Child Care Licensing Study 2014

National Association for
Regulatory Administration

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(All maps created with **mapchart.net/usa.html ©**)

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DEFINITIONS

Abbreviated Compliance Inspection: An abbreviated inspection utilizing a select set of rules to be reviewed. The use of abbreviated inspections can be a time saving technique to focus regulatory efforts on facilities that require additional inspections or technical assistance. The forms or checklists used for abbreviated inspections may include those standards considered as most critical to children's safety and well-being standards that statistically indicate compliance with the entire set of standards. They also may be used as an indicator checklist to determine when a subsequent full compliance review is required.

Background Check: A process of searching for a history of criminal charges against individuals working in child care facilities.

Building Code Inspection: An inspection of child care facilities for compliance with the state's building construction codes and laws that assure buildings are safe for occupants. This inspection is in addition to those conducted by the licensing agency.

Child Care Centers (Child Care Facilities): A provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a nonresidential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

Conditional License: A license that is typically limited in some way, such as temporary, provisional, or probational based on the child care program not meeting the minimum regulatory standards. A conditional license can be disciplinary or non-disciplinary in nature.

Consent Agreement: An agreement between parties in a court action which solves a dispute. An example of consent agreement is a document stating that one party will stop the contested actions which will, in turn, resolve the lawsuit.

Criminal History Record (CHR): A compilation of an individual's identification, arrest, conviction (law), incarceration, legal status, sex offender registration, warrant information, and other relevant criminal history. In the United States, these compilations are maintained and updated on the local, state, and Federal levels by various law enforcement agencies.

Differential Monitoring: A method for determining the frequency of monitoring based on an assessment of a facility's level of complaint history and compliance with regulations. This process can be used to determine the number of inspections needed for a particular facility and the content of inspections. Differential monitoring includes Key Indicator Systems (KIS), which identify a subset of regulations from an existing set of regulations that statistically predict compliance with the entire set of regulations.

Emergency/Immediate Closure: Also known as emergency order, summary suspension, temporary closure Conditional License: When used as an enforcement action, also known as restricted license, suspension of specific services, provisional license

Environmental Health Inspection: An inspection of child care facilities conducted by the health department, or other entity, for compliance with the state's environmental health codes and laws. This inspection is in addition to those conducted by the licensing agency.

Fire Inspection: An inspection of child care facilities conducted by the state fire marshal, or other fire safety entity, for compliance with the state's fire safety codes and laws. This inspection is in addition to those conducted by the licensing agency.

Large/Group Family Child Care (FCC) Homes: Two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

QRIS: Quality Rating and Improvement System (QRIS) is a systemic approach to assess, improve, and communicate the level of quality in early and school-age care and education programs.

Small Family Child Care (FCC) Homes: One individual who provides child care services for fewer than 24 hours per day, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.

STATE ABBREVIATIONS AND REGULATION/LICENSURE BY PROGRAM TYPE

State Abbreviation	State	Regulates Licensed Child Care Facilities	Regulates Licensed Small Family Child Care Homes	Regulates Licensed Large/Group Family Child Care Homes
Total	Nationwide	53	46	40
AK	Alaska	•	•	•
AL	Alabama	•	•	•
AR	Arkansas	•	•	
AZ	Arizona	•		•
CA	California	•	•	•
CO	Colorado	•	•	•
CT	Connecticut	•	•	•
DC	District of Columbia	•	•	•
DE	Delaware	•	•	•
FL	Florida	•	•	•
GA	Georgia	•	•	•
GU	Guam	•	•	•
HI	Hawaii	•	•	•
IA	Iowa	•	•	•
ID	Idaho	•		•
IL	Illinois	•	•	•
IN	Indiana	•		•
KS	Kansas	•	•	•
KY	Kentucky	•	•	
LA	Louisiana	•		
MA	Massachusetts	•	•	
MD	Maryland	•	•	•
ME	Maine	•	•	
MI	Michigan	•	•	•
MN	Minnesota	•	•	
MO	Missouri	•	•	•
MS	Mississippi	•	•	•
MT	Montana	•	•	•
NC	North Carolina	•	•	
ND	North Dakota	•	•	•
NE	Nebraska	•	•	•
NH	New Hampshire	•	•	•
NJ	New Jersey	•		
NM	New Mexico	•	•	•
NV	Nevada	•	•	•
NY	New York	•	•	•
OH	Ohio	•		•
OK	Oklahoma	•	•	•
OR	Oregon	•	•	•
PA	Pennsylvania	•	•	•
RI	Road Island	•	•	•
SC	South Carolina	•	•	•

State Abbreviation	State	Regulates Licensed Child Care Facilities	Regulates Licensed Small Family Child Care Homes	Regulates Licensed Large/Group Family Child Care Homes
SD	South Dakota	•		
TN	Tennessee	•	•	•
TX	Texas	•	•	•
UT	Utah	•	•	•
VA	Virginia	•	•	
VI	Virgin Islands (U.S.)	•	•	•
VT	Vermont	•	•	
WA	Washington	•	•	
WI	Wisconsin	•	•	
WV	West Virginia	•	•	•
WY	Wyoming	•	•	•

EXECUTIVE SUMMARY

Licensing is a process that establishes the requirements necessary to protect the health and safety of children in out-of-home-care. Strong licensing policies and regulations are key to help ensure the health and safety of our nation's children who spend time in out-of-home care. The potential for licensing to have a positive impact on children is very large given that there are approximately 10.4 million slots in licensed child care programs of all types in the United States. States manage the licensing process through the application and enforcement of regulations. The protections offered by well-enforced, effective regulations are critical and broad in scope and impact the millions of children and their families who relied on state licensing agencies to monitor and enforce regulatory requirements in these settings. State child care licensing regulations and monitoring and enforcement policies help provide a baseline of protection for the health and safety of children in out-of-home care.

The National Association for Regulatory Administration (NARA) is an international professional organization dedicated to promoting excellence in human care regulation and licensing through leadership, education, collaboration, and services. NARA represents all human care licensing, including child care, older adult care, child welfare, and program licensing for services related to mental illness, developmental disabilities and abuse of drugs or alcohol. NARA's researchers have been studying child care in the United States for over thirty-five years. NARA seeks to improve the overall quality of out-of-home child care by measuring the effectiveness of licensing policies and procedures and determining which regulations are best at protecting children from harm.

Since 2005, NARA has partnered with the Office of Child Care's National Center on Early Childhood Quality Assurance (formerly Child Care Quality Improvement) to produce reports based on the Child Care Licensing Study. What follows are the results of the *2014 Child Care Licensing Study* which looks at several critical areas of childcare licensing and regulation. Results are provided both in broad comparison to the previous licensing study conducted in 2011, and in detail for the 2014 reporting year.

LICENSED PROGRAMS, CAPACITY, AND ENROLLMENT

According to the U.S. Census Bureau, between 2011 and 2014 the number of children of child care age (0 to 12) in the United States declined by almost 300,000 children, from approximately 52.94 million in 2011 to approximately 52.65 million in 2014. During the same time period, the number of licensed child care programs in the U.S. centers and family homes also dropped by nearly 11 percent (Fischer & Orlowski, 2015). The decrease in the number of programs continued a downward trend in the overall number of programs since at least 2005 (NARA, 2005). The decrease in the number of child care homes was the most significant, with the total number of programs declining 15 percent. Total licensed capacity decreased by approximately two percent between 2011 and 2014 (Fischer & Orlowski, 2015).

LICENSING STAFF

Child care licensing line staff often have multiple roles and are rarely limited to inspecting just one type of facility or just child care programs. In 2014, as in 2011, the majority of states reported that licensing staff were responsible for both centers and FCC homes. There was a decrease the number of states with staff dedicated to specific assignments, but the number of states reporting variability by county or areas of the state appears to have increased between 2011 and 2014.

	2011	2014
Assigned to inspect ONLY child care centers.	27%	21%
Assigned to inspect ONLY FCC homes.	25%	19%
Assigned to inspect BOTH center and FCC homes.	73%	65%
Assigned to inspect child care facilities and other human service programs for children.	19%	15%
Assigned to inspect child care facilities and other human service programs for children and/or adults.	8%	6%
Assignments vary by county or area of the state.	31%	40%

Overall caseloads declined, with ratio of line staff to facilities of 1 to 136 in 2011 dropping to 1 to 100 in 2014. In 2011, the average number of staff per supervisor was seven, which decreased to approximately 6 staff per supervisor in 2014.

LICENSING INSPECTIONS

There appears to have been an increase in the percentage of states conducting inspections prior to licensure and for those states that reported license renewals were required, there was an increase in the percentage of states that required inspections prior to renewal and an increase in the number of unannounced inspections for FCC homes. There was little other change in licensing inspections between 2011 and 2014 though there appears to be more variability in overall inspection frequency and more frequent full compliance inspections for family FCC homes.

ABBREVIATED INSPECTIONS

Of the states responding on both 2011 and 2014 (N=49), there was a 12% increase in the number of states reporting the use of abbreviated inspections. About one-third of that increase came during initial licensing inspections and there was no change in the number of states reporting the use of abbreviated inspections for routine compliance. The biggest change in 2014 was in the "Other" category (a category not included in 2011).

	2011	2014
Yes	57%	69%
No	43%	31%
Initial licensing inspections	2%	6%
Routine compliance inspections	49%	49%
License renewal inspections	8%	6%
Other	N/A	31%

In both 2011 and 2014 the standards for conducting an abbreviated inspection were based on a selection of requirements determined to be most critical. Of the 50 states common between both survey years, there were three fewer states in 2014 reporting that they had a policy on when to switch from an abbreviated to full compliance inspection for any facility type.

	2011	2014
"Key indicator system"	3	8
Selection of rules based the most critical	24	28
Assigned weights based on risk	3	18
Other	N/A	6

RISK ASSESSMENT

A total of 28 states reported that they have identified licensing program requirements that pose the greatest risk of harm to children if violated while 25 states either had not identified those requirements or did not respond to the survey question. Of the states that reported those requirements had been identified, 7 (25%) states indicated that all requirements were given a risk level/weight. One of those states also said they had identified categories of requirements that were high risk. A total of 10 (36%) states indicated that only the highest risk requirements were identified. 39% of the states indicated that they had identified categories identified as high risk (one of whom also reported risk requirements were all given a risk level/weight while two of those same states also reported only the highest risk requirements were identified). Two states that reported not having risk assessment processes noted that they currently had processes in development.

A total of 21 states who reported using risk assessment responded to how risk assessment was used. The uses were pretty evenly distributed among the reporting states with violations of high-risk requirements determine the frequency of licensing inspections or additional follow-up visits being the most frequent, reported by 86% of respondents. Just over 65% of respondents reported using risk assessment for multiple purposes. Those reporting "Other" generally used risk assessment to determine the level or frequency of monitoring or inspections.

Of the 37 states conducting risk assessment, 21 responded to this follow-up question. A majority of these states (95%) reported that selection of risk levels and categorization was done through an internal process with consensus of licensing agency staff and other experts. More than 71% reported using research and resources to assist in setting risk levels. Almost 29% worked with external consultants.

COMPLIANCE, DIFFERENTIAL MONITORING, AND TECHNICAL ASSISTANCE

Approximately 43% of states reported defining compliance within their licensing requirements. A total of 23 states reported on the use of compliance monitoring. Of those states using some definition of compliance, most (87%) reported that compliance was used to determine enforcement actions and nearly half (48%) said compliance was used to inform parents of the provider's status or determine the eligibility for participation in quality initiatives. A total of 61% of the states use the definition of compliance to determine the frequency of inspections while 57% use it to determine eligibility for participation in QRIS or meeting a QRIS standard.

There was a significant decrease in the percentage of states reporting the use of differential monitoring between 2011 and 2014. In 2011, a total of 26 out of 50 states reported using differential monitoring for at least one facility type. In 2014, only 14 of the 50 states responding in both years reported its use.

In both 2011 and 2014, almost all responding states reported providing technical assistance to licensees. In both years, in states where licensors provided assistance, the technical assistance was provided to achieve compliance with regulations while more than two-thirds of states provided assistance to improve quality. Almost all states provided technical assistance during the application inspection visit, or by telephone. Every state in both years reported making referrals to other agencies or organizations for at least one facility type.

TECHNOLOGY AND DATA

Of the states that responded to the use of a database question in both 2011 and 2014 (N=49), all states reported having and electronic licensing database. In 2014, states were much less likely to use the database for determining differential monitoring levels, evaluating workloads, or assessing enforcement actions. There was also a decline in the use of the database for email purposes.

	Manage caseloads	Evaluate workload needs	Supervisory oversight	Determine differential monitoring levels	Assess potential enforcement actions	Analyze compliance data	Guide revisions	Identify TA-training needs	Determine individual staff performance	Generate email messages	Provide mailing lists
2011	44	38	44	22	33	38	24	27	33	22	41
2014	44	31	46	13	28	40	25	27	34	19	39
Difference	**0%**	**-18%**	**5%**	**-41%**	**-15%**	**5%**	**4%**	**0%**	**3%**	**-14%**	**-5%**

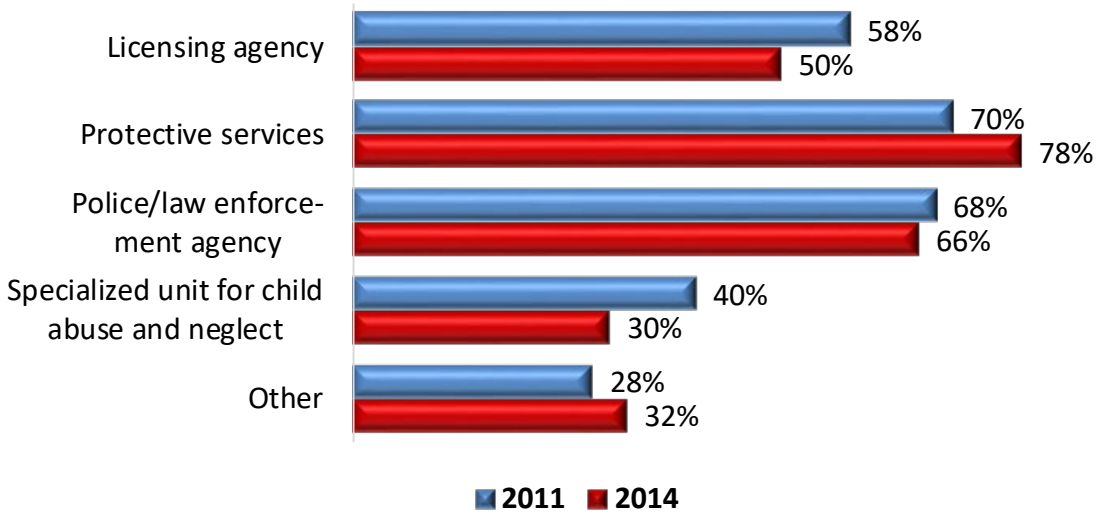
Linkages between state licensing databases and other state databases remained largely the same between 2011 and 2014. There was a slight decrease reported in the number of states with linkages to the child care subsidy system, child protective services and food programs. There was a slight increase in the number of states reporting linkages to child care resource and referral databases, professional development registries, and QRIS/quality systems. The number of "Other" linkages nearly tripled between 2011 and 2014.

The number of states using portable devices for inspections of any program type appears to have grown slightly between 2011 and 2014 for both centers and family FCC homes. There was little change in the number of states considering the use of portable devices.

COMPLAINTS

When a licensing agency conducts complaint investigations, there was little change between 2011 and 2014 in who conducted the investigation. The responsibility usually fell to the same staff who conduct initial/routine compliance inspections. However, there was an increase between 2011 and 2014 in the number of states reporting that a separate agency or some other entity conducted the investigations.

Between 2011 and 2014 the responsibility for child abuse and neglect complaint investigations moved from the licensing agency to protective services. There was a slight decrease in the percentage of states reporting that police or law enforcement were involved in complaints but a 10% drop in the number of states reporting the use of a specialized unit for child abuse and neglect.



ENFORCEMENT ACTIONS

There was an apparent increase in every type of enforcement action available for every facility type between 2011 and 2014. The largest increase was in the number of states reporting emergency closure of a facility for both centers and large/group FCC homes with denial of license and conditional licensure as the next most common options. The largest increase for family FCC homes was in conditional licensure, followed closely by immediate closure.

There was a net increase of two states reporting that subsidy payments were suspended by enforcement actions. The same number of states reported that the subsidy payment was affected when the enforcement action took effect, while there was a slight decrease in the number of states reporting that subsidies were affected when the enforcement action was not appealed or was upheld. An additional five states reported in 2014 that the suspension of the subsidy payment varied by the type of enforcement action.

A total of 43 states reported in both 2011 and 2014 on how the subsidy agency was notified of licensing enforcement actions taken against a facility. There was an increase of 9% of states reporting that an electronic notice was automatically generated and a 14% increase the number of states reporting that [personal contact is made between the licensing and subsidy agency. There was a 12% decrease in the number of states reporting linkages between licensing and subsidy databases.

SHARING LICENSING INFORMATION

Between 2011 and 2104 there was a net increase of five states that made either a full inspection report or summary report available online. In 2011, eight states did not have reports available online, and 13 states did not have an online report but were planning to make one available. By 2014 seven states did not have the reports online and 10 were planning to add them in the future.

Between 2011 and 2014, of the 51 states included in both years and that also reported posting licensing information online, three additional states posted all complaints and one additional state posted substantiated complaints online.

Questions regarding whether internet reports include enforcement actions taken against a program, whether child care providers were given the opportunity to review reports before they are posted to the Web site, and whether the state provided the public any guidance on understanding or interpreting licensing inspection reports were not asked in 2011.

ILLEGALLY OPERATING PROVIDERS

Every state said they respond to complaints received from the public when trying to address illegally operating providers. Almost half (49%) work with local law enforcement, while 38% use public information/education campaigns to help inform the public. Less than 20% of states monitor provider listings for illegally operating providers. Other methods included working with various partner agencies such as protective services, the fire marshal or subsidy agency.

When a provider is found to be operating illegally, more than 96% of states encourage the provider to become licensed, while in nearly 85% of the cases an injunction or cease and desist order may be issued. In 79% of the instances, law enforcement may be contacted while just over 60% of the time an illegally operating provider may face civil penalties, monetary fines, or misdemeanor charges. In just over 9% of states felony charges may be filed.

Approximately 70% of states report that they kept data on investigations of illegally operating providers.

LICENSING FEES

There was a net gain of three states charging licensing fees to centers between 2011 and 2014, and a net gain of one for family FCC homes. There was a net loss of one state collecting fees for large/group FCC homes in 2014.

In both 2011 and 2014 the fees for centers were predominantly based on maximum capacity, including a small shift in that direction in 2014. Fees for FCC homes were more often based on a flat fee. There was a net gain of two states reporting that licensing fees went into the General Revenue fund, and a net decrease of one state reporting that licensing fees were used solely to fund the licensing agency.

LICENSING STAFF REQUIREMENTS

Education and Training

For the states responding to the survey in both 2011 and 2014 (N=50), a bachelor's degree was the most common education requirement for licensing staff. There was a decrease in the number of states in 2014 that required a bachelor's degree, with 76% of states requiring that level of degree in 2011 while only 64% of states required it in 2014. The numbers of states reporting other requirements remained small between the two years though the number of states reporting some other combination of degree and experience almost doubled in 2014 over those reported in 2011.

For states responding to the survey in both 2011 and 2014 (N=34), there was an increase from 44% in 2011 to 65% in 2014 of states requiring a degree or courses in early childhood education, child development, or a field related to the care and education of children There was a net change of one less state requiring experience in a child care setting, and a net increase of one state requiring annual training for licensing staff. Only 20 states completed the survey in both years regarding the content of the annual training. In those states, there was a decrease across the board in the number of states requiring specific types of training as well, with the exception of a net increase of three states requiring cultural competency and/or provider-licensor relationship / communication. States were not asked about training sources in 2011.

Revenue Sources for Staff Support

The number of states reporting revenues sources in both 2011 and 2014 was 48. Of those states, there was a net gain between 2011 and 2014 of two states reporting the CCDF as a source of revenue and a net decrease of one state reporting general state funds as a source. There was a net decrease of four states (8% of states reporting) that reported social services block grants were a funding source. While one additional state reported licensing fees as a source in 2014, there were three fewer states reporting other funding sources.

Inter-rater Reliability and Interpretive Guidelines

The number of states that have incorporated "inter-rater reliability" training or evaluation for licensing staff saw a net decrease from six in 2011 to three in 2014 and an additional two states reported that they have developed interpretive guidelines for the licensing regulations. The number of states reporting that the licensing agency has policies for disaster and emergency response for licensing staff to follow increased from 65% to 71% percent. Note that these reflect a net gain in the number of states as not all of the states that reported "Yes" to this question in 2011 responded affirmatively in 20147.

Communicating with Providers and the Public

Well over 90% of states (N=47) reported using websites, emails, printed materials, and face-to-face meetings in both 2011 and 2014. There was generally between a 2% and 4% drop in the number of states reporting the use of various methods between 2011 and 2014 with the exception of a 13% drop in the use of mass print mailings and a 2% increase in the use of social media. A total of 98% of states reported using websites as a means of making the public aware of the role of licensing in both 2011 and 2014. There was a 4% increase in the use of social media but every other means of communicating with the public declined sharply between 2011 and 2014.

QUALITY IMPROVEMENT INITIATIVES

There was a net gain of two states that reported being involved in a tiered quality strategy in 2014. There was a net decrease in the number of states involved in the other three initiatives overall though there was a reported 6% increase in the number of states leading an initiative for assessing quality with an environment rating scale and an 8% increase in the number of states that reported a professional development system initiative in the same agency.

Summary of Initiative Participation	Leads the initiative	Initiative within same agency	Participates in planning	Not involved	No current initiative
Tiered quality strategy	8	18	18	6	3
Accreditation facilitation project	3	8	9	14	13
Professional development system	4	15	26	5	1
Assessing quality with an environment rating scale	7	14	9	12	7

RULE AND REGULATION RESOURCES

More than 98% of states reported using Caring for Our Children: Health and Safety Standards when formulating rules and regulations while 83% of states use Stepping Stones to Using Caring for our Children and the same percentage use other state's regulations. Almost 70% of states use other research reports and studies while 68% of states reported using the NARA/NCCCQI Child Care Licensing Study.

FIRE SAFETY, ENVIRONMENTAL HEALTH, AND BUILDING CODE INSPECTIONS

Every state required a fire inspection for child care centers in both 2011 and 2014. There appears to be a small increase in the frequency of fire inspections for family FCC homes and a small decrease in the frequency for centers and large/group FCC homes. There was an 8% increase in the number of states requiring annual environmental health inspections for centers in 2014, corresponding with a net 6% decrease in other frequencies. There was an overall 5% increase in the number of states reporting environmental health inspections for small FCC homes, but the frequency varied. More states appear to have moved to biannual environmental health inspections for large/group FCC homes. Building code inspections were not addressed in the 2011 survey.

BACKGROUND CHECKS

Criminal history checks were nearly universal for all facility types by 2014. In 2011, 96% of states responding (N=49) reported that centers required criminal history checks, which was up to 100% in 2014. The requirements for fingerprint checks, Child Abuse & Neglect Registry checks, and Sex Offender Registry checks appear to have been up for all facility types in 2014, but a limited response and lack of distinction in 2011 between which states actually rate which facility types makes that a qualified assumption.

2011	Centers	Small FCC Homes	Large/Group FCC Homes	N
Criminal history check required	47	40	38	49
Fingerprint check required	33	26	27	40
CAN required	44	41	37	44
SOR required	24	23	21	26

2014	Centers	Small FCC Homes	Large/Group FCC Homes	N
Criminal history check required	49	44	37	49
Fingerprint check required	40	32	32	48
CAN required	47	42	35	50
SOR required	36	31	27	50

The number of states requiring staff to sign a statement about criminal status appeared to decrease for all facility types. A total of 40 states required a statement in 2011, down to 38 in 2014. For FCC homes, the number of states requiring statements for small FCC homes fell from 34 to 33 states, while the total fell from 34 to 30 in large/group FCC homes.

The number of states requiring a background check for staff prior to employment appears to have increased slightly. Such checks were nearly universal for all facility types by 2014. The frequency of subsequent checks also appears to have increased with more states reporting in 2014 that background checks were conducted at least every five years, with a small increase in the number of states reporting other frequencies.

In both 2011 and 2014, approximately 60% of states reported that a new background check was conducted for staff working in centers and approximately 50% reported new checks were required for FCC homes in 2011, compared to approximately 60% in 2014. There was a slight increase in the number of states reporting the background checks were portable between jobs and the number of states reporting some other policy nearly doubled between 2011 and 2014. An additional six states reported in 2014 that there was an automatic notification system in place to notify the licensing agency when an individual's criminal record changed.

Finally, in 2014, seven states reported that the state paid for background screening, down from 11 states in 2011. There was an increase of four states reporting that the facility would pay for background checks. The number of states reporting that the individual paid dropped from 22 states in 2011 to 12 in 2014 while the number of states reporting some other arrangement nearly doubled from 14 in 2011 to 26 in 2014.

Effective, robust licensing prevents harm to children. It mitigates the risk of injury or death from fire, building hazards, disease, and inadequate staff oversight, and helps to prevent the developmental delays that can result from the lack of healthy relationships with adults or developmentally inappropriate activities. There is still much research needed in order to determine which licensing policies and procedures are the most effective and which regulations are best at protecting children from harm. The data in this study will help inform the regulatory and early and school-age care and education field and hopefully spark researchers' interest in pursuing further analyses.

Note: Each of the major sections contains a Summary which includes a comparison between 2011 and 2014 license survey results. Since all data were not available for 2011, where necessary, the inter-year comparisons will be based on the 2011 NARA Child Care Licensing Study as well as published ECQA presentations, trend analyses, and findings. While this does not allow for a direct one-to-one comparison between the years for all areas of the survey, it should be sufficient for a discussion of the broad trends in licensing between the study years. Unless specific and concrete differences are noted, results will be couched in terms of "apparent" changes. While not ideal, these highlighted differences could direct future research for confirmation of trends, greater depth of understanding, and identification of specific policies underlying changes.

Each sub-section within a major section looks at results from only the 2014 survey. Fifty states plus the District of Columbia and two territories (Guam and the U.S. Virgin Islands) responded to the 2014 survey for a total of 53 "states". The results for all 53 states are included in each sub-section where applicable.

LICENSED PROGRAMS, CAPACITY, AND ENROLLMENT

Summary:
According to the U.S. Census Bureau, between 2011 and 2014 the number of children of child care age (0 to 12) in the United States declined by almost 300,000 children, from approximately 52.94 million in 2011 to approximately 52.65 million in 2014. During the same time period, the number of licensed child care programs in the U.S. centers and family homes also dropped by nearly 11 percent (Fischer & Orlowski, 2015). The decrease in the number of programs continued a downward trend in the overall number of programs since at least 2005 (NARA, 2005). The decrease in the number of child care homes was the most significant, with the total number of programs declining 15 percent. Total licensed capacity decreased by approximately two percent between 2011 and 2014 (Fischer & Orlowski, 2015).

Licensed Facilities

Question: What was the TOTAL NUMBER of licensed child care facilities on July 1, 2014 (or most current count)?

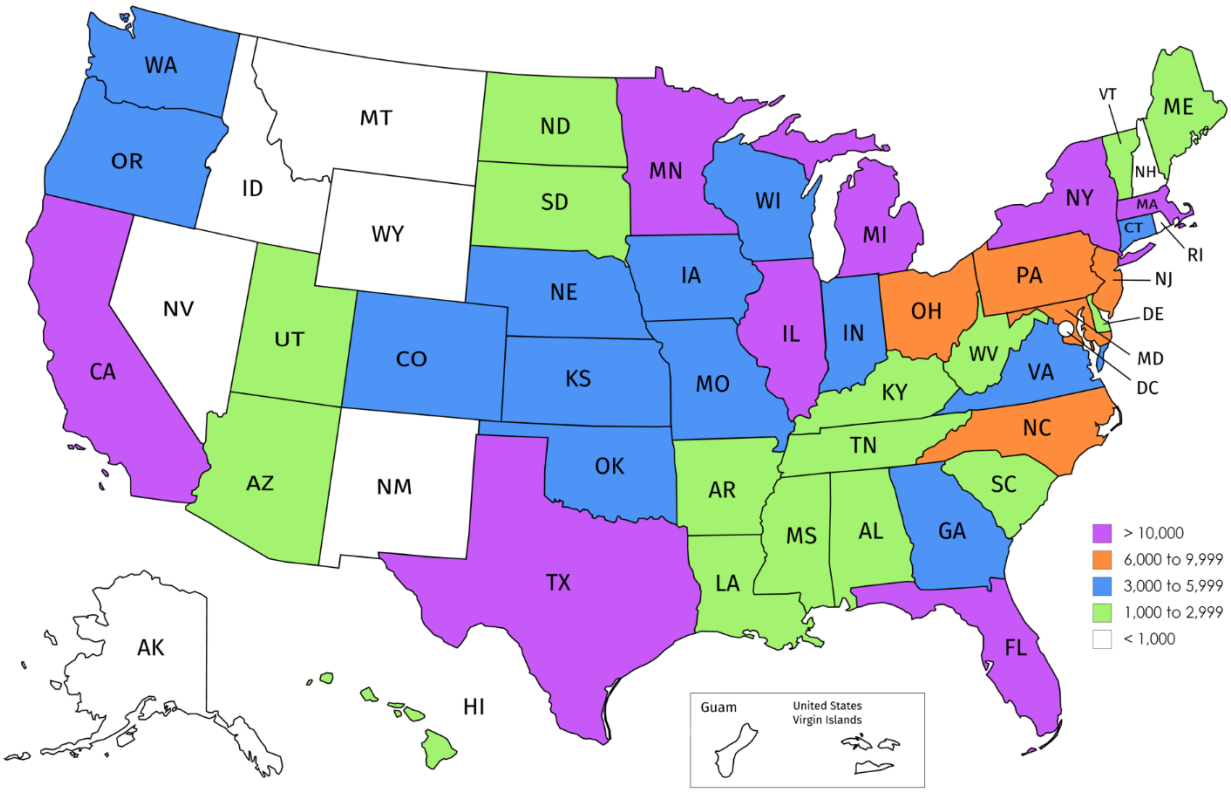
Analysis:
The types of child care programs listed as "Other" include:

- Part-day programs
- Registered Faith-based programs
- FCC homes that are licensed to be in the Subsidy program
- Small employer based child care centers and temporary shelter centers.
- Before/After School Programs or School Age Programs
- Accommodation Facilities (child care at a non-child care business)
- Institutional care
- Residential homes which provide services for 24hours
- voluntarily licensed family child care homes that meet higher standards than registered homes
- Day Camps
- Head Start and Out of School programs that are licensed.

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total number of all Licensed Child Care Programs
Total	**110,309**	**115,628**	**38,823**	**14,696**	**279,456**
AK	221	260	76	0	557
AL	1,019	662	266	0	1,947
AR	1,948	449	0	29	2,426
AZ	2,143	0	313	0	2,456
CA	14,680	21,132	11,012	0	46,824

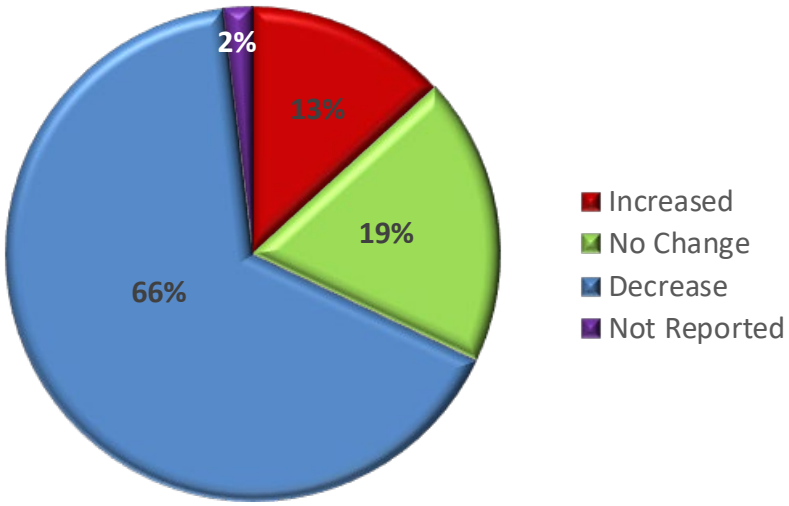
State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total number of all Licensed Child Care Programs
CO	2,076	2,386	301	1,129	5,892
CT	1,445	2,421	28	0	3,894
DC	356	127	2	0	485
DE	444	746	76	45	1,311
FL	6,819	2,796	443	1	10,059
GA	2,837	2,237	224	0	5,298
GU	40	2	2	0	44
HI	1,047	461	8	578	2,094
IA	1,301	1,093	2,421	0	4,815
ID	379	0	274	62	715
IL	3,162	8,248	758	0	12,168
IN	590	0	2,783	0	3,373
KS	1,255	3,532	1,194	0	5,981
KY	2,039	414	0	182	2,635
LA	1,631	0	0	0	1,631
MA	2,844	6,832	0	482	10,158
MD	2,719	6,966	59	0	9,744
ME	706	1,108	0	59	1,873
MI	4,426	3,857	1,954	0	10,237
MN	1,633	9,796	0	0	11,429
MO	1,957	1,195	150	0	3,302
MS	1,531	18	31	0	1,580
MT	249	314	417	0	980
NC	4,763	2,407	0	0	7,170
ND	326	341	726	61	1,454
NE	720	1,873	652	436	3,681
NH	710	100	98	27	935
NJ	3,977	0	0	2,163	6,140
NM	715	105	145	0	965
NV	299	130	20	37	486
NY	4,195	5,451	8,461	2,754	20,861
OH	4,122	0	240	3,745	8,107
OK	1,621	1,305	772	0	3,698
OR	1,117	2,559	668	0	4,344
PA	4,675	2,696	805	0	8,176
RI	420	549	15	0	984
SC	1,356	12	130	1,477	2,975
SD	265	0	0	886	1,151
TN	1,821	424	414	0	2,659
TX	9,559	10,834	1,774	12	22,179
UT	312	114	771	0	1,197
VA	2,468	1,323	0	0	3,791
VI	123	1	82	7	213
VT	668	857		16	1,541
WA	1,487	3,890	0	430	5,807
WI	2,323	1,983	0	78	4,384
WV	503	1,312	104	0	1,919
WY	267	310	154	0	731

Map 1 Total Number of Child Care Programs



Question: Have the numbers of facilities increased or decreased in recent years? If so, to what would you attribute this change?

Analysis: The majority of states reported an overall decrease in the number of facilities in recent years though many states that reported an increase in the total number of child care facilities, also reported decreases in family child care homes. The primary reason given for a decrease was the economic downturn, but many states reported a decrease in small FCC homes due to increased regulations, particularly new requirements for participation in the subsidy program.



Licensed Capacity

Question: What was the total LICENSED CAPACITY (number of slots) for each type of child care facility on July 1, 2014 (or most current count)?

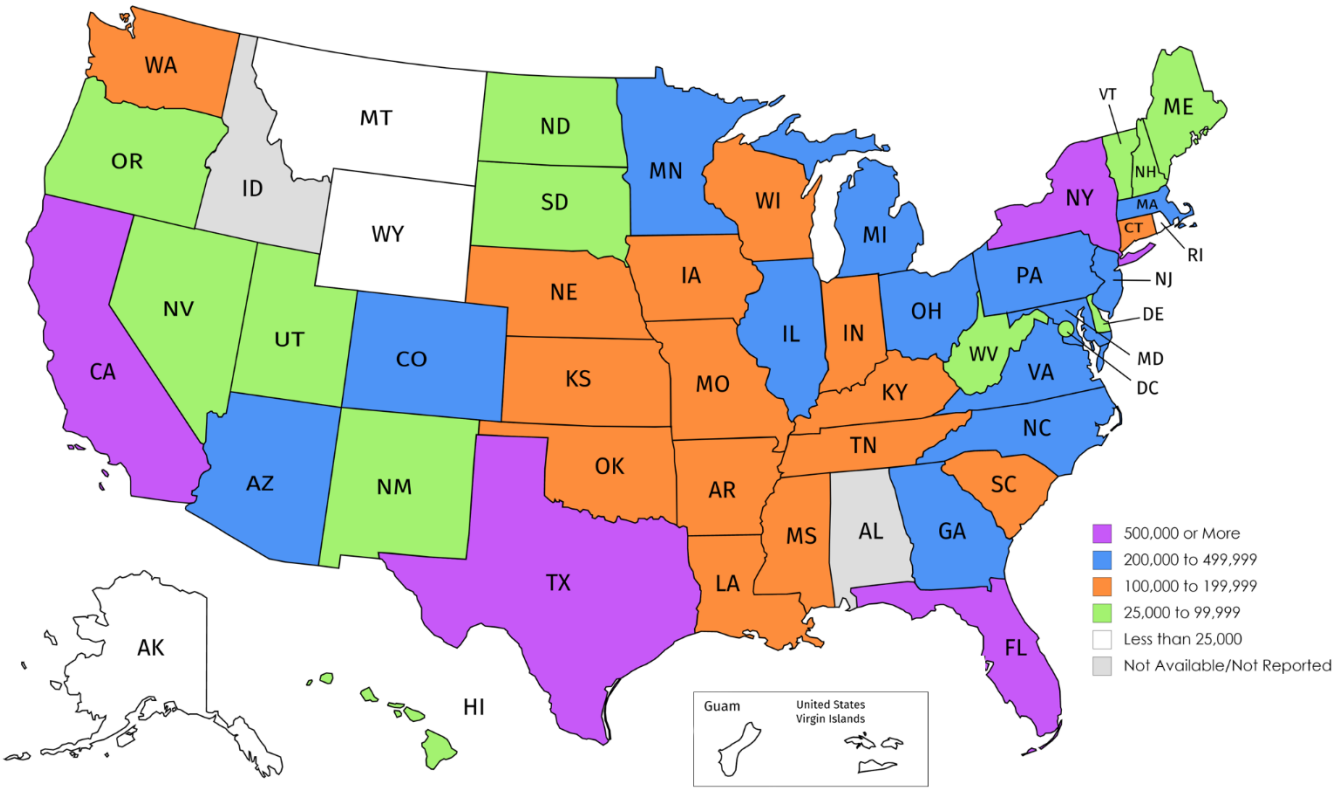
Analysis: For the states and territories reporting (n=51), there were almost 10.4 million slots in licensed child care programs of all types. Nationally this equates to just over 197 licensed slots per 1000 children ages 0 to 12 (US Census Bureau, 2014). The smallest number of licensed slots per 1000 children ages 0 to 12 was in the two territories which both reported less than 50 slots per 1000 children. Utah reported just over 57 slots per 1000 children, making it the state with the lowest number of licensed slots per 1000 children. Vermont reported almost 420 slots per 1000 children ages 0 to 12, making it the state with the most slots per 1000 children. In all, 27 states reported more than 200 slots per 1000 children age 0-12. The program types with the most slots were child care centers in all but two states. In Minnesota, the largest numbers of slots were in small FCC homes while in South Dakota, the largest number of slots were in the Other category.

The number of programs taken in conjunction with capacity gives an overall idea of the relative size of child care programs in a given state. For example, Illinois was among the states with the largest number of child care programs. Florida, while still having a large number of programs ranked below Illinois in overall program count. When looking at capacity however, Florida had more than twice the total capacity of Illinois. This suggests that Illinois, while having more child care programs overall, tends to have smaller capacity per program, while Florida tends to have, on average, programs that provide a much larger capacity (larger programs).

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total capcity of all Licensed Child Care Programs
Total	**8,362,036**	**952,709**	**531,257**	**550,835**	**10,396,837**
AK	14,498	1,913	896	N/A	17,307
AL	N/A	N/A	N/A	N/A	N/A
AR	171,374	5,408	N/A	155	176,937
AZ	227,594	N/A	3,040	N/A	230,634
CA	762,717	158,004	167,794	N/A	1,088,515
CO	133,442	15,255	3,328	100,370	252,395
CT	97,719	21,383	317	N/A	119,419
DC	25,025	694	24	N/A	25,743
DE	43,343	6,339	910	369	50,961
FL	706,926	27,960	5,316	15	740,217
GA	335,898	13,419	3,482	N/A	352,799
GU	275	6	12	N/A	293
HI	30,435	2,653	92	N/A	33,180
IA	94,147	8,744	29,212	N/A	132,103
ID	N/A	N/A	N/A	N/A	N/A
IL	244,865	75,085	10,377	N/A	330,327
IN	64,895	N/A	35,476	N/A	100,371
KS	88,790	35,270	14,307	N/A	138,367
KY	169,486	2,322	N/A	N/A	171,808
LA	126,434	N/A	N/A	N/A	126,434
MA	171,255	51,357	N/A	6,754	229,366
MD	166,136	52,617	639	N/A	219,392
ME	31,357	11,869	N/A	994	44,220
MI	301,527	22,974	23,380	N/A	347,881
MN	112,281	115,390	N/A	N/A	227,671
MO	132,036	11,846	2,950	N/A	146,832
MS	127,708	201	1,180	N/A	129,089

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total capcity of all Licensed Child Care Programs
MT	12,209	2,272	5,989	N/A	20,470
NC	376,694	18,239	N/A	N/A	394,933
ND	19,577	2,957	10,073	1,364	33,971
NE	58,841	18,490	7,698	30,682	115,711
NH	42,794	851	1,409	752	45,806
NJ	346,128	N/A	N/A	10,815	356,943
NM	51,177	623	1,725	N/A	53,525
NV	30,747	780	240	2,870	34,637
NY	291,247	41,774	127,837	285,671	746,529
OH	323,789	N/A	2,915	20,739	347,443
OK	111,331	9,117	9,216	N/A	129,664
OR	64,139	25,260	9,691	N/A	99,090
PA	329,849	16,200	9,660	N/A	355,709
RI	18,600	4,000	180	N/A	22,780
SC	142,198	80	1,524	37,046	180,848
SD	12,307	N/A	N/A	24,701	37,008
TN	156,363	2,905	5,438	N/A	164,706
TX	996,330	77,297	21,282	429	1,095,338
UT	27,620	911	9,489	N/A	38,020
VA	247,489	14,042	N/A	N/A	261,531
VI	3,999	5	752	67	4,823
VT	26,456	8,570	N/A	185	35,211
WA	103,380	38,393	N/A	20,033	161,806
WI	145,170	18,511	N/A	6,824	170,505
WV	28,158	7,872	1,248	N/A	37,278
WY	15,281	2,851	2,159	N/A	20,291
AK	14,498	1,913	896	N/A	17,307

Map 2 Total Licensed Child Care Capacity



Enrollment

Question: If your state collects and aggregates "actual enrollment" data for facilities (e.g. from resource and referral agencies or other sources) please include the most current data available on July 1, 2014 (or most current count)

Analysis: Only 7 states reported actual enrollment data for licensed child care programs in their state. Six of the seven states reported total licensed enrollment below capacity, while one state reported enrollment far in excess of capacity. Using a weighted average (weighted by total capacity slots), and excluding the state with enrollment in excess of capacity, programs were, on average, at approximately 75% of capacity for centers and small FCC homes and just over 79% for large/group FCC homes. The lack of responses may indicate that most states do not currently track this or have a way of reporting this information

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total number for all Licensed Child Care Programs
Total	**1,326,234**	**111,454**	**17,744**	**25,419**	**1,480,851**
AK	N/A	N/A	N/A	N/A	N/A
AL	N/A	N/A	N/A	N/A	N/A
AR	N/A	N/A	N/A	N/A	N/A
AZ	N/A	N/A	N/A	N/A	N/A
CA	N/A	N/A	N/A	N/A	N/A
CO	N/A	N/A	N/A	N/A	N/A
CT	N/A	N/A	N/A	N/A	N/A
DC	N/A	N/A	N/A	N/A	N/A

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total number for all Licensed Child Care Programs
DE	N/A	N/A	N/A	N/A	N/A
FL	N/A	N/A	N/A	N/A	N/A
GA	N/A	N/A	N/A	N/A	N/A
GU	N/A	N/A	N/A	N/A	N/A
HI	27,446	1,947	80	25,419	54,892
IA	78,975	N/A	N/A	N/A	78,975
ID	N/A	N/A	N/A	N/A	N/A
IL	205,917	56,475	8,393	N/A	270,785
IN	N/A	N/A	N/A	N/A	N/A
KS	N/A	N/A	N/A	N/A	N/A
KY	N/A	N/A	N/A	N/A	N/A
LA	N/A	N/A	N/A	N/A	N/A
MA	N/A	N/A	N/A	N/A	N/A
MD	138,724	38,148	463	N/A	177,335
ME	N/A	N/A	N/A	N/A	N/A
MI	N/A	N/A	N/A	N/A	N/A
MN	N/A	N/A	N/A	N/A	N/A
MO	N/A	N/A	N/A	N/A	N/A
MS	88,908	141	800	N/A	89,849
MT	N/A	N/A	N/A	N/A	N/A
NC	234,911	14,743	N/A	N/A	249,654
ND	N/A	N/A	N/A	N/A	N/A
NE	N/A	N/A	N/A	N/A	N/A
NH	N/A	N/A	N/A	N/A	N/A
NJ	N/A	N/A	N/A	N/A	N/A
NM	N/A	N/A	N/A	N/A	N/A
NV	N/A	N/A	N/A	N/A	N/A
NY	N/A	N/A	N/A	N/A	N/A
OH	551,353	N/A	8,008	N/A	559,361
OK	N/A	N/A	N/A	N/A	N/A
OR	N/A	N/A	N/A	N/A	N/A
PA	N/A	N/A	N/A	N/A	N/A
RI	N/A	N/A	N/A	N/A	N/A
SC	N/A	N/A	N/A	N/A	N/A
SD	N/A	N/A	N/A	N/A	N/A
TN	N/A	N/A	N/A	N/A	N/A
TX	N/A	N/A	N/A	N/A	N/A
UT	N/A	N/A	N/A	N/A	N/A
VA	N/A	N/A	N/A	N/A	N/A
VI	N/A	N/A	N/A	N/A	N/A
VT	N/A	N/A	N/A	N/A	N/A
WA	N/A	N/A	N/A	N/A	N/A
WI	N/A	N/A	N/A	N/A	N/A
WV	N/A	N/A	N/A	N/A	N/A
WY	N/A	N/A	N/A	N/A	N/A

LICENSING STAFF

Summary:
Child care licensing line staff often have multiple roles and are rarely limited to inspecting just one type of facility or just child care programs. In 2014, as in 2011, the majority of states reported that licensing staff were responsible for both centers and FCC homes. There was a decrease in the number of states with staff dedicated to specific assignments, but the number of states reporting variability by county or areas of the state appears to have increased between 2011 and 2014.

	2011	2014
Assigned to inspect ONLY child care centers.	27%	21%
Assigned to inspect ONLY FCC homes.	25%	19%
Assigned to inspect BOTH center and FCC homes.	73%	65%
Assigned to inspect child care facilities and other human service programs for children.	19%	15%
Assigned to inspect child care facilities and other human service programs for children and/or adults.	8%	6%
Assignments vary by county or area of the state.	31%	40%

Overall caseloads declined, with ratio of line staff to facilities of 1 to 136 in 2011 dropping to 1 to 100 in 2014. In 2011, the average number of staff per supervisor was seven, which decreased to approximately 6 staff per supervisor in 2014.

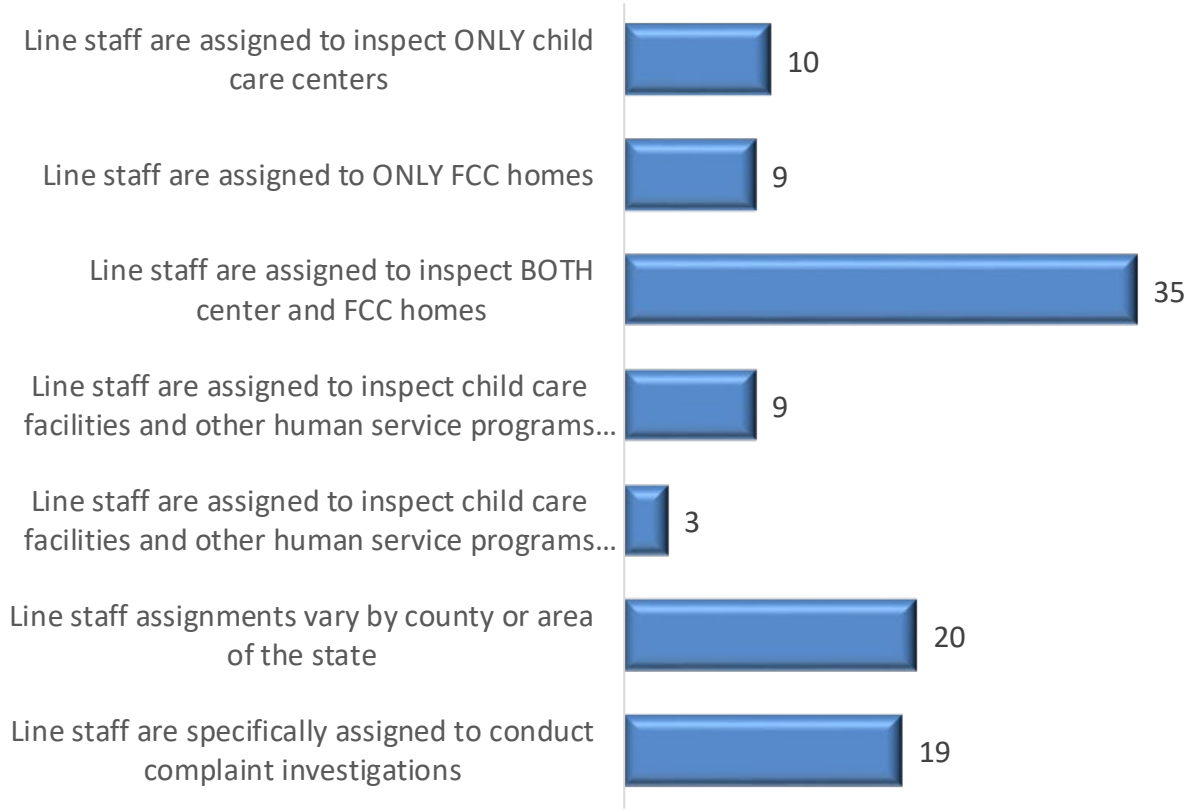
Line Staff Assignments and Caseload

Question: How are the child care licensing line staff assigned to inspect child care facilities in your state?

Analysis: In the majority of states, line staff are assigned to inspect both centers and homes. In 35 states, or just over two-thirds (n=53), line staff are responsible for inspecting both centers and FCC homes. Three states that reported line staff being responsible for both centers and FCC homes also reported that staff are assigned to only centers and only homes, suggesting that certain staff only handle a single facility type. A total of 14 states have staff that inspect both centers and homes as well as handling complaints. Three of those states also have line staff inspect other human services programs for children. In 20 states, line staff assignments vary by geographic region.

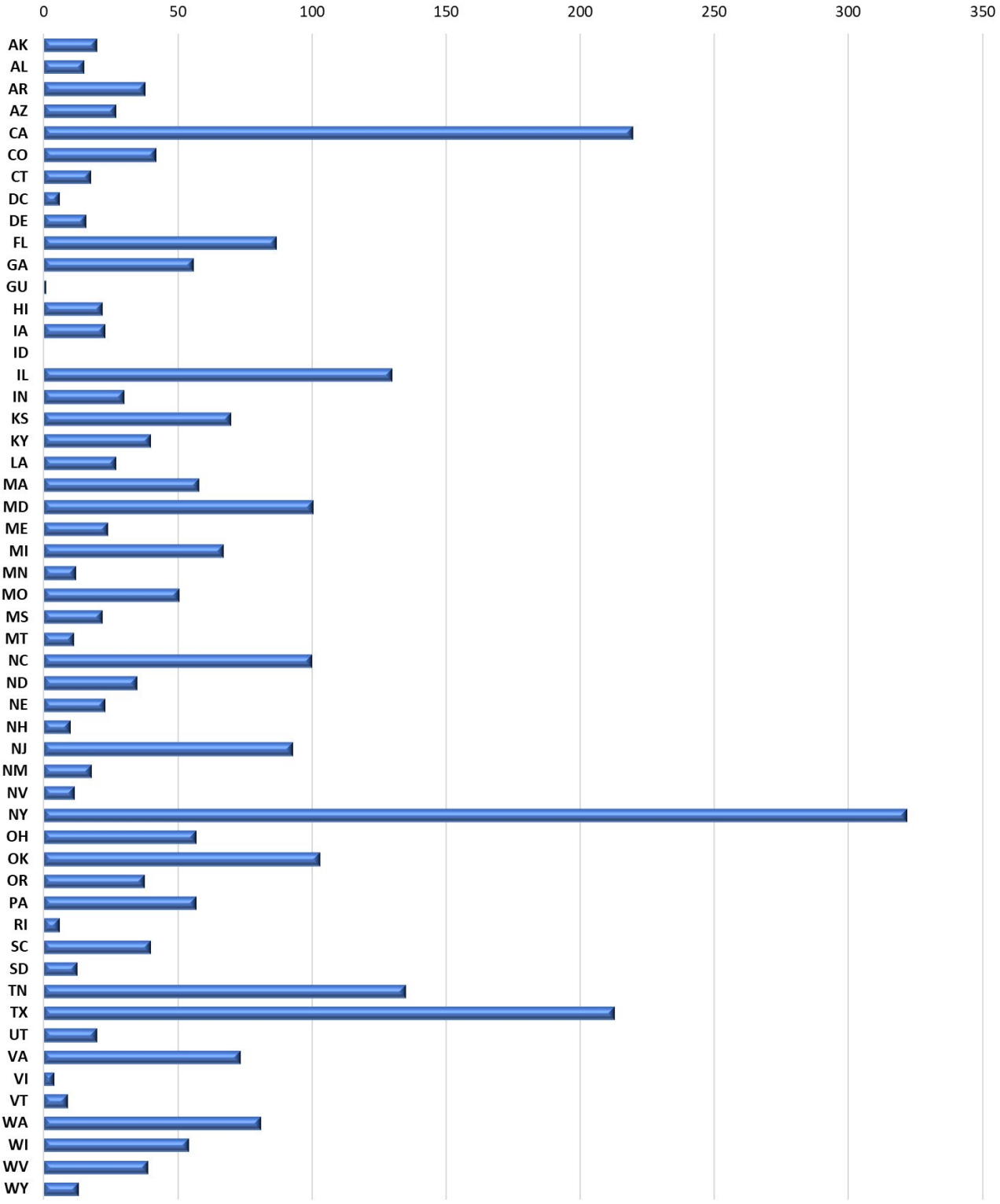
State	Line staff are assigned to inspect ONLY child care centers	Line staff are assigned to ONLY FCC homes	Line staff are assigned to inspect BOTH center and FCC homes	Line staff are assigned to inspect child care facilities and other human service programs for children	Line staff are assigned to inspect child care facilities and other human service programs for children and/or adults.	Line staff assignments vary by county or area of the state	Line staff are specifically assigned to conduct complaint investigations
Total	**10**	**9**	**35**	**9**	**3**	**20**	**19**
AK			•				
AL	•	•			•	•	
AR			•				
AZ			•				•
CA			•			•	•
CO			•			•	
CT	•	•					•
DC			•				
DE				•			•
FL	•	•	•			•	•
GA			•			•	•

State	Line staff are assigned to inspect ONLY child care centers	Line staff are assigned to ONLY FCC homes	Line staff are assigned to inspect BOTH center and FCC homes	Line staff are assigned to inspect child care facilities and other human service programs for children	Line staff are assigned to inspect child care facilities and other human service programs for children and/or adults.	Line staff assignments vary by county or area of the state	Line staff are specifically assigned to conduct complaint investigations
GU			•	•			•
HI			•			•	
IA	•			•		•	
ID							
IL	•	•	•			•	
IN		•		•		•	
KS						•	
KY			•	•		•	•
LA				•			
MA	•	•					
MD			•				
ME			•				•
MI			•				
MN					•		•
MO			•				
MS			•				
MT						•	
NC			•				
ND			•			•	•
NE			•				•
NH			•				
NJ	•					•	•
NM			•			•	
NV				•			
NY						•	
OH							
OK			•	•			
OR			•				
PA			•				
RI			•				
SC			•				
SD			•				•
TN			•		•	•	
TX			•				•
UT	•	•					•
VA			•			•	•
VI			•	•			•
VT			•				•
WA	•	•	•				
WI			•			•	
WV	•	•					
WY						•	


Line staff are assigned to inspect ONLY child care centers
10
Line staff are assigned to ONLY FCC homes
9
Line staff are assigned to inspect BOTH center and FCC homes
35
Line staff are assigned to inspect child care facilities and other human service programs…
9
Line staff are assigned to inspect child care facilities and other human service programs…
3
Line staff assignments vary by county or area of the state
20
Line staff are specifically assigned to conduct complaint investigations
19

Question: What is the total number of child care licensing LINE STAFF conducting inspections in your state?

Analysis: Total number of line staff conducting inspections generally varied according to overall state population and through program structure (such as other state agencies or departments conducting some or all of the inspections). New York, Texas, and California reported the most staff. A total of six states and territories reported 10 or fewer licensing staff FTEs (Full Time Equivalents). Idaho reported that there were two licensing administrative positions but inspections were all done by contractors.

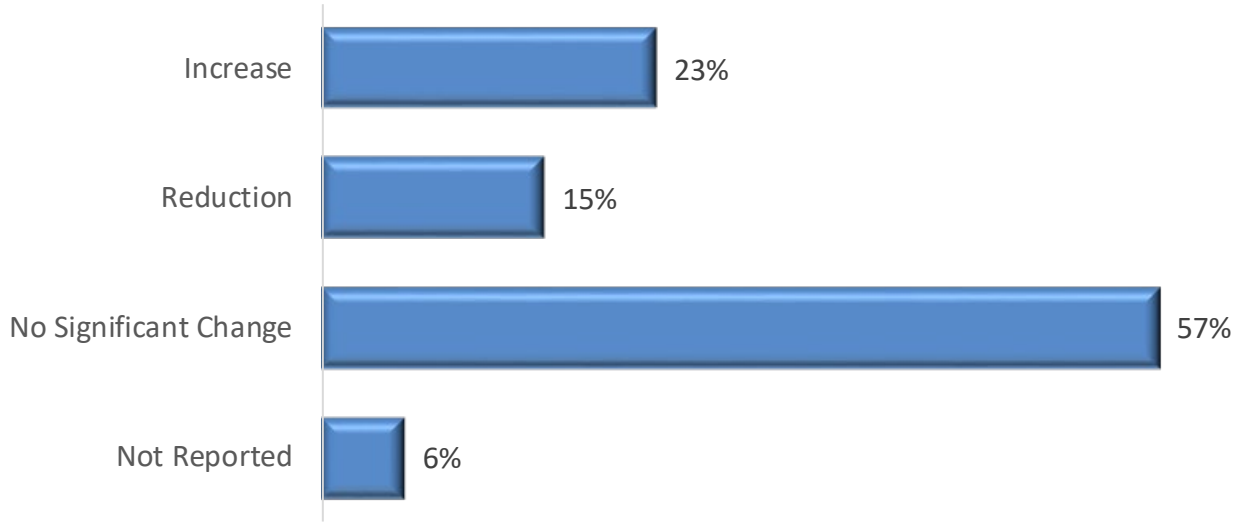


Question: Have you increased or reduced the numbers of licensing staff in the last year? What is the cause for this increase or decrease?

Analysis: 57% of states reported no significant change in licensing staff during the previous year while 23% reported an increase and 15% reported a decrease.

The main reason for a reported increase appears to be improving economic conditions. In most cases, increases in staff were due to an end to previous hiring freezes and filling positions that had been vacant for some time.

Reasons for a reduction in staffing were primarily due to retirement or reorganization/reallocation of staff.

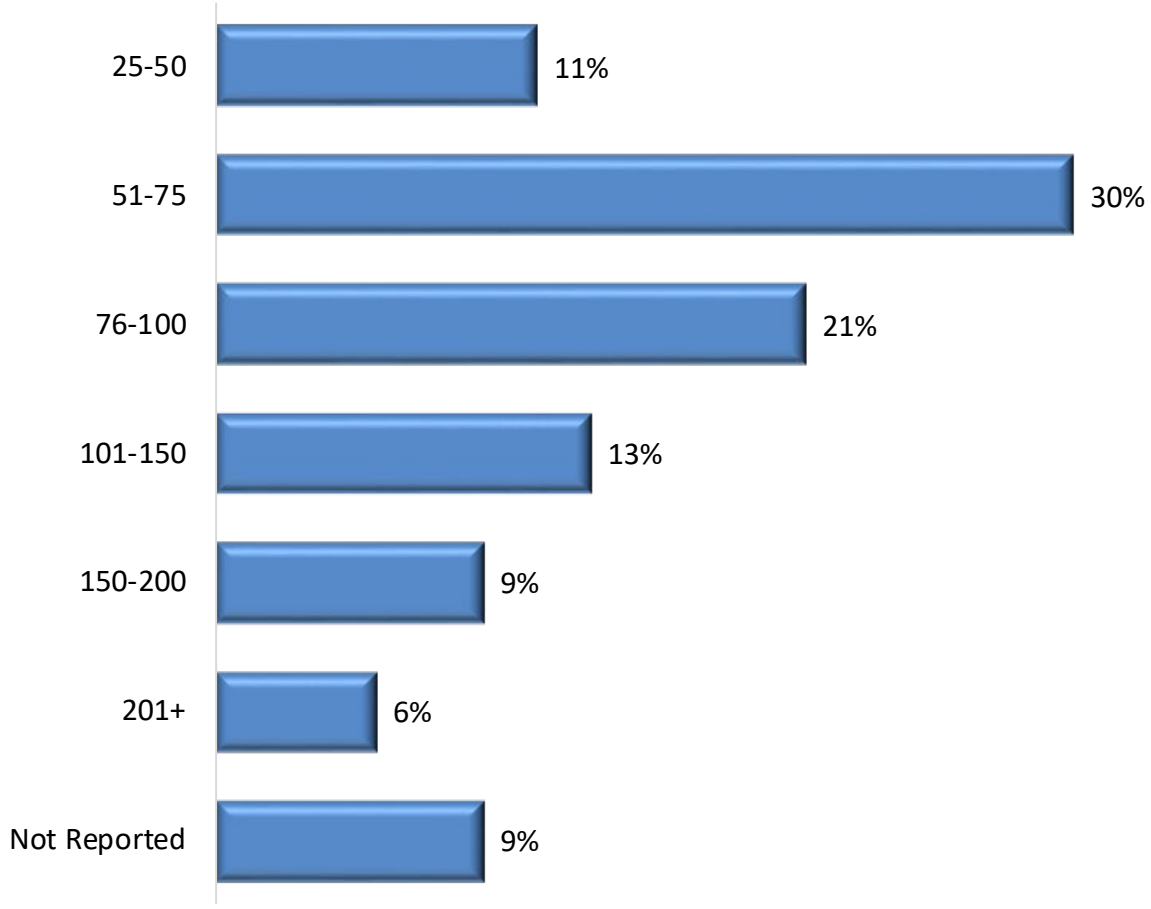


State	Increase	Reduction	No Significant Change	Not Reported
Total	11	9	30	3
AK			•	
AL		•		
AR			•	
AZ		•		
CA	•			
CO	•			
CT			•	
DC	•			
DE			•	
FL			•	
GA	•			
GU			•	
HI			•	
IA			•	
ID			•	
IL		•		
IN			•	
KS			•	
KY		•		
LA			•	
MA	•			
MD			•	

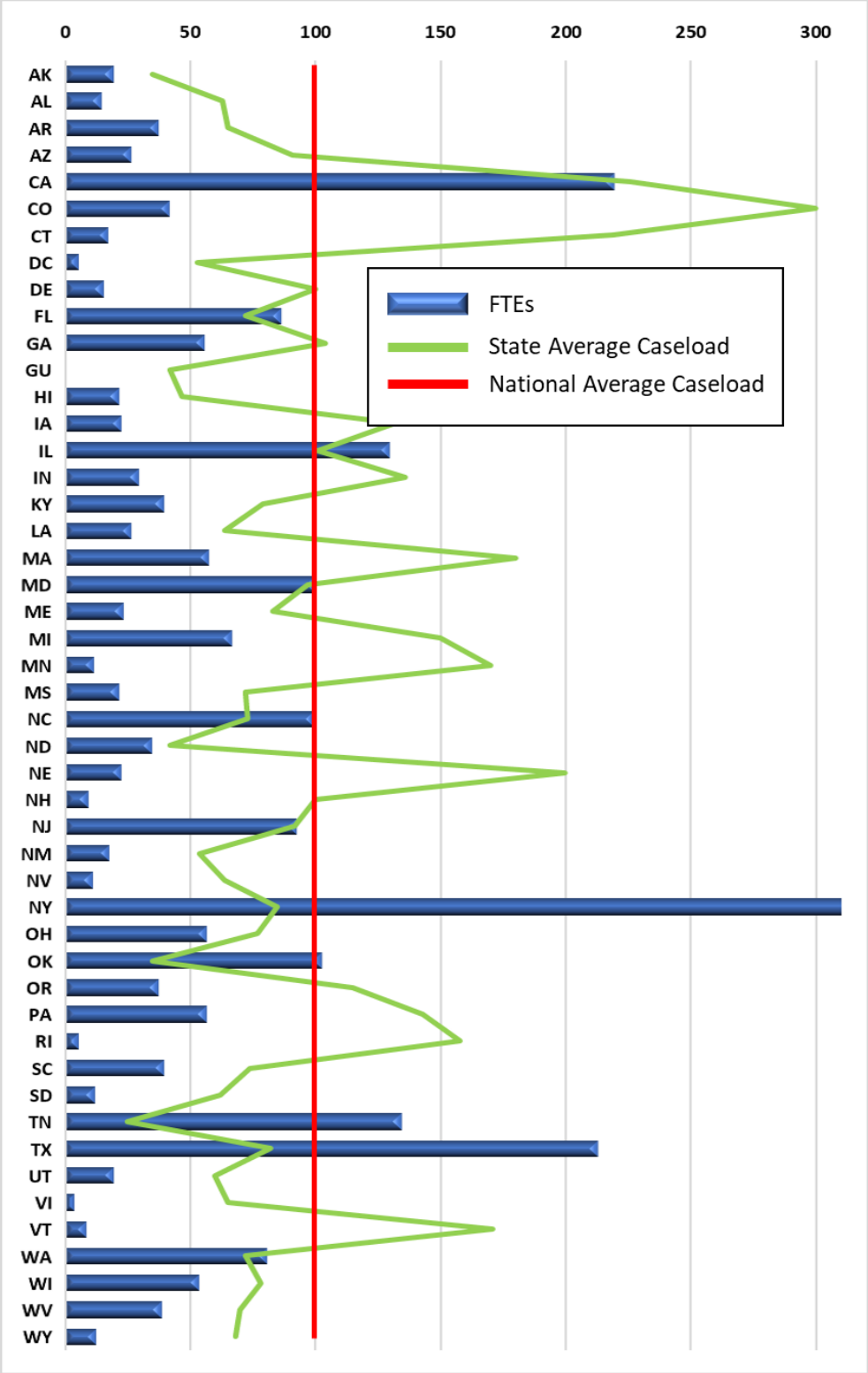
State	Increase	Reduction	No Significant Change	Not Reported
ME		•		
MI		•		
MN	•			
MO		•		
MS			•	
MT			•	
NC			•	
ND			•	
NE			•	
NH	•			
NJ	•			
NM			•	
NV			•	
NY			•	
OH			•	
OK		•		
OR			•	
PA			•	
RI				•
SC			•	
SD			•	
TN				•
TX			•	
UT	•			
VA			•	
VI	•			
VT				•
WA			•	
WI		•		
WV	•			
WY			•	

Question: What is the average statewide caseload for all facility types combined for line staff assigned to inspect early and school-age care programs, e.g., child care centers and family child care homes?

Analysis: Average line staff caseload ranged from a low of 25 in Tennessee to a high of 300 in Colorado. For the 48 states that reported caseloads, the average caseload was about 99 per line staff, while the median was about 79 per line staff.



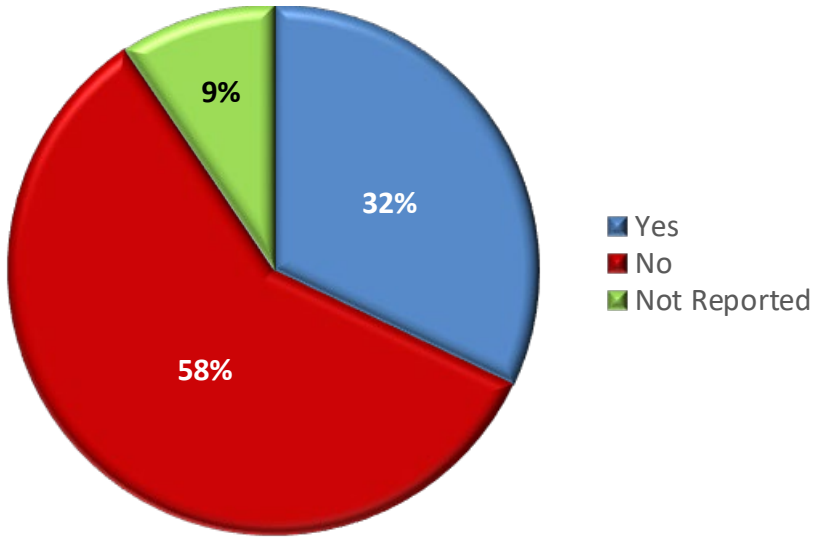
Note that higher levels of staffing did not necessarily mean lower caseloads. By superimposing Average Caseload over total staffing in the graph below it is possible to see the relationship between staffing and caseload for each state. New York, which has the highest overall staffing, has an average caseload below the average for all states. California, however, which has the third highest overall staffing, also has one of the highest average caseloads per line staff.



The following states that did not report a caseload are omitted: ID, KS, MO, MT, VA

Question: Has your state conducted a workload analysis?

Analysis: Slightly less than one-third of all states reported completing a workload analysis.



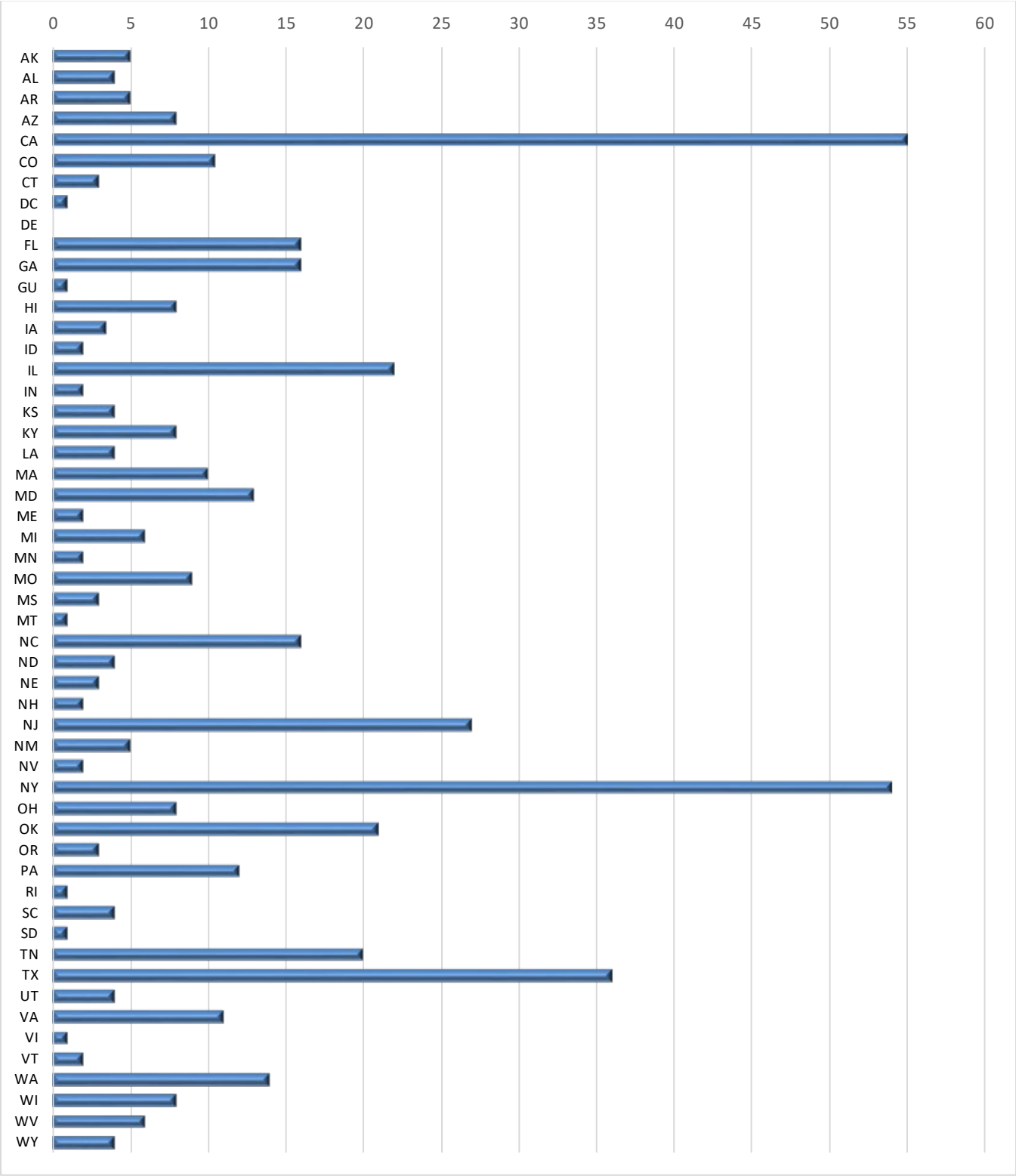
State	Yes	Date Conducted	No	Not Reported
Total	17		31	5
AK	•	2012		
AL				•
AR			•	
AZ			•	
CA	•	2014		
CO	•	2014		
CT			•	
DC			•	
DE			•	
FL			•	
GA	•	2013		
GU			•	
HI			•	
IA			•	
ID			•	
IL	•			
IN			•	
KS			•	
KY			•	
LA			•	
MA			•	
MD			•	
ME			•	
MI			•	
MN			•	
MO			•	
MS	•			
MT			•	
NC			•	
ND			•	
NE			•	
NH	•			
NJ	•	2011		

State	Yes	Date Conducted	No	Not Reported
NM			•	
NV	•			
NY	•			
OH	•			
OK				•
OR	•			
PA			•	
RI			•	
SC	•			
SD			•	
TN				•
TX			•	
UT	•			
VA	•			
VI				•
VT				•
WA	•	2014		
WI			•	
WV			•	
WY	•			

Supervisory Staff

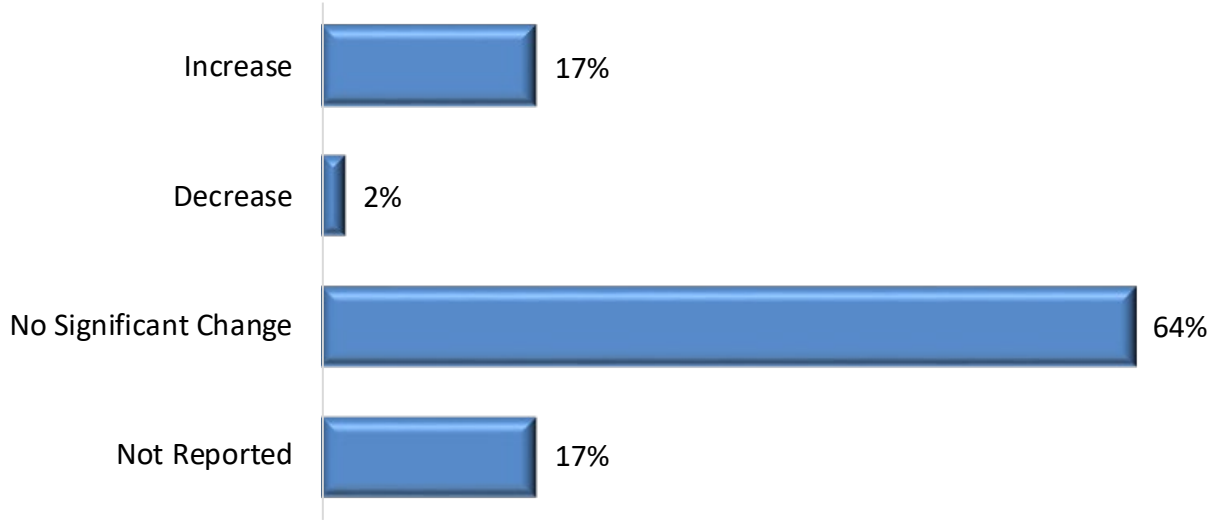
Question: What is the total number of child care licensing SUPERVISORS in your state?

Analysis: The total number of supervisors ranged from a high of 55 in California to less than 5 supervisors in 28 states. The mean number of supervisors was just over 9 per state while the median was 5.



Question: Have you increased or reduced the numbers of supervising staff in the last year?

Analysis: A total of 17% of all states reported an increase in supervising staff, while 64% percent of states reported no significant change. Only one state reported a decrease in staff due to retirement and 9% of states did not report.



State	Increase	Reduction	No significant change	Not Reported
Total	9	1	34	9
AK			•	
AL				•
AR			•	
AZ			•	
CA	•			
CO	•			
CT			•	
DC			•	
DE				•
FL			•	
GA	•			
GU			•	
HI			•	
IA			•	
ID			•	
IL			•	
IN			•	
KS			•	
KY			•	
LA				•
MA			•	
MD			•	
ME	•			
MI			•	
MN	•			
MO	•			
MS			•	
MT			•	
NC			•	

State	Increase	Reduction	No significant change	Not Reported
ND			•	
NE			•	
NH			•	
NJ	•			
NM			•	
NV			•	
NY			•	
OH			•	
OK				•
OR				•
PA			•	
RI			•	
SC			•	
SD			•	
TN				•
TX			•	
UT			•	
VA			•	
VI	•			
VT				•
WA				•
WI				•
WV	•			
WY		•		

LICENSING INSPECTIONS

Summary:

Overall Trend
There appears to have been an increase in the percentage of states conducting inspections prior to licensure and for those states that reported license renewals were required, there was an increase in the percentage of states that required inspections prior to renewal and an increase in the number of unannounced inspections for FCC homes. There was little other change in licensing inspections between 2011 and 2014 though there appears to be more variability in overall inspection frequency and more frequent full compliance inspections for family FCC homes.

Inspections Prior to Licensure
In 2011, approximately 82% of states reported conducting inspections prior to licensure for both centers and large/group FCC homes and 86% of states conducted inspections prior to licensure for family FCC homes. In 2014, the percentage increased to 100% for both centers and large/group FCC homes and almost 90% for family FCC homes.

Routine and Renewal Inspections
With only 80% of states responding in 2011 regarding whether licenses are renewed, it is not possible to determine whether there was any change in the number of states requiring renewal of licenses. However, of those states reporting that renewal was required, the percentage of states requiring inspections for renewal increased between 12% and 27% depending on facility type and the number of states reporting those inspections were unannounced increased for both types of FCC homes. Virtually every state reported conducting routine compliance inspections.

Frequency of Inspections
There appears to have been little change in the frequency of inspections between 2011 and 2014. Inspections most frequently occurred between once or twice a year for all facility types. It appears there might have been a slight increase in the number of states conducting inspections once every two years in 2014 as well as an increase in the number of states reporting some other frequency.

License Renewal
There appears to be little change between 2011 and 2014 in the number of states with non-expiring licenses. There also appears to be little change in the frequency of license renewals between the two years.

Full Compliance Inspections
The percentage of states requiring full compliance reviews remained largely unchanged between 2011 and 2014 though there was an apparent increase in both the number and frequency of full compliance inspections for family FCC homes. Compliance reviews most commonly occurred once a year for all program types though there was a shift in family FCC homes away from full compliance reviews once every two years to once a year.

Types of Licensing Inspections

Analysis: In most cases, child care centers are rigorously inspected both prior to issuing a license and upon license renewal. Routine inspections are almost always unannounced. In approximately 80 to 85% of states, compliance inspections are conducted for license renewal for all facility types. Roughly two-thirds of compliance inspections conducted for license renewal are unannounced.

Question: Are inspections to assess compliance conducted of licensed child care programs PRIOR TO ISSUING A LICENSE? Are the inspections conducted announced or unannounced?

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Inspections conducted prior to issuing a license	53	41	40
Inspections are announced	45	38	39
Inspections are unannounced	19	17	13

Question: Are inspections to assess compliance conducted of licensed child care programs for LICENSE RENEWAL? Are inspections conducted announced or unannounced?

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Licenses are renewed	42	36	34
Inspections for license renewal are conducted	42	32	32
Inspections are announced	18	15	18
Inspections are unannounced	28	24	20

Question: Are ROUTINE INSPECTIONS conducted on licensed child care programs to review compliance with the regulations? Are inspections conducted announced or unannounced?

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Routine inspections for compliance are conducted	53	45	40
Inspections are announced	13	14	14
Inspections are unannounced	52	44	40

Frequency of Licensing Inspections

Question: Once a license is issued, how often are licensing inspections conducted for each facility type?

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
More than three times a year	2	1	2
Three times a year	6	4	3
Twice a year	14	11	12
Once a year	26	18	19
Once every two years	6	6	4
Once every three years	1	1	0
Not inspected on a regular basis	0	1	0
Other	9	9	7

Frequency of Licensing Renewal

Question: After initial licensure, how often are licenses renewed for each facility type? Applies to certification or registration, if appropriate.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes

Total Number of States that Regulate	53	46	40
Once a year	20	17	19
Once every 2 years	15	14	13
Once every 3 years	4	5	3
Non-expiring license	11	9	7
Other	6	4	2

Inspections and Monitoring

Question: How often does the state conduct a FULL COMPLIANCE REVIEW for each type of licensed child care facility?

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
More than three times a year	0	0	0
Three times a year	3	1	2
Twice a year	6	4	6
Once a year	27	23	21
Once every two years	13	8	10
Once every three years	3	2	1
Less than once every 3 years	0	0	0
Not conducted	1	1	1
Other	7	9	5

Six states reported multiple frequencies for full compliance reviews. These states (Hawaii, Illinois, Kansas, Kentucky, Montana, and Ohio) based the frequency on type of facility, how long it's been in business, status of license, and compliance history.

ABBREVIATED INSPECTIONS

Summary:
Of the states responding on both 2011 and 2014 (N=49), there was a 12% increase in the number of states reporting the use of abbreviated inspections. About one-third of that increase came during initial licensing inspections and there was no change in the number of states reporting the use of abbreviated inspections for routine compliance. The biggest change in 2014 was in the "Other" category (a category not included in 2011).

	2011	2014
Yes	57%	69%
No	43%	31%
Initial licensing inspections	2%	6%
Routine compliance inspections	49%	49%
License renewal inspections	8%	6%
Other	N/A	31%

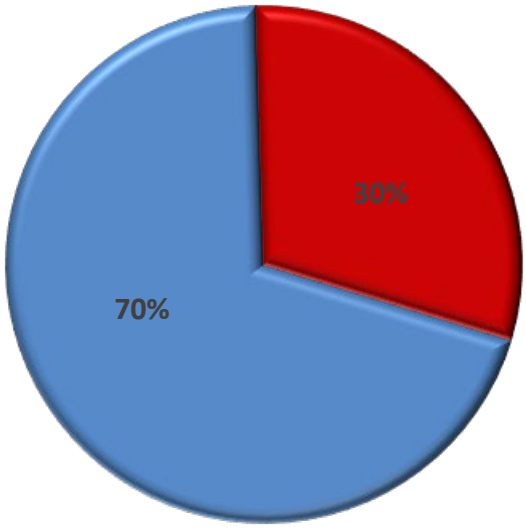
In both 2011 and 2014 the standards for conducting an abbreviated inspection were based on a selection of requirements determined to be most critical. Of the 50 states common between both survey years, there were three fewer states in 2014 reporting that they had a policy on when to switch from an abbreviated to full compliance inspection for any facility type.

	2011	2014
"Key indicator system"	3	8
Selection of rules based the most critical	24	28
Assigned weights based on risk	3	18
Other	N/A	6

Using Abbreviated Inspections

Question: Does the state ever use an abbreviated compliance inspection during monitoring inspections of licensed child care facilities?

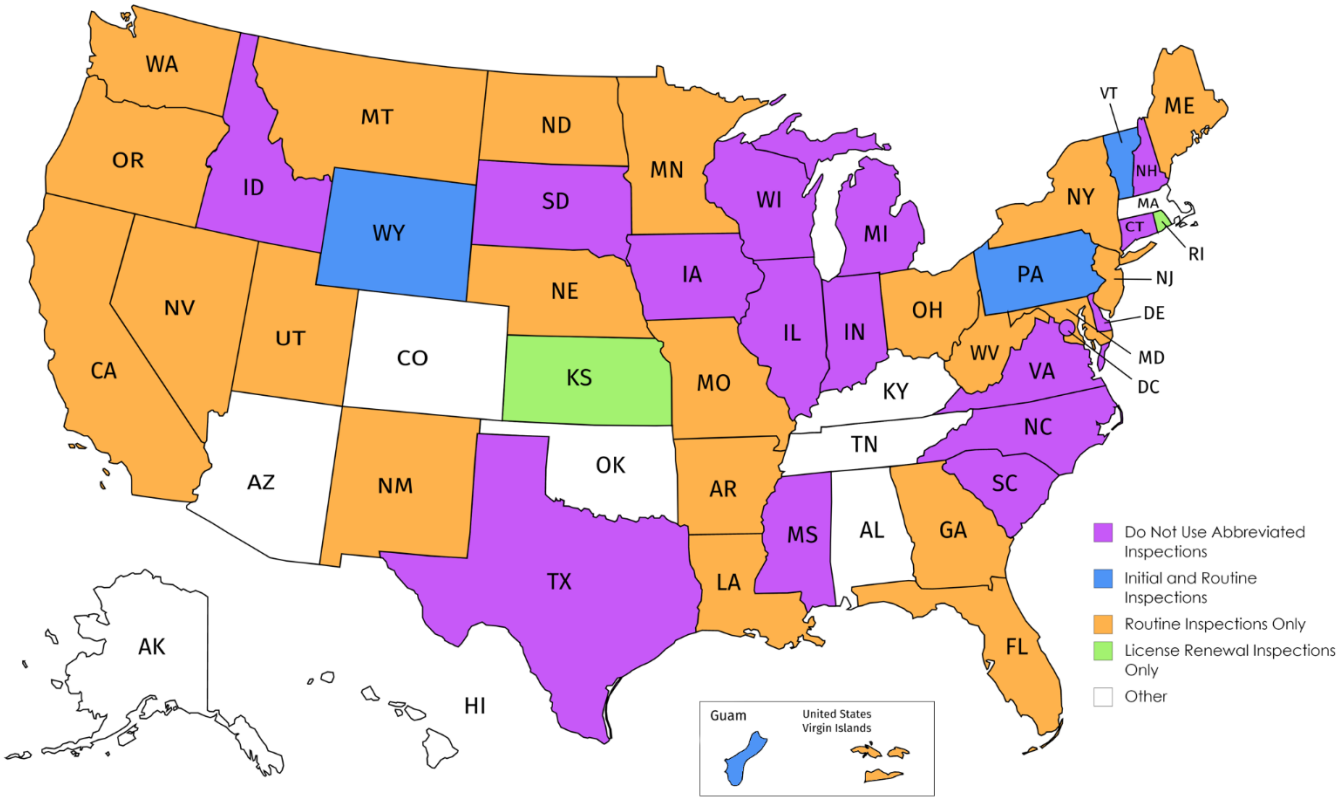
Analysis: 70% of states reported using an abbreviated compliance inspection at some point during monitoring inspections of licensed facilities. A total of 25 states reported using an abbreviated inspection for routine compliance, three of those also using them for initial licensing inspections and one using them also for license renewals. One state used an abbreviated inspection for initial licensing inspections only. Two states use abbreviated inspections for license renewals only. A total of nine states reported using abbreviated inspections for other reasons. Other reasons included abbreviated annual inspections or inspections in off-years of a two-year license period, follow-up visits, and complaint and health and safety related monitoring.



State	Yes	No	Initial licensing inspections	Routine compliance inspections	License Renewal inspections	Other
Total	37	16	4	26	3	16
AK	•					•
AL	•					•
AR	•			•		
AZ	•					•
CA	•			•		
CO	•					•
CT		•				
DC		•				
DE		•				
FL	•			•		
GA	•			•		•
GU	•		•	•		
HI	•					•
IA		•		•		•
ID		•				
IL		•				•
IN		•				
KS	•				•	
KY	•					•
LA	•			•		
MA	•					•
MD	•			•		
ME	•			•		
MI		•				
MN	•			•		
MO	•			•		
MS		•				
MT	•			•		
NC		•				
ND	•			•		
NE	•			•		
NH		•				
NJ	•			•		
NM	•			•		

State	Yes	No	Initial licensing inspections	Routine compliance inspections	License Renewal inspections	Other
NV	•			•		
NY	•			•		•
OH	•			•		•
OK	•					•
OR	•			•	•	
PA	•		•			•
RI	•				•	
SC		•				
SD		•				
TN	•					•
TX		•				
UT	•			•		•
VA		•				
VI	•			•		
VT	•		•	•		
WA	•			•		
WI		•				
WV	•			•		
WY	•		•	•		

Map 3 Use of Abbreviated Inspections



** Pennsylvania uses abbreviated only for Initial inspections, Oregon uses abbreviated inspections for Routine and Renewal inspections.*

Abbreviated Inspection Requirements

Question: How did the state choose which requirements to include in the abbreviated review?

Analysis: For those states conducting abbreviated inspections (N=37), 22% reported that requirements included in an abbreviated review were developed through statistical methodology that would predict overall compliance with the full set of rules. 84% of states reported that abbreviated reviews included those items most critical to all inspections while 51% reported that requirements were based on an assessment of risk to children if the program were not in compliance.

State	"Key indicator system" developed through a statistical methodology of requirements that would predict compliance with the full set of rules	Selection of requirements based on a consensus of those considered most critical to include in all inspections	Selection of requirements based on an assessment of risk of harm to children if not in compliance	Other
Total	8	31	19	6
AK		•	•	
AL		•		
AR			•	
AZ		•	•	
CA	•	•	•	
CO		•	•	•
CT				
DC				
DE				
FL		•	•	
GA		•	•	
GU		•		
HI				•
IA				
ID				
IL				
IN				
KS	•	•	•	•
KY		•	•	
LA		•		
MA		•		•
MD		•		
ME	•	•	•	
MI				
MN		•		
MO			•	
MS				
MT		•	•	
NC				
ND		•		
NE		•	•	•
NH				
NJ		•		
NM		•		
NV		•	•	
NY		•		•
OH	•			
OK		•		
OR	•			

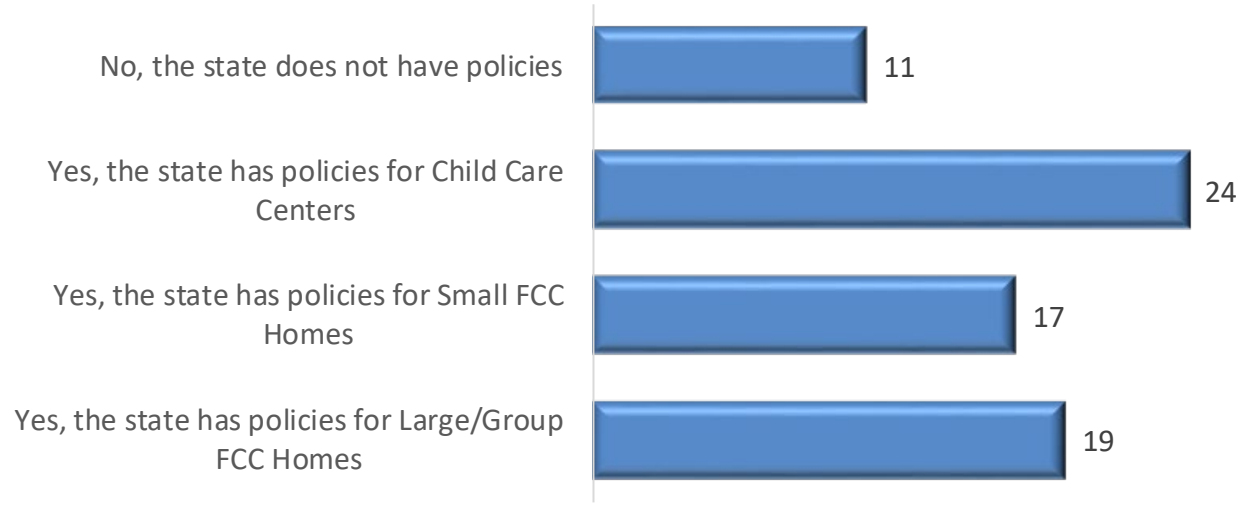
State	"Key indicator system" developed through a statistical methodology of requirements that would predict compliance with the full set of rules	Selection of requirements based on a consensus of those considered most critical to include in all inspections	Selection of requirements based on an assessment of risk of harm to children if not in compliance	Other
PA	•		•	
RI		•	•	
SC				
SD				
TN		•	•	
TX				
UT		•	•	
VA				
VI		•		
VT		•		
WA	•	•		
WI				
WV		•		
WY	•	•	•	

Question: Does the state have policies on determining when to switch from an abbreviated compliance review to a full compliance review?

Analysis: Of the 37 states that reported conducting abbreviated inspections, 26 responded to the question on policies. Of those 26 states, 11 (42%) reported having no policies on determining when to switch from an abbreviated to full compliance review while 92% of states reported having polices for child care centers, and 65% for small FCC homes and 73% for large/group FCC homes.

State	No, the state does not have policies	Yes, the state has policies for Child Care Centers	Yes, the state has policies for Small FCC Homes	Yes, the state has policies for Large/Group FCC Homes
	Total Number of States Responding	Total Number of States that Regulate		
	26	53	46	40
Total	**11**	**24**	**17**	**19**
AK	•			
AL	•			
AR		•	•	
AZ		•		•
CA		•	•	•
CO		•	•	•
CT				
DC				
DE				
FL		•		
GA		•	•	•
GU	•			
HI		•		•
IA	•			
ID				
IL	•			
IN				
KS		•	•	•
KY		•	•	
LA	•			

State	No, the state does not have policies	Yes, the state has policies for Child Care Centers	Yes, the state has policies for Small FCC Homes	Yes, the state has policies for Large/Group FCC Homes
MA	•			
MD	•			
ME	•			
MI				
MN		•		
MO		•	•	•
MS				
MT	•			
NC				
ND		•	•	•
NE		•	•	•
NH				
NJ		•		
NM	•			
NV		•	•	•
NY		•	•	•
OH		•		•
OK		•	•	•
OR		•		•
PA		•		•
RI	•			
SC				
SD				
TN				•
TX				
UT		•	•	•
VA				
VI		•	•	•
VT	•			
WA		•	•	
WI				
WV			•	
WY		•	•	•



RISK ASSESSMENT

Summary:
Risk assessment is not an area that was addressed in the 2011 survey.

Conducting Risk Assessments

Question: Has the state identified licensing program requirements that pose the greatest risk of harm to children if violated (i.e., conducted a risk assessment of program requirements)?

Analysis: A total of 28 states reported that they have identified licensing program requirements that pose the greatest risk of harm to children if violated while 25 states either had not identified those requirements or did not respond to the survey question. Of the states that reported those requirements had been identified, 7 (25%) states indicated that all requirements were given a risk level/weight. One of those states also said they had identified categories of requirements that were high risk. A total of 10 (36%) states indicated that only the highest risk requirements were identified. 39% of the states indicated that they had identified categories identified as high risk (one of whom also reported risk requirements were all given a risk level/weight while two of those same states also reported only the highest risk requirements were identified). Two states that reported not having risk assessment processes noted that they currently had processes in development.

State	Yes	No	All requirements were given a risk level/weight	Only the highest risk requirements were identified	Categories of requirements were identified as high-risk	Other
Total	**28**	**25**	**7**	**10**	**11**	**6**
AK	•				•	
AL		•				
AR	•			•		
AZ		•				
CA	•			•		
CO	•				•	
CT		•				
DC		•				
DE	•			•		
FL	•		•		•	
GA	•				•	•
GU	•		•			
HI	•			•		
IA		•				
ID		•				
IL		•				•
IN		•				
KS		•				
KY	•				•	•
LA		•				
MA	•				•	
MD		•				
ME		•				•
MI		•				
MN		•				
MO		•				
MS	•		•			
MT	•					

State	Yes	No	All requirements were given a risk level/weight	Only the highest risk requirements were identified	Categories of requirements were identified as high-risk	Other
NC		•				
ND	•				•	
NE		•				
NH		•				
NJ		•				
NM		•				
NV	•					
NY	•			•		
OH	•			•	•	
OK	•			•		
OR	•		•			
PA		•				
RI	•				•	
SC	•			•	•	•
SD		•				
TN		•				
TX	•		•			
UT	•		•			
VA	•					•
VI	•			•		
VT	•		•			
WA		•				
WI	•			•		
WV		•				

Using Risk Assessments

Question: How is the risk assessment used?

Analysis: A total of 21 states who reported using risk assessment responded to how risk assessment was used. The uses were pretty evenly distributed among the reporting states with violations of high-risk requirements determine the frequency of licensing inspections or additional follow-up visits being the most frequent, reported by 86% of respondents. Just over 65% of respondents reported using risk assessment for multiple purposes. Those reporting "Other" generally used risk assessment to determine the level or frequency of monitoring or inspections.

**States responded to this question despite reporting previously that they did not conduct risk assessment. Their responses are not included in any counts or analysis.*

State	Categorizing violations	Determining enforcement actions	Monitoring the high-risk rules during abbreviated inspections	Violations of high-risk requirements determine the frequency of licensing inspections or additional follow-up visits	Other
Total	12	12	14	18	4
AK		•	•	•	
AL					
AR	•	•	•	•	•
AZ					
CA	•	•	•	•	

State	Categorizing violations	Determining enforcement actions	Monitoring the high-risk rules during abbreviated inspections	Violations of high-risk requirements determine the frequency of licensing inspections or additional follow-up visits	Other
CO			•	•	
CT					
DC					
DE		*			
FL	•	•	•	•	
GA	•	•	•	•	•
GU				•	
HI		•			•
IA					
ID					
IL					
IN					
KS					
KY	•	•	•	•	
LA					
MA	•				
MD					
ME					
MI					
MN					
MO					
MS	*	*		*	
MT					
NC					
ND	•	•		•	
NE					
NH					
NJ					
NM					
NV	•				
NY			•	•	•
OH	•	•	•	•	
OK		•		•	
OR	•		•	•	
PA					
RI	•	•	•	•	
SC					*
SD					
TN					
TX	*	*			
UT	•	•	•	•	
VA	*	*	*	*	
VI				•	
VT			•	•	
WA					
WI		*		*	
WV					

State	Categorizing violations	Determining enforcement actions	Monitoring the high-risk rules during abbreviated inspections	Violations of high-risk requirements determine the frequency of licensing inspections or additional follow-up visits	Other
WY			•	•	

Question: How was the selection of risk levels and categorization of rules into those levels done?

Analysis: Of the 37 states conducting risk assessment, 21 responded to this follow-up question. A majority of these states (95%) reported that selection of risk levels and categorization was done through an internal process with consensus of licensing agency staff and other experts. More than 71% reported using research and resources to assist in setting risk levels. Almost 29% worked with external consultants.

**States responded to this question despite reporting previously that they did not conduct risk assessment. Their responses are not included in any counts or analysis.*

State	An internal process of seeking the opinion and consensus of licensing agency staff and other experts on rules that would cause the most risk of harm	Development of a statistical methodology	Review of research and resources such as Caring for our Children	Work with an external consultant	Other
Total	20	3	15	6	3
AK	•				
AL					
AR					
AZ					
CA	•	•		•	
CO	•		•		
CT					
DC					
DE	*		*		
FL	•		•		
GA	•	•	•	•	
GU	•	•	•	•	
HI					•
IA					
ID					
IL					
IN					
KS					
KY	•		•		
LA					
MA	•				
MD					
ME	•		•		•
MI					
MN					
MO					
MS	*		*		
MT					

State	An internal process of seeking the opinion and consensus of licensing agency staff and other experts on rules that would cause the most risk of harm	Development of a statistical methodology	Review of research and resources such as Caring for our Children	Work with an external consultant	Other
NC					
ND	•		•		
NE					
NH					
NJ					
NM					
NV	•				
NY	•				
OH	•		•		•
OK	•		•		
OR	•		•	•	
PA					
RI	•		•	•	
SC	*	*	*	*	*
SD					
TN					
TX	*		*	*	*
UT	•		•		
VA	*	*	*		
VI	•		•	•	
VT	•		•		
WA					
WI	*		*		
WV					
WY	•		•		

COMPLIANCE, DIFFERENTIAL MONITORING, AND TECHNICAL ASSISTANCE

Summary:
The question regarding a definition for compliance was not asked in 2011.

There was a significant decrease in the percentage of states reporting the use of differential monitoring between 2011 and 2014. In 2011, a total of 26 out of 50 states reported using differential monitoring for at least one facility type. In 2014, only 14 of the 50 states responding in both years reported its use.

In both 2011 and 2014, almost all responding states reported providing technical assistance to licensees. In both years, in states where licensors provided assistance, the technical assistance was provided to achieve compliance with regulations while more than two-thirds of states provided assistance to improve quality. Almost all states provided technical assistance during the application inspection visit, or by telephone. Every state in both years reported making referrals to other agencies or organizations for at least one facility type.

Defining Compliance

Question: Has the state defined "compliance" with licensing requirements in your policies, e.g., substantial compliance, a pattern of compliance, in good standing? How is the designation of compliance used?

Analysis: Approximately 43% of states reported defining compliance within their licensing requirements. (Note: Illinois and the Virgin Islands, despite not having a formal definition of compliance, reported using a non-formal definition in many of the categories. Their counts are therefore included in both the "Yes" column and in the analysis below). Idaho defines "Non-Compliance" for licensing rather than "Compliance".

A total of 23 states (including Illinois and the Virgin Islands) reported on the use of compliance monitoring. Of those states using some definition of compliance, most (87%) reported that compliance was used to determine enforcement actions and nearly half (48%) said compliance was used to inform parents of the provider's status or determine the eligibility for participation in quality initiatives. A total of 61% of the states use the definition of compliance to determine the frequency of inspections while 57% use it to determine eligibility for participation in QRIS or meeting a QRIS standard.

**The state responded to this question despite reporting previously that they did not have a definition of compliance. Their response is not included in any counts or analysis.*

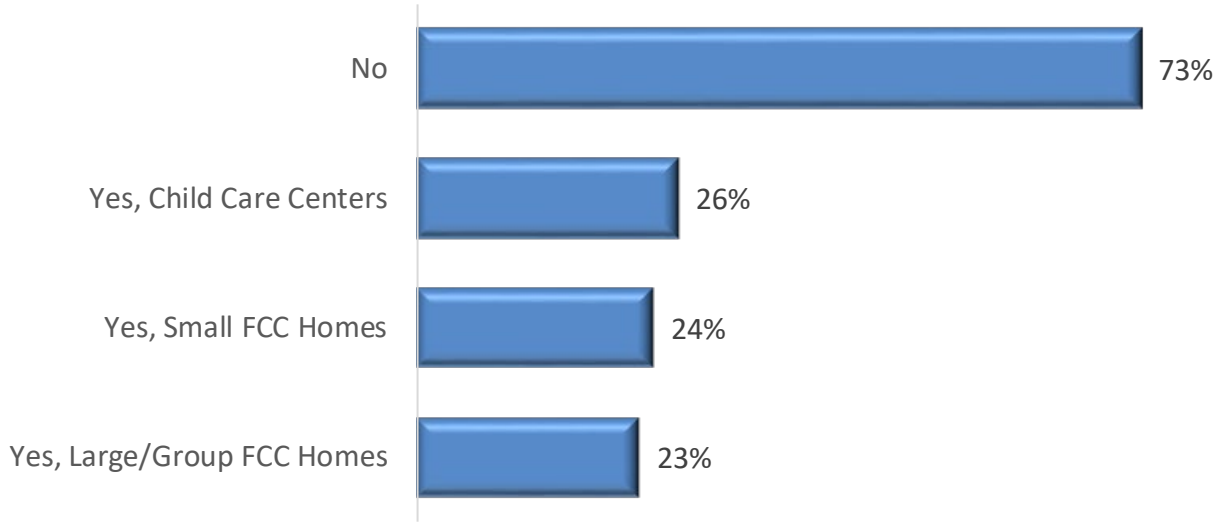
State	Yes	No	Informing parents of the provider's status	Determining enforcement actions including non-renewal of license	Determining the frequency or depth of licensing inspections	Determining eligibility for receipt of child care subsidy funding	Determining eligibility for participation in quality initiatives, e.g., grants, incentives	Determining eligibility for participation in QRIS or meeting a QRIS standard	Other
Total	23	30	11	20	14	9	11	13	6
AK		•							
AL		•							
AR	•		•		•		•	•	
AZ	•			•	•	•	•	•	
CA	•		•	•	•		•	•	•
CO		•							
CT		•							
DC		•							
DE	•			•					
FL	•		•	•	•	•			•

State	Yes	No	Informing parents of the provider's status	Determining enforcement actions including non-renewal of license	Determining the frequency or depth of licensing inspections	Determining eligibility for receipt of child care subsidy funding	Determining eligibility for participation in quality initiatives, e.g., grants, incentives	Determining eligibility for participation in QRIS or meeting a QRIS standard	Other
GA	•		•	•	•		•	•	•
GU	•				•	•	•	•	
HI		•							
IA		•							
ID		•							
IL	•		•	•			•	•	•
IN	•		•	•					
KS		•							
KY	•			•					•
LA		•							
MA		•							
MD		•							
ME		•							
MI	•			•					
MN		•							
MO		•							
MS		•							
MT		•							
NC	•			•	•	•		•	
ND		•							
NE		•							
NH		•							
NJ	•			•	•				
NM		•							
NV		•							
NY		•							
OH	•		•	•	•	•	•	•	
OK	•			•	•		•	•	
OR		•						*	
PA	•			•					
RI		•							
SC	•		•	•	•	•	•	•	
SD	•		•	•					
TN		•							
TX		•							
UT	•		•	•	•	•	•	•	•
VA	•			•					
VI	•			•	•	•	•	•	
VT		•							
WA	•		•	•	•				
WI	•					•		•	
WV		•							
WY		•							

Differential Monitoring

Question: Does the state have a system of differential frequency of monitoring based on compliance records or quality rating level for each type of child care facility?

Analysis: More than 73% of states responding reported they did not have a system of differential frequency of monitoring. Nearly every state that reported using differential monitoring, reported that they use it for all program types they license. Florida is the lone state that reported using differential monitoring only for centers despite licensing all three program types. A total of 14 states use differential monitoring for at least one type of facility.



State	No	Yes Child Care Centers	Yes Small FCC Homes	Yes Large/Group FCC Homes
	Number of States Responding	Total Number of States that Regulate		
	52	53	46	40
Total	38	14	11	9
AK	•			
AL	•			
AR		•	•	
AZ	•			
CA		•	•	•
CO		•	•	•
CT	•			
DC				
DE	•			
FL		•		
GA		•	•	•
GU	•			
HI	•			
IA	•			
ID	•			
IL	•			
IN	•			
KS	•			
KY	•			
LA	•			

State	No	Yes Child Care Centers	Yes Small FCC Homes	Yes Large/Group FCC Homes
MA	•			
MD	•			
ME	•			
MI	•			
MN	•			
MO	•			
MS	•			
MT	•			
NC		•	•	
ND		•	•	•
NE	•			
NH	•			
NJ	•			
NM	•			
NV	•			
NY	•			
OH		•		•
OK		•	•	•
OR		•		•
PA	•			
RI	•			
SC	•			
SD	•			
TN		•	•	•
TX	•			
UT		•	•	•
VA	•			
VI	•			
VT	•			
WA		•	•	
WI		•	•	
WV	•			
WY	•			

Provision of Technical Assistance to Licensees

Question: Do child care licensors provide technical assistance (TA), e.g., guidance, resources, training, and/or consultation to licensees?

Analysis: Virtually every state offers technical assistance to every program type they license in order to help achieve compliance with the regulations. While TA is heavily geared toward regulations and compliance issues, between 65% and 70% of states report TA on helping those facilities they license to improve quality and exceed minimum regulations.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Licensors provide TA/consultation to licensees to help them achieve compliance with the regulations	52	46	39
Licensors provide TA/consultation to licensees to help them improve quality and exceed minimum licensing regulations	34	32	26

**Vermont and Minnesota both reported providing TA to Large/Group FCC homes despite earlier reporting that they had no licensed programs of that type. Their responses have been removed from the counts above.*

Question: When do licensors provide technical assistance (TA) and/or consultation?

Analysis: Most states provide TA to all program types they regulate throughout the licensing and inspection process. States were least likely to provide TA during renewal inspection visits than at any other time.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
During application inspection visits	52	43	38
During routine inspection visits	52	44	39
During renewal inspection visits	43	37	32
On the telephone	51	44	37
As needed by licensee	50	43	38
Other	14	12	10

**Vermont and Minnesota both reported providing TA to Large/Group FCC homes despite earlier reporting that they had no licensed programs of that type. Their responses have been removed from the counts above.*

Question: Do licensors ever refer licensees to other agencies, organizations, or people for TA and/or consultation?

Analysis: Nearly all states make referrals for every program type they license. Only one state that licenses small FCC homes reported not making referrals for them. Similarly, one state that licenses large/group FCC homes reported not making referrals for them. However, three states that license centers and small FCC homes but not large/group FCC homes, reported making referrals for large/group FCC homes.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Referrals made to other agencies, organizations, or people	53	45	42

TECHNOLOGY AND DATA

Summary:
Of the states that responded to the use of a database question in both 2011 and 2014 (N=49), all states reported having and electronic licensing database. In 2014, states were much less likely to use the database for determining differential monitoring levels, evaluating workloads, or assessing enforcement actions. There was also a decline in the use of the database for email purposes.

	Manage caseloads	Evaluate workload needs	Supervisory oversight	Determine differential monitoring levels	Assess potential enforcement actions	Analyze compliance data	Guide revisions	Identify TA-training needs	Determine individual staff performance	Generate email messages	Provide mailing lists
2011	44	38	44	22	33	38	24	27	33	22	41
2014	44	31	46	13	28	40	25	27	34	19	39
Difference	**0%**	**-18%**	**5%**	**-41%**	**-15%**	**5%**	**4%**	**0%**	**3%**	**-14%**	**-5%**

Linkages between state licensing databases and other state databases remained largely the same between 2011 and 2014. There was a slight decrease reported in the number of states with linkages to the child care subsidy system, child protective services and food programs. There was a slight increase in the number of states reporting linkages to child care resource and referral databases, professional development registries, and QRIS/quality systems. The number of "Other" linkages nearly tripled between 2011 and 2014.

The number of states using portable devices for inspections of any program type appears to have grown slightly between 2011 and 2014 for both centers and family FCC homes. There was little change in the number of states considering the use of portable devices.

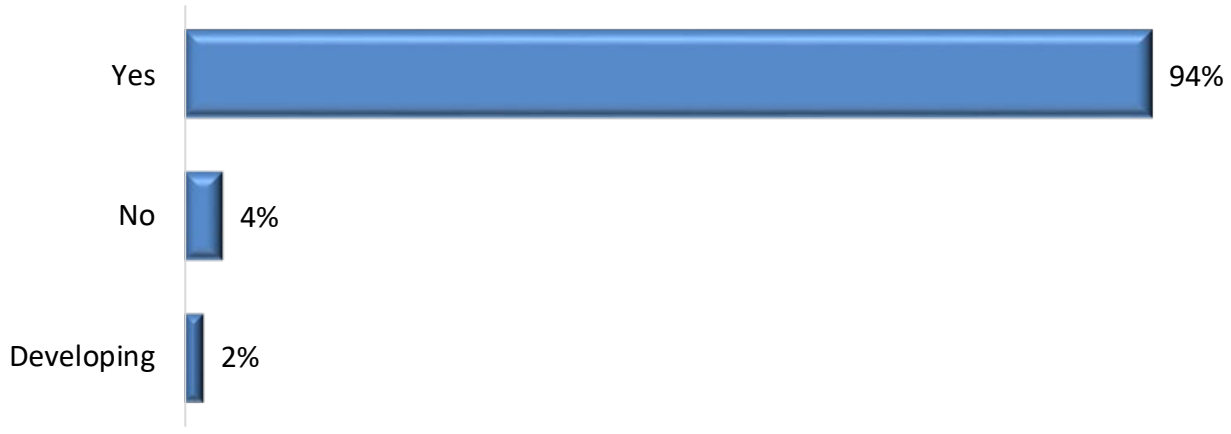
Licensing Database

Question: Does the state have a computerized database to store licensing information about child care facilities?

Analysis: Almost every state (94%) has a computerized database for storing licensing information. Two states reported not having one, while one state said a database was under development.

State	Yes	No	Developing
Total	50	2	1
AK	•		
AL	•		
AR	•		
AZ	•		
CA	•		
CO	•		
CT	•		
DC	•		
DE	•		
FL	•		
GA	•		
GU		•	
HI	•		
IA	•		
ID	•		
IL	•		
IN	•		
KS	•		
KY	•		
LA	•		

State	Yes	No	Developing
MA	•		
MD	•		
ME	•		
MI	•		
MN	•		
MO	•		
MS	•		
MT	•		
NC	•		
ND		•	
NE	•		
NH	•		
NJ	•		
NM	•		
NV	•		
NY	•		
OH	•		
OK	•		
OR	•		
PA	•		
RI	•		
SC	•		
SD	•		
TN	•		
TX	•		
UT	•		
VA	•		
VI			•
VT	•		
WA	•		
WI	•		
WV	•		
WY	•		



Using the Licensing Database

Question: How is the licensing database used?

Analysis: All but one of the states that reported having a database responded regarding database use (N=49). The majority of states use their database for multiple reasons including most frequently supervisory oversight (94%) and managing caseloads (90%). Approximately 80% of those states reporting use their database for analyzing compliance data (82%) and providing mailing lists (80%). The least common use besides "Other" was to determine differential monitoring levels, with just over 27% of states reporting the database was used for that purpose.

Use of Licensing Database – Part 1

State	Manage caseloads	Evaluate workload needs	Supervisory oversight	Determine differential monitoring levels	Assess potential enforcement actions	Analyze compliance data	Guide revisions
Total	**44**	**31**	**46**	**13**	**29**	**40**	**25**
AK	•	•	•	•	•	•	•
AL	•	•	•			•	
AR	•	•	•	•	•	•	
AZ	•		•		•	•	•
CA	•	•	•	•		•	•
CO	•	•	•	•	•	•	•
CT	•		•			•	
DC	•	•	•	•		•	•
DE							
FL	•	•	•	•	•	•	•
GA	•	•	•	•	•	•	•
GU							
HI		•	•				•
IA			•				
ID					•		
IL	•	•	•		•	•	•
IN	•	•	•		•	•	•
KS	•		•			•	•
KY	•		•		•	•	
LA	•		•		•	•	
MA	•	•	•		•	•	
MD	•	•	•			•	
ME	•		•		•		
MI	•		•			•	
MN	•						
MO	•	•	•		•	•	•
MS	•	•	•				
MT			•			•	•
NC	•	•	•	•	•	•	
ND							
NE	•		•				
NH	•	•	•		•	•	•
NJ	•	•	•			•	
NM	•		•			•	•
NV			•			•	
NY	•	•	•		•	•	•
OH	•	•	•	•	•	•	•
OK	•	•	•	•	•	•	•

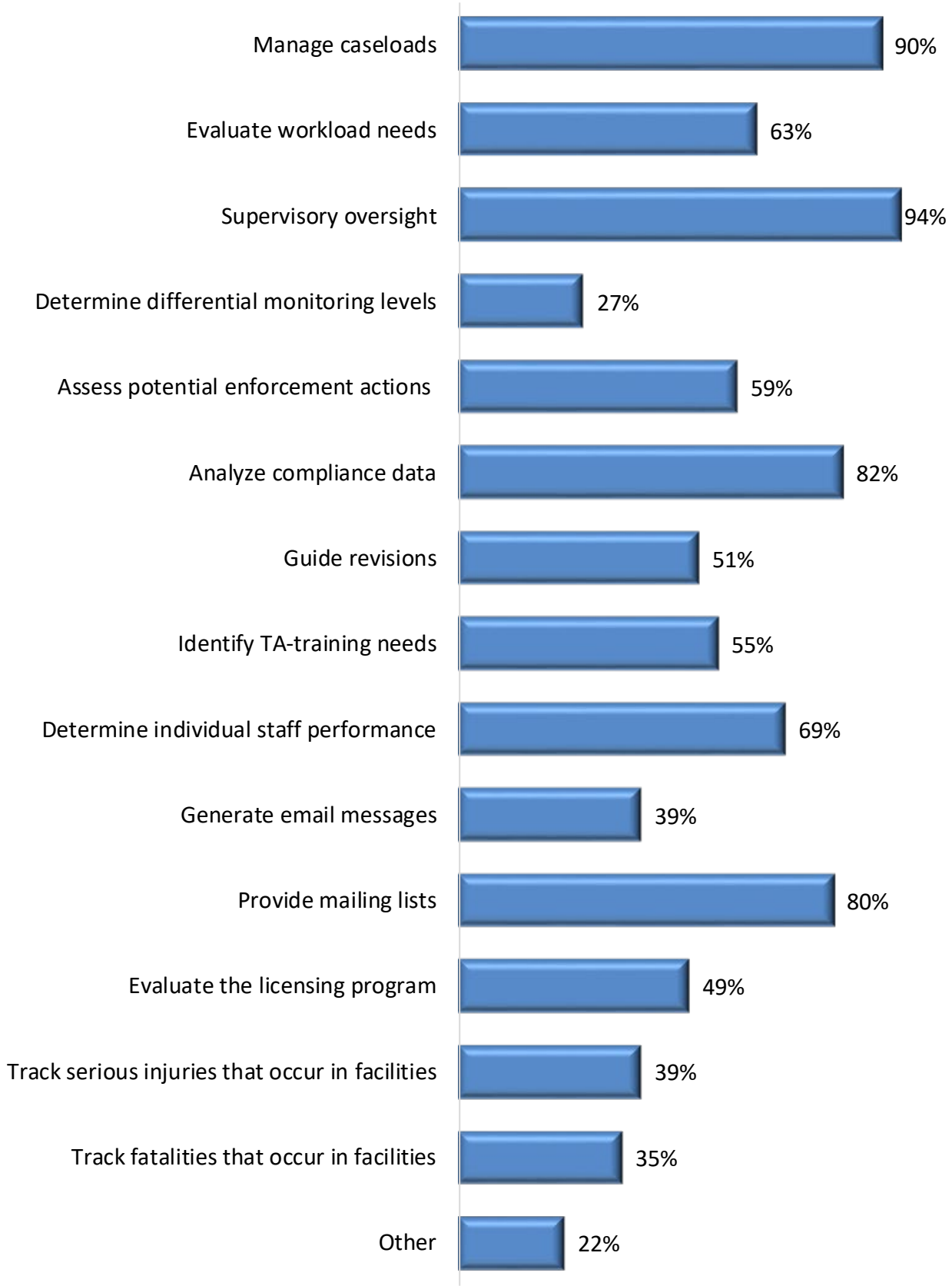
State	Manage caseloads	Evaluate workload needs	Supervisory oversight	Determine differential monitoring levels	Assess potential enforcement actions	Analyze compliance data	Guide revisions
OR	•	•	•			•	
PA	•	•	•		•	•	
RI	•		•		•	•	•
SC	•	•	•		•	•	•
SD	•	•				•	•
TN	•	•	•	•	•	•	
TX	•		•		•	•	
UT	•	•	•	•	•	•	•
VA	•	•	•			•	
VI							
VT	•	•	•		•		•
WA	•		•	•	•	•	•
WI	•	•	•		•	•	•
WV	•		•				
WY	•	•	•		•	•	

Use of Licensing Data – Continuation

State	Identify TA-training needs	Determine individual staff performance	Generate email messages	Provide mailing lists	Evaluate the licensing program*	Track serious injuries that occur in facilities	Track fatalities that occur in facilities	Other
Total	27	34	19	39	24	19	17	11
AK	•	•	•	•	•	•	•	
AL		•		•		•	•	
AR		•		•		•		
AZ	•	•	•	•	•			
CA	•	•			•		•	•
CO		•				•		•
CT	•	•		•			•	
DC	•				•	•	•	•
DE								
FL	•	•	•	•	•			
GA	•	•	•	•	•	•	•	•
GU								
HI		•		•				
IA								•
ID								
IL	•	•	•	•	•			
IN	•	•	•	•	•	•		
KS	•	•	•	•	•	•	•	
KY	•		•	•	•	•	•	•
LA		•	•	•				
MA		•		•	•	•		
MD		•	•	•				
ME		•		•	•			
MI	•			•				
MN				•				
MO	•	•	•	•	•			
MS		•						
MT	•	•		•	•	•	•	
NC	•	•		•	•	•		•

State	Identify TA-training needs	Determine individual staff performance	Generate email messages	Provide mailing lists	Evaluate the licensing program*	Track serious injuries that occur in facilities	Track fatalities that occur in facilities	Other
ND								
NE		•		•				
NH		•		•				
NJ			•	•				
NM	•	•			•	•		
NV	•	•	•		•	•	•	
NY	•	•		•	•			•
OH	•			•	•	•	•	
OK	•	•		•				
OR			•	•		•	•	
PA								
RI			•	•		•	•	
SC	•			•				•
SD	•			•		•	•	
TN	•	•		•	•			
TX		•	•	•	•		•	
UT	•	•	•	•	•	•	•	•
VA			•	•				
VI								
VT	•		•	•				
WA	•	•		•	•			•
WI	•	•						
WV		•		•				
WY		•		•	•		•	

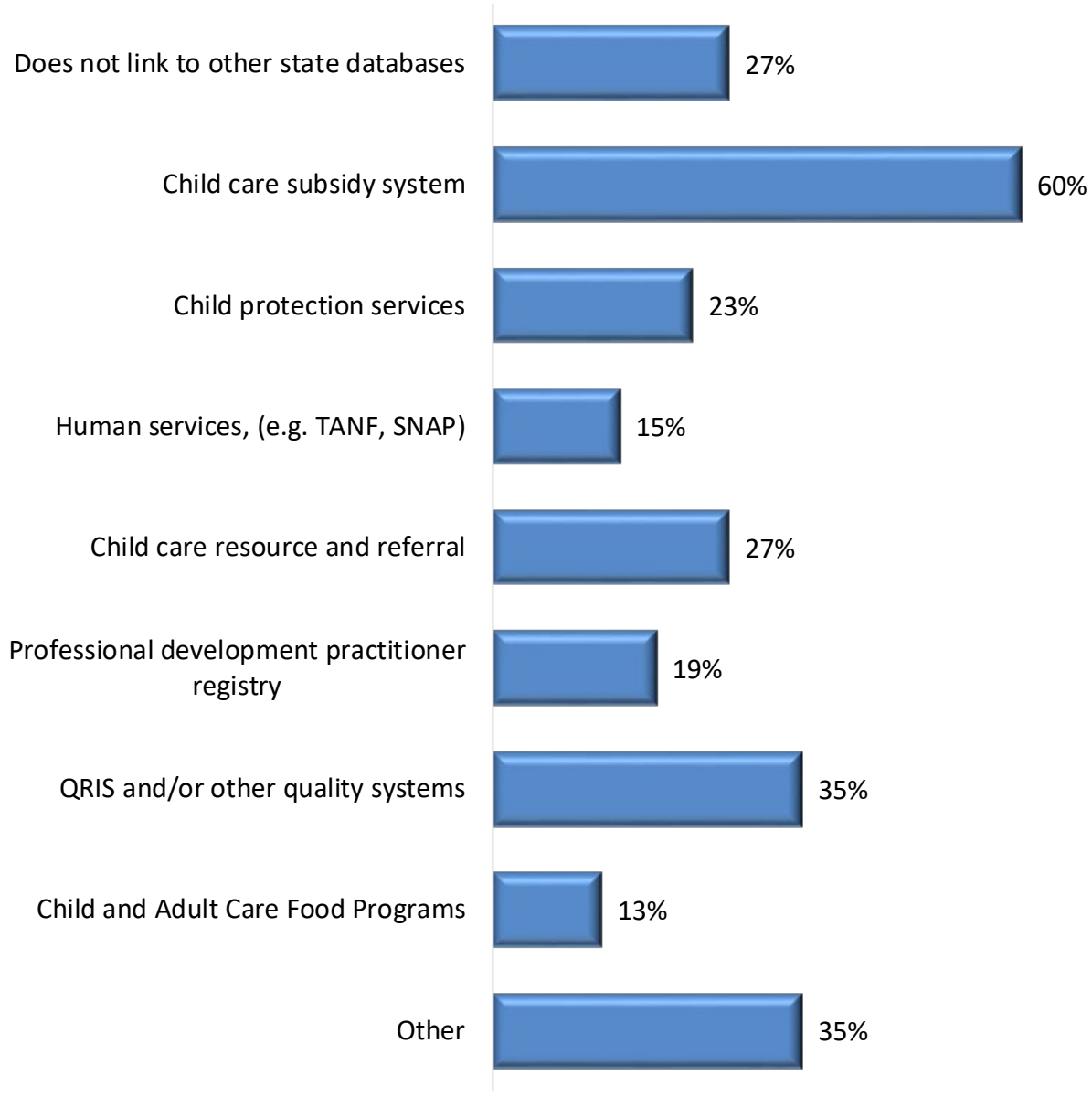
**Full Description – To Evaluate the licensing program and measure the effectiveness of enforcement strategies or the impact of policy changes over time on outcomes such as improved compliance, fewer revocations or fewer child injuries*


Manage caseloads
90%
Evaluate workload needs
63%
Supervisory oversight
94%
Determine differential monitoring levels
27%
Assess potential enforcement actions
59%
Analyze compliance data
82%
Guide revisions
51%
Identify TA-training needs
55%
Determine individual staff performance
69%
Generate email messages
39%
Provide mailing lists
80%
Evaluate the licensing program
49%
Track serious injuries that occur in facilities
39%
Track fatalities that occur in facilities
35%
Other
22%

Database Linkages

Question: Is the licensing database linked to other state databases?

Analysis: Of the 50 states that reported having a licensing database, 48 responded to this follow-up question with 60% of those states responding reporting linking with the child care subsidy system and 35% reporting linking with QRIS or other quality systems. Three states, or just over 6%, reported that they linked with a "Consultant or training registry", and several states indicated that they linked with other agencies such as the State Fire Marshall, criminal history databases, registry qualifications tracking systems. A total of 13 of the states responding (27%) reported not linking to other state databases. Two states reported that, while databases were not linked, data were shared between several departments.



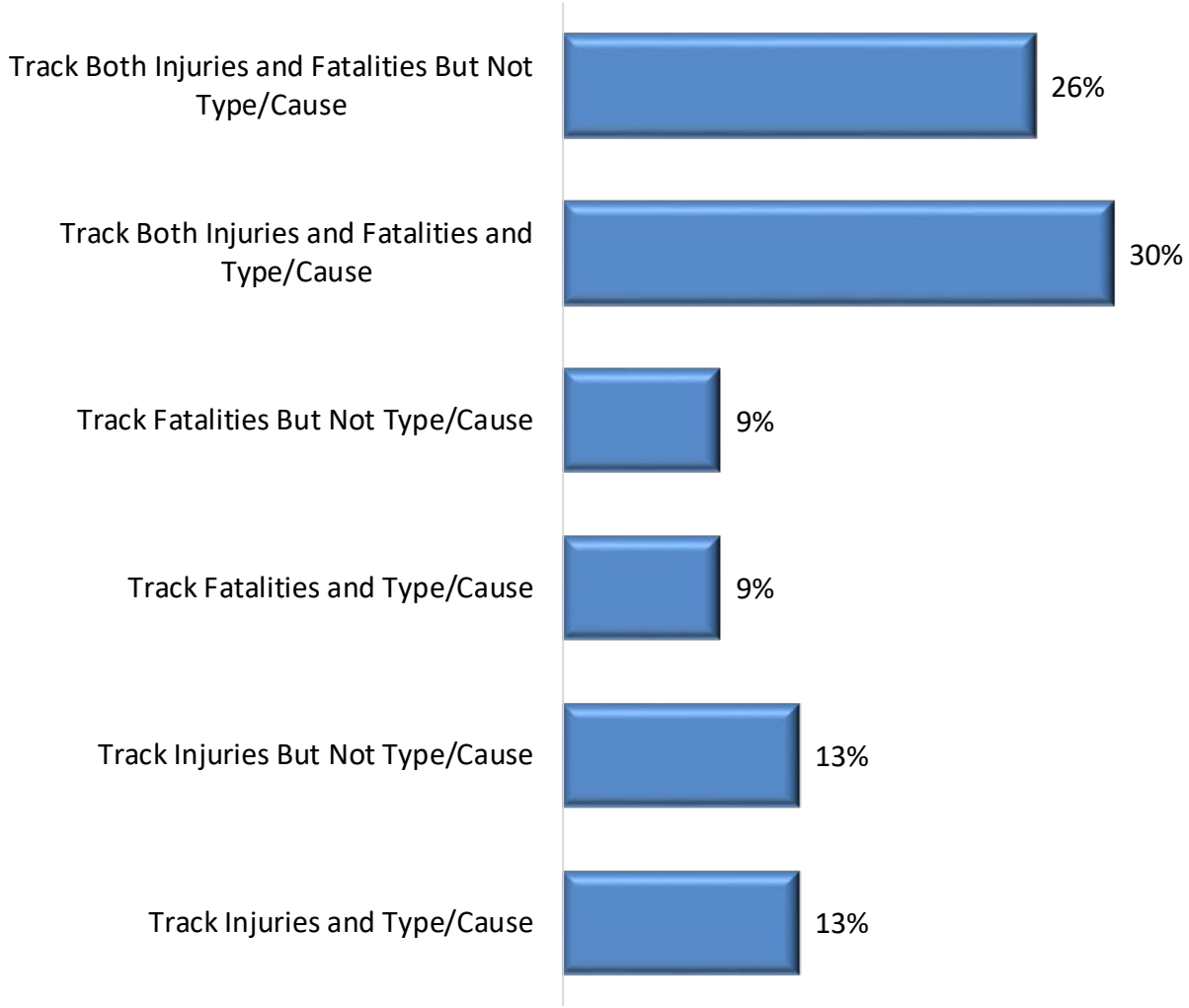
Licensing Database Linkages

State	Does not link to other state databases	Child care subsidy system	Child protection services	Human services, (e.g. TANF, SNAP)	Child care resource and referral	Professional development practitioner registry	QRIS and/or other quality systems	Child and Adult Care Food Programs	Other
Total	**13**	**29**	**11**	**7**	**13**	**9**	**17**	**6**	**17**
AK		•		•					
AL	•	•							
AR		•					•		
AZ	•								
CA									•
CO		•	•						
CT	•								
DC		•				•	•		•
DE	•								
FL	•								
GA		•					•	•	
GU	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
HI		•		•					•
IA									•
ID	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported
IL			•						•
IN		•			•		•		•
KS	•								•
KY	•	•					•		
LA	•								
MA		•			•		•		
MD		•							
ME		•	•		•		•	•	
MI		•		•	•			•	
MN		•			•	•	•	•	
MO	•								•
MS	•								•
MT		•	•		•	•	•		
NC									•
ND	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
NE						•	•		
NH	•								
NJ			•		•				
NM		•	•						
NV	•								
NY		•			•			•	•
OH		•				•	•		•
OK		•	•	•			•		
OR					•	•	•		
PA		•							
RI		•	•	•					•
SC		•			•	•	•		
SD		•	•	•					
TN		•							•
TX			•						•
UT		•			•	•	•	•	
VA		•							

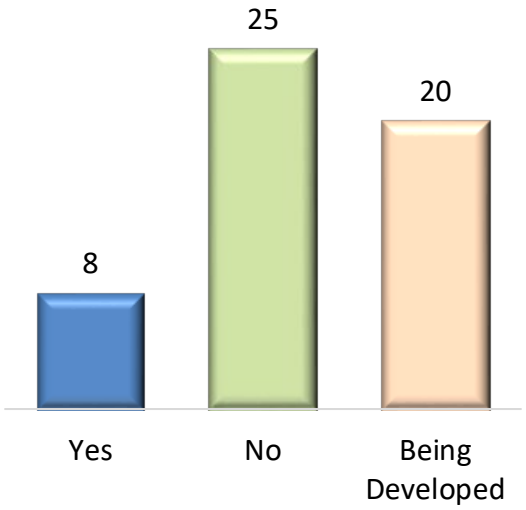
State	Does not link to other state databases	Child care subsidy system	Child protection services	Human services, (e.g. TANF, SNAP)	Child care resource and referral	Professional development practitioner registry	QRIS and/or other quality systems	Child and Adult Care Food Programs	Other
VI	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
VT		•		•	•	•	•		•
WA	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported	Not Reported
WI		•	•				•		•
WV		•			•				
WY	•								

Question: If your database system tracks serious injuries and fatalities that occur in child care facilities, does the system capture and categorize them by type and cause?

Analysis: Only 23 states (43%) track injuries and/or fatalities in their licensing database. Of those, 56% track both fatalities and injuries but only 30% percent also track type and cause. For states that track only Injuries or Fatalities (but not both), they are evenly split as to whether they also track type and cause.



Question: Does your state have an online license application process or is one being developed?



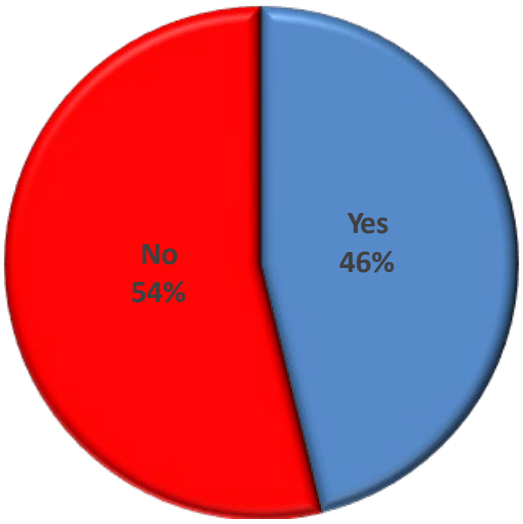
Portable Devices and Other Tools

Question: Is your state using, or considering using, portable, hand-held devices such as smart phones, laptops, and/or computer tablets with specific software for capturing information during licensing inspections?

Analysis: Between 62% and 63% of states report that they use portable devices for inspections of the facilities they regulate. Between 30% and 35% of states are either considering the use of portable devices or expanding their use of portable devices. A total of 84% of states who did not report using portable devices are considering their use for at least one facility type.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Portable devices used for inspections	33	29	25
State is considering the use of portable devices for inspections	17	14	14

Question: Is the state using, or considering using, any other tools/devices/technology (such as laser measuring devices)?

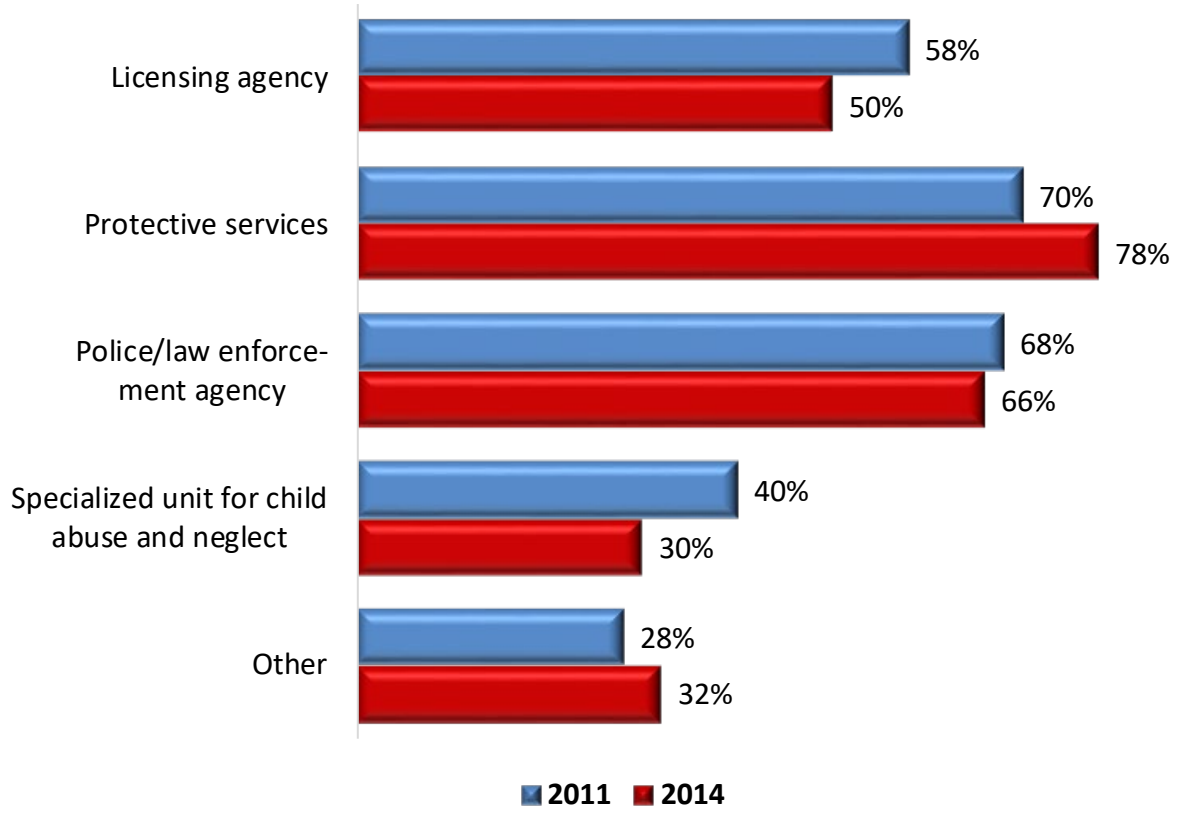


COMPLAINTS

Summary:

When a licensing agency conducts complaint investigations, there was little change between 2011 and 2014 in who conducted the investigation. The responsibility usually fell to the same staff who conduct initial/routine compliance inspections. However, there was an increase between 2011 and 2014 in the number of states reporting that a separate agency or some other entity conducted the investigations.

Between 2011 and 2014 the responsibility for child abuse and neglect complaint investigations moved from the licensing agency to protective services. There was a slight decrease in the percentage of states reporting that police or law enforcement were involved in complaints but a 10% drop in the number of states reporting the use of a specialized unit for child abuse and neglect.



The remaining questions regarding complaints in the 2014 survey were not addressed in 2011.

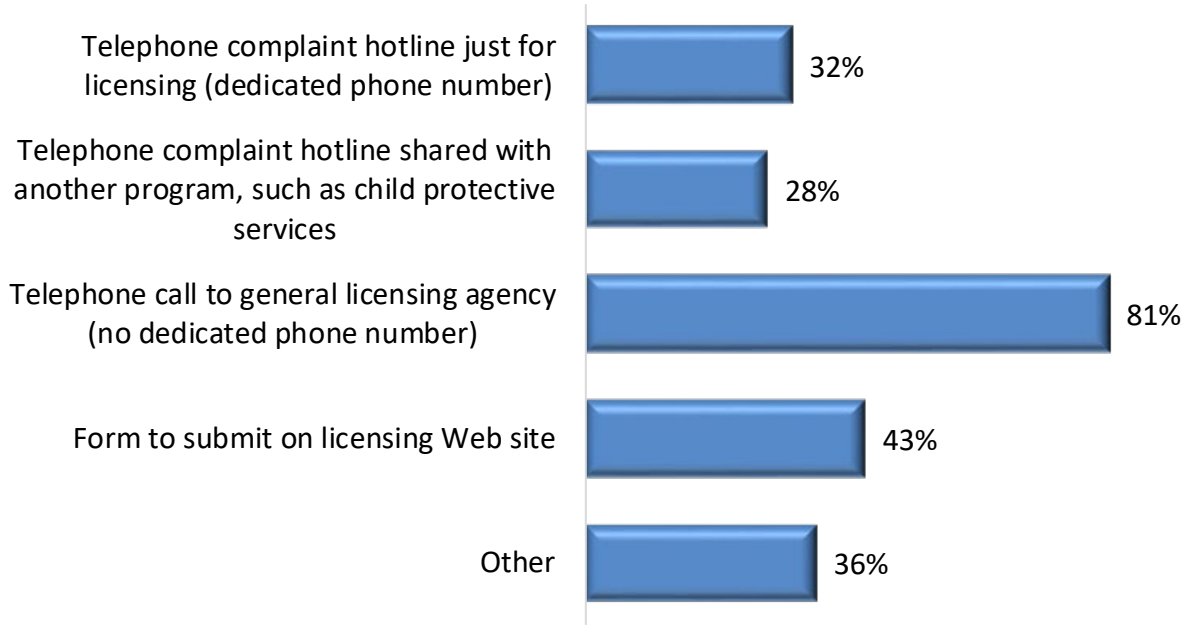
Complaint Submissions

Question: What mechanisms are in place for parents to submit complaints about licensed child care providers?

Analysis: All 53 states reported that parents had some method of reporting complaints. The most frequently reported method (81% of states) was for parents to submit complaints to a general licensing agency number. The second most frequently used method (43%) was a form submitted on a licensing website. Less than half the states reported using a different method than a call to the general licensing number. The most frequent method mentioned in "Other" was email.

State	Telephone complaint hotline just for licensing (dedicated phone number)	Telephone complaint hotline shared with another program, such as child protective services	Telephone call to general licensing agency (no dedicated phone number)	Form to submit on licensing Web site	Other
Total	17	15	43	23	19
AK			•		
AL	•				
AR			•	•	
AZ			•	•	
CA	•		•		•
CO	•				
CT	•				
DC	•				
DE		•	•		
FL			•		•
GA			•		•
GU			•		
HI			•		•
IA		•	•		•
ID		•		•	
IL	•	•	•	•	•
IN			•	•	
KS		•	•		•
KY		•	•	•	
LA			•		•
MA			•		•
MD	•		•		
ME	•	•	•		
MI	•			•	
MN			•		
MO			•	•	•
MS	•			•	
MT			•	•	
NC			•	•	•
ND			•		
NE			•	•	
NH			•	•	
NJ		•	•		•
NM		•	•		
NV			•	•	•
NY	•			•	
OH	•		•	•	•
OK		•	•		
OR			•		
PA			•	•	
RI		•	•		
SC		•	•		•
SD			•		
TN	•		•		•
TX		•	•	•	•
UT	•		•	•	
VA	•			•	
VI			•		

State	Telephone complaint hotline just for licensing (dedicated phone number)	Telephone complaint hotline shared with another program, such as child protective services	Telephone call to general licensing agency (no dedicated phone number)	Form to submit on licensing Web site	Other
VT	•			•	
WA		•	•		
WI			•		•
WV			•	•	•
WY	•	•	•	•	



Complaint Investigations

Question: Does the state licensing agency conduct investigations on licensing complaints?

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Licensing agency conducts complaint investigations	53	45	40

**Note that Vermont responded that the licensing agency conducts investigations for large/group FCC homes despite reporting that they do not regulate them. Their response has been removed from the count and any analysis.*

Question: If the licensing agency conducts complaint investigations, what agency staff or other professionals are used to conduct the investigations?

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Same staff who conduct inspections for initial licensure and routine compliance	51	43	39
Separate staff who only work on complaint investigations	13	12	10
Staff from another agency	13	11	11

**Note that Vermont responded affirmatively to all three categories for large/group FCC homes despite reporting that they do not regulate them. Their response has been removed from the count and any analysis.*

Question: Do investigations of complaints include an unannounced visit to the facility?

Analysis: About two-thirds of states responding to this survey question (N=51) reported the use of unannounced visits to a facility to investigate a complaint. 63% reported using unannounced visits for every complaint, while 29% reporting using an unannounced visit only when an on-site visit is needed for the investigation.

State	Yes, an unannounced visit is conducted for every complaint received	Yes, but only when an on-site visit is needed for the investigation	No, unannounced visits are not routinely conducted	No, visits are conducted, but they are announced	Other
Total	34	15	0	2	3
AK	•				
AL	•				
AR	•				
AZ		•			
CA	•				
CO	•				
CT	•				
DC	•				
DE					
FL	•				
GA		•			
GU	•				
HI		•			
IA	•				
ID	•				
IL	•				•
IN	•				
KS	•				
KY	•				

State	Yes, an unannounced visit is conducted for every complaint received	Yes, but only when an on-site visit is needed for the investigation	No, unannounced visits are not routinely conducted	No, visits are conducted, but they are announced	Other
LA	•				
MA	•				
MD	•				
ME	•				
MI	•				
MN		•			
MO		•			•
MS	•				
MT	•				
NC	•				
ND	•				
NE	•				
NH		•			
NJ	•				
NM	•				
NV		•			
NY	•				
OH		•			
OK		•			
OR	•				
PA		•			
RI	•				
SC					
SD	•				
TN	•				
TX		•			
UT		•			
VA	•				
VI				•	
VT				•	•
WA		•			
WI		•			
WV		•			
WY	•				

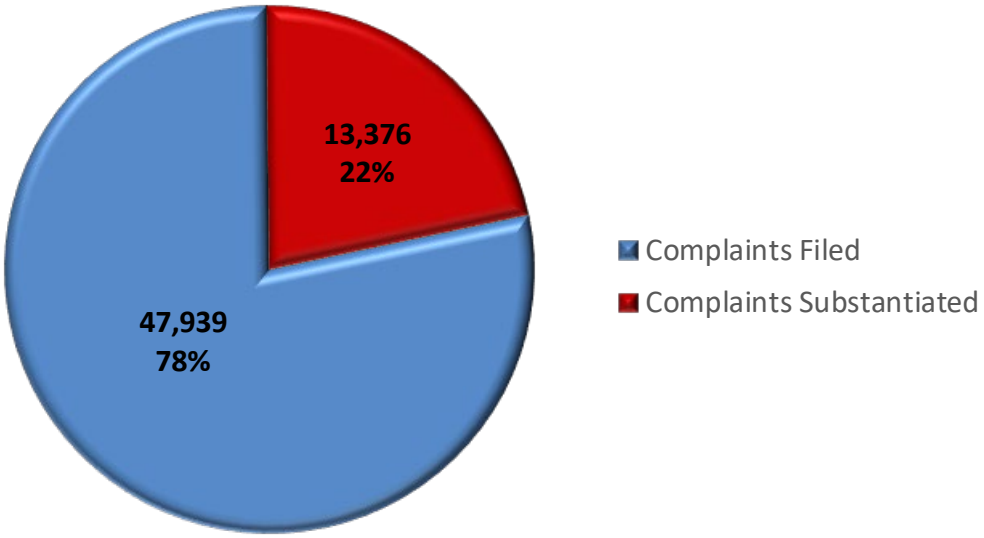
Question: The state investigates complaints filed anonymously for which type of licensed child care facilities?

**States answered affirmatively to this question despite not regulating this type of facility.*

State	No	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Number of States that Regulate		53	46	40
Total	3	50	42	35
AK		•	•	•
AL		•	•	•
AR		•	•	
AZ	•			
CA		•	•	•
CO	•			
CT		•	•	•
DC		•	•	•
DE		•	•	•

State	No	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
FL		•	•	•
GA		•	•	•
GU		•	•	•
HI		•	•	•
IA		•	•	•
ID		•		•
IL		•	•	•
IN		•		
KS		•	•	•
KY		•	•	
LA		•		
MA		•	•	
MD		•	•	•
ME		•	•	
MI		•	•	•
MN		•		
MO		•	•	•
MS		•	•	•
MT		•	•	•
NC		•	•	
ND		•	•	•
NE		•	•	•
NH		•	•	•
NJ		•		
NM		•	•	•
NV		•	•	•
NY		•	•	•
OH		•		•
OK		•	•	•
OR		•	•	•
PA		•	•	•
RI		•	•	•
SC		•	•	•
SD		•		
TN		•	•	•
TX		•	•	•
UT	•			
VA		•	•	
VI		•	•	•
VT		•	•	*
WA		•	•	
WI		•	•	
WV		•		
WY		•	•	•

Question: How many licensing complaints were filed in CALENDAR YEAR 2014? How many were substantiated?
43 states reporting



Question: What was the nature of the licensing complaints that were filed in CALENDAR YEAR 2013? Please list the top 4 most frequently cited types of complaints in 2013, based on the areas of licensing violations.

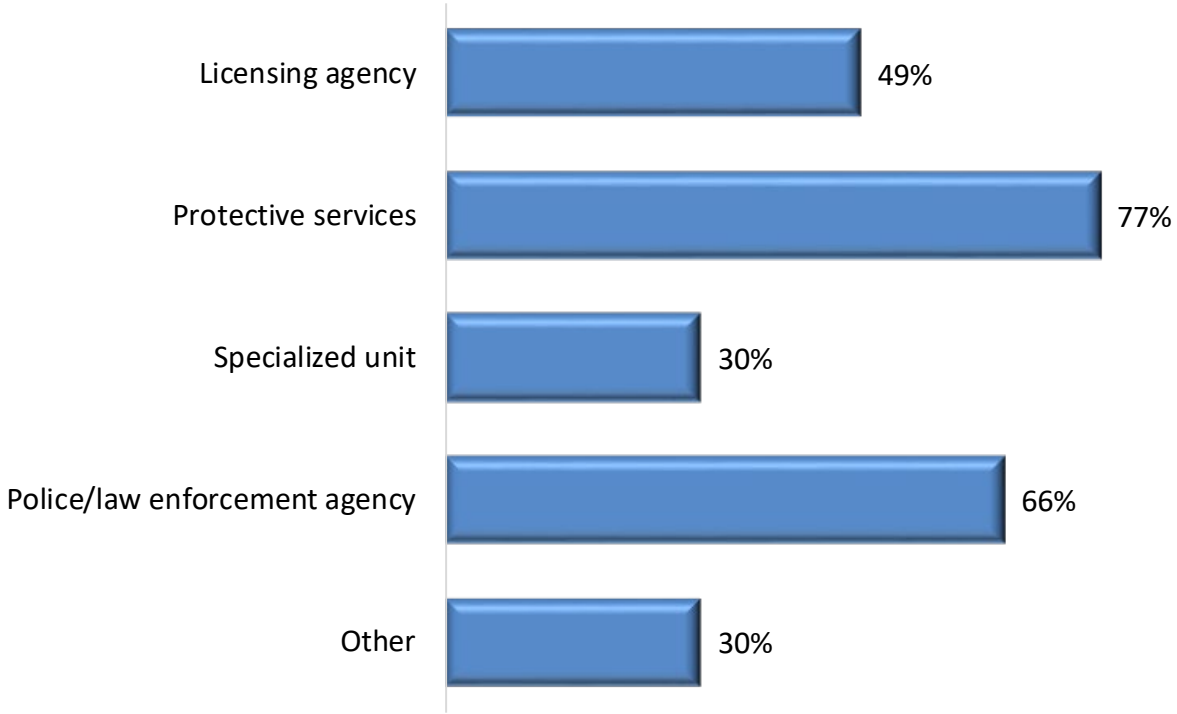
Analysis: A total of 37 states responded to this question. Almost 92% reported issues with Ratios, while more than 75% reported issues with Supervision. More than 43% of respondents reported complaints related to behavior or discipline while Almost 38% of respondents reported complaints related to health or cleanliness.

Question: Which state agencies investigate child abuse and neglect complaints against child care facilities?

Analysis: All 53 states responded and 77% of states indicated that child protective services investigate abuse and neglect complaints. Police/law enforcement investigates complaints in 66% of states and the licensing agency investigates complaints in just under half the states.

State	Licensing agency	Protective services	Specialized unit for child abuse and neglect	Police/law enforcement agency	Other
Total	26	41	16	35	16
AK	•			•	
AL		•		•	
AR		•	•	•	•
AZ	•			•	
CA	•	•		•	•
CO		•		•	
CT	•	•		•	
DC	•	•		•	
DE		•	•	•	
FL		•		•	•
GA	•	•		•	•
GU	•	•	•		
HI	•	•			

State	Licensing agency	Protective services	Specialized unit for child abuse and neglect	Police/law enforcement agency	Other
IA	•	•	•		•
ID				•	
IL		•			•
IN		•			
KS		•		•	•
KY		•	•	•	•
LA		•			
MA	•	•		•	
MD	•	•		•	
ME	•	•		•	
MI		•			
MN			•		
MO	•		•	•	•
MS	•		•		•
MT		•		•	
NC	•	•	•	•	
ND		•		•	
NE		•		•	
NH	•			•	
NJ			•		
NM	•			•	
NV	•	•		•	•
NY		•			•
OH		•			
OK	•	•		•	
OR		•	•		
PA	•	•		•	
RI	•	•		•	•
SC	•	•	•	•	•
SD		•		•	
TN		•	•		•
TX	•				•
UT	•	•		•	
VA	•	•		•	
VI		•		•	
VT	•		•	•	
WA			•		
WI		•		•	
WV		•	•		
WY		•			



Question: Does the licensing agency investigate or make referrals when complaints are received on legally-exempt facilities?

Analysis: Almost 56% of reporting states (N=52) said complaints are investigated for license-exempt facilities if there are allegations of abuse or neglect. Just over 44% of states investigate to determine or verify that the facility is legally exempt (not subject to licensing). While almost 29% of states reported that the licensing agency does not investigate complaints filed against legally-exempt facilities, every state at least had a mechanism in place for filing complaints against license-exempt facilities.

State	Yes, all complaints are investigated	Yes, a referral is made on allegations of abuse or neglect	Yes, if there are allegations of serious health and safety risks	Yes, to determine or verify that the facility is legally exempt (not subject to licensing)	Yes, a referral is made to the subsidy program if the legally-exempt provider is receiving federal or state funding	No, the licensing agency does not investigate complaints filed against legally-exempt facilities	No, there is no mechanism for a complaint to be filed against a license-exempt facility	Other
Total	10	29	7	23	8	15	0	17
AK	•							
AL		•				•		•
AR	•	•						
AZ		•	•	•	•			•
CA	•	•		•				•
CO						•		
CT	•	•		•	•			
DC						•		
DE								
FL		•		•	•			•

State	Yes, all complaints are investigated	Yes, a referral is made on allegations of abuse or neglect	Yes, if there are allegations of serious health and safety risks	Yes, to determine or verify that the facility is legally exempt (not subject to licensing)	Yes, a referral is made to the subsidy program if the legally-exempt provider is receiving federal or state funding	No, the licensing agency does not investigate complaints filed against legally-exempt facilities	No, there is no mechanism for a complaint to be filed against a license-exempt facility	Other
GA		•		•				•
GU	•	•	•	•				
HI				•				
IA						•		•
ID								•
IL		•						•
IN						•		
KS		•				•		
KY		•		•		•		
LA		•		•				
MA		•						
MD								•
ME		•						
MI		•						
MN		•						
MO				•				
MS		•		•				
MT								•
NC						•		•
ND	•	•						
NE				•				
NH			•	•				•
NJ						•		
NM						•		
NV	•	•	•	•	•			
NY								•
OH		•		•				
OK		•		•				
OR						•		
PA						•		
RI		•	•	•	•			
SC		•				•		•
SD								•
TN		•	•	•				
T•				•		•		
UT		•		•	•			
VA	•							
VI	•	•			•			
VT		•	•					
WA								•
WI				•				
WV		•		•		•		•
WY	•	•		•	•			

ENFORCEMENT ACTIONS

Summary:
There was an apparent increase in every type of enforcement action available for every facility type between 2011 and 2014. The largest increase was in the number of states reporting emergency closure of a facility for both centers and large/group FCC homes with denial of license and conditional licensure as the next most common options. The largest increase for family FCC homes was in conditional licensure, followed closely by immediate closure.

There was a net increase of two states reporting that subsidy payments were suspended by enforcement actions. The same number of states reported that the subsidy payment was affected when the enforcement action took effect, while there was a slight decrease in the number of states reporting that subsidies were affected when the enforcement action was not appealed or was upheld. An additional five states reported in 2014 that the suspension of the subsidy payment varied by the type of enforcement action.

A total of 43 states reported in both 2011 and 2014 on how the subsidy agency was notified of licensing enforcement actions taken against a facility. There was an increase of 9% of states reporting that an electronic notice was automatically generated and a 14% increase the number of states reporting that [personal contact is made between the licensing and subsidy agency. There was a 12% decrease in the number of states reporting linkages between licensing and subsidy databases.

Enforcement Policy Options

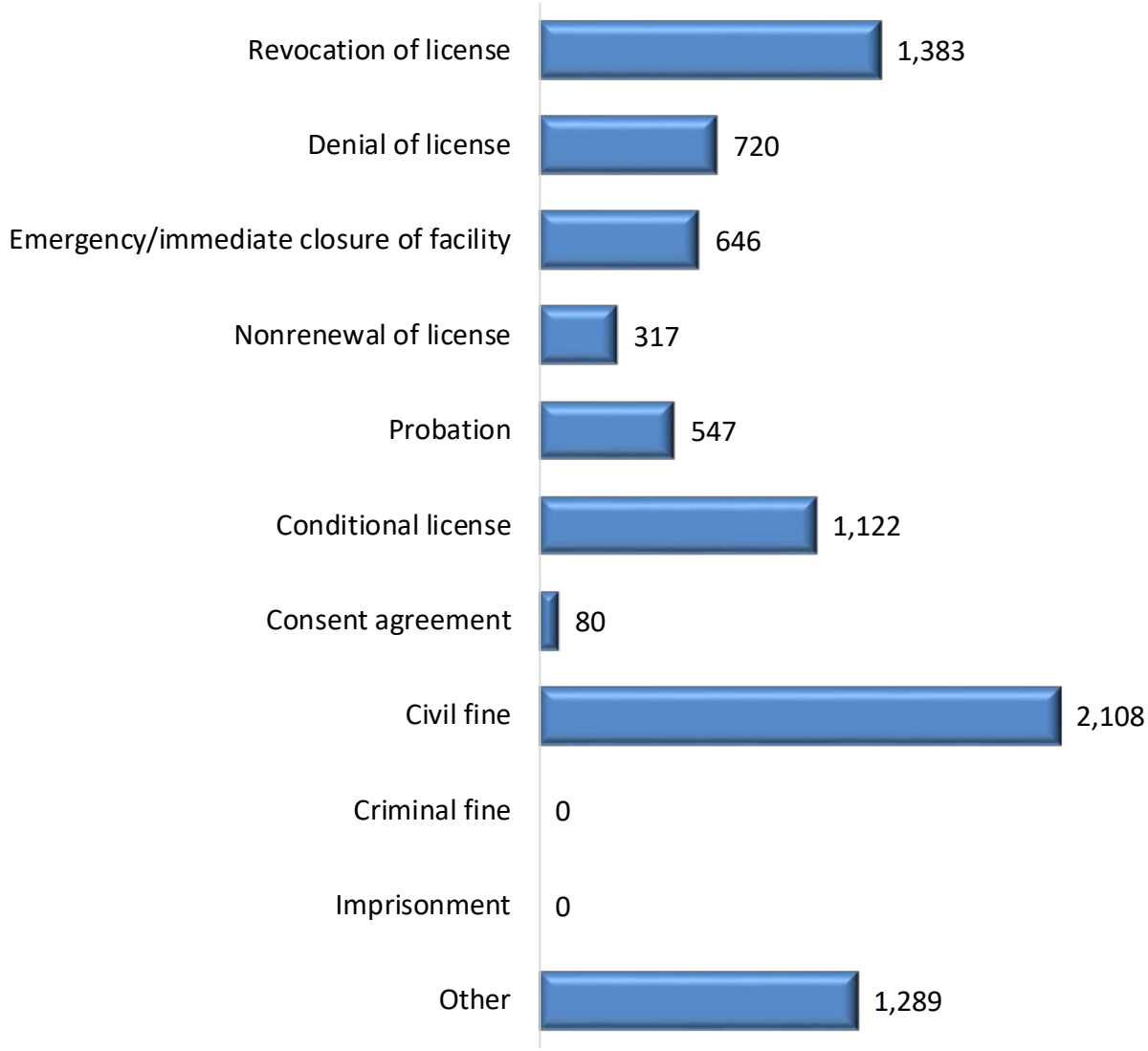
Question: Indicate which of the following corrective and adverse enforcement actions does policy allow you to use with licensed child care facilities?

Analysis: Revocation of license, denial of license, and emergency/immediate closure of the facility were the most commonly reported enforcement actions with almost every state having those options for facilities they regulate. About 80% of states said conditional licenses was an option while between 68% and 75% of states reported nonrenewal of license as an option. Civil fines were also an option in 50% to 60% of states.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Revocation of license	52	45	39
Denial of license	52	46	40
Emergency/immediate closure of facility	52	46	38
Nonrenewal of license	36	32	30
Probation	23	22	18
Conditional license	42	36	31
Consent agreement	18	17	14
Civil fine	29	26	20
Criminal fine	7	6	6
Imprisonment	3	4	3
Other	23	18	15

Questions: Please indicate which of the following corrective and adverse enforcement actions were used with child care facilities and the number of enforcement actions that were taken in CALENDAR YEAR 2013?

Analysis: Despite every state reporting that policy allowed revocation of license, non-renewal of license, and emergency facility closure, civil fines are the most frequently used enforcement action by more than one and a half times as often as the next most frequent enforcement action, revocation of license. The third most frequent action (besides those in the Other category as a whole) was a conditional license. Civil fines are used more than three times as often as immediate closure. No enforcement actions were reported that lead to imprisonment or criminal fines.

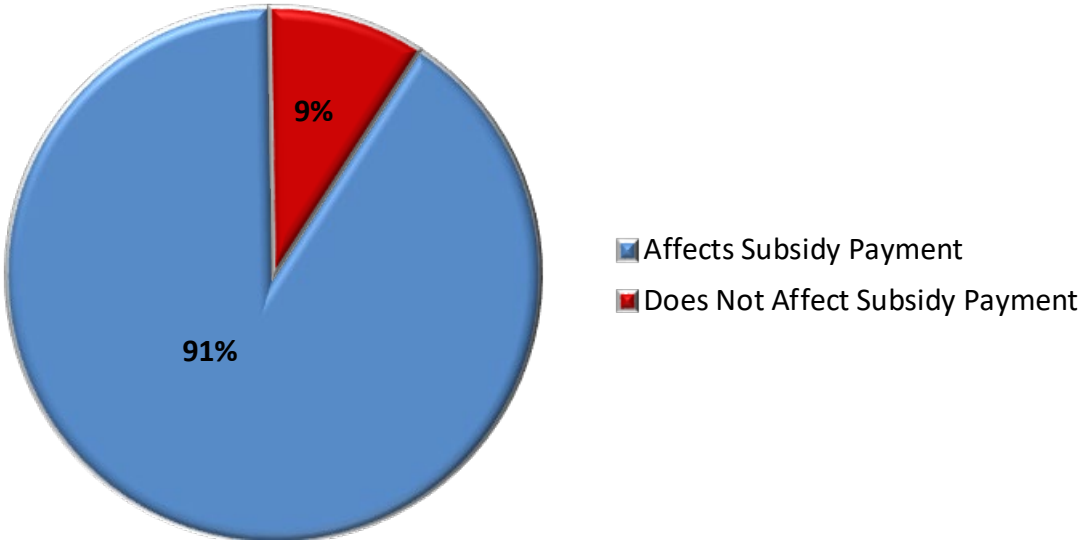


The most frequently cited examples of "Other" enforcement actions included:

- Modification of license/Provisional license
- Corrective action
- Temporary suspension of license and/or Restraining Order
- Referral to other state agency
- Written reprimand or warning
- Reduction in QRIS rating
- Mandated training
- Termination of staff

Enforcement Actions and Subsidy Payments

Question: If a licensing enforcement action is taken against a facility, does that affect the provider's receipt of child care assistance/subsidy payment?



Question: The receipt of subsidy payment is discontinued under these circumstances?

Analysis: One-fourth of states reporting that a subsidy payment was affected (N=48) indicated that the subsidy payment was affected when an enforcement action was made effective, and just over 29% said the payment was affected if the action was not appealed or when the action was upheld. Two thirds of states reported the impact on subsidy payments mostly varied by the type of enforcement action.

State	An enforcement action is made effective	The action is not appealed or is upheld	Varies by type of enforcement action	Other
Total	12	14	32	22
AK			•	•
AL			•	
AR			•	•
AZ			•	•
CA				•
CO				•
CT				•
DC			•	
DE			•	•
FL	•	•		•
GA				•
GU				
HI	•	•	•	
IA			•	
ID			•	
IL	•	•	•	•
IN				•
KS				•
KY	•	•	•	
LA	•			

State	An enforcement action is made effective	The action is not appealed or is upheld	Varies by type of enforcement action	Other
MA			•	
MD				•
ME	•	•		
MI			•	
MN	•	•	•	•
MO			•	
MS				
MT			•	
NC	•	•	•	•
ND			•	•
NE				•
NH				
NJ		•		
NM				•
NV			•	
NY			•	•
OH	•	•		
OK	•	•	•	
OR			•	
PA				•
RI	•	•	•	
SC		•	•	•
SD				
TN			•	•
TX			•	
UT				
VA		•	•	
VI	•	•	•	
VT			•	
WA			•	
WI			•	
WV			•	
WY				

Question: How is the subsidy agency notified of licensing enforcement actions taken against a facility?

Analysis: Every state responded to this question and nearly 80% reported that personal contact is made between the licensing and subsidy agencies. Approximately two-thirds of states reported using at least one of the other two methods with four states (7.5%) reporting that they used both.

State	An electronic notice is automatically generated	Personal contact is made between the licensing and subsidy agencies	There is a link between the licensing and subsidy agency databases, and enforcement actions are monitored
Total	18	42	18
AK	•	•	•
AL		•	•
AR		•	
AZ	•	•	
CA	•	•	
CO	•	•	

State	An electronic notice is automatically generated	Personal contact is made between the licensing and subsidy agencies	There is a link between the licensing and subsidy agency databases, and enforcement actions are monitored
CT		•	
DC		•	
DE		•	
FL	•		
GA	•	•	
GU	•	•	
HI		•	•
IA		•	
ID		•	•
IL	•	•	
IN			•
KS	•		
KY		•	•
LA		•	
MA			•
MD			•
ME		•	•
MI			•
MN			•
MO		•	
MS		•	
MT		•	
NC	•	•	
ND		•	
NE		•	
NH		•	
NJ		•	
NM	•	•	
NV		•	
NY		•	•
OH			•
OK		•	
OR		•	
PA	•		
RI	•	•	•
SC		•	•
SD		•	
TN		•	
TX	•		
UT	•	•	•
VA		•	
VI		•	•
VT	•	•	•
WA	•		
WI		•	
WV		•	
WY	•	•	

SHARING LICENSING INFORMATION

Summary:

Between 2011 and 2104 there was a net increase of five states that made either a full inspection report or summary report available online. In 2011, eight states did not have reports available online, and 13 states did not have an online report but were planning to make one available. By 2014 seven states did not have the reports online and 10 were planning to add them in the future.

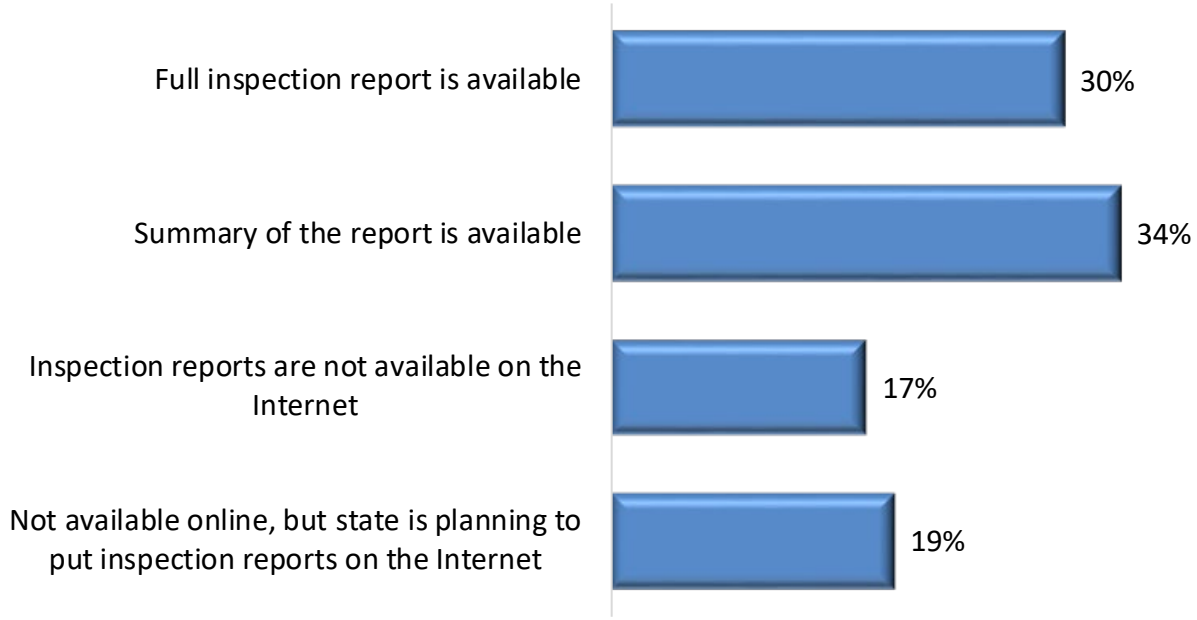
Between 2011 and 2014, of the 51 states included in both years and that also reported posting licensing information online, three additional states posted all complaints and one additional state posted substantiated complaints online.

Questions regarding whether internet reports include enforcement actions taken against a program, whether child care providers were given the opportunity to review reports before they are posted to the Web site, and whether the state provided the public any guidance on understanding or interpreting licensing inspection reports were not asked in 2011.

Shared Online

Question: Are licensing inspection reports available on the Internet for parent and public access?

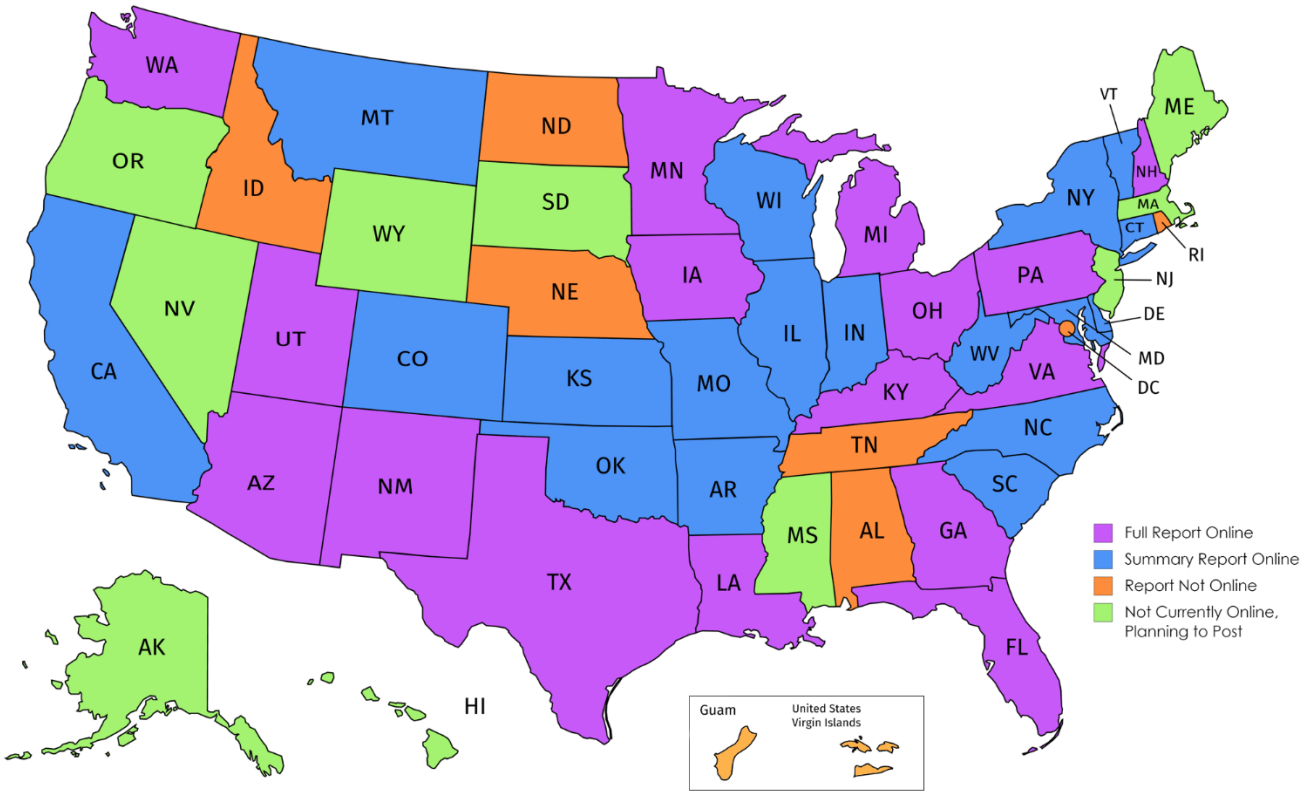
Analysis: Approximately 64% of states report information online for parent and public access with about 30% posting a full report and 34% posting a summary report. An additional 19% of states done currently post information online but are planning to do so.



State	Yes, the full inspection report is available	Yes, a summary of the report is available	No, inspection reports are not available on the Internet	No, but state is planning to put inspection reports on the Internet
Total	16	18	9	10
AK				•
AL			•	
AR		•		
AZ	•			
CA		•		
CO		•		
CT		•		
DC			•	
DE		•		
FL	•			
GA	•			
GU			•	
HI				•
IA	•			
ID			•	
IL		•		
IN		•		
KS		•		
KY	•			
LA	•			
MA				•
MD		•		
ME				•
MI	•			
MN	•			
MO		•		
MS				•
MT		•		
NC		•		
ND			•	
NE			•	
NH	•			
NJ				•
NM	•			
NV				•
NY		•		
OH	•			
OK		•		
OR				•
PA	•			
RI			•	
SC		•		
SD				•
TN			•	
TX	•			
UT	•			
VA	•			
VI			•	
VT		•		

State	Yes, the full inspection report is available	Yes, a summary of the report is available	No, inspection reports are not available on the Internet	No, but state is planning to put inspection reports on the Internet
WA	•			
WI		•		
WV		•		
WY				•

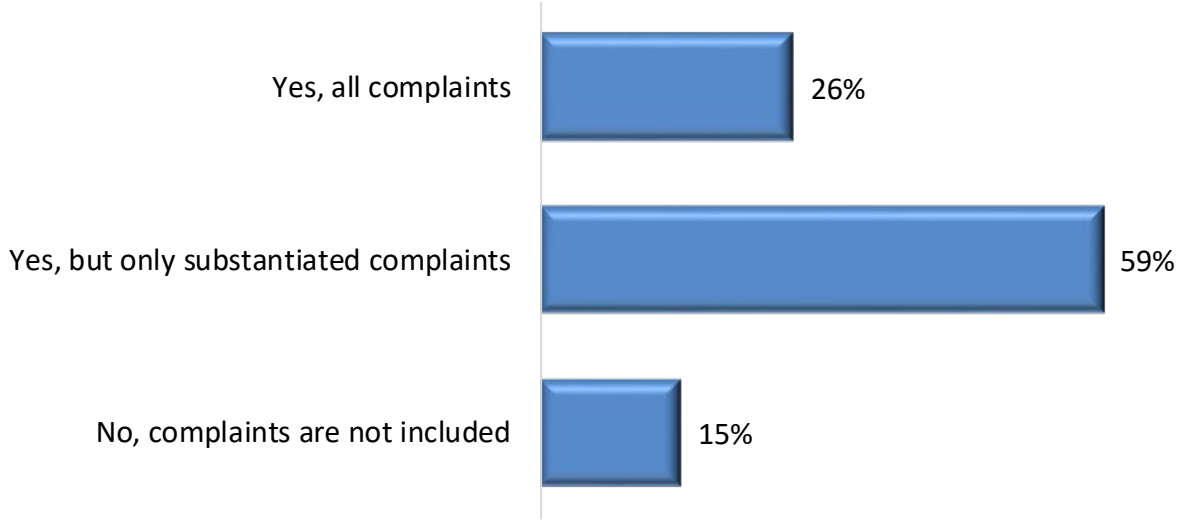
Map 4 Availability of Inspections Online



Complaint Information Shared

Question: If licensing inspection reports are available on the Internet, are complaints filed against facilities included?

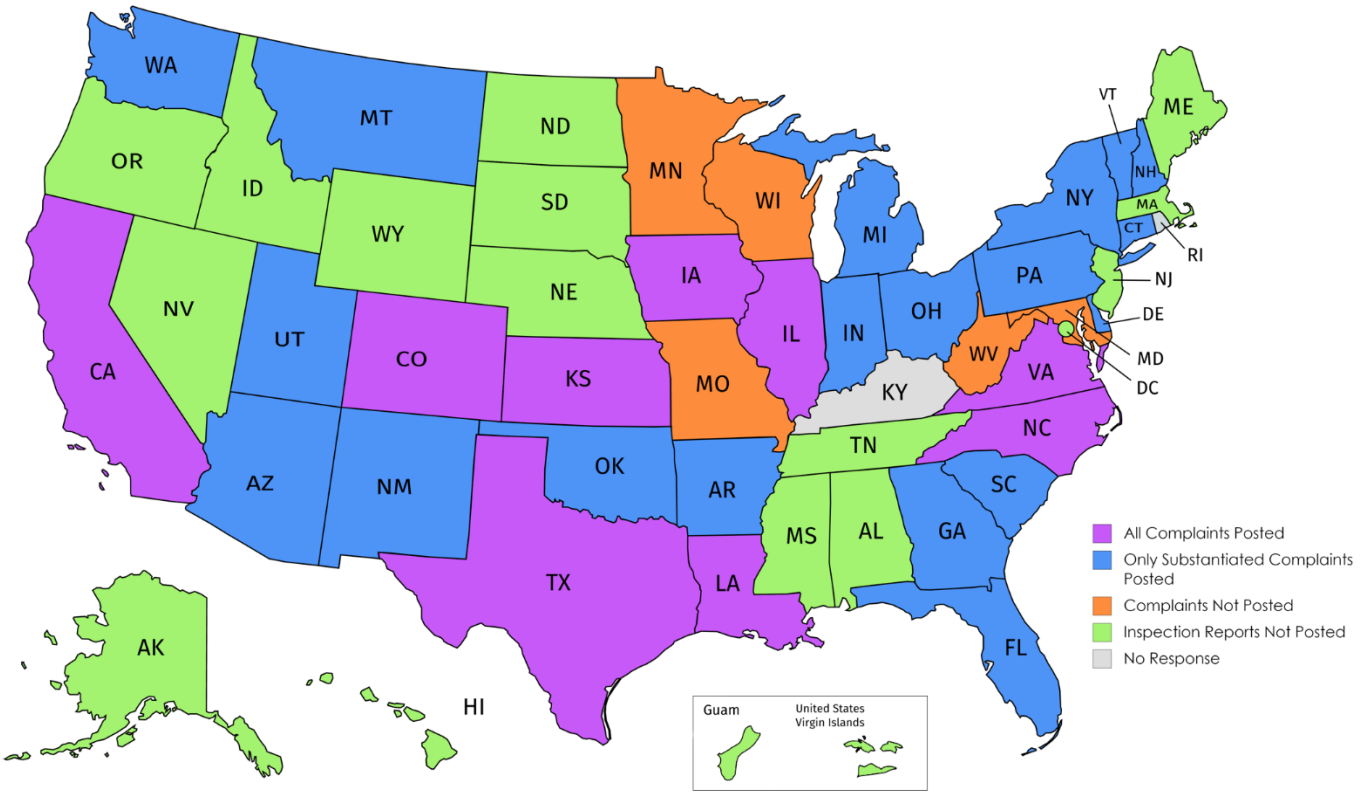
Analysis: Of the 34 states that make inspection reports available online, 29 also include complaints filed against facilities. In 20 of those 29 states, complaints are only included if they are substantiated.



State	Yes, all complaints	Yes, but only substantiated complaints	No, complaints are not included	Licensing Inspections are not available online
Total	9	20	5	19
AK				•
AL				•
AR		•		
AZ		•		
CA	•			
CO	•			
CT		•		
DC				•
DE		•		
FL		•		
GA		•		
GU				•
HI				•
IA	•			
ID				•
IL	•			
IN		•		
KS	•			
KY				
LA	•			
MA				•
MD			•	
ME				•
MI		•		
MN			•	

State	Yes, all complaints	Yes, but only substantiated complaints	No, complaints are not included	Licensing Inspections are not available online
MO			•	
MS				•
MT		•		
NC	•			
ND				•
NE				•
NH		•		
NJ				•
NM		•		
NV				•
NY		•		
OH		•		
OK		•		
OR		•		•
PA		•		
RI				•
SC		•		
SD				•
TN				•
TX	•			
UT		•		
VA	•			
VI				•
VT		•		
WA		•		
WI			•	
WV			•	
WY				•

Map 5 Posting Complaints Online



Question: Do Internet reports include enforcement actions taken against a program? Are child care providers given the opportunity to review reports before they are posted to the Web site?

Analysis: A total of 34 states reported posting inspection reports online and 59% of those states also report enforcement actions against a program. A total of 18 states (53%) give child care providers an opportunity to review reports before they are posted online.

**Despite answering affirmatively to this question, these states do not yet publish licensing inspection reports online. They are excluded from any counts and analysis.*

State	Reports published online include enforcement actions taken against the program	Child care providers are given the opportunity to review reports before they are posted to the interne	Licensing reports not posted online
Total	20	18	19
AK			•
AL			•
AR		•	
AZ	•	•	
CA			
CO	•		
CT	•		
DC			•
DE	•	•	
FL	•	•	
GA		•	
GU			•

State	Reports published online include enforcement actions taken against the program	Child care providers are given the opportunity to review reports before they are posted to the interne	Licensing reports not posted online
HI			•
IA			
ID			•
IL	•		
IN	•	•	
KS	•		
KY			
LA	•	•	
MA			•
MD		•	
ME			•
MI	•		
MN	•		
MO		•	
MS			•
MT			
NC	•		
ND			•
NE			•
NH	•	•	
NJ			•
NM	•	•	
NV			•
NY	•		
OH	•	•	
OK		•	
OR		*	•
PA	•		
RI	*		•
SC		•	
SD			•
TN			•
TX	•	•	
UT		•	
VA		•	
VI			•
VT			
WA	•		
WI	•		
WV		•	
WY			•

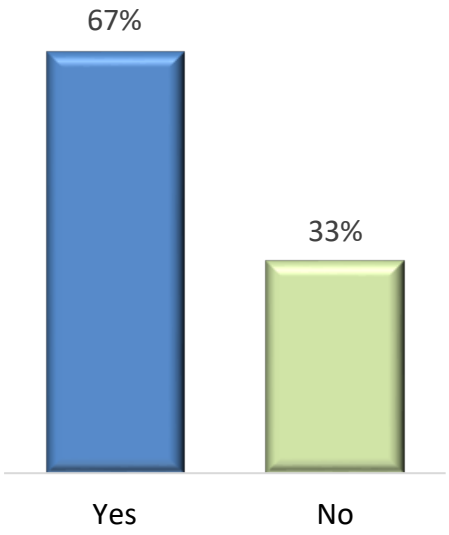
Question: Does the state provide the public any guidance on understanding or interpreting licensing inspection reports?

Analysis: Two-thirds of states that post licensing reports online provide guidance on understanding or interpreting the reports. While excluded from the overall counts and analysis, a total of five states that do not post licensing reports online reported that they provided guidance.

**These states reported that they provided guidance to the public on understanding licensing reports but they do not yet publish licensing inspection reports online. They are excluded from any counts and analysis.*

State	No, the State does not provide guidance to the public	Yes, the state provides guidance to the public	Licensing Inspection Reports Not Posted Online
Total	11	22	19
AK			•
AL			•
AR		•	
AZ		•	
CA		•	
CO		•	
CT	•		
DC			•
DE		•	
FL	•		
GA	•		
GU	•		•
HI		*	•
IA	•		
ID			•
IL		•	
IN		•	
KS		•	
KY		•	
LA	•		
MA			•
MD	•		
ME		*	•
MI	•		
MN		•	
MO	•		
MS	•		•
MT	•		
NC		•	
ND			•
NE			•
NH		•	
NJ		*	•
NM		•	
NV			•
NY		•	
OH		•	
OK		•	
OR		*	•
PA	•		
RI			•
SC		•	
SD	•		•

State	No, the State does not provide guidance to the public	Yes, the state provides guidance to the public	Licensing Inspection Reports Not Posted Online
TN	•		•
TX		•	
UT		•	
VA		•	
VI			•
VT	•		
WA			
WI		•	
WV		•	
WY		*	•



ILLEGALLY OPERATING PROVIDERS

Summary:
Illegally operating providers were not addressed in the 2011 survey.

Identifying Illegally Operating Providers

Question: How does your agency address the issue of illegally operating providers (providers who are required to be licensed under state statute but are not)?

Analysis: Every state said they respond to complaints received from the public when trying to address illegally operating providers. Almost half (49%) work with local law enforcement, while 38% use public information/education campaigns to help inform the public. Less than 20% of states monitor provider listings for illegally operating providers. Other methods included working with various partner agencies such as protective services, the fire marshal or subsidy agency.

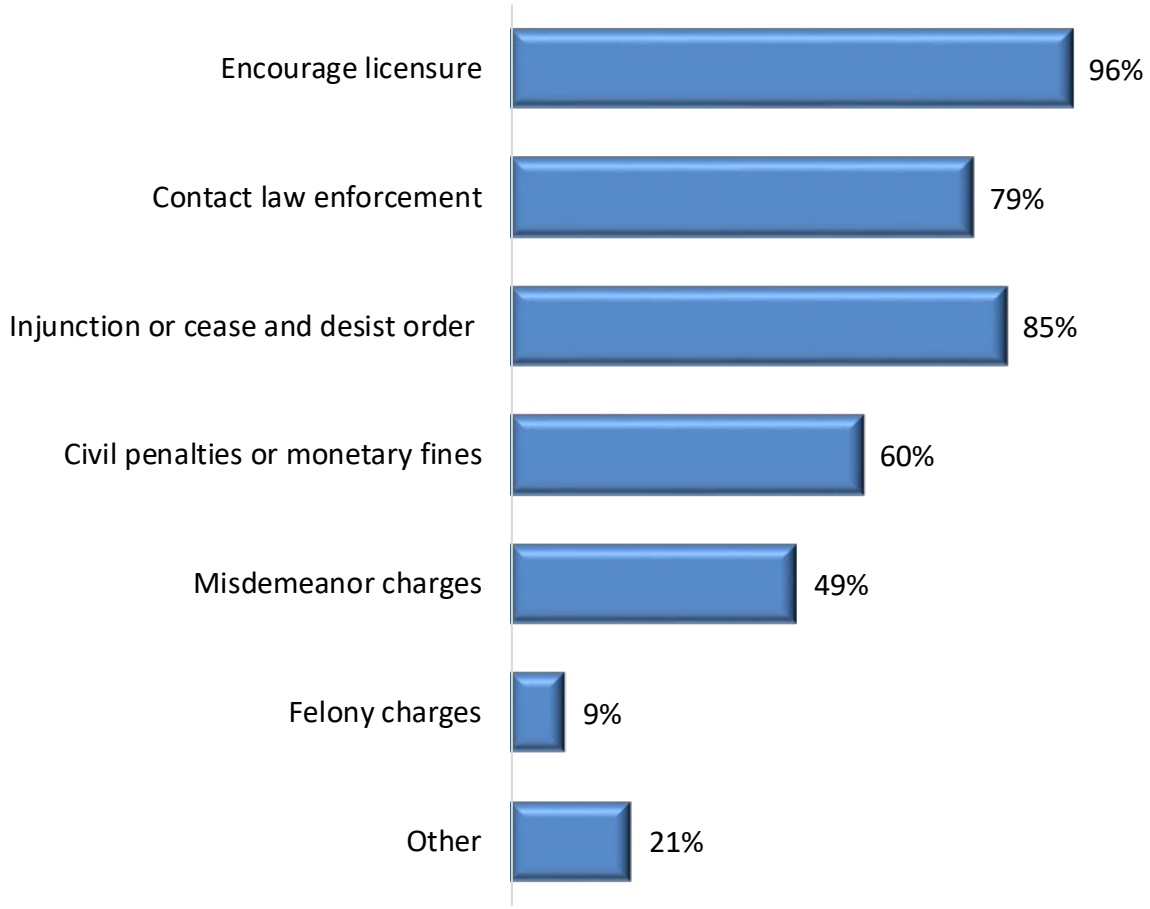
State	Respond to complaints received by the public	Monitor listings where providers advertise	Seek to educate the public with a campaign about licensing	Work with local law enforcement	Other
Total	53	10	20	26	8
AK	•		•	•	•
AL	•				•
AR	•				
AZ	•		•	•	
CA	•		•		
CO	•				
CT	•				
DC	•				
DE	•		•	•	
FL	•		•	•	
GA	•		•	•	
GU	•			•	
HI	•				
IA	•			•	
ID	•				•
IL	•				
IN	•		•	•	
KS	•		•		
KY	•			•	•
LA	•				
MA	•	•	•	•	
MD	•		•		
ME	•		•		•
MI	•				
MN	•				
MO	•				
MS	•	•		•	
MT	•				
NC	•			•	
ND	•	•	•	•	
NE	•			•	
NH	•	•			•
NJ	•			•	

State	Respond to complaints received by the public	Monitor listings where providers advertise	Seek to educate the public with a campaign about licensing	Work with local law enforcement	Other
NM	•				
NV	•	•	•	•	
NY	•		•		•
OH	•			•	
OK	•			•	
OR	•				
PA	•				
RI	•	•		•	
SC	•		•	•	•
SD	•			•	
TN	•			•	
TX	•	•	•	•	
UT	•		•	•	
VA	•				
VI	•	•			
VT	•		•		
WA	•		•	•	
WI	•				
WV	•	•		•	
WY	•	•	•		

Addressing Illegally Operating Providers

Question: What actions can be taken when a provider is found to be operating illegally?

Analysis: When a provider is found to be operating illegally, more than 96% of states encourage the provider to become licensed, while in nearly 85% of the cases an injunction or cease and desist order may be issued. In 79% of the instances, law enforcement may be contacted while just over 60% of the time an illegally operating provider may face civil penalties, monetary fines, or misdemeanor charges. In just over 9% of states felony charges may be filed.



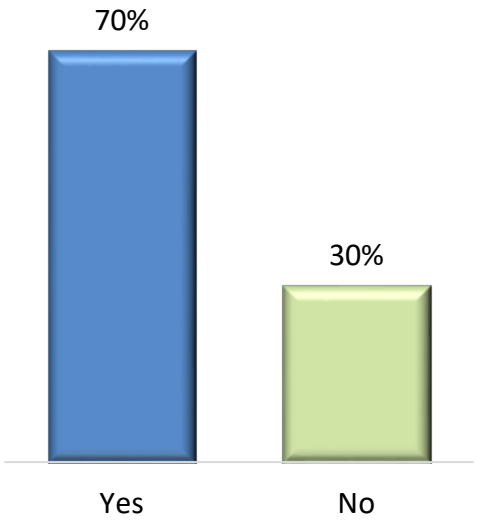
State	The provider may be encouraged to become licensed when possible	Law enforcement may be contacted in certain circumstances	An injunction or cease and desist order may be issued	Civil penalties or monetary fines may be assessed	Misdemeanor charges may be filed	Felony charges may be filed	Other
Total	51	42	45	32	26	5	11
AK	•	•	•	•	•		
AL	•						•
AR	•	•	•				•
AZ	•		•	•			
CA	•	•	•	•			
CO	•	•	•	•	•		
CT	•	•	•	•			
DC	•	•	•				
DE	•	•	•	•	•		
FL	•	•	•	•	•	•	

State	The provider may be encouraged to become licensed when possible	Law enforcement may be contacted in certain circumstances	An injunction or cease and desist order may be issued	Civil penalties or monetary fines may be assessed	Misdemeanor charges may be filed	Felony charges may be filed	Other
GA	•	•	•	•	•		•
GU	•		•		•		
HI	•		•	•			
IA	•	•	•				
ID	•	•			•		
IL	•		•	•	•		•
IN		•	•	•	•		
KS	•	•	•				
KY	•	•	•				•
LA	•	•	•	•			
MA	•	•	•	•		•	•
MD	•	•		•			
ME	•			•			
MI	•		•				
MN	•	•	•		•		
MO	•	•	•	•			
MS	•	•	•		•		•
MT	•		•	•			
NC	•	•				•	
ND	•	•		•	•		
NE		•	•		•		
NH	•	•	•	•	•		
NJ	•	•					•
NM	•	•	•		•		
NV	•	•	•		•		
NY	•		•	•			
OH	•	•	•	•	•		
OK	•	•	•	•	•	•	
OR	•	•	•	•			
PA	•		•	•			
RI	•	•	•	•	•		
SC	•	•	•		•		•
SD	•	•					
TN	•	•	•				•
TX	•	•	•	•	•		•
UT	•	•	•	•	•		
VA	•	•	•	•			
VI	•		•				
VT	•	•	•	•			
WA	•	•	•	•	•		
WI	•	•	•	•	•	•	
WV	•	•	•		•		
WY	•	•	•	•	•		

Tracking Illegally Operating Providers

Question: Does your State keep data on investigations of illegally operating providers?

Analysis: Approximately 70% of states report that they kept data on investigations of illegally operating providers.



Question: How many illegal providers were investigated in 2013 and what actions were taken?

Analysis: A total of 37 states track illegal provider investigations and 32 were able to provide at least some data related to these programs. States reported 6,128 investigations of illegal providers in calendar year 2013. Using a weighted average, approximately 29% of investigations were substantiated. Just over 10% of the illegally operating providers became licensed while slightly less than 3% of the investigations resulted in legal action.

State	How many were investigated in the 2013 calendar year?	What percentage were substantiated as illegally operating care?	What percentage became licensed?	What percentage resulted in legal action?
Total	6,128	28.9%*	10.3%*	2.9%*
AK	11	73%	27%	18%
AL	Not Available	Not Available	Not Available	Not Available
AR	62	40%	6%	0%
AZ	174	2.5%	2.5%	10%
CA	Not Available	Not Available	Not Available	Not Available
CO	173	33%	Not Available	2%
CT	188	Not Available	Not Available	Not Available
DC	Not Available	Not Available	Not Available	Not Available
DE	34	Not Available	Not Available	0.03%
FL	Not Available	Not Available	Not Available	Not Available
GA	216	Not Available	Not Available	8%
GU	0	Not Available	Not Available	Not Available
HI	15	53%	25%	0%
IA	Not Available	Not Available	Not Available	Not Available
ID	Not Available	Not Available	Not Available	Not Available
IL	168	Not Available	Not Available	0%
IN	39	23%	3%	0%

State	How many were investigated in the 2013 calendar year?	What percentage were substantiated as illegally operating care?	What percentage became licensed?	What percentage resulted in legal action?
KS	219	37%	Not Available	Not Available
KY	127	4.5%	Not Available	0%
LA	Not Available	Not Available	Not Available	Not Available
MA	Not Available	Not Available	Not Available	Not Available
MD	308	Not Available	Not Available	Not Available
ME	Not Available	Not Available	Not Available	Not Available
MI	211	Not Available	Not Available	Not Available
MN	Not Available	Not Available	Not Available	Not Available
MO	Not Available	Not Available	Not Available	Not Available
MS	Not Available	Not Available	Not Available	Not Available
MT	26	Not Available	Not Available	0%
NC	236	34%	Not Available	1%
ND	Not Available	Not Available	Not Available	Not Available
NE	Not Available	Not Available	Not Available	Not Available
NH	38	52%	Not Available	0%
NJ	Not Available	Not Available	Not Available	Not Available
NM	Not Available	Not Available	Not Available	Not Available
NV	32	Not Available	Not Available	Not Available
NY	792	28%	8%	3%
OH	99	Not Available	Not Available	0%
OK	200	38%	9%	0%
OR	85	36%	Not Available	13%
PA	Not Available	Not Available	Not Available	Not Available
RI	25	80%	50%	10%
SC	173	36%	Not Available	Not Available
SD	10	10%	0%	0%
TN	240	28%	0%	1%
TX	1757	Not Available	Not Available	Not Available
UT	58	7%	100%	0%
VA	Not Available	Not Available	Not Available	Not Available
VI	Not Available	Not Available	Not Available	Not Available
VT	20	25%	Not Available	0%
WA	Not Available	Not Available	Not Available	Not Available
WI	340	27%	Not Available	Not Available
WV	Not Available	Not Available	Not Available	Not Available
WY	52	Not Available	Not Available	Not Available

*The total percentages were calculated by weighting each state's percentage provided by the total number of cases per state.

LICENSING FEES

Summary:
There was a net gain of three states charging licensing fees to centers between 2011 and 2014, and a net gain of one for family FCC homes. There was a net loss of one state collecting fees for large/group FCC homes in 2014.

In both 2011 and 2014 the fees for centers were predominantly based on maximum capacity, including a small shift in that direction in 2014. Fees for FCC homes were more often based on a flat fee. There was a net gain of two states reporting that licensing fees went into the General Revenue fund, and a net decrease of one state reporting that licensing fees were used solely to fund the licensing agency.

Assessing Licensing Fees

Question: What type of child care facilities does the state charge a fee for a license?

Analysis: Almost 72% of states reported that their state charged a fee for licensing child care centers while 65% of states that regulate FCC homes reported charging a license fee.

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	53	46	40
Total	38	30	26
AK			
AL			
AR	•	•	
AZ	•		•
CA	•	•	•
CO	•	•	•
CT	•	•	•
DC	•	•	•
DE			
FL	•	•	•
GA	•	•	•
GU	•	•	•
HI			
IA	•		
ID	•		•
IL			
IN			
KS	•	•	•
KY	•	•	
LA	•		
MA	•	•	
MD			
ME	•		
MI	•	•	•
MN	•	•	
MO			
MS	•	•	•
MT			
NC	•	•	
ND	•	•	•

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
NE	•	•	•
NH			
NJ	•		
NM	•	•	•
NV	•	•	•
NY			
OH	•		•
OK			
OR	•	•	•
PA			
RI	•	•	•
SC	•	•	•
SD			
TN	•	•	•
TX	•	•	•
UT	•	•	•
VA	•	•	
VI	•	•	•
VT			
WA	•	•	
WI	•	•	
WV	•		•
WY	•	•	•

Question: If licensing fees are charged, how is the fee assessed?

Analysis: For states that reported charging a licensing fee and reported how fees were assessed, licensing fees were predominantly based on maximum number of children for centers (73%) and by a flat fee for most small FCC homes (65%). The distribution was less pronounced for large/group FCC homes with 56% of states assessing a flat fee and 40% of states assessing fees based on the maximum number of children allowed in the facility.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Flat fee amount for all facilities	8	20	14
Fee is based on the maximum number of children allowed in the facility	27	8	10
Other	2	3	1

Question: If a fee is charged for a license, what is the amount of the fee for each type of child care facility?

Analysis: Fee amounts reported by each state are shown below.

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
AK	Not Reported	Not Reported	Not Reported
AL	Not Reported	Not Reported	Not Reported
AR	Capacity of 0-16 $15 Capacity of 14-99, $50 Capacity of 100+ $100	$15	Do Not Regulate
AZ	$1,000 to $7800	Do Not Regulate	$1000
CA	$484-$2420	$73	$140
CO	varies by capacity	$24 annually	$36 annually
CT	$500	$40	$250

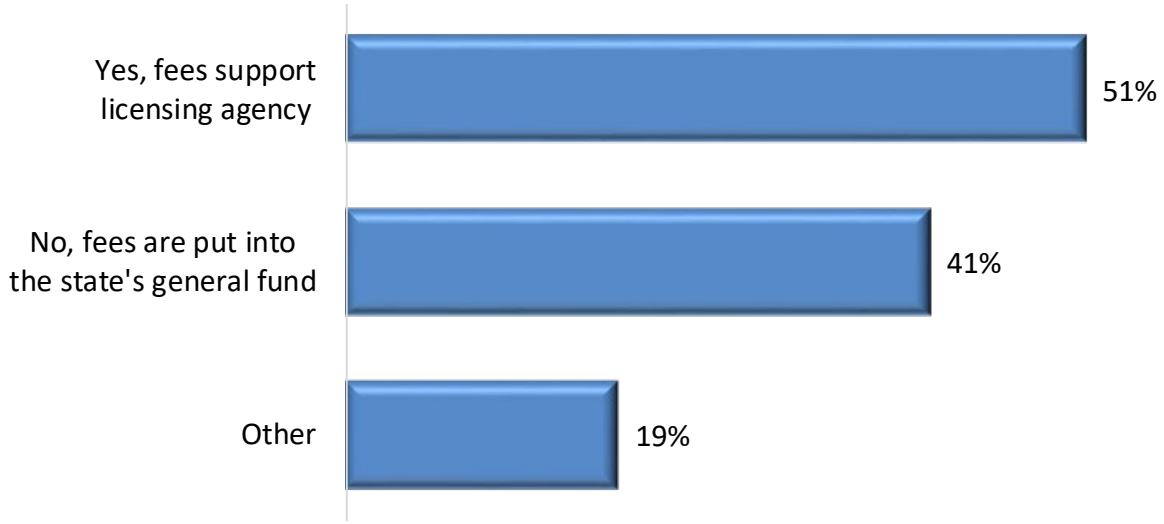
DC	$200-$400	$75	$75
DE	Not Reported	Not Reported	Not Reported
FL	$25 to $100	$50	$60
GA	$50 up to $250	$50	$50
GU	$175 (New, renewal/provisional) $200 (provisional renewal) $120 (amended) $35 (duplicate)	$5	$175 (new & provisional) $200 (renewal) $120 (amended)
HI	Not Reported	Not Reported	Not Reported
IA	$50-$150 every two year Fee is based upon capacity	Not Reported	Not Reported
ID	$325 or $250	Do Not Regulate	$100
IL	Not Reported	Not Reported	Not Reported
IN	Not Reported	Do Not Regulate	Not Reported
KS	$75 plus $1 per child	$85	$87
KY	$50 initial/ $25 renewal	$10	Do Not Regulate
LA	$25-$250	Do Not Regulate	Do Not Regulate
MA	$225-$400	$100	Do Not Regulate
MD	Not Reported	Not Reported	Not Reported
ME	$120 initial/$240 biennial	$80 initial/$160 biennial	Do Not Regulate
MI	$150-$300	50	100
MN	$200 to $1,100 annually	$50 to $100 annually	Do Not Regulate
MO	Not Reported	Not Reported	Not Reported
MS	$75- $400	$75	$150-$200
MT	Not Reported	Not Reported	Not Reported
NC	12 or fewer children = $52 13-50 children = $187 51-100 children = $375 101 or more children = $600	$52	Do Not Regulate
ND	$40	$20	$25
NE	$25-$50	$25	$25
NH	Not Reported	Not Reported	Not Reported
NJ	$119-up	Do Not Regulate	Do Not Regulate
NM	$55	$15	$15
NV	$20	$60	$100-$300
NY	Not Reported	Not Reported	Not Reported
OH	$500	Do Not Regulate	$250
OK	Not Reported	Not Reported	Not Reported
OR	Not Reported	$30	Not Reported
PA	Not Reported	Not Reported	Not Reported
RI	$500 annually	$100 every two years	$250 annually
SC	13-49 children $50 50-99 children $75; 100-199 children $100; 200+ children $125	up to 6 children $15	7-12 children $30
SD	Not Reported	Do Not Regulate	Do Not Regulate
TN	$200-$500	$100	$125
TX	$35	$35	$35
UT	$31 license fee plus $1.75 per child fee. Initial license is $200 license fee plus $1.75 per child fee.	$31 license fee	$31 license fee
VA	varies	varies	Do Not Regulate
VI	$25-$125 depending on the capacity	$25	$50-$125 depending on the capacity
VT	Not Reported	Not Reported	Do Not Regulate

WA	$125 for first 12 children $+$12 for each additional child.	$30	Do Not Regulate
WI	$30.25 + $16.94 per child in capacity for a 2-year period	$60.50 for a 2-year period	Do Not Regulate
WV	Not Reported	Not Reported	Not Reported
WY	$25	$25	$25

Uses of Licensing Fee Revenues

Question: Are the revenues collected from licensing fees used to support the licensing agency?

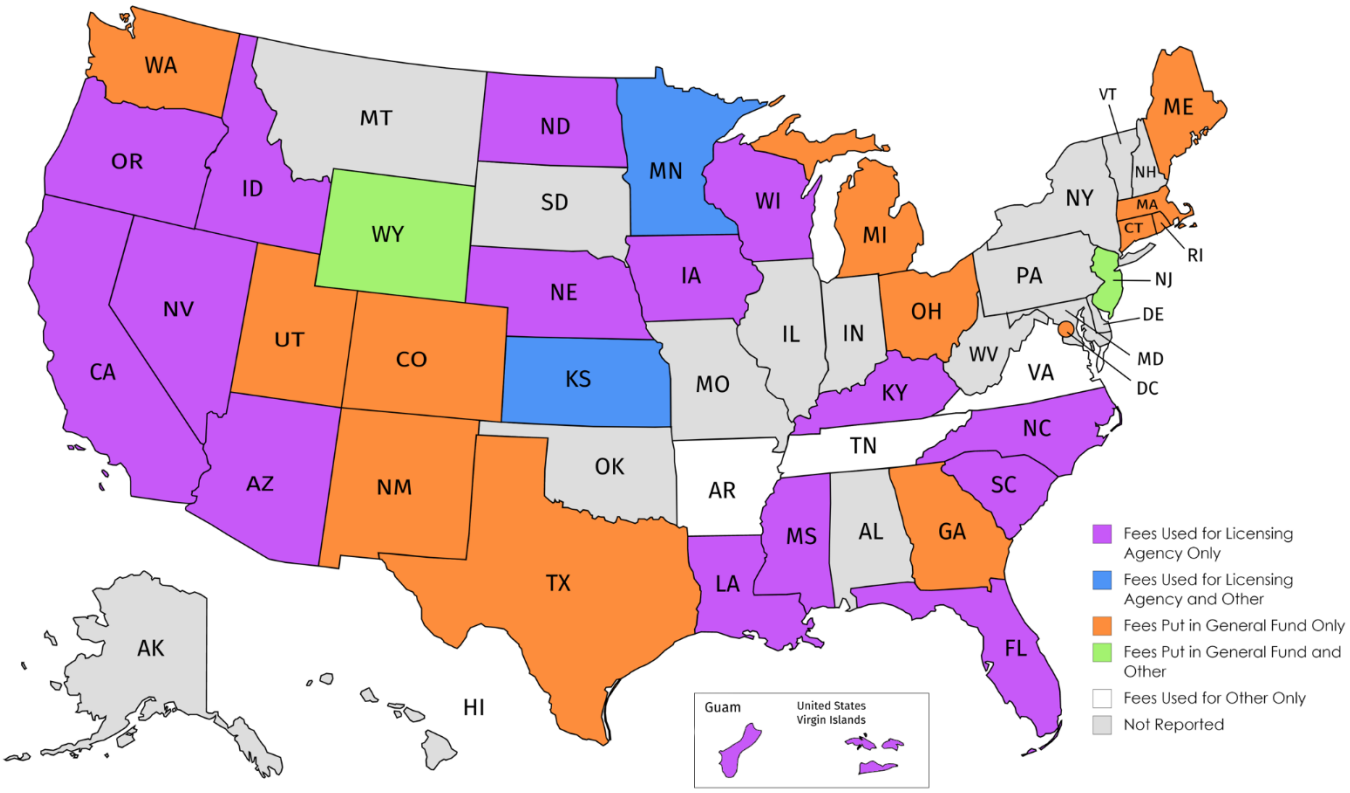
Analysis: More than half of states reporting (N=37) indicated that licensing fees were used to support the licensing agency while 413% reported fees were put into the state's general fund. Almost 20% reported other uses for licensing fees.



State	Yes, revenues from fees are used to support the licensing agency	No, revenues from fees are put into the state's general fund	Other
Total	19	15	7
AK			
AL			
AR			•
AZ	•		
CA	•		
CO		•	
CT		•	
DC		•	
DE			
FL	•		
GA		•	
GU	•		
HI			
IA	•		
ID	•		
IL			

State	Yes, revenues from fees are used to support the licensing agency	No, revenues from fees are put into the state's general fund	Other
IN			
KS	•		•
KY	•		
LA	•		
MA		•	
MD			
ME		•	
MI		•	
MN	•		•
MO			
MS	•		
MT			
NC	•		
ND	•		
NE	•		
NH			
NJ		•	•
NM		•	
NV	•		
NY			
OH		•	
OK			
OR	•		
PA			
RI		•	
SC	•		
SD			
TN			•
TX		•	
UT		•	
VA			•
VI	•		
VT			
WA		•	
WI	•		
WV			
WY		•	•

Map 6 Use of Licensing Fees



LICENSING STAFF REQUIREMENTS

Summary:

Education and Training

For the states responding to the survey in both 2011 and 2014 (N=50), a bachelor's degree was the most common education requirement for licensing staff. There was a decrease in the number of states in 2014 that required a bachelor's degree, with 76% of states requiring that level of degree in 2011 while only 64% of states required it in 2014. The numbers of states reporting other requirements remained small between the two years though the number of states reporting some other combination of degree and experience almost doubled in 2014 over those reported in 2011.

For states responding to the survey in both 2011 and 2014 (N=34), there was an increase from 44% in 2011 to 65% in 2014 of states requiring a degree or courses in early childhood education, child development, or a field related to the care and education of children There was a net change of one less state requiring experience in a child care setting, and a net increase of one state requiring annual training for licensing staff. Only 20 states completed the survey in both years regarding the content of the annual training. In those states, there was a decrease across the board in the number of states requiring specific types of training as well, with the exception of a net increase of three states requiring cultural competency and/or provider-licensor relationship / communication. States were not asked about training sources in 2011.

Revenue Sources for Staff Support

The number of states reporting revenues sources in both 2011 and 2014 was 48. Of those states, there was a net gain between 2011 and 2014 of two states reporting the CCDF as a source of revenue and a net decrease of one state reporting general state funds as a source. There was a net decrease of four states (8% of states reporting) that reported social services block grants were a funding source. While one additional state reported licensing fees as a source in 2014, there were three fewer states reporting other funding sources.

Inter-rater Reliability and Interpretive Guidelines

The number of states that have incorporated "inter-rater reliability" training or evaluation for licensing staff saw a net decrease from six in 2011 to three in 2014 and an additional two states reported that they have developed interpretive guidelines for the licensing regulations. The number of states reporting that the licensing agency has policies for disaster and emergency response for licensing staff to follow increased from 65% to 71% percent. Note that these reflect a net gain in the number of states as not all of the states that reported "Yes" to this question in 2011 responded affirmatively in 20147.

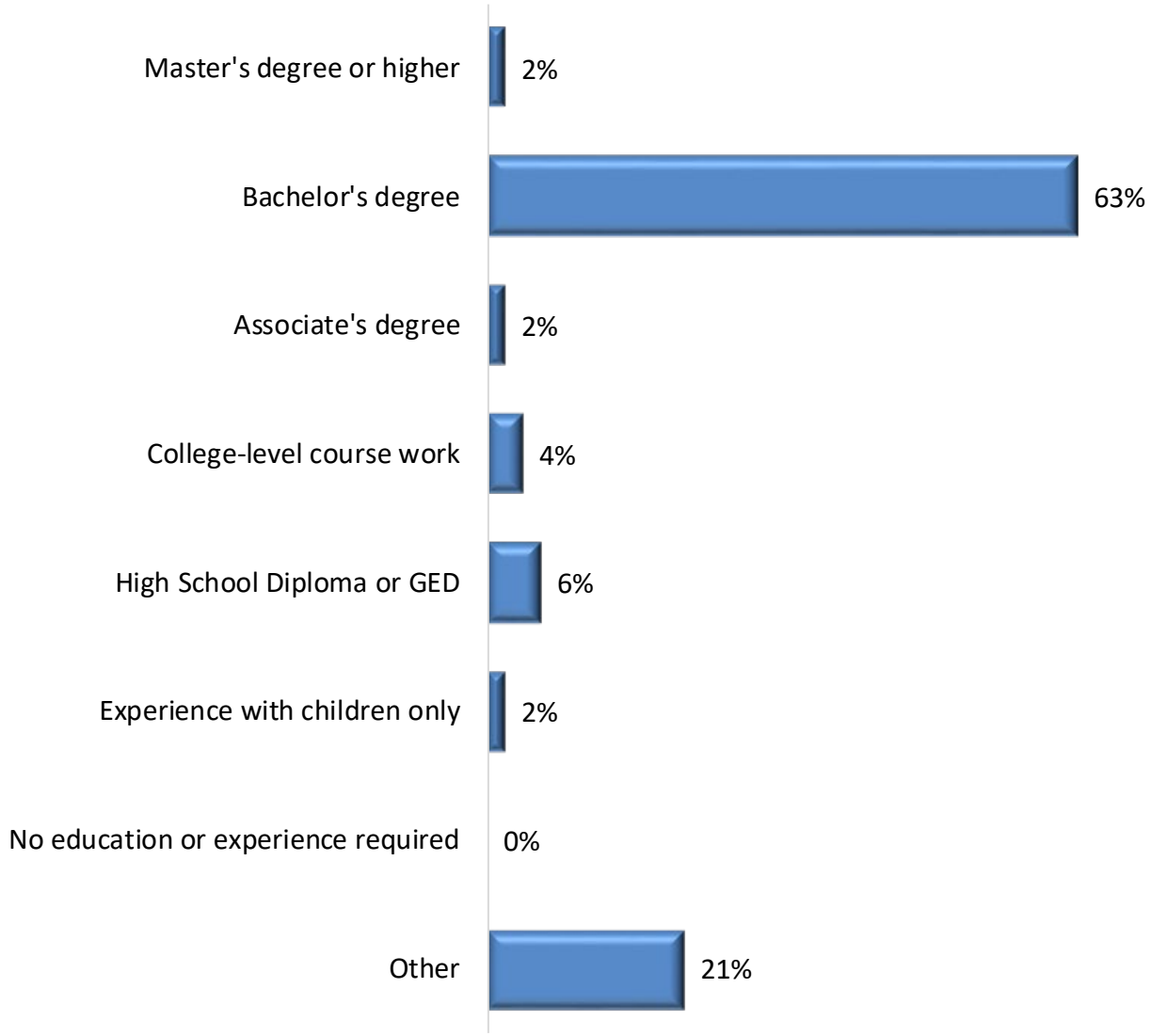
Communicating with Providers and the Public

Well over 90% of states (N=47) reported using websites, emails, printed materials, and face-to-face meetings in both 2011 and 2014. There was generally between a 2% and 4% drop in the number of states reporting the use of various methods between 2011 and 2014 with the exception of a 13% drop in the use of mass print mailings and a 2% increase in the use of social media. A total of 98% of states reported using websites as a means of making the public aware of the role of licensing in both 2011 and 2014. There was a 4% increase in the use of social media but every other means of communicating with the public declined sharply between 2011 and 2014.

Education Requirements

Question: What are the minimum entry-level educational qualifications for child care licensing line staff?

Analysis: 63% of responding states (N=52) reported having a bachelor's degree as the minimum entry-level educational qualifications for child care licensing line staff. Just over 21% of states reported "Other" which usually meant experience and education equivalent to a bachelor's degree, or training and/or experience specific to the staff's position (such as administrative experience or coursework for administrative positions).



State	Master's degree or higher	Bachelor's degree	Associate's degree	College-level course work	High School Diploma or GED	Experience with children only	No education or experience required	Other
Total	1	33	1	2	3	1	0	11
AK								•
AL		•						
AR		•						
AZ		•						
CA								•
CO		•						

State	Master's degree or higher	Bachelor's degree	Associate's degree	College-level course work	High School Diploma or GED	Experience with children only	No education or experience required	Other
CT						•		
DC		•						
DE		•						
FL		•						
GA		•						
GU		•						
HI		•						
IA		•						
ID								
IL		•						
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KS		•						
KY		•						
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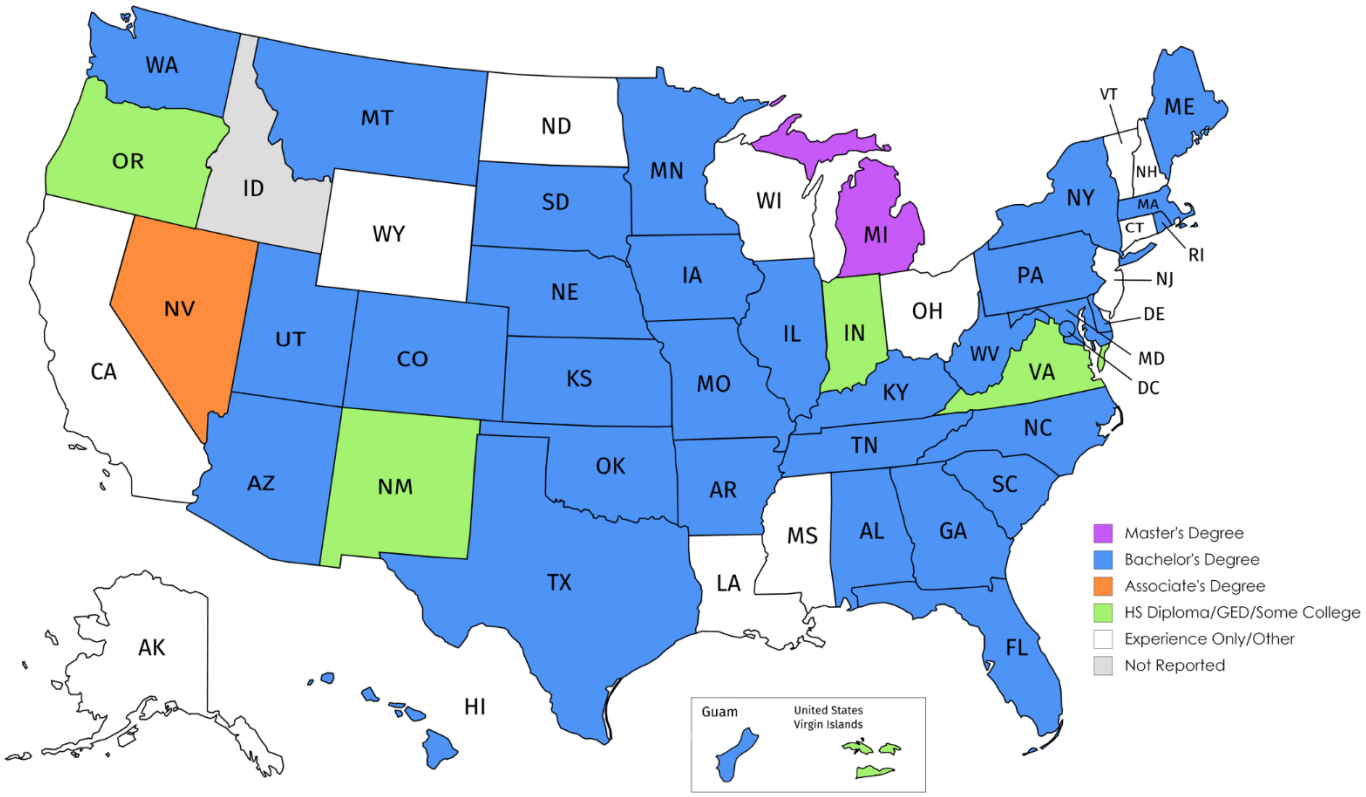
Map 7 Child Care Licensing Staff Education Requirements



Question: For the qualifications identified above, must the degree or courses be in early childhood education, child development, or a field related to the care and education of children? Are child care licensing line staff required to have experience working in a setting with children, prior to working as a licensor? Are child care licensing line staff required to complete additional training each year?

Analysis: Less than half of all states reported that degrees or course work required for licensing staff must include or be related to the care and education of children (46%). Just over 40% of states reported that licensing line staff had to have experience working in a setting with children. Slightly fewer than 54% of states require licensing line staff to complete additional training each year.

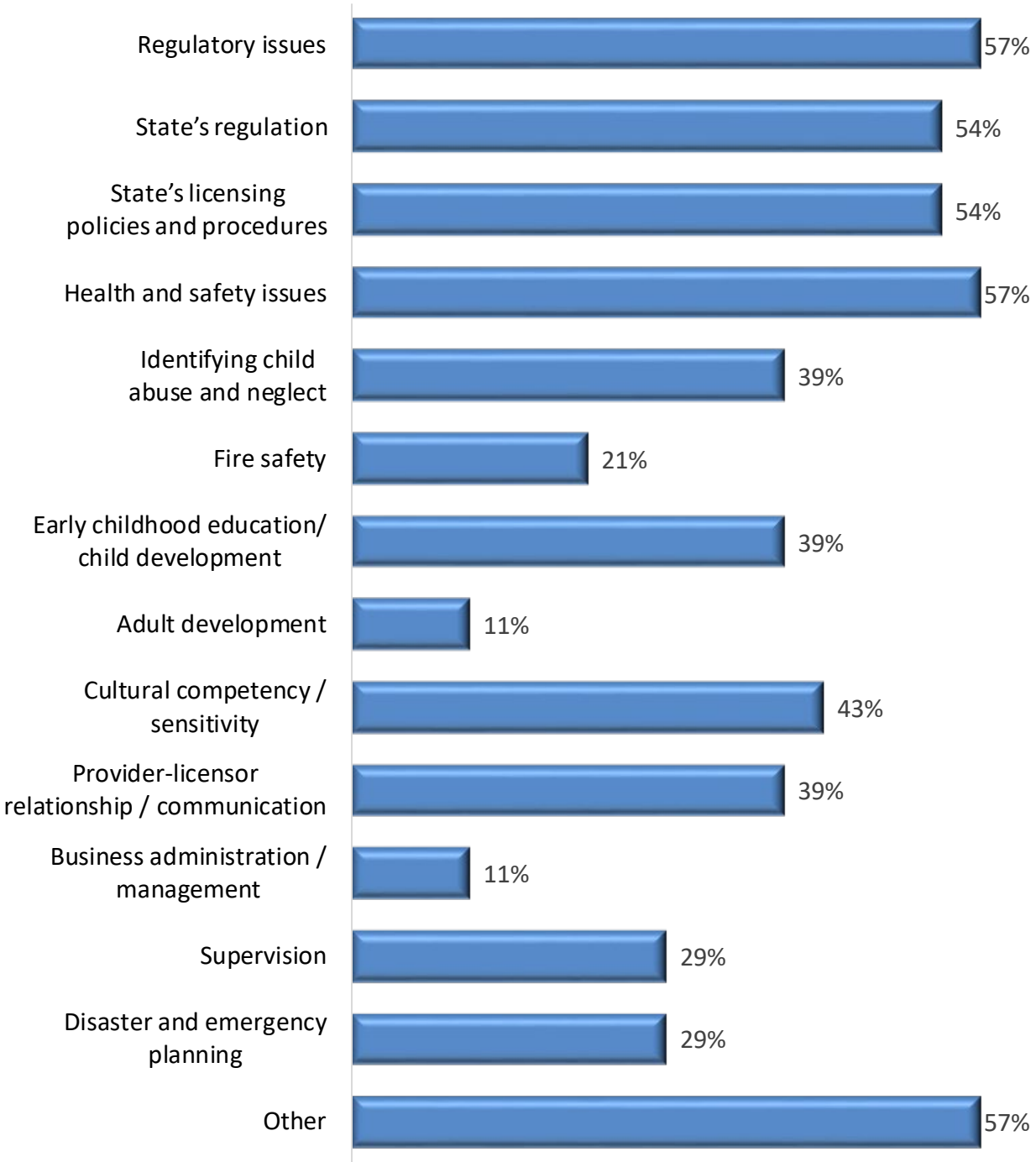
State	Degree or courses must be in early childhood education, child development, or a field related to the care and education of children	Licensing line staff required to have experience working in a setting with children	Child care licensing line staff required to complete training additional training each year
Total	24	21	28
AK			
AL	•	•	
AR	•		•
AZ	•	•	•
CA			•
CO	•	•	•
CT	•	•	
DC		•	
DE		•	•

State	Degree or courses must be in early childhood education, child development, or a field related to the care and education of children	Licensing line staff required to have experience working in a setting with children	Child care licensing line staff required to complete training additional training each year
FL			•
GA	•	•	•
GU			•
HI			
IA			•
ID			
IL	•	•	•
IN			
KS	•		•
KY			
LA			
MA	•	•	
MD	•		•
ME			•
MI	•		
MN		•	•
MO	•	•	
MS			•
MT	•		•
NC	•	•	
ND			•
NE			•
NH	•	•	
NJ			•
NM			
NV	•	•	
NY			•
OH	•	•	
OK			•
OR			
PA	•	•	
RI			•
SC	•	•	•
SD	•		
TN			
TX			
UT	•	•	•
VA	•		•
VI		•	
VT	•	•	
WA	•		•
WI			
WV			•
WY		•	•

Training and Experience

Question: What topics must be covered in the training required each year for licensing staff?

Analysis: For the 28 states that reported requiring annual training as a requirement for licensing staff, 57% required training on regulatory issues and health and safety issues. A total of 54% of states required training on a state's regulations and/or a state's licensing policies and procedures. Approximately 39% of states require training on early childhood education/child development and identifying abuse and neglect. Less than 30% of states require training on supervision, emergency and disaster planning, or fire safety.



Annual Training Topics – Part 1

State	Regulatory issues	State's regulation	State's licensing policies and procedures	Health and safety issues	Identifying child abuse and neglect	Fire safety	Early childhood education/child development
Total	16	15	15	16	11	6	11
AK							
AL							
AR							
AZ	•	•	•	•	•	•	•
CA				•	•		•
CO	•	•	•		•		
CT							
DC							
DE							
FL	•	•	•	•			
GA	•	•		•	•		•
GU	•	•	•	•	•		•
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IN							
KS							
KY							
LA							
MA							
MD	•	•	•	•	•		•
ME							
MI							
MN							
MO							
MS	•	•	•	•	•	•	•
MT	•	•	•	•	•	•	•
NC							
ND							
NE	•	•	•	•			
NH							
NJ	•	•	•	•			•
NM							
NV							
NY	•	•	•	•	•	•	•
OH							
OK	•		•	•			
OR							
PA							
RI							
SC	•	•	•	•	•	•	•
SD							
TN							
TX							
UT	•	•	•	•	•		•
VA							
VI							
VT							

State	Regulatory issues	State's regulation	State's licensing policies and procedures	Health and safety issues	Identifying child abuse and neglect	Fire safety	Early childhood education/child development
WA	•	•	•	•		•	
WI							
WV							
WY	•	•	•	•			

Annual Training Topics - Continuation

State	Adult development	Cultural competency / sensitivity	Provider-licensor relationship / communication	Business administration / management	Supervision	Disaster and emergency planning	Other
Total	3	12	11	3	8	8	16
AK							
AL							
AR							•
AZ	•	•	•	•	•	•	
CA					•		•
CO			•		•		
CT							
DC							
DE							•
FL							
GA	•	•	•				
GU		•				•	
HI							
IA							•
ID							
IL							•
IN							•
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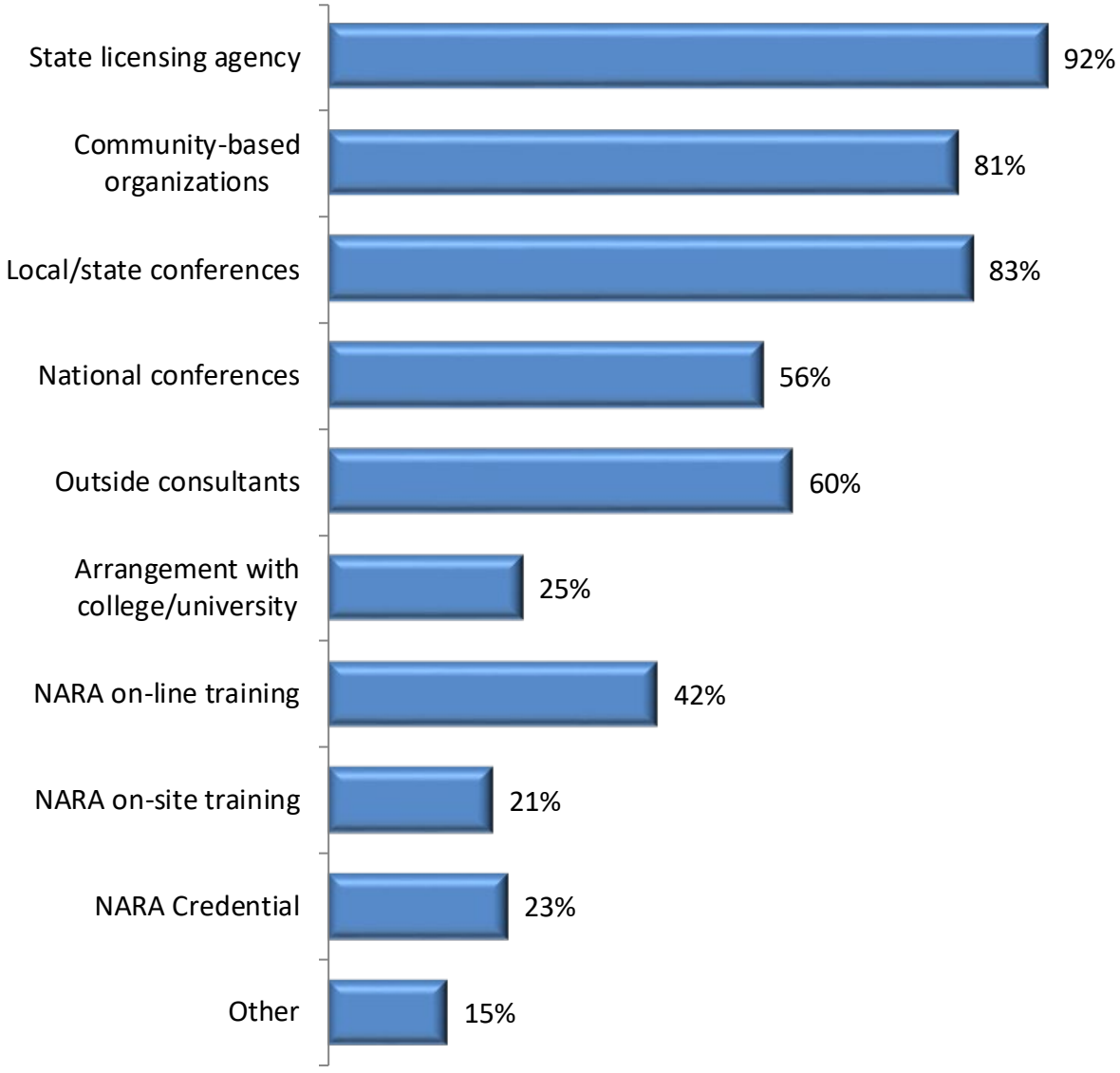
KY							
LA							
MA							
MD		•	•		•		
ME							•
MI							
MN		•					•
MO							
MS		•	•	•		•	
MT	•	•	•	•	•	•	
NC							
ND							•
NE							
NH							
NJ		•				•	
NM							
NV							
NY		•	•		•	•	•
OH							
OK			•				
OR							
PA							
RI							•

State	Adult development	Cultural competency / sensitivity	Provider-licensor relationship / communication	Business administration / management	Supervision	Disaster and emergency planning	Other
SC		•	•		•	•	
SD							
TN							
TX							•
UT		•	•		•		
VA							•
VI							
VT							
WA		•	•				
WI							
WV							•
WY						•	•

Question: What sources of training are available in your state for child care licensing staff?

Analysis: In 91% of all states, the state licensing agency is a source of training for licensing staff. Approximately 85% of states reported state and local conferences as training sources while 81% reported that community-based organizations were a source of training. A total of 50% of states use outside consultants and 56% of states reported national conferences as a source.



Sources for Licensing Staff Training – Part 1

State	State licensing agency	Community-based organizations	Local/state conferences	National conferences	Outside consultants
Total	48	38	45	29	30
AK	•		•	•	•
AL	•	•	•	•	
AR	•		•		•
AZ	•		•		•
CA	•		•		•
CO	•	•	•	•	•
CT	•	•	•	•	•
DC	•	•			

DE	•	•	•	•	•
FL	•	•	•	•	
GA	•	•	•	•	•
GU	•	•	•	•	•
HI	•	•	•		•
IA	•	•	•		
ID		•	•	•	
IL	•	•	•	•	•
IN	•	•	•		
KS	•	•	•	•	•
KY		•			•
LA	•				
MA	•	•	•		
MD	•		•	•	•
ME	•	•	•	•	•
MI	•	•	•		
MN	•				•
MO	•	•	•	•	•
MS	•	•	•	•	•
MT	•				
NC	•	•	•		
ND	•	•	•	•	•
NE	•	•	•	•	
NH	•	•	•		
NJ	•				•
NM					
NV	•	•	•	•	
NY	•		•		•
OH	•	•	•	•	•
OK	•		•		•
OR	•	•	•	•	•
PA					
RI	•	•	•	•	•
SC	•	•	•	•	•
SD	•	•	•		
TN	•	•	•	•	
TX	•	•	•		•
UT	•	•	•	•	•
VA	•	•	•	•	•
VI			•	•	
VT	•	•	•	•	
WA	•		•	•	
WI	•	•	•		
WV	•	•	•		
WY	•	•	•	•	•

Sources for Licensing Staff Training – Continuation

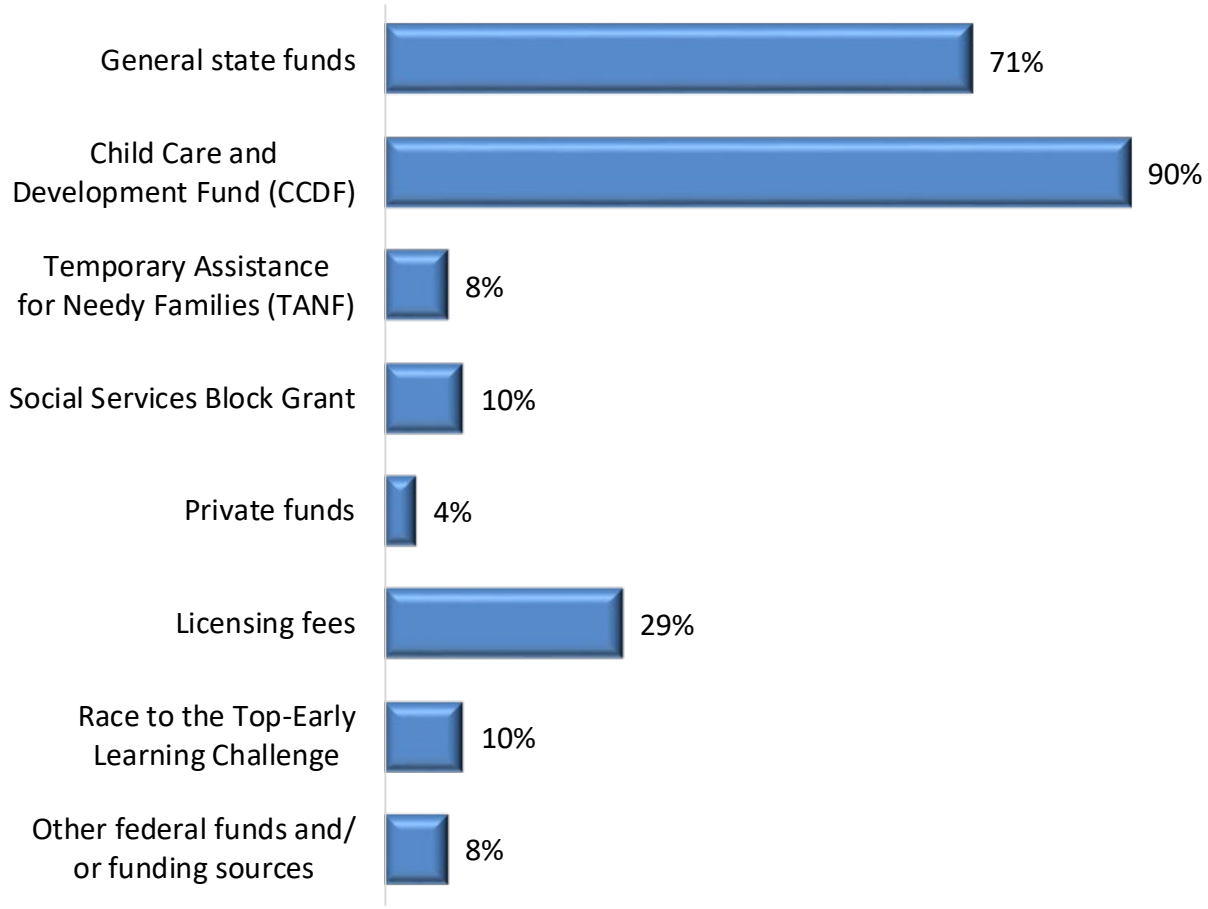
State	Arrangement with college/university	NARA on-line training	NARA on-site training	NARA Credential	Other
Total	13	22	11	12	8
AK		•			
AL					
AR	•				

State	Arrangement with college/university	NARA on-line training	NARA on-site training	NARA Credential	Other
AZ		•			
CA	•	•			
CO				•	
CT	•		•		
DC		•	•		
DE		•			
FL	•	•			
GA	•	•	•		
GU	•				
HI					
IA					
ID					
IL					•
IN		•			
KS	•	•		•	
KY					•
LA		•	•	•	
MA	•				
MD	•				
ME					
MI		•			
MN					•
MO		•	•		
MS	•	•	•	•	•
MT		•			
NC					•
ND	•				
NE	•				
NH		•			•
NJ	•				
NM		•			
NV					
NY	•				
OH	•	•	•	•	
OK				•	
OR	•	•	•	•	
PA					
RI	•		•	•	
SC			•		•
SD				•	
TN					
TX	•				
UT	•	•			
VA	•	•	•	•	
VI	•		•		
VT		•		•	
WA		•		•	•
WI		•			
WV		•			•
WY		•	•		

Hiring Revenue Sources

Question: What sources of funding are used in your state to hire and support (including providing training) child care licensing staff?

Analysis: Just over 90% of all states reported that the CCDF was a source of funding for hiring and support of licensing staff while just over 71% states reported receiving funding from their state's General Revenue funds. Less than 5% of states reported using any private funding.



State	General state funds	Child Care and Development Fund (CCDF)	Temporary Assistance for Needy Families (TANF)	Social Services Block Grant	Private funds	Licensing fees	Race to the Top-Early Learning Challenge	Other federal funds and/or funding sources
Total	37	47	4	5	2	15	5	4
AK	•	•						
AL		•						
AR		•						
AZ		•				•		
CA	•	•				•		•
CO	•	•				•	•	
CT	•	•						
DC	•							
DE	•	•	•					
FL	•	•		•		•		

State	General state funds	Child Care and Development Fund (CCDF)	Temporary Assistance for Needy Families (TANF)	Social Services Block Grant	Private funds	Licensing fees	Race to the Top-Early Learning Challenge	Other federal funds and/or funding sources
GA	•	•						
GU	•	•		•		•		
HI	•	•						
IA	•	•	•					
ID								
IL	•	•					•	
IN		•						•
KS	•	•				•		
KY	•	•				•		
LA		•						
MA	•							
MD	•							
ME	•	•				•		
MI	•	•					•	
MN		•				•		
MO	•	•						
MS		•				•		
MT	•	•						
NC		•						
ND	•	•				•		
NE		•				•		
NH	•			•				
NJ	•				•			•
NM	•	•						
NV		•				•		
NY		•						
OH	•	•	•				•	
OK		•	•					
OR	•	•				•		
PA	•	•						
RI	•	•			•		•	•
SC		•						
SD	•	•						
TN	•	•						
TX	•	•						
UT	•	•						
VA	•	•		•				
VI	•	•						
VT	•	•						
WA		•						
WI	•	•				•		
WV	•	•		•				
WY		•						

Interrater Reliability Training and Interpretive Guidelines

Question: Has your state incorporated "interrater reliability" training or evaluation for licensing staff? Has your state developed interpretive guidelines?

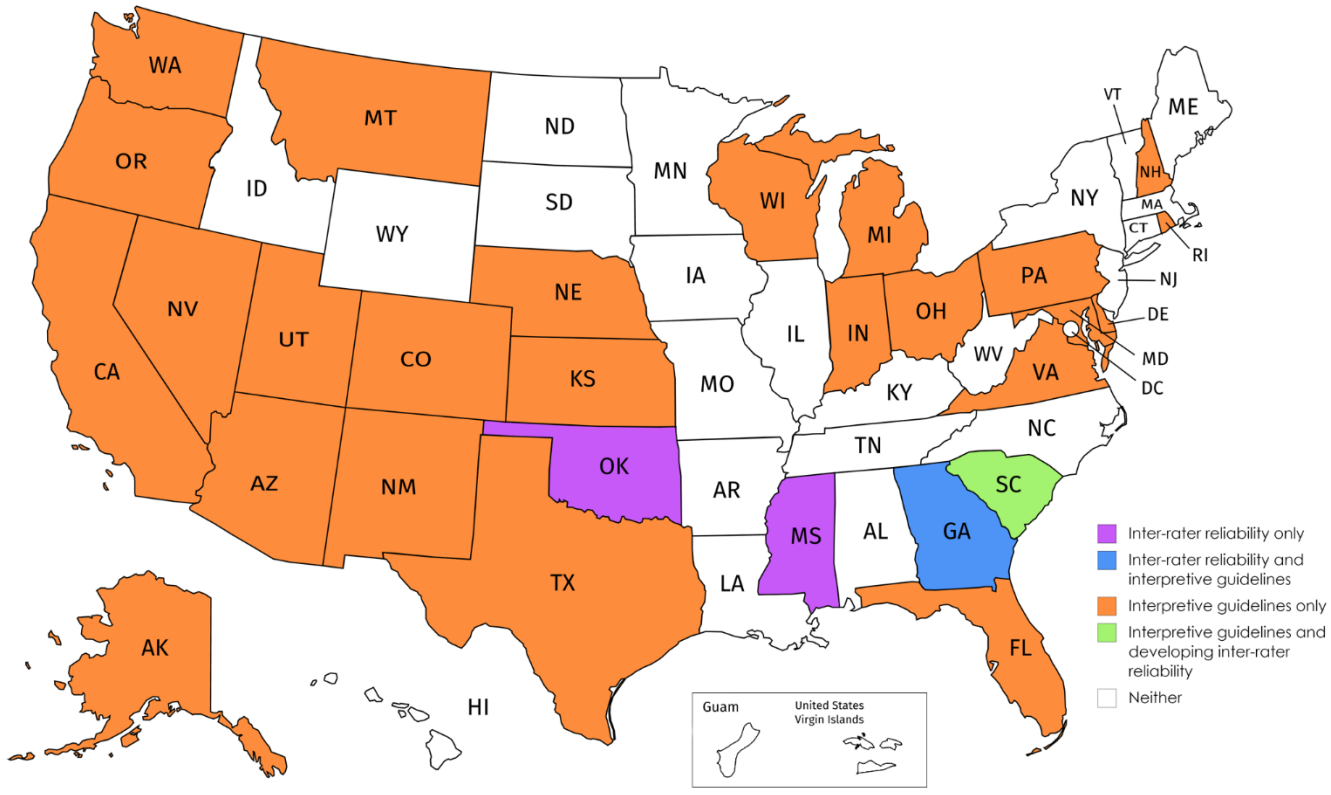
Analysis: Three states have incorporated "interrater reliability" training or evaluation for licensing staff, while one state is in the process of developing it. Slightly fewer than 50% have developed interpretive guidelines for the licensing regulations.

State	State has incorporated "interrater reliability" training or evaluation for licensing staff	State has developed interpretive guidelines for licensing regulations
Total	3	26
AK		•
AL		
AR		
AZ		•
CA		•
CO		•
CT		
DC		
DE		•
FL		•
GA	•	•
GU		
HI		
IA		
ID		
IL		
IN		•
KS		•
KY		
LA		
MA		
MD		•
ME		
MI		•
MN		
MO		
MS	•	
MT		•
NC		
ND		
NE		•
NH		•
NJ		
NM		•
NV		•
NY		
OH		•
OK	•	
OR		•
PA		•
RI		•
SC	*	•
SD		
TN		
TX		•
UT		•

State	State has incorporated "interrater reliability" training or evaluation for licensing staff	State has developed interpretive guidelines for licensing regulations
VA		•
VI		
VT		
WA		•
WI		•
WV		
WY		

**This state is developing inter-rater reliability.*

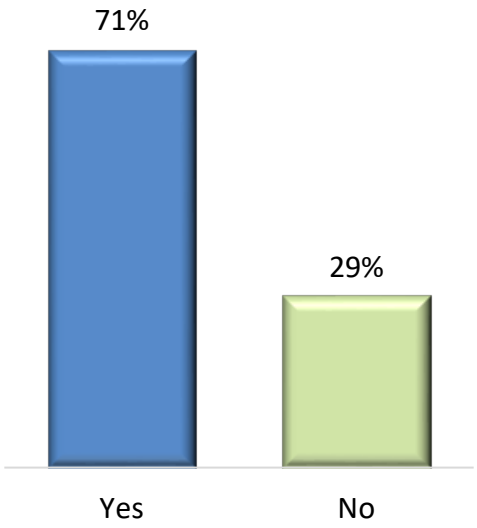
Map 8 Interrater Reliability and Interpretive Guidelines



Disaster and Emergency Response Policies

Question: Does the licensing agency have policies for disaster and emergency response for licensing staff to follow?

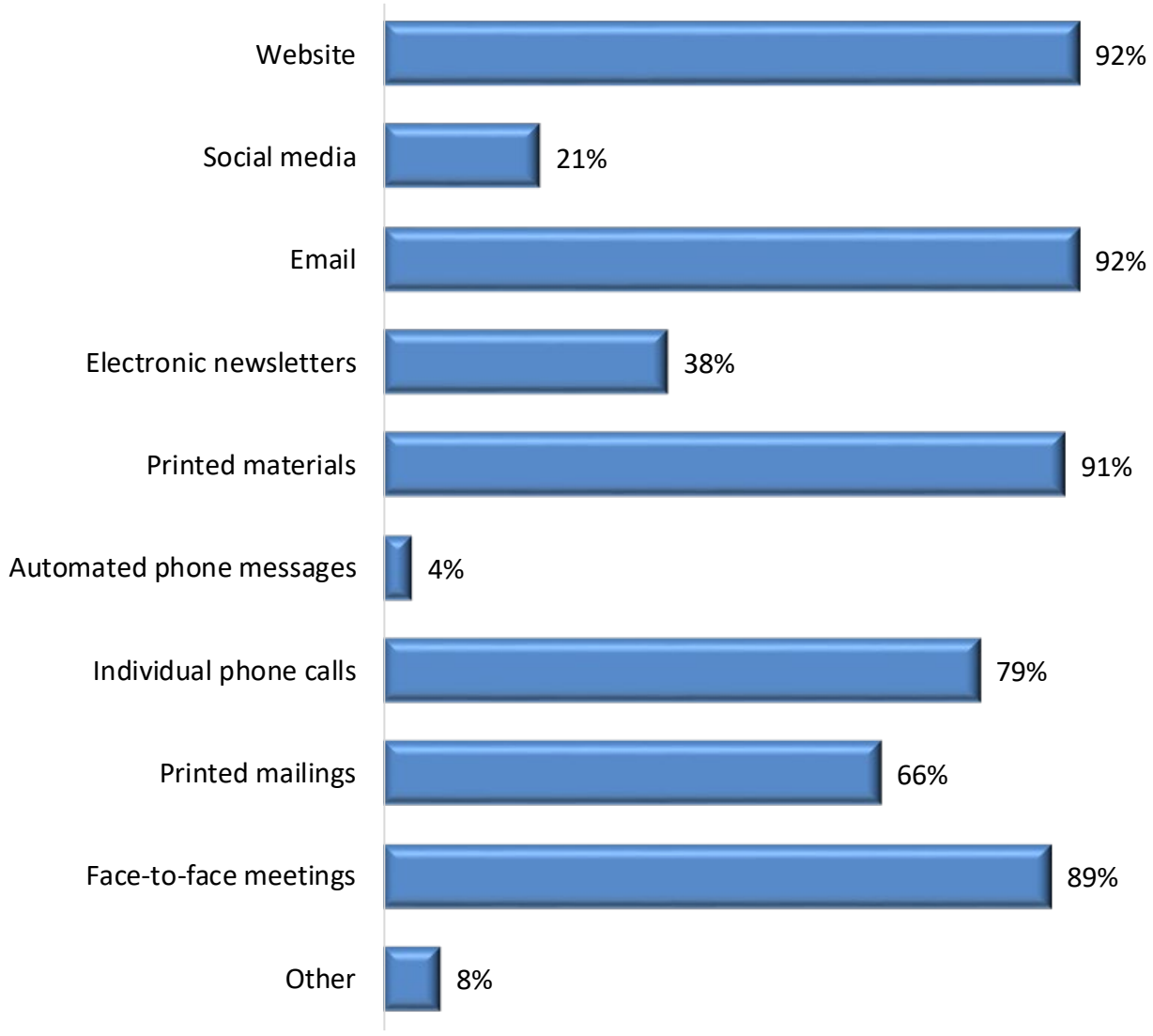
Analysis: Just over 71% of states have disaster and emergency response policies.



Communicating with Providers and the Public

Question: What methods does the licensing agency use to communicate with providers?

Analysis: States use a variety of methods to communicate with providers with most states using websites, email, printed material, and face-to-face meetings. About two-thirds of states use printed mailings, 38% use electronic newsletters, and just over one in five states reported using social medial.

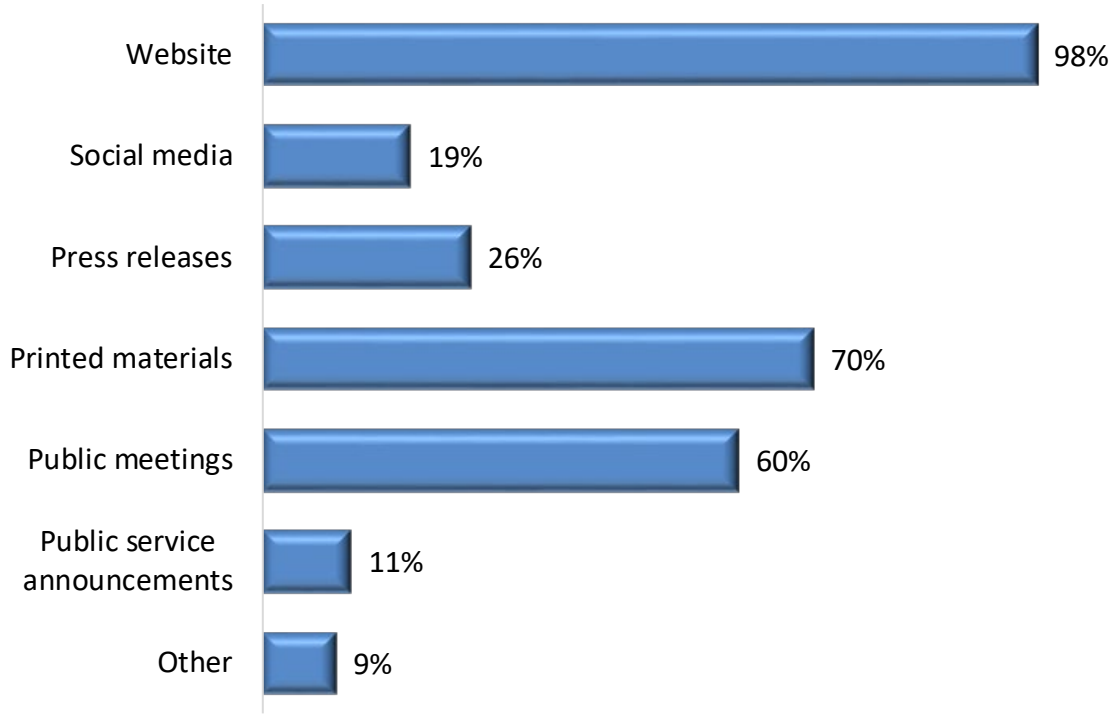


State	Website	Social media	Email	Electronic newsletters	Printed materials	Automated phone messages	Individual phone calls	Printed mailings	Face-to-face meetings	Other
Total	49	11	49	20	48	2	42	35	47	4
AK	•		•	•	•		•	•	•	•
AL	•		•				•	•	•	
AR	•	•	•		•		•	•	•	
AZ	•		•	•	•		•	•	•	
CA	•		•	•	•		•	•	•	
CO	•	•	•	•	•		•		•	
CT	•	•	•		•	•	•	•	•	

State	Website	Social media	Email	Electronic newsletters	Printed materials	Automated phone messages	Individual phone calls	Printed mailings	Face-to-face meetings	Other
DC				•			•	•	•	
DE	•		•		•		•	•	•	
FL	•	•	•		•				•	
GA	•	•	•	•	•		•		•	•
GU	•	•	•		•		•		•	
HI	•		•		•		•	•	•	
IA	•	•	•	•						
ID	•		•		•		•			
IL	•		•		•		•	•	•	
IN	•		•		•				•	
KS	•	•	•		•		•	•	•	
KY	•		•	•	•		•	•	•	
LA	•		•		•					
MA	•		•		•		•		•	
MD			•	•	•		•	•	•	
ME	•		•		•		•	•	•	
MI	•		•		•				•	
MN	•									
MO	•		•	•	•		•	•	•	
MS	•		•	•	•		•	•	•	
MT					•			•	•	
NC	•		•	•	•		•		•	
ND	•		•	•	•		•	•	•	
NE	•				•		•	•	•	
NH	•		•		•		•	•	•	
NJ	•		•		•		•	•	•	
NM	•		•		•		•	•	•	
NV	•		•	•	•	•	•	•	•	
NY	•	•	•		•		•	•	•	
OH	•		•		•		•	•	•	
OK	•		•		•				•	
OR	•		•							
PA	•		•	•	•				•	
RI	•		•		•		•	•	•	
SC	•		•	•	•		•	•	•	
SD	•		•	•	•		•	•	•	
TN	•		•		•		•	•	•	
TX	•	•	•		•		•	•	•	•
UT	•		•	•	•		•	•	•	
VA	•		•		•		•		•	
VI			•		•		•	•	•	
VT	•		•		•		•		•	
WA	•	•	•	•	•		•	•	•	
WI	•		•		•					•
WV	•		•		•		•	•	•	
WY	•		•	•	•		•	•	•	

Question: What methods does the licensing agency use to make the public aware of the role of licensing?

Analysis: Nearly every state reported using websites as a method for public awareness by licensing agencies. Public meetings and printed materials were the next most common form of notifying the public.



State	Website	Social media	Press releases	Printed materials	Public meetings	Public service announcements	Other
Total	52	10	14	37	32	6	5
AK	•			•	•		
AL	•			•			
AR	•	•					
AZ	•			•	•		
CA	•			•	•		
CO	•	•		•	•		
CT	•	•		•	•		
DC	•		•		•		
DE	•			•	•	•	
FL	•	•	•	•	•		
GA	•	•	•	•	•	•	•
GU	•		•	•	•		
HI	•				•		•
IA	•						
ID	•						
IL	•		•	•			
IN	•			•			
KS	•	•		•	•		
KY	•			•	•		
LA	•						
MA	•	•	•	•	•		
MD	•						
ME	•			•	•		
MI	•						

State	Website	Social media	Press releases	Printed materials	Public meetings	Public service announcements	Other
MN	•				•		
MO	•			•	•		
MS	•			•	•	•	
MT				•	•		
NC	•			•	•		•
ND	•		•	•	•		
NE	•		•				
NH	•			•	•		
NJ	•			•	•		
NM	•						
NV	•			•	•		
NY	•	•		•	•		•
OH	•		•	•	•	•	
OK	•			•	•		
OR	•			•			
PA	•						
RI	•		•	•			
SC	•			•		•	•
SD	•						
TN	•						
TX	•	•	•	•	•		
UT	•		•	•	•		
VA	•				•		
VI	•			•	•		
VT	•			•	•		
WA	•	•	•	•		•	
WI	•			•			
WV	•						
WY	•		•	•			

QUALITY IMPROVEMENT INITIATIVES

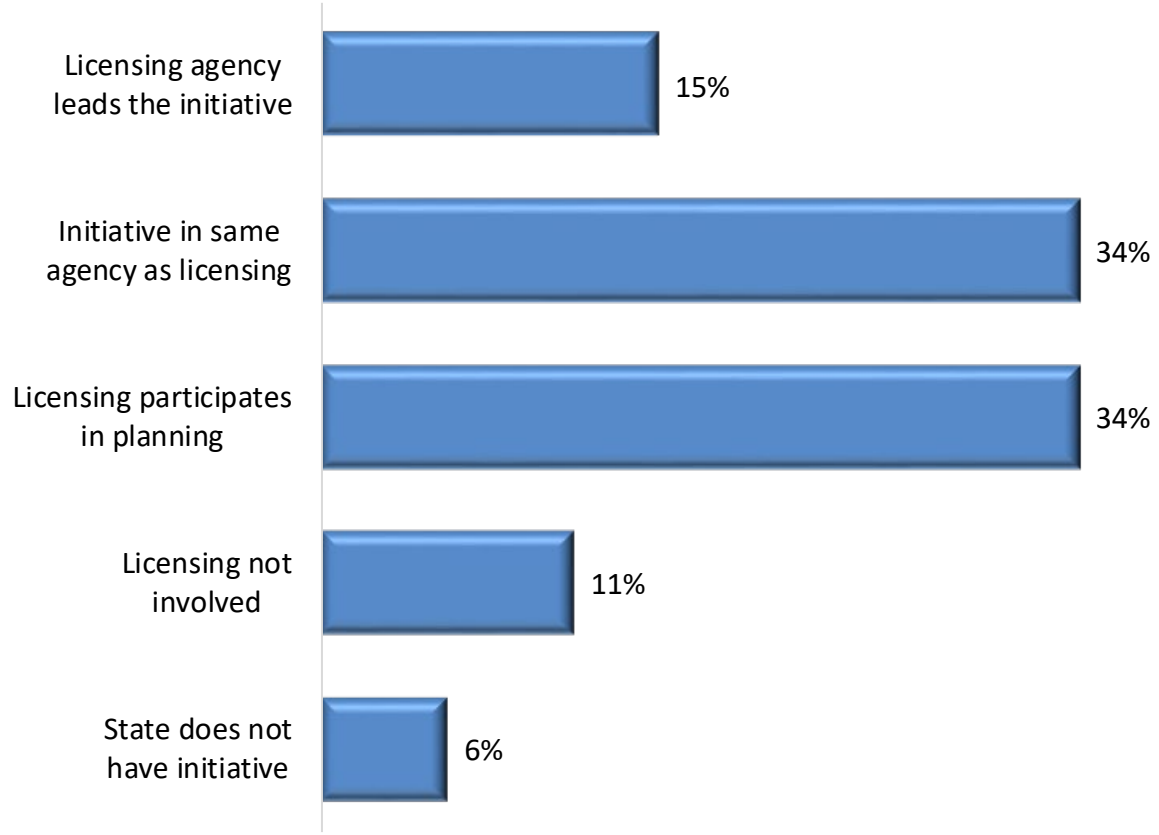
Summary: There was a net gain of two states that reported being involved in a tiered quality strategy in 2014. There was a net decrease in the number of states involved in the other three initiatives overall though there was a reported 6% increase in the number of states leading an initiative for assessing quality with an environment rating scale and an 8% increase in the number of states that reported a professional development system initiative in the same agency.

Question: What is the state child care licensing's level of involvement in the following initiatives to improve the quality of child care facilities?

Summary of Initiative Participation

	Leads the initiative	Initiative within same agency	Participates in planning	Not involved	No current initiative
Tiered quality strategy	8	18	18	6	3
Accreditation facilitation project	3	8	9	14	13
Professional development system	4	15	26	5	1
Assessing quality with an environment rating scale	7	14	9	12	7

Initiative: Tiered Quality Strategy



State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
Total	8	18	18	6	3
AK			•		
AL		•			
AR		•			
AZ			•		
CA			•		
CO	•				
CT		•			
DC				•	
DE			•		
FL				•	
GA		•			
GU		•			
HI		•			
IA					•
ID		•			
IL			•		
IN	•				
KS					•
KY			•		
LA				•	
MA	•				
MD		•			
ME			•		
MI			•		
MN		•			
MO			•		
MS				•	
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NC	•				
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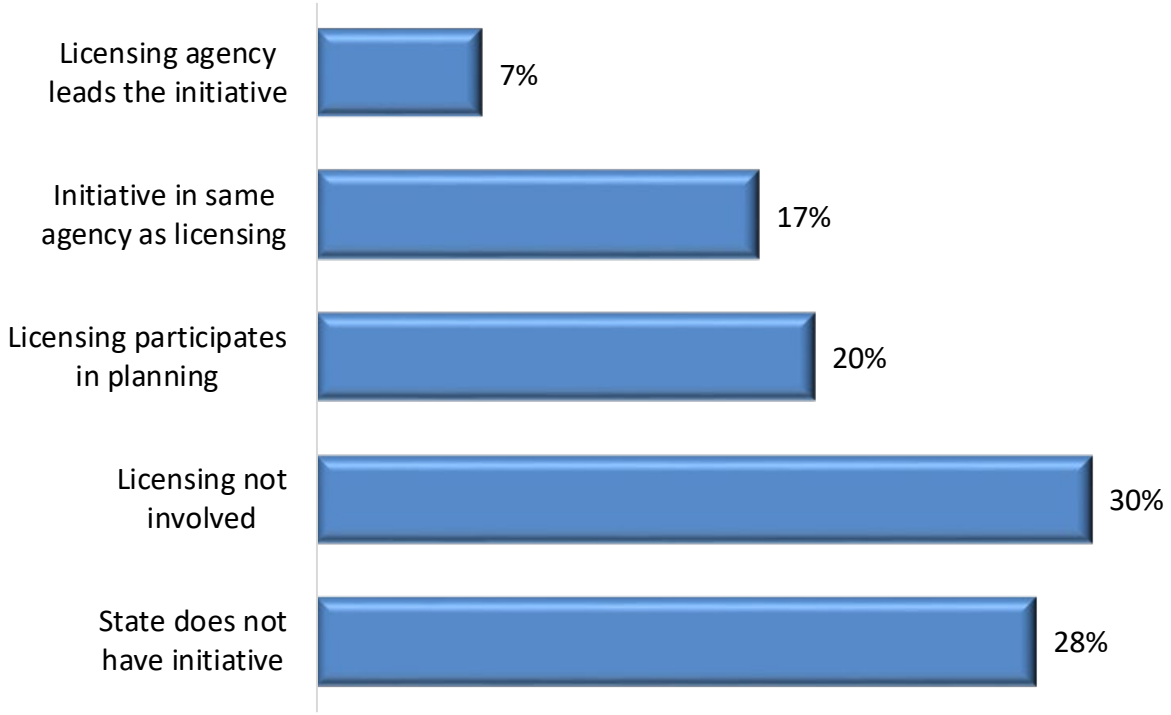
OH	•				
OK	•				
OR		•			
PA				•	
RI			•		
SC	•				
SD					•
TN		•			
TX			•		
UT			•		
VA			•		
VI		•			
VT		•			
WA		•			

State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
WI		•			
WV		•			
WY			•		

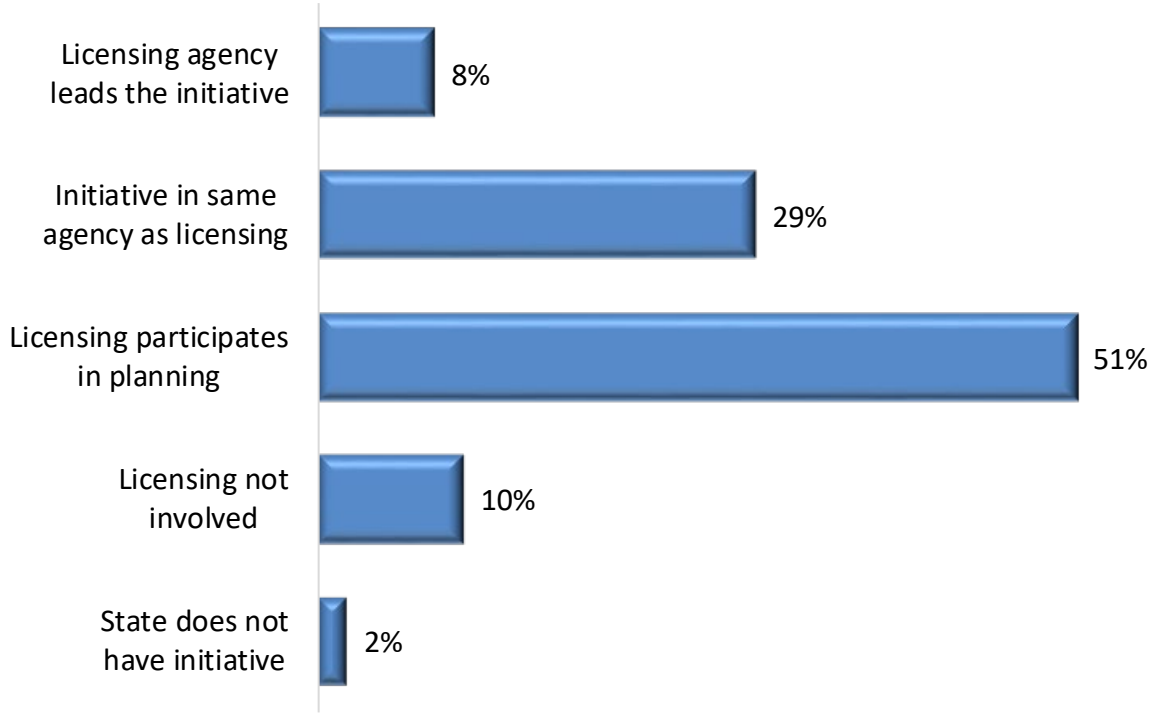
Initiative: Accreditation Facilitation Project



State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
Total	3	8	9	14	13
AK			•		
AL		•			
AR		•			
AZ				•	
CA			•		
CO			•		
CT		•			
DC			•		
DE				•	
FL	•				
GA				•	
GU				•	
HI					
IA					•
ID		•			
IL				•	•
IN	•				
KS					•
KY				•	
LA				•	
MA					
MD		•			
ME				•	
MI					•
MN					•

State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
MO			•		
MS				•	
MT				•	
NC					•
ND	•				
NE			•		
NH					
NJ				•	
NM		•			
NV					
NY			•		
OH					
OK					•
OR					•
PA				•	
RI				•	
SC				•	
SD					•
TN		•			
TX					•
UT			•		
VA					•
VI					•
VT			•		
WA					
WI					
WV		•			
WY					•

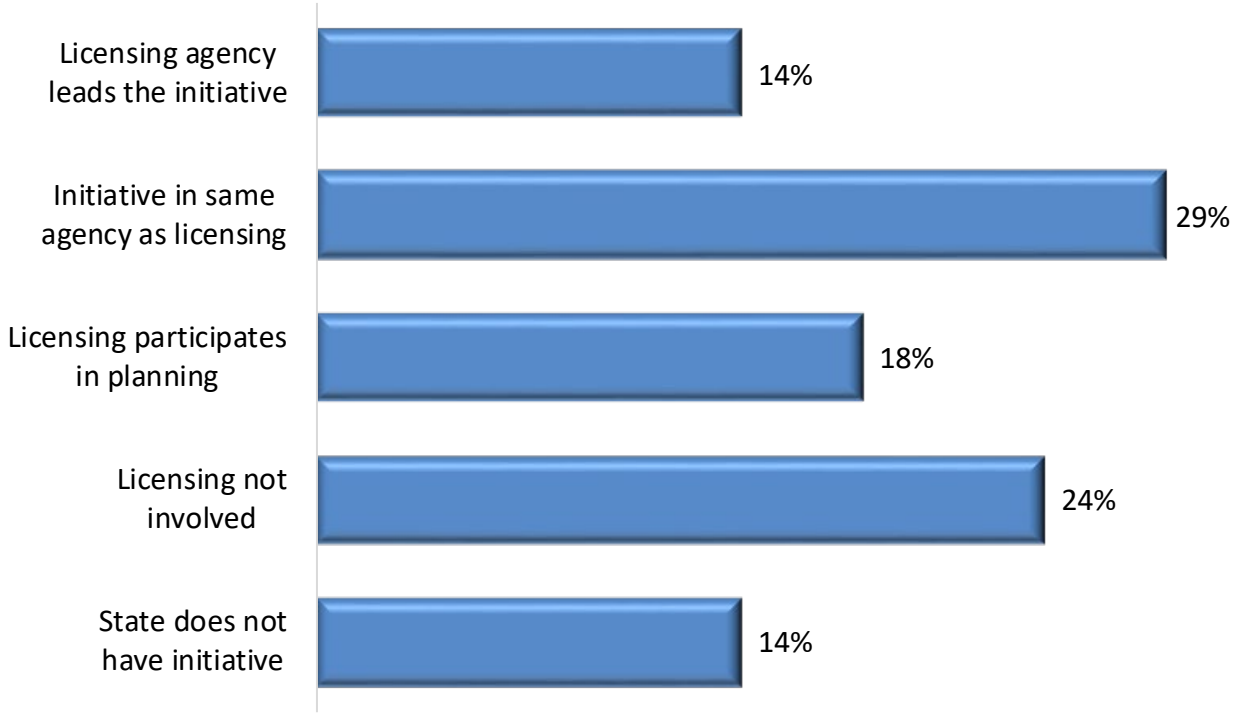
Initiative: Professional Development System



State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
Total	4	15	26	5	1
AK			•		
AL		•			
AR		•			
AZ			•		
CA			•		
CO			•		
CT		•			
DC			•		
DE			•		
FL			•		
GA		•			
GU		•			
HI			•		
IA			•		
ID		•			
IL			•		
IN	•				
KS					•
KY				•	
LA				•	
MA					
MD		•			
ME			•		
MI			•		
MN		•			
MO			•		

State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
MS				•	
MT			•		
NC			•		
ND	•				
NE			•		
NH		•			
NJ				•	
NM		•			
NV					
NY	•				
OH			•		
OK			•		
OR		•			
PA				•	
RI			•		
SC	•				
SD		•			
TN			•		
TX			•		
UT			•		
VA			•		
VI			•		
VT			•		
WA		•			
WI		•			
WV		•			
WY			•		

Initiative: Assessing Quality with an Environmental Rating Scale



State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
Total	7	14	9	12	7
AK			•		
AL		•			
AR		•			
AZ			•		
CA			•		
CO	•				
CT					•
DC				•	
DE				•	
FL				•	
GA		•			
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ID		•			
IL			•		
IN	•				
KS					•
KY				•	
LA				•	
MA	•				
MD		•			
ME			•		
MI					•
MN					•

State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
MO				•	
MS				•	
MT				•	
NC	•				
ND	•				
NE			•		
NH		•			
NJ				•	
NM		•			
NV					
NY					•
OH					
OK	•				
OR					•
PA				•	
RI					
SC	•				
SD				•	
TN		•			
TX			•		
UT			•		
VA			•		
VI					
VT		•			
WA		•			
WI		•			
WV		•			
WY					•

RULE AND REGULATION RESOURCES

Summary: Responses relating to the resources states used to formulate rules and regulations were not included in the 2011 NARA licensing study.

Question: What resources does the state use when formulating rules and regulations for licensing child care facilities?

Analysis: More than 98% of states reported using Caring for Our Children: Health and Safety Standards when formulating rules and regulations while 83% of states use Stepping Stones to Using Caring for our Children and the same percentage use other state's regulations. Almost 70% of states use other research reports and studies while 68% of states reported using the NARA/NCCCQI Child Care Licensing Study.

Resources for Formulating Rules and Regulations – Part 1

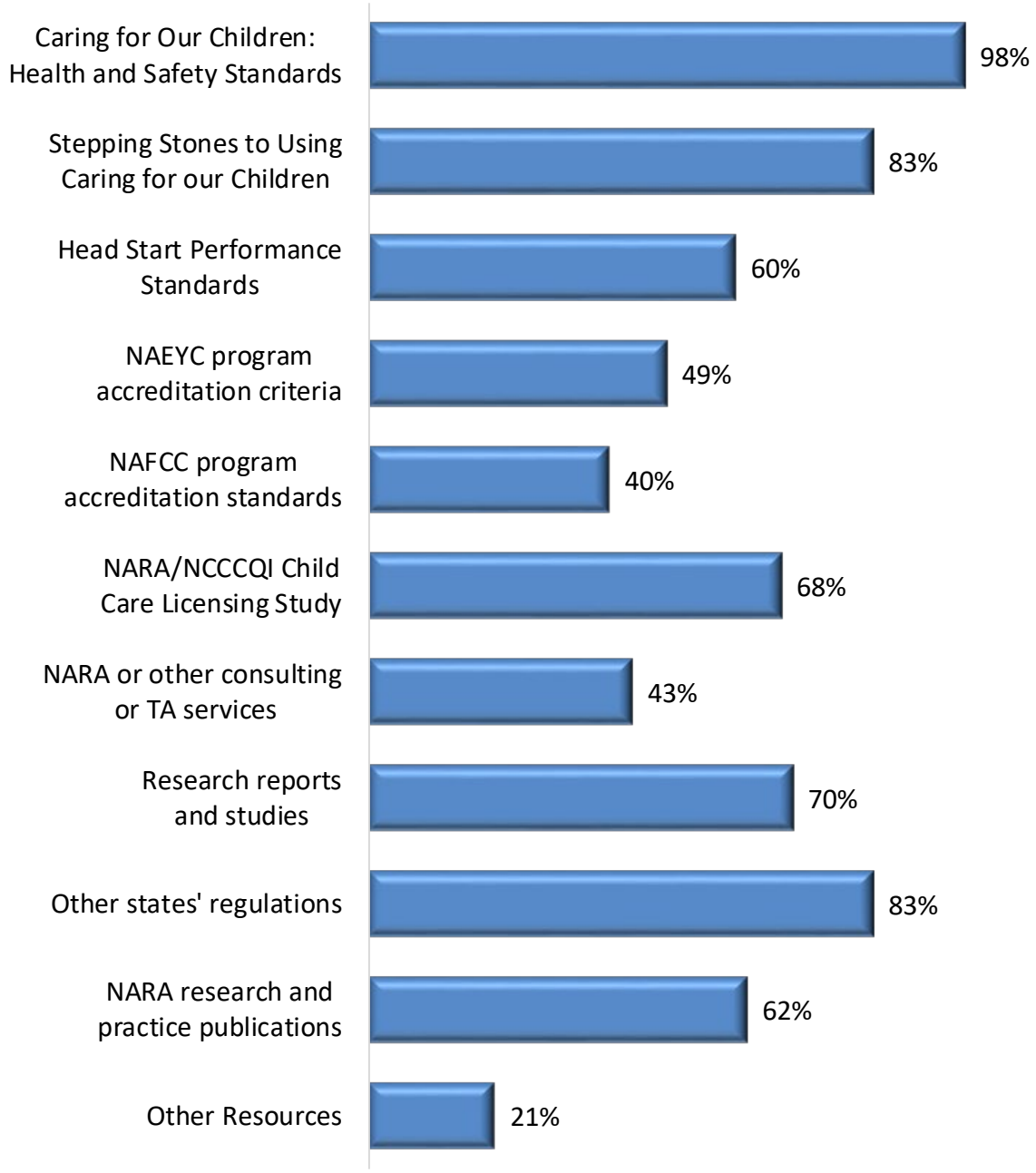
State	Caring for Our Children: Health and Safety Standards	Stepping Stones to Using Caring for our Children	Head Start Performance Standards	NAEYC program accreditation criteria	NAFCC program accreditation standards	NARA/NCCCQI Child Care Licensing Study
Total	52	44	32	26	21	36
AK	•	•	•	•	•	•
AL	•	•				
AR	•	•	•			•
AZ	•	•		•		•
CA	•		•	•	•	•
CO	•	•				
CT	•	•				
DC	•	•	•	•	•	•
DE	•	•	•	•		•
FL	•	•				
GA	•	•	•	•	•	•
GU	•	•	•		•	•
HI	•	•				•
IA	•					•
ID	•			•		
IL	•	•	•	•	•	•
IN	•	•	•	•	•	•
KS	•	•	•	•	•	•
KY	•	•				•
LA	•	•	•	•		•
MA		•	•	•	•	
MD	•	•	•			
ME	•			•	•	
MI	•	•	•			•
MN	•					
MO	•	•	•			•
MS	•	•	•	•	•	•
MT	•	•				•
NC	•	•	•	•	•	•
ND	•	•	•	•		
NE	•					•
NH	•	•	•	•	•	•
NJ	•		•	•	•	•
NM	•	•				•
NV	•					

State	Caring for Our Children: Health and Safety Standards	Stepping Stones to Using Caring for our Children	Head Start Performance Standards	NAEYC program accreditation criteria	NAFCC program accreditation standards	NARA/NCCCQI Child Care Licensing Study
NY	•	•	•			•
OH	•	•	•	•	•	•
OK	•	•	•	•	•	•
OR	•	•	•			
PA	•	•				
RI	•	•	•	•	•	•
SC	•	•	•			•
SD	•	•		•	•	•
TN	•	•	•	•		
TX	•	•	•			
UT	•	•				•
VA	•	•				•
VI	•	•				
VT	•		•	•	•	
WA	•	•	•	•	•	•
WI	•	•	•	•	•	•
WV	•	•	•			•
WY	•	•				•

Resources for Formulating Rules and Regulations – Continuation

State	NARA or other consulting or TA services	Research reports and studies	Other states' regulations	NARA research and practice publications	Other Resources
Total	23	37	44	33	11
AK	•	•	•	•	
AL			•	•	•
AR	•	•	•		
AZ	•	•	•	•	
CA	•	•	•	•	
CO		•		•	
CT	•		•	•	
DC	•	•	•	•	
DE		•	•		
FL			•		•
GA	•	•	•	•	•
GU	•				•
HI		•	•	•	
IA	•		•	•	
ID		•	•		
IL		•	•	•	
IN	•	•	•	•	
KS	•	•	•	•	
KY		•	•	•	
LA	•		•	•	
MA		•	•		
MD		•	•		
ME			•		
MI			•	•	
MN					•
MO	•	•	•	•	

State	NARA or other consulting or TA services	Research reports and studies	Other states' regulations	NARA research and practice publications	Other Resources
MS		•	•	•	
MT		•	•		
NC		•	•	•	
ND				•	•
NE		•	•		
NH	•	•	•	•	
NJ	•		•	•	
NM	•	•	•		
NV		•			
NY		•	•		•
OH	•	•	•	•	
OK	•	•	•	•	
OR			•	•	
PA		•			•
RI	•	•	•	•	
SC	•	•	•	•	
SD		•	•	•	
TN			•	•	
TX		•	•		•
UT		•			
VA		•	•		
VI	•		•		
VT	•				
WA		•	•	•	
WI		•	•	•	•
WV		•	•	•	•
WY	•			•	


Caring for Our Children: Health and Safety Standards
98%
Stepping Stones to Using Caring for our Children
83%
Head Start Performance Standards
60%
NAEYC program accreditation criteria
49%
NAFCC program accreditation standards
40%
NARA/NCCCQI Child Care Licensing Study
68%
NARA or other consulting or TA services
43%
Research reports and studies
70%
Other states' regulations
83%
NARA research and practice publications
62%
Other Resources
21%

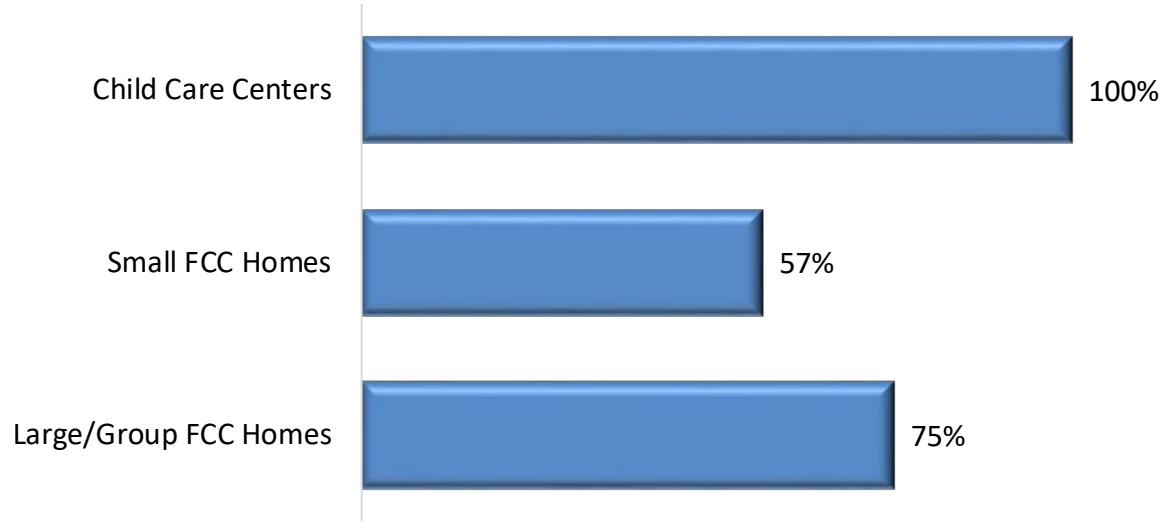
FIRE SAFETY, ENVIRONMENTAL HEALTH, AND BUILDING CODE INSPECTIONS

Summary:
Every state required a fire inspection for child care centers in both 2011 and 2014. There appears to be a small increase in the frequency of fire inspections for family FCC homes and a small decrease in the frequency for centers and large/group FCC homes. There was an 8% increase in the number of states requiring annual environmental health inspections for centers in 2014, corresponding with a net 6% decrease in other frequencies. There was an overall 5% increase in the number of states reporting environmental health inspections for small FCC homes, but the frequency varied. More states appear to have moved to biannual environmental health inspections for large/group FCC homes. Building code inspections were not addressed in the 2011 survey.

Fire Safety

Question: Fire safety inspections are required for which type of licensed child care facilities?

Analysis: Every state that responded to the survey (N=52) requires fire safety inspections for child care centers. Of the states that regulate them, almost 57% of states require fire safety inspections for small FCC homes and three-fourths of states require them for large/group FCC homes.



** These states answered the question affirmatively despite not regulating the facility type. They have been excluded from any counts and analysis.*

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
	Total Number of States that Regulate		
	53	46	40
Total	52	26	32
AK	•	•	•
AL	•	•	•
AR	•	•	
AZ	•		
CA	•		•
CO	•		
CT	•		•
DC	•	•	•
DE	•	•	•
FL	•		•

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
GA	•	•	•
GU	•	•	•
HI	•		•
IA	•		
ID	•		•
IL	•	•	•
IN	•		
KS	•	•	•
KY	•		
LA	•		
MA	•		
MD	•	•	•
ME	•	•	
MI	•		
MN	•	•	*
MO	•	•	•
MS	•	•	•
MT	•		
NC	•	•	
ND	•		•
NE	•	•	•
NH	•	•	•
NJ	•		
NM	•	•	•
NV	•	•	•
NY	•		
OH	•		•
OK	•		
OR	•		
PA	•	•	•
RI	•	•	•
SC	•	•	•
SD	•		
TN	•	•	•
TX			
UT	•	•	•
VA	•		
VI	•	•	•
VT	•		*
WA	•		
WI	•		
WV	•		•
WY	•	•	•

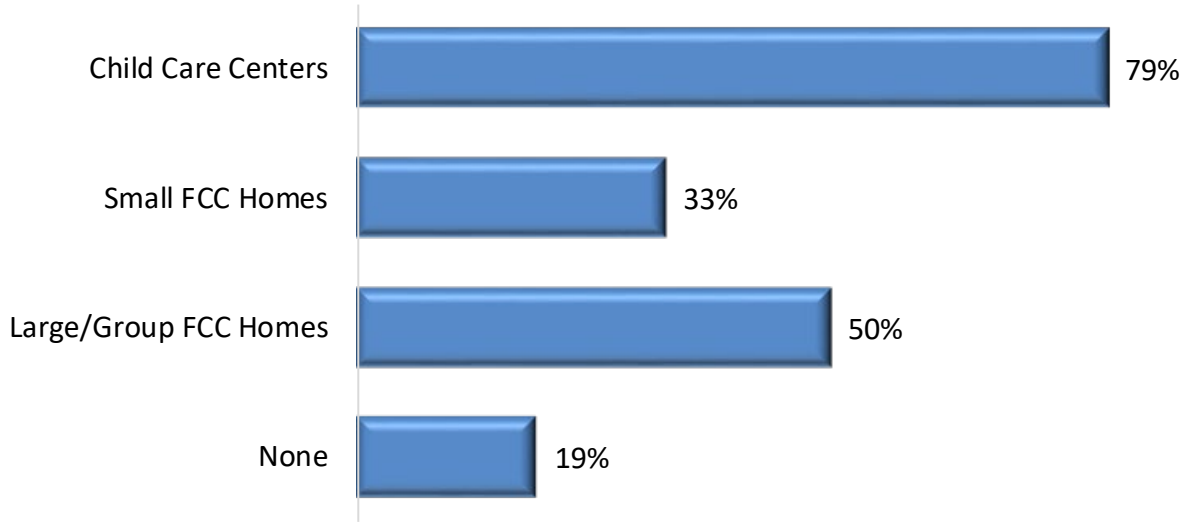
Question: What is the frequency of fire safety inspections?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Prior to licensure	47	20	25
Once a year	27	13	15
Once every two years	13	4	6
Once every three years	1	1	1
Other frequency	0	0	0

Environmental Health

Question: Environmental health inspections are required for which type of licensed child care facilities?

Analysis: Environmental health inspections are required in about 79% of states for child care centers while these types of inspections are required in one-third of states that regulate small FCC homes. For states that regulate large/group FCC homes, half require an environmental health inspection. In 19% of all states, no environmental health inspections are required for any facility type.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
Total Number of States that Regulate				
	53	46	40	N/A
Total	42	15	20	10
AK	•	•	•	
AL	•			
AR	•	•		
AZ	•			
CA	•			
CO	•			
CT	•		•	
DC				
DE				•
FL				•
GA	•	•	•	
GU	•	•	•	
HI	•		•	
IA				•
ID	•		•	
IL	•			
IN				•
KS				•
KY	•			
LA	•			
MA	•			
MD	•	•	•	

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
ME				•
MI	•			
MN	•			
MO	•	•	•	
MS	•	•	•	
MT	•			
NC	•	•		
ND	•			
NE	•			
NH	•	•	•	
NJ	•			
NM	•	•	•	
NV	•	•	•	
NY	•			
OH	•		•	
OK	•			
OR	•		•	
PA				•
RI	•			
SC	•	•	•	
SD	•			
TN	•		•	
TX	•			
UT	•	•	•	
VA	•			
VI	•	•	•	
VT				•
WA				•
WI				•
WV	•		•	
WY	•	•	•	

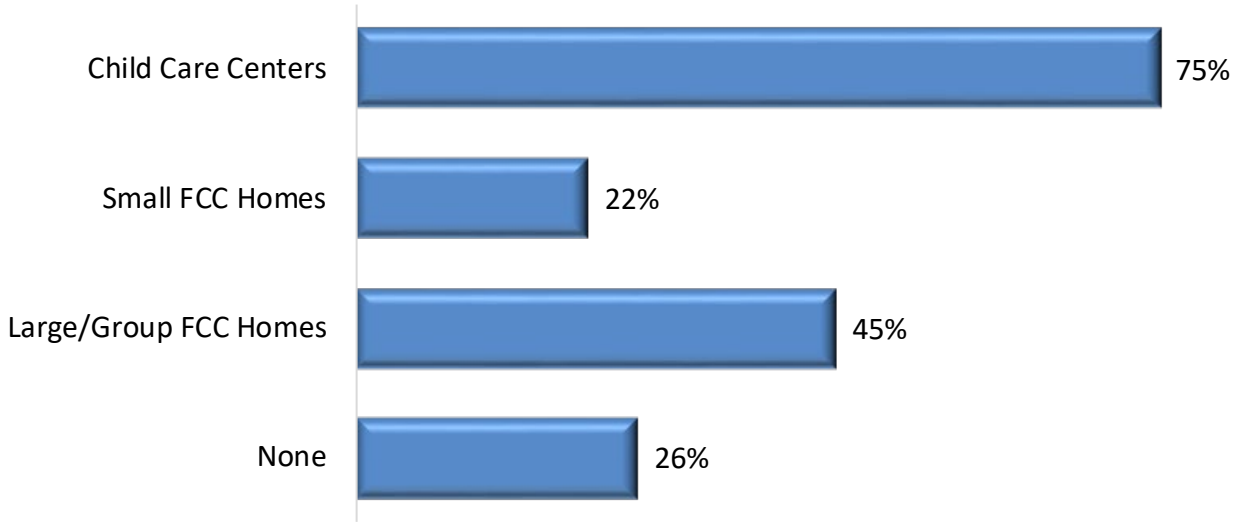
Question: What is the frequency of environmental health inspections?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Prior to licensure	37	12	15
Once a year	23	9	10
Once every two years	8	1	4
Once every three years	2	1	1
Other frequency	10	8	6

Building Code Inspections

Question: Building Code Inspections are required for which type of licensed child care facilities

Analysis: More than 75% of states require building codes inspections for child care centers while only 22% of states that regulate small FCC homes require building inspections for those providers. For states that regulate large/group FCC homes, 45% require building inspections. More than one-fourth of all states reported not requiring any building code inspections.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
Total Number of States that Regulate				
	53	46	40	N/A
Total	40	10	18	14
AK	•			
AL				•
AR				•
AZ	•			
CA	•		•	
CO	•	•	•	
CT	•		•	
DC	•	•	•	
DE	•		•	
FL	•			
GA	•		•	
GU	•	•	•	
HI	•		•	
IA	•			
ID	•		•	
IL				•
IN	•			
KS	•			
KY	•			
LA	•			
MA	•			
MD	•	•	•	

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
ME				•
MI				•
MN	•			
MO	•		•	
MS				•
MT				•
NC	•			
ND	•			
NE	•			
NH				•
NJ	•			
NM	•			
NV	•			
NY	•			
OH	•		•	
OK				•
OR				•
PA	•	•	•	
RI	•			
SC				•
SD	•			
TN	•	•	•	
TX				•
UT	•	•	•	
VA	•			
VI	•	•	•	
VT	•		•	
WA	•			
WI	•	•		
WV				•
WY	•	•	•	

Question: What is the frequency of building code inspections?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Prior to licensure	38	10	17
Once a year	5	2	2
Once every two years	2	0	1
Once every three years	0	0	0
Other frequency	12	4	7

BACKGROUND CHECKS

Summary:
Criminal history checks were nearly universal for all facility types by 2014. In 2011, 96% of states responding (N=49) reported that centers required criminal history checks, which was up to 100% in 2014. The requirements for fingerprint checks, Child Abuse & Neglect Registry checks, and Sex Offender Registry checks appear to have been up for all facility types in 2014, but a limited response and lack of distinction in 2011 between which states actually rate which facility types makes that a qualified assumption.

2011	Centers	Small FCC Homes	Large/Group FCC Homes	N
Criminal history check required	47	40	38	49
Fingerprint check required	33	26	27	40
CAN required	44	41	37	44
SOR required	24	23	21	26

2014	Centers	Small FCC Homes	Large/Group FCC Homes	N
Criminal history check required	49	44	37	49
Fingerprint check required	40	32	32	48
CAN required	47	42	35	50
SOR required	36	31	27	50

The number of states requiring staff to sign a statement about criminal status appeared to decrease for all facility types. A total of 40 states required a statement in 2011, down to 38 in 2014. For FCC homes, the number of states requiring statements for small FCC homes fell from 34 to 33 states, while the total fell from 34 to 30 in large/group FCC homes.

The number of states requiring a background check for staff prior to employment appears to have increased slightly. Such checks were nearly universal for all facility types by 2014. The frequency of subsequent checks also appears to have increased with more states reporting in 2014 that background checks were conducted at least every five years, with a small increase in the number of states reporting other frequencies.

In both 2011 and 2014, approximately 60% of states reported that a new background check was conducted for staff working in centers and approximately 50% reported new checks were required for FCC homes in 2011, compared to approximately 60% in 2014. There was a slight increase in the number of states reporting the background checks were portable between jobs and the number of states reporting some other policy nearly doubled between 2011 and 2014. An additional six states reported in 2014 that there was an automatic notification system in place to notify the licensing agency when an individual's criminal record changed.

Finally, in 2014, seven states reported that the state paid for background screening, down from 11 states in 2011. There was an increase of four states reporting that the facility would pay for background checks. The number of states reporting that the individual paid dropped from 22 states in 2011 to 12 in 2014 while the number of states reporting some other arrangement nearly doubled from 14 in 2011 to 26 in 2014.

States Requiring Background Checks

Question: The state requires background checks for which type of licensed child care facilities?

Analysis: All states reported that they require background checks for facilities they regulate.

** These states answered the question affirmatively despite not regulating the facility type. They have been excluded from any counts and analysis.*

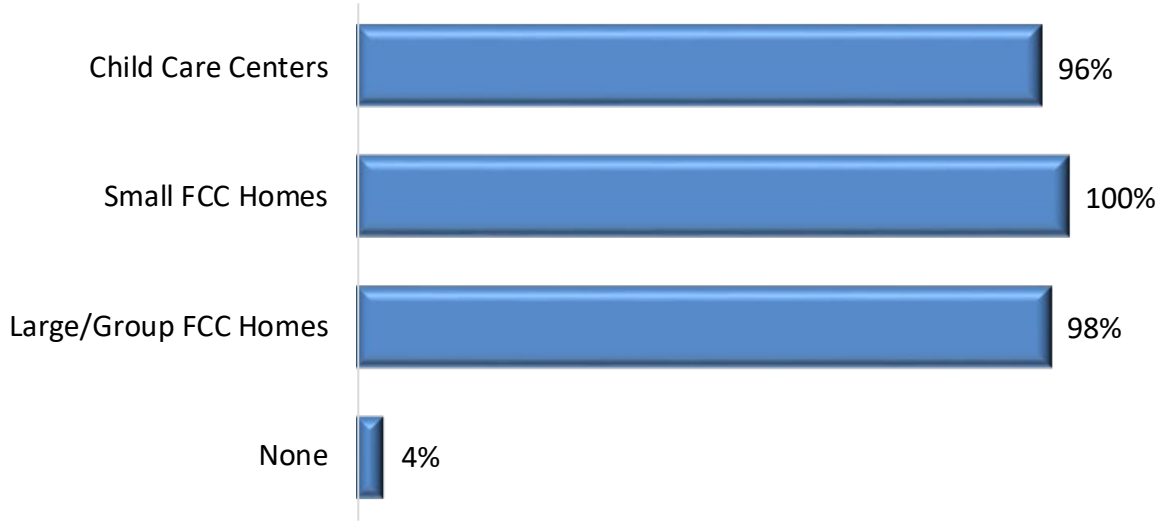
State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	53	46	40
Total	53	46	40
AK	•	•	•
AL	•	•	•
AR	•	•	
AZ	•		•
CA	•	•	•
CO	•	•	•
CT	•	•	•
DC	•	•	•
DE	•	•	•
FL	•	•	•
GA	•	•	•
GU	•	•	•
HI	•	•	•
IA	•	•	•
ID	•		•
IL	•	•	•
IN	•		•
KS	•	•	•
KY	•	•	
LA	•		
MA	•	•	
MD	•	•	•
ME	•	•	
MI	•	•	•
MN	•	•	*
MO	•	•	•

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
MS	•	•	•
MT	•	•	•
NC	•	•	
ND	•	•	•
NE	•	•	•
NH	•	•	•
NJ	•		
NM	•	•	•
NV	•	•	•
NY	•	•	•
OH	•		•
OK	•	•	•
OR	•	•	•
PA	•	•	•
RI	•	•	•
SC	•	•	•
SD	•		
TN	•	•	•
TX	•	•	•
UT	•	•	•
VA	•	•	
VI	•	•	•
VT	•	•	*
WA	•	•	
WI	•	•	
WV	•	•	•
WY	•	•	•

Criminal History Records

Question: Criminal history record (CHR) checks are required for which type of licensed child care facilities?

Analysis: 96% of states require CHR checks for child care centers. Of the states that regulate them, CHR checks are required in every state for small FCC homes and in 98% of states for large/group FCC homes. Approximately 4% of states do not require CHR checks for any facility type.



** These states answered the question affirmatively despite not regulating the facility type. They have been excluded from any counts and analysis.*

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	52	50	39
Total	52	45	38
AK	•	•	•
AL	•	•	•
AR	•	•	
AZ	•		•
CA	•	•	•
CO	•	•	•
CT	•	•	•
DC	•	•	•
DE	•	•	•
FL	•	•	•
GA	•	•	•
GU	•	•	•
HI	•	•	•
IA	•	•	•
ID	•		•
IL	•	•	•
IN	•		•
KS	•	•	•
KY	•	•	
LA	•		
MA	•	•	
MD	•	•	•
ME	•	•	
MI	•	•	•
MN	•	•	*
MO	•	•	•
MS	•	•	•
MT	•	•	•
NC	•	•	
ND	•	•	•
NE	•	•	•

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
NH	•	•	•
NJ	•		
NM	•	•	•
NV	•	•	•
NY	•	•	•
OH			
OK	•	•	•
OR	•	•	•
PA	•	•	•
RI	•	•	•
SC	•	•	•
SD			
TN	•	•	•
TX	•	•	•
UT	•	•	•
VA	•	•	
VI	•	•	•
VT	•	•	*
WA	•	•	
WI	•	•	
WV	•	•	•
WY	•	•	•

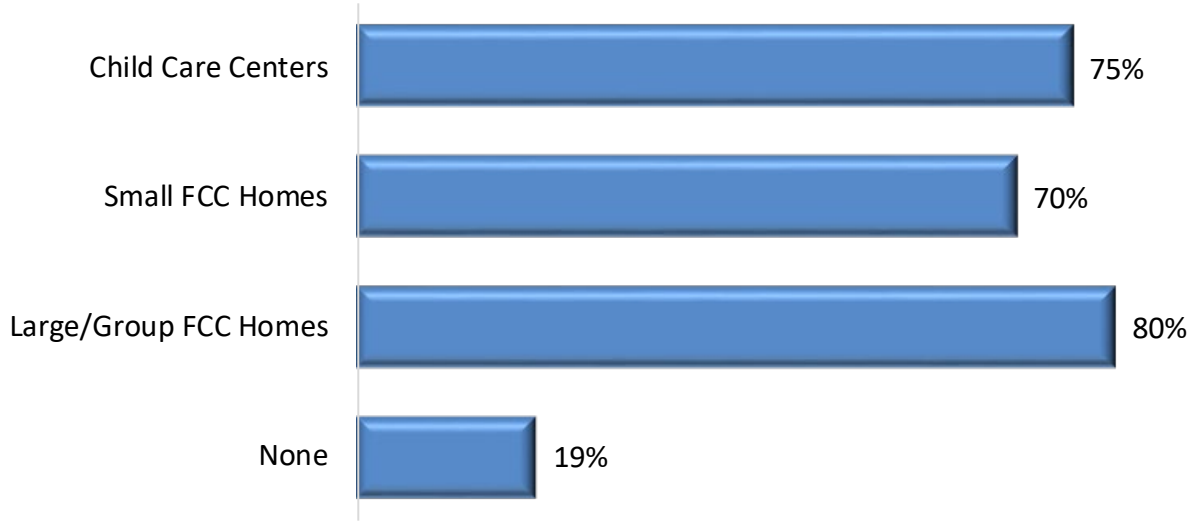
Question: For each facility type, please identify the type of criminal history record (CHR) required and by whom.

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
State CHR required	50	46	37
Federal CHR required	35	31	29
CHR required for all staff in facility	37	34	28
CHR required only for staff having contact with children	23	18	14
CHR required for volunteers	36	29	25
CHR required for household members (for FCC homes)	17	44	31
CHR required under certain conditions	7	7	4

Fingerprint Record Checks

Question: Fingerprint record checks are required for which type of licensed child care facilities?

Analysis: Fingerprint record checks are required in 75% of states for child care centers, 70% of states for small FCC homes in states that regulate them, and in 80% of states for large/group FCC homes. Almost one in five states reported not requiring any fingerprint record checks.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
Total Number of States that Regulate				
	53	46	40	N/A
Total	40	32	32	10
AK	•	•	•	
AL	•	•	•	
AR	•	•		
AZ	•		•	
CA	•	•	•	
CO	•	•	•	
CT	•	•	•	
DC	•	•	•	
DE	•	•	•	
FL	•	•	•	
GA	•	•	•	
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KY				•
LA	•			
MA	•	•		
MD	•	•	•	
ME				•
MI	•	•	•	
MN				•
MO				•
MS	•	•	•	
MT				
NC	•	•		
ND	•	•	•	
NE				•

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
NH	•	•	•	
NJ	•			
NM	•	•	•	
NV	•	•	•	
NY	•	•	•	
OH	•		•	
OK	•	•	•	
OR				
PA	•	•	•	
RI	•	•	•	
SC	•	•	•	
SD	•			
TN	•	•	•	
TX	•			
UT	•	•	•	
VA				•
VI				•
VT				•
WA	•	•		
WI				
WV	•	•	•	
WY	•	•	•	

Question: For each facility type, please identify the type of fingerprint record (FR) check required by whom.

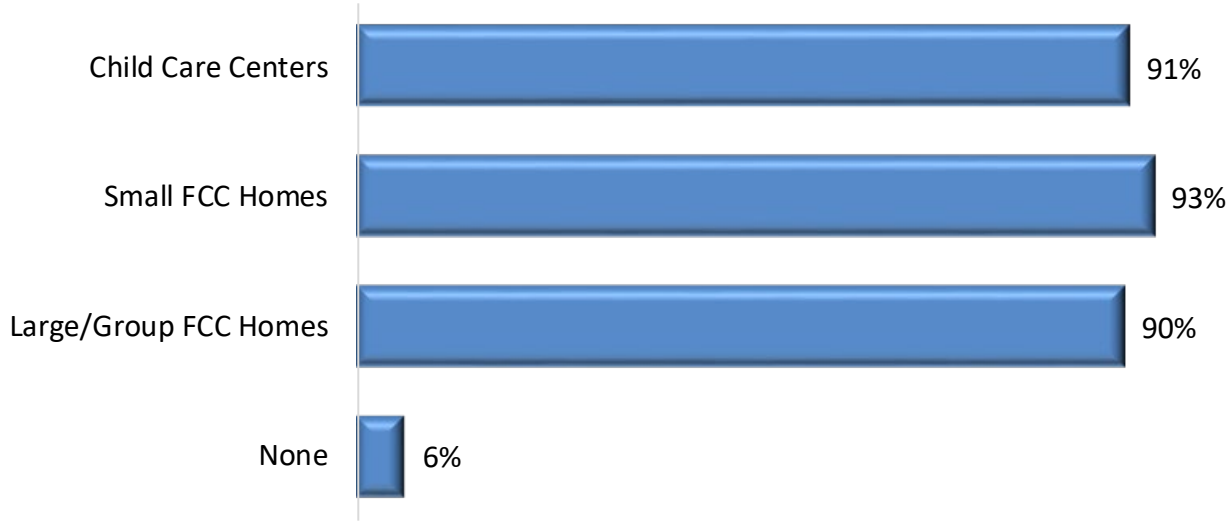
	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
State FR required	33	26	27
Federal FBI FR required	38	31	31
FR required for all staff in facility	24	22	21
FR required only for staff having contact with children	18	10	13
FR required for volunteers	26	17	18
FR required for household members (for FCC homes)	13	29	25
FR required under certain conditions	3	3	3
Electronic fingerprint imaging (LIVE SCAN) required	17	13	13

**Note: Several states reported that fingerprints were required under certain conditions for facilities they do not regulate. Those responses have been excluded from the counts.*

Child Abuse and Neglect Registry

Question: Child abuse and neglect registry checks (CAN) are required for which type of licensed child care facilities?

Analysis: CAN checks are required in 91% of states for child care centers while they are required in 93% of states for small FCC homes and in 90% of states for large/group FCC homes for states that regulate those two facility types. Slightly fewer than 6% of states do not require CAN checks for any facility type.



** These states answered the question affirmatively despite not regulating the facility type. They have been excluded from any counts and analysis.*

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
Total Number of States that Regulate				
	53	46	40	N/A
Total	48	43	36	3
AK	•	•	•	
AL	•	•	•	
AR	•	•		
AZ	•		•	
CA	•	•	•	
CO	•	•	•	
CT	•	•	•	
DC	•	•	•	
DE	•	•	•	
FL	•	•	•	
GA				•
GU	•	•	•	
HI	•	•	•	
IA	•	•	•	
ID	•		•	
IL	•	•	•	
IN	•		•	
KS	•	•	•	
KY	•	•		
LA				•
MA	•	•		
MD	•	•	•	
ME	•	•		
MI	•	•	•	
MN	•	•	*	
MO	•	•	•	
MS	•	•	•	
MT				•
NC	•	•		
ND	•	•	•	
NE	•	•	•	
NH	•	•	•	

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
NJ	•			
NM	•	•	•	
NV	•	•	•	
NY	•	•	•	
OH				
OK	•	•	•	
OR	•	•	•	
PA	•	•	•	
RI	•	•	•	
SC	•	•	•	
SD	•			
TN	•	•	•	
TX	•	•	•	
UT	•	•	•	
VA	•	•		
VI				
VT	•	•	*	
WA	•	•		
WI	•	•		
WV	•	•	•	
WY	•	•	•	

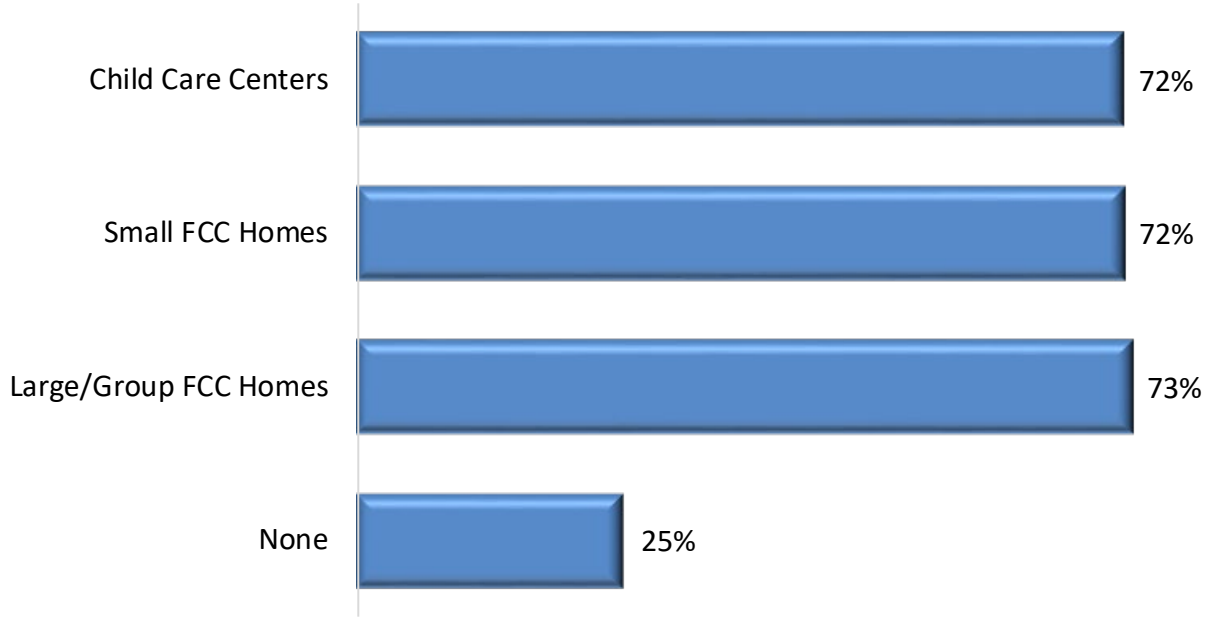
Question: For each facility type, when and/or for what staff are CAN checks required?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
CAN required for all staff in facility	32	31	27
CAN required only for staff having contact with children	21	15	13
CAN required for volunteers	33	27	23
CAN required for household members (for FCC homes)	15	41	32
CAN required under certain conditions	2	2	2

Sex Offender Registry

Question: Sex offender registry (SOR) checks are required for which type of licensed child care facilities?

Analysis: For states that regulate the different facility types, 72% to 73% of states require sex offender registry checks. Approximately 1 in 4 states did not require SOR checks for any facility type.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
Total Number of States that Regulate				
	53	46	40	N/A
Total	38	33	29	13
AK	•	•	•	
AL	•	•	•	
AR	•	•		
AZ	•		•	
CA	•	•	•	
CO	•	•	•	
CT				•
DC	•	•	•	
DE				•
FL	•	•	•	
GA	•	•	•	
GU	•	•	•	
HI	•	•	•	
IA	•	•	•	
ID	•		•	
IL	•	•	•	
IN	•		•	
KS				•
KY	•	•		
LA	•			
MA	•	•		
MD				•
ME	•	•		
MI		•	•	
MN	•			
MO	•	•	•	
MS	•	•	•	
MT				•
NC	•	•		

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
ND	•	•	•	
NE	•	•	•	
NH	•	•	•	
NJ				•
NM	•	•	•	
NV	•	•	•	
NY				•
OH				•
OK	•	•	•	
OR	•	•	•	
PA				•
RI				•
SC	•	•	•	
SD	•			
TN	•	•	•	
TX				•
UT	•	•	•	
VA				•
VI	•	•	•	
VT				
WA	•	•		
WI	•	•		
WV	•	•	•	
WY				•

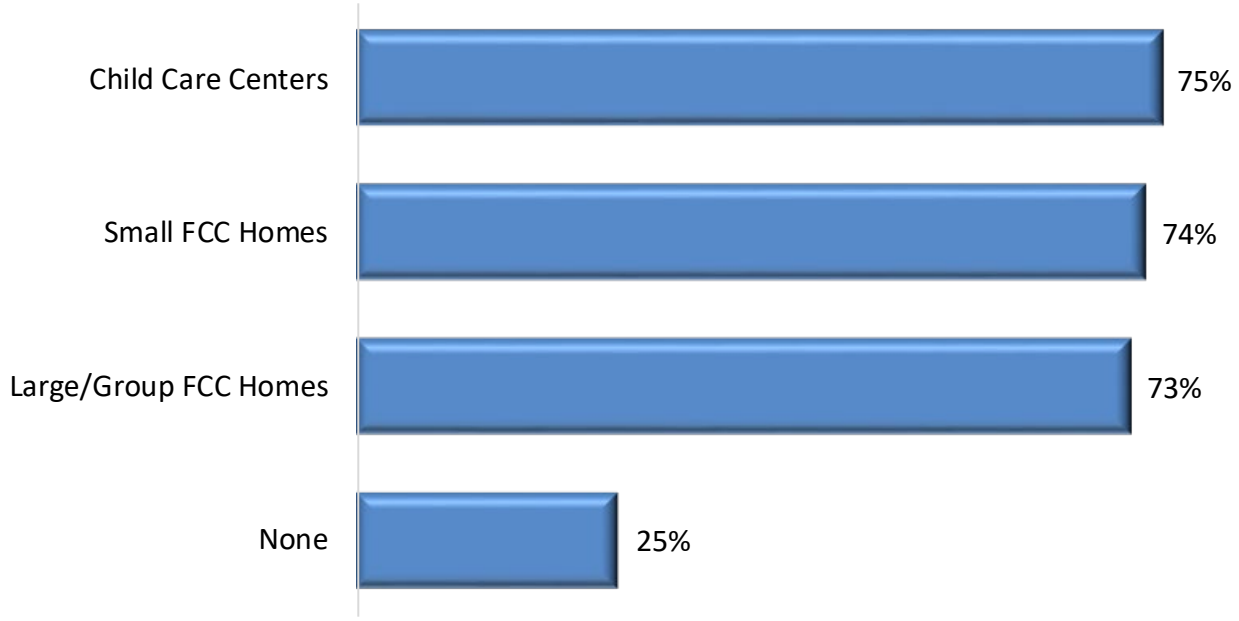
Question: For each facility type, please identify who is required to complete a sex offender registry check (SOR).

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
SOR required for all staff in facility	25	23	20
SOR required only for staff having contact with children	19	12	10
SOR required for volunteers	23	16	14
SOR required for household members (for FCC homes)	12	28	21
SOR required under certain conditions	2	3	3

Staffing Background Checks

Question: Facility staff are required to sign a statement about criminal status in which type of licensed child care facilities?

Analysis: Criminal status statements are required in approximately three-fourths of all states for each facility type that they regulate. One in four states do not require a statement about criminal status for any facility type.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	53	46	40
Total	38	33	30
AK	•	•	•
AL	•	•	•
AR	•	•	
AS			
AZ	•		•
CA	•	•	•
CO	•	•	•
CT			
DC	•	•	•
DE	•		•
FL	•	•	•
GA	•	•	
HI	•	•	•
IA	•	•	•
ID	•		•
IL	•	•	•
IN	•		•
KS			
KY			
LA			
MA			
MD			
ME			
MI	•	•	•
MN			
MO			
MS			
MT			
NC	•	•	
ND	•	•	•
NE	•	•	•
NH	•	•	•

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
NJ			
NM	•	•	•
NV	•	•	•
NY	•	•	•
OH			
OK	•	•	•
OR	•	•	•
PA	•	•	•
RI	•	•	•
SC	•	•	•
SD	•		
TN	•	•	•
TX	•	•	•
UT	•	•	•
VA	•	•	
VT	•	•	
WA	•	•	
WI	•	•	
WV	•	•	•
WY	•	•	•

Question: How often are background checks conducted on staff in licensed child care centers and licensed family child care home providers?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
Prior to licensure/working in a child care facility	50	41	38
Annually	8	8	8
Every 2 years	8	9	6
Every 3 years	7	7	4
Every 4 years	0	0	0
Every 5 years	7	6	6
Less than every 5 years	0	0	0
Other Frequency	12	10	12

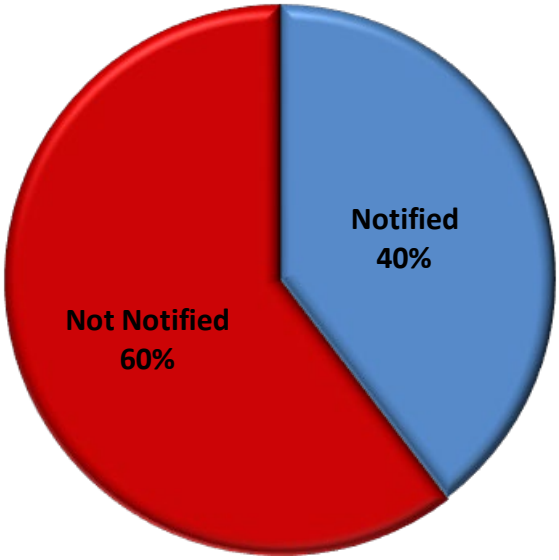
Question: What is the state's policy on background checks if child care facility staff change jobs, move to another facility, or have a break in employment?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	53	46	40
New background check is conducted	31	27	25
Current background check is portable and moves with the individual	16	14	13
Other policy	18	15	15

Question: Does the background check system in your state notify your agency when an individual's criminal record has changed? Does the state pay the costs for individuals to obtain background checks to work in licensed child care facilities?

Analysis: A total of 40% of states have a background check system that notifies the licensing agency when an individual's criminal record has changed. In 15% of states, the state pays for background checks, in 23% of states the individual pays for the check and in 13% of states the facilities pay. Almost half the states (49%) reported some other

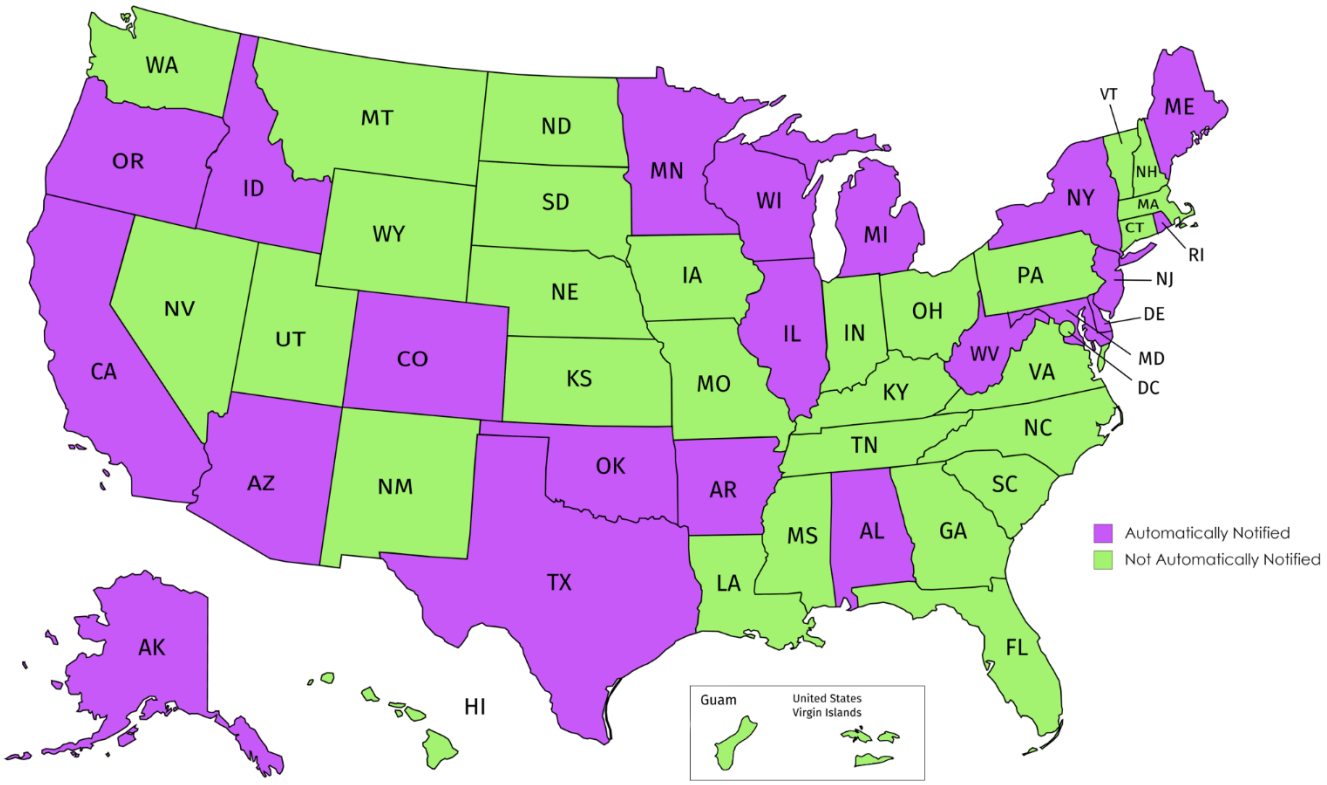
payment arrangement for background checks. Other payment arrangements including the state or facility paying for different parts of the background checks, in some states who paid was dependent on the type of licensee, and some states do not charge fees for "Name Only" searches.



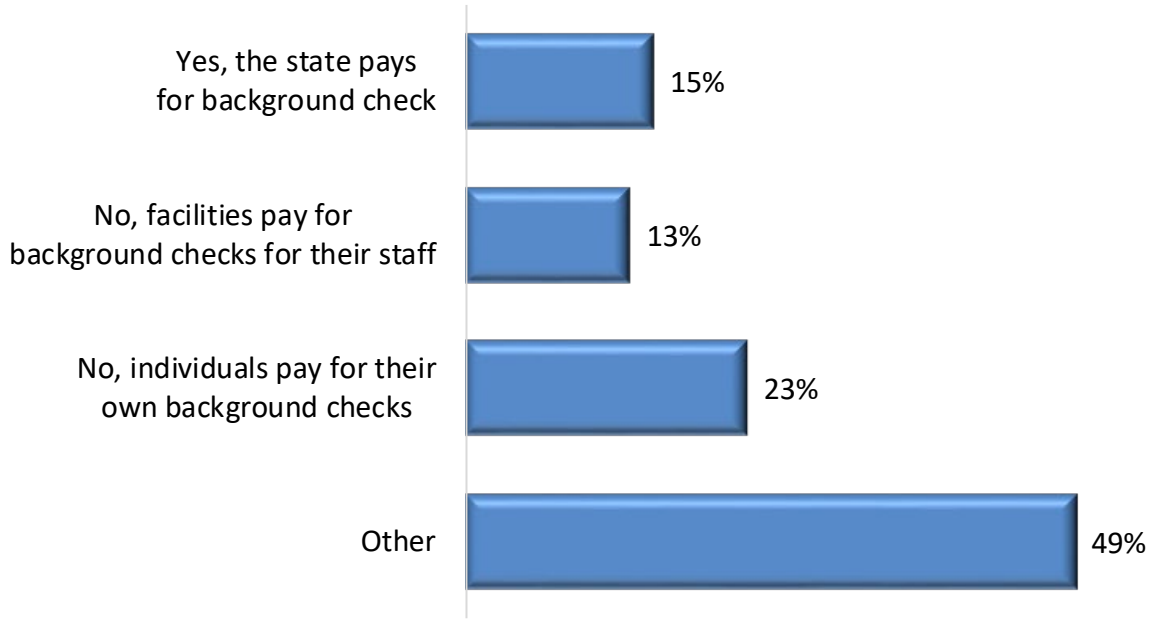
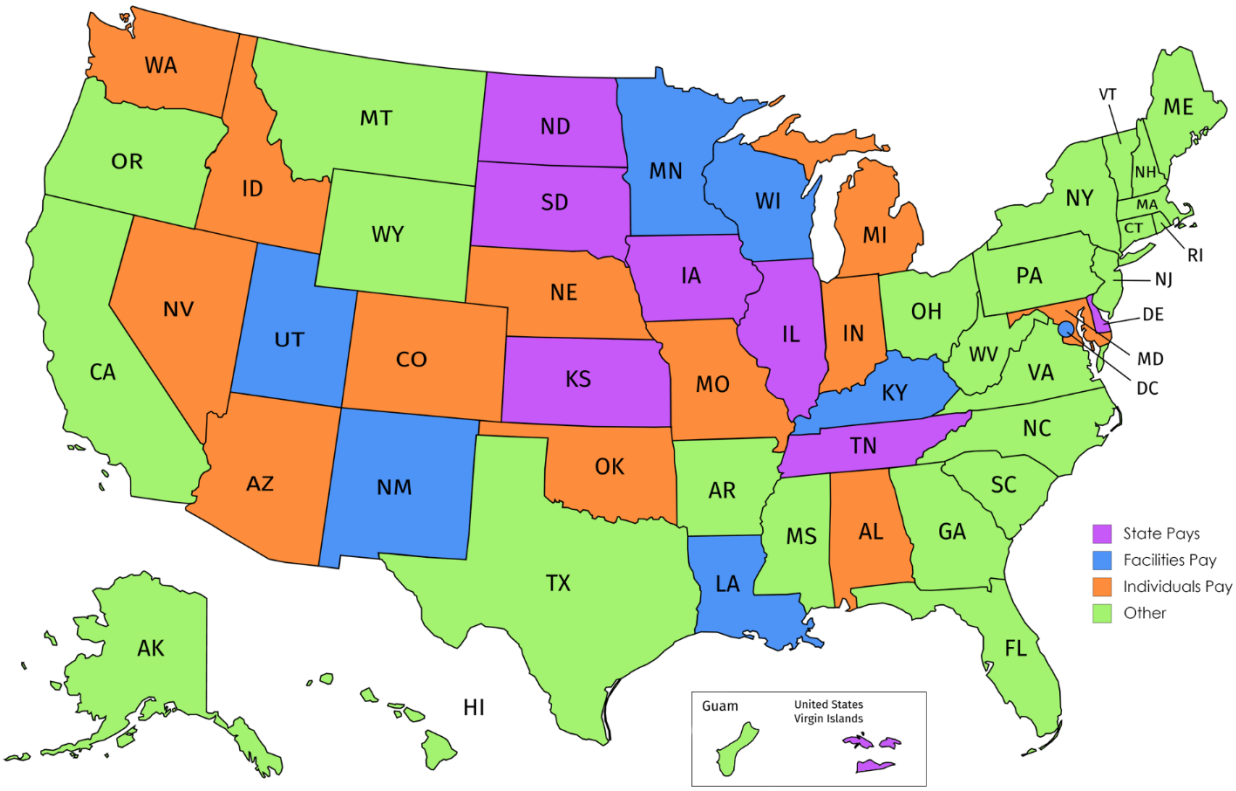
State	Background check system notifies agency when an individual's criminal record has changed	Yes, the state pays for background check	No, facilities pay for background checks for their staff	No, individuals pay for their own background checks	Other
Total	21	8	7	12	26
AK	•				•
AL	•			•	
AR	•				•
AZ	•			•	
CA	•				•
CO	•			•	
CT					•
DC			•		
DE	•	•			
FL					•
GA					•
GU					•
HI					•
IA		•			
ID	•			•	
IL	•	•			
IN				•	
KS		•			
KY			•		
LA			•		
MA					•
MD	•			•	
ME	•				•
MI	•			•	
MN	•		•		
MO				•	
MS					•
MT					•

State	Background check system notifies agency when an individual's criminal record has changed	Yes, the state pays for background check	No, facilities pay for background checks for their staff	No, individuals pay for their own background checks	Other
NC					•
ND		•			
NE				•	
NH					•
NJ	•				•
NM			•		
NV				•	
NY	•				•
OH					•
OK	•			•	
OR	•				•
PA					•
RI	•				•
SC					•
SD		•			
TN		•			
TX	•				•
UT			•		
VA					•
VI		•			
VT					•
WA				•	
WI	•		•		
WV	•				•
WY					•

Map 9 Automatic Notification of Licensing Agency for Change in Staff Criminal Record



Who Pays for Background Checks



Map 10 Who Pays for Background Checks