

Revised November 8, 2013

Employees' Manual
Title 12
Chapter E Appendix

CHILD CARE CENTER

APPENDIX



| | <u>Page</u> |
|---|-------------|
| Application for a License to Operate a Child Care Center, Form 470-0722 and 470-0722(S) | 1 |
| Certificate of License, Form 470-0618..... | 2 |
| Child Care Center Complaint, Form 470-4067 and 470-4067(S)..... | 3 |
| Child Care Center Evaluation and Recommendation for License, Form 470-0724 and 470-0724(S) | 4 |
| Child Care Complaint Intake Report, Form 470-5393 | 4b |
| Child Care Provider Physical Examination Report, Form 470-5152 or 470-5152(S) | 6 |
| DHS Criminal History Record Check, Form 595-1396 or 595-1396(S) | 7 |
| Licensing Regulation Checklist, Form 470-3940 | 8 |
| Notice of Action for Child Care Centers, Form 470-4243 or 470-4243(S) | 9 |
| Notice of Decision: Services, Form 470-0602 or 470-0602(S)..... | 10 |
| Permission to Open Without a License, Form 470-4690 or 470-4690(S) | 12 |
| Record Check Decision, Form 470-2386 or 470-2386(S) | 13 |
| Record Check Evaluation, Form 470-2310 or 470-2310(S) | 14 |
| Request for Child and Dependent Adult Abuse Information, Form 470-0643 | 15 |
| Request for Child Care Professional Development Approval Review, Form 470-4528..... | 16 |
| Child Care Centers and Preschools Licensing Standards and Procedures, Comm. 204 | 18 |

Application for a License to Operate a Child Care Center, Form 470-0722 and 470-0722(S)

| | |
|--------------|--|
| Purpose | The center applies for an initial or renewal license by submitting form 470-0722 or 470-0722(S), <i>Application for a License to Operate a Child Care Center</i> , and the supporting documentation required. |
| Source | The licensing support staff issue the initial and renewal licensing packets with the application form. |
| Completion | Licensing support staff mail the form to: <ul style="list-style-type: none">◆ Centers requesting to apply for an initial license and◆ Centers whose license will expire in 60 days. <p>The center completes the form.</p> <p>If the center fails to return the application for renewal by the last day of the licensing period, the license expires and is no longer valid.</p> |
| Distribution | The center mails the completed form along with the required support documentation to the assigned child care licensing consultant. |
| Data | The form requests identifying information, the ages of children to be served, and hours of operation. |

Certificate of License, Form 470-0618

| | |
|--------------|--|
| Purpose | Form 470-0618, <i>Certificate of License</i> , authorizes a center to operate for the period specified on the license. |
| Source | Use the CLICS system to complete the form. |
| Completion | The licensing support staff issues the <i>Certificate of License</i> when the licensing study has been successfully completed. The child care administrator signs the form electronically. |
| Distribution | The licensing support staff prints the certificate and mails it to the approved center. An electronic copy is kept in the CLICS system. |
| Data | The certificate indicates the type and term of licensure, the maximum number of children to be cared for, and name and address of the facility. |

Child Care Center Complaint, Form 470-4067 and 470-4067(S)

| | |
|--------------|---|
| Purpose | Form 470-4067 or 470-4067(S), <i>Child Care Center Complaint</i> , is used to document information about a complaint inspection. |
| Source | Use the CLICS system to issue the English version of this form and to access complete information on complaints and process. Print or photocopy the Spanish version from the sample in the manual. |
| Completion | The child care consultant completes this form every time a complaint inspection is conducted. The report may be translated into Spanish for the center if appropriate. |
| Distribution | The licensing support staff prints the completed form and mails it to the center. The Department keeps an electronic record of the form for the public to view. |
| Data | The form contains: <ul style="list-style-type: none">◆ Facility identifying information.◆ The identification of the concern that was alleged and the corresponding licensing rules and laws that are the subject of the inspection,◆ A summary of how the complaint was investigated,◆ What was found in regard to compliance with licensing rules and laws, and◆ What changes occurred or corrections were requested in response to the findings or complaint event. |

Child Care Center Evaluation and Recommendation for License, Form 470-0724 and 470-0724(S)

| | |
|--------------|---|
| Purpose | Form 470-0724 and 470-0724(S), <i>Child Care Center Evaluation and Recommendation for License</i> , contains the final report and licensing recommendations for licensing inspection visits that are not related to complaints. |
| Source | Use the CLICS system to access, complete, and process the English version of this form. Print or photocopy the Spanish version from the sample in the manual. |
| Completion | The child care consultant completes this form every time a licensing inspection is conducted or an administrative change is made. Licensing inspections are made as follows: <ul style="list-style-type: none">◆ Initial and renewal licensing inspections.◆ Unannounced inspection not associated with a complaint.◆ Provisional license inspection to determine whether a center complies with standards imposed by licensing rules and laws. For initial and renewal licensing, used the data from form 470-3940, <i>Licensing Regulation Checklist</i> , to complete this form. For all other licensing inspections, identify the licensing regulations reviewed and compliance findings for each rule category reviewed. |
| Distribution | The licensing support staff prints the completed form and mails it to the center. The Department keeps an electronic record of the form for the public to view. |
| Data | The form contains: <ul style="list-style-type: none">◆ Identifying information◆ Date and reason for visit or change◆ Information on licensing visits◆ Fire inspection information◆ License and program types and schedule◆ Consultant's licensing recommendations◆ Corrective actions taken under a provisional license |

- ◆ Areas observed on the visit
- ◆ Observed strengths of the center
- ◆ Aspects of operation that fall below the standards reviewed
- ◆ Special notes and recommendations

Child Care Complaint Intake Report, Form 470-5393

| | |
|--------------|---|
| Purpose | The <i>Child Care Complaint Intake Report</i> is used to outline complaints received regarding child care homes, child development homes, and child care centers. |
| Source | Print or photocopy supplies of the form from the sample in the manual. |
| Completion | A <i>Child Care Complaint Intake Report</i> must be completed any time a complaint specific to a child care facility is received. This form is primarily completed by the Child Care Resource and Referral Agencies and submitted to the Department. |
| Distribution | Keep a copy of the form in the case file. |
| Data | <p><i>Date call:</i> Enter the date of the call.</p> <p><i>Time of call:</i> Enter the time received.</p> <p><i>Person taking call:</i> Enter your name.</p> <p><i>Contact information:</i> Include contact information where you may be reached by the Department.</p> <p>Reporter Contact Information: Enter the name of the caller, the relationship to the provider, and contact information. Indicate if the caller is a parent to a child in care at the child care facility in which the parent is reporting.</p> <p>Provider Contact Information: Check the provider type. Indicate the name of the provider or center in which the person is reporting. Include the name of the owner or operator and contact information.</p> <p>Person Responsible for the Rule Violation: Provide the name and contact information of the person alleged responsible. If any other persons are alleged, also include this information.</p> <p>Complaint Details: Provide a specific description of the incident, including the date and time and any other persons or children that were present at the time of the incident. Include any necessary medical treatment received, if known.</p> |

Additional Information:

- ◆ Enter how the reporter is aware of the information.
- ◆ Enter information on when the child will next have contact with the person alleged responsible.
- ◆ Enter any additional safety concerns for children in care.
- ◆ Identify others who may be aware of the concerns and their contact information.
- ◆ Identify any known steps taken to address the concern.

Processing Information: Identify the date and time the referral was sent to DHS. If the referral was reported to the Centralized Service Intake Unit, include the incident number.

Child Care Provider Physical Examination Report, Form 470-5152 or 470-5152(S)

| | |
|--------------|---|
| Purpose | <i>Child Care Provider Physical Examination Report</i> , form 470-5152 or 470-5152(S), its Spanish translation, is used to satisfy the regulatory mandate that all child care personnel have good health as evidenced by a pre-employment physical examination. All physical examinations must be documented on form 470-5152 or 470-5152(S). |
| Source | Print or photocopy supplies of the form from the sample in the manual. |
| Completion | The employee, provider, or household member should take the form to an authorized health care provider for completion. A separate form must be completed for each employee, provider, and household member. |
| Distribution | Licensed child care centers shall have a completed and signed form 470-5152 or 470-5152(S) on file within their mandated center licensing and personnel files. Registered child development home providers shall have a completed and signed form 470-5152 or 470-5152(S) on file within their mandated home regulatory files. |

DHS Criminal History Record Check, Form 595-1396 or 595-1396(S)

| | |
|--------------|---|
| Purpose | <p><i>DHS Criminal History Record Check</i>, form 595-1396 or 595-1396(S), its Spanish translation, is used to request a check for criminal records on persons who work in a child care center. The Division of Criminal Investigations also uses this form to report the results of the check.</p> |
| Source | <p>The English version of this form is printed in pads of 50 two-part carbonized sets and can be ordered from Iowa Prison Industries. It is also available electronically from the licensing support staff.</p> <p>Print or photocopy the Spanish version from the sample in the manual.</p> |
| Completion | <p>Center staff complete this form for each person working or applying for employment in the center:</p> <ul style="list-style-type: none">◆ Upon application for employment.◆ Every two years after hire.◆ When there is reason to believe there is a transgression. |
| Distribution | <p>The center sends the completed form to the licensing support staff or e-mails it to recordcheck@dhs.state.ia.us.</p> <p>The licensing support staff tracks when the form was sent, when a response was received and the response.</p> <p>When the Iowa Division of Criminal Investigation returns the form to the Department:</p> <ul style="list-style-type: none">◆ Return the form to the center when a criminal record is not found. The center needs this form in its personnel records to verify the record check occurred.◆ Keep the form when a criminal record is found and notify the child care consultant supervisor responsible for making the Department's decision regarding involvement with child care. |
| Data | <p>The form contains a waiver from the current or prospective employee, identifies the employee, and identifies "child day care" as the purpose for the check. DCI indicates the results of the check and attaches the record if one is found.</p> |

Licensing Regulation Checklist, Form 470-3940

| | |
|--------------|---|
| Purpose | <p>Form 470-3940, <i>Licensing Regulation Checklist</i>, identifies compliance with licensing regulations during inspections for an initial license and renewal licenses.</p> <p>The information on this form is used to complete the <i>Child Care Center Evaluation and Recommendation for License</i>, form 470-0724 or 470-0724(S), for an initial and renewal licensing inspection.</p> |
| Source | Use the CLICS system to access and complete this form. |
| Completion | The child care consultant completes this form when conducting initial and renewal licensing inspections. |
| Distribution | The completed form is not distributed because it is a tool used to complete the final licensing report. The completed form may be shared with the child care center along with the final licensing report. |
| Data | <p>The form lists each standard in 441 IAC 109, covering:</p> <ul style="list-style-type: none">◆ Administration◆ Parental participation◆ Personnel◆ Professional growth and development◆ Staff ratio requirements◆ Records◆ Health and safety policies◆ Physical facilities◆ Activity program requirements◆ Food services◆ Extended evening care◆ Get-well center |

Notice of Action for Child Care Centers, Form 470-4243 or 470-4243(S)

| | |
|--------------|---|
| Purpose | <i>Notice of Action for Child Care Centers</i> , form 470-4243 or 470-4243(S), is used to notify the applicant of provisional or full licensing decisions. |
| Source | Use the CLICS system to complete the English version of the form. Print or photocopy the Spanish version from the sample in the manual. |
| Completion | The licensing support staff send the form when a center licensing decision is made to issue a full or provisional license. |
| Distribution | Print and send the completed form to the center. |
| Data | The form is automatically completed from information from the <i>Child Care Center Evaluation and Recommendation for a License</i> , form 470-0724, or may be manually completed from form 470-0724(S). |

Notice of Decision: Services, Form 470-0602 or 470-0602(S)

| | |
|--------------|---|
| Purpose | <p>Form 470-0602, <i>Notice of Decision: Services</i>, provides notice:</p> <ul style="list-style-type: none">◆ To providers regarding a negative licensing action (the denial, suspension, or revocation of a license).◆ To persons with a transgression regarding a decision about their involvement with child care. |
| Source | <p>Complete the English and Spanish version of the form on line using the template available through the public state-approved forms folder on Outlook. Use the pull-down menu specific to the type of decision being made.</p> |
| Completion | <p>The child care consultant supervisor completes this form. The effective date on this form is eleven days from the date the form is mailed. If the eleventh day is a weekend or holiday, the effective date is the next business day.</p> <p>The supervisor makes all final decisions on licensing denial, suspension, revocation, and involvement with child care after consultation with the child care licensing consultant, policy staff and legal counsel, as needed.</p> |
| Distribution | <p>The licensing support staff sends this form by certified mail.</p> <ul style="list-style-type: none">◆ For a negative licensing decision, send the original to the center and place a copy of the signed form in the licensing file.◆ For a decision about a person's involvement with child care:<ul style="list-style-type: none">• Send form 470-2386 or 470-2386(S), <i>Record Check Decision</i>, to the person along with the <i>Notice of Decision: Services</i>.• Place a copy of the signed <i>Notice of Decision: Service</i> in the child care consultant supervisor's file. The <i>Notice of Decision</i> regarding involvement with child care is not a public record and cannot be shared with the center, because child abuse reports and criminal record information from the Division of Criminal Investigation are not public records. |

- Send a letter to the center informing the center as to whether the person with a transgression can be involved with child care and any conditions or corrective action plan related to the approval of the person's involvement with child care.

Data

The form explains the action and gives the rule and manual references supporting the action.

Permission to Open Without a License, Form 470-4690 or 470-4690(S)

| | |
|--------------|--|
| Purpose | Form 470-4690, <i>Permission to Open Without a License</i> , is used to allow a new provider to operate for 120 days, until the first licensing visit. |
| Source | Use the CLICS system to complete the English version of the form. Type the Spanish version using the wording of the sample in the manual. |
| Completion | The child care consultant completes this form when the center has submitted: <ul style="list-style-type: none">◆ A complete application for a license.◆ An approved fire marshal's report.◆ A floor plan indicating room descriptions and dimensions, including location of windows and doors.◆ Approval of occupancy by the local building inspector.◆ Evidence that the center director meets the minimum personnel qualifications or has an approved plan to meet those qualifications. |
| Distribution | The licensing support staff sends this form to the provider. The provider must display this form in place of a license. |

Record Check Decision, Form 470-2386 or 470-2386(S)

| | |
|--------------|--|
| Purpose | The child care consultant supervisor uses form 470-2386, <i>Record Check Decision</i> , to summarize any reports of criminal conviction or founded child abuse and to recommend whether the reports merit prohibition of licensure. |
| Source | Complete the English version on line using the template available through the public state-approved forms folder on Outlook. Print or photocopy the Spanish version from the sample in the manual. |
| Completion | The child care consultant supervisor completes the form any time there is a founded report of child abuse, a record of a criminal conviction, or other transgression that does not have a mandatory prohibition from involvement with child care. A single form may be completed for more than one criminal conviction or founded child abuse report. |
| Distribution | <p>The licensing unit sends the original to the person that is the subject of the review, along with the <i>Notice of Decision: Services</i>. The child care consultant supervisor keeps a copy in the unit records.</p> <p>The licensing unit sends a letter to inform the center as to whether the person that is subject to the evaluation can be involved with child care and any conditions or corrective plan related to the approval of the person's involvement with child care.</p> <p>NOTE: Child abuse reports and criminal record information from the Division of Criminal Investigation are not public records and cannot be shared with the center.</p> |
| Data | <p>To complete the form, the child care consultant supervisor:</p> <ul style="list-style-type: none">◆ Checks the kind of reports being evaluated and the evaluation decision.◆ Enters the name and address of the person being evaluated and the rationale for the decision.◆ Signs and date the form. |

Record Check Evaluation, Form 470-2310 or 470-2310(S)

| | |
|--------------|---|
| Purpose | Form 470-2310 is used to collect additional information about a criminal conviction or a child abuse report. The worker and the evaluation team then use this information to evaluate the report's effect on the licensing or registration recommendation. |
| Source | Complete the English version of this form on line using the template available in the public state-approved forms folder on Outlook. Print supplies of the Spanish version from the sample in the manual. |
| Completion | The person subject to the evaluation and/or the requesting entity completes sections A, B, and D for each founded report of child abuse or criminal conviction. Section C is the evaluation determination and is completed by the Department. |
| Distribution | <p>The person subject to the evaluation completes the form and sends the form to the Department within ten calendar days of the date on the form. This information is reviewed by the Department.</p> <p>On approved evaluations, a copy of the completed <i>Record Check Evaluation</i> will be sent to the requesting entity.</p> <p>On denied evaluations, a copy of the completed <i>Record Check Evaluation</i> will be sent to the requesting entity and the person subject to the evaluation.</p> |
| Data | <p>Part A: The agency, provider, or person requesting the evaluation completes this section. Include the requesting entity, requestor's name, and contact information.</p> <p>Part B: The person completing the form verifies who is being evaluated, previous or maiden names, and the position they are applying for.</p> <p>Part C: The Department will evaluate and approve or deny a person's involvement in the role they have requested.</p> <p>Part D: The applicant must complete information regarding each crime or incident of abuse, changes made to assure safety in working with others, and whether the Department has evaluated the applicant in the past.</p> |

Request for Child and Dependent Adult Abuse Information, Form 470-0643

| | |
|--------------|--|
| Purpose | Form 470-0643, <i>Request for Child and Dependent Adult Abuse Information</i> , is used to check for founded child abuse reports for persons working or applying for employment in a center. |
| Source | Complete the form on line using the template available through the public state-approved forms folder on Outlook. |
| Completion | <p>The licensing support staff completes the form when a <i>DHS Criminal History Record Check</i>, form 595-1396 or 595-1396(S), is received from a center.</p> <p>If the name is not found on the Registry, the licensing support staff attaches a label saying this and sends the form to the center for their personnel records.</p> <p>If the name is found on the Registry as the person responsible for a registered incident, the licensing support staff notifies the child care consultant supervisor, who generates the Department decision regarding involvement with child care.</p> |
| Distribution | The form is maintained in the Department licensing file. |
| Data | The form identifies the person requesting the information and the person whose record is being checked. |

**Request for Child Care Professional Development Approval Review,
Form 470-4528**

| | |
|--------------|--|
| Purpose | Form 470-4528, <i>Request for Child Care Professional Development Approval Review</i> , is used to document that the source of professional development is approved by the Department. |
| Source | The form is available on the Department's website at http://dhs.iowa.gov/sites/default/files/470-4528.pdf . |
| Completion | <p>A professional development providing organization completes the form when:</p> <ul style="list-style-type: none">◆ A child care center plans to provide professional development conducted by the organization; or◆ The organization wants to market professional development to child care center staff; or◆ The organization wants to market professional development to child development home providers. |
| Distribution | <p>The organization submits the application to the email address listed on the form along with:</p> <ul style="list-style-type: none">◆ The organization's table of organization.◆ The organization's mission and vision statement and objectives.◆ The organization's adult educator approval and review process. (The documented process that your organization uses to accept and deny adult educators based on their qualifications and the criteria in the Adult Educator Approval and Review Process Assurances section below.)◆ The organization's curricula approval and review process. (The documented process that your organization uses to accept and deny curricula based on the content and the criteria in the Curricula Approval and Review Process Assurances section below.)◆ An example of an evaluation participants complete for the adult educator to evaluate whether the participant met the objectives of the class or series. |

Data

- ◆ The organization's evaluation form participants complete to evaluate the adult educator and the class or series.
- ◆ The organization's certificate of completion template.

The form identifies the organization, describes the requirements, and provides the agreement that the organization must enter into.

**Child Care Centers and Preschools Licensing Standards and Procedures,
Comm. 204**

| | |
|--------------|---|
| Purpose | This handbook contains information and instructions to a person wishing to operate a child care center. |
| Source | Licensing support staff maintain a supply of these handbooks. |
| Completion | Licensing support staff give a handbook to applicant-providers who request an <i>Application for a License to Operate a Child Care Center</i> . |
| Distribution | Give one copy to each applicant-provider along with an <i>Application for a License to Operate a Child Care Center</i> , 470-0722 or 470-0722(S). |
| Data | The handbook contains: <ul style="list-style-type: none">◆ Licensing procedures.◆ Provider resources.◆ The minimum requirements for licensing, with an explanation of the rationale for the rule and recommendations for implementing it.◆ Samples of forms that are used by licensing staff or that may be used by providers. |