



**Andy Beshear**  
GOVERNOR

**CABINET FOR HEALTH AND FAMILY SERVICES**  
**OFFICE OF INSPECTOR GENERAL**

**Eric Friedlander**  
SECRETARY

**Melissa A. Moore, Director**  
Division of Regulated Child Care  
Northern Branch  
908 W. Broadway, 10-W  
Louisville, KY 40203

**Adam Mather**  
INSPECTOR GENERAL

Phone: (502) 595-5781 Fax: (502) 595-5773  
<https://chfs.ky.gov/agencies/os/oig>

**Inspection Report**

<b>Provider Name:</b> Norton Elementary Childcare Enrichment Program	<b>Provider Information</b> <b>Provider Type:</b> LICENSED TYPE I	<b>CLR No:</b> L355421
<b>Provider Address:</b> 8101 Brownsboro Road, Louisville, KY, 40241		<b>Capacity:</b> 200
<b>Owner(s):</b> The Young Mens Christian Association Of Greater Louisville		<b>Director(s):</b> Lee, Chaelyn Nicole

<b>Inspection Type:</b> Renewal Application	<b>Inspection Information</b>	<b>Inspection No:</b> 217774
<b>Date Initiated:</b> 11/28/2016 3:25 PM	<b>Date Concluded:</b> 11/28/2016 6:32 PM	
	<b>No. of Children Present:</b> 79	

Inspection Report	
Supervision	Not In Compliance
<b>5 - Children Supervised</b>	<b>Not In Compliance</b>
<p><b>922 KAR 2:120. Section 2. Child Care Services.</b>  <b>(3)(a) Each center shall maintain a child-care program that assures each child will be:</b>  <b>1. Provided with adequate supervision at all times by a qualified staff person who:</b>  <b>a. Ensures the child is within scope of vision and range of voice; or</b>  <b>b. For a school-age child, within scope of vision or range of voice;</b></p>	
<p><b>Findings:</b>            General: Based on Observation, the child care center failed to maintain adequate supervision in accordance with regulations. Observation at 4:15pm revealed a school-age child remained seated at a table in the cafeteria alone and out of the scope of vision or range of voice of staff members for approximately thirty (30) seconds while the other children and all staff members exited the cafeteria to go to the gym or to the bathroom down the hallway.</p>	

**40 - Ratios and Group Size**

**Not In Compliance**

**922 KAR 2:120. Section 2. Child Care Services.**

**(2) Minimum staff-to-child ratios and group size for an operating child-care center shall be maintained as follows:**

**Age of Children Ratio Maximum Group Size\***

**Infant**

**1 staff for 5 children 10**

**Toddler**

**1 staff for 6 children 12**

**Preschool-age 2 to 3 years**

**1 staff for 10 children 20**

**Preschool-age 3 to 4 years**

**1 staff for 12 children 24**

**Preschool-age 4 to 5 years**

**1 staff for 14 children 28**

**School-age 5 to 7 years**

**1 staff for 15 children 30**

**School-age 7 and older**

**1 staff for 25 children**

**(for before and after school) 30**

**1 staff for 20 children**

**(full day of care) 30**

**\*Maximum Group Size shall be applicable only to Type I child-care centers.**

**Findings:**

General: Based on Observation, the child care center failed to comply with staffing requirements. Observation in the hallway at 4:26pm revealed two (2) staff members had supervisory authority over forty-one (41) children ages five-years-old to seven-years-old for an undetermined amount of time during the bathroom break; therefore, the center exceeded minimum staff-to-child ratios and maximum group size during this time.

**General Administration**

**In Compliance**

**Director Requirements**

**Not In Compliance**

**275 - Caregiver Alone**

**Not In Compliance**

**922 KAR 2:110. Section 4. Director Requirements and Responsibilities.**

**(1) Effective with the adoption of this administrative regulation, a director shall:**

**(n) Assure that a person acting as a caregiver of a child in care shall not be left alone with a child, if the licensee has not received the results of the background checks as described in Section 3(1)(e)6 of this administrative regulation;**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center director failed to assure compliance with regulatory requirements. Review of staff files revealed a Criminal Records Check (CRC) dated 7/28/16 was presented for review at the time of survey for a staff member hired 8/10/16. Continued review revealed the CRC appeared to be incomplete as only one (1) page of the CRC was presented for review at the time of survey and this page had a list of infractions filling more than half (1/2) the page. The CRC was numbered page two (2) of three (3) and although it is evident that the CRC began on page two (2), it is not evident that the CRC is complete as the third page of the CRC was not presented for review at the time of survey. Interview with staff-in-charge revealed he could not provide definitive proof at the time of survey that the CRC was complete. Interview with a different staff-in-charge on 12/2/16 revealed the staff member hired 8/10/16 has worked alone with children in care.

Review of staff files revealed a Criminal Records Check (CRC) dated 10/7/16 was presented for review at the time of survey for a staff member hired 10/24/16. Continued review revealed the CRC appeared to be incomplete as only one (1) page of the CRC was presented for review at the time of survey and this page had a list of infractions filling half (1/2) the page. The CRC was numbered page nine (9) of ten (10) and although it is evident that the CRC began on page nine (9), it is not evident that the CRC is complete as the tenth page of the CRC was not presented for review at the time of survey. Interview with staff-in-charge revealed he could not provide definitive proof at the time of survey that the CRC was complete. Interview with a different staff-in-charge on 12/2/16 revealed the staff member hired 10/24/16 has worked alone with children in care.

Inspection Report

Employee Records

Not In Compliance

300 - Background checks/left alone

Not In Compliance

922 KAR 2:090. Section 6. License Issuance.

(5) An individual described in subsection (4) of this section shall:

(a) Submit to background checks described in paragraph (b) of this subsection;

(b) May be employed or work with a child on a probationary basis for up to ninety (90) calendar days, pending completion of a:

1. Child abuse or neglect check using the central registry in accordance with 922 KAR 1:470;

2. Criminal records check required by KRS 199.896(19);

3. Criminal records check for any previous state of residence if the person resided outside the state of Kentucky in the last five (5) years; and

4. An address check of the Sex Offender Registry; and

(c) Not be left alone in the presence of a child until copies of the background checks in accordance with paragraph (b) of this subsection have been received by the licensee.

Findings:

General: Based on Review of Documentation Interview, the child care center failed to maintain employee records in accordance with regulations. Review of staff files revealed a Criminal Records Check (CRC) dated 7/28/16 was presented for review at the time of survey for a staff member hired 8/10/16. Continued review revealed the CRC appeared to be incomplete as only one (1) page of the CRC was presented for review at the time of survey and this page had a list of infractions filling more than half (1/2) the page. The CRC was numbered page two (2) of three (3) and although it is evident that the CRC began on page two (2), it is not evident that the CRC is complete as the third page of the CRC was not presented for review at the time of survey. Interview with staff-in-charge revealed he could not provide definitive proof at the time of survey that the CRC was complete. Interview with a different staff-in-charge on 12/2/16 revealed the staff member hired 8/10/16 has worked alone with children in care.

Review of staff files revealed a Criminal Records Check (CRC) dated 10/7/16 was presented for review at the time of survey for a staff member hired 10/24/16. Continued review revealed the CRC appeared to be incomplete as only one (1) page of the CRC was presented for review at the time of survey and this page had a list of infractions filling half (1/2) the page. The CRC was numbered page nine (9) of ten (10) and although it is evident that the CRC began on page nine (9), it is not evident that the CRC is complete as the tenth page of the CRC was not presented for review at the time of survey. Interview with staff-in-charge revealed he could not provide definitive proof at the time of survey that the CRC was complete. Interview with a different staff-in-charge on 12/2/16 revealed the staff member hired 10/24/16 has worked alone with children in care.

320 - TB Verification

Not In Compliance

922 KAR 2:110. Section 5. Staff Requirements.

(1) Child-care center staff:

(b) Shall provide, prior to employment and every two (2) years thereafter:

1. A statement from a health professional that the individual is free of active tuberculosis; or

2. A copy of negative tuberculin results.

Findings:

General: Based on Review of Documentation and Interview, the child care center failed to maintain employee records in accordance with regulations. Review of staff files revealed a statement from a health professional that the individual is free of active tuberculosis or a copy of negative tuberculin results was not presented for review at the time of survey for two (2) staff members hired 5/6/15 and 11/15/16. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

340 - Training

Not In Compliance

922 KAR 2:110. Section 5. Staff Requirements.

(14) In accordance with KRS 199.896(15) and (16), a staff person with supervisory authority over a child shall complete the following:

(a) Six (6) hours of cabinet-approved orientation within the first three (3) months of employment;

(b) Nine (9) hours of cabinet-approved early care and education training within the first year of employment, including one and one-half (1 1/2) hours of pediatric abusive head trauma training; and

(c) Fifteen (15) hours of cabinet-approved early care and education training during each subsequent year of employment, including one and one-half (1 1/2) hours of pediatric abusive head trauma training completed once every five (5) years.

Findings:

General: Based on Review of Documentation and Interview, the child care center failed to maintain employee records in accordance with regulations. Review of staff files revealed one (1) staff member hired 4/29/16 failed to complete six (6) hours of cabinet-approved orientation within the first three (3) months of employment. Interview with staff-in-charge revealed he did not have documentation to prove that the staff member completed orientation within regulatory timeframes. Continued review of staff files revealed documentation of pediatric abusive head trauma training (PAHT) was not presented for review at the time of survey for two (2) staff members hired 5/6/15 and 8/12/15. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

Programming

In Compliance

Premises

In Compliance

Hygienic Practices

In Compliance

First Aid/Medication

In Compliance

Outdoor Play Area

In Compliance

Equipment

In Compliance

Transportation

Not In Compliance

795 - Transportation Notification/Plan for Ensuring Staff Duties

Not In Compliance

922 KAR 2:120. Section 12. Transportation.

(3) Prior to transporting a child, a center providing transportation services of a child shall notify the cabinet or its designee in writing of the:

(c) Plan for ensuring staff perform duties relating to transportation properly;

Findings:

General: Based on Review of Documentation and Interview, the child care center failed to comply with regulatory requirements regarding transportation. Review of documentation revealed a plan for ensuring staff perform duties relating to transportation properly was not presented for review at the time of survey. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

**Inspection Report**

**815 - Transportation Notification/Safety Procedures - Transporting, Loading/Unloading and Supervision**

**Not In Compliance**

**922 KAR 2:120. Section 12. Transportation.**

**(3) Prior to transporting a child, a center providing transportation services of a child shall notify the cabinet or its designee in writing of the:**

**(g) Safety procedures for:**

- 1. Transporting a child;**
- 2. Loading and unloading a child; and**
- 3. Providing adequate supervision of a child.**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center failed to comply with regulatory requirements regarding transportation. Review of documentation revealed safety procedures for transporting a child, loading and unloading a child, and providing adequate supervision of a child was not presented for review at the time of survey. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

**Food Service**

**Not In Compliance**

**925 - Food Service Permit**

**Not In Compliance**

**922 KAR 2:120. Section 8. Kitchen Requirements.**

**(2) A child-care center required to have a food service permit shall be in compliance with 902 KAR 45:005 and this administrative regulation.**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center failed to maintain food service in accordance with regulations. Review of documentation revealed a food service permit was not presented for review at the time of survey. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

**Children's Records**

**Not In Compliance**

**1070 - Immunization**

**Not In Compliance**

**922 KAR 2:110. Section 3. Records.**

**(1) A child-care center shall maintain:**

**(a) A current immunization certificate for each child in care within thirty (30) days of the child's enrollment, unless an attending physician or the child's parent objects to the immunization of the child pursuant to KRS 214.036;**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center failed to maintain children's records in accordance with regulations. Review of children's files revealed an immunization certificate was not presented for review at the time of survey for two (2) children. Interview with staff-in-charge revealed this documentation was not on file at the time of survey.

**1075 - Enrollment Information**

**Not In Compliance**

**922 KAR 2:110. Section 3. Records.**

**(1) A child-care center shall maintain:**

**(b) A written record for each child:**

- 1. Completed and signed by the child's parent;**
- 2. Retained on file on the first day the child attends the child-care center; and**
- 3. To contain:**
  - a. Identifying information about the child, which includes, at minimum, the child's name, address, and date of birth;**
  - b. Contact information to enable a person in charge to contact the child's:**
    - (i) Parent at the parent's home or place of employment;**
    - (ii) Family physician; and**
    - (iii) Preferred hospital;**
  - c. The name of each person who is designated in writing to pick-up the child;**
  - d. The child's general health status and medical history including, if applicable:**
    - (i) Allergies;**
    - (ii) Restriction on the child's participation in activities with specific instructions from the child's parent or health professional; and**
    - (iii) Permission from the parent for third-party professional services in the child-care center;**
  - e. The name and phone number of each person to be contacted in an emergency situation involving or impacting the child;**
  - f. Authorization by the parent for the child-care center to seek emergency medical care for the child in the parent's absence;**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center failed to maintain children's records in accordance with regulations. Review of ten (10) children's files revealed the written records for three (3) children failed to contain contact information to enable a person in charge to contact the child's preferred hospital. Continued review of children's files revealed the written record for one (1) child failed to contain contact information to enable a person in charge to contact the child's family physician. Interview with staff-in-charge revealed this documentation was not on file at the time of survey.

**1080 - Documentation for Off Premise Trip**

**Not In Compliance**

**922 KAR 2:110. Section 3. Records.**

**(1) A child-care center shall maintain:**

**(b) A written record for each child:**

**3. To contain:**

**g. A permission form for each trip off the premises signed by the child's parent in accordance with 922 KAR 2:120, Section 12;**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center failed to maintain children's records in accordance with regulations. Review of documentation and interview with staff-in-charge revealed the children went on several field trips during June 2016 and July 2016. Continued review of documentation revealed permission forms for each trip off the premises signed by the children's parents were not presented for review at the time of survey. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

**Inspection Report**

**Written Documentation**

**Not In Compliance**

**1115 - Earthquake/Tornado Drills**

**Not In Compliance**

**922 KAR 2:110. Section 3. Records.**

**(1) A child-care center shall maintain:**

**(h) A written record of quarterly practiced earthquake drills and tornado drills detailing the date, time, and children who participated in accordance with 922 KAR 2:120, Section 3;**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center failed to maintain written documentation in accordance with regulations. Review of the earthquake and tornado drill logs presented for review at the time of survey revealed the names of the children who participated in the 2nd quarter 2016 earthquake and tornado drills were not presented for review at the time of survey. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

**1120 - Fire Drills**

**Not In Compliance**

**922 KAR 2:110. Section 3. Records.**

**(1) A child-care center shall maintain:**

**(i) A written record of practiced fire drills conducted monthly detailing the date, time, and children who participated in accordance with 922 KAR 2:120, Section 3;**

**Findings:**

General: Based on Review of Documentation and Interview, the child care center failed to maintain written documentation in accordance with regulations. Review of the fire drill logs presented for review at the time of survey revealed the names of the children who participated in the monthly drills from April-June 2016 were not presented for review at the time of survey. Interview with staff-in-charge revealed he could not locate this documentation at the time of survey.

**Posted Documentation**

**In Compliance**

**Animals**

**Not Applicable**

Signature of Provider/Representative

Title

Date