

**Licensing Checklist
Child Care Center
(DHS Rule 3)**

Date of Review: _____

License #: _____

Program Name: _____

Director: _____

Program Address: _____

Licenser Name: _____

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
Program Practices								
✓	✓		9503.0040, subpart 1	Staff to child ratios were maintained at all times.				
				Maximum group size was maintained at all times.				
✓	✓		9503.0040, subpart 2	Staff distribution requirements were maintained at all times.				
	✓		9503.0040, subpart 3	Age category grouping – Children were grouped in the correct age category.				
✓	✓		9503.0040, subpart 3, item B, (2)	36-month range in age – There was no more than a 36-month range in age among children in a group.				
	✓		9503.0040, subpart 4	Age category designation – The center had correctly designated each child in the correct age category.				
✓	✓		245A.04, subdivision 7, (d)	License terms – The center was operating within the terms of the license.				

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✓	✓		245A.02, subdivision 18; and 9503.0045, subp. 1, item A	Supervision of children – Program staff supervised children at all times.				
Health Practices								
✓	✓		9503.0140, subpart 13	Hand washing (children) – Children’s hands were washed with soap and water after diaper changes, after use of a toilet, and before eating.				
✓	✓		9503.0140, subpart 14	Hand washing (staff persons) Staff washed their hands with soap and water after diaper changes, after use of a toilet, and before handling food or eating.				
	✓		9503.0140, subpart 7	Hand washing (monitoring) – Staff monitored and assisted with hand washing.				
	✓		9503.0140, subpart 13	Common basin – The center was not using a common basin or hand sink filled with standing water.				
	✓		9503.0140, subpart 2	Health consultant review – There was a copy of the health consultant’s yearly findings in the center’s administrative records.				
				Infant health policy review – For centers serving infants, health policies were reviewed monthly by a health consultant.				

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	✓		9503.0140, subpart 2	Requested health policy review – The center requested a health policy review by the health consultant if there was a proposed change in the policies or practices, or if there was an outbreak of a contagious reportable illness.				
Food and Water								
	✓		9503.0145, subpart 1	Meals and snacks – The license holder ensured that meals and supplemental snacks were available.				
	✓		9503.0145, subpart 4	The license holder ensured availability of: A. a snack for a child in attendance for more than two hours, but fewer than five hours;				
				B. one meal and two snacks or two meals and one snack for a child in attendance five to ten hours a day unless four or more hours are spent in sleep; or				
				C. two meals and two snacks for a child in attendance more than ten hours a day unless four or more hours are spent in sleep.				
✓	✓		9503.0145, subpart 4	Nutritional needs – Each meal provided one-third of the child's daily nutritional needs as specified by the USDA.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		9503.0145, subpart 2	Menus – When food was provided by the license holder, menus complied with USDA nutritional requirements.				* See Technical Assistance Checklist for new requirements (pg. 9)
				Snack – Snacks included two of the four food components identified by USDA.				* See Technical Assistance Checklist for new requirements (pg. 10)
	✓		9503.0145, subpart 3	Refrigeration – There was refrigeration with a temperature of 40 degrees F or less for dairy products and other perishable foods.				
	✓		9503.0145, subpart 3	Washing tables and high chair trays – Tables and high chair trays were washed with soap and water before and after each use.				
	✓		9503.0145, subpart 4, item D	Program staff – Staff were seated with children during meal and snack times.				
	✓		9503.0145, subpart 5	Prescribed diets – The license holder ensured that a child's prescribed dietary needs were met and staff were informed of the order.				
	✓		9503.0145, subpart 6	Food allergies – Information about food allergies of the children was available in the area where food was prepared or served and staff were informed of the allergy.				* See Technical Assistance Checklist for new requirement (pg. 2)

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0145, subpart 8	Water supply – The center had a safe water supply.				
				Well water – If the center must test the well water annually, a report of the test result was available in the administrative record.				
	✓		9503.0145, subpart 8	Drinking water – Drinking water was always available to children, offered at frequent intervals, and provided in single service cups or at an accessible drinking fountain.				* See Technical Assistance Checklist (pg. 10)
Mediation/First Aid								
	✓		9503.0140, subpart 7, item A	Parental permission – There was written parental permission for administering medicine, diapering products, sunscreen lotions, and insect repellents.				
	✓		9503.0140, subpart 7, item A	Nonprescription medicines, diapering products, sunscreen lotions, and insect repellents were administered according to the manufacturer’s instructions or written physician’s or dentist’s instructions.				
	✓		9503.0140, subpart 7, item B	Prescription medications – Written instructions from a physician or dentist to administer prescription medications were obtained and followed.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0140, subpart 7, item C	All medication was kept in its original container; had a legible label with the child's name; was not given after the expiration date; and the unused portion was returned to the parents or destroyed.				
✓	✓		9503.0140, subpart 7, item C	Record of medication administration – There was a record of medication administration on-site and available to parents which contained the following:				
		name of child;						
		name of medication or prescription number;						
		date, time, dosage; and						
				name and signature or initials of person dispensing medication.				
	✓		9503.0140, subpart 7, item D	Diaper products – Products to control diaper rash were labeled with the child's first and last name.				
	✓		9503.0140, subpart 7, item E	Storage – Medicines, insect repellents, sunscreen lotions, and diaper rash products were stored according to the manufacturer's directions and were inaccessible to children.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0140, subpart 16	First aid kit – The center’s first aid kit contained sterile bandages and Band-Aids, sterile compresses, scissors, ice bag or cold pack, oral or surface thermometer, adhesive tape, and a current first-aid manual.				
				Accessibility of first aid kit – The first aid kit and manual were accessible to staff and taken on field trips.				
Exclusion of Sick Children								
	✓		9503.0080; 9503.0140, subp. 6, item A; and 9503.0155, subp. 6	A child who becomes sick at the center – A child who became sick while at the center was isolated from other children, supervised at all times, and a parent was called immediately.				
	✓		9503.0155, subpart 6	Cot and blanket – A cot and blanket were provided for a child who became sick while at the center in an area separate from activity areas used by other children.				
	✓		9503.0080	Excluded from care – A child who exhibited a condition stated in 9503.0080, items A – M, was excluded from care.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0140, subpart 6, item B	Contagious disease – The center required parents to notify the center within 24 hours when a child had a contagious reportable disease specified in 4605.7040, or lice, scabies, impetigo, ringworm, or chicken pox.				
	✓		9503.0140, subpart 6, item C	The center posted or gave notice to parents of exposed children the same day the center was notified of a child's illness or condition listed above.				
Physical Plant								
✓	✓		9503.0140, subpart 9	Cleanliness – The indoor and outdoor space and equipment of the center were clean.				
	✓		9503.0140, subpart 10	Bathroom cleanliness – The toilet rooms were cleaned daily; training chairs were emptied, washed with soap and water, and disinfected after each use; toilets and seats were washed and disinfected when soiled or at least daily.				
	✓		9503.0140, subpart 15; and 9503.0155, subpart 18, item E	Supplies – The center provided and made accessible to the children toilet paper, liquid hand soap, facial tissues, and single use paper towels or warm air hand dryers.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		9503.0140, subpart 19	Condition of equipment and furniture – Equipment and furniture were durable, in good repair, structurally sound and stable, and free from sharp edges, dangerous protrusions and points, and openings or angles which would endanger a child.				
✓	✓		9503.0140, subpart 17	Hazards – Sharp objects, medicines, plastic bags, and poisonous plants and chemicals, including household supplies, were stored out of reach of children.				
✓	✓		9503.0140, subpart 20	Maintenance of areas – All areas used by children were free from debris; loose flaking, peeling, or chipped paint; loose wallpaper, or crumbling plaster, litter, and holes in the walls, floors, and ceilings.				
				Rugs had nonskid backing or were firmly fastened to the floor and were free from tears, curled or frayed edges, and hazardous wrinkles.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0155, subpart 18, item A	Sinks and toilets – The center had one hand sink and one toilet for every 15 children and one toilet training chair for every 15 toddlers.				
				Hand sink location – Any hand sink required for children, except infants, was located in the toilet area.				
	✓		9503.0155, subpart 18, item B	New or remodeled centers – Foot or wrist operated sinks were provided in the diaper changing areas for newly constructed or remodeled centers.				
	✓		9503.0155, subpart 18, item C	Use of hand sinks – Children’s sinks were not used for custodial work or food preparation.				
	✓		9503.0155, subpart 18, item D	Water temperature – The temperature of the water in the children’s hand sinks did not exceed 120 degrees F.				
	✓		9503.0155, subpart 18, item F	Toilets, sinks, faucets, and hand drying devices were at an appropriate height for toddlers and preschoolers.				
	✓		9503.0155, subpart 8	Telephone – There was a non- coin operated telephone in the center and emergency telephone numbers were posted next to the telephone.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0155, subpart 5	Storage space – There was storage space accessible to each child for clothing and personal belongings.				
	✓		9503.0155, subpart 7, item A	Outdoor activity area – The center provided an outdoor activity area of at least 1,500 square feet with at least 75 square feet of space per child.				
	✓		9503.0155, subpart 7, item B	Outdoor activity area location – The outdoor activity area for children under school age was within 2,000 feet of the center or transportation was provided to an area no more than ½ mile from the center.				
	✓		9503.0155, subpart 7, item C	Outdoor activity area enclosed – The outdoor activity area was enclosed if adjacent to hazards, unless it was a public park or playground.				
	✓		9503.0155, subpart 7, item D	Cleanliness of outdoor activity area – The outdoor activity area was free from litter, rubbish, toxic materials, water hazard, machinery, animal waste, and sewage contaminants.				
	✓		9503.0155, subpart 9	Indoor space – There were 35 square feet of indoor space available for each child.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0155, subpart 10	Hot surfaces – Radiators, fireplaces, hot pipes, and other hot surfaces were shielded or insulated.				
	✓		9503.0155, subpart 11	Electrical outlets - Outlets were tamper proof or shielded when not in use.				
	✓		9503.0155, subpart 12	Bodies of water – Bodies of water were inaccessible to children.				
	✓		9503.0155, subpart 13	Room temperature – A minimum temperature of 68 degrees Fahrenheit was maintained in the center.				
	✓		9503.0155, subpart 15	Hazardous areas – Kitchen, stairs, and other hazardous areas were inaccessible to children unless supervised.				
	✓		9503.0155, subpart 16	Fire extinguishers – Fire extinguishers were serviced annually and the name of the inspector and date of inspection were written on a tag attached to the extinguisher.				
	✓		9503.0155, subpart 17	Screens – Outside doors and windows used for ventilation were screened.				
	✓		9503.0140, subpart 18	Emergency equipment – The center had a battery operated flashlight and a battery operated portable radio.				

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Postings								
	✓		9503.0170, subpart 3	License – The license was posted in a conspicuous place within the center.				
	✓		9503.0140, subpart 21, items A – F	Emergency procedures – Emergency procedures, including identification of the following, were posted in a visible place:				
				A. persons responsible for each area;				
				B. primary and secondary exits;				
				C. tornado shelter area;				
				D. building evacuation routes;				
				E. instruction in use of a fire extinguisher and how to close off the fire area; and				
				F. list of telephone numbers and sources of emergency medical and dental care, poison control, fire department, health authority, and DHS-Division of Licensing.				
✓	✓		245A.06, subdivision 8	Conditional license orders – The license holder had conditional license orders and any accompanying IMs posted in a conspicuous place for two years.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245A.07, subdivision 5	Negative action orders – The license holder had all orders of license suspension, TIS, fine, revocation, and accompanying IMs posted in a conspicuous place for two years.				
Infants and Toddlers								
	✓		9503.0140, subpart 11	Diaper changing – Diapers were changed only in the diaper changing area.				
				Diaper changing area – The diaper changing area was separate from areas used for food storage, food preparation, and eating.				
	✓		9503.0140, subpart 11	Diaper changing area – The diaper changing area had a hand sink equipped with hot and cold running water within three feet of the diaper changing surface;				
				a smooth, nonabsorbent diaper changing area and floor covering; and				
				a sanitary container for soiled and wet diapers.				
	✓		9503.0140, subpart 12	Diaper changing procedures- There were diaper changing procedures posted in the diaper changing area that had been developed in consultation with a health consultant.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0140, subpart 19	Mouthed toys – Toys and equipment likely to be mouthed by infants and toddlers were made of material able to be disinfected, and were cleaned and disinfected when mouthed or soiled and at least daily.				
	✓		9503.0090, subpart 2, item D	Daily reports – Daily written reports were given to parents of infants and toddlers on food intake, elimination, sleeping, and general behavior.				
	✓		9503.0145, subpart 7	Sanitary practices and procedures – There were sanitary practices and procedures used to prepare, handle, and store infant food and milk which were reviewed and certified by a health consultant.				
	✓		9503.0145, subpart 7, item A	Written dietary instructions – There were written dietary instructions from the parents of infants.				
	✓		9503.0145, subpart 7, item B	Infant feeding schedules – Infant feeding schedules were available in the food preparation area.				
	✓		9503.0145, subpart 7, item C	Infant feeding – The center offered infants formula or milk and nutritionally adequate solid foods in prescribed quantities at specified time intervals.				
	✓		9503.0145, subpart 7, Item D	Bottle labeling – Each infant's bottle was labeled with the child's first and last name.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245A.146, subdivision 2	Crib safety – For every crib used by or accessible to any child in care, the license holder had documentation of the crib's brand name and model number.				
✓	✓		245A.146, subdivision 3	CPSC website check – On an annual basis, the license holder checked all crib brand names and model numbers against the US CPSC website listing of unsafe cribs, and maintained documentation of the review.				
✓	✓		245A.146, subdivision 4, items 1-12	Monthly crib inspections – On a monthly basis, the license holder performed the required safety inspections of every crib used by or accessible to children in care, and maintained documentation of the inspections.				
✓	✓		245A.1435, paragraph (a)	Infant sleeping position – The license holder placed all infants to sleep on their back unless the program had documentation from the infant's physician directing an alternative sleeping position, on a form approved by the commissioner.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245A.1435, paragraph (a)	The license holder did not allow an infant under six months of age who independently rolled to his/her stomach after being placed to sleep on his/her back to remain sleeping on his/her stomach without a signed statement from the parent indicating that the infant regularly rolls over at home.				
✓	✓		245A.1435, paragraph (b)	Firm mattress/items in crib – The license holder placed each infant to sleep in a crib directly on a firm mattress with a fitted crib sheet that fits tightly on the mattress and overlaps the mattress so it cannot be dislodged by pulling on the corner with reasonable effort.				
				The license holder ensured that nothing was placed in a crib with an infant up to and including 12 months of age other than a pacifier as defined by Code of Fed. Reg., title 16, part 1511.				
✓	✓		245A.1435, paragraph (c)	When an infant fell asleep before being placed in a crib, the license holder moved the infant to a crib as soon as practicable.				
				The license holder ensured that infants were placed in a position where the airway may not be blocked or with anything covering the infant's face.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245A.1435, paragraph (d)	When placing a swaddled infant in a crib to sleep, the license holder ensured the infant was in a one-piece sleeper equipped with an attached system that fastens securely only across the upper torso, with no constriction of the hips or legs.				
				On a form provided by the commissioner, the license holder had written parental or guardian consent prior to swaddling an infant, who had not yet begun to roll over, in a crib.				
✓	✓		245A.146, subdivision 2	The license holder maintained acceptable documentation showing all full-size and non-full size cribs meet federal crib standards under title 16, part 1219 or 1220.				
Interest Areas								
✓	✓		9503.0045, subpart 2	Interest areas – The center provided children with daily access to the following interest areas:				
				A. creative arts and crafts;				
				B. construction;				
				C. dramatic or practical life activities;				
				D. science;				
			E. music;					

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✓	✓		9503.0045, subpart 2	F. fine motor activities;				
				G. large muscle activities; and				
				H. sensory stimulation activity.				
	✓		9503.0045	Programs operating less than three hours a day and s/age programs operating less than 90 consecutive days provided large muscle activities and at least five of the required interest areas.				
	✓		9503.0045	Child care program plan implementation – The center's program plan had stated goals and objectives that promote the physical, intellectual, social, and emotional development of children.				
	✓		9503.0045, subpart 1, item E	The child care program plan was developed by and evaluated in writing annually by a teacher qualified staff person.				
	✓		9503.0045, subpart 1, item L	The child care program plan was available to parents for review upon request.				
Furnishings, Equipment, Materials, and Supplies								
✓	✓		9503.0060, subpart 1	Amount of equipment – The center had sufficient furnishings, equipment, materials, and supplies specified in subparts 3 through 6 for the age categories and number of children being served.				

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	✓		9503.0060, subpart 1	Equipment rotated – If equipment was rotated, there was enough for the maximum group size of the age category scheduled to use the equipment as shown on the child care program plan.				
✓	✓		9503.0060, subpart 1	Equipment accessibility – The minimum amount of required equipment was accessible to the children every day and arranged as specified in the child care program plan.				
	✓		9503.0140, subpart 19	Toy size standard – All toys and other equipment intended for use by children under three years of age met the size standard in the Code of Federal Regulations.				
Behavior Guidance								
	✓		9503.0055, subpart 2, items A and B	<p>Persistent unacceptable behavior There were written procedures for dealing with persistent unacceptable behavior that required an increased amount of staff guidance and time that specify:</p> <p>A. that staff persons observed and recorded the behavior of the child and staff response to the behavior, and</p> <p>B. a plan be developed to address the child's behavior in consultation with the parents, other staff, and other professionals when appropriate.</p>				

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✓	✓		9503.0055, subpart 3	Prohibited actions – The license holder had and enforced a policy prohibiting children from being subjected to:				
				A. corporal punishment;				
				B. emotional abuse;				
				C. separation from the group except within rule guidelines;				
				D. punishment for lapses in toilet habits;				
				E. withholding food, light, warmth, clothing, or medical care as punishment for unacceptable behavior;				
				F. the use of physical restraint other than to physically hold a child when necessary to protect the child or others from harm;				
				G. the use of mechanical restraints, such as tying.				
	✓		9503.0055, subpart 4	Separation from the group – Children were not separated from the group unless less intrusive behavior guidance methods had been tried.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0055, subpart 4	Return to the group – A child’s return to the group was contingent upon and occurred after abatement of the unacceptable behavior which precipitated the separation.				
				Infants not separated – Children between the ages of 6 weeks and 16 months were not separated from the group as a means of behavior guidance.				
	✓		9503.0055, subpart 4,	Separation in classroom – Children separated from the group remained within an unenclosed part of the classroom within continuous sight and hearing by a program staff person.				
	✓		9503.0055, subpart 5	Separation report – All separations from the group because of behavior guidance were noted on a daily log containing the child’s name, staff person’s name, time, date, less intrusive guidance methods first used, and how the child’s behavior threatened the well- being of the child or others.				
	✓		9503.0055, subpart 5	Parent notification of separation - The daily separation log contained documentation that parents were notified if a child was separated three times or more in one day.				

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	✓		9503.0055, subpart 5	Persistent unacceptable behavior procedures were followed for children separated five times or more in one week or eight times or more in two weeks.				
Naps and Rest								
	✓		9503.0050, subpart 3	Confinement limitation – No child was required to remain on a cot, mat, crib, or bed after completing a nap or resting quietly for 30 minutes.				
	✓		9503.0050, subpart 2	Parents informed of nap policy – Parents were informed of the center's nap and rest policy at the time of enrollment.				
	✓		9503.0050, subpart 4	Quiet napping area – Napping was in a quiet area that was physically separated from activity which could disrupt napping or resting children.				
	✓		9503.0050, subpart 4	Placement of equipment - Cribs, cots, mats and beds were not stacked when in use, were placed directly on the floor, and had clear aisles and unimpeded access on at least one side of the equipment.				
	✓		9503.0050, subpart 5	Crib standard – The center provided a crib which conformed to the Code of Federal Regulations for each infant for which the center was licensed to provide care.				

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	✓		9503.0050, subpart 6	Bedding – Each child had separate bedding which was washed weekly and when soiled or wet.				
Transportation								
	✓		9503.0150, item A	Driver's license – All vehicles were driven by people holding current MN driver's licenses appropriate for the vehicle driven.				
	✓		9503.0150, item B	Ratios maintained – Staff to child ratios were maintained on all transportation provided on all field trips.				
	✓		9503.0150, item C	Second adult – When children were driven in a private car or van, a second adult was present when more than four children under the age of five were being transported.				
	✓		9503.0150, item D	Transportation to and from the center – When the license holder provided transportation to and from the center, a second adult was present; when transporting ten or fewer children, a two-way communication system was used in lieu of a second adult.				
				Children were not transported more than one hour per one-way trip.				

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	✓		245A.18, subdivision 1	Seat belt and child passenger restraint system use – When a child was transported, the license holder complied with all seat belt and child passenger restraint system requirements under Minnesota Statutes, section 169.685 (child passenger restraint system) and 169.686 (seat belt).				
Parent Permission Forms								
	✓		9503.0100	Field trip permission – Written parental permission was obtained either before each field trip or on a form that annually summarizes all field trips that will be taken.				
				The parent's written permission form states that parents had been informed of the purpose and destination of the field trip.				
				Emergency numbers – Children's emergency telephone numbers, the child's physician's telephone number, and a first aid kit were taken on field trips.				
	✓		9503.0105	Research/public relations – Written parental permission was obtained before each occasion of experimental research or public relations activity, or on a form that annually summarizes all such activities.				

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Logs								
	✓		9503.0110, subpart 3, items D and E; and subpart 4, item B	Fire/tornado drill – The center maintained a fire drill log and a tornado drill log with times and dates of drills.				
	✓		9503.0110, subparts 3, item I and 4, item C; and 9503.0115, item E	Accident, injury, incident, and emergency – The center maintained written record of incidents, emergencies, accidents, and injuries that have occurred, including the:				
				name and age of persons involved;				
				date and place of occurrence;				
				type of injury;				
				action taken by staff; and				
				to whom the occurrence was reported.				
Reporting								
✓	✓		9503.0130, subpart 1	Abuse and neglect -The license holder complied with the mandated reporting requirements of abuse and neglect specified in Minnesota Statutes, section 626.556.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.145	Reporting policy provided to parents – The license holder provided the reporting policies and procedures to all parents at the time of enrollment, and made it available upon request.				
✓	✓		245A.66, subdivision 1, (1)	Internal Review – The LH had policies and procedures to ensure that an internal review is completed within 30 calendar days and corrective action is taken as necessary to protect the health and safety of children when the facility has reason to know that an internal or external report of alleged or suspected maltreatment has been made. The internal review must include an evaluation of whether:				
				(i) related policies and procedures were followed;				
				(ii) the policies and procedures were adequate;				
				(iii) there is a need for additional staff training;				
				(iv) the reported event is similar to past events; and				
				(v) there is a need for corrective action.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.66, subdivision 1, (1)	When completed as necessary, the license holder developed, documented, and implemented a corrective action plan based on results of the internal review.				
	✓		245A.66, subdivision 1, (2)	The license holder identified the primary and secondary person or position who will ensure that internal reviews are completed.				
	✓		245A.66, subdivision 1, (3)	Documentation of internal review When completed as necessary, the license holder documented that an internal review was completed within 30 calendar days and provided the documentation to the commissioner immediately upon request.				
	✓		9503.0130, subpart 2, items A - D	Commissioner informed – The license holder informed the commissioner within:				
				A. 24 hours of the death of a child in care in the center;				
				B. 24 hours of any injury to a child in care in the center that required physician treatment;				
				C. 48 hours of a fire during hours of operation requiring services of a fire department;				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
				D. 24 hours of the use of any emergency medical service by a child while in care.				
	✓		9503.0140, subpart 6, item D	Reportable disease – The license holder ensured that the health authority was notified of any suspected case of reportable disease within 24 hours of receiving the parent's report.				
Personnel Records								
	✓		9503.0120 and 9503.0115	Personnel records – There was a personnel record maintained by the center for each staff person.				
✓	✓		9503.0120, items A and B	<p>Each personnel record contained-</p> <p>A. the staff person's name, home address, home telephone number, and date of birth; and</p> <p>B. documentation of the staff person's education and experience necessary to meet job requirements.</p> <p>(Will cite under staff qualifications under 9503.0031-9503,0034)</p>				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
Background Studies								
✓	✓		245C.03, subdivision 1, paragraph (a); and 245C.04, subdivision 1, paragraph (f)	Background studies (BGS) submitted – Completed background studies were submitted:				
				before employees or contractors had direct contact with children served by the program;				
				for volunteers who were not under continuous direct supervision; and				
				for individuals who, without providing direct contact services, have unsupervised access to children, when the commissioner has reasonable cause.				
✓	✓		245C.04, subd. 7	Legal name change – The license holder submitted a new BGS or notified the commissioner when a staff person had a legal name change.				
✓	✓		245C.13, subdivision 2	Continuous direct supervision – All BGS subjects were provided with continuous direct supervision until the license holder received one of the BGS notices identified under 245C.13, subd. 2, para. (a).				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245C.20, subdivision 1	BGS record keeping – In the personnel files, the license holder:				
				documented the date each BGS was submitted;				
				documented the first date of direct contact with children; and				
				maintained a notice that BGSs were undertaken and completed.				
				Follow-up (online studies) – The license holder contacted the DHS licensing division or resubmitted a BGS online when a BGS subject's name did not appear in the list of active or recent studies initiated by the license holder.				
✓	✓		245C.04, subdivision 1, paragraph (g), (1)	120 day return – The license holder submitted a new BGS when individuals returned to a position requiring a BGS after an absence of 120 or more consecutive days.				
✓	✓		245C.04, subd. 1, paragraph (g), (2)	Program services resumed – The license holder submitted new BGSs when the program resumed direct contact services after discontinuing services for 120 or more consecutive days.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245C.05, subdivision 2	Correct BGS information – The license holder verified that the information required for submission of BGSs was correct for all BGS subjects.				
	✓		245C.07, paragraph (b)	Closed license – For BGS purposes, the license holder immediately notified the commissioner to transfer staff to an active license when a license closed.				
	✓		245C.301	Parent notification of BGS set-aside or variance – The license holder provided written notification to parents considering enrollment of a child and parents of a child attending the center that the program employed an individual who is the subject of either a set-aside or a variance to a disqualification.				
Staff Qualifications								
✓	✓		9503.0031 to 9503.0034	Staff qualifications – All staff persons met the education and experience requirements of the job classification for which they were employed.				
			9503.0031, subpart 1	Director				
			9503.0032, subp. 1, B	RN/LPN (infant teacher)				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		9503.0032, subpart 2	Teacher				
			9503.0033, subp. 1, A	RN/LPN (infant assistant teacher)				
			9503.0033, subpart 2	Assistant teacher				
			9503.0034, subpart 1	Aide				
	✓		9503.0034, subpart 2	Volunteers – Volunteers included in the staff to child ratio met the qualification requirements for the assigned staff position.				
	✓		9503.0034, subpart 3	Substitute staff – Substitute staff met the qualification requirements for the assigned staff position.				
✓			9503.0034, subpart 3, A-C	Unqualified substitute staff – The license holder used unqualified substitute staff only within the restrictions listed under items A , B, and C:				
				A. within allotted hours per calendar year;				
				B. for no more than ten consecutive working days for the same group of children; and				
				C. a teacher qualified staff person was present within the center.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.14, subdivision 8, (a), (1) – (4)	Experienced aides – The license holder used experienced aides only within required restrictions:				
				(a) experienced aide use did not exceed 25% of the center’s daily hours of operation;				
				(1) a teacher was present in the facility when experienced aides worked with children;				
				(2) each experienced aide had first aid and CPR training within the last three years;				
				(3) each experienced aide was at least 20 years old; and				
				(4) each experienced aide had at least 4,160 hours of child care experience, 120 days of which were with the current company.				
	✓		245A.14 Subdivision 8 (b)	Posting – Each classroom that used experienced aides had a notice posted identifying which staff person was the experienced aide.				
				Record of experienced aide use – The license holder maintained records of experienced aide use on-site.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.14, subdivision 8, (c)	Two experienced aide violations – The center did not use experienced aides for one year following two determined experienced aide violations within a one-year period.				
	✓		245A.14, subdivision 8, (d)	Number of experienced aides The center used no more than one experienced aide for every 4 full-time staff.				
Staff Training								
✓	✓		245A.40, subdivision 1; and 245A.04, subdivision 14, paragraph (b), (1)	Orientation training – Before starting assigned duties, all staff persons and unsupervised volunteers who had direct contact with or access to children received orientation training containing information as specified in 245A.40, subdivision 1, and all program policies and procedures as specified in 245A.04, subd. 14, paragraph (b), (1).				* See Technical Assistance Checklist for new orientation requirements (pg. 6)
				Completion of orientation training was documented in the personnel records.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245A.04, subd. 14, para. (c)	Policies and procedures were indexed and accessible to staff – The license holder kept program policies and procedures readily accessible to staff; and indexed the policies and procedures with a table of contents or another method approved by the commissioner.				
✓	✓		245A.40, subdivision 3	First aid training – All teachers, assistant teachers, and at least one staff person during field trips and while transporting children had received first aid training within the first 90 days of the start of work or within the previous three years.				* See Technical Assistance Checklist for new 1 st aid requirements (pg. 7)
				At least one staff person trained in first aid was present in the center at all times.				
✓	✓		245A.40, subdivision 4, paragraph (a)	CPR training – All teachers, assistant teachers, and at least one staff person during field trips and when transporting children, completed CPR training that included techniques for infants and children within 90 days of the start of work or within the previous three years.				* See Technical Assistance Checklist for new CPR requirement (pg. 8)
				At least one staff person trained in CPR was present in the center at all times.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245A.40, subdivision 4, paragraph (c)	CPR training was developed by the American Heart Association, American Red Cross, or by an individual approved to provide CPR instruction using nationally recognized, evidence-based guidelines and psychomotor skills.				
✓	✓		245A.40, subdivision 7	In-service training – The director and program staff persons completed the required number of in-service training hours for each concluded calendar year. Documentation of completed in-service training was available onsite.				* See Technical Assistance Checklist for changes to in-service training requirements (pg. 8)
	✓		245A.04, subdivision 1, paragraph (c)	Drug and alcohol policy training - The license holder provided training about the program's drug/alcohol policy to all employees, subcontractors, and volunteers who were directly responsible for persons served by the program.				
✓	✓		245A.40, subdivision 5, paragraph (a)	Sudden unexpected infant death (SUID) training – The license holder had documentation to verify that staff persons received training on reducing the risk of SUID before working with infants.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
				Abusive head trauma (AHT) training – The license holder had documentation to verify that staff persons received training on reducing the risk of AHT before working with children under school age.				
✓	✓		245A.40, subdivision 5, para. (b)	Length of training – SUID training was at least one-half hour in length and completed at least once a year.				
				Training components – SUID training addressed the related risk factors, means of reducing the risk, and license holder communication with parents.				
✓	✓		245A.40, subdivision 5, paragraph (c)	Length of training – AHT training was at least one-half hour in length and completed at least once a year.				
				Training components – AHT training addressed the related risk factors, means of reducing the risk, and license holder communication with parents.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.40, subdivision 6	Child passenger restraint training - The license holder had documentation to verify that before children under age 9 were transported in a motor vehicle, the person who placed the children in a passenger restraint satisfactorily completed training on the proper use and installation of child restraint systems in motor vehicles.				
				Length of training – The child passenger restraint training was at least one hour in length and repeated every five years.				
				Certified trainers – The training was provided by an individual certified and approved by the Department of Public Safety, Office of Traffic Safety.				
	✓		245A.40, subdivision 2	Child growth and development training – The director and all staff hired after July 1, 2006, completed and documented at least two hours of child growth and development training within the first year of employment.				* See Technical Assistance Checklist (pg. 8) for new requirements for Child Development & Learning (new name)

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
Children's Records								
	✓		9503.0125 and 0115, item C	Record maintained – There was a record maintained at the center for each child enrolled.				
✓	✓		9503.0125, items A-M	Each child's record contained:				
				A. the child's full name, birthdate, and current home address;				
				B. name, address, and telephone number of the child's parent;				
				C. instructions on how the parent can be reached when the child is attending the center;				
				D. names and telephone numbers of any persons authorized to take the child from the center;				
				E. names, addresses, and telephone numbers of the child's source of regular medical and dental care, and emergency medical and dental care;				
				F. names, addresses, and telephone numbers of two persons to be contacted if a parent cannot be reached in an emergency or when there is an injury requiring medical attention;				
				H. written authorization for the center to act in an emergency, or				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		9503.0125, items A-M	when a parent cannot be reached or is delayed;				
				I. hours and days of the week the child will attend the center;				
				J. for children age six weeks to 33 months, a description of the child's eating, sleeping, toileting, and communication habits, and effective methods for comforting the child;				
				K. documentation of any dietary or medical needs of the child;				
				L. documentation of any individual child care program needs of the child; and				
				M. date of parent conferences and a summary of information provided to the parent at the conference.				
	✓		9503.0125, item G; and 9503.0140, subpart 3	Health information at admission – Each child's record contained a report on a current physical exam received before admission or within 30 days of admission, signed by the child's source of medical care.				
	✓		9503.0140, subpart 4	Reexamination – For children under 24 months of age, the center obtained an updated report of physical examination at least annually and for every child over 24 months, when they advanced to an older age category.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		9503.0125, item G; and 9503.0140, subpart 5	Immunization record – There was documentation in each child's record of current immunization, a signed notarized statement of parental objection, or a medical exemption.				
	✓		9503.0125	Records not disclosed – The license holder did not disclose a child's record to any person not specified under 9503.0125 unless the parent/legal guardian gave written consent or as otherwise required by law.				
	✓		9503.0145, subpart 5	Prescribed diet – There was a record of any prescribed diet in the child's record. All staff designated to care for a child with a prescribed diet were informed of the diet order.				
	✓		9503.0090, subpart 2, items A and B	Parent conferences – Individual parent conferences were planned and offered twice a year. Conference documentation – Documentation that conferences were planned and offered was available in each child's record.				
			9503.0090, subpart 2, item C	Conference content – The status of the child's intellectual, physical, social, and emotional development was reported to the parent during conferences.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
Attendance Records								
✓	✓		245A.14, subdivision 14, para. (a)	Attendance records – The license holder maintained documentation of actual attendance for each child for which the license holder is reimbursed by a governmental program. The records must include:				
				first and last name of child;				
				time child was dropped off; and				
				time child was picked up.				
				Attendance records were completed on the actual day of attendance.				
				Attendance records were available to the commissioner.				
Children with Special Needs								
	✓		9503.0065, subpart 1, items A - C	Special needs designation – Children designated as having special needs met criteria defined in 9503.0065, subpart 1.				
	✓		9503.0065, subpart 2	Report to parent – The license holder informed parents of any diagnosed or identified special need of a child that was not reported by the parent at the time of admission.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0065, subpart 3	Individual child care program plan (ICCPP) – Each child with special needs had a written ICCPP that specified methods of implementation and was reviewed and followed by all staff who interact with the child.				
	✓		9503.0065, subpart 3	ICCPP coordination - The ICCPP was coordinated with:				
				the child's individual service plan (ISP), for children with developmental disabilities;				
				the child's individual education plan (IEP) developed under chapter 125A, as applicable; or				
				reports from the licensed physician, psychiatrist, psychologist, or consulting psychologist when a special need related to physical, social, or emotional development was determined by a licensed physician, psychiatrist, psychologist, or consulting psychologist.				
	✓		9503.0065, subpart 3	Annual review – The ICCPP was evaluated annually by the licensed physician, psychiatrist, psychologist, or consulting psychologist and with the child's parent to determine if the child's needs are being met.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		9503.0065, subpart 4	Service contracts – The license holder had copies of all service contracts (ISP, IEP, etc.) available on-site when care was provided to a special needs child at the center.				
	✓		9503.0065, subpart 5	Additional staff, qualifications, and training – The license holder ensured that any additional staff, staff qualifications, or staff training required by the ICCPP were provided.				
Risk Reduction Plan								
	✓		245A.66, subdivision 2, paragraph (a)	Risk reduction plan – The child care center had a risk reduction plan that identified general risks to children served by the center and established new or referred to existing procedures to minimize identified risks.				
	✓		245A.66, subdivision 2, paragraph (b), (1)	Physical plant assessment – The risk reduction plan included an assessment and identification of risks presented by the physical plant where licensed services are provided included an evaluation of the following factors:				
				the condition and design of the facility and its outdoor space;				
				bathrooms;				
				storage areas;				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
				accessibility of medications and cleaning products that are harmful to children when children are not supervised; and				
				the existence of areas that are difficult to supervise.				
	✓		245A.66, subdivision 2, paragraph (b), (2)	Environment assessment – The risk reduction plan included an assessment and identification of risks presented by the environment for each facility and for each site included an evaluation of the following factors:				
				the type of grounds and terrain surrounding the building; and				
				the proximity to hazards, busy roads, and publicly accessed businesses.				
	✓		245A.66, subdivision 2, paragraph (c)	For each identified risk in the physical plant and environment assessments, the risk reduction plan had stated measures to be taken to minimize the risk of harm to children including the development and implementation of specific policies and procedures or reference to existing policies and procedures.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.66, subdivision 2, paragraph (d)	Known risks to children – The plan included specific policies and procedures or reference to existing policies and procedures that minimize the risk of harm or injury to children including:				
				(1) closing children’s fingers in doors, including cabinet doors;				
				(2) leaving children in the community without supervision;				
				(3) children leaving the facility without supervision;				
				(4) caregiver dislocation of children’s elbows;				
	✓		245A.66, subdivision 2, paragraph (d)	(5) burns from hot food or beverages, whether served to children or being consumed by caregivers, and the devices used to warm food and beverages;				
				(6) injuries from equipment, such as scissors and glue guns;				
				(7) sunburn;				
				(8) feeding children foods to which they are allergic;				
				(9) children falling from changing tables; and				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
				(10) children accessing dangerous items or chemicals or coming into contact with residue from harmful cleaning products.				
	✓		245A.66, subdivision 2, para. (e)	Hazards – The risk reduction plan included a statement prohibiting the accessibility of hazardous items to children.				
	✓		245A.66 subdivision 2, paragraph (f)	Supervision – The risk reduction plan included specific policies and procedures to ensure adequate supervision of children at all times, with particular emphasis on:				
transitioning children from one area to another;								
naptime, including infant crib rooms;								
child drop-off and pick-up times;								
outdoor play and community activities, including field trips and neighborhood walks; and								
children in hallways.								

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
✓	✓		245A.66, subdivision 3, paragraph (a)	Orientation to the risk reduction plan – Documentation was available to verify that all mandated reporters under the license holder’s control received orientation to the risk reduction plan.				
				Orientation to the risk reduction plan occurred before each mandated reporter had unsupervised direct contact services with children, or				
				orientation to the risk reduction plan did not exceed 14 days from the first supervised direct contact.				
				Annual training of the risk reduction plan was provided by the license holder to all mandated reporters.				
	✓		245A.66, subdivision 3, paragraph (b)	Risk reduction plan annual review Documentation was available to verify that the risk reduction plan was reviewed annually considering incidents that have occurred in the center since the last review, including:				
				(1) assessment factors in the plan;				
				(2) internal reviews conducted;				
				(3) substantiated maltreatment findings, if any; and				
				(4) incidents that caused injury or harm to a child, if any.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.66, subdivision 3	Change to the risk reduction plan The license holder had documentation to verify mandated reporters were informed following a change to the risk reduction plan.				
Code Approvals and Floor Plan								
	✓		245A.04, subdivision 2	Zoning – The center complied with local zoning ordinances.				
	✓		245A.04, subd. 2; 9503.0155, subpart 1	Building Code – The center complied with applicable state or local building codes.				
	✓		9503.0155, subpart 2	Fire Code – The center was inspected and approved by a fire marshal within 12 months before initial licensing, and complied with the MN State Fire Code requirements.				
	✓		245A.04, subd. 2; and 9503.0145, subpart 3	Health Code – The center was inspected and approved by a health inspector, and complied with the requirements for food and beverage establishments in chapter 4626.				
	✓		9503.0155, subpart 4, items A - C	Facility floor plan – The center submitted and maintained as part of the center's administrative record, a facility floor plan designating indoor and outdoor space used exclusively for child care during the center's hours of operation. The floor plan included:				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
				A. dimensions and location of all areas of the center designated for the provision of child care;				
				B. planned use of each area; and				
				C. size and location of areas used for outdoor activity.				
	✓		245A.04, Subd. 2a	Meeting fire and safety codes – The license holder had documentation to show compliance with applicable building codes, fire and safety codes, health rules, and zoning ordinances, or documentation that an appropriate waiver has been granted.				
Commissioner's Right of Access, Record Retention and Electronic Records								
✓	✓	✓	245A.04, subdivision 5	Access – The DHS Licensor was given access to the physical plant and grounds where the program was provided, documents and records including records maintained in electronic format, persons served by the program, and current and former staff.				
	✓		245A.041, subdivision 3	Record retention – The license holder maintained records in a manner that allowed for review by the commissioner and in accordance with the statutory requirements.				

M	F	I	Applicable Law or Rule	Requirement	Met or Not Met	Prev. Cited	Corr. on-site	Notes
	✓		245A.041 subdivision 4	Electronic records – The license holder's use of electronic record keeping met all standards as required.				

Key:

M = Modified review

F = Full review

I = Licensing investigation

An exit interview was conducted with _____ on _____.

A Fix-It Ticket was issued during this review.