##### 4311.1 Documenting Follow-Up Inspections

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Policy

For a follow-up inspection, Licensing staff:

 • creates a new CLASS Form 2936 Child-Care Facility Inspection to document the results of the inspection (see [4161](http://www.dfps.state.tx.us/handbooks/Licensing/Files/LPPH_pg_4000.asp#LPPH_4161) Completing CLASS Form 2936 Child-Care Facility Inspection); and

 • documents the outcomes as described below.

Procedure

If Licensing staff is conducting the follow-up inspection as a result of a deficiency cited during a previous inspection or assessment, Licensing staff documents the results of the follow-up in Form 2936 in CLASS as follows:

1. Licensing staff links the current inspection to the appropriate previous inspection(s) or assessment(s).

2. Licensing staff deletes any linked citations that automatically prefill on the *Inspection Summary* page if:

 • the citation is not being evaluated during the current follow-up inspection; or

 • the operation requested an extension during the *current follow-up inspection* AND the extension was granted (staff will document the extension in the original inspection in CLASS; see [4322](http://www.dfps.state.tx.us/handbooks/Licensing/Files/LPPH_pg_4300.asp#LPPH_4322) Granting an Operation Additional Time to Comply With a Requirement Cited as a Deficiency).

3. For the remaining linked citations, consult the table below:

| If… | Then… |
| --- | --- |
| the operation is in compliance… | Licensing staff: • enters *Compliance* in the *Finding* field;  • deletes the date in the *Compliance Date* field; and • deletes the text in the *Narrative* text box and replaces it with a statement outlining how the deficiency was corrected. |
| the operation is still deficient… | Licensing staff: • enters *Deficiency* in the *Finding* field;  • enters the new compliance date in the *Compliance Date* field; and • deletes the text in the *Narrative* text box and replaces it with information about how the operation continues to be deficient. |

#### 4312 When a Follow-Up Inspection Is Not Required

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Procedure

If during an inspection, investigation, or assessment an operation is cited for a minimum standard deficiency that does not endanger the health or safety of children, the operation:

 • may notify Licensing by mail, fax, or email about its efforts to correct the deficiency; and

 • must submit the information within 15 days after the latest compliance date.

Licensing staff then reviews the information received from the operation to determine whether it has corrected the deficiency.

If Licensing staff determines that an operation is not in compliance, staff follows the procedures explained in [4313](http://www.dfps.state.tx.us/handbooks/Licensing/Files/LPPH_pg_4300.asp#LPPH_4313) When an Operation Continues to Be Deficient.

##### 4312.1 Documenting Follow-Ups When an Inspection Is Not Required

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Documenting Corrected Deficiencies on the Previous Inspection or Assessment Form in CLASS

If Licensing staff determines that the operation is in compliance, Licensing staff updates the inspection or assessment form for the previous inspection or assessment by documenting in the *Follow-Up Information* section of the *Standard Details* page in CLASS:

 • the date that the follow-up information was received from the operation;

 • the follow-up method (for example, whether the information was sent by mail, fax, or email);

 • the results (that the deficiency has been corrected); and

 • the following information in the *Additional Documentation* text box:

 • how the deficiency was corrected,

 • the type of documentation the operation submitted as proof (for example, a photograph, receipt, or work order), and

 • the name of the person submitting the information for the operation.

If the *Additional Documentation* text box in the *Follow-Up Information* section includes documentation about a previous extension that was granted, the inspector adds the compliance information above the documentation for the extension. The inspector does not delete the extension documentation.

Documenting Deficiencies in CLASS That Continue to Be Deficient Since the Previous Inspection or Assessment

If Licensing staff determines that the operation is still deficient, Licensing staff documents the results in the Follow-Up Assessment Form in CLASS as follows:

1. When creating the Follow-Up Assessment Form, the inspector links the follow-up assessment to the appropriate previous inspection(s) or assessment(s).

2. The inspector deletes any linked citations that automatically prefill on the *Inspection Summary* page if:

a. the citation is not being evaluated during the current follow-up inspection,

b. the operation requested an extension during the current follow-up inspection AND the extension was granted (staff will document the extension in the original inspection or assessment form in CLASS; see [4322](http://www.dfps.state.tx.us/handbooks/Licensing/Files/LPPH_pg_4300.asp#LPPH_4322) Granting an Operation Additional Time to Comply With a Requirement Cited as a Deficiency), or

c. the citation was found to be in compliance during the follow-up.

3. For the remaining linked citations where the operation continues to be deficient, staff:

a. enters *Deficiency* in the *Finding* field,

b. enters the new compliance date in the *Compliance Date* field, and

c. deletes the text in the *Narrative* text box and replaces it with information about how the operation continues to be deficient.

#### 4321 Granting Staff Additional Time to Complete a Follow-Up With an Operation

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Policy

Licensing staff may extend the established time frames for completing a follow-up with an operation if:

 • the operation unexpectedly closes; or

 • a condition exists that is beyond Licensing’s control (examples include weather-related office closures or natural disasters).

Licensing staff must obtain approval from a supervisor, program administrator, or district director to extend the follow-up time frame.

Procedure

If Licensing staff determines that an extension of the time frame for completing a follow-up is needed, staff consults with the supervisor, program administrator, or district director to request approval.

If the extension of the time frame is approved, Licensing staff documents the following in the *Additional Documentation* field on the *Standard Details* page in CLASS:

 • The approved extension date

 • The date the extension was approved by the supervisor, program administrator, or district director

#### 4322 Granting an Operation Additional Time to Comply With a Requirement Cited as a Deficiency

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Policy

Licensing staff may extend the time an operation has to comply with a requirement cited as a deficiency if the operation:

 • provides the reasons that an extension is being requested; or

 • has requested an administrative review of the deficiency, and the deficiency does not pose an immediate danger to children in care (see definition of *immediate danger* in [Definitions of Terms](http://www.dfps.state.tx.us/handbooks/Licensing/Files/LPPH_px_Definitions_of_Terms.asp)).

The decision to grant additional time must be approved by the Licensing supervisor, program administrator, or district director.

Procedure

Licensing staff consults with the supervisor, program administrator, or district director to discuss:

 • an operation’s request to extend the time frame for compliance; or

 • an extension based on an administrative review of a citation.

If an Extension Is Approved

If the supervisor, program administrator, or district director approves an extension of the time frame for compliance, Licensing staff notifies the operation about the approval (unless the extension is based on an administrative review of a citation) and then documents the extension in CLASS by completing the following steps:

a. Open the inspection or assessment where the citation was originally issued;

b. Change the date in the *Compliance Date* field to the new compliance date;

c. Complete the following actions in the *Follow Up Information* section on the *Standard Details* page in CLASS:

 • Select the follow-up method in the *Follow Up Method* field

 • Enter the date the extension was granted in the *Follow Up Date* field;

 • Select *Extension granted* in the *Results* field;

 • Enter the following information in the *Additional Documentation* text box:

 • the date of the follow-up,

 • the follow-up method,

 • a statement that the extension was granted,

 • the date that the supervisor, program administrator, or district director approved the extension,

 • the original compliance date, and

 • the new compliance date (see *Examples of An Extension Documented in CLASS*); and

d. Manually create a *To-Do* alert in CLASS to notify staff to follow up by the compliance date.

If an Extension Is Denied

If the supervisor, program administrator, or district director denies a request to extend the time frame for compliance, Licensing staff:

 • notifies the operation about the decision; and

 • enters on the *Standard Details* page in the *Additional Documentation* box the date that the supervisor, program administrator, or district director denied the extension.

If the compliance date has passed and Licensing staff determines that the operation is still not in compliance, staff follows the procedures explained in [4313](http://www.dfps.state.tx.us/handbooks/Licensing/Files/LPPH_pg_4300.asp#LPPH_4313) When an Operation Continues to Be Deficient.