



**PRESCHOOL SERVICES DEPARTMENT
POLICY**

NO. 01 ISSUE 1
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EFFECTIVE: 01-07-16

SUBJECT:
**COMMUNITY CARE LICENSING
INCIDENT REVIEW COMMITTEE**

APPROVED: 01-07-16

BY: *Piana Alexander*

PURPOSE:

The purpose of this policy is to describe the process for reviewing actual and potential Community Care Licensing deficiencies by the Incident Review Committee.

POLICY:

Preschool Services Department (PSD), in conjunction with Community Care Licensing (CCL) Title 22 Regulations will maintain an Incident Review Committee whose purpose is to review actual and potential CCL violations and to conduct an Informal/Formal conference with staff to ascertain the facts related to an incident, determine the cause of an incident, identify strategies to prevent further occurrences and to make recommendations on disciplinary actions, if applicable.

REFERENCE:

Title 22, Article 4 Enforcement Provisions – 101193 Deficiencies in Compliance

DEFINITIONS:

- **Deficiency:** non-compliances with either licensing laws and/or regulations.
- **Type A Deficiency:** violations that present an immediate or substantial threat to the physical health, mental health, or safety of the children of a child care center.
- **Type B Deficiency:** violations of the regulations and the Health and Safety Code that, without correction, could become a risk to the health, safety or personal rights of clients, or a recordkeeping violation that would impact the care of clients and/or protection of their resources, or a violation that would impact those services required to meet clients' needs.
- **Type C Deficiencies:** violations of the regulations that do not present an immediate (Type A) or potential (Type B) negative impact to the health, safety or personal rights of clients in care and where the licensee is in substantial compliance in degree, frequency and intent.
- **Informal Conference:** an unscheduled meeting usually conducted by telephone and/or video conference between participants of the Incident Review Committee, Program Managers and facility staff.
- **Formal Conference:** a preplanned meeting scheduled in advance, to be conducted at the Administration office in the presence of the Incident Review Committee along with the Program Managers and facility staff.

PROCEDURE:

When a deficiency has been identified at the site level, the following process will apply:

All Staff are expected:

1. To participate in an administrative investigation involving any actual or potential law or regulation violations.
2. To be honest, forthcoming and accurate in responses.
3. To maintain confidentiality.

Site Supervisor/Lead Teachers will:

1. Conduct a thorough investigation of the incident.
2. Interview and collect statements of ALL witnesses that were in the area where the incident occurred.
3. Identify the law or regulation that has been violated.
4. Provide a description of the deficiency to include the manner in which the staff failed to comply with the specified law or regulation, the particular place or area of the child care facility, the parties involved and the time of day in which the deficiency occurred.
5. Write a summary of the incident to include the possible cause, potential strategies to prevent further occurrences, the plan of correction, due dates and steps for completing each part of the plan and any recommended disciplinary actions, if applicable.
6. Provide the summary and all supporting documentation to the Program Managers.

Program Managers will:

1. Review all supporting documentation regarding the incident.
2. Discuss the facts surrounding the incident with the Site Supervisor and facility staff involved.
3. Schedule an Informal/Formal conference with the Incident Review Committee and the facility staff.
4. Notify facility staff of their upcoming participation in an Informal/Formal conference with the Incident Review Committee.

Incident Review Committee will:

1. Review all supporting documentation regarding the incident.
2. Discuss the facts surrounding the incident with the Program Managers and Deputy Directors.
3. Conduct an Informal/Formal conference with the Program Managers and facility staff to discuss the circumstances surrounding an incident and allow staff to formally address their involvement.
4. Make a recommendation to the Director, Deputy Directors and Human Resources Department regarding any disciplinary action, if applicable.

The Incident Review Committee will include, but is not limited to the following members:

- Deputy Director
- Program Manager
- Program Manager who oversees the site where the deficiency occurred
- PSD Human Resource Staff Analyst or available Administration staff

The Safety Committee Team members may serve as the Incident Review Committee.