

## Department of Early Learning

### 10.6.7

#### Licensing File Consistency Procedure

1. Hard copy licensing files must be maintained for each licensed facility.
2. Hard copy of licensing files shall remain in the office and not be taken in the field without supervisor's approval.
3. Hard copy files will be labeled with the name of the licensee or facility and provider ID.
4. Hard copy licensing files will be maintained with the following tabbed sections in chronological order with the most current on top:
  - a. Section One: Licenses
    - i. Current DEL License
    - ii. Past licenses\*
  - b. Section Two: Licensing Process Documents
    - i. Copy of current and past application
    - ii. Copy of current and past annual Declaration of Compliance Forms
    - iii. Correspondence to and from applicant/provider related to licensing
    - iv. License Change Request Forms
    - v. Capacity Change Request Form
    - vi. Documentation of fee payment
    - vii. Proof of EIN, Social Security Card, or sworn declaration if no social security card.
    - viii. Photo ID
    - ix. Social Services Payment System (SSPS) Provider File Action Requests (PFAR)
    - x. File review checklist
  - c. Section Three: Employee Information of Household Members
    - i. FCC Licensee
      1. Background Check List
      2. DEL certificate of orientation phase 2
      3. Resume
      4. References
      5. Transcript(s)\*
      6. High School diploma or equivalency
      7. Current First Aid/CPR
      8. HIV/AIDS training
      9. TB
      10. Verification of STARS requirements
      11. Food Handlers Permit
      12. Photo ID
      13. Merit Registration
    - ii. FCC Household Members
      1. Background and Noncriminal Clearance List
      2. TB

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- iii. FCC Staff/Volunteers
  - 1. Background and Noncriminal Clearance list
  - 2. Resume
  - 3. Current First Aid/CPR
  - 4. HIV/AIDS Training
  - 5. TB
  - 6. Verification of STARS requirements
  - 7. MERIT Registration
  - 8. Food Handlers Permit\*
  
- iv. Center/Director/Program Supervisor/Other Management
  - 1. Resume
  - 2. References
  - 3. Transcript
  - 4. Background Clearance List
  - 5. Verification of STARS requirements
  - 6. MERIT Registration
  - 7. DEL Orientation Certificate
  - 8. Management/Staff Notice of Change
  
- d. Section Four: Licensing Activities
  - i. Licensing checklists
  - ii. Compliance Agreements
  - iii. Supervisory reviews regarding compliance agreements
  - iv. Exception Requests, supporting documents, and decision letter(s)
  - v. General correspondence
  - vi. Provider Notes
  - vii. Child Care Injury/Incident report
  
- e. Section Five: Complaints/Medical/Legal/Safety Plans
  - i. Compliance Agreements related to complaints
  - ii. Correspondence related to complaints
  - iii. Facility Complaint Report
  - iv. Complaint related incident reports
  - v. Supervisor reviews related to complaints
  - vi. Police reports
  - vii. Requested Evaluations
  - viii. Denial/Revocation Recommendation Form
  - ix. Legal letters
  - x. Licensing Critical Incident Reports (LCIR)
  - xi. No referral letters
  - xii. Safety Plans
  
- f. Section Six: Facility Information
  - i. Floor Plan, record of measurement, capacity determination
  - ii. Overnight Care Plan Form
  - iii. Special Needs Plan Form
  - iv. Declaration of Unlicensed Areas
  - v. Septic/Water inspection- approval\*

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- vi. Fire Inspection\*
  - vii. Fire Requests\*
  - viii. Fire Escape Evacuation Plan
  - ix. Disaster Plan\*
  - x. Parent, staff and operation policies
  - xi. In service training program\*
  - xii. Health Services Request Form
  - xiii. Health Plan
    - 1. Blood Borne Pathogen Control Plan
    - 2. Pesticide Plan
    - 3. Pet Plan\*
  - xiv. Insurance
    - 1. Certificate of current Insurance for Centers
    - 2. Insurance Statement for Family Child Care
    - 3. Auto/transportation insurance\*
  - xv. Certificate of Occupancy\*
  - xvi. Master/local Business License\*
  - xvii. Consumer Provider Safety Recall Statement (CPSC)\*
  - xviii. Articles of Incorporation/proof of LLC\*
5. The Licensor should create a new volume if a file becomes too large to manage.
6. The following information should be transferred from the original file to the new volume. The original copies should move forward with the new volume.
- a. For Child Care Centers:
    - i. Current license
    - ii. Current copy of annual Declaration of Compliance Form
    - iii. Latest application
    - iv. Floor plan, evacuation plan
    - v. Record of measurement, capacity determination
    - vi. Center Management Current:
      - 1. Background Clearance Check
      - 2. Resume
      - 3. Reference letters
      - 4. Transcript
    - xix. Certificate of Occupancy\*
    - xx. Fire approval
    - xxi. Septic/Water inspection-approval\*
    - xxii. CPSC statement
      - vii. Current parent handbooks
      - viii. Current health plan
      - ix. In service training program
  - b. For Family Child Care Homes:
    - i. Current license
    - ii. Latest application

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- iii. Current copy of annual Declaration of Compliance Form
- iv. Floor plan, evacuation plan
- v. Record of measurement, capacity determination\*
- vi. Fire inspection\*
- vii. Septic/Water inspection- approval\*
- viii. Resume
- ix. References
- x. TB
- xi. First Aid/CPR
- xii. Photo ID
- xiii. Proof of EIN or SSN
- xiv. PFAR
- xv. HIV training
- xvi. Current parent policies
- xvii. Health plan
- xviii. Insurance information

\*Indicates only when applicable