



# How Do I? Guide: Pre-Inspections for Child Development Home Registration

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## **DHS Centralized Registration Unit**

1. Receives a *Child Development Home (CDH) Application* and sends a pre-inspection packet
2. Determines if the application is complete
3. Determines if health and safety training is completed
4. Transgression history check is completed
5. When transgressions are found, record evaluated and approved
6. DHS Centralized Registration Unit then:
  - a. Completes form 470-5394, *Pre-Inspection Referral*
  - b. Submits completed form 470-5394 and the *CDH Application* to the compliance worker supervisor

## **Compliance Supervisor Receives Pre-Inspection Referral**

1. Logs the referral into the Child Care Regulatory System (CRIS)
2. Assigns a compliance worker

## **Compliance Worker Receives Assignment**

1. Receives the assignment in CRIS. Date assigned is in CRIS. Within 30 days of the compliance supervisor receiving form 470-5394 the pre-inspection process with a decision to approve or deny the application needs to occur. If a recheck is required, the process needs to be completed within 60 days.
2. Contacts the provider to schedule a pre-inspection. A copy of the application will be scanned and sent with the *Pre-Inspection Referral* form. The address and telephone number will be on this application.
3. Contacts CCR&R to attempt to arrange a joint visit.
4. Checks for provider's past history in paper or electronic files.
  - a. Check KinderTrack (KT) Provider Type of Care page for history of registration after 2010
  - b. Check KT Provider Notices page for history of registration revocations after 2010
  - c. Check KT Provider Notes page
  - d. Check KT Provider Compliance page for a summary of previous compliance visits
  - e. Check the provider paper file for complaint and compliance reports before reports were uploaded to CRIS
  - f. If there is a past history of noncompliance, read the history and take notes on repeated noncompliance and serious safety issues

5. Conducts an on-site visit.
  - a. Brings form 470-5384, *Pre-Inspection Checklist for CDH Registration*, and Compliance SharePoint sample forms and resources
  - b. Completes the checklist and provides sample forms and resources
    - Always remember, don't mark "yes" on the checklist if you personally can't verify compliance (such as, play area due to snow cover)
    - Be fair, objective, respectful, and impartial

## In Compliance With Pre-Inspection Checklist – Approve

### Compliance Worker

1. Completes approval section of form 470-5394, *Pre-Inspection Referral*
2. Sends completed form 470-5394, *Pre-Inspection Referral*, to DHS, CCA Registration
3. Uploads checklist to CRIS
4. Completes process within 30 days

### DHS Centralized Registration Unit

1. Receives completed form 470-5394, *Pre-Inspection Referral*
2. Sends NOD to provider

## Not in Compliance With Pre-Inspection Checklist

### Deny When the Following Rules Are Out-of-Compliance

- **441—110.8(237A) Standards.** Conditions in the home shall be safe, sanitary, and free of hazards. The noncompliance found cannot be corrected in 15 days.
- 441 IAC 110.8(1)"e." An annual laboratory analysis shows satisfactory bacteriological quality if a private water supply is used. Nitrate analysis when children are under two. If water is determined unsuitable for drinking, commercially bottled water or water treated and approved by the health department is provided.
- 441 IAC 110.8(1)"i." Smoking and use of tobacco products prohibited at all times in the home and vehicles used to transport children. Smoking and use of tobacco products prohibited in outdoor play area during hours of operation.
- 441 IAC 110.8(1)"j." Homes served by private sewer systems shall be in compliance with discharge restrictions. Discharge of untreated waste water is prohibited. Compliance shall be verified by local board of health at time of renewal or new registration.

- 441 IAC 110.8(1)“k.” For homes built prior to 1960, provider must complete visual assessment for lead hazards and apply necessary interim controls on any chipping and peeling paint, using DPH lead-safe work methods. Form 470-4755, *Lead Assessment and Control*, is submitted with each initial and renewal application.
- 441 IAC 110.8(2)“a.” Outdoor space is kept free from litter, rubbish, and flammable materials. Outdoor space is free from contamination by drainage or ponding of sewage, household waste, or storm water.
- 441 IAC 110.8(2)“b.” When a swimming pool or wading pool is on the premises: If not fenced, both in- and above-ground pools must have a cover that meets or exceeds ASTM standards when not in use. Fence for above-ground pool is four feet high and non-climbable. Fence for in-ground pool is flush with ground, non-climbable, and at least four feet high.

### Category B and C ONLY

- 441 IAC 110.14(3)“a” and 441 IAC 110.15(3)“a.” There is a minimum of 35 square feet of child use floor space indoors for each child in care. There is a minimum of 50 square feet outdoors per child in care. NOTE: **\*\*\* If a home wishes to be a Category B or C but does not meet square footage requirements, we may reduce the number of children allowed in care.\*\*\***
- 441 IAC 110.14(3)“c” and 441 IAC 110.15(3)“c.” There is a minimum of 50 square feet outdoors per child in care. All exits terminate at grade level with permanent steps. If the second story or basement is used for child care, other than the use of a restroom, there is, in addition to one inside stairway, at least one direct exit to the outside. If a basement window is used as an exit, the window is able to be opened from the inside without the use of tools. The window provides a clear opening of not less than 20 inches in width, 24 inches in height, and 5.7 square feet in area. The bottom of the window opening is not more than 44 inches above the floor with permanent steps inside leading up to the window. Child care is not provided above the second floor.
- 441 IAC 110.15(3)“c.” Has a minimum of two direct exits to the outside from the main floor. All exits terminate at grade level with permanent steps. If the second story or basement is used for child care, other than the use of a restroom, there is, in addition to one inside stairway, at least one direct exit to the outside. If a basement window is used as an exit, the window is able to be opened from the inside without the use of tools. The window provides a clear opening of not less than 20 inches in width, 24 inches in height, and 5.7 square feet in area. Child care is not provided above the second floor.

### **Compliance Worker**

1. Completes denial section of form 470-5394, *Pre-Inspection Referral*
2. Completes standardized pre-inspection noncompliance denial letter in CRIS
  - a. Forward completed denial letter to supervisor
  - b. Supervisor reviews and consults with compliance worker as necessary
  - c. Supervisor approves denial letter and sends back to compliance worker
3. Sends completed form 470-5394, *Pre-Inspection Referral*, and denial letter to DHS, CCA Registration
4. Uploads checklist to CRIS
5. Completes process within 30 days
6. Collaborates with DHS Centralized Registration Unit in handling appeals

### **DHS Centralized Registration Unit**

1. Receives completed form 470-5394, *Pre-Inspection Referral*
2. Sends NOD and denial letter to provider
3. Collaborates with compliance worker in handling appeals

## **Option to Correct When No Auto Deny Rules Are Out-of-Compliance**

### **Compliance Worker**

1. Completes the standardized pre-inspection noncompliance letter in CRIS as soon as possible
2. Sends noncompliance letter to provider which gives the provider 15 days to call and schedule a follow-up visit
3. If provider does not call by the end of the 15th day:
  - a. Complete the denial section of form 470-5394, *Pre-Inspection Referral*
  - b. Complete the standardized pre-inspection noncompliance denial letter in CRIS
    - (1) Forward completed denial letter to supervisor
    - (2) Supervisor reviews and consults with compliance worker as necessary
    - (3) Supervisor approves denial letter and sends back to compliance worker
  - c. Send completed form 470-5394, *Pre-Inspection Referral*, and denial letter to DHS, CCA Registration
  - d. Upload checklist to CRIS

- e. Complete process within 60 days
  - f. Collaborate with DHS Centralized Registration Unit in handling appeals
4. When provider calls you within 15 days:
- a. Schedule and conduct the follow-up visit within two weeks
    - Complete the checklist
    - Always remember, don't mark "yes" on the checklist if you personally can't verify compliance (such as, play area due to snow cover)
    - Be fair, objective, respectful, and impartial
  - b. Enter the date of the follow-up inspection visit in CRIS
5. If provider is in compliance:
- a. Complete approval section of form 470-5394, *Pre-Inspection Referral*
  - b. Send completed form 470-5394, *Pre-Inspection Referral*, to DHS, CCA Registration
  - c. Upload checklist to CRIS
  - d. Complete process within 60 days
6. If provider is not in compliance:
- a. Complete denial section of form 470-5394, *Pre-Inspection Referral*
  - b. Complete standardized pre-inspection noncompliance denial letter in CRIS
    - (1) Forward completed denial letter to supervisor
    - (2) Supervisor reviews and consults with compliance worker as necessary
    - (3) Supervisor approves denial letter and sends back to compliance worker
  - c. Send completed form 470-5394, *Pre-Inspection Referral*, and denial letter to DHS, CCA Registration
  - d. Upload checklist to CRIS
  - e. Complete process within 60 days
  - f. Collaborate with DHS Centralized Registration Unit in handling appeals

### **DHS Centralized Registration Unit**

1. Receives completed form 470-5394, *Pre-Inspection Referral*
2. Sends NOD and compliance letter (if denial) to provider
3. Collaborates with compliance worker in handling appeals