

NYCRR T. 18, Ch. II, Subch. C, Art. 2, Pt. 414, Refs & Annos

18 NYCRR 414.1

Section 414.1. Definitions, enforcement and hearings

The provisions of Part 413 of this Title apply to this Part.

18 NYCRR 414.2

Section 414.2. Procedures for applying for and renewing a registration

### **EMERGENCY REGULATION**

(a) Applicants for a registration must submit to the office:

(1) a completed application, including required attestations, on forms furnished by the office or approved equivalents. Such application and attestations must include an agreement by the applicant to operate the school-age child care program in conformity with applicable laws and regulations;

(2) certificate of occupancy or other documentation from the local government authority having jurisdiction for determining compliance with the New York State Uniform Fire Prevention and Building Code showing that the facility has been inspected and approved within the 12 months preceding the date of application for use as a school-age child care program, in accordance with the appropriate provisions of such code;

(3) documentation from local zoning authorities or officials, where such authorities or officials exist, that a school-age child care program is a permitted use under any zoning code applicable to the area in which the school-age child care program is located;

(4) documentation from the local health department or the New York State Department of Health showing that the facility has been inspected and approved within the 12 months preceding the date of application;

(5) where a provider uses a private water supply, a report from a State licensed laboratory or individual, based on tests performed within the 12 months preceding the date of application, showing that the water meets standards for drinking water established by the New York State Department of Health;

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(6) certification, on forms provided by the office, that the building, its property and premises, and the surrounding neighborhood and environment are free from environmental hazards. Such hazards include but are not limited to, dry cleaners, gas stations, nuclear laboratories or power plants, property designated as a Federal superfund clean-up site, and any property with known contaminated ground or water supplies. Where the historical or current use of the dwelling, its property and premises, or the surrounding neighborhood indicate that an environmental hazard may be present, inspection or testing must be completed by the appropriate local official or authority to determine if such hazard exists. Documentation of the inspection or testing must be appended to the statement required by this paragraph and include a statement from the appropriate local official or authority following this inspection and/or testing that the dwelling, its property and premises, and the surrounding neighborhood meet applicable standards for sanitation and safety;

(7) documentation from service personnel licensed by the New York State Department of State to perform fire alarm systems maintenance, repair and testing which shows that fire alarm and detection systems have been inspected, tested and maintained in accordance with the applicable requirements of the New York State Uniform Fire Prevention and Building Code;

(8) documentation from service personnel qualified to perform fire suppression systems testing showing that fire suppression equipment and systems have been tested and maintained in accordance with the applicable requirements of the New York State Uniform Fire Prevention and Building Code;

(9) documentation from an inspector from the New York State Department of Labor, or an insurance company licensed to write boiler insurance in New York State, showing that all steam or hot water boilers have been inspected and approved in accordance with the requirements of the New York State Department of Labor. For all other fuel burning heating systems and equipment and boilers not subject to the New York State Department of Labor requirements, documentation of service by a heating contractor performed within the 12 months preceding the date of application;

(10) a diagram of the portion of the building to be occupied by the school-age child care program and all adjacent areas of such building, as required in section 414.3 of this Part;

(11) a description of program activities offered to meet the needs of children, as described in section 414.7 of this Part;

(12) a sworn statement by the applicant indicating whether, to the best of the applicant's knowledge, the applicant has ever been convicted of a misdemeanor or a felony in New York State or any other jurisdiction and fingerprint cards as required to comply with the requirements of section 413.4 of this Title;

(13) certification, on forms provided by the office, of the status of the individual applicant's child support obligations or payments, in accordance with the requirements of section 3-503 of the General Obligations Law;

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(14) certification, on forms provided by the office, that the school-age child care program is providing workers' compensation in accordance with the requirements of New York State law;

(15)

(i) the Statewide Central Register clearance form necessary to complete required screening by the Statewide Central Register of Child Abuse and Maltreatment to determine if the applicant is the subject of an indicated report of child abuse or maltreatment;

(ii) The forms necessary to check the register of substantiated category one cases of abuse or neglect maintained by the Justice Center for the Protection of Persons with Special Needs pursuant to Section 495 of the Social Services Law.

(16) a description of the procedure to be used to review and evaluate the background information supplied by applicants for employment and volunteer positions, as required in section 414.13 of this Part;

(17) when the school-age child care program is incorporated, a copy of the certificate of incorporation or an amendment thereto showing that the corporation has the authority to establish and operate school-age child care programs and verification of the filing of such certificate. Such corporation shall immediately notify the office upon any transfer or reapportionment of corporate stock or any change in ownership of the corporation;

(18) when the school-age child care program is owned by an individual, corporation, partnership or other entity using a business or assumed name, a copy of the certificate of doing business under an assumed name obtained from the county clerk;

(19) completed fingerprint cards necessary to conduct a criminal history record check pursuant to section 413.4 of this Title; and

(20) a statement signed by the provider or authorized representative of the provider that the program is in compliance with all applicable statutes and regulations.

(b) School-age child care programs located in public school buildings currently used for elementary, middle or secondary education programs approved by the New York State Education Department are exempt from the requirements set forth in paragraphs (a)(2)-(9) of this section. Each such program must submit a copy of the current certificate of occupancy issued by the State Education Department as part of the application. For those programs not issued such certificates of occupancy, the appropriate local equivalent, acceptable to the State Education

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Department, must be submitted.

(c) Applicants for a registration must submit all the documentation required in subdivision (a) of this section within 90 days after the submission of the first piece of such documentation to the department. An applicant who fails to submit all documentation within the 90 days will be deemed to have withdrawn such application.

(d) Applicants for a registration may not be issued a registration until an inspection of the school-age child care program has been conducted showing compliance with the requirements of this Part and the relevant provisions of the Social Services Law.

(e) Applicants for renewal of a registration must submit to the office at least 60 days in advance of the expiration date of the registration the following:

(1) a completed application for renewal, including required attestations, on forms furnished by the office, or approved equivalents. Such application and attestations must include an agreement by the applicant to operate the school-age child care program in conformity with applicable laws and regulations;

(2) where a provider uses a private water supply, a report from a State licensed laboratory or individual, based on tests performed within the 12 months preceding the date of the application for renewal, showing that the water meets the standards for drinking water established by the New York State Department of Health;

(3) certification, on forms provided by the office, that the building, its property and premises, and the surrounding neighborhood and environment are free from environmental hazards. Such hazards include but are not limited to, dry cleaners, gas stations, nuclear laboratories or power plants, property designated as a Federal superfund clean-up site, and any property with known contaminated ground or water supplies. Where the historical or current use of the building, its property and premises, or the surrounding neighborhood indicate that an environmental hazard may be present, inspection or testing must be completed by the appropriate local official or authority to determine if such hazard exists. Documentation of the inspection or testing must be appended to the statement required by this paragraph and include a statement from the appropriate local official or authority following this inspection and/or testing that the building, its property and premises, and the surrounding neighborhood meet applicable standards for sanitation and safety;

(4) documentation from service personnel licensed by the New York State Department of State to perform fire alarm systems maintenance, repair and testing which shows that fire alarm and detection systems have been inspected, tested and maintained within the 12 months preceding the date of the application for renewal in accordance with the applicable requirements of the New York State Uniform Fire Prevention and Building Code;

(5) documentation from service personnel qualified to perform fire suppression systems testing showing that fire suppression equipment and systems have been tested and maintained within the 12 months preceding the

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date of the application for renewal;

(6) documentation from an inspector for the New York State Department of Labor or an insurance company licensed to write boiler insurance in New York State showing that all steam or hot water boilers have been inspected and approved in accordance with the requirements of the New York State Department of Labor. For all other fuel burning heating systems and equipment and boilers not subject to the New York State Department of Labor requirements, documentation of service by a heating contractor performed within the 12 months preceding the date of the application for renewal;

(7) certification, on forms provided by the office, of the status of the individual applicant's child support obligations or payments, in accordance with the requirements of section 3-503 of the General Obligations Law;

(8) certification, on forms provided by the office, that the school-age child care program is providing workers' compensation in accordance with the requirements of New York State law; and

(9) documentation showing compliance with the training requirements of section 414.14 of this Part.

(f) The office may grant an application for renewal of a registration without conducting an inspection of the school-age child care program. If the office determines within its discretion that an inspection is necessary, a renewal of the registration may not be issued until an inspection has been conducted showing compliance with the requirements of this Part and the relevant provisions of the Social Services Law.

(g) School-age child care programs located in public school buildings currently used for elementary, middle or secondary education programs approved by the New York State Education Department are exempt from the requirements set forth in paragraphs (e)(4)-(8) of this section. Each such program must submit a copy of the current certificate of occupancy issued by the State Education Department as part of the application for renewal. For those programs not issued such certificates of occupancy, the appropriate local equivalent, acceptable to the State Education Department, must be submitted.

### 18 NYCRR 414.3

#### Section 414.3. Building and equipment

(a) Each applicant must submit to the office a diagram of the proposed school-age child care program at the time of application for registration.

(1) The diagram must be labeled with the planned occupancy or use of all areas of the building and all outside areas to be used or occupied by the school-age child care program. The diagram must show room dimensions,

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kitchens and bathrooms for children and staff, exits, alternate means of egress, plumbing fixtures such as toilets, sinks and drinking fountains, and the outdoor play area showing its relationship to the building.

(2) Whenever change(s), addition(s) or expansion(s) are proposed which will affect, or reasonably may be expected to affect, those portions of the building designated for the care of children or for their egress in case of an emergency, the provider must receive written approval from the office prior to initiating such change(s), addition(s), or expansion(s).

(b) Areas that will be used by the children must be well-lighted and well-ventilated. Heating, ventilation and lighting equipment must be adequate for the protection of the health of the children. A temperature of at least 68 degrees Fahrenheit must be maintained in all rooms to be occupied by children.

(c) Children who require a rest period must be provided with clean, safe and sanitary individual sleeping arrangements.

**(d) Children must be accommodated in rooms having a minimum of 35 square feet for each child. Areas used for large motor activity, staff lounges, storage spaces, halls, bathrooms, kitchens and offices may not be used in calculating the 35 square feet per child requirement.**

(e) There must be a separate quiet area, which can be adequately supervised, for children who become ill or who develop symptoms of illness.

(f) Toxic paints or finishes must not be used on room surfaces, furniture or any other equipment, materials or furnishings which may be used by children or are within their reach.

(g) Peeling or damaged paint or plaster must be repaired promptly. Concrete floors used by the children must be covered with appropriate material.

(h) Readily accessible outdoor play space which is adequate for active play must be provided.

(i) Convenient, adequate and sanitary toilet facilities must be provided for the children in a separate, properly ventilated room readily accessible to playrooms and outdoor play areas. Toilets must be in private stalls or have other provisions that ensure privacy. One sanitary toilet and one wash basin must be available for every group of 20 children, or part thereof.

(j) Adequate and safe water supply and sewage facilities must be provided and must comply with State and local

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laws. Hot and cold running water must be available and accessible at all times.

(k) All buildings used for school-age child care programs must remain in compliance with the applicable provisions of the New York State Uniform Fire Prevention and Building Code.

18 NYCRR 414.4

Section 414.4. Fire protection

(a) Suitable precautions must be taken to eliminate all conditions which may contribute to or create a fire hazard.

(b) Evacuation drills must be conducted at least monthly during various hours of operation of the school-age child care program in accordance with the recommendations of the local fire marshal or fire department. A record of these drills must be kept on file using forms furnished by the office or approved equivalents.

(c) Fire detection, alarm and fire fighting equipment appropriate to the type of building construction, size, height and occupancy must be provided.

(1) All fire alarm and detection systems must be inspected, tested and maintained in accordance with the applicable requirements of the New York State Uniform Fire Prevention and Building Code. All such inspections, testing and maintenance must be conducted by service personnel licensed by the New York State Department of State to perform fire alarm systems maintenance, repair and testing. All staff must be instructed in the function and operation of fire alarm and detection systems used in the school-age child care program.

(2) All fire suppression equipment and systems must be tested and maintained in accordance with the applicable requirements of the New York State Uniform Fire Prevention and Building Code. All such inspections, testing and maintenance must be conducted by service personnel qualified to perform fire suppression systems maintenance, repair and testing. All staff must be instructed in the function and operation of fire suppression equipment and systems used in the school-age child care program.

(d) Except for programs located in public school buildings currently used for elementary, middle or secondary education programs regulated or inspected by the State Education Department, the school-age child care program must have an inspection once every 12 months conducted by the local government authority having jurisdiction for determining compliance with the New York State Uniform Fire Prevention and Building Code.

(e) Adequate means of egress must be provided. Children may be cared for only on such floors as are provided with readily accessible alternate means of egress to other floors, in the case of fire-resistant buildings, and to the outside in the case of non-fire-resistant buildings. Such means of egress must be remote from each other.

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(f) All corridors, aisles, and approaches to exits must be kept unobstructed at all times.

(g) Steam or hot water boilers must be inspected and approved in accordance with the requirements of the New York State Department of Labor by an inspector from the New York State Department of Labor or by an insurance company which is licensed to write boiler insurance in the State. All other fuel burning heating systems and equipment and boilers not subject to the New York State Department of Labor requirements must be serviced by a heating contractor once every 24 months.

(h) Trash, garbage and combustible materials must not be stored in the furnace room or in rooms or outdoor areas adjacent to the facility that are ordinarily occupied by or accessible to children.

(i) The director or a designated qualified staff member must conduct monthly inspections of the premises to observe possible fire and safety hazards. Any such hazard must be corrected immediately. A record of all inspections and all corrections must be maintained at the program.

18 NYCRR 414.5

Section 414.5. Safety

(a) Suitable precautions must be taken to eliminate all conditions in areas accessible to children which pose a safety hazard.

(b) The provider must submit a written plan for the emergency evacuation of children from the premises using a form furnished by the office, or an approved equivalent form. Primary emphasis must be placed on the immediate evacuation of children. The plan, as approved by the office, must be posted in a conspicuous place in the program. The approved emergency evacuation plan must describe the following:

(1) how children and staff will be made aware of an emergency;

(2) primary and secondary evacuation routes;

(3) methods of evacuation, including where children and staff will meet after evacuating the building, and how attendance will be taken;



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(4) roles of staff; and

(5) notification of authorities and the children's parents.

(c) Portable electric heaters or other portable heating devices, regardless of the type of fuel used, may not be used in school-age child care programs.

(d) Radiators and pipes located in rooms occupied by children must be covered to protect the children from injury.

(e) Porches, decks and stairs must have railings with a barrier extending to the floor or ground to prevent children from falling. Acceptable types of barriers include, but are not limited to, balusters, intermediate rails, and heavy screening.

(f) School-age child care programs must provide and use barriers to restrict children from unsafe areas. Such areas include, but are not limited to, swimming pools, open drainage ditches, wells, holes, wood and coal burning stoves, fireplaces and permanently installed gas space heaters.

(g) The use of nonpublic swimming pools, spa pools and all fill-and-drain wading pools is prohibited.

(h) Public swimming pools and adjacent areas used by the children must be constructed, maintained, staffed and used in accordance with chapter 1, subpart 6-1, of the New York State Sanitary Code, and in such a manner as will safeguard the lives and health of children.

(i) All matches, lighters, medicines, drugs, cleaning materials, detergents, aerosol cans and other poisonous or toxic materials must be stored in their original containers, and must be used in such a way that they will not contaminate play surfaces or food or food preparation areas, or constitute a hazard to children. Such materials must be kept in a place inaccessible to children.

(j) Indoor and outdoor plants which are hazardous to children must not be accessible to the children.

(k) Any pet or animal kept indoors or outdoors at the school-age child care program must be in good health, show no evidence of carrying disease, and pose no threat to children. This provision also applies to those pets or animals present at the program which do not belong to the staff of the program.

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(l) The school-age child care program must have immediate access to a minimum of one stationary single-line telephone for general use and emergencies. Emergency telephone numbers for the fire department, local or State Police or sheriff's department, poison control center, and ambulance service must be posted conspicuously on or next to each telephone with the capacity to make outside calls. Devices used for purposes of caller identification or call blocking shall not be used to block in-coming calls from parents or legal guardians of children in care, representatives of the office or agents of the State or local government during the hours of operation of the child day care program.

(m) Materials and play equipment used by the children must be sturdy and free from rough edges and sharp corners.

(n) Outdoor equipment such as swings, slides and climbing apparatus must be installed and used in accordance with the manufacturer's specifications and instructions, be in good repair, and be placed in a safe location. Such equipment and apparatus may be used only by the children for whom it is developmentally appropriate.

(o) Clear glass panels must be marked clearly to avoid accidental impact. Glass in outside windows less than 32 inches above the floor level must be of safety grade or otherwise protected by use of barriers to avoid accidental impact.

(p) Where child care is provided above the first floor, windows on such floors must be protected by barriers or locking devices to prevent children from falling out of the windows.

(q) An operable flashlight or battery powered lantern must be kept in the child care area. Such equipment must be properly maintained for use in the event of a power failure.

(r) Every closet door latch must be constructed to enable children to open the door from inside the closet. Every bathroom door lock must be designed to permit opening of the locked door from the outside in an emergency. The opening device must be readily accessible to the staff.

18 NYCRR 414.6

Section 414.6. Transportation

(a) The provider must obtain written consent from the parent of the child for any transportation to children in care at the school-age child care program provided or arranged for by the provider.

(b) A staff member must never leave a child unattended in any motor vehicle or other form of transportation.

(c) Each child must board or leave a vehicle from the curb side of the street.

(d) All children must be secured in safety seats or by safety belts as appropriate for the age of the child in accordance with the requirements of the Vehicle and Traffic Law before any child may be transported in a motor vehicle where such transportation is provided or arranged for by the provider.

(e) Any motor vehicle, other than a public form of transportation, used to transport children in care at the school-age child care program must have a current registration and inspection sticker and must be operated by a person who is at least 18 years of age and possesses a valid driver's license.

#### 18 NYCRR 414.7

#### Section 414.7. Program requirements

(a) The school-age child care program must establish an organized, informal and nonscholastic program of activities appropriate to the age, needs and interests of the children, including children with disabilities.

(b) Children must be provided with a program of self-initiated, group-initiated and staff-initiated activities which are intellectually stimulating, and foster self-reliance and social responsibility.

(c) A written daily schedule of program activities and routines which offers reasonable regularity in routines, including snack and meal periods, quiet activities and active play, and activities which provide children with opportunities for learning and self-expression is required.

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(d) Children must receive instruction, consistent with their age, needs and circumstances, in techniques and procedures which will enable them to protect themselves from abuse and maltreatment.

(e) The program must make a sufficient quantity and variety of materials and play equipment available to the children. Such materials and equipment must be appropriate to the ages of the children and their developmental levels and interests, including children with developmental delays or disabilities, and promote the children's cognitive, educational, social, cultural, physical, emotional, language and recreational development.

#### 18 NYCRR 414.8

#### Section 414.8. Supervision of children

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(a) School-age child care programs must employ or have available staff who will promote the physical, intellectual, social, cultural and emotional well-being of the children.

(b) The school-age child care program must provide supervision of the staff responsible for the care of children. Workloads and assignments must be arranged to provide consistency of care to children and to allow staff to fulfill their respective responsibilities.

(c) Whenever the school-age child care program is in operation and the director is away from the premises, there must be a person designated to act on behalf of the director.

(d) Children cannot be left without competent direct supervision at any time.

(1) No person other than a director, head of group or assistant to the head of group may supervise a group independently even for brief periods of time, except in an emergency. No person under 18 years of age may be left alone to supervise a group of children at any time including in an emergency.

(2) The minimum age of a staff person is 16 years.

(3) A person who is qualified to perform the duties of an absent staff member must be provided when needed to comply with the applicable staff/child ratios.

(e) When a school-age child care program is in operation, an adequate number of qualified staff must be on duty to protect the health and safety of the children in care. The minimum ratios of staff to children are as follows:

Minimum Staff/Child Ratios Based on Group Size

Age of children Minimum required staff Maximum  
per number of children group size <sup>a1</sup>

through 9 years 1:10 20  
10-12 years 1:15 30

<sup>a1</sup> This term refers to the number of children cared for together as a unit. Group size is used to determine the minimum staff/child ratio based upon age of the children in the group.

(f) When a school-age child care program cares for children in groups including children both over and under 10 years of age, the staff/child ratio used must be that ratio applicable to the youngest child in the group.

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(g) No child can be released from the school-age child care program to any person other than his or her parent, or person currently designated in writing by such parent to receive the child, or any other person authorized by law to take custody of a child. No child can be released from the school-age child care program unsupervised except upon written instruction of the child's parent. Such instruction must be acceptable to the school-age child care program and should take into consideration such factors as the child's age and maturity, proximity to his or her home, and safety of the neighborhood.

(h) *Visitor control procedures.*

(1) Each school-age child care program shall require any and all visitors to the facility to:

(i) sign in upon entry to the premises;

(ii) indicate in writing the date of the visit and the time of entry to the facility;

(iii) clearly state in writing the purpose of the visit; and

(iv) sign out upon departure from the facility indicating in writing the time of departure.

(2) Each school-age child care program shall establish such other rules and policies as are necessary to provide for monitoring and control of visitors to protect the health, safety and welfare of children in care. As part of such rules and policies, each school-age child care program shall determine who shall be considered a visitor to the facility for purposes of this subdivision.

(i) Surveillance cameras may not be used as a substitute for competent direct supervision of children.

**18 NYCRR 414.9**

**Section 414.9. Discipline**

(a) The school-age child care program must establish written disciplinary guidelines and provide copies of these guidelines to all staff and parents of children in care at the program. These guidelines must include acceptable methods of guiding the behavior of children. Discipline must be administered in such a way as to help each child develop self-control and assume responsibility for his or her actions through clear and consistent rules and limits appropriate to the ages and development of the children in care. The staff must use acceptable techniques and approaches to help children solve problems.

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(b) Any discipline used must relate to the child's action and be handled without prolonged delay on the part of the staff so that the child is aware of the relationship between his or her actions and the consequences of those actions.

(c) Isolating a child in a closet, darkened area, or any area where the child cannot be seen and supervised by a staff member is prohibited.

(d) Where a child's behavior harms or is likely to result in harm to the child, others or property, or seriously disrupts or is likely to seriously disrupt group interaction, the child may be separated briefly from the group, but only for as long as is necessary for the child to regain enough self-control to rejoin the group. The child must be placed in an area where he or she is in the view of, and can be supervised and supported by, a staff member. Interaction between a staff member and the child must take place immediately following the separation to guide the child toward appropriate group behavior. Separation of a child from the group in a manner other than that provided for in this subdivision is prohibited.

(e) Corporal punishment is prohibited. For the purposes of this Part, the term *corporal punishment* means punishment inflicted directly on the body including, but not limited to, spanking, biting, shaking, slapping, twisting or squeezing; demanding excessive physical exercise, prolonged lack of movement or motion, or strenuous or bizarre postures; and compelling a child to eat or have in the child's mouth soap, foods, hot spices or other substances.

**(f) Withholding or using food, rest or sleep as a punishment is prohibited.**

(g) Discipline must be administered and supervised by the school-age child care program staff.

(h) Methods of discipline or interaction which frighten, demean or humiliate a child are prohibited.

18 NYCRR 414.10

Section 414.10. Child abuse and maltreatment

**EMERGENCY REGULATION**

(a) Any abuse or maltreatment of a child, either as an incident of discipline or otherwise, is prohibited. A school-age child care program must prohibit and may not tolerate or in any manner condone an act of abuse or maltreatment by an employee, volunteer or any other person under the provider's control. An *abused child* or *maltreated child* means a child defined as an abused child or maltreated child pursuant to section 412 of the Social Services Law.

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(b) Screening requirements for school-age child care programs registered with the office are as follow:

(1)

(i) School-age child care programs must inquire of the office whether any person who is actively being considered for employment and any individual or any person who is employed by an individual, corporation, partnership or association which provides goods or services to the program, and who will have the potential for regular and substantial contact with the children who are cared for by the program, is the subject of an indicated report of child abuse or maltreatment on file with the Statewide Central Register of Child Abuse and Maltreatment. Each such program may inquire of the office whether any current employee, or any person who is being considered for use as a volunteer or for hiring as a consultant, and who has or will have the potential for regular and substantial contact with children being cared for by the program, is the subject of an indicated report of child abuse or maltreatment on file with the Statewide Central Register of Child Abuse and Maltreatment. An inquiry regarding any current employee may be made only once in any six-month period.

(ii) School-age child care programs must check the register of substantiated category one cases of abuse or neglect maintained by the Justice Center for the Protection of Persons with Special Needs pursuant to Section 495 of the Social Services Law before determining whether to hire or otherwise allow any person as an employee, administrator, consultant intern, volunteer or contractor who will have the potential for regular and substantial contact with children cared for by the center.

(2) Prior to making any inquiry to the office pursuant to paragraph (1) of this subdivision, the school-age child care program must notify, in the form prescribed by the office, the person who will be the subject of the inquiry that an inquiry will be made to determine whether such person is the subject of an indicated report of child abuse or maltreatment on file with the Statewide Central Register of Child Abuse and Maltreatment.

(3)

(i) Except as set forth in subparagraph (ii) of this paragraph, a school-age child care program may not permit a person hired by the program, a volunteer or consultant, or a person who is employed by an individual, corporation, partnership or association which provides goods or services to the program to have contact with children in the care of the program prior to obtaining the result of the inquiry required by this subdivision.

(ii) An employee of a school-age child care program or an employee, a volunteer or consultant, of a provider of goods and services to the school-age child care program may have contact with children cared for by the program prior to the receipt by the program of the result of the inquiry required by this subdivision only where such employee is visually observed or audibly monitored by an existing staff member of the program. Such employee must be in the physical presence of an existing staff member for whom:

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(a) the result of an inquiry required by section 424-a of the Social Services Law has been received by the school-age child care program and the program hired the existing staff member with knowledge of the result of the inquiry; or

(b) an inquiry was not made because such staff member was hired before the effective date of section 424-a of the Social Services Law.

(4) If an applicant, employee or other person about whom the school-age child care program has made an inquiry is found to be the subject of an indicated report of child abuse or maltreatment, such program must determine, on the basis of information it has available and in accordance with guidelines developed and disseminated by the office, whether to hire, retain or use the person as an employee, volunteer or consultant or to permit the person providing goods or services, to have access to children being cared for by the school-age child care program. Whenever such person is hired, retained, used or given access to children, such program must maintain a written record, as part of the application file or employment or other personnel record of such person, of the specific reason(s) why such person was determined to be appropriate and acceptable as an employee, volunteer, consultant or provider of goods or services with access to children being cared for by the program.

(5) If the school-age child care program denies employment or makes a decision not to retain an employee, not to use a volunteer or consultant, or not to permit a person providing goods or services to the program to have access to children who are being cared for by the program, such program must provide a written statement to the applicant, employee, volunteer, consultant or other such person, indicating whether the denial or decision was based in whole or in part on the existence of the indicated report, and, if so, the reasons for such denial or decision. If the denial or other decision is based in whole or in part on the existence of an indicated report of child abuse or maltreatment, the notice of denial or decision must also include, in the form prescribed by the office, written notification to the applicant, employee, volunteer, consultant or other person that:

(i) he or she has a right, pursuant to section 424-a of the Social Services Law, to request a hearing before the office regarding the record maintained by the Statewide Central Register of Child Abuse and Maltreatment;

(ii) a request for such a hearing must be made within 90 days of the receipt of the notice indicating that the denial or decision was based on the existence of the indicated report; and

(iii) at any such hearing, the sole issue will be whether the applicant, employee, volunteer, consultant or other person who is the subject of the indicated report has been shown by a fair preponderance of the evidence to have committed the act or acts of child abuse or maltreatment giving rise to the indicated report.

(6) If in a hearing held pursuant to a request made in accordance with paragraph (4) of this subdivision and section 424-a of the Social Services Law, the hearing decision finds that there is not a fair preponderance of the



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evidence showing that the applicant, employee, volunteer, consultant or other person committed the act or acts upon which the indicated report is based, the office must notify the program which made the inquiry that, pursuant to the hearing decision, the program's decision to deny the application, discharge the employee, not use the volunteer or consultant, or not permit the person to have access to children being cared for by the program should be reconsidered. Upon receiving such notification from the office, such program should review its denial or other decision without considering the indicated report.

(c) In accordance with the provisions of sections 413 and 415 of the Social Services Law, school-age child care program staff must report any suspected incidents of child abuse or maltreatment concerning a child receiving child day care to the Statewide Central Register of Child Abuse and Maltreatment or cause such a report to be made when such staff have reasonable cause to suspect that a child coming before them in their capacity as school-age child care program workers is an abused or maltreated child. This must be done in the following manner:

(1) School-age child care program staff must report such information to the director of the program or his or her designee.

(2) The director of the school-age child care program or his or her designee is responsible for making or causing to be made an immediate report to the Statewide Central Register of Child Abuse and Maltreatment by telephone, followed by a written report within 48 hours, in the form and manner prescribed by the office, to the child protective service of the social services district in the county in which the child resides. If the staff become aware that the director of the program or his or her designee has not made a report to the Statewide Central Register of Child Abuse and Maltreatment, then staff must report the alleged abuse or maltreatment directly to the Statewide Central Register of Child Abuse and Maltreatment.

(3) If the director is the person allegedly responsible for the alleged abuse or maltreatment, staff must report the alleged abuse or maltreatment directly to the Statewide Central Register of Child Abuse and Maltreatment.

(d) The director or operator of the school-age child care program is responsible for implementing procedures which ensure the safety and protection of any child named in a report of child abuse or maltreatment involving a situation which occurs while the child is in attendance at the program. Immediately after making or causing to be made a report pursuant to this subdivision, the director or operator of the program must take such appropriate action as is necessary to ensure the health and safety of the children involved in the report and, as necessary, of any other children in the care of the program. The director or operator must also take all reasonable steps to preserve any potential evidence of abuse or maltreatment. Insofar as possible, any action taken under this subdivision must cause as little disruption as possible to the daily routine of the children in the program.

(e) In meeting his or her responsibilities under this subdivision, the director or operator of the school-age child care program may, consistent with any appropriate collective bargaining agreements or applicable provisions of law, take one or more of the following actions with regard to staff of the program relevant to a report of child abuse or maltreatment involving a child while in attendance at the program:

(1) dismissal, suspension or transfer of any employee, volunteer or other person who is the subject of a child

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abuse or maltreatment report;

- (2) increased supervision over a person who is the subject of a report;
- (3) provision of instruction and/or remedial counseling to a person who is the subject of a report;
- (4) initiation of appropriate disciplinary action where applicable; and/or
- (5) provision of appropriate training to and/or increased supervision of staff and/or volunteers pertinent to the prevention and remediation of child abuse and maltreatment.

18 NYCRR 414.11

Section 414.11. Health and infection control

(a) The provider must prepare a health care plan on forms furnished by the office, or approved equivalents. Such plan must protect and promote the health of children in a manner consistent with the health care plan guidelines issued by the office, which guidelines describe practices to promote the health of children and, for programs that provide care for such children, special considerations for the care of mildly ill children. The health care plan must be on site and available upon demand by a parent or guardian or the office. The health care plan must be followed by the provider and, for programs offering the administration of medications, must be approved by the program's health care consultant. Should the health care consultant determine after a visit to the day care program that the approved health care plan is not being reasonably followed by the provider, the health care consultant may revoke his or her approval of the plan. If the health care consultant revokes his or her approval of the health care plan, the health care consultant must immediately notify the provider and the provider must immediately notify the office. In that instance, the health care consultant may also notify the office directly if he or she so desires. The health care plan must describe the following:

- (1) how a daily evaluation of each child for any indication of illness, injury, abuse or maltreatment will be conducted;
- (2) how a record of each child's illnesses, injuries and signs of abuse or maltreatment will be maintained;
- (3) how professional assistance will be obtained in emergencies;
- (4) the advance arrangements for the care of any child who has or develops symptoms of illness or is injured,

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including notifying the child's parent;

(5) which staff members are certified to administer medications. The plan must state that only a trained, designated staff person may administer medications to children, except in those programs where the only administration of medications offered will be the administration of over-the-counter topical ointments, including sunscreen lotion and topically applied insect repellent pursuant to paragraph (g)(12) of this section. The designated staff person may only administer medications to children if the designated staff person is at least 18 years of age, possesses a current certification in first aid and cardiopulmonary resuscitation (CPR), and has completed the administration of medication training pursuant to paragraph (g)(14) of this section.

(6) the designation of the health care consultant of record for programs offering the administration of medications, except in those programs where the only administration of medications offered will be the administration of over-the-counter topical ointments, including sunscreen lotion and topically applied insect repellent pursuant to paragraph (g)(12) of this section; and

(7) the scheduling of visits by a health care consultant to programs offering the administration of medications, except in those programs where the only administration of medications offered will be the administration of over-the-counter topical ointments including sunscreen lotion and topically applied insect repellent pursuant to paragraph (g)(12) of this section.

(b) Each employee and volunteer must submit a statement from a health care provider prior to beginning employment at the school-age child care program, and every two years thereafter. Such statement must give satisfactory evidence that the individual is physically fit to provide child day care, has no diagnosed psychiatric or emotional disorder which would preclude such individual from providing child day care, and is free from communicable disease. The medical statement also must include the results of a Mantoux tuberculin test which has been performed within the 12 months preceding the date of the statement.

(c) Consumption of, or being under the influence of, alcohol or controlled substances by staff of the school-age child care program is prohibited. **Smoking in indoor areas, in outdoor areas in use by children and in vehicles while children are being transported is prohibited.**

(d)

(1) The provider must obtain emergency health care for children who require such care and also must:

(i) obtain written consent at the time of admission from the parent or guardian which authorizes the provider to obtain emergency health care for the child;

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(ii) arrange for the transportation of any child in need of emergency health care, and for the supervision of the children remaining in the school-age child care program; and

(iii) in the event of an accident or illness requiring immediate health care, secure such care and notify the parent or guardian.

(2) Where a provider or employee has been certified to administer medications in a day care setting in accordance with the requirements of paragraph (g)(14) of this section, such provider or employee may administer emergency care through the use of epinephrine auto-injector devices when necessary to prevent anaphylaxis for an individual child but only when the parent or guardian and the child's health care provider have indicated such treatment is appropriate.

(e) The program must be equipped with a portable first aid kit which is accessible for emergency treatment. The first aid kit must be stocked to treat a broad range of injuries and situations and must be restocked as necessary. The first aid kit and any other first aid supplies must be kept in a clean container or cabinet not accessible to children.

(f) When a child has or develops a level of illness that is not accommodated in the provider's approved health care plan, the child must be provided with a place to rest quietly that is in view of, and under the supervision of, staff until the child is seen by a health care provider or is removed from the school-age child care program. In the event that a child has or develops any symptoms of illness, the provider is responsible for immediately notifying the parent.

(g) The school-age child care program may administer medication or treatment only in accordance with the following:

(1) Policies regarding the administration of medications must be explained to the parent or guardian at the time of enrollment of the child in care. Parents or guardians must be made familiar with the policies of the day care provider relevant to the administration of medications. Where the day care provider is advised that the child being enrolled is a child with special health care needs, the day care provider must work together with the parent and the child's health care provider to develop a reasonable health care plan for the child while the child is in the child day care program. The health care plan for the child must also address how the day care provider will obtain or develop any additional competencies that the day care provider will need to have in order to carry out the health care plan for the child.

(2) Nothing in this section shall be deemed to require any provider to administer any medication, treatment, or other remedy except to the extent that such medication, treatment or remedy is required under the provisions of the Americans with Disabilities Act.

(3) Nothing in this section shall be deemed to prevent a parent, guardian or relative within the third degree of consanguinity of the parents or step-parents of a child, even if such a person is an employee of the program,

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from administering medications to a child while the child is attending the program even if the provider has chosen to not administer medications or if the staff person(s) designated to administer medications is not present when the child receives the medication. If the provider elects not to administer medications, the day care provider or an employee must still document the dosages and time that the medications were given to the child by the child's parent, guardian or relative within the third degree of consanguinity of the parents or step-parents of the child. If the only administration of medication in a day care program is done by a parent(s), guardian(s), or relative(s) within the third degree of consanguinity of the parents or step-parents of a child, the provider and employee(s) of the program do not have to complete the administration of medication training requirements pursuant to paragraph (14) of this subdivision.

(4) All providers who choose to administer medications to children must have a health care consultant of record and must address the administration of medications in the health care plan in accordance with the requirements of subdivision (a) of this section. The provider must confer with a health care consultant regarding the program's policies and procedures related to the administration of medications. This consultation must include a review of the documentation that all staff authorized to administer medications have the necessary professional license or have completed the necessary training.

(5) Providers and employees may administer prescription and non-prescription (over-the-counter) medications for eyes or ears, oral medications, topical ointments and medications, and inhaled medications in accordance with the provisions of this subdivision. Providers and employees may not administer medications by injection, vaginally or rectally except as follows:

(i) in accordance with the provisions of paragraph (d)(2) of this section;

(ii) for a child with special health care needs, where the parent, day care provider and the child's health care provider have agreed on a plan pursuant to which the provider may administer medications by injection, vaginally or rectally; or

(iii) where the provider or employee has a valid New York State license as a physician, physician's assistant, registered nurse, nurse practitioner, licensed practical nurse or advanced emergency medical technician.

(6) A day care provider who agrees that the day care provider or employee in the school age child care program will administer medications to a child must do so, unless they observe the circumstances specified by the health care provider, if any, under which the medication must not be administered. In such instances, the day care provider or employee must contact the parent or guardian immediately.

(7)

(i) Except as described in paragraphs (11), (12) and (13) of this subdivision, medication may be

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administered only upon written permission of the parent or guardian and written instructions from a health care provider in a language in which the day care provider or employee who will administer the medications is literate stating that the child day care provider or employee may administer such medication or prescription and specifying the circumstances, if any, under which the medication or prescription must not be administered. Medication must be returned to the parent or guardian when it is no longer required by the child or, with the permission of the parent or guardian, be properly disposed of by the provider.

(ii) Where the day care provider has received written permission of the parent or guardian and written instructions from the health care provider authorizing administration of a specified medication if the day care provider observes some specified condition or change of condition in the child while the child is in care, the day care provider may administer the specified medication without obtaining additional authorization from the parent or guardian or health care provider.

(8) To the extent that such information is not included on the medication label pursuant to paragraph (9) of this subdivision, written instructions by the licensed authorized prescriber on the form provided by the office or an equivalent form must include the:

(i) child's name;

(ii) licensed authorized prescriber's name, telephone number, and signature;

(iii) date authorized;

(iv) name of medication and dosage;

(v) frequency the medication is to be administered;

(vi) method of administration;

(vii) date the medication shall be discontinued or length of time, in days, the medication is to be given;

(viii) reason for medication (unless this information must remain confidential pursuant to law);

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(ix) most common side effects or reactions; and

(x) special instructions or considerations, including but not limited to possible interactions with other medications the child is receiving or concerns regarding the use of the medication as it relates to a child's age, allergies, or any pre-existing conditions.

(9) Medications must be kept in the original labeled bottle or container. Over-the-counter medication must be kept in the originally labeled container and be labeled with the child's first and last name. Prescription medications must contain the original pharmacy label that lists:

(i) child's name;

(ii) authorized prescriber's name;

(iii) pharmacy name and telephone number;

(iv) date prescription was filled;

(v) name of the medication;

(vi) dosage;

(vii) how often to give the medication; and

(viii) date the medication shall be discontinued or length of time, in days, the medication is to be given.

(10) In the case of medication that needs to be given on an ongoing, long-term basis, the authorization and consent forms must be reauthorized at least once every six months. Any changes in the original medication authorization shall require a provider to obtain new instructions written by the licensed authorized prescriber and a change in the prescription.

(11) If a parent or guardian requests that the day care provider or employee administer a prescription or orally administered over-the-counter medication but does not furnish the day care provider or employee with written

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instructions from a health care provider or licensed authorized prescriber, the day care provider or employee may administer such medication or prescription with the oral approval of the parent or guardian and upon obtaining verbal instructions directly from the health care provider or licensed authorized prescriber for that day only. The day care provider or employee must document that the health care provider or licensed authorized prescriber gave verbal instructions and that the health care provider or licensed authorized prescriber was asked to send written instructions to the day care provider or employee. If the medication is to be administered on subsequent days, written instructions must have been provided to the day care provider or employee from the health care provider.

(12) The day care provider or employee may administer over-the-counter topical ointments, including sunscreen lotion and topically applied insect repellent, upon the written instructions of the parent or guardian. Such administration must be consistent with any directions for use noted on the original container, including but not limited to precautions related to age and special health conditions. With such written instructions, day care providers and employees may administer over-the-counter topical ointments and sunscreen lotion without receiving the training in administration of medications otherwise required pursuant to paragraph (14) of this subdivision.

(13)

(i) If a child develops symptoms which indicate a need for over-the-counter medication, including topical ointments, while in care at the program, such medication or ointment may be given under verbal instructions from the parent or guardian for that day only if the instructions received from the parent or guardian are consistent with any directions for use of the medication or ointment noted on the original container.

(ii) For all children for whom the day care provider or employee administers over-the-counter medications pursuant to this paragraph, the day care provider or employee must document that the parent or guardian gave verbal instructions and approval. If the medication is to be administered on subsequent days, written instructions from the parent or guardian and, in the case of orally administered medications, a health care provider or licensed authorized prescriber, must be obtained.

(14) All day care providers and employees, except those excluded in subparagraph (iii) of this paragraph and except as provided in paragraphs (3) and (12) of this subdivision, who have agreed to administer medication must complete the office-approved medication administration training or an office-approved equivalent before administering medications to children in day care. The certification of training in the administration of medications to children in day care shall be effective for a period of three years from the date of issuance. The provider or employee must complete a recertification training approved by the office in order to extend the certification for each additional three-year period. If, however, the provider or employee ceases to work in a day care program for a continuous period of one year, the certification shall automatically lapse. Where a certification lapses, the provider or employee may not be recertified unless the provider or employee completes the initial medication administration training or the recertification training, as required by the office. Where enforcement action has been taken against the provider based on a failure by the provider or employee to comply with requirements for the administration of medications set forth in this section, the office may require retraining or may prohibit the provider or employee from being involved in the administration of medications.



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(i) Providers or employees who will be responsible for administering medications must receive training in the methods of administering medications prior to administering any medications in a day care setting. In order to be trained in the administration of medications in a day care setting, a provider or employee must be literate in the language or languages in which health care instructions from parents and health care providers will be received. Upon completion of the training, the provider or employee must receive a written certificate from the trainer that indicates that the trainee has successfully completed this training program, as required, and demonstrated competency in the administration of medications in a day care setting. Persons who receive training in the administration of medications in day care settings pursuant to this section may not otherwise administer medications or represent themselves as being able to administer medications except to the extent such persons may be able to do so in accordance with the relevant provisions of the Education Law.

(ii) The training in the administration of medications must be provided by a health care provider who has been certified by the office to administer the office-approved curriculum. The training must be documented and must include, but need not be limited to, the following:

(a) training objectives;

(b) a description of the methods of administration including principles and techniques of application and dispensation of oral, topical, and inhalant medication, including the use of nebulizers, and the use of epinephrine auto-injector devices when necessary to prevent anaphylaxis in emergency situations with respect to the various age groups of children;

(c) administering medication to an uncooperative child;

(d) an evaluation of whether the trainee demonstrates competency in:

(1) understanding orders from the health care professional or licensed authorized prescriber;

(2) the ability to correctly carry out the orders given by the health care provider or licensed authorized prescriber;

(3) recognition of common side effects of medications and ability to follow written directions regarding appropriate follow-up action;

(4) avoidance of medication errors and what action to take if an error occurs;

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(5) understanding relevant commonly used abbreviations;

(6) maintaining required documentation including the parent or guardian's permission, written orders from health care professionals and licensed authorized prescribers, and the record of administration of medications;

(7) safe handling of medications, including receiving medications from a parent or guardian;

(8) proper storage of medications, including controlled substances; and

(9) safe disposal of medications.

(iii) A person who can produce a valid New York State license as a physician, physician's assistant, registered nurse, nurse practitioner, licensed practical nurse, or advanced emergency medical technician will not be required to attend the training required by this paragraph in order to administer medications in a day care program. Documentation establishing the person's credentials in one of the above fields will be required and a copy of the documentation must be provided to the office.

(15) Medications must be kept in a clean area that is inaccessible to children. If refrigeration is required, the medication must be stored in either a separate refrigerator or a leak-proof container in a designated area of a food storage refrigerator, separated from food and inaccessible to children. Day care programs must comply with all Federal and State requirements for the storage and disposal of all types of medications, including controlled substances.

(16) At the time of administration, the day care provider or employee must document the dosages and time that the medications are given to the child. All observable side effects must be documented and shared with the parent, guardian and, when appropriate, the child's health care provider. Documentation must be made if the medication was not given and the reason for such a decision. The parent or guardian must be notified immediately and the office must be notified by the close of the following business day of any medication administration errors. Notification to the office must be reported on a form provided by the office or on an approved equivalent.

(17) No child under the care of a school age care center will be allowed to independently administer medications without the assistance and direct supervision of staff that are certified to administer medications pursuant to this section. Any program that elects to offer the administration of medication to children where children who attend the program independently administer medications or where children who attend the program independently administer medications or where children assist in the administration of their own medications must comply with all the provisions of this section.

(h) Staff must thoroughly wash their hands with soap and running water at the beginning of each day, before and after the administration of medications, when they are dirty, after toileting, before and after food handling or eating.

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after handling pets or other animals, after contact with any bodily secretion or fluid, and after coming in from outdoors.

(i) Staff must ensure that children thoroughly wash their hands or assist children with thoroughly washing their hands with soap and running water when they are dirty, after toileting, before and after food handling or eating, after handling pets or other animals, after contact with any bodily secretion or fluid or after coming in from outdoors. Staff must assist children in keeping clean and comfortable, and in learning appropriate personal hygiene practices.

(j) Safety precautions relating to blood must be observed by all staff coming into contact with blood, as follows:

(1) Disposable gloves must be immediately available and worn whenever there is a possibility for contact with blood, including but not limited to:

(i) touching blood or blood-contaminated body fluids;

(ii) treating cuts that bleed; and

(iii) wiping surfaces stained with blood.

(2) In an emergency, a child's well-being must take priority. A bleeding child must not be denied care because gloves are not immediately available.

(3) Disposable gloves must be discarded after each use.

(4) If blood is touched accidentally, the exposed skin must be thoroughly washed with soap and running water.

(5) Clothes contaminated with blood must be placed in a securely tied plastic bag and returned to the parent at the end of the day.

(6) Surfaces that have been blood stained must be cleaned and then disinfected with a germicidal solution.

(k) Toilet facilities must be kept clean at all times, and must be supplied with toilet paper, soap and disposable

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towels accessible to the children.

(l) All rooms, equipment, surfaces, supplies and furnishings accessible to children must be cleaned and disinfected as needed to protect the health of children, and in a manner consistent with the health care plan guidelines issued by the office. The premises must be kept free from dampness, odors, vermin, and the accumulation of trash.

(1) Equipment that is frequently used or touched by children on a daily basis must be cleaned and disinfected when soiled and at least once weekly.

(2) Carpets contaminated with body fluids must be spot cleaned.

(3) Extensive cleaning, such as shampooing carpets or washing windows and walls, must occur when children are not present.

(4)

(i) Any application of pesticides (as the term pesticide is defined in section 33-0101 of the Environmental Conservation Law) shall be completed in accordance with the requirements of section 390-c of the Social Services Law and sections 33-1004 and 33-1005 of the Environmental Conservation Law.

(ii) In addition to the requirements of section 390-c of the Social Services Law, each day care facility must send a notice home with each child or otherwise provide notification to the parent of each child not less than 48 hours prior to the application of pesticides. Such notice must include:

(a) the location and specific date of the application of pesticides and may include two alternate dates in the event that an outdoor application cannot be made due to the weather conditions;

(b) the pesticide product name and pesticide registration number assigned by the United States Environmental Protection Agency;

(c) the following statement: "This notice is to inform you of a pending pesticide application at this facility. You may wish to discuss with a representative of the day care facility which precautions are being taken to protect your child from exposure to these pesticides. Further information about the product or products being applied, including any warnings that appear on the label of the pesticide or pesticides that are pertinent to the protection of humans, animals or the environment, can be obtained by calling the National Pesticide Telecommunications Network Information line at 1-800-858-7378 or the New York State Department of Health Center for Environmental Health Info Line at 1-800-458-1158" and

(d) the name of a representative of the day care facility and contact number for additional information.

(iii) Any day care provider that fails to send the appropriate notice of pesticide application as set forth in subparagraph (ii) of this paragraph shall, for a first such violation of this subdivision, be issued a written warning in lieu of penalty. For a second violation, such provider shall be subject to a penalty not to exceed \$100. For any subsequent violation, such provider shall be subject to a penalty not to exceed \$250 for each violation. No penalty may be assessed by the commissioner without affording the provider with notice and an opportunity for a hearing pursuant to section 413.5 of this Title.

(iv) Any finding by the Department of Environmental Conservation of a violation by the provider of the requirements set forth in section 33-1004 or 33-1005 of the Environmental Conservation Law shall be deemed a safety hazard to children in care and a violation of this subdivision.

(5) Garbage receptacles must be cleaned as needed after emptying.

(6) Thermometers must be washed and disinfected before use by another child.

(7) Individual drinking cups, disposable paper cups or bubbler drinking fountains of the angle jet type must be provided. The use of shared drinking cups is prohibited.

(8) Linens, blankets and bedding must be cleaned at least weekly and before use by another child. Cots, beds, mats and mattresses must be cleaned thoroughly between uses by different children and at least monthly.

(9) Either disposable towels or individual cloth towels for each child must be used. If individual cloth towels are used, they must be laundered daily. Sharing personal hygiene items, such as washcloths, towels, toothbrushes, combs and hairbrushes, is prohibited.

(10) After use, dishes and all utensils must be washed with soap and hot water, and rinsed in hot running water.

18 NYCRR 414.12

Section 414.12. Nutrition

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(a) The school-age child care program must provide plentiful and nutritious snacks to children. When a program operates during school holidays and/or school vacations, the program must ensure that each child in care for more than four hours a day receives a nutritious meal. Each child in care for more than 10 hours a day must receive a minimum of two nutritious meals. Food must be prepared and stored in a safe and sanitary manner, and served at appropriate intervals.

(1) If the program does not furnish meals, there must be adequate supplemental food available in the event that no meal is provided by the parent or if the meal provided by the parent is of inadequate nutritional value.

(2) Programs changing their meal policy must provide adequate notice to parents.

(b) Where meals are furnished by the program, food preferences for personal, religious or medical reasons may be accommodated. If resultant meal patterns or serving sizes will not meet the child's nutritional needs, a medical statement must be obtained documenting the appropriateness of the variation.

(c) Where meals are furnished by the program, the servings must be in portions suitable for the size and age of the children in care. There must be a sufficient amount of food available to children to permit second helpings.

(d) Children must be helped to gain independence in feeding themselves, and should be encouraged to learn acceptable table manners appropriate to their developmental levels.

(e) Sufficient time, based on age and individual needs, must be allowed for meals so that children will not be hurried.

(f) Perishable food and milk must be refrigerated.

(g) Safe drinking water must be available to children at all times, and must be offered at intervals that are responsive to the needs of the individual children.

(h) Disposable cups and plates and plastic eating utensils may be used if discarded after use.

18 NYCRR 414.13

Section 414.13. Staff qualifications

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(a) Staff members must be qualified by training and experience to carry out their respective functions in the administration, operation and maintenance of the school-age child care program. These employees must be mature, of good character and possess suitable personal qualifications. Staff must be in good physical and mental health, and have the energy and emotional stability necessary to fulfill the responsibilities of their positions.

(b) School-age child care programs must review and evaluate the backgrounds of all applicants for employee and volunteer positions with the potential for regular and substantial contact with children, except for a parent of a child enrolled in the program who is applying to be a volunteer if such parent will not be counted in determining staff/child ratios and such parent will not be left unsupervised with children on a regular basis. All applicants whose backgrounds must be reviewed must be required to provide the following:

(1) a statement or summary of each applicant's employment history including, but not limited to, any relevant child-caring experience;

(2) the names, addresses and day time telephone numbers of at least three references, other than relatives, at least one of whom can verify employment history, work record and qualifications, and at least one of whom can attest to the applicant's character, habits and personal qualifications to be a school-age child care program staff member;

(3) a sworn statement by the applicant indicating whether, to the best of the applicant's knowledge, such applicant has ever been convicted of a misdemeanor or felony in New York State or any other jurisdiction; and

(4) the information necessary to determine whether the applicant is the subject of an indicated report of child abuse and maltreatment as required by section 414.10(c) of this Part.

(c) If an applicant discloses in the sworn statement furnished in accordance with paragraph (b)(3) of this section that he or she has been convicted of a misdemeanor or felony, the school-age child care program must inform the Office of Children and Family Services and provide a copy of the statement to the office so the office may take appropriate action in conformance with the provisions of section 413.4 of this Title.

(d) Each school-age child care program must be staffed to perform administrative/fiscal management functions and, during all hours of operation, program supervision functions, including developing, directing and supervising the daily activity programs for children. These functions may be performed by one individual or may be shared in any combination between two or more individuals.

(e) When an agency operates multiple registered programs, the person performing the administrative/fiscal management functions may be shared across such programs. Each registered program must have a staff person who meets the qualifications set forth in subdivision (g) of this section, to perform program supervision functions for that registered school-age child care program. With the prior written approval of the office, a staff person who is qualified to perform program supervision functions may perform such functions at up to four different programs

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operated by a single agency. In order to obtain office approval, the agency will be required to demonstrate how the staff person will provide adequate supervision and program development support to each site.

(f) In school-age child care programs where there are fewer than 45 children enrolled, a head of group or an assistant to the head of group may also perform administrative/fiscal management functions and/or program supervision functions, provided that the qualifications for such positions as set forth in subdivision (h) of this section have been met. In school-age child care programs where there are 45 or more children enrolled, the administrative/fiscal management functions and program supervision functions may not be performed by a head of group or an assistant to the head of group.

(g) The minimum education and experience qualifications for staff are as follows:

Education Experience

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Person Associate's degree in AND Two years direct experience working responsible child development, with children under the age of 13 for program elementary years, including at least one supervision education, physical year in a supervisory capacity functions education,  
(Director) recreation or a related field

OR

New York State AND Two years direct experience working Children's Program with children under the age of 13 Administrator years, including at least one credential year in a supervisory capacity

OR

School age child care AND Two years direct experience working credential with children under the age of 13 years, including at least one year in a supervisory capacity

OR

Two years of college AND Two years direct experience working with 18 credits in with children under the age of 13 the above listed years, including at least one areas of year in a supervisory capacity concentration

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Head of Group Associate's degree in AND No additional experience required child development, recreation or a related field

OR

High school diploma or AND Two years direct experience working its equivalent with children under 13 years of age

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Assistant to High school diploma or OR Substantial experience working Head of Group its equivalent with children under 13 years of age

(h) The provision of this section notwithstanding, persons holding positions in a school-age child care program prior to the effective date of these regulations who met the qualifications which were in effect at the time they were hired may continue to be employed in such positions.

(i) No person other than a director, head of group or assistant to the head of group may supervise a group

Current through amendments included in the New York State Register, Volume XXXVI, Issue 26, dated July 2, 2014.



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independently even for brief periods of time, except in an emergency. The minimum age of a staff person is 16 years. However, no person under 18 years of age may be left alone to supervise a group of children.

**18 NYCRR 414.14**

**Section 414.14. Training**

(a) Each person responsible for developing, directing and supervising the daily activity programs for children (director) and each employee working an average of 20 or more hours a week must complete a minimum of 30 hours of training every two years. Fifteen hours of such training must be received during the first six months of the program's first year of registration or during the person's first six months of employment by the program. This initial 15 hours applies toward the total 30-hour minimum requirement for each registration period. Employees working an average of fewer than 20 hours a week must complete a pro-rated portion of training pursuant to guidelines issued by the office. Such training requirements shall also apply to any volunteer in such school-age child care programs who has the potential for regular and substantial contact with children. Training must address the following topics:

(1) principles of childhood development, including the appropriate supervision of children, meeting the needs of children enrolled in the program with physical or emotional challenges and behavior management and discipline;

**(2) nutrition and health needs of children;**

(3) child day care program development;

(4) safety and security procedures, including communication between parents and staff;

(5) business record maintenance and management;

(6) child abuse and maltreatment identification and prevention;

(7) statutes and regulations pertaining to child day care; and

(8) statutes and regulations pertaining to child abuse and maltreatment.

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(b) Training received after the application has been submitted but before the application has been approved and the registration granted may be counted towards the initial 15 hours required in subdivision (a) of this section.

(c) For the 30 hours of training that must be received every two years after the first year of registration, any person responsible for developing, directing and supervising the daily activity programs for children who can demonstrate basic competency in a particular topic to the office may determine in which of the specified topics he or she needs further study. The office also may exempt any person responsible for developing, directing and supervising the daily activity programs for children from participating in training on a particular topic upon demonstration of substantially equivalent knowledge or experience related to that topic. All persons with such exemptions must still complete a minimum of 30 hours of training during each registration period.

(d) Each person responsible for developing the school-age child care program, employee, and/or assistant must submit verification of completion of the training requirements to their program's designated registration office on forms provided by the office.

(e) At the time of admission, the director must furnish parents with appropriate instructional materials which will assist them in evaluating the facilities, the program and the staff. Such material must include information concerning child abuse and maltreatment, and guidance on the steps they may take if they suspect their child has been abused or maltreated.

18 NYCRR 414.15

Section 414.15. Management and administration

**EMERGENCY REGULATION**

(a) School-age child care programs must comply with the following standards:

(1) Each school-age child care program must register with the office and must operate in compliance with the regulations of the office and all other applicable laws and regulations. No person or entity may operate a school-age child care program unless registered with the office.

(2) Providers who have registered with the office must provide proof of registration and information concerning any waivers that have been approved by the office upon request.

(3) A new application for registration must be submitted to the office when there is a change in the name, address or operator; when reinstatement of a withdrawn application is sought; or when a registration is sought following the office's revocation of, or denial of an application to renew, a registration.

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(4) The provisions specified on the registration are binding and the school-age child care program must operate in compliance with the terms of the registration. The number and age range of children specified thereon are the maximum number and age range of children who may be in the care of the school-age child care program at any one time.

(5) Information relating to an individual child is confidential and cannot be disclosed without written parental permission to anyone other than the office, its designees or other persons authorized by law. Information relating to an individual child may be disclosed to a social services district where the child receives a day care subsidy from the district, where the child has been named in a report of alleged child abuse or maltreatment, or as otherwise authorized by law. Redislosure of confidential HIV-related information, as defined in section 360-8.1 of this Title, concerning a child receiving school-age child care is not permitted except in a manner consistent with article 27-F of the Public Health Law.

(6) A school-age child care program may not refuse to admit a child to the program solely because the child is a child with a disability or has been diagnosed as having human immunodeficiency virus (HIV), HIV-related illness or acquired immune deficiency syndrome (AIDS). Each such child must be evaluated by the provider to determine whether the child could be accommodated in the program if reasonable modifications are made to the premises and/or program. Nothing contained in this paragraph shall be deemed to require the provider to incur significant additional expenses to modify the premises and/or program to accommodate such a child.

(7) A school-age child care program must give the parent, at the time of admission of a child, a written policy statement including, but not limited to: the responsibilities of the program; the responsibilities of the parent; the policies of the school-age child care program regarding admission; the disciplinary policy; the program activities to be provided; a summary of the program's health care policies, including the level of illness the program will accommodate; actions the school-age child care program will take in the event the child is not picked up as scheduled; the food service arrangements; and instructional materials on the available procedures and legal remedies if they suspect their child has been abused or maltreated.

(8)

(i) The parent of a child receiving care must have: unlimited and on demand access to such child; the right to inspect all parts of the building used for school-age child care or which could present a hazard to the health or safety of the child whenever the parent requests at any time during the hours of operation of the school-age child care program; unlimited and on demand access to the provider whenever such child is in care or during the normal hours of operation; and unlimited and on demand access to written records concerning such child except where access to such records is otherwise restricted by law.

(ii)

(a) The parents of all children receiving care in a school-age child care program equipped with video surveillance

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cameras installed for the purpose of allowing parents to view their children in the day care setting by means of the internet must be informed that cameras will be used for this purpose. All staff of the school-age child care program must also be informed if video surveillance cameras will be used for this purpose.

(b) All parents of children enrolled in the school-age child care program and all staff of the school-age child care program must be made aware of the locations of all video surveillance cameras used at the school-age child care program.

(c) School-age child care programs opting to install and use video surveillance equipment must comply with all State and Federal laws applicable to the use of such equipment.

(d) Video surveillance cameras may not be used as a substitute for competent direct supervision of children.

(e) School-age child care programs opting to allow parents to view their children in the day care setting by means of the internet must use and maintain adequate internet security measures at all times. Such measures include but are not limited to: frequent changes of passwords; filtering measures that prohibit public access to or viewing of day care activities via the internet; and immediate corrective action in response to any report of abuse of the system or inappropriate access. Such programs must also advise the parents having access to views of the day care program through the internet of the importance of security in regard to such viewing and of the importance of the privacy rights of other children who may be viewed.

(f) Video surveillance cameras are permitted to transmit images of children in common rooms, hallways and play areas only. Bathrooms and changing areas must remain private and free of all video surveillance equipment.

(g) School-age child care programs that use video surveillance equipment must allow inspectors and other representatives of the office to have access to such equipment and to have viewing privileges as required by the office.

(9) School-age child care programs must post or display conspicuously in a place to which parents have free and daily access, the following:

(i) the office's school-age child care program regulations;

(ii) the name(s), addresses and telephone numbers of person(s) with the legal responsibility and administrative authority for the operation of the school-age child care program; and

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(iii) the address and telephone number of the appropriate regional office of the office which may be contacted to lodge a complaint against the program for violations of statutory and regulatory requirements.

(10) School-age child care programs must admit inspectors and other representatives of the office onto the grounds and premises at any time during the hours of operation of the program. Such inspectors and representatives must be given free access to the building or buildings used by the program, staff and children and any records of the program. School-age child care staff must cooperate with inspectors and other representatives of the office in regard to any inspections or investigations that are conducted by the office or its' representatives. School-age child care staff also must cooperate with local child protective services' staff conducting any investigation of alleged child abuse or maltreatment.

(11) School-age child care programs must comply with all applicable State and Federal laws relating to equal employment opportunities.

(12) School-age child care programs must report to the office: any change affecting, or which reasonably might be expected to affect, those portions of the building in which the program is located or which are used for the children's egress in the case of an emergency; any change of director; and any other change that would place the program out of compliance with applicable regulations.

(13) All staff of the school-age child care program must be familiar with the regulations governing such programs. Such regulations must be readily accessible to staff for reference purposes.

(14) The provider must immediately notify the office upon learning of the death, serious injury or infectious illness of an enrolled child which occurred while the child was in care at the program or was being transported by the provider.

(15) Parents must be given the opportunity to discuss issues related to their children and care of their children with an appropriate staff member or members. Such opportunities must occur at the time of enrollment and as frequently as needed thereafter, but at least annually.

(16) The indoor and outdoor areas of the school-age child care program where the children are being cared for must not be used for any other business or social purpose when children are present such that the attention of staff is diverted from the care of the children. When a school-age child care program is located in a multi-use building, those portions of the building designated for the care of children must be used exclusively for child day care during the hours that children are present.

(17)

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(i) Within five days after receiving the initial registration and before actually commencing operation, the provider must, using a form specified by the office for that purpose, notify the local police and fire departments of the municipality within which the school-age child care program is located of the following:

(a) the address of the school-age child care program;

(b) the maximum capacity of the school-age child care program;

(c) the age range of children that will be in care; and

(d) the hours during which children will be in care.

(ii) If the local municipality does not have a police or fire department, the sheriff of the county within which the school-age child care program is located must be notified instead. The provider must notify the local police and fire departments or the county sheriff, as appropriate, if there is any change in any of the information required to be provided pursuant to subparagraph (i) of this paragraph.

(18) All school-age child care programs that accept direct and indirect payments from a social services district, or a payment from a parent or caretaker, for providing subsidized child care must comply with all relevant requirements of the child care subsidy program and section 415.4(h) of this Title.

(b) Conditions which apply to school-age child care program registration are as follows:

(1) No registration will be issued unless the provider is in full compliance with the regulations of the office and all other applicable laws and regulations except where a waiver of one or more requirements of this Part has been approved in writing by the office in accordance with section 413.5 of this Title.

(2) The effective period of the initial registration and each subsequent registration will be up to two years each so long as the provider remains in compliance with applicable laws and regulations during such periods.

(i) If a provider or operator has not met the training requirement specified in section 414.14 of this Part, a subsequent registration may be issued for a period of up to one year following the completion of an acceptable inspection of the school-age child care program.

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(ii) No more than one such limited renewal may be issued in succession.

(3) A registration is not transferable to any other provider or location.

(4) School-age child care programs required to be registered with the office will not be exempt from this requirement through registration with another State agency or certification, registration or licensure by any local governmental agency or authorized agency.

(5) Before denial of an application for registration or renewal of registration, the provider is entitled to a hearing before the office pursuant to Part 413 of this Title.

(c) The provider must maintain on file at the school-age child care program, available for inspection by the office or its designees at any time, the following records in a current and accurate manner:

(1) a copy of the evacuation plan, as required in section 414.5 of this Part, specifying alternate means of egress;

(2) an approved health care plan as required in section 414.11 of this Part;

(3) a sample copy of all forms used in the school-age child care program;

(4) the name, address, gender, and date of birth of each child; each child's parents' names, addresses, telephone numbers and place(s) at which the parents or other persons responsible for the child can be reached in case of an emergency; and the names and addresses of persons authorized to take the child from the school-age child care program;

(5) daily attendance records;

(6) children's health records, including parental consents for emergency medical treatment; the name and dosage of any medications used by a child, the frequency of administration of such medications and a record of their administration by school-age child care program staff; and a record of illnesses, injuries and any indicators of child abuse or maltreatment;

(7) copies of the school-age child care program's personnel policies and practices;

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(8) copies of staff health statements;

(9) a description of the pattern of supervision of staff by the director, program specialist or other responsible person and procedures to assure adequate and appropriate supervision of employees and volunteers of the program;

(10) personnel information including a list of all staff with job assignments and schedules; Statewide Central Register clearance forms; Justice Center for the Protection of Persons with Special Needs background check forms; criminal history review information; staff resumes; and other information required by section 414.13 of this Part;

(11) when the school-age child care program is incorporated, the following additional documentation:

(i) a copy of the certificate of incorporation and any amendments thereto;

(ii) verification of filing of the certificate of incorporation and any amendments thereto with the Secretary of State; and

(iii) a current list of the names of the board of directors and their addresses, telephone numbers of the current principal officers and members, and the business and civic qualifications of all such individuals;

(12) when the school-age child care program is owned by an individual, corporation, partnership or other entity using a business or assumed name, a copy of the certificate of doing business under an assumed name obtained from the county clerk;

(13) a copy of a certificate of insurance from an insurance company showing the intent to provide general liability insurance to the school-age child care program upon registration and a copy of the insurance policy;

(14) a description of specific procedures which will assure the safety of a child who is reported to the Statewide Central Register of Child Abuse and Maltreatment as well as other children provided care in the school-age child care program;

(15) a description of the procedure to be used to review and evaluate the background information supplied by applicants for employment and volunteer positions, as required in section 414.13 of this Part;



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(16) a description of the schedule and content of training as required in section 414.14 of this Part, including use of both in-service training and outside training resources;

(17) a description of policies and practices regarding appropriate supervision of children in conformance with section 414.8 of this Part;

(18) a copy of the notification form provided to the local police and fire departments or the county sheriff as required in paragraph (a)(17) of this section; and

(19) a copy of the certification that the building and the surrounding neighborhood and environment are free from environmental hazards, as required in section 414.2(a)(6) and (e)(4) of this Part.

(d) Where multiple sites are operated by one organization or provider, records, other than those of children currently enrolled in the program, may be retained at a central administrative location. The operators of these programs must make all such records available on site upon request by the office or its designees.

18 NYCRR 414.16

Section 414.16. [Expired]

18 NYCRR 414.17 to 414.18

Sections 414.17 to 414.18. [Expired]

18 NYCRR 414.19

Section 414.19. [Expired]