**Sample Record Keeping System for Licensed Child Care**

**Child Care Aware suggests a binder system to make record keeping easier and more organized. DRCC/OIG inspectors can easily inspect the binders and make the survey process smoother.**

**Binder #1: For Public Inspection**

This binder should be labeled “For Public Inspection” and kept where the parents can easily access it, such as near the attendance records. DRCC/OIG inspectors, parents, the public and staff all need to be able to access this information. **NOTE:** You could place the attendance record in the front of this binder instead of creating another binder or clipboard for sign-in and sign-out.

This binder should contain:

1. A copy of the current child care regulations 922 KAR 2:090; 922 KAR 2:120 and 922 KAR 2:280
2. Emergency Preparedness Disaster Plan (this should be an exact copy of the one submitted annually to the local Emergency Management Agency) **(you can also create an Emergency Binder for this document and your facility drills)** Your choice!
3. Any Statement of Deficiencies and Plans of Correction received and submitted during the licensure year. These may be kept in the binder or posted on a parent board. You choose!
4. Monthly and quarterly emergency drills along with lists of children who participated **(this could also be kept in Binder #2 or in an Emergency Binder with the Emergency Preparedness Plan)**
5. Parent Handbook
6. Name, Address & Phone Number of Cabinet for purpose of registering complaint (can be posted or in the binder)

**Binder #2: Licensing Binder**

This binder should be kept in a secure location and made available to the DRCC/OIG inspector upon request. It is not for public inspection. **NOTE:** This binder must be accessible at all times, even when the director is not present at the facility. When the director is not at the facility, a staff person in charge must be able to access the binder.

1. Copy of the most recent licensing application (helpful in case of questions!)
2. Zoning
3. Current Liability Insurance (100,000 per occurrence) (Usually just the declarations page will do it. You must show the insurance agency name, facility name and address, policy date range and amount per occurrence)
4. Fire Marshal Report
5. Current Food Service Permit if applicable or Catering Permit if from an outside source
6. Organizational chart and chain of command (can be one document if done correctly) (can also be posted if you prefer)
7. Staff Handbook/Policies including, but not limited to:
   1. Child Abuse and Neglect Protocol
   2. Orientation Policy
   3. Confidentiality Policy (not required, but recommended)
   4. Procedure for cleaning and sanitizing mouth contact toys
   5. Administration of Medication
   6. Cell Phone Policy (not required, but recommended)
   7. Incident Report Writing (not required, but recommended)
8. Staff Meeting records (make sure they’re dated with a month, day and year!)
9. Annual Family Involvement Activity
10. While it does not have to be kept in a binder, you must have a written staff schedule and keep it on file for 5 years along with the other paperwork.
11. Job descriptions if they are not kept in individual staff files
12. Emergency Preparedness Plan and facility drills if not kept in Binder #1 or an Emergency Binder (NOTE! Staff must be familiar with the emergency preparedness plan contents including their individual responsibilities)

**Binder #3: Children’s Files**

This binder should be stored in a secure location and is not for public inspection. DRCC/OIG inspectors will need access to this binder. In addition, staff may need to access this binder to check who is authorized to pick up a child in care or to contact a parent/emergency contact. Copies of these forms may be kept in a confidential location in the classrooms to make pickup easier, however, the originals should stay secure in the office.

**NOTE: Be sure and put NA if a section or question is not applicable to a child. All blanks must be filled in with something.**

1. Complete Enrollment Form **(Present and signed first day of attendance)** Review each one upon receipt to ensure all sections are filled out properly. Each child must have their own enrollment form. Siblings cannot be listed on the same form.
2. Immunization Certificate or Religious Exemption (within 30 days of enrollment)

3. Release to Participate in Extra Curricular Programs if applicable (outside agencies such as soccer or dance that come to the facility)

4. Release to Participate in Activities on Premises if applicable (includes things such as nature walks and the Book Mobile)

5. Permission to walk off premises (if applicable)

6. Field Trip Permission Forms (if applicable)

1. Animal consent form (if applicable)
2. Medication log (if applicable)
3. Transition Plans (if applicable)
4. Doctor’s order to sleep in alternate equipment (if applicable)
5. Written parent permission to post allergies (if applicable)
6. Parent request for alternate milk type (if applicable)
7. Incident Reports (can be kept in a separate location, but must be available to licensing)

14. Written release to receive 3rd Party Services on premises if applicable (such as First Steps or any other therapy)

**Binder #4: Staff Files**

**Childcare Staff (includes Substitutes, Floaters, Van Monitors and anyone else who works with children even to just cover breaks)**

* 1. Staff Records Checklist (recommended)
  2. Date of hire/re-hire **(cannot be before date of fingerprints for staff hired after 9-30-18)**
  3. National Background Check Program
     1. Pre-screening form, if applicable
     2. DCC 500
     3. DCC 501
     4. DCC 504 (Fingerprint Scan) (if never before fingerprinted)
     5. Final Registry Results
     6. Employment Authorization Form
     7. Out of State background checks, if applicable
     8. If under age 18, permission form signed by the parents and a Central Registry Check
  4. TB Skin Test/Screening
  5. HS Diploma/GED/CCCC or documentation of higher education
  6. CPR/First Aid certification (must have one certified staff person on-site/present with children at all times) (includes field trips, walks, while transporting, etc.)
  7. Job Description (recommended to be signed and in this binder, but can be elsewhere if desired)
  8. ECE TRIS record
     1. Date of orientation training
     2. Date of Pediatric Abusive Head Trauma training
     3. Training hours tracked from hire date to hire date
  9. Annual Professional Development Plan – Written plan to obtain training (best practice is to complete first plan within 90 days of hire)(must follow facility policy if more stringent)
  10. Annual Performance Evaluation

**Cook’s Records**

**If NO childcare duties are performed**, otherwise see childcare staff records plus #5. Childcare duties include giving breaks and filling in for a teacher in the classroom.

1. Staff Records Checklist (recommended)
2. Date of hire/re-hire **(cannot be before date of fingerprints for staff hired after 9-30-18)**
3. National Background Check Program
   * 1. Pre-screening form if applicable
     2. DCC 500
     3. DCC 501
     4. DCC 504 (Fingerprint Scan) (if never been fingerprinted)
     5. Registry Results
     6. Employment Authorization Form
     7. Out of State background checks, if applicable
4. TB Skin Test/Screening
5. Food Handler’s Card
6. Job Description (recommended to be signed and in this binder, but can be elsewhere if desired)

**Driver’s Records**

**If NO childcare duties are performed**, otherwise see childcare staff records plus 5, 6 and 7. Childcare duties include giving breaks, filling in for a teacher in the classroom and transporting alone.

1. Staff Records Checklist (recommended)
2. Date of hire/re-hire **(cannot be before date of fingerprints for staff hired after 9-30-18)**
3. National Background Check Program
   * 1. Pre-screening form, if applicable
     2. DCC 500
     3. DCC 501
     4. DCC 504 (Fingerprint Scan) (if never been fingerprinted)
     5. Registry Results
     6. Employment Authorization Form
     7. Out of State background checks, if applicable
4. TB Skin Test/Screening
5. Copy of Driver’s License
6. Annual Driver History Record (license cannot have been suspended or revoked in last 5 years) (record must be from the state the license was issued by)
7. First Aid/CPR certification (someone on the vehicle MUST be certified)
8. Job Description (recommended to be signed and in this binder, but can be elsewhere if desired)

**Binder #5: Transportation**

This binder should be taken on the vehicle each time children are transported. Copies of documentation may be made and kept in the office if desired. **All of this information must be made available to DRCC/OIG inspectors upon request, including field trip information for the year prior to the inspection.**  All information must be kept for 5 years.

**Facility owned vehicle:**

1. Policy regarding the safe loading and unloading of children
2. Policy regarding supervision of children while transporting
3. Pre-arranged plan for drop-off if children are transported home
4. Written transportation plan (description of services that will be offered)
5. Transportation staff schedule, including vehicle monitors if used
6. Transportation schedule and routes
7. Daily/Pre-Trip vehicle inspection
8. Department of Transportation (Cabinet) inspection (12 or more passenger vehicle)
9. Commercial transportation full coverage insurance
10. Vehicle registration
11. Written evacuation plan for vehicles
12. Monthly evacuation drills by transportation staff
13. Sign on/off records for all transportation of children (daily, field trips)
14. Permission to transport (daily, field trips)
15. Emergency information for each child transported, including authorized escorts

**Facilities using a Third Party Contract:**

1. Third Party Contract between the facility and vehicle provider. Contract should include the date range of the contract and indicate that the driver and vehicle provided will meet all state and federal transportation requirements. NOTE: If a driver is not provided by the third party and a facility employee is the driver (i.e. FLEET vehicles), all driver requirements must be met.
2. Policy regarding the safe loading and unloading of children
3. Policy regarding supervision of children while transporting
4. Pre-arranged plan for drop-off if children are transported home
5. Written transportation plan (description of services that will be offered)
6. Transportation staff schedule, including vehicle monitors if used
7. Sign on/off records for all transportation of children (daily, field trips)
8. Permission to transport (daily, field trips)
9. Emergency information for each child transported, including authorized escorts