

1 **CHILD CARE LICENSING EXEMPTIONS**

2 2008 GENERAL SESSION

3 STATE OF UTAH

4 **Chief Sponsor: Jon J. Greiner**

5 House Sponsor: Paul Ray

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7 **LONG TITLE**

8 **General Description:**

9 This bill recodifies the Utah Child Care Licensing Act and provides exemptions from the  
10 act.

11 **Highlighted Provisions:**

12 This bill:

- 13 ▶ defines terms;
- 14 ▶ recodifies the Utah Child Care Licensing Act;
- 15 ▶ amends provisions relating to the reimbursement for expenses of members of the

16 Child Care Licensing Advisory Committee;

- 17 ▶ describes persons who are exempt from the requirements of the Utah Child Care  
18 Licensing Act;

19 ▶ requires persons who are expressly exempt from the requirements of the Utah Child  
20 Care Licensing Act to conduct criminal background checks on their employees who  
21 have access to qualifying children; and

- 22 ▶ makes technical changes.

23 **Monies Appropriated in this Bill:**

24 None

25 **Other Special Clauses:**

26 None

27 **Utah Code Sections Affected:**

28 AMENDS:

29 **26-39-102**, as last amended by Laws of Utah 2003, Chapter 13



58 **26-39-102. Definitions.**

59 As used in this chapter:

60 [~~(1) "Child" means:~~]

61 [~~(a) a child of a person other than the provider of child care;~~]

62 [~~(b) a child of a licensed or certified residential child care provider who is under the age~~  
63 ~~of four; and]~~

64 [~~(c) a child of an employee or owner of a licensed child care center who is under the~~  
65 ~~age of four.]~~

66 [~~(2)~~ (1) "Child care" means continuous care and supervision of five or more qualifying  
67 children [through age 12 and children with disabilities through age 18], that is:

68 (a) in lieu of care ordinarily provided by [parents in their own] a parent in the parent's  
69 home[;];

70 (b) for less than 24 hours a day[;]; and

71 (c) for direct or indirect compensation.

72 [~~(3)~~ (2) "Child care program" means a child care facility or program operated by a  
73 person who holds a license or certificate issued in accordance with this chapter.

74 (3) "Committee" means the Child Care Licensing Advisory Committee, created in  
75 Section 26-39-201.

76 (4) "Public school" means:

77 (a) a school, including a charter school, that:

78 (i) is directly funded at public expense; and

79 (ii) provides education to qualifying children for any grade from first grade through  
80 twelfth grade; or

81 (b) a school, including a charter school, that provides:

82 (i) preschool or kindergarten to qualifying children, regardless of whether the preschool  
83 or kindergarten is funded at public expense; and

84 (ii) education to qualifying children for any grade from first grade through twelfth  
85 grade, if each grade, from first grade to twelfth grade, that is provided at the school, is directly

86 funded at public expense.

87 (5) "Qualifying child" means a person who is:

88 (a) (i) under the age of 13; or

89 (ii) under the age of 18, if the person has a disability; and

90 (b) a child of:

91 (i) a person other than the person providing care to the child;

92 (ii) a licensed or certified residential child care provider, if the child is under the age of

93 four; or

94 (iii) an employee or owner of a licensed child care center, if the child is under the age of

95 four.

96 ~~[(4)]~~ (6) "Residential child care" means child care provided in the home of a provider.

97 Section 2. Section **26-39-201**, which is renumbered from Section 26-39-103 is

98 renumbered and amended to read:

99 **Part 2. Child Care Licensing Advisory Committee**

100 ~~[26-39-103].~~ **26-39-201. Child Care Licensing Advisory Committee.**

101 (1) (a) There is established the Child Care Licensing Advisory Committee to advise the

102 department on rules ~~[promulgated]~~ made by the department ~~[pursuant to]~~ under this chapter.

103 ~~[It]~~

104 (b) The committee shall be composed of the following 13 members who shall be

105 appointed by the executive director:

106 ~~[(a)]~~ (i) two child care consumers;

107 ~~[(b)]~~ (ii) two licensed residential child care providers;

108 ~~[(c)]~~ (iii) one certified residential child care provider;

109 ~~[(d)]~~ (iv) five representatives of licensed child care center programs;

110 ~~[(e)]~~ (v) one individual with expertise in early childhood development; and

111 ~~[(f)]~~ (vi) two health care providers.

112 (2) ~~[Appointments shall be for]~~ Members shall be appointed for four-year terms, except

113 for those members who have been appointed to complete an unexpired term. Appointments and

114 reappointments may be staggered so that 1/4 of the committee changes each year. The  
115 committee shall annually elect a chairman from its membership.

116 (3) The [advisory] committee shall meet at least quarterly, or more frequently as  
117 determined by the executive director, the chairman, or three or more members of the committee.  
118 Seven members constitute a quorum and a vote of the majority of the members present  
119 constitutes an action of the committee.

120 [~~(4) Advisory committee members shall be reimbursed for their actual and necessary  
121 expenses incurred in the performance of their duties as established by the director of the  
122 Division of Finance, pursuant to Section 63A-3-107. Advisory committee members may decline  
123 reimbursement.~~]

124 Section 3. Section **26-39-202** is enacted to read:

125 **26-39-202. Members serve without pay -- Reimbursement for expenses.**

126 (1) A member of the committee who is not a government employee shall receive no  
127 compensation or benefits for the member's services, but may:

128 (a) receive per diem and expenses incurred in the performance of the member's official  
129 duties at the rates established by the Division of Finance under Sections 63A-3-106 and  
130 63A-3-107; or

131 (b) decline to receive per diem and expenses for the member's service.

132 (2) A member of the committee who is a state government officer or employee and who  
133 does not receive salary, per diem, or expenses from the member's agency for the member's  
134 service may:

135 (a) receive per diem and expenses incurred in the performance of the member's official  
136 duties at the rates established by the Division of Finance under Sections 63A-3-106 and  
137 63A-3-107; or

138 (b) decline to receive per diem and expenses for the member's service.

139 Section 4. Section **26-39-301**, which is renumbered from Section 26-39-104 is  
140 renumbered and amended to read:

141 **Part 3. Department Duties**

142 ~~[26-39-104]~~. 26-39-301. Duties of the department.

143 (1) With regard to child care programs licensed under this chapter, the department may:

144 (a) make and enforce rules to implement this chapter and, as necessary to protect  
145 qualifying children's common needs for a safe and healthy environment, to provide for:

146 (i) adequate facilities and equipment; and

147 (ii) competent caregivers considering the age of the children and the type of program  
148 offered by the licensee;

149 (b) make and enforce rules necessary to carry out the purposes of this chapter, in the  
150 following areas:

151 (i) requirements for applications, the application process, and compliance with other  
152 applicable statutes and rules;

153 (ii) documentation and policies and procedures that providers shall have in place in  
154 order to be licensed, in accordance with Subsection (1)(a);

155 (iii) categories, classifications, and duration of initial and ongoing licenses;

156 (iv) changes of ownership or name, changes in licensure status, and changes in  
157 operational status;

158 (v) license expiration and renewal, contents, and posting requirements;

159 (vi) procedures for inspections, complaint resolution, disciplinary actions, and other  
160 procedural measures to encourage and assure compliance with statute and rule; and

161 (vii) guidelines necessary to assure consistency and appropriateness in the regulation  
162 and discipline of licensees; and

163 (c) set and collect licensing and other fees in accordance with Section 26-1-6.

164 (2) Rules made under this chapter shall be made in accordance with Title 63, Chapter  
165 46a, Utah Administrative Rulemaking Act.

166 ~~[(2)]~~ (3) (a) The department may not regulate educational curricula, academic methods,  
167 or the educational philosophy or approach of the provider.

168 (b) The department shall allow for a broad range of educational training and academic  
169 background in certification or qualification of child day care directors.

170           ~~[(3)]~~ (4) In licensing and regulating child care programs, the department shall  
171 reasonably balance the benefits and burdens of each regulation and, by rule, provide for a range  
172 of licensure, depending upon the needs and different levels and types of child care provided.

173           ~~[(4)]~~ (5) Notwithstanding the definition of "qualifying child" in ~~[Subsection]~~ Section  
174 26-39-102~~[(4)]~~, the department shall count children through age 12 and children with  
175 disabilities through age 18 toward the minimum square footage requirement for indoor and  
176 outdoor areas, including the child of:

- 177           (a) a licensed residential child care provider; or
- 178           (b) an owner or employee of a licensed child care center.

179           ~~[(5)]~~ (6) Notwithstanding Subsection (1)(a)(i), the department may not exclude floor  
180 space used for furniture, fixtures, or equipment from the minimum square footage requirement  
181 for indoor and outdoor areas if the furniture, fixture, or equipment is used:

- 182           (a) by qualifying children;
- 183           (b) for the care of qualifying children; or
- 184           (c) to store classroom materials.

185           ~~[(6)]~~ (7) (a) A child care center constructed prior to January 1, 2004, and licensed and  
186 operated as a child care center continuously since January 1, 2004, is exempt from the  
187 department's group size restrictions, if the child to caregiver ratios are maintained, and adequate  
188 square footage is maintained for specific classrooms.

189           (b) An exemption granted under Subsection ~~[(6)]~~ (7)(a) is transferrable to subsequent  
190 licensed operators at the center if a licensed child care center is continuously maintained at the  
191 center.

192           ~~[(7)]~~ (8) The department shall develop, by rule, a five-year phased-in compliance  
193 schedule for playground equipment safety standards.

194           (9) Nothing in this chapter may be interpreted to grant a municipality or county the  
195 authority to license or certify a child care program.

196           Section 5. Section **26-39-401**, which is renumbered from Section 26-39-105 is  
197 renumbered and amended to read:

Part 4. Licensing

~~[26-39-105].~~ **26-39-401. Licensure requirements -- Expiration -- Renewal.**

(1) Except as provided in Section ~~[26-39-106]~~ 26-39-403, a person shall be licensed or certified in accordance with this chapter if ~~[he]~~ the person:

(a) provides or offers child care; or

(b) provides care to qualifying children and requests to be licensed.

(2) The department may issue licenses for a period not exceeding 24 months to child care providers who meet the requirements of:

(a) this chapter; and

(b) the department's rules governing child care programs.

(3) A license issued under this chapter is not assignable or transferable.

Section 6. Section **26-39-402**, which is renumbered from Section 26-39-105.5 is renumbered and amended to read:

~~[26-39-105.5].~~ **26-39-402. Residential child care certificate.**

(1) (a) A residential child care provider of five to eight qualifying children shall obtain a Residential Child Care Certificate from the department, unless Section ~~[26-39-106]~~ 26-39-403 applies.

(b) The minimum qualifications for a Residential Child Care Certificate are:

(i) the submission of:

(A) an application in the form prescribed by the department;

(B) a certification and criminal background fee established in accordance with Section 26-1-6; and

(C) in accordance with Section ~~[26-39-107]~~ 26-39-404, identifying information for each adult person and each juvenile age 12 through 17 years of age who resides in the provider's home:

(I) for processing by the Department of Public Safety to determine whether any such person has been convicted of a crime;

(II) to screen for a substantiated finding of child abuse or neglect by a juvenile court;

226 and

227 (III) to discover whether the person is listed in the Licensing Information System  
228 described in Section 62A-4a-1006;

229 (ii) an initial and annual inspection of the provider's home within 90 days of sending an  
230 intent to inspect notice to:

231 (A) check the immunization record of each qualifying child who receives child care in  
232 the provider's home;

233 (B) identify serious sanitation, fire, and health hazards to qualifying children; and

234 (C) make appropriate recommendations; and

235 (iii) annual training consisting of ten hours of department-approved training as specified  
236 by the department by administrative rule, including a current department-approved CPR and  
237 first aid course.

238 (c) If a serious sanitation, fire, or health hazard has been found during an inspection  
239 conducted pursuant to Subsection (1)(b)(ii), the department shall require corrective action for  
240 the serious hazards found and make an unannounced follow up inspection to determine  
241 compliance.

242 (d) In addition to an inspection conducted pursuant to Subsection (1)(b)(ii), the  
243 department may inspect the home of a residential care provider of five to eight qualifying  
244 children in response to a complaint of:

245 (i) child abuse or neglect;

246 (ii) serious health hazards in or around the provider's home; or

247 (iii) providing residential child care without the appropriate certificate or license.

248 (2) Notwithstanding this section:

249 (a) a license under Section [~~26-39-105~~] 26-39-401 is required of a residential child care  
250 provider who cares for nine or more qualifying children;

251 (b) a certified residential child care provider may not provide care to more than two  
252 qualifying children under the age of two; and

253 (c) an inspection may be required of a residential child care provider in connection with

254 a federal child care program.

255 (3) With respect to residential child care, the department may only make and enforce  
256 rules necessary to implement this section.

257 Section 7. Section **26-39-403**, which is renumbered from Section 26-39-106 is  
258 renumbered and amended to read:

259 ~~[26-39-106]~~. **26-39-403. Exclusions from chapter -- Criminal background**  
260 **checks by an excluded person.**

261 (1) The provisions and requirements of this chapter do not apply to:

262 ~~[(1)]~~ (a) a facility or program owned or operated by an agency of the United States  
263 government;

264 ~~[(2)]~~ (b) group counseling provided by a mental health therapist, as defined in Section  
265 58-60-102, who is licensed to practice in this state;

266 ~~[(3)]~~ (c) a health care facility licensed pursuant to Title 26, Chapter 21, Health Care  
267 Facility ~~[Licensure]~~ Licensing and Inspection Act;

268 ~~[(4)]~~ (d) care provided to qualifying children by or in the homes of parents, legal  
269 guardians, grandparents, brothers, sisters, uncles, or aunts;

270 ~~[(5)]~~ (e) care provided to qualifying children, in the home of the provider, for less than  
271 four hours a day or on a sporadic basis, unless that child care directly affects or is related to a  
272 business licensed in this state; ~~[or]~~

273 ~~[(6)]~~ (f) care provided to qualifying children as part of a course of study at or a  
274 program administered by an educational institution that is regulated by the boards of education  
275 of this state, a private education institution that provides education in lieu of that provided by  
276 the public education system, or by a parochial education institution~~[-];~~

277 (g) care provided to qualifying children by a public or private institution of higher  
278 education, if the care is provided in connection with a course of study or program, relating to  
279 the education or study of children, that is provided to students of the institution of higher  
280 education;

281 (h) care provided to qualifying children at a public school by an organization other than

282 the public school, if:

283 (i) the care is provided under contract with the public school or on school property; or

284 (ii) the public school accepts responsibility and oversight for the care provided by the  
285 organization;

286 (i) care provided to qualifying children as part of a summer camp that operates on  
287 federal land pursuant to a federal permit;

288 (j) care provided by an organization that:

289 (i) qualifies for tax exempt status under Section 501(c)(3) of the Internal Revenue  
290 Code;

291 (ii) is provided pursuant to a written agreement with:

292 (A) a municipality, as defined in Section 10-1-104, that provides oversight for the  
293 program; or

294 (B) a county that provides oversight for the program; and

295 (iii) is provided to children who are over the age of four and under the age of 13; or

296 (k) care provided at a residential support program that is licensed by the Department of  
297 Human Services.

298 (2) A person who is excluded, under Subsection (1), from the provisions and  
299 requirements of this chapter, shall conduct a criminal background check on all of the person's  
300 employees who have access to a qualifying child to whom care is provided by the person.

301 Section 8. Section **26-39-404**, which is renumbered from Section 26-39-107 is  
302 renumbered and amended to read:

303 **[26-39-107].            26-39-404. Disqualified individuals -- Criminal history**  
304 **checks -- Payment of costs.**

305 (1) (a) Each person requesting a residential certificate or to be licensed or to renew a  
306 license under this chapter shall submit to the department the name and other identifying  
307 information, which shall include fingerprints, of existing, new, and proposed:

308 (i) owners;

309 (ii) directors;

310 (iii) members of the governing body;

311 (iv) employees;

312 (v) providers of care;

313 (vi) volunteers, except parents of children enrolled in the programs; and

314 (vii) all adults residing in a residence where child care is provided.

315 (b) A person seeking renewal of a residential certificate or license under this section is

316 not required to submit fingerprints of an individual referred to in Subsections (1)(a)(i) through

317 (vi), if:

318 (i) the individual has resided in Utah for the last five years;

319 (ii) the individual has:

320 (A) previously submitted fingerprints under this section for a national criminal history

321 record check; and

322 (B) resided in Utah continuously since that time; or

323 (iii) as of May 3, 1999, the individual had one of the relationships under Subsection

324 (1)(a) with a child care provider having a residential certificate or licensed under this section and

325 the individual has resided in Utah continuously since that time.

326 (c) (i) The Utah Division of Criminal Investigation and Technical Services within the

327 Department of Public Safety shall process the information required under Subsection (1)(a) to

328 determine whether the individual has been convicted of any crime.

329 (ii) The Utah Division of Criminal Investigation and Technical Services shall submit

330 fingerprints required under Subsection (1)(a) to the FBI for a national criminal history record

331 check.

332 (iii) The applicant for the license or residential certificate shall pay the cost of

333 conducting a record check under this Subsection (1)(c).

334 (2) (a) Each person requesting a residential certificate or to be licensed or to renew a

335 license under this chapter shall submit to the department the name and other identifying

336 information of any ~~child~~ person age 12 through 17 who resides in the residence where the

337 child care is provided. The identifying information required for a ~~child~~ person age 12 through

338 17 does not include fingerprints.

339 (b) The department shall access the juvenile court records to determine whether a  
340 person described in Subsection (1) or (2)(a) has been adjudicated in juvenile court of  
341 committing an act which if committed by an adult would be a felony or misdemeanor if:

342 (i) the person described in Subsection (1) is under the age of 28; or

343 (ii) the person described in Subsection (1) is:

344 (A) over the age of 28; and

345 (B) has been convicted, has pleaded no contest, or is currently subject to a plea in  
346 abeyance or diversion agreement for a felony or misdemeanor.

347 (3) Except as provided in Subsection (4), a licensee under this chapter may not permit a  
348 person who has been convicted, has pleaded no contest, or is currently subject to a plea in  
349 abeyance or diversion agreement for any felony or misdemeanor, or if the provisions of  
350 Subsection (2)(b) apply, who has been adjudicated in juvenile court of committing an act which  
351 if committed by an adult would be a felony or a misdemeanor, to:

352 (a) provide child care;

353 (b) provide volunteer services for a licensed child care program or a child care program  
354 operating under a residential child care certificate;

355 (c) reside at the premises where child care is provided; or

356 (d) function as an owner, director, or member of the governing body of a licensed child  
357 care program or a child care program operating under a residential child care certificate.

358 (4) (a) The department may, by rule, exempt the following from the restrictions of  
359 Subsection (3):

360 (i) specific misdemeanors; and

361 (ii) specific acts adjudicated in juvenile court, which if committed by an adult would be  
362 misdemeanors.

363 (b) In accordance with criteria established by rule, the executive director may consider  
364 and exempt individual cases involving misdemeanors, not otherwise exempt under Subsection  
365 (4)(a) from the restrictions of Subsection (3).

366 Section 9. Section **26-39-501**, which is renumbered from Section 26-39-109 is  
367 renumbered and amended to read:

368 **Part 5. Investigations and Records**

369 ~~[26-39-109]~~. **26-39-501. Investigations -- Records.**

370 (1) The department may conduct investigations necessary to enforce the provisions of  
371 this chapter.

372 (2) For purposes of this section:

373 (a) "Anonymous complainant" means a complainant for whom the department does not  
374 have the minimum personal identifying information necessary, including the complainant's full  
375 name, to attempt to communicate with the complainant after a complaint has been made.

376 (b) "Confidential complainant" means a complainant for whom the department has the  
377 minimum personal identifying information necessary, including the complainant's full name, to  
378 attempt to communicate with the complainant after a complaint has been made, but who elects  
379 under Subsection (3)(c) not to be identified to the subject of the complaint.

380 (c) "Subject of the complaint" means the licensee or certificate holder about whom the  
381 complainant is informing the department.

382 (3) (a) If the department receives a complaint about a child care program or residential  
383 child care, the department shall:

384 (i) solicit information from the complainant to determine whether the complaint  
385 suggests actions or conditions [~~which~~] that could pose a serious risk to the safety or well-being  
386 of a qualifying child;

387 (ii) as necessary:

388 (A) encourage the complainant to disclose the minimum personal identifying  
389 information necessary, including the complainant's full name, for the department to attempt to  
390 subsequently communicate with the complainant;

391 (B) inform the complainant that the department may not investigate an anonymous  
392 complaint;

393 (C) inform the complainant that the identity of a confidential complainant may be

394 withheld from the subject of a complaint only as provided in Subsection (3)(c)(ii); and  
395 (D) inform the complainant that the department may be limited in its use of information  
396 provided by a confidential complainant, as provided in Subsection (3)(c)(ii)(B); and  
397 (iii) inform the complainant that a person is guilty of a class B misdemeanor under  
398 Section 76-8-506 if the person gives false information to the department with [a] the purpose of  
399 inducing a change in that person's or another person's licensing or certification status.

400 (b) If the complainant elects to be an anonymous complainant, or if the complaint  
401 concerns events which occurred more than six weeks before the complainant contacted the  
402 department:

403 (i) shall refer the information in the complaint to the Division of Child and Family  
404 Services within the Department of Human Services, law enforcement, or any other appropriate  
405 agency, if the complaint suggests actions or conditions which could pose a serious risk to the  
406 safety or well-being of a child;

407 (ii) may not investigate or substantiate the complaint; and  
408 (iii) may, during a regularly scheduled annual survey, inform the licensee or certificate  
409 holder who is the subject of the complaint of allegations or concerns raised by:

410 (A) the anonymous complainant; or  
411 (B) the complainant who reported events more than six weeks after the events  
412 occurred.

413 (c) (i) If the complainant elects to be a confidential complainant, the department shall  
414 determine whether the complainant wishes to remain confidential:

415 (A) only until the investigation of the complaint has been completed; or  
416 (B) indefinitely.

417 (ii) (A) If the complainant elects to remain confidential only until the investigation of  
418 the complaint has been completed, the department shall disclose the name of the complainant to  
419 the subject of the complaint at the completion of the investigation, but no sooner.

420 (B) If the complainant elects to remain confidential indefinitely, the department:  
421 (I) notwithstanding Subsection 63-2-201(5)(b), may not disclose the name of the

422 complainant, including to the subject of the complaint; and

423 (II) may not use information provided by the complainant to substantiate an alleged  
424 violation of state law or department rule unless the department independently corroborates the  
425 information.

426 (4) (a) Prior to conducting an investigation of a child care program or residential child  
427 care in response to a complaint, a department investigator shall review the complaint with the  
428 investigator's supervisor.

429 (b) The investigator may proceed with the investigation only if:

430 (i) the supervisor determines the complaint is credible;

431 (ii) the complaint is not from an anonymous complainant; and

432 (iii) prior to the investigation, the investigator informs the subject of the complaint of:

433 (A) except as provided in Subsection (3)(c), the name of the complainant; and

434 (B) except as provided in Subsection (4)(c), the substance of the complaint.

435 (c) An investigator is not required to inform the subject of a complaint of the substance  
436 of the complaint prior to an investigation if doing so would jeopardize the investigation.

437 However, the investigator shall inform the subject of the complaint of the substance of the  
438 complaint as soon as doing so will no longer jeopardize the investigation.

439 (5) If the department is unable to substantiate a complaint, any record related to the  
440 complaint or the investigation of the complaint:

441 (a) shall be classified under Title 63, Chapter 2, Government Records Access and  
442 Management Act, as:

443 (i) a private or controlled record if appropriate under Section 63-2-302 or 63-2-303; or

444 (ii) a protected record under Section 63-2-304; and

445 (b) if disclosed in accordance with Subsection 63-2-201(5)(b), may not identify an  
446 individual child care program, licensee, certificate holder, or complainant.

447 (6) Any record of the department related to a complaint by an anonymous complainant  
448 is a protected record under Title 63, Chapter 2, Government Records Access and Management  
449 Act, and, notwithstanding Subsection 63-2-201(5)(b), may not be disclosed in a manner that

450 identifies an individual child care program, licensee, certificate holder, or complainant.

451 Section 10. Section **26-39-601**, which is renumbered from Section 26-39-108 is  
452 renumbered and amended to read:

453 **Part 6. Penalties**

454 ~~[26-39-108].~~ **26-39-601. License violations -- Penalties.**

455 (1) The department may deny or revoke a license and otherwise invoke disciplinary  
456 penalties if it finds:

457 (a) evidence of committing or of aiding, abetting, or permitting the commission of any  
458 illegal act on the premises of the child care facility;

459 (b) a failure to meet the qualifications for licensure; or

460 (c) conduct adverse to the public health, morals, welfare, and safety of children under  
461 its care.

462 (2) The department may also place a department representative as a monitor in a  
463 facility, and may assess the cost of that monitoring to the facility, until the licensee has remedied  
464 the deficiencies that brought about the department action.

465 (3) The department may impose civil monetary penalties in accordance with Title 63,  
466 Chapter 46b, Administrative Procedures Act, if there has been a failure to comply with the  
467 provisions of this chapter, or rules ~~[promulgated]~~ made pursuant to this chapter, as follows:

468 (a) if significant problems exist that are likely to lead to the harm of a qualifying child,  
469 the department may impose a civil penalty of \$50 to \$1,000 per day; and

470 (b) if significant problems exist that result in actual harm to a qualifying child, the  
471 department may impose a civil penalty of \$1,050 to \$5,000 per day.

472 Section 11. Section **26-39-602**, which is renumbered from Section 26-39-110 is  
473 renumbered and amended to read:

474 ~~[26-39-110].~~ **26-39-602. Offering or providing care in violation of chapter**  
475 **-- Misdemeanor.**

476 Notwithstanding the provisions of Title 26, Chapter 23, Enforcement Provisions and  
477 Penalties, a person who provides or offers child care except as provided by this chapter is guilty

478 of a class A misdemeanor.

479 Section 12. Section **63-2-304** is amended to read:

480 **63-2-304. Protected records.**

481 The following records are protected if properly classified by a governmental entity:

482 (1) trade secrets as defined in Section 13-24-2 if the person submitting the trade secret  
483 has provided the governmental entity with the information specified in Section 63-2-308;

484 (2) commercial information or nonindividual financial information obtained from a  
485 person if:

486 (a) disclosure of the information could reasonably be expected to result in unfair  
487 competitive injury to the person submitting the information or would impair the ability of the  
488 governmental entity to obtain necessary information in the future;

489 (b) the person submitting the information has a greater interest in prohibiting access  
490 than the public in obtaining access; and

491 (c) the person submitting the information has provided the governmental entity with the  
492 information specified in Section 63-2-308;

493 (3) commercial or financial information acquired or prepared by a governmental entity  
494 to the extent that disclosure would lead to financial speculations in currencies, securities, or  
495 commodities that will interfere with a planned transaction by the governmental entity or cause  
496 substantial financial injury to the governmental entity or state economy;

497 (4) records the disclosure of which could cause commercial injury to, or confer a  
498 competitive advantage upon a potential or actual competitor of, a commercial project entity as  
499 defined in Subsection 11-13-103(4);

500 (5) test questions and answers to be used in future license, certification, registration,  
501 employment, or academic examinations;

502 (6) records the disclosure of which would impair governmental procurement  
503 proceedings or give an unfair advantage to any person proposing to enter into a contract or  
504 agreement with a governmental entity, except that this Subsection (6) does not restrict the right  
505 of a person to see bids submitted to or by a governmental entity after bidding has closed;

506 (7) records that would identify real property or the appraisal or estimated value of real  
507 or personal property, including intellectual property, under consideration for public acquisition  
508 before any rights to the property are acquired unless:

509 (a) public interest in obtaining access to the information outweighs the governmental  
510 entity's need to acquire the property on the best terms possible;

511 (b) the information has already been disclosed to persons not employed by or under a  
512 duty of confidentiality to the entity;

513 (c) in the case of records that would identify property, potential sellers of the described  
514 property have already learned of the governmental entity's plans to acquire the property;

515 (d) in the case of records that would identify the appraisal or estimated value of  
516 property, the potential sellers have already learned of the governmental entity's estimated value  
517 of the property; or

518 (e) the property under consideration for public acquisition is a single family residence  
519 and the governmental entity seeking to acquire the property has initiated negotiations to acquire  
520 the property as required under Section 78B-6-505;

521 (8) records prepared in contemplation of sale, exchange, lease, rental, or other  
522 compensated transaction of real or personal property including intellectual property, which, if  
523 disclosed prior to completion of the transaction, would reveal the appraisal or estimated value  
524 of the subject property, unless:

525 (a) the public interest in access outweighs the interests in restricting access, including  
526 the governmental entity's interest in maximizing the financial benefit of the transaction; or

527 (b) when prepared by or on behalf of a governmental entity, appraisals or estimates of  
528 the value of the subject property have already been disclosed to persons not employed by or  
529 under a duty of confidentiality to the entity;

530 (9) records created or maintained for civil, criminal, or administrative enforcement  
531 purposes or audit purposes, or for discipline, licensing, certification, or registration purposes, if  
532 release of the records:

533 (a) reasonably could be expected to interfere with investigations undertaken for

534 enforcement, discipline, licensing, certification, or registration purposes;

535 (b) reasonably could be expected to interfere with audits, disciplinary, or enforcement  
536 proceedings;

537 (c) would create a danger of depriving a person of a right to a fair trial or impartial  
538 hearing;

539 (d) reasonably could be expected to disclose the identity of a source who is not  
540 generally known outside of government and, in the case of a record compiled in the course of an  
541 investigation, disclose information furnished by a source not generally known outside of  
542 government if disclosure would compromise the source; or

543 (e) reasonably could be expected to disclose investigative or audit techniques,  
544 procedures, policies, or orders not generally known outside of government if disclosure would  
545 interfere with enforcement or audit efforts;

546 (10) records the disclosure of which would jeopardize the life or safety of an individual;

547 (11) records the disclosure of which would jeopardize the security of governmental  
548 property, governmental programs, or governmental recordkeeping systems from damage, theft,  
549 or other appropriation or use contrary to law or public policy;

550 (12) records that, if disclosed, would jeopardize the security or safety of a correctional  
551 facility, or records relating to incarceration, treatment, probation, or parole, that would interfere  
552 with the control and supervision of an offender's incarceration, treatment, probation, or parole;

553 (13) records that, if disclosed, would reveal recommendations made to the Board of  
554 Pardons and Parole by an employee of or contractor for the Department of Corrections, the  
555 Board of Pardons and Parole, or the Department of Human Services that are based on the  
556 employee's or contractor's supervision, diagnosis, or treatment of any person within the board's  
557 jurisdiction;

558 (14) records and audit workpapers that identify audit, collection, and operational  
559 procedures and methods used by the State Tax Commission, if disclosure would interfere with  
560 audits or collections;

561 (15) records of a governmental audit agency relating to an ongoing or planned audit

562 until the final audit is released;

563 (16) records prepared by or on behalf of a governmental entity solely in anticipation of  
564 litigation that are not available under the rules of discovery;

565 (17) records disclosing an attorney's work product, including the mental impressions or  
566 legal theories of an attorney or other representative of a governmental entity concerning  
567 litigation;

568 (18) records of communications between a governmental entity and an attorney  
569 representing, retained, or employed by the governmental entity if the communications would be  
570 privileged as provided in Section 78B-1-137;

571 (19) (a) (i) personal files of a state legislator, including personal correspondence to or  
572 from a member of the Legislature; and

573 (ii) notwithstanding Subsection (19)(a)(i), correspondence that gives notice of  
574 legislative action or policy may not be classified as protected under this section; and

575 (b) (i) an internal communication that is part of the deliberative process in connection  
576 with the preparation of legislation between:

577 (A) members of a legislative body;

578 (B) a member of a legislative body and a member of the legislative body's staff; or

579 (C) members of a legislative body's staff; and

580 (ii) notwithstanding Subsection (19)(b)(i), a communication that gives notice of  
581 legislative action or policy may not be classified as protected under this section;

582 (20) (a) records in the custody or control of the Office of Legislative Research and  
583 General Counsel, that, if disclosed, would reveal a particular legislator's contemplated  
584 legislation or contemplated course of action before the legislator has elected to support the  
585 legislation or course of action, or made the legislation or course of action public; and

586 (b) notwithstanding Subsection (20)(a), the form to request legislation submitted to the  
587 Office of Legislative Research and General Counsel is a public document unless a legislator asks  
588 that the records requesting the legislation be maintained as protected records until such time as  
589 the legislator elects to make the legislation or course of action public;

590 (21) research requests from legislators to the Office of Legislative Research and  
591 General Counsel or the Office of the Legislative Fiscal Analyst and research findings prepared in  
592 response to these requests;

593 (22) drafts, unless otherwise classified as public;

594 (23) records concerning a governmental entity's strategy about collective bargaining or  
595 pending litigation;

596 (24) records of investigations of loss occurrences and analyses of loss occurrences that  
597 may be covered by the Risk Management Fund, the Employers' Reinsurance Fund, the  
598 Uninsured Employers' Fund, or similar divisions in other governmental entities;

599 (25) records, other than personnel evaluations, that contain a personal recommendation  
600 concerning an individual if disclosure would constitute a clearly unwarranted invasion of  
601 personal privacy, or disclosure is not in the public interest;

602 (26) records that reveal the location of historic, prehistoric, paleontological, or  
603 biological resources that if known would jeopardize the security of those resources or of  
604 valuable historic, scientific, educational, or cultural information;

605 (27) records of independent state agencies if the disclosure of the records would  
606 conflict with the fiduciary obligations of the agency;

607 (28) records of an institution within the state system of higher education defined in  
608 Section 53B-1-102 regarding tenure evaluations, appointments, applications for admissions,  
609 retention decisions, and promotions, which could be properly discussed in a meeting closed in  
610 accordance with Title 52, Chapter 4, Open and Public Meetings Act, provided that records of  
611 the final decisions about tenure, appointments, retention, promotions, or those students  
612 admitted, may not be classified as protected under this section;

613 (29) records of the governor's office, including budget recommendations, legislative  
614 proposals, and policy statements, that if disclosed would reveal the governor's contemplated  
615 policies or contemplated courses of action before the governor has implemented or rejected  
616 those policies or courses of action or made them public;

617 (30) records of the Office of the Legislative Fiscal Analyst relating to budget analysis,

618 revenue estimates, and fiscal notes of proposed legislation before issuance of the final  
619 recommendations in these areas;

620 (31) records provided by the United States or by a government entity outside the state  
621 that are given to the governmental entity with a requirement that they be managed as protected  
622 records if the providing entity certifies that the record would not be subject to public disclosure  
623 if retained by it;

624 (32) transcripts, minutes, or reports of the closed portion of a meeting of a public body  
625 except as provided in Section 52-4-206;

626 (33) records that would reveal the contents of settlement negotiations but not including  
627 final settlements or empirical data to the extent that they are not otherwise exempt from  
628 disclosure;

629 (34) memoranda prepared by staff and used in the decision-making process by an  
630 administrative law judge, a member of the Board of Pardons and Parole, or a member of any  
631 other body charged by law with performing a quasi-judicial function;

632 (35) records that would reveal negotiations regarding assistance or incentives offered  
633 by or requested from a governmental entity for the purpose of encouraging a person to expand  
634 or locate a business in Utah, but only if disclosure would result in actual economic harm to the  
635 person or place the governmental entity at a competitive disadvantage, but this section may not  
636 be used to restrict access to a record evidencing a final contract;

637 (36) materials to which access must be limited for purposes of securing or maintaining  
638 the governmental entity's proprietary protection of intellectual property rights including patents,  
639 copyrights, and trade secrets;

640 (37) the name of a donor or a prospective donor to a governmental entity, including an  
641 institution within the state system of higher education defined in Section 53B-1-102, and other  
642 information concerning the donation that could reasonably be expected to reveal the identity of  
643 the donor, provided that:

644 (a) the donor requests anonymity in writing;

645 (b) any terms, conditions, restrictions, or privileges relating to the donation may not be

646 classified protected by the governmental entity under this Subsection (37); and

647 (c) except for an institution within the state system of higher education defined in  
648 Section 53B-1-102, the governmental unit to which the donation is made is primarily engaged in  
649 educational, charitable, or artistic endeavors, and has no regulatory or legislative authority over  
650 the donor, a member of the donor's immediate family, or any entity owned or controlled by the  
651 donor or the donor's immediate family;

652 (38) accident reports, except as provided in Sections 41-6a-404, 41-12a-202, and  
653 73-18-13;

654 (39) a notification of workers' compensation insurance coverage described in Section  
655 34A-2-205;

656 (40) (a) the following records of an institution within the state system of higher  
657 education defined in Section 53B-1-102, which have been developed, discovered, disclosed to,  
658 or received by or on behalf of faculty, staff, employees, or students of the institution:

659 (i) unpublished lecture notes;

660 (ii) unpublished notes, data, and information:

661 (A) relating to research; and

662 (B) of:

663 (I) the institution within the state system of higher education defined in Section  
664 53B-1-102; or

665 (II) a sponsor of sponsored research;

666 (iii) unpublished manuscripts;

667 (iv) creative works in process;

668 (v) scholarly correspondence; and

669 (vi) confidential information contained in research proposals;

670 (b) Subsection (40)(a) may not be construed to prohibit disclosure of public information  
671 required pursuant to Subsection 53B-16-302(2)(a) or (b); and

672 (c) Subsection (40)(a) may not be construed to affect the ownership of a record;

673 (41) (a) records in the custody or control of the Office of Legislative Auditor General

674 that would reveal the name of a particular legislator who requests a legislative audit prior to the  
675 date that audit is completed and made public; and

676 (b) notwithstanding Subsection (41)(a), a request for a legislative audit submitted to the  
677 Office of the Legislative Auditor General is a public document unless the legislator asks that the  
678 records in the custody or control of the Office of Legislative Auditor General that would reveal  
679 the name of a particular legislator who requests a legislative audit be maintained as protected  
680 records until the audit is completed and made public;

681 (42) records that provide detail as to the location of an explosive, including a map or  
682 other document that indicates the location of:

683 (a) a production facility; or

684 (b) a magazine;

685 (43) information contained in the database described in Section 62A-3-311.1;

686 (44) information contained in the Management Information System and Licensing  
687 Information System described in Title 62A, Chapter 4a, Child and Family Services;

688 (45) information regarding National Guard operations or activities in support of the  
689 National Guard's federal mission;

690 (46) records provided by any pawn or secondhand business to a law enforcement  
691 agency or to the central database in compliance with Title 13, Chapter 32a, Pawnshop and  
692 Secondhand Merchandise Transaction Information Act;

693 (47) information regarding food security, risk, and vulnerability assessments performed  
694 by the Department of Agriculture and Food;

695 (48) except to the extent that the record is exempt from this chapter pursuant to  
696 Section 63-2-106, records related to an emergency plan or program prepared or maintained by  
697 the Division of Homeland Security the disclosure of which would jeopardize:

698 (a) the safety of the general public; or

699 (b) the security of:

700 (i) governmental property;

701 (ii) governmental programs; or

702 (iii) the property of a private person who provides the Division of Homeland Security  
703 information;

704 (49) records of the Department of Agriculture and Food relating to the National Animal  
705 Identification System or any other program that provides for the identification, tracing, or  
706 control of livestock diseases, including any program established under Title 4, Chapter 24, Utah  
707 Livestock Brand and Anti-theft Act or Title 4, Chapter 31, Livestock Inspection and  
708 Quarantine;

709 (50) as provided in Section ~~[26-39-109]~~ 26-39-501:

710 (a) information or records held by the Department of Health related to a complaint  
711 regarding a child care program or residential child care which the department is unable to  
712 substantiate; and

713 (b) information or records related to a complaint received by the Department of Health  
714 from an anonymous complainant regarding a child care program or residential child care; and

715 (51) unless otherwise classified as public under Section 63-2-301 and except as  
716 provided under Section 41-1a-116, an individual's home address, home telephone number, or  
717 personal mobile phone number, if:

718 (a) the individual is required to provide the information in order to comply with a law,  
719 ordinance, rule, or order of a government entity; and

720 (b) the subject of the record has a reasonable expectation that this information will be  
721 kept confidential due to:

722 (i) the nature of the law, ordinance, rule, or order; and

723 (ii) the individual complying with the law, ordinance, rule, or order.

724 Section 13. Section **78A-6-209** is amended to read:

725 **78A-6-209. Court records -- Inspection.**

726 (1) The court and the probation department shall keep records as required by the board  
727 and the presiding judge.

728 (2) Court records shall be open to inspection by:

729 (a) the parents or guardian of a child, a minor who is at least 18 years of age, other

730 parties in the case, the attorneys, and agencies to which custody of a minor has been transferred;

731 (b) for information relating to adult offenders alleged to have committed a sexual  
732 offense, a felony or class A misdemeanor drug offense, or an offense against the person under  
733 Title 76, Chapter 5, Offenses Against the Person, the State Office of Education for the purpose  
734 of evaluating whether an individual should be permitted to obtain or retain a license as an  
735 educator or serve as an employee or volunteer in a school, with the understanding that the office  
736 must provide the individual with an opportunity to respond to any information gathered from its  
737 inspection of the records before it makes a decision concerning licensure or employment;

738 (c) the Criminal Investigations and Technical Services Division, established in Section  
739 53-10-103, for the purpose of a criminal history background check for the purchase of a firearm  
740 and establishing good character for issuance of a concealed firearm permit as provided in  
741 Section 53-5-704;

742 (d) the Division of Child and Family Services for the purpose of Child Protective  
743 Services Investigations in accordance with Sections 62A-4a-403 and 62A-4a-409 and  
744 administrative hearings in accordance with Section 62A-4a-1009; and

745 (e) for information related to a juvenile offender who has committed a sexual offense, a  
746 felony, or an offense which if committed by an adult would be a misdemeanor, the Department  
747 of Health, for the purpose of evaluating under the provisions of Subsection [~~26-39-107~~]  
748 26-39-404(3) whether a licensee should be permitted to obtain or retain a license to provide  
749 child care, with the understanding that the department must provide the individual who  
750 committed the offense with an opportunity to respond to any information gathered from its  
751 inspection of records before it makes a decision concerning licensure.

752 (3) With the consent of the judge, court records may be inspected by the child, by  
753 persons having a legitimate interest in the proceedings, and by persons conducting pertinent  
754 research studies.

755 (4) If a petition is filed charging a minor 14 years of age or older with an offense that  
756 would be a felony if committed by an adult, the court shall make available to any person upon  
757 request the petition, any adjudication or disposition orders, and the delinquency history

758 summary of the minor charged unless the records are closed by the court upon findings on the  
759 record for good cause.

760 (5) Probation officers' records and reports of social and clinical studies are not open to  
761 inspection, except by consent of the court, given under rules adopted by the board.

762 (6) (a) Any juvenile delinquency adjudication or disposition orders and the delinquency  
763 history summary of any person charged as an adult with a felony offense shall be made available  
764 to any person upon request.

765 (b) This provision does not apply to records that have been destroyed or expunged in  
766 accordance with court rules.

767 (c) The court may charge a reasonable fee to cover the costs associated with retrieving  
768 a requested record that has been archived.

769 Section 14. Section **78A-6-323** is amended to read:

770 **78A-6-323. Additional finding at adjudication hearing -- Petition -- Court**  
771 **records.**

772 (1) Upon the filing with the court of a petition under Section 78A-6-304 by the Division  
773 of Child and Family Services or any interested person informing the court, among other things,  
774 that the division has made a supported finding that a person committed a severe type of child  
775 abuse or neglect as defined in Section 62A-4a-1002, the court shall:

- 776 (a) make a finding of substantiated, unsubstantiated, or without merit;  
777 (b) include the finding described in Subsection (1)(a) in a written order; and  
778 (c) deliver a certified copy of the order described in Subsection (1)(b) to the division.

779 (2) The judicial finding under Subsection (1) shall be made:

- 780 (a) as part of the adjudication hearing;  
781 (b) at the conclusion of the adjudication hearing; or  
782 (c) as part of a court order entered pursuant to a written stipulation of the parties.

783 (3) (a) Any person described in Subsection 62A-4a-1010(1) may at any time file with  
784 the court a petition for removal of the person's name from the Licensing Information System.

785 (b) At the conclusion of the hearing on the petition, the court shall:

- 786 (i) make a finding of substantiated, unsubstantiated, or without merit;
- 787 (ii) include the finding described in Subsection (1)(a) in a written order; and
- 788 (iii) deliver a certified copy of the order described in Subsection (1)(b) to the division.
- 789 (4) A proceeding for adjudication of a supported finding under this section of a type of
- 790 abuse or neglect that does not constitute a severe type of child abuse or neglect may be joined in
- 791 the juvenile court with an adjudication of a severe type of child abuse or neglect.
- 792 (5) If a person whose name appears on the Licensing Information system prior to May
- 793 6, 2002 files a petition during the time that an alleged perpetrator's application for clearance to
- 794 work with children or vulnerable adults is pending, the court shall hear the matter and enter a
- 795 final decision no later than 60 days after the filing of the petition.
- 796 (6) For the purposes of licensing under Sections 26-21-9.5, ~~[26-39-105.5]~~ 26-39-402,
- 797 62A-1-118, and for the purposes described in Section 62A-2-121:
- 798 (a) the court shall make available records of its findings under Subsections (1) and (2)
- 799 for licensing purposes, only to those with statutory authority to access also the Licensing
- 800 Information System created under Section 62A-4a-1006; and
- 801 (b) any appellate court shall make available court records of appeals from juvenile court
- 802 decisions under Subsections (1), (2), (3), and (4) for licensing purposes, only to those with
- 803 statutory authority to access also the Licensing Information System.