

**DIVISION OF CHILD DEVELOPMENT AND EARLY EDUCATION  
FAMILY CHILD CARE HOME ITEM NUMBER LISTING**

**A. GENERAL LICENSING REQUIREMENTS**

<b>Item #</b>	<b>Description of Rule</b>	<b>Rule #</b>	<b>Pts</b>
201	Parent or guardian of child was not allowed access to the home during operating hours for the purpose of contacting the child or evaluating the caregiving space at the home and the care provided.	.1710(b)	2
408	The operator knowingly allowed persons who have been convicted of a "reportable conviction" on the premises when children are present.	.1710(a)	2
1911	Court orders related to the custody of a child were not followed resulting in unauthorized parental access to the family child care home.	.1710(c)	3
1601	License was not posted in a place in the home where parents are able to view daily.	G.S. 110-99(a1)&.1702(i)	2
1602	Operator did not notify the Division in writing, a change occurred that affected the information shown on the license.	.1702(h)(1-6)	2
1912	More than one family child care home was in operation at the location address of a licensed family child care home.	.1702(a)	2
1603	The home was not in compliance with permit restrictions.	G.S. 110-91	2
1604	The children were in care at a location address that was not listed on the license.	.1702(f)	2
1701	Operator made efforts to falsify information.	G.S. 110-91(14)	2
2049	Operator did not report a suspected case of child abuse or neglect as required by the mandatory duty prescribed in G.S. 7B-301.	G.S. 110-91	2
1702	Operator did not report a missing or deceased child.	G.S. 110-102.1	2
1913	Operator changed locations without notifying the Division thirty days prior to the relocation of the family child care home.	.1702(d)	2
1914	Operator requesting relocation of the family child care home began operating at the new location, prior to receiving a new license.	.1702(d)	2
2050	The ownership of the family child care home changed without notifying the Division thirty days prior to the change occurring.	.1702(e)	2
1848	A Division representative was denied access to inspect the child care facility.	G.S. 110-105 & .1709	3
1706	Three or more children less than 13 years old, who do not reside where the care is provided, receive care on a regular basis of at least once per week for more than four hours but less than 24 hours per day from persons other than their guardians or full-time custodians, or from persons not related by birth, marriage, or adoption.	G.S. 110-86(2)	6

**Operational and Personnel Policies**

1827	The Family Child Care Home operator did not have written operational policies.	.1715(a)	1
1828	The Family Child Care Home operator did not discuss the operational policies with parents on or before the child's first day of attendance.	.1715(b)	1
2046	Family Child Care Home operator did not notify the parents in writing of all changes in policy.	.1715(b)	1
1829	Operational policies did not contain the required information as listed in rule.	.1715(a)	1

**B. CHILD MALTREATMENT AND ADMINISTRATIVE ACTIONS**

2045	Following the issuance of any administrative action the operator did not post the administrative action, cover letter, and/or corrective action plan, if applicable, in a location visible to parents and visitors near the entrance of the child care facility during the pendency of an appeal and/or throughout the effective time period of the administrative action. <b>(applicable to administrative actions issued after 2/1/19)</b>	.2201(i)(1-4)	2
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1707	Following the substantiation of any abuse or neglect complaint or the issuance of any administrative action against the child care facility, the operator did not maintain copies of documentation of the substantiated complaint investigation or the administrative action issues against the facility for the past three years in a binder, accessible to parents. <b>(applicable to administrative actions issued before 2/1/19).</b>	2201	2
1708	Within 30 days, the operator did not notify the parents of children currently enrolled, in writing, that a complaint was substantiated or that an administrative action was taken against the facility. <b>(applicable to administrative actions issued before 2/1/19)</b>	2201	1
1709	The written notice did not include the required information, was not given to all parents in the required time frame, and/or signed acknowledgement was not on file. <b>(applicable to administrative actions issued before 2/1/19)</b>	2201	2
1852	There was a substantiation of child maltreatment.	G.S. 110-105.6(a)	3
1703	A person who had cause to suspect that a child in a child care facility has been maltreated, as defined by G.S. 110-105.3, or died as the result of maltreatment occurring in a child care facility, did not report the case to the Division.	G.S. 110-105.4(a)	3
1848	A Division representative was denied access to inspect the child care facility.	G.S. 110-105(a)	3
1849	The facility operator failed to follow the protection plan restricting an individual alleged to have maltreated a child or suspending activities.	G.S. 110-105.3(e)	3
1850	An individual whose name is listed on the Child Maltreatment Registry provided care for a child(ren).	G.S. 110-105.5(c)	3
1851	The facility operator did not complete the corrective action as specified by the Division.	G.S. 110-105.6(d)	3

**C. BUILDING/HOME REQUIREMENTS**

303	Children were not cared for on the ground level of the home with an exit at grade.	.1707(1)	6
2054	Home was not free of lead poisoning hazards as define in G.S. 130A-131.7(7).	.1707(2)	3
305	Home was not equipped with either an electrically operated smoke detector with a battery back-up; or both an electrically operated detector and a battery operated detector located next to each other.	.1707(3)	3
306	At least one 5 lb 2A:10B:C type fire extinguisher was not readily accessible for every 2500 square feet of floor space in the home.	.1707(4)	3
307	Heating appliances were not installed and maintained according to NC Building Code.	.1707(5)	3
1915	Pipes or radiators that were hot enough to be capable of burning children, were not covered or insulated.	.1707(7)	3
310	Indoor areas used by children were not adequately heated when the temperature was below 65, and ventilated when the temperature is above 85 degrees.	.1707(6)	3
1916	A shaded area was not available to children while using the outdoor learning environment.	.1719(25)	2
1501	Battery operated smoke detector or electrically operated smoke detector with battery backup, was not installed in each room where children were sleeping during overnight hours.	.1728(c)(3)	3
1740	All documentation to support the issuance of a license outlined in .1702, shall remain on file at the family child care home for as long as the license remains valid.	.1702(b)(1-9) & .1721(f)(4)	1
1917	Children were not cared for in space designated as the caregiving area on the floor plan provided by the operator.	.1707(8)	6

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1918	Changes to the designated caregiving space, was not submitted to the Division 30 days prior to the new space being used by the children.	.1707(8)	6
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**D. ENROLLMENT**

101	Number of children present exceeded number allowed.	G.S. 110-91(7)(b) & 110-86(3)(b)	6
102	Number of preschool children exceeded five children, including the provider's own preschool children.	G.S. 110-91(7)(b)	6

**E. SAFETY AND SUPERVISION**

**General Safety**

510	First aid supplies were not kept in a place accessible to the operator.	.1719(a)(9)	2
1919	A First Aid Information sheet, complete with required information, was not posted for quick referral by staff.	.1719(a)(14)	2
1885	Operator released a child to an individual not listed on the application.	.1721(b)	3
701	All indoor and outdoor areas used by the children were not kept clean, orderly, and free of items which are potentially hazardous to children including removal of items a child can swallow; the removal of loose nails or screws and splinters on inside; and use of outdoor equipment that is too hot to touch.	.1719(a)(1)&(17)	3
1920	Indoor and outdoor area was not checked daily for debris, vandalism, broken equipment, and animal waste.	.1719(a)(17)	3
1921	Commercially manufactured equipment and furnishings were not assembled and installed according to procedures specified by the manufacturer.	.1719(a)(24)	4
1922	Plastic bags, toys, and toy parts small enough to be swallowed, including but not limited to materials that can be easily torn apart such as foam rubber and styrofoam, were accessible to children under the age of three.	.1719(a)(18)	3
1923	Jump ropes and rubber bands were accessible to children under five years of age, without adult supervision.	.1719(a)(19)	3
1924	Balloons were accessible to children.	.1719(a)(19)	3
1925	Teacher-made and/or home-made equipment and materials used with children were not safe and functional.	.1719(a)(20)	3
1926	Materials and equipment that were accessible to children were coated or treated with toxic materials.	.1719(a)(20)	3
707	Indoor and outdoor stairs with more than two steps that are used by the children were not railed.	.1719(a)(29)	3
708	Indoor stairs with more than two steps were not made inaccessible to children two years of age or younger.	.1719(a)(29)	3
711	Outdoor stationary play equipment was not anchored and/or equipment was installed over concrete or asphalt.	.1719(a)(22)	4
1927	Openings in equipment, steps, decks, and handrails were not smaller than 3 1/2 inches or greater than 9 inches to prevent entrapment.	.1719(a)(23)	4
712	Footings that anchor the outdoor equipment were exposed.	.1719(a)(22)	4
714	Monthly check for hazards on the outdoor play area was not completed using a form supplied by the Division.	.1721(e)(5)(A-F)	1
1928	Items marked "failed" on the monthly check for hazards on the play area, did not have identified problems and solutions.	.1721(e)(5)	1
715	Electric fans were not mounted out of the reach of children or did not have a mesh guard on each fan.	.1719(a)(26)	3
716	Electrical outlets not in use were not covered.	.1719(a)(27)	3
1929	Cracked or frayed cords were not removed from occupied outlets.	.1719(a)(27)	3
717	There was not a working telephone in the child care home.	.1719(a)(12)	3
1930	The only telephone available, was locked during the time children were present.	.1719(a)(12)	3

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1931	Telephone numbers for the fire department, law enforcement office, emergency medical service, and poison control were not posted in a location visible in the home.	.1719(a)(12)	3
729	Appliances with heating elements, such as bottle warmers, crock pots, curling irons, and electrical cords were accessible to children.	.1719(a)(28)	3
1932	A clean and open area that allows freedom of movement was not provided for children, both indoors and outdoors.	.1718(a)(9)	3
928	Operator did not complete and/or maintain documentation of the Emergency Preparedness and Response Plan on a template provided by the Division of Emergency Management.	.1721(e)(1)	2
1409	Operator did not provide a physically safe and healthy indoor and outdoor environment that meets the developmental needs of the children in care.	.1719(a)	3
1544	The child care operator did not comply with all State laws, federal laws and/or local ordinances that pertain to child health, safety, and welfare, as required by General Statute 110-91.	G.S. 110-91	3
1741	Prior to enrollment of children in a Family Child Care Home, and before animals come into the Family Child Care Home, the operator did not obtain each parent's signature on a form acknowledging the type of animal located on the premises and where the animal will be kept during child care operating hours and /or the signed form was not maintained in the child's file.	.1719(b)(3)	3
1853	The operator did not conduct a monthly fire drill.	.1719(a)(15) & .1721(e)(2)	3
1854	The operator did not conduct a quarterly lockdown or shelter-in-place drill and or the drill record was incomplete.	.1719(a)(16) & .1721(e)(7)	3

**Supervision**

720	Adequate supervision was not provided for children who were awake.	.1711(a)	6
1933	Operator was not positioned in a manner that would maximize his/her ability to hear and see the preschool age children in care, at all times to render immediate assistance.	.1711(a)(1)	6
1934	Operator was not positioned in a manner that would maximize his/her ability to hear or see the school age children in care, at all times, and be able to render immediate assistance.	.1711(a)(2)	6
721	Operator was not able to hear and respond, without delay, to children who were sleeping or napping.	.1711(a)(4)(D)	6
726	Children were sleeping or napping in a room with a closed door between the child and the supervising staff.	.1711(a)(4)(D)	6
1936	Operator did not interact with children while moving about the indoor or outdoor area.	.1711(a)(3)	6
1937	Operator did not know where each child was located and was not aware of their activities at all times.	.1711(a)(4)(A)	6
1938	Operator did not provide supervision according the individual age, needs, and capabilities of each child.	.1711(a)(4)(B)	6
1939	When supervision was not possible due to an emergency, written documentation with required information was not completed and available for review.	.1711(a)(4)(C)	6
727	Staff was not on the same level of the home where children were sleeping or napping.	.1711(a)(4)(D)	6

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**Storage of Hazardous Items and Medication**

702	Potentially hazardous items, including but not limited to, power tools, nails, chemicals, propane stoves, lawn mowers, and gasoline or kerosene, whether or not intended for use by children were not stored in locked areas, removed from the premises, or otherwise inaccessible to children.	.1719(a)(1)	4
703	Emptied firearms (handguns, rifles, shotguns, etc.) and ammunition (bullets, shotgun shells) were not stored separately in locked storage.	.1719(a)(2)	3
704	Items used for starting fires, such as matches, accelerants, and lighters, were not kept in locked storage.	.1719(a)(3)	3
705	All medicines, including refrigerated and un-refrigerated, were not kept in locked storage.	.1719(a)(5)	5
1886	Required locked storage was not secure with combination locks, electronic, or magnetic devices, key, or equivalent locking devices.	.1719(a)(7)	3
1940	Hazardous cleaning supplies and other items that might be poisonous e.g. toxic plants, were not out of reach or in locked storage when children were in care.	.1719(a)(6)	5
706	Corrosive agents, pesticides, bleaches, detergents, cleansers, polishes, and products under pressure in an aerosol dispenser and any substance that may be hazardous to a child if ingested, inhaled, or handled were not kept in locked storage when children were in care.	.1719(a)(7)	5
2048	Products that are labeled "keep out of reach of children" with an additional warning(s) on the label, were not kept in locked storage while children were in care.	.1719(a)(7)	5
1887	Corrosive agents, pesticides, bleaches, detergents, cleansers, polishes, and products under pressure in an aerosol dispenser were not in their original container or in another labeled container, used according to manufacturer's instructions.	.1719(a)(7)	5
1888	Toxic substances were not stored below or separate from medications and food.	.1719(a)(7)	5
1889	Products that are labeled "keep out of reach of children" without any other warnings, were not stored on a shelf or in an unlocked cabinet that is five feet above the finished floor.	.1719(a)(7)	5
723	Tobacco products were not in locked storage.	.1719(a)(10)	3
1942	Children were not cared for in a smoke free and tobacco free environment.	.1719(a)(10)	3
1410	Operator did not safely store all combustible materials.	.1719(4)	5

**Napping and Sleeping Practices**

2055	An individual sleeping space for resting such as a bed, crib, play pen, cot, mat, or sleeping bag with individual linens was not provided for each pre-school age child who was in care for four hours or more, or for all children if overnight care is provided.	.1718(a)(2)	3
516	Bedding or other objects were placed in a manner that covered the child's face while sleeping.	.1718(a)(3) & .1724(a)(5)	3
721	Operator was not able to hear and respond quickly to children who were sleeping or napping.	.1711(a)(4)(D) & .1728(c)(2)	6
726	Children were sleeping or napping in a room with a closed door between the child and the supervising staff.	.1711(a)(4)(D)	6
727	Staff was not on the same level of the home where children were sleeping or napping.	.1711(a)(4)(D)	6

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1801	Children ages 12 months or younger were not placed on their backs for sleeping, unless the operator obtains the appropriate written waiver as required by G.S. 110-91(15)(a).	G.S. 110-91(15)(a) & .1724(a)(1)(A)&(B)	3
1802	Operator has not developed, adopted and complied with a written safe sleep policy.	G.S. 110-91(15) & .1724(a)(1-12)	1
1803	Safe sleep policy did not contain the required information as indicated in rule .1724(a)(1-12).	G.S. 110-91(15)(a)(b) & .1724(a)(1-12)	3
1804	Safe sleep policy and poster about safe sleep practices was not posted in a prominent place in the infant sleeping room or area.	.1724(b)	3
1815	Whenever an infant has a waiver of the requirement that all infants be placed on their backs for sleeping, a notice containing the required information was not posted for quick reference near the infant's crib, bassinet, or play pen. The notice included confidential medical information, including the infant's medical diagnosis.	.1724(e)(1-4) & (g)(1-3)	3
1943	An infant was observed sleeping in a seating device.	.1724(a)(11)	3
1944	An infant fell asleep in a seating device and was not moved to a crib, bassinet, mat, or cot.	.1724(a)(11)	3
1817	While sleeping, infants aged 12 months or younger were not placed alone, in a crib, bassinet, mat, cot, or play pen.	.1724(a)(10)	3
1945	Items that are prohibited to be an infants sleep space, eg. pillows, wedges, blankets, toys, bumper pads, quilts, loose bedding, towels, and wash cloths were present in the crib with a sleeping infant.	.1724(a)(3)	3
1946	Infants were swaddled.	.1724(a)(4)	3
1947	A pacifier attached to an infant's clothing was used with a sleeping infant.	.1724(a)(9)	3
1818	Operator did not implement and follow the written safe sleep policy adopted to maintain a safe sleep environment.	G.S. 110-91(15); .1724(a)(1-12)	3
1819	An infant was laid down to sleep with something placed over his or her head or	.1724(a)(5)	3
1820	The temperature in a room where infants aged 12 months or younger where sleeping exceeded 75 degrees.	.1724(a)(6)	3
1948	Sleeping infants, ages 12 months and younger were not visually checked every 15 minutes.	.1724(a)(7)	3
1821	Caregivers did not document compliance with visually checking on sleeping infants aged 12 months or younger and/or the documents were not maintained for a minimum of 30 days.	.1724(a)(8) & (f)	3

**Overnight Care**

1501	Battery operated smoke detector or electrically operated smoke detector with battery backup, was not installed in each room where children were sleeping during overnight hours.	.1728(c)(3)	3
1502	Operator and the children in overnight care, excluding the operator's own children, were not asleep on ground level.	.1728(c)(1)	6
1949	A four inch thick, waterproof mattress equipped with a fitted sheet was not provided for each child remaining in the home after midnight.	.1728(a)	3
1950	The use of the top bunk of bunk beds was not limited to school age children.	.1728(a)	3
1503	Operator could not hear and respond quickly to the children during overnight care.	.1728(c)(2)	6

**F. Health and Sanitation**

311	All windows and doors used for ventilation were not screened.	.1725(a)(11)	3
724	Operator and/or staff were smoking, using e-cigarettes, smokeless tobacco or another product containing, made, or derived from tobacco during operating hours.	.1719(a)(10)	3

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728	Well-water analysis shall remain on file at the family child care home for as long as the license remains valid.	.1721(f)(5)	1
1951	Animal cages were not kept free of animal waste.	.1719(b)(2)	3
805	All garbage was not stored in water-proof containers with tight fitting covers both indoors and outdoors.	.1725(a)(12)	3
809	Refrigerator was not in good repair.	.1725(a)(9)	4
810	Refrigerator was not maintained at a temperature of 45 degrees Fahrenheit or below and/or was not monitored by a refrigerator thermometer.	.1725(a)(9)	3
1890	Biocontaminants were not stored in locked areas, or removed from the premises or otherwise inaccessible to children, or disposed of in a covered, plastic lined receptacle.	.1719(a)(8)	5
813	House was not free of rodents (an untamed mouse, rats, squirrels, etc.).	.1725(a)(10)	3

**Healthy Practices and Reduction of the Spread of Germs; Sanitary Diapering; and Food Service**

1952	Operator did not wash their hands prior to caring for children each day.	.1725(a)(2)	3
1953	Operator did not ensure child's hands were washed upon arrival at the home each day.	.1725(a)(3)	3
1954	Operator did not follow hand washing procedures.	.1725(a)(8)(A-F)	3
802	Sanitary toilet, diaper changing and hand-washing facilities were not provided.	.1725(a)(4)(A-F)	3
803	Operator did not wash his/her hands before, as well as after, diapering each child.	.1725(a)(5)(B)	3
804	Soiled diapers were not placed in a covered, leak-proof container which was not emptied and cleaned daily.	.1725(a)(5)(D)	3
1955	Reusable cloth diapers, were not handled and stored as outlined in rule.	.1725(b)	3
814	Diapers were not changed whenever they became soiled or wet.	.1725(a)(5)	3
1956	Operator did not ensure clean clothes were available, in the event a child's clothes became wet or soiled.	.1725(d)	3
815	Child's hands were not washed after diapering.	.1725(a)(5)(C)	3
806	Operator did not wash his/her hands before and after handling food and feeding the children.	.1725(a)(6)(A)	3
816	Each child's hands were not washed before and after eating.	.1725(a)(6)(B)	3
1957	The operator did not disassemble the feeding chair or other feeding apparatus, for purposes of cleaning.	.1706(k)	3
1958	Bottle warming equipment was not emptied and cleaned daily.	.1706(p)	3
818	Each child's hands were not washed after toileting or handling bodily fluids.	.1725(a)(7)	3
504	A supply of clean linens were not on hand, and/or were not changed weekly or whenever they are soiled or wet.	.1718(a)(2) & .1728(b)	3
507	Area for sick children cannot be easily supervised. A separate area, that can be supervised, was not provided for a child who became ill while in care.	.1718(a)(4)	6
509	Parents were not notified when their child became too sick to remain in care.	.1718(a)(4)	3
514	Children younger than two months with fevers over 100.4 degrees auxiliary or orally, who were also unable to participate in activities, were not excluded from care.	.1720(a)	2
1959	Children older than two months with fevers over 101 degrees axillary or orally, who were also unable to participate in activities, were not excluded from care.	.1720(a)	2
515	Children with symptoms or illnesses listed in rule .1720(a)(1-12), were not excluded from care.	.1720(a)(1-12)	2
807	Operator did not use sanitary procedures when preparing and serving food.	.1725(a)(6)	3
808	Perishable food and beverages were not stored in a refrigerator.	.1725(a)(9)	3

**G. DAILY CAREGIVING REQUIREMENTS**

**Materials and Equipment**

535	The operator did not provide developmentally appropriate equipment and materials for a variety of outdoor activities which allow for vigorous play, large and small muscle development, and social, emotional, and intellectual development on a daily basis.	.1718(a)(1)	3
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709	Equipment and toys were not in good repair and developmentally appropriate.	.1719(21)	4
932	Operator did not have materials or equipment available indoors or outdoors to support the activities listed on the written schedule and activity plan.	.1718(6)	3

**Daily Schedules**

538	The written schedule did not reflect daily opportunities for both free choice and guided activities.	.1718(a)(7)(C)	3
539	The written schedule did not include a minimum of one hour of outdoor play throughout the day, if weather conditions permit.	.1718(a)(7)(D)	3
540	The written schedule did not include a daily gross motor activity which may occur indoors or outdoors.	.1718(a)(7)(E)	3
915	The written schedule did not show blocks of time assigned to types of activities and/or include periods of time for both active play and quiet play or rest.	.1718(a)(7)(A)	1
1960	The written schedule and/or activity plan did not show blocks of time that was developmentally appropriate to the ages of children in care.	.1718(a)(7)(B)	3
929	Developmentally appropriate activities for the ages of children in care, were not provided as planned on the written schedule and activity plan.	G.S. 110-91(12) & .1718(a)(6)	3

**Developmentally Appropriate Activities**

501	Children did not have the opportunity for <i>a minimum of one hour of</i> outside play each day that weather conditions permit.	G.S. 110-91(2)(i) & .1718(a)(1)	3
517	Each day, a child aged 12 months or younger was not given the opportunity for supervised play while positioned on his/her stomach while awake and alert.	.1718(a)(5)	3
536	The operator did not provide space and time for vigorous indoor activities when children could not play outdoors.	.1718(a)(1)	3
1961	For children under the age of two, daily events did not include individualized caregiving routines such as eating, napping, and toileting.	.1718(a)(7)(F)	3
1962	Activity plans did not include activities intended to stimulate the developmental domains, in accordance with NC Foundations for Early Learning and Development.	.1718(a)(8)(A)(i-iv)	3
1963	Activities were not designed to allow children to participate in whole group, part of group, or independent of the group.	.1718(a)(8)(B)	3
1964	Activity plan did not reflect that children have at least four different activities daily, at least one of which is outdoors.	.1718(a)(8)(C)(i-v)	3
1965	Music and rhythm, science and nature, and sand and water activities were not made available at least once weekly.	.1718(a)(8)(D)(i-iii)	3
541	The caregiver(s) did not interact with children in positive ways by helping them feel welcome and comfortable, treating them with respect, listening to what they say, responding to them with acceptance and appreciation and/or participating in many activities with the children.	.1704(a)(1-4)	3
1966	Operator did not respond to an infant or toddlers physical and emotional needs, especially when indicated by crying through actions such as feeding, diapering, holding, positive touching, smiling, talking, or eye contact.	.1704(b)	3
1967	Operator did not recognize the special difficulties of infant and toddler separations and assist families, infants, and toddlers to make the transition from home to the program as gently as possible.	.1704(c)	3
542	When screen time was provided, it was not offered to stimulate a developmental domain in accordance with NC Foundations for Early Learning and Development.	.1718(b)(1)	3
1968	Screen time was not limited to a maximum of thirty minutes per day, and no more than two and a half hours per week, per child.	.1718(b)(2)	3
543	Screen time was not prohibited for children under the age of three. The operator did not offer alternative activities for children under the age of three years.	.1718(c)	3
817	Children were not toilet trained according to individual readiness and were forced to use the toilet.	.1725(c)	3



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1969	Operator did not provide assistance to each child to ensure proper hygiene, regarding toileting.	.1725(c)	3
1970	School-age children were not offered a balance of activities appropriate to their age, needs and interests.	.1718(a)(10)	3

**H. DISCIPLINE**

913	Operator did not have a written discipline policy describing the methods and practices used to discipline children enrolled.	G.S. 110-91(10)	6
1001	Children were subjected to corporal punishment.	.1722(a)	6
1002	Persons in the home placed a child in a locked room, closet, or box.	.1722(a)(2)	6
1003	Persons in the home delegated discipline to another child.	.1722(a)(3)	6
1004	Food was withheld or given as a means of punishment or reward.	.1722(a)(4)	6
1971	Persons in the home disciplined a child for not sleeping during rest period.	.1722(a)(6)	6
1972	Persons in the home disciplined a child for toileting accidents.	.1722(a)(5)	6
1005	Children were not attended to in a nurturing and appropriate manner, and in keeping with the child's developmental needs.	G.S. 110-91(10)	6
1006	Children were handled roughly.	.1722(a)(1)	6
1007	Discipline was not appropriate for the child's age and development.	.1722(b)	6
1008	Children were disciplined by leaving them alone in a room separated from staff.	.1722(a)(2)	6
1009	Children were disciplined by assigning chores requiring them to be in contact with hazardous materials.	.1722(a)(7)	6
1973	Physical activity was withheld or required as punishment.	.1722(a)(8)	6
1974	Children were yelled at, shamed, humiliated, frightened, threatened, or bullied.	.1722(a)(9)	6
1975	Children were restrained as a form of discipline, when a child's safety, or the safety of others, was not at risk.	.1722(a)(10)	6

**I. MEDICATIONS**

903	When medication is administered, authorization for the operator to administer the specific medication according to the parent's or health care professional's instructions was not on file and available.	.1721(a)(5)	4
917	Record of all medication given was not kept on file for each child during the course of treatment and for six months following the end of treatment.	.1721(f)(2)	1
1401	Prescribed medications were not stored in their original containers in which they are dispensed with the pharmacy label.	.1720(b)(2)(A)	4
1402	Prescription medications were not administered only to the child for whom they were prescribed.	.1720(b)(2)(C)	4
1403	Prescription or over-the-counter medication and topical, non-medical ointment, repellent, lotion, cream, fluoridated toothpaste, or powder was administered to any child without the required information.	.1720(b)(1)(A-F)	4
1404	Medication remaining after the course of treatment is completed, after authorization is withdrawn, or after authorization has expired, was not returned to the parent/guardian. Any medication not retrieved by parent/guardian within 72 hours of completion of treatment, or withdrawal of authorization, was not discarded.	.1720(b)(12)	4
1405	Authorization for up to 12 months to apply over-the-counter medications, topical ointment, topical teething ointment or gel, insect repellents, fluoridated toothpaste, lotions, creams, and powders; such as sunscreen, diapering creams, baby lotion, and baby powder, to a child, when needed, was not in writing and did not contain information required by rule .1720(b)(7).	.1720(b)(7)(A-G)	4
1406	Authorization for up to 6 months to administer prescription or over-the-counter medication, when needed, for chronic medical conditions and for allergic reactions was not in writing and did not contain information required by rule .1720(c)(6)(A-I).	.1720(b)(6)(A-I)	4
1408	Medication was given for non-medical reasons.	.1720(b)(1)(E)	4

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1411	Pharmaceutical samples were not stored in the manufacturer's original packaging, were not labeled with the child's name, and/or were not accompanied by written instructions specifying required information.	.1720(b)(2)(B)(i-vi)	4
1412	Parent's written authorization for the administration of a prescription medication was not valid for the length of time the medication was prescribed to be taken.	.1720(b)(3)	4
1414	Written permission to administer over-the-counter medications was not valid for up to 30 days at a time.	.1720(b)(4)	4
1415	Over-the-counter medications were administered on an "as needed" basis, other than as allowed in rule .1720(b)(4).	.1720(b)(4)	4
1416	Questionable medication or instructions concerning medication was administered without signed, written dosage instructions from a licensed physician or authorized health professional.	.1720(b)(5)	4
1417	Over-the-counter medications were not stored in the manufacturer's original packaging on which the child's name is written or labeled and was not accompanied by written instructions specifying required information.	.1720(b)(4)(A-E)	4
1418	Authorization to administer a single weight-appropriate dose of acetaminophen did not contain the required information.	.1720(b)(8)(A-D)	4
1419	Written authorization from a parent/guardian was not given for a child to receive an over-the-counter medication as directed by the NC State Health Director when there is a public health emergency and the authorization contains the required information.	.1720(b)(9)(A-D)	4
1421	Operator did not have authorization from a bona fide medical care provider to administer any medication to a child in the event of an emergency medical condition when the child's parent/guardian is unavailable.	.1720(b)(10)	4
1422	A parent's request to withdraw written authorization to administer medication was not permitted.	.1720(b)(11)	4
1423	Operator did not record required information when administering prescription or over-the-counter medication.	.1720(b)(13)(a-e)	4
1976	Medication was administered in error and/or the child was given the wrong dosage.	.1720(b)(14)	4
1977	When medication was administered in error, the operator did not follow the procedures outlined in rule.	.1720(b)(14)(A-D)	4

**J. NUTRITION AND FEEDING**

**General Requirements**

601	Nutritious meals and snacks served did not meet Meal Patterns for Children in Child Care Programs.	.1706(a)	2
602	Food served was not appropriate in type, number and size of servings for the ages and developmental levels of children in care.	.1706(h)	2
603	Child(ren) ages 15 months and older went more than four hours without a meal or snack being provided.	.1706(h)	2
604	Drinking water was not freely available to children.	.1706(s)	2
1978	Drinking water was not provided in individual drinking utensils, that were provided by either the parent or operator.	.1706(s)	2
812	Unpasteurized milk, milk products, or juice was served.	.1706(t)	2
1979	Unflavored skim milk and/or unflavored low-fat milk, was served to children under the age of 24 months.	.1706(u)(5)	2
1980	Flavored skim milk was served to children under the age of six.	.1706(u)(6)	2
1832	The operator did not provide necessary supplements when food brought from home did not meet the nutritional requirements.	.1706(b)	2
1981	When juice was served, it was not 100% fruit juice and/or was not limited to 6 ounces per day, for all ages.	.1706(u)(7)	2

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1833	A statement acknowledging the parental decision to opt out of the supplemental food provided by the operator was not signed by the parent and/or maintained on file at the home.	.1706(c)	2
1982	Operator did not follow the specific guidelines for supplementing food when an opt out statement was on file.	.1706(c)(1-4)	2
1834	Food required by special diet prescribed by health care professional or parent did not have written instructions and/or was not maintained on file at the home.	.1706(d)	2
1835	Foods with little or no nutritional value were available during times other than special occasions, such as holidays and birthdays.	.1706(f)	2
1836	The operator did not provide the required beverage(s).	.1706(u)(1-7)	2
1983	Children's special diets or food allergies were not posted in the food preparation area and/or in the child's eating area.	.1706(e)	1
1984	A child(ren) was not served the correct number of meals and/or snacks as required by the number of hours they were in care.	.1706(h)	2
1985	While in the presence of children in care, the operator, additional caregiver, and/or substitutes did not model appropriate eating behaviors by consuming only food or beverages that meet the nutritional requirements as outlined in the meal pattern guidelines.	.1706(g)	2

**Infants and Toddlers**

605	Each infant was not held for bottle feeding until able to hold his or her own bottle. Bottles were propped.	.1706(k)	2
606	Each child was not held or placed in an appropriate feeding chair or other age appropriate seating apparatus to be fed.	.1706(k)	2
607	Formula prepared by the operator was not prepared according to the instructions on the formula package or label, or according to written instructions from the child's health care provider.	.1706(n)	2
811	Baby food, snack items, and meal items sent from home, for each individual child, were not dated and labeled with the child's name.	.1706(o)	2
1986	Breast milk, formula, and other bottled beverages sent from home were not fully prepared, dated, and labeled with individual child's names.	.1706(l)	2
1987	Frozen breast milk that was sent from home, was stored for more than seven days.	.1706(m)	2
1988	Thawed breast milk was stored for more than 24 hours in a refrigerator and/or refrozen.	.1706(m)	2
1989	Beverages were not returned to the child's parent or discarded at the end of the day.	.1706(l)	2
927	Operator did not follow the written feeding schedule for each child under 15 months of age.	.1706(i)	2
1990	Infant feeding plans did not include the required information, including but not limited to the type and amount of milk, formula and food, and the frequency of feedings, and/or was not available for reference.	.1706(i)	2
934	Parents were not allowed to provide breast milk for their children and/or the operator did not provide accommodations for a breastfeeding mother that included seating and an electrical outlet, in a place other than a bathroom that was shielded from view by staff and the public, which may be used by mothers while they are breastfeeding or expressing milk.	.1706(j)	2
1991	Microwaves were used to thaw or warm breast milk, baby food, formula, or other bottled beverages.	.1706(p)	2
1992	An infant was served formula, breast milk or other bottles that were labeled with another child's name.	.1706(r)	2
1837	An infant was served juice in a bottle without a prescription or written statement on file from a health care professional or licensed dietitian/nutritionist.	.1706(q)	2

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**K. TRANSPORTATION and OFF-PREMISE ACTIVITIES**

**General Requirements and Vehicles**

719	Operator did not have access to a means of transportation that is always available for emergency situations.	.1719(a)(13)	1
725	Operator and/ or staff were smoking, using e-cigarettes, or smokeless tobacco or another product containing, made, or derived from tobacco on vehicles used to transport, or during any off-premise activity.	.1719(a)(10)	3
1840	Operator or other transportation provider used a cellular telephone or other two-way functioning voice communication device when there was not an emergency and when the vehicle was not parked in a safe location.	.1723(14)	3
1993	Vehicle used for travel was not free of hazards such as but not limited to, torn upholstery, broken windows, holes in the floor or roof, or tire treads of less than 2/32 of an inch.	.1723(1)	1
1994	Vehicle was not insured for liability as required by State laws governing transportation of passengers pursuant to G.S. 20-279.21.	.1723(3)	2
1995	Vehicles used to transport in snowy, icy, and other hazardous weather conditions were not equipped with snow tires.	.1723(4)	1
1996	Vehicle used for transportation did not have a first aid kit.	.1723(11)	1
1997	Vehicle used for transportation did not have a fire extinguisher.	.1723(11)	1

**Driver**

1110	Operator or other transportation provider was not at least 21 years old and/or did not have a valid driver's license of the type required under the NC Motor Vehicle Law for the vehicle being driven or comparable license from the state in which the driver resides.	.1723(9)	1
1111	Operator or other transportation provider had a conviction of Driving While Impaired (DWI) or other impaired driving offense, within the last three years.	.1723(9)	1
1998	Operator or other transportation provider did not have a functioning cellular phone or other two-way voice communication device with them for use in an emergency.	.1723(14)	1

**Supervision**

1108	Operator or other transportation provider did not ensure that children were never left in a vehicle, unattended by an adult.	G.S. 110-91(13) & .1723(12)	6
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**Restraint Devices and Seating**

1104	Operator or other transportation provider did not comply with all applicable state and federal laws and regulations concerning vehicles and the transportation of passengers.	G.S. 110-91 & .1723(2)	2
1105	Adults and children did not use an individual seat belt or safety seat appropriate to the child's age or weight.	.1723(8)	3
1999	More than one person was occupying a seat belt or child safety seat.	.1723(8)	3
1106	Operator or other transportation provider did not seat each child who was transported in a manufacturer's designated seating area.	.1723(10)	3
2000	A child was permitted to ride in the load carrying area or floor of the vehicle.	.1723(10)	3

**Emergency Information and Record Keeping**

1101	Operator or other transportation provider did not have written permission from each child's parent or guardian to transport the child.	.1723(5)	1
1102	Parent/guardian was not notified of when and where the child was to be transported, and the name of the transportation provider.	.1723(5)	1
1103	For each child being transported, the operator or other transportation provider did not have identifying information, including the child's name, photograph, emergency contact information, and a copy of the emergency medical care information form required by Rule .1721(a)(3) in the vehicle whenever children were transported.	.1723(13)	1

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2001	Operator or other transportation provider did not ensure that all children were transferred to an individual who is indicated on the child's enrollment, as specified in Rule .1721(a)(3), or as authorized by the parent.	.1723(6)	1
2002	Operator or other transportation provider did not load and unload children from curbside or in a safe, off-street area, out of the flow of traffic.	.1723(7)	1
2003	Operator and/or staff member did not have permission from the parent to walk children off-premises for play or outings.	.1723(15)(a)	1
2004	For off-premise activities occurring on regular basis, the standing permission for 12 months had expired.	.1723(15)(b)	1
2005	The operator and/or staff member did not take the required identifying information for each child participating in the off-premise activity as outlined in rule .1721(a)(3).	.1723(15)(c)	1

**L. CAREGIVER REQUIREMENTS**

**Operator/Primary Caregiver**

**Additional Caregivers Substitutes and Volunteers**

402	In a home licensed prior to January 1, 1998, the operator was not at least 18 years old and literate.	G.S. 110-91(8)	5
405	In a homes licensed after January 1, 1998, the operator did not have a high school diploma or its equivalent.	G.S. 110-91(8)	5
406	In a home licensed after January 1, 1998, the operator was not at least 21 years old.	G.S. 110-91(8)	5
407	Operator was not the person on-site, providing care to children.	G.S. 110-91(8)	5
409	Individuals who provide care for 5 hours or more in a week, during planned absences of the family child care home operator, did not meet the requirements as specified in rule.	.1729(a)(1-10)	5
411	Individuals who provide care for less than 5 hours in a week, during planned absences of the family child care home operator, did not meet the requirements as specified in rule.	.1729(b)	5
2006	Individuals who provide care during unplanned absences of the operator, such as medical emergencies, were not 18 years old, and have not submitted criminal background checks forms as required in Rule .2703.	.1729(d)	5
2007	The children of the emergency caregiver were counted in the licensed capacity after the first day of service.	.1729(d)	5
1891	Individuals providing care to children did not receive 16 hours of orientation prior to beginning caregiving activities.	.1729(c)	5
2008	Operator did not document the review of requirements found in .1700 and in G.S. 110, including Emergency Preparedness and Response Plan.	.1729(a)(10)	5
2009	Copies of the required information for additional caregiver was not on file in the home and/or made available for review.	.1729(a)	5
2010	Orientation received did not include the required topics as listed in rule.	.1729(c)(1-16)	5
2011	Individual who provides care for 5 hours or more a week, did not complete ITS-SIDS training prior to caring for infants.	.1729(a)(8)	3
2012	Individual who provides care for 5 hours or more a week, did not complete Recognizing and Responding to Suspicions of Child Maltreatment training.	.1729(a)(9)	3
417	Individual providing care during unplanned absences of the operator, such as medical emergencies, was not at least 21 years of age.	.1729(a)(1)	5

**M. CAREGIVER RECORD KEEPING**

**General**

410	Copy of the required information for an individual was not on file in the home available for review.	.1702(b)(1-9)	1
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421	Prior to an individual assuming caregiving responsibilities, the operator did not review the child care requirements, including the Emergency Preparedness and Response Plan, and/or have a signed and dated statement which attests that a review of the requirements was completed on file in the home available for review.	.1729(c)	1
1855	The operator did not review the FCCH EPR Plan with additional caregivers on an annual basis.	.1729(a)(10)	3
1534	Additional caregiver and substitute provider records were not maintained on file one year from the employee's last date of employment.	.1721(f)(3)	1
1738	Records that require a signature of a staff person or parent were not maintained in a paper format.	.1721(f)(6)	1
508	Operator did not successfully complete a first aid course as referenced in Rule.1702(b)(2). First aid training was not renewed on or before the expiration of the certification.	.1703(a)(2)	2
511	Operator did not successfully complete a CPR course as referenced in Rule.1702(b)(2). CPR training was not renewed on or before the expiration of the certification.	.1703(a)(3)	3
518	Individuals who provide care for 5 hours or more a week, during planned absences of the operator, had not completed first aid and CPR as described in Rule .1702(b)(2).	.1729(a)(3)	5
519	Individuals who provide care for less than 5 hours a week, during planned absences of the operator, had not completed first aid and CPR as described in Rule .1702(b)(2).	.1729(b)	5
2013	Operator did not develop and adopt policies to assist staff in preventing shaken baby syndrome and abusive head trauma.	.1726(a)	3
2014	Shaken baby syndrome and abusive head trauma policy did not include the required information.	.1726(a)(1-6)	3
2015	Operator did not review the abusive head trauma and shaken baby syndrome policy with staff and/or the acknowledgement of the review did not contain required items or was not available for review.	.1726(d)(1-4)	3
2016	Changes/ revisions to the abusive head trauma and shaken baby syndrome policy were not reviewed with staff 14 days prior to the implementation.	.1726(e)	3

**Special Training [ITS-SIDS, EPR, Recognizing Child Maltreatment]**

1306	Operator has not completed ITS-SIDS training every three years from the completion date of previous ITS-SIDS training.	.1703(a)(4)	3
1856	The operator did not complete the Emergency Preparedness and Response in Child Care training within the required timeframe and/or documentation of completion of the training was not on file.	.1714(b)	3
1857	The operator did not develop an Emergency Preparedness and Response Plan within four months of completing the Emergency Preparedness and Response in Child Care training and/or the Plan was not completed on the template provided by the Division.	.1714(c)	3
1858	The EPR Plan did not include written procedures for accounting for all in attendance, including the location of the children, staff, volunteer and visitor attendance lists and/or the name of the person(s) responsible for bringing the lists in the event of an emergency.	.1714(d)(1)(A-B)	1
1859	The EPR Plan did not include a description for how and when children will be transported.	.1714(d)(2)	1
1860	The EPR Plan did not include methods for communicating with parents and emergency personnel or law enforcement.	.1714(d)(3)	1
1861	The EPR Plan did not include a description of how children's nutritional and health needs will be met.	.1714(d)(4)	1
1862	The EPR Plan did not include the relocation and reunification process.	.1714(d)(5)	1

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1863	The EPR Plan did not include emergency telephone numbers.	.1714(d)(6)	1
1864	The EPR Plan did not include evacuation diagrams showing how the operator, family members, children and any other individuals who may be present will evacuate during an emergency.	.1714(d)(7)	1
1865	The EPR Plan did not include the date of the last revision of the plan.	.1714(d)(8)	1
1866	The EPR Plan did not include specific considerations for non-mobile children and children with special needs.	.1714(d)(9)	1
1875	The EPR Plan did not include the location of the Ready to Go File and/or required information.	.1714(d)(10)	1
1876	The operator did not review the EPR Plan annually or when information in the plan changed to ensure all information is current.	.1714(e)	3
2017	The operator did not review the EPR Plan with additional caregivers prior to them caring for children and/or on an annual basis.	.1714(f)	3
2018	The operator did not inform substitute providers and volunteers of the EPR plan and its location and/or did not document, and have available for review, they were informed.	.1714(g)	3
2019	Operator did not complete Recognizing and Responding to Suspicions of Child Maltreatment training within the required time frame.	.1703(a)(5)	3

**Criminal Background Requirements**

918	Prior to employment, a Criminal Background Check was not completed.	G.S. 110-90.2; .2703(a)	2
930	Prior to the expiration date of the qualification letter, the child care provider did not complete and submit required forms to complete a criminal background check (a qualification letter is valid for a maximum of three years from the date of issuance).	G.S. 110-90.2 & .2703(k)&(l)	2
1841	The person signing the Letter of Intent to Operate pursuant to G.S. 110-106 did not submit all required forms.	G.S. 110-90.2 & .2703(d)	2
1842	A child care provider or uncompensated provider found to be disqualified and not eligible for employment in child care was employed or living in the home.	G.S. 110-90.2 & .2703(f)	2
1843	A child care provider determined by the Division to be disqualified was not terminated by the family child care home immediately upon receipt of the disqualification notice.	G.S. 110-90.2 & .2703(g)	2
1844	The operator did not include the criminal history mandatory reporting requirement in all new employee orientation information.	G.S. 110-90.2 & .2703(j)	2
1845	The operator did not notify the Division of any pending charges, indictments, or convictions within one business day of being notified by the child care provider or household member of their incurred pending charges, indictments, or convictions since their last qualification letter was issued by the Division.	G.S. 110-90.2 & .2703(j)	2
1846	An individual living in the household who had their 16th birthday after the initial licensing of a family child care home, did not complete and submit required forms within five business days.	G.S. 110-90.2 & .2703(n)	2
1847	A child care operator did not notify the Division of any new child care providers who were hired or moved into the home within five business days by submitting the Change of Information form provided by the Division.	G.S. 110-90.2 & .2703(o)	2
935	Individuals who provide care for 5 hours or more a week, during planned absences of the operator, did not submit criminal background check forms as required in Rule .2703.	G.S. 110-90.2(b) & .1729(a)(6)	5
936	Individuals who provide care for less than 5 hours a week, during planned absences of the operator, did not submit criminal background check forms as required in Rule .2703.	G.S. 110-90.2(b) & .1729(b)	5
937	Individual providing care during unplanned absences of the operator, such as medical emergencies did not submit criminal background check forms as required in Rule .2703.	G.S. 110-90.2(b) & .1729(d)	5

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408	The operator knowingly allowed persons who have been convicted of a "reportable conviction" on the premises when children are present.	G.S. 110-90.2 & .1710(a)	2
1831	A valid qualification letter was not on file and available for review at the facility.	G.S. 110-90.2(b) & (d) & .2703(e); .1702(b)(1)	2
2043	A provisional child care provider did not have a qualification letter on file and available for review.	G.S. 110-90.2 & .2703(f)	2
2044	An individual on a provisional criminal check status was not supervised by a staff person who was determined to be qualified.	G.S. 110-90.2 & .2703(f)	2
2051	An individual on a provisional criminal background status did not complete and submit documents specific to their former state of residence necessary to complete the out-of-state portion of their background check.	G.S. 110-90.2(b) & .2703(g)	2

**Medical**

908	Health questionnaire was not completed annually.	.1703(a)(1)	1
909	Negative TB test or screening results for all operators were not available.	.1702(b)(4)	1
2020	Upon request, the operator did not provide an evaluation of their emotional and physical fitness to care for children.	.1703(a)(1)	1
2021	Upon request, the operator did not obtain written proof that he/she was free of active TB.	.1703(a)(1)	1
938	Individuals who provide care for 5 hours or more a week, during planned absences of the operator, had not completed a health questionnaire.	.1729(a)(4)	5
939	Individuals who provide care for 5 hours or more a week, during planned absences of the operator, did not have proof of negative TB test or screening results completed within the last 12 months prior to the first day providing care.	.1729(a)(5)	5
940	Individuals who provide care for less than 5 hours a week, during planned absences of the operator, had not completed a health questionnaire.	.1729(b)	5
941	Individuals who provide care for less than 5 hours a week, during planned absences of the operator, did not have proof of negative TB test or screening results completed within the last 12 months prior to the first day providing care.	.1729(b)	5

**Ongoing Training Requirements [omit this section for religious sponsored programs G.S. 110-106]**

2022	Operator and/or staff members did not complete the required health and safety trainings within the specified time frame.	.1703(b)	2
2023	Operator and/or staff who work with children, did not complete health and safety training as part of on-going training so that every five years, all the topic areas were covered.	.1703(d)(2)	2
2024	The health and safety training did not include all of the required topic areas.	.1703(c)(1-11)	2
2025	Operator and/or staff members did not complete a professional development plan within one year of employment.	.1703(i)	3
2026	The professional development plan did not include the required information.	.1703(i)(1-4)	3
2027	The professional development plan was not maintained in the personnel file.	.1703(i)(5)	1
916	Operator did not maintain a record of on-going training in which he/she has participated.	.1703(j)	1
1301	Operator did not complete the required number of on-going training hours as specified in rule.	G.S. 110-91(11) & .1703(d)(1)	2
1302	Training was not approved by the Division.	.1703(l)(2)	2

**N. CHILDREN'S RECORD KEEPING**

**General Record Keeping**

1892	Application was not on file for each enrolled child, including his/her own preschool child(ren) who are not school-age.	.1721(a)(3)	1
1893	Application did not include all required information including, but not limited to: child's full name, named to be called, child's date of birth, any allergies, including symptoms and the type of response required, and any fears or behavior characteristics a child has.	.1721 (a)(3)(A)(B)(C)(E)	1



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1894	Application did not include names and contact information of individuals to whom the operator may release the child as authorized by the person who signs the application.	.1721(a)(3)(F)	1
2028	Information contained in the application for enrollment was not accessible to caregiving staff during the time the child was in care.	.1721(c)	1
1895	Application did not include health care needs or concerns, symptoms of and the type of response required for the health care needs or concerns.	.1721(a)(3)(D)	1
2041	Application did not include the names and phone numbers of the child's physician and the persons to be contacted in an emergency situation.	.1721(a)(3)(G)(H)	1
1897	Application did not have an a medical action plan attached for any child with health care needs such as allergies, asthma, or other chronic conditions that require specialized health services.	.1721(a)(4)	1
1898	The medical action plan was not updated on an annual basis and when changes to the plan were made by the child's parent or health care professional.	.1721(a)(4)	1
2029	Medication authorization, as required by the medical action plan, did not include the specific information and instructions noted by the parent and/or physician as documented the medical action plan.	.1721(a)(5)	4
1899	Operators and/or caregivers did not use the information provided in the application to ensure that each individual child's needs are met.	.1721(d)	1
1900	Children who participate in aquatic activities did not have a permission slip on file.	.1730(f)	1
1901	Aquatic activities permission slip did not include a signed statement verifying the parent is aware of the aquatic activities policy.	.1730(f)	1
512	Incident reports were not complete and maintained in the child's file and/or were not signed by the person completing it and by the parent.	.1721(e)(3)(A-L)	1
2052	A copy of the incident report was not given to the parent.	.1721(e)(3)	1
2047	Incident logs were not completed and maintained as required.	.1721(e)(4)	2
912	Written feeding schedule was not on file for each child under 15 months of age and/or was not updated regularly to reflect changes in the child's needs.	.1706(i)	1
1704	Summary of the NC Child Care Law was not given to each child's parent, guardian, or full-time custodian before the child was enrolled in the home and/or signed statement was not on file.	G.S. 110-102	2
2030	Operator did not provide a written statement to parents regarding the smoking and tobacco restriction.	.1719(a)(11)	1
1734	All children's records except the medication permission slips as required in Rule .1720(b)(13), were not maintained on file for at least one year from the date the child was no longer enrolled in the facility.	.1721(f)(1)	1
2031	Operator did not provide a copy of the shaken baby syndrome and abusive head trauma policy to parents at time of enrollment, and / or within fourteen days of a changes to the policy.	.1726(b) & (c)	1
2032	The signed statement regarding receipt of the shaken baby syndrome and abusive head trauma policy did not contain the required information.	.1726(b)(1-6)	1

**Medical**

906	Authorization to seek medical care in the parent's absence was not available.	.1721(a)(3)(I)	1
910	Copy of each child's health assessment, including the operator's own preschool child(ren), was not on file within 30 days of enrollment.	G.S. 110-91(1); .1721(a)(1)	1
911	Copy of each child's immunization record, including the operator's own preschool child(ren), was not on file.	.1721(a)(2)	1

**Discipline**

925	Signed and dated statement which attests that a copy of the discipline policy was given to and discussed with a parent/guardian of each child prior to enrollment was not on file in the home.	G.S. 110-91(10); .1727(a)&(b)	1
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2033	Signed discipline statement did not include the required information, as outlined in rule.	.1727(c)(1-3)	1
926	Signed and dated statement which attests that a copy of a revised discipline policy was given to and discussed with each parent/guardian at least 14 days prior to the implementation of the new discipline policy was not on file in the home.	G.S. 110-91(10) & .1722(a) & .1727(d)	1

**Safe Sleep**

1806	Signed safe sleep statement did not include the infant's name.	.1724(c)(1)	1
1807	Signed safe sleep statement did not include the date the infant first attended the home.	.1724(c)(2)	1
1808	Signed statement did not include the date the operator's safe sleep policy was given and explained to the parent/guardian.	.1724(c)(3)	1
1809	Signed safe sleep statement did not include the date the parent/guardian signed the acknowledgement.	.1724(c)(4)	1
1810	Operator did not retain the safe sleep acknowledgement in the child's records as long as the child was enrolled.	.1724(c)	1
1811	Changes or amendments to the operator's safe sleep policy was not given in writing to the parents/guardians of all enrolled infants at least 14 days before the change is implemented. A signed statement from the parent acknowledging the receipt and explanation of the change was not in the infant's file.	.1724(d)	1
1812	Operator did not retain acknowledgment of the amended safe sleep policy in the child's record as long as the child is enrolled.	.1724(d)	1
1813	A health care professional's or parent's waiver of the requirement that all infants be placed on their backs for sleeping did not contain the required information as indicated in rule 10A NCAC 09.1724(e)(1-3).	.1724(e)(1-3)	3
1814	Operator did not retain a copy of the waiver for as long as the child was enrolled.	.1724(e)	1

**O. PROGRAM RECORD KEEPING**

**General Requirements**

2034	Operator did not complete an incident report, following an injury to a child.	.1721(e)(3)	1
2035	Operator did not document screen time on a cumulative log or activity plan and/or it was not available for review.	.1718(b)(3)	1
513	When a child received medical treatment, a copy of the incident report was not mailed to the Division within 7 calendar days after the incident occurred.	.1721(e)(3)	1
1902	Incident reports did not contain the required information.	.1721(e)(3)(A-L)	1
801	Bacteriological analysis indicating the water is free of bacteria had not been performed on a sample of water from each well used for the children's water supply every two years. Results were not kept on file in the home.	.1725(a)(1)	3
907	Written record of up-to-date pet vaccinations as required by NC law and local ordinances, including rabies vaccination for dogs and cats was not available.	.1719(b)(1)	1
919	Accurate records were not maintained for all staff and children.	G.S. 110-91(9)	1
920	Records were not made available for review.	G.S. 110-91(9)	1
921	Operator did not maintain accurate daily attendance records including documentation of arrival and departure for all children in care, including the operator's own preschool children.	.1721(e)(6)	1
923	Operator did not keep records of monthly fire drills, quarterly lockdown or shelter-in-place drills, incident reports, incident logs, accurate attendance, emergency numbers, emergency preparedness and response plan, field trip/transportation permission, pet vaccinations records and/or playground inspections monthly outdoor safety checks for a minimum of one year.	.1721(e)(7)	1
1705	Summary of the NC Child Care Law was not posted with the facility's license in a prominent place in the home.	G.S. 110-102	2
1725	All program records including documentation of operator qualifications, were not maintained on file for as long as the license remains valid, with the exception of items outlined in .1721(f)(4)(A)(B).	.1721(f)(4)(A)(B)	1

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1735	The daily schedule, activity plan, infant feeding plan, allergy posting, SIDS Sleep Chart/visual check were not maintained on file for a minimum of 30 days from the revision or replacement date.	.1721(f)(4)(A)	1
1736	Attendance, emergency numbers, safe sleep policy, written plan of care, emergency medical care plan, emergency preparedness and response plan, off-premises and routine transportation permission, list of identifying information for children being transported, fire drill log, lockdown/shelter in place drill log, incident log, outdoor play area inspection, pet vaccinations, and medication error log were not maintained for a minimum of one year from the revision or replacement date.	.1721(f)(4)(B)	1
1739	All records required shall be available during operating hours, for review by a representative of the Division.	.1721(f)(7)	1
1804	Safe sleep policy and poster about safe sleep practices was not posted in a prominent place in the infant sleeping room or area where parents and caregivers are able to view daily.	.1724(b)	3
1822	Inspections for local ordinances shall remain on file at the family child care home for as long as the license remains valid.	.1721(f)(5)	1

**Emergency Procedures**

904	Documentation of the operator's emergency medical care plan to follow in the event of a child medical emergency, was not on file and available for review.	.1713	1
905	Record of monthly fire drills, giving the date, time of day, length of time to evacuate, and operator's signature, were not available.	.1721(e)(2)	1
928	Operator did not follow the emergency procedures outlined in the emergency medical care plan.	.1713(1-4)	2
2036	The operator did not review the plan for emergency procedures with additional caregivers and substitutes prior to allowing them to care for children, and when the plan is revised.	.1713	1

**Written Plan of Care**

1712	Operator did not develop and adopt a written plan of care for completing routine tasks to ensure routine tasks did not interfere with the care of children during hours of operation.	.1712(a)	3
1713	The written plan of care did not specify times for completing routine tasks and did not include those times on the written schedule.	.1712(e)(1)	1
2037	Operator did not limit routine tasks, as outlined in the written plan of care, to no more than two hours per week.	.1712(b)	1
2038	Children attended classes and/or medical appointments with the family child care home operator.	.1712(c)	1
2039	A qualified additional caregiver or substitute did not care for children when the operator completed routine tasks in excess of two hours per week.	.1712(d)	1
1714	The written plan of care did not specify the names of individuals who will be responsible for the care of children when the operator attends to routine tasks.	.1712(e)(2)	1
1715	The written plan of care did not specify how the operator will maintain compliance with transportation requirements specified in Rule .1723 when children are transported.	.1712(e)(3)	1
1716	The written plan of care did not specify how parents will be notified when children accompany the operator off-premises for routine tasks not specified on the written schedule.	.1712(e)(4)	1
1717	The written plan of care did not specify any other steps the operator will take to ensure routine tasks will not interfere with the care of children.	.1712(e)(5)	1

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1718	The written plan of care was not given and explained to parents of children in care on or before the first day the child attended the home. Parents did not sign a statement acknowledging the receipt and explanation of the plan. Parents did not give written permission for their child to be transported by the operator for specific routine tasks that are included on the written schedule.	.1712(e)(6)	1
1719	Operator did not maintain the acknowledgement and written parental permission in a child's record for as long as the child was enrolled at the home and/or a copy of each document was not maintained on file for review by Division representatives.	.1712(e)(6)	1
1720	Operator did not give written notice of the written plan of care amendment to parents of all children enrolled, at least 30 days before the change was implemented. Each parent did not sign a statement acknowledging the receipt and explanation of the amendment. The operator did not retain the acknowledgment in the child's record for as long as the child was enrolled in the home and a copy was not maintained on file for review by Division representatives.	.1712(f)	1

**P. ENHANCED REQUIREMENTS**

**General Program Requirements Enrollment**

1823	Operator failed to maintain compliance with all the requirements for the current point level in the Program and/or Education Standards Component of the Rated License.	.2827; .2828; .2830	2
1824	Operator failed to maintain compliance with the Quality Point option chosen.	.2829	2
1838	A Four-or Five-Star program serving four year old children was not implementing an approved curriculum.	.2802(d)	3
1825	At the six point level of program standards in the rated license, there were more than four children under one year of age.	.2828(b)	2
1826	At the seven point level of program standards in the rated license there were more than three children under one year of age.	.2828(b)	2

**Q. AQUATIC ACTIVITIES**

1903	Prior to children participating in aquatic activities, the family child care home did not develop policies that included required information.	.1730(e)(1-5)	1
2053	The policies were not reviewed with additional caregivers and substitute providers prior to caring for children participating in aquatic activities.	.1730(e)	1
1740	Pool inspections, shall remain on file at the family child care home for as long as the license remains valid.	.1721(f)(5)	1
1200	Swimming pools used by children did not meet the "Rules Governing Public Swimming Pools" in accordance with 15A NCAC 18A .2500.	.1730(i)	3
2042	Swimming pool on the premises was not enclosed by a fence at least four feet high, or the fence was not locked, to prevent access by children.	.1730(g)	3
1203	Access to a swimming pool was not prevented by separating the pool from the play area by a fence, for in-ground pools, or by ensuring the ladder was removed or secured to ensure inaccessibility for above ground pools. Fence and/or ladder was not locked and inaccessible to children when not in use.	.1730(g)	3
1904	A certified life guard was not on site during aquatic activities.	.1730(c)	6
1905	Children participating in aquatic activities did not have written permission that included the required information, on file.	.1730(f)	3
2040	Children participated in aquatic activities that are prohibited, as outlined in rule.	.1730(b)(1-5)	3
1907	Children participating in an aquatic activity were not adequately supervised by Operator and/or caregiver.	.1730(d)	6
1908	Swimming pool safety rules were not posted and/or visible to children and staff.	.1730(h)	3
1909	Swimming pool safety rules did not include the required information.	.1730(h)(1-5)	3

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1910	Children participating in boating, rafting, and/or canoeing activities did not wear an age or size appropriate personal floatation device approved by the US Coast Guard.	.1730(k)	3
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**R. MISCELLANEOUS ITEMS**

9995	All other rules must be followed even if there is not a specific violation number listed on this form.	Any rule from NC General Statutes or Child Care Requirements that does not have an item	1-6
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9998	All other rules must be followed even if there is not a specific violation number listed on this form.	Any rule from NC General Statutes or Child Care Requirements that does not have an item	1-6
9999	All other rules must be followed even if there is not a specific violation number listed on this form.	Any rule from NC General Statutes or Child Care Requirements that does not have an item	1-6