

# State Presentations

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Establishing Standards and Monitoring Processes to  
Ensure Health and Safety

# State Presenters

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# Format

Each State will present on their system for oversight

Q&A after each State presentation

Further discussion on oversight of licensed and license-exempt care

Table-top discussions, focused on health and safety requirements and inspections

Monitoring in South Carolina's QRIS  
ACF Regional Meeting  
April 2015

Leigh Bolick, Director  
Division of Early Care and Education  
South Carolina Department of Social Services

# Where Have We Been?

- In 1992, South Carolina introduced the first Tiered Reimbursement subsidy system.
- There were three tiers in the system.
- It allowed all legally operating providers to participate:
  - Licensed Centers
  - Licensed Family and Group Homes
  - Registered Family Homes
  - Exempt Facilities (less than 4 hours per day)
  - Family Friend and Neighbor Care

# Where Have We Been?

- Mandatory standards were developed for each tier, based on licensing regulations.
- Annual on-site assessments were implemented for all providers at top two levels.
- Higher payment rates were paid in combination with quality bonuses.
- In 2007, program transitioned to a QRIS - ABC Quality.
- Re-named tiers to levels A+, A, B+, B, and C.

# Changing Political Environment

- Quality staff began monitoring Level C exempt providers, including family home providers.
- Licensing was also visiting licensed providers twice a year.
- Licensing took on the responsibility of health and safety monitoring for Level C licensed providers; quality staff no longer visited these providers.
- In 2014, legislation eliminated one licensing visit – only one a year is currently allowed.
- In 2014, legislation gave licensing the authority to visit registered family providers (previously allowed only upon complaint).

# Where Are We Now?

- Phasing in Licensing visits for Registered Family providers.
- Reinstating annual quality monitoring visits for Level C licensed providers.
- Strengthening monitoring of lowest level providers with new standardized health and safety assessment tool (formed basis for licensing visits to registered families).
- Analyzing information from a pilot conducted to monitor FFN providers (60).

# Where Are We Now?

- Licensing forms the basis for ABC Quality.
- Quality is the “door” to the subsidy program.
- Working on an ABC Quality “Credential” for exempt facilities (currently only 4% of expenditures).
- Reviewing and revising ABC Quality standards, starting with 0-2; piloting and expert review.
- Looking at changes required by CCDBG law.

# Where Are We Going?

- Background Checks for Exempt Facilities.
- Full Background Checks for FFN's.
- Implementing FFN monitoring visits, likely in 2015; all CCDF providers will then be monitored by ABC Quality staff.
- Need to establish reasonable restrictions on eligibility for FFN subsidy providers:
  - Relative and non-relative.
  - Site visit prior to enrollment or within a specific time frame.
  - Determine if FFN's should be required to become registered.

# Questions?

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# THE EVOLUTION OF THE MAINE CHILD CARE LICENSING SYSTEM

Maine Department of  
Health and Human Services

Division of Licensing  
and Regulatory Services



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## Changes to the monitoring system

- ▣ Increased staff from 12 licensors to 24 plus a supervisory level
- ▣ Decreased caseloads from 180 to an average of 80
- ▣ Compliance Advisory Panel
- ▣ Web portal for licensing actions
- ▣ Implemented differential monitoring
- ▣ Implemented provider feedback process
- ▣ Peer support and supervisory observation processes
- ▣ Rated all rules in terms of risk to children
- ▣ Provider forums



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# Current status of revision of licensing regulations

- ▣ Work group composed of licensors and supervisors
- ▣ Merging three sets of rules into core standards
- ▣ Working to clarify existing rules by eliminating subjective language
- ▣ Incorporating new standards for health and safety from the Caring for Our Children core standards and the CCDBG requirements (e.g. training requirements)
- ▣ MAPA process: AG, comm., gov. review before public hearing/legislative review
- ▣ CCTAN crosswalk tool is an excellent asset for rule revision



## Current Status: Legal Unregulated Providers

- ▣ *Maine rule currently allows for care of up to two unrelated children and no limit on the number of related children*
- ▣ Currently overseen by OCFS: must submit application materials; visited by CACFP staff
- ▣ Currently, there are approximately 180 LUPs statewide participating in the CCDBG subsidy program



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## Monitoring of license-exempt providers

- ▣ Considering major practice change: Restriction of legal unregulated providers (exclude only immediate family) and establish cap for related children
- ▣ Require State Fire Marshal's Office approval
- ▣ Require inspection/certification for current legal unregulated providers
- ▣ Include specific training content areas in rule
- ▣ Family members would be monitored by visits from the CACFP
- ▣ Will depend on the outcomes of rule revision and statutory changes



## Frequency of licensing visits

- Prior to changes: annual visit (initial licensure; renewal; mid-cycle review, ongoing renewal)
- Currently have increased to triennial visits for most providers
- Upon implementation of differential monitoring, frequency depends on performance:
  - Excellent: biennial
  - **Average: triennial**
  - **Need improvement: Quarterly**
  - In sanctioned status: Monthly



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## Features to increase licensing system efficiency

- ❑ Electronic survey tool to record licensing inspection findings under development
- ❑ Differential monitoring checklist based on key indicators
- ❑ Software for caseload management to include frequency of visits, licensing history, prior deficiencies, automated application and renewal process
- ❑ Maine Background Check Program



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## Goals for Increased Efficiency

- ▣ Accurate, fair, and consistent licensing inspections
- ▣ Data-based systems enhancement/outcome tracking
- ▣ Appropriate use of resources: address major need areas
- ▣ Reduce administrative time and errors
- ▣ Consistent licensing sanctions based on magnitude of risk factors



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# Impact of efficiency on licensing caseloads

- ▣ NO impact on caseload size
- ▣ Increased focus on technical assistance
- ▣ Peer support
- ▣ Follow-up with struggling providers
- ▣ Increased effort for recruitment of new providers
- ▣ Identification of illegal operations



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## Training of licensing staff on the new system

- ❑ Currently training on differential monitoring tool
- ❑ Software training will follow the development and rollout of new applications: phase in by function
- ❑ Consistency and inter-rater reliability is a major goal
- ❑ Engagement in the rule revision process to promote understanding of intent



# Implementation challenges and lessons learned

## Challenges:

- ❑ Illegally operating providers
- ❑ Staff who are challenged by a cultural shift
- ❑ Geography and population dispersal
- ❑ Unintended impacts of past practice (annual revisits: little expectation for change)

## Lessons:

- ❑ Create a strategic plan and logical sequence of actions
- ❑ There is no direct connection between length of service and licensor outcomes
- ❑ Engage colleagues across departments/offices



## Other Initiatives in Process

- Draft algorithm for licensing decisions
- Licensor work groups: DM, Rule revision, background checks, rule interpretation, website enhancement
- Development of Standard Operating Procedures
- Website enhancement: Tools for providers
- Licensor training
- Regional forums



# Questions and Comments?

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