent to the complainant acknowledging receipt of complaint and informing them that the matter is being investigated. (Ref CP3)
  - The Line Managers of the Early Years Inspection Team where appropriate may be informed of the complaint and the issues may be discussed.



- The service file is reviewed.
- A summary of the issues shall be prepared for the provider. A copy for the provider and a copy for the service file shall be completed. (Ref CP2)
- A visit to the service shall be arranged.

6.7 The Authorised Officer(s) **visits the service and carries out the following**

- a) The Authorised Officer introduces themselves and show identification and warrant to the person in charge at the service. The Authorised Officer(s) explains to the service provider that the purpose of the visit is to investigate a complaint.
- b) The Authorised Officer(s) explains clearly to the provider the steps involved in the complaints process:
- c) The prepared written details of the complaint are offered to the provider. (Ref CP2)
- d) The Authorised Officer will proceed to inspect the facility, review files and/or investigate complaint details with relevant staff in order to review issues relating to the complaint.
- e) Based on their findings during the investigation the Authorised Officer may need to proceed and carry out a full inspection of the service in conjunction with the investigation of the complaint.
- f) If a full inspection is required the Authorised Officer(s) will refer to procedure for full inspection. A separate report will be issued in relation to the investigation of the complaint (Ref CP4) and the Inspection Outcome Report will be issued following the full inspection.
- g) Any verbal response from the service is noted and recorded on file. (Ref CP1).

6.8 The authorised officer may inform their line Manager, Children & Family Services of the outcome of their visit where appropriate.

6.9 Any responses from the provider to CP2 will be considered before completion of the report.

6.10 The Authorised Officer shall write to the provider informing him/her of the outcome of the complaint investigation, any proposed action taken (Ref CP4).

6.11 Forward the final letter to the complainant (Ref CP5) stating complaint has been investigated.

6.12 Should either party wish to seek a review of the findings and outcome of the investigation in relation to the complaint, they may do so in writing.

6.13 Appropriate action shall be taken in line with Inspection SOP.

### **7.0 Review and Follow Up**

The Early Years Inspection Team may carry out a full inspection of the service / follow up visit to ensure that the actions required outlined by the Pre-School Inspection Team are enacted.

### **8.0 Reporting and Record Keeping / Filing**

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

All relevant memos and notes to be attached to the complaints form. (Ref CP1)  
The Complaints form and all relevant correspondence to be filed in the service file.  
Follow up visit specific to the complaint filed with complaint.  
All information is logged on to the complaints log.

**Definition of Terms;**

Upheld – there is evidence to support the complaint received

Not upheld – there is insufficient evidence to support the complaint received

Partially upheld – identifies areas of the complaint that were upheld and those that were not upheld

The line managers of the early years inspection team shall be informed of the following complaints and shall forward a copy of the completed complaint form to the National Specialist, Early Years Service

- Death of a child
- Serious injury to a child
- Where a child goes missing from a service

**9.0** Comments / complaints in regard to a service offered by the HSE<sup>15</sup>

If any person [*a early years service provider or employee*] has a comment or complaint to make in regard to the service offered by any member of the Early Years Inspection Team, they can:-

- Talk to any member of HSE staff, service manager or complaints officer.
- Email [yoursay@hse.ie](mailto:yoursay@hse.ie) with your comment, compliment or complaint.
- Send a letter or fax to any HSE location.
- Ring the HSE at 1850 24 1850.
- Use the HSE website comments and compliments facility at [www.hse.ie](http://www.hse.ie)
- See [www.healthcomplaints.ie](http://www.healthcomplaints.ie) for further information.

**How will a complaint be dealt with?**

- Depending on the nature and seriousness of the complaint:
  - a staff member/service manager will attempt to resolve the complaint locally; or
  - a complaints officer will look into the issues raised in the complaint.

Comments and Complaints will be followed up having regard to “Your Service Your Say” – HSE Complaints Policy and Procedures Manual [2009].

---

<sup>15</sup> Adopted from “National Healthcare Charter – you and your health service. Your Service Your Say. Tell us...your feedback” [HSE Leaflet 2012]

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
 Issued: 15/05/2013  
 Implementation 20/05/2013  
 Review: 20/09/2013

**CP1(a)**

<b>6.1 EARLY YEARS / PRE-SCHOOL SERVICES INSPECTION CP1 COMPLAINT RECORD</b>	
<b>COMPLAINT DETAILS</b>	
Complaint Reference No.:	
Received By:	
Date Received:	Time Received:
Position	
Received by:	Phone <input type="checkbox"/> Fax <input type="checkbox"/> Written Correspondence <input type="checkbox"/> Verbal <input type="checkbox"/> Email <input type="checkbox"/>
Is the service:	Notified <input type="checkbox"/> Not-Notified <input type="checkbox"/>
<b>COMPLAINANT DETAILS</b>	
<p><b>The complainant may be informed that the complaint will be investigated. The complainant should be advised that the Early Years Inspection Team will endeavour to keep the complainants details confidential. However the Early Years inspection Team cannot guarantee confidentiality as such details may be released on foot of an order of the court or a decision of the information commissioner.(Freedom of Information Act 1997 and Amendment Act 2003)</b></p>	
Is the complainant remaining anonymous?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is the complainant requesting anonymity?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Name of Complainant:	
Address of Complainant:	
	Telephone No:
Relationship of Complainant with Early years service e.g.:	
Parent/Staff Member	
<b>Complaint Relates To</b>	
Early Years Service Name:	
Address:	

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
 Issued: 15/05/2013  
 Implementation 20/05/2013  
 Review: 20/09/2013

Type of Service:		
Full details of Complaint:		
Was the complaint referred to another HSE department/other agency?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Details:		
Was the “Standard Report Form for reporting child protection and/or welfare concerns to the HSE” <sup>16</sup> completed and forwarded to the Social Work Department for Children and Family Services?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Details:		

<b>COMPLAINT ACTION</b>			
Date of Investigation:			
Inspection <input type="checkbox"/>	Advice <input type="checkbox"/>	Referral <input type="checkbox"/>	Other <input type="checkbox"/>
Was a response received from the provider Yes <input type="checkbox"/> No <input type="checkbox"/>			
Complaint Outcome	Upheld <input type="checkbox"/>	Comment	
	Not Upheld <input type="checkbox"/>	Comment	
	Partially Upheld <input type="checkbox"/>	Comment	
	Other <input type="checkbox"/>	Comment	
<b>SIGNED</b>			
Inspection Authorised officer	1.	2.	

<sup>16</sup> Accessible at [www.hse.ie/go/childrenfirst](http://www.hse.ie/go/childrenfirst)

If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

Close out date::	
------------------	--

**CP2(a)**

**SUMMARY OF COMPLAINT DETAILS FOR THE SERVICE PROVIDER**

**Date** \_\_\_\_ / \_\_\_\_ / 20\_\_

**Summary of Complaint given to** - \_\_\_\_\_

**Complaint re:** (Name of Service)

**The following issues were identified in the complaint made to the Pre-School Inspection Team on the (insert date).**

**Cite Regulation:**  
**(E.G. Regulation 8 Management and Staffing)**

Issues Recorded: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Regulation:**

Issues recorded: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Written representation may be made in response to the above within 10 working days to (name and address).

Yours sincerely,

\_\_\_\_\_  
Early Years Inspection Service

\_\_\_\_\_  
Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**CP3(a)**

**Date**

**Name and Address**

**Dear.....**

I write with reference to your telephone call/letter/e-mail received on ..... regarding the complaint you made on .....

**(Include one of the following)**

(I wish to advise you that the matter will be investigated and we will revert to you following the completion of the investigation into the concerns raised by you.)

(I wish to advise you that the complaint did not fall within the remit of the Childcare (Pre-School Services) Regulations 2006 and the Childcare (Pre-School Services) (No 2) (Amendment) Regulations 2006. However I have referred the matter to (name the agency, person contact details). You may wish to contact (name) directly to discuss the matter further.

Yours sincerely,

---

Early Years Inspection Service

---

Early Years Inspection Service

**CP4(a)**

**Report Re Complaint**

**Date**

**Name & Address**

**Re: Child Care (Pre-School Services) (No2) Regulations 2006 and Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

Dear

I write with reference to the inspection by (names of pre-school inspection team) as authorised officers of the Health Service Executive of (name of premises) on the (date). The purpose of the inspection was to investigate a complaint received on the *date*

**Complaint Details (Example)**

<b>Regulation 8 Management and Staffing</b> The complaint issues [in summary]
--

**Response from (name of the provider) noted.**  
**E.g. Regulation 8 Management and Staffing**

**Actions Required**  
**E.g. Regulation 8 Management and Staffing**

**Outcome: (Upheld, Not Upheld, Partially Upheld and Other)**

This report represents the outcome of the investigation of the above complaint and completes the investigation of the complaint.

Should you wish to seek a review of the above findings and investigation outcome in relation to this complaint, you may do so in writing to (name, address and contact details of the designated Officer.) within 10 working days.

Yours sincerely,

\_\_\_\_\_  
Early Years Inspection Service

\_\_\_\_\_  
Early Years Inspection Service

**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1  
Issued: 15/05/2013  
Implementation 20/05/2013  
Review: 20/09/2013

**CP5(a)**

**Date**

**Name & Address**

**Re: Child Care (Pre-School Services) (No2) Regulations 2006 and Child Care (Pre-School Services) (No2) (Amendment) Regulations 2006**

Dear \_\_\_\_\_,

I write with reference to your phone call/letter/e mail received on ..... regarding a complaint you made.....

I wish to inform you that the matter has been investigated by the Early Years Inspection team. Following assessment / investigation a number of areas have been highlighted under the above Regulations which require to be addressed.

A number of areas are required to be addressed:

- 
- 

Or

Should you wish to seek a review of the above in relation to this complaint, you may do so in writing to (name, address and contact details of the designated Officer.) within 10 working days.

(I wish to inform you that the matter has been investigated by the Early Years Inspection Team and no evidence relating to the complaint was found during the investigation.)

Please do not hesitate to contact me if you require any further clarification.

Yours sincerely,

\_\_\_\_\_  
Early Years Inspection Service

\_\_\_\_\_  
Early Years Inspection Service



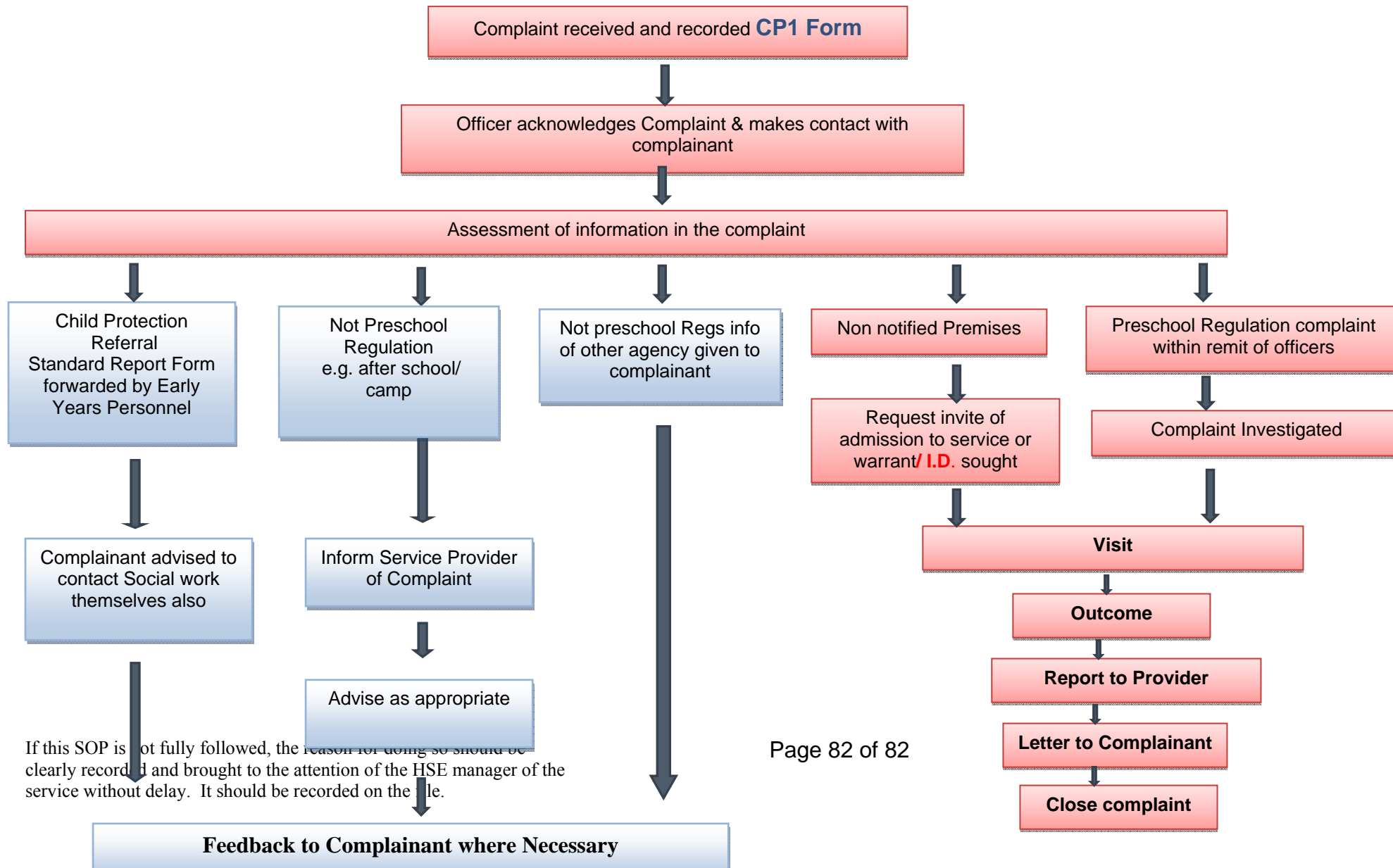


**Document: STANDARD OPERATING PROCEDURES (SOP) FOR THE EARLY YEARS SERVICES INSPECTORATE**

Version: 1

Issued: 15/05/2013  
Implementation 20/05/2013

Review: 20/09/2013



If this SOP is not fully followed, the reason for doing so should be clearly recorded and brought to the attention of the HSE manager of the service without delay. It should be recorded on the file.