

Connecticut Appropriations Committee RBA Template

Part II, Program/Agency/System Accountability Summary

Program/Agency/System Purpose

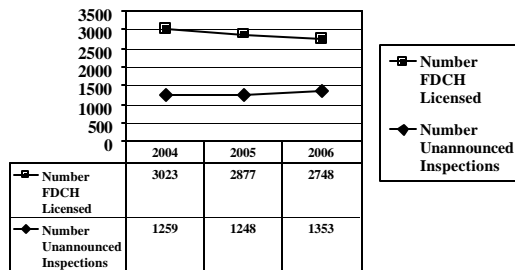
To establish the baseline of quality below which it is illegal for family day care homes, group day care homes and child day care centers to operate.

Program/Agency/System

Department of Public Health / Regulatory Services / Community Based Regulation

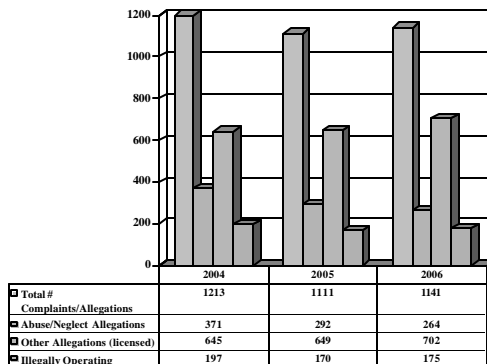
Performance Measure 1

Performance Measure 1:
Unannounced Inspections/Family Day Care Homes



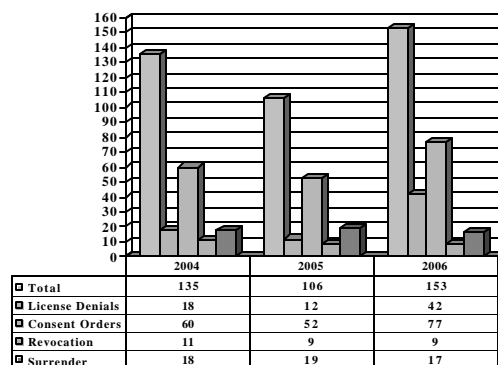
Performance Measure 2

Performance Measure 2:
Number of Complaints



Performance Measure 3

Performance Measure 3:
Number of Enforcement Actions



Key Budget Information

Total Current Program Year Funding	\$3.29
Funding as Percent of All Funding for Population Result	
Program Funding As Percent of Total Agency Budget	
Funding Distribution	
Total Federal Funds	
Total State Funds	\$2.78
Capital Projects Subtotal	
Other Funding	\$0.51
Percent of Total Current Funding Contracted to Third Parties	

Story Behind the Baselines

The Department of Public Health licenses family day care homes (2748), group day care homes (44), and child day care centers (1559) every two years.

Performance Measure 1. It exceeds is required (1/3) proportion of unannounced inspections of family day care homes annually and inspects child day care centers and group day care homes.

Performance Measure 2: It handles and investigates complaints, which have remained relatively constant over the past three years.

Performance Measure 3: It takes enforcement action against non-compliant programs, and provides technical assistance on regulatory issues.

Turning The Curves: What do you propose to do over the next two years and why?

1. We propose to increase the time frames for license renewals from 2 to 4 years so that more staff time can be committed to field inspections and less time to reviews of paperwork in the office. This will mean that the time between inspections will be significantly reduced. (no cost, low cost)
2. Enhance data systems. This is needed to support the licensing system and generate reports. This is contingent on additional funds.

Connecticut Appropriations Committee RBA Template Part II, Program/Agency/System Accountability

Program/Agency/System Purpose To establish the baseline of quality below which it is illegal for family day care homes, group day care homes and child day care centers to operate.

Program/Agency/System Department of Public Health / Regulatory Services / Community Based Regulation

Contribution to Population Result: Licensing is the process by which a government agency regulates the activities of an enterprise that involves the public interest. The licensing statutes (C.G.S., Sec. 19a-77, C.G.S., Sec. 19a-80 and C.G.S., Sec. 19a-87b) prohibit the provision of child day care services but then sets up administrative methods to lift the general prohibition if certain conditions are met. Licensing requires the applicant and facility operator to comply with established life-safety, program and staffing rules the purpose of which is consumer protection through risk reduction (NARA Licensing Curriculum, 2000 Edition). CT statutes require the Department to license family day care homes, group day care homes, and child day care centers; to inspect licensed facilities and provide technical assistance as required by statute; to investigate complaints of illegal operation and non-compliance; and take regulatory action against non-compliant facilities. Child protection in licensed child day care facilities is achieved through the provision of technical assistance to licensed programs, corrective action plans submitted by licensed facilities when health, safety, staffing, and programmatic violations are cited, and through enforcement action when facilities fail to comply with regulatory standards.

Key Budget Information (<i>Dollars reported in millions</i>)	
Total Current Program Year Budget	\$3.29
Funding as Percent of All Funding for Quality of Life Result	
Program Funding as Percent of Total Agency Budget	
Budget Distribution:	
Federal	
State	\$2.78
General Fund	
Capital Project Funds	
Other State Funding	\$0.51
Other Funds (Not Federal or State)	
Percent of Total Current Funding Spent on Direct Service	
Percent of Total Current Funding Contracted to Third parties	

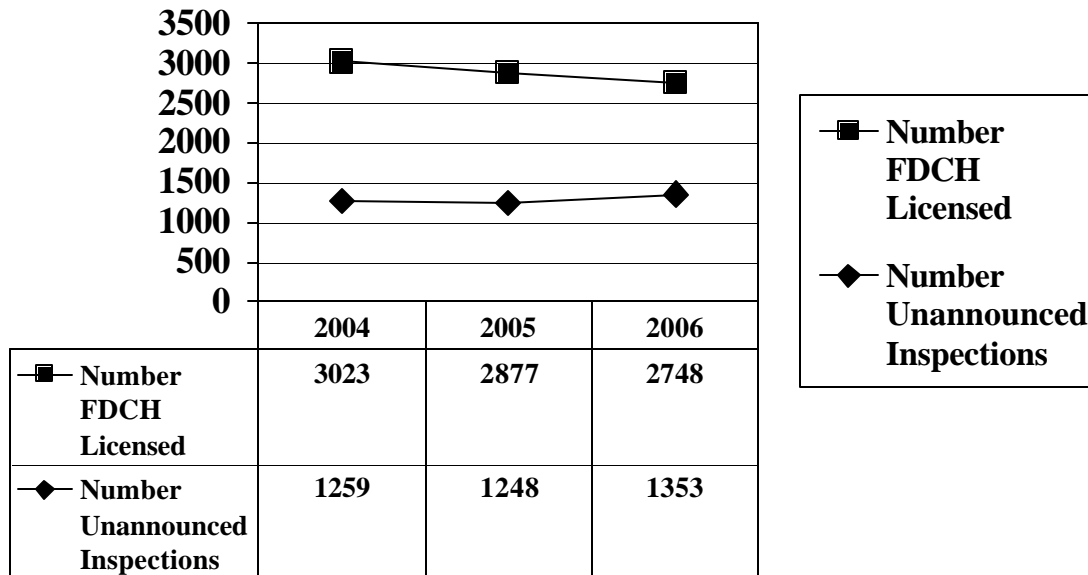
Basic Program Facts The Department of Public Health licenses family day care homes (2748), group day care homes (44), and child day care centers (1559) every two years; conducts unannounced inspections to 1/3 of the family day care homes annually and inspects child day care centers and group day care homes every two years; investigates complaints; takes enforcement action against non-compliant programs, and provides technical assistance on regulatory issues.

Performance Measures and Story Behind the Baselines

Summary of Story Behind the Baselines:

Program Performance Measure 1: Number of facilities licensed and renewed every two years. Number of site visits to licensed family day care homes.

**Performance Measure 1:
Unannounced Inspections/Family Day Care Homes**

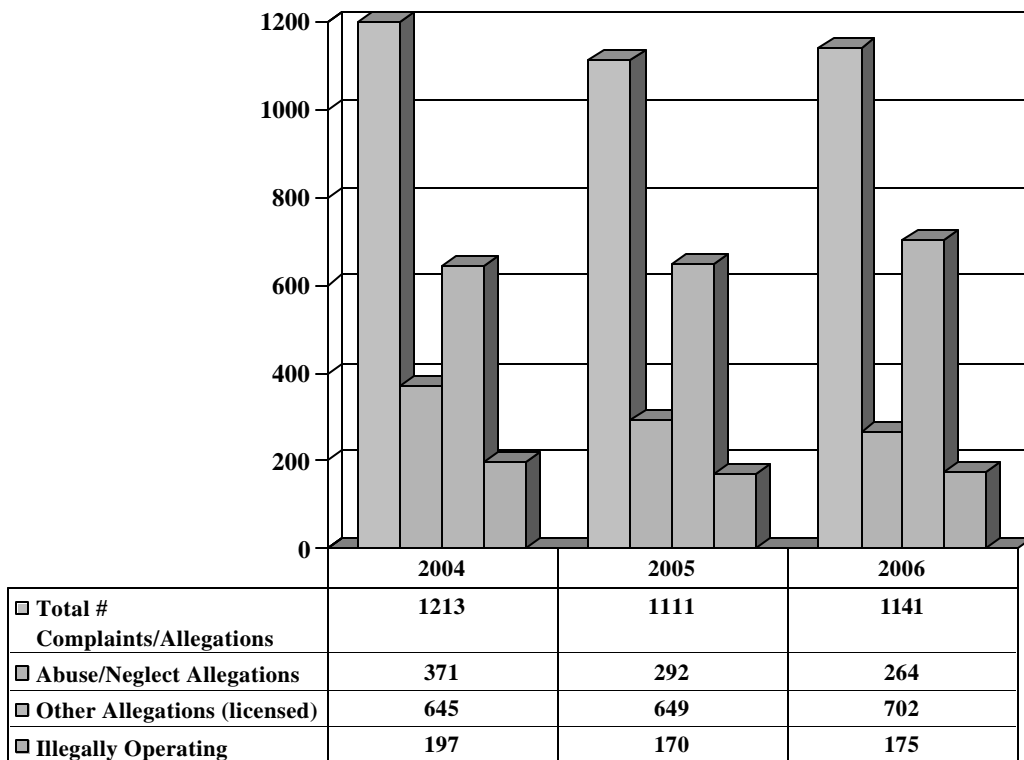


Story behind the last 3 years of performance: In 2006, DPH licensed family day care homes (2748), group day care homes (44) and child day care centers (1559). While the number of licensed facilities has declined through 2006, the licensed capacity in licensed child day care centers has increased from 91,290 including 18,029 children under three years of age in 2003, to 94,132 including 19,232 children under three years of age in 2006. According to a survey of 158 family day care homes closed in 2006 conducted by Childcare INFOLINE for 2006, the top 6 reasons that the reporting family day care homes closed were: Career Change (39%), Regulatory reasons, including summary suspensions, voluntary surrenders (16%), Retired (15%), Moved (10%), Medical Reasons (8%), and Business Not Profitable (6%). The top four reasons that child day care centers closed in 2006 (26 centers reporting) were: Business not profitable

(65%), Regulatory Reasons including summary suspensions and voluntary surrenders (23%), Retired (8%), and Moved (4%). Connecticut General Statutes, Sec. 19a-87b(a) requires the department to make unannounced visits during customary business hours, to at least thirty-three and one-third per cent of the licensed family day care homes each year. The department has consistently exceeded this requirement. It is important to note that 26 states and the District of Columbia require at least annual visits to licensed family day care homes. According to the 2005 Child Care Licensing Study, NARA, NCCIC, August 2006, increasing the number of site visits is expected to increase regulatory compliance.

Program Performance Measure 2: Number of complaints investigated.

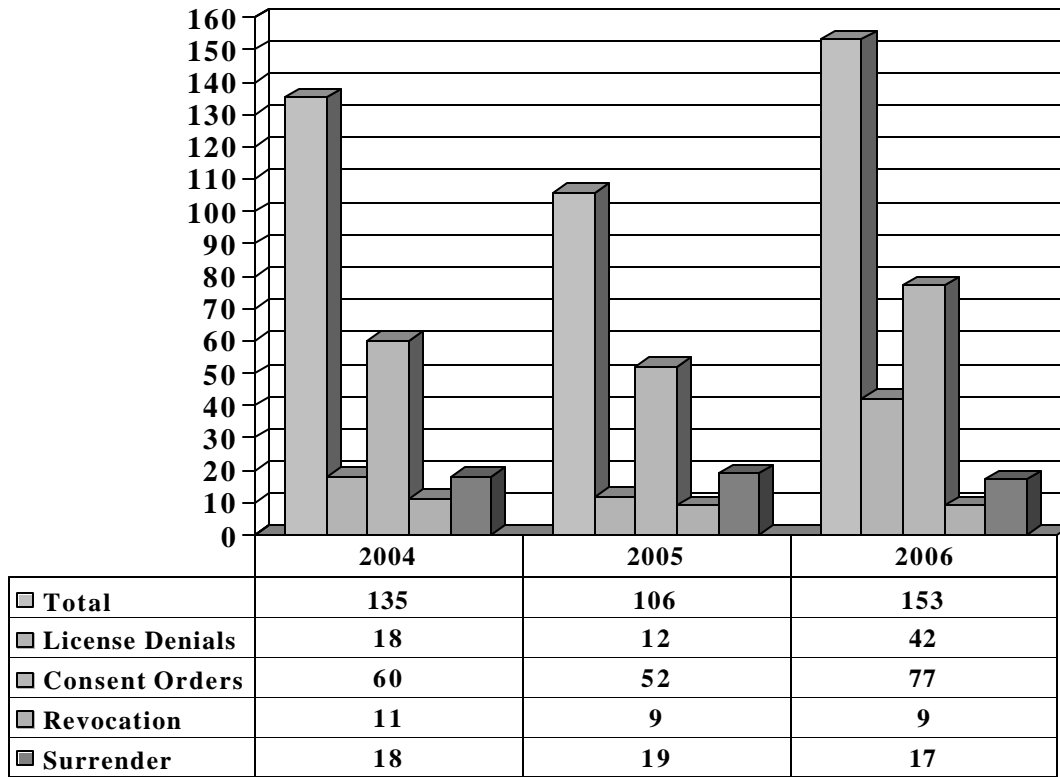
**Performance Measure 2:
Number of Complaints**



Story behind the last 3 years of performance: DPH investigates complaints and provides technical assistance on regulatory issues. Complaints have remained relatively constant over the past three years. Programs that are operating illegally without a license must cease operation or meet statutory and regulatory requirements for licensure. When a complaint investigation results in regulatory violations, the licensed program must submit an acceptable plan of correction. Programs that fail to achieve regulatory compliance are referred for enforcement action.

Program Performance Measure 3: Number of enforcement actions.

**Performance Measure 3:
Number of Enforcement Actions**



Story behind the last 3 years of performance: The number of enforcement actions has remained fairly consistent, with an increase over the past year. Programs must achieve regulatory compliance or cease operation.

Partners and Their Roles

The Child Care Licensing Program collaborates with other state agencies including the Department of Public Safety and the Department of Children and Families on conducting background check and investigations, the Department of Social Services and the Care4 Kids program on identifying providers of child care needing to be licensed and the Infant / Toddler Initiative, the Department of Education on the Child and Adult Care Food Program and the After School Council. The department is represented on the Child Day Care Council which advises the Child Day Care Licensing Program on regulatory issues and on the Early Childhood Education Cabinet.

What do you propose to do to improve performance in the next 3-5 years and why?

3. We propose to increase the time frames for license renewals from 2 to 4 years so that more staff time can be committed to field inspections and less time to reviews

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- of paperwork in the office. This will mean that the time between inspections will be significantly reduced. (no cost, low cost)
4. Finalize the update of the child day care center and group day care home regulations and begin to update the family day care home licensing regulations to be more closely aligned with nationally recognized guidelines. These activities will be accomplished with no additional funds.
 5. Increase the frequency of spot inspections to family day care homes from once every three years to annual inspections. The frequency of licensing inspections has been linked to improved regulatory compliance and is consistent with the frequency of inspections in other states. This is contingent on additional funds.
 6. Enhance data systems. This is needed to support the licensing system and generate reports. This is contingent on additional funds.

Appendix A, Data Development Agenda List priorities for new or better data on performance.

The databases supporting the Child Day Care Licensing program are antiquated, and subject to data loss and corruption. The system needs to be assessed, with the intent to upgrade and enhance the system to facilitate data manipulation to provide more accurate and informative queries and reports on demand that can be used to manage the program more efficiently, and provide data links to other programs. Currently there are no funds dedicated to this initiative. The ultimate goal is to move toward a web- based system that would provide access to inspection reports by consumers on-line. This initiative is expected to inform consumers, and motivate programs to improve program compliance and improve quality. Many states are moving in this direction.

Appendix B, Link to Budget Provide detail on proposed improvement efforts that are included in the current or proposed budget.

The estimated cost to increase the frequency of spot inspections to licensed family day care homes from once every three years to annual inspections is \$906,865. Family day care home providers have access to few support systems. Annual inspections will facilitate more timely correction of safety and health hazards that may exist, and give the department's licensing specialists the opportunity to provide on -site technical assistance on a regular basis. The National Association for the Education of Young Children, (NAEYC) as well as **Caring For Our Children, National Health and Safety Performance Standards: Guidelines for Out-of -Home Child Care**, Second Edition (Recommendations 9.017 and 9.018, p. 390), recommend annual inspections to licensed facilities. It is recognized that "initial inspection and consultation often lead to full compliance with health, safety, and program standards, but over time, compliance may slip. Supervision and monitoring of child care facilities are critical to facilitate compliance with the rules in order to prevent or correct problems before they become serious." (**Caring For Our Children** p. 390. _The majority of states require at least annual site visits to licensed family day care homes.

Appendix C, Information and Research Agenda

The Child Day Care Licensing program is a regulatory program and has not conducted research on the impact of the program on individual children's progress to be ready to learn by age 5. Licensing establishes the minimum standards that programs must meet in order to be allowed to operate by law. Our focus is on assuring that programs that are required by state statute to be licensed meet the requirements for licensure and comply with the regulations for program operation so that children who attend these programs are healthy and ready to learn. The development of licensing regulations is linked to established health and safety practices, staffing patterns and ratios, and programmatic administration and are developed in collaboration with such entities as Healthy Child Care Connecticut and the Child Day Care Council.

Two areas of research that could be useful would be a review of accident / injury reports filed by licensed child day care centers and group day care homes and a review of the impact of consent order conditions on future facility compliance, including the use of consultants. Currently, the Child Day Care Licensing program has four vacant unfunded positions: 1 Nurse Consultant, 1 Health Program Assistant 2, and two clerical positions.

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Refilling these positions is critical to the program's operation and our ability to do an assessment of program impact in these two areas.

Appendix D, Partners (Optional)

Appendix E, What Works (Optional)