

Certified License-Exempt Child Care Centers

2019 Guidance Document

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History of Certification in MN

During the 2017 legislative session, state legislators enacted many changes to bring the state of Minnesota into compliance with the federal Child Care and Development Fund (CCDF) requirements.¹ One major component of CCDF is that all child care programs that receive child care assistance payments must meet minimum standards that promote healthy and safe environments for children (regardless of a program's licensure status). As part of this effort, license-exempt centers that participate in Minnesota's Child Care Assistance Program, also known as CCAP, are required to become certified under [Minnesota Statutes, Chapter 245H](#). If a license-exempt center opts out of certification, that center is no longer eligible to receive payments from child care assistance.

Guidance documents

In January of 2018, DHS released [Certification of License-Exempt Child Care Centers: A guidance document for implementation \(PDF\)](#) to provide assistance to providers seeking certification. Each year, DHS will continue to release guidance to provide assistance to license-exempt certified child care centers.

Certification Application

Change from onboarding to application

After the legislation passed in 2017, we began the process of onboarding the existing centers that that were exempt from licensure and participating in CCAP into Certification. This meant that we were allowing centers to continue receiving CCAP while completing the requirements for certification and ultimately becoming certified. We are no longer in the onboarding phase. Centers who are not certified are not eligible to participate in CCAP.

Existing certified center operators – seeking certification for a new center

Current center operators can signify their interest in certifying another center by completing and submitting a [Certification Pre-application Information Form \(PDF\)](#) to your licensor. This will allow your licensor to add an additional center to your online platform where you login and submit the documents for that center to become certified.

¹ In 2014, the federal government reauthorized the Child Care and Development Fund with the goal of improving the health and safety of child care, improving access to quality child care and promoting stable child care arrangements. For more information about the Child Care and Development Fund, please visit: <https://www.acf.hhs.gov/occ/ccdf-reauthorization>.

New to certification

Centers can signify their interest in becoming certified by completing and submitting a [Certification Pre-application Information Form \(PDF\)](#). This will allow the Department of Human Services (DHS) to add your certification holder to our system and send the center operator an email containing a link to an online platform where s/he will complete the application and certification submission process. In addition, center operators will also receive an email with their user-specific login and password for the online platform.

License-exempt centers need to become certified before becoming authorized to participate in CCAP.

Note: Please refer to the last section of this document for definitions of terms.

Documents needed for certification application

In the online platform, centers are required to submit these six documents for approval prior to being granted certification:

Fire inspection

The center operator must provide documentation showing that a State Fire Marshal fire inspection was completed for the center within the previous three years prior to obtaining certification.

For centers located in a public school building, this is an existing requirement and you can provide documentation from your school. You can reach out to your appropriate school district staff to obtain this documentation. For centers located in a new school building, a Certificate of Occupancy does not meet the requirements for a fire inspection and one will need to be completed prior to granting certification. In these instances, please email us at dhs.certifiedccc@state.mn.us. Please do not contact fire inspectors directly.

For centers NOT located in a public school building, a fire inspection will need to be completed prior to granting certification. If you believe you need an inspection or have questions, please email us at dhs.certifiedccc@state.mn.us. Please do not contact fire inspectors directly.

Floor plan

Prior to being granted certification, each center operator will be required to submit a floor plan of their building that shows where the primary indoor and outdoor spaces are located within/near the building. In order to prepare for this submission, it is recommended that you obtain a floor plan of your center and indicate the primary indoor and outdoor spaces on that floor plan.

Summary of personnel information

The [Summary of Personnel Information form for Certified - Initial Certification \(PDF\)](#) is the form center operators will submit to demonstrate compliance with staff training requirements.

The center operator will need to submit a list of each center's current staffing at the point in time the center receives access to the online platform. We want to see the dates of completed training (month/date/year format) for staff who are working in your center at the time of application.

Depending on the ages of the children served by your center, your staff may or may not be required to complete sudden unexpected infant death (SUID) or abusive head trauma (AHT) training. If you have questions regarding who needs the training, please refer to the [certification webpage](#). If your staff does not need to complete those trainings, leave those columns blank.

Finally, if you are a center operator who oversees multiple sites that will be certified, you will be able to use one form for all staff. At the top of the form, there is a space to list multiple certification numbers. Once you receive access to the online platform, you will be given certification site numbers for each of your center locations.

Director information

The [Director Information form](#) is the form center operators will use to record the director's qualification information for each center. You are required to have a director or designee on site during your hours of operation. We will need to have one approved director information form per center prior to granting certification. You could have more than one director per center or identify one director for several centers. A designee does not need to meet director qualification or have a director information form.

Center policies and procedures

Prior to being granted certification, each center operator will be required to submit the center's policies and procedures to demonstrate compliance with the certification requirements. It is highly recommended that centers use the [Guidelines for Developing Policies and Procedures \(PDF\)](#) to create the required policy sections with the specific information indicated. It is acceptable to use exact phrases from the Guideline in your policies to ensure the requirements are met.

In the online platform, center operators will be given the opportunity to indicate if the policies are the same for all the centers under one center operator. A certification holder with multiple centers will not need to have separate policies for each physical location. However, the policies will need to be uploaded for each center in the online platform.

Emergency plan

Each center must have a center-specific emergency plan using the Child Care Emergency Plan form [\(PDF\)](#) [\(Word DOC\)](#) created by DHS. Center operators are required to use this form and the form must be specific to each individual certified center. Each section of the emergency plan is required to be completed. Please note that the

Child Care Emergency Plan form was revised in November of 2017. DHS will accept the original or revised version.

Background Study Requirements

Creating your NETStudy 2.0 account

Certification Holder Contact Person

The Certification Holder Contact Person (CHCP) will receive an email that allows access to set up a NETStudy 2.0 account. All centers that are associated with this individual will be listed within the same account, whether these sites are certified or currently in the application process.

- Centers who were a part of the initial onboarding process received this email when certification was granted.
- Centers that were certified or applied for certification after November 1, 2018, will receive this access email once the [pre-application form](#) has been processed.

Sensitive Information Person

After the account has been accessed, the CHCP will need to designate a Sensitive Information Person (SIP), who will then have the ability to initiate a background study required for new and prospective employees.

Managing who needs a background study

If your center was certified BEFORE NOVEMBER 1, 2018:

Existing employees

Existing employees are those who were hired before November 1, 2018. The SIP will need to conduct background studies on these **existing** employees when notified to do so by DHS. Centers will be given an allotted timeframe for submitting these background studies. The fees for background studies during the allotted timeframe will be covered by DHS.

New employees

The SIP will need to initiate a background study request for all **new** employees hired on or after November 1, 2018, BEFORE that employee has direct contact with children. These employees must be supervised by another staff person (see Supervision of staff definition on page 17) until the background study has cleared. See Background Study Costs section below for relevant fees.

If your center was certified AFTER NOVEMBER 1, 2018 but BEFORE May 1, 2019:

Existing employees

Existing employees are those who were hired prior to the date your center was granted certification. The SIP will need to conduct background studies on these **existing** employees when notified to do so by DHS. Centers will be given an allotted timeframe for submitting these background studies. The fees for background studies during the allotted timeframe will be covered by DHS.

New employees

The SIP will need to initiate a background study request for all **new** employees hired on or after the date that certification was granted, BEFORE that employee has direct contact with children. These employees will require supervision until the background study has cleared. See Background Study Costs section below for relevant fee.

If your center was certified on or AFTER May 1, 2019

Existing employees

The SIP will need to conduct background studies on **existing** employees during the certification process. See Background Study Costs section below for relevant fees.

New employees

The SIP will need to initiate a background study request for all **new** employees hired on or after the date that certification was granted, BEFORE that employee has direct contact with children. These employees will require supervision until the background study has cleared. See Background Study Costs section below for relevant fees.

Who needs a study document

The [who needs a study](https://edocs.dhs.state.mn.us/lfserver/Public/DHS-7733B-ENG) draft document (<https://edocs.dhs.state.mn.us/lfserver/Public/DHS-7733B-ENG>) will be finalized and released prior to centers receiving their allotted timeframe for submitting studies for existing employees. This document will help centers better understand the individuals who are required to have a background study. In general, any person that is employed by the center will need to have a background study, including those who are under 18. Minors who are employed by the program or who are supervising children in care will complete the same fingerprint based study as adult employees of the center, however the cost of the study will be at a reduced rate.

Other factors that contribute to who needs a study are determined by those with direct access to children and/or personal information, as well as those who are responsible for supervising children.

Background study costs

The cost of studies is \$40 for adults and \$20 for minors plus each have an additional fingerprinting and photograph fee of \$9.10.

The background study fee must be paid through NETStudy 2.0. Centers can decide to pay the full background study fee or require employees to pay for their own studies through the system. Other arrangements can be

made between employers and employees outside of the system. The fingerprinting fee can be paid online or in-person at the fingerprint location. Each center can decide who pays the fees based on what is appropriate for their organization.

Also note, the Department will be paying for the background studies for existing staff persons at programs certified before May 1, 2019 (as described above). Certified centers are responsible for paying (or delegating how payments will be handled) for background studies on employees hired after November 1, 2018.

Fingerprinting

Fingerprinting locations can be found using the interactive map found on the background studies website, <https://www.aps.gemalto.com/mn/Maps/MNFingerprintLocations.htm>

Note: These locations and hours may change. Please call ahead to confirm locations and hours before sending employees for fingerprinting.

Payments

An overview of the process to initiate a background study and the payment options in NETStudy 2.0 is available in the user manual, found in the help section of NETStudy 2.0.

An overview on the fingerprint process and payment options can be found on Cogent's website, https://www.aps.gemalto.com/mn/index_MN.htm

DHS Background Studies website

From the main [DHS Website](https://mn.gov/dhs/), <https://mn.gov/dhs/>, choose **General public** > choose **Background studies**. This will bring you to a general information area where you can browse through an array of topics ranging from statute requirements to what the process looks like for providers. See below for direct links.

- <https://mn.gov/dhs/general-public/background-studies/>
- <https://mn.gov/dhs/general-public/background-studies/faqs/ccdbg/>

NETStudy 2.0 training

The primary training sources for NETStudy 2.0 are the User Manual and the Quick Start Guide – both are found in the help section of NETStudy 2.0. The NETStudy 2.0 User Manual provides detailed instructions, including screenshots and user tips about how to use NETStudy 2.0 and the NETStudy 2.0 Quickstart Guide provides screen shots to show users how to enter a background study request.

NETStudy 2.0 training is also web-based and free. There are several [YouTube videos](#) available that demonstrate how to initiate a background study request in NETStudy 2.0 as well as all other key features of the system. It is easiest to follow along with the videos after you have a NETStudy 2.0 account.

Disqualifications

To better understand what crimes or conduct disqualifies a staff person from working in your center, as well as the length of time an individual is disqualified for, please refer to Minnesota statute, 245C.15. There is additional information found within the FAQ section on the DHS website, as well.

- <https://www.revisor.mn.gov/statutes/cite/245C.15>
- <https://mn.gov/dhs/general-public/background-studies/faqs/>

Who to contact for background study questions

For technical questions, including user information/passwords about the NETStudy 2.0 system:

dhs.netstudy2@state.mn.us or 651-431-6620, option 4

For questions about the Certification process, who needs a background study, or other policy questions:

dhs.certifiedccc@state.mn.us or call (651) 431-6500, option 6.

Reporting Requirements

Maltreatment of minors mandated reporting

The certified center must comply with the reporting requirements for abuse and neglect specified in section [626.556](#) (Reporting of Maltreatment of Minors). See [Maltreatment of Minors Mandated Reporting Policy for Certified Centers](#) for information on:

- Who is mandated to report
- Where to report
- What to report
- Failure to report

A person mandated to report physical or sexual abuse or neglect of a child must report.

- Reports concerning suspected abuse or neglect of children **occurring in centers certified** by the Minnesota Department of Human Services should be made to the Department of Human Services, Licensing Division's Maltreatment Intake line at (651) 431-6600.
- Reports regarding incidents of suspected abuse or neglect of children **occurring within a family or in the community** should be made to the local county social services agency

Staff will need to know about this policy. A licensor may ask a staff person what s/he would do if s/he suspected abuse or neglect and the staff person must know s/he is responsible for reporting as outlined in the policy.

Death and serious injury reporting

The certified center must also inform the commissioner within 24 hours of:

- the death of a child in care at the program; and
- a “serious injury” to a child in the program. A “serious injury” is defined as an injury to a child that required treatment by a physician (includes dentist). If a child goes to a doctor, but does not require treatment, it would not be considered a serious injury.

The center must use the Child Care Center Serious Injury & Death Report Form ([PDF](#)) ([Word DOC](#)) found on the Certified Centers webpage. Please note, Internet Explorer or Edge are the preferred browser types to use with this form. If you use Chrome, the send button will not work on the form. You can, however, email the form directly to dhs.licensingccsupport@state.mn.us.

Information on Potentially Disqualifying Crimes or Conduct

State law requires any person or entity who receives information about the possible criminal or maltreatment history of an individual affiliated with a certified child care center to report this information immediately to DHS Licensing.

Monitoring and Inspections

DHS licensing is responsible for inspecting and monitoring certified centers for compliance with requirements set forth in 245H.

Inspections and investigations

Annual announced inspections

Certified centers will have an inspection each year to determine compliance with standards in 245H. Annual inspections will be announced and coordinated between center operators and DHS. The inspection process will begin with a phone call to the center operator from a DHS licensor to verify and gather information useful to scheduling the onsite visit such as:

- Age group(s) served
- Number of enrolled children
- Days/months/hours of operation
- Location of personnel files
- Dates of center closure, if applicable

Following the phone call, the licensor will email a NOR (Notice of Reinspection) packet to the center operator. Center operators will need to complete the packet and return it to the licensor, preferably via email, within the

requested timeline. Using the information gathered and the NOR packet, the licensor will then schedule the visit(s).

Licensors will use an electronic checklist during on-site inspections. When available, sample checklists will be posted on the website for reference.

Licensors will provide center operators documentation showing the results of the monitoring inspection. See below for additional information.

Notice of Reinspection packet (NOR)

The NOR packet will come to the center operator via email after the initial phone call and consist of two documents – the Summary of Personnel Information Form and the Director Information Form. Center operators should complete the forms and return them to the licensor. If a staff person works in more than one center under the certification holder, the center operator will need to designate one center as the staff person’s primary work location.

- Summary of Personnel Information Form – Though similar to the Summary of Personnel Form Information used in the initial certification process, this form has slight differences. Please list dates in month/date/year format.
- Director Information Form – This form is only required if there is a new director since initial certification or since the most recent certification inspection.

Investigations

In some instances where DHS has received information of alleged certification violations or maltreatment, there may be an unannounced investigation visit to the certified center.

Certification Investigations

If DHS receives information that your certified center is not following the requirements in 245H, the information is routed to an intake team that will complete an initial assessment. In some cases, a licensor may then be assigned an investigation to determine compliance. During an investigation, the licensor must be given access to the program, records, and/or staff (see below). Based on the information collected, DHS will determine what action is appropriate, if any.

Maltreatment investigations

If DHS receives information that alleged or suspected abuse or neglect has occurred in your center, the information is routed to an intake team to complete an initial assessment. In some cases, an investigator may then be assigned to do a maltreatment investigation. During an investigation, the investigator must be given access to the facility and records. Additionally, it may be necessary to conduct interviews with staff and/or children (see DHS access below). Based on the information collected, DHS will determine what action is appropriate, if any.

DHS Jurisdiction

DHS is mandated to certify license-exempt child care centers that meet the requirements under [245H.02](#). As such, DHS is given the right of access to these centers to carry out all of the duties under 245H – in other words, once a center has been identified as requiring certification, DHS has the authority to enter the center to perform required duties.

DHS access

When a center is in operation and information is relevant to an inspection or investigation, the DHS licenser or investigator must be given access to:

- (1) the physical facility and grounds where the program is provided;
- (2) documentation and records, including electronically maintained records;
- (3) children served by the center;
- (4) staff and personnel records of current and former staff; and
- (5) conduct private interviews with current staff.

Records needed would include only those from point of certification and moving forward.

Documentation of noncompliance

Results of monitoring inspection report

In 2019, for certified centers who onboarded into certification in 2018, licensers will provide center operators documentation showing the results of the first monitoring inspection. This report will not be a correction order and will not be posted on the public Licensing Information Lookup website (see Licensing Information Lookup below for more information). Licensers will also provide technical assistance during the first inspection. In subsequent visits/years, noncompliance will be documented in a Correction Order.

Correction orders

If the certification holder failed to comply with a law, the commissioner may issue a correction order. The correction order must state the condition that constitutes a violation of the law, the specific law violated, and the time allowed to correct each violation. Correction orders are public and the violations from a correction order will be posted online on the Licensing Information Lookup website.

If the certification holder believes that the commissioner's correction order is erroneous, the certification holder may ask the commissioner to reconsider the part of the correction order that is allegedly erroneous.

Decertification

The commissioner may decertify a center if a certification holder failed to comply with an applicable law; or knowingly withheld relevant information from or gave false or misleading information to the commissioner in connection with an application for certification, in connection with the background study status of an individual, during an investigation, or regarding compliance with applicable laws. When considering decertification, the commissioner must consider the nature, chronicity, or severity of the violation of law.

When a center is decertified, the center is ineligible to receive payments from the Child Care Assistance Program (CCAP) under [Minnesota Statutes, Chapter 119B](#).

Licensing Look Up

Licenses and certifications issued by DHS are available to the public on the DHS website Licensing Information Lookup at <https://licensinglookup.dhs.state.mn.us/>. The webpage includes center information including name, address, phone number, correction orders, and maltreatment determinations.

Certified Centers Display on Parent Aware Website

Federal law requires that certified centers as well as licensed and license-exempt child care centers are listed on Minnesota's consumer information website at <http://parentaware.org/>. Families can use a search function on this website to look for child care in their area while filtering for the type of child care, age group, and schedule they seek.

Centers can now add more information about their program to help parents including current enrollment vacancies, ages of children served, rates, hours of operation, and website information. To take advantage of this, visit <http://parentaware.org/programs/>, clicking on "Update Profile."

Since your center specific information such as name of your center, address, and phone number, for example are pulled from the licensing division and are tied to the conditions of your certification, you will need to update any information connected with your center's certification by contacting your licensor.

Develop, Minnesota's Quality Rating and Registry Tool

All certified centers have an Organizational account created on Develop, Minnesota's Quality Rating and Registry Tool. Administrators of programs can create a personal account, or use their existing personal account, connect themselves to their organization(s). Once the account is registered, employees can connect to your account, allowing administrators to verify employment. Once connected, any approved training for employees can be

accessed via the Employee page on the Organizational Profile. To learn more, visit <http://www.developoolmn.org/>, selecting the tab, “Guides” for more detailed directions.

CCAP Information

For information about legislative and other changes to Minnesota’s Child Care Assistance Program (CCAP), please visit <https://mn.gov/dhs/partners-and-providers/news-initiatives-reports-workgroups/child-care-and-early-education/>.

The Minnesota Department of Human Services has created a new email subscription for Child Care Assistance Program providers. This email list will share information with you about changes to Child Care Assistance Program policies and notify you of issues. To get updates, update your email subscription preferences on the [department’s website and edit your Email Updates at https://public.govdelivery.com/accounts/MNDHS/subscriber/new?topic_id=MNDHS_321](#).

For information regarding requirements for registered CCAP providers, consult the CCAP Child Care Provider Guide (DHS-5260) available at <https://edocs.dhs.state.mn.us/lfserver/Public/DHS-5260-ENG>.

For questions about CCAP: Dhs.ccap@state.mn.us or call 651-431-4848

Additional Information

Changes to your certification

Changes requiring approval

To make changes to your certification, please contact your licensor (see below for information on Assigned licensors). Some changes may require additional documentation. Changes may include, but are not limited to:

- New center operator
- Adding or removing an age group
- Moving locations, even if only temporarily (ex: some school districts combine their locations into one center for summer months)
- Changing schedule
- Change in contact information

Please note: Any changes made in the online platform after certification is granted are not considered official. Changes need to be made in consultation with your licensor.

Assigned licensors

Each center operator will be assigned a licensor who will work directly with the center operator and each certified center under the center operator. Each licensor has a caseload that includes centers in the 7 county metro area and an outstate region.

As applications come in, a licensor will be assigned to work with the center operator and centers until certification is granted. It is our goal that the licensor will continue to be the licensor after certification is granted. However, now that we have hired additional licensors and have created assigned caseloads, your licensor may or may not be the same licensor you worked with during onboarding.

Certification resources and contact information

Assigned licensor

As mentioned above, each center operator will have an assigned licensor who will be your point of contact for your centers.

On-call certification licensor

One of the certification licensors will be on call and available during regular business hours (8:00 a.m. – 4:30 p.m.) to answer phone calls and respond to emails regarding certification.

Please note and update your records: our email contact has changed. We are no longer in the onboarding stage for certification so we are no longer using the onboarding email - DHS.CCCConboarding@state.mn.us email.

Phone- 651-431-6500, choose option 6

Email - dhs.certifiedccc@state.mn.us

Websites

Licensing website for child care providers - <https://mn.gov/dhs/partners-and-providers/licensing/child-care-and-early-education/#Centers>

Certification website -<https://mn.gov/dhs/partners-and-providers/licensing/child-care-and-early-education/certified-license-exempt/>

Email for serious injury reports

When you have a serious injury report to submit, you can use the submit button on the form or email it to the licensing unit at dhs.licensingccsupport@state.mn.us.

Phone number for reporting suspected abuse or neglect

Reports concerning suspected abuse or neglect of children **occurring in centers certified** by the Minnesota Department of Human Services should be made to the Department of Human Services, Licensing Division's Maltreatment Intake line at (651) 431-6600 (see Reporting Requirements above for more information).

Certification fee

There are no fees affiliated with certification at this time. However, DHS must provide a recommendation to the legislature by February 2019 of an appropriate administrative fee.

Attendance records

Certification standards do not require that certified centers maintain attendance records; however, the Child Care Assistance Program requires all providers that receive child care assistance payments to keep daily attendance records at the site where services are delivered for children receiving child care assistance. ([Minnesota Statutes, section 119B.125, Subd. 6](#))

Programs must make records available immediately to the county, tribe or the Department of Human Services upon request. The attendance records must be completed daily and include:

- the date,
- the first and last name of each child in attendance, and
- the times when each child is dropped off and picked up.
- To the extent possible, the times that the child was dropped off to and picked up from the child care provider must be entered by the person dropping off or picking up the child.

The daily attendance records must be retained at the site where services are delivered for six years after the date of service.

Having a system for children being signed into and out of your center will clarify when a center is responsible for a child and when the child is the responsibility of another program or service. For example,

- A child who attends swimming lessons through another program (with parent permission) in the middle of the day after being dropped off at the certified center. It is recommended that the certified center sign the child out and sign the child back in so as to have documentation regarding where the child is at and who is responsible at that time.
- A child who goes directly from one program to the certified center without parent or legal guardian drop off. Typically, until the other program delivers the child to the certified center, the certified center would not be responsible for the care of the child. It is recommended that when the child arrives, the child is signed into the certified center to clarify who is responsible at that time.
- If your certified center is transporting a child, the child is considered in attendance during transportation.

Multiple centers/programs located in the same building

Certified centers in a building with license exempt, licensed, and/or other programs cannot mix children from separate programs.

For example, if a school district has a licensed program for preschoolers, a license-exempt school readiness program for preschoolers, and a certified program for school agers all in one building, the children in these various programs cannot combine. They would be able to use shared spaces such as a gym or outdoor playground, but would need a schedule to ensure they are not using those spaces at the same time.

Each separate program must be registered with CCAP to receive child care assistance payments.

Multiple certified centers under one certification holder

Certified centers under one certification holder cannot mix children, except under certain circumstances. The certification number is site specific. Wherever you are operating and children are attending, the child needs to be enrolled/authorized to be at that location AND that location is the certified center that is responsible.

For example, if a school district has five certified centers at five separate locations and they want to combine into one location for summer, they would need to enroll all the children from the other four locations at the one location for summer. This would involve notifying CCAP to change authorization information for any child that is changing locations.

Definitions

Annual

For certified centers, “annual” means within the calendar year. Please note, this is different than the definition of “annual” for licensed child care centers which comes from the definition of “annual” in 245A.

Applicant

An applicant is an individual or organization that is subject to certification under this chapter and applied for but is not yet granted certification under 245H.

Authorized Agent (AA)

For certified centers, there is not an AA. However, due to systematic naming conventions that we cannot change at this time, communications sent out by the Background Studies Division will address the Certification Holder Contact Person (CHCP) as an AA.

Center operator or program operator

A center operator or program operator is the person exercising supervision or control over the center's operations, planning, and functioning. There may be more than one designated center operator or program operator. The center operator is responsible for completing the steps required in the online platform to achieve certification, as well as continuing to be the point of contact (with the exception of the initial email from the Background Studies Division, which will be sent to the CHCP to activate an account and assign a SIP).

- **EXAMPLE 1:** A supervisor oversees multiple certified centers. For example, a school district school age care program may have a supervisor that is employed by community education who oversees multiple certified centers at different elementary school locations. That supervisor would be a center operator. In addition, there may be a director of community education that also oversees the operations who may also be listed as a center operator (there may be more than one center operator). In this instance, individual site directors would not each be listed as center operators.
- **EXAMPLE 2:** An owner of one or more certified centers. In this instance, the owner would be the center operator. This owner could also be the certification holder.

Typically center directors (see [245H.08](#), Subd. 2) are not center operators. However, if a center director were an owner or certification holder, it would be appropriate that a center director would also be a center operator.

The center operator is the person DHS will communicate with regarding the certified center.

Certification holder

The certification holder is the individual or organization that is legally responsible for the operation of the center, and granted certification by the commissioner under 245H.

- **EXAMPLE 1:** A school district would be the certification holder for each certified center at different elementary school sites.
- **EXAMPLE 2:** A private school would be the certification holder for one or more certified centers within the school building.
- **EXAMPLE 3:** A business or individual would be the certification holder for one or more certified centers operated at one or more locations.

As long as the certification holder is the same, DHS will assign a unique entity identification number to the certification holder. The entity identification number will only be used internally to tie one or multiple certified centers to one certification holder. This will allow DHS to conduct announced reviews in a coordinated effort for all centers tied to one certification holder.

Certification holder contact person (CHCP)

The individual who is the Certification Holder or if an organization is the Certification Holder, an individual who is designated to represent the Certification Holder in communicating with the Commissioner when needed. The CHCP has the responsibility of assigning the Sensitive Information Person.

Date of employment

The date that the employee becomes employed with the certified center is the date of employment.

Importance of date of employment

The date of employment is needed to determine compliance with timeliness of the training requirements for certified centers.

Documenting date of employment

This needs to be in the personnel records for certified centers. This can be electronic. It can all be listed in one place or individually listed in each staff person's record. It will need to be provided at the time of an inspection. Things to note:

- This likely will be a different date than the date HR has as the hire date with a school, school district or larger organization
- Centers will need to note date of employment based on obtaining initial certification. See below.

Examples/Scenarios for recording date of employment

- A teacher started work in a school district first, his/her date of employment with the district would not change. However, for certification purposes, we would want to know the date that he/she was employed by your certified center. In many cases, this will be the date certification was granted.

For initial granting of certification

The date of employment should be the date that the CERTIFIED center started operating. Orientation and training can occur before that date, however it should not be more than 14 days after that date.

Direct contact

Direct contact definition - (245C.02, subd. 11) "Direct contact" means providing face-to-face care, training, supervision, counseling, consultation, or mediation assistance to persons served by the program.

First date of supervised direct contact – the date that a staff person or volunteer first has direct contact (see above) AND is under continuous, direct supervision (see Supervision of staff below).

First date of unsupervised direct contact – the date that a staff person or volunteer first has direct contact (see above) AND is not under continuous, direct supervision (see Supervision of staff below).

Initial orientation

This is the date certification training requirements were initially completed prior to certification being granted. (In contrast to the other training columns which will list the dates of the current/most recent trainings.)

Supervision of staff

Supervision - (245C.02, subd. 8) "**Continuous, direct supervision**" means an individual is within sight or hearing to the extent that the program's supervising individual is capable at all times of intervening to protect the health and safety of the persons served by the program.

Sensitive information person (SIP)

The SIP is an individual who is assigned by the CHCP with the authority to submit background study requests to DHS for current and potential employees. This person also receives disqualification notices as applicable.