

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.

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- (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)¹⁴
- 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))

¹⁴ 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.

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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. 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

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IP02(2)

Action Plan for (Name of Service)
Date of Last Inspection

Number	Non Compliance(s)	Action to be taken to address the non-compliances	
	Regulation		Time Frame

Signed: _____

Position: _____

Date: _____

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Feidhmeannacht na Seirbhíse Sláinte
Health Service Executive

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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

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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.

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-
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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