

January 27, 2023

GENERAL LETTER NO. 12-E-AP-47

ISSUED BY: Bureau of Child Care
Division of Adult, Children, and Family Services

SUBJECT: Employees' Manual, Title 12, Chapter E Appendix, **Child Care Center Appendix**, Title Page, Contents 1, 1, 2, 3, 4, revised; 4a and 4b, removed; 5 and 6, 7-13, 14, 15, 16, 17-19, revised; 20, removed, and the following forms, revised:

470-3940, *Licensing Regulation Checklist*, revised to update policy and procedure
470-3940(S), *Licensing Regulation Checklist* Spanish version, revised to update policy and procedure
470-4896, *National Criminal History Check Confirmation Form*, revised to update policy
Comm. 204, *Care Centers and Preschools Licensing Standards and Procedures*, revised to update policy, procedure, and to update style and formatting throughout.

Summary

This chapter is revised to update forms and update style and formatting throughout.

Effective Date

Immediately.

Material Superseded

Remove the following pages from Employees' Manual, Title 12, Chapter E Appendix, and destroy them:

<u>Page</u>	<u>Date</u>
Title Page	July 26, 2019
Contents I	July 26, 2019
1	July 26, 2019
2	February 1, 2019
3	August 24, 2018
4	July 26, 2019
4a and 4b	August 24, 2018
5 and 6	August 24, 2018
7-13	July 26, 2019
14	November 21, 2014
15	May 26, 2017
16	August 24, 2018
17-19	March 16, 2018
20	February 1, 2019
470-3940	09/22
470-3940(S)	09/22
470-4896	01/10
Comm. 204	09/22

Additional Information

Refer questions about this general letter to your area Child Care Regulatory Program Manager.

Employees' Manual

Title 12, Chapter E

Appendix

Revised January 27, 2023

Child Care Center Appendix

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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 CRIS 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 CRIS 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

Purpose	Form 470-4067, <i>Child Care Center Complaint</i> , is used to document information about a complaint inspection.
Source	Use the CRIS system to issue this form and to access complete information on complaints and process.
Completion	The child care consultant completes this form every time a complaint inspection is conducted.
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,▪ If serious injury or death of a child has occurred,▪ 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 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>Date call: Enter the date of the call.</p> <p>Time of call: Enter the time received.</p> <p>Person taking call: Enter your name.</p> <p>Contact information: 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> <p>Additional Information:</p> <ul style="list-style-type: none">▪ 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 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 CRIS 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. <p>For initial and renewal licensing, used the data from form 470-3940, <i>Licensing Regulation Checklist</i>, to complete this form.</p> <p>For all other licensing inspections, identify the licensing regulations reviewed and compliance findings for each rule category reviewed.</p>
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 Center Licensing Application and Invoice, Form 470-4834

Purpose	The center applies for an initial or renewal license by submitting form 470-4834, <i>Child Care Center Licensing Application and Invoice</i> , and supporting documents and payment required.
Source	The licensing 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: <ul style="list-style-type: none">▪ Identifying information,▪ The ages of children to be served,▪ Hours of operation,▪ Financial type, and▪ Licensing fee due.

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.

Corrective Action Plan to Address Child Care Licensing Rules, Form 470-5587

Purpose	The center completes form 470-5587, <i>Corrective Action Plan to Address Child Care Licensing Rules</i> , when a provisional license is being issued to resolve licensing violations.
Source	The licensing staff will provide the form to the child care center director for completion
Completion	Licensing staff provide the form to centers receiving a provisional license. The center completes the form. Licensing staff will review and approve the plan.
Distribution	The center provides the completed form along with the required support documentation to the assigned child care licensing consultant.
Data	The form requests: <ul style="list-style-type: none">▪ Identifying rule violations,▪ Specific steps planned to resolve the violation,▪ Dates associated with plan activities, and▪ The person identified as responsible for the action steps.

Criminal History Record Check Request Form, DCI-77

Purpose	The <i>Criminal History Record Check Request Form</i> , DCI-77, 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.
Source	This form can be found at: http://www.dps.state.ia.us/DCI/supportoperations/crimhistory/RequestForm.pdf Supplies of this form may also be printed from: <ul style="list-style-type: none">▪ The on-line manual, or▪ SharePoint under Employee Manual/Forms.
Completion	The licensed child care center completes this form for each person working or applying for employment in the center: <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	The center sends the completed form to the Iowa Department of Public Safety. The Iowa Division of Criminal Investigation returns the form to the requestor. The center needs to keep this form in its personnel records to verify the record check occurred. When a criminal record is found, notify the child care consultant supervisor responsible for making the Department’s decision regarding involvement with child care.
Data	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.

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 CRIS 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

New Center Guidance Tool, Form 470-5586

Purpose	Form 470-5586, <i>New Center Guidance Tool</i> , is used to evaluate a new center requesting permission to open.
Source	Print supplies of this form from the manual or SharePoint under Employee Manual/Forms.
Completion	Licensing staff complete the form when evaluating a new center for permission to open.
Distribution	Maintain this form in the licensing file. Do not distribute this form.
Data	The form requests documentation of: <ul style="list-style-type: none">▪ Center location and contact information,▪ Dates that information is provided or verified,▪ Areas of the location reviewed, and▪ Necessary corrections.

Floor plan and square footage can also be documented.

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), Record Check Decision, to the person along with the Notice of Decision: Services.• 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	<p>The form explains the action and gives the rule and manual references supporting the action.</p>

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 CRIS 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 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>

Record Check Waiver, Form 470-4893

Purpose	The <i>Record Check Waiver</i> form is used when licensed child care centers wish to seek a waiver from record checks for student interns who have had record checks completed by the educational institution they attend.
Source	Complete the form on line using the template. Print supplies from the sample in the manual as needed.
Completion	The licensed child care center completed the <i>Record Check Waiver</i> if requesting a waiver from record check completion for staff.
Distribution	Keep a copy of the Department's approval or denial of the waiver.
Data	<p>Center/Preschool Name. Enter the program's name.</p> <p>Date. Enter the current date.</p> <p>Center/Preschool Mailing Address. Enter the mailing address for the program.</p> <p>Center/Preschool Location Address. Enter the location address for the program.</p> <p>Center/Preschool Contact Name. Enter the name of the person making the request.</p> <p>Center/Preschool Telephone Number. Enter the telephone number for the person making the request.</p> <p>Part I. Check the box for the waiver request.</p> <p>Part II. Complete the information for each question 1 through 8.</p> <p>Part III. Part III is completed by policy staff in the Department of Human Services. Indicate if the record check may be waived. Indicate if there are any waiver conditions or why a record check is need. Sign and date the form.</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 DCI-77, <i>Criminal History Record Check Request Form</i>, 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 CPR, First Aid, and Universal Precautions Certification Approval Review, Form 470-5496

Purpose	Form 470-5496, <i>Request for Child Care CPR, First Aid, and Universal Precautions Certification Approval Review</i> , is used to document that the source of CPR or First Aid certification training is approved by the Department.
Source	Complete this form electronically on the Department's Workforce Registry system.
Completion	<p>A professional development providing organization completes the form when the organization wants to market CPR, First Aid, or Universal Precautions certification training to:</p> <ul style="list-style-type: none">▪ Child care center staff; or▪ Child development home providers; or▪ Child care home providers with a Child Care Assistance Provider Agreement.
Distribution	<p>The organization submits the application to the email address listed on the form along with:</p> <ul style="list-style-type: none">▪ Documentation regarding how the curriculum meets curriculum requirements,▪ An example of the card or certificate issued to participants that successfully complete the course,▪ Copies of instructors' certification cards.
Data	The form identifies the organization, describes the requirements, and provides the agreement that the organization must enter into.

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://hhs.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.▪ The organization's evaluation form participants complete to evaluate the adult educator and the class or series.▪ The organization's certificate of completion template.
Data	The form identifies the organization, describes the requirements, and provides the agreement that the organization must enter into.

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

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 a <i>Child Care Center Licensing Application and Invoice</i> .
Distribution	Give one copy to each applicant-provider along with a <i>Child Care Center Licensing Application and Invoice</i> , form 470-4834.
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.