

State of Alaska  
Department of Education & Early Development  
Pre-Elementary Program

## Self Monitoring Report

For use by pre-elementary school programs applying under 4 AAC 60.035(b)

Pre-Elementary School Name:
Pre-Elementary School Address: (Street, City, Zip)
Pre-Elementary School Principal:
Phone:
E-Mail:

### Check list of Requirements

Include all of the following items in a single self-evaluation packet. Please confirm with each checkbox that each item is included before sending. Make sure all items are identified clearly. **Items 1-10 must be submitted for each site.** If there is a central agency that establishes policies and programs for all sites, only one copy needs to be submitted.

1.  Signed Self Monitoring Report
2.  Copy of insurance
3.  Copy of Immunization audit
4.  Policy & procedure manual including:
  - a.  Administrative policies including criminal history procedures
  - b.  Behavior management/discipline
  - c.  Enrollment and Closure policies
5.  Staff Manual including:
  - a.  Job Descriptions
  - b.  Staffing Plan
  - c.  Personnel rules and policies
  - d.  Parent hand book

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Printed Name: Superintendent/ Director Date:

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Signature: Superintendent/ Director Date:

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Printed Name: Pre-Elementary School Principal Date:

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Signature: Pre-elementary School Principal Date:

## Pre-Elementary Self- Monitoring Report

**Key: C = Compliance**

**NC = Noncompliance**

**NA = Not Applicable**

Use the following key to evaluate each program requirement. This form is intended to be used internally to assist pre-elementary program administrators assess and monitor compliance. The Department maintains the right to conduct unscheduled visits'

7AAC 57.050. Self-Monitoring Reports	C	NC	NA
(a) This Self-monitoring report has been submitted on a form prescribed by the department: (1) no later than 30 days before the first anniversary date of the Pre-Elementary School's biennial license and			
(2) as part of the Pre-Elementary School's biennial renewal application			
7AAC 57.220. Child care Pre-Elementary School operation and management	C	NC	NA
(a) Personnel policies were provided to employees and individuals when they start employment at the Pre-Elementary School			
(b) The governing body or owner of a child care Pre-Elementary School has:			
(1) provided for screening, scheduling, and supervising of employees and others who provide services to the Pre-Elementary School			
(2) CENTERS- scheduled work hours so that the administrator or CCA is available to staff and children in a pre-elementary school program that serves 30 or more children, except for short absences			
(3) Ensured that Individuals associated with the Pre-Elementary School has a valid criminal history check before employment or other service.			
(4) Has agreed to remove an employee or individual from contact with children when the administrator has reason to believe that the person has abused a child or furnished a child with alcohol, tobacco, or a controlled substance			
(5) ensured that the ability of an employee or other caregiver to perform assigned duties is not impaired by alcohol or a controlled substance while that person is in contact with children or is performing other job responsibilities			
(d) Has adopted and compiled a policy and procedures manual and the manual is available to employees and other individuals associated with the Pre-Elementary School and to the department			
(e) Ensured that the Pre-Elementary School's practices, and the practices of the Pre-Elementary School's employees or other individuals associated with the Pre-Elementary School conform to applicable regulations and statutes and the Pre-Elementary School's policies and procedures manual			
7AAC 57.230. Records	C	NC	NA
(a) The pre-elementary School has:			
(1) created written records necessary to demonstrate compliance with applicable regulations and statutes			
(2) retained records for at least 3 years from the date of creation			
(3) permitted the department to review records to determine compliance with applicable regulations and statutes			
(b) The Pre-Elementary School has maintained records on forms prescribed by the department or alternate forms that contain the same elements as the prescribed forms			

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7AAC 57.230. Records <i>(continued)</i>	C	NC	NA
(c) The Pre-Elementary School has maintain the confidentiality of information about a child and the child's family			
(d) The Pre-Elementary School has maintain personnel records for employees and individuals in contact with children in care			
7AAC 57.240. Reports	C	NC	NA
(a) The Pre-Elementary School has reported:			
(1) within 14 days, the addition, for 45 days or more, of household members			
(2) within 30 days, a planned change in:			
(A) the person operating the Pre-Elementary School			
(B) the name of the person operating the Pre-Elementary School			
(C) the name of the Pre-Elementary School			
(D) of administrator			
(E) the age of children served			
(F) capacity			
(G) hours of operation			
(H) deletion or addition of a specialization			
(3) permanent departure of an individual, age 16 or older, having contact with children in a child care Pre-Elementary School			
(4) change in the plan of operation or other information included in the initial application			
(b) The Pre-Elementary School immediately reports to the department:			
(1) death of a child while in care			
(2) an injury or illness of a child in care that requires medical attention outside the Pre-Elementary School			
(3) fire or other emergency situation that affects the Pre-Elementary School			
(4) an unplanned change			
(c) The Pre-Elementary School immediately report to the child's parent:			
(1) death of a child while in care			
(2) an injury or illness of a child in care that requires medical attention outside the Pre-Elementary School			
(3) exposure of a child to a contagious condition or communicable disease other than a cold			
7AAC 57.300. Qualifications of an administrator	C	NC	NA
(a) <b>GROUP HOME AND CENTER-</b> The Administrator is at least 21 years of age			
(b) The Administrator has:			
(1) an understanding of the development of children			
(2) the ability to care for children, and			
(3) has the skills to work with children, family members, department staff, community agencies, and, if applicable, staff of the child care Pre-Elementary School			
<i>In 7AAC 57.310. Qualifications and responsibilities of employees and other individuals in a child care Pre-Elementary School</i>			
(a) All individuals associated with a pre-elementary program Pre-Elementary School are responsible individual of reputable character who exercises sound judgment			

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7AAC 57.300. Qualifications of an administrator	C	NC	NA
(b) All individuals associated with a pre-elementary program Pre-Elementary School are subject to the applicable requirements of Barrier Crimes, Criminal History Checks, and Centralized Registry requirements. In addition, an individual may not work, with or without compensation, or reside in any part of the premises that house a Pre-Elementary School, if the individual has the opportunity to gain access to children and the individual's name appears on the centralized registry, the individual has a physical health problem, behavioral health problem, or domestic violence problem that poses a significant risk to the health, safety, or welfare of children in care			
(c) Pre-elementary school staff			
(1) demonstrate respect for each child and the child's family			
(2) support behavior of children with positive guidance and set clear and consistent limits to promote the children's ability for self-discipline			
(3) provide children with a variety of age-appropriate learning and social experiences			
(4) demonstrate a positive attitude towards the individual needs of children			
(5) respond appropriately to a child's needs, including responding to a child's cry as promptly and effectively as possible			
(6) prevent exposure of children to high risk situations, including exposure to physical hazards and encounters with individuals or animals posing a possible danger			
(7) use strategies to prevent a child's aggressive behavior and to de-escalate volatile situations			
(8) act as a positive role model for children, especially with regard to respecting the feelings and rights of others			
(9) provide an environment that respects the gender, culture, ethnicity, family composition, and special emotional, cognitive, and developmental needs of each child			
(d) Pre-elementary school programs with one or more employees have obtained a completed application for employment or other work from each prospective employee before allowing them to have contact with children. The Pre-Elementary School has obtained at least three written references two of which are from individuals unrelated to the applicant as outlined below:			
(1) The references were received directly by the Pre-Elementary School from the individual making the reference;			
(2) The reference attested to the prospective employee's ability to work successfully with children, act as a positive role model and otherwise meet the requirements of this section;			
(3) If taken over the phone, the reference should be recorded immediately by written notes, dated and signed by the individual taking the reference.			

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7AAC 57.315. Child Protection and criminal history check requirements	C	NC	NA
(a) An individual associated with a Pre-Elementary School have met the applicable requirements related to Barrier Crimes, Criminal History Checks, and Centralized Registry.			
(b) If needed, the Pre-Elementary School will request an evaluation from a probation officer, health professional or mental health professional affirming that the individual is free from problems that might pose a significant risk to the health, safety, or welfare of a child in the Pre-Elementary School.			
(c ) The Pre-Elementary School administrator ensures that individuals in the Pre-Elementary School do not abuse or neglect children or engage in an exploitive or sexual acts with a child in its care			
(d) The pre-elementary School keeps on file the following documents to be made available upon request by the department: 1) child protection records, 2) an evaluation, if requested and 3) child care licensing records.			
(e) All individuals seeking to be licensed or to remain licensed as the owner of a Pre-Elementary School has submitted to the department the signed release of information required to request a criminal history check for each person for whom a criminal history check is required			
7AAC 57.320. Pre-Elementary School staff age requirements and additional qualifications for adolescent Pre-Elementary School staff	C	NC	NA
Pre-Elementary School staff at least 18 years of age are counted toward meeting the caregiver-to-child ratio requirements			
Pre-Elementary School staff age 14-17 may be counted if the caregiver has:			
(1)completed a child care training course or has demonstrated competency in child care to the administrator’s satisfaction			
(2) works under supervision of an adult caregiver			
(3) works within sight or sound of an adult caregiver.			
<b>CENTERS-</b> Pre-Elementary School staff under 18 years of age make up no more than one-fourth of the total care giving staff on duty.			
7AAC 57.330. Additional employee qualification for pre-elementary school – CENTERS ONLY	C	NC	NA
(a) At least one full-time onsite Child Care Associate is to be designated for each 30 children who are present at the child care center			
(b) Child Care Associate must meet the same age requirements, qualifications, and college credit, CDA or Montessori credential, and continuing education requirements as an administrator			
(c) An onsite Administrator may be designated to serve in the role of a Child Care Associate for the first 30 children who are present at the child care center			
7AAC 57.340 Supervision of employees	C	NC	NA
A child care Pre-Elementary School with one or more employees shall ensure that an inexperienced caregiver is supervised by an experienced caregiver until the inexperienced caregiver is able to safeguard the health, safety, and welfare of the children in care			

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7AAC 57.350. Orientation and training	C	NC	NA
(a) Orientation is provided to each caregiver that relates to the caregiver's duties and responsibilities. Orientation must include 1) the Pre-Elementary School's policies and procedures 2) satisfying the individual needs of children, 3) emergency procedures and health and safety measures; and 4) the applicable requirements related to Barrier Crimes, Criminal History Checks, and Centralized Registry requirements			
(b) Orientation is completed within 8 weeks from date of hire or contract.			
(c) Training is documented and include date, subject, method of training, duration, and name of individual who conducted the training			
(e) At least 1 caregiver with valid First Aid and CPR certification is on duty			
(f) <b>CENTERS-</b> Pre-Elementary School staff have obtained 20 hours of annual training in addition to orientation and First Aid/CPR			
(g) <b>HOMES-</b> Pre-Elementary School staff have obtained 12 hours of annual training in addition to orientation and First Aid/CPR			
(h) <b>GROUP HOMES-</b> Pre-Elementary School staff obtained 20 hours of annual training in addition to orientation and First Aid/CPR			
(i) <b>PART-TIME PRE-ELEMENTARY SCHOOL STAFF-</b> Part-time Pre-Elementary School staff are required to complete 10 hours ( <b>Center and Group Homes</b> ) or 6 hours ( <b>Home</b> ) annually in addition to orientation and First Aid/CPR			
7AAC 57.400. Admission and planning for care	C	NC	NA
(a) A child care Pre-Elementary School has:			
(1) obtained emergency information about the child from the child's parent			
(2) maintained information on a form supplied by the department			
(3) reviewed and updated information at least semi-annually			
(b) Pre-Elementary School does not admit a child if the child's admission would place the Pre-Elementary School beyond the conditions of the Pre-Elementary School's approval			
(c) Pre-Elementary School collaborates with the parents of a child identified as having special needs in developing and implementing a plan of care at or before admission of the child to the Pre-Elementary School.			
7AAC 57.500. Supervision of children	C	NC	NA
(a) The Pre-Elementary School has ensured that the children in its care receive responsible supervision appropriate to their age and developmental needs and when applicable has developed a plan for supervision.			
(b) Pre-Elementary School has ensured that children are supervised at all times, except when providing a degree of freedom appropriate to the age and development of a school-age child			
(c) <b>CENTERS-</b> have ensured:			
(1) children are supervised at all times, including when the children are sleeping			
(2) Pre-Elementary School staff are within the same room as and within sight or sound of children			
(3) Pre-Elementary School staff know the whereabouts of the children in their care at all times			
(i) The Pre-Elementary School has prevented exposure of children to individuals, animals, and situations posing a possible danger. A child care Pre-Elementary School may not allow a child to participate in a high-risk activity. Such as:			

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7AAC 57.500. Supervision of children continued	C	NC	NA
(1) use of a mobile infant walker;			
(2)a young child walking along a river edge; or			
(3)a child at any age riding a motorized all-terrain vehicle or snowmobile;			
(4)playing near any body of water or playing with propelled objects without constant supervision;			
(5)boating without a personal flotation device or in dangerous water conditions; or			
(6) jumping on a standard or large trampoline.			
7 AAC 57.505. Child-to-caregiver ratios	C	NC	NA
The Pre-Elementary School shall maintain, during all hours of operation a maximum group size of 10 children not to exceed a ratio of 20 children to 2 caregivers. There must always be a second adult in the room			
7 AAC 57.535 Behavior Guidance	C	NC	NA
(f) Corporal punishment of children in care is prohibited			
7 AAC 57.565. Transportation	C	NC	NA
A Pre-Elementary School that provides transportation has ensured the appropriate use of seat restraints; that vehicles are safe and smoke free, the use of snow tires or chains when needed and comply to safe procedures of pickup and delivery.			
7AAC 10.905. Barrier Crimes	C	NC	NA
(g) If an individual does not pass a criminal history check as a result of a barrier crime, the individual is prohibited from associating with the pre-elementary school if they have access to children or sensitive records			
(h) If an individual is charged with a barrier crime, that individual is barred from any contact with recipients of care during the pendency of the charge.			
7 AAC 10.910. Request for criminal history check.	C	NC	NA
(a) The Pre-elementary school has requested a criminal history for each individual to be associated with the school. New criminal history checks are requested:			
(1) when the provider submits an initial application for pre-elementary school approval.			
(2) for a new owner, officer, director, partner, member, or principal of the business organization if there is a change in ownership of the business organization, or if an officer, director, partner, member, or principal of the business organization is replaced			
(3) except as provided otherwise in this section, if the entity or provider wishes to hire or retain an employee, independent contractor, or unsupervised volunteer			
(4) for an individual 16 years of age or older who is not a recipient of services, and who wishes to reside or be present in the pre-elementary school. The criminal history check must be completed before the individual begins association.			
(c) Unless a more frequent fingerprint-based criminal history check is required, a fingerprint-based criminal history check is valid for six years			
(e) Pre-Elementary staff have verified with the department that the current fingerprint-based criminal history check is still valid			

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7 AAC 10.910. Request for criminal history check continued	C	NC	NA
(f) a new criminal history check is not required if a person associated with an entity or provider is transferred, if all sites are identified in the request for a criminal history check.			
7 AAC 10.915 Criminal history check	C	NC	NA
(f) Pre-Elementary School administrators will, within 12 hours after receiving notification from the department that a barrier crime or condition exists or that law enforcement activity for an individual has been received, terminate association with that individual. The individual may remain associated with the entity or provider pending a decision on the request, if			
(1) the individual is removed from direct contact with recipients of services; and			
(2) the entity or provider ensures that the individual is provided with direct supervision if the individual is present in any area where services are provided, during hours of operation.			
7 AAC 10.925 Monitoring and notification requirements	C	NC	NA
(a) An entity or provider has monitored to ensure that all individuals continue to meet the Barrier Crimes, Criminal History Checks, and Centralized Registry requirements. The entity or provider has required from each individual for whom a criminal history check is required to report to the entity or provider within 12 hours, or the next business day if the individual is			
(1) charged with, convicted of, found not guilty by reason of insanity for, or adjudicated as a delinquent for, a barrier crime or.			
(2) is the subject of a matter that must be reported for the centralized registry.			
(b) In addition to the reporting requirements for the centralized registry, the entity or provider shall notify the department by telephone, by electronic mail, by facsimile, by letter, or in person within			
(1) 12 hours, or the next business day, after the entity or provider has knowledge that an individual associated with the entity or provider has been			
(A) arrested for, charged with, convicted of, found not guilty by reason of insanity for, or adjudicated as a delinquent for, a barrier crime or			
(B) is the subject of a matter that must be reported for the centralized registry; or			
(2) 14 days after any change in association with the pre-elementary school for an individual who has a valid criminal history check or is the subject of a provisional valid criminal history check, including a change that involves an individual			
(A) whose association has been terminated; or			
(B) who has not been associated with the Pre-Elementary School for 61 days or more, but becomes re-associated within 100 days			

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7 AAC 10.960. Termination of Association	C	NC	NA
(a) The Pre-Elementary School administrator will notify the individual of immediate termination if the individual is present or upon or before the individual's next arrival at the school.			
(b) If the Pre-Elementary School is required to terminate association with an individual who is subject to a union agreement or employment contract the school administrator must provide a copy of that agreement to the department within 12 hours. The administrator shall cooperate with the department in developing an appropriate termination plan			
(c) If the individual for whom termination of association is required is a relative of the operator, administrator, or provider, and resides in the entity or premises where services are provided, termination of association must occur within 12 hours, and the entity or provider shall ensure that the individual			
(1) does not have contact with recipients of services			
(2) is provided with direct supervision if, during that 12-hour period, the individual is present in the entity or premises during hours of operation			