

# Application Booklet

for

# Child Care

# Centers



Community Care Licensing Division

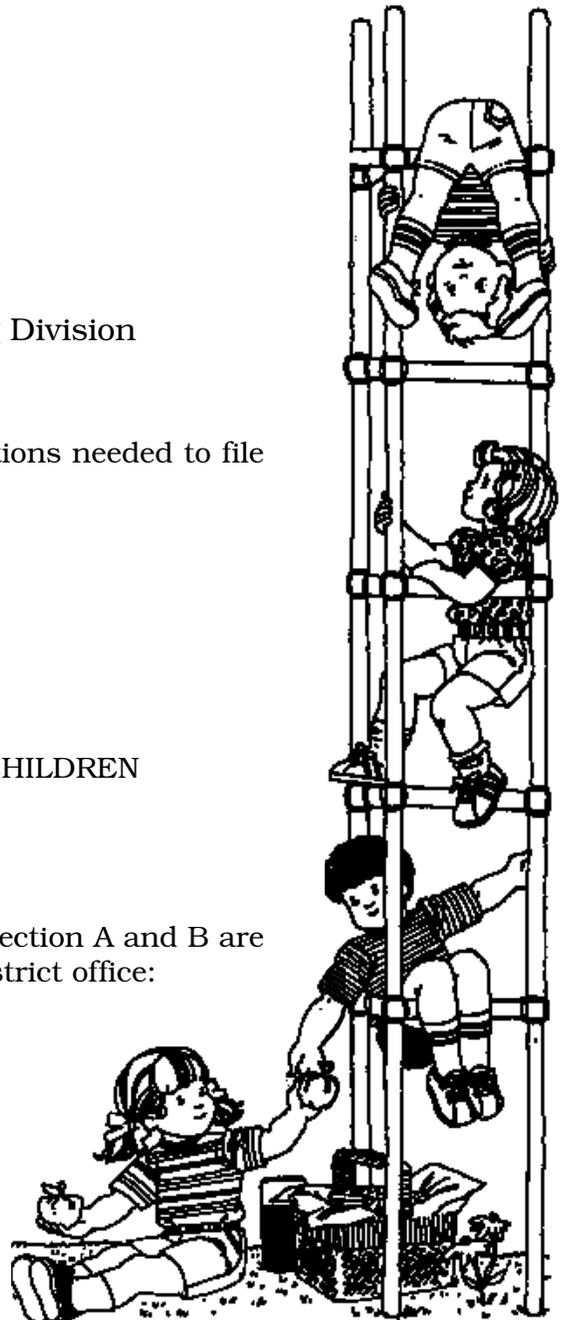
This Application Booklet contains forms and instructions needed to file an application for a license for the following:

- ✦ CHILD CARE CENTERS
- ✦ INFANT CARE CENTERS
- ✦ TODDLER PROGRAMS
- ✦ SCHOOL-AGE CENTERS
- ✦ CHILD CARE CENTERS FOR MILDLY ILL CHILDREN

An application for a license will be accepted if all of Section A and B are completed and sent to the following local licensing district office:

[ ]

[ ]



## **Application Booklet for Child Care Centers**

**INTRODUCTION** — This booklet is intended to help you file an application for a child care center license. Attached are the required forms and instructions for filing the application. Before a license can be issued, the licensing agency must review the information you provide to show that you meet the minimum requirements for a license.

**SECTIONS A and B\*** — The application is divided into two sections: Section A contains the forms that you must fill out; and Section B describes the additional supportive documents that you must complete. Your application cannot be started until all of the forms in Section A and all of the documents in Section B are completed and sent to your local licensing district office as a complete package. **THE APPLICATION FEE IS NON-REFUNDABLE.** If the forms or supportive documents are incomplete, the local licensing district office will return the entire package to you. Once it receives the completed Section A forms and the required Section B documents, the local licensing district office will accept your application and, within a few weeks, the Sacramento headquarters' office will mail you information about obtaining fingerprint clearances and child abuse index checks.

**FORM COMPLETION** — To prevent delays in the application, make sure that all of the necessary information is completed, properly signed and dated. Make a photocopy of your application before you give it to the local licensing district office. If you need additional forms, make photocopies of the blank forms in this booklet or contact your local licensing district office.

**ORDERING REGULATIONS** — The regulations that govern the licensing of child care centers are contained in the California Code of Regulations, Title 22, Division 12. Copies of the regulations are available from your licensing office.

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**\*Information Practices Act of 1977:** — This information is being requested by the California Department of Social Services in compliance with Title 22 of Division 12 of the California Code of Regulations and Section 1596.70 et seq. of the California Health and Safety Code. Submission of this information is mandatory for licensure. The local licensing district office maintains the information. Access to the information will be provided unless prohibited by the Information Practices Act. Certain authorized public and private agencies may have access to the information, including county welfare departments, the Department of Justice, regional centers, the Department of Developmental Services, the Department of Mental Health, and local law enforcement.

## SECTION A

### LICENSING FORMS

Section A describes the licensing forms that you must submit to the licensing agency as part of your application. The information in Section A is designed to help you prepare, complete and review the forms. Be sure to pay special attention to the information and instructions on each form, to refer to the guidelines for each form, and to thoroughly complete each form.

The specific licensing forms that you must complete are:

Licensing Form	Description
A1. Application for Child Care Center License ( <a href="#">LIC 200A</a> )	Identifies applicant(s) and facility for licensure.
A2. Applicant Information ( <a href="#">LIC 215</a> )	Submitted by applicant(s), e.g., individual(s), chief executive officer(s) of a corporation, general partners of a partnership, or controlling partner(s) in a limited liability company.
A3. Criminal Record Statement ( <a href="#">LIC 508</a> )	Requires applicant(s) to disclose any criminal convictions.
A4. Designation of Facility Responsibility ( <a href="#">LIC 308</a> )	Identifies the person authorized by the licensee to accept responsibility for the facility in the licensee's absence.
A5. Administrative Organization ( <a href="#">LIC 309</a> )	Identifies the organization of a corporation, the board of officers, and anyone having a beneficial ownership of 10 percent or more in the corporation. Also required for a partnership, limited liability company, and public agency application.
A6. Monthly Operating Statement ( <a href="#">LIC 401</a> )	Establishes estimated gross profit based on income from children's care, less operation costs.
A7. Balance Sheet ( <a href="#">LIC 403</a> )	Compilation of total assets and liabilities to establish equity of applicant(s). A credit check may be obtained to verify financial ability to operate the facility
A8. Financial Information Release and Verification ( <a href="#">LIC 404</a> )	Provides financial information that is verified by a bank or other financial institution. (Applicant completes Section 1 only.)

## SECTION A

### LICENSING FORMS (continued)

Licensing Form	Description
A9. Personnel Report ( <a href="#">LIC 500</a> )	Shows all planned employee positions. Includes days and hours staff will be on duty.
A10. Personnel Record ( <a href="#">LIC 501</a> )	To be completed by site director if other than applicant.
A11. Health Screening Report– Facility Personnel ( <a href="#">LIC 503</a> )	Verifies health of applicant(s) and site director to effectively perform duties as required.
A12. Emergency Disaster Plan ( <a href="#">LIC 610</a> )	Plan developed by applicant to enable facility to handle any emergency that may arise and to protect the safety and well-being of each child.
A13. Earthquake Preparedness Checklist ( <a href="#">LIC 9148</a> )	List of earthquake safety measures that must be attached to the Emergency Disaster Plan (LIC 610).
A14. Facility Sketch ( <a href="#">LIC 999</a> )	Required for all indoor and outdoor space. The front of the form is for a floor plan; the back is for a yard sketch.
A15. Local Fire Inspection Authority Information ( <a href="#">LIC 9054</a> )	To be completed by any applicant who intends to serve nonambulatory children or children with disabilities or special health care needs.

## SECTION B

### SUPPORTIVE DOCUMENTS

Section B describes the supportive documents that you must submit to the licensing agency as part of your application. In addition to the licensing forms required in Section A, you must complete the following supportive documents:

Supportive Document	Description
B1. Partnership Agreement, Articles of Incorporation or Articles of Organization	Information contained in these documents lets the licensing agency know who is ultimately responsible for which functions in the facility.
B2. Verification of Administrator/Director Qualifications	Transcripts from an accredited school/college and reference letters confirming required experience.
B3. Job Descriptions	To be submitted for each position.
B4. Personnel Policies	Statement of general personnel policies covering the selection of qualified staff and conditions of employment (e.g., pre-employment medical report, knowledge of corporal punishment, etc.)
B5. In-service Training for Staff	Plan for in-service training for staff that includes proposed topics, frequency of training, etc.
B6. Parent Handbook	Includes admission policies and procedures, a child care program description, and discipline policies.
B7. Schedule of Daily Activities	An attachment to the parent handbook. Includes times that meals and snacks are served, nap time (if required), and times of specific activities.
B8. Admission Agreement	Must include specific information required by the regulations, including a description of basic and optional services, payment provisions, modification conditions, refund policy, rights of the licensing agency, and reasons for termination.

## SECTION B

### SUPPORTIVE DOCUMENTS (continued)

<b>Supportive Document</b>	<b>Description</b>
B9. Sample Menu	Times for serving meals and snacks and a sample menu for one week.
B10. List of Furniture/Play Equipment	List of indoor and outdoor play equipment and furniture geared to ages of children served. Copy of inventory list provided to insurance agency is acceptable.
B11. Control of Property	Must be established through proof of ownership (copy of deed or property-tax bill) or copy of the lease or rental agreement.
B12. Bacteriological Analysis of Private Water Supply	If drinking water is from a well or other private source, submit evidence of onsite inspection of the source of the water and a bacteriological analysis by a local or state health department or other qualified public or private laboratory. This is necessary to establish that the water is safe.

## A1. [LIC 200A](#) – APPLICATION FOR A CHILD CARE CENTER LICENSE

- This form identifies the applicant(s) and the facility for licensure.
- For specific instructions, please see the back of the form.
- Make sure the form is filled out completely.
- Signature(s) must match #1, “Applicant(s) Name,” unless the application is a corporation or limited liability company. (See below.)
- If a partnership is applying for a license, all applicants (including each general partner) must sign the application.
- If a corporation is applying for a license, all persons signing the application must be authorized to do so by a board resolution.
- The application must have an original signature(s). The licensing agency will not accept photocopied signatures on this form.
- If the applicant previously held a license for a facility, make sure that information is also reflected on the Applicant Information form ([LIC 215](#)). The licensing agency will verify that no disciplinary action was or is being taken against any previously or currently licensed facility.

**NOTE:** For partnerships, corporations and limited liability companies, please see the criteria in Section B.1. for additional information.

## A2. [LIC 215](#) – APPLICANT INFORMATION

- This form is to be submitted by the applicant(s), i.e., individuals, general partners of a partnership, board-authorized representatives of a corporation, or managing members of a limited liability company.
- Each applicant must complete a form.
- This form will be used as necessary to verify qualifications when an applicant also intends to be the administrator/director.
- This form is not required of a Public Agency Child Care Center applicant. Please see the License Application Documents Package (LIC 120H).
- If the applicant previously held a license, held a beneficial ownership of 10 percent or more of a licensed facility, or was an administrator, general partner, corporate officer or director of a licensed facility, the local licensing district office will check to determine if any disciplinary actions were or are being taken against the applicant.
- The LIC 215 must have an original signature(s). The licensing agency will not accept photocopied signatures on this form.

**A3. [LIC 508](#) – CRIMINAL RECORD STATEMENT**

- All applicants and site directors must complete this form and submit it with the completed application.

#### A4. [LIC 308](#) – DESIGNATION OF FACILITY RESPONSIBILITY

- This form identifies the person authorized by the licensee to act in the licensee's absence. **A LICENSEE CANNOT DESIGNATE HIMSELF/HERSELF.**
- If the applicant is a corporation or limited liability company, a board resolution must authorize the delegation.
- The LIC 308 must have an original signature(s). The licensing agency will not accept photocopied signatures on this form.

**A5. [LIC 309](#) – ADMINISTRATIVE ORGANIZATION**

- Individual applicants are not required to complete this form.
- This form identifies the organization of a corporation, the board officers, and any person having a beneficial ownership of 10 percent or more in the corporation.
- This form must be completed if the applicant is a corporation, partnership, limited liability company, public agency or other association.
- Make sure the information on this form matches that on the application (LIC 200A).
- Terms of office should match articles/bylaws.

## A6. LIC 401 – MONTHLY OPERATING STATEMENT

- This form establishes the estimated gross profit based on income from caring for children, less operating costs.
- Make sure the number of children corresponds with the requested capacity.
- Other facility income must be clear and documented.
- All facility operating costs must be indicated and reasonable (e.g., salaries must be shown as at least minimum wage).
- Approximately 25 percent of salaries should normally be added for fringe benefits. If fringe benefits are not applicable, the application should state that and explain why.
- Make sure the rental amount corresponds with the lease/rental agreement; make sure the mortgage amount corresponds with the mortgage payment.
- If the applicant(s) is the licensee of any other facilities, an LIC 401 must also be submitted for each such licensed facility. For facilities in operation, the information on the LIC 401 must reflect the actual operating budget, not an estimate. (In such a case, the term “Estimated” at the top of the LIC 401 should be crossed out and replaced with the term “Actual.”)
- Make sure the LIC 401 has both the name of the preparer and the original signature(s) of the applicant(s). The licensing agency will not accept photocopies of signatures on this form.

## A7. [LIC 403](#) – BALANCE SHEET

- **APPLICANTS FOR A CHILD CARE CENTER LICENSE DO NOT HAVE TO FILL OUT THE BALANCE SHEET SUPPLEMENTAL SCHEDULE (LIC 403A).**
- This form is a compilation of the total assets and liabilities of the applicant(s) to establish “equity.” The licensing agency may obtain a credit check to verify the financial ability of the applicant(s) to operate the facility.
- The information provided must reflect assets and liabilities concerning all activities of the owner(s), not just those related to the operation of the facility (e.g., credit card balances, income and expenses related to other businesses, etc.).
- Figures must be “realistic.”
- The life insurance amount must be the cash value or the surrender value, not the “face value” (normally the amount to be paid upon death).
- If the applicant is the sole owner, the appraised value of real estate listed should be indicated. If the applicant is a partnership, limited liability company, or corporation, the cost of the real estate - not the appraised value - should be indicated.
- The appraised value of onsite furnishings and equipment listed should be indicated.
- Funds/assets must be readily available to the facility (i.e., not dependent upon the sale or transfer of stock or personal property).
- Make sure the LIC 403 has both the name of the preparer and the original signature(s) of the applicant(s). The licensing agency will not accept photocopied signatures on this form.

**NOTE:** The credit report can be used to verify that liabilities have been fully disclosed.

## A8. [LIC 404](#) – FINANCIAL INFORMATION RELEASE AND VERIFICATION

- On this form, the applicant(s) provides financial information that is verified by a bank or other financial institution.
- The applicant(s) only completes Section 1 (one form or set of forms is required for each amount).
- Make sure the LIC 404 has an original signature(s). The licensing agency will not accept photocopied signatures on this form.
- The licensing agency sends the completed form to the financial institution. The financial institution sends the verification directly to the licensing agency. **THE LICENSEE CANNOT HAND-CARRY THE VERIFICATION TO THE LICENSING AGENCY.**
- The licensing agency uses the information obtained via the LIC 404 to verify approximately three months' operating budget (cross-referenced to the estimated monthly operating budget). As part of this process, the licensing agency takes into account situations such as the following:
  - The applicant is purchasing an already licensed and operational facility.
  - Portions of the start-up funds have been spent on start-up costs (e.g., repairs to meet fire safety).
  - Children are enrolled and/or a waiting list has been established.

## A9. [LIC 500](#) – PERSONNEL REPORT

- All planned employee positions are to be shown on this form. Include days and hours staff will be on duty. The licensing agency will review this form to ensure that there is required staff coverage for all hours of operation.
- The director/administrator and any teachers or other staff hired at the time of application should be listed on the form. Other positions with staff not yet hired must be listed as “To Be Hired” and designated by position title.
- If the form does not show that the director/administrator is there full time, a qualified substitute must be designated to act in the director/administrator’s place. For example, if the director of a child care center is not opening and closing the center, then a qualified substitute must do so.
- The licensing agency will make sure that anyone designated as EXEMPT from fingerprinting requirements is appropriate pursuant to Section 1596.871 of the Health and Safety Code.
- The reverse side of the LIC 500 must be signed by the applicant/licensee or a designated representative. The signature(s) must be original. The licensing agency will not accept photocopied signatures on this form.
- If the applicant is the licensee of any other facilities, a separate LIC 500 must also be submitted for each such licensed facility.

**A10. [LIC 501](#) – PERSONNEL RECORD**

- This form is to be completed by the site director if other than the applicant.
- This form is to be signed and submitted to the licensing agency only for site directors who are not licensees. All other staff forms are to be kept on file for review at the facility.
- Education will be verified by reviewing official school transcripts. Experience will be verified by reviewing reference letters from prior employers.

## A11. [LIC 503](#) – HEALTH SCREENING REPORT–FACILITY PERSONNEL

(NOTE): This form is not required, under certain circumstances, of persons who are adherents of a well-recognized church relying solely upon prayer or spiritual means of healing. But facilities must present satisfactory evidence to the licensing agency that the persons in question are free from any communicable disease. This evidence must be in the form of a written statement from a practitioner recognized by the religion for the purposes of healing.

- This form verifies the health of the applicant(s) and the site director to ensure that they can effectively perform duties as required.
- One form or set of forms each is required for the applicant(s) and the director.
- At the time of application, the health screening must be less than one year old.
- The tuberculosis (TB) test section of the LIC 503 must be filled out, including the result. Otherwise, a separate TB test verification is required.
- If the applicant is a corporation, there must be a health screening (with a TB clearance) for the board president, the chief executive officer, or the person designated by board resolution.
- If the applicant(s) has other licensed facilities and has a health exam on file - or if the director has worked at another facility with the same licensee and has a health exam on file - a new exam is not required unless there are obvious health problems.
- The LIC 503 must be signed and dated by a qualified medical professional. The licensing agency will not accept photocopied signatures on this form.

## A12. [LIC 610](#) – EMERGENCY DISASTER PLAN

(NOTE): A separate LIC 610 is required for each component of a child care program.

- This is a plan developed by the applicant(s) to enable the facility to handle any emergency that may arise and to protect the safety and well-being of each child.
- The plan must show a relocation site away from the facility that can accommodate the number of children in the facility.
- If the use of the relocation site requires an agreement from some other agency or person, the agreement must be verified in writing.

**A13. [LIC 9148](#) – EARTHQUAKE PREPAREDNESS CHECKLIST (EPC)**

- A copy of this form must be attached to the Emergency Disaster Plan (LIC 610).
- Providers must make the EPC available to the public for review at the facility.
- The EPC is primarily an educational tool and is not a requirement for obtaining or keeping a license.
- Applicants/licensees are not required to implement any of the provisions on the EPC. But applicants/licensees may choose to implement some or all of them as a way of promoting earthquake safety at the child care site.
- The licensing agency will check to see that the EPC is attached to the Emergency Disaster Plan (LIC 610), but will not monitor the facility for compliance with any of the provisions on the EPC.

## A14. [LIC 999](#) – FACILITY SKETCH

- A facility sketch is required for all indoor and outdoor space.
- The front of the LIC 999 is for a facility sketch of a floor plan (indoor space). The floor plan must:
  - Show the dimensions of all rooms.
  - Designate the use for all rooms.
  - Circle the names of the rooms that will be used by children and staff.
  - Identify rooms to be used by nonambulatory children.
  - Identify the location and number of toilets and sinks.
- The back of the LIC 999 is for a facility sketch of the yard (outdoor space). Among other things, the yard sketch must:
  - Show buildings in the outdoor space, including the facility, the garage and any storage areas.
  - Show driveways, fences, gardens, the playground and any other outdoor space intended for use by children.
  - Show the location and dimensions of major equipment (including playground equipment) and any swimming pools or other bodies of water.
- For combination child care centers, the following must be submitted:
  - A separate sketch showing indoor and outdoor space for each component; and
  - One sketch showing the entire facility and the relationship between the indoor and outdoor space of all components, as well as any other use(s) of the building(s).

**A15. [LIC 9054](#) – LOCAL FIRE INSPECTION AUTHORITY INFORMATION**

- This form must be completed by any applicant who intends to serve nonambulatory children or children with disabilities or special health care needs.

## **B1. PARTNERSHIP AGREEMENT, ARTICLES OF INCORPORATION, OR ARTICLES OF ORGANIZATION**

Information contained in a partnership agreement, articles of incorporation, or articles of organization lets the licensing agency know who is ultimately responsible for which functions in the facility. This information is especially critical when unresolved problems need attention. The licensing agency must know whom to contact regarding the operation of the facility

### **Partnership Agreement** [California Code of Regulations (CCR), Title 22, Section 101169(d)(2)(A)]

- A written agreement is not necessary for licensing purposes when the partners are husband and wife. But two individuals not related by marriage are required to provide a partnership agreement.
- For licensing purposes, it is necessary to determine if the partnership is a general or limited partnership. If it is a limited partnership, only the general partner(s) are to be on the license. However, the names and addresses of the limited partners are also needed. Limited partners need not sign the application, submit fingerprints (except when living at or performing care or supervisory duties in the facility), etc.
- All general partners need to be on the license and sign the application.
- The name and principal business address of each general partner are needed.
- Also needed is a description of the obligations and duties of each general partner and whether or not each can act on behalf of the others. (This lets the licensing agency know who is in charge and who is responsible for which functions.) Ultimately each partner in a partnership is responsible for and liable for the obligations of the license.

### **Articles of Incorporation**

The articles of incorporation are used to prove that the applicant is a legitimate corporation approved to do business in the State of California. The articles should include a state seal from the state in which they are incorporated. This shows that the corporation is valid. Out-of-state or foreign corporations are automatically authorized to operate in California. (In such cases, all of the information required below is still needed.)

Based on regulations, the following information must be provided as part of, or in support of, articles of incorporation:

- Constitution and bylaws (day-to-day operation). This is reviewed only to ensure that no licensing regulations are violated.  
[CCR, Title 22, Section 101169(d)(2)(D)]
- Board resolution (to determine the agents acting on behalf of the corporation). Authorization to apply for a license, and the name of the person authorized and delegated by the board resolution to sign and act on behalf of the corporation, should be included in the board resolution. The person who signs and acts on behalf of the corporation may be the chief executive officer, the board president, a board member, or an individual from the corporate executive office.  
[CCR, Title 22, Section 101169(d)(2)(D)]
- Board officers' names, titles, business addresses and phone numbers.  
[CCR, Title 22, Section 101169(d)(2)(B)]
- Name and address of each person owning more than 10 percent of stock in the corporation.  
[CCR Title 22, Section, : 101169(d)(2)(C)]

## **B1. PARTNERSHIP AGREEMENT, ARTICLES OF INCORPORATION, OR ARTICLES OF ORGANIZATION (continued)**

### **Articles of Organization**

The articles of organization, stamped by the California Secretary of State, are used to establish that a limited liability company (LLC) applicant is validly formed and qualified to do business in the State of California. If the articles of organization were filed in another state, the LLC is a “foreign limited liability company.” A foreign LLC must submit CA Secretary of State form LLC-5 (Limited Liability Company Application for Registration), stamped by the by the CA Secretary of State, to demonstrate that it has registered in California and is qualified to do business in California.

Similar to the information required for corporate applicants, a LLC applicant must provide the following:

- Operating agreement. All LLCs must have an operating agreement. Operating agreements specify who will manage the business, who the owners are, how decisions will be made and much more.
- Names, titles, business addresses and phone numbers of all managing members, managers and non-managing members holding a 10 percent or more interest in the LLC.

**NOTE:** Generally, no resolution or other authorization from the LLC is necessary to identify who has authority to act on behalf of the applicant. The operating agreement should specify who has such authority. Typically managers and managing members may act for the LLC. If the application is signed by an individual who is not identified in the operating agreement as a manger or managing member (or the individual does not have the authority in the operating agreement to act on behalf of the LLC), then a proper written delegation of authority consistent with the terms of the operating agreement is necessary.

## **B2. VERIFICATION OF ADMINISTRATOR/DIRECTOR QUALIFICATIONS**

Administrator/director qualifications and duties are found in the licensing regulations. When applicable, the applicant/licensee must verify that he or she meets licensing requirements by submitting the information identified below to the licensing agency as part of Section B.

[CCR, Title 22, Sections 101215, 101215.1, 101415, 101515, 101615]

### **Education:**

- Transcripts from an accredited school (courses can be compared to the Early Childhood Education (ECE) matrix for verification of acceptance); or a copy of a Child Development Site Supervisor Permit or Child Development Program Director Permit.  
[CCR, Title 22, Section 101215]
- Out-of-country schools. To show that the appropriate courses and number of units have been completed, the applicant/licensee should obtain a copy of the course outline or the college catalog describing the course(s); or obtain verification from a local college regarding course equivalency. All state universities have an international programs office that can be contacted to determine the status of foreign colleges and universities.

### **Experience:**

- If required, the applicant/licensee is to obtain written references verifying experience and submit them to the licensing agency. References are to include the following information required by regulation:

Each year of experience must be verified as having been performed satisfactorily, at least three hours per day for a minimum of 100 days in a calendar year, as a teacher under the supervision of a person who would qualify as a director under the child care regulations.

[CCR, Title 22, Section 101215.1(L)]

### **B3. JOB DESCRIPTIONS**

As part of the operation of the facility, the applicant must establish staff positions that will be responsible for specific tasks or duties. The applicant must provide the licensing agency with a job description for each of these staff positions. The job descriptions should be clear, concise and relevant to the position for which the person is being hired. The job descriptions will be compared to the Personnel Report (LIC 500); there must be a job description for each classification listed on the LIC 500.

The following areas must be addressed in each job description:

- Duties and responsibilities.  
[CCR, Title 22, Section 101217(a)(8)]
- Minimum qualifications that correspond to licensing requirements (including any special licenses or certificates required by a profession).
- Special skills needed to perform the job.
- Lines of supervision (including supervision provided and to whom, as well as supervision received and from whom).  
[CCR, Title 22, Section 101173(b)(5)]

## **B4. PERSONNEL POLICIES**

Personnel policies must describe regulatory requirements commonly associated with personnel practices/policies, such as staff coverage, staff qualifications, work schedules and conditions of employment (e.g., pre-employment medical reports, knowledge of corporal punishment, etc.).

The following areas are to be included in this section:

- Work hours/shifts for documentation of positions to provide coverage with competent staff.  
[CCR, Title 22, Sections 101216(a) and (j) and 101217(e)]
- Employee rights. (A statement that employees are to be informed of their rights will suffice.)  
[CCR, Title 22, Section 101216(L)]
- Child-abuse-reporting procedures. Documentation must indicate that employees will be informed of their responsibilities to report child abuse to the licensing agency as well as to the child protective agency.  
[CCR, Title 22, Section 101212(d)(1)(D)]
- Hiring practices, including screening employees for necessary education and experience, and informing employees that the conditions of their employment include a fingerprint clearance, statement of prior criminal convictions, child abuse index check, physical exam/health questionnaire and TB clearance. (This is to ensure that employees are competent and aware that they have to meet these conditions for initial and continued employment.)  
[CCR, Title 22, Sections 101170 and 101216]

Other federal and state agencies have requirements that businesses must adhere to in relation to personnel practices, such as minimum wages, workmen's compensation and fair employment practices. These agencies monitor businesses for compliance with their regulations. The Community Care Licensing Division does not enforce other agencies' regulations. But it is important for an applicant to contact these agencies to ensure that the applicant's established practices are not in conflict with any laws or regulations.

## **B5. IN-SERVICE TRAINING FOR STAFF**

As part of the plan of operation for the facility, the applicant must establish a plan for in-service training for staff and submit it to the local licensing district office at the time of application.

[CCR, Title 22, Sections 101173(b)(6) and 101216(e)]

The plan must address the following:

- Which staff will receive training (new vs. ongoing staff), how it is to be determined which staff will receive training, and who will do the training.
- Topics to be covered in the training. (This will be reviewed to ensure that the topics covered are pertinent to the facility type and the duties performed.)

## **B6. PARENT HANDBOOK**

The parent handbook is an informational tool designed to let parents know how the child care program operates. The program description should be a general overview of program philosophies and goals - and the basic and optional services and activities to be provided by the program. It should explain what the public would want to know about the center.

The parent handbook must contain the following elements (a pamphlet or brochure advertising the facility is also acceptable as long as the following elements are included):

### **Child Care Program Description**

The child care program description must include the following:

- A brief statement of the program's purpose, goals and methods. (Include information on specific philosophies, such as Montessori methods or religious teachings, that will be part of the program.)  
[CCR, Title 22, Section 101173(b)(1)]
- Days and hours of operation.  
[CCR, Title 22, Section 101169(d)(7)]
- Ages of children accepted for care.  
[CCR, Title 22, Section 101218(a)(2)]
- Any and all supplementary or optional services.  
[CCR, Title 22, Section 101218(a)(4)]
- Field-trip provisions.  
[CCR, Title 22, Section 101218(a)(5)]
- Transportation arrangements.  
[CCR, Title 22, Sections 101218(a)(7), 101225]
- Food-service provisions. This description must clearly indicate who will provide optional food services for each meal and whether food will be prepared in the facility or brought in from an outside source.  
[CCR, Title 22, Sections 101218(a)(7) and 101227]

## **B6. PARENT HANDBOOK (continued)**

- Medication policy. This description must indicate whether medications will be administered to children. A separate plan for medications must be developed if the licensee elects to handle medications (whether over-the-counter or prescription).  
[CCR, Title 22, Section 101226(e)]
- Services to be provided if a child has a medical or dental emergency.  
[CCR, Title 22, Sections 101221(b)(8) and 101226 (a), (b), (c)]
- Sign-in/sign-out procedures. The licensee must have a written procedure for the transfer of responsibility for the child between the center and the child's authorized representative.  
[CCR, Title 22, Sections 101226.1(b) and 101229.1]

### **Admission Policies**

The admission policies and procedures must provide information relevant to the category of children in care, including acceptance and retention limitations.

In addition, the admission policies and procedures must include the criteria for determining the appropriateness of placement given an individual child's needs (e.g., interviews with the child's parent, procedures for obtaining and developing necessary paperwork, etc.).

[CCR, Title 22, Section 10129.1(a)(2)]

Parents should also be provided with the following information/forms:

- Copy of Admission Agreement. (See B8 for a description.)
- Notification of Parents' Rights form (LIC 995)  
[CCR, Title 22, Sections 101218.1(b) and (b)(1)]
- Personal Rights form (LIC 613A)  
[CCR, Title 22, Sections 101223 (a) and (b)]
- Identification and Emergency Information (Child Care Centers)(LIC 700)  
[CCR, Title 22, Section 101221 (b)(7)]
- Consent for Emergency Medical Treatment form (LIC 627)  
[CCR, Title 22, Section 221(b)(8)(c)]
- Child's Preadmission Health History - Parent's Report (LIC 702)  
[CCR, Title 22, Section 101218.1(a)(3)]
- Physician's Report - Child Care Centers (LIC 701) (medical-assessment requirement, including TB skin testing if indicated by the child's physician)  
[CCR, Title 22, Sections 101220, 101218.1(a)(4)]
- Immunization requirements  
[CCR, Title 22, Section 101220.1]
- Needs and Services Plan (for infants and children with special needs)  
[CCR, Title 22, Section 101419.2]

## **B6. PARENT HANDBOOK (continued)**

### **Discipline Policies**

The applicant must describe the type(s) of discipline that will be used and under what conditions each type will be used. The discipline policies must also address the following when appropriate:

- Types of discipline not permitted.
- NO CORPORAL PUNISHMENT/VIOLATION OF PERSONAL RIGHTS  
[CCR, Title 22, Section 101223.2]
- Provisions for contact with the child's authorized representative (conferences).
- Grounds for dismissal.

**Note:** Prone containment and similar techniques must not be included as part of the facility's discipline policy and must not be written into a child's plan of care. Such techniques are not to be a planned step in modifying behavior. They are considered to be only last-resort, emergency physical-control techniques designed to prevent injury to bystanders, other children and staff.

The licensing agency will evaluate a facility's discipline policies to ensure that the facility does not violate personal rights and that there is a clear statement that no corporal or unusual punishment will be used. If there is reason to believe that the applicant does not understand what constitutes corporal punishment or a violation of personal rights, or the statements have not been made clear, then the licensing agency may request further information from the applicant.

## **B7. SCHEDULE OF DAILY ACTIVITIES**

The schedule of daily activities is to include:

- Times that meals and snacks are served.  
[CCR, Title 22, Sections 101227(a)(2) and (a)(4) and 101230(a)(3)]
- Nap time (if required).  
[CCR, Title 22, Sections 101230(A)(2) AND (B)]
- Times of specific activities  
[CCR, Title 22, Section 101230(a)]

## **B8. ADMISSION AGREEMENT**

The admission agreement, which must be signed and dated by all parties involved, is to include the following information:

[CCR, Title 22, Section 101219]

- Description of basic services offered.
- Description of optional services offered. (Reviewed to ensure that required “basic services” are not included in this description.)
- Payment provisions, such as rates for basic and optional services, due date(s) and frequency of payments.
- Modification conditions. (Statement to ensure that at least 30 days’ advance notice will be given prior to any rate change.)
- Refund policy. (Reviewed to ensure that the policy is clear and does not violate licensing regulations.)
- Rights of the licensing agency.  
[CCR, Title 22, Section 101200]
- Reasons for termination. (Reviewed to ensure that this section does not violate licensing regulations.)
- Signed and dated by all parties involved.  
[CCR, Title 22, Section 101219]
- If the program has a toddler option component, written permission from the child’s authorized representative is required for placement.  
[CCR, Title 22, Sections 101216.4 and 101417]

## **B9. SAMPLE MENU**

It is important for the licensing agency to verify that the applicant is familiar with the general principles of good nutrition and how to provide balanced meals with acceptable portion sizes. A sample menu is needed to meet this requirement.

The sample menu must include:

- One week's worth of planned meals (to include snacks) from the four basic food groups.  
[CCR, Title 22, Sections 101173(b)(8) and 101227(a)]
- Portion sizes. Evaluate portion sizes using the handbook section in the regulations.  
[CCR, Title 22, Section 101227(a)(1)]
- Times meals served. (Reviewed for time elapsed between the last meal of the day and the first meal of the next day.)  
[CCR, Title 22, Sections 101173(b)(8) and 101227(a)]

## **B10. LIST OF FURNITURE/PLAY EQUIPMENT**

This is a list of indoor and outdoor furniture and toys/play equipment geared to the ages of the children served. The regulatory provisions cited below apply. Any furniture/equipment used must be safe and age and program appropriate. A list of furniture/equipment used for insurance purposes is acceptable documentation.

- Tables and chairs required.  
[CCR, Title 22, Sections 101239, 101439, 101539, 101639]
- Toys and play equipment used must be age appropriate. (This is determined by the age of the children being served vs. the size, weight, height, durability, etc., of toys and equipment. Manufacturers often designate the appropriate age group of children who can use a product on the box or in the instructions.)  
[CCR, Title 22, Sections 101239(m), 101439(c)]
- Program appropriate (infant only).  
[CCR, Title 22, Section 101439(b)]
- Cribs for infants required.  
[CCR, Title 22, Section 101439.1(b)]
- Cot or mat for each child required.  
[CCR, Title 22, Sections 101239.1, 101439.1, 101639.1]
- Baby walkers prohibited.  
[CCR, Title 22, Sections 101239(n)(1), 101439(d)(2)]

**NO OTHER FURNITURE OR TOYS/PLAY EQUIPMENT ARE SPECIFICALLY REQUIRED.**

## **B11. CONTROL OF PROPERTY**

The licensing agency must determine that the applicant/licensee has control over facility property. Once the facility is licensed, the licensee must be able to ensure that the facility and the grounds are maintained and are in compliance with the regulations (e.g., necessary repairs are being made to the physical plan, swimming pools are inaccessible to children, etc.).

- If the applicant/licensee owns the property, proof of ownership must be provided. A copy of the deed or a property-tax bill is acceptable.  
[CCR, Title 22, Section 101152(c)(9)]
- If the property is rented or leased, a copy of the rental or lease agreement must be provided. (There are no requirements related to length of the rental or lease agreement.)  
[CCR, Title 22, Section 101152(c)(9)]
- If the property is rented or leased, the name, address and telephone number of the owner must also be provided.  
[CCR, Title 22, Section 101169(d)(3)]

## **B12. BACTERIOLOGICAL ANALYSIS OF WATER**

- This form is to be completed ONLY if the facility gets water from a well or other private source.
- The bacteriological analysis is required for all categories at initial licensure if drinking water is from a private source.
- If drinking water is from a private source, submit evidence of the following:
  - a) an onsite inspection of the source of the water; and
  - b) a bacteriological analysis that establishes the safety of the water.

The inspection and the analysis must be conducted by the local health department, the State Department of Health Services, or a licensed commercial laboratory.

[CCR, Title 22, Section 101172(a)(1)]

- If the analysis gives only a chemical/bacteriological analysis of the water and does not state specifically whether or not it is safe to drink, the applicant should request such a statement from the laboratory.
- The analysis must be signed by an appropriately qualified agency representative.

To prevent delays in your application, make sure that all the necessary information is completed, properly signed (original signatures) and dated. If you need additional forms, you may photocopy the blank forms in this booklet or contact your local licensing district office. Send the completed application packet to the local licensing district office. Make sure you make a photocopy of your application before you forward it to the local licensing district office.

**HAVE YOU REMEMBERED THE FOLLOWING:**

- Have you attended an orientation for your facility type?
- Is your application (LIC 200) signed and dated by all applicants?
- Do you have an Emergency Care and Disaster Plan?
- Do you have a facility sketch showing indoor/outdoor space as well as all exits?
- Have you completed all financial information required to operate your facility?
- Have you enclosed the correct application fee?

These are just some of the items listed in Sections A and B of this booklet that are required prior to licensure.

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Federal and State Laws prohibit discrimination on the basis of age, race, color, national origin, disability, religion, political affiliation, sexual orientation, marital status, and sex in the administration of this program.



**STATE OF CALIFORNIA**  
Arnold Schwarzenegger, Governor  
**HEALTH AND HUMAN SERVICES AGENCY**  
S. Kimberly Belshé, Secretary  
**DEPARTMENT OF SOCIAL SERVICES**