

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

**A. GENERAL LICENSING REQUIREMENTS**

Item #	Description of Rule	Rule #	Pts
201	Parent or guardian of child was not allowed unlimited access to the home during operating hours for the purpose of contacting the child or evaluating the home and the care provided.	.1701(g)	2
408	Persons with certain criminal records or personal habits or behavior were allowed on the premises with the operator's permission when children are present.	G.S. 110-90.2 & .1701(f)	2
1601	License was not posted in a prominent place in the home where parents are able to view daily and/or the license was not shown to each child's parent at the time of enrollment.	G.S.110-99(b)	2
1602	Operator did not notify the Division whenever a change occurred that affected the information shown on the license.	.1702(l)	2
1603	There were permit restrictions and the home was not in compliance with them.	G.S.110-91	2
1604	The children were in care at a location address that was not listed on the license.	.1702(j)	2
1700	There was a Substantiation of child abuse or neglect.	G.S.110-105.2(a)	2
1701	Operator made efforts to falsify information.	G.S.110-91(14)	2
1702	Operator did not report a missing or deceased child.	G.S.110-102.1	2
1703	Operator did not report a suspected case of child abuse or neglect as required by the mandatory duty prescribed in GS 7B-301.	G.S.110-91	2
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 to them.	G.S.110-86(2)	6
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.	.2201(d)(1)	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.	.2201(d)(2)(A)	1
1709	The written notice did not include information on the nature of the substantiated complaint or the type of administrative action taken.	.2201(d)(2)(B)	2
1710	The written notice did not state where the binder containing copies of the substantiated complaint or the type of administrative action could be found on site for review by the parents.	.2201(d)(2)(C)	1
1711	The operator did not document the date that the written notice was given to all parents and/or have parents sign an acknowledgement that they have received the notice.	.2201(d)(3)	1

**B. BUILDING/HOME REQUIREMENTS**

Item #	Description of Rule	Rule #	Pts
302	Care provided in a single wide manufactured home exceeded the limit of a maximum of three preschool-age children (not more than two children may be two years old or less) and two school-aged children.	NCAC 513.1; .1702(c)(2)	6
303	Children were not cared for on the ground level of the home with an exit at grade.	.1702(c)(2)	6
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. (NC BUILDING CODE 513.1)	NCAC 513.1; .1702(c)(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.	.1702(c)(4)	3
307	Heating appliances were not installed and maintained according to NC Building Code Chapter 603.5.3	.1702(c)(5)	3
310	Indoor areas used by children were not adequately heated in cool weather and ventilated in warm weather.	.1702(c)(6)	3
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.	.1701(h)(3)	3
1740	Well-water analysis, pool inspection and inspections for local ordinances, shall remain on file at the family child care home for as long as the license remains valid.	.1721(c)(4)	1

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**C. ENROLLMENT**

Item #	Description of Rule	Rule #	Pts
101	Number of children present exceeded number allowed.	G.S.110-91& 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

**D. SAFETY AND SUPERVISION**

**General Safety**

Item #	Description of Rule	Rule #	Pts
510	First-aid supplies were not kept in a place easily accessible to the operator.	.1720(a)(5)	2
701	All indoor and outdoor areas used by the children were not kept reasonably clean, orderly and free of items which are potentially hazardous to children including removal of small items a child can swallow and the removal of loose nails or screws and splinters on inside and outside equipment.	.1719(1)	3
707	All stairs and steps used by the children were not solid and safe, and/or two or more steps were not railed.	.1719(6)	3
708	Indoor stairs with more than two steps were not made inaccessible to children two years of age or younger.	.1719(6)	3
711	Outdoor stationary play equipment was not firmly anchored and/or was installed over concrete or asphalt.	.1719(3)	4
712	Footings which anchor the outdoor equipment were exposed.	.1719(3)	4
714	Monthly check for hazards on the outdoor play area was not completed using a form supplied by the Division.	.1721(b)(5)	1
715	Electric fans were not securely mounted out of the reach of children or did not have a mesh guard on each fan.	.1719(4)	3
716	Electrical outlets not in use were not covered, and all old, cracked or frayed cords had not been removed from outlets.	.1719(5)	3
717	There was not a working telephone in the child care home.	.1720(a)(8)	3
719	Operator did not have access to a means of transportation that is always available for emergency situations.	.1720(a)(9)	1
722	Potentially dangerous animals were not safely secured in areas not accessible to children in care.	.1719(9)	3
729	Appliances and heating elements, such as bottle warmers, crock pots, curling irons, and electrical cords were accessible to preschool children.	.1719(a)(6)	3
928	Operator did not follow the emergency procedures documented.	.1721(b)(1)	2
1409	Operator did not maintain a safe indoor and outdoor environment.	.1719	3
1502	Operator and the children in overnight care, excluding the operator's own children, were not asleep on ground level.	.1701(h)(1)	6
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.	GS110-91	3
1741	Prior to enrollment of children in a Family Child Care Home, and before animals will be present in the Family Child Care Home, a form acknowledging the type of animal that will be in the home and where the animal will be located in the home during child care operating hours was not completed by the parent of each child and maintained in the child's file.	.1719(b)	3

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**Supervision**

Item #	Description of Rule	Rule #	Pts
720	Adequate supervision was not provided for children who were awake.	.1718(a)(4)(A)	6
721	Operator was not able to hear and respond quickly to children who were sleeping or napping.	.1718 (a)(4)(B)	6
726	Children were sleeping or napping in a room with a closed door between the child and the supervising staff.	.1718 (a)(4)(B)	6
727	Staff was not on the same level of the home where children were sleeping or napping.	.1718 (a)(4)(B)	6
1108	Operator or other transportation provider did not ensure that children were never left alone in a vehicle unattended by an adult.	G.S. 110-91(13) & .1723(6)	6
1503	Operator could not hear and respond quickly to the children during overnight care.	.1701(h)(2)	6

**Storage of Hazardous Items and Medication**

Item #	Description of Rule	Rule #	Pts
702	Potentially hazardous equipment and supplies, such as lawnmowers, power tools, nails, etc., were accessible to children.	.1719(2)	4
703	Firearms (handguns, rifles, shotguns, etc.) and ammunition (bullets, shotgun shells) were not stored separately in locked storage.	.1720(a)(1)	3
704	Items used for starting fires, such as matches and lighters, were not kept out of the children's reach.	.1720(a)(2)	3
705	All medicines, including refrigerated and un-refrigerated, were not kept in locked storage.	.1720(a)(3)	5
706	Hazardous cleaning supplies and other items that might be poisonous were not kept out of reach or in locked storage when children were in care.	.1720(a)(4)	5
723	Tobacco products were not kept out of reach or in locked storage.	.1720(a)(6)	3
1410	Operator did not safely store all combustible materials.	.1719(10)	5

**Napping and Safe Sleep Practices**

Item #	Description of Rule	Rule #	Pts
516	Bedding or other objects were placed in a manner that covered the child's face while sleeping.	.1718(a)(5)	3
721	Operator was not able to hear and respond quickly to children who were sleeping or napping.	.1718 (a)(4)(B)	6
726	Children were sleeping or napping in a room with a closed door between the child and the supervising staff.	.1718 (a)(4)(B)	6
727	Staff was not on the same level of the home where children were sleeping or napping.	.1718 (a)(4)(B)	6
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)	3
1802	Operator has not developed and adopted a written safe sleep policy.	G.S.110-91(15) & .1724(a)	1
1803	Safe sleep policy did not contain the required information as indicated in rule .1724(a)(1-9).	G.S. 110-91(15)(a)(b) & .1724(a)(1-9)	3
1804	Safe sleep policy or a 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(f)(1-3)	3
1817	While sleeping, infants aged 12 months or younger were not placed in a crib, bassinet or play pen with a firm padded surface.	.1724(a)(2)	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)(1-9)	3
1819	An infant was laid down to sleep with something placed over his or her head or face.	.1724(a)(4)	3
1820	The temperature in a room where infants aged 12 months or younger where sleeping exceeded 75 degrees.	.1724(a)(5)	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)	3

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**Overnight Care**

Item #	Description of Rule	Rule #	Pts
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.	.1701(h)(3)	3
1502	Operator and the children in overnight care, excluding the operator's own children, were not asleep on ground level.	.1701(h)(1)	6
1503	Operator could not hear and respond quickly to the children during overnight care.	.1701(h)(2)	6

**E. HEALTH AND SANITATION**

Item #	Description of Rule	Rule #	Pts
311	All windows and doors used for ventilation were not screened.	.1720(d)(9)	3
724	Operator used tobacco products while children were in care.	.1720(f)	3
725	Smoking or use of tobacco products occurred indoors while children were in care or occurred in a vehicle when children were transported.	.1720(f)	3
728	Well-water analysis shall remain on file at the family child care home for as long as the license remains valid.	.1721(c)(4)	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.	.1720(d)(1)	3
805	All garbage was not stored in water-proof containers with tight-fitting covers both indoors and outdoors.	.1720(d)(11)	3
809	Refrigerator was not in good repair.	.1720(d)(6)	4
810	Refrigerator was not maintained at a temperature of 45 degrees Fahrenheit or below and/or was not monitored by a refrigerator thermometer.	.1720(d)(6)	3
813	House was not free of rodents (an untamed mouse, rats, squirrels, etc.).	.1720(d)(8)	3

**Diaper Changing**

Item #	Description of Rule	Rule #	Pts
802	Sanitary toilet, diaper changing and hand-washing facilities were not provided. Diaper changing area was not separate from food preparation areas.	.1720(d)(2)	3
803	Operator did not wash his/her hands before, as well as after, diapering each child.	.1720(d)(3)(A)	3
804	Soiled diapers were not placed in a covered, leak-proof container which was not emptied and cleaned daily.	.1720(d)(3)	3
814	Diapers were not changed whenever they become soiled or wet.	.1720(d)(3)	3
815	Child's hands were not washed after diapering.	.1720(d)(3)(B)	3

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**Hand Washing**

Item #	Description of Rule	Rule #	Pts
803	Operator did not wash his/her hands before, as well as after, diapering each child.	.1720(d)(3)(A)	3
806	Operator did not wash his/her hands before and after handling food and feeding the children.	.1720(d)(4)(A)	3
815	Child's hands were not washed after diapering.	.1720(d)(3)(B)	3
816	Each child's hands were not washed before and after eating.	.1720(d)(4)(B)	3
818	Each child's hands were not washed after toileting or handling bodily fluids.	.1720(d)(5)	3

**Sleeping and Napping**

Item #	Description of Rule	Rule #	Pts
502	Individual sleeping space for each child to rest comfortably was not provided for each child in care for more than four hours, or for all children receiving overnight care.	.1718(a)(2)	4
503	Individual linens were not provided for each child.	.1718(a)(2)	3
504	Each child's linens were not changed weekly or whenever they are soiled or wet.	.1718(a)(2)	3

**Healthy Practices and Reduction of the Spread of Germs**

Item #	Description of Rule	Rule #	Pts
505	Operator was not able to recognize symptoms of common childhood illnesses.	.1720(a)(10)	3
506	Quiet, separate area for children who are too sick to remain with the other children was not provided.	.1718(a)(3)	3
507	Area for sick children cannot be easily supervised.	.1718(a)(3)	6
509	Parents were not immediately notified when their child became too sick to remain in care.	.1718(a)(3)	3
514	Children with fevers over 100 degrees auxiliary or 101 degrees orally were not excluded from care.	.1720(b)	2
515	Children with symptoms or illnesses listed in rule .1720(b)(1-11) were not excluded from care.	.1720(b)(1-11)	2

**Sanitary Food Service**

Item #	Description of Rule	Rule #	Pts
806	Operator did not wash his/her hands before and after handling food and feeding the children.	.1720(d)(4)(A)	3
807	Operator did not use sanitary procedures when preparing and serving food.	.1720(d)(4)	3
808	Perishable food and beverages were not stored in a refrigerator.	.1720(d)(6)	3
816	Each child's hands were not washed before and after eating.	.1720(d)(4)(B)	3

**F. DAILY CAREGIVING REQUIREMENTS**

**Materials and Equipment**

Item #	Description of Rule	Rule #	Pts
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
709	Equipment and toys were not in good repair and developmentally appropriate.	.1720(a)(7)	4
932	Operator did not have materials or equipment available indoors or outdoors to support the activities listed on the written schedule.	.1718(a)(7)	3

**Daily Schedules**

Item #	Description of Rule	Rule #	Pts
537	The written schedule was not displayed in a place where parents were able to view.	.1718(a)(7)(B)	3
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 usually 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
929	Developmentally appropriate activities were not provided as planned on the written schedule.	G.S.110-91(12) & .1718(a)(7)	3

**Developmentally Appropriate Activities**

Item #	Description of Rule	Rule #	Pts
501	Children did not have the opportunity for outside play each day that weather conditions permit.	G.S.110-91(2) & .1718(a)(1)	3
517	Children aged 12 months or younger were not given the opportunity to play while positioned on his/her stomach daily while awake.	.1718(a)(6)	3
536	The operator did not provide space and time for vigorous indoor activities when children could not play outdoors.	.1718(a)(1)	3
541	The caregiver(s) did not relate to 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 .	.1703(1-4)	3
542	When screen time was provided, it was not offered only as a free choice activity, it was not used to meet a developmental goal, and/or it was not limited to no more than two and a half hours per week for each child two years of age and older.	.1718(a)(8)(A-C)	3
543	Screen time was not prohibited for children under the age of two. The operator did not offer alternative activities for children under the age of two years.	.1718(a)(8)(A-C)	3
817	Children were not toilet trained according to individual readiness and forced to use the toilet.	.1720(e)	3

**G. DISCIPLINE**

Item #	Description of Rule	Rule #	Pts
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
931	Operator did not follow the discipline policy.	.1722(a)	6
1001	Children were subjected to corporal punishment.	.1722(b)	6
1002	Persons in the home placed a child in a locked room, closet, or box.	.1722(d)	6
1003	Persons in the home delegated discipline to another child.	.1722(e)	6
1004	Persons in the home disciplined a child in relation to food, rest, or toileting.	.1722(f)(1-3)	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(c)	6
1007	Discipline was not appropriate for the child's age and development.	.1722(h)	6
1008	Children were disciplined by leaving them alone in a room separated from staff.	.1722(d)	6
1009	Children were disciplined by assigning chores requiring them to be in contact with hazardous materials.	.1722(g)	6

**H. MEDICATION**

Item #	Description of Rule	Rule #	Pts
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)(4)	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.	.1720(c)(13)	1
1401	Prescribed medications were not stored in their original containers in which they are dispensed with the pharmacy label specifying required information.	.1720(c)(2)(A) (i-v)	4
1402	Prescription medications were not administered only to the child for whom they were prescribed.	.1720(c)(2)(C)	4
1403	Prescription or over-the-counter medication and topical, non-medical ointment, repellant, lotion, cream, or powder was administered to any child without the required information as indicated in .1720(c)(1).	.1720(c)(1)(A-E)	4
1404	Medication remaining after the course of treatment is completed or after authorization is withdrawn was not returned to the child's parent/guardian. Any medication not retrieved by parent/guardian within 72 hours of completion of treatment, or withdrawal of authorization, was not discarded.	.1720(c)(12)	4
1405	Authorization for up to 12 months to apply over-the-counter medications, topical ointment, topical teething ointment or gel, insect repellants, 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(c)(7).	.1720(c)(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(c)(6)(A-I)	4
1408	Medication was given for non-medical reasons.	.1720(c)(1)(E)	4
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.	.1720c(2)(B)(i-v)	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(c)(3)	4
1414	Written permission to administer over-the-counter medications was not valid for up to 30 days at a time.	.1720(c)(4)	4
1415	Over-the-counter medications were not administered on an "as needed" basis, other than as allowed in rule .1720(c)(6-9).	.1720(c)(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(c)(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(c)(4)(A-E)	4
1418	Authorization to administer a single weight-appropriate dose of acetaminophen did not contain the required information.	.1720(c)(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 this authorization contains the required information. Authorization was not in writing and was not valid for as long as the child is enrolled.	.1720(c)(9)(A-D)	4
1420	Authorization was not in writing and was not valid for as long as the child is enrolled.	.1720(c)(9)	4

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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(c)(10)	4
1422	Written authorization may be withdrawn from a parent/guardian for the administration of medication at any time.	.1720(c)(11)	4
1423	Operator did not record required information for administering prescription or over-the-counter medication.	.1720(c)(13)	4

**I. NUTRITION AND FEEDING**

**General Requirements**

Item #	Description of Rule	Rule #	Pts
601	Nutritious meals and snacks served did not meet Meal Patterns for Children in Child Care Programs.	.1706(a)	3
602	Food served was not appropriate in type, number and size of servings for the ages and developmental levels of children in care.	.1706(a)	3
603	Child(ren) ages 24 months and older went more than four hours without a meal or snack being provided.	.1706(e)	3
604	Drinking water was not freely available to children.	.1706(k)	3
812	Unpasteurized milk, milk products, and juice were served.	.1706(l)	3
1832	Food brought from home did not meet the nutritional requirements and necessary supplements was not provided by the operator.	.1706(b)	2
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(b)	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(C)	2
1835	Foods with little or no nutritional value were available often and not just for special occasions.	.1706(d)	2
1836	The operator did not provide the required beverage(s).	.1706(m)(1-6)	2

**Infants and Toddlers**

Item #	Description of Rule	Rule #	Pts
605	Each infant was not held for bottle feeding until able to hold his or her own bottle. Bottles were propped.	.1706(h)	3
606	Each child was not held or placed in an appropriate feeding chair or other age appropriate seating apparatus to be fed.	.1706(h)	3
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(i)	3
811	Bottles for each individual child were not dated and labeled with the child's name, except when there is only one bottle-fed baby in care.	.1720(d)(7)	3
927	Operator did not follow the written feeding schedule for each child under 15 months of age.	.1706(f)	3
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(g)	3
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(j)	2

**J. TRANSPORTATION**

**General Requirements and Vehicles**

Item #	Description of Rule	Rule #	Pts
719	Operator did not have access to a means of transportation that is always available for emergency situations.	.1720(a)(9)	1
725	Smoking or use of tobacco products occurred indoors while children were in care or occurred in a vehicle when children were transported.	.1720(f)	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(8)	3

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**Driver**

Item #	Description of Rule	Rule #	Pts
1107	Operator or other transportation provider did not have a valid driver's license of any type required under the NC Motor Vehicle Law or comparable state license from which the driver resides.	.1723(3)	2
1110	Operator or other transportation provider was not at least 18 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(3)	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(3)	1

**Supervision**

Item #	Description of Rule	Rule #	Pts
1108	Operator or other transportation provider did not ensure that children were never left alone in a vehicle unattended by an adult.	G.S. 110-91(13) & .1723(6)	6

**Restraint Devices and Seating**

Item #	Description of Rule	Rule #	Pts
1104	Operator or other transportation provider did not comply with all applicable state and federal laws and regulations concerning the transportation of passengers.	G.S.110-91	2
1105	Adults and children did not use individual seat belt or child restraint devices.	.1723(2)	3
1106	Operator or other transportation provider did not seat each child who was transported in a manufacturer's designated seating area.	.1723(4)	3
1109	Operator or other transportation provider did not ensure that no child occupied the front seat of a vehicle with an operational passenger-side airbag.	.1723(5)	3

**Emergency Information and Record Keeping**

Item #	Description of Rule	Rule #	Pts
1101	Operator or other transportation provider did not have written permission from each child's parent or guardian to transport the child.	.1723(1)	1
1102	Parent/guardian was not notified of when and where the child was to be transported.	.1723(1)	1
1103	Operator or other transportation provider did not have emergency information and identification for each child in the vehicle whenever children were transported.	.1723(7)	1

**K. CAREGIVER REQUIREMENTS**

**Operator/Primary Caregiver**

Item #	Description of Rule	Rule #	Pts
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

**Additional Caregivers**

Item #	Description of Rule	Rule #	Pts
409	Individuals who provide care for 5 hours or more a week, during planned absences of the operator, were not at least 21 years old, have a high school diploma or GED.	.1701(b)	5
411	Individuals who provide care for less than 5 hours in a week, during planned absences of the operator were not at least 21 years old and literate.	.1701(c)	5

**Substitutes and Volunteers**

Item #	Description of Rule	Rule #	Pts
417	Individual providing care during unplanned absences of the operator, such as medical emergencies, was not at least 18 years of age.	.1701(e)	5

**L. CAREGIVER RECORD KEEPING**

**General**

Item #	Description of Rule	Rule #	Pts
410	Copy of the required information for an individual was not on file in the home available for review.	.1701(b)	1
421	Signed and dated statement which attests that a review of the requirements was completed was not on file in the home available for review.	.1701(d)	1
1534	Additional caregiver records shall be maintained on file one year from the employee's last date of employment.	.1721(c)(2)	1
1738	Records may be maintained in a paper format or electronically, except records that require a signature of a staff person or parent shall be maintained in a paper format.	.1721(c)(5)	1

**CPR and First Aid**

Item #	Description of Rule	Rule #	Pts
508	Operator did not successfully complete a first aid course as referenced in Rule .1705(a)(3). First aid training was not renewed on or before the expiration of the certification, or every 3 years, whichever is less.	.1705(b)(2)	2
511	Operator did not successfully complete a CPR course as referenced in Rule .1705(a)(4). CPR training was not renewed on or before the expiration of the certification, or every 2 years, whichever is less.	.1705(b)(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 .1705.	.1701(b)	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 .1705.	.1701(c)	5

**Special Training [ITS-SIDS]**

Item #	Description of Rule	Rule #	Pts
1305	Operator did not complete ITS-SIDS training within four months of receiving a license.	G.S.110-91(15)(c) & .1705(b)(4)	3
1306	Operator has not completed ITS-SIDS training every three years from the completion date of previous ITS-SIDS training.	.1705(b)(4)	3
1307	ITS-SIDS training was counted more than once every three years towards meeting the annual in-service training requirement.	.1705(b)(4)	2

**Criminal History Checks**

Item #	Description of Rule	Rule #	Pts
918	Prior to employment a Criminal Record Check was not completed.	G.S. 110-90.2	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 record 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 records check forms as required in Rule .1701.	G.S. 110-90.2(b) & .1701(b)	5
936	Individuals who provide care for less than 5 hours a week, during planned absences of the operator, did not submit criminal records check forms as required in Rule .1701.	G.S. 110-90.2(b) & .1701(c)	5
937	Individual providing care during unplanned absences of the operator, such as medical emergencies did not submit criminal records check forms as required in Rule .1701.	GS. 110-90.2(b) & .1701(e)	5
408	Persons with certain criminal records or personal habits or behavior were allowed on the premises with the operator's permission when children are present.	G.S. 110-90.2 & .1701(f)	2

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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)	2
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**Medical**

Item #	Description of Rule	Rule #	Pts
908	Health questionnaire was not completed annually.	.1705(b)(1)	1
909	Negative TB test results for all operators were not available.	.1705(a)(2)	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.	.1701(b)	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 results completed within the last 12 months prior to the first day providing care.	.1701(b)	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.	.1701(c)	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 results completed within the last 12 months prior to the first day providing care.	.1701(c)	5

**Inservice Training [omit this section for religious sponsored program operating under G.S. 110-106]**

Item #	Description of Rule	Rule #	Pts
916	Operator did not maintain a record of annual in-service training in which he/she has participated.	.1705(b)(5)	1
943	Individuals who provide care for 5 hours or more a week, during planned absences of the operator, did not complete annual in-service training requirements as described in Rule .1705(b)(5).	.1701(b)	5
1301	Operator did not complete the required number of annual in-service training hours in the topic areas required by G.S. 110-91(11).	G.S.110-91(11); .1705(b)(5)	2
1302	Training was not approved by the Division.	.1705(b)(5)	2
1303	First Aid training was counted more than once every 3 years towards meeting the annual in-service training requirement.	.1705(b)(5)	2
1304	Operator received excess training hours carried forward more than one-half of the current year's in-service training hours.	G.S.110-91(11)	2

**M. CHILDREN'S RECORD KEEPING**

**General Record Keeping**

Item #	Description of Rule	Rule #	Pts
512	Incident reports were not completed and on file when a child received medical treatment as a result of an incident occurring while the child was receiving care in the home.	.1721(b)(3)	1
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(f)	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
1734	All children's records except the medication permission slips as required in Rule .1720(c)(13), shall be maintained on file for at least one year from the date the child is no longer enrolled in the facility.	.1721(c)(1)	1

**Medical**

Item #	Description of Rule	Rule #	Pts
902	Health and emergency information form for each child, including the operator's own preschool children, which has been completed and signed by the child's parent or guardian, was not available and/or did not include required information. Must be on file the first day the child attends.	.1721(a)(3)(A-G)	1
906	Authorization to seek medical care in the parent's absence was not available.	.1721(a)(3)(G)	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

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**Discipline**

Item #	Description of Rule	Rule #	Pts
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)&.1722 (a)	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 30 days prior to the implementation of the new discipline policy was not on file in the home.	G.S.110-91(10)&.1722 (a)	1

**Safe Sleep**

Item #	Description of Rule	Rule #	Pts
1806	Signed statement did not include the infant's name.	.1724(c)(1)	1
1807	Signed 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 statement did not include the date the parent/guardian signed the acknowledgement.	.1724(c)(4)	1
1810	Operator did not retain the 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 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

**N. PROGRAM RECORD KEEPING**

**General Requirements**

Item #	Description of Rule	Rule #	Pts
513	Incident reports were not mailed to the Division within 7 calendar days after the incident occurred.	.1721(b)(3)	1
534	Incident log was not maintained when incident reports were completed.	.1721(b)(4)	1
718	Telephone numbers for the fire department, law enforcement office, emergency medical service and poison control were not posted near the phone.	.1720(a)(8)	3
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.	.1720(d)(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.	.1720(d)(10)	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 keep accurate daily attendance records for all children in care, including the operator's own preschool children. The attendance records did not indicate the date and time of arrival and departure for each child.	.1721(b)(6)	1
923	Operator did not keep records of monthly fire drills, incident reports, incident logs, accurate attendance, emergency numbers, emergency procedures form, field trip/transportation permission, pet vaccinations records and/or playground inspections monthly outdoor safety checks for a minimum of one year.	.1721 (c)(3)(B)	1
924	Operator did not maintain written records as required.	.1721(c)(1-6)	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	Current program records shall be maintained on file for as long as the license remains valid.	.1721(c)(3)	1
1735	Prior versions of current program records for the daily schedule, infant feeding schedule, and SIDS Sleep Chart/visual check shall be maintained on file for a minimum of 30 days from the revision or replacement date.	.1721(c)(3)(a)	1

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1736	Prior versions of current program records shall be maintained on file for attendance, emergency numbers, emergency procedures form, field trip/ transportation permission, fire drill log, incident log, playground inspection, and pet vaccinations for a minimum of one year from the revision or replacement date.	.1721(c)(3)(b)	1
1739	All records required shall be available for review by a representative of the Division.	.1721(c)(6)	1
1804	Safe sleep policy or a poster about safe sleep practices was not posted in a prominent place in the infant sleeping room or area.	.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(c)(4)	1

**Emergency Procedures**

Item #	Description of Rule	Rule #	Pts
904	Documentation of the operator's emergency procedures was not on file and available for review.	.1721(b)(1)	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(b)(2)	1
928	Operator did not follow the emergency procedures documented.	.1721(b)(1)	2

**Written Plan of Care**

Item #	Description of Rule	Rule #	Pts
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.	.1701(i)	3
1713	The written plan of care did not specify typical times for completing routine tasks and did not include those times on the written schedule, or specify that routine tasks will not occur during hours of operation.	.1701(i)(1)	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.	.1701(i)(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.	.1701(i)(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.	.1701(i)(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.	.1701(i)(5)	1
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.	.1701(i)(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 a copy of each of document was not maintained on file for review by Division representatives.	.1701(i)(6)	1
1720	Operator did not give written notice of the 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 representative.	.1701(j)	1
1721	The written plan of care was not developed and shared with parents of children currently enrolled by January 1, 2007.	.1701(k)	1
1722	Operator did not implement and follow the written plan of care adopted for completing routine tasks.	.1701(i)	3

**O. ENHANCED REQUIREMENTS**

**General Program Requirements**

Item #	Description of Rule	Rule #	Pts
1823	Home failed to maintain compliance with all the requirements for the current point level in the Education Standards Component of the Rated License.	.2827	2
1824	Home failed to maintain compliance with the Quality 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
1839	A Four- or Five-Star program serving four year old children was using an approved curriculum to earn a quality point.	.2829(2)(a)	3

**Enrollment**

Item #	Description of Rule	Rule #	Pts
1825	Of the five preschoolers enrolled, more than four children were under one year of age.	.2828(f)(3)	2
1826	Of the five preschoolers enrolled, more than three children were under one year of age.	.2828(g)(3)	2

**Operational and Personnel Policies**

Item #	Description of Rule	Rule #	Pts
1827	Home did not have written operational policies available.	.2828(b)	1
1828	Home did not follow written operational policies.	.2828(b)	1
1829	Operating policies did not contain the required information outlined in this rule.	.2828(b)	1

**P. AQUATIC ACTIVITIES**

Item #	Description of Rule	Rule #	Pts
1740	Pool inspections, shall remain on file at the family child care home for as long as the license remains valid.	.1721(c)(4)	1
1200	Swimming pools used by children did not meet the "Rules Governing Public Swimming Pools" in accordance with 15A NCAC 18A .2500.	.1719(7)	3
1201	Swimming or wading pools on the premises were not maintained in a manner which will safeguard the lives and health of the children.	.1719(7)	3
1202	In-ground swimming pools or other bodies of water on the premises were not enclosed by a fence no less than four feet high to prevent access by children.	.1719(8)	3
1203	Swimming pool area was not separated from the play area by a fence.	.1719(8)	3
1204	Access to the water in above ground swimming pools was not prevented by locking and securing the ladder in place or by storing the ladder in a place inaccessible to the children.	.1719(8)	4

**Q. MISCELLANEOUS ITEMS**

Item #	Description of Rule	Rule #	Pts
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 Statues or Child Care Requirements or Sanitation	0
9996	All other rules must be followed even if there is not a specific violation number listed on this form.	Any rule from NC General Statues or Child Care Requirements or Sanitation	0
9997	All other rules must be followed even if there is not a specific violation number listed on this form.	Any rule from NC General Statues or Child Care Requirements or Sanitation	0
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 Statues or Child Care Requirements or Sanitation	0
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 Statues or Child Care Requirements or Sanitation	0