



## INTERNAL COMPLIANCE INSPECTIONS

### Policy Statement

Internal compliance inspections are carried out by the Quality Compliance Support (QCS) team in Tigers Childcare. Compliance inspections contribute to our objective, within Tigers, of achieving continuous quality improvement in our commitment to provide quality ECEC and SAC to children and families attending our centres.

The purpose of this policy is to outline the process of internal compliance inspections in Tigers Childcare.

### Introduction

The Quality Compliance Support (QCS) team are responsible for completing internal compliance inspections. The QCS team comprises two Quality Managers and a lead Quality Development Manager.

It is expected that the QCS team carry out compliance inspection visits in each centre 2-3 times per year. Also, a centre manager or colleague can request a compliance inspection.

The documentation used in an inspection process include;

- An Inspection tool
- A Centre Feedback/Follow-up report (*governance, safety, premises, environmental health*)
- A Room Feedback/Follow-up report for each room (*safety, well-being, rights and relationships - swrr*)
- An Outcome report

The inspection process involves the following steps;

- Preparation
- Centre visit
- Feedback and Follow-up
- Close-out
- Review

### Preparation

The Quality Manager completes an overall centre review by examining the following;

#### 1. Previous Tusla reports

The Quality Manager makes note of previous non-compliances and corrective and preventive actions (CAPA) submitted by the centre manager. When on inspection, the Quality Manager monitors that the preventive actions submitted to Tusla are still in place and are adequately addressing the non-compliance found.

#### 2. Previous QCS Outcome reports

The Quality Manager reviews previous QCS Feedback/Follow-up reports and makes note of previous non-compliances found.

#### 3. Child Paths Review

The Quality Manager conducts an audit on Child Paths to examine the centre's record keeping of the following:

- Children's attendance
- Sleep checks
- Nappy changes
- Accident/Incident forms
- Medication administration forms
- Safety checklists
- Colleague supervisions
- Evidence of room leader non-contact time

## Centre Visit

The Quality Manager visits a centre to carry out an unannounced inspection. The start and end times of visits vary so that all aspects of practice are inspected. These include children's arrival and departure, nappy changing, mealtimes, sleep-times, and both indoor and outdoor play.

On arrival, the Quality Manager finds out who is the current person in charge, and checks that this is clearly displayed, and that colleagues are aware of who the current person in charge is.

The Quality Manager completes a walkthrough of the centre to say hello and inform all colleagues that an inspection is occurring. The Quality Manager takes notes of the number of colleagues, children and their locations (in-room, covering sleep, nappy changes). Walkthroughs are repeated between 12 - 2pm and after 4pm.

The Quality Manager inspects the centre as a whole and inspects each room. The duration of the inspection is approximately one week depending on the size of the centre and the findings.

### 1. Inspection Tool

An inspection tool is used to carry out an inspection and this tool is available on Google drive. The tool contains predetermined criteria based on the 2016 regulations, the Quality Regulatory Framework (QRF) and Tigers Policies. The inspection tool has 5 sections;

1. Governance
2. Safety
3. Premises
4. Environmental Health (EH)
5. (a) Early Years (EY) room safety, well-being, rights and relationships (swrr) and, (b) School Aged Childcare (SAC) room - safety, well-being, rights and relationships (swrr)

### 2. Scoring

Each criteria is scored and a percentage score for each area (governance, safety, premises, EH, swrr) is calculated as the number of met criteria / total criteria. The value of a criteria is weighted on a risk basis and set at 1, 3 or 5. Therefore, the areas of practice that are high risk are weighted higher. For example, *Hazardous chemicals kept out of children's reach* is scored at 5.

### 3. Triangulate Evidence

Under the principle of fairness, the Quality Manager gathers sufficient evidence before arriving at a non-compliance finding. This evidence is gathered by investigating a potential issue and triangulating evidence from multiple sources. Notes are made of the evidence gathered to support the finding. Sources of evidence are:

- Observation of practice
- Discussion with colleagues and managers
- The availability of documentary evidence

### 4. Immediate Action

If the Quality Manager identifies a hazard that meets the Immediate action criteria ([See list of immediate action criteria](#)), the Quality Manager immediately makes the manager on duty aware and also notifies the Quality Development Manager and/or Therese Noonan. This provision is to ensure that an immediate action is taken to mitigate any imminent risk to children or colleagues.

### 5. Findings and discussion

While conversations with colleagues and managers during an inspection are mainly evidence gathering, these conversations are also opportunities to discuss potential findings and brainstorm potential solutions. When the inspection concludes, the Quality Manager prepares written findings, which are objective evaluations of whether the criteria on the inspection tool were met or unmet.

## Feedback and Follow-up

Feedback and Follow-up is the most important element of the inspection process because it provides an opportunity for managers and colleagues to reflect on practice and plan a course of action to implement improvements.

### 1. Draft Feedback/Follow-up Reports

The findings are initially documented in draft form on a

- Centre report (*governance, safety, premises, environmental health*)
- Room report (*safety, well-being, rights, relationships - swrr*)

The Quality Manager proposes actions to address any non-compliances and may also include recommendations.

The draft Feedback/follow up reports are initially emailed as a word document to the centre manager.

## **2. Feedback meetings**

Individual meetings are held by the Quality manager with the Centre manager and Room leaders to discuss the contents of the draft reports. The purpose of feedback meeting is to provide a space and opportunity for collaboration and reflection on practice. Participants agree the actions required to rectify any non-compliances or implement practice improvements. The meeting is also an opportunity to identify any challenges that may exist and to discuss and agree on support if required. Centre managers and colleagues may propose items to be included in policy reviews. Items brought up at inspection feedback meetings can also be discussed between colleagues/room leaders/managers in Support and Supervision meetings.

## **3. Final Feedback/Follow-up reports**

Following the feedback meetings, the Quality Manager prepares the final Feedback/Follow-up reports and shares them with the Centre Manager via Google shared drive. Room reports (swrr) are printed for each room.

The Quality Development manager reviews the Final Feedback/follow-up reports and a summary is reported on the QCS weekly management report.

## **Close Out**

### **1. Feedback/follow-up reports responses**

Centre managers and Room leaders are jointly responsible for implementing the agreed actions on the Feedback/follow-up reports.

- a) Room Leaders implement the agreed actions within a room and describe the action taken as a response on the Room report.
- b) The centre manager implements the actions agreed on the Centre report and describes the actions taken as a response on the Centre report.

The centre manager is responsible for ensuring all agreed actions in both the centre and individual room reports are carried out. The centre manager submits the reports complete with responses to the Quality Manager within 4 weeks. If the room reports responses are handwritten, they can be scanned to the Quality Manager.

The Quality Manager reviews the responses and determines whether the response sufficiently addressed the non-compliance identified on inspection. The outcome of the review for each non-compliance is either *Resolved* or *Unresolved*.

### **2. Outcome report**

The Quality Manager issues an outcome report to Therese Noonan and Susan Cline within 5 weeks from the date of the Final Feedback/Follow-up reports. This report states the number of non-compliances found on inspection and the number which were determined as *Resolved* and *Unresolved* at the end of the process. It also states, if these non-compliances were found previously. A brief summary of the nature of *unresolved* items is given.



## Review

### 1. Evaluation

After an inspection is completed, all managers and colleagues are invited to feedback via a short anonymous survey. The QCS team will use this feedback to amend the process and approach going forward.

### 2. Insufficient or non-engagement

If colleagues or managers do not sufficiently engage with the inspection process, this will be escalated, and a meeting held with Margaret Bermingham and Therese Noonan to address.

### 3. Concerns

The inspection and its process are underpinned by Tigers Core Values and in particular, *Integrity* and *Accountability*. If concerns arise that the inspection was not carried out in a fair manner or in accordance with this policy, this can be reported to the centre manager or directly to the Quality Development Manager ( Margaret Bermingham at [margaret@tigerschildcare.com](mailto:margaret@tigerschildcare.com))

If the concern is not satisfactorily addressed, then a colleague or manager can follow the company grievance procedure. <https://tigerschildcare.com/wp-content/uploads/2021/10/Tigers-Childcare-Colleague-Handbook-Issue-9.pdf>

## Communication Plan

A copy of all policies will be available during hours of operation to colleagues and parents/guardians in the Policy Folder located in Tigers Childcare.

Parents/guardians/colleagues may receive a copy of the policy at any time upon request.

Parents/guardians and colleagues will receive written notification of any updates via emails and/or Child Paths.

## Related/Supporting Documents/Related Legislation

- Child Care Act 1991 (Early Years Services) Regulations 2016 and (Registration of School Age Services) Regulations 2018.
- Quality Regulatory Framework (QRF)
- Tigers Childcare Policies
- Internal Inspection Tool

## Policy Review

**Policy Created:** November 2022

**Policy Updated:**

**Policy Reviewed:** Annually