

CHAPTER 3
PERFORMANCE SUMMARY CARDS AND PENALTIES FOR CHILD
CARE PROGRAMS

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§3-01 Scope and applicability.

This Chapter applies to any child care program holding a permit to operate in New York City pursuant to Article 47 of the Health Code.

§3-02 Definitions.

When used in this Chapter, the following terms have the following meanings:

Adjudicated violations. “Adjudicated violations” means cited violations sustained pursuant to a decision by a hearing officer at the Office of Administrative Trials and Hearings (“OATH”), or pursuant to a settlement agreement between the Department and a child care program, to the extent that such decision or settlement agreement remains in effect. “Adjudicated violations” also means cited violations for which a hearing has not been held but for which the hearing date has been rescheduled at the request of the child care program more than one time.

Initial inspection. “Initial inspection” means an inspection conducted other than for the purpose of ascertaining whether a prior violation has been abated or of responding to the receipt of a complaint.

Permit. “Permit” means a permit issued by the Department pursuant to Article 47 of the Health Code.

Permit suspension. “Permit suspension” means a suspension of a child care program’s permit to operate due to a violation of the Health Code or any rule promulgated by the Department, other than a suspension based on a cited violation that is subsequently dismissed.

Public health hazard. “Public health hazard” has the same meaning as “imminent or public health hazard,” as such term is defined in Article 47 of the Health Code.

Site. “Site” means the location, specified in a permit, where child care services are provided.

Teaching staff. “Teaching staff” means the educational directors, group teachers, and assistant teachers of a child care program.

§3-03 Performance summary cards.

- (a) The Department shall issue a performance summary card to each child care program at each site at least once every 12 months.
- (b) A performance summary card issued in 2018, or issued at any time to a child care program that has held a permit to operate at a site for less than one year shall include the following information, as known as of the date such card is issued:
 - (1) the number of full years the child care program has been permitted to operate at the site, except that for a child care program that has been permitted to operate at a site for more than 10 years, such number shall be indicated by “10+”;
 - (2) the number of children permitted to be cared for by the child care program at the site at any time;
 - (3) the number of teaching staff employed by the child care program at the site;
 - (4) the number of permit suspensions of the child care program’s permit at the site during the previous three years; and
 - (5) information on how to find the child care program’s inspection record for the site online.
- (c) A performance summary card issued after 2018 to a child care program that has held a permit to operate at a site for at least one year shall include, as of the date such card is issued, the following information, as known as of the date such card is issued:
 - (1) the number of full years the child care program has held a permit to operate at that site, except that for a child care program that has been permitted to operate at a site for more than 10 years, such number shall be indicated by “10+”;
 - (2) the number of children permitted to be cared for by the child care program at the site at any time;
 - (3) the number of teaching staff employed by the child care program at the site;
 - (4) the number of permit suspensions of the child care program’s permit at the site during the previous three years;
 - (5) the total number of public health hazard violations at the site adjudicated in the previous year;
 - (6) the average number of public health hazard violations per inspection at the site adjudicated in the previous year;
 - (7) the average number of violations of the Health Code or rules of the Department, other than public health hazard violations, at the site adjudicated in the previous year;
 - (8) the Citywide averages for the numbers of violations specified in paragraphs (6) and (7) of this subdivision for all child care programs, as calculated by the Department for the prior calendar year; and
 - (9) information on how to find the child care program’s inspection record for the site online.

§3-04 Posting.

- (a) Upon receipt of a performance summary card, a child care program shall post it in a conspicuous location within two feet of the front door or other main entrance to the site, between four and six feet above the ground or floor. The performance summary card shall not be defaced, marred, camouflaged, or hidden from public view, or posted in a manner that permits it to be damaged by exposure to weather.

- (b) A child care program that has a permit suspension reflected on its posted performance summary card shall also conspicuously post any additional document provided by the Department reflecting the reason for such suspension.
- (c) Upon receipt of a new performance summary card, a child care program shall post the new card and dispose of the prior performance summary card in a manner that prevents its reuse.
- (d) A child care program shall immediately remove a posted performance summary card upon a permit suspension.
- (e) Except as provided in subdivision (d), a child care program may not remove or obscure a posted performance summary card except to replace it with an updated card, or as otherwise authorized by the Department.
- (f) A child care program site that is permitted to reopen following a permit suspension shall post the applicable performance summary card in accordance with subdivision (a) of this section before reopening.
- (g) If a child care program's performance summary card is damaged or stolen, the child care program shall immediately contact the Department to request a replacement card.

§3-05 Updated performance summary cards.

Upon request from a child care child care program, the Department shall provide such program with an updated performance summary card. The Department may also provide an updated performance summary card to reflect a new permit suspension. Updated performance summary cards shall reflect a child care program's violations adjudicated in the 12 months prior to the date of issuance and permit suspensions imposed in the 36 months prior to the date of issuance. The issuance of an updated performance summary card shall not require the Department to provide revised Citywide averages for the numbers of violations specified in §§3-03(c)(5) and (6). Upon receipt of an updated performance summary card, the child care program shall post the updated card and dispose of the prior performance summary card in a manner that prevents its reuse.

§3-06 Penalties.

- (a) The holder of a permit of a child care program or any other person found to be in violation of any of the following provisions by a hearing officer at OATH or a successor tribunal must pay the following penalties for each such violation sustained:
 - (1) For a violation of any provision of Article 47 of the Health Code for which a fixed penalty is not established by the Health Code or any other rule of the Department: \$200;
 - (2) For a violation of §§3-04(a) for operating without posting the required performance summary card: \$1,000; and
 - (3) For a violation of any requirement of §3.04 not listed in paragraph (2) of this subdivision: \$500.
- (b) To the extent permitted by law, if a person is found to be in default, the penalty imposed for a violation of Health Code Article 47 or of this Chapter must be twice the amount set forth in subdivision (a) of this section.