



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

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**Inspection Report**

<b>Provider Name:</b> Spencer County Early Head Start	<b>Provider Information</b>	<b>CLR No:</b> L383473
<b>Provider Address:</b> 520 Taylorsville Road, Taylorsville, KY, 40071	<b>Provider Type:</b> LICENSED TYPE I	<b>Capacity:</b> 24(Bldg 1: 24)
<b>Owner(s):</b> Spencer County Early Head Start		<b>Director(s):</b> Berry, Mary Allyson

<b>Inspection Type:</b> Renewal Application	<b>Inspection Information</b>	<b>Inspection No:</b> 247511
<b>Date Initiated:</b> 11/19/2018 10:15 AM	<b>Date Concluded:</b> 11/19/2018 12:00 PM	
	<b>No. of Children Present:</b> 9	

<b>Inspection Report</b>	
<b>Background Checks</b>	<b>Not In Compliance</b>
<b>15 - Submit fingerprints</b>	<b>Not In Compliance</b>
<p><b>922 KAR 2:280. Section 4. Procedures and Payments.</b></p> <p>(4)(a) Upon submission of payment in accordance with subsections (2) and (3) of this section, the child care provider shall print a copy of the DCC-504, Applicant Child Care Staff Member Live Scan Fingerprinting Form, from the NBCP portal and provide the form to the child care staff member.</p> <p>(b) The child care staff member shall:</p> <ol style="list-style-type: none"> <li>1. Have no more than ninety (90) calendar days from the date of payment pursuant to subsections (2) and (3) of this section to submit the child care staff member's fingerprints at an authorized collection site for NBCP; and</li> <li>2. Present the DCC-504 and driver's license or other government-issued photo identification to the designated agent at an authorized collection site prior to fingerprint submission.</li> </ol> <p><b>Findings:</b></p> <p>General: Based on review of documentation and interview, the child care center failed to comply with the regulatory requirements regarding background checks. A review of all staff member files disclosed that there were no submitted fingerprints to an authorized collection site for the Kentucky National Background Check Program (NBCP) on behalf of any current staff member. These staff members had the following hire dates: 9/28/2015, 8/1/2016, 9/12/2016, 8/17/2017, 8/30/2017 and a substitute teacher who was hired sometime in September 2018. In addition, the staff-in-charge disclosed that the child care center had not submitted fingerprints to an authorized collection site for the Kentucky NBCP on behalf of any current staff member.</p>	
<b>Supervision</b>	<b>In Compliance</b>
<b>Staffing Requirements</b>	<b>In Compliance</b>
<b>General Administration</b>	<b>Not In Compliance</b>
<b>180 - Plan of Correction/15 days</b>	<b>Not In Compliance</b>
<p><b>922 KAR 2:090. Section 14. Statement of Deficiency and Corrective Action Plans.</b></p> <p>(2) Except for a violation posing an immediate threat as handled in accordance with KRS 199.896(5)(c), a child-care center shall submit a written corrective action plan to the cabinet or its designee within fifteen (15) calendar days of the date of the statement of deficiency to eliminate or correct the regulatory violation.</p> <p><b>Findings:</b></p> <p>A PLAN OF CORRECTION WAS DUE ON 12/26/2018 AND AS OF 02/12/2019, THE PLAN OF CORRECTION HAS NOT BEEN RECEIVED.</p>	

**Inspection Report****Director Requirements****Not In Compliance****345 - Staff Evaluation****Not In Compliance****922 KAR 2:090. Section 10. Director Requirements and Responsibilities.****(1) A director shall:**

- (j) Assess each staff person's interaction with children in care and classroom performance through an annual written performance evaluation;**

**Findings:**

General: Based on review of documentation and interview, the child care center director failed to assure compliance with regulatory requirements. An annual performance evaluation was not presented for review at the time of survey for staff members with the following hire dates: 8/1/2016, 9/12/2016, 8/17/2017 and 8/30/2017. In addition, the staff-in-charge revealed that a current, annual evaluation was not available at the time of survey for the above-mentioned staff members.

**360 - Caregiver Alone****Not In Compliance****922 KAR 2:090. Section 10. Director Requirements and Responsibilities.****(1) 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 922 KAR 2:280;**

**Findings:**

General: Based on observation, review of documentation and interview, the child care center director failed to assure compliance with regulatory requirements. From 10:15am through 12:00pm, in the classroom known as the Infant Room, five (5) children, ranging from less than one year of age to one year of age, were observed being supervised by two staff members, with hire dates of 8/11/2016 and 9/12/2016. A review of the above-mentioned staff members' personnel files revealed there were no submitted fingerprints to an authorized collection site for the Kentucky National Background Check Program (NBCP) in their respective personnel files. Furthermore, the above-mentioned staff members disclosed that they had not taken any fingerprints to submit to any authorized collection site for the Kentucky NBCP.

From 10:15 am through 12:00 pm, in the classroom known as the Two to Three Year Old Room, four (4) children were observed being supervised by one staff member with hire date of 8/30/2017. A review of the above-mentioned staff member's personnel file revealed there was no submitted fingerprints to an authorized collection site for the Kentucky NBCP. In addition, the above-mentioned staff member disclosed that he/she had not taken any fingerprints to submit to any authorized collection site for the Kentucky NBCP.

**Employee Records****Not In Compliance****385 - Personnel File****Not In Compliance****922 KAR 2:090. Section 9. Records.****(1) A child-care center shall maintain:****(e) A current personnel file for each child-care center staff person to include:**

- 1. Name, address, date of birth, and date of employment;**
- 2. Proof of educational qualifications;**
- 3. Record of annual performance evaluation;**
- 4. Documentation of compliance with tuberculosis screening in accordance with Section 11(1)(b) of this administrative regulation; and**
- 5. The results of background checks conducted in accordance with 922 KAR 2:280;**

**Findings:**

General: Based on observation and interview, the child care center failed to maintain employee records in accordance with regulations. Review of staff files revealed a personnel file was not presented for review at the time of survey for a substitute teacher whose hire was described being sometime in September 2018. In addition, the staff-in-charge disclosed there was no personnel file for this individual.

**390 - Educational Requirements****Not In Compliance****922 KAR 2:090. Section 11. Staff Requirements.****(1) Child-care center staff:****(a) Hired after January 1, 2009, who have supervisory power over a minor and are not enrolled in secondary education, shall have a:**

- 1. High school diploma;**
- 2. GED or qualifying documentation from a comparable educational entity; or**
- 3. Commonwealth Child Care Credential as described in 922 KAR 2:250;**

**Findings:**

General: Based on review of documentation and interview, the child care center failed to maintain employee records in accordance with regulations. Verification of a high school diploma, GED, or Commonwealth Child Care Credential was not presented for review at the time of survey for a substitute teacher whose hire date was disclosed as sometime in September 2018. In addition, the staff-in-charge revealed that proof of education was not presented for this individual at the time of survey.

**395 - TB Verification****Not In Compliance****922 KAR 2:090. Section 11. 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. A current statement from a health professional that the individual is free of active tuberculosis or a current copy of negative tuberculin results were not presented for review for a staff member with a hire date of 9/12/2016 as well as a substitute teacher whose hire date was disclosed as sometime in September 2018. In addition, the staff-in-charge acknowledged that the documentation for the above-mentioned staff members was not available on the date of survey.

## 410 - Training

Not In Compliance

**922 KAR 2:090. Section 11. Staff Requirements.****(16) 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 ½) hours of cabinet-approved 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 ½) hours of cabinet-approved 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 regulatory requirements. The child care center did not produce verification from the Early Care and Education Training Records Information System (ECE-TRIS) for three (3) staff members with the following hire dates, 9/28/2015, 8/11/2016 and 8/30/17, of the completion of fifteen (15) hours of annual cabinet approved early care and education training. In addition, the staff-in-charge disclosed that the child care center could not produce verification from the ECE-TRIS that the above-mentioned staff members completed the required annual training; however, the staff-in-charge revealed that the required training had been completed and sent to the ECE-TRIS.

Secondly, six (6) hours of cabinet-approved orientation training is required to be completed within the first three (3) months of employment for staff. However, the child care center did not produce verification from the ECE-TRIS that three (3) staff members with the following hire dates, 9/12/16, 8/17/2017 and 8/30/2017, completed orientation within the first three (3) months of employment. In addition, the staff-in-charge acknowledged that the child care center could not provide evidence from the ECE-TRIS that the three (3) above mentioned staff members completed the cabinet-approved orientation training.

Thirdly, one and one-half (1 1/2) hours of pediatric abusive head trauma (PAHT) training is required to be completed once every five (5) years for staff. However, the child care center did not produce verification from the ECE-TRIS that five (5) staff members with the following hire dates, 9/28/2015, 8/1/2016, 9/12/2016, 8/17/2017 and 8/30/2017, had current PAHT training. In addition, the staff-in-charge acknowledged that the child care center could not provide any evidence from the ECE-TRIS that the five (5) above mentioned staff members have any current PAHT training.

**Programming****In Compliance****Premises****In Compliance****Hygienic Practices****In Compliance****First Aid/Medication****In Compliance****Outdoor Play Area****In Compliance****Equipment****In Compliance****Transportation****In Compliance****Food Service/Food Program****In Compliance****Food Service****In Compliance****Children's Records****Not In Compliance**

## 1135 - Immunization

Not In Compliance

**922 KAR 2:090. Section 9. 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 ten (10) children's files revealed that (2) children, with the enrollment dates of 10/04/2017 and 10/25/2017, did not have a current immunization certificate in his/her file. The staff-in-charge acknowledged this documentation was not presented for review at the time of survey.

**Written Documentation****Not In Compliance**

## 1170 - Professional Development

Not In Compliance

**922 KAR 2:090. Section 9. Records.****(1) A child-care center shall maintain:**

- (f) A written annual plan for child-care staff professional development;**

**Findings:**

General: Based on review of documentation and interview, the child care center failed to maintain written documentation in accordance with regulations. An annual plan for child care staff professional development was not presented for review at the time of survey for staff members with the following hire dates: 8/1/2016, 9/12/2016, 8/17/2017 and 8/30/2017. In addition, the staff-in-charge revealed that the professional development plan was not available at the time of survey for the above-mentioned staff members.

**Posted Documentation****In Compliance****Animals****Not Applicable**Signature of  
Provider/Representative

Title

Date