



DCY MONITORING & COMPLIANCE FIELD GUIDE

Early Care & Education School-Based Preschool

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**Department of
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DCY Early Care & Education Field Guide

The Ohio Department of Children and Youth (DCY), the Divisions of Policy and Regulatory Compliance, welcome you to our Early Care & Education (ECE) Field Guide. This guide gives transparency in monitoring regulatory requirements, provides suggestions for best practices in meeting and maintaining compliance, offers resources for ongoing efforts in improving quality practices, and promotes consistency in interpretation of rules and monitoring approaches.

Utilizing the Field Guide

The ECE Field Guide is intended to benefit interested parties in the policies and practices used in monitoring regulations assigned to Early Care & Education programs. DCY is the regulating agency ensuring all programs are reviewed at least annually according to Child Care Development Fund (CCDF), Ohio Revised Code (ORC) and Ohio Administrative Code (OAC) requirements.

By utilizing the ECE Field Guide:

- Programs are provided resources, knowledge of monitoring approaches, and best practice tips to maintain compliance, including self-guided growth in daily practices.
- Licensing specialists are provided with ongoing training and guidance for consistent monitoring.
- Families are provided with knowledge of OAC and approaches to monitoring for programs in which their children receive care.
- Stakeholders are provided with transparent procedures related to Ohio's ECE system.

The ECE Field Guide is outlined in rule topics, with related content per rule topic. For users, simply find the rule topic of interest and review the related content. Here's a helpful look at the sections of the field guide, per rule topic.

Rule Topic

Rule This section references the OAC rule number and title
This section includes the link to the OAC rule.
Rule Reference
This section includes specific rule reference(s) to guide the user to requirements related to this rule topic.
Desired Outcome
This section provides the desired outcome when the rule is maintained compliant.
Guidance for Demonstrating Compliance
This section provides examples providers use to demonstrate compliance and should be considered a sample, not an all-inclusive list.
Common Non-Compliance(s)

This section provides examples demonstrating non-compliance and should be considered a sample, not an all-inclusive list.

Resources

This section provides resources that both DCY and other entities have developed and maintain for public access.

Assessment/Monitoring Approach

Observations	This section provides examples of how the program will be assessed for the rule topic through observations and should not be considered an all-inclusive list. Any references to “not applicable” are for generalized purposes, but observations may occur based on unique facts and circumstances.
Interviews	This section provides examples of how the program will be assessed for the rule topic through interviews and should not be considered an all-inclusive list. Any references to “not applicable” are for generalized purposes, but interviews may occur based on unique facts and circumstances.
Documentation Review	This section provides examples of how the program will be assessed for the rule topic through documentation review and should not be considered an all-inclusive list. Any references to “not applicable” are for generalized purposes, but documentation review may occur based on unique facts and circumstances.
Compliance Finding	This section provides examples of technical assistance that may be offered to the program through the monitoring of the rule topic based on demonstration of at least ninety percent compliance effort. For standalone documents such as a fire inspection report, the ninety percent threshold is not applied for noted technical assistance opportunities. PLEASE NOTE: technical assistance will NOT be offered if the requirement is specifically related to a complaint rule allegation.

Technical Assistance

The term “technical assistance” (TA) is a common term in the regulatory industry. At its core, regulatory TA provides tailored, expert guidance to help a program navigate compliance requirements, interpret regulations, and improve the program’s overall quality experience for the children and youth in their care. Your licensing specialist is your partner and will provide TA whenever an opportunity exists to help jointly achieve these goals. In the Field Guide, the **Compliance Finding** section of each topic area notes any rule requirement that may be offered TA in lieu of a non-compliance. The requirements listed available as TA are identified to not pose an elevated risk of harm to children and are systemic in nature, in that efforts to reach compliance by the provider are considered when identifying a potential miss in their process. In the Field Guide you’ll note the reference for ninety percent compliance effort. In all topic areas, ninety percent should be considered in a qualitative measure rather than a quantitative measure. By universally assigning a percentage threshold, the program and the licensing specialist have a frame of reference to determine if a strong attempt is made, processes are in place, but one misstep or gap did not result in one hundred percent compliance of that particular topic area. In other words, the program has put forth the right system

and is almost perfect in demonstrating compliance in that topic area, and by providing TA the program has opportunity to fully reach compliance at one hundred percent. When determining a qualitative calculation of ninety percent, consider these factors:

	Technical Assistance (TA)	Non-Compliance
Frequency	An isolated lapse in an otherwise functional process	A persistent pattern or recurring theme throughout the review
Scope	Limited to a single file, staff member, or room	Spread across multiple files, staff or rooms
Intent/Care	A “human error” or oversight despite having a system in place	A complete absence or minimal effort of a system or practice to achieve compliance
History	The program was fully compliant with the requirement at the last inspection	This is a repeat finding from previous visits

While providing TA, your licensing specialist will discuss with you any potential process that will elevate your ninety percent qualitative effort to one hundred percent full compliance. You’re encouraged to find the right process that fits your program’s size, structure, and staffing pattern and always reach out to your specialist for additional support needed.

Compliance Reports

Following the conclusion of the program’s review, DCY will provide a compliance report, complete with recorded findings of determined compliance, determined non-compliance, and technical assistance provided. The compliance report will include standard finding language, restating OAC requirements, for consistent language used across all reports.

Corrective Action Plan

When a non-compliance is identified and recorded, the program or provider submits a Corrective Action Plan (CAP) clearly demonstrating to the licensing authority their plan on correcting the non-compliance, both through immediate and long-term efforts. The written CAP should be considered a professional commitment to the licensing authority in which the program or provider applies critical thinking skills, current practices, and utilizes resources within their program to demonstrate intent to comply with requirements. The written CAP is not an explanation of why the non-compliance occurred, but a well-thought-out plan that is obtainable and sustainable preventing the non-compliance from recurring. Submitting the CAP will address three key concepts. Think of these key components as the WHAT, WHY, WHO.

- Short term action taken
 - This is the WHAT key concept. Ask yourself WHAT do I need to fix. Identify a one or two step action item that can immediately resolve the issue to satisfy the requirement. This is the easy part and should occur instantly and without pause.
- Planned changes in system/procedure
 - This is the WHY key concept. Now let’s think about the requirement itself. WHY is it important? Identify the intention, the reasoning behind why the requirement exists.

Reach out to your licensing specialist for technical assistance if needed. It's nearly impossible for you to implement a system or procedure to prevent a non-compliance from recurring if the intention of the requirement is not clear to you. Let us help with that. Once you understand the WHY behind the requirement, think about your resources, your physical space, your staff, and develop a system or procedure that meets YOUR program's ability to maintain compliance.

- Responsible person for implementation
 - This is the WHO key concept. Administrators CANNOT be responsible for every single thing that occurs within the program. Lean in on your staff, your parents, your community, every interested party helps play a role in providing a positive learning experience for children. Often administrators assign themselves as the party responsible for every requirement, but that is not sustainable and often leads to things getting lost in the mix. Think about WHO among your staff can be assigned to implement and ensure the new system or procedure is always followed, leading to long-term compliance. By assigning a responsible person, the administrator is committing to the program maintaining compliance in an organized, well-thought-out system.

When submitting your CAP to the licensing authority, be sure to answer the three questions and upload any complete and applicable documents. The specialist will review and either approve your CAP or return your CAP for revision. This should be a partnership between you and your specialist. If your CAP has been returned and you are unsure why, reach out to your specialist to better understand how you can strengthen your WHAT, WHY, OR WHO key concepts. By partnering with your specialist, you're demonstrating your intent to comply with the requirement and strengthening your program's compliance. Be sure to respond timely, following the due date outlined in your inspection report. By not submitting a CAP, or submitting a CAP past its due date, you're demonstrating a lack of intent to comply with requirements and additional non-compliances would follow. Your inspection status, including whether your non-compliances were addressed, is publicly available for consumer education on the DCY website. To ensure your program is reflected favorably to your families and potential families, submit your CAP timely, completely addressing the non-compliance recorded. By applying the WHAT, WHY, WHO key concepts timely, your program's compliance will provide a positive, healthy and safe experience for the children in your care.

Resource Library

Throughout the ECE Field Guide, you will find both internal and external resources. Internal resources are considered those that DCY maintains and is available for the public. External resources are considered those that DCY does not maintain and are available for the public. General resources referenced throughout the Field Guide are specific to the topic of the rule. Provided here is a list of general resources to be considered for all rule topics.

- [Department of Children and Youth | Ohio.gov](https://www.ohio.gov)
- [Family and Customer Support Center | Ohio Department of Children and Youth](https://www.ohio.gov) or 1-844-234-KIDS (5437)
- DCY Ohio Child Licensing and Quality System (OCLQS) Technical Support at 844-234-KIDS (5437), option 6
- [Tuesday Times | Ohio Department of Children and Youth](https://www.ohio.gov)
- [Ohio Child Licensing and Quality System \(OCLQS\) Job Aids | Ohio Department of Children and Youth](https://www.ohio.gov)

- [Program Rules and Resources | Ohio Department of Children and Youth](#)
- [Forms Central](#)
- [Office of Child Care \(OCC\) | The Administration for Children and Families](#)
- [Caring for Our Children Basics | National Center on Early Childhood Quality Assurance](#)
- [The Ohio Child Care Resource & Referral Association | OCCRRRA](#)
- [State Support Teams | Ohio Department of Education and Workforce](#)

Navigating the Field Guide

You are encouraged to use this field guide in an electronic format rather than printing the document. You'll find many interactive links that will support your program's professional growth. There are two user friendly options to easily navigate through the field guide without the need to scroll through the individual pages.

Bookmarks – To open, simply click on Bookmarks in your menu pane. Click on each topic or subtopic to reach your interest.

Table of Contents - Using the Table of Contents, click the page number to reach your interest.

Thank You!

DCY is grateful for the many stakeholders who provided input into the development of the ECE Field Guide, including Program Representatives and County Licensing Teams. By utilizing the Field Guide, all interested parties share transparency and responsibility ensuring our youngest learners in our Early Care & Education programs receive positive early learning experiences.

Attendance

5180:2-20-08 | Child information

Rule 5180:2-20-08 Child information	
Rule 5180:2-20-08 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-20-08 (C)	
Desired Outcome	
Programs have a written record of attendance that is compliant with the rule and completed daily.	
Guidance for Demonstrating Compliance	
- Have a written document for attendance. Attendance records may be maintained electronically. - Monitor to ensure the attendance is being maintained daily.	
Common Non-Compliance(s)	
- The program does not maintain daily attendance records or daily attendance records are not available for review by DCY. - The daily attendance records does not document admissions and withdrawals.	
Resources	
DCY 01208 Weekly Attendance for Child Care	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe if staff are documenting the arrival and departure of all children.
Interviews	The licensing specialist may ask staff about daily attendance policies and methods used to document attendance.
Documentation Review	- Review attendance records for completion. - Review tracking method.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Application for Preschool Programs (Child Day-Care Programs)

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation	
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-20-02 (A), (C)-(E), (M)	
Desired Outcome	

- The proposed program has all required documents and approvals necessary to begin caring for children in a healthy and safe environment.
- Provider obtains licensure ensures programs will operate in compliance with all state regulations and quality standards.

Guidance for Demonstrating Compliance

- Ensure the building and associated organization Information Retrieval Number(s) (IRNs) in the statewide licensing system match the numbers in the Ohio Educational Directory System (OEDS).
- Unless the program will be operating in a school building and all of the children who will be served are two and one-half years of age or older, a current certificate of occupancy (COO) needs to be uploaded. The COO should include documentation showing the building has been approved for use in accordance with Section 3301.55 of the Ohio Revised Code. This includes approval by the Division of Industrial Compliance or a certified local building department, and the building must meet all relevant safety, sanitation, and space requirements as outlined in the Revised Code.
- The program must have a current fire inspection report that demonstrates compliance with applicable fire and safety laws. This inspection should be conducted by the appropriate local authorities and must be up to date.
- The program must hold a valid food license issued by the Ohio Department of Health or the local health department with jurisdiction. If the program is exempt from needing a food license, valid documentation of that exemption must be provided.
- A site plan that includes the indoor and outdoor spaces the children will use is also required to be uploaded with the application. The diagram should be easy to read and fully capture the program's layout.
 - Submit Indoor floor plans that are easy to read and fully captures the program's layout. Include all space that can be used for the program. Include the following details:
 - Each classroom or area is labeled with the desired age group, including any identifying room name or number.
 - All entrances, exits, and points of egress.
 - Designated rest rooms.
 - Applicable non-classroom space, such as the office, cafeteria, gym or media center.
 - Submit an easy-to-read Outdoor site drawing that captures the surrounding environment. Include the following details:
 - Any physical or natural barriers.
 - Locations of secured gates, if applicable.
 - Roads, parking lots, or other buildings surrounding the outdoor play space.
 - The route children take to access the playground.
 - Any body of water located on the program's property or accessible to children in care.
- Once the license is approved, post a copy in a conspicuous place where parents and visitors will see it.

Common Non-Compliance(s)

- Submission of incomplete or incorrect documents. These documents are returned for revision, which delays the overall process and extends the time required to become licensed.
- The license is not posted in a visible location after the application is approved.

Resources	
• Board of Building Standards Ohio Department of Commerce • Building Plan and Approval Ohio Department of Commerce • Fire Department Listing • Find Local Health Districts Ohio Department of Health • DCY License Application for Preschool or School Age Job Aid for OCLQS • Printing a License and SUTQ Certificate Job Aid for Statewide Licensing System • Ohio State Fire Marshal Ohio Department of Commerce	
Assessment/Monitoring Approach	
Observations	• There is no observation at application. • Once licensed, the licensing specialist will observe where the license is posted in order to ensure it is in a place that is visible to parents.
Interviews	• Licensing specialist may ask questions regarding discrepancies in documents and the application.
Documentation Review	• Application information and all documents required with the application.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program's license is not posted in a visible location as required. • The program did not ensure program information in the statewide licensing system is current as required.

Background Checks

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
5180-37-04 (G), (J) & (N)
Desired Outcome
Ensure that only individuals who do not pose a risk to the safety and well-being are entrusted with children's care by identifying individuals with a history of criminal behavior, abuse, neglect, or other conduct that could pose a risk to children and preventing them from providing care. Periodic renewal (every five years) helps verify that staff remain suitable over time and that no disqualifying behavior emerges after initial screening.
Guidance for Demonstrating Compliance
• For programs that receive publicly funded child care or are Head Start programs, submit the request for BCI/FBI background checks for all new employees and completed 5-year updates through the OPR. Be sure to check the DCY 01176 to ensure eligibility.

- For programs that do not receive publicly funded child care or are district operated Head Start, follow the school district process to request the BCI/FBI for all new employees and completed 5-year updates. Staff with a currently valid credential or teaching license issued by the state board of education would only require the results of the FBI to be on file.
- Individuals who are visitors, volunteers, are not used in ratio, and never left alone with children are not required to have a background check on file. An individual who has assigned duties and is compensated cannot be considered a visitor or volunteer.
- Make sure anyone who is left alone with children or used in ratio has a current background check on file that says they are eligible to work in early care and education. This includes individuals such as itinerants, speech or occupational therapists, extracurricular teachers like dance or sport teachers who are left alone with children or used in ratio.
- When sending staff to a webcheck agency to complete their background checks, encourage them to take the guidance document that lists the information for the webcheck agent to complete in their system.
- If the program wants to receive a secondary copy of the BCI and FBI check results, the staff member will need to state this when the webcheck agent is completing the background check request. Results should be directly copied to DCY and a second set can be mailed to the program.
- Make sure employees of Head Start programs and programs that accept PFCC submit the request for background checks in the Ohio Professional Registry (OPR) and go to a webcheck agency for fingerprint impression submission prior to starting and every five-years thereafter for updates.
- Be sure to check your OPR dashboard for background check result notifications to ensure eligibility.
- Using a tracking system, such as a spreadsheet and conducting periodic audits of results for initial background checks and renewals will help to ensure timely completion of background checks.
- Track preliminary results to ensure the final results are received. Make sure staff members with preliminary approvals on file are not left alone with children at any time.
- Develop a system for handling ineligible results and appeals. Will the individual's employment be terminated? Will the individual request a review of the determination and be placed on leave and not work during the time of the review?
- Verify all DCY 1176's are in the dashboard for record keeping and review.
- Make sure anyone with an ineligible result does not work at the program.
- Remember to have any individual who has an assigned schedule with children or may be used in ratio has a signed non-guilty non-conviction statement on file that is updated annually.

Common Non-Compliance(s)

Lack of Proper Documentation

- Missing or incomplete records of background checks
- Absence of documentation showing renewal or rechecks every five years
- Missing or outdated non-guilty non-conviction statements

Expired Background Check

Continuing employment activities with individuals whose background checks have expired or are overdue for renewal	
Inadequate Record Keeping	
Missing or inaccessible files related to background checks	
Failure to Remove Disqualified Individuals	
- Continuing to have individuals with disqualifying records - Not acting promptly upon discovering disqualifying background check results	
Resources	
Background Checks Ohio Department of Children and Youth Prohibitive Convictions Webcheck Community Listing Ohio Attorney General	
Assessment/Monitoring Approach	
Observations	The licensing specialist will review the staff records on file or in the Employee Record Chart (ERC) in the OPR.
Interviews	The licensing specialist will ask the name of each staff member.
Documentation Review	- DCY 01176 or background check file review for programs receiving PFCC or Head Start Grant - ERC review
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Building and Fire

5180:2-20-05 | Facility

Rule 5180:2-20-05 Facility
Rule 5180:2-20-05 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-05 (A), (B), (G)
Desired Outcome
Care is provided in a facility that is structurally sound, safe, and approved to be used for the intended purpose.
Guidance for Demonstrating Compliance
While DCY does not directly evaluate fire or building regulations, it does collaborate with the appropriate authorities to help ensure that preschool environments remain safe and compliant with all relevant standards.

Building Approval

- To confirm a facility's readiness for preschool operations, programs are typically required to submit a COO. This document verifies the building meets applicable safety and structural standards based on the type of preschool program being offered. However, there are exceptions to this requirement. For example, when a program operates within a school building that is already in use and serves only children two and one-half years of age and older, a COO is not required. Refer to section 3301.55 of the Ohio Revised Code for the definition of a school building.

Fire Inspection

- Fire safety compliance is demonstrated through the submission of a fire inspection report. This report must be completed by the State Fire Marshal or an authorized local fire safety inspector. To be considered current, the inspection must have been conducted within the previous 12 months.
- During the annual fire inspection, it's a good idea to remember to ask the fire inspector to review and approve any space heaters that may be used to ensure compliance with Rule 5180:2-20-06.

Common Non-Compliance(s)

- During the preschool licensing process, failure to meet documentation and facility standards can result in several non-compliances. Two areas that frequently lead to non-compliances are the COO and the fire inspection report—both of which are essential for verifying that a facility is safe and approved for operating.
- For programs located in a school building and serving children two and half years of age and under, a missing or outdated building approval or COO is a common non-compliance. The building approval/COO confirms the building complies with safety and zoning regulations and is approved for a specific type of use. If a program submits a construction permit instead of a final COO or fails to provide final building approval or a COO altogether, it may be cited for not demonstrating structural readiness.
- If serving children two and half years of age or younger, and operating in a school building, submitting a COO with an incorrect use group designation—such as one not aligned with education and child care classifications like E, I-2, or I-4—can result in a violation, as it indicates the building may not be approved for the intended occupancy, especially if children under two and on-half years of age will be served.
- Occupant load discrepancies also pose compliance risks. Check to see that the building approval/COO states the maximum number of individuals permitted in the facility, either as a total or broken down by room. If this information is missing, outdated, or not included in the application materials (especially when a second page is required), the program may be found non-compliant. Licensing staff also review the building approval/COO for a valid signature and date from the issuing authority, and any listed limitations or conditions. Omitting these details or submitting an incomplete document can delay approval and trigger corrective actions. Keep in mind, a COO is only applicable if serving children two and half years of age or under while operating in a school building.
- Structural changes to the facility—such as major repairs, renovations, or layout modifications—often require an updated building approval/COO for programs operating in a school building and serving children two and half years of age and under. Programs that fail

to obtain or submit a revised building approval/COO following such changes may be cited for failing to maintain a safe facility as directed in ORC 3301.55. • Fire inspection reports are a critical compliance item: Programs must provide a current report—dated within the past twelve months—that confirms the facility has been evaluated for fire safety and all violations have been corrected. Submitting an expired report or failing to provide one altogether is a frequent source of non-compliance. Reports must include the facility’s name and address, the inspection date, and the inspector’s signature. Missing any of these elements can result in a non-compliance finding. Be sure to call early enough to schedule the next fire inspection before the current one expires. • Submitting system-specific inspections, such as those for fire alarms or suppression systems, do not assess overall facility safety and are not accepted as substitutes for a full fire inspection report. Programs that rely on these system-specific inspections may be flagged for failing to meet fire safety documentation requirements. • Using a space that has not been approved by the building and/or fire department or using the space in a way that was not approved.	
Resources	
• Become a Provider Ohio Department of Children and Youth • Board of Building Standards Ohio Department of Commerce • Building Plan and Approval Ohio Department of Commerce • Find Local Health Districts Ohio Department of Health • Fire Department Listing Ohio State Fire Marshal • Ohio Choose Safe Places Ohio Department of Health • Ohio State Fire Marshal Ohio Department of Commerce	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe groups using building spaces to determine if the program is following any stipulations on the building approval or fire inspection.
Interviews	• The licensing specialist may reach out to the preschool director for clarification on any discrepancies in the documentation. • The licensing specialist may reach out to the building or fire department if there are questions about the COO or fire inspection.
Documentation Review	• Written building approval or COO • Floor plans • Written fire inspection report. The licensing specialist will look for any uncorrected violations for fire inspections of buildings that are currently unoccupied, such as initial application and change of location. Programs should work with their local fire inspector to correct violations for ongoing annual fire inspections. Licensing specialists may ask questions regarding progress on correcting any remaining fire violations and determine if they may contact the fire inspector if there are fire safety concerns.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this

	rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program's fire inspection is overdue, but the program demonstrates verification they have contacted the fire inspector at least 30 days prior to expiration to schedule a new fire inspection as required. • The program's fire inspection was missing information to verify it was completed as required.
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Change of Capacity

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-02 (G)
Desired Outcome
The program does not care for more children than the number and age groups approved by DCY.
Guidance for Demonstrating Compliance
• When a preschool program wishes to increase its capacity to serve more children, the governing body submits an amendment through the statewide licensing system. This amendment allows DCY and relevant local agencies to review whether the proposed increase aligns with space, safety, and structural requirements. • Capacity approvals are based on usable square footage and the limitations set forth by fire safety regulations and building codes. These limitations are based upon the building approval or COO, in addition to inspections and determinations made by both the fire department and DCY. • If classrooms are being reassigned to other space in the same building, and this change does not lead to the program serving more children, a change of capacity amendment is not required to be submitted in the statewide licensing system, however, please report this change to your licensing specialist.
Common Non-Compliance(s)
• Caring for more children than the capacity permits prior to receiving approval for an increase to the capacity. • Examples of incomplete or missing documentation for space requested to be used by children not previously approved. This applies to a request impacting either new space to be used or new age group to be served. ○ COO or other building approval ○ Current fire inspection
Resources
• Change of Capacity Amendment Job Aid for OCLQS • Fire Department Listing • Building Plan and Approval Ohio Department of Commerce
Assessment/Monitoring Approach

Observations	If the program adds a new room or space that has not previously been approved by DCY and will care for children under two and one-half years of age in the space, the licensing specialist will conduct an inspection prior to recommending the capacity change for approval.
Interviews	Not applicable
Documentation Review	- Fire inspection - COO
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Change of Location

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-02 (G)
Desired Outcome
The program is operating at a safe location.
Guidance for Demonstrating Compliance
- When planning to change locations, submit the request at least 30 days prior to the last day at the current location. Prompt and careful action supports a smooth transition and minimizes disruption to care. - Ensure that all required documents are submitted accurately, completely, and in a timely manner. Missing or incorrect documentation can delay the approval process and may prevent the program from operating as intended. - Prior to caring for children in that location, participate in a change of location inspection that is similar to an initial onsite inspection, to verify all rule requirements are being met.
Common Non-Compliance(s)
- The change of location inspection results in unsafe and/or unsanitary conditions. - Required postings are missing or are not visible. - Operating at the new location prior to the new location being approved and new license issued.
Resources
Building Plan and Approval Ohio Department of Commerce DCY Change of Location Amendment for Preschool and School Age - Job Aid for OCLQS Fire Department Listing Find Local Health Districts Ohio Department of Health

Assessment/Monitoring Approach	
Observations	• The licensing specialist will assess all areas for care of children, including bathrooms, indoor and outdoor play areas, for safe and sanitary conditions. • The licensing specialist will determine if required postings are visible and complete according to rule.
Interviews	• Not applicable
Documentation Review	• Fire inspection • COO • Food service license • Indoor/outdoor site plan
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Child Abuse and Neglect

5180:2-20-10 | Child guidance

Rule 5180:2-20-10 Child guidance
Rule 5180:2-20-10 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-10 (D)
Desired Outcome
Children are protected from abuse, neglect, and exploitation. Staff are trained and empowered to recognize and respond to signs of abuse or neglect; and reporting procedures are followed promptly and correctly to safeguard children's well-being.
Guidance for Demonstrating Compliance
• Provide mandatory recognizing and reporting abuse/neglect training for all employees. • Develop and distribute written policies. When writing the policies, include topics such as, what constitutes abuse or neglect, how and when to report, who is responsible for making the report, and include procedures for documenting the report (date, time, agency contacted, summary of concern). • Provide training on how to maintain accurate and objective documentation of concerns. • Provide staff with contact information for local county public children services agencies (PCSA) and law enforcement. If you serve children who live in multiple counties, include contact info for the PCSA in each county because the county where the child lives would be responsible for determining if an investigation is needed. • Explain and reiterate to staff that the PCSA is responsible for investigating concerns of abuse and neglect. Although programs are permitted and encouraged to complete their own investigations for internal quality assurance purposes, they are still legally required to report all suspicions of child abuse or neglect to the PCSA or law enforcement.

• Ensure staff understand they are required by law to report suspicions of abuse or neglect, regardless of whether the suspected abuse or neglect happened at the child’s home or at the program. They are not required to obtain permission from the program owner or director. • Keep records of all reports made to PCSA or law enforcement, including date and time of report, name of staff member who reported, and summary of concern.	
Common Non-Compliance(s)	
• Staff do not immediately notify the PCSA or law enforcement when they suspect a child has been abused or neglected.	
Resources	
• Child Abuse Training Ohio Professional Registry ○ Search for “DCY Child Abuse and Neglect Recognition and Mandated Reporting Requirements” (ST# 10157929) • Report Abuse and Neglect Ohio Department of Children and Youth • Ohio Child Abuse Reporting Hotline ○ Phone: 855-O-H-CHILD (855-642-4453) ○ Connects callers directly to the child welfare or law enforcement office in their county ○ Reports can be made anonymously • Childhelp National Child Abuse Hotline ○ Phone: 1-800-4-A-CHILD (1-800-422-4453) ○ Available 24/7 with professional crisis counselors ○ Offers support, resources, and guidance nationwide • Head Start Mandated Reporter Training ○ Offers professional development for child care staff on recognizing and reporting abuse ○ Includes the iLookOut for Child Abuse interactive course ○ CEUs available for completion	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe staff/child interactions in each room or space, to determine the guidance and management techniques used by staff.
Interviews	• The licensing specialist may ask questions regarding the program’s policies and procedures for child abuse and neglect reporting and if any reports have been made.
Documentation Review	• Documentation of any abuse/neglect reports made by program staff.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Child Information, Medical Records, and Health Needs

5180:2-20-08 | Child information

Rule 5180:2-20-08 Child information
Rule 5180:2-20-08 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-08 (A) & (B)
Desired Outcome
Completed enrollment and medical forms are important so programs can meet each child's needs, respond quickly in case of illness or emergency, and follow the family's preferences. These forms help programs know who to contact in the case of an emergency. Current immunization records let the program know if children are up to date with vaccinations.
Guidance for Demonstrating Compliance
Child Cumulative Record/Enrollment Information • The enrollment form is the starting point for a child's records. When a child is enrolled at the program, the program will want to decide how those records are kept. The program can consider systems like file folders, binders and/or accordion style folders for storing the physical files. This allows for organization, but also for easy accessibility in the case of inspection, emergency, etc. • The DCY 01234 "Child Enrollment Form for Early Care and Education Programs" may be used to capture enrollment information but remember to ensure the additional items required in rule are also obtained. • If your program creates its own enrollment form, ensure the form contains all of the required information listed in rule. • If your program maintains enrollment information in an electronic form or system, ensure program staff are able to access the forms when needed; and that the licensing specialist can access the forms during a licensing inspection. It's also important to have current back-up copies or a way to access the forms if there is a power or internet outage. • Prior to the first day of enrollment, directors should meet with families to review their child(ren)'s enrollment form(s). It is important for providers and families to have this time to ensure that all sections of the form have been completed and signed. Pay close attention that all boxes have information in them, and that nothing was inadvertently left blank. Additionally, this gives the program the opportunity to review and understand any health or developmental concerns. Health Record • No later than 30 days after the first day of enrollment, families have to bring in a copy of their child's immunization record or provide a written statement explaining why the child is exempt from the immunization requirement. Immunizations can be obtained from the child's healthcare provider or online patient portal. • The immunization record needs to include the date the form was provided to the program to verify that it was on file within the required time period (within 30 days of first day of attendance and every 13 months thereafter). • When a child has any medical related conditions, it is important to verify that you have all the written instructions from a physician to guide in the administration of medication or to

perform any medical procedures. Having a full health record for a child ensures that the program has a wholistic view of the child's full health development. The DCY 01236 "Health Care Plan Documentation & Permission to Administer Medication" or similar form can be used when a child has a health condition, such as an allergy, that requires monitoring or treatment while at the preschool.	
Helpful Tips for Compliance - Have an additional person review forms for completeness and accuracy. - Forms should be reviewed and updated on an annual basis or if there are changes that could affect the safety of the child. - Another aspect to think about is how you plan to track form expiration dates. The most common tracking systems are spreadsheets, having auto-reminder alerts set to notify you of form expiration dates, or a filing system with colored folders or placed in a particular order. This is all up to you and should be an individual program decision for what will work best.	
Common Non-Compliance(s) - The cumulative/enrollment record used by the program does not contain the information required in rule. - A child is permitted to attend without an enrollment form on file. - Enrollment forms have incomplete or had missing information. - Enrollment forms are not updated when changes occurred. - No immunization record or exemption statement for a child.	
Resources DCY 01234 Child Enrollment Form for Early Care and Education Programs DCY 01236 Health Care Plan Documentation and Permission to Administer Medication	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe the administration of medication or performing of medical procedures, if applicable.
Interviews	The licensing specialist may ask additional questions regarding enrollment or health records.
Documentation Review	- Cumulative child record/enrollment forms - Immunization records
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: - The child's enrollment form is not complete as required. - The child's enrollment form is not updated annually as required. - The program did not ensure the exact product, generic or name brand, was listed on the appropriate documentation as required. For TA consideration, the program must demonstrate the product named contains the same active ingredients. - Child's immunization records were missing or not current every 13 months as required.

Closure

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation	
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-20-02 (G)	
Desired Outcome	
Administrative process for allowing an orderly closure to programs.	
Guidance for Demonstrating Compliance	
Submit a request in the statewide licensing system to close the license.	
Common Non-Compliance(s)	
- The program is no longer operating but fails to submit the closure. - The program continues to operate after the license has been closed.	
Resources	
License Closure Request Job Aid for Statewide Licensing System Ohio Department of Children and Youth	
Assessment/Monitoring Approach	
Observations	Not applicable
Interviews	Not applicable
Documentation Review	The licensing specialist will review the request in the statewide licensing system.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The program did not notify DCY of a temporary closure prior to closing as required.

Diapering and Toileting

5180:2-20-06 | Equipment and supplies

5180:2-20-12 | Diapering

Rule 5180:2-20-06 Equipment and supplies	
Rule 5180:2-20-12 Diapering	
Rule 5180:2-20-06 - Ohio Administrative Code Ohio Laws	
Rule 5180:2-20-12 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-20-06 (G)	
5180:2-20-12	
Desired Outcome	

To ensure a clean, safe, and respectful diapering environment that supports children's physical health, emotional well-being, and developmental needs; while upholding high standards of hygiene and infection control in the preschool setting.

Guidance for Demonstrating Compliance

- It is suggested to post the DCY 01260 “Diaper Changing Instructions for Child Care” near the diapering table for a visual reminder of steps to use to best ensure the health and safety of children and teachers.
- Diapers should be changed immediately upon becoming wet or soiled. The best practice is to check a child's diaper every 2 hours.
- Prior to placing a child on a changing table, prepare the area with needed items. These may include a separation material; a clean diaper; wipes, a plastic bag for sending soiled items home; non-latex gloves, if the program chooses to use them; and if needed, diaper creams and clean clothes. Assembling all supplies prior to changing ensures the child's safety, makes changing the child more efficient, and reduces contamination. Diaper changes should be documented on the infant's daily sheet or in an app used to communicate with parents. Examples of common separation materials includes rolls of medical exam table paper, paper towels, deli sheets, wax paper, parchment paper, and scrap paper.
- The diapering area should be cleaned with soap and water when visibly soiled and sanitized with a disinfectant after every diaper change. Remember that handwashing is important for both the child and the staff person after every diaper change.
- Soiled diapering products should be placed in a covered waste bin for disposal. Waste bins that are designed for disposal of diapers are a good recommendation for programs looking for options. If soiled items are going to be sent home with a parent, they must be stored for no longer than one day in an individual covered container or sealed plastic bag, kept separate from the child's belongings, and kept out of reach of children. An example includes having a designated area or bin in the infant room for parents to take the soiled items home when they pick up.
- When changing pads and or tables have straps, they should be used to secure the child. No child should be left unattended on a changing table. To ensure the child does not fall from the table, it is a best practice to always have one hand on the child during the changing process. Diapering areas, when positioned within the classroom, should allow staff to properly supervise the other children while performing diaper changes.
- If diapering occurs in a restroom or an area separate from the classroom, a system for isolating children who are waiting while diapering is occurring should be in place. Stools, chairs or benches placed within the area for supervision would be the best practice to eliminate the chance of recontamination after handwashing. Games, songs and transitioning activities should be planned ahead to circumvent long wait times.
- When using one diapering product (i.e. cream, lotion) for all children, it is a best practice to wear gloves or use a different barrier when applying the cream for each child to avoid cross contamination. Written permission is required before applying a diapering product to a child and should include the name of the cream; name and date of birth of the child; and a parent signature with a date. This permission is valid for no longer than three months. It is a best practice for all teachers to have blank copies of written permission forms in their classroom so they can have a parent fill the form out as soon as they present a diapering product to be used.

- Talking, laughing and singing with each child while diapering helps to build positive teacher-child relationships and pre-language skills. - Toilet training should be conducted in a way that is developmentally appropriate based on the child's individual readiness, in consultation with the family, and never forced. Signs of readiness include the child showing signs of discomfort when wet or soiled, asking to sit on the toilet, following simple instructions, and being able to walk to the toilet and undress themselves. - If using a changing table is unsafe or impractical due to the size or age of the child, diapers can be changed while the child is standing. If changing the child while they are standing, it is still important to have all supplies ready and within reach before starting. Use a separation barrier if you need can't place soiled items directly in the trash can. Remember to clean and sanitize all surfaces that may have become contaminated during the diaper change. - Pull ups and cloth training pants should be treated the same as diapers when checking, changing and storing or discarding. A best practice would be to set a timer for each child who is toilet training to help the teacher remember to send them to "try" going potty. Another idea is to create a sticker chart or use words of affirmation (ex: "Good try!" or "You did it!") to reward the child for positive toilet training behaviors. - Due to the risk of contaminating surrounding surfaces, programs are not required to – and it is a best practice to not, rinse or clean soiled clothing before sending them home. Soiled clothing should not be rinsed in a handwashing sink. - If a program utilizes a potty chair, it can't be located in an area used for food preparation or serving or in other areas not normally used for diaper changing or toileting. It is recommended to place the potty chair in a private area of the classroom or school building where there is an area to empty, clean, disinfect, and rinse the chair after each use. Because the rinsing solution has to be disposed of into a toilet, placing the potty chair in a restroom area will set staff up to be successful in following the rule requirements. - Programs can consider creating a diapering training for all new staff, reviewing rule requirements, and practicing safe and sanitary diapering techniques. Directors should observe diapering and mentor best practices. Teachers should refill all diapering supplies as needed or at least by the end of the day.	
Common Non-Compliance(s)	
- Diapers not changed as required - Inadequate supplies for diapering - Staff or children's hands are not washed - Cross contamination - No separation material or material reused - Not sanitizing the changing area after a diaper change - A cloth or porous cover being used on a changing pad	
Resources	
DCY 01260 Diaper Changing Instructions DCY 01228 Infant Daily Report Safe and Healthy Diaper Changing Steps In Childcare Settings Centers for Disease Control and Prevention	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe a complete diaper change.

Interviews	The licensing specialist may ask questions if there are no diapered children in attendance.
Documentation Review	- Infant daily sheets - Permissions for diaper creams
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: - The program did not use or discard separation material while diapering as required. - The program did not ensure children were not sitting directly on the floor while the group was in the restroom for toileting as required. - The program did not have adequate diapering supplies as required. - The program did not store or launder cloth diapers or clothing as required. - The program did not use appropriate disposable gloves during diapering as required.

Emergency Preparedness and Response Plan

5180:2-20-07 | Policies and procedures

Rule 5180:2-20-07 Policies and procedures
Rule 5180:2-20-07 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-07 (D)(4)(a)(ii)
Desired Outcome
A written emergency preparedness and response plan helps protect children and staff during any type of disaster or emergency. Emergencies can unfold rapidly. A written plan and training to carry out the plan ensures staff know exactly what to do to safeguard every child, especially those who may need additional support due to age or ability.
Guidance for Demonstrating Compliance
- Think of the emergency preparedness and response plan (EPRP) as a playbook you hope to never use but must always have. - The EPRP should be available to review and utilize if the need arises, but it is best not to be posted or available to parents or other external people who may enter the program. It contains information regarding sheltering in place and evacuation locations. Posting the EPRP could tell someone who is endangering the people in your program where they can be located. - Programs can work with their local law enforcement agencies for assistance when creating the EPRP. - Regularly check and update phone numbers included in the EPRP in the event they have changed.

- Remember to train staff at least annually on how to carry out the EPRP and to keep documentation of the training on file at the program. - If the program has filed the EPRP with the Ohio school safety center the director can provide documentation of this during an inspection. Examples of documentation could include: - A copy of the email from the Ohio school safety center saying the plan is compliant and the next due date for the plan to be submitted. - A screen shot of the school's Ohio school safety center account showing the plan was submitted. - Logging into the Ohio school safety center account to show the plan was submitted.	
Common Non-Compliance(s)	
- The emergency preparedness and response plan is not available on-site and there is no documentation of the plan being filed with the Ohio school safety center. - The EPRP is incomplete and missing items required in rule. - The EPRP is not updated annually. - Staff members are not trained annually on the EPRP. - Staff members do not have access to the EPRP.	
Resources	
Local fire department - Local police department Emergency Preparedness Child Care Technical Assistance Network Emergency Preparedness, Disaster Response, and Recovery Child Care Technical Assistance Network	
Assessment/Monitoring Approach	
Observations	Not applicable
Interviews	The licensing specialist may ask questions regarding the plan or ask for clarification.
Documentation Review	- Emergency Preparedness and Response Plan - Documentation that the EPRP was filed with the Ohio school safety center (if applicable)
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

First Aid

5180:2-20-06 | Equipment and supplies

Rule 5180:2-20-06 Equipment and supplies
Rule 5180:2-20-06 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-06 (D)

Desired Outcome	
Programs have sufficient first aid supplies available in emergency situations.	
Guidance for Demonstrating Compliance	
- The program must have adequate and sufficient first aid supplies available for the children. Licensing specialists will assess the program's first aid kit and look to see that the kit contains at a minimum: band-aids, gauze squares, adhesive first aid tape, instant ice pack, disposable non-latex gloves, and a working digital thermometer. Other suggested items include: gauze rolled bandage, triangular bandage, rounded end scissors, pocket mask or face shield for CPR that is appropriate for all ages of children in care, a working flashlight, sealable leak proof plastic bags to store materials soiled with blood or bodily fluids, tooth preservation system or chilled milk for school age children, tweezers, hand sanitizer, and bottled water. - The first aid supplies must always be readily available when children are present. Many programs have a school nurse that keeps a fully stocked station; however, the nurse or the station may not always be present and available. Identify the most needed/used supplies and keep those stocked in the preschool classrooms or area. This may include band-aids, reusable or disposable ice packs, gauze, tweezers, and a thermometer. - Ensure that the number of supplies are adequate for the number of children being served.	
Common Non-Compliance(s)	
- There are no first aid supplies available. - First aid kit(s) are missing items. - First aid kit(s) are not readily available.	
Resources	
Find Local Health Districts Ohio Department of Health	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe the location and contents of first aid kit(s) to see that the kit(s) contains at a minimum band-aids, gauze squares, adhesive first aid tape, instant ice pack, disposable non-latex gloves and a working digital thermometer.
Interviews	The licensing specialist may ask questions to determine if the program has a system in place to review kits and replace used or expired items.
Documentation Review	Not applicable
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: - The program did not appropriately store the first aid kit as required. - The program's first aid kit did not contain appropriate materials needed as required.

Food Service License

5180:2-20-09 | School food services

Rule 5180:2-20-09 School food services
Rule 5180:2-20-09 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-09(A)
Desired Outcome
If programs intend to provide meals and/or snacks, they do so in a safe and hygienic manner in accordance with their local health department requirements.
Guidance for Demonstrating Compliance
- Food preparation and service within preschool programs are subject to specific definitions and licensing requirements under Ohio law. According to Ohio Revised Code 3717.01, "serving food" is defined as responding to an order for one or more individual portions of food that are ready to eat without the need for additional washing, cooking, or preparation. This definition helps clarify which activities fall under regulated food service and which do not. - In this context, "prepared" food refers to any food that has been altered in any way beyond simply receiving it or keeping it at its original temperature. Even minimal handling—such as slicing, mixing, or assembling—qualifies as "preparation" and may trigger licensing requirements. - Programs that do not plan to prepare or serve food can submit verification of exemption, confirming that they are not engaging in regulated food service activities. This exemption allows programs to operate without a food service license, provided they do not alter or serve food in a way that meets the legal definition of preparation or service. - For programs that do prepare or serve food, a current and valid food service license is required. This license will reflect the appropriate level of approval based on the type of food handling involved. There are multiple levels of food service licenses, each permitting a different scope of activity—from basic serving to full meal preparation. Local health departments are the primary resource for determining which license level is appropriate and for answering questions about licensing requirements or limitations. - Understanding and complying with food service regulations is essential for maintaining a safe and healthy environment for children. Programs are encouraged to work closely with their local health departments to ensure they meet all licensing requirements and to avoid potential non-compliances related to food handling and service.
Common Non-Compliance(s)
- The program serves food to more than 13 children without holding a valid food service license. In such cases, operating under an exemption is not permitted, and failure to obtain the appropriate license can result in a non-compliance. - The food service license is expired, issued to a different entity, or lists an incorrect facility address. - The program serves food prepared by a food vendor without holding a valid food service license.
Resources

• Food Safety Certification Ohio Department of Health • Find Local Health Districts Ohio Department of Health	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will review the food service license or exemption are reviewed at the time of application.
Interviews	• The licensing specialist may ask for clarification on any discrepancies in the documentation.
Documentation Review	• Food service license • Food service exemption • Registration from caterer • The licensing specialist may reach out to the health department if there are questions or concerns about food service and safety practices.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program did not renew their food service license timely as required but can demonstrate verification that the renewal was submitted.

Guidance and Management

5180:2-20-10 | Child guidance

Rule 5180:2-20-10 Child guidance
Rule 5180:2-20-10 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-10
Desired Outcome
Children in licensed school-based preschool programs are guided using positive, developmentally appropriate techniques that foster emotional growth, social skills, and self-regulation, while ensuring transparency and collaboration with families.
Guidance for Demonstrating Compliance
• Include the program's discipline policy in new hire orientation packets. Ensure the policy includes: ○ Philosophy of discipline ○ References to relevant Ohio codes ○ Setting clear limits ○ Redirecting to appropriate activities ○ Modeling desired behavior ○ Reinforcing positive behavior ○ Using brief, age-appropriate separation (never with infants) ○ The requirement to consult with parents before implementing any behavior management plan. Include this policy in parent handbooks and staff training materials.

- Provide staff with the program policies.
- Train staff on prohibited practices using signed training acknowledgments and offer ongoing professional development on child guidance and behavior management. During training, you can utilize videos, role-playing or case studies to reinforce best practices.
- Provide staff with resources to understand developmentally appropriate behavior for the age groups they will be caring for.
- Give new staff members an opportunity to work with experienced staff so they can observe and learn techniques that can be used to manage behavior.
- Create a culture where staff know it is acceptable to call for assistance when challenging behavior occurs and feel comfortable doing so.
- Conduct classroom observations regularly. Conduct observations at different times throughout the day, such as early morning, late afternoon, arrival/departure, meal time, nap time, outdoor play, small/large group activities and free choice time.
- Model appropriate guidance and management techniques during observations/classroom visits.
- Stay engaged with staff. Everyone has challenges in their lives that can cause stress or frustration. Poor sleep, anxiety, and other concerns can cause staff to lose their patience and react in ways they normally wouldn't when children misbehave. Keep a pulse on how staff are feeling and offer breaks or step in to assist to allow the staff member to regain control before they use a prohibited guidance and management technique.
- If possible, provide extra staff to assist in groups with challenging behaviors.
- Maintain clear classroom rosters showing which staff member is assigned to each group of children.
- Include discipline responsibilities in staff job descriptions and performance evaluations.
- Utilize responsive engagement, which is when staff interact with children during play and routines, redirecting behavior and offering support as needed.
- Use behavior incident logs to track patterns and ensure responses are appropriate.
- Post visual reminders in staff areas listing prohibited discipline methods.
- Use incident reporting forms that include checkboxes for prohibited actions (to ensure none are used).
- Conduct parent meetings and keep good documentation. Schedule a meeting with the parent to discuss the child's behavior and proposed interventions. Use a standardized behavior management plan template that includes:
 - Description of the behavior
 - Intervention strategies
 - Goals and expected outcomes
 - Monitoring and review schedule
- Ensure the parent signs the plan to confirm understanding and consent.
- Keep signed copies of the behavior management plan in the child's file.
- Maintain written procedures for suspension, expulsion, or removal, aligned with Ohio Revised Code 3313.66.
- In the event a child is expelled from your program, familiarize yourself and staff with Ohio Administrative Code rules, which outline when and how expulsions must be reported. If an expulsion is necessary, report expulsion in the statewide licensing system. Be sure to keep a copy of the submitted report in the child's file. Document all prior interventions and communications/attempts with the parent. Include signed behavior management plans and

meeting notes. If you are unsure whether an incident qualifies as an expulsion, consult with your licensing specialist or contact the DCY Family and Customer Support Center at 844-234-KIDS (844-234-5437) or email at: info@childrenandyouth.ohio.gov.

Common Non-Compliance(s)

- Staff use a prohibited technique when managing a child's behavior.
- There is an inappropriate use of separation, such as an infant being put in time-out or an older child being put in time-out for longer than one minute per each year of the child's age.
- The behavior plan is not followed.
- There is no written behavior plan.
- A behavior plan is implemented without consulting the parent and obtaining their signature.
- A child is expelled for behavioral reasons, but the incident is not reported in the statewide licensing system.
- The program does not follow an Individualized Education Program (IEP)/ Individualized Family Service Plan (IFSP).

Resources

- [10 Early Childhood Behavior Management Strategies | Procare](#). Offers 10 actionable strategies for early childhood educators, including tips on collaborating with parents and documenting behavior plans effectively.
- [Action for Children – Positive Parenting Workshops](#). Based in Central Ohio, this organization offers workshops and coaching for parents and child care professionals. Their programs promote respectful discipline and shared decision-making.
- [Bullying and Trauma Facts | Ohio Department of Children and Youth](#)
- [Childhood Trauma | Ohio Department of Children and Youth](#)
- [Early Childhood Behavior Management Strategies | Child Care Education Institute](#) Focuses on reducing classroom disruptions and supporting child development through predictable routines, physical organization, clear boundaries and expectations, stress-reducing techniques for educators.
- Early childhood education networks: Local and national organizations often provide peer support, mentorship, and shared resources for compliance and quality improvement.
- [Early Childhood Links | Ohio Department of Behavioral Health](#)
- [Early Childhood Mental Health \(IECMH\) | Ohio Department of Children and Youth](#)
- [Guidance and Challenging Behaviors | National Association for the Education of Young Children](#). The National Association for the Education of Young Children offers articles, toolkits, and professional development focused on positive guidance, family engagement, and behavior support strategies.
- [Holliston Pediatric Group – Parent Guide for Disruptive Behavior](#). A downloadable guide that explains behavioral parent training (BPT), useful for educating families and supporting consistent behavior interventions.
- [Infant and Early Childhood Mental Health Resources | Ohio Department of Children and Youth](#)
- [Ohio Children's Trust Fund | Ohio Department of Children and Youth](#)
- [Ohio's Helping Ohio Preschoolers Excel \(HOPE\) Rapid Response Line | Ohio Department of Children and Youth](#)

• Positive Parenting Program - Triple P Ohio Department of Children and Youth. <i>This free statewide initiative provides online and in-person training for parents and caregivers. It helps build communication skills and encourages collaborative behavior planning between families and providers.</i> • Shaken Baby Ohio Department of Children and Youth • Webinars, workshops, and technical assistance on appropriate guidance and management techniques. • Whole Child Matters Map Ohio Department of Behavioral Health	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will spend time observing staff/child interactions in each room or space to determine the guidance and management techniques used by staff.
Interviews	• The licensing specialist may ask questions to determine procedures for guidance and management and if any children in the group have a behavior management plan in place.
Documentation Review	• Written behavior management plans • Incident/injury reports • Serious incident/injury reports submitted in the statewide licensing system for children expelled for behavioral reasons • Written policies/procedure for behavior management • Child enrollment form for information provided by parent
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program did not report a child's expulsion to DCY as required.

Handwashing

5180:2-20-07 | Policies and procedures

Rule 5180:2-20-07 Policies and procedures
Rule 5180:2-20-07 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-07 (D)(4)(e)
Desired Outcome
Children and staff in licensed programs stay healthy by washing their hands properly and at the appropriate times. Handwashing helps stop the spread of germs that can cause illness. The goal is to keep everyone safe and well by making handwashing a regular, simple part of the daily routine.
Guidance for Demonstrating Compliance
• To support handwashing compliance, make sure staff are familiar with the requirements. Posting signs near sinks or handwashing stations can serve as friendly reminders throughout the day.

- Keep soap and paper towels stocked and within easy reach to encourage consistent hygiene practices. Handwashing is especially important before preparing or eating food or feeding any child, after diapering or assisting a child with toileting, or helping with bodily fluids. - Children learn the proper steps for handwashing through hands-on teaching and by watching adults model good habits. Visual tools like step-by-step charts or auditory aids such as timers can make the process more engaging and easier to follow. - Techniques should match each child's developmental level. For example, if a child isn't able to stand at a sink, using a soaped paper towel followed by a rinse can be a safe and effective alternative. - Handwashing should be incorporated into daily routines to help promote healthy habits and to help the program demonstrate compliance with the rule requirements.	
Common Non-Compliance(s)	
Staff forget when handwashing is required.	
Resources	
About Handwashing Centers for Disease Control and Prevention Find Local Health Districts Ohio Department of Health Handwashing and Cleaning Resources Food and Nutrition Service Downloads and Resources Oral Health Foundation	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe if staff and children wash their hands during the times or situations required in rule.
Interviews	The licensing specialist may ask questions about handwashing if it is not observed.
Documentation Review	Not applicable
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: A child under 24 months used hand sanitizer without written parent permission as required.

Health Training

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
5180-37-04 (I)
Desired Outcome
Ensure staff have completed health trainings to ensure they are properly prepared to provide a safe and healthy environment for children.
Guidance for Demonstrating Compliance
Develop a tracking system to ensure directors, preschool staff members, and substitutes complete required health and safety trainings within 90-days of their start date:

○ First Aid and CPR (appropriate for the age and developmental levels of the children in care) ○ Child abuse and neglect recognition and prevention ○ Management of Communicable Disease • Ensure that health and safety trainings meet course and trainer requirements in appendix A to this rule. • When scheduling cardiopulmonary resuscitation (CPR) training, verify it includes an in-person skills component and is appropriate for the ages and developmental levels of children in care. A virtual skills assessment is not considered an in-person training component. • Verification of completed training in the OPR is acceptable for any health and safety training. The DCY 01276 Health Training Documentation for Child Care, training cards or certificates may be used to document completed training in first aid or CPR. • If staff have completed a training and it's documented on the DCY 01276, check to make sure all boxes or sections of the form applicable to the training have been completed. • When scheduling staff for training, it is best practice to verify that trainers meet the required qualifications and that the required topics are covered in the training. Consider having documentation on file to verify all the required topics were covered in the training. • Examples may include a printout from the training organization's website, or a syllabus provided by the trainer. If clear documentation is not on file, the specialist may conduct their own research to verify compliance.
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Common Non-Compliance(s)

- Staff have not completed the required health trainings within the required time period
- There are no staff on-site with completed health trainings
- Trainer did not complete documentation or does not meet the trainer qualifications
- The training expired
- Unable to verify health trainings; documentation not on file nor verified in the OPR
- CPR training has no hands-on skills component
- CPR training is not appropriate for age group in care

Resources

- [DCY 01276 Health Training Documentation for Child Care](#)
- [How to Find Training Search | Ohio Professional Registry](#)
- [Child Abuse Training | Ohio Professional Registry](#)
 - Search for "DCY Child Abuse and Neglect Recognition and Mandated Reporting Requirements" (ST# 10157929)
- [Communicable Disease Training | Ohio Professional Registry](#)
 - Search for "DCY Management of Communicable Disease Training" (ST# 10136263)

Assessment/Monitoring Approach

Observations	• Not applicable
Interviews	• The licensing specialist may contact the trainer if they have questions or concerns about a training document.
Documentation Review	• OPR and/or required training documentation
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this

	rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • Staff have not completed health and safety training(s) as required.
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Incident Reporting

5180:2-20-02 | Compliance and investigation

5180:2-20-08 | Child information

Rule 5180:2-20-02 Compliance and investigation
Rule 5180:2-20-08 Child information
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws Rule 5180:2-20-08 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-02 (W) – (Y) 5180:2-20-08 (B) & (D)
Desired Outcome
Families and DCY are notified of reportable incidents/injuries in a timely manner. Incident reports both promote a necessary, open exchange of information between families and the provider; and assist DCY in collecting data and providing an organized view of health and safety within programs. The effective maintenance of an incident reporting system is essential to incident/injury prevention and control, ensuring a safer environment for children in care.
Guidance for Demonstrating Compliance
• Ensure copies of completed DCY 01299 “Incident/Injury Report for Child Care” forms, or an electronic equivalent, are provided to the parent or the person picking up on the day of the incident. • Consider the questions below when determining if an incident report needs to be completed. If you answer "yes" to any question below, an incident report needs to be completed: ○ Did an illness or injury require first aid treatment? ○ Was a child transported to receive emergency assistance? ○ Did the child receive a bump or blow to the head that required medical attention? ○ Was the safety of a child or employee of a center jeopardized due to an unusual or unexpected incident , such as a child leaving the center unattended, a vehicle accident with or without injuries or exposure of children to a threatening person or situation? • Complete and submit serious incident reports in the statewide licensing system. • The questions below can help determine if the incident qualifies as a serious incident that needs to be reported to DCY in the statewide licensing system. If you answer "yes" to any question below, the incident needs to be reported to DCY no later than the business day after the incident. ○ Did a child pass away while at the program? ○ Did the child receive a bump or blow to the head that required first aid or medical attention?

○ Did the incident/injury/illness result in the school being closed, 911 being called or the child being removed by the parent for professional consultation or medical treatment? ▪ This includes, but is not limited to trips to the doctor, dentist, emergency room, etc. for care or treatment which was the direct result of the incident/injury/illness. ○ Did the incident jeopardize the safety of a child or staff at the center? ▪ This includes but is not limited to a vehicle accident while transporting children, an illness that requires reporting to the local health department, a threat of violence to the program, etc.
• If an incident needs to be reported to DCY, the program can print the form from the statewide licensing system and provide a copy to parents in place of the DCY 01299 or electronic equivalent incident report. • It's a good idea for someone other than the director to have access to the statewide licensing system so serious incidents can be reported timely when the director is sick, on vacation or otherwise unavailable. • Have a plan for who will accompany a child if they must be transported for emergency treatment, so everyone is prepared if the unthinkable happens. Remember a copy of the child's health and medical records will need to be taken with the child so first responders have access to information to help safely treat the child.

Common Non-Compliance(s)

- The DCY 01299, or equivalent, is not completed for an incident, injury or illness that requires one.
- Staff fail to complete information on the DCY 01299, or equivalent form.
- A copy of the DCY 01299, or equivalent form, is not provided to the person picking the child up on the day of the incident.
- A serious incident report was not submitted in the statewide licensing system by the next business day after the incident.

Resources

- [DCY 01299 Incident-Injury Report for Early Care and Education Programs](#)
- [Submit Serious Incident Report Job Aid for OCLQS](#)

Assessment/Monitoring Approach

Observations	• Not applicable
Interviews	• The licensing specialist may ask questions to determine the program's process for completing the DCY 01299 and reporting serious incidents. • The licensing specialist may ask if the program had to have a child transported for emergency treatment, and if so, if a copy of the child's health and medical records accompanied the child, and who stayed with the child.
Documentation Review	• The licensing specialist will review completed DCY 01299 forms and serious incident reports in the statewide licensing system.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this

	rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program completed the DCY 01299 or equivalent form; however, did not include supplemental information not related to the incident as required.
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Indoor Space Requirements

5180:2-20-05 | Facility

Rule 5180:2-20-05 Facility	
Rule 5180:2-20-05 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-20-05 (C)	
Desired Outcome	
Rooms are approved prior to use for calculation of occupancy, availability and safety; and children in licensed preschool programs have enough space to move and explore freely.	
Guidance for Demonstrating Compliance	
• Indoor space meets minimum requirements of 35 square feet per child. Clarify what counts as usable space, determine the maximum capacity for the space, and if the program has exclusive access to the space. If there are shared public areas, consider how to keep children safe during times of public use. • If subdividing spaces, consider the type of barriers to be used. These barriers can be permanent or non-permanent; and should be at least 36 inches in height and define each space. Check with local entities such as the state fire marshal or local building department to make sure that the dividers meet any requirements that are in place.	
Common Non-Compliance(s)	
• There is not enough usable space for the number of children physically present. • The program does not have exclusive use of the space during operating hours.	
Resources	
• Not applicable	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will count the number of children physically present in each space.
Interviews	• Not applicable
Documentation Review	• COO and/or room measurements • Floorplans
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program did not have exclusive use of an indoor space as required.

Infant Care

5180:2-20-05 | Facility

5180:2-20-07 | Policies and procedures

5180:2-20-09 | School food services

Rule 5180:2-20-05 | Facility

Rule 5180:2-20-07 | Policies and procedures

Rule 5180:2-20-09 | School food services

[Rule 5180:2-20-05 - Ohio Administrative Code](#) | [Ohio Laws](#)

[Rule 5180:2-20-07 - Ohio Administrative Code](#) | [Ohio Laws](#)

[Rule 5180:2-20-09 - Ohio Administrative Code](#) | [Ohio Laws](#)

Rule Reference

5180:2-20-05 (G) - (I)

5180:2-20-07 (D)(9)

5180:2-20-09 (D)

Desired Outcome

Support infant health, safety, nutrition, and development through structured, responsive, and hygienic care practices in early childhood education settings.

Guidance for Demonstrating Compliance

- The play space is divided from the crib by a sturdy barrier that can't be knocked over. Staff can still easily see and hear the infants to keep an eye on them while sleeping.
- It is important for staff to be tuned into each infant's individual needs, whether they're hungry, tired, or just need a little comfort. Infants need to be removed from equipment throughout the day to allow for tummy time and individual attention. Giving toys, placing a mirror on the floor in front of the infant, and a teacher interacting with the infant during tummy time helps stimulate the infant's development and build relationships.
- Tummy time is when infants are placed on their stomachs for short periods of time (three to five minutes) two to three times per day. As infants grow, the tummy time session can be lengthened. Tummy time helps infants develop strong head, neck and shoulder muscles, promotes motor skills, and helps prevent a flat spot from developing on the back of the infant's head. Putting a developmentally appropriate toy within the infant's reach encourages the infant to learn to play and interact with their surroundings.
- Infants under 12-months old are always placed on their back in a crib to rest or sleep.
- Once a child can roll over by themselves, they can be allowed to sleep in a position they prefer, but they still need to be placed on their back when put in the crib.
- Programs can consider placing a small sign on the end of the crib alerting staff if a child can roll over on their own.
- For crib information, see [Sleeping and napping](#)
- Feedings should be done with care: formula bottles should be labeled with the child's name and date of preparation. Breast milk bottles should be labeled with the child's name, date it is expressed and the date it is prepared. Keeping a roll of tape and a marker near the infant refrigerator makes it easier for staff to label bottles if parents forget.

- Bottles should be stored properly and never propped during feedings. Holding infants during bottle feeding creates a more meaningful experience. - Parent feeding preferences are updated as needed. Sample form DCY 01218 Basic Infant Information can be used. If the parent isn't able to update the form, a staff member can update the form with the new feeding preference and the date of the change. Keeping a binder of the parent feeding preferences in the infant room will allow for staff to easily access the information and to update the form when needed. - Work with families to provide a consistent feeding experience for each child, however, the program is responsible for making sure food served does not present a choking hazard. Some foods served uncooked, whole, or in certain shapes or sizes can be choking hazards; and food may need to be cut into bite-size portions or altered through cooking or mashing before being served to a young child. - If using a crockpot to warm bottles instead of a bottle warmer, make sure to check the temperature throughout the day to ensure the water never goes over 120 degrees. Also, the device used to warm bottles should be kept out of the reach of children, including any cords so it can't be pulled down and possibly cause burns.	
Common Non-Compliance(s)	
- Not removing infants from seats throughout the day to provide them with individual attention. - Not having or updating feeding preferences/instructions from parents. - Bottles are not properly labeled. - Bottles are left out for too long. - Prepared food is not labeled with the infant's name and the date of preparation. - Breast milk is not properly stored or is stored for too long. - Bottle warmer/crock pot is not cleaned and sanitized daily.	
Resources	
Choking Hazards Infant and Toddler Nutrition Centers for Disease Control and Prevention Choking Prevention for Babies & Children HealthyChildren.org DCY 00301 Infant and Early Childhood Mental Health Consultation Services DCY 01218 Basic Infant Information DCY 01228 Infant Daily Report Developmental Milestones Matter! Learn the Signs. Act Early. Centers for Disease Control and Prevention Early Years Food Choking Hazards Feeding Infants and Meal Pattern Requirements in CACFP - Q&As Food and Nutrition Service Helpful Resources Infant and Toddler Nutrition Centers for Disease Control and Prevention Infant Feeding Resources for Parents and Child Care Personnel American Academy of Pediatrics Infants Nutrition.gov Reducing Risk of Choking in Young Children US Department of Agriculture	
Assessment/Monitoring Approach	
Observations	The licensing specialist will spend time in each infant room observing feeding practices, activities, and interactions.

Interviews	The licensing specialist will ask questions related to infant care that has not been observed.
Documentation Review	- Infant information sheets - Infant daily sheets - Other documents/apps used by the program to meet these requirements
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The program did not have written instructions or updated written instructions on file for each child as required.

Inspection Requirements

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-02 (I)-(K), (N), (T)-(V)
Desired Outcome
All regulatory requirements have been met, children are protected from harm, the environment is secure, and the program is equipped to deliver high-quality care.
Guidance for Demonstrating Compliance
Pre-Licensing Inspection - Maintaining onsite copies of all documents uploaded during the application process will assist in verification at the pre-licensing inspection. - Before a program begins providing care to children, ensure the physical environment is thoughtfully prepared, safe, and fully compliant with all licensing requirements. A well-organized and developmentally appropriate space not only supports regulatory compliance but also enhances the quality of care and learning experience for children. - Assemble all age-appropriate equipment and materials and have them arranged and ready for use prior to the inspection. Having these items easily accessible to children and strategically placed will promote engagement, independence, and exploration. Equipment includes a wide range of items—from toys, tables, and chairs to diaper changing stations, trash receptacles, dishes, and cleaning supplies. When thoughtfully designed, a well-equipped classroom can function as an additional teacher, supporting the daily flow, fostering engagement, and enriching the learning environment. The licensing specialist will verify you have enough materials and equipment to adequately care for the number of children expected on the first day of operation. If this number is different than the number submitted on your initial application, the change in the number at opening will be documented in the pre-license inspection report. - Before a preschool program welcomes its first group of children, it should be fully prepared to operate as if opening day were already underway. This level of readiness reflects not only

compliance with licensing requirements but also a deep commitment to safety, organization, and professionalism.

Ongoing Inspections

Best Practice

- Keep all documentation current and complete.
- Verify staff are connected to your program and that background checks have been completed in the OPR.
- Proactively address environmental and safety hazards.
- Confirm that all spaces in use are approved and compliant.
- Arrange toys in an orderly manner, clearly label activity areas, and have materials easily accessible to children. Each classroom's daily schedule should be posted and visible, allowing all staff and families in that classroom accessibility to the group's daily routine. All classroom spaces should reflect thoughtful planning and readiness. The licensing specialist will be mindful of children's curiosity and exploration, which will lend flexibility to the program implementing their daily schedule.
- Have a supply of forms available for immediate use. These may include:
 - Attendance logs
 - Enrollment forms
 - Incident reports
 - Medication administration forms
 - Health care plans
 - Emergency contact forms
 - Menus
- A separate licensing binder may be assembled to streamline inspections if information is not available electronically or otherwise accessible to staff and licensing specialist for review. The binder may include:
 - Fire, tornado, rapid dismissal, and general school safety drill logs
 - Annual fire inspection reports
 - COO or other building approval
 - Emergency preparedness and response plan (EPRP)
 - Parent handbook
 - Food service license (or exemption letter)
- To ensure transparency and accessibility, designate a location for displaying the following items for parents and staff:
 - Menu
 - Copy of the license (to be posted once issued)
 - DCY 08087 Communicable Disease Chart
- In each classroom, find a noticeable location to display:
 - Daily schedule
 - Emergency phone numbers
 - Evacuation procedures, such as a map and instructions for fire and weather emergencies
- Outdoor areas will be inspected for compliance with square footage requirements, that it is well defined and well drained, and for overall safety. The space must be free of hazards and debris. If outdoor play equipment is used, check to see that it is age-appropriate equipment

prior to it being purchased and installed. Check all permanent structures to be free of hazards.

Forms and Documents Used to Demonstrate Compliance

- Programs are encouraged to use sample forms provided by DCY. If using program-created forms, include all required information specified in the licensing rules. You can submit program-created forms to your licensing specialist for technical assistance prior to using your forms. When a rule references a specific form number, that form must be used. The program is permitted to use electronic forms so long as compliance is able to be maintained. This includes capturing electronic signatures.
- If certain items cannot be observed during the inspection, licensing specialists will ask questions to determine whether the program is meeting compliance.

Common Non-Compliance(s)

- Employment records were not linked to the dashboard or otherwise were not accurate
- During inspections, several common safety hazards often emerge:
 - Outdoor play areas lacking protective surfacing, increasing risk of injury
 - Building issues such as loose stair railings, unsecured outlets, or chipped/peeling paint
 - Improper storage of chemicals on low shelves or stacked chairs creating unsafe conditions
 - Incomplete first aid kits or expired documents
- Electrical hazards, including uncovered outlets or surge protectors within children's reach
- Broken or damaged toys/equipment that pose physical risks
- Required postings not displayed as mandated.

Resources

- [Background Checks | Ohio Department of Children and Youth](#)
- [Become a Provider | Ohio Department of Children and Youth](#)
- [Find a Public Children Services Agency](#)
- For questions about a background check, email CCBackgroundCheck@childrenandyouth.ohio.gov
- [Local Child Care Resource & Referral Agency](#) 1-877-547-6978
- [Ohio Attorney General](#)
- [Online Tutorial | Ohio Professional Registry](#)
- [Corrective Action Plan Response Job Aid for OCLQS](#)

Assessment/Monitoring Approach

Observations

- Rooms and spaces, including the outdoor play space, will be measured during the pre-licensing inspection or when newly added.
- All spaces used by or accessible to children, including hallways, classrooms, gyms, cafeterias, bathrooms, and indoor/outdoor play areas, will be observed for compliance. Rooms actively in use will be observed and compared to building approvals to confirm they are authorized for child care activities.

	• In addition to the equipment and setup, the licensing specialist will observe the environment in general. They will also look for items such as a first aid kit and cleaning and sanitizing supplies. • The licensing specialist will observe the outdoor play space and may use tools from their playground safety inspection kit to check for head and neck entrapment, protrusion and entanglement hazards on outdoor play equipment.
Interviews	• During the pre-licensing inspection, the licensing specialist could discuss rules that are unable to be observed, such as how the program plans to maintain ratio and supervision, how the program plans to ensure all proper medication documentation and children files are obtained prior to first day of care, etc. • The licensing specialist may ask what forms or documents will be used to gather required information for child and staff files.
Documentation Review	• Background checks on file • Documents related to director qualifications • Staff documentation (verification of education, TB test screening, required training etc.) See Staff immunization and TB screening requirements and Staff orientation sections for a detailed description of required documentation.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Management of Communicable Disease

5180:2-20-11 | Management of communicable disease

Rule 5180:2-20-11 Management of communicable disease
Rule 5180:2-20-11 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-11
Desired Outcome
Proper care and release of sick children and staff, and that staff have knowledge of signs/symptoms of illness.
Guidance for Demonstrating Compliance
• Order a DCY 08087 Communicable Disease Chart from ODJFS Forms Central in order to post the large legible version. Preschool staff and parents should be able to access the posted communicable disease chart. • Report communicable diseases to your local health department as directed on the Communicable Disease Chart.

- Consider the system your program will use to notify parents when their child has been exposed to a communicable disease. Some commonly observed examples include sending a note home with each child, posting a notice in a visible location for each classroom experiencing the illness, and sending a notification through an electronic system or email. - Identify a space where children who are showing the signs or symptoms of illness listed in rule can rest comfortably until they can be picked up. In to help prevent spreading the illness, the space needs to keep the ill child away from the other children. When selecting a space, remember to consider how supervision will be maintained. - It is important to have substitutes or extra staff members available at the program so staff members displaying signs of illness can be immediately released from duty to protect the health and safety of all individuals within the facility. - Staff must be aware of any children with worsening conditions and follow a procedure to safely care for the children until they are discharged. - Have a staff member trained in the prevention, recognition and management of communicable diseases observe children daily as they enter the group . - Once an ill child uses any linens, cots, or cribs, they must be appropriately laundered and disinfected.	
Common Non-Compliance(s)	
- No staff trained the prevention, recognition and management of communicable diseases available to observe children. - Either not posting the DCY 08087 Communicable Disease Chart or is posted and not legible. - The location of the DCY 08087 Communicable Disease chart is not readily available for review. - There's no area for sick children to be isolated from other children. - Not making required reports to the local health department. - Not making required reports to DCY in the statewide licensing system. - Not notifying parents of their child's exposure to a communicable disease. - Ill children or staff not released as required.	
Resources	
Communicable Disease Training Ohio Professional Registry - Search for “DCY Management of Communicable Disease Training” (ST# 10136263) DCY 08087 Communicable Disease Chart Find Local Health Districts Ohio Department of Health Centers for Disease Control and Prevention CDC	
Assessment/Monitoring Approach	
Observations	- The licensing specialist will observe the location of the DCY 08087 Communicable Disease Chart. - The licensing specialist may observe to see if any notifications of exposure to communicable diseases are visible and if the program has an area where ill children can be isolated.
Interviews	The licensing specialist may ask questions regarding the program’s process for releasing an ill child or staff, notifying parents of an exposure to a communicable disease, and how ill children are isolated until they are release if unable to observe these requirements.

Documentation Review	• Serious incident reports • Policy handbook • Communicable disease exposure notices
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The DCY 08087 “Communicable Disease Chart” is not posted or current as required. • The program did not release an ill staff member as required. • The program did not properly isolate or discharge a child as required. • The program did not notify the parents of an exposure to a communicable disease as required.

Materials and Equipment

5180:2-20-06 | Equipment and supplies

Rule 5180:2-20-06 Equipment and supplies
Rule 5180:2-20-06 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-06 (A) & (C)
Desired Outcome
The program creates a safe, engaging, and developmentally appropriate environment that supports the inclusive growth of each child in their care. Children in these settings should experience a nurturing space that fosters physical, emotional, social, and intellectual development through age-appropriate programming, materials, and activities across all domains—cognitive, physical, social, and emotional.
Guidance for Demonstrating Compliance
• Child-sized tables, chairs, and shelves are provided to accommodate the needs of all children. • Developmentally appropriate materials are available and accessible to all children. When arranging the classroom space, consider the following: Can children freely select items to play with, or do they have to ask permission for certain materials? Are materials placed where children can reach them by themselves? Are children able to open containers by themselves to access materials? • Consider: Are there enough materials across categories for each child to be engaged in an activity? Do the materials and equipment support the intellectual, physical, social, and emotional development of preschool children? • It’s okay for children to have limited access to some materials during part of the day as long as all children have the opportunity to use materials from all of the required categories at some point in time each day.
Common Non-Compliance(s)
• There is an insufficient number of materials for all children to be engaged in an activity. • Materials and/or furnishings in the classroom are not developmentally appropriate.

• Required categories of equipment are missing or not available to children. • Materials are broken and can't be counted as being available to children for use in that category. • Materials are not arranged in an organized manner (various types of equipment are mixed together, pieces are missing making it hard to use the materials as intended). • Children do not have easy access to materials. • Materials are not suited to the age and developmental stages of the children present.	
Resources	
• Early Learning and Development Standards Ohio Department of Children and Youth • Defining Developmentally Appropriate Practice National Association for the Education of Young Children	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe the environment for materials and equipment.
Interviews	• The licensing specialist may ask questions to determine how staff ensure all children have access to all the required categories of materials each day.
Documentation Review	• Not applicable
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program did not have an adequate amount of materials and/or equipment in each category as required. • The program did not have materials and/or equipment that were appropriate, accessible, orderly, and/or varied in each category as required.

Medication, Medical Foods, Modified Diets, Fluoride Supplements

5180:2-20-07 | Policies and procedures

5180:2-20-08 | Child information

Rule 5180:2-20-07 Policies and procedures
Rule 5180:2-20-08 Child Information
Rule 5180:2-20-07 - Ohio Administrative Code Ohio Laws Rule 5180:2-20-08 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-07 (D)(4)(c) & (d) 5180:2-20-08 (B)(2)
Desired Outcome
Safe, appropriate, and compliant administration of medication, medical foods, modified diets, and fluoride supplements, to: • Protect children's health.

- Provide clarity on handling medications, storage requirements, and documentation practices.
- Facilitate clear communication between staff, parents, and health care professionals.

Guidance for Demonstrating Compliance

- The DCY 01236 “Health Care Plan Documentation & Permission to Administer Medication” may be used when administering medications and medical foods. The form documents administration instructions, parent permission, and when necessary, health care provider instructions, making sure that everyone’s on the same page and the child’s health is protected. This form indicates exactly what medication is being administered, how much should be given, when it should be administered, and who authorized the program to administer it. Any time the medication is administered it should be documented immediately so it isn’t forgotten. This documentation will be reviewed onsite during inspections or by parents if questions should arise.
- Topical products and lotions, such as diaper creams and sunscreen, only require parent permission. You can get permission on the child’s enrollment form if desired. Permission is not required for hand sanitizer use by children older than 24 months or for lip balm.
- A commonly observed practice to help keep medication and topical products organized and improve compliance is storing the medication and permission form in a Ziploc bag with a label. The label can include the child’s name, the name of the medication, and dates of expiration for the medication, permission to administer, and prescription. This helps easily track when items need to be updated or replaced and keep everything together for each child.
- Consider having a system where parents must drop off medications and completed forms directly to the administrator or office staff. This way the forms and labels can be reviewed for accuracy, and you can ask any clarifying questions before the parent leaves. Having families and staff use the DCY 01580 “Your Prescription for Safely Administering Prescription Medication” and DCY 01581 “Your Prescription for Safely Administering Non-Prescription Medication” can help your program comply with the requirements in the rule. This is also a good time to ensure the item is in its original container.
- Remember the individuals who administer medications must be a health professional or have completed a drug administration training pursuant to section 3313.713 of the Ohio Revised Code.

Common Non-Compliance(s)

- Parental permission forms are missing or incomplete.
- Physician’s instructions, when required, are missing or incomplete.
- The written permission does not provide the name of the actual item to be administered.
- Children younger than 24 months use hand sanitizer old without parent permission.
- Children use topical products without written parent permission or labeling.
- There is a lack of medication administration documentation (log not maintained or incomplete).
- Program stores medication in areas that are accessible to children.
- Staff person administering the medication is not a health professional or did not complete a drug administration training pursuant to section 3313.713 of the Ohio Revised Code.
- The medication was not in its original container.

Resources

• DCY 01236 Health Care Plan Documentation & Permission to Administer Medication • DCY 01580 Your Prescription for Safely Administering Prescription Medication • DCY 01581 Your Prescription for Safely Administering Non-Prescription Medication • Medication Safety Centers for Disease Control and Prevention • Administration of Medication Child Care Technical Assistance Network • Poison Control Center (24/7) For immediate support or questions about medication incidents or safety or via phone at 1-800-222-1222	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe medication, medical foods, and topical products storage, labeling, proper administration, and documentation after administration.
Interviews	• The licensing specialist may inquire about storage, administration, and documentation procedures if children are taking medication.
Documentation Review	• Written permission from parents • Written instructions from an appropriate medical professional • Prescription labels for instructions, expiration dates, dosage • Manufacturers guidelines • Expiration dates on medication/topical products
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program did not ensure parent permission was secured for all topical products as required. • The program did not ensure the exact product, generic or name brand, was listed on the appropriate documentation as required. For TA consideration, the program must demonstrate the product named contains the same active ingredients.

Meals and Snack Requirements

5180:2-20-09 | School food services

Rule 5180:2-20-09 School food services
Rule 5180:2-20-09 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-09 (B) & (C)
Desired Outcome
Safe and healthy meals and snacks that meet nutritional requirements are served supporting children's health, growth and development.
Guidance for Demonstrating Compliance
• Meals and snacks should be thoughtfully planned and served at regular intervals—no child should go more than four hours without eating, unless they're asleep. The food offered to

children must be varied and nutritious. Compliance is not just about feeding children—it's about nourishing them in a way that supports their growth and development.

- Food safety is equally important: All meals and snacks must be free of choking hazards and tailored to the developmental needs of each child. That means considering texture, size, and quantity of the food. For infants and toddlers, this may mean cutting food into smaller pieces or offering softer textures.
- The program can choose to use measuring devices when portioning out food.
- Menus play a key role in transparency and planning: Each center must post a current weekly menu in a location that's easy for parents to see. These menus should reflect all meals and snacks being served, and any substitutions must be noted at the time they occur. This helps families stay informed and builds trust in the program's food practices.
- Special diets require careful documentation: If a child needs a medical food or has an entire food group eliminated, the program must have written instructions from a physician. For cultural or religious dietary needs, a signed and dated note from the parent is required, unless the diet is part of the programming. This information may be written on the child's enrollment form since the parent signs and dates the form. The program may choose to accommodate a parent's request for an alternate diet, but it must ensure the child still receives items from all major food groups: meat or meat alternatives, grains, fruits or vegetables, and dairy.
- Safe storage of food is essential: This includes milk, formula, and breast milk, which must be stored properly at all times. Milk cannot be left out at room temperature for more than two hours, even shorter if the ambient temperature is extremely warm. On field trips, if refrigeration isn't available, milk may be served at snack time instead of lunch. Parent-provided food must also be stored safely to prevent spoilage or contamination. It's a good idea to check packed lunches for perishable food to determine if an ice pack or refrigeration is needed. Consider keeping extra ice packs on hand if items can't be placed in a refrigerator.
- Finally, mealtime should be a calm, focused experience. Screens, including televisions, computers, and tablets, should be turned off during meals and snacks to encourage healthy eating habits and social interaction. Appropriate use of screens could include audio only (i.e., YouTube sound with screen saver), smart board for timer, or any other non-interactive visual display.

Common Non-Compliance(s)

- Screens are on during meal times.
- Food is not provided in a timely manner (more than 4 hours apart).
- Meals do not meet the food group requirements.
- Food is not properly cut to avoid choking hazards especially in regards to items such as grapes, hot dogs, raw carrots, etc. Most commonly seen in toddler classrooms.
- Menus are not posted, not currently dated, or do not match the meal/snack served.

Resources

- [Choking Hazards | Infant and Toddler Nutrition | Centers for Disease Control and Prevention](#)
- [Choking Prevention for Babies & Children | HealthyChildren.org](#)
- [Crediting Handbook for CACFP | Food and Nutrition Service](#)
- [Early Years Food Choking Hazards](#)

Reducing Risk of Choking in Young Children US Department of Agriculture	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe a meal, during a regular licensing inspection or as needed for monitoring.
Interviews	The licensing specialist may ask questions around how long items have been sitting out, what time meals/snacks will be served, supplemental food policy and storage.
Documentation Review	- Menus, including substitutions - Food labels
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: - The program did not provide a variety of meals and snacks as required. - The program eliminated a food group for a child without written approval as required. - The program provided a child with special diet without written instructions as required. - The program served reconstituted dry milk and did not meet meal or snack components as required.

Operating Under a Provisional License

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws
Rule Reference
OAC 5180:2-20-02 (F) & (I)
Desired Outcome
The program completes its provisional period of twelve-months without revocation and seamlessly converts to a continuous license by meeting all regulatory requirements, demonstrating operational stability, program compliance, and leadership readiness.
Guidance for Demonstrating Compliance
- Ensure the program is operating in compliance with the Administrative Code. - Establish and maintain strong systems of administrative organization and health and safety practices. - Take advantage of the technical assistance calls and visits that are offered. - Maintain open communication and a partnership with your DCY licensing specialist.
Common Non-Compliance(s)
Failing to respond and submit corrective action plans to DCY.
Resources
Not applicable
Assessment/Monitoring Approach

Observations	At least two provisional inspections, and additional inspections as needed.
Interviews	The licensing specialist may ask questions throughout the provisional period for clarification.
Documentation Review	- Corrective action plan(s) - Review of accumulated non-compliances
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Outdoor Space Requirements

5180:2-20-05 | Facility

Rule 5180:2-20-05 Facility
Rule 5180:2-20-05 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-05 (D)
Desired Outcome
Children in licensed programs have safe, accessible, and age-appropriate outdoor spaces where they can play, explore, and be active every day. Outdoor areas give children enough room to move around freely, be protected from harm, and have materials and equipment that match their developmental needs.
Guidance for Demonstrating Compliance
- Outdoor play surfaces are chosen with care to soften falls and stay dry after rain. Materials like mulch, or rubber mats help create a comfortable and secure environment for running, climbing, and jumping. - Outdoor areas are kept free from anything that could cause harm. This includes chipped paint, mold, broken furniture, or clutter. Equipment is smooth and sturdy, with no sharp edges or peeling paint. If any paint appears worn or flaking, especially if it could contain lead, steps are taken to refresh or replace it. - Play areas are clearly marked and well defined to separate them from traffic, animals, or other outside distractions. Fences, gates, or visual boundaries help define the space and keep children focused and safe. - During playtime and transitions to and from the play area, staff stay close by, offering guidance and supervision. Staff remain engaged, helping children navigate the space and encouraging positive interactions. - By creating a well-organized, hazard-free, and nurturing play environment, programs offer children a space where learning through movement and play can truly flourish. - To support compliance and maintain a safe outdoor environment, it's important to establish consistent routines for inspecting and caring for playground spaces. Regular inspections help identify and address potential hazards before they become safety concerns. A daily

review of outdoor areas can catch issues like trash, debris, overgrown weeds, or other obstacles that may interfere with safe play. When possible, assigning a specific staff member to handle these checks can ensure accountability and consistency. • The program needs to consider how it will protect children from sunburn and long-term skin damage. Appropriate sun protection may include shade from natural sources such as trees, buildings, or built structures like overhangs or awnings. Other appropriate sun protection may include children wearing protective clothing such as hats and long sleeves when outside or having sunscreen administered prior to outdoor play. • Train staff on capacity of the playground, so they know how many children may use the space at a time. If the space is not large enough to accommodate an entire group at once, smaller groups of children should take turns using it. Develop a daily schedule to ensure all children are provided with daily outdoor play time. • Outdoor play spaces that are regulated by another state or local agency (such as school playgrounds) will not be assessed by the licensing specialist. • When considering an off-site play space, remember the distance and means to access the off-site play space must be safe and developmentally appropriate. ○ For toddlers, one to two blocks is typically considered an appropriate distance. ○ For preschool children, half to one mile is typically considered an appropriate distance. ○ Consider the following: ▪ How close the playground or park is to the program, ▪ Exposure to traffic, driveways, or parking lots, ▪ Sidewalk availability ▪ Physical hazards and crossings, ▪ Use of strollers and wagons. • When an off-site space no longer meets requirements, your program must find a new space that does meet the requirements.	
Common Non-Compliance(s)	
• Utilizing outdoor space that has not been approved or that is unsafe. • Outdoor play space does not offer protection from falls. • The surface of the outdoor play space is not well drained/puddles present. • The outdoor play space does not keep children safe from harm and/or hazards are present. • Children are not protected from sun exposure while outdoors.	
Resources	
• Playground Safety National Recreation and Park Association • Playground Safety National Safety Council • The Consumer Product Safety Commission. <i>This website has extensive information related to playground safety.</i>	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will measure the outdoor play space during the pre-licensing inspection or when a new outdoor space is added. • The licensing specialist will observe the play space to determine if it is well defined, well drained and free of items or conditions that pose a risk of harm to children.

	The licensing specialist will not assess outdoor play spaces on the same property that are regulated by another state or local agency (such as school playgrounds).
Interviews	The licensing specialist may ask questions regarding daily playground inspections, sun protection, and access to an off-site play space.
Documentation Review	Not applicable
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Preschool Director Responsibilities

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
5180-37-04 (C) & (E)
Desired Outcome
Qualified directors are present during the program's hours of operation, leading the staff in maintaining a safe, high-quality, and compliant environment for children, families, and staff.
Guidance for Demonstrating Compliance
Daily Operations and Compliance - Regularly review and stay current with licensing requirements in Chapter 3301 of the Ohio Revised Code and Chapter 5180:2-20 of the Ohio Administrative Code to ensure all operations align with these regulations. Consider implementing a compliance checklist to monitor adherence to these chapters. - Maintain a schedule that ensures at least one director is present on-site for at least fifty percent of the operating hours of the preschool program. - Observe preschool staff members and environment: Is the instructional program of the preschool being carried out in daily operations? Are clerical and custodial services being provided for the program? - Complete the required rule review training provided by DCY. Safeguarding Children's Health and Safety Part of the director's role is to ensure children's health and safety are protected while keeping the program compliant. Consider the following: <i>Immunization and Emergency Medical Authorizations</i>

- Make sure every child has up-to-date immunization records or exemption before attending preschool.
- Collect emergency medical authorization forms from parents/guardians as required by law.
- Keep records organized and easily accessible in case of emergencies.

Emergency Procedures and Drills

- Create clear procedures for emergencies such as fire drills, rapid dismissals, tornado drills and general school safety drills (see the school's emergency preparedness and response plan for this information).
- Practice drills regularly with staff and children.
- Record the date, time and type of each drill in a logbook or similar record to show compliance with Ohio Revised Code 3737.73.

Posting Emergency Procedures

- Post written emergency procedures in every preschool classroom.
- Share the plan with teachers, staff, parents, and children in age-appropriate ways.
- Make sure everyone knows what to do in case of an emergency.

Posting Emergency Phone Numbers

- Post important emergency phone numbers (fire, police, poison control, local hospital, etc.) in a visible spot in each classroom and other areas used by the children.
- Ensure staff know where to find emergency phone numbers quickly.

Supervising Play Areas & Facilities

- Always have staff supervising children when they are on the playground, in the gym, and using other facilities.

First Aid Facilities and Materials

- Keep a stocked first-aid kit in the preschool classroom or area.
- Check supplies regularly and replace items as needed.
- Track to ensure staff have current training in first aid and CPR.

Child Records

- Have a system for maintaining cumulative records for each child. An organized filing system helps create easy access to necessary documents during inspections or audits.
- Follow the district's procedures for enrolling children, placing them in a class, and any withdrawals.
- Remember to create a roster each year that contains all enrolled children. The roster should only include information for parents/guardians/custodians who gave permission to have their contact information included.

Additional Tips for Compliance

Training and Communication

- Provide regular training for all staff on compliance requirements and updates to regulations.

- Communicate clearly with parents and staff about policies, procedures, and any changes in regulations. <i>Internal Audits</i> - Conduct regular internal audits to identify and proactively address any potential compliance issues. - Use audit findings to continuously improve policies and procedures. <i>Engage with Regulatory Bodies</i> - Maintain open lines of communication with regulatory bodies to stay informed about any changes in regulations and to seek guidance when needed.	
Common Non-Compliance(s)	
- The director does not spend enough time onsite - Not fulfilling duties outlined in rule	
Resources	
Ohio Professional Registry - Local Emergency Management Agencies (Fire, EMS)	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe required postings.
Interviews	The licensing specialist may ask questions for clarification.
Documentation Review	- OPR review - Director staff record for training - Postings - Records of completed emergency drills
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: - The program has not completed or documented fire drills, rapid dismissals, tornado drills, and school safety drills as required. - Emergency numbers are not posted in all spaces used by children. - Emergency procedures are not posted in classrooms or made available as required. - The program's administrator did not complete the rules review course as required.

Preschool Director Qualifications

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
5180-37-04 (D)

Desired Outcome	
Qualified directors understand child development, risk management, emergency procedures, and ensuring a secure and nurturing environment for children. Having a background in child development supports teachers in implementing developmentally appropriate practices that support school readiness and lifelong learning.	
Guidance for Demonstrating Compliance	
- The director is the leader and role model for program staff. A director with a combination of child development education and experience ensures the individual has the background to effectively lead the team and support developmentally appropriate practices. - Be sure to review the rule carefully to ensure the director holds the appropriate credential, license or education to meet the qualification requirements for the type of entity that operates the preschool program.	
Common Non-Compliance(s)	
- The director does not meet education requirements. - The director has not completed required courses.	
Resources	
Ohio Department of Education and Workforce Ohio Child Care Resource and Referral Association Reporting and Menu Ohio Revised Code Section 3301.071 Standards for teacher certification in nontax-supported or nonchartered nontax-supported schools Ohio Laws Ohio Revised Code Section 3319.22 Standards and requirements for educator licenses - local professional development committees Ohio Laws	
Assessment/Monitoring Approach	
Observations	Not applicable
Interviews	The licensing specialist may ask questions about director qualifications for clarification.
Documentation Review	- Director education records and/or coursework - OPR Review
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Professional Development

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
OAC 5180-37-04 (H), (K)-(M)
Desired Outcome

Ongoing training and professional development are vital for early childhood professionals because they directly affect the quality of care, staff satisfaction, and the ability to promote a positive learning environment for children and youth. Studies show that continued learning helps staff improve their skills, avoids burning out, and creates a more stable environment for young people.

Guidance for Demonstrating Compliance

- The director develops a tracking system to ensure all staff members complete the ten hours of required annual professional development each year. Part-time staff members may prorate the number of hours to be completed based upon the percentage of time they are assigned to the program.
- Ensure that professional development is in one or more of the following areas: Child development or early childhood education; or an Ohio approved professional development training.
- Remember health trainings hours such as first aid, CPR, and child abuse and communicable disease trainings can count towards the required hours for professional development.
- Document completed training on the DCY 01307, including CEUs, college transcripts, trainings verified in the OPR, and certificates issued by an Ohio child welfare training center.
- The director can verify that requirements for trainers have been met.

Common Non-Compliance(s)

- Staff did not complete the required hours of professional development training.
- The trainer does not meet the trainer qualifications as required in rule.
- Lack of verification of professional development; documentation not on file nor verified in the OPR.
- Health and safety trainings were included as professional development hours.

Resources

- [DCY 01307 Professional Development Documentation for Child Care](#)
- [Early Childhood Health and Safety | Ohio Department of Health](#)
- [How to Find Training Search | Ohio Professional Registry](#)
- [Ohio Educational Directory System \(OEDS\) | Ohio Department of Education and Workforce](#)

Assessment/Monitoring Approach

Observations	• Not applicable
Interviews	• Not applicable
Documentation Review	• OPR and/or required training documentation
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • Staff did not complete professional development as required.

Programming

5180:2-20-03 | Program

Rule 5180:2-20-03 | Program

[Rule 5180:2-20-03 - Ohio Administrative Code | Ohio Laws](#)

Rule Reference

Desired Outcome

The program creates a safe, engaging, and developmentally appropriate environment that supports the inclusive growth of each child in their care. Children in these settings should experience a nurturing space that fosters physical, emotional, social, and intellectual development through age-appropriate programming, materials, and activities across all domains including cognitive, physical, social, and emotional.

Guidance for Demonstrating Compliance

- The program must adopt a written curriculum that is developmentally appropriate, supports children's individual needs, and is aligned with the Early Learning and Development Standards.
- Use assessments, checklists, portfolios, and/or observation notes to track to track progress as children grow and develop. This must be reported to parents and a conference must be held twice each year. The procedure for this is to be established by the program's governing board.
- Post a clearly visible and accessible daily schedule in each classroom, outlining the flow of activities throughout the day. Don't forget to reflect the daily schedule in writing and follow all of the components outlined in it. It's understood that sometimes the day doesn't always go exactly as outlined on the schedule, but a consistent routine helps children feel safe, secure and comfortable, by allowing them to understand what is happening now and what comes next. This can help reduce anxiety and stress and promote learning.
- Ensure that schedules are age-appropriate and include a balance of quiet and active indoor and outdoor play: This allows children to engage in restful, focused activities as well as energetic, movement-based experiences. Quiet play includes things like reading, puzzles, art, and sensory exploration; while active play involves things like music, movement, and group games. Activities should address the needs, interests, and abilities of each child. This is important to support the required domains of development.
- Give children chances to choose their own activities: They can play with materials in creative ways, pick what they want to use, and explore different learning areas that are set up to be flexible and fun.
- Provide outdoor play every day when the weather is safe. Outdoor time might include free play, exploring nature, or activities that help build strong muscles and social skills. If the temperature is between 25 and 90 degrees, and there's no bad weather like rain, strong wind, or extreme heat or wind chill, children should get some time outside – even if it's just a short period of time. The program needs to have a clear plan that explains when outdoor play might be limited. It is a great idea to keep extra clothing on hand (such as mittens or hats) for children that may need it to be comfortable outdoors.
- Consider making it a point to check the weather each morning and providing staff with a daily announcement regarding any changes to outdoor play times or if the weather will prevent going outside.
- Don't forget to plan a safe space or option for the older infants to get outside daily. This may be a small, protected portion of the playground, or a daily walk in the approved outdoor space.
- When the weather makes outdoor play unsafe, remember to include indoor gross motor activities in the daily schedule. This may involve activities such as jumping, dancing, child-friendly yoga, or using riding toys.

• Incorporate a nap/rest period for children attending more than 5 hours a day. Rest supports brain development, emotional regulation, and physical health. This nap/rest period is to be reflected in the daily written schedule. • Provide each parent with a handbook that includes information about the program's operations, services, and policies, along with details on early screening, developmental services, inspection reports, and how to file complaints. Create a system to distribute the handbook to parents and ensure that a copy is easily available at the program for review. This may be a paper or electronic copy.	
Common Non-Compliance(s)	
• The daily schedule is not followed. • The program does not offer outdoor play . • There is not a balance between quiet and active play. • Children's developmental progress is not shared with families at least twice annually. • The handbook is not onsite/accessible or doesn't include all required policies.	
Resources	
• Early Learning and Development Standards Ohio Department of Children and Youth • Early Learning Assessment Ohio Department of Children and Youth • Defining Developmentally Appropriate Practice National Association for the Education of Young Children • Ohio's Imagination Library	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe groups for a balance of active/quiet play. • The licensing specialist will observe outdoor play. • The licensing specialist will observe the posted daily schedule to ensure it reflects indoor and outdoor times.
Interviews	• The licensing specialist may ask questions regarding the daily schedule. If the observed activities do not match the daily schedule, the licensing specialist may ask questions to determine if there are special circumstances for not following the posted schedule. Examples of reasons for not following the schedule include adjusting the schedule due to a special activity taking place that day, changing outdoor times due to weather conditions, and extending an activity based on the children's interest. • The licensing specialist will request information about conferences and sharing progress with parents. • The licensing specialist will ask about the curriculum that has been adopted.
Documentation Review	• Daily schedule • Parent handbook • Curriculum availability • Documentation of conferences and children's progress reports
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this

	rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program did not provide indoor gross motor play when the weather did not permit outdoor play as required.
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Revocation

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation	
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-20-02 (P) – (S)	
Desired Outcome	
Licensed programs are expected to operate in compliance with licensing rules and regulation to ensure the health, safety, and well-being of the children in care at all times. Denial and revocation actions are taken to protect children when programs are not operating and complying with the licensing rules and regulations.	
Guidance for Demonstrating Compliance	
• Ensure the program is operating in compliance with the Ohio Administrative Code. • Ensure the program has children enrolled and attending. • Establish and maintain strong systems of administrative organization and health and safety practices. • Take advantage of the technical assistance calls and visits that are offered. • Maintain open communication and a partnership with your DCY licensing specialist. • Be sure to provide truthful and accurate information to your licensing specialist. Review documents submitted to the program by staff and families for any misrepresentation or alteration. • Submit corrective action plans that fully address the non-compliances by the due date.	
Common Non-Compliance(s)	
• The program has a repetitive history of non-compliances. • The program fails to correct non-compliances. • The program provides false and misleading information to DCY. • There is a serious incident(s) or injury or death of a child. • The owner of the program is not eligible for ownership. • DCY staff are denied access to the program.	
Resources	
• Not applicable	
Assessment/Monitoring Approach	
Observations	• Not applicable
Interviews	• Not applicable
Documentation Review	• Inspection reports and past compliance history • Corrective action plan history
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this

	rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.
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Safe Environment

5180:2-20-05 | Facility

5180:2-20-06 | Equipment and supplies

Rule 5180:2-20-05 Facility
Rule 5180:2-20-06 Equipment and supplies
Rule 5180:2-20-05 - Ohio Administrative Code Ohio Laws Rule 5180:2-20-06 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-05 (A), (C), (D) 5180:2-20-06 (A) & (B)
Desired Outcome
Children in programs are protected from harm by creating a safe environment that ensures illegal substances are not kept on the premises, weapons are secured in a locked storage area if permitted to be on site, indoor temperatures are maintained and there are no items or conditions that could threaten their health, safety or well-being of children.
Guidance for Demonstrating Compliance
- To create a safe environment for children in care, it is important to carefully consider items that are in licensed spaces. Weapons, ammunition, and illegal drugs and substances pose increased risk of death or harm to a child. Illegal drugs and substances may not be on the premises. Owners of the program can determine if they will allow weapons on the premises. If no weapons are allowed, a "No Weapons" sign may be posted at the entrance. If weapons will be allowed, they must be kept out of sight of and inaccessible to children in a secured, locked storage area. - Alcohol and other legal substances that impair a person's ability to supervise children should be kept out of spaces used for the care of children. - There are many items that create safety hazards for children. Programs can create an environment where children can actively explore and learn by implementing systems to eliminate risks in licensed child care spaces. Inspect areas of care for items like employee personal belongings and blind cords within reach, exposed electrical cords, uncovered electrical outlets, fans without protective coverings and rugs without non-slip backing. Look for small toys or items that could pose a choking hazard. Evaluate the need for protective mats under climbers to keep children safe from injuries from falls. - Area rugs can become hazards if they slip across the floor surface or have corners or edges that roll up and could trip children or staff. Monitor rugs to ensure they don't pose any risks. - Areas of renovation or remodeling as well as machinery will need special considerations to keep children out of danger. Rodents and insects can pose a risk of harm to children by

exposure to nests or areas of excrement. Examine the premises for these types of dangers on a regular basis and reach out to pest control agencies if needed. • If pets are present in a licensed program, keep their areas clean so that children are not exposed to feces or animal urine. If there are pets, reach out to a local veterinary practice to gather information on local laws and ordinances and determine if a license and/or vaccinations are required. • All cleaning equipment and materials need to be labeled clearly and kept in their original containers. Consider adding a shelf that is out of reach of children in the classroom to store chemicals if there is no access to a locked cabinet. Read the manufacturers' guidelines to help determine which substances are considered toxic to children. Items such as fish food, hand lotions, dishwashing soap, bleach, gasoline and laundry detergents can be easily stored away from children's reach. When considering accessibility of chemicals, ask the following questions: ○ Is the storage area or cabinet secured by a functioning child safety latch or lock? If yes, then the chemicals are not accessible to children. If the safety latch or lock is broken or not in use, the chemicals are considered accessible. ○ Are the chemicals out of reach of children? Out of reach means a child cannot reach the chemical while their feet are on the floor. Exceptions to this would be if there is a stepstool in front of a sink with chemicals on the counter next to the sink, or a shelf above a toilet that stores chemicals when a child uses the bathroom without direct supervision of a staff member. For example, in an infant room, a bleach spray bottle at the back of a counter would be out of reach and inaccessible. However, in a 4-year old classroom, where the children could reach the bleach bottle on the counter, the chemicals would be considered accessible. School-age children may use cleaning supplies with adult supervision and the cleaning supplies may be stored in spaces used only by school-aged children. ○ Are the chemicals behind a closed door? If the door is in the same space used for children's activities, then it must be locked. A door of a space not used for children's activities (kitchen, hallway, entry area, director's office, etc.) does not need to be locked, but should be closed. If it is an adjoining door to a space used for children, it must be locked.
Common Non-Compliance(s)
• Chemicals are within reach of children . • Chemicals are not clearly labeled or are not in the original container . • The temperature is not within required guidelines . • Uncovered outlets, hanging electrical cords or blind cords are accessible to children. • Air conditioning units are accessible to children . • Pet areas are unclean. • Climbers that require a protective mat do not have the required fall surface.
Resources
• Not applicable
Assessment/Monitoring Approach

Observations	The licensing specialist will observe each room or space children have access to, assessing for items or conditions that pose a risk of harm to children.
Interviews	The licensing specialist may ask questions based on their observation and the condition of the environment. Examples include questions about renovations taking place, chemical use and safety.
Documentation Review	- Chemical labels - Manufacturer's guidelines - Other supporting documentation
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: Children are not present in a space used by children when chemicals were observed on a table or low shelf and not kept inaccessible as required.

Safe Equipment

5180:2-20-06 | Equipment and supplies

Rule 5180:2-20-06 Equipment and supplies
•                                            
Rule Reference
5180:2-20-06 (A) & (B)
Desired Outcome
Children in licensed programs are kept safe by using equipment, furniture, and toys that are in good condition, age-appropriate, and free from hazards. Everything children use should be clean, sturdy, and safe so they can explore, learn, and play without risk of injury.
Guidance for Demonstrating Compliance
- The first staff member entering a classroom or space should do a quick walk-through and check for any hazards, including damaged or broken equipment. Create a log for staff to initial or sign upon completion of the daily walk-through. The log should include a space for comments to document maintenance requests for damaged or broken equipment. - It's important to follow manufacturer's guidelines closely. These instructions provide the foundation for proper setup, use, and maintenance of all equipment. One example is ensuring staff use straps to secure children if the equipment comes with straps. - Remove any equipment with missing or broken parts immediately. Training staff to recognize these issues during routine inspections helps catch problems early and prevents accidents. Safety checks could also include the use of choke tubes to identify items that may pose a choking risk to young children. - Properly maintain, repair or replace equipment. Using adhesive materials to patch or cover damaged areas of equipment is acceptable. You will want to ensure the equipment is kept clean and sanitary and replaced if torn or peeling.

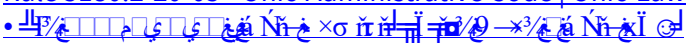
• Space heaters may only be used if they've been approved in writing by the building or fire department. This ensures they meet safety regulations and are appropriate for the setting. It's a good idea to ask the fire inspector to evaluate the space heater during the annual fire inspection. • If fans are used to help circulate air, make sure they are placed out of the reach of children or have a cover that does not allow children to stick their fingers through the cover. • Immediately clean up paint chips or flakes that are accessible to children and could be ingested or rubbed into eyes. Regularly clean and inspect surfaces for early signs of wear and repair areas that chip or peel. • If chairs need to be stacked while cleaning or for some other reason, make sure they are designed to be stacked and are done so in a way that prevents the stack from falling over. • Purses and diaper bags often have items stored in them that pose a risk of harm to children. It is very important these items are stored in a place that makes them inaccessible to children. • To avoid injury to children, mount TV's and heavy furniture to the wall or anchor them in a way that prevents the item falling. • Indoor climbing equipment also requires special attention. Protective surfacing—such as mats or padding—should be placed underneath and around climbers to reduce the risk of injury from falls. • If the program will allow children to use a trampoline, ensure the trampoline is designed for individual use. Large trampolines may not be used at the program. • It is a good idea to save the manufacturer's guidelines, or bookmark an online version, to have them available for future reference.	
Common Non-Compliance(s)	
• Broken equipment is accessible to children. • Using equipment that is not age appropriate. • Indoor climbers are used without mats being placed under and around the equipment. • Chairs are stacked in a manner that poses a risk to children. • Failing to use safety straps on equipment that comes equipped with them. • Outlets are not covered and there is no evidence that they are tamper resistant.	
Resources	
• Choking Hazards Infant and Toddler Nutrition Centers for Disease Control and Prevention • US Consumer Product Safety Commission Recalls	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will look at the materials, furniture and environment to see if there are items or conditions that pose a risk of harm to children. • If paint is peeling or chipping and flakes are observed accessible to children, a finding may be cited. If small dings or dents are visible in the wall or equipment but the paint isn't flaking or posing a risk of harm to children, a finding will not be cited. • If chairs are stacked in a way that is unstable or would fall into the play space or where children are present, a finding may be cited.
Interviews	• The licensing specialist may ask if space heaters are used.

Documentation Review	• Manufacturer's guidelines • Fire approval for space heaters
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list. • The program did not ensure applicable outlets were covered as required.

Sanitary Conditions

5180:2-20-05 | Facility

5180:2-20-06 | Equipment and supplies

Rule 5180:2-20-05 Facility
Rule 5180:2-20-06 Equipment and supplies
Rule 5180:2-20-05 - Ohio Administrative Code Ohio Laws 
Rule Reference
5180:2-20-05 (C) 5180:2-20-06 (B)
Desired Outcome
Children in programs are kept safe by creating sanitary conditions that provide a clean environment by ensuring that equipment, furniture and materials are easily maintained.
Guidance for Demonstrating Compliance
• To create a sanitary environment for children in care it is important to carefully consider items that are in licensed spaces. Equipment, furnishings and materials that are easily cleaned help to keep children healthy and safe. Removable cloth covers that can be laundered can help make cleaning furnishings easy. Hard surfaces that can be cleaned and sanitized can also assist in maintaining a clean and sanitary environment. • Consider providing a checklist an opening or closing staff member can complete each day to make sure bathrooms are fully stocked with toilet tissue, liquid soap, running water and individually assigned towels, disposable towels or air dryers. Toilet paper and hand or paper towels can become wet or contaminated if stored on a counter, floor or back of the toilet, so keep them on a dispenser for sanitary storage. They. • Post signs with pictures of the steps to follow when using the restroom and washing hands can help children remember hygiene routines. • Except for general clean up after meals, spills and activities, all cleaning and sanitizing should take place when children are not present. When doing light cleaning, such as wiping tables or cleaning up after messy activities, staff being used in ratio should remember their primary focus is supervising the children. Also, if children with allergies or conditions that cause breathing problems are present when cleaning, ensure the cleaning products being used will not trigger a medical situation. • To prevent the spread of communicable diseases, some items need to be cleaned and sanitized more frequently than others. When assessing the program for a sanitary

environment, the licensing specialist will look to see that the following items are cleaned and sanitized between uses: changing tables, potty chairs, tables used for meals and snacks, items used for eating such as bottles, plates, and utensils. • Toys mouthed by children should be cleaned and sanitized frequently between uses, but in order to encourage sharing, toys don't need to be removed from a child when children are sharing the toy in a social setting. • Creating a cleaning schedule can help ensure that all areas of the program are maintained and kept clean.	
Common Non-Compliance(s)	
• The program areas are unclean. • Furniture is made of a material that cannot be cleaned due to tears in the material that have not been repaired. • Bathrooms are not properly supplied (i.e., out of toilet paper, soap or paper towels).	
Resources	
• Not applicable	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe the spaces accessible to children for cleanliness and sanitary conditions. The licensing specialist will look to see that the following items are cleaned and sanitized between uses: changing tables, potty chairs, tables used for meals and snacks, items used for eating such as bottles, plates, utensils.
Interviews	• The licensing specialist may ask questions about cleaning and sanitizing schedules.
Documentation Review	• Not applicable
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program had equipment or materials or furnishings with material ripped or torn or not easy to clean as required.

Sleeping and Napping

5180:2-20-06 | Equipment and supplies

5180:2-20-07 | Policies and procedures

Rule 5180:2-20-06 Equipment and supplies
Rule 5180:2-20-07 Policies and procedures
Rule 5180:2-20-06 - Ohio Administrative Code Ohio Laws
Rule 5180:2-20-07 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-12-06 (E) & (F)
5180:2-20-07 (D)(9)

Desired Outcome

Children in attendance more than five consecutive hours are provided a safe, quiet space for rest, nap or sleep based on their developmental needs.

Guidance for Demonstrating Compliance

- Cribs, cots or mats are assigned to children and labeled or otherwise sanitized daily.
- Cribs must be labeled with the child's name. If a crib is assigned to more than one infant due to part time scheduling, the label should indicate which days each infant will use the crib. The crib must be cleaned and sanitized between children.
- Only a bottom, fitted sheet may be used in cribs.
- Some programs label each cot or mat with the child's name. Other programs label them with numbers and have a chart posted that indicates the child assigned to each numbered crib, mat or cot. Some programs choose to clean and sanitize every cot or mat every day and do not label them.
- Staff are actively supervising children in a well-lit area and making sure evacuation routes are not blocked during rest, naps or sleep.
- Ratio may be doubled for no more than 1.5 hours during nap time and shall only be doubled if: all the children in the group are on cots or mats, the group does not include any infants and there are enough staff members in the building to meet staff/child ratio.
- Any child who does not fall asleep during a designated nap time should have the opportunity to engage in quiet activities.

Cots and Mats

- With written permission from the parent, infants 12 months or older may use a cot or mat for sleeping and resting.
- Toddlers and preschool children may use a cot or mat to rest, nap or sleep; but may not sleep on the floor, furniture or at tables. Train staff to offer a cot or mat to children who may be sleepy when arriving early and may fall back to sleep.
- If the program operates less than seven hours and does not have a scheduled nap time, cots and mats are not required for preschool children. Remember at least one cot or mat is required to be available for a sick child.
- Ensure cots and mats are in good repair. A cot should stand at least three inches and not more than eighteen inches off the floor. Mats need to be at least one inch thick and both need to be as long as the child assigned to the cot or mat. Check to make sure the fabric isn't sagging and doesn't have rips or tears and ensure the frames on the cots aren't bent.

Cribs

- The play space is divided from the crib by a sturdy barrier that can't be knocked over. Staff can still easily see and hear the infants to keep an eye on them while sleeping.
- When purchasing cribs, especially if the crib is not brand new, check the label that includes the manufacture date. The label is often found on the mattress support or bottom of the crib. All cribs must be manufactured after June 28, 2011, or have a certificate of compliance (COC) on file that meets the United States Safety Commission safety standards.
- Train staff and observe to ensure cribs are being used according to manufacturer's guidelines. The crib mattress supports need to be in the lowest position and the sides in the highest position when a child is in the crib.

- Check cribs often to ensure they are still sturdy. Over time screws can loosen, making the crib wobbly and pose a risk of harm to the child if a piece detaches. Ensure the space between the mattress and the side or end panel of the crib does not exceed 1.5 inches.
- Crib mattresses need to be firm to avoid the risk of suffocation. The mattress should be at least 1.5 inches thick and covered with a waterproof material. Replace mattresses that have rips or tears.
- Over time and with repeated laundering, sheets can shrink and elastic can weaken. Train staff to make sure sheets fit properly. Sheets that cause the mattress corners to pull inward or are so loose that you can gather the middle of the sheet in a bunch do not fit properly. Sheets that are too large or too small should be removed and replaced. Change sheets at least weekly, or earlier if they become soiled, and before another child uses the mattress.
- When arranging cribs, be sure to leave at least two feet between cribs on all sides, unless you use a divider to separate cribs. If using dividers, then staff need at least two feet of access on two sides of the crib. If a crib is placed in a corner, ensure staff have access to the infant on at least one side.
- Cribs may be placed in storage on the premises if not currently assigned to an infant. Cribs that are assigned to a child can't be used to store toys, laundry or other items.

Infant Safe Sleep

- Unless the child's physician has signed the DCY 01235 Sleep Position Waiver Statement for Child Care and a copy is on file at the center, infants under 12 months old are always placed on their back in a crib to rest or sleep.
 - Once a child can roll over by themselves, they can be allowed to sleep in a position they prefer, but they still need to be placed on their back when put in the crib.
 - Programs can consider placing a small sign on the end of the crib alerting staff if a child can roll over on their own.
- Train staff that there can't be any extra items in the crib or hung over the side such as stuffed animals, toys, bibs, bumper pads, pacifier strings, pacifiers with items attached, jewelry, etc. This list is current but not exhaustive. Consumer products are a rapidly evolving industry, and monitoring procedures may need to be updated to accommodate advancements. Practice due diligence to ensure items used in your program are appropriate and not on a recall list.
- If a child has a medical condition that requires them to sleep in something other than a crib, be sure written permission from the child's physician is on file at the program.
- Infants under 12 months old are placed in a sleep sack or wearable blanket, if needed. A sleep sack is a sleeveless garment that resembles a bag designed to keep infants warm while they sleep. They are a safe alternative to blankets, which pose a risk of suffocation if the baby gets tangled in the blanket.
- Some parents and programs prefer to swaddle a baby, wrapping the infant snugly in a blanket to provide a sense of security and comfort. If your program allows children to be swaddled, ensure a wearable swaddling blanket is used, not a regular blanket. Additionally, once the child can roll-over, the practice must stop.
- Once an infant celebrates their first birthday, they may use a small lightweight blanket in a crib, if desired.
- If using a crib poses a risk of harm to an infant, they may sleep on a cot or mat with written permission from the parent.

Common Non-Compliance(s)	
• A child is sleeping on something other than a crib, cot or mat. • There is a lack of visual supervision of children during rest, nap, or sleep due to insufficient lighting. • An infant is not placed on their back when laying down to rest or sleep without permission from a physician. • An infant is placed in a crib with items such as a bib, toy, stuffed animal, pacifier string , etc. • An infant under 12 months is placed in a crib with a blanket. • Infants are sleeping in a bassinet, swing, car seat, bouncy seat, etc., without permission from a physician. • Cribs are not spaced apart appropriately or are not labeled with child's name. • Crib Sheets are too tight or loose. • Mattress or covers are ripped or torn.	
Resources	
• Safe Sleep American Academy of Pediatrics • Cribs for Kids Ohio Department of Children and Youth • DCY 01235 Sleep Position Waiver Statement • Help Me Grow Ohio Department of Children and Youth • Infant Safe Sleep Ohio Department of Children and Youth • Safe to Sleep National Institute of Child Health and Human Development • Safe Sleep Child Care Technical Assistance Network • Providing Care for Babies to Sleep Safely Centers for Disease Control and Prevention	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe groups to see placement of cribs, cots, and mats as well as sleeping or resting practices and routines. • The licensing specialist will check cribs for the manufacture date.
Interviews	• The licensing specialist may ask questions about sleeping and napping routines. They may ask if there are any infants who have permission on file to sleep in something other than a crib or in a position other than on their back.
Documentation Review	• DCY 01235 "Sleep Position Waiver Statement for Child Care". • Documentation of the system for labeling cots, mats, and cribs.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program did not provide a quiet place for a child to rest outside of scheduled naptime as required. • The program did not separate cribs at least two feet apart as required.

Standard Precautions

5180:2-20-06 | Equipment and supplies

Rule 5180:2-20-06 Equipment and supplies	
Rule 5180:2-20-06 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-20-06 (B)	
Desired Outcome	
Keep children and staff safe during medical, dental or other emergencies.	
Guidance for Demonstrating Compliance	
- Have proper cleaning and disposal supplies available for the disposal of blood and/or bodily fluids. This includes disposable non-latex gloves, leakproof plastic bags, access to hot soapy water, and bleach solution or an EPA rated hospital grade disinfectant with a label claim for mycobactericidal activity. - Have a "sharps container" available is out of the reach of children, for proper disposal of lancets for finger sticks, syringes, or other sharp objects. - It is a best practice to have disposable non-latex gloves available in multiple locations, as well as centrally located and well stocked stations for universal precautions. Often these supplies are needed when least expected and having the items readily available ensures that the precautions can be easily followed to ensure the safety of staff and children.	
Common Non-Compliance(s)	
- Sharp items used for procedures on children with special care needs were not disposed of in a "sharps container". - There are not proper or enough cleaning supplies onsite. - The program is not following the required precautions for the disposal of blood or bodily fluids. - There is not bleach solution or disinfectant solution that is EPA rated as hospital disinfectant grade available onsite.	
Resources	
Centers for Disease Control and Prevention - Check with your local waste removal service or health department for safe disposal programs. Ohio Department of Health	
Assessment/Monitoring Approach	
Observations	The licensing specialist will observe for standard precautions and any required equipment or supplies needed (ex. sharps container, non-latex gloves, bleach, sealable bags, etc.).
Interviews	The licensing specialist may ask about the program's procedure for standard precautions and where supplies are kept.
Documentation Review	Product labels or fact sheets to determine if a disinfectant meets the rule requirements
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this

	rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.
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Staff/Child Ratio and Group Size

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
5180-37-04 (O) – (S)
Desired Outcome
Maintaining proper staff-to-child ratios helps to foster a safe environment where children are always supervised and prevents accidents, injuries, and neglect.
Guidance for Demonstrating Compliance
• Be sure to provide ongoing training on licensing requirements, emphasizing the importance of maintaining ratios and supervision. • You can also create daily schedules that reflect staffing needs and requirements, showing that ratios are always maintained, including coverage during transitions, outdoor activities, and naps. • Keeping attendance logs, sign-in/sign-out records, and staff schedules that clearly document who was present and supervising children during all hours of operation will help staff always maintain staff/child ratios. • Remember that ratio requirements are determined by the age of the youngest child in the group. Be sure to assign enough child care staff members to the group to maintain ratio. • It's also important to remember that the maximum group size is determined by the age of the youngest child in the group. When assigning children to groups, make sure the group is no larger than two times the ratio for the youngest child. • If classrooms are combined, keep an accurate account of the children and their ages, so group sizes and ratios will not be exceeded. • The director should also conduct random checks in each room and ask staff how many children are present and then count the children to confirm. • If two staff members are present with the group, they should both count the children and confirm with each other. • If staff need to leave the room to take a child, or children, to the restroom or to grab supplies, have other children go along so ratio can be maintained in the classroom. • Develop call-off procedures and a list of substitutes to cover expected and unexpected staff absences. • Remember that ratios cannot be doubled at nap time if any child in the group is an infant. This is especially important when infants are transitioning to the toddler room. If the transitioning child is not yet 18 months, ratios cannot be doubled if the infant is present during nap time.

• Ratios can be doubled only for 1.5 hours during nap time and only if all children are resting quietly on their cots or mats. Ensure there are enough staff in the building to meet staff/child ratio if an emergency occurs, such as the fire alarm going off. • Doubling ratio does not apply when any child is not resting quietly on their cot, except if only one child is using a restroom that is inside the classroom. • If the staff schedule doesn't normally have two staff working at all times, remember a second adult must be present when there are seven or more children in attendance.	
Common Non-Compliance(s)	
• Ratio is not maintained when a staff member leaves the room, such as to run an errand, grab lunch items, or answer the door. • Ratio is not maintained when additional children arrive, and a second staff member is not present. • Ratio is doubled and nap time preparations are not complete and at least one or more children are not resting on a cot or mat. • Children are not assigned to a group. • Special education ratios are not followed. • Volunteers are routinely used to meet the staff/child ratio. • There are too many children in a group. • A second adult is not present when seven or more children are in attendance.	
Resources	
• Not applicable	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will count the number of staff members and children in each group and review attendance records to determine the age of the youngest child in the group. The licensing specialist will determine staff/child ratios multiple times during the inspection to see if ratio is maintained during various parts of the day. • The licensing specialist will review the number of children present in a group to determine if required maximum group sizes have been exceeded.
Interviews	• The licensing specialist may ask how many staff members and/or children are present in each group and the age of the youngest child present. • The licensing specialist may ask to review the attendance record. • The licensing specialist may ask staff about policies regarding the availability of additional staff or substitutes for times when they are at risk of exceeding ratio or group size.
Documentation Review	• Attendance records • Current staff/schedules in the OPR
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list:

	The program did not have a child assigned to a permanent group as required.
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Staff Education

5180-37-04 | Staff

Rule 5180-37-04 Staff		
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws		
Rule Reference		
5180-37-04 (D), (F), (G) & (J)		
Desired Outcome		
Having qualified staff promotes a safe, healthy, and developmentally appropriate environment for children.		
Guidance for Demonstrating Compliance		
- Demonstrating compliance involves regular review, organized recordkeeping, and readiness for inspections. Ensure that a valid and current license, credential or diploma is on file per the classroom type and staff role as listed in rule 5180:2-20-04. - Have all documentation of required education on file or in the OPR for licensing specialist review. - Staff documentation may be stored electronically or in a paper file. If kept electronically, be sure to have a back-up system available in case there is an issue with technology during an inspection.		
Preschool Teacher Qualifications ¹		
PRESCHOOL GENERAL EDUCATION TEACHER <i>The lead teacher of the general education class cannot serve as the intervention specialist of record or individualized education program (IEP) case manager for any children with disabilities (children with IEPs), even if the individual holds appropriate licensure for those roles.</i>	DUAL LICENSE TEACHER FOR PRESCHOOL INTEGRATED ² CLASS Taught by a general education teacher or dual-licensed teacher who meets the lead teacher qualifications for a preschool special education class. Fifty percent of the students in the class are children with disabilities.	PRESCHOOL SPECIAL EDUCATION TEACHER <i>A class in which the lead teacher is responsible for specially designed instruction for one or more children with IEPs enrolled in the class and at least 51 percent of the students enrolled in the class are children with disabilities.</i>
Prekindergarten License	Prekindergarten License <u>Alone or With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095	Prekindergarten License <u>With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095
Early Childhood License (P-3)	Early Childhood License (P-3) <u>Alone or With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095	Early Childhood License (P-3) <u>With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095

Primary License (P-5)	Primary License (P-5) <u>Alone or with</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095	Early Childhood Intervention Specialist License (P-3)
Early Childhood License (P-3) with 4-5 General Endorsement 185000	Early Childhood License (P-3) with 4-5 General Endorsement 185000 <u>Alone or With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095	- Intervention Specialist License (K-12) - Education of the Handicapped License (K-12) <u>With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095
Prekindergarten Associate	- Kindergarten – Elementary License (K-8) - Elementary License (1-8) - Kindergarten – Primary License (K-3) - Kindergarten – Primary License (K-3) Elementary 180100 - Vocational License with Family Consumer Science 090104 - High School License with Home Economics 230000 - Education of the Handicapped License (K-12) - Intervention Specialist License (K-12) - Career Technical License (4-12) <u>With</u> Prekindergarten 180108	- Kindergarten – Elementary License (K-8) - Elementary License (1-8) - Kindergarten – Primary License (K-3) - Kindergarten – Primary (K-3) License Elementary 180100 - License with Family Consumer Science 090104 - High School License with Home Economics 230000 - Education of the Handicapped License (K-12) - Intervention Specialist License (K-12) - Career Technical License (4-12) <u>With</u> Prekindergarten 180108 <u>Alone or With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095
- Kindergarten – Elementary License (K-8) - Elementary License (1-8) - Kindergarten – Primary License (K-3) - Kindergarten – Primary License (K-3) Elementary 180100 - Vocational License with Family Consumer Science 090104 - High School License with Home Economics 230000 - Education of the Handicapped License (K-12) - Intervention Specialist License (K-12) - Career Technical License (4-12) <u>With</u> Prekindergarten 180108	- Kindergarten – Elementary License (K-8) - Elementary License (1-8) - Kindergarten – Primary License (K-3) - Kindergarten – Primary (K-3) License Elementary 180100 - License with Family Consumer Science 090104 - High School License with Home Economics 230000 - Education of the Handicapped License (K-12) - Intervention Specialist License (K-12) - Career Technical License (4-12) <u>With</u> Prekindergarten 180108 <u>Alone or With</u> Prekindergarten Special Needs 196097 Or Early Education of the Handicapped (Ages 3-6) 196095	Primary Intervention Specialist License (P-5)
A bachelor's degree in child development or early childhood education from an accredited college or university with a minimum of 30 quarter or 20 semester hours in child development/preschool program planning and methods, including a supervised practicum with preschool children.	Meets one qualification of a general education preschool lead teacher <u>Alone or With</u> Early Childhood Intervention Specialist License (P-3) Or Primary Intervention Specialist License (P-5)	A valid K-12 intervention specialist license and meets one qualification of a general education preschool lead teacher.

* Teaching field or endorsement is represented with a six digit code. A teaching license with no Teaching Field Code or Endorsement would indicate the licenses itself allows them to teach the area and grade level. (i.e. Early Child can teach P-3 General Education or an Kindergarten-8 (K-8) with 180108 Pre-Kindergarten can teach P-8 General Education)

¹ This document represents only Ohio Department of Education educator licenses for the specific Department-licensed classroom designations. Please refer to licensing requirements for additional credential information that also may be applicable to lead teacher credential requirements.

² Ohio Revised Code 3323.10 Licensure qualifications for teaching public school preschool integrated class.

Common Non-Compliance(s)

- The required license or certificate is expired.
- Required documentation of education is not on file.
- Classroom staff do not have the required licensure endorsement per the classroom type and role.
- Staff can't identify the type of classroom (general education, preschool special education, etc.).

Resources

- [Ohio Department of Education and Workforce](#)
- [Ohio State Board of Education | Ohio.gov](#)

Assessment/Monitoring Approach

Observations	• Not applicable
Interviews	• Not applicable
Documentation Review	• Education documentation including licensure and certifications if applicable.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The employee's education document verifying completion of high school education or equivalent is not complete or on file as required.

Staff Medical Statement and Tuberculosis Screening

5180-37-04 | Staff

Rule 5180-37-04 | Staff

[Rule 5180-37-04 - Ohio Administrative Code | Ohio Laws](#)

Rule Reference

5180-37-04 (G) & (J) and ORC 3301.531

Desired Outcome

Immunized staff and verifying the absence of tuberculosis (TB) promotes a safe and healthy environment for children.

Guidance for Demonstrating Compliance

- Demonstrating compliance involves regular review, organized recordkeeping, and readiness for inspections.
- As part of the onboarding process for new staff, have the individual complete the required information regarding TB screening.
- Have written verification on file, within 30 days of their start date, indicating the employee is immunized against measles, mumps, rubella (MMR), tetanus, diphtheria and pertussis (Tdap). The written verification can be completed by a licensed physician, physician's

assistant, advanced practice registered nurse, certified nurse midwife, certified nurse practitioner or licensed pharmacist. A good system to support compliance includes letting potential employees know about this requirement when offering them a position. • If an employee is exempt from receiving vaccinations, be sure to have documentation on file as required in rule. • Create a system to routinely review staff files to ensure documents remain on file.	
Common Non-Compliance(s)	
• Required immunization records or exemption documentation are not on file. • Required TB screening is missing or incomplete.	
Resources	
• Not applicable	
Assessment/Monitoring Approach	
Observations	• Not applicable
Interviews	• Not applicable
Documentation Review	• Staff immunization and TB screening records
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • Verification of staff immunization was not on file as required. • Verification of TB screening was not on file as required.

Staff Orientation

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
5180-37-04 (G) & (J)
Desired Outcome
Completing orientation training promotes a safe, healthy, and developmentally appropriate environment for children.
Guidance for Demonstrating Compliance
• Be sure to build time into the onboarding process for new staff to complete the Preschool Orientation training within 30 days of hire unless previously verified after December 31, 2016. • Encourage staff members to register for the Preschool Orientation training in the OPR or the administrator can assign the training to the staff member in the OPR. • When staff members take the training, it is highly recommended the director is available to answer questions and share building specific information for each topic. The director will also want to provide an environment that allows the staff member to be fully engaged in the training and not easily distracted.

- If multiple staff are completing orientation training at the same time, the program can do this as a group training session, but each individual must log in and complete the training on their own device to receive credit. - The director verifies that the training has been completed in the OPR.	
Common Non-Compliance(s)	
- Required orientation training was not completed within 30 days. - Required documentation of completed training is not on file. - Incorrect orientation training was completed.	
Resources	
Create OPR Profile Resources OCCRRRA How to Find Training Search Ohio Professional Registry Sign In - Ohio Professional Registry - Search for “DCY School-Based Preschool Staff Orientation”	
Assessment/Monitoring Approach	
Observations	The licensing specialist will create an employee record chart in the OPR and will verify that each staff member has completed the orientation in the appropriate time frame.
Interviews	Not applicable
Documentation Review	Orientation completed training will be listed on the staff member’s training profile in the OPR or in their staff record.
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: The employee’s orientation was not completed as required.

Supervision

5180-37-04 | Staff

Rule 5180-37-04 Staff
Rule 5180-37-04 - Ohio Administrative Code Ohio Laws
Rule Reference
5180-37-04 (O)
Desired Outcome
Staff always have knowledge of each child’s location and activities and ensure children are protected from harm, supported in their development and provided with a nurturing environment.
Guidance for Demonstrating Compliance
- When arranging classrooms, the furniture, equipment, and room layout should allow staff to see every child without needing to move around or peer over objects as much as possible. - Consider keeping children’s cubbies in the classroom so they can access their belongings and security items without leaving the room. If the classroom doesn’t have enough room for cubbies, have a designated space where children can keep these items, so they don’t have to go out into the hallway to access them.

- Keep the door to the classroom shut so it's not easy for children to leave the room unnoticed. The same applies on the playground: Make sure any gate is securely latched so children can't leave on their own.
- If a door opens easily, consider installing alarms or place bells at the top of the door jamb. If the door is opened the sound of the alarm or bells will alert staff to see if a child has left the room.
- If a child needs to go into the hallway to get something, a staff person should stand in the doorway of the classroom to observe the child while they are in the hallway.
- Provide a physical reminder, such as a stop sign or red tape adhered to the floor, to remind children not to cross the red line to the door.
- Have staff position themselves in high-traffic areas of the room and by any exterior or interior doors while supervising. Use strategic positioning so they can observe multiple areas simultaneously. Be sure staff are within hearing distance; and close enough to hear and respond to a child's voice, cries, or sounds of distress.
- Staff can use zoning maps and staff positioning charts or visual layouts of classrooms or playgrounds showing where staff should be stationed to maintain clear sightlines and quick access to children. These tools help ensure consistent safety practices during transitions, outdoor play, and daily routines.
- Staff look around the room frequently to maintain awareness of each child's activities and determine if they need to step in to guide or redirect a child to make safe choices. Staff assist children with basic needs - such as wiping noses, tying shoes, putting on jackets and clothing and proper hygiene in the restroom.
- Develop a plan and train staff on how to call for assistance so they do not leave children unattended if an emergency arises.
- Make time to observe staff and confirm they are engaged and attentive.
- Name-to-face count is a method of verifying the presence of all children in the group by calling out the child's name and listening for them to respond or visually confirming the child's presence to verify the attendance record is accurate. Train staff, and post reminders, to do a name-to-face check whenever crossing a threshold such as a doorway, entering a different space, going outside, or getting on and off a vehicle, etc.
- Train staff to track children's whereabouts during the following transition times at minimum:
 - When leaving the classroom to go to another area (cafeteria, art room, playground, etc.).
 - When leaving the playground to return to the classroom.
 - When leaving another room in the building to return to the classroom.
 - During transportation and field or routine trips
 - Before leaving the classroom for a trip.
 - Upon entering the vehicle before driving away.
 - Every five minutes while at the destination of the trip.
 - Upon entering the vehicle for the return trip to the program.
 - Upon arrival back at the program.
 - Upon entry back into the classroom.
- Some duties can be carried out while supervising children, such as brief conversations with parents at drop off or pick up, making notes for child assessments or ideas for lesson planning, and light cleaning such as wiping tables before and after meals or cleaning up

from a messy art activity, as long as the staff are able to keep their focus on the children. If the activity requires the staff to lose focus of the children, or they are so engrossed in the activity that they fail to respond to children or protect them from harm, then the staff should call for someone to replace them or assist with supervising the children until they are finished.

- Practice safe sleep practices. Staff remain awake and alert during nap times and check on sleeping children frequently.
- If the crib area is in a separate room or separated from the play space by a partition or half wall, a staff person should be in the crib area even when one child is sleeping. If the crib and play areas are divided by shelving units or low walls that staff can see over, they should position themselves where they can see and hear children both in the play and sleep areas.
- Printable ratio charts & checklists: Use visual aids in classrooms to help staff stay aware of age-specific requirements and group size limits.
-

Common Non-Compliance(s)

- A staff member leaves the classroom.
- While supervising children and being counted in staff-to-child ratio, staff are engaged in detailed, intensive cleaning.
- While supervising children and being counted in staff-child-ratios, staff are engaged in secondary duties, such as on-line training, cell phone usage, or staff conversation with other staff/parents.
- Staff don't have children within sight and hearing distance at all times.
- Staff aren't actively supervising infants in sleeping areas.
- Room arrangement do not have unobstructed views.
- Children's heads are covered by blankets or other items while sleeping.
- Room lighting during naptime is too dark to ensure children may be viewed for distress.
- Staff are not aware of or not near enough to assist children in the restroom.
- Staff are not positioned in a manor that allows for direct observation during outdoor play.
- Children are left unattended indoors or outdoors, even briefly.
- Staff are under the influence of substances that impair their ability to supervise.
- Children are isolated in areas like hallways, restrooms, or offices without staff present.
- There is inadequate supervision during field trips or transportation, such as children left alone in vehicles.

Resources

- [Brightwheel Blog on Childcare Ratios](#) *Explains how ratios impact safety, learning, and staff well-being, with tips for scheduling and real-time monitoring.*
- Digital ratio tracking systems: Platforms like Brightwheel/ Child Plus allow programs to monitor ratios in real time, alert staff when rooms are out of compliance and adjust schedules quickly.
- Early childhood education networks: Local and national organizations often provide peer support, mentorship, and shared resources for compliance and quality improvement.
- [Keep Children Safe Using Active Supervision | HeadStart.gov](#)
- [Brightwheel Blog on Active Supervision](#)

Assessment/Monitoring Approach

Observations	- The licensing specialist will spend time in each classroom or space observing staff/child interactions and activities to determine if staff are properly supervising children. - The licensing specialist will try to observe groups during transition times to see how staff supervise children moving between spaces and activities, such as going to and from the playground, vehicle or bus stop.
Interviews	The licensing specialist may ask questions about supervision practices, how supervision is maintained throughout all operating hours, field/routine trips, transitions, etc.
Documentation Review	Policies and Procedures
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list. The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Swimming and Water Safety

5180:2-20-05 | Facility

5180:2-20-07 | Policies and procedures

Rule 5180:2-20-05 Facility
Rule 5180:2-20-07 Policies and procedures
Rule 5180:2-20-05 - Ohio Administrative Code Ohio Laws Rule 5180:2-20-07 - Ohio Administrative Code Ohio Laws
Rule Reference
5180:2-20-05 (E) 5180:2-20-07 (D)(4)(f) & (g)
Desired Outcome
Provide safe, healthy, and proper supervision of children during swimming and water play activities.
Guidance for Demonstrating Compliance
- If your program chooses to offer off-site swimming activities, it is important to remember that swimming sites need to be approved and supervised by local authorities. - The program is responsible for ensuring a certified lifeguard is present if children will be using pools or bodies of water 18 inches or more in depth. The lifeguard may not be used in the staff to child ratios, even if the lifeguard is an employee of the program. - It is recommended that programs have a training plan in place for all staff to ensure safety, ratios and supervision are followed. It is recommended staff who supervise swimming or water activities participate in training prior to swimming or summer camp to review rule requirements. - Have a system in place for actively supervising children in and around water, all parts of a swimming pool, including seeing the bottom and during all water activities. It is a best

practice for staff to be in the water, as well as on deck actively scanning the children swimming. Staff should not be engaged in other activities such as tablet or cell phone use. Drowning typically happens silently in a few seconds when staff are not actively supervising. Head counts and name-to-face tracking could be done every 15 minutes or more frequently to ensure all children are accounted for. Plan to monitor slippery surfaces and remind children to walk to avoid accidents. • Ensure the pool or body of water is not accessible to children when not in use. Remember that swimming in lakes, rivers, ponds, creeks or other similar bodies of water and the use of saunas, hot tubs, and spas by children is not permitted for safety and supervision concerns. • When using wading pools, it is recommended to empty the water and sanitize the pool immediately after use to ensure this step gets completed. Many times, if staff leave a pool filled with water, they don't return to empty it and sanitize it. For example, a storm may roll in, and they don't want to go out in the rain to take care of it, or they may get busy with classroom routines and forget that they were going to go back to take care of it. • Proper swimming permission needs to be completed for all children engaged in swimming, including the child's swimming ability. The sample form, DCY 01227 Permission to Participate in Water and Swimming Activities for Child Care, may be used to meet the rule requirements.	
Common Non-Compliance(s)	
• There are missing or incomplete parent permission forms. • Permission forms are not kept on file for one year. • Wading pools are not emptied and sanitized daily.	
Resources	
• Drowning Prevention and Water Safety American Academy of Pediatrics • DCY 01227 Permission to Participate in Water and Swimming Activities • Guidelines for Healthy and Safe Swimming Centers for Disease Control and Prevention • Longfellow's WHALE Tales Water Safety for Children American Red Cross • Safe Swimming and Drowning Prevention Ohio Department of Health • Swim Safety Tips American Academy of Pediatrics • Tips for a Safe Swimming Season Ohio Chapter, American Academy of Pediatrics	
Assessment/Monitoring Approach	
Observations	• The licensing specialist will observe staff supervision of children engaged in swimming or water play. • For programs with an on-site pool, the licensing specialist will verify that the water area is not accessible to children while the pool is not in use.
Interviews	• The licensing specialist may ask questions regarding swimming location and staff supervision of children while swimming.
Documentation Review	• Parent permission slips • Lifeguard certifications
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list:

	The program did not empty or sanitize a wading pool as required.
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Temporary Closure

5180:2-20-02 | Compliance and investigation

Rule 5180:2-20-02 Compliance and investigation	
Rule 5180:2-20-02 - Ohio Administrative Code Ohio Laws	
Rule Reference	
5180:2-12-02 (H)	
Desired Outcome	
Allow programs the option of temporarily closing for up to 12-months without terminating their license to allow time to address issues prohibiting them from operating such as staffing, low or no enrollment, or financial difficulty.	
Guidance for Demonstrating Compliance	
- When a program enters temporary closure status, the provider has a maximum of 12 months from the effective date of the closure to reopen. If the program is unable to reopen within that timeframe, the license is considered permanently closed. In such cases, the provider submits a new initial application and completes the full licensing process again to reopen and begin operating. - There are several reasons a program may not be able to reopen within the 12-month period, including unfinished construction or repairs, lack of child enrollment, or a decision to permanently cease offering care. In these instances, the program would submit a permanent closure. - Before reopening, an inspection may be required, especially in situations involving major facility changes or potential health and safety concerns—such as repairs, reconstruction, a new COO, or other substantial modifications. These steps ensure that the program meets all regulatory standards and is safe to welcome children and families once again.	
Common Non-Compliance(s)	
Caring for children while in temporary closure status, or prior to the space being re-inspected (when needed) and the license reinstatement is approved.	
Resources	
Building Plan and Approval Ohio Department of Commerce Find Local Health Districts Ohio Department of Health Fire Department Listing License Closure Request Job Aid for OCLQS License Re-Open Request Job Aid for OCLQS	
Assessment/Monitoring Approach	
Observations	If inspection is required, all applicable spaces used for care of children, bathrooms, hallways, indoor and outdoor play space, etc.
Interviews	Not applicable
Documentation Review	- Fire inspection (if applicable) - Food service license (if applicable)

	• COO (if applicable)
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The rule requirements in this section of the guide do not support technical assistance opportunities in lieu of a non-compliance finding.

Written Policies/Parent Handbook

5180:2-20-03 | Program

5180:2-20-07 | Policies and procedures

5180:2-20-08 | Child information

5180:2-20-10 | Child guidance

5180:2-20-11 | Management of communicable disease

Rule 5180:2-20-03 | Program

Rule 5180:2-20-07 | Policies and procedures

Rule 5180:2-20-08 | Child information

Rule 5180:2-20-10 | Child guidance

Rule 5180:2-20-11 | Management of communicable disease

[Rule 5180: 2-20-03 - Ohio Administrative Code | Ohio Laws](#)

[Rule 5180: 2-20-07 - Ohio Administrative Code | Ohio Laws](#)

[Rule 5180: 2-20-08 - Ohio Administrative Code | Ohio Laws](#)

[Rule 5180: 2-20-10 - Ohio Administrative Code | Ohio Laws](#)

[Rule 5180:2-20-11 - Ohio Administrative Code | Ohio Laws](#)

Rule Reference

5180:2-20-03 (A) & (G)

5180:2-20-07

5180:2-20-08 (E) & (F)

5180:2-20-10 (B)

5180:2-20-11 (C)

Desired Outcome

Policies and procedures are in place to ensure that parents and staff know what to expect from the program and to ensure that there is consistency, compliance, and clarity regarding operations of the program. Situations can unfold rapidly and a written plan, and appropriate training, ensures everyone knows the expectations and steps needed to take when things arise.

Guidance for Demonstrating Compliance

- Think of the written information for parents as the place to find the answers to any questions that may arise. Closely review the rules to ensure all the required policies are included in your program's written information. The document will be assessed by the licensing specialist during the pre-licensing inspection. It will also be reviewed during a

licensing inspection every other year, or as updates and changes are made. Be sure to always have a copy available. It can be shared electronically or as a printed version. • Provide staff training on the plan and a copy of the plan for them to refer to. It is the director's responsibility to ensure that the program and all staff are following the policies as written. • Review the plan periodically to ensure it is kept up to date. • Programs can work with their State Support Team (SST) for assistance when creating the policies.	
Common Non-Compliance(s)	
• The plan does not include all details required by rule. • The program does not maintain or abide by the policies in the plan. • The policies in the plan conflict with the Ohio Revised Code or the Ohio Administrative Code. • The policies in the plan are not provided to parents, employees, or are not available at the program.	
Resources	
• No Resources	
Assessment/Monitoring Approach	
Observations	• Not applicable
Interviews	• The licensing specialist may ask questions regarding the policies or ask for clarification.
Documentation Review	• Written policies/parent handbook
Compliance Finding	Unless repeated occurrences have been identified, the licensing specialist may provide technical assistance in the following areas of this rule topic if the program has demonstrated at least ninety percent compliance effort. This should not be considered an all-inclusive list: • The program's written policies and procedures do not contain all items as required. • The director is not maintaining the parent handbook as required. • The program's policies and procedures handbook was not provided or made available to all families in the program as required.