

2017 Child Care Licensing Study



ACKNOWLEDGEMENTS

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 adult care, child care, and child welfare. 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.

In 2001, NARA was approached by the Children's Foundation to collaborate on the *Child Care Licensing Study* assumed full responsibility for the research and publication of the studies in 2005. At that time, NARA formed a relationship with the Office of Child Care's National Center on Early Childhood Quality Assurance (formerly Child Care Quality Improvement) to produce research briefs based on the study.

The *2017 Child Care Licensing Study* is a study of the current state of licensing regulations in the United States. The *Child Care Licensing Study* is part of a series of studies used to verify and update the information about child care licensing.

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

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STUDY DESIGN

In 2017, NARA sent a survey to all state child care licensing agencies via an online survey tool. The survey included 144 questions relating to regulatory implementation and operational procedures. Fifty states, the District of Columbia, and America Samoa responded to the survey. The data for each state was analyzed to obtain preliminary information about updates to the regulations since 2014, the last licensing study published by NARA.

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: A provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential 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.

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 more than 10.5 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.

According to the U.S. Census Bureau, between 2014 and 2017 the number of children of child care age (0 to 12) in the United States rose slightly, from approximately 52.6 million to almost 52.8 million, a growth rate less than 0.3 percent. However, during that same time period, the number of licensed child care programs in the U.S. across all program types dropped by nearly 11 percent, or just over 27,000 programs in total; primarily in family child care homes. However, during the same time period, licensed capacity across all program types fell by approximately 0.1 percent.

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. The number of line staff FTEs increased by approximately 400 between 2014 and 2017 with 29 states reporting increases and 5 states reporting no changes. Overall caseloads dropped with the average caseload of 100 per line staff in 2014 dropping to 88 in 2017. The median caseload dropped from 85 in 2014 to approximately 70 in 2017.

Between the *2014 Child Care Licensing Study* and *2017 Child Care Licensing Study*, the Child Care and Development Block Grant underwent reauthorization, which included several requirements related to child care regulation. Nearly every state has exemptions for certain types of programs though in nearly three-fourths of states, licensure is a requirement for receiving subsidy payments for some programs and only 14 states said licensure was not a prerequisite for receiving subsidy payments. Many states reported that the licensing requirements were different for exempt programs and that exempt centers and homes each had separate requirements. Just over half of the states reporting said that licensing agency staff was responsible for inspections of license exempt homes.

The broad trend between 2014 and 2017 saw a slight increase in the number of FCC homes that were required to be inspected prior to licensure. Inspections conducted prior to issuing a license are predominantly announced inspections with very little change seen between 2014 and 2017. The number of states conducting license inspections at least twice a year increased by two for centers and three for small FCC homes. There was no change for large/group FCC homes. There was a drop in the number of states reporting non-expiring licenses for all program types. This corresponded to an increase in the number of one, two, and three-year renewals for centers. The number of states conducting abbreviated inspections did not change between 2014 and 2017 though the number of states using them for initial licensing inspections and routine compliance dropped. One additional state reported using abbreviated inspections for license renewal.

Two more states reported using "Key Indicators" in 2017 versus 2014 to determine what requirements should be included in abbreviated inspections. An additional seven states reported having conducted risk assessments in 2017 versus 2014. Seven additional states also reported using weighting for all risk factors, three fewer states used only high-risk factors, and two additional states developed categories of requirements identified as high-risk. In 2017 there was a net gain of four states reported using differential monitoring. A net total of three additional states reported using differential monitoring for centers and five additional states reported using it for both large and small FCC homes.

States are increasingly using their licensing databases for multiple purposes including evaluating their own staffing and tracking inspection and enforcement actions against providers. Licensing databases are more interconnected with other state agencies more than ever before. The number of states using portable devices for inspections, and considering

other tools for licensing doubled, or nearly doubled in almost every area. Licensing databases are becoming increasingly interconnected with other state agencies.

States were much more likely to investigate complaints against license-exempt programs in 2017 than in 2014. There was a 10 percent increase in the total number of states reporting that they investigated all complaints against exempt facilities, and a 19 state increase reported in the number of investigations involving subsidy payments or federal/state funding.

Between 2014 and 2017 the number of states that made either a full inspection report or summary report available online increased by 9 states (18 percent). In both 2014 and 2017 nine states included all complaints online. The number of states reporting posting only substantiated complaints online increased from 20 to 32. The number of states that included enforcement actions as part of their online report grew from 21 to 34 states. In 2017, 60 percent of states reported that they provided guidance to the public to help understand the licensing reports they posted online. More than half the states reported having inspection reports available online within a week of inspection. Almost every state identifies and addresses illegally operating providers through complaints received by the public. In 2017, 90 percent of states reported that they encouraged illegally operating providers to become licensed.

In both 2014 and 2017, only one state required licensing staff to have a master's degree. In 2017, 65 percent of states reported a bachelor's degree as the minimum requirement, up one from 2014. In each year, only one state required an associate's degree. In 2014, two states allowed some college level coursework while no states reported that as a requirement in 2017. There was an increase of two states reporting "Other" which usually means some combination of experience and education equivalent to a bachelor's degree. In 2017, two additional states reported that the degree must be in early childhood education, child development, or a field related to the care and education of children, while two fewer states reported that licensing staff were required to have experience working in a setting with children. In 2017, 73% of states reported that annual training was a requirement. There was an increase across the board in the number of states requiring specific types of training as well, with the largest percentage increases in business administration, disaster and emergency planning, and fire safety. In 2017, the number of states reporting that community resources were a training source increased by 11 percent. There was also a slight increase in the number of states that reported using outside consultants or national conferences.

The number of states reporting that general revenue was a funding source for licensing agency hiring remained unchanged between 2014 and 2017. The number of states reporting that the Child Care and Development Fund was a source increased by two, and one additional state reported state block grants as a funding source.

The number of states that have incorporated "interrater reliability" training or evaluation for licensing staff saw a net increase from five in 2014 to eight in 2017 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 70 to 80 percent.

When it comes to communicating with providers, in both 2014 and 2017 between 90 and 95 percent of states reported using a website, emails, and face-to-face meetings. Overall states were more likely to use a variety of methods in 2017. The number of states reporting that they used a provider newsletter grew by 11 states and the number of states using social media increased by eight.

In both 2014 and 2017 states relied primarily on *"Caring for Our Children: Health and Safety Standards"* for formulating rules and regulations for licensing child care facilities. States were much more likely to use Head Start standards and NARA research and practice publications in 2017 than in 2014.

Every state required background checks for centers in both 2014 and 2017 with all states including criminal history checks in 2017, up from 94 percent in 2014. The number of states requiring either state or federal fingerprint checks was up for all facility types. States requiring Child Abuse & Neglect (CAN) Registry checks for all staff in centers grew by eight percent and while it decreased for all staff in both FCC home types, there was a significant increase in the number of

states requiring CAN registry checks for staff having contact with children and volunteers. The number of states requiring sex offender registry checks for all program types grew by 10 to 12 percent. States were more likely to report conducting background checks annually in 2014 than in 2017.

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 2014 and 2017 license survey results. All inter-year analyses compare 50 states plus the District of Columbia. While a total of 53 states and territories including the District of Columbia responded to the survey in 2014, a different set of states and territories responded in 2017. In order to more accurately compare changes over time, the Summary analysis will examine and include in the analysis only those respondents who are included in both years. The 50 states and the District of Columbia will hereafter collectively be referred to as “states” for analysis purposes.

Each sub-section within a major section looks at results from only the 2017 survey. Fifty states plus the District of Columbia and American Samoa responded to the 2017 survey and their results are included in all sub-sections where applicable. Aggregate numbers from 2017 for the inter-year comparison will not necessarily be the same as those shown in the sub-sections since the complement of respondents in the analyses are different.

LICENSED PROGRAMS, CAPACITY, AND ENROLLMENT

Summary:

According to the U.S. Census Bureau, between 2014 and 2017 the number of children of child care age (0 to 12) in the United States rose slightly, from approximately 52.6 million to almost 52.8 million, a growth rate less than 0.3 percent. However, during that same time period, the number of licensed child care programs in the U.S. across all program types dropped by nearly 11 percent, or just over 27,000 programs in total. The decrease in the number of programs means that the average number of licensed programs per 1,000 children fell from 4.8 in 2014 to 4.3 in 2017. Only nine states showed an increase in the number of licensed programs.

Licensed capacity across all program types fell by just over 10,000 slots between 2014 and 2017, from 10.32 million to 10.31 million. The total decrease was approximately 0.1 percent. This represents a drop of less than 1 slot per 1,000 children of child care age. A total of 31 states had a reported increase in overall capacity.

Only eight states reported enrollment figures in 2017 and only five of those also had enrollment numbers reported in 2014. Of those five states, there was an overall drop of more than 305,000 in overall enrollment with two states showing an overall increase in enrollment.

Regulated Child Care Programs

State Abbreviation	State	Regulates Licensed Child Care Facilities	Regulates Licensed Small Family Child Care Homes	Regulates Licensed Large/Group Family Child Care Homes
Total		52	50	39
AK	Alaska	•	•	•
AL	Alabama	•	•	•
AR	Arkansas	•	•	
AS	American Samoa	•	•	
AZ	Arizona	•		•
CA	California	•	•	•
CO	Colorado	•	•	•
CT	Connecticut	•	•	•
DC	District of Columbia	•	•	•
DE	Delaware	•	•	•
FL	Florida	•	•	•
GA	Georgia	•	•	
HI	Hawaii	•	•	•
IA	Iowa	•	•	•
ID	Idaho	•	•	•

State Abbreviation	State	Regulates Licensed Child Care Facilities	Regulates Licensed Small Family Child Care Homes	Regulates Licensed Large/Group Family Child Care Homes
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	Rhode Island	•	•	•
SC	South Carolina	•	•	•
SD	South Dakota	•	•	•
TN	Tennessee	•	•	•
TX	Texas	•	•	•
UT	Utah	•	•	•
VA	Virginia	•	•	
VT	Vermont	•	•	
WA	Washington	•	•	
WI	Wisconsin	•	•	
WV	West Virginia	•	•	•
WY	Wyoming	•	•	•

Licensed Facilities

Question: Total number of licensed child care facilities on December 31, 2017

Analysis: The total number of licensed child care programs as of December 31, 2017 was just over 248,000. Nationally that represents 4.7 licensed programs per 1000 children ages 0 to 12. In just under 58% of the states, Child Care Centers were the most prevalent licensed program type, followed by Small FCC Homes in 33% of the states, and Large/Group FCC Homes in slightly less than 10% of the states. Three states reported a total number of facilities in excess of 50 per 1000 children ages 0 to 12, while five states reported less than one facility per 1000 children ages 0 to 12. The total counts in this report encompass all facility types reported in the survey responses including centers, small FCC homes, large/group FCC homes, and “Other licensed facilities”.

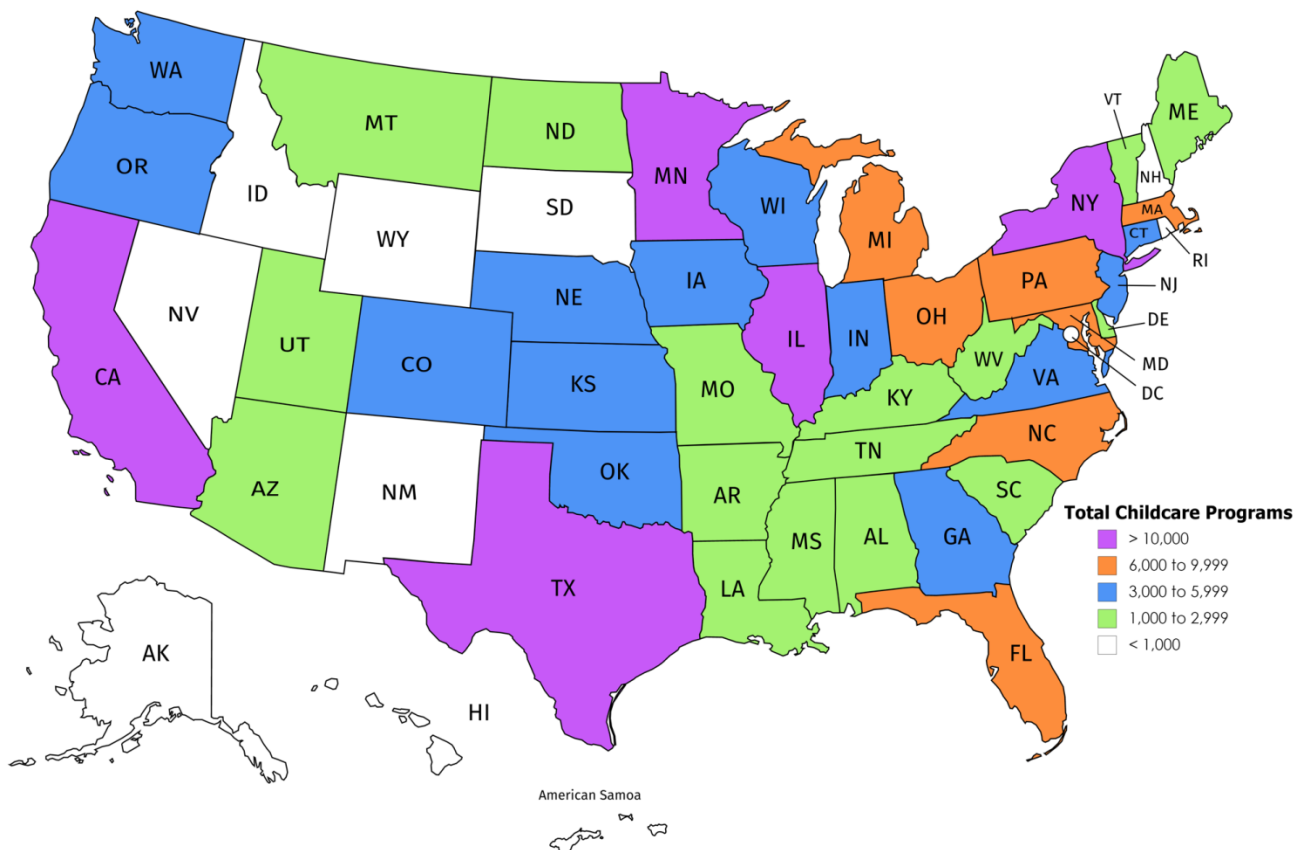
Examples of “Other licensed facilities”:

- Out of school time-school age only
- Children’s Resident Camps, temporary shelter programs, programs serving teen parents, foster care placement and adoption agencies
- Child Placing Agencies and Residential Child Care Facilities and Day Treatment Programs
- In-Home Child Care Provider, who provides child care services in the child’s own home
- Drop-in Centers
- Informal and relative homes

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	109,436	83,942	37,278	5,741	248,217
AK	231	267	64	N/A	562
AL	962	492	254	N/A	1,708
AR	1,620	346	N/A	194	2,160
AS	22	1	N/A	N/A	23
AZ	2,215	N/A	284	N/A	2,499
CA	15,300	15,900	11,200	N/A	42,400
CO	3,000	1,668	292	140	5,100
CT	1,389	2,017	26	N/A	3,432
DC	352	78	31	N/A	461
DE	460	614	76	29	1,179
FL	4,768	1,010	294	N/A	6,072
GA	3,062	1,594	N/A	N/A	4,656
HI	585	349	6	N/A	940
IA	1,515	711	2,048	N/A	4,274
ID	374	52	287	N/A	713
IL	3,012	6,736	754	N/A	10,502
IN	712	2,645	N/A	N/A	3,357
KS	1,025	2,800	1,306	413	5,544
KY	1,921	262	N/A	86	2,269
LA	1,484	236	N/A	7	1,727
MA	2,856	5,690	Not Reported	471	9,017
MD	2,493	5,602	132	215	8,442
ME	724	930	N/A	48	1,702
MI	4,424	3,026	1,713	N/A	9,163
MN	1,738	6,761	1,695	N/A	10,194
MO	1,879	968	142	N/A	2,989
MS	1,460	11	18	3	1,492
MT	262	255	423	242	1,182
NC	4,527	1,735	N/A	N/A	6,262
ND	290	286	854	60	1,490

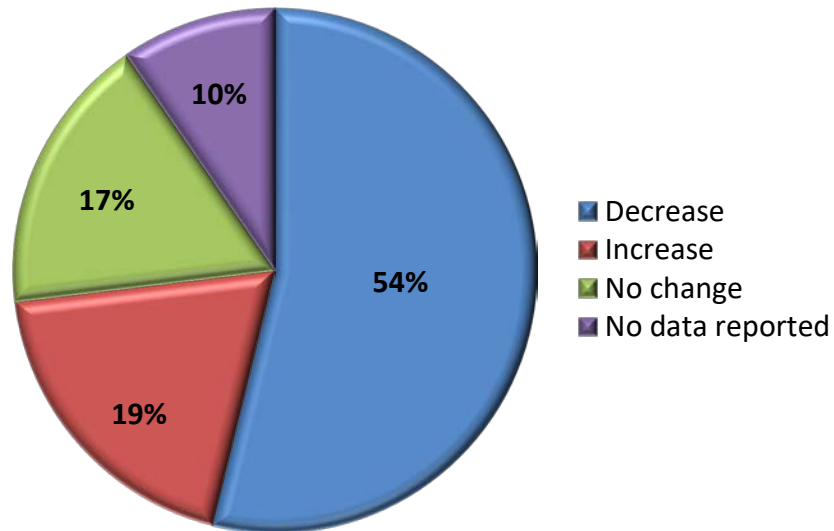
State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total number of all Licensed Child Care Programs
NE	998	1,456	646	156	3,256
NH	689	65	84	N/A	838
NJ	3,965	N/A	N/A	1,680	5,645
NM	746	110	125	N/A	981
NV	336	88	37	N/A	461
NY	4,306	4,020	8,079	2,791	19,196
OH	4,138	2,288	228	N/A	7,247
OK	1,504	1,058	686	N/A	3,248
OR	1,350	1,917	806	N/A	4,073
PA	4,882	1,789	746	N/A	7,417
RI	421	479	9	N/A	909
SC	1,644	815	93	N/A	2,552
SD	218	518	55	148	939
TN	1,609	253	359	11	2,232
TX	9,589	7,551	1,721	22	18,883
UT	353	94	778	N/A	1,225
VA	2,629	1,411	N/A	1	4,041
VT	673	594	N/A	21	1,288
WA	1,647	3,497	N/A	475	5,619
WI	2,280	1,642	N/A	96	4,018
WV	519	1,200	132	112	1,963
WY	278	251	146	N/A	675

Map 1 Total Number of Child Care Programs



Question: Have the numbers of facilities increased or decreased in recent years?

Analysis: The majority of states reported an overall decrease in the number of facilities in recent years. Many states that reported an increase in the number of child care facilities, also reported decreases in family child care homes.



Reasons for decrease in the number of facilities include:

- Increased education/qualification requirements
- Increase in standards due to CCDF requirements
- Substantial increase in fees
- Recession and employment slowdowns
- Career changes
- Retirement
- Business not profitable
- Increased regulations
- Increased academic standards
- Seeking more flexible employment
- Increase in Public preschool programs
- Overall state population decreasing

Licensed Capacity

Question: What was the total licensed capacity (number of slots) for each type of child care facility on December 31, 2017 (or most current count)?

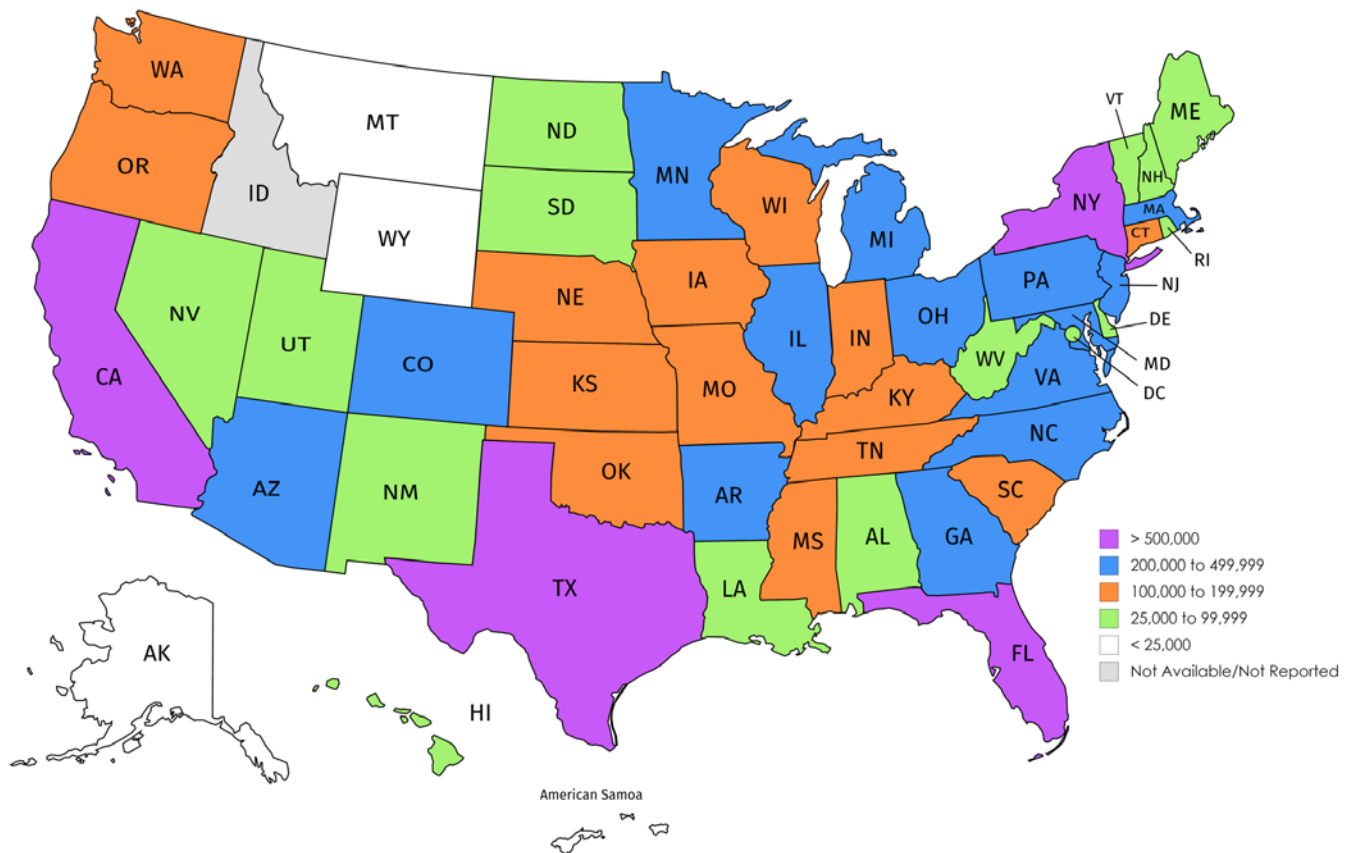
Analysis: For the states and territories reporting (n=51), there were almost 10.5 million slots in licensed child care programs of all types. Nationally this equates to just over 201 licensed slots per 1000 children ages 0 to 12 (US Census Bureau, 2017). The smallest number of licensed slots per 1000 children ages 0 to 12 was in American Samoa, which reported just over 17 slots per 1000 followed by Utah with just over 64 slots per 1000 children. Two states, Arkansas and Vermont reported more than 422 slots per 1000 children ages 0 to 12. The program types with the most slots were child care centers in every state.

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 and Minnesota were among the states with the largest number of child care programs. Florida, while still having a large number of programs ranked below those two states in overall program count. When looking at capacity however, Florida ranked above both those states in total capacity numbers. This suggests that Illinois and Minnesota, while having more child care programs overall, tend to have smaller capacity per program, while Florida tends to have, on average, programs that provide a larger capacity (larger programs).

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	8,714,155	767,760	527,637	477,671	10,487,223
AK	15,194	1,774	753	N/A	17,721
AL	74,990	3,099	3,070	N/A	81,159
AR	174,000	3,962	N/A	29,540	207,502
AS	1,080	12	N/A	N/A	1,092
AZ	253,451	N/A	2755	N/A	256,206
CA	780,000	127,000	156,000	N/A	1,063,000
CO	216,099	21,764	3326	23,364	264,553
CT	99,462	17,916	297	N/A	117,675
DC	24,799	455	287	N/A	25,541
DE	43,883	5,182	901	202	50,168
FL	529,000	10,100	3528	N/A	542,628
GA	349,724	9,543	N/A	N/A	359,267
HI	31,564	2,035	71	N/A	33,670
IA	118,599	5,688	24,764	N/A	149,051
ID	N/A	N/A	N/A	N/A	N/A
IL	239,793	48,378	8,592	N/A	296,763
IN	74,473	N/A	34,028	N/A	108,501
KS	54,667	27,977	15,660	29,252	127,556
KY	167,615	1,552	N/A	N/A	169,167
LA	85,280	N/A	1,416	N/A	86,696
MA	183,175	46,115	N/A	N/A	229,290
MD	157,717	41,164	1,468	14,034	214,383
ME	34,300	10,104	N/A	853	45,257
MI	320,304	16,952	20,329	N/A	357,585
MN	130,464	75,626	23,480	N/A	229,570
MO	131,536	9,590	2,750	N/A	143,876
MS	124,064	124	397	58	124,643
MT	13,066	1,423	4,902	N/A	19,391
NC	426,732	27,851	N/A	N/A	454,583
ND	23,218	2,521	13,090	1,290	40,119
NE	95,478	14,356	7,572	4,241	121,647
NH	44,108	542	1,189	N/A	45,839
NJ	361,680	N/A	N/A	N/A	361,680

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total number of all Licensed Child Care Programs
NM	55,950	668	1,480	N/A	58,098
NV	35,159	534	432	N/A	36,125
NY	309,407	31,262	123,512	316,977	781,158
OH	328,906	15,380	2,404	15,380	362,070
OK	105,906	7,551	8,195	N/A	121,652
OR	76,258	19,164	11,608	N/A	107,030
PA	353,042	10,734	8,653	N/A	372,429
RI	30,073	3,114	106	N/A	33,293
SC	181,532	4,805	1,114	N/A	187,451
SD	22,104	6,114	1,083	16,631	45,932
TN	146,742	1,743	4,262	745	153,492
TX	1,049,804	55,164	20,471	652	1,126,091
UT	31,246	747	9,994	N/A	41,987
VA	273,962	14,322	N/A	175	288,459
VT	27,733	5,940	N/A	238	33,911
WA	112,530	33,651	N/A	23,703	169,884
WI	142,190	14,454	N/A	N/A	156,644
WV	36,389	7,200	1,584	336	45,509
WY	15,707	2,408	2,114	N/A	20,229

Map 2 Total Licensed Child Care Capacity



Enrollment

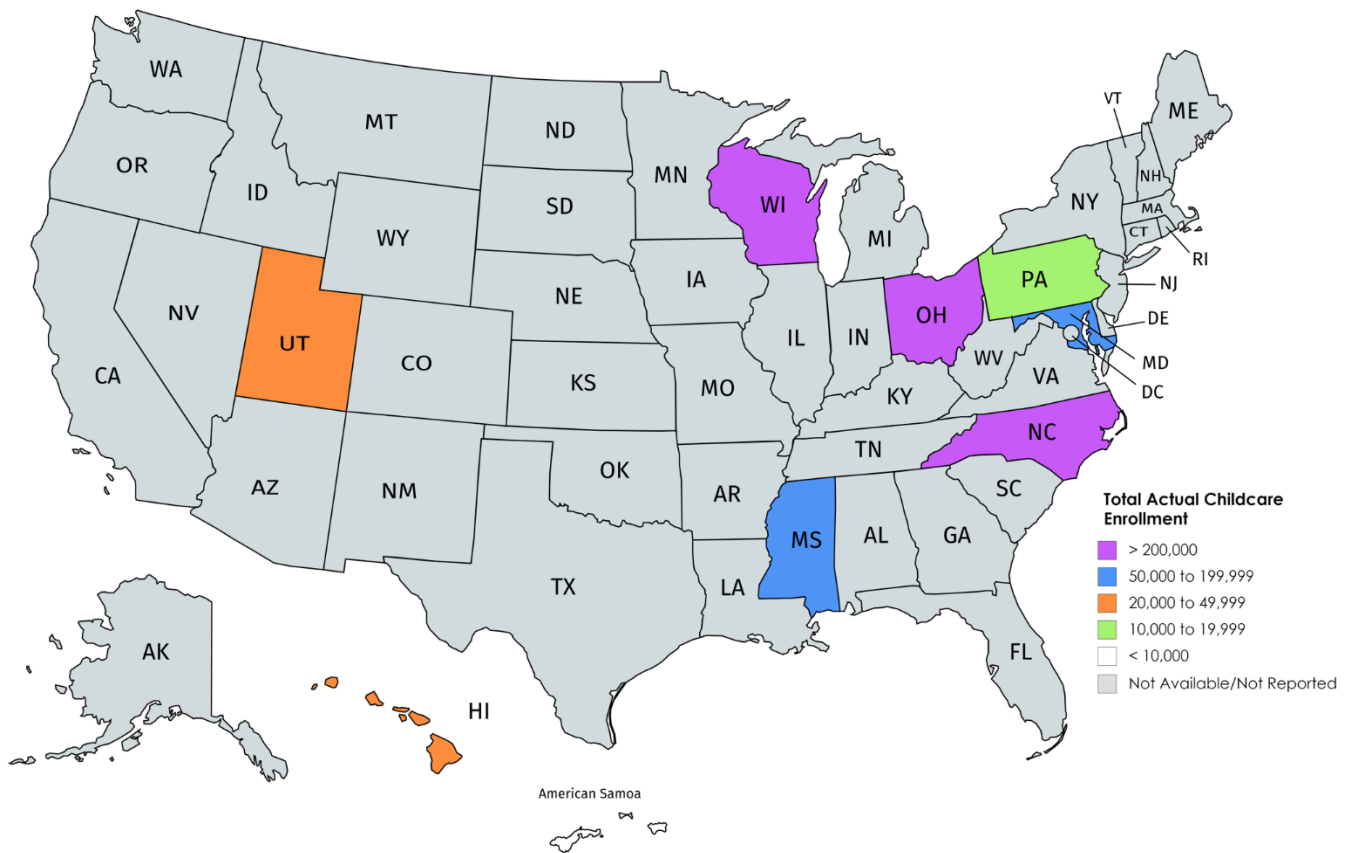
Question: If your state collects and aggregates “actual enrollment” data for facilities (e.g. from resource and referral agencies or other sources) – please include the most current data available on December 31, 2017 (or most current count).

Analysis: Only 9 states reported actual enrollment data for licensed child care programs in their state. 8 of the 9 states reported total licensed enrollment below capacity. Using a weighted average (weighted by total capacity slots) programs were, on average, at approximately 71% of capacity. Only Wisconsin reported licensed enrollment in excess of licensed capacity with enrollment almost 141% above reported capacity. 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	1,004,368	32,791	12,661	43,970	1,093,790
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
AS	885	N/A	N/A	N/A	885
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
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
HI	26,893	1,632	51	N/A	28,576
IA	N/A	N/A	N/A	N/A	N/A
ID	N/A	N/A	N/A	N/A	N/A
IL	N/A	N/A	N/A	N/A	N/A
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	166,057	N/A	N/A	14,034	180,091
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	90,091	76	264	15	90,446
MT	N/A	N/A	N/A	N/A	N/A
NC	233,795	11,140	N/A	N/A	244,935
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	260,237	17,998	3,689	N/A	281,924
OK	N/A	N/A	N/A	N/A	N/A
OR	N/A	N/A	N/A	N/A	N/A
PA	12,302	N/A	N/A	N/A	12,302
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

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	Other Licensed Child Care Facilities	Total number for all Licensed Child Care Programs
TN	N/A	N/A	N/A	N/A	N/A
TX	N/A	N/A	N/A	N/A	N/A
UT	24,995	720	8,657	N/A	34,372
VA	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	189,113	19,223	N/A	11,923	220,259
WV	N/A	N/A	N/A	N/A	N/A
WY	N/A	N/A	N/A	N/A	N/A

Map 3 Total Child Care Enrollment



LICENSING AND HEAD START

Summary:

The survey section on Head Start was new for 2017 so there is no comparative data for 2014. More than 90 percent of states reported that at least some Head Start Centers were required to be licensed, though less than half (35%) reported that all Head Start Centers were required to be licensed. Only five states reported that no Head Start Centers were required to get a license. The most common reasons for Head Start Centers not having to be licensed were because the programs were based in a public or private school or had some exemptions unique to Head Start Centers. A couple states reported that licensing was not required because the Centers were only open a limited time.

Thirty one states responded to a question on total Head Start enrollment in their state. The states responding represent 1.9 million children between the ages of 0 and 5 who live in households at or below the Federal Poverty Level.

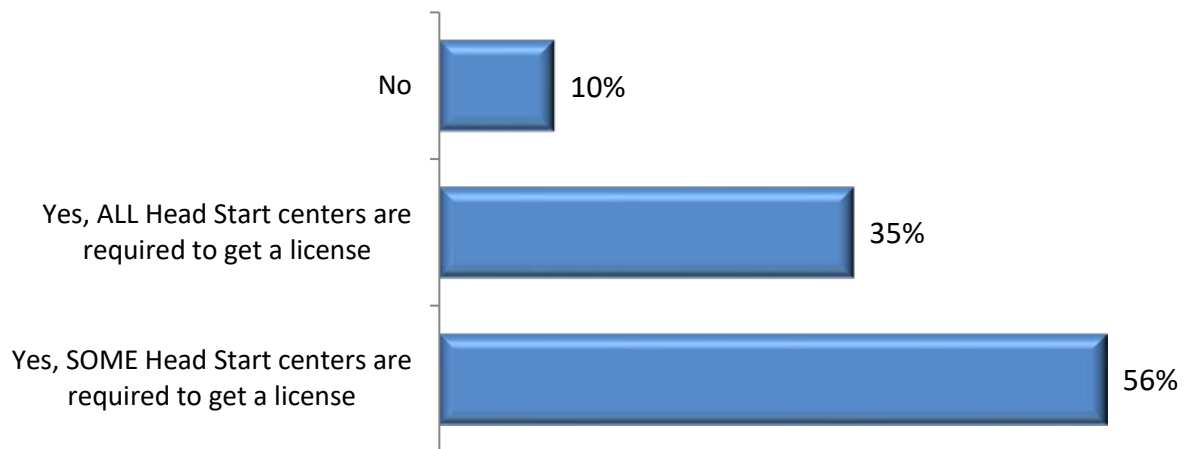
Nationally, among those states reporting, there are approximately 2.4 licensed Head Start programs per 1,000 young children in poverty. The number of centers varied between approximately 1 per 1,000 to more than 7 per 1,000. The average for those states reporting was about 3 licensed Head Start programs per 1,000 young children in poverty.

Sixty percent of states responding (N=50) said that half or more of their Head Start programs were licensed. Thirty percent of states responding did not know the number of licensed Head Start Programs. States reported having trouble getting data on Head Start programs and difficulty identifying them since they aren't always identified as a Head Start program in the licensing database or because a different agency collected information on Head Start Centers.

Head Start – Licensing

Question: Are Head Start Centers required to get a license?

Analysis: Almost every state, more than 90%, requires at least SOME Head Start centers to get a license. Slightly less than 35% require ALL Head Start centers to get a license and less than 10% reported that no Head Start centers were required to get a license.



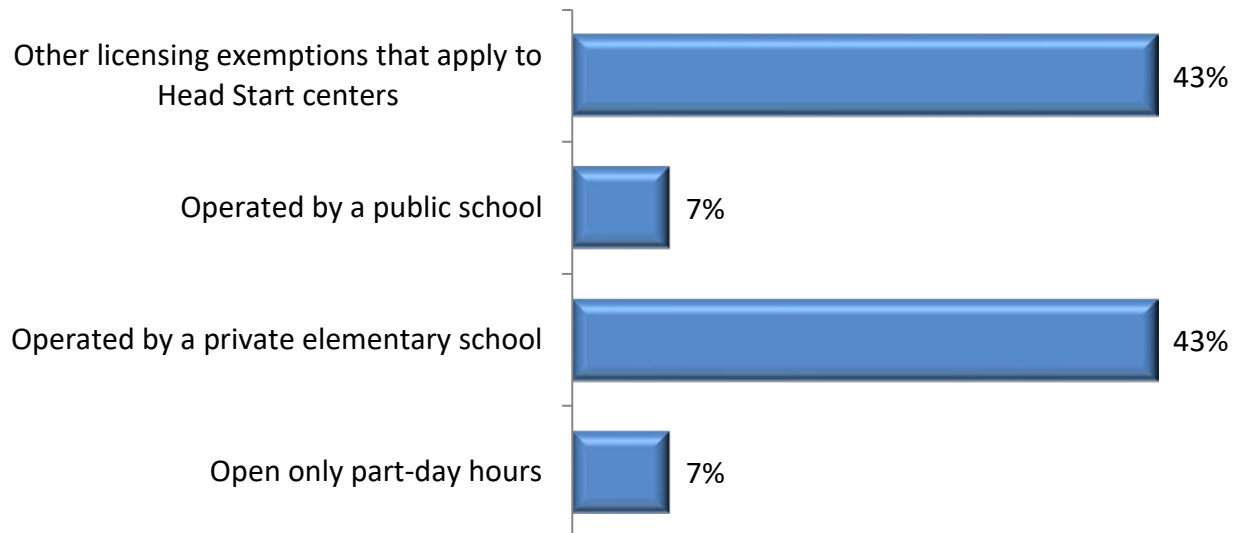
State	No	Yes, ALL Head Start centers are required to get a license	Yes, SOME Head Start centers are required to get a license
Total	5	18	29
AK			•
AL			•
AR		•	
AS	•		
AZ		•	

State	No	Yes, ALL Head Start centers are required to get a license	Yes, SOME Head Start centers are required to get a license
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		•	
NJ		•	
NM			•
NV		•	
NY			•
OH		•	
OK			•
OR			•
PA			•
RI		•	
SC		•	
SD	•		
TN			•
TX			•
UT			•
VA			•
VT		•	
WA			•
WI			•
WV			•
WY			•

Head Start – Exemption Characteristics

Question: If some Head Start centers are required to get a license, which characteristics allow a Head Start center to be exempt from licensing?

Analysis: 27 of 29 states which responded that only SOME Head Start centers were required to be licensed provided explanations for the exemptions. More than half (52%) reported that Head Start centers operated by a public or private school were not required to be licensed; 2 states reported that Head Start centers aren't licensed because they are only open for part-day hours. More than 44% reported there were some other licensing exemptions that applied to Head Start centers.

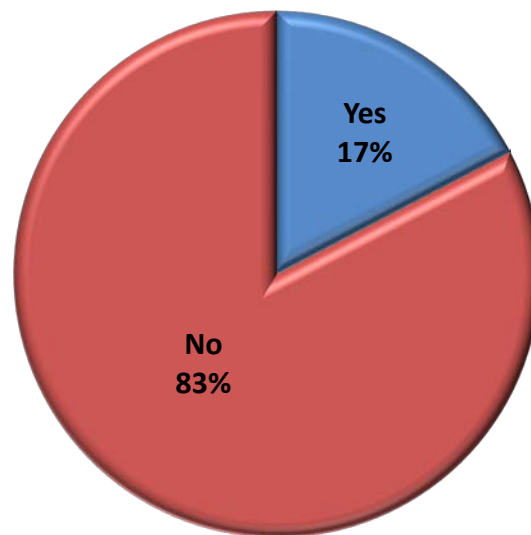


State	Open only part-day hours	Operated by a public school	Operated by a private elementary school	Other licensing exemptions that apply to Head Start centers
Total	2	12	2	12
AK			•	•
AL		•		
AR				
AS				
AZ				
CA				
CO				
CT				•
DC		•		
DE				
FL			•	
GA				•
HI				
IA				
ID				•
IL		•		
IN				
KS		•		
KY				•
LA				
MA		•		

State	Open only part-day hours	Operated by a public school	Operated by a private elementary school	Other licensing exemptions that apply to Head Start centers
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		•		
VT				
WA				•
WI		•		
WV	•			
WY		•		

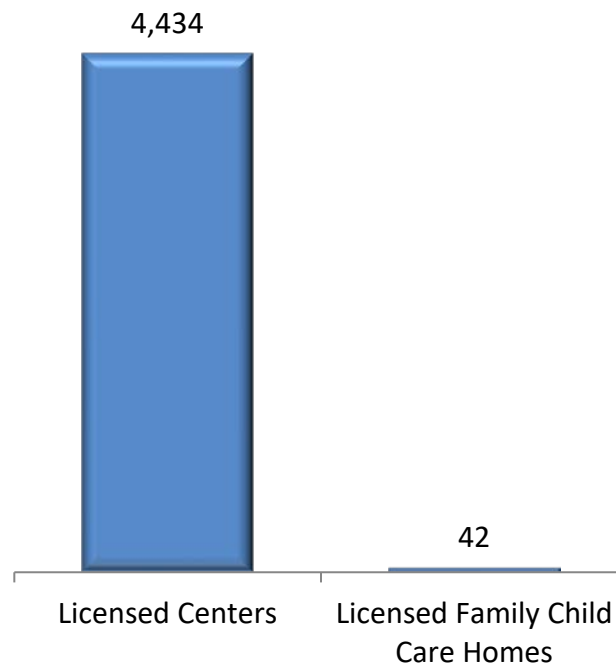
Head Start – Challenges

Question: Have there been any challenges for Head Start centers in meeting the licensing requirements?



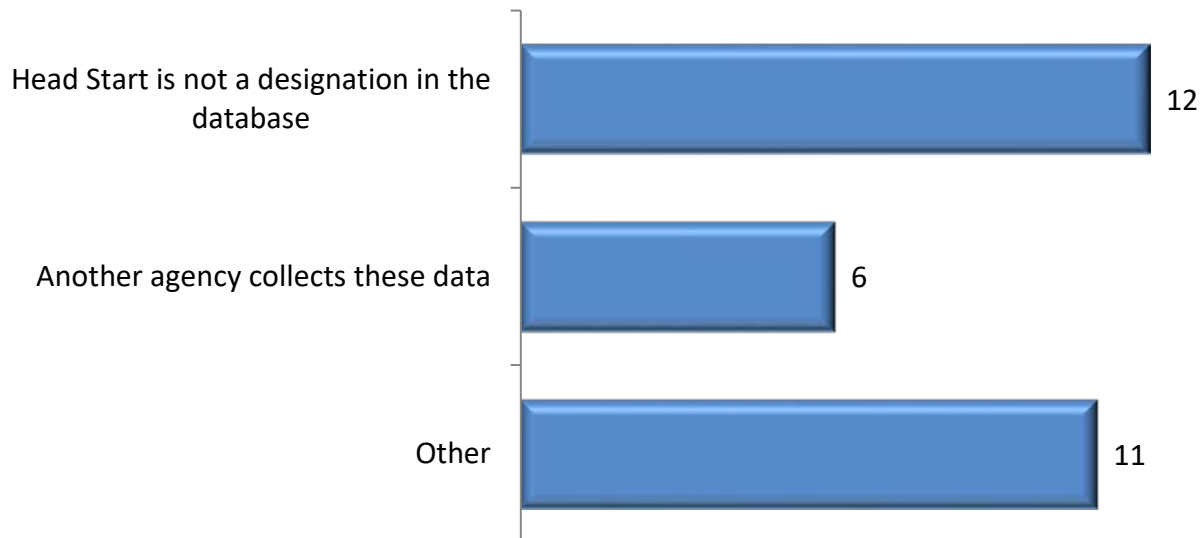
Question: Please provide information about the number of licensed Head Start centers and family child care homes in your state/territory as of December 31, 2017.

Analysis: Only 31 states reported the number of Licensed Head Start centers and Licensed Head Start FCC homes, 21 states did not provide data. The responding states reported a total of 4,434 licensed Head Start Centers and 42 Licensed Head Start FCC homes.



Question: If you cannot provide the number of licensed Head Start centers and family child care homes, please describe why the data is not available.

Analysis: While 21 states did not report the number of licensed Head Start center and FCC homes, 28 states reported issues collecting data on the number of Head Start centers. More than half reported that Head Start was not a designation in the database used to count licensed facilities. About 21% reported that a different agency collected the data while approximately 39% reported having other reasons.

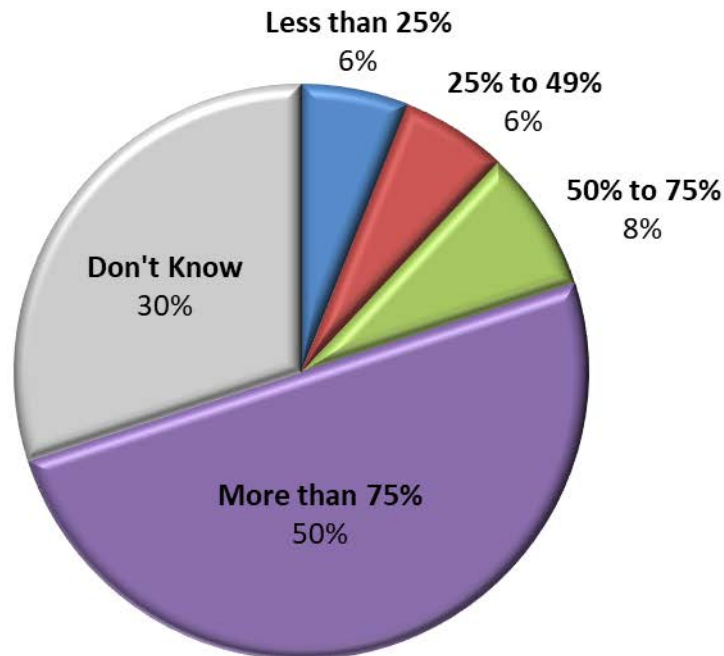


State	Head Start is not a designation in the database	Another agency collects these data	Other
Total	12	6	11
AK		.	.
AL			
AR			
AS			.
AZ			.
CA		.	
CO	.		
CT			
DC			
DE	.		
FL		.	
GA			.
HI			
IA	.		
ID	.		
IL			.
IN			.
KS		.	
KY			.
LA			.
MA			
MD			
ME			
MI			
MN	.		

State	Head Start is not a designation in the database	Another agency collects these data	Other
MO	•		
MS			
MT	•		
NC			
ND	•		
NE			•
NH			
NJ		•	
NM			
NV			
NY			•
OH		•	
OK			
OR			
PA			
RI	•		
SC			
SD			
TN	•		
TX	•		
UT			
VA	•		
VT			
WA			•
WI			
WV			
WY			

Question: Approximately what percentage of Head Start centers are licensed (whether voluntarily or because of a requirement) in your state/territory as of December 31, 2017?

Analysis: Almost 60% of the states reporting (n=50) said that more than 50% of Head Start centers are licensed, and half said more than 75% of Head Start centers are licensed. Only 12% of states reported less than half of their Head Start centers are licensed. A total of 30% of the states reporting did not know what percentage of Head Start centers are licensed.



State	Less than 25%	25 – 49%	50 – 75%	Greater than 75%	Do not know
Total	3	3	4	25	15
AK	•				
AL				•	
AR				•	
AS					•
AZ				•	
CA					•
CO				•	
CT			•		
DC				•	
DE				•	
FL					
GA			•		
HI				•	
IA		•			
ID					•
IL					•
IN					•
KS		•			
KY					•
LA				•	
MA			•		

State	Less than 25%	25 – 49%	50 – 75%	Greater than 75%	Do not know
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					•
VT				•	
WA					•
WI				•	
WV		•			
WY				•	

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. The number of staff dedicated to inspecting only centers or just FCC homes declined between 2014 and 2017 (from 10 to 9 and 10 to 7 respectively) but the number of states reporting staff doing both increased (from 33 to 39). The number of staff assigned to other social services (such as foster care, therapeutic group homes, etc.) also declined including other child services (from 7 to 4) and adult services (from 3 to 2). The number of states reporting variation by county or area of the state also declined (from 20 to 16). So states are trending toward more focus on just child care licensing inspections from their line staff, with less variability in regulations, but with staff being less focused on specific program types.

The number of line staff FTEs increased by approximately 400 between 2014 and 2017 with 29 states reporting increases and 5 states reporting no changes. Overall caseloads also dropped with the average caseload of 100 per line staff in 2014 dropping to 88 in 2017. The median caseload dropped from 85 in 2014 to approximately 70 in 2017. Larger numbers of staff does not always equate to lower caseloads. For example, California has the third highest number of line staff of all states yet has the highest caseload. Most states have not conducted a workload analysis.

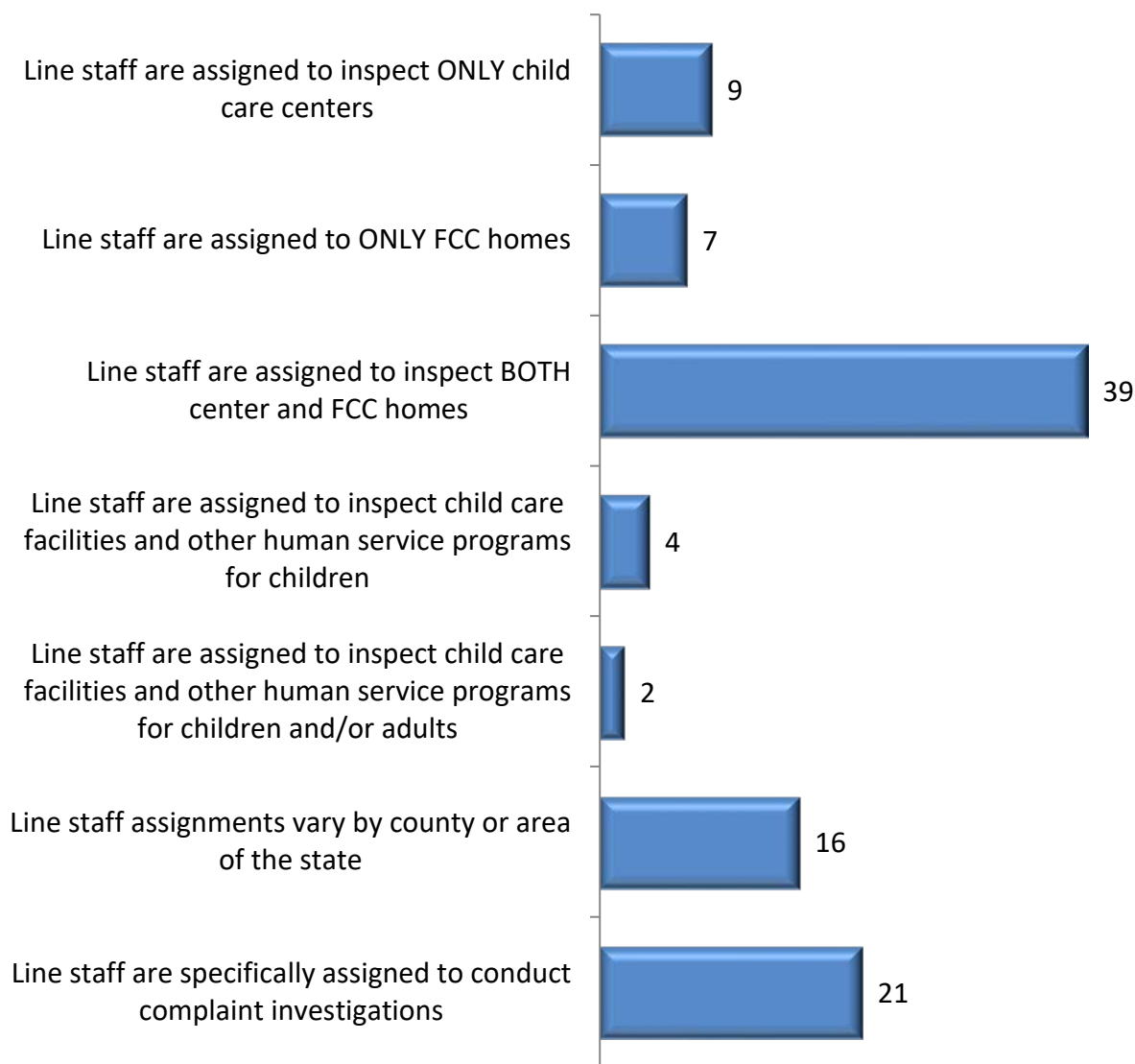
In 2017 there were an average 8.4 line staff per supervisor across all states, an increase of more than 2.5 FTEs per supervisor over the 2014 average of 5.8. The median actually decreased from 6 FTEs per supervisor in 2014 to just under 5 FTEs per supervisor in 2017.

Line Staff Assignments and Caseload

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

Analysis: In two states, line staff inspected only child care centers but were also responsible for complaint investigations. In six states, staff are responsible for either centers or homes, but not both, and four of those states also handled complaints. In one state, line staff are responsible for inspecting child care facilities and other human service programs for children and/or adults, and in two states Line staff are assigned to inspect child care facilities and other human service programs for children.

In the majority of states, line staff are assigned to inspect both centers and homes. In 39 states, or just over 76% (n=51), line staff are responsible for inspecting both centers and FCC homes and in 15 of those states (59%) line staff also investigated complaints. In three states where line staff inspected both, they were also responsible for inspecting other human services programs. Slightly less than one-third of states reported that line staff assignments varied by county or area of the state.

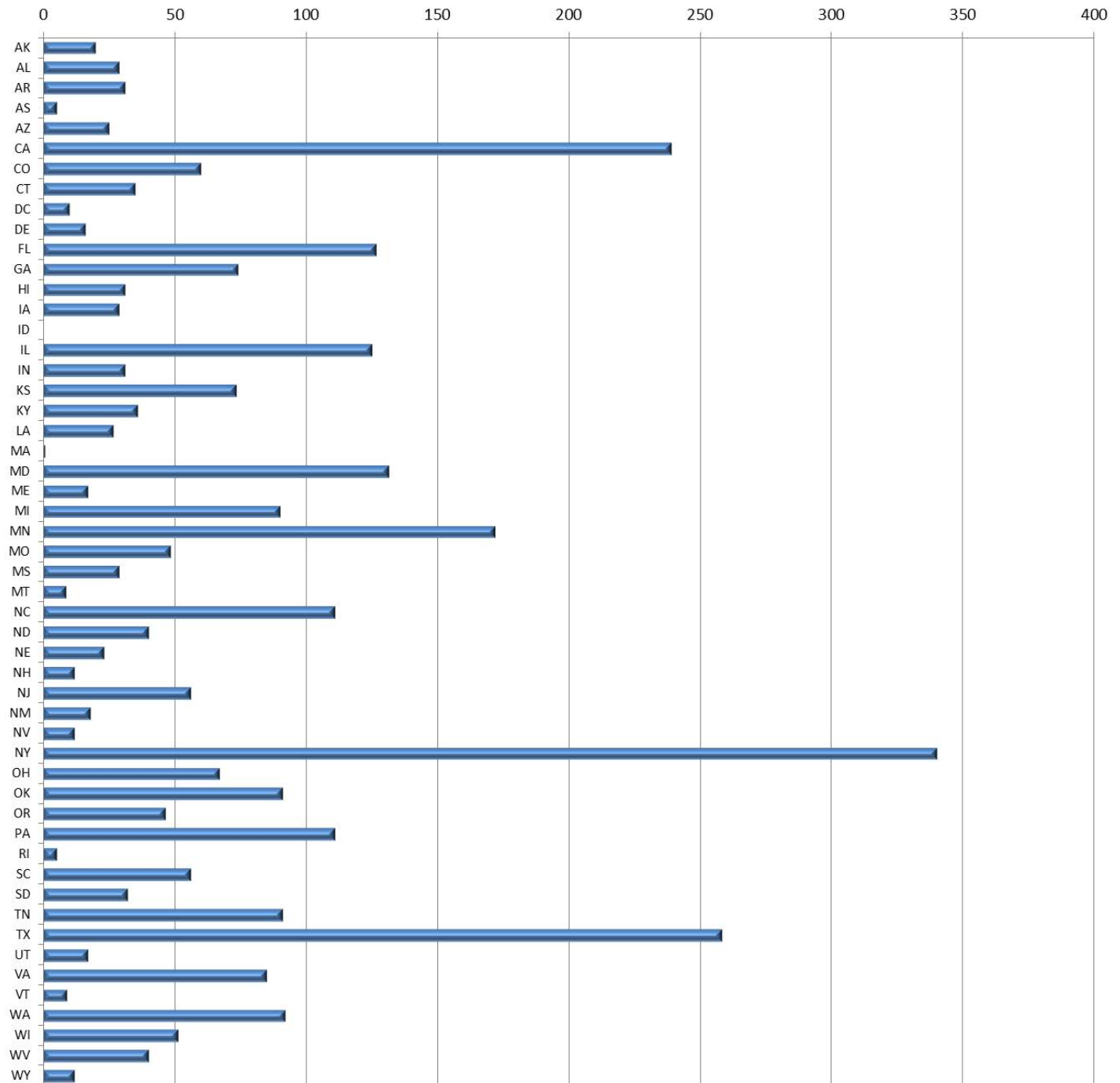


State	Line staff are assigned to inspect ONLY child care centers	Line staff are assigned to ONLY FCC homes	Line staff are assigned to inspect BOTH center and FCC homes	Line staff are assigned to inspect child care facilities and other human service programs for children	Line staff are assigned to inspect 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	9	7	39	4	2	16	21
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			.	.			
NJ	.					.	.
NM			.				.
NV			.			.	.
NY						.	
OH			.			.	
OK			.				
OR			.				.
PA			.				
RI			.				
SC			.			.	
SD			.				
TN					.		

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
TX			•				
UT	•	•					•
VA			•			•	
VT			•				
WA			•				
WI			•				•
WV	•	•					•
WY			•				•

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, whereas American Samoa and Rhode Island reported the lowest levels of staffing. Massachusetts did not report and Idaho reported that local Health and Fire Departments conduct inspections.



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

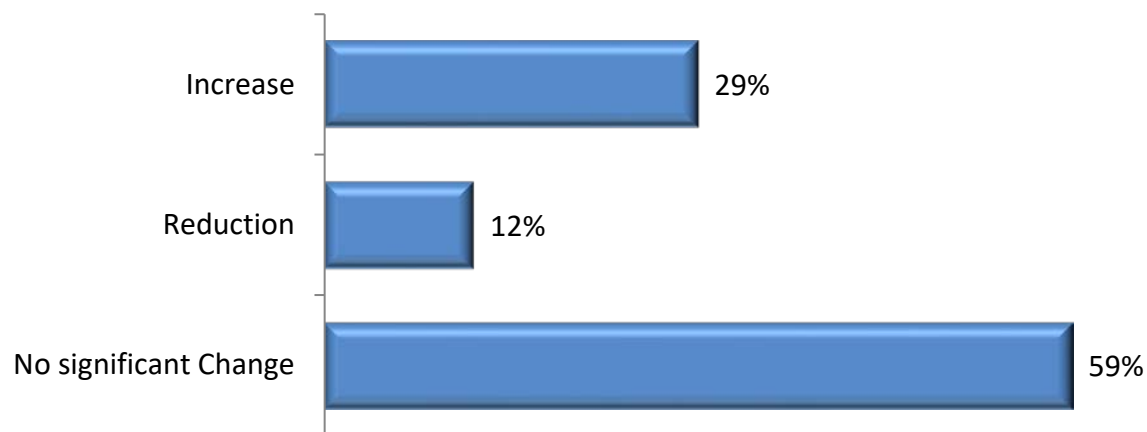
Analysis: 59% of states reported no significant change in licensing staff during the previous year while 29% reported an increase and 12% reported a decrease.

Reasons for increase included:

- CCDF funding requirement changes
- Changes in frequency of inspections from biannually to annually

Reasons for reduction include:

- Reduction in the number of licensed child care programs requiring inspections
- Budget reductions
- Hiring freeze



State	Increase	Reduction	No significant change
Total	15	6	30
AK			•
AL	•		
AR		•	
AS	•		
AZ		•	
CA			•
CO			•
CT		•	
DC	•		
DE			•
FL	•		
GA	•		
HI			•
IA			•
ID			•
IL	•		
IN	•		
KS			•
KY			•
LA			•
MA			

State	Increase	Reduction	No significant change
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	•		
VT			•
WA	•		
WI			•
WV			•
WY			•

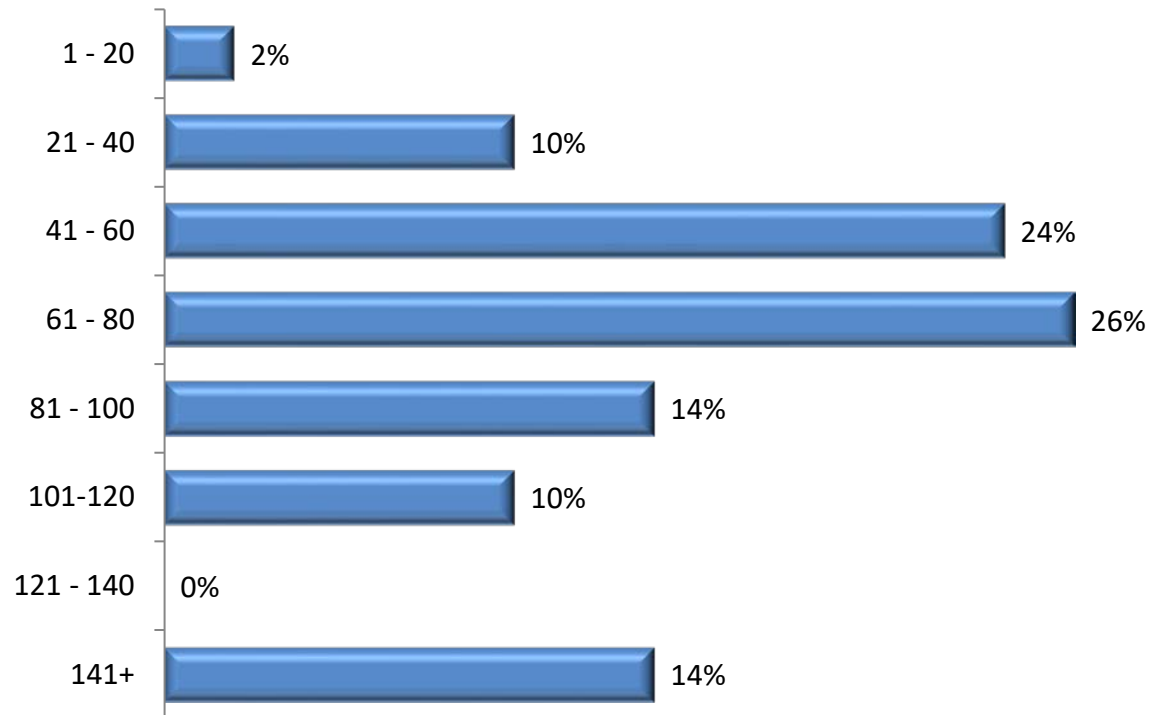
Question: What is the average statewide caseload for all facility types combined for line staff assigned to inspect early and school-age care programs, e.g., child care centers and family child care homes?

Analysis: Average line staff caseload ranged from a low of 6 for American Samoa to 182 in Rhode Island. Average caseload was about 80 per line staff, while the Median was about 70 per line staff.

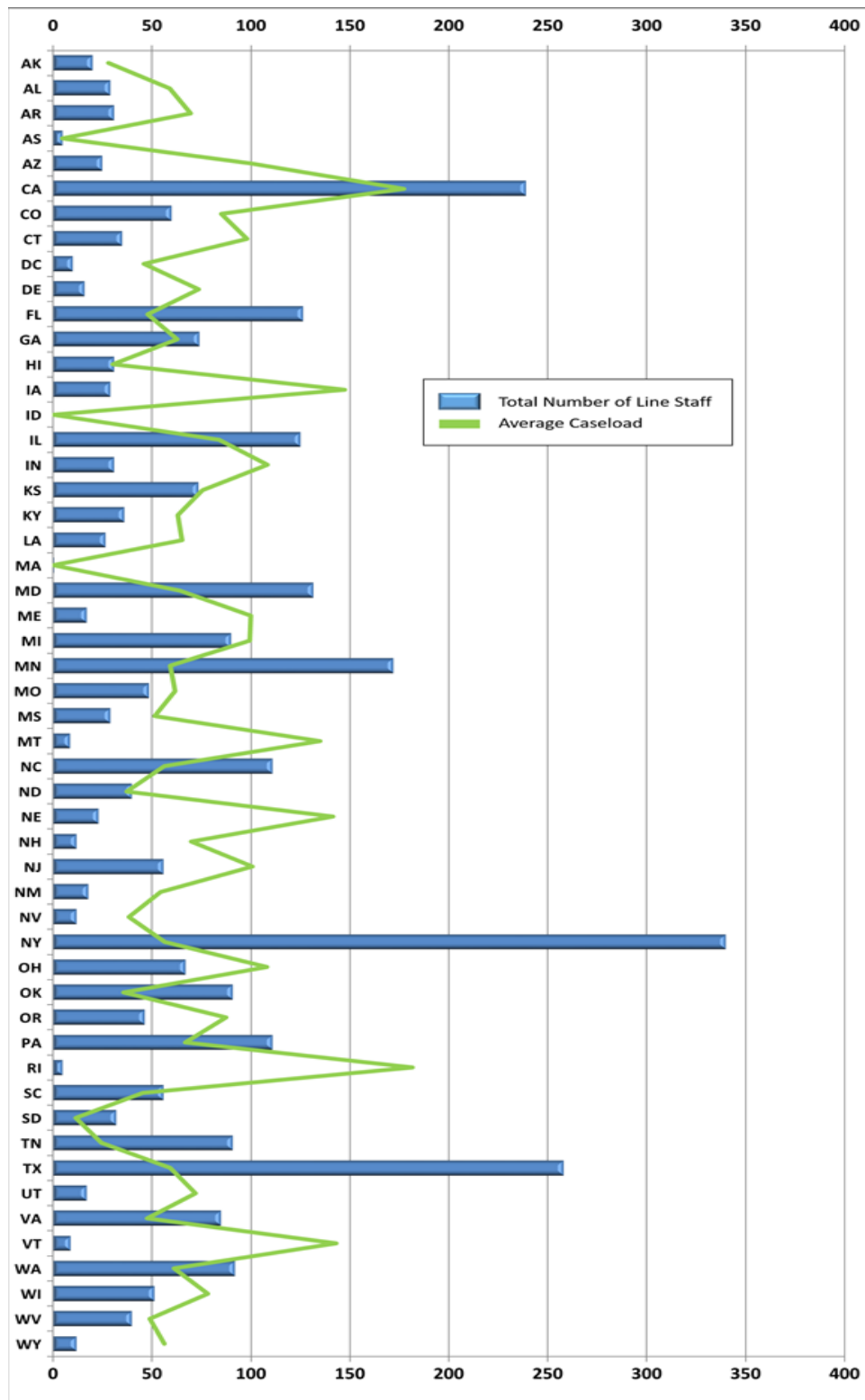
Not included in data

ID: Inspections completed by Local Health and Fire Departments

MA: Not Reported

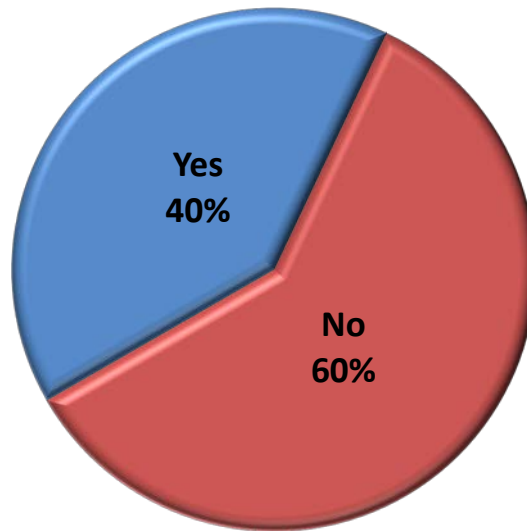


Note that higher levels of staffing did not necessarily mean lower caseloads. By superimposing Average Caseload over total staffing in the graph below it is possible to see the relationship between staffing and caseload for each state. New York, which has the highest overall staffing, has an average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



Question: Has your state conducted a workload analysis?

Analysis: Less than half of all states reported completing a workload analysis. One fourth of the states that had completed an analysis had not conducted it within the last two years.



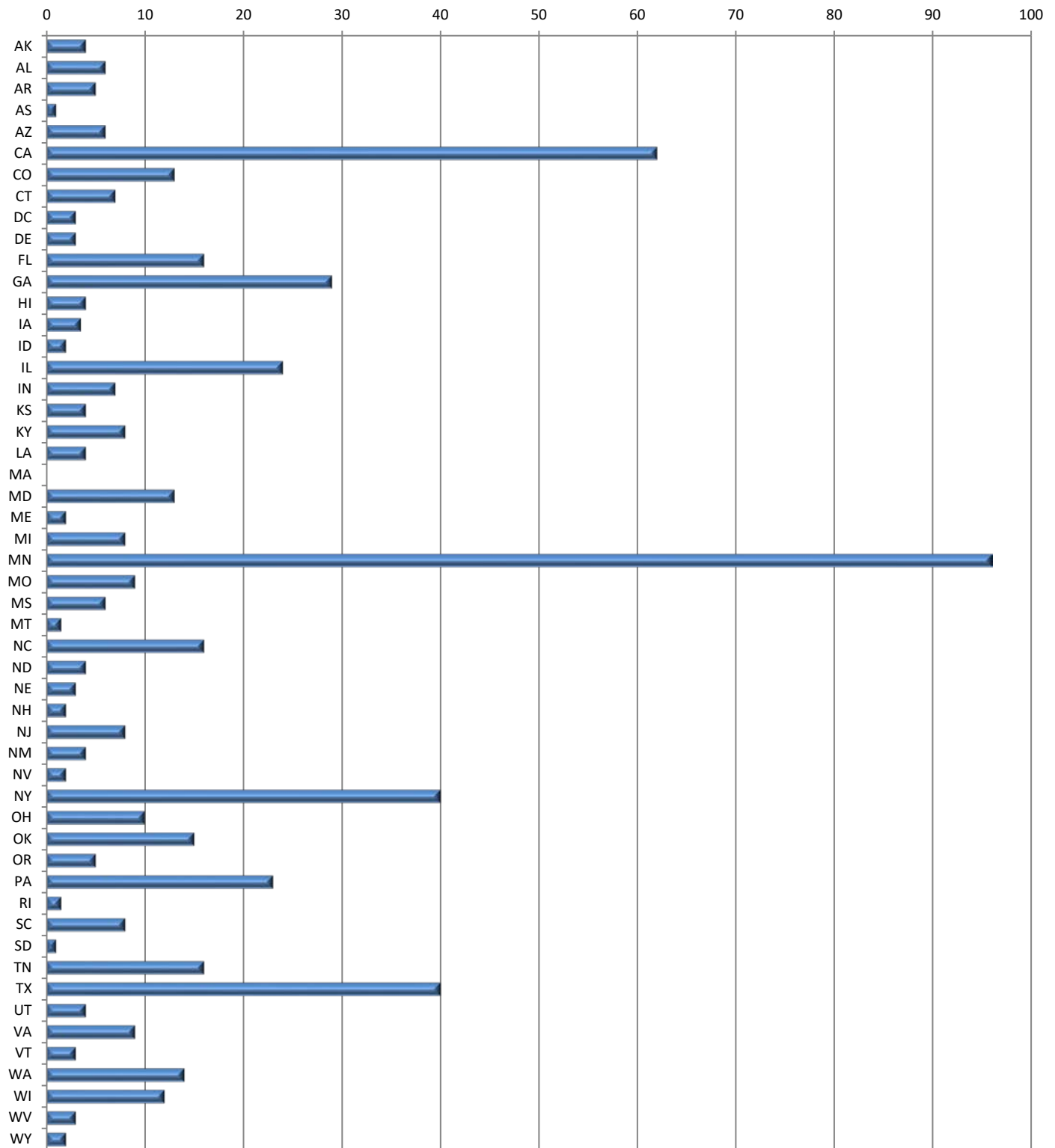
State	Yes	Date Conducted	No
Total	21		31
AK			•
AL			•
AR	•	2017	
AS			•
AZ			•
CA	•	2015	
CO	•	2014	
CT			•
DC	•	2018	
DE			•
FL	•	2018	
GA	•	2018	
HI			•
IA			•
ID	•	2017	
IL			•
IN	•	2017	
KS			•
KY	•	2018	
LA	•	2018	
MA			•
MD			•
ME			•
MI			•
MN			•
MO			•
MS	•	2012	
MT	•	2018	
NC			•
ND			•
NE			•
NH			•

State	Yes	Date Conducted	No
NJ			•
NM			•
NV	•	2018	
NY	•	2017	
OH			•
OK	•	2009	
OR	•	2018	
PA			•
RI	•	2017	
SC			•
SD			•
TN	•	2014	
TX			•
UT	•	2017	
VA			•
VT	•	2017	
WA			•
WI	•	2018	
WV			•
WY			•

Supervisory Staff

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

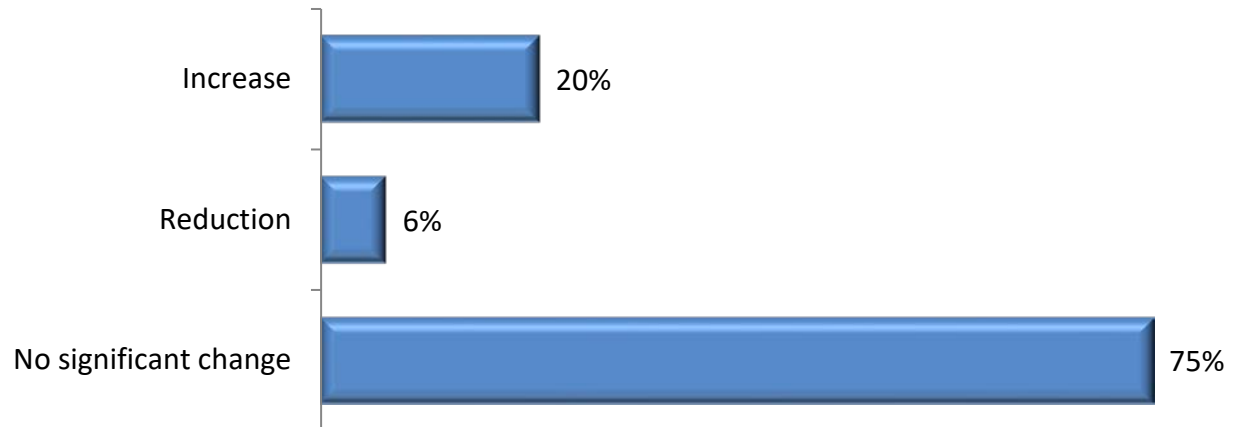
Analysis: The total number of supervisors ranged from a high of 96 in Minnesota to less than 5 supervisors in 22 states. The mean number of supervisors was almost 12 per state while the median was 6.



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

Analysis: Of the 51 states reporting, 75% reported no significant change is supervising staff while 20% reported an increase and 6% reported a decrease in supervising staff.

The most common reason for an increase was to handle a recent or planned increase in number of line staff conducting inspections. The reasons for supervising staff reductions included staff attrition and budget reductions.



State	Increase	Reduction	No significant change
Total	10	3	38
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	Increase	Reduction	No significant change
NJ			•
NM			•
NV			•
NY			•
OH	•		
OK		•	
OR			•
PA			•
RI			•
SC			•
SD			•
TN			•
TX			•
UT			•
VA			•
VT			•
WA			•
WI	•		
WV	•		
WY			•

LICENSE EXEMPT PROGRAMS

Summary:

Information gathering on license exempt programs was a new area for the 2017 licensing survey. Questions were asked on subsidy payments, voluntary licensure, inspections, and licensing requirements.

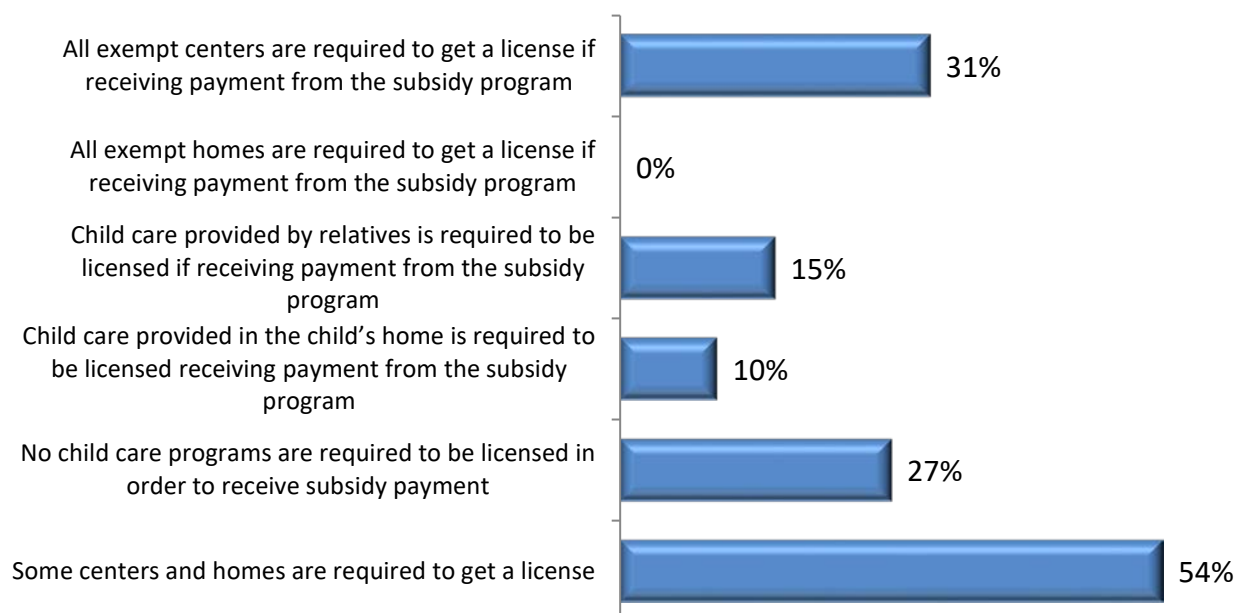
Nearly every state has exemptions for certain types of programs though in nearly three-fourths of states, licensure is a requirement for receiving subsidy payments for some programs and only 14 states said licensure was not a prerequisite for receiving subsidy payments. Many states reported that the licensing requirements were different for exempt programs and that exempt centers and homes each had separate requirements. More than 94 percent of states reported a voluntary pathway to licensure for most, if not all exempt programs. Only three out of 52 states reported no voluntary licensure for exempt programs.

Just over half of the states reporting said that licensing agency staff was responsible for inspections of license exempt homes. It should be noted the 2014 Child Care Block Grant Reauthorization required inspections for license-exempt programs accepting subsidy. For those states reporting (N=36), more than half said existing staff were responsible for both licensed and license exempt centers and homes. Six states reported hiring a total of 72 additional staff to handle inspections of license exempt programs. Of 27 states reporting on caseloads related to exempt programs, just over half reported that caseloads had increased for the inspection of license-exempt centers and homes. In about 41% of the states, caseloads remained the same.

License Exempt and Subsidy Payments

Question: Are license-exempt centers and homes required to get a license if they receive payment from the child care subsidy program?

Analysis: Almost three-fourths (72.5%) of states reported that at least some exempt centers and homes are required to get a license in order to receive payment from the subsidy program. Virtually all centers are required to be licensed unless they have specific exemptions (government facilities) or do not meet the definition of a child care program (such as day camps). In other instances, they may remain exempt but must meet some other regulatory requirements. Family child care homes that are exempt usually must meet some other formal requirements including meeting local ordinances, receiving an alternate designation (such as registered or informal) that still requires oversight.



State	All exempt centers are required to get a license if receiving payment from the subsidy program	All exempt homes are required to get a license if receiving payment from the subsidy program	Child care provided by relatives is required to be licensed if receiving payment from the subsidy program	Child care provided in the child's home is required to be licensed receiving payment from the subsidy program	No child care programs are required to be licensed in order to receive subsidy payment	Some centers and homes are required to get a license
Total	16	10	8	5	14	28
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					•	
NJ	•					
NM	•	•	•			
NV						•
NY						•
OH						•
OK	•	•	•			
OR					•	
PA	•					•
RI						•
SC					•	
SD	•					•
TN						•
TX			•	•		
UT					•	
VA					•	

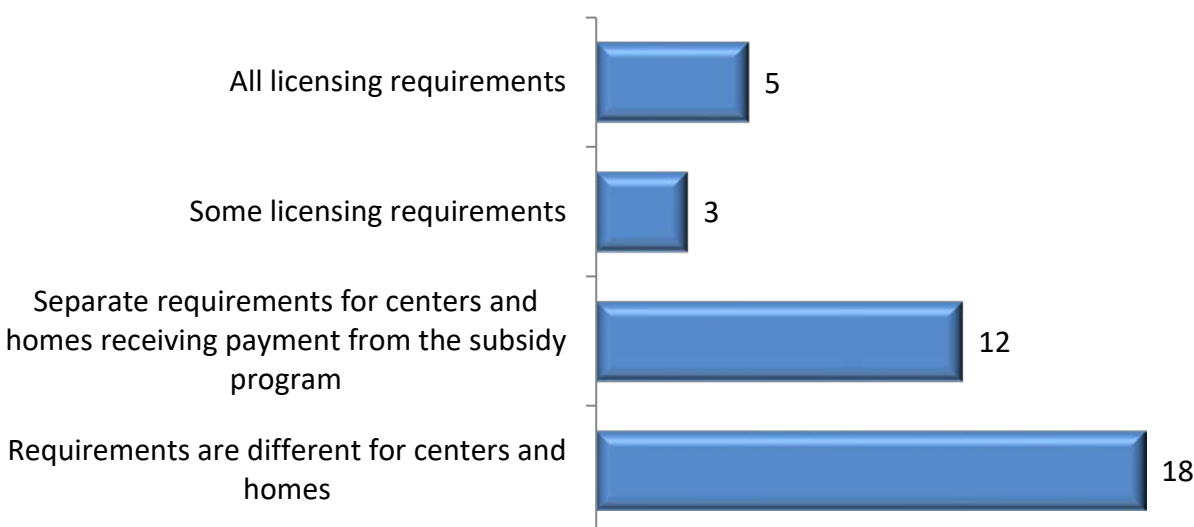
State	All exempt centers are required to get a license if receiving payment from the subsidy program	All exempt homes are required to get a license if receiving payment from the subsidy program	Child care provided by relatives is required to be licensed if receiving payment from the subsidy program	Child care provided in the child's home is required to be licensed receiving payment from the subsidy program	No child care programs are required to be licensed in order to receive subsidy payment	Some centers and homes are required to get a license
VT	•		•	•		
WA						•
WI					•	
WV			•	•		•
WY					•	

Licensing Requirements for Exempt Programs

Question: Which program requirements apply to license-exempt centers and homes receiving payment from the subsidy program?

Analysis: Only 5 (25%) of the states reporting (n=20) indicated that all licensing requirements were required for license exempt centers and homes receiving subsidy payments while 3 states reported that at least some of the requirements applied. In 60% of reporting states, there are separate requirements for license-exempt centers and homes receiving subsidy payments.

There were reported differences between exempt and non-exempt centers and homes in 18 states. The most frequent difference is that license exempt homes are regulated differently, usually with less stringent requirements including ratios, professional development, and frequency and intensity of inspections.



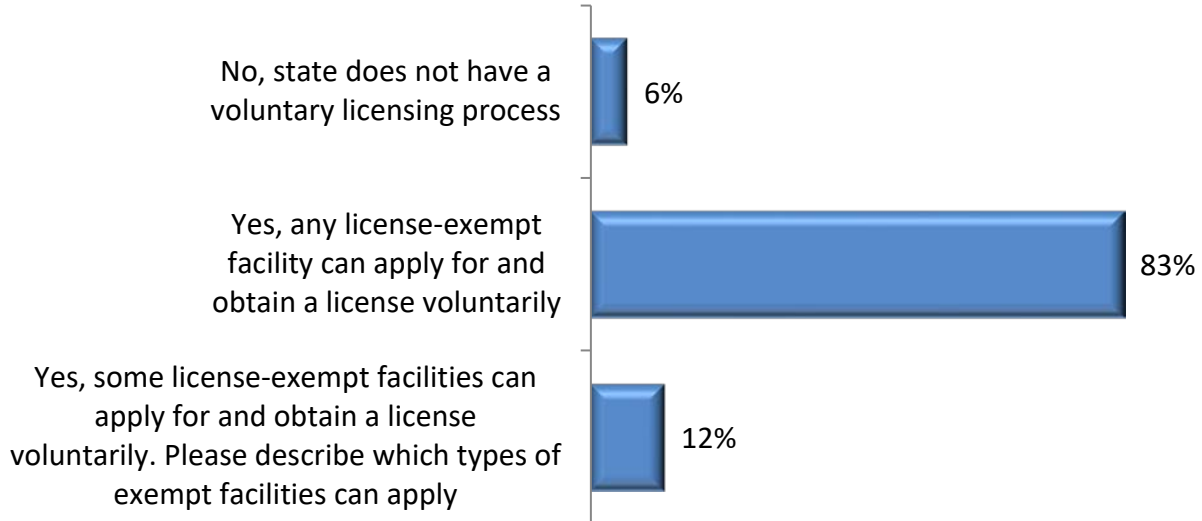
State	All licensing requirements	Some licensing requirements	Separate requirements specifically for license-exempt centers and homes receiving payment from the subsidy program	Requirements are different for license-exempt centers and homes
Total	5	3	12	18
AK			•	
AL				•
AR	•			•
AS	•			
AZ				

State	All licensing requirements	Some licensing requirements	Separate requirements specifically for license-exempt centers and homes receiving payment from the subsidy program	Requirements are different for license-exempt centers and homes
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			•	•
NJ	•			
NM			•	•
NV				
NY				
OH	•			•
OK				
OR		•		•
PA				
RI		•		•
SC			•	•
SD			•	•
TN			•	
TX				
UT			•	
VA			•	•
VT				
WA			•	•
WI				
WV				
WY				

Voluntary Licensure of Exempt Facilities

Question: If a license-exempt facility wants to obtain a license, does the state have a process for voluntary licensure?

Analysis: Almost 83% of states reported that any license exempt facility that wanted to could apply for and obtain a license voluntarily. Another 11% of states reported that some exempt facilities could get a license. Those that could not were usually informal, religious, military, tribal, school-based, or those not meeting the definition of child care.

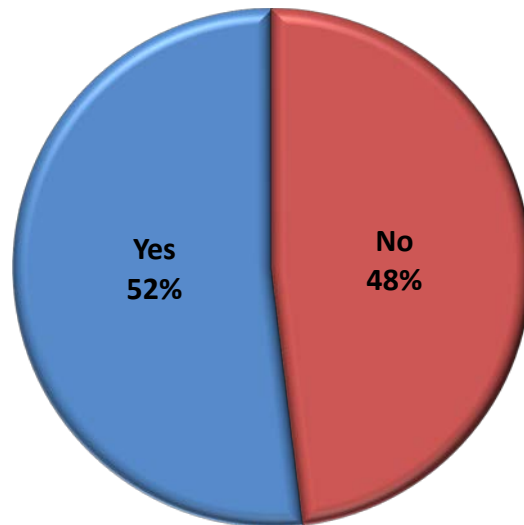


State	No, state does not have a voluntary licensing process	Yes, any license-exempt facility can apply for and obtain a license voluntarily	Yes, some license-exempt facilities can apply for and obtain a license voluntarily.
Total	3	43	6
AK			•
AL			•
AR		•	
AS	•		
AZ		•	
CA		•	
CO		•	
CT		•	
DC		•	
DE		•	
FL		•	
GA		•	
HI		•	
IA		•	
ID		•	
IL		•	
IN		•	
KS		•	
KY		•	
LA		•	
MA		•	
MD	•		
ME		•	
MI		•	
MN		•	
MO		•	
MS		•	
MT		•	
NC		•	

State	No, state does not have a voluntary licensing process	Yes, any license-exempt facility can apply for and obtain a license voluntarily	Yes, some license-exempt facilities can apply for and obtain a license voluntarily.
ND		•	
NE		•	
NH		•	
NJ		•	
NM		•	
NV		•	
NY		•	
OH		•	
OK		•	
OR		•	
PA		•	
RI		•	
SC		•	
SD		•	
TN		•	
TX			•
UT			•
VA			•
VT		•	
WA			•
WI		•	
WV	•		
WY		•	

Inspections of License Exempt Centers

Question: The Child Care and Development Fund now requires states to conduct an annual inspection of center-based facilities and home-based providers that are legally exempt from licensing and receive payment from CCDF. Are inspections of license-exempt centers and homes administered by the licensing agency?



State	Yes	No
Total	26	24
AK	•	
AL	•	
AR	•	
AS	•	
AZ		•
CA		•
CO	•	
CT	•	
DC	•	
DE		•
FL	•	
GA	•	
HI		•
IA	•	
ID		•
IL		•
IN	•	
KS		•
KY		•
LA	•	
MA		Did Not Respond
MD		•
ME		•
MI		•
MN		•
MO		•
MS		•
MT	•	
NC	•	
ND	•	
NE		•

State	Yes	No
NH	•	
NJ	•	
NM	•	
NV		•
NY		•
OH		•
OK		•
OR	•	
PA		•
RI	•	
SC	•	
SD	•	
TN	•	
TX		•
UT	•	
VA	•	
VT		•
WA	•	
WI		•
WV		Did Not Respond
WY		•

Question: Which staff are conducting the inspections of license-exempt centers and homes?

Analysis: Of the 26 states that reported the licensing agency was responsible for inspecting license-exempt centers and homes, 19 (73 percent) reported that existing staff were responsible for inspecting both licensed and license-exempt programs. Four states reassigned existing staff to inspect license-exempt centers and homes, three states hired new staff to inspect both and three states hired new staff to inspect only license-exempt centers and homes.

In all, 12 states reported hiring new staff to conduct inspections of license-exempt programs. On average, these states hired an additional 6 staff members for these inspections.

State	Existing licensing agency staff assigned to inspect BOTH licensed and license-exempt centers and homes	Existing licensing agency staff reassigned to inspect ONLY license-exempt centers and homes	New licensing agency staff assigned to inspect BOTH licensed and license-exempt centers and homes	New licensing agency staff hired to inspect ONLY license-exempt centers and homes	Other staff, contractors, or entities (please describe specifically who is conducting the inspections)	New staff were hired to conduct these inspections	Number of new staff hired
Total	20	4	3	3	6	12	72
AK	•						
AL	•					•	6
AR	•						
AS	•				•		
AZ							
CA							
CO		•					
CT	•						
DC					•		
DE							
FL	•					•	
GA	•	•		•		•	4
HI							
IA	•						
ID							
IL							

State	Existing licensing agency staff assigned to inspect BOTH licensed and license-exempt centers and homes	Existing licensing agency staff reassigned to inspect ONLY license-exempt centers and homes	New licensing agency staff assigned to inspect BOTH licensed and license-exempt centers and homes	New licensing agency staff hired to inspect ONLY license-exempt centers and homes	Other staff, contractors, or entities (please describe specifically who is conducting the inspections)	New staff were hired to conduct these inspections	Number of new staff hired
IN					•	•	
KS							
KY							
LA	•					•	4
MA							
MD							
ME							
MI							
MN							
MO							
MS							
MT	•						
NC	•						
ND	•						
NE							
NH	•					•	2
NJ	•					•	8
NM				•		•	16
NV							
NY							
OH	*						
OK							
OR	•		•			•	8
PA							
RI	•						
SC	•				•		
SD	•						
TN			•			•	
TX							
UT		•					
VA	•	•	•	•		•	19
VT							
WA					•	•	5
WI							
WV					*		
WY							

* These states responded to this question but were omitted from the counts any analysis since previous responses indicate they do not actually have or inspect license exempt centers or homes

Question: Which statement(s) best describe your states' staffing assignments of license-exempt centers and homes receiving payment from the subsidy program?

Analysis: Half the states reporting indicated that staff are assigned to inspect both licensed and license-exempt centers and homes that receive subsidy payments. Other responses indicated that there were no exempt centers or homes participating in the subsidy program, or that the state only had exempt homes, not centers. One state reported that they only inspected exempt homes for health and safety or had Memoranda of Understanding for inspections of exempt centers (typically tribal or military).

State	Staff are assigned to inspect ONLY license-exempt centers and homes	Staff are assigned to inspect ONLY license-exempt HOMES	Staff are assigned to inspect ONLY license-exempt CENTERS	Staff are assigned to inspect BOTH licensed and license-exempt centers and homes	Staff are assigned to inspect BOTH licensed and license-exempt HOMES	Staff are assigned to inspect BOTH licensed and license-exempt CENTERS	Other
Total	2	2	0	14	1	2	7
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				•			
NJ						•	
NM		•					
NV							
NY							
OH				*			
OK							
OR				•			
PA							
RI							•

State	Staff are assigned to inspect ONLY license-exempt centers and homes	Staff are assigned to inspect ONLY license-exempt HOMES	Staff are assigned to inspect ONLY license-exempt CENTERS	Staff are assigned to inspect BOTH licensed and license-exempt centers and homes	Staff are assigned to inspect BOTH licensed and license-exempt HOMES	Staff are assigned to inspect BOTH licensed and license-exempt CENTERS	Other
SC				•			
SD				•			
TN				•			
TX							
UT	•						
VA							•
VT							
WA							•
WI							
WV							*
WY							

* These states responded to this question but were omitted from the counts any analysis since previous responses indicate they do not actually have or inspect license exempt centers or homes.

Question: How has the addition of inspecting license-exempt centers and homes receiving payment from the subsidy program impacted staff caseloads?

Analysis: Of the 26 states reporting, nearly 54% reported that caseloads had increased for the inspection of license-exempt centers and homes. In just under 40% of the states, caseloads remained the same. One state reported a decrease in caseloads due at least in part to increased staffing hired to conduct license-exempt inspections.

State	Caseloads have increased	Caseloads have decreased	Caseloads have remained the same
Total	14	2	11
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	•		

State	Caseloads have increased	Caseloads have decreased	Caseloads have remained the same
NC			•
ND	•		
NE			
NH	•		
NJ	•		
NM			•
NV			
NY			
OH		*	
OK			
OR	•		
PA			
RI			•
SC	•		
SD	•		
TN	•		
TX			
UT	•		
VA		•	
VT			
WA			
WI			
WV			*
WY			

* These states responded to this question but were omitted from the counts any analysis since previous responses indicate they do not actually have or inspect license exempt centers or homes.

Question: How many license-exempt facilities are being inspected as of December 31, 2017?

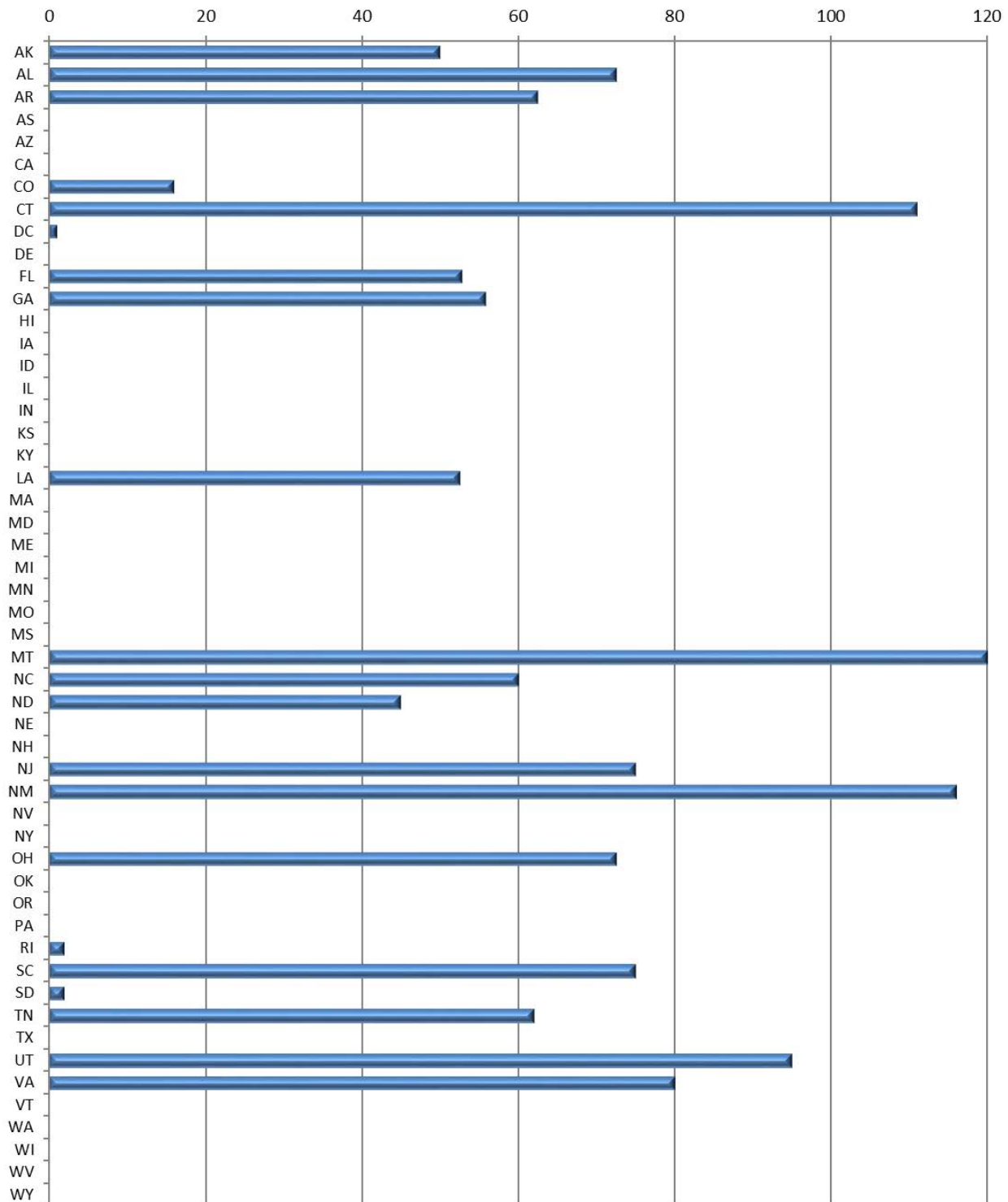
Analysis: A total of 19 states provided data on the number of license-exempt facilities being inspected. A total of 14 states (74%) reported inspections of license-exempt homes with a mean of 500 per state and a median of 181 per state. Eleven states (58%) reported inspections of license-exempt centers with a mean of 414 per state and a median of 300 per state. A total of 5 states (26%) reported inspections of license-exempt in-home providers with a mean of 153 per state and a median of 7 per state.

State	License-exempt homes	License-exempt centers	In-home providers (in a child's home)
Total	6996	4557	763
AK	19	0	62
AL		678	
AR	0	0	0
AS	0	0	0
AZ			
CA			
CO	16	0	0
CT	0	251	0
DC	0	0	2
DE			
FL	119	881	0
GA	68	299	0
HI			
IA	400	0	0
ID			
IL			
IN	126	395	2
KS			
KY			
LA	236	0	7

State	License-exempt homes	License-exempt centers	In-home providers (in a child's home)
MA			
MD			
ME			
MI			
MN			
MO			
MS			
MT	0	0	0
NC	0	344	
ND			
NE			
NH	0	0	0
NJ		982	
NM	1857	0	0
NV			
NY			
OH			
OK			
OR	2764	40	690
PA			
RI	0		
SC	277	254	0
SD	10	0	0
TN	81	300	
TX			
UT	248	133	0
VA	775		
VT			
WA			
WI			
WV			
WY			

Question: What is the average caseload for staff assigned to inspect license-exempt centers and homes receiving payment from the subsidy program?

Analysis: The average caseload for staff assigned to inspect license-exempt centers and homes receiving payment from the subsidy program for those states reporting (n=21) was 61 per staff. The median is 62 per staff. It is important to note that the reported caseloads may include mixed caseloads of licensed and license-exempt programs.



LICENSING INSPECTIONS

Summary:

Overall Trend

The broad trend between 2014 and 2017 saw a slight increase in the number of FCC homes that were required to be inspected prior to licensure. License renewals are now required in two additional states for each program type, and states are moving toward unannounced rather than announced inspections for routine compliance inspections. While a majority of states conduct full compliance inspections, there has been a downward trend in the frequency.

Inspections Prior to Licensure

In both 2014 and 2017, every state reported that they conduct inspections of child care centers prior to issuing a license. An additional 5 states in 2017 reported inspecting small FCC homes and one additional state reported doing so for large/group FCC homes. Inspections conducted prior to issuing a license are predominantly announced inspections with very little change seen between 2014 and 2017. The number of states reporting unannounced inspections, however, has dropped by almost half.

Routine and Renewal Inspections

There was a slight increase of states reporting that they renewed child care licenses but there was a slight decrease in inspections conducted prior to renewal in centers and a slight uptick in small FCC homes. There was a minor decrease in the number of unannounced renewal inspections and a very small decrease in the number of announced inspections. Every state reported in 2014 that routine compliance inspections were conducted for centers. That number decreased by one in 2017, and the number of large/group FCC homes with routine compliance inspections dropped by three. Only one state said routine compliance inspections were announced for any facility type in 2017, a drop from 11 for centers and 12 for FCC homes in 2014.

Frequency of Inspections

The number of states conducting license inspections at least twice a year increased by two for centers and three for small FCC homes. There was no change for large/group FCC homes. No states in 2017 reported that all programs were not inspected on a regular basis. The number of states reporting centers were inspected once a year increased by two, while an additional seven states reported inspecting small FCC homes once a year (an increase of almost 14 percent). This corresponded to a drop in the number of states reporting that inspections take place only once every two or three years.

License Renewal

There was a drop in the number of states reporting non-expiring licenses for all program types. This corresponded to an increase in the number of one, two, and three-year renewals for centers. Two fewer states reported large/group FCC homes had their licenses renewed once a year, which corresponded to an increase in the number of states with large/group FCC homes that had to renew licenses every three years. The frequency of license renewals for small FCC homes remained largely unchanged other than two fewer states reporting non-expiring licenses.

Abbreviated vs Full Compliance Inspections

While there was a small decrease in the number of states reporting that they did full compliance inspections more than once a year in 2017, the number of states that performed them at least once a year did not change significantly. The number of states reporting full compliance inspections once every two years dropped by more than half (from 13 to 6) for centers, and by 40 percent (from 10 to 6) for large/group FCC homes. The number of states conducting full compliance inspections once every two years dropped by one between 2014 and 2017 for small FCC homes. There was an increase of one state for each program type reporting full compliance inspections once every three years.

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 almost 90% 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	52	50	39
Inspections conducted prior to issuing a license	52	45	39
Inspections are announced	44	38	34
Inspections are unannounced	11	9	7

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	52	50	39
Licenses are renewed	43	37	34
Inspections for license renewal are conducted	39	33	30
Inspections are announced	14	14	13
Inspections are unannounced	29	23	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	52	50	39
Routine inspections for compliance are conducted	50	44	36
Inspections are announced	1	1	1
Inspections are unannounced	50	44	36

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	52	50	39
More than three times a year	4	4	3
Three times a year	3	2	1
Twice a year	16	12	12
Once a year	27	24	20
Once every two years	2	2	1
Once every three years	1	1	1
Not inspected on a regular basis	0	0	0
Other	10	7	5

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	52	50	39
Once a year	21	16	16
Once every 2 years	15	14	12
Once every 3 years	7	6	5
Non-expiring license	8	7	5
Other	2	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	52	50	39
More than three times a year	1	1	0
Three times a year	1	1	1
Twice a year	4	4	4
Once a year	29	23	21
Once every two years	6	7	6
Once every three years	4	3	2
Less than once every 3 years	1	1	1
Not conducted	1	1	0
Other	7	7	4

Note: TX reported both once a year and once every two years. The once per year inspections are for registered FCC homes receiving CCDF subsidy payments.

ABBREVIATED INSPECTIONS

Summary:

The number of states conducting abbreviated inspections did not change between 2014 and 2017 though the number of states using them for initial licensing inspections and routine compliance dropped. One additional state reported using abbreviated inspections for license renewal. A total of 16 states reported using abbreviated inspections for other reasons in 2014 but that number had dropped to just one by 2017.

	2014	2017
Yes	35	35
No	16	16
Initial licensing inspections	3	1
Routine compliance inspections	24	23
License Renewal inspections	3	4
Other	16	1

Two more states reported using “Key Indicators” in 2017 versus 2014 to determine what requirements should be included in abbreviated inspections. States in 2014 were much more likely to use a mix of methods to determine requirements than in 2017. There was a drop of eight states using consensus between 2014 and 2017, a drop of 2 states using risk assessment, and a drop of four states reporting “Other” methods. More states reported more than one method in 2014 than in 2017.

	2014	2017
Key Indicator System	8	10
Consensus	31	21
Risk Assessment	19	17
Other	6	2

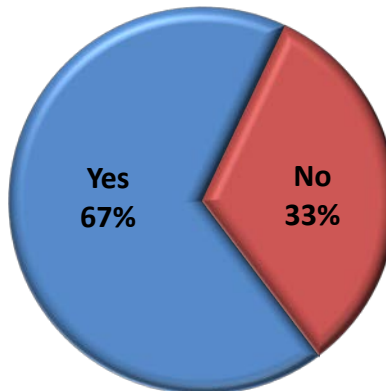
In 2017, three fewer states reported having general policies in place to determine when to switch between abbreviated and full compliance inspections. The number of states reporting policies for specific program types did not significantly change.

	2014	2017
No, the state does not have policies	13	15
State has policies for Child Care Centers	24	23
State has policies for Small FCC Homes	17	17
State has policies for Large/Group FCC Homes	19	17

Using Abbreviated Inspections

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

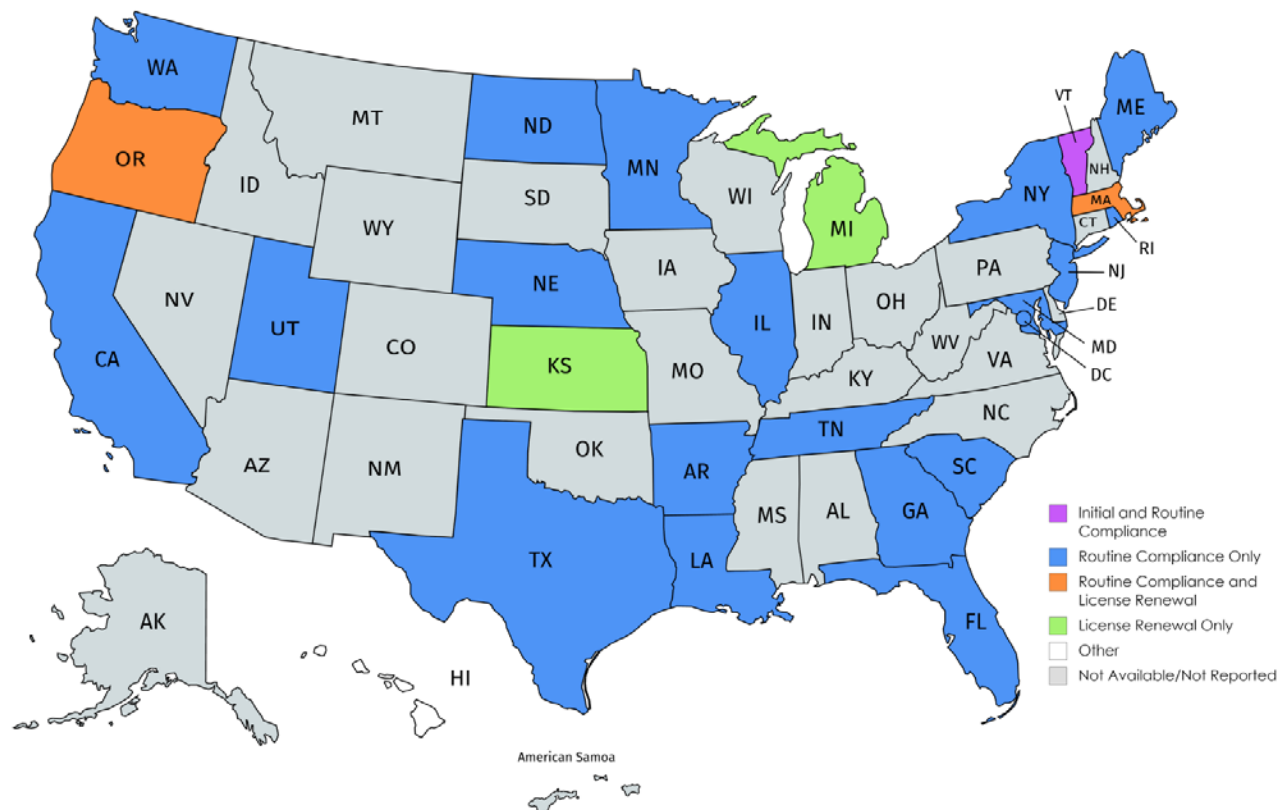
Analysis: 67% of states (n=52) reported using an abbreviated compliance inspection at some point during monitoring inspections of licensed facilities. A total of 23 states reported using an abbreviated inspection for routine compliance, 4 states indicated they used an abbreviated inspection for license renewal inspections. Only one state used an abbreviated inspection for initial licensing inspections. That state also reported using abbreviated inspections for routine renewal inspections. One state reported that an abbreviated checklist could be used in the off-year of a 2-year licensing cycle or during any additional drop-in visit in addition to the required annual unannounced visit.



State	Yes	No	Initial licensing inspections	Routine compliance inspections	License Renewal inspections	Other
Total	35	17	1	23	4	1
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	•					

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

Map 4 Use of Abbreviated Inspections



Abbreviated Inspection Requirements

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

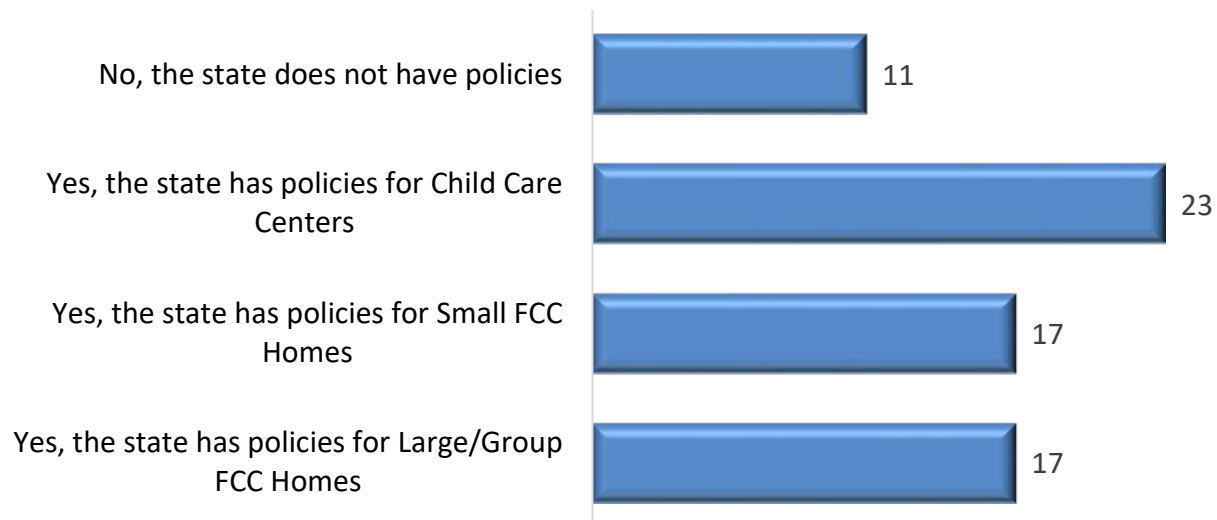
Analysis: For those states conducting abbreviated inspections (n=35), 29% reported that requirements included in an abbreviated review were developed through statistical methodology that would predict overall compliance with the full set of rules. 60% of states reported that abbreviated reviews included those items most critical to all inspections while 49% reported that requirements were based on an assessment of risk to children if the program were not in compliance. One state reported developing their process in coordination with NARA and state regulatory staff.

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	10	21	17	2
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				
NJ		•		
NM		•		
NV		•		
NY			•	
OH				
OK			•	
OR	•			
PA				
RI		•	•	
SC		•		

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
SD				
TN			•	
TX		•		
UT		•	•	
VA				
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 35 states that reported conducting abbreviated inspections, 32 responded to the question on policies. Of those 32, 11 (34%) reported having no policies on determining when to switch from an abbreviated to full compliance review while 72% of states reported having policies for child care centers, and 53% for either small FCC homes or large/group FCC homes (or both).



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		
	32	52	50	39
Total	11	23	17	17
AK		•	•	•
AL				
AR		•		
AS				
AZ		•		•
CA		•	•	•
CO		•	•	•
CT				
DC	•			
DE				

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
FL		•	•	•
GA		•	•	
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				
VT				
WA		•	•	
WI				
WV				
WY				

* These states responded to this question despite not conducting abbreviated inspections. They have been omitted from the count and any analysis.

RISK ASSESSMENT

Summary:

An additional seven states reported having conducted risk assessments in 2017 versus 2014. Seven additional states also reported using weighting for all risk factors, three fewer states used only high-risk factors, and two additional states developed categories of requirements identified as high-risk. Despite an additional three states responding on how risk assessments were used in 2017 (2017 N=28; 2014 N=25), the number of states reporting that risk assessments were used for determining enforcement actions, monitoring the high-risk rules during abbreviated inspections, and for using violations of high-risk requirements to determine the frequency of licensing inspections all declined. Only the number of states reporting that risk assessment was used to categorize violations remained the same. When determining how to select and categorize risk levels, one additional state reported using an internal process and four fewer states reported using research. The question on using feedback from stakeholders was not asked in 2014.

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 33 states reported that they have identified licensing program requirements that pose the greatest risk of harm to children if violated while 19 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, 13 (39%) states indicated that all requirements were given a risk level/weight. Two of those states also said they had identified categories of requirements that were high risk. A total of 6 (18%) states indicated that only the highest risk requirements were identified. 39% of the states indicated that they had identified categories identified as high risk (2 of whom also reported risk requirements were all given a risk level/weight). Three states reported having risk assessment processes in development, 1 state reported that key rules related to risk were identified by consensus and one state reported they focused on identifying serious rules violations.

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	33	19	13	6	13	4
AK	•		•	•	•	
AL		•				
AR	•				•	
AS		•				
AZ	•			•		
CA	•		•			
CO		•				
CT	•				•	
DC	•				•	
DE	•			•		
FL		•				
GA	•				•	
HI	•			•		
IA		•				
ID	•					•
IL	•		•			
IN		•				
KS	•		•			
KY	•		•			
LA	•				•	
MA	•				•	
MD		•				

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
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	•		•			
VT	•					•
WA	•					•
WI	•					•
WV		•				
WY	•				•	

Using Risk Assessments

Question: How is the risk assessment used?

Analysis: A total of 28 states reported on the uses for risk assessment. The uses were pretty evenly distributed among the reporting states with multiples states reporting more than a single use.

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	15	15	14	17	4
AK	•	•	•	•	
AL					
AR				•	
AS					
AZ		•	•	•	
CA	•	•	•	•	
CO					
CT					
DC		•			

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
DE		•			
FL					
GA	•	•	•	•	
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	•	•		•	
VT	•		•	•	
WA		•	•	•	•
WI		•		•	
WV					

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

Analysis: Of the 33 states conducting risk assessment, 29 responded to this follow-up question. A majority of states (86%) 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 half (52%) reported using research and resources to assist in setting risk levels. Almost 38% sought feedback from stakeholders.

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	Feedback from stakeholders, such as child care providers or representatives from child care industry	Other
Total	25	4	15	6	11	1
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	•		•		•	
NJ						
NM						
NV						
NY						
OH	•		•		•	
OK						
OR	•			•	•	
PA						
RI						
SC	•					
SD						

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	Feedback from stakeholders, such as child care providers or representatives from child care industry	Other
TN	•					
TX	•		•		•	
UT	•		•		•	
VA	•	•				
VT	•					
WA						
WI	•					
WY	•		•			

COMPLIANCE, DIFFERENTIAL MONITORING, AND TECHNICAL ASSISTANCE

Summary:

There was no change between 2014 and 2017 in the number of states reporting having defined compliance within their licensing requirements. In each year, 20 states reported that compliance was defined. There was an increase of four states using compliance to inform parents of a provider's status, an increase of two states using it for enforcement actions, and two states using compliance for determining eligibility for subsidy payments. There was little other change and the question on participation in the food program was not asked in 2014.

In 2017 there was a net gain of four states reported using differential monitoring, though seven states that reported using it in 2014 reported not using it in 2017, while 11 reported using it in 2017 that did not do so in 2014. A net total of three additional states reported using differential monitoring for centers and five additional states reported using it for both large and small FCC homes.

Overall between 2014 and 2017 there was generally little change in the number of states reporting that they provided technical assistance (TA) to providers. There was an increase of two states reporting that TA was given to any provider type to help them improve quality and exceed minimum licensing regulations, and one less state providing TA to any provider type to help them achieve compliance with the regulations.

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?

Analysis: Only 6% of states reported defining compliance within their licensing requirements.

A total of 23 states reported on the use of compliance monitoring. Most (91%) reported that compliance was used to determine enforcement actions and slightly more than half said compliance was used to determine the frequency of inspections. A total of 13 states (57%) reporting using compliance for determining receipt of a subsidy or as a criteria for eligibility in special programs.

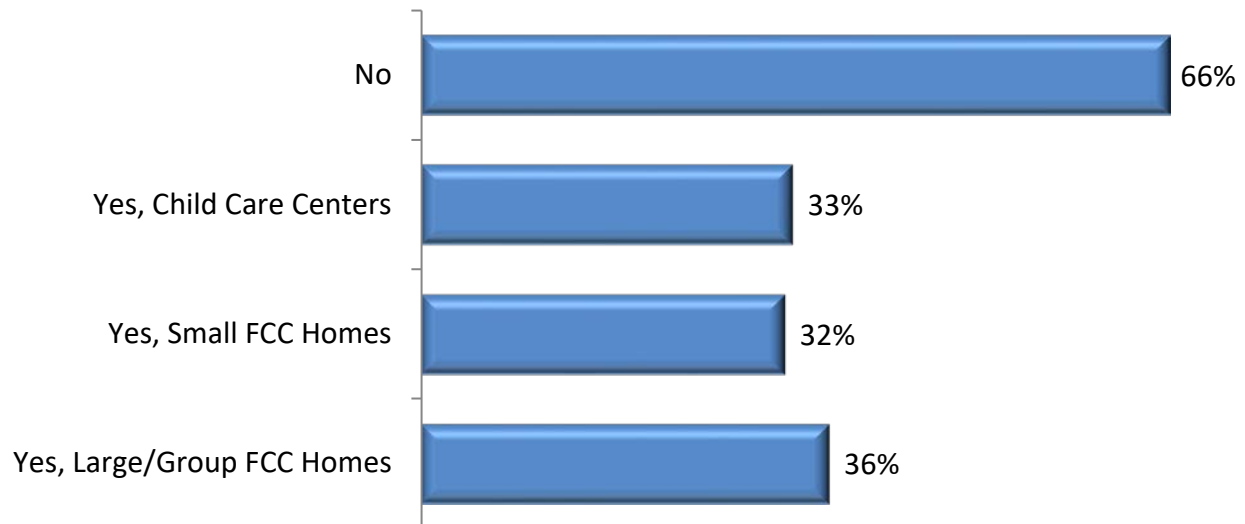
State	Yes	No	Informing parents of the provider's status	Determining enforcement actions including non-renewal of license	Determining the frequency or depth of licensing inspections	Determining eligibility for receipt of child care subsidy funding	Determining eligibility for participation in the Child and Adult Care Food Program (CACFP)	Determining eligibility for participation in quality initiatives, e.g., grants, incentives	Determining eligibility for participation in QRIS or meeting a QRIS standard	Other
Total	20	32	15	21	12	9	5	7	11	1
AK	•		•	•	•	•	•	•	•	
AL		•								
AR	•			•	•				•	
AS		•								
AZ	•		•	•	•					
CA		•								
CO		•								
CT		•								
DC		•	•	•						
DE		•								
FL	•		•	•						
GA	•		•	•						
HI		•								

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 the Child and Adult Care Food Program (CACFP)	Determining eligibility for participation in quality initiatives, e.g., grants, incentives	Determining eligibility for participation in QRIS or meeting a QRIS standard	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	•		•	•	•	•				
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: Two-thirds of the states responding (n=50) reported they did not have a system of differential frequency of monitoring. Almost all states that reported using differential monitoring use it for all program types. A total of 18 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		
	50	52	50	39
Total	33	17	16	14
AK	•	•	•	•
AL	•			
AR	•	•	•	•
AS	•			
AZ	•			
CA	•	•	•	•
CO	•	•	•	•
CT	•			
DC	•			
DE	•	•	•	•
FL	•			
GA	•	•	•	
HI	•			
IA	•			
ID	•			
IL	•			
IN	•			
KS	•	•	•	•
KY	•			
LA	•	•		
MA	•	•	•	•
MD	•	•	•	•
ME	•	•	•	

State	No	Yes Child Care Centers	Yes Small FCC Homes	Yes Large/Group FCC Homes
MI	•			
MN	•			
MO	•			
MS			•	•
MT		•	•	•
NC	•			
ND				
NE	•			
NH	•			
NJ	•			
NM	•			
NV	•			
NY	•			
OH		•		
OK		•	•	•
OR	•			
PA	•			
RI	•			
SC	•			
SD	•			
TN		•	•	•
TX		•	•	•
UT	•			
VA	•			
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 all child care centers receive TA throughout the licensing and regulatory process as do most small FCC and large/group FCC homes. While TA is heavily geared toward regulations and compliance issues, a majority of states report TA on research-related and non-compliance issues. States also refer all provider types to other agencies and organizations when needed.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Licensors provide TA/consultation to licensees to help them achieve compliance with the regulations	50	44	37
Licensors provide TA/consultation to licensees to help them improve quality and exceed minimum licensing regulations	35	30	26
Licensors provide individual program TA/consultation related to specific non-compliance issues	46	40	33
Licensors provide resources to individual programs related to specific non-compliance issues	47	41	34
Licensors provide training to multiple programs at the same time related to topics based on current early childhood research	25	20	17
Licensors provide resources to multiple programs at the same time related to topics based on current early childhood research	26	21	17
Licensors provide training to multiple programs at the same time related to topics based on specific non-compliance issues	29	24	21
Licensors provide resources to multiple programs at the same time related to topics based on specific non-compliance issues	29	24	20

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

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
During application inspection visits	50	44	37
During routine inspection visits	49	43	36
During renewal inspection visits	38	34	29
On the telephone	50	43	38
As needed by licensee	49	43	36
As needed determined by licensor	43	38	31
Other	11	10	7

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

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Referrals made to other agencies, organizations, or people	50	43	37

TECHNOLOGY AND DATA

Summary:

States are increasingly using their licensing databases for multiple purposes including evaluating their own staffing and tracking inspection and enforcement actions against providers. Licensing databases are more interconnected with other state agencies more than ever before. The number of states using portable devices for inspections, and considering other tools for licensing doubled, or nearly doubled in almost every area.

In 2014, 50 states reported having a licensing database and one state reported not having one. In 2017, 47 states reported having one or more databases to store information, three states reported databases were in development, and one state which previously reported having a database in 2014 reported they did not have a database for licensing information. The state which previously did not have one reports one is in development.

In 2014, 49 states responded to how their licensing databases were used while only 33 states responded to the same question in 2017. Comparing the same 33 states across the three-year time span shows that every state is using their database for more purposes. Eight additional states reported using the database to evaluate staff performance, seven additional states reported using databases for enforcement purposes and six additional states reporting using the databases for analyzing workloads and evaluating licensing programs and strategies. One additional state said the database was used for email addresses and one additional state used the database for training. One less state reported using the database to determine differential monitoring levels. Of the new categories added to the 2017 survey, more than half the reporting states reported using the databases for those purposes.

Category for Database Usage Added in 2017	Percentage Reporting Database Used for Given Purpose
Comply with federal reporting requirements	85%
Analyze longitudinal trends	55%
Coordinate with other agencies	70%
Analyze regional differences	70%

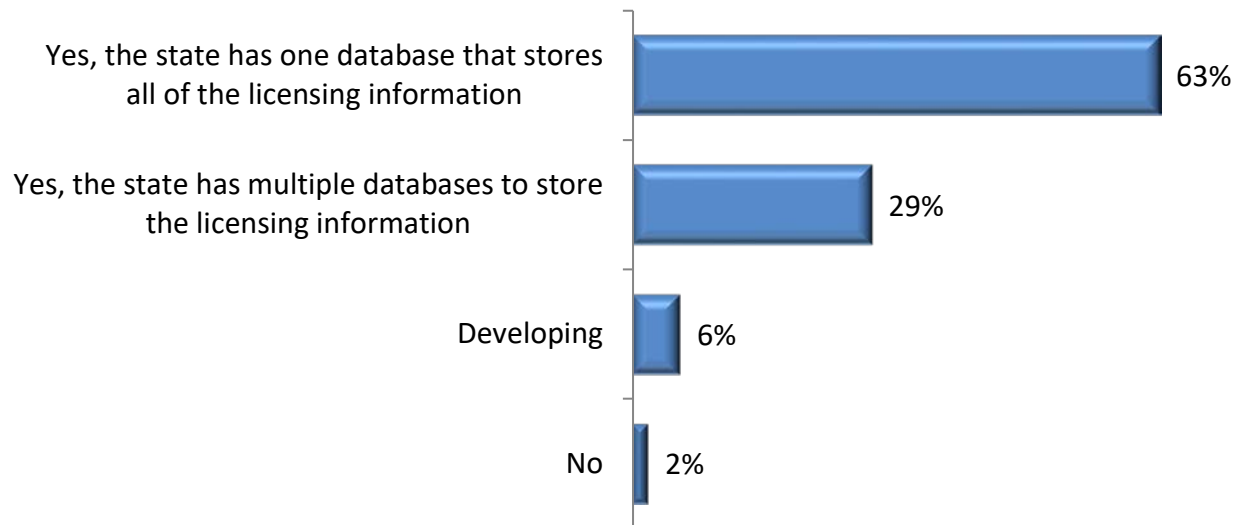
Licensing databases are becoming increasingly interconnected with other state agencies. Seven additional states report connecting with the subsidy payment system and eight additional states report a link with child protective services. An additional four states link with the child care resource and referral agency while eight additional states report linking with QRIS and/or other quality systems. The number of states reporting that they tracked the cause of injuries more than doubled, growing from seven in 2014 to 16 in 2017.

The number of states using portable devices for inspections of any program type grew slightly, from 33 states in 2014 to 35 states in 2017. The number of states reporting that they were considering using other tools grew from 24 in 2014, to 26 in 2017. In 2014, there were three states that did not use portable devices and were not considering their use, while in 2017, only two of those states still reported not using or considering the use of devices.

Licensing Database

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

Analysis: A total of 33 states have a single licensing database while 15 states have multiple databases to store licensing information. Three states reported developing a database in 2017 and one state said they did not have a licensing database.



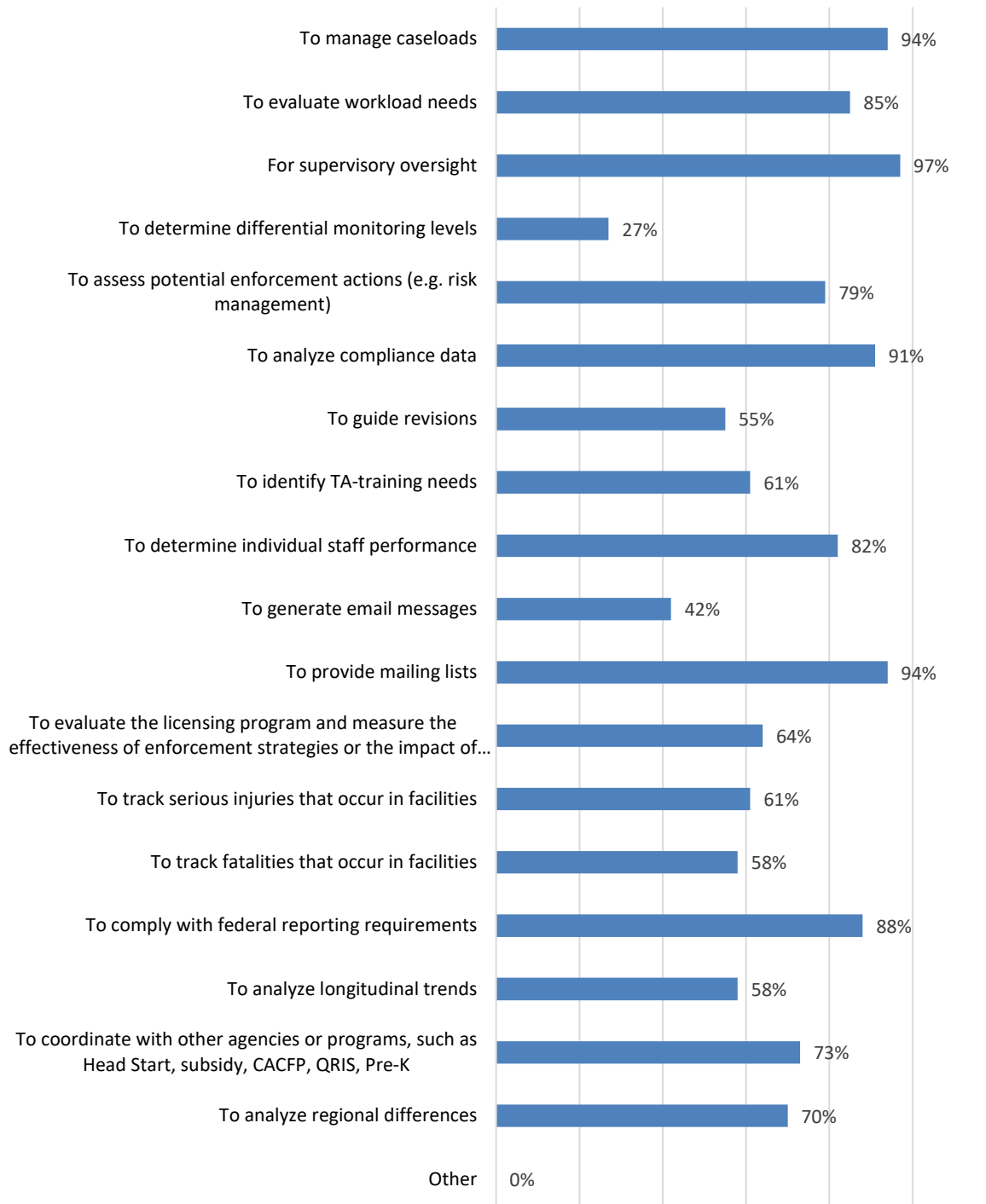
State	Yes, the state has one database that stores all of the licensing information	Yes, the state has multiple databases to store the licensing information	Developing	No
Total	33	15	3	1
AK	•			
AL	•			
AR	•			
AS	•			
AZ		•		
CA		•		
CO		•		
CT	•			
DC	•			
DE	•			
FL	•			
GA	•			
HI	•			
IA		•		
ID		•		
IL		•		
IN		•		
KS	•			
KY	•			
LA		•		
MA			•	
MD		•		
ME	•			
MI		•		
MN		•		
MO	•			

State	Yes, the state has one database that stores all of the licensing information	Yes, the state has multiple databases to store the licensing information	Developing	No
MS	•			
MT	•			
NC	•			
ND			•	
NE				•
NH		•		
NJ			•	
NM	•			
NV	•			
NY	•			
OH	•			
OK	•			
OR	•			
PA	•			
RI	•			
SC	•			
SD	•			
TN		•		
TX	•			
UT	•			
VA	•			
VT		•		
WA		•		
WI	•			
WV	•			
WY	•			

Using the Licensing Database

Question: How is the licensing database used?

Analysis: Two-thirds of states responded (n=33) regarding database use and the majority use it for multiple reasons including supervisory oversight (97%), managing caseloads (94%), analyzing compliance data (91%), and in support of many other activities. Only a handful of states, just over 27% of states reporting, indicated the database is used to determine differential monitoring levels.



State	To manage caseloads	To evaluate workload needs	For supervisory oversight	To determine differential monitoring levels	To assess potential enforcement actions (e.g. risk management)
Total	31	28	32	9	26
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					
NJ					
NM	•	•	•		
NV	•	•	•		•
NY	•	•	•		•
OH	•	•	•	•	•
OK	•	•	•	•	•
OR	•	•	•		
PA	•	•	•		
RI					
SC	•	•	•		•
SD	•	•	•		•
TN					
TX	•	•	•	•	•
UT	•	•	•		•
VA	•	•	•		•
VT					
WA					
WI	•		•		•
WV	•	•	•		
WY	•	•	•		•

Use of Licensing Data – Continuation A

State	To analyze compliance data	To guide revisions	To identify TA-training needs	To determine individual staff performance	To generate email messages
Total	30	18	20	27	14
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					
NJ					
NM	•		•	•	
NV	•			•	•
NY	•	•	•	•	
OH	•	•	•	•	•
OK	•	•	•	•	
OR	•	•		•	•
PA	•				
RI					
SC	•		•	•	
SD	•	•	•	•	
TN					
TX	•	•		•	•
UT	•	•	•	•	•
VA	•	•	•	•	
VT					
WA					
WI	•			•	
WV					
WY					

State	To provide mailing lists	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	To track serious injuries that occur in facilities	To track fatalities that occur in facilities
Total	31	21	20	19
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				
NJ				
NM	•		•	•
NV	•			
NY	•	•		
OH	•	•	•	•
OK	•	•	•	•
OR	•		•	•
PA		•		
RI	•			
SC	•			
SD	•	•	•	
TN				
TX	•	•	•	•
UT	•	•	•	•
VA	•			
VT				
WA				
WI	•		•	•
WV	•			
WY	•		•	•

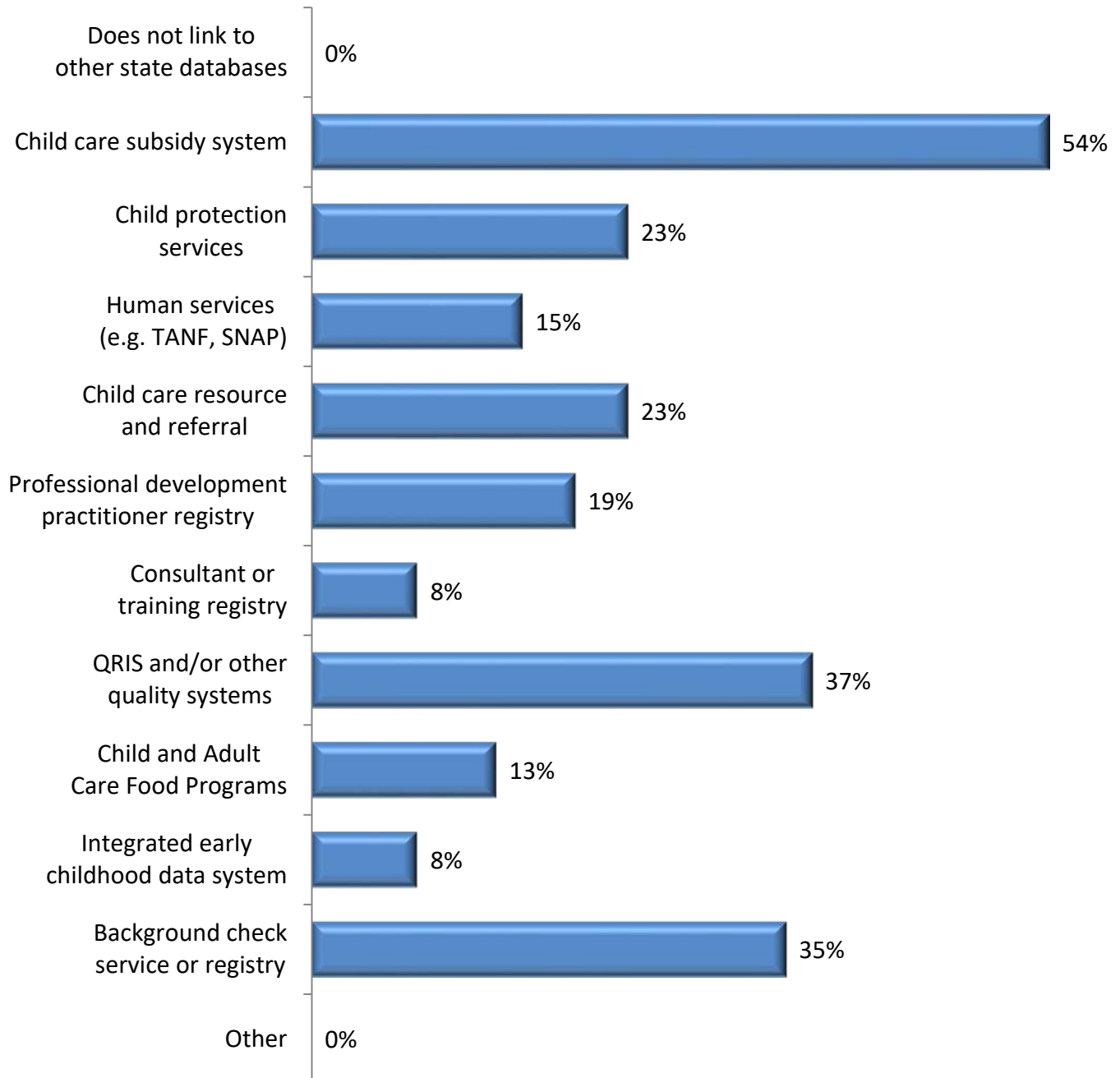
Use of Licensing Data – Continuation C

State	To comply with federal reporting requirements	To analyze longitudinal trends	To coordinate with other agencies or programs, such as Head Start, subsidy, CACFP, QRIS, Pre-K	To analyze regional differences	Other
Total	29	19	24	23	0
AK	•			•	
AL	•	•	•		
AR	•	•	•	•	
AS	•	•	•		
AZ					
CA					
CO					
CT	•				
DC	•	•	•	•	
DE	•				
FL	•	•	•	•	
GA	•	•	•	•	
HI				•	
IA					
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KS	•	•	•	•	
KY		•	•	•	
LA					
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MO	•		•	•	
MS	•	•	•	•	
MT	•		•	•	
NC	•		•	•	
ND					
NE					
NH					
NJ					
NM	•	•	•	•	
NV	•		•	•	
NY	•	•	•	•	
OH	•	•	•	•	
OK	•	•	•	•	
OR	•	•	•		
PA	•				
RI					
SC	•	•	•	•	
SD	•			•	
TN					
TX	•	•	•	•	
UT	•	•	•		
VA	•		•	•	
VT					
WA					
WI	•	•	•	•	
WV	•				
WY	•				

Database Linkages

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

Analysis: 67% of states reported (n=35) that the licensing database linked to other states databases. Just over half (54%) reported a link to the child care subsidy system.



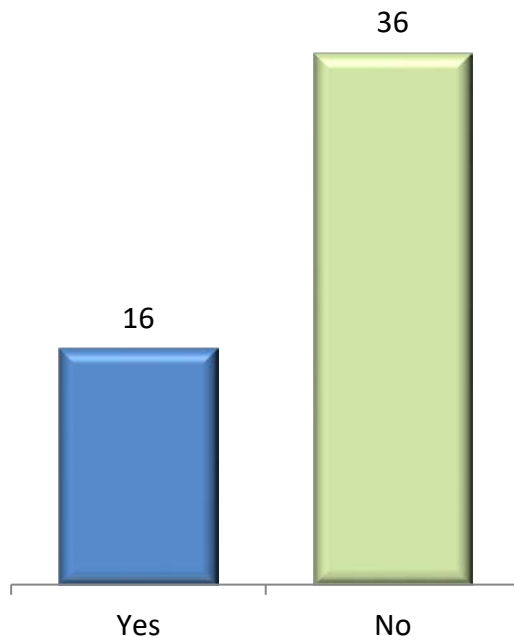
Licensing Database Linkages

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
Total	0	28	12	8	12	10
AK		•				
AL		•			•	
AR		•				
AS						
AZ						
CA						
CO		•	•		•	•
CT						
DC						
DE						
FL						
GA		•			•	
HI		•		•		•
IA		•				•
ID						
IL			•		•	
IN		•			•	
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KY		•		•	•	
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MA						
MD		•	•	•		•
ME		•	•			
MI		•		•	•	
MN		•				
MO		•		•		
MS		•		•		
MT		•	•	•	•	•
NC						
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NE						
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NM		•	•			
NV						
NY		•	•			
OH		•				•
OK		•	•			•
OR		•			•	•
PA						
RI			•			
SC		•			•	
SD						
TN		•				
TX			•			
UT		•				
VA		•				
VT		•	•	•	•	•
WA		•	•			
WI		•				
WV						
WY					•	•

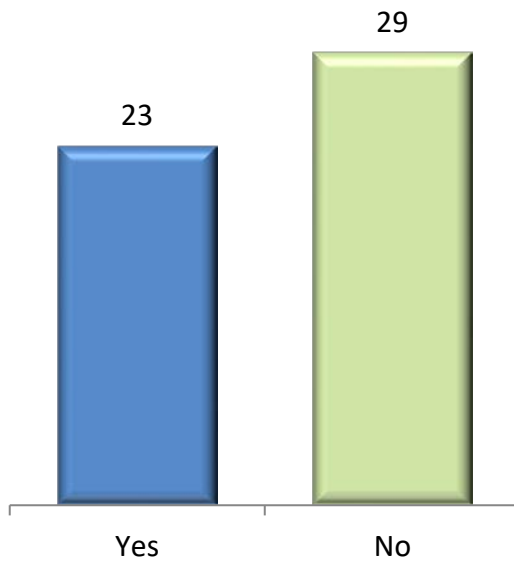
Licensing Database Linkages - Continuation

State	Consultant or training registry	QRIS and/or other quality systems	Child and Adult Care Food Programs	Integrated early childhood data system	Background check service or registry	Other
Total	4	19	7	4	18	0
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						
NJ						
NM						
NV						
NY			•		•	
OH		•				
OK		•			•	
OR		•			•	
PA						
RI				•		
SC	•	•			•	
SD						
TN					•	
TX					•	
UT		•	•		•	
VA					•	
VT	•	•			•	
WA						
WI						
WV						
WY						

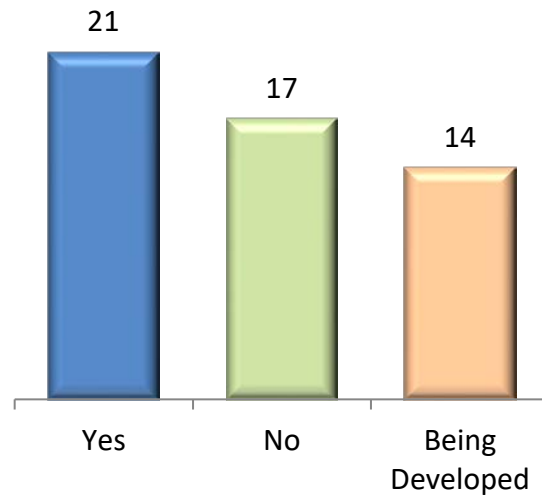
Question: If your licensing database system tracks serious injuries and fatalities that occur in child care facilities, does the system capture and categorize them by type and cause?



Question: Has your agency produced a publicly available report from your licensing data in the last two years?



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



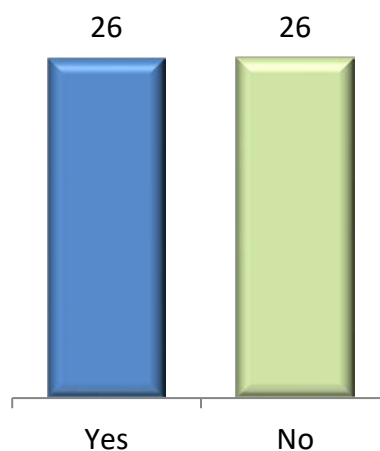
Portable Devices and Other Tools

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: 65% of states that regulate child care centers reported using portable devices for inspections of child care centers and 16 additional states reported considering their use. 58% of states that regulate small FCC homes and 64% of states that regulate large/group FCC homes reported using portable devices. Only two states reported not using, or considering the use of portable devices for inspections in any facility type.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Portable devices used for inspections	34	29	25
State is considering the use of portable devices for inspections	17	15	12

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



COMPLAINTS

Summary:

Since 2014, the number of states relying on hotlines, either shared or dedicated lines, for receiving complaints increased by 25 percent with states less likely to rely on the general licensing agency phone number. Only one additional state added a web-based form for complaints. The number of states investigating complaints for the three program types changed little, though approximately 10 percent fewer states reported having separate staff within the licensing agency for investigating complaints. Three additional states reported that they would conduct an unannounced inspection in relation to a complaint, only when needed for the investigation.

The number of states reporting that they investigate anonymous complaints for centers and small FCC homes decreased by 4 states and 3 states respectively, while there was an increase of 15 states investigating anonymous complaints in large/group FCC homes. Overall there was a decline in the reported number of complaints filed, though the percent substantiated increased from 31 percent to 33 percent between 2014 and 2017. For child abuse and neglect complaints, there was little change in the number of states reporting who conducted the investigations though the number of states reporting law enforcement involvement decreased by eight.

	2014	2017
Licensing Agency	25	26
Protective Services	39	37
Police/Law Enforcement	15	26
Specialized Unit	34	16
Other	16	12

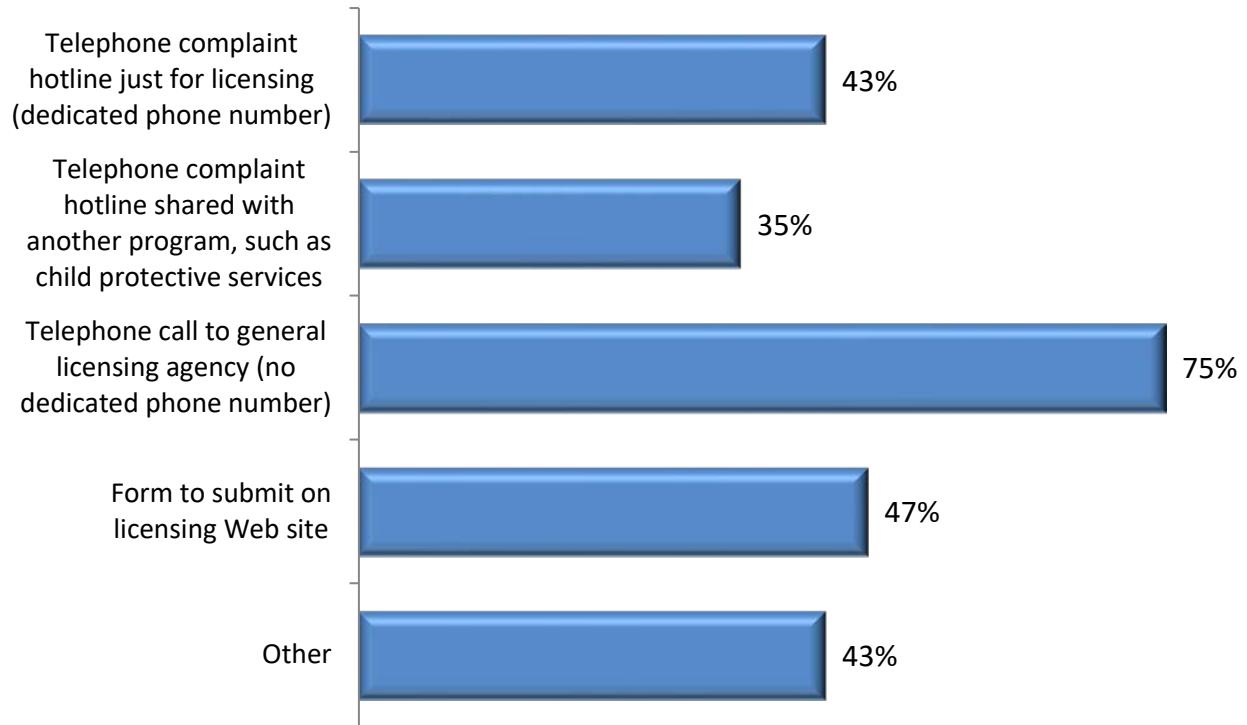
States were much more likely to investigate complaints against license-exempt programs in 2017 than in 2014. There was a 10 percent increase in the total number of states reporting that they investigated all complaints against exempt facilities, and a 19 state increase reported in the number of investigations involving subsidy payments or federal/state funding. The number of states reporting that they did not investigate or had no mechanism for complaints to be filed against license-exempt facilities dropped by a third.

	2014	2017
Yes, all complaints are investigated	8	13
Yes, a referral is made on allegations of abuse or neglect	27	29
Yes, if there are allegations of serious health and safety risks	6	14
Yes, to determine or verify that the facility is legally exempt	22	25
Yes, a referral is made to the subsidy program if the provider is receiving federal or state funding	7	12
Yes, for legally-exempt facilities that receive payment from the subsidy system	--	14
No, the licensing agency does not investigate complaints filed against legally-exempt facilities	15	9
No, there is no mechanism for a complaint to be filed against a license-exempt facility	0	1
Other	17	15

Complaint Submissions

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

Analysis: 75% of responding states (n=51) reported parents submitted complaints to a general licensing agency number. Almost half (47%) have a web-based form for submission and 43% have a dedicated complaint hotline.



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	22	18	38	24	22
AK			•		•
AL	•				
AR			•	•	
AS			•		•
AZ			•	•	
CA	•				
CO	•				•
CT	•			•	
DC	•	•			
DE		•	•	•	
FL		•	•		•
GA	•		•		•
HI			•		
IA	•				
ID		•		•	
IL	•	•	•		•
IN	•		•	•	
KS		•	•	•	•
KY			•		

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
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	•		•	•	•
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	52	50	39
Licensing agency conducts complaint investigations	51	43	36

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	52	50	39
Same staff who conduct inspections for initial licensure and routine compliance	47	39	33
Separate staff who only work on complaint investigations	8	8	5
Staff from another agency	9	7	8

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

Analysis: Every state responding to the survey (n=51) reported the use of unannounced visits to a facility to investigate a complaint. 63% reported using unannounced visits for every complaint, while 37% 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	32	19	0	0	6
AK	•				
AL	•				
AR	•				
AS		•			
AZ		•			
CA	•				
CO	•				
CT	•				
DC	•				
DE	•				
FL	•				
GA	•				
HI		•			
IA		•			
ID		•			
IL	•				
IN	•				
KS	•				
KY	•				
LA	•				
MA					•
MD	•				

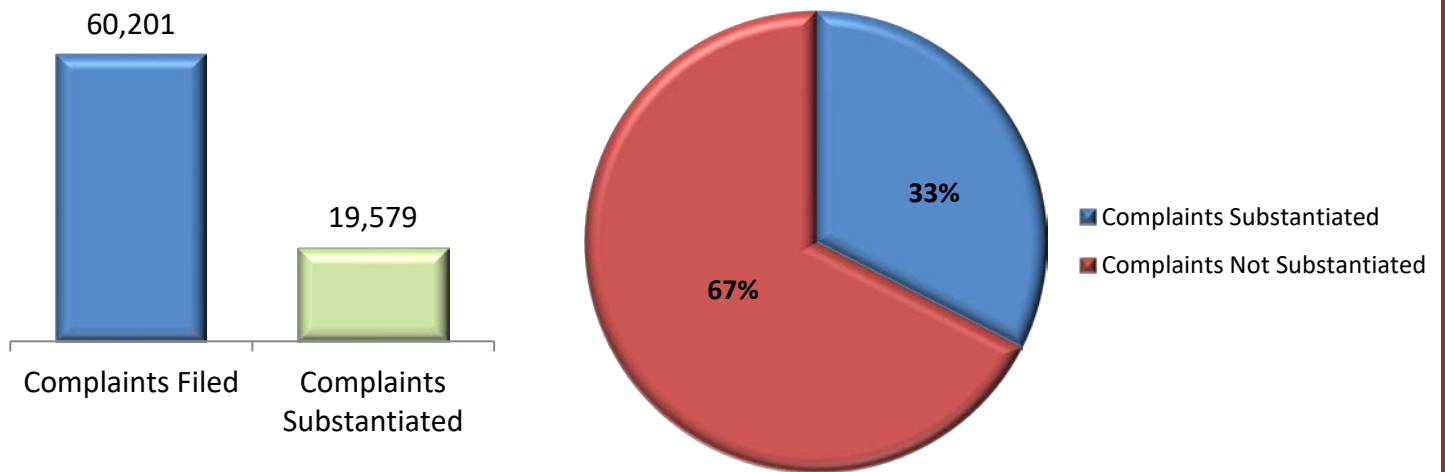
State	Yes, an unannounced visit is conducted for every complaint received	Yes, but only when an on-site visit is needed for the investigation	No, unannounced visits are not routinely conducted	No, visits are conducted, but they are announced	Other
ME	•				
MI					
MN		•			
MO					•
MS	•				
MT		•			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

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

State	Yes	Not Reported	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			52	50	39
Total	32	18	45	38	29
AK	•		•	•	•
AL	•		•	•	•
AR	•		•	•	
AS	•		•	•	
AZ		•			
CA	•		•	•	•
CO	•				
CT	•		•	•	•
DC	•		•	•	•
DE	•				
FL	•		•	•	•
GA	•		•	•	
HI		•	•	•	•
IA		•	•	•	•
ID		•	•		•
IL		•	•	•	•
IN	•		•		•
KS	•		•	•	•

State	Yes	Not Reported	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
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		•	•	•	
VT	•		•	•	
WA		•	•	•	
WI		•	•	•	
WV	•				
WY		•	•	•	•

Question: How many licensing complaints were filed in CALENDAR YEAR 2017? How many were substantiated?
43 states reporting

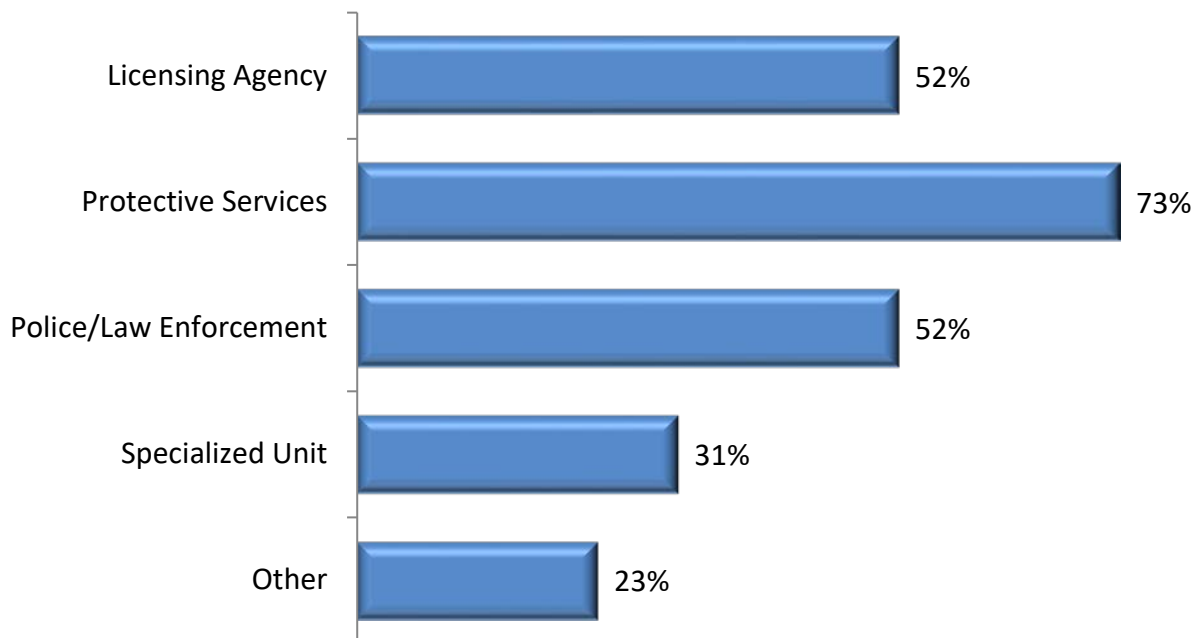


Question: What was the nature of the licensing complaints that were filed in CALENDAR YEAR 2017?

Analysis: Of the 75% of states responding (n=39), the majority (77%) reported Supervision as a complaint, 74% responded that Ratios were an issue, and 33% reported complaints regarding Discipline.

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

Analysis: 73% of states responding indicated that child protective services investigate abuse and neglect complaints while just over half (52%) report the licensing agency and/or police/law enforcement investigates complaints.



State	Licensing agency	Protective services	Police/law enforcement agency	Specialized unit for child abuse and neglect	Other
Total	27	38	27	16	12
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	•		•		
NJ				•	
NM	•		•		
NV	•	•	•		
NY	•	•	•		•
OH		•			
OK		•			
OR	•	•	•	•	
PA		•			
RI		•			•
SC	•	•	•		•
SD		•			
TN		•	•		•
TX		•			
UT	•	•	•		
VA		•	•		
VT	•	•	•	•	•
WA				•	
WI					•
WV			•	•	
WY		•			•

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

Analysis: Approximately 60% of reporting states (n=51) said they make referrals on allegations of abuse or neglect for legally-exempt facilities. Almost half reported investigating to determine if the facility is, in fact, exempt.

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	Yes, a referral is made to the subsidy program if the legally-exempt provider is receiving federal or state funding	Yes, for legally-exempt facilities that receive payment from the subsidy system	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	13	30	14	25	12	14	10	1	16
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			•	•					•
NJ		•							
NM		•	•	•					
NV		•							
NY		•	•	•	•	•			•
OH		•	•	•					
OK		•		•					
OR		•		•		•			

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	Yes, a referral is made to the subsidy program if the legally-exempt provider is receiving federal or state funding	Yes, for legally-exempt facilities that receive payment from the subsidy system	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
PA							•		•
RI	•								
SC		•	•	•	•	•			•
SD		•		•		•			
TN	•	•			•	•			
TX				•					
UT	•	•	•						
VA		•		•	•	•			•
VT	•	•	•	•		•			
WA							•		
WI				•					•
WV	•								•
WY							•		

ENFORCEMENT ACTIONS

Summary:

States report many more enforcement options against child care centers than for FCC homes. There are more enforcement options for small FCC homes than for large/group FCC homes. The same pattern of availability of enforcement options across program types is seen in 2014 and 2017 but more states reported an expanded set of options in 2017.

Between 2014 and 2017 an additional four states said that non-renewal of license was a possible enforcement action for centers, along with three additional states reporting the option for small FCC homes and two for large/group FCC homes. Consent agreements were up five percent across all program types, and civil fines and/or imprisonment were up about three percent across all program types.

In 2014, 45 states reported that enforcement actions affected subsidy payments. Twenty states reported multiple criteria for when the subsidy payment was affected, 27 states reported a single criterion, and only four states did not respond. In 2017, 42 states reported that enforcement actions affected subsidy payments, 27 states reported a single criteria, 14 reported multiple criteria, and 13 states did not respond regarding when they payments were affected.

Two fewer states reported the number of enforcement actions in 2017 than in 2014. Despite fewer states responding, the number of reported civil fines more than doubled in 2017. The number of consent agreements reported increased by 84 percent, and the number of revocations of license reported increased by 28 percent. When comparing the 44 states that responded to both surveys, the number of civil fines in 2017 is more than triple the number in 2014 (two states were responsible for 80 percent of the increase), the number of consent agreements is more than double and there were almost 50 percent more revocations of license. The largest drops were seen in the use of conditional or non-renewal of licenses.

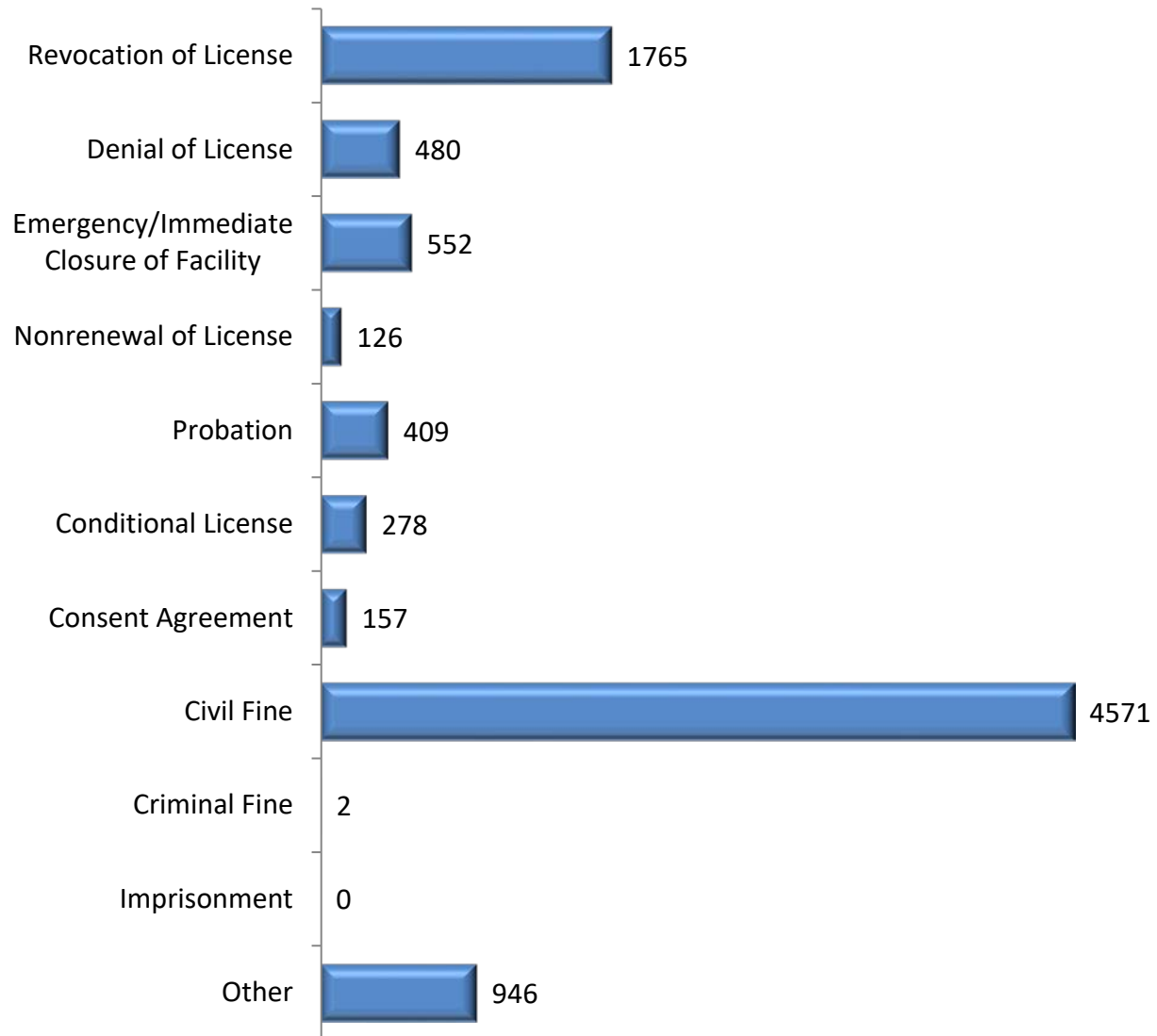
Question: Indicate which of the following corrective and adverse enforcement actions does policy allow you to use with licensed child care facilities?

Analysis: Revocation and denial of license as well as emergency/immediate closure of the facility were the most commonly reported enforcement actions with almost every state having those options for centers and to lesser extent in FCC homes. About 72 percent of states said conditional licenses were options for centers, small FCC homes and in about 75 percent of states for large/group FCC homes. Civil fines were also a commonly reported options across program types.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Revocation of license	52	45	38
Denial of license	50	43	37
Emergency/immediate closure of facility	51	45	38
Nonrenewal of license	38	33	30
Probation	25	24	18
Conditional license	37	36	29
Consent agreement	21	19	16
Civil fine	31	28	22
Criminal fine	6	6	4
Imprisonment	4	4	3
Other	21	19	13

Questions: Indicate which of the following corrective and adverse enforcement actions were used with licensed child care facilities and the number of enforcement actions that were taken in CALENDAR YEAR 2017?

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 two and a half times as often as the next most frequent enforcement action, revocation of license. Civil fines are used more than eight times as often as immediate closure. No enforcement actions were reported that lead to imprisonment. No enforcement actions were reported that lead to imprisonment.



Examples of “Other” enforcement actions include:

- Restriction of license
- Reduced capacity
- Mandated training
- Partial sanctions and exclusions
- Voluntary program improvement plans/corrective action plans (plans of action)

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

Analysis: While approximately one-fourth of states reporting (n=40) indicated that a facility's subsidy payment was affected when an enforcement action was made effective, and approximately 38% said the payment was affected if the action was not appealed or when the action was upheld, the impact on subsidy payments mostly seemed to vary by the type of enforcement action. 90% of reporting states said that the effect on a subsidy payment varied.

State	An enforcement action is made effective	The action is not appealed or is upheld	Varies by type of enforcement action	Other
Total	9	15	36	1
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		•	•	
NJ			•	
NM			•	
NV				
NY			•	
OH		•		
OK		•	•	
OR			•	
PA				
RI			•	
SC		•		
SD	•	•	•	
TN			•	
TX	•	•		
UT	•	•	•	

State	An enforcement action is made effective	The action is not appealed or is upheld	Varies by type of enforcement action	Other
VA			•	
VT			•	
WA				
WI			•	
WV				
WY			•	

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

Analysis: Out of the 35 states responding, almost half reported that an electronic notice is automatically generated for the subsidy agency when a licensing action is taken. Almost 86% reported personal contact being made between the licensing and subsidy agencies. Just over one-third of reporting states reported a link between the licensing and subsidy agency databases where enforcement actions are monitored.

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	17	30	12
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		•	
NJ	•	•	
NM		•	•
NV			
NY		•	•
OH			
OK		•	
OR	•	•	
PA			
RI		•	
SC			
SD		•	
TN		•	
TX			
UT	•	•	•
VA		•	

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
VT	•	•	•
WA			
WI	•	•	
WV			
WY		•	

SHARING LICENSING INFORMATION

Summary:

Between 2014 and 2017 the number of states that made either a full inspection report or summary report available online increased by 9 states (18 percent). In 2014 seven states did not have the reports online and 10 were planning to add them in the future. By 2017, while eight states were still in planning stages, there were no states that either did not or did not plan to make the reports available.

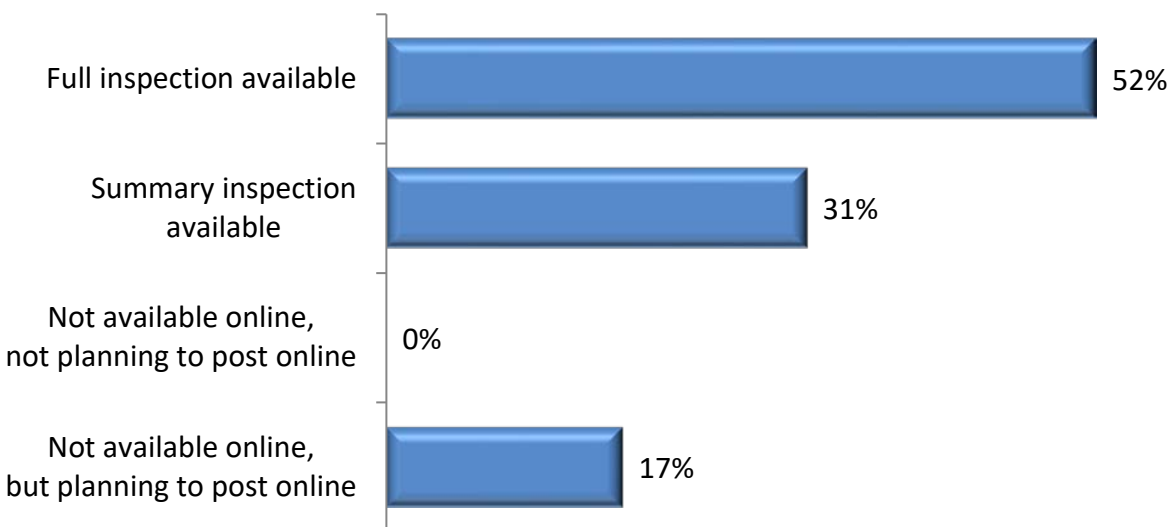
In both 2014 and 2017 nine states included all complaints online. The number of states reporting posting only substantiated complaints online increase from 20 to 32. The number of states not posting any complaint information dropped by one. The number of states that included enforcement actions as part of their online report grew from 21 to 34 states. In 2017, 34 states allowed the facility to review the report before posting while 19 states gave facilities a chance to review the report before posting in 2014.

In 2017, 60 percent of states reported that they provided guidance to the public to help understand the licensing reports they posted online. In 2014, only 53 percent of states said they provided guidance. More than half the states reported having inspection reports available online within a week of inspection. The question on length of time to post an inspection was not asked in 2014.

Shared Online

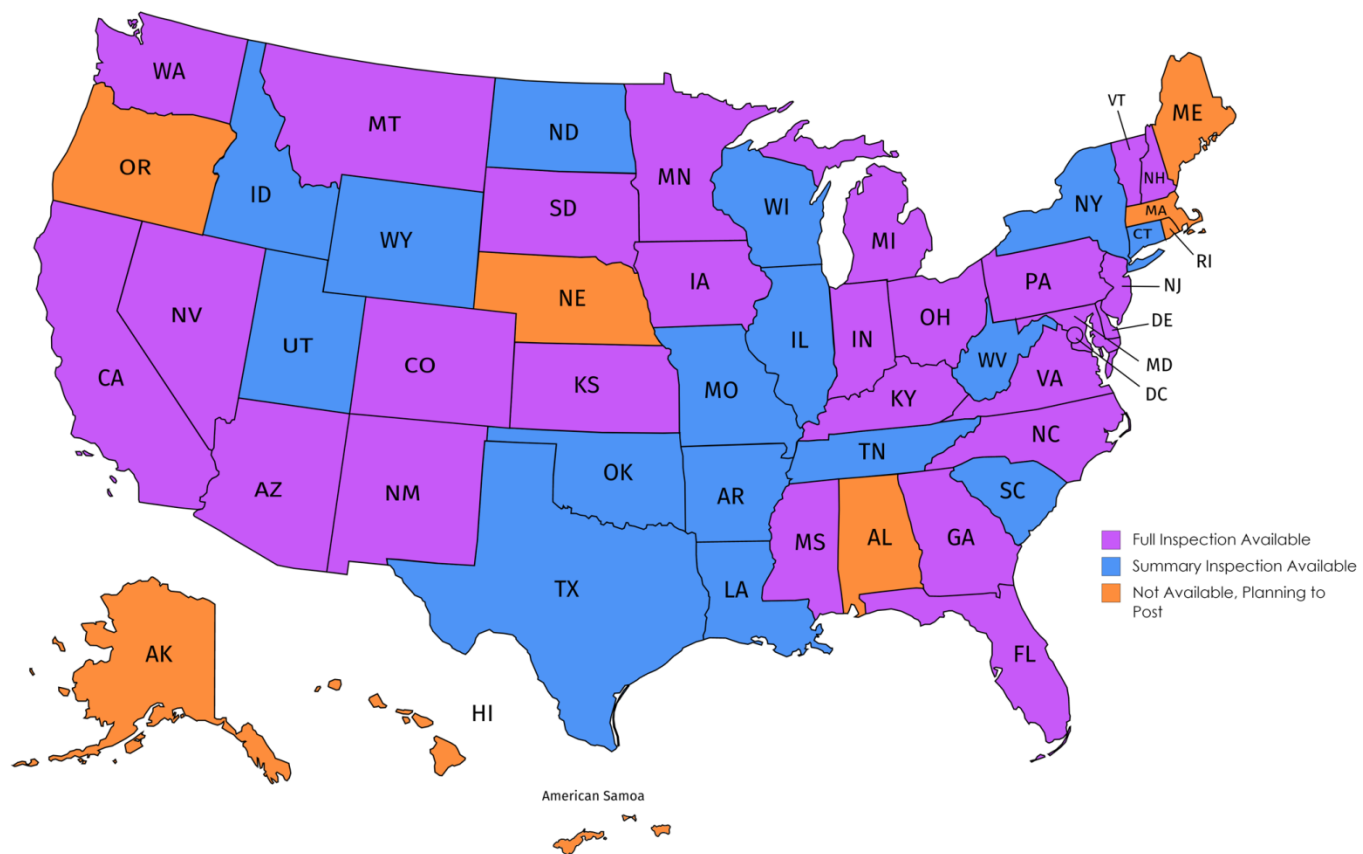
Question: Are licensing inspection reports available on the Internet for parent and public access?

Analysis: More than half of all states reported that full inspection reports are available online while another 31% reported that a summary report is available. All of the states who currently do not post information on the internet reported that they are planning to make reports available online in the future.



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	27	16	0	9
AK				x
AL				x
AR		x		
AS				x
AZ	x			
CA	x			
CO	x			
CT		x		
DC	x			
DE	x			
FL	x			
GA	x			
HI				x
IA	x			
ID		x		
IL		x		
IN	x			
KS	x			
KY	x			
LA		x		
MA				x
MD	x			
ME				x
MI	x			
MN	x			
MO		x		
MS	x			
MT	x			
NC	x			
ND		x		
NE				x
NH	x			
NJ	x			
NM	x			
NV	x			
NY		x		
OH	x			
OK		x		
OR				x
PA	x			
RI				x
SC		x		
SD	x			
TN		x		
TX		x		
UT		x		
VA	x			
VT	x			
WA	x			
WI		x		
WV		x		
WY		x		

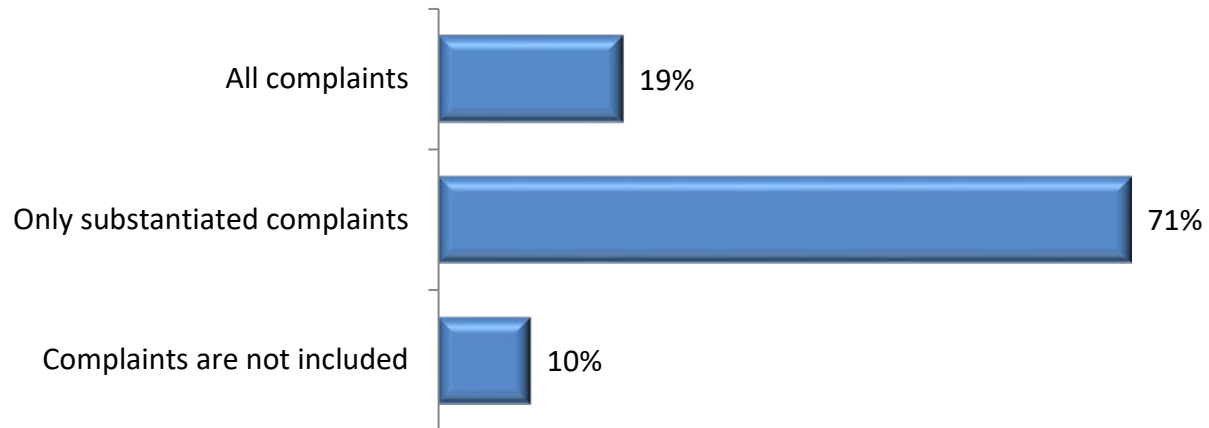
Map 5 Availability of Inspections Online



Complaint Information Shared

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

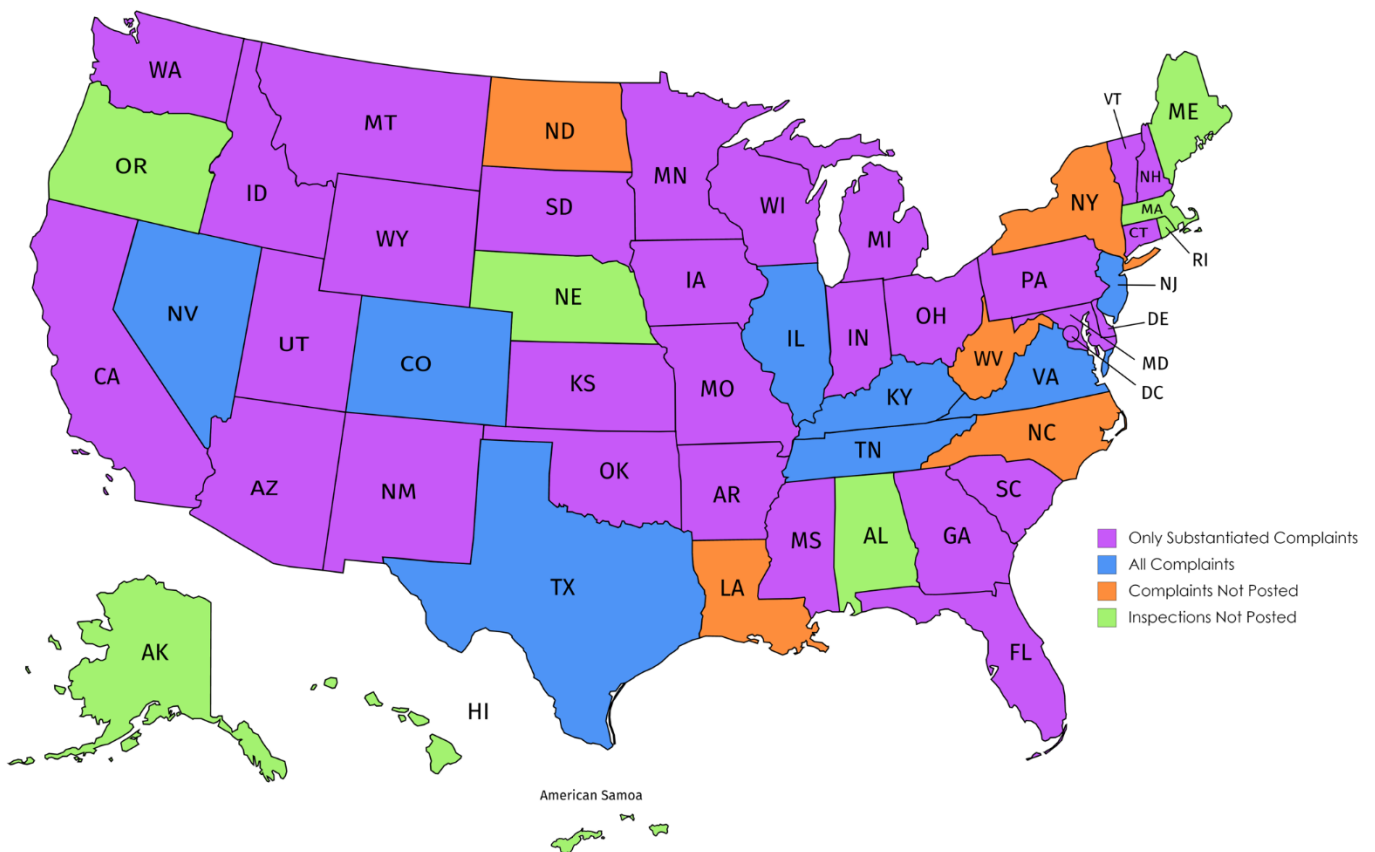
Analysis: Of the 42 states that make inspection reports available online, 38 also include complaints filed against facilities. In 30 of those 38 states, complaints are only included if they are substantiated.



State	Yes, all complaints	Yes, but only substantiated complaints	No, complaints are not included
Total	9	33	5
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	Yes, all complaints	Yes, but only substantiated complaints	No, complaints are not included
NJ	•		
NM		•	
NV	•		
NY			•
OH		•	
OK		•	
OR		•	
PA		•	
RI			
SC		•	
SD		•	
TN	•		
TX	•		
UT		•	
VA	•		
VT		•	
WA		•	
WI		•	
WV			
WY		•	

Map 6 Posting Complaints Online



Question: Do licensing inspection reports published online include enforcement actions and/or corrective action plans?
Do child care providers have an opportunity to review reports before they are posted online?

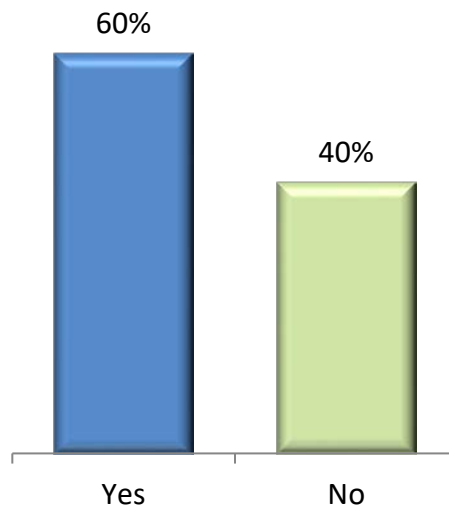
Analysis: A total of 43 states reported posting inspection reports online. Using that number as the basis for analysis, almost 70% of those states include enforcement actions in their online reports, and just over 60% include corrective actions plans. Slightly less than 70% of states allow providers to review reports before the reports are posted online.

State	Reports published online include enforcement actions taken against the program	Reports published online include corrective action plans	Child care providers are given the opportunity to review reports before they are posted to the internet
Total	30	26	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	•	•	•
NJ			
NM	•	•	•
NV	•	•	•
NY	•		•
OH	•	•	
OK		•	•
OR	*		*
PA	•	•	•
RI			
SC			
SD	•	•	•
TN	•	•	
TX	•		•
UT	•	•	
VA		•	•
VT	•	•	
WA		•	•

State	Reports published online include enforcement actions taken against the program	Reports published online include corrective action plans	Child care providers are given the opportunity to review reports before they are posted to the internet
WI	•	•	•
WV	•		
WY	•	•	•

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

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



State	Yes, the State provides guidance to the public	No, the state does not provide guidance to the public
Total	31	21
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		•

State	Yes, the State provides guidance to the public	No, the state does not provide guidance to the public
MS	•	
MT		•
NC		•
ND		•
NE	•	
NH	•	
NJ		•
NM	•	
NV	•	
NY	•	
OH	•	
OK	•	
OR	•	
PA		•
RI		•
SC	•	
SD	•	
TN		•
TX	•	
UT	•	
VA	•	
VT	•	
WA		•
WI	•	
WV		•
WY		•

Time to Post Online

Question: Describe how long, on average, it takes to post a report to the Internet after an inspection.

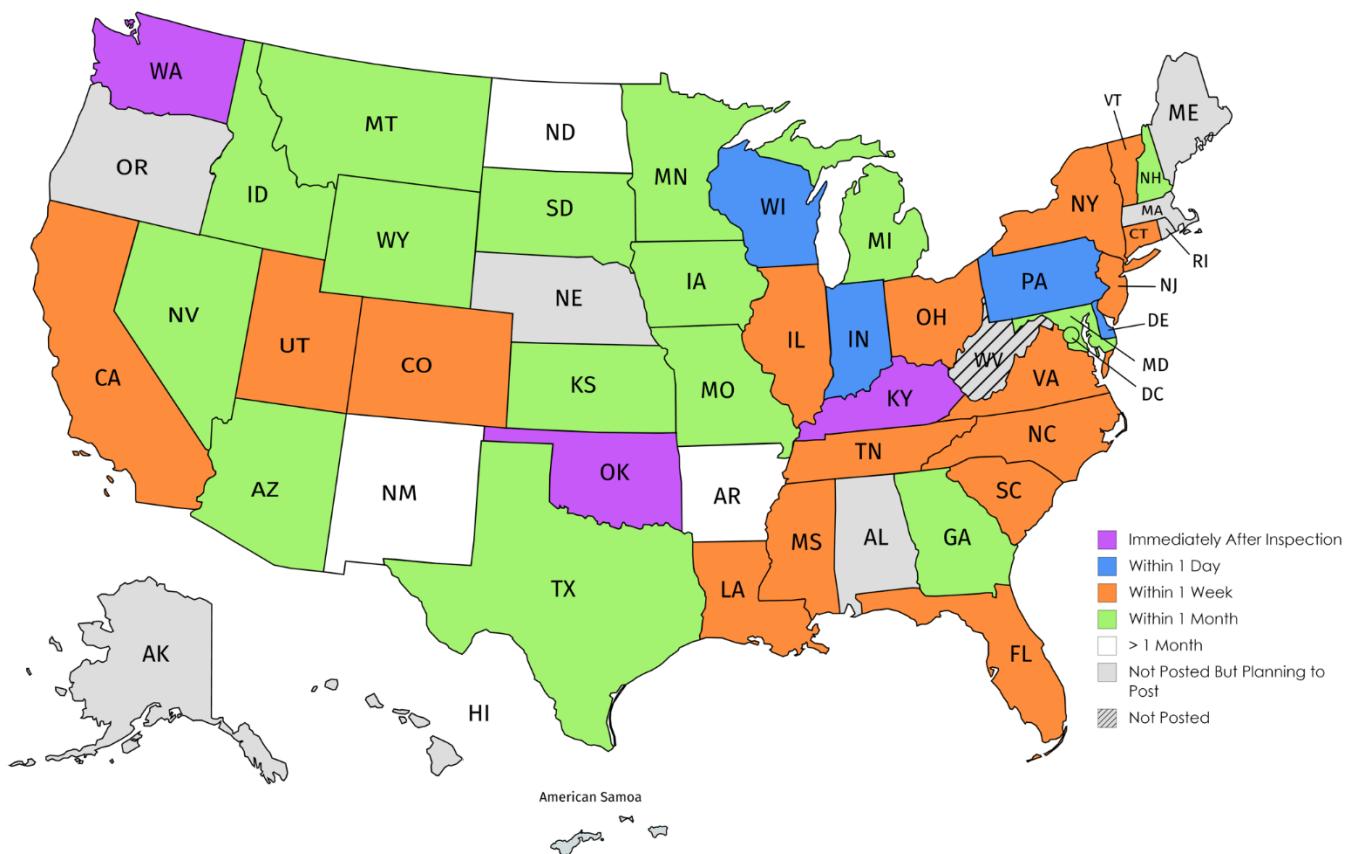
Analysis: For the states responding that they post inspection reports online and responding to this follow-up question (n=42), nearly 93% indicated having reports posted within that time frame. More than half (55%) reported having reports posted within a week and almost 17% said reports were posted within a day or less.

State	Immediately after inspection	Within 1 day	Within 1 week	Within 1 month	Longer than 1 month
Total	3	4	16	16	3
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				•	
NJ			•		
NM					•
NV				•	
NY			•		
OH			•		
OK	•				

State	Immediately after inspection	Within 1 day	Within 1 week	Within 1 month	Longer than 1 month
OR			*		
PA		•			
RI					
SC			•		
SD				•	
TN			•		
TX				•	
UT			•		
VA			•		
VT			•		
WA	•				
WI		•			
WV					
WY				•	

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

Map 7 Timeliness of Posted Inspection Reports



ILLEGALLY OPERATING PROVIDERS

Summary:

Almost every state identifies and addresses illegally operating providers through complaints received by the public. Three additional states reported monitoring listings where providers advertise in 2017 and nine additional states reported working with law enforcement in 2017 than in 2014. Nine fewer states reported using education campaigns with the public in 2017 than in 2014, and there were three additional states that used other means.

In 2017, 90 percent of states reported that they encouraged illegally operating providers to become licensed. This represents a decrease from 96 percent of states in 2014. In 2017, six percent fewer states were likely to contact law enforcement, but eight percent more states reported that operating an illegal program was likely to result in a misdemeanor. There was a drop between 2014 and 2017 in the number of states reporting the availability of data or a database to track illegally operating providers. In 2014, 69 percent of states reported the ability to track illegal providers compared to 65 percent in 2017.

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: 96% of all states said they respond to complaints received from the public when trying to address illegally operating providers. Almost two-thirds (65%) work with local law enforcement, while 23% monitor local provider listings/advertisements, and 21% use public information/education campaigns to help inform the public.

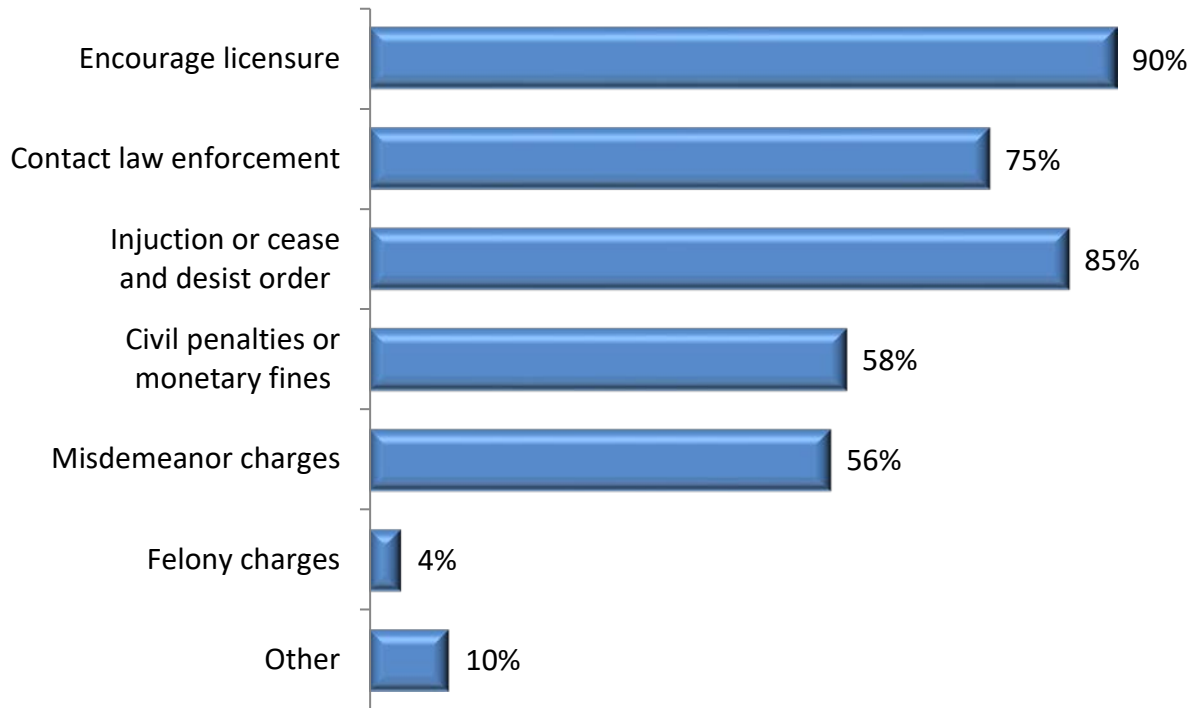
State	Respond to complaints received by the public	Monitor listings where providers advertise	Seek to educate the public with a campaign about licensing	Work with local law enforcement	Other
Total	50	12	11	34	12
AK	•	•		•	•
AL	•	•		•	
AR	•				
AS					•
AZ	•			•	
CA	•		•	•	•
CO	•			•	
CT	•				
DC	•				
DE	•		•		
FL	•		•		
GA	•				•
HI	•				
IA					•
ID	•			•	
IL	•			•	
IN	•	•	•	•	
KS	•	•	•	•	
KY	•	•		•	•
LA	•	•		•	•
MA	•			•	
MD	•	•		•	
ME	•				
MI	•			•	•
MN	•			•	
MO	•			•	
MS	•	•		•	

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
MT	•				
NC	•			•	
ND	•	•	•	•	
NE	•				
NH	•				
NJ	•		•	•	•
NM	•			•	
NV	•	•	•	•	
NY	•	•	•	•	•
OH	•			•	
OK	•			•	
OR	•			•	
PA	•				
RI	•				
SC	•			•	
SD	•			•	
TN	•			•	
TX	•		•		•
UT	•			•	
VA	•		•	•	
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 90% 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 75% of the instances, law enforcement may be contacted while just under 60% of the time an illegally operating provider may face civil penalties, monetary fines, or misdemeanor charges. In a small percentage of cases (3.8%) felony charges may be filed.



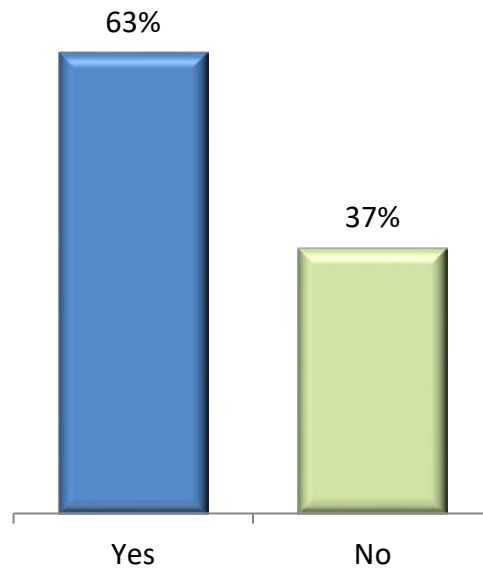
State	The provider may be encouraged to become licensed when possible	Law enforcement may be contacted in certain circumstances	An injunction or cease and desist order may be issued	Civil penalties or monetary fines may be assessed	Misdemeanor charges may be filed	Felony charges may be filed	Other
Total	47	39	44	30	29	2	5
AK	•	•	•	•	•		
AL				•	•		•
AR			•				
AS	•						
AZ	•	•	•	•			
CA	•	•	•	•			
CO	•	•	•		•		
CT	•		•	•			
DC	•	•	•				
DE	•	•	•	•			
FL	•		•	•	•	•	
GA	•	•	•		•		•
HI	•		•	•			
IA					•		
ID	•	•			•		
IL	•	•	•	•	•		•
IN		•	•	•	•		

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
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	•	•	•		•		•
VT	•		•	•			
WA	•	•	•	•	•		
WI	•	•	•	•	•		
WV	•		•				
WY	•	•	•	•	•		

Tracking Illegally Operating Providers

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

Analysis: Approximately 60% of states report that they kept data on investigations of illegally operating providers.



Question: How many illegal providers were investigated in 2017 and what actions were taken?

Analysis: 26 states track illegal provider investigations and are able to provide data related to these programs. States reported 8,334 investigations of illegal providers in calendar year 2017. Using a weighted average, approximately 28% of investigations were substantiated. Almost 8% of the illegally operating providers became licensed while just over 11% of the investigations resulted in legal action.

State	How many were investigated in the 2017 calendar year?	What percentage were substantiated as illegally operating care?	What percentage became licensed?	What percentage resulted in legal action?
Total	8,334	28.05%*	7.96%*	11.33%*
AK	Not Available	Not Available	Not Available	Not Available
AL	Not Available	Not Available	Not Available	Not Available
AR	Not Available	Not Available	Not Available	Not Available
AS	Not Available	Not Available	Not Available	Not Available
AZ	137	29%	10%	0%
CA	505	41.9%	Not Available	Not Available
CO	131	Not Available	Not Available	Not Available
CT	132	35%	Not Available	Not Available
DC	20	4%	0%	20%
DE	Not Available	Not Available	Not Available	Not Available
FL	47	100%	55%	Not Available
GA	499	Not Available	Not Available	Not Available
HI	27	40%	1%	0%
IA	Not Available	Not Available	Not Available	Not Available
ID	Not Available	Not Available	Not Available	Not Available
IL	Not Available	Not Available	Not Available	Not Available
IN	Not Available	39%	Not Available	39%
KS	228	44%	Not Available	Not Available

State	How many were investigated in the 2017 calendar year?	What percentage were substantiated as illegally operating care?	What percentage became licensed?	What percentage resulted in legal action?
KY	10	100%	20%	10%
LA	86	1%	Less than 1%	6%
MA	Not Available	Not Available	Not Available	Not Available
MD	324	Not Available	Not Available	1%
ME	Not Available	Not Available	Not Available	Not Available
MI	Not Available	Not Available	Not Available	Not Available
MN	Not Available	Not Available	Not Available	Not Available
MO	226	33%	Not Available	Not Available
MS	63	24%	5%	3%
MT	Not Available	Not Available	Not Available	Not Available
NC	Not Available	45%	Not Available	Not Available
ND	Not Available	Not Available	Not Available	Not Available
NE	Not Available	Not Available	Not Available	Not Available
NH	33	72.7%	Not Available	1%
NJ	Not Available	Not Available	Not Available	Not Available
NM	Not Available	Not Available	Not Available	Not Available
NV	Not Available	Not Available	Not Available	Not Available
NY	1332	23%	32%	69%
OH	118	Not Available	Not Available	3.5%
OK	136	15%	14%	0%
OR	147	40%	Not Available	1.4%
PA	Not Available	Not Available	Not Available	Not Available
RI	Not Available	Not Available	Not Available	Not Available
SC	139	43%	5%	0%
SD	Not Available	Not Available	Not Available	Not Available
TN	296	71%	Not Applicable	Not Applicable
TX	3023	26%	5.3%	Not Available
UT	51	21%	1%	5%
VA	293	69%	Not Available	Not Available
VT	Not Available	Not Available	Not Available	Not Available
WA	Not Available	Not Available	Not Available	Not Available
WI	287	34%	Not Available	Not Available
WV	Not Available	Not Available	Not Available	Not Available
WY	44	Not Available	12%	2%

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

LICENSING FEES

Summary:

Approximately 70 percent of states reported collecting licensing fees for child care centers in both 2014 and 2017. Approximately 55 percent of states collect fees from small FCC homes and between 45 and 49 percent report collecting fees from large/group FCC homes though a smaller percentage of states reported they collected fees from large/group FCC homes in 2017.

In both 2014 and 2017 the fees for centers were predominantly based on maximum capacity while fees for FCC homes were more often based on a flat fee. However, there was a 71 percent increase in the number of states using flat fees for centers in 2017. There was no change between 2014 and 2017 in the number of states that used license fees to support the licensing agency or the number of states that put fees in the state's general revenue fund. There were two more states in 2014 that reported using the fees for other purposes than in 2017.

Assessing Licensing Fees

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

Analysis: More than 67% of states reported that their state charged a fee for licensing child care centers while 58% of states that regulate small FCC homes charge a fee for small FCC homes. Approximately 59% of states that regulate large/group FCC homes charge large/group FCC homes a licensing fee.

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	52	50	39
Total	35	29	23
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	•	•	•

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

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

Analysis: For child care centers, most states charge a fee based on the maximum number of children allowed at the facility. For FCC homes, fees are more likely to be based on a flat fee.

	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Flat fee amount for all facilities	12	22	15
Fee is based on the maximum number of children allowed in the facility	23	6	7
Other	4	2	2

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.

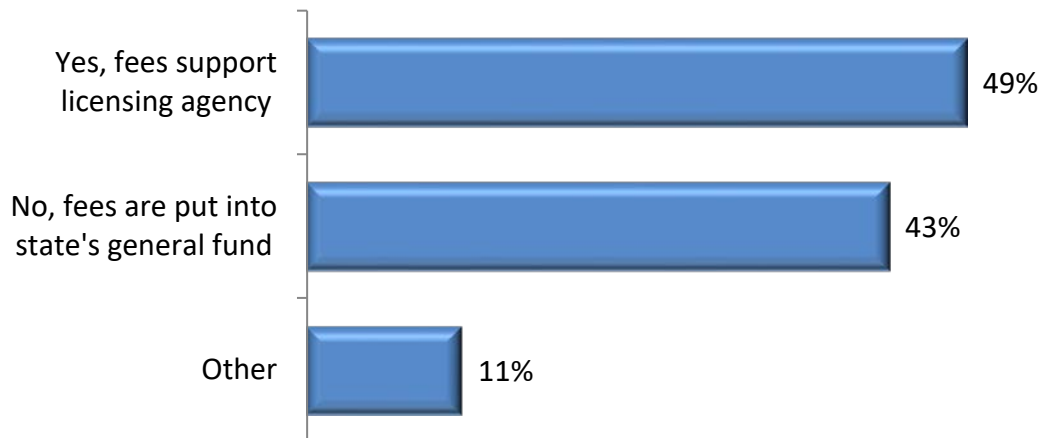
State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
AK	Not Reported	Not Reported	Not Reported
AL	Not Reported	Not Reported	Not Reported
AR	Not Reported	\$15	Do Not Regulate
AS	Not Reported		
AZ	\$7,800, \$4000	Do Not Regulate	\$1,000
CA	\$484 – \$2500+	\$73	\$140
CO	\$150 + \$2 per child capacity	\$35	\$55
CT	\$500	\$40	\$250
DC	1 – 50 Children: \$600 51 – 100 Children: \$900 101 – 175 Children: \$1,200 Over 175 Children: \$1,500	\$225	\$225
DE	Not Reported	Not Reported	Not Reported
FL	Minimum \$25 / Maximum \$100	\$50	\$60

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
	Fee \$1 per child based on capacity		
	Less than 25 children: \$50 25 – 50 children: \$100 51 – 100 children: \$150 101 – 200 children: \$200 More than 200 children: \$250	\$50	Do Not Regulate
GA			
HI	Not Reported	Not Reported	Not Reported
IA	\$50 – \$150	\$0	\$0
ID	Large \$325 / Small \$250	\$100	\$100
IL			
IN			Do Not Regulate
KS	\$75 + 1 per child capacity	\$75 + 1 per child capacity	\$75 + 1 per child capacity
	\$25 annual daycare license Type I & II \$10 every 2 years for certified daycare	\$50 annual	Do Not Regulate
KY			
	15 or fewer children: \$25 16 – 50 children: \$100 51 – 100 children: \$175 101 or more children: \$250	Not Reported	Do Not Regulate
LA			
MA	\$175 – \$450	\$100	Not Reported
MD	Not Reported	Not Reported	Not Reported
ME	\$120 for first year and \$240 subsequently	\$160 for a two year license	Do Not Regulate
MI	\$150 – \$300	\$50	100
MN	\$200 – \$1,000 per year	\$50 – \$100 per year	Not Reported
MO	Not Reported	Not Reported	Not Reported
MS	\$75 – \$400	\$75	\$150 – \$300
MT	\$0	\$0	\$0
	12 or fewer children: \$52 13 – 50 children: \$187 51 – 100 children: \$375 101 or more children: \$600	\$52	Do Not Regulate
NC			
ND	\$40	\$20	\$25
NE	\$50	25	25
NH	Not Reported	Not Reported	Not Reported
NJ	Not Reported	Do Not Regulate	Do Not Regulate
NM	\$55	\$15	\$15
NV	\$300	\$20	\$60
NY	Not Reported	Not Reported	Not Reported
OH	\$500	\$250	\$250
OK	Not Reported	Not Reported	Not Reported
OR	Initial fee \$100 + \$2 per child slot Renewal = \$2 per child slot	\$30 (reduced fee for poverty level applicants)	\$25 initial fee + \$2 per child slot Renewal = \$2 per child slot
PA	Not Reported	Not Reported	Not Reported
RI	\$500/year	\$100/2 years	\$250/year
SC	\$50 – \$125	\$15	\$30
SD	Not Reported	Not Reported	Not Reported
TN	\$200 – \$500	\$100	\$125
	Licensed operations pay an annual fee of \$35 + \$1 per child	\$35	Not Reported
TX			
UT	\$231	\$31	\$31
VA	\$14 up to \$200 annually	\$14	Do Not Regulate
VT	Not Reported	Not Reported	Do Not Regulate
	\$125 for the first 12 children then \$12 for each additional child	\$30	Do Not Regulate
WA			
	\$30.25 plus \$16.94 per child (based on capacity)	\$60.50	Do Not Regulate
WI			
WV	\$0	\$0	\$0
	\$50 initial \$25 renewal	\$50 initial \$25 renewal	\$50 initial \$25 renewal
WY			

Uses of Licensing Fee Revenues

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

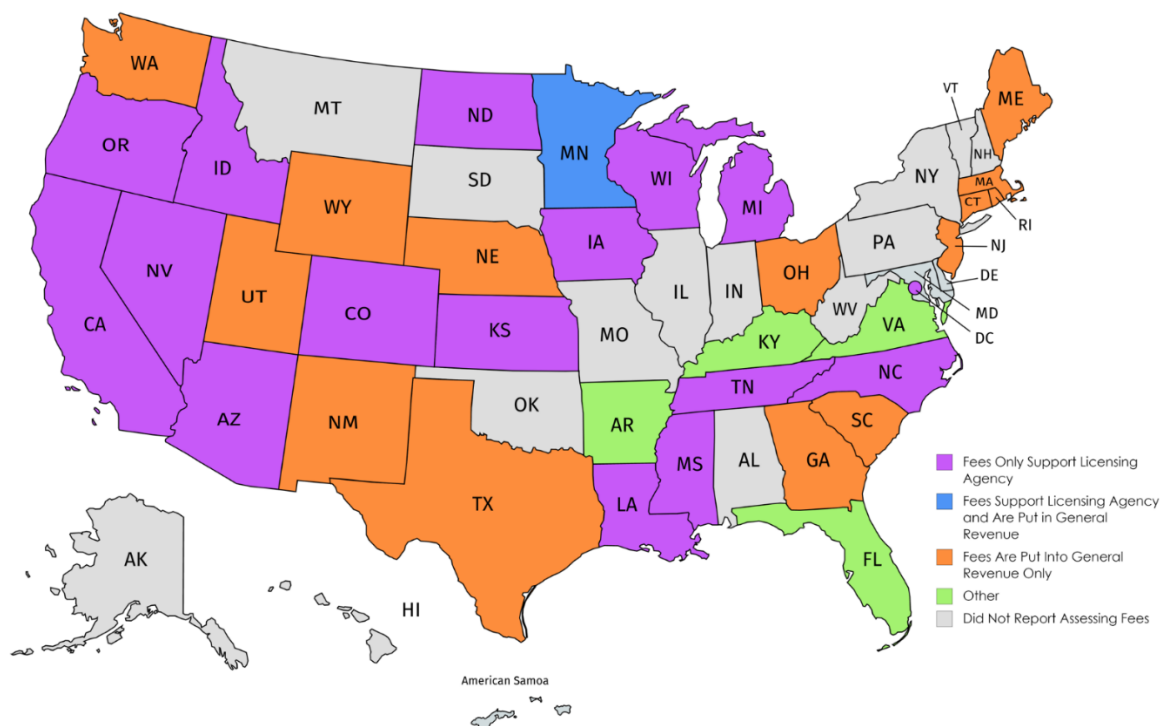
Analysis: Nearly half of states reporting (n=35) indicated that licensing fees were used to support the licensing agency while 43% reported fees were put into the state's general fund. Other included fees paying for background checks, training, and other activities for providers.



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	17	15	4
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	.		

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
ND	•		
NE		•	
NH			
NJ		•	
NM		•	
NV	•		
NY			
OH		•	
OK			
OR	•		
PA			
RI		•	
SC		•	
SD			
TN	•		
TX		•	
UT		•	
VA			•
VT			
WA		•	
WI	•		
WV			
WY		•	

Map 8 Use of Licensing Fees



LICENSING STAFF REQUIREMENTS

Summary:

In both 2014 and 2017, only one state required licensing staff to have a master's degree. In 2017, 65 percent of states reported a bachelor's degree as the minimum requirement, up one from 2014. In each year, only one state required an

associate's degree. In 2014, two states allowed some college level coursework while no states reported that as a requirement in 2017. There was an increase of two states reporting "Other" which usually means some combination of experience and education equivalent to a bachelor's degree. In 2017, two additional states reported that the degree must be in early childhood education, child development, or a field related to the care and education of children, while two fewer states reported that licensing staff were required to have experience working in a setting with children.

In 2014, only 53 percent of states required licensing staff to complete annual training while in 2017, 73% of states reported that annual training was a requirement. While less than 30 percent of all states required annual regulatory issues, regulations, or licensing policy training for staff in 2014 (approximately half of all states that required any annual training), nearly half of all states (or about two-thirds of the states requiring any annual training) required those specific annual trainings in 2017. There was an increase across the board in the number of states requiring specific types of training as well, with the largest percentage increases in business administration, disaster and emergency planning, and fire safety.

When asked what sources of training were available in their state, in both 2014 and 2017, 92 percent of states reported that the licensing agency was a source of training. In 2017, however, the number of states reporting that community resources were a training source increased by 11 percent. There was also a slight increase in the number of states that reported using outside consultants or national conferences. The number of states reporting arrangements with colleges dropped by 32 percent while the number of states using NARA online training or on-site training dropped by 12 and 17 percent respectively.

The number of states reporting that general revenue was a funding source for licensing agency hiring remained unchanged between 2014 and 2017. The number of states reporting that the Child Care and Development Fund was a source increased by two, and one additional state reported state block grants as a funding source. The number of states reporting the use of every other funding source decreased between 2014 and 2017.

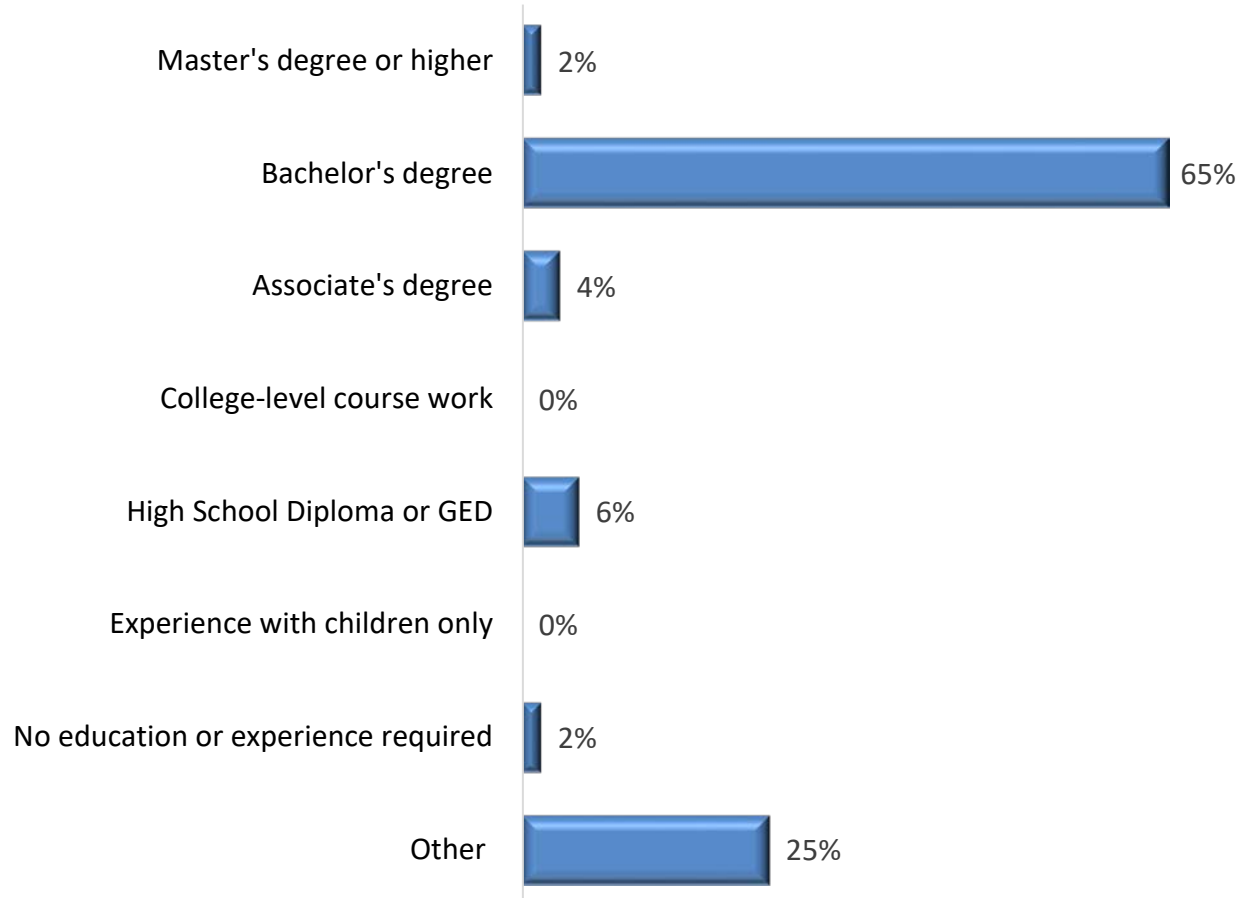
The number of states that have incorporated "interrater reliability" training or evaluation for licensing staff saw a net increase from five in 2014 to eight in 2017 and an additional two states reported that they have developed interpretive guidelines for the licensing regulations. The number of states reporting that the licensing agency has policies for disaster and emergency response for licensing staff to follow increased from 70 to 80 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 2014 responded affirmatively in 2017.

When it comes to communicating with providers, in both 2014 and 2017 between 90 and 95 percent of states reported using a website, emails, and face-to-face meetings. Overall states were more likely to use a variety of methods in 2017. The number of states reporting that they used a provider newsletter grew by 11 states and the number of states using social media increased by eight. Only printed materials were reported to be used less often with five fewer states reporting the use of that method. For making the public aware of the role of licensing every state reported using a website. States also reported using a more varied approach in communicating with the public in 2017 over 2014. The number of states using the various communication methods described in the survey increased by between five and eight states for almost every type. The only exception was printed materials which only increased by one state. As above, these changes represent net changes as states that responded one way in 2014 may have responded differently in 2017.

Education Requirements

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

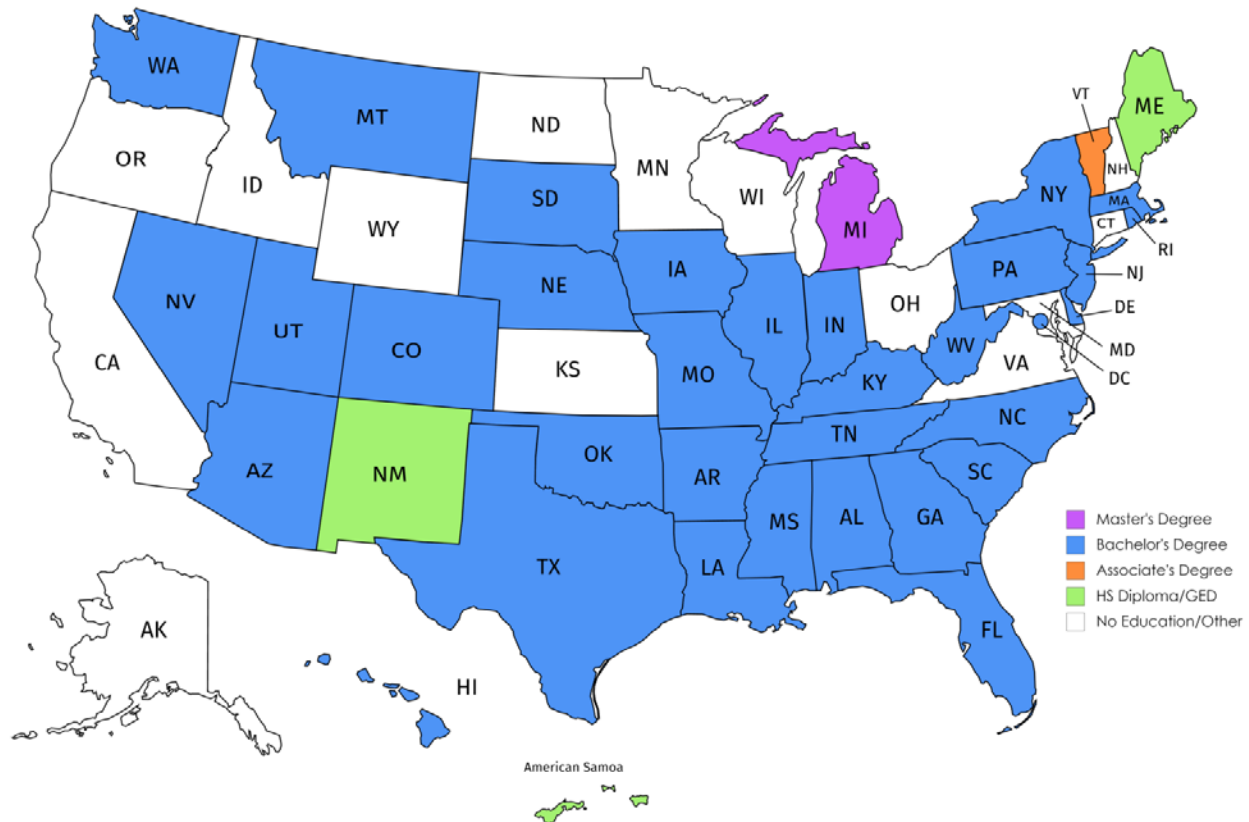
Analysis: 63% of all states reported having a bachelor's degree as the minimum entry-level educational qualifications for child care licensing line staff. 25% of states reported "Other" which usually meant experience and education equivalent to a bachelor's degree, or training and/or experience specific 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	34	2	0	3	0	1	13
AK								•
AL		•						
AR		•						
AS					•			
AZ		•						
CA								•
CO		•						
CT		•						
DC		•						
DE		•						
FL		•						
GA		•						
HI		•						
IA		•						

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
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								•
VT			•					
WA		•						
WI								•
WV		•						
WY								•

Map 9 Child Care Licensing Staff Education Requirements



Question: For the qualifications identified above, must the degree or courses include early childhood education, children development, or a field related to the care and education of children?

Analysis: 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. 35% of states reported that licensing line staff had to have experience working in a setting with children. All but one state require staff to complete training about the licensing system and providers requirements when starting employment.

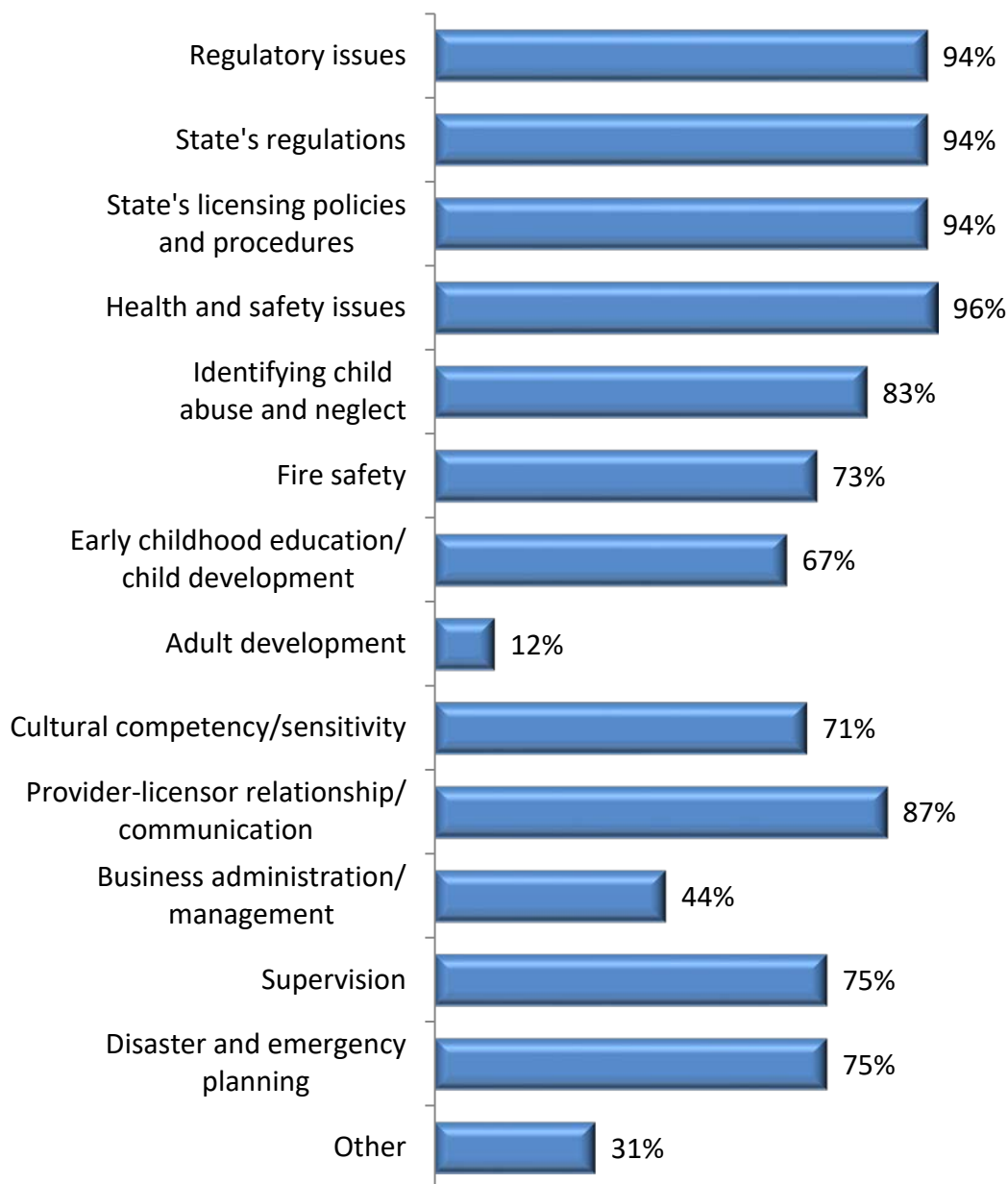
State	Degree or courses must be in early childhood education, child development, or a field related to the care and education of children	Licensing line staff required to have experience working in a setting with children	Child care licensing line staff required to complete training about the licensing system and providers requirements when starting employment
Total	26	18	51
AK			•
AL	•	•	•
AR	•		•
AS			•
AZ	•	•	•
CA			•
CO	•	•	•
CT	•	•	•
DC		•	•
DE			•
FL			•
GA	•	•	•
HI			•

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 about the licensing system and providers requirements when starting employment
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	•	•	•
VT	•		•
WA	•		•
WI			•
WV			•
WY		•	•

Training and Experience

Question: What topics are covered in the onboarding training?

Analysis: 94% of all states report that licensing counselors receive onboarding training in health and safety, regulatory issues, state regulations, and licensing policies and procedures. Approximately 67% of states provide training in early childhood education/child development. Approximately 44% offer training in business administration/management. The types of training offered across all states was quite varied and included things like Travel, Ethics, HIPPA, computers, timekeeping and other state operations, food safety, complaint investigations, illegal operations, administrative actions, professionalism, office skills, database, survey process, proper documentation on tablet, customer service, enforcement procedures, investigatory tools, writing skills, participation in administrative hearings, special needs, criminal history analysis, coordinating with other agencies, interviewing techniques, the 11 mandatory pre-service orientation topic under CCDF, Sun safety, emergency evacuation, tummy time issues, forensic interviewing, report writing, medication, nutrition, incidental medical services, water safety, worker safety, security awareness and other HR topics.



Onboarding Training Topics

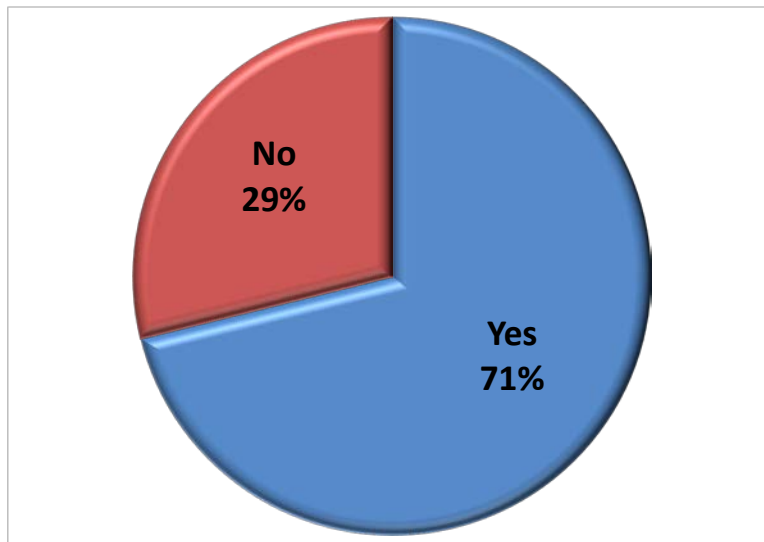
State	Regulatory issues	State's regulation	State's licensing policies and procedures	Health and safety issues	Identifying child abuse and neglect	Fire safety	Early childhood education/child development
Total	49	49	49	50	43	38	35
AK	•	•	•	•	•	•	•
AL	•	•	•	•			
AR	•	•	•	•	•	•	•
AS						•	•
AZ	•	•	•	•	•	•	•
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	•	•	•	•	•	•	•
NJ	•	•	•	•	•	•	
NM	•	•	•	•	•	•	•
NV							
NY	•	•	•	•	•	•	•
OH	•	•	•	•	•	•	•
OK	•	•	•	•	•	•	
OR	•	•	•	•	•	•	•
PA	•	•	•	•	•		•
RI	•	•	•	•	•		
SC	•	•	•	•	•		
SD	•	•	•	•	•	•	•
TN	•	•	•	•	•	•	•
TX	•	•	•	•	•	•	•
UT	•	•	•	•	•	•	
VA	•	•	•	•	•	•	•
VT	•	•	•	•	•	•	•
WA	•	•	•	•	•	•	•
WI	•	•	•	•		•	•
WV	•	•	•	•			
WY	•	•	•	•	•	•	•

Onboarding Training Topics - Continuation

State	Adult development	Cultural competency / sensitivity	Provider-licensor relationship / communication	Business administration / management	Supervision	Disaster and emergency planning	Other
Total	6	37	45	23	39	39	16
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		•	•		•	•	
NJ		•	•	•	•	•	
NM		•	•			•	•
NV							
NY		•	•	•	•	•	•
OH		•	•		•	•	
OK			•		•	•	
OR		•	•		•	•	
PA			•				•
RI		•	•	•		•	
SC			•		•	•	
SD		•	•		•	•	
TN		•	•	•	•	•	
TX		•	•		•	•	•
UT		•	•		•	•	
VA		•	•	•	•	•	
VT		•	•		•	•	
WA	•	•	•	•	•	•	•
WI			•				
WV							
WY	•	•	•	•	•	•	

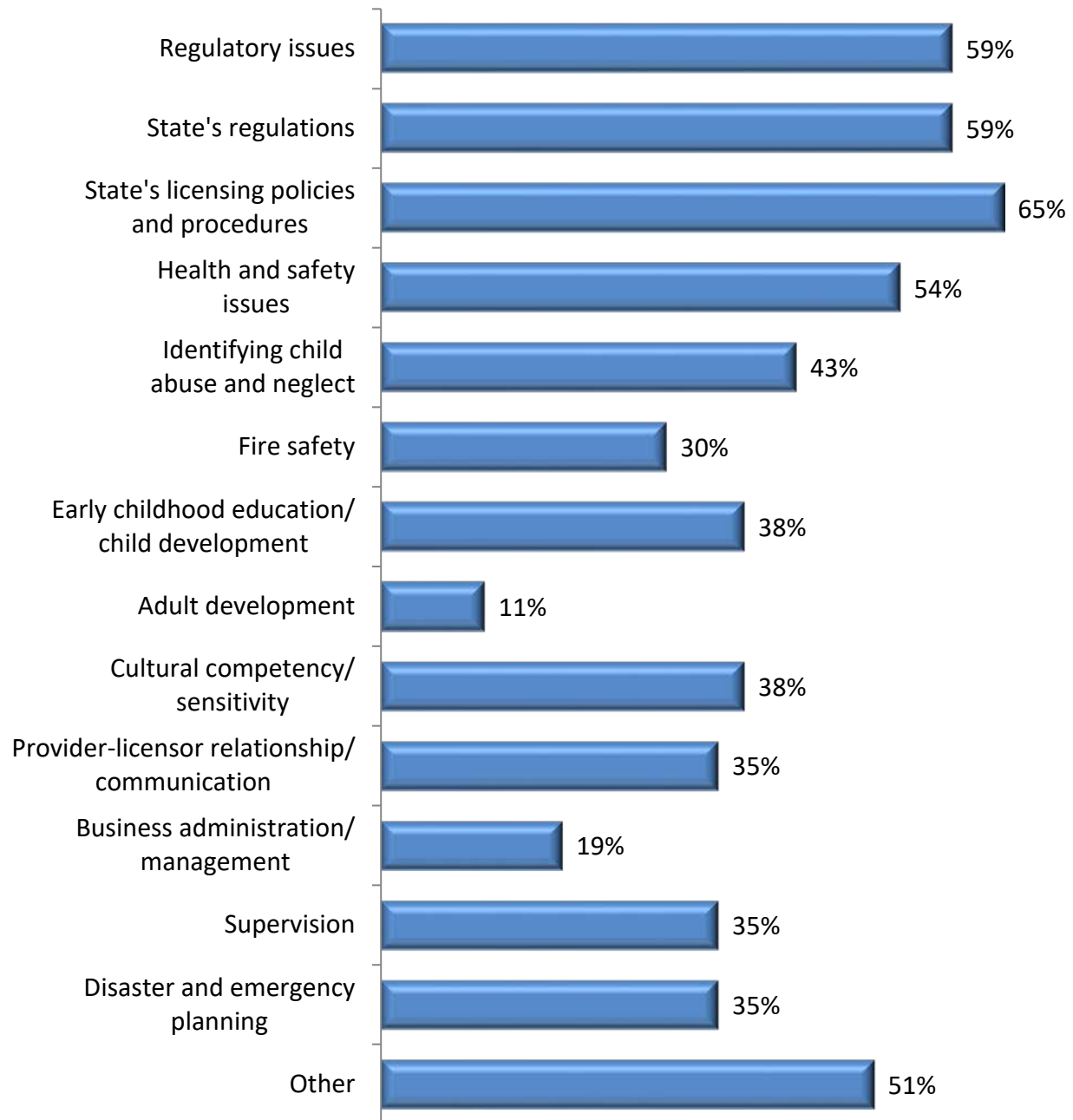
Question: Are child care licensing line staff required to complete additional training each year?

Analysis: A total of 37 states reported that they required annual training for licensing counselors in 2017.



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

Analysis: For the 37 states that reported requiring annual training as a requirement for licensing staff, about two-thirds reported that the training covers licensing policies and procedures. In 59% of those states, annual training covers regulations and regulatory issues. There is less emphasis in annual training on health and safety than in onboarding training with just over half of states including the topic in annual training. Like onboarding training, though, annual training included a wide variety of topics across all states. Some of the “Other” types of training included report writing, the application process, coaching and skill transfer, safe sleep, ethics and security awareness, travel, changes to federal or state law or rule, data practices, defensive driving, food safety, playground safety, investigation procedures, documentation, customer service, immunization, children with special needs, equal opportunity employment, IT security, sexual harassment, working with difficult people, curriculum and assessment, and as determined by the state based on input from licensors and areas of concern, as well as on the individual need of the staff member.



Annual Training Topics

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	22	22	24	20	16	11	14
AK							
AL	•		•	•			•
AR							
AS							
AZ	•	•	•	•	•	•	•
CA	•	•	•	•	•	•	•
CO	•	•	•				
CT							
DC	•	•	•	•	•	•	•
DE	•	•	•	•	•		•

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
FL	•	•	•	•	•	•	
GA	•	•	•	•			•
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							
VT	•	•	•	•	•	•	•
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	4	14	13	7	13	13	19
AK							
AL					•		
AR							•
AS							
AZ	•	•	•	•	•	•	
CA		•	•	•	•	•	•
CO							

State	Adult development	Cultural competency / sensitivity	Provider-licensor relationship / communication	Business administration / management	Supervision	Disaster and emergency planning	Other
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							
NJ		•			•	•	
NM							
NV							
NY							
OH							•
OK							
OR							
PA							•
RI		•	•	•		•	•
SC		•	•		•	•	
SD							
TN							
TX							
UT		•	•		•	•	
VA							•
VT		•	•		•	•	
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Question: What sources of training are available in your state for child care licensing staff?

Analysis: In 92% of all states, the state licensing agency is a source of training for licensing staff. Approximately 83% of states reported state and local conferences as training sources while 56% of states reported national conferences as a source.



Sources for Licensing Staff Training

State	State licensing agency	Community-based organizations	Local/state conferences	National conferences	Outside consultants
Total	48	42	43	29	31
AK	•	•	•		
AL	•	•	•	•	
AR	•	•	•	•	•
AS	•	•	•	•	•
AZ	•	•	•	•	•
CA	•	•	•		•
CO	•		•	•	•
CT	•			•	
DC	•		•	•	•
DE	•	•	•		•

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Sources for Licensing Staff Training – Continuation

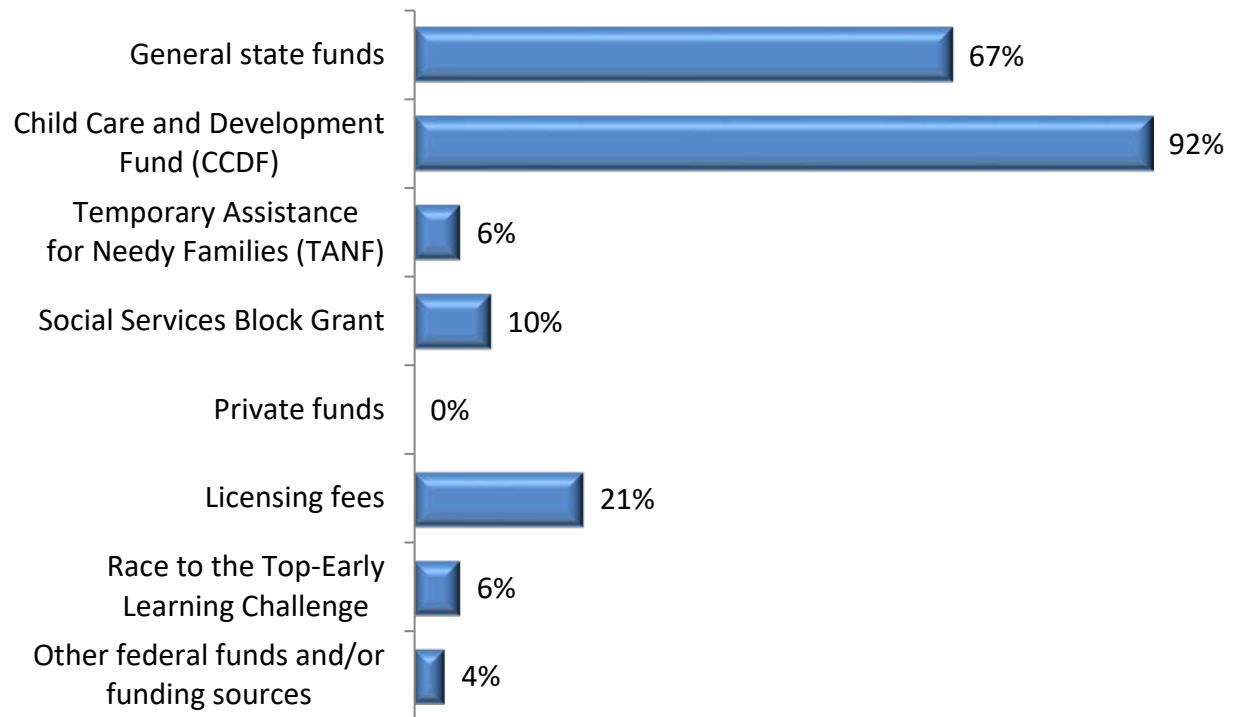
State	Arrangement with college/university	NARA on-line training	NARA on-site training	NARA Credential	Other
Total	13	22	11	12	8
AK	
AL	
AR	.				
AS			.		
AZ	.				
CA	.	.			
CO		.		.	
CT					.
DC		.	.	.	
DE					
FL					

State	Arrangement with college/university	NARA on-line training	NARA on-site training	NARA Credential	Other
GA		•			•
HI					
IA					
ID					
IL					
IN		•	•		•
KS		•		•	
KY	•	•	•	•	
LA		•		•	
MA					
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ME			•	•	
MI			•		
MN					
MO		•		•	
MS	•	•		•	•
MT	•		•		
NC	•	•			
ND	•				
NE					
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NJ	•				
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NV					
NY	•				•
OH					
OK					
OR		•			
PA					
RI		•			
SC			•		•
SD		•		•	•
TN					
TX	•	•	•		
UT		•		•	
VA	•	•	•		
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 92% of all states reported that the CCDF was a source of funding for hiring and support of licensing staff. Two-thirds of states reported receiving funding from their state's General Revenue funds. No 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	35	48	3	5	0	11	3	2
AK		•						
AL		•						
AR	•	•						
AS		•						
AZ	•	•				•		
CA	•	•				•		
CO	•	•				•		
CT	•			•				
DC	•	•				•		
DE	•	•	•	•				
FL	•	•		•				
GA	•	•						
HI	•	•						
IA	•							
ID		•						
IL	•	•						
IN	•	•						
KS	•	•						

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
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	•	•						
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 for the licensing regulations?

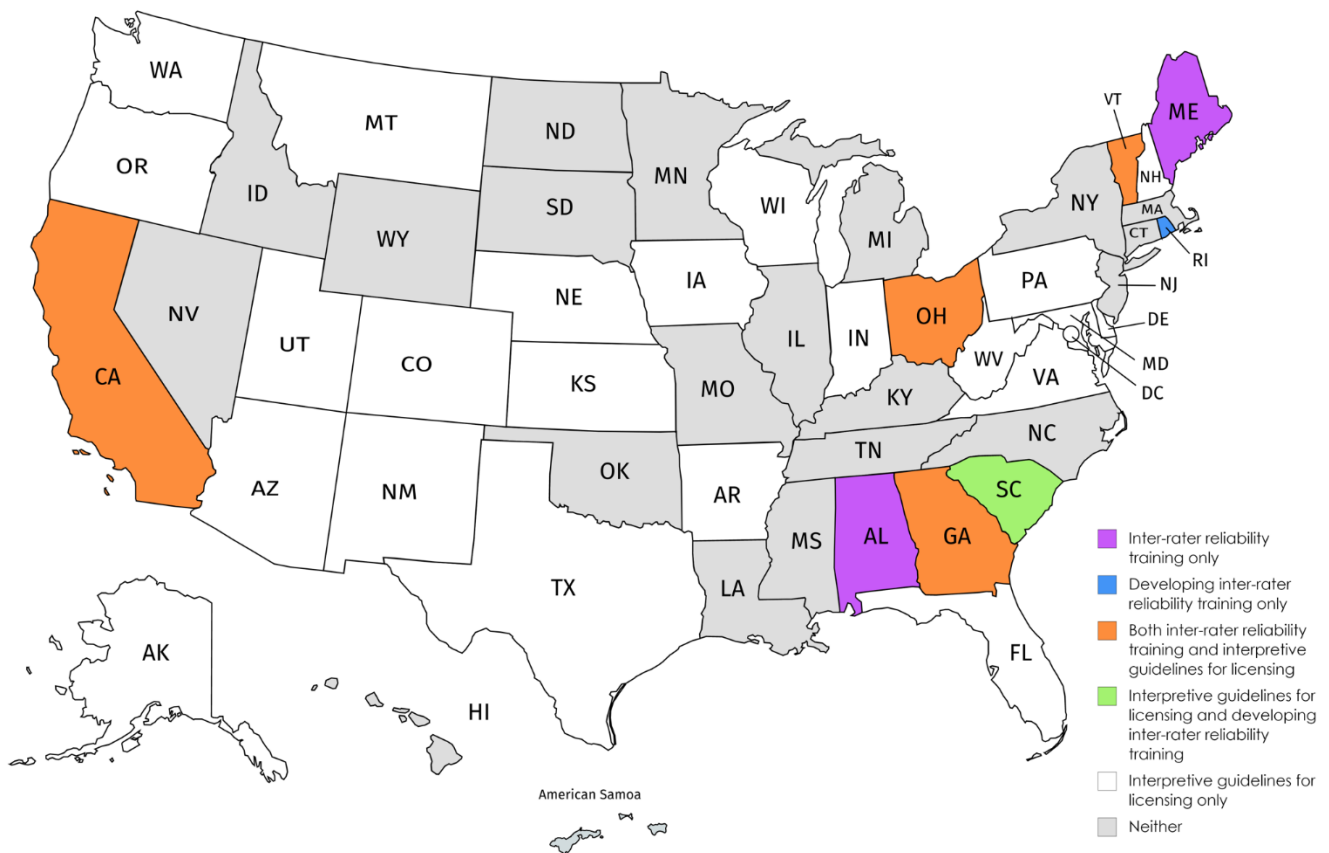
Analysis: Six states have incorporated “interrater reliability” training or evaluation for licensing staff, while two more say they are in the process of developing it. Slightly fewer than 54% have developed interpretive guidelines for the licensing regulations.

State	State has incorporated “interrater reliability” training or evaluation for licensing staff	State has developed interpretive guidelines for licensing regulations
Total	8	28
AK		•
AL	•	
AR		•
AS		
AZ		•
CA	•	•
CO		•
CT		
DC		•
DE		•
FL		•
GA	•	•
HI		
IA		•
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NE		•
NH		•
NJ		
NM		•
NV		
NY		
OH	•	•
OK		
OR		•
PA		•
RI	*	
SC	*	•
SD		
TN		

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

*While these states answered that they had incorporated interrater reliability training, as of 2017 they were still in the process of developing the training.

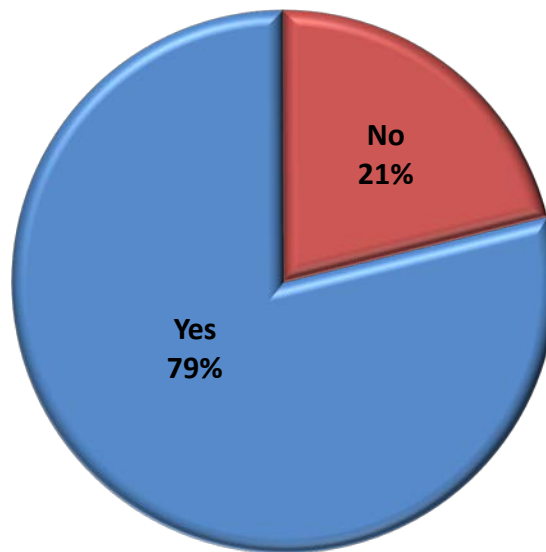
Map 10 Interrater Reliability and Interpretive Guidelines



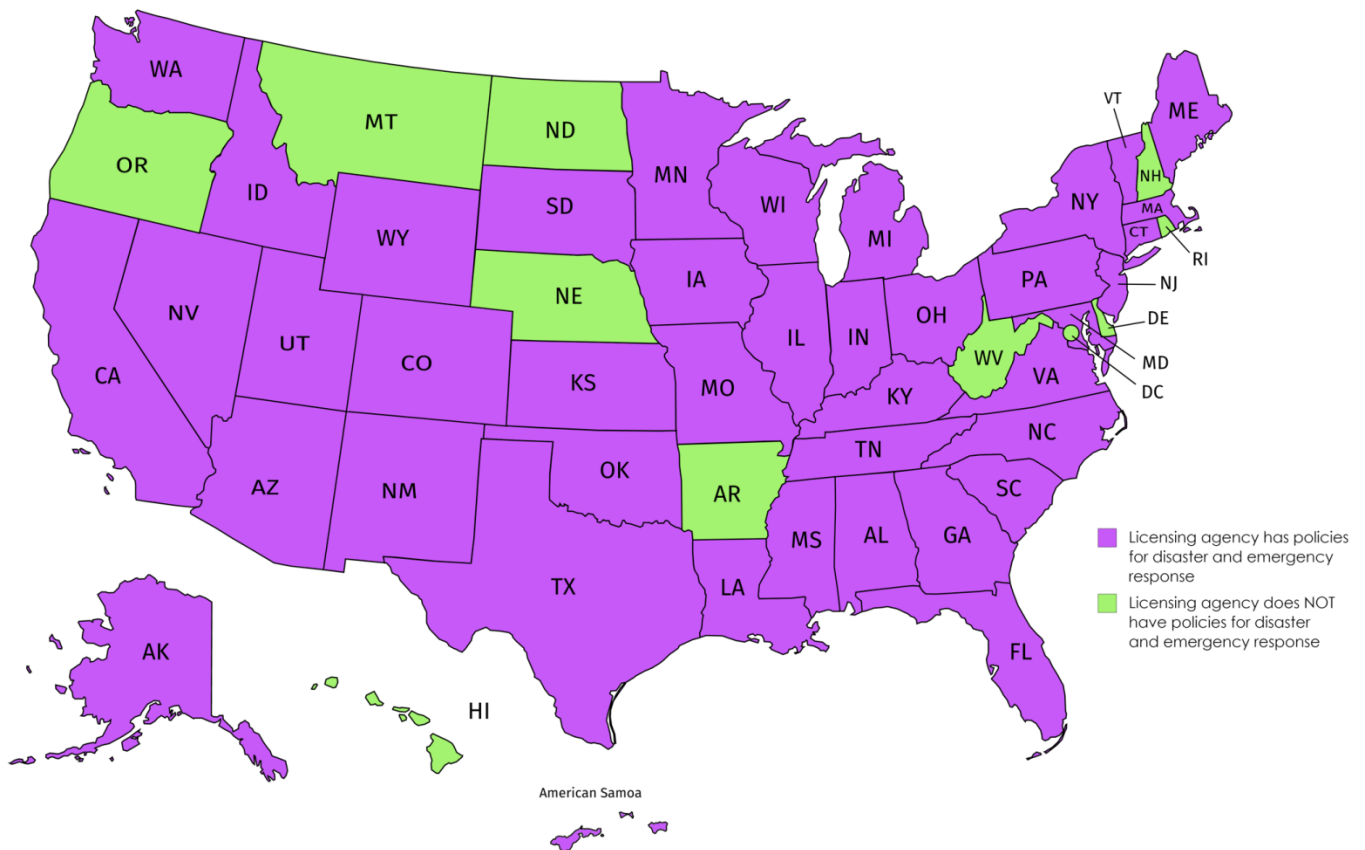
Disaster and Emergency Response Policies

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

Analysis: Nearly 80% of states have disaster and emergency response policies.



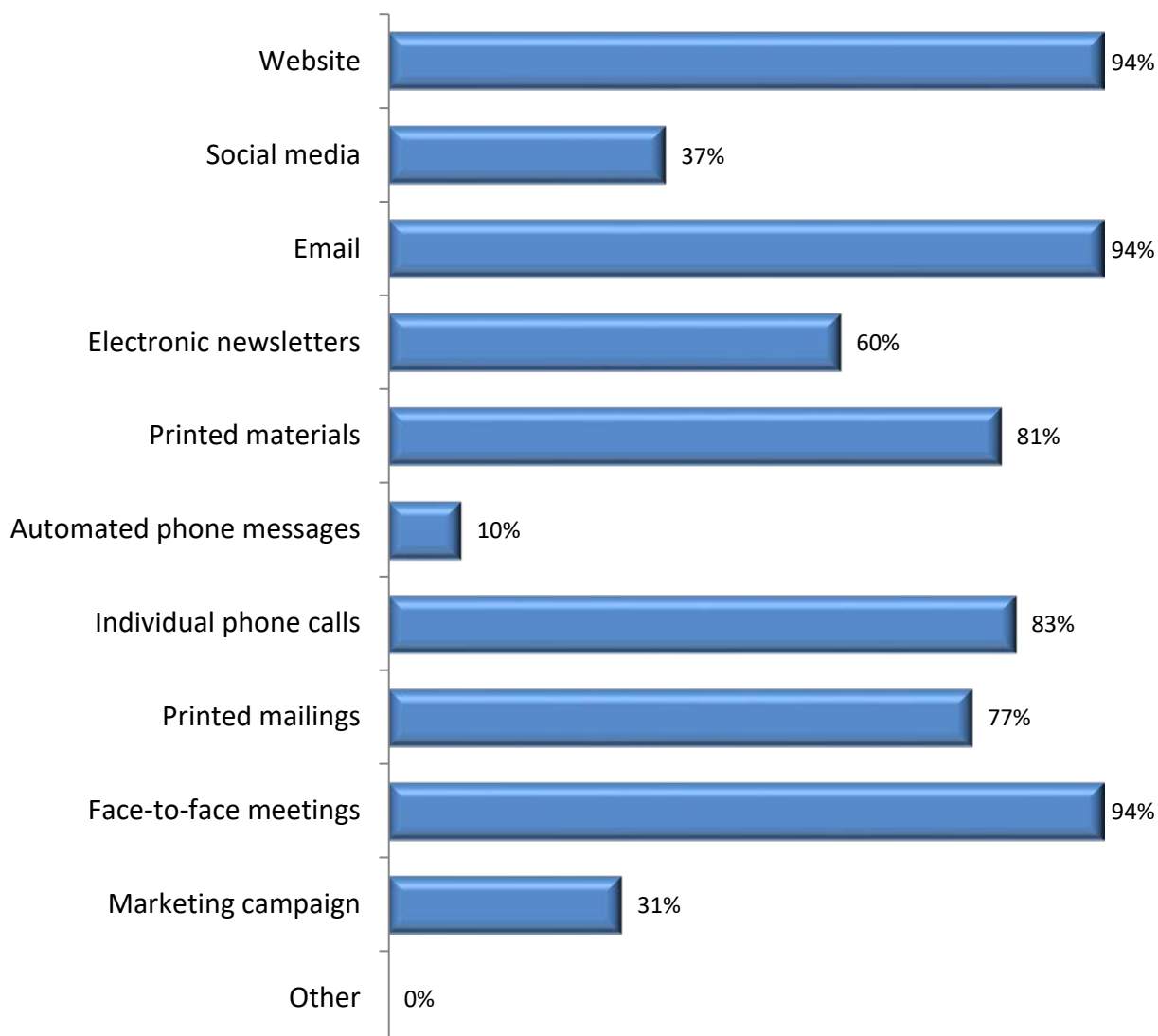
Map 11 Disaster and Emergency Response Policies



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 reportedly using websites, email, printed material, individual phone calls, printed mailings, and face-to-face meetings. Electronic newsletters are used in about 60% of states. Marketing campaigns and social media are used in about one-third of all states while just under 10% of states reported using automated phone messages.

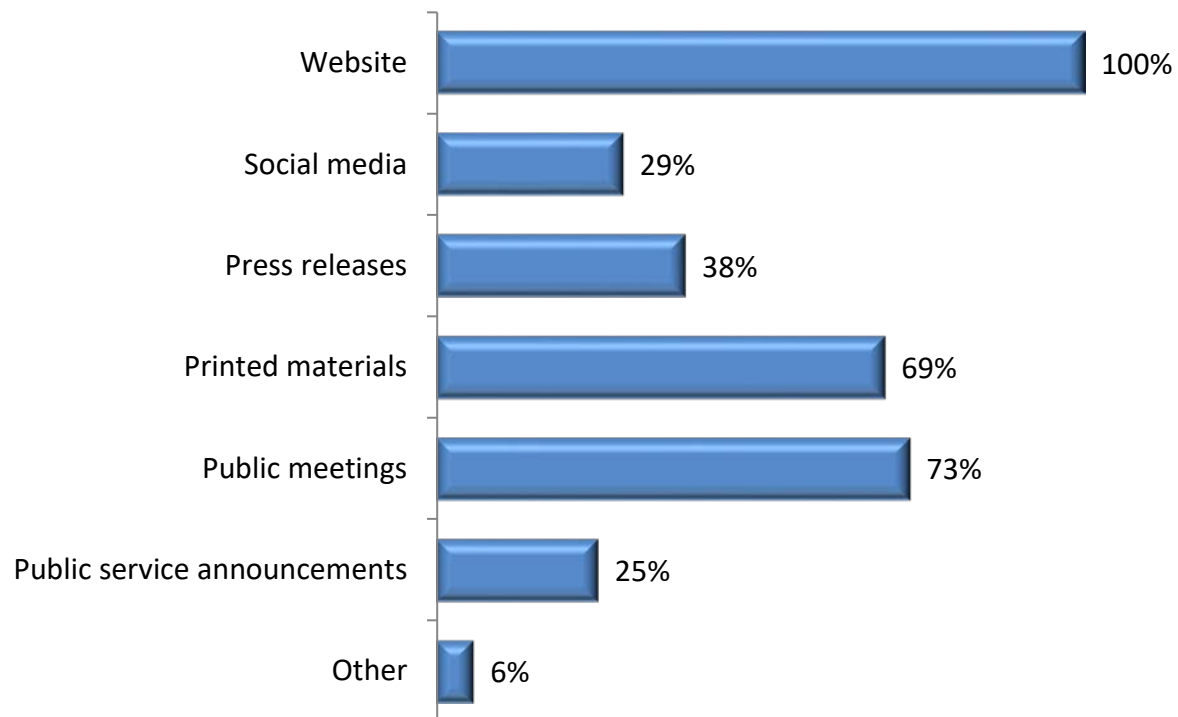


State	Website	Social media	Email	Electronic newsletters	Printed materials	Automated phone messages	Individual phone calls	Printed mailings	Face-to-face meetings	Marketing campaign	Other
Total	49	19	49	31	42	5	43	40	49	16	0
AK			•		•		•	•	•		
AL	•						•	•	•		
AR	•	•	•		•		•	•	•	•	
AS	•	•	•		•		•	•	•	•	
AZ	•	•	•	•	•		•	•	•		
CA	•		•	•	•		•	•	•	•	
CO	•	•	•	•	•		•	•	•	•	

State	Website	Social media	Email	Electronic newsletters	Printed materials	Automated phone messages	Individual phone calls	Printed mailings	Face-to-face meetings	Marketing campaign	Other
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	•		•	•	•		•	•	•		
NJ	•		•		•		•				
NM	•		•				•	•	•		
NV	•	•	•	•	•	•		•	•	•	
NY	•	•	•	•	•		•	•	•	•	
OH	•		•	•	•	•	•	•	•	•	
OK	•			•	•			•	•		
OR	•	•	•	•	•		•	•	•	•	
PA	•		•	•					•		
RI	•		•					•	•		
SC	•		•	•	•		•	•	•		
SD	•		•	•	•		•	•	•		
TN	•	•	•	•	•		•	•	•	•	
TX	•	•	•		•		•		•	•	
UT	•		•	•			•	•	•		
VA	•		•		•		•		•		
VT	•		•	•	•		•	•	•		
WA	•	•	•	•	•		•		•		
WI	•		•	•	•		•	•	•		
WV	•		•		•		•	•			
WY	•	•	•	•	•		•	•	•		

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

Analysis: 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	15	20	36	38	13	3
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	•		•				

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

QUALITY IMPROVEMENT INITIATIVES

Summary:

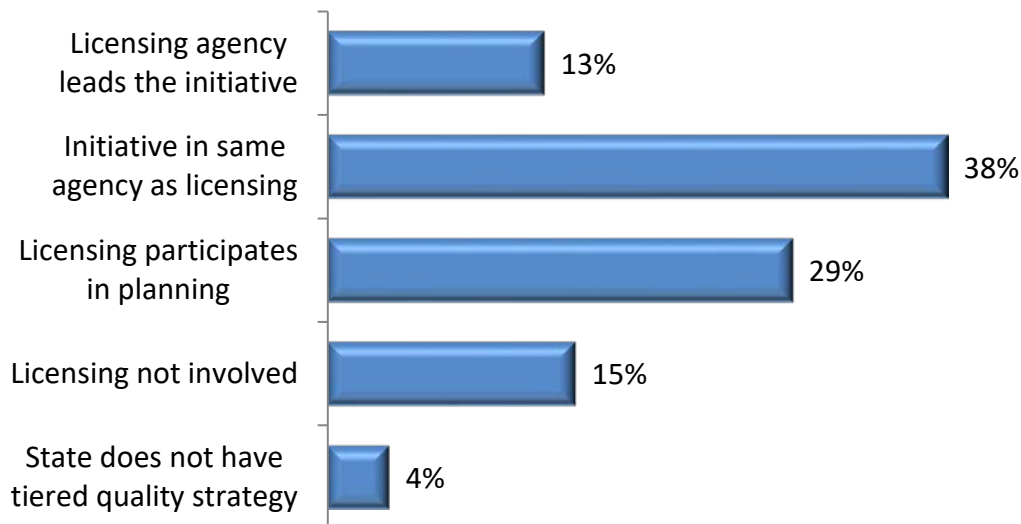
Fewer states reported quality improvement initiatives overall in 2017 than in 2014. One additional state reported a professional development system initiative in 2017, though there was an increase of three states who reported leading the professional development initiative. One less state reported involvement in a tiered quality strategy initiative in 2017 though the number of states that reported a tiered quality strategy initiative within their agency increased by four. One additional state reported participating in planning for an environmental rating scale initiative, but there were three fewer states that reported leading an environmental rating scale initiative.

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	7	20	15	8	2
Accreditation facilitation project	1	7	7	15	16
Professional development system	8	14	23	6	1
Assessing quality with an environment rating scale	4	14	10	12	11

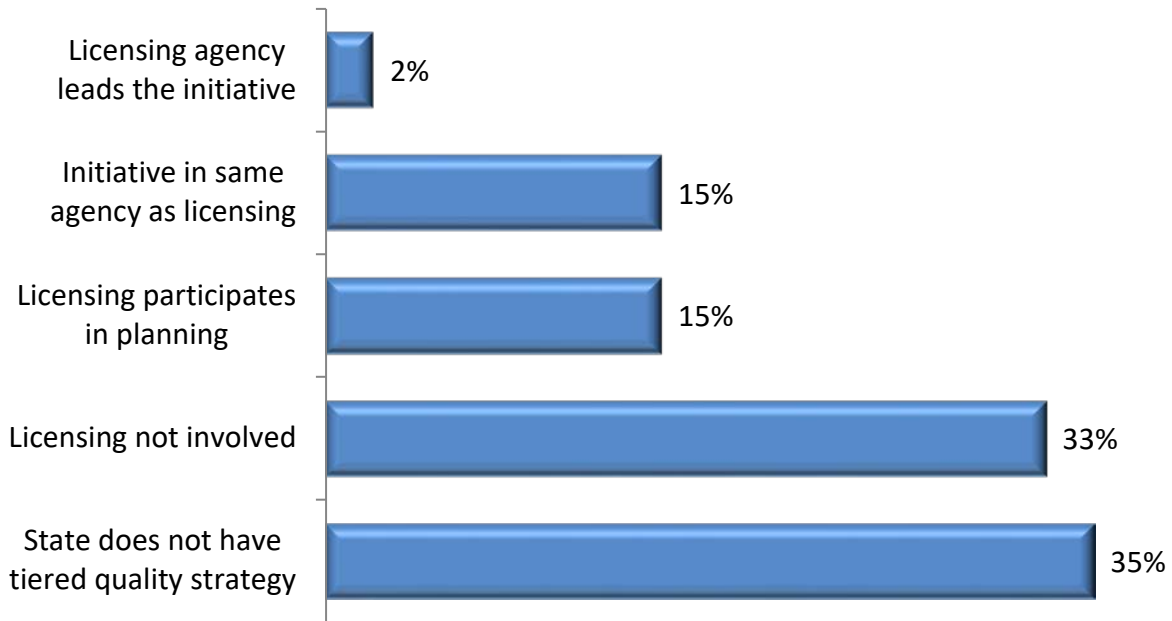
Initiative: Tiered Quality Strategy



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	7	20	15	8	2
AK			•		
AL		•			
AR			•		
AS	•				
AZ			•		
CA			•		
CO	•				
CT		•			
DC		•			

State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
DE			•		
FL				•	
GA		•			
HI		•			
IA		•			
ID				•	
IL			•		
IN		•			
KS					•
KY				•	
LA		•			
MA		•			
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ME			•		
MI				•	
MN		•			
MO				•	
MS				•	
MT				•	
NC	•				
ND	•				
NE			•		
NH			•		
NJ				•	
NM		•			
NV			•		
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OH		•			
OK	•				
OR		•			
PA		•			
RI			•		
SC			•		
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UT			•		
VA		•			
VT		•			
WA	•				
WI		•			
WV		•			
WY					•

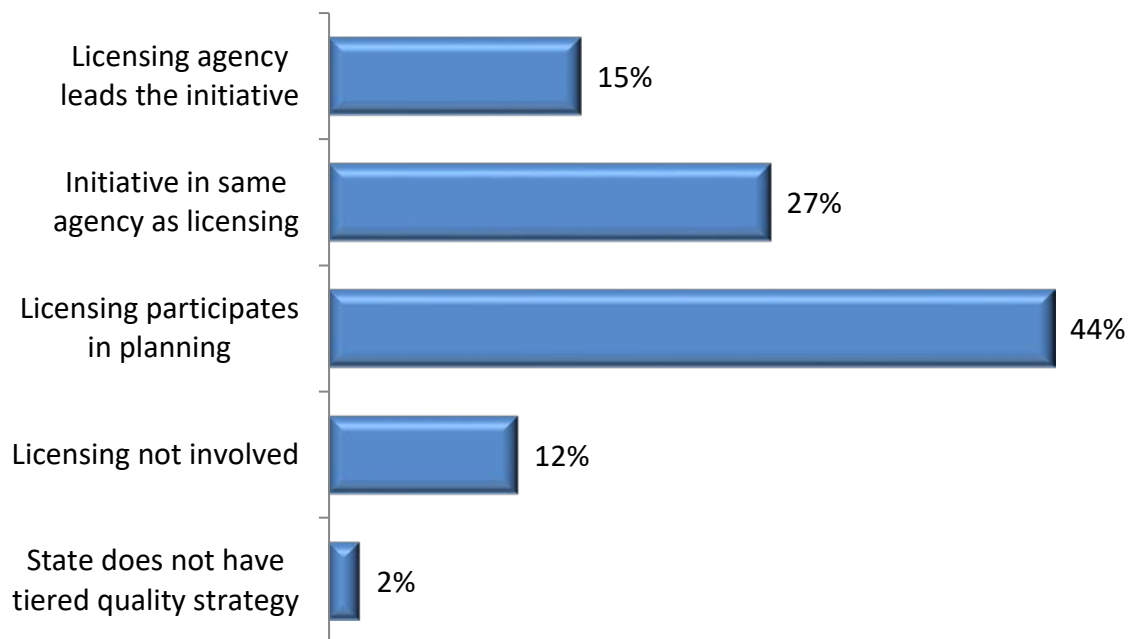
Initiative: Accreditation Facilitation Project



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	1	7	7	15	16
AK			•		
AL					
AR			•		
AS					•
AZ			•		
CA			•		
CO					•
CT		•			
DC		•			
DE					•
FL				•	
GA					•
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IA					•
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IL			•		
IN		•			
KS					•
KY				•	
LA		•			
MA					•
MD		•			
ME				•	
MI				•	
MN				•	
MO				•	
MS					•
MT				•	
NC					•
ND	•				
NE				•	

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

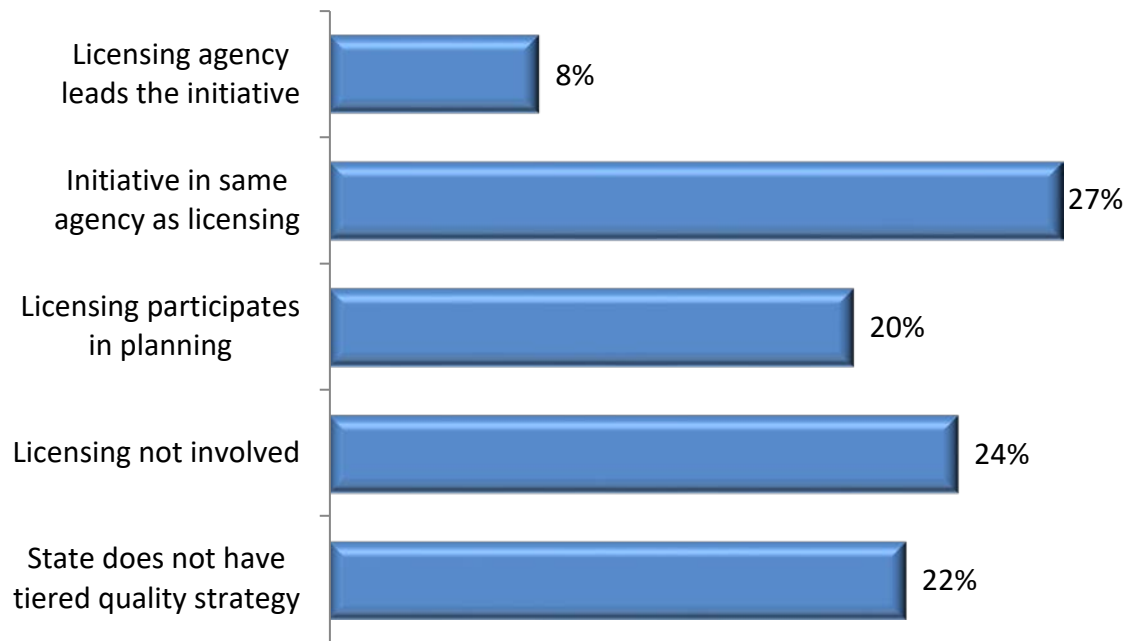
Initiative: Professional Development System



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	8	14	23	6	1
AK			•		
AL			•		
AR		•			
AS	•				
AZ			•		
CA			•		
CO	•				

State	Licensing agency leads the initiative	Initiative in same agency as licensing	Licensing participates in planning	Licensing not involved	State does not have initiative
CT		•			
DC		•			
DE			•		
FL			•		
GA		•			
HI			•		
IA			•		
ID				•	
IL			•		
IN		•			
KS					•
KY				•	
LA		•			
MA		•			
MD		•			
ME			•		
MI			•		
MN		•			
MO	•				
MS				•	
MT				•	
NC			•		
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NY			•		
OH			•		
OK	•				
OR		•			
PA		•			
RI			•		
SC			•		
SD	•				
TN			•		
TX			•		
UT			•		
VA		•			
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	4	14	10	12	11
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				•	

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

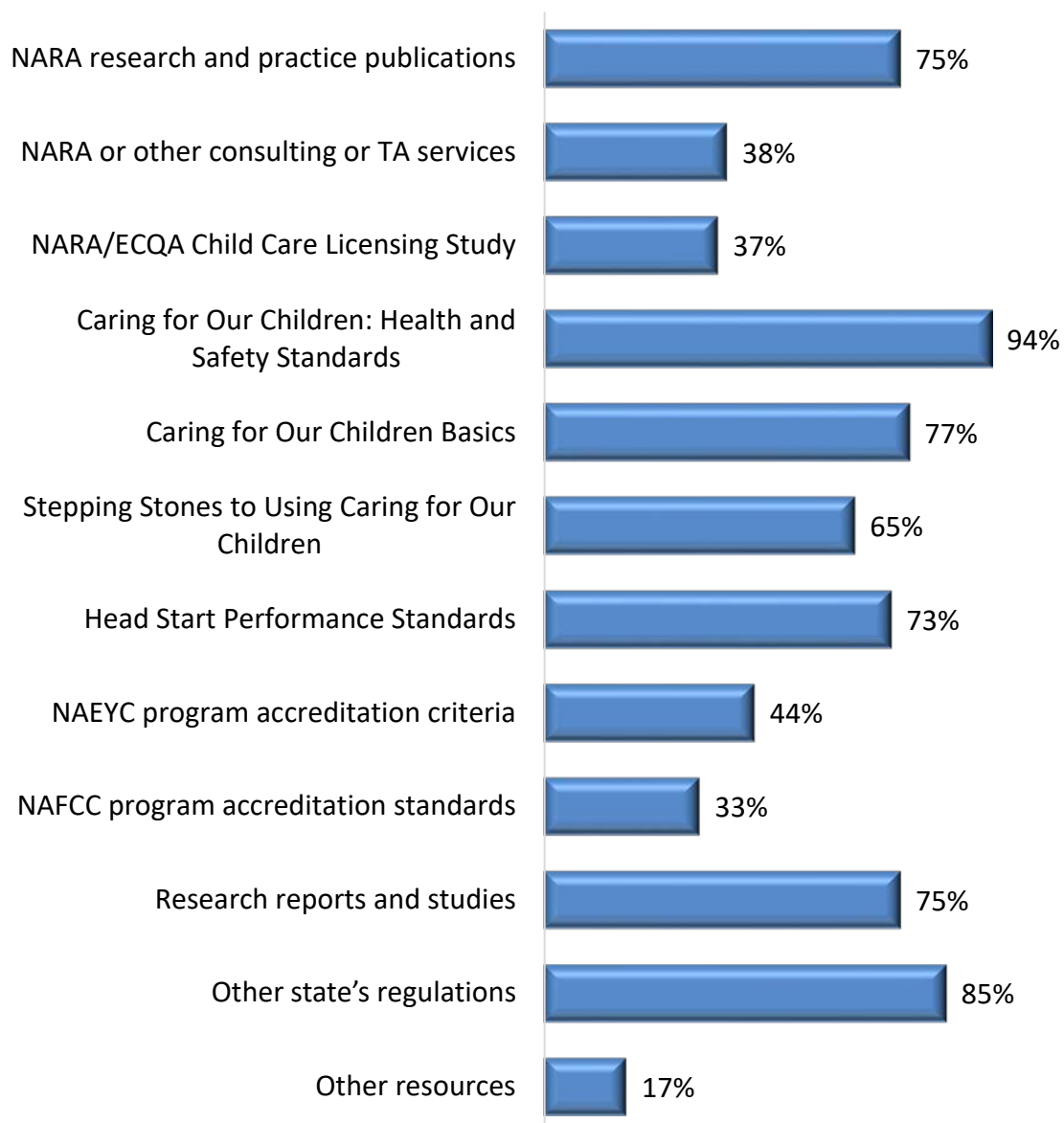
RULE AND REGULATION RESOURCES

Summary:

In both 2014 and 2017 states relied primarily on “*Caring for Our Children: Health and Safety Standards*” for formulating rules and regulations for licensing child care facilities. States were much more likely to use Head Start standards and NARA research and practice publications in 2017 than in 2014. States were less likely to rely on NAEYC or NAFCC accreditation criteria. The number of states using the NARA/ECQA/NCCCCQI child care licensing study dropped by more than 31 percent.

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

Analysis: More than 94% of states reported using *Caring for Our Children: Health and Safety Standards* when formulating rules and regulations. Almost 85% of states using other state’s regulations and 75% use NARA research and practice publications and other research reports and studies. Just over 44% of states use NAEYC accreditation criteria.



Resources for Formulating Rules and Regulations

State	NARA research and practice publications	NARA or other consulting or TA services	NARA/ECQA Child Care Licensing Study	Caring for Our Children: Health and Safety Standards	Caring for Our Children Basics	Stepping Stones to Using Caring for Our Children
Total	39	20	19	49	40	34
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	•	•	•	•		•
NJ	•		•	•	•	
NM	•			•	•	•
NV	•			•		
NY	•			•	•	•
OH	•	•	•	•	•	•
OK	•		•	•	•	•
OR	•			•	•	•
PA	•	•		•		•
RI	•		•	•	•	
SC				•		•
SD	•			•	•	
TN				•	•	•
TX				•	•	•
UT	•		•	•	•	•
VA				•	•	
VT	•	•	•	•	•	•
WA	•	•		•	•	•
WI				•	•	•
WV	•			•	•	•
WY				•	•	

Resources for Formulating Rules and Regulations – Continuation

State	Head Start Performance Standards	NAEYC program accreditation criteria	NAFCC program accreditation standards	Research reports and studies	Other state's regulations	Other resources
Total	38	23	17	39	44	9
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	•			•	•	
NJ	•	•	•	•	•	•
NM					•	•
NV	•	•			•	
NY	•			•	•	•
OH	•	•	•	•	•	
OK	•				•	
OR	•			•	•	
PA	•				•	
RI				•	•	
SC	•			•	•	•
SD		•		•	•	
TN	•			•	•	
TX				•	•	
UT		•		•		
VA	•	•	•	•	•	
VT	•			•		
WA				•		
WI					•	
WV	•	•	•	•	•	
WY	•			•	•	

FIRE SAFETY, ENVIRONMENTAL HEALTH, AND BUILDING CODE INSPECTIONS

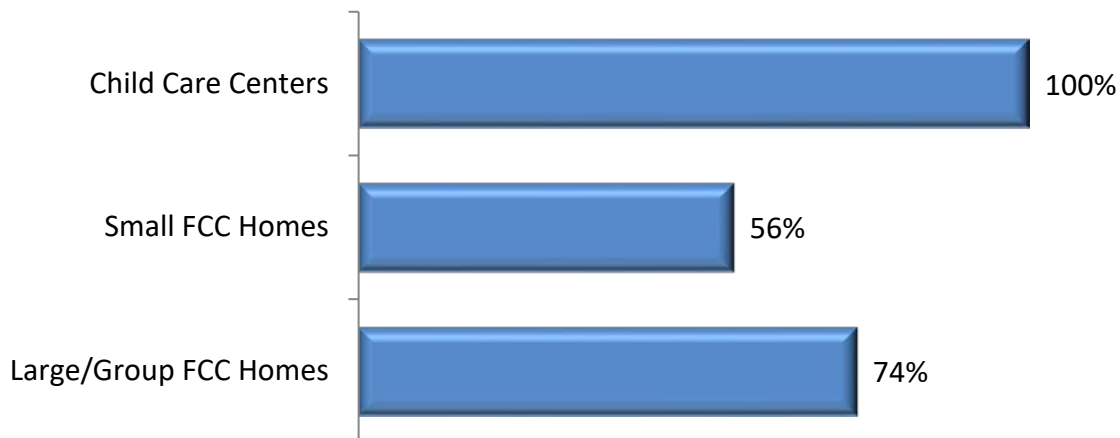
Summary:

Every state required a fire inspection for child care centers in both 2017 and 2014. For the states reporting that they regulate small FCC and large/group FCC homes, the percentage requiring fire inspections decreased by 1% and 5% respectively between 2014 and 2017. The number of states reporting that they required health inspections dropped by 7% between 2014 and 2017 and there was an overall increase of 5% in the number of states reporting that they did not require a health inspection. Building code inspections did not change for centers with 75% of states reporting that building code inspections were required. For states that regulate small FCC homes, there was an increase of 9% in the number of states requiring a building code inspection. There was one less state in 2017 than 2014 that regulates large/group FCC homes that required building code inspections. Overall there was a 5% decrease in the number of states saying they did not require any building code inspections.

Fire Safety

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

Analysis: Every state requires fire safety inspections for child care centers. Just over half of all states require fire safety inspections for small FCC homes and almost three-fourths of states require them for large/group FCC homes.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total	52	28	29
AK	•	•	•
AL	•	•	•
AR	•	•	
AS	•	•	
AZ	•		
CA	•		•
CO	•		
CT	•		•
DC	•	•	•
DE	•	•	•
FL	•		•
GA	•	•	
HI	•		•
IA	•		
ID	•		•

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
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	•		
VT	•		
WA	•		
WI	•		
WV	•	•	•
WY	•	•	•

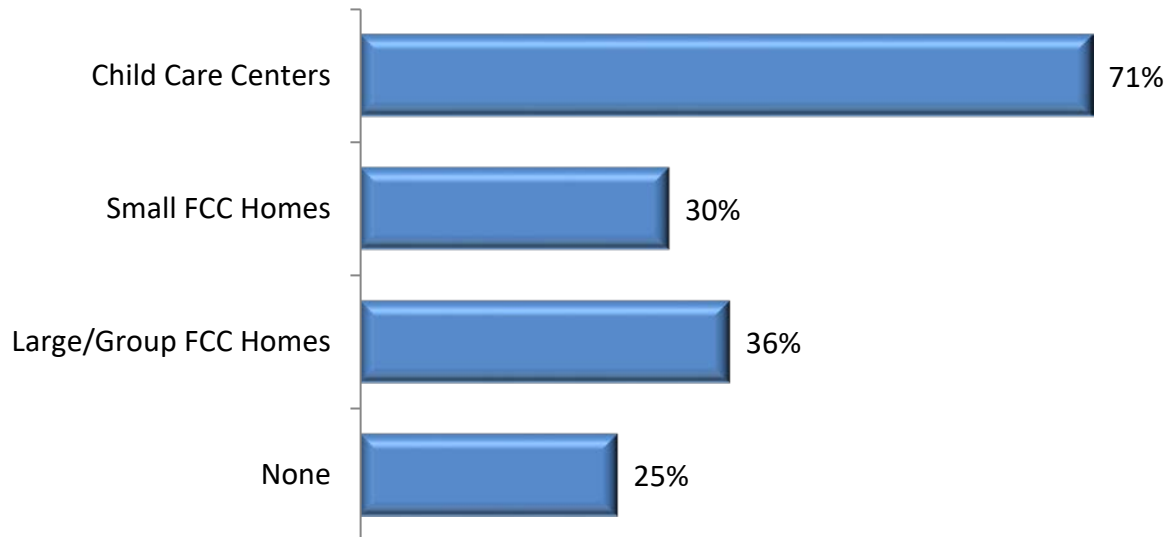
Question: What is the frequency of fire safety inspections?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Prior to licensure	45	23	26
Once a year	29	13	16
Once every two years	9	3	3
Once every three years	2	1	2

Environmental Health

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

Analysis: Environmental health inspections are required in about 71% of states for child care centers while these types of inspections are required in less than 30% of states for FCC homes of any size. In 25% of 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				
	52	50	39	N/A
Total	37	15	14	13
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	•	•	•	

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

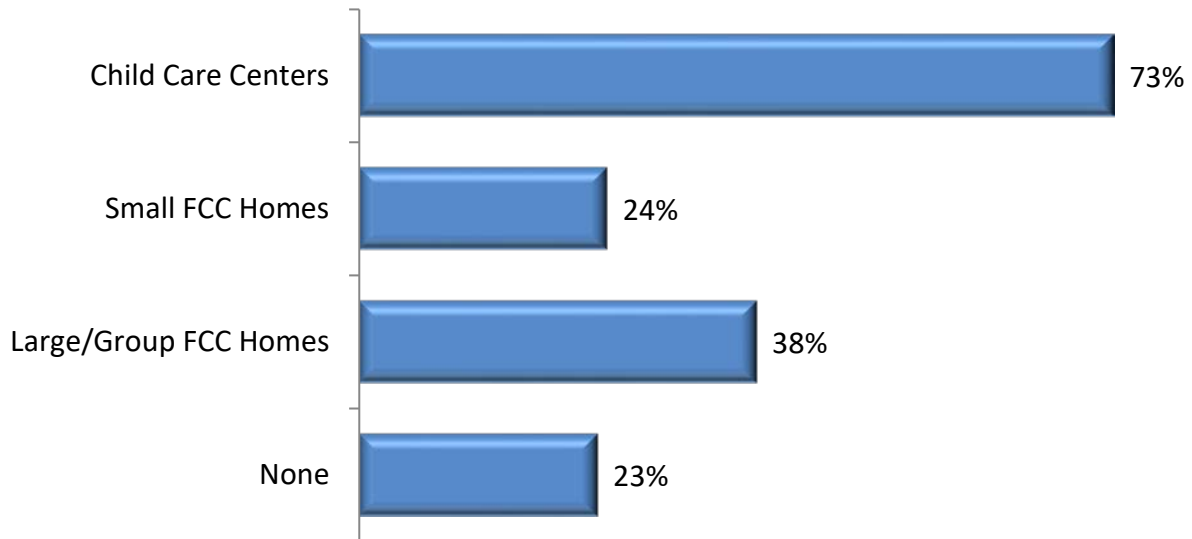
Question: What is the frequency of environmental health inspections?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Prior to licensure	35	14	13
Once a year	21	9	8
Once every two years	8	3	4
Once every three years	3	2	1

Building Code Inspections

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

Analysis: 73% of states require building codes inspections for child care centers. 38% of states require them for large/group FCC homes and 24% of states require them for small FCC homes. 23% of 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				
	52	50	39	N/A
Total	38	12	15	12
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	•		•	

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes	None
MS				
MT	•			
NC	•			
ND	•			
NE				•
NH				•
NJ	•			
NM	•			
NV	•	•	•	
NY	•			
OH	•		•	
OK				•
OR				•
PA	•	•	•	
RI	•			
SC	•			
SD	•			
TN	•	•	•	
TX				•
UT	•	•	•	
VA				
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	52	50	39
Prior to licensure	35	12	15
Once a year	3	1	2
Once every two years	3	0	2
Once every three years	1	0	0

BACKGROUND CHECKS

Summary:

Every state required background checks for centers in both 2014 and 2017 with all states including criminal history checks in 2017, up from 94 percent in 2014. The number of states that regulate small FCC homes requiring those same checks was approximately 88% in 2017 (down from 100% of states in 2014) and 97% for states that regulate large/group FCC homes in both years. The number of states requiring either state or federal fingerprint checks was up for all facility types. States requiring Child Abuse & Neglect (CAN) Registry checks for all staff in centers grew by eight percent and while it decreased for all staff in both FCC home types, there was a significant increase in the number of states requiring CAN registry checks for staff having contact with children and volunteers. There were still six states that reported not requiring fingerprint checks in 2017, down from eight in 2014, and eight states that did not require sex offender registry checks, down from 13 in 2014. The number of states requiring sex offender registry checks for all program types grew by 10 to 12 percent.

The number of states requiring staff to sign a statement about criminal status remained largely unchanged between 2014 and 2017, though there was a 9% in the number of states requiring statements for small FCC homes. The percentage of states reporting that background checks were conducted prior to licensure or working in a child care facility remained decreased by almost 15% for centers and large/group FCC homes and by 19% in small FCC homes. In 2017, approximately 80 percent of states reported that staff in centers had background checks prior licensure or working in a facility, down from just over 94 percent of states in 2014. The number of states who regulate small FCC homes conducting initial background screening in small FCC homes was approximately 70 percent in 2017, down from 89% in 2014, while for large/group FCC homes it was approximately 82% in 2017, down from 95% in 2014.

States were more likely to report conducting background checks annually in 2014 than in 2017. About 38 percent of states reported that checks were completed for centers at least every three years in 2017, down from about 44 percent in 2014. Though those numbers dropped by almost 20 percent for small FCC homes between 2014 and 2017 and by about 12 percent in large/group FCC homes. In 2017, more than half the states reported conducting background checks for centers every five years which was also true for approximately 44 percent of small FCC homes and about 49 percent of large/group FCC homes. In 2014, approximately 15 percent of states conducted background checks every five years for any program type.

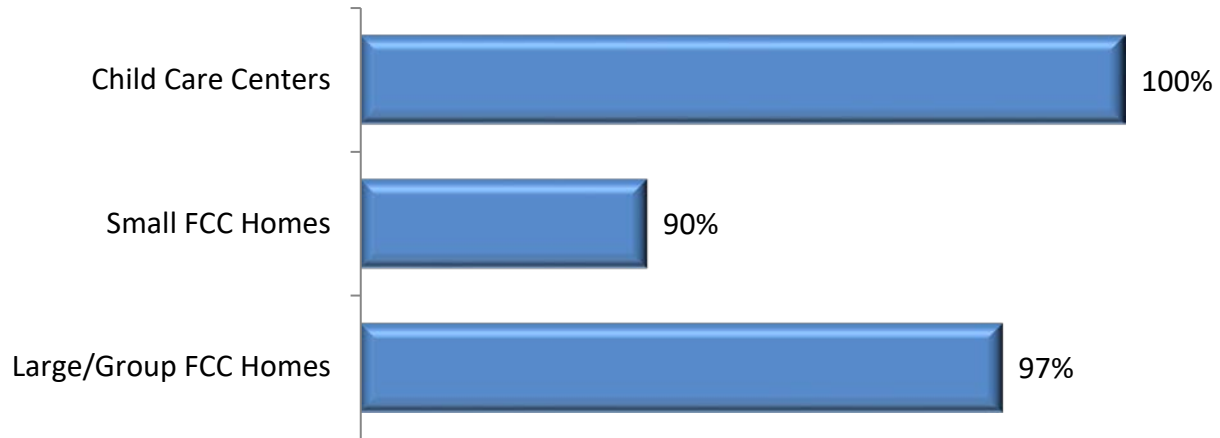
In 2014, approximately 60 percent of states reported that a new background check was conducted for all provider types if child care facility staff changed jobs, moved to another facility, or had a break in employment. In 2017, only 31 percent of states reported that a new background check was conducted for center and large/group FCC home staff and approximately one-fourth of states conduct new investigations on FCC homes. In 2014 about 30 percent of states had portable background check policies for center staff and about 25 percent of state had portable background checks for FCC home staff. In 2017, more than half the states reported that background checks were portable for each facility type and would move with the staff. This marks an increase from about one-third of states for all program types in 2014. There was little change in the percent of states reporting that licensing staff was automatically notified of a change in criminal record.

Finally, in 2017, nine states reported that the state paid for background screening, up from 7 in 2014. Seven states reported in both years that the facility paid, and the individual paid in 10 states, down from 12 in 2014, corresponding to the two states that reported paying for background checks. Almost half the states in both years reported some other arrangements for paying for background screenings.

States Requiring Background Checks

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

Analysis: All states require background checks for child care centers. Checks are required in 90% of states for small FCC homes and in 97% of states for large/group FCC homes.



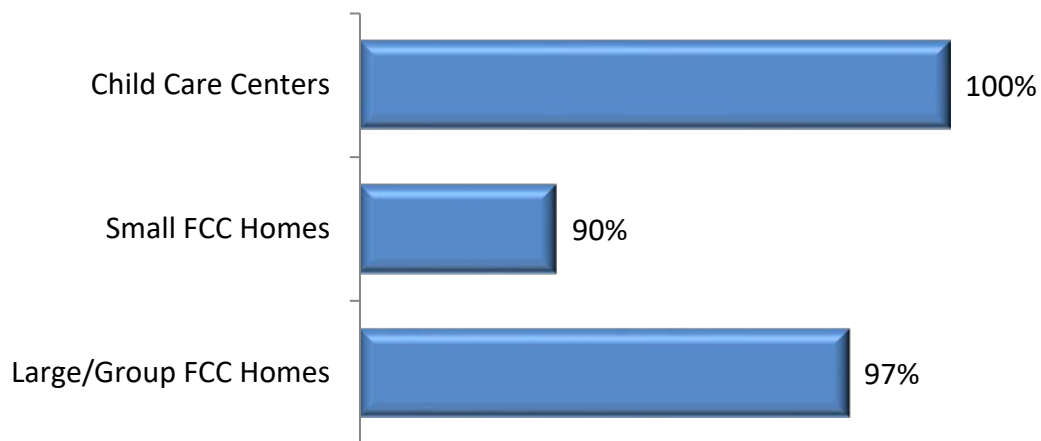
State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	52	50	39
Total	52	45	38
AK	•	•	•
AL	•	•	•
AR	•	•	
AS	•	•	
AZ	•		•
CA	•	•	•
CO	•	•	•
CT	•	•	•
DC	•	•	•
DE	•	•	•
FL	•	•	•
GA	•	•	
HI	•	•	•
IA	•	•	•
ID	•		•
IL	•	•	•
IN	•		•
KS	•	•	•
KY	•	•	
LA	•		
MA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

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	•	•	
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: All states require CHR checks for child care centers. Checks are required in 90% of states for small FCC homes and in 97% of states for large/group FCC homes.



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	•	•	
AS	•	•	
AZ	•		•

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

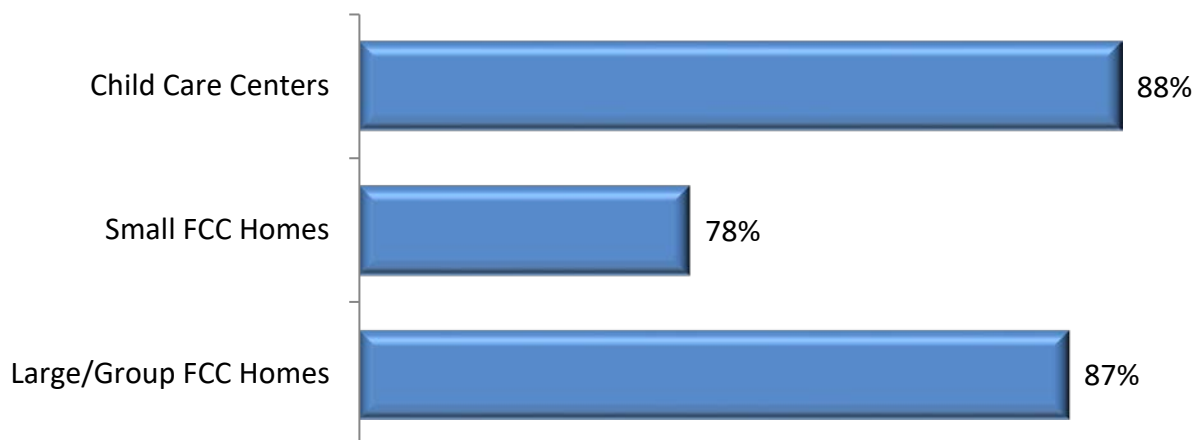
Question: For each facility type, please identify the type of criminal history record (CHR) required and by whom.

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
State CHR required	52	45	38
Federal CHR required	44	37	32
CHR required for all staff in facility	35	29	26
CHR required only for staff having contact with children	28	25	20
CHR required for volunteers	37	32	28
CHR required for household members (for FCC homes)	24	45	36
CHR required under certain conditions	16	13	11

Fingerprint Record Checks

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

Analysis: Fingerprint record checks are required in 88% of states for child care centers, 78% of states for small FCC homes, and in 87% of states for large/group FCC homes.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	52	50	39
Total	46	39	34
AK	•	•	•
AL	•	•	•
AR	•	•	
AS	•	•	
AZ	•		•
CA	•	•	•
CO	•	•	•
CT	•	•	•
DC	•	•	•
DE	•	•	•
FL	•	•	•
GA	•	•	
HI	•	•	•

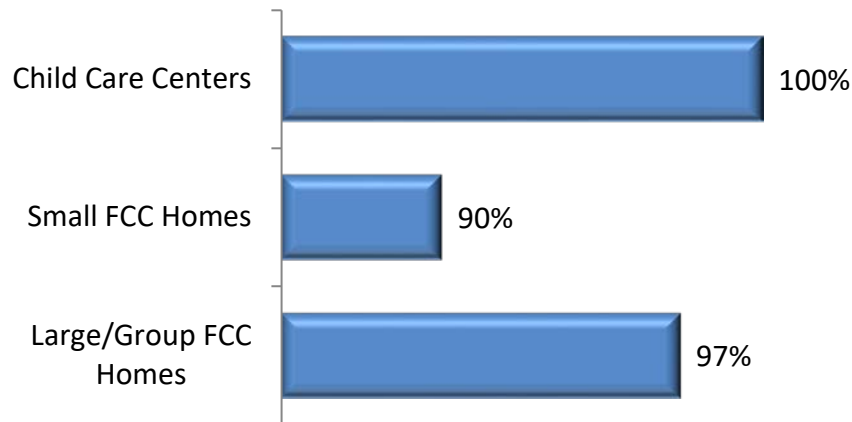
State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
IA	•	•	•
ID	•		•
IL	•	•	•
IN	•		•
KS			
KY	•	•	
LA	•		
MA	•	•	
MD	•	•	•
ME			
MI	•	•	•
MN	•	•	•
MO			
MS	•	•	•
MT			
NC	•	•	
ND	•	•	•
NE			
NH	•	•	•
NJ	•		
NM	•	•	•
NV	•	•	•
NY	•	•	•
OH	•		•
OK	•	•	•
OR	•	•	•
PA	•	•	•
RI	•	•	•
SC	•	•	•
SD	•		
TN	•	•	•
TX	•	•	•
UT	•	•	•
VA	•	•	
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	52	50	39
State FR required	39	34	31
Federal FBI FR required	45	38	33
FR required for all staff in facility	30	24	22
FR required only for staff having contact with children	25	21	20
FR required for volunteers	28	22	22
FR required for household members (for FCC homes)	21	36	31
FR required under certain conditions	16	13	11
Electronic fingerprint imaging (LIVE SCAN) required	29	25	22

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

Analysis: CAN checks are required in every state for child care centers while they are required in 90% of states for small FCC homes and in 97% of states for large/group FCC homes.



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	•	•	
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	•	•	•

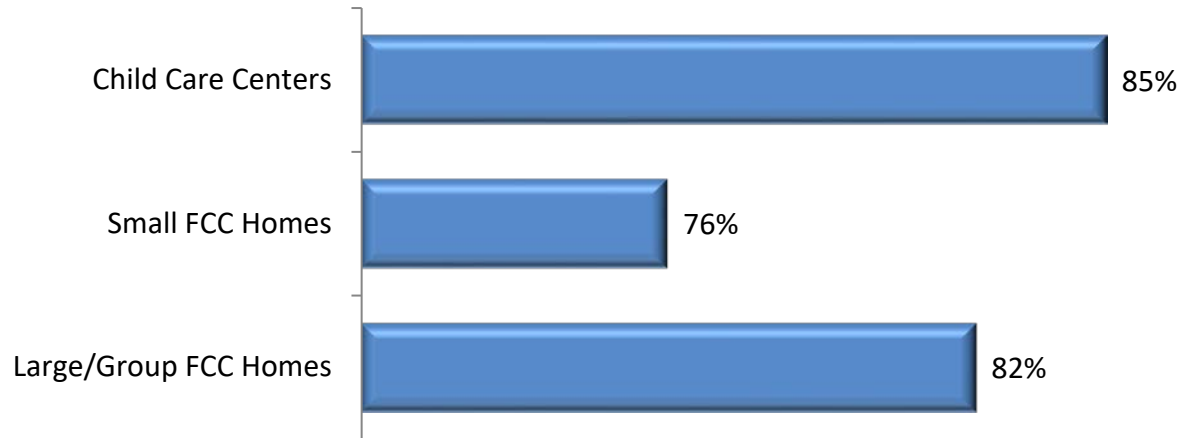
Question: For each facility type, when and/or for what staff are CAN checks required?

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
CAN required for all staff in facility	36	30	26
CAN required only for staff having contact with children	29	25	22
CAN required for volunteers	39	33	28
CAN required for household members (for FCC homes)	27	43	34
CAN required under certain conditions	13	10	9

Sex Offender Registry

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

Analysis: SOR checks are required for child care centers in 85% of states while they are required for small FCC homes in 76% of states and for large/group FCC homes in 82% of states.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	52	50	39
Total	44	38	32
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	•	•	•

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	•	•	
VT	•	•	
WA			
WI	•	•	
WV	•	•	•
WY	•	•	•

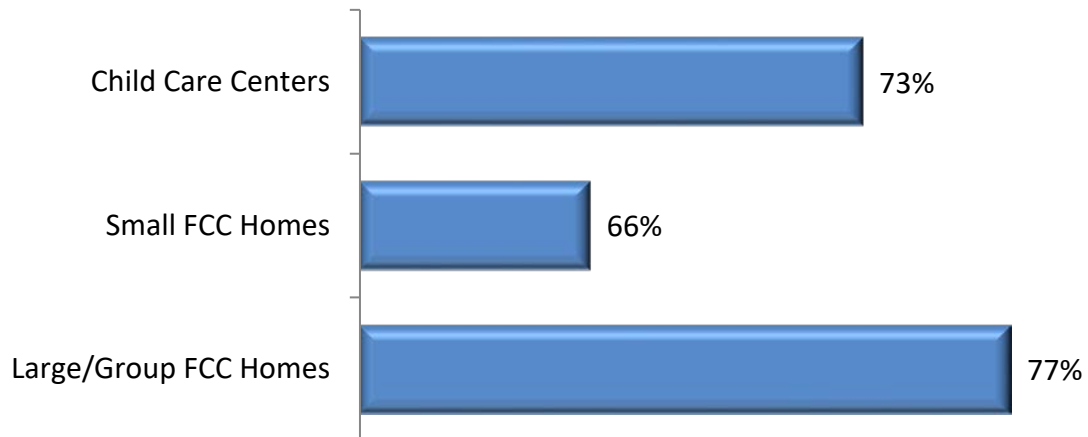
Question: For each facility type, please identify who is required to complete a sex offender registry check (SOR).

	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
SOR required for all staff in facility	29	25	21
SOR required only for staff having contact with children	24	20	18
SOR required for volunteers	29	25	23
SOR required for household members (for FCC homes)	22	37	31
SOR required under certain conditions	12	9	8

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 by child care centers in 73% of states and required for small FCC homes in 66% of states and for large/group FCC homes in 77% of states.



State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate			
	52	50	39
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	•	•	

State	Child Care Centers	Small FCC Homes	Large/Group FCC Homes
ND	•	•	•
NE	•	•	•
NH	•	•	•
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?

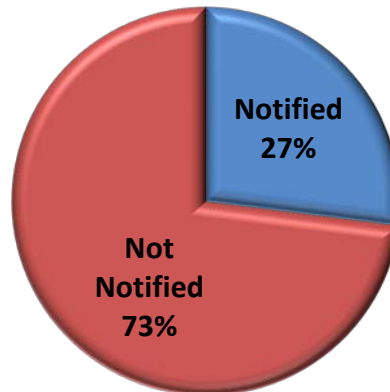
	Child Care Center	Small FCC Homes	Large/Group FCC Homes
Total Number of States that Regulate	52	50	39
Prior to licensure/working in a child care facility	42	36	32
Annually	6	7	4
Every 2 years	6	5	5
Every 3 years	8	6	4
Every 4 years	1	1	1
Every 5 years	27	22	19
Less than every 5 years	0	0	1
Other Frequency	12	11	9

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	52	50	39
New background check is conducted	16	12	12
Current background check is portable and moves with the individual	27	26	19
Other policy	18	16	13

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?

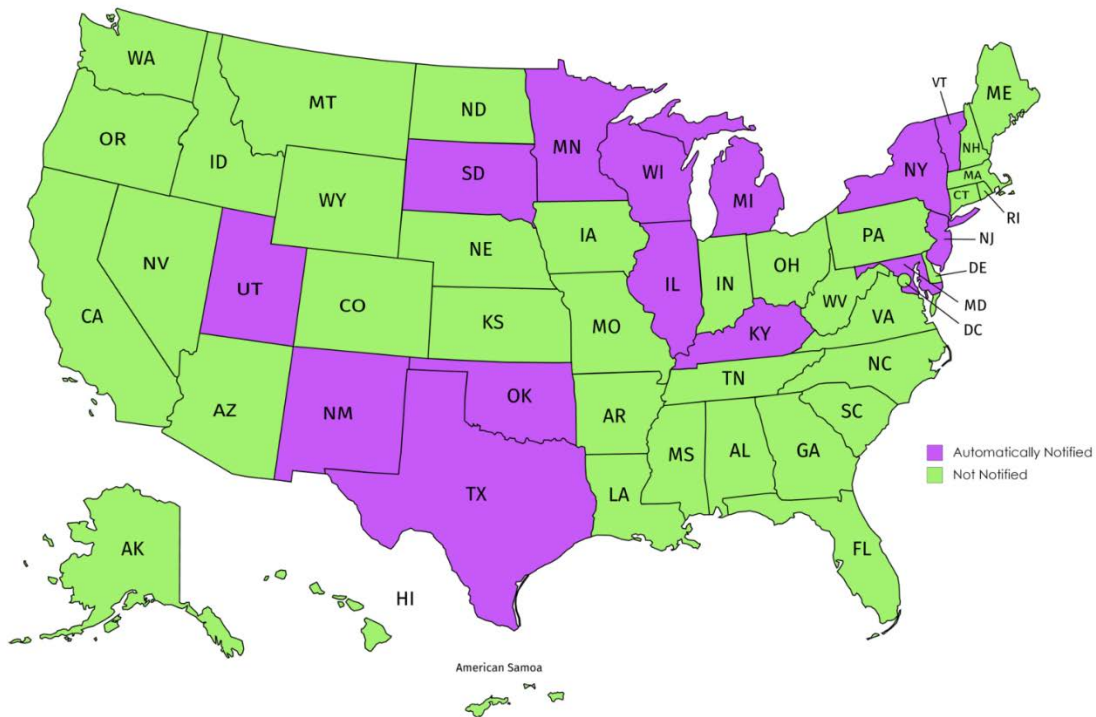
Analysis: Only 27% of states have a background check system that notifies the licensing agency when an individual's criminal record has changed. In 17% of states, the state pays for background checks, in 21% of states the individual pays for the check and in 13% of states the facility pays. 48% of states report 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. Other included where there was a combination of the state and facilities paying.



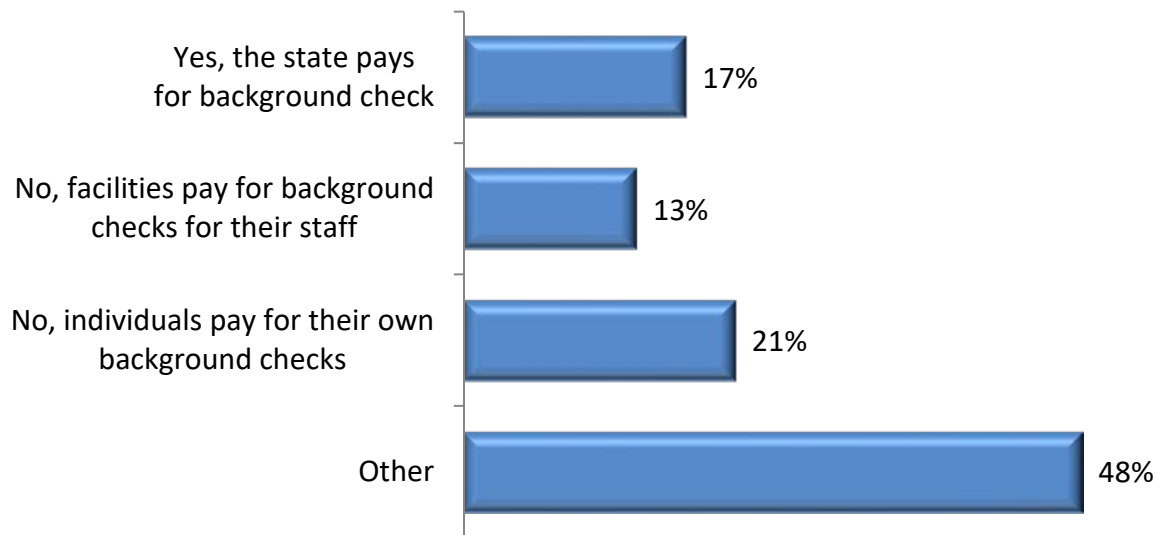
State	Background check system notifies agency when an individual's criminal record has changed	Yes, the state pays for background check	No, facilities pay for background checks for their staff	No, individuals pay for their own background checks	Other
Total	14	9	7	11	25
AK		.			
AL					.
AR					.
AS				.	
AZ					.
CA			.		
CO			.		
CT					.
DC		.			
DE		.			
FL					.
GA					.
HI					.
IA					.
ID				.	
IL	.	.			
IN					.
KS					.
KY	.	.			
LA			.		
MA					.
MD	.				.
ME					.
MI	.				.
MN	.			.	
MO					.
MS			.		

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
MT		•			
NC				•	
ND		•			
NE				•	
NH					•
NJ	•			•	
NM	•		•		
NV				•	
NY	•				•
OH					•
OK	•			•	
OR					•
PA				•	
RI					•
SC					•
SD	•	•			
TN		•			
TX	•				•
UT	•		•		
VA					•
VT	•				•
WA				•	
WI	•		•		
WV				•	
WY					•

Map 12 Automatic Notification of Licensing Agency for Change in Staff Criminal Record



Who Pays for Background Checks



Map 13 Who Pays for Background Checks

