

PROPOSED TEMPORARY RULES - Eff. September 23, 2016

CHAPTER 09 - CHILD CARE RULES

SECTION – .0600 – SAFETY REQUIREMENTS FOR CHILD CARE CENTERS

1 **10A NCAC 09 .0604 SAFETY REQUIREMENTS**

2 (a) In child care centers, potentially hazardous items, ~~such as including but not limited to, archery equipment, hand~~
3 ~~and~~ power tools, nails, chemicals, propane stoves, lawn mowers, and gasoline or kerosene, whether or not intended
4 for use by children, shall be stored in locked areas, or shall be removed from the premises or otherwise inaccessible
5 to children.

6 (b) Firearms and ammunition are prohibited in a licensed child care facility unless carried by a law enforcement
7 officer.

8 (c) ~~Electrical outlets not in use which are~~ When not in use, electrical outlets and power strips located in space used
9 by ~~the~~ children shall have approved safety outlets or be covered with safety plugs unless located behind furniture or
10 equipment that cannot be moved by a child.

11 (d) Electric fans shall be mounted out of the reach of children or shall be fitted with a mesh guard to prevent access
12 by children.

13 (e) All electrical appliances shall be used only in accordance with the manufacturer's instructions. For appliances with
14 heating elements, such as bottle warmers, crock pots, irons, coffee pots, or curling irons, neither the appliance nor the
15 cord, if applicable, shall be accessible to preschool-age children.

16 (f) Electrical cords shall not be accessible to infants and toddlers. Extension cords, except as approved by the local
17 fire inspector, shall not be used. Frayed or cracked electrical cords shall be replaced.

18 (g) All materials used for starting fires, such as matches, matches and lighters, and accelerants shall be kept in locked
19 storage. storage or shall be stored out of the reach of children.

20 (h) ~~Smoking Smoking, including use of e-Cigarettes, is not permitted in space used by children when children are~~
21 ~~present. on the premises of the child care center.~~ All smoking materials shall be kept in locked storage. storage or out
22 of the reach of children.

23 (i) Fuel burning heaters, fireplaces, and floor furnaces shall be provided with a protective screen attached securely to
24 supports to prevent access by children and to prevent objects from being thrown into them.

25 (j) Toxic plants ~~Plants~~ shall be inaccessible to children. children that are toxic shall not be in indoor or outdoor space
26 that is used by or is accessible to children.

27 (k) Air conditioning units shall be located so that they are not accessible to children or shall be fitted with a mesh
28 guard to prevent objects from being thrown into them.

29 (l) Gas tanks and gas or charcoal grills shall be ~~located so they are not accessible~~ inaccessible to the children or shall
30 be in a protective enclosure or surrounded by a protective guard.

1 (m) Cribs and playpens shall be placed so that the children occupying them shall not have access to cords or ropes,
2 such as venetian blind cords.

3 (n) Once a day, prior to initial use, the indoor and outdoor premises shall be checked for debris, vandalism, and broken
4 equipment. Debris shall be removed and ~~disposed~~. disposed of.

5 (o) Plastic bags, toys, and toy parts small enough to be swallowed, and materials that can be easily torn apart such as
6 foam rubber and styrofoam, shall not be accessible to children under three years of age, except that styrofoam plates
7 and larger pieces of foam rubber may be used for supervised art activities and styrofoam plates may be used for food
8 service. ~~Latex and rubber balloons, Jump ropes and rubber bands~~ shall not be accessible to children under five years
9 of ~~age~~. age without adult supervision. Balloons shall be prohibited.

10 (p) When non-ambulatory children are in care, a crib or other device shall be available for evacuation in case of fire
11 or other emergency. The crib or other device shall be fitted with wheels in order to be easily moveable, have a
12 reinforced bottom, and shall be able to fit through the designated fire exit. For centers that do not meet institutional
13 building code, and the exit is more than eight inches above grade, the center shall develop a written plan to ensure a
14 safe and immediate evacuation of the crib or other device. The operator shall physically demonstrate this written plan
15 to the Division for review and approval. During the required fire, lockdown, or shelter-in-place drills, an evacuation
16 crib or other device shall be used in the manner described in the Emergency Preparedness and Response Plan as
17 defined in 10A NCAC 09 .0607(c).

18 (q) A first aid kit shall always be available on ~~site~~. site and easily accessible to staff. Each staff member shall be
19 aware of the location of the first aid kit.

20 (r) Fire drills shall be practiced monthly in accordance with 10A NCAC 09 .0607(a) and records shall be maintained
21 as required by 10A NCAC 09 .0302(d)(5).

22 (s) A "shelter in place drill" or "lockdown drill" as defined in 10A NCAC 09 .0102 shall be conducted at least every
23 three months and records shall be maintained as required by 10A NCAC 09 .0302(8).

24 (t) Each center shall establish safe procedures for pick-up and delivery of children. These procedures shall be
25 communicated to parents, and a copy shall be posted in the center where they can be seen by the parents.

26 (u) In child care centers, potential bio contaminants shall be stored in locked areas or shall be removed from the
27 premises or otherwise inaccessible to children and disposed of appropriately.

28
29 *Authority G.S. 110-85; 110-91(3),(6); 110-88; 143B-168.3;*

30
31 **10A NCAC 09 .0608 PREVENTION OF SHAKEN BABY SYNDROME AND ABUSIVE HEAD TRAUMA**

32 (a) Each child care center licensed to care for children up to five years of age shall develop and adopt policies to
33 prevent shaken baby syndrome and abusive head trauma. The policy shall include but not be limited to the following:

34 (1) Recognizing, responding to, and reporting the signs and symptoms of shaken baby
35 syndrome and abusive head trauma;

36 (2) Strategies to assist staff members in coping with a crying, fussing, or distraught child;

37 (3) Strategies to ensure staff members understand the brain development of children up to five years of
38 age and how to properly care for infants;

- 1 (4) A list of prohibited behaviors that staff members shall follow in order to care for children in a safe
2 manner. Prohibited behaviors shall include but not be limited to, shaking a child, tossing a child
3 into the air or into a crib, chair, or car seat, and pushing a child into walls, doors, and furniture; and
4 (5) Resources to assist staff members and families in preventing shaken baby syndrome and abusive
5 head trauma.

6 (b) A copy of the policy shall be given and explained to the parents of children up to five years of age on or before
7 the first day the child receives care at the center. The parent shall sign a statement acknowledging the receipt and
8 explanation of the policy. The acknowledgement shall contain the following:

- 9 (1) The child's name;
10 (2) The date the child first attended the center;
11 (3) The date the operator's policy was given and explained to the parent;
12 (4) The parent's name;
13 (5) The parent's signature; and
14 (6) The date the parent signed the acknowledgment.

15 The child care center shall retain the acknowledgement in the child's file.

16 (c) If a child care center changes the policy at any time, the child care center must give written notice of such a change
17 to the child's parent 14 days prior to the implementation of the new policy and the parent must sign a statement that
18 attests that a copy of the new policy was given to and discussed with him or her. This statement shall be kept in the
19 child's file.

20 (d) Each child care center shall review the policy with staff members prior to the individual providing care to children.
21 The acknowledgement of this review shall contain:

- 22 (1) The individual's name;
23 (2) The date the individual began caring for children;
24 (3) The date the center's policy was given and explained to the individual;
25 (4) The individual's signature; and
26 (5) The date the individual signed the acknowledgment.

27 The child care center shall retain the acknowledgement in the staff member's personnel file.

28 (e) If a child care center changes the policy at any time, the child care center shall review the revised policy with staff
29 members 14 days prior to the implementation of the new policy. The individual shall sign a statement that attests that
30 a copy of the new policy was given to and discussed with him or her. This statement shall be kept in the staff member's
31 personnel file.

32 Authority G.S. 143B-168.3; 45 CFR 98.41(a)(1)(xi);

33
34 **SECTION .0700 – HEALTH AND OTHER STANDARDS FOR CENTER STAFF**

35
36
37 **10A NCAC 09 .0705 SPECIAL TRAINING REQUIREMENTS**

38 (a) At least one staff member shall be knowledgeable of and able to recognize common symptoms of illness.

1 ~~(b) Staff who have completed a course in basic first aid, shall be present at all times children are present. First aid~~
2 ~~training shall be renewed on or before expiration of the certification or every three years, whichever is less. The~~
3 ~~number of staff required to complete the course is based on the number of children present as shown in the following~~
4 ~~chart:~~

Number of children present	Number of staff trained in first aid required
1-29	1 staff
30-79	2 staff
80 and above	3 staff

5 All staff who provide direct care or accompany children when they are off premises shall successfully complete
6 certification in basic First Aid appropriate for the ages of children in care. The training shall be completed within six
7 weeks of employment; however, at all times when children are in care at least one staff member present must have
8 successfully completed basic First Aid training. First Aid training shall be renewed on or before expiration of the
9 certification. Verification of each required staff person's member's completion of this course from an approved
10 training organization shall be maintained in the person's individual staff member's personnel file in the center. The
11 Division shall post a list of approved training organizations on its website at
12 http://ncchildcare.nc.gov/providers/pv_sn2_ov_pd.asp. The basic first aid course shall address principles for
13 responding to emergencies, and techniques for handling common childhood injuries, accidents and illnesses such as
14 choking, burns, fractures, bites and stings, wounds, scrapes, bruises, cuts and lacerations, poisoning, seizures,
15 bleeding, allergic reactions, eye and nose injuries and sudden changes in body temperature.

16 (c) A ~~first aid~~ First Aid information sheet shall be posted in a prominent place for quick referral. An acceptable form
17 may be requested free of charge from the North Carolina Child Care Health and Safety Resource Center.

18 (d) ~~Each child care center shall have at least one person on the premises at all times, and at least one person who~~
19 ~~accompanies the children whenever they are off the premises, who has successfully completed certification in a~~
20 ~~cardiopulmonary resuscitation (CPR) course provided by either the American Heart Association or the American Red~~
21 ~~Cross or other organizations approved by the Division. Other organizations shall be approved if the Division~~
22 ~~determines that the courses offered are substantially equivalent to those offered by the American Red Cross. CPR~~
23 ~~training shall be renewed on or before the expiration of the certification or every two years, whichever is~~
24 ~~less. Successfully completed is defined as demonstrating competency, as evaluated by the instructor, in performing~~
25 ~~CPR. The course shall provide training in CPR appropriate for the ages of children in care. Documentation of~~
26 ~~successful completion of the course from the American Heart Association, the American Red Cross, or other~~
27 ~~organization approved by the Division shall be on file in the center. All staff who provide direct care or accompany~~
28 children when they are off premises shall successfully complete certification in a cardiopulmonary resuscitation (CPR)
29 course appropriate for the ages of children in care. The training shall be completed within six weeks of employment;
30 however, at all times when children are in care at least one staff member present must have successfully completed
31 CPR training. CPR training shall be renewed on or before the expiration of the certification. Verification of each staff
32 member's completion of this course from an approved training organization shall be maintained in the person's

1 individual personnel file in the center. The Division shall post a list of approved training organizations on its website
2 at http://ncchildcare.nc.gov/providers/pv_sn2_ov_pd.asp.

3 (e) Staff shall complete at least four clock hours of training in safety. This training shall address playground safety
4 hazards, playground supervision, maintenance and general upkeep of the outdoor area, and age and developmentally
5 appropriate playground equipment. Staff counted to comply with this Rule shall have six months from the date of
6 employment, or from the date a vacancy occurs, to complete the required safety training. The number of staff required
7 to complete this training shall be as follows:

8 (1) In centers with a licensed capacity of less than 30 children, at least one staff person shall complete
9 this training.

10 (2) In centers with a licensed capacity of 30 or more children, at least two staff, including the
11 administrator, shall complete this training.

12 (f) ~~In centers that are licensed to care for infants, infants ages 12 months and younger, the center director and any
13 child care provider scheduled to work in the infant room, including volunteers counted in staff/child ratios, shall
14 complete ITS-SIDS training. ITS-SIDS training shall be completed within four months of the individual assuming
15 responsibilities in the infant room or as an administrator, and shall be completed again every three years from the
16 completion of previous ITS-SIDS training. the child care administrator and any child care provider scheduled to work
17 in the infant room shall complete ITS-SIDS training. ITS-SIDS training shall be completed within two months of an
18 individual assuming responsibilities in the infant room and every three years thereafter. Child care administrators, as
19 defined in G.S. 110-86(2a), shall complete ITS-SIDS training within two months of employment and every three years
20 thereafter. Completion of ITS-SIDS training may shall be included once every three years in the number of hours
21 needed to meet annual in-service ongoing training requirements in Section .0700 of this Chapter. At all times, at least
22 one child care provider who has completed ITS-SIDS training shall be present in the infant room while children are
23 in care. Prior to an individual assuming responsibility for the care of an infant, the center's safe sleep policy for infants
24 shall be reviewed with the individual as required by Rule .0707(a) of this Section.~~

25 (g) The child care administrator and all staff members shall complete *Recognizing and Responding to Suspicious of*
26 *Child Maltreatment* training within two months of employment and every three years thereafter. Completion of
27 *Recognizing and Responding to Suspicious of Child Maltreatment* training shall be included once every three years in
28 the number of hours needed to meet ongoing training requirements in Section .0700 of this Chapter. *Recognizing and*
29 *Responding to Suspicious of Child Maltreatment* training is available at <https://www.preventchildabusenc.org/>.

30
31 *Authority G.S. ~~110-85; 110-88; 110-91(1),(8); 143B-168.3;~~*

32
33 **10A NCAC 09 .0706 HEALTH AND SAFETY TRAINING REQUIREMENTS**

34 (a) Child care administrators and staff members shall complete health and safety training offered by the Division no
35 later than June 30, 2017.

36 (b) The training must include the following topic areas:

37 (1) Prevention and control of infectious diseases, including immunization;

- 1 (2) Administration of medication, consistent with standards for parental consent;
- 2 (3) Prevention of and response to emergencies due to food and allergic reactions;
- 3 (4) Building and physical premises safety, including identification of and protection
4 from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular
5 traffic;
- 6 (5) Emergency preparedness and response planning for emergencies resulting from a natural disaster,
7 or a man-caused event;
- 8 (6) Handling and storage of hazardous materials and the appropriate disposal of bio contaminants;
- 9 (7) Precautions in transporting children if applicable;
- 10 (8) Prevention of shaken baby syndrome and abusive head trauma;
- 11 (9) CPR and First Aid training as required in Subparagraphs .0705(b) and (d) of this Section; and
- 12 (10) Recognizing and Responding to Suspicions of Child Maltreatment as required in Subparagraph
13 .0705(g) of this Section.

14 (c) Training hours accrued for the completion of this requirement may count toward in-service training. However,
15 child care administrators and staff members must complete the health and safety training even if the number of hours
16 accrued exceeds required in-service training, as specified in Rule .0707 of this Section.

17
18 Authority G.S. 110-88; 110-91(11); 143B-168.3;
19

20 **10A NCAC 09 .0707 IN-SERVICE AND ORIENTATION TRAINING REQUIREMENTS**

21 (a) Each center shall ~~assure~~ ensure that each new employee who is expected to have contact with children receives a
22 minimum of 16 clock hours of on-site training and orientation within the first six weeks of employment. As part of
23 this orientation, each new employee shall complete six clock hours of training within the first two weeks of
24 employment. Training required pursuant to this Rule shall not be counted toward annual ongoing training
25 requirements. This training and orientation shall include:

- 26 (1) ~~training in the recognition of the signs and symptoms of child abuse or neglect and in the employee's~~
27 ~~duty to report suspected abuse and neglect pursuant to G.S. 7B-301;~~
- 28 (2) ~~review of the center's operational policies, including the center's safe sleep policy for infants, the~~
29 ~~Emergency Preparedness and Response Plan, and the emergency medical care plan;~~
- 30 (3) ~~adequate supervision of children in accordance with 10A NCAC 09 .0714(f);~~
- 31 (4) ~~first hand observation of the center's daily operations;~~
- 32 (5) ~~instruction in the employee's assigned duties;~~
- 33 (6) ~~instruction in the maintenance of a safe and healthy environment;~~
- 34 (7) ~~review of the center's purposes and goals;~~
- 35 (8) ~~review of the center's personnel policies;~~
- 36 (9) ~~review of the child care licensing law and rules;~~

1 (c) The child care administrator and any staff who have responsibility for planning and supervising a child care
2 facility, as well as staff who work directly with children, shall participate in in-service training activities annually, as
3 follows:

- 4 (1) persons with a four year degree or higher advanced degree in a child care related field of study from
5 a regionally accredited college or university shall complete five clock hours of training;
- 6 (2) persons with a two year degree in a child care related field of study from a regionally accredited
7 college or university, or persons with a North Carolina Early Childhood Administration Credential
8 or its equivalent shall complete eight clock hours of training;
- 9 (3) persons with a certificate or diploma in a child care related field of study from a regionally accredited
10 college or university, or persons with a North Carolina Early Childhood Credential or its equivalent
11 shall complete 10 clock hours of training;
- 12 (4) persons with at least 10 years documented, professional experience as a teacher, director, or
13 caregiver in a licensed child care arrangement shall complete 15 clock hours of training; or
- 14 (5) shall complete 20 clock hours of training.

15 ~~(d) For staff listed in Subparagraphs (c)(1), (c)(2), (c)(3) and (c)(4) of this Rule, basic cardiopulmonary resuscitation~~
16 ~~(CPR) training required in Rule .0705 of this Section shall not be counted toward meeting annual in-service training.~~
17 ~~First aid training may be counted once every three years.~~

18 ~~(e) If a child care administrator or lead teacher is enrolled in coursework to meet the staff qualification requirements~~
19 ~~in G.S. 110-91(8), the individual may choose to apply for completed coursework toward meeting the annual in-service~~
20 ~~training requirement.~~

21 ~~(d)~~ Any staff working less than 40 hours per week may choose the option for 20 hours of in-service training, or the
22 training requirement may be prorated as follows:

WORKING HOURS PER WEEK	CLOCK HOURS REQUIRED
0-10	5
11-20	10
21-30	15
31-40	20

24 (e) Coursework appropriate to job responsibilities taken at a regionally accredited college or university may be
25 counted toward in-service training requirements.

26
27 *Authority G.S. 110-88; 110-91(11); 143B-168.3;*

1 (b) ~~Each child's application shall be readily available and easily accessible to caregiving staff during the time the~~
2 ~~children are present.~~ Center administrators and staff members shall:

- 3 (1) only release a child to an individual listed on the application;
4 (2) have the information provided in Subparagraphs (a)(1) through (8) of this Rule, contained
5 within the application, readily available and easily accessible to caregiving staff during the
6 time the children are in care; and
7 (3) use the information provided on the application to ensure that each individual child's needs
8 are met during the time the child is in care.

9
10 *Authority G.S. 110-88; 110-91(9); 143B-168.3;*

11
12 **SECTION .1700 – FAMILY CHILD CARE HOME REQUIREMENTS**

13
14
15 **10A NCAC 09 .1701 GENERAL PROVISIONS RELATED TO LICENSURE OF**
16 **HOMES**

17 (a) All family child care homes shall comply with the standards for licensure set forth in this Section. A one- star
18 rated license shall be issued to a family child care home operator who complies with the minimum standards for a
19 license contained in this Section and G.S. 110-91.

20 (b) An individual who provides care for five hours or more in a week, during planned absences of the operator, shall
21 be at least 21 years old, have a high school diploma or GED, have completed a ~~first aid~~ First Aid and cardiopulmonary
22 resuscitation (CPR) course as described in Rule .1705, Subparagraphs (a)(3), (a)(4), (b)(2), and (b)(3) of this Section,
23 have completed a health questionnaire, have proof of negative results of a tuberculosis test completed within 12
24 months prior to the first day of providing care, submit criminal records check forms as required in 10A NCAC 09
25 .2702, and annual in-service training as described in Rule .1705(b)(5) of this Section. While the individual provides
26 care at a family child care home, copies of required information shall be on file in the home available for review by
27 the Division.

28 (c) An individual who provides care for less than five hours in a week, during planned absences of the operator shall
29 meet all requirements listed in Paragraph (b) of this Rule, except the requirements for annual in-service training and
30 a high school diploma or GED. The individual shall be literate.

31 (d) The operator shall conduct 16 hours of orientation ~~review the appropriate requirements found in this Chapter,~~
32 ~~including the Emergency Preparedness and Response Plan, and in G.S. Chapter 110, Article 7 with any caregivers,~~
33 including substitute providers and volunteers, individuals who are providing care prior to the individual's assuming
34 responsibility for individual being left alone with the children- children as follows:

- 35 (1) recognizing, responding to, and reporting child abuse, neglect, or maltreatment
36 pursuant to G.S. 110-105.4 and G.S. 7B-301;
37 (2) review of the home's operational policies, including the written plan of care, safe sleep policy, and
38 the Emergency Preparedness and Response Plan;
39 (3) adequate supervision of children in accordance with 10A NCAC 09 .1718(a);

- 1 (4) information regarding prevention of shaken baby syndrome and abusive head trauma;
- 2 (5) prevention and control of infectious diseases, including immunization;
- 3 (6) first hand observation of the home's daily operations;
- 4 (7) instruction regarding assigned duties;
- 5 (8) instruction in the maintenance of a safe and healthy environment;
- 6 (9) instruction in the administration of medication to children in accordance with 10A NCAC 09
- 7 .1720(c);
- 8 (10) review of the home's purposes and goals;
- 9 (11) review of G.S. 110, Article 7 and 10A NCAC 09;
- 10 (12) an explanation of the role of State and local government agencies in the regulation of child care,
- 11 their impact on the operation of the center, and their availability as a resource;
- 12 (13) an explanation of the individual's obligation to cooperate with representatives of State and local
- 13 government agencies during visits and investigations;
- 14 (14) completion of CPR and First Aid training; and
- 15 (15) prevention of and response to emergencies due to food and allergic reactions.

16 The operator and individual providing care shall sign and date a statement which attests that this review was
17 completed. This statement shall be kept on file in the home available for review by the Division.

18 (e) An individual who provides care during unplanned absences of the operator, such as medical emergencies, shall
19 be at least 18 years old and submit criminal records check forms as required in 10A NCAC 09 .2702, Paragraph (j).
20 The children of an emergency caregiver shall not be counted in the licensed capacity for the first day of the emergency
21 caregiver's service.

22 (f) The provisions of G.S. 110-90.2 which exclude persons with certain criminal records or personal habits or behavior
23 which may be harmful to children from operating or being employed in a family child care home are hereby
24 incorporated by reference and shall also apply to any person on the premises with the operator's permission when the
25 children are present. This exclusion shall not apply to parents or other persons who enter the home only for the purpose
26 of performing parental responsibilities; nor does it include persons who enter the home for brief periods for the purpose
27 of conducting business with the operator and who are not left alone with the children.

28 (g) The parent of a child enrolled in any family child care home subject to regulation under G.S. 110, Article 7 shall
29 be allowed unlimited access to the home during its operating hours for the purposes of contacting the child or
30 evaluating the home and the care provided by the operator. The parent shall notify the operator of his or her presence
31 immediately upon entering the premises.

32 (h) An operator licensed to care for children overnight may sleep during the nighttime hours when all the children are
33 asleep, provided:

- 34 (1) the operator and the children in care, excluding the operator's own children, are on ground level;
- 35 (2) the operator can hear and respond quickly to the children if needed; and
- 36 (3) a battery operated smoke detector or an electrically operated (with a battery backup) smoke detector
- 37 is located in each room where children are sleeping.

1 (i) Each operator shall develop and adopt a written plan of care for completing routine tasks (including running
2 errands, meeting family and personal demands, and attending classes) to ensure that routine tasks shall not interfere
3 with the care of children during hours of operation. The plan shall:

- 4 (1) specify typical times for completing routine tasks and include those times on the written schedule,
5 or specify that routine tasks will not occur during hours of operation;
- 6 (2) specify the names of any individuals, such as additional caregivers or substitutes, who will be
7 responsible for the care of children when the operator is attending to routine tasks;
- 8 (3) specify how the operator shall maintain compliance with transportation requirements specified in
9 10A NCAC 09 .1723 if children are transported;
- 10 (4) specify how parents will be notified when children accompany the operator off premises for routine
11 tasks not specified on the written schedule;
- 12 (5) specify any other steps the operator shall take to ensure routine tasks will not interfere with the care
13 of children; and
- 14 (6) be given and explained to parents of children in care on or before the first day the child attends the
15 home. Parents shall sign a statement acknowledging the receipt and explanation of the plan. Parents
16 shall also give written permission for their child to be transported by the operator for specific routine
17 tasks that are included on the written schedule. The acknowledgment and written parental
18 permission shall be retained in the child's record as long as the child is enrolled at the home and a
19 copy of each document shall be maintained on file for review by the Division.

20 (j) If the operator amends the written plan, the operator shall give written notice of the amendment to parents of all
21 enrolled children at least 30 days before the amended plan is implemented. Each parent shall sign a statement
22 acknowledging the receipt and explanation of the amendment. The operator shall retain the acknowledgement in the
23 child's records as long as the child is enrolled in the home and a copy shall be maintained on file for review by the
24 Division.

25
26 *Authority G.S. ~~110-85~~; 110-86(3); 110-88(1); 110-91; 110-99; 110-105; 143B-168.3;*

27
28 **10A NCAC 09 .1702 APPLICATION FOR A LICENSE FOR A FAMILY CHILD CARE HOME**

29 (a) Any person who plans to operate a family child care home (FCCH) shall apply for a license using a form provided
30 by the Division. The form can be found on the Division's website at
31 http://ncchildcare.dhhs.state.nc.us/general/mb_customerservice.asp. The applicant shall submit the completed
32 application, to the Division that complies with the following:

- 33 (1) only one licensed family child care home shall operate at the location address of any home; and
- 34 (2) the applicant shall list each location address where a licensed family child care home will operate.

35 (b) If a family child care home operates at more than one location address by cooperative arrangement among two or
36 more families, the following procedures apply:

- 37 (1) one parent whose home is used as a location address shall be designated the coordinating parent and
38 shall co-sign the application with the applicant; and

1 (2) the coordinating parent shall know the current location address at all times and shall provide the
2 information to the Division upon request.

3 (c) The applicant shall ensure that the family child care home complies with the following requirements:

4 (1) single wide manufactured homes are limited to a maximum of three preschool-age children (not
5 more than two may be two years of age or less) and two school-age children;

6 (2) all children are kept on the ground level with an exit at grade;

7 (3) all homes are equipped with an electrically operated (with a battery backup) smoke detector, or one
8 electrically operated and one battery operated smoke detector located next to each other;

9 (4) all homes are provided with at least one five pound 2-A: 10-B: C type extinguisher for every 2,500
10 square feet of floor area;

11 (5) heating appliances shall be installed and maintained according to NC Building Code Chapter
12 603.5.3;

13 (6) all indoor areas used by children are heated when the temperature is below 65 degrees and ventilated
14 when the temperature is above 85 degrees; and

15 (7) pipes or radiators that are hot enough to be capable of burning children and are accessible to the
16 children are covered or insulated.

17 (d) The applicant shall also submit supporting documentation with the application for a license to the Division. The
18 supporting documentation shall include:

19 (1) a copy of a non-expired qualification letter in accordance with 10A NCAC 09 .2702;

20 (2) a copy of documentation of completion of a ~~first-aid~~ First Aid and cardiopulmonary resuscitation
21 (CPR) course;

22 ~~(3)~~ a copy of documentation of completion of ITS-SIDS training;

23 ~~(3)(4)~~ proof of negative results of the applicant's tuberculosis test completed within the past 12 months;

24 ~~(4)(5)~~ a completed health questionnaire;

25 ~~(5)(6)~~ a copy of current pet vaccinations for any pet in the home;

26 ~~(6)(7)~~ a negative well water bacteriological analysis if the home has a private well;

27 ~~(7)(8)~~ copies of any inspections required by local ordinances; and

28 ~~(8)(9)~~ any other documentation required by the Division according to the rules in this Section to support
29 the issuance of a license.

30 (e) Upon receipt of a complete application and supporting documentation, a Division representative shall make an
31 announced visit to each home. An announced visit is not required by a Division representative if the applicant is
32 subject to the circumstances in Paragraph (g) of this Rule. The issuance of a license applies as follows:

33 (1) if all applicable requirements of G.S. 110, Article 7 and this Section are met, a license shall be
34 issued;

35 (2) if the applicable requirements of G.S. 110, Article 7 and this Section are not met, but the applicant
36 has the potential to comply, the Division representative shall establish with the applicant a time
37 period for the home to achieve compliance. If the Division representative determines that all

- 1 applicable requirements of G.S. 110, Article 7 and this Section are met within the established time
2 period, a license shall be issued; or
- 3 (3) if all applicable requirements of G.S. 110, Article 7 and this Section are not met or cannot be met
4 within the established time, the Division shall deny the application.
- 5 (f) The Division shall allow the applicant to operate prior to the Division representative's visit described in Paragraph
6 (e) of this Rule when the applicant is currently licensed as a family child care home operator, needs to relocate and
7 notifies the Division of the relocation, and the Division representative is unable to visit before the relocation
8 occurs. An applicant shall not operate until he or she has received from the Division either temporary permission to
9 operate or a license.
- 10 (g) The Secretary may deny the application for the license under the following circumstances:
- 11 (1) if any child care facility license previously held by the applicant has been denied, revoked, or
12 summarily suspended by the Division;
- 13 (2) if the Division initiated denial, revocation, or summary suspension proceedings against any child
14 care facility license previously held by the applicant and the applicant voluntarily relinquished the
15 license;
- 16 (3) during the pendency of an appeal of a denial, revocation, or summary suspension of any other child
17 care facility license held by the applicant;
- 18 (4) if the Division determines that the applicant has a relationship with an operator or former operator
19 who previously held a license under an administrative action described in Subparagraphs (g)(1), (2),
20 or (3) of this Rule. As used in this Rule, an applicant has a relationship with a former operator if
21 the former operator would be involved with the applicant's child care facility in one or more of the
22 following ways:
- 23 (A) would participate in the administration or operation of the facility;
- 24 (B) has a financial interest in the operation of the facility;
- 25 (C) provides care to the children at the facility;
- 26 (D) resides in the facility; or
- 27 (E) would be on the facility's board of directors, be a partner of the corporation, or otherwise
28 have responsibility for the administration of the business;
- 29 (5) based on the applicant's previous non-compliance as an operator with the requirements of G.S. 110,
30 Article 7 or this Chapter;
- 31 (6) if abuse or neglect has been substantiated against the applicant or a household member; or
- 32 (7) if the applicant is a disqualified child care provider or has a disqualified household member residing
33 in the FCCH.
- 34 (h) In determining whether denial of the application for a license is warranted pursuant to Paragraph (g) of this Rule,
35 the Division shall consider:

- 1 (1) any documentation provided by the applicant which describes the steps the applicant will take to
2 prevent reoccurrence of noncompliance issues that led to any prior administrative action taken
3 against a license previously held by the applicant;
- 4 (2) training certificates or original transcripts for any coursework from a nationally recognized
5 regionally accredited institution of higher learning related to providing quality child care, and that
6 was taken subsequent to any prior administrative action against a license previously held by the
7 applicant. "Nationally recognized" means that every state in this nation acknowledges the validity
8 of the coursework taken at higher education institutions that meet the requirements of one of the
9 accrediting bodies;
- 10 (3) proof of employment in a licensed child care facility and references from the administrator or
11 licensee of the child care facility regarding work performance;
- 12 (4) documentation of collaboration or mentorship with a licensed child care provider to obtain
13 additional knowledge and experience related to operation of a child care facility; and
- 14 (5) documentation explaining relationships with persons meeting the criteria listed in Subparagraph
15 (g)(4) of this Rule.

16 (i) The license shall not be bought, sold, or transferred from one individual to another.

17 (j) The license is valid only for the location address listed on it.

18 (k) The license must be returned to the Division in the event of termination, revocation, suspension, or summary
19 suspension.

20 (l) A licensee shall notify the Division if a change occurs that affects the information shown on the license.

21
22 *Authority G.S. ~~110-85~~; 110-88(5); 110-86; 110-91; 110-91(4); 110-93; 110-99; 143B-168.3;*

23
24 **10A NCAC 09 .1705 HEALTH AND TRAINING REQUIREMENTS FOR FAMILY**
25 **CHILD CARE HOME OPERATORS**

26 (a) Prior to receiving a license, each family child care home operator shall:

- 27 (1) Complete and keep on file a health questionnaire which attests to the operator's physical and
28 emotional ability to care for children. The Division may require a written statement or medical
29 examination report signed by a licensed physician or other authorized health professional if there is
30 reason to believe that the operator's health may adversely affect the care of the children based upon
31 observations and complaints made to the Division.
- 32 (2) Obtain written proof that he or she is free of active tuberculosis. The results indicating the individual
33 is free of active tuberculosis shall be obtained within 12 months prior to applying for a license.
- 34 (3) Complete within 12 months prior to applying for a license a basic ~~first-aid~~ **First Aid** course that shall
35 address principles for responding to emergencies, and techniques for handling common childhood
36 injuries, accidents and illnesses such as choking, burns, fractures, bites and stings, wounds, scrapes,
37 bruises, cuts and lacerations, poisoning, seizures, bleeding, allergic reactions, eye and nose injuries
38 and sudden changes in body temperature.

1 (4) Successfully complete within 12 months prior to applying for a license a course by the American
2 Heart Association or the American Red Cross or other organizations approved by the Division in
3 cardiopulmonary resuscitation (CPR) appropriate for the ages of children in care. Other
4 organizations shall be approved if the Division determines that the courses offered are substantially
5 equivalent to those offered by the American Red Cross. Successfully completed is defined as
6 demonstrating competency, as evaluated by the instructor, in performing CPR. Documentation of
7 successful completion of the course from the American Heart Association, the American Red Cross,
8 or other organization approved by the Division shall be on file in the home.

9 (5) Complete a pre-licensing orientation with a representative of the Division. Training required
10 pursuant to this Rule shall not be counted toward annual ongoing training requirements. Training
11 topics for orientation shall include:

12 (A) recognizing, responding to, and reporting child abuse, neglect, or maltreatment pursuant to
13 G.S. 110-105.4 and G.S. 7B-301;

14 (B) review of the home's operational policies, including the written plan of care, safe sleep
15 policy, and the Emergency Preparedness and Response Plan;

16 (C) adequate supervision of children in accordance with 10A NCAC 09 .1718(a);

17 (D) information regarding prevention of shaken baby syndrome and abusive head trauma;

18 (E) prevention and control of infectious diseases, including immunization;

19 (F) first hand observation of the home's daily operations;

20 (G) instruction regarding assigned duties;

21 (H) instruction in the maintenance of a safe and healthy environment;

22 (I) instruction in the administration of medication to children in accordance with 10A NCAC
23 09 .1720(c);

24 (J) review of the home's purposes and goals;

25 (K) review of the child care licensing law and rules;

26 (L) an explanation of the role of State and local government agencies in the
27 regulation of child care, their impact on the operation of the center, and their
28 availability as a resource;

29 (M) an explanation of the operator's obligation to cooperate with representatives of State and
30 local government agencies during visits and investigations; and

31 (N) prevention of and response to emergencies due to food and allergic reactions
32 Documentation of the pre-licensing orientation shall be provided by the Division and kept
33 on file in the home.

34 (b) After receiving a license, an operator shall:

35 (1) Update the health questionnaire referenced in Paragraph (a) of this Rule annually. The Division may
36 require the operator to obtain written proof that he or she is free of active tuberculosis.

- 1 (2) Complete a ~~first aid~~ First Aid course as referenced in Paragraph (a) of this Rule. ~~First aid~~ Aid raining
2 shall be renewed on or before expiration of the certification or every three years, whichever is less.
- 3 (3) Successfully complete a CPR course as referenced in Paragraph (a) of this Rule. CPR training shall
4 be renewed on or before the expiration of the certification, or every two years, whichever is less.
- 5 (4) If licensed to care for infants ages 12 months and younger, complete ITS-SIDS training within four
6 months of receiving the license, and complete it again every three years from the completion of
7 previous ITS-SIDS training. Completion of ITS-SIDS training may be included once every three
8 years in the number of hours needed to meet the annual in-service training requirement in Paragraph
9 (b)(5) of this Rule.
- 10 (5) Complete 12 clock hours of annual in-service training in the topic areas required by G.S. 110-91(11),
11 except that persons with at least 10 years work experience as a caregiver in a child care arrangement
12 regulated by the Division of Child Development and Early Education shall complete eight clock
13 hours of annual in-service training. Only training which has been approved by the Division as
14 referenced in Rule .0708 of this Chapter shall count toward the required hours of annual in-service
15 training. The operator shall maintain a record of annual in-service training activities in which he or
16 she has participated. The record shall include the subject matter, the topic area in G.S. 110-91(11)
17 covered, the name of the training provider or organization, the date training was provided and the
18 number of hours of training completed. ~~First aid~~ Aid training may be counted no more than once
19 every three years. Coursework appropriate to job responsibilities taken at a regionally accredited
20 college or university may be counted toward ongoing training requirements. The operator shall
21 maintain a record of training activities, including copies of training certificates or official
22 documentation provided by the trainer. That record shall include the subject matter, topic area,
23 training provider, date provided, hours, and name of staff who completed the training. This
24 documentation shall be on file and current.
- 25 (6) Within one year of the effective date of the license, complete the Emergency Preparedness and
26 Response in Child Care training. For the purposes of this Rule, the Emergency Preparedness and
27 Response in Child Care is a training approved by the Division on creating an Emergency
28 Preparedness and Response Plan and practicing, responding to, and recovering from emergencies in
29 child care facilities. Existing operators have two years as of the effective date of this Rule to
30 complete the Emergency Preparedness and Response in Child Care training. Documentation of
31 completion of the training shall be maintained in the operator's personnel file.
- 32 (7) Upon completion of the Emergency Preparedness and Response in Child Care training, develop the
33 Emergency Preparedness and Response Plan. The Emergency Preparedness and Response Plan
34 means a written plan that addresses how a child care facility will respond to both natural and man-
35 made disasters, such as fire, tornado, flood, power failures, chemical spills, bomb threats,
36 earthquakes, blizzards, nuclear disaster, or a dangerous person in the vicinity, to ensure the safety
37 and protection of the children and additional caregivers. This Plan must be on a template provided

1 by the Division available at <https://rmp.nc.gov/portal/#>, completed within four months of
2 completion of the Emergency Preparedness and Response in Child Care training, and available for
3 review. The Plan shall include the following:

- 4 (A) written procedures for accounting for all in attendance, including the location of the
5 children, staff, volunteer and visitor attendance lists and the name of the person(s)
6 responsible for bringing the lists in the event of an emergency;
- 7 (B) a description for how and when children shall be transported;
- 8 (C) methods for communicating with parents and emergency personnel or law enforcement;
- 9 (D) a description of how children's nutritional and health needs will be met;
- 10 (E) the relocation and reunification process;
- 11 (F) emergency telephone numbers;
- 12 (G) evacuation diagrams showing how the operator, family members, children and any other
13 individuals who may be present will evacuate during an emergency;
- 14 (H) the date of the last revision of the plan;
- 15 (I) specific considerations for non-mobile children and children with special needs; and
- 16 (J) the location of the Ready to Go File. A Ready to Go File means a collection of information
17 on children, additional caregivers and the facility, to utilize, if an evacuation occurs. The
18 file shall include, but is not limited to, a copy of the Emergency Preparedness and Response
19 Plan, contact information for individuals to pick-up children, each child's Application for
20 Child Care, medication authorizations and instructions, any action plans for children with
21 special health care needs, a list of any known food allergies of children and additional
22 caregiver, additional caregiver contact information, Incident Report forms, an area map,
23 and emergency telephone numbers.

24 (8) Review the Emergency Preparedness and Response Plan annually or when information in the plan
25 changes, to ensure all information is current.

26 (9) Review the Family Child Care Home's Emergency Preparedness and Response Plan with additional
27 caregivers during orientation and on an annual ~~basis~~. basis; and

28 (10) The operator shall complete *Recognizing and Responding to Suspicions of Child Maltreatment*
29 training within two months of licensure and every three years thereafter. Completion of *Recognizing*
30 *and Responding to Suspicions of Child Maltreatment* training shall be included once every three
31 years in the number of hours needed to meet ongoing training requirements in 10A NCAC 09
32 .1705(b)(5). *Recognizing and Responding to Suspicions of Child Maltreatment* training is available
33 at <https://www.preventchildabusenc.org/>.

34
35 Authority G.S. ~~110-85; 110-88; 110-91; 143B-168.3;~~
36
37
38

1 **10A NCAC 09 .1719** **REQUIREMENTS FOR A SAFE INDOOR/OUTDOOR ENVIRONMENT**

2 (a) The operator of a family child care home shall maintain a safe indoor and outdoor environment for the children in
3 care. In addition, the operator shall:

4 (1) keep all areas used by the children, indoors and outdoors, clean and orderly and free of items which
5 are potentially hazardous to children. This includes the removal of items that a child can
6 swallow. In addition, loose nails or screws and splinters shall be removed on inside and outside
7 equipment;

8 ~~(2) all corrosive agents, pesticides, bleaches, detergents, cleansers, polishes, any product which is under~~
9 ~~pressure in an aerosol dispenser, and any substance which may be hazardous to a child if ingested,~~
10 ~~inhaled, or handled shall be kept in its original container or in another labeled container, used~~
11 ~~according to the manufacturer's instructions and stored in a locked area when not in use. Locked~~
12 ~~areas shall include those which are unlocked with a combination, electronic or magnetic device,~~
13 ~~key, or equivalent locking device. Unlocking devices shall be kept out of the reach of a child and~~
14 ~~shall not be stored in the lock. Toxic substances shall be stored below or separate from medications~~
15 ~~and food. Any product not listed in this Paragraph of this Rule, which is labeled "keep out of reach~~
16 ~~of children" without any other warnings, shall be kept inaccessible to children when not in use, but~~
17 ~~is not required to be kept in locked storage. The product shall be considered inaccessible to children~~
18 ~~when stored on a shelf or in an unlocked cabinet that is mounted a minimum vertical distance of~~
19 ~~five feet above the finished floor;~~

20 ~~(3) ensure potential bio contaminants are stored in locked areas, or removed from the premises or~~
21 ~~otherwise inaccessible to children, and disposed of appropriately;~~

22 ~~(2)(4)~~ safely store equipment and supplies such as lawnmowers, power tools, or nails, so they are
23 inaccessible to children;

24 ~~(3)(5)~~ ensure that all stationary outdoor equipment is firmly anchored and is not installed over concrete or
25 asphalt. Footings which anchor the equipment shall not be exposed;

26 ~~(4)(6)~~ securely mount electric fans out of the reach of children or have a mesh guard on each fan;

27 ~~(5)(7)~~ cover all electrical outlets not in use and remove old, cracked or frayed cords in occupied outlets;

28 ~~(6)(8)~~ ensure that, for appliances with heating elements, such as bottle warmers, crock pots, irons, coffee
29 pots, or curling irons, neither the appliance nor the cord, if applicable, is accessible to preschool
30 children;

31 ~~(7)(9)~~ have solid and safe indoor and outdoor stairs and steps if these are used by the children. Indoor and
32 outdoor stairs with two or more steps which are used by the children shall be railed. Indoor stairs
33 with more than two steps shall be made inaccessible to children in care who are two years old or
34 younger; and

35 ~~(8) maintain any swimming pools or wading pools on the premises in a manner that will safeguard the~~
36 ~~lives and health of the children. All swimming or wading pools used by children in care shall meet~~
37 ~~the "Rules Governing Public Swimming Pools," in accordance with 15A NCAC 18A .2500 which~~

1 are hereby incorporated by reference including subsequent amendments. A copy of these Rules is
2 on file at the Division at the address given in Rule .0102 of this Chapter or may be obtained at no
3 cost by writing the North Carolina Division of Environmental Health, 1630 Mail Service Center,
4 Raleigh, NC 26799 1630;

5 (9) ~~enclose any in ground swimming pools by a fence at least four feet high to prevent chance access~~
6 ~~by children. The swimming pool shall be separate from the play area. Access to the water in above~~
7 ~~ground swimming pools shall be prevented by locking and securing the ladder in place or storing~~
8 ~~the ladder in a place inaccessible to the children; and~~

9 (10) safely store all combustible materials that may create a fire hazard.

10 (b) Prior to enrollment of children in a family child care home, and before new animals that will be in the home come
11 into the family child care home, a parent of each child must sign a form acknowledging the type of animal and where
12 the animal will be during operating hours. This documentation shall be maintained in each child's file.

13
14 *Authority G.S. ~~110-85~~; 110-88; 110-91(3),(4),(5),(6);*

15
16 **10A NCAC 09 .1721 REQUIREMENTS FOR RECORDS**

17 (a) The operator shall maintain the following health records for each enrolled child, including his or her own preschool
18 child(ren):

19 (1) a copy of the child's health assessment as required by G.S. 110-91(1);

20 (2) a copy of the child's immunization record;

21 (3) a health and emergency information form provided by the Division that is completed and signed by
22 a child's ~~parent~~ parent, as defined in 10A NCAC 09 .0102. A copy of the form can be found on the
23 Division's website at http://ncchildcare.nc.gov/pdf_forms/DCD-0377.pdf. The completed form
24 shall be on file the first day the child attends. An operator may use another form other than the one
25 provided by the Division, as long as the form includes the following information:

26 ~~(A) the child's name, address, and date of birth;~~

27 ~~(B) the names of individuals to whom the child may be released;~~

28 ~~(C) the general status of the child's health;~~

29 ~~(D) any allergies or restrictions on the child's participation in activities with instructions from~~
30 ~~the child's parent or physician;~~

31 ~~(E) the names and phone numbers of persons to be contacted in an emergency situation;~~

32 ~~(F) the name and phone number of the child's physician and preferred hospital;~~

33 ~~(G) authorization for the operator to seek emergency medical care in the parent's absence; and~~

34 (A) the child's full name and the name the child is to be called;

35 (B) the child's date of birth;

36 (C) any allergies, symptoms of and the type of response required for allergic reactions;

1 (D) any health care needs or concerns, symptoms of and the type of response required for these
2 health care needs or concerns;

3 (E) a completed medical action plan for children with health care needs such as allergies,
4 asthma or other chronic conditions that require specialized health services. The medical
5 action plan shall be completed by the child's parent or a health care professional and
6 include the following information:

7 (i) a list of the child's diagnosis/diagnoses, including dietary, environmental and
8 activity considerations that are applicable;

9 (ii) contact information for the health care professional(s);

10 (iii) medications to be administered on a scheduled basis; and

11 (iv) medications to be administered on an emergency basis with clearly stated signs,
12 symptoms and instructions.

13 The medical action plan shall be updated on an annual basis. Sample medical action plans
14 may be found on the Division's website at
15 http://ncchildcare.nc.gov/providers/pv_provideforms.asp.

16 (F) particular fears, or unique behavior characteristics that the child has;

17 (G) the names of individuals to whom the operator may release the child as authorized by the
18 person who signs the application;

19 (H) the names and phone numbers of persons to be contacted in an emergency situation;

20 (I) the name and phone number of the child's physician; and

21 (J) authorization for the operator to seek emergency medical care in the parent's absence.

22 (4) The operator shall:

23 (A) only release a child to an individual listed on the form;

24 (B) have the information provided in Subparagraphs (3)(A) through (J) of this Rule, readily
25 available and easily accessible to additional caregivers and substitute providers during the
26 time the children are in care; and

27 (C) use the information provided on the form to ensure that each individual child's needs are
28 met during the time the child is in care.

29 ~~(4)~~(5) when medication is administered, authorization for the operator to administer the specific
30 medication according to the parent's or physician's instructions.

31 (b) The operator shall complete and maintain other records which include:

32 (1) documentation of the operator's Emergency Preparedness and Response Plan on a template which
33 is provided by the Division at <http://rmp.nc.gov/portal/#>;

34 (2) documentation that monthly fire drills are practiced. The documentation shall include the date each
35 drill is held, the time of day, the length of time taken to evacuate the home, and the operator's
36 signature;

- (3) incident reports that are completed each time a child receives medical treatment by a physician, nurse, physician's assistant, nurse practitioner, community clinic, or local health department, as a result of an incident occurring while the child is in the family child care home. Each incident shall be reported on a form provided by the Division, signed by the operator and the parent, and maintained in the child's file. A copy of the form can be found on the Division's website at http://ncchildcare.nc.gov/pdf_forms/DCDEE-0058.pdf. A copy shall be mailed to the Division within seven calendar days after the incident occurs;
- (4) an incident log which is filled out any time an incident report is completed. This log shall be cumulative and maintained in a separate file and shall be available for review by the Division. This log shall be completed on a form supplied by the Division. A copy of the form can be found on the Division's website at http://ncchildcare.nc.gov/pdf_forms/incident_log_i.pdf;
- (5) documentation that a monthly check for hazards on the outdoor play area is completed. This form shall be supplied by the Division and shall be maintained in the family child care home for review by the Division. A copy of the form can be found of the Division's website at http://ncchildcare.nc.gov/pdf_forms/fcch_outdoor_inspection_checklist.pdf;
- (6) Accurate daily attendance records for all children in care, including the operator's own preschool children. The attendance record shall indicate the date and time of arrival and departure for each child; and
- (7) documentation of lockdown or shelter-in-place drills giving the date each drill is held, the time of day, the length of time taken to get into designated locations and the signature of the person who conducted the drill.

(c) Written records shall be maintained as follows:

- (1) All children's records as required in this Chapter, except medication permission slips as required in Rule .1720(c)(13) of this Section, must be kept on file one year from the date the child is no longer enrolled.
- (2) Additional caregiver records as required in this Chapter shall be maintained on file one year from the employee's last date of employment.
- (3) Current program records as required in this Chapter shall be maintained on file for as long as the license remains valid. Prior versions shall be maintained based on the time frame in the following charts:
 - (A) A minimum of 30 days from the revision or replacement date:

Record	Rule
Daily Schedule	.1718(7)
Infant Feeding Schedule	.1706(f)
SIDS Sleep Chart/Visual Check	.1724(8)

(B) A minimum of one year from the revision or replacement date:

Record	Rule
Attendance	.1721(b)(6)
Emergency Numbers	.1720(a)(8)
Emergency Preparedness and Response Plan	.1721(b)(1)
Field Trip/Transportation Permission	.1723(1)
Fire Drill Log	.1721(b)(2)
Lockdown or Shelter-in-Place Drill Log	.1721(b)(7)
Incident Log	.1721(b)(4)
Playground Inspection	.1721(b)(5)
Pet Vaccinations	.1720(d)(10)

- (4) Well-water analysis, pool inspection and inspections for local ordinances as referenced in Rules .1720(d)(1), .1719(7), and .1702(d) of this Section shall remain on file at the family child care home for as long as the license remains valid.
- (5) Records may be maintained in a paper format or electronically, except that records that require a signature of a staff person or parent shall be maintained in a paper format.
- (6) All records required in this Chapter shall be available for review by the Division.

Authority G.S. ~~110-85~~; 110-88; 110-91(1),(9);

10A NCAC 09 .1726 PREVENTION OF SHAKEN BABY SYNDROME AND ABUSIVE HEAD TRAUMA

(a) The operator of a family child care home licensed to care for children up to five years of age shall develop and adopt policies to prevent shaken baby syndrome and abusive head trauma. The policy shall include but not be limited to:

- (1) Recognizing, responding to, and reporting the signs and symptoms of shaken baby syndrome and abusive head trauma;
- (2) Strategies to assist themselves, additional caregivers, and substitute providers in coping with a crying, fussing, or distraught child;
- (3) Strategies to ensure that they, additional caregivers, and substitute providers understand the brain development of children up to five years of age and how to properly care for infants;

1 (4) A list of prohibited behaviors that they, additional caregivers, and substitute
2 providers shall follow in order to care for children in a safe manner. Prohibited
3 behaviors shall include but not be limited to, shaking a child, tossing a child into
4 the air or into a crib, chair, or care seat, and pushing a child into walls, doors, and
5 furniture; and

6 (5) Resources to assist themselves, additional caregivers, substitute providers, and
7 families in preventing shaken baby syndrome and abusive head trauma.

8 **(b)** A copy of the policy shall be given and explained to the parents of children up to five years of age on or before
9 the first day the child receives care at the home. The parent shall sign a statement acknowledging the receipt and
10 explanation of the policy. The acknowledgement shall contain the following:

11 (1) The child's name;

12 (2) The date the child first attended the home;

13 (3) The date the operator's policy was given and explained to the parent;

14 (4) The parent's name;

15 (5) The parent's signature; and

16 (6) The date the parent signed the acknowledgment.

17 The operator shall retain the acknowledgement in the child's file.

18 **(c)** If an operator changes the policy at any time, the operator must give written notice of such a change to the child's
19 parent 14 days prior to the implementation of the new policy and the parent must sign a statement that attests that a
20 copy of the new policy was given to and discussed with him or her. This statement shall be kept in the child's file.

21 **(d)** The operator shall review the policy with additional caregivers and substitute providers prior to the individual
22 providing care to children. The acknowledgement of this review shall contain the following:

23 (1) The individual's name;

24 (2) The date the individual began caring for children;

25 (3) The date the operator's policy was given and explained to the individual;

26 (4) The individual's signature; and

27 (5) The date the individual signed the acknowledgment.

28 The operator shall retain the acknowledgement in the individual's file.

29 **(e)** If an operator changes the policy at any time, the operator shall review the revised policy with additional
30 caregivers, and substitute providers 14 days prior to the implementation of the new policy. The individual shall sign
31 a statement that attests that a copy of the new policy was given to and discussed with him or her. This statement shall
32 be kept in the individual's file.

33
34 Authority G.S. 143B-168.3;
35
36
37

1 **10A NCAC 09 .1730 ACTIVITIES INVOLVING WATER**

2 (a) The requirements in this Rule apply to aquatic activities, which are defined as activities that take place in a body
3 of water such as swimming, swimming instruction, wading, and visits to water parks. Aquatic activities do not include
4 water play activities such as water table play, slip and slide activities, or playing in sprinklers.

5 (b) Aquatic activities involving the following are prohibited:

6 (1) hot tubs;

7 (2) spas;

8 (3) saunas or steam rooms;

9 (4) portable wading pools; and

10 (5) natural bodies of water, and other unfiltered, nondisinfected containments of water.

11 (c) When children enrolled in a family child care home participate in aquatic activities, there shall be at least one
12 person who has a life guard training certificate issued by the Red Cross or other training determined by the Division
13 to be equivalent to the Red Cross training, appropriate for both the type of body of water and type of aquatic activities.

14 (d) Children under the age of three shall not participate in aquatic activities except, to the extent necessary, to
15 implement any child's Individualized Family Service Plan (IFSP) or Individualized Education Program (IEP).

16 (e) The family child care home operator shall be responsible for supervising the aquatic activity for the duration of the
17 activity. Adequate supervision means that the operator shall be able to hear, see, and respond quickly to the children
18 who are in the water and children who are out of the water.

19 (f) Prior to children participating in aquatic activities, the operator shall develop policies that address the following:

20 (1) aquatic safety hazards;

21 (2) pool and aquatic activity area supervision including restroom or changing room use;

22 (3) how discipline is handled during aquatic activities;

23 (4) the operator's specific field trip and transportation policies; and

24 (5) that children shall be directed to exit the water in a prompt and orderly manner during an emergency.

25 (g) Parents must provide written permission for participation in aquatic activities. The written permission shall include
26 a statement that parents are aware of the operator's aquatic policies specified in Paragraph (f) of this Rule. The
27 operator shall maintain copies of written parental permission in each child's file.

28 (h) Any outdoor swimming pool which is located on the family child care home premises shall be enclosed by a fence
29 that is at least four feet high, shall be separated from the remaining outdoor play area by that fence, and shall be locked
30 and inaccessible to children when not in use.

31 (i) Swimming pool safety rules shall be posted in a prominent place visible to children and staff for any swimming
32 pool located on the child care facility premises. These rules shall state:

33 (1) the location of a first-aid kit;

34 (2) that only water toys are permitted;

35 (3) that children shall not run or push one another;

36 (4) that swimming is allowed only when the operator is present; and

37 (5) that glass objects are not allowed.

1 (j) All swimming pools used by children in care shall meet the "Rules Governing Public Swimming Pools" in
2 accordance with 15A NCAC 18A .2500 which are incorporated by reference, including subsequent amendments. A
3 copy of these Rules is on file with the Division of Child Development and Early Education, 820 South Boylan Avenue,
4 Raleigh, NC 27603, or may be obtained at no cost by writing the North Carolina Division of Environmental Health,
5 1630 Mail Service Center, Raleigh, NC 27699-1630.

6 (k) Educational activities, such as observing tadpoles, exploring mud or learning about rocks and vegetation, are
7 permitted around bodies of water. However, if children will be in the water for any part of the activity, Paragraphs
8 (a) through (g) of this Rule shall apply.

9 (l) Boating, rafting, and canoeing activities are permitted. Prior to participating in recreational activities conducted
10 on the water, children shall wear an age or size appropriate personal floatation device approved by the United States
11 Coast Guard. This personal floatation device shall be worn for the duration of the activity.

12
13 Authority G.S. 110-88; 110-91(1), (3), (6); 143B-168.3;
14

15 **10A NCAC 09 .1731 ADDITIONAL HEALTH AND SAFETY TRAINING REQUIREMENTS**

16 (a) Child care operators, additional caregivers, and substitute providers shall complete health and safety training
17 offered by the Division no later than June 30, 2017.

18 (b) The training must include the following topic areas:

- 19 (1) Prevention and control of infectious diseases, including immunization;
- 20 (2) Administration of medication, consistent with standards for parental consent;
- 21 (3) Prevention of and response to emergencies due to food and allergic reactions;
- 22 (4) Building and physical premises safety, including identification of and protection from hazards that
23 can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic;
- 24 (5) Emergency preparedness and response planning for emergencies resulting from a natural disaster,
25 or a man-caused event;
- 26 (6) Handling and storage of hazardous materials and the appropriate disposal of bio contaminants;
- 27 (7) Precautions in transporting children if applicable;
- 28 (8) Prevention of shaken baby syndrome and abusive head trauma;
- 29 (9) CPR and First Aid training as required in Rule .1705 of this Section; and
- 30 (10) Recognizing and Responding to Suspicions of Child Maltreatment as required in Rule .1705(b)(10)
31 of this Section.

32 (c) Training hours accrued for the completion of this requirement may count toward in-service training. However,
33 child care operators, additional caregivers, and substitute providers must complete the health and safety training even
34 if the number of hours accrued exceeds required in-service training, as specified in Rule .1705(b)(5) of this Section.
35

36 Authority G.S. 110-88; 110-91(11); 143B-168.3;