

Transmitted with this Manual Letter are changes to Service Chapter 620-01, Early Childhood Services Policy manual. Note that new language has been underlined and old language which is deleted has been struck through.

**Deleted** CCR&R and changed to Child Care Aware.

### **Authorized Agent (Licenser) 620-01-20-01**

1. Have available, be knowledgeable and implement North Dakota Century Code Chapter 50-11.1, current early childhood services rules and policies and procedures.
2. Interpret and explain policies and rules to early childhood services providers and to the general public.
3. Conduct an orientation program for prospective applicants monthly or as needed. Collaborate with CCR&R Child Care Aware and other agencies as appropriate.
4. Receive application and fees for early childhood services.
5. Conduct early childhood services licensing study and complete compliance checklist and other required forms. Receive all appropriate supporting documents and make a recommendation and submit materials to the regional office.
6. Work with regional supervisor and CBCU for completion of background checks.
7. Conduct at least one unannounced review per year on each licensed program. Maintain documentation and submit a copy of SFN 1276 to regional office.
8. Collect fees and forward application for registration of in-home provider to the regional office.
9. Review application of self-declaration and submit to the regional office.

10. Conduct an initial pre-approval visit for self-declared child care programs to verify compliance with rules. Maintain documentation and submit copy of SFN 1595 to regional office.
11. Conduct an unannounced visit annually, prior to renewal of self-declaration. Maintain documentation and submit copy of SFN 1595 to regional office.
12. Attend all required trainings relative to early childhood licensing.
13. Attend all scheduled meetings with the regional office.
14. Maintain licensing record of early childhood service providers and prepare licensing files for public viewing.
15. Staff all initial concern forms with the regional office and investigate all concerns or complaints regarding any suspected rule violation.
16. Testify as necessary in appeals and other legal proceedings.
17. Issue all correction order notices as appropriate.
18. Recommend to the regional office: approval, denial, revocation, injunction, or suspension of license.
19. Assist other appropriate local agencies and organizations in developing early childhood services and training activities.
20. Work in cooperation with the local ~~CCR&R~~ Child Care Aware agency, CCAP, and CACFP.
21. Work in cooperation with local law enforcement, state's attorney, health and fire departments when appropriate.
22. Work in cooperation with child protection unit within county, region, and state as it relates to assessments of early childhood services programs.

**Added** new section.

## **Early Childhood Services Quality Assurance 620-01-20-20**

The Department of Human Services is committed to assuring quality throughout the licensing process.

The authorized agent is responsible for maintaining the licensing file, and for submitting copies of required documentation to the regional office.

The central office shall perform random file reviews on an annual basis in each region to assure that the regional office files contain necessary documentation.

1. The ECS Administrator shall randomly select at least one file for every fifty early childhood services files in the region.
2. The ECS Administrator will notify the regional supervisor of the date for the file review and of the files to be reviewed.
3. On the day of the file review, the ECS Administrator shall review each file with the Regional Supervisor, verifying documentation of compliance on the SFN 116.
4. File review documentation shall be kept as a record by the central office.

The regional office shall perform random provider reviews on an annual basis with the authorized agent. These reviews may take place during relicensing visits or drop-in visits.

1. The regional supervisor shall select at least one provider for every fifty providers in a region to review annually.
2. The regional supervisor shall notify the authorized agent of the selected provider and will schedule the unannounced visit or relicensing visit with the authorized agent.
3. Prior to the visit, the regional supervisor shall review the provider file and shall verify documentation of compliance on SFN 116 for the items that may be verified in the file. At the time of the visit, the regional supervisor shall observe the licensing processes and shall document outcomes of remaining items on the SFN 116.

Required documentation for provider files:

1. Licensing checklists
2. SFN 1276 Early Childhood Services Review Forms
3. Map of indoor space and outdoor space
4. SFN 508 forms and documentation of appropriate completed background checks
5. Copies of CPR and First Aid certification cards
6. Training transcripts, certificates, or SFN 343
7. Pet vaccination records
8. Qualifications of provider and staff, if applicable
9. Fire and health inspections if applicable

**Added** language regarding authorized agent pre-approval visit for child care and submission of SFN 1595.

### **Self-declaration Process 620-01-30-01**

1. The applicant completes SFN 865 and signs before a notary.
2. Applicant obtains certification in CPR and First Aid from an approved source
3. Applicant returns completed SFN 865, SFN 508 for emergency designee, **and** copies of CPR and First Aid certification, copies of pet vaccinations, if applicable, to their local authorized agent with the application fee.
4. Authorized agent will work with regional office and CBCU to complete background check.
5. Authorized agent completes pre-approval visit to the location where care is to be provided. Authorized agent documents visit on SFN 1595.

6. Authorized agent submits the SFN 865, SFN 508, SFN 1595, copies of required training certificate, copies of pet vaccinations and copies of CPR and First Aid certification to the regional office.
7. Authorized agent shall keep copies of these documents for their files.
8. Regional office approves or denies application.
9. If approved, regional office sends self-declaration certificate to authorized agent, who keeps copy and forwards original to provider.
10. There shall be only one self-declaration per residence. In other words, two self-declared individuals cannot provide child care at the same residence/address.
11. If there are new household members twelve years of age and older after the application, the provider must submit an SFN 508 for that household member.

### **Self-declaration Effective Date 620-01-30-05**

The earliest effective date for a new self-declaration will be the date that both the fingerprint background check memo and the authorized agent signature have been received. All required materials must be received by the authorized agent by this date.

The date the regional office signs the self-declaration document may then be different than the effective date of the self-declaration.

**Example:**

Provider signs/notarization	June 2nd
Stamped in at the county	June 3rd
<u>Pre-approval visit</u>	<u>June 8th</u>
Authorized agent signs	June 8th
Fingerprint memorandum dated	July 1st
Regional office signs	July 7th
Effective date	July 1st

The regional office should contact the central office if there appears to be a problem with timely issuance of SFN 865.

The regional office should contact the central office if special circumstances apply that would require a different effective date.

**Added** documentation of SFN 1595 for pre-approval visits

## **Maintenance of Self-declared Provider Records 620-01-55-05**

Authorized agent and regional office must maintain the following records for each self-declared provider:

- Self-declaration document, SFN 865
- Copies of CPR/First Aid card, if applicable
- Documentation of SFN 1595 for pre-approval visit and unannounced visits

- Documentation of concerns and correction, if applicable
- SFN 508 emergency designee and new household members
- [Copy of required training certificate](#)
- [Copy of pet vaccinations](#)

**Deleted CCR&R and replaced with Care Aware**

## **Procedure for Issuing a Revocation Notice 620-01-120-25-01**

This procedure may be requested by either the authorized agent or regional office.

1. The authorized agent shall provide factual basis for revocation to regional office along with all documentation.
2. Regional office reviews information and determines the following:
  - a. whether documentation supports the factual basis for revocation, and
  - b. the legal authority that supports the revocation using the statute and rules.
3. Regional office prepares revocation notice.
4. Regional office emails revocation notice to central office, DHS legal advisory unit and the authorized agent.
5. When the notice is approved by the central office and the DHS legal advisory unit, the regional office sends the revocation notice, along with an appeal form, by certified mail with return receipt requested.

6. The regional office emails the final copy of revocation notice to the authorized agent and central office.
7. The regional office sends an alert notice to [CCR&R Child Care Aware and CACFP](#) when the revocation is sent to the provider.
8. The regional office sends an alert notice to [CCR&R Child Care Aware](#), CCAP, and CACFP when the revocation is final.
9. Regional office sends letters to parents notifying them that a revocation notice has been issued and that the provider may appeal the revocation after the notice has been sent to the provider.
10. Regional office sends letters to parents when the revocation is final.
11. Central office provides technical assistance to the regional office.

**Added** Century Code information.

## **Information That May Not Be Disclosed to the Public 620-01-135-01**

1. Child abuse and neglect information including assessment report and supporting documentation, in accordance with N.D.C.C. § 50-25.1-11.
2. Information [concerning identifying](#) children receiving care in an early childhood services setting, [pursuant to N.D.C.C. V 50-11.1-07\(4\)](#).
3. Personal information described in N.D.C.C. § 44-04-18.1 (2), including photographs, medical information, motor vehicle operator's identification number, payroll deduction information, name, address, telephone number and date of birth of any dependent or emergency contact, and financial information. The name, address, telephone number, and email address of the provider are not considered confidential personal information, [pursuant to N.D.C.C. § 50-11.1-07\(6\)](#).



4. The identity of a reporter of a concern, and any collateral reporters, unless the information is needed for use in an administrative or legal proceeding arising out of the report.
  - a. Descriptive information about the reporter as well as any other information obtained, without identifying the reporter's name, may be supplied in correction orders and notices of denial, revocation or suspension if necessary for the administration of the program, in accordance with N.D.C.C. §50-06-15.
5. Criminal history record information, contained in an individual's FBI criminal history report.