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CONSULTATION REPORT FOR THE STATE OF NEW JERSEY DEPARTMENT OF HUMAN SERVICES OFFICE OF LICENSING

ON

Automated Licensing Systems

-FINAL REPORT-

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INTRODUCTION

In July 2005, the National Association for Regulatory Administration (NARA) was contracted to identify states with successful "state of the art" automation systems that include field inspection components, identifying possible vendors and providing specific recommendations on the best method to implement an automated system capable of effectively managing the licensing process. This project study was completed between February and May 2006.

The following report outlines the NARA project tasks and findings, as well as specific recommendations.

PROJECT TASKS AND FINDINGS

The project began with an initial survey (Appendix a) which was sent to all NARA members, both nationally and internationally, and any licensing program director able to be identified for child welfare, developmental disabilities, mental health, and child care in a variety of states.

- A total of 51 surveys were received representing 33 states, District of Columbia (DC), three (3) Canadian provinces/territories, and one (1) island in Micronesia.

- Based on these responses, 26 geographical locations indicated that they had some type of automated system, three (3) believed they had partial systems and nine (9) responded they had no automated systems.

- 27 responses of states/territories with automated systems reported that they incorporate other components (i.e. background screening, etc.) or programs.

- Four states (Colorado, South Carolina, New York and Delaware) were currently in the process of developing substantial system improvements.

- All states identifying programs in Developmental Disabilities and Mental Health reported their systems as basic in data collection and did not recommend them for other states. Some primarily utilize the federal ASPEN program or other restricted program and do not have a system specifically designed for them.

- Florida, like several other states, has licensing responsibilities for adults divided between agencies. For example:

    a.) Day programs and group homes for developmentally disabled clients are licensed by the Agency for Persons with Disabilities.

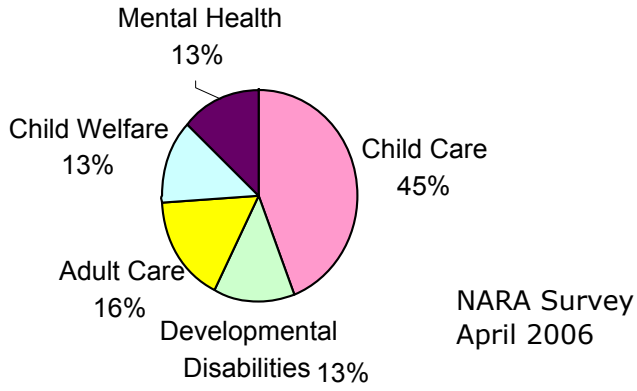
b.) Adult foster homes, assisted living facilities and large facilities for developmentally disabled or mental health clients, are licensed by the Agency for Health Care Administration.

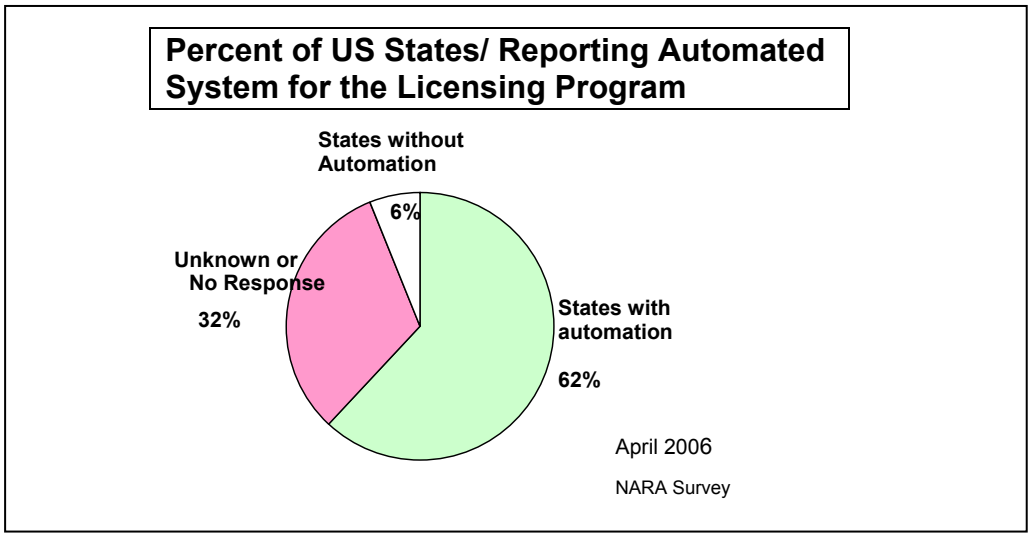
c.) Mental health professional providers or substance abuse programs are licensed by the Department of Children and Families.

This fragmentation makes it difficult for the public to identify the responsible agency. In addition, the value of licensing responsibilities is not recognized and is, all too often, overshadowed by service provision.

- Survey responses illustrated inclusion of the following program components:

Program Areas Represented in Responses of Automation Survey





Survey Responses – By Program and States

Response	Child Care	Adult Care	Child Welfare	Developmental Disabilities	Mental Health
YES – (Has some type of automated system without regard to quality or functionality of program)	AZ VA MO AR TX MI CT TN SD CO HI WA OK KS MS FL KY DC NC IN SC NY MD WI IL Canada: BC** Saskatchewan	AZ KY VA NH WI KS KY NV MI* FL* (*includes DD and MH clients) Canada: BC**	CO ME TX VA WA OK SD DE MI IL	AZ NV OH RI FL NH PA Canada: BC**	AZ NV RI NH FL PA Canada: BC**
NO- (No automated system)	AL NH PA NV NJ Canada: Prince Edward Is. Saipan	PA NH NJ Canada: Prince Ed. Island	PA NJ	NV TN IA MS NJ	TN PI IA MS NJ

**Note that 4 areas of British Columbia responded.

Selection of States for Further Study

NARA chose to focus attention on states/provinces/territories which appeared to have the most sophisticated systems; looking particularly for those that were web-based and had the ability to capture inspections. An Excel spreadsheet with comparative information across all of the states/provinces/territories was compiled from the NARA surveys. See Appendix a. The states which appeared to meet this criterion were selected for a second survey, completed through a telephone interview. States identified for the second phase included North Carolina, Colorado, Indiana, New York, Florida, Michigan, Arkansas, Texas and Virginia.

SUMMARY OF STATE INTERVIEWS

The interviews were conducted using a standard set of questions that was e-mailed to each state prior to the interview. The states were most responsive in these interviews and willing to share the specifics of their systems as well as lessons learned from the development process. The following summaries of the interviews of the selected states relate to their current automation programs. Recommendations and lessons learned have been incorporated in the summary. An Excel spreadsheet with comparative information across the 9 selected states can be found in Appendix a.

GLOSSARY:

"Access": A specific database software program.

Existing Vendor means that the vendor already had a contract with another program within the Department and a contract was offered as a rider to the existing contract.

"IT" refers to Information Technology staff.

Mainframe refers to a very large computer capable of supporting a large volume of users simultaneously. Mainframes can support multiple simultaneous programs.

Real time can also refer to events simulated by a computer at the same speed that they would occur in real life.

RFP means Request for Proposal. Request was publicized and vendors were provided an opportunity to bid on the project.

Single Source means that research failed to identify any other possible vendors with experience in the area being sought. The contract was awarded based on the belief that at that time, there was no one else equipped to do the job.

North Carolina

North Carolina was one of the first states to develop an automated system exclusively for licensing. The first system was actually developed in 1992 to capture basic demographic information. In 1995, the state began a more substantial re-write when technology moved to a "windows" environment. Nevertheless, it was the first state to demonstrate a significant interest in keeping abreast of the computer technology.

The North Carolina Department of Health and Human Services has made concentrated efforts to maximize technology by devoting personnel and money to the cause. There is a separate Division of Information Resource Management which primarily develops and oversees state government technology efforts. The staff in this division are the ones who often "drive the train" for improvement as they did with the licensing system. Any proposed contracts containing an IT component are evaluated by this division.

The child care "Regulatory" licensing system was custom built and implemented in 1996 at the initiation of the IT staff when upgrading other components of the state systems. Currently their system only includes child care information and does not incorporate any other programs. It captures, in a broad sense, the following components:

Yes	NO	
	X	Inquiry
X		Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval
X		Enforcement actions
X		Administrative actions(i.e., reason, type of action, outcome)
X		Complaint investigations (allegations, dates, conclusions, etc.)
X	Limited to age range and license restrictions	Clients served age range, disability, capacity or program type, etc.) license restrictions
X		Program contact information (owner, director)
	X	Inspection due dates (general annual compliance)
	X	Can it alert agency staff of actions in need of attention (i.e. pending renewals, etc.)?
X		Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs?

Specific licensing information is captured through a narrative format, thus the system is not conducive to data collection. However, North Carolina child care staffs utilize a software program called "Data Warehouse" which enables them to run a variety of reports.

Inspections are generally completed on laptop computers which counselors take to the field. Counselors then review the findings with the provider and mail a hardcopy back to the provider once they have entered the inspection information in the Regulatory system.

The Child Care licensing staffs hope to make improvements in the system such as enhancing the field inspection process through the addition of a mobile printer, as well as increasing information available online for the public. Unfortunately they have to compete internally with other programs seeking automation improvements for assistance from in-house IT staff. This can be challenging and staffs sometimes feel it limits their options. However, overall they are very satisfied with the system and believe it meets their needs.

Public viewing is available at: http://ncchildcare.dhhs.state.nc.us/general/home.asp. This website provides the opportunity for the public to search for child care providers by license number, name, city, county, zip code, facility type, age range of children served and whether participating in the Subsidized Child Care Program. Information on specific providers includes demographics, ownership; star rating, educational and program compliance, sanitation reports, and any administrative action that has been taken. In addition, the public can view inspection dates, type and a general statement of whether violations were observed. There are no specific details about the inspections or administrative actions, however staff contact information is provided for viewers' additional questions.

Colorado

The Colorado Department of Human Services previously developed a stand alone program in 2002 called "TRAILS" which captured all the basic elements of licensure and general demographic information. The development of that program was the result of a federal audit which criticized the significant lack of data collection. Although the TRAILS system was a fine beginning, it still lacked sufficient collection of data causing the Division of Child Care to create 17 additional "Access" databases for collection of information.

In 2004, the Colorado Division of Child Care began development of an RFP to integrate the existing systems and incorporate new areas of data collection. The RFP process took a year to complete and development for the new system began in February 2005. Implementation is anticipated for June 2006.

The Division assigned a Program Manager and two IT staff to work with the vendor Compuware Inc. to bridge the gap between program knowledge and technical compatibility with existing systems.

The following chart lists and describes the licensing categories which will be covered by the planned system.

System	Description
TRAILS Synchronization	Imports files from TRAILS to synchronize provider data.
Director Qualifications	Tracks application and status of qualifications to Direct a large child care center
ICON	Tracks background check information – request and status.
Accounting	Tracks licensing and services fees paid by child care providers (ACCT) and services fees paid by non-providers (ACCT2).
Duplicate Continuation	Tracks providers who have not submitted annual information required for continued operation.
Stickers	Tracks who need continuation stickers, prints mailing labels to mail them out, produces a tracking report.
Visits	Tracks minimal information about Worker contacts with Providers.
Complaint Tracking	Tracks complaint process against child care providers.
Adverse Action (Licensing)	Tracks negative licensing actions against child care providers.
Appeals/Waivers	Tracks appeals for request of waiver of Licensing Regulation.

System	Description
General Reporting	Generates most common reports used by internal staff and distributed to the public.
Management Reporting	Generates reports used by Division management.
Summaries	Prints the Provider Summary report.
Expanded Summary	Provides a summary report of a provider and tracks request for summary reports. Reports are distributed to the public.
File Review	Tracks file reviews scheduled for the general public. Tracks requests for reviews, prints waiver form.
Fines	Tracks Adverse Action Fines

The new automation system plans for a website where the public can have "real time viewing" of summary information for a provider and print out a summary report capturing demographics, inspection information, etc. Forms that can be downloaded will be available through use of an optical imaging system.

Colorado child care staffs are still planning for a mobile lap top system to conduct inspections. They currently have a pilot program utilizing small Palm "PDA" systems which has not been as successful as hoped. Thus the agency is in the process of securing laptop notebooks for all staff.

Because Colorado has not, as of this writing, implemented the new system, any summation of the system's overall functionality, effectiveness and efficiency would be premature. In addition, funding for this project was limited and does not include more significant enhancements such as those found in other states.

Public viewing is "under construction" at the time of this writing, but will be available on the Colorado Department of Human Services website at: http://www.cdhs.state.co.us/childcare/licensing.htm.

New York

The development of New York's current "Child Care Licensing System" began in 1994 as a result of an audit which severely criticized a "flawed system in data collection, analysis and effectiveness". Discussions about the creation of a program, what it would look like and how it would be developed took several years. Much research was conducted to find out what was available and how an RFP could be developed.

Unfortunately, the process became "too global" and soon lost focus. In 1998, the child care office was able to get support and approval to move forward and began discussions with internal IT staff. They also engaged Xerox Inc., through an existing state contract, to help with the conceptual design. The agency hired temporary IT staff to assist with programming.

The Director of Child Care, Office of Children and Families, stated that XEROX Inc. utilized a process called "Knowledge Exchange Workshop". This technique helped them analyze the workflow and determine the specific activities leading to the end results of the licensing system. This process actually helped New York staff re-engineer the work procedures by forcing them to evaluate and rethink how they managed and not just automate what might be an inefficient way of handling business.

The previous automation was a rudimentary mainframe system for demographic data. When developing their new system, New York took a "Lincoln logs" approach of building one component at a time, resulting in a system with some very unique characteristics.

For example, New York captures data beginning from the inquiry stage when the prospective licensee's information is entered into the system and automatically assigned a number. From that point forward, all documents printed for that applicant reflect their assigned number. This prevents confusion when collecting licensing information.

The system sends out personalized packets, with identifying numbers, at each stage of the application process. Computer generated checklists help identify missing documents. The system captures each step of the application and licensing process, including specific facility information, i.e. room size and capacity per room, bathrooms, septic tanks, square footage per room and outdoor area, etc., details of the inspection process and findings; complaints and outcomes of administrative actions. The following chart details data captured.

Yes	NO	
X		Inquiry (If they express a desire to apply)
X		Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection (Put in after inspections)
X		Licensing approval/disapproval (Yes even with limitations and restrictions)
Partially		Enforcement actions (Only end of enforcement at this time – future plans for expansion.)
	X	Administrative actions(i.e., reason, type of action, outcome)
X		Complaint investigations (allegations, dates, conclusions, etc.)
X		Clients served (age range, disability, capacity or program type, etc.) (room size – very specific information)
X		Program contact information (qualifications, etc. very specific)
X		Inspection due dates
X		Can it alert agency staff of actions in need of attention (i.e. pending renewals, etc.)?
X		Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs?

The system also tracks complaints of illegal operation; generates "To Do" lists and provides pop-up reminders for staff, especially for items required by law. The system prints the licenses (with applicable waivers, restrictions, etc.)

Future plans are to incorporate the steps of administrative actions, integrate with background screening information and obtain handheld mobile devices for the counselors. Currently inspections are conducted using paper inspection forms; copies are left with the provider and the information is entered into the automation system upon return to the office. This information is uploaded to the licensee's website.

Although New York is pleased with its system, in hindsight staff felt making the program web-based and more "user friendly" would have been desirable. These characteristics will be included in future development of the system.

Public information is available on the Office of Children and Families website: www.ocfs.state.ny.us/main/becs/looking.asp. This website provides the opportunity to search for child care providers by license number, name, county, zip code, facility type, and whether the facility administers medication. Good demographic information is provided on each provider as well as inspection data with identified inspection deficiencies and correction status. Enforcement actions and serious violations are noted.

Michigan

The Michigan Department of Human Services (DHS) is responsible for the licensure of all child care, child welfare and adult care programs and facilities. The adult care facilities licensed by DHS include those serving developmentally disabled, mental health and/or aged clients. Substance abuse programs and large hospital style settings are licensed by a separate agency.

Michigan's system is known as "BITS" (Bureau Information Tracking System) and serves child care, child welfare and adult care program areas. In 1995, Michigan began development of the automated licensing program, but it became problematic and cumbersome. They experienced 2.5 to 3 years of unproductive planning because of a number of factors:

- The planning group was large – over 30 people
- Planning meetings were unproductive -too many people and not the right ones.
- Computer technology was rapidly changing from "mainframe" to "servers" – computer analysts were varied in experience and knowledge of new technology.
- There were many "false" starts in the late 1990's – the organization spent much time on the project without really addressing who the "right players" were for planning and development and determining what data they really wanted to track.

In retrospect, Michigan feels that it would have been helpful to have focused more attention on identifying needs and what they wanted the system to do. There was a lot of time lost by having such a large planning group. The focus was often lost to speculation, i.e., "What if or what about…," thus sidetracking the direction of the project.

Michigan chose not to seek competitive bids and instead paid for the services of four (4) to five (5) programmers from another state agency division to develop their automation project. The program was custom built using the "Oracle Developer" database which allows the writing of other programs and add-ons as necessary.

The new system was implemented in 2001 and is now organized conceptually. It was developed in a manner that considered the licensing process, manager process, what they wanted to be able to determine and what the government might want to know about the process. The following chart specifies the licensing data captured.

Yes	NO	
	X	Inquiry
X		Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval
X		Enforcement actions
X		Administrative actions(i.e., reason, type of action, outcome)
X		Complaint investigations (allegations, dates, conclusions, etc.)
X		Clients served (age range, disability, capacity or program type, etc.)
X		Program contact information
X		Inspection due dates
X		Can it alert agency staff of actions in need of attention (i.e. pending renewals, etc.)?
	X	Aggregate rule violation & licensing action for individual program?

Staffs are able to identify licensing, fire and environmental health (EH) inspections, enter complaint information, demographics and due dates. Information is merged with word documents making it very efficient for staff; line staff find this feature extremely helpful for their daily responsibilities. Future plans include planning for wireless mobility.

The Michigan program was the only one interviewed that incorporates the Child Welfare, Adult Care, Child Care Licensing and Background Screening systems into one information system. The programmatic screens differ for each program depending on individual requirements; however all information is integrated. This ensures the ability to determine and view the applicant's history if previously licensed in another program area.

The public is able to access information on all licensing programs on the agency website located at http://michigan.gov/dhs. This website enables a provider to search by name, address, city, county, name, type and license number. There are summary reports provided for each facility with demographic information. Copies of licensing reports, complaints and inspections are also available to the viewer.

Arkansas

The Arkansas Department of Health and Human Services developed its current automated system in 2000. The agency chose to utilize the services of an existing vendor, Northrop Grumman Inc., in lieu of employing their own IT staff. The custom built system replaced a mainframe system which was very limited in content and function.

The new automated program implemented in 2002 is known as "Child Care Licensing, Eligibility and Nutrition (CLEAN). Rather than transfer the existing mainframe information, the agency chose to enter all data manually into the new system, thus eliminating the need for extensive clean up and integrity checks experienced by other states.

The system captures the initial application, consultations, number of toilets and sinks, demographics, inspections (dates, times, findings, date to be corrected, and actual date corrected), complaint investigations, corrective actions, adverse licensing actions, fire and health inspections, etc. It also tracks the care of special needs children, compliance with additional standards to receive a "quality approved" status, and the provision of transportation. Staff can also enter floor measurements into the system which then calculates the facility's capacity. The following itemizes data tracked by the system.

Yes	NO	
X		Inquiry
X		Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval
X		Enforcement actions
X		Administrative actions(i.e., reason, type of action, outcome)
X		Complaint investigations (allegations, dates, conclusions, etc.)
X		Clients served (age range, disability, capacity or program type, etc.)
X		Program contact information
X		Inspection due dates They have to go every 4 months
X		Can it alert agency staff of actions in need of attention (applications and complaints)
	X	Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs?

Alerts are sent to counselors if a complaint is 30 days old or if an application is overdue by 30 days. There are "alerts" sent to supervisors when counselors enter information for purposes of issuing a provisional license. The supervisor must review and approve or deny the counselor's recommendation; the system then notifies the counselor of the supervisor's decision.

Alerts are provided on any program that has been cited for noncompliance twice in the previous 12 months in any of the four areas that have been identified as "critical areas." These are behavior guidance, transportation, supervision, and staff child ratios. The system prints licenses and cover letters, sends notices of recalled items to alert providers, and a limited number of other documents.

The system is not web-based but does feed information into other state programs such as the School Readiness Kid care system which keeps the provider information current for payments of school readiness services. In addition, the state website pulls certain information from the CLEAN program which provides the public the ability to locate child care programs. The website provides basic demographic information only.

The Child Care Licensing office indicates that it has a 5 year contract with the vendor which expires in 2007. The agency has experienced some rough spots with the vendor at times, but overall is pleased with the product. The agency is continuing to move forward with enhancements which include piloting personal tablet notebook computers to use for inspections and implementation of a "tiered licensing system.

The public website is www.accessarkansas.org/childcare. Provider search is limited to name, city, zip code, age range served, hours of operation and whether the provider is quality approved or voucher approved. The facility type and rates are listed for specific providers.

Virginia

The Virginia Department of Social Services is another state agency which secured a vendor through the RFP process. The agency reported that the process took 7 ½ months to complete. The RFP described a plan for a comprehensive system involving adult care, child welfare and child care licensing programs.

Virginia had a 20 year old mainframe system which was ineffective. In 1997, they hired a vendor to design a comprehensive automated licensing program. However, by 2002 Virginia still had no system, so the project was stopped and senior management directed the division seek an" off the shelf" solution to the automation needs.
Another RFP process was initiated. Department staff were given directions to get the program operational within short timeframes and were not afforded sufficient time to analyze the issues. Once the RFP was awarded, they were under time constraints to implement the system by 2003.

Approximately 12 vendors submitted bids on the contract proposal and Bearing Point Inc. was awarded the contract. Bearing Point then sub-contracted with Versa Systems Inc. for the database development. Virginia devoted two (2) program staff positions to assist the vendors in "translating" programmatic needs during development. The database management application was configured from an "off the shelf" product, but the module for conducting inspections was specifically developed for the child care division with user input.

The database application captures generic licensing information for the three licensing program areas; child care, child welfare and adult care. There is a level of information specific to each program but not with the detail other states have captured; the only exception may be in the area of complaints and enforcement action. In addition, these three licensing programs are not integrated and do not share information or alert one program of a provider's past or current involvement with another program.

Current actions recorded in system are:

Yes	NO	
X		Inquiry - they have ability but do not use.
X		Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval
X*		Enforcement actions –
X		Administrative actions(i.e., reason, type of action, outcome)
X*		Complaint investigations (allegations, dates, conclusions, etc.)

X		Clients served (age range, disability, capacity or program type, etc.) (limited – could be expanded)
X		Program contact information
X		Inspection due dates
X		Can it alert agency staff of actions in need of attention (i.e. pending renewals, etc.)?
	X**	Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs?

* Robust information in these areas
**Working on the ability to aggregate data better.

The vendor supplied management reports which have not been sufficient to meet all agency needs. The Department is now in the process of developing more reports for managing the program and staff. A new employee was hired by the Department specifically to write program modifications, reports and related items. The Department is also exploring other possibilities, such as making application or payment of licensure fee available on line.

Licensing staff from all three program areas conduct inspections while in the field through the use of laptop computers and inspection software. The "remote" system and software were developed primarily through input from the users, so it meets their needs better than the general database. Staffs are now converting to Tablet PC computers with docking stations. The PC tablets have a handwriting feature which staff find very helpful. It incorporates a large volume of information so the counselor can visually see the provider's status and past compliance rate on each standard. Their system also requires that certain licensing requirements are to be observed and documented before the inspection is considered valid.

A counselor's tablet is specific to only their caseload and no other caseloads or program areas can be viewed. The counselor can print a hard copy of the inspection report "on site" and provide a copy to the provider at the time of inspection. Technical assistance information has also been added to the tablets to assist the counselor in helping the provider meet the requirements.

Before inspection information can be transmitted to the web, the counselor must synchronize the laptop in the docking station. The system permits the sending of e-mail messages or alerts by supervisory staff while in the field, but these cannot be visually seen until the computer has gone through the synchronization process.

The public is able to access information on all licensing programs. Website location is www.dss.virginia.gov/facility/search/licensed.cgi. This website provides search options by name, location, zip code and facility type. The website gives good, detailed information about the inspection process, name of inspection, which areas were reviewed, comments and violation information along with action taken.

Virginia's Lessons Learned:

In hindsight, Virginia staff felt the pressure to rush the automation project for a 6 month implementation proved detrimental because:

1) More time was needed to focus and analyze the way they conduct business. They had planned for a "business analyst" to assist them, however not enough money was allocated to include this important piece.

2.) Training to facilitate user acceptance was a problem. Not enough staff was dedicated to the project. The vendor had trainers, but funding was not sufficient.

3.) Department planners for the new program did not "listen" to vendor suggestions which made things more complicated than necessary. The reason the staff did not adhere to the advice of the vendor was three-fold: a) pressure to meet a specific deadline; b) perceived level of accountability from legislators and agency chiefs; and c) lack of experience in overall process by Department planners. The subsequent result was confusion and duplication.

4.) Participation from internal IT staff would have helped to ensure adequate communication about the hardware capabilities, limitations, maintenance, interface, etc.

5.) Downloading the transfer of old information was a drawback. The information in the old system had not been maintained, so the download wasted time and made "clean-up" more difficult.

6.) Modifying pre-existing software made the process more difficult than it would have been by actually developing a system from scratch. Most previously developed programs at that time were geared towards regulation of professionals. i.e., psychologists, nail technicians, etc., instead of the regulation of facilities used in human services licensing. Those programs did not generally have the appropriate types of fields or reports. Staffs believe the modification process was just as expensive, and perhaps more, than developing a customized program.

7.) Although the contract was with one vendor, it was often difficult to get what was needed from the sub-contracted second vendor. The experience of having two different vendors can be highly problematic and was not recommended.

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Texas

The Texas Department of Family and Protective Services, Child Care Licensing was one of the first states of those interviewed that outlined the development of a comprehensive automated licensing system and put it out for bid. The Texas legislature supported the automation plan and authorized five (5) FTE's to be hired for purposes of this project.

Phase 1, including the analysis and system design, began in 2000. Phase 2 (2001-2002) was focused on more detailed designing, testing, correcting glitches, improvements and tackling the internal culture change. In the fall of 2002, two (2) more FTE's were added and in this Phase 3 the system was fully implemented.

The system, known as "Child Care Licensing Automation System" (CLASS) was custom built by the vendor Accenture, Inc. and has a highly developed database which enables the system to capture a wide variety of information pertaining to the licensee, including data from the licensing process.

The CLASS system captures all processes done by the agency. Inquiries are not recorded unless an application is received. Illegal operations are entered as complaints, investigated and tracked.

Yes	NO	
	X	Inquiry
X		Application (all steps of application process)
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval
X		Enforcement actions
X		Administrative actions(i.e., reason, type of action, outcome)
X		Complaint investigations (allegations, dates, conclusions, etc.)
X		Clients served (age range, disability, capacity or program type, etc.)
X		Program contact information
X		Inspection due dates (Calculates dates – sends to counselor *)
X		Can it alert agency staff of actions in need of attention (i.e. pending renewals, etc.)? (non-expiring licenses)
X		Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs? (Yes, gives compliance history)

The system captures application dates when received and tracked all through the licensing process. It captures dates of inspections and investigations during the application process, as well as the licensing decision. It captures ongoing inspections identifying standards monitored, compliance or deficiencies; and waivers/variances granted.

For each operation, pending actions are reported to the Licensing counselor in the form of a "to do" task. These do not disappear from system until the action is completed. The system informs the licensing counselor of inspections investigations, applications, etc. which are pending or due for action. The system automatically creates a wide variety of forms, letters, licenses, and related documents, which proves very efficient for staff. Staffs are continuing to work on enhancements.

The system interfaces with background screening information through a link to the Texas Dept of Public Safety (TDPS). Child Care providers actually enter the staff information into a webpage which sends the information into the CLASS system, which in turn forwards the information electronically, through an interface, to the Texas Dept. of Public Safety criminal database. Results of background screening are returned through the CLASS system and sent to the responsible counselor who advises the child care provider of the status.
In addition to the interface with TDPS, the CLASS system sends reports to the Child Care Management System (subsidized child care) within the Texas Workforce Commission. Overall, management reports are plentiful, allowing the agency to manage provider information, staff activities, workloads, trends, etc.

Texas does not currently have the ability to electronically capture inspections on site. However the agency is hopeful that the Texas legislature will provide additional funding for this next feature.

Provider information can be accessed on the agency website at: www.dfps.state.tx.us/child_care/search_texas_child_care. Texas has a rather extensive manner of public searches that include the normal name, address, etc; the system also allows searches by a variety of program components, i.e., special needs, educational programs, special skills, etc. In addition, specific child care provider information is broad and includes data on facility inspections and violations.

FLORIDA

Florida has two systems which were both explored for this project. The first system is with the Department of Children and Families and addresses only child care. The second system is devoted to long term care licensed by the Agency for Health Care Services.

System 1 – Department of Children and Families - Child Care

Florida's Department of Children and Families' approach to automation enhancement was uniquely different from the other states. Most of the selected states began with the development of a comprehensive database system and addressed mobility of the inspection process in a later phase. However, Florida child care staff did just the opposite and focused first on automating the inspection process. The development of that feature drove the database enhancement.

Prior to development of the Child Care Information System, Florida depended on a rudimentary mainframe system utilized primarily for purposes other than licensing. In the mid-1990's, the automated inspection software displayed at several national conferences piqued the interest of managers of the Department of Children and Families (DCF).

DCF spent time researching other states and potential providers. Finding little availability, they chose to single source contract with MAP, Inc., the developer of the Sanswrite Turnkey Inspection System. It was felt that this inspection software could be modified to meet the Department's needs.

In 2001, development began on a statewide inspection program for use by field counselors. The vendor had previously established two small systems in separate counties of the state. The State Program Office was able to build from these developments to expand to a statewide system. Once underway, the program was implemented in approximately 6 months.

Staff began utilizing small laptop computers for inspections with portable printers providing copies of inspection reports to providers. A website for public viewing was created with the following year. Staff equipment was upgraded in 2006 to more efficient models of portable equipment.

Although the system does not currently capture the processes before licensure, this is on the list for enhancements. The following addresses the systems current capability:

Yes	NO	
	X	Inquiry
	X	Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval (except initially)
X		Enforcement actions
X		Administrative actions :(i.e., reason, type of action, outcome) Staff are now also able to impose and print up administrative warnings during an inspection if appropriate. They are handled in the same manner as inspections.
X		Complaint investigations (allegations, dates, conclusions, etc.)
X		Clients served (age range, disability, capacity or program type, etc.)
X		Program contact information
X		Inspection due dates
X		Alerts agency staff of actions in need of attention (i.e. pending renewals, etc. through color codes only– (no email or pop-ups.)
X		Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs?

The current database system provides demographic information, inspection information and findings, complaints, and administrative and enforcement actions. Hard copies of the inspection reports are provided to the providers on site. Inspection reports are transmitted to the Child Care Licensing system and the web once each inspection report has passed supervisory review. The ultimate goal is to achieve a paperless system.

Several enhancements have been added since 2001 which provide substantial benefits to child care providers and the public. For example, the child care training component captures training of all child care personnel (now competency based), staff educational credentials, background screening and information related to a newly instituted "Voluntary Pre-kindergarten" program. The website includes substantial information for parents and providers, and now permits child care providers to advertise employment needs.

The DCF Child Care Licensing System has a large number of management reports. Some are designed for the State legislature and other entities requesting specific information. Other reports are directed at program and staff management. In addition, a plan is underway to capture information related to the turnover of staff and directors in child care facilities in order to develop ways to help stabilize the industry. Future enhancements include partnering with the Agency for Workforce Innovation to expand the system for integration with the Subsidized Child Care and Resource and Referral systems.

The public is able to access information on the Child Care Licensing program on the agency website at: www.myflorida.com/childcare. This website permits provider searches through a variety of methods, some of which are program specific. Once the facility is identified, an individual can view the entire inspection report. Complaint reports are included with the inspection data, but not specifically labeled. Enforcement actions are included in the system but are not yet able to be viewed by the public.

System – 2 Agency of Health Care Administrations - Long Term Care

Long term care services in Florida are licensed by the Bureau of Long Term Care Services, Agency for Health Care Administration. Licensed programs include nursing homes for elderly and individuals with intermediate developmental disabilities, group homes for developmentally disabled and mental health residential treatment hospitals. Some children are cared for in a number of these programs. In addition there is one pediatric nursing home and one facility for medically complex child care.

The agency's original automation system, purchased in 1996 with a source code provided by Tennessee, was adapted from a practitioner licensing model. That system, developed by Versa Management Systems Inc., was implemented in 1997. Prior to this, they had a DOS driven in-house system with limited data: facility demographics and data on certificate issuance.

The development of the current system, under contract with Versa, was actually an upgrade and did not require a bid. Since 2001, with the most recent major upgrade, the agency no longer owns the source code but remains under contract with Versa with an annual support agreement. Versa does the modifications while most of the maintenance is done by three in house IT staff with some additional help.

Prior to the conversion to the new system, known as **License Ease**, the vendor worked with the agency to clean up the data in order to create uniformity in data entry across providers. The agency strongly recommends creating this uniformity in data collection prior to development of a system.

The vendor often requires the in-house IT staffs to research and investigate problems with suggested solutions for repair provided to the vendor. Some of these problems are viewed by the vendor as "system working as designed" issues requiring a charge for repair.

License Ease captures a full range of ongoing licensing activity related to on-site inspections, including the various phases of the licensing process and consumer complaints. Legal cases, stemming from enforcement actions, are tracked through the system with system generated letters and reports.

The system provides 20 data reports as well as detailed management reports – some are programmed reports but most are impromptu using the "COGNOS" ad hoc system. Users of the system, with individual user accounts, have differing rights and permission to the system based on their position in the agency. Staffs are notified of actions such as a pending legal action or provider civil fine. The following chart delineates the range of actions recorded in the system.

Yes	NO	
X		Inquiry
X		Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval
X		Enforcement actions
X		Administrative actions(i.e., reason, type of action, outcome)
X		Complaint investigations (allegations, dates, conclusions, etc.)
X		Clients served (age range, disability, capacity or program type, etc.)
X		Program contact information
X		Inspection due dates
X		Can it alert agency staff of actions in need of attention (i.e. pending renewals, etc.)?Some pop ups(flags) if facility owes fines or has legal case pending; some worker scheduling
X		Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs?

Providers have online access to report adverse incidents and required licensing information such as staffing, available beds, liability claims. Providers complete approximately one half of the licensing process requirements on line and the other half in hard copy.

The system does not allow consumers to view program content information; they can view limited information, such as license number, type and expiration date on providers through the website: floridahealthstat.com. The system does not provide inspection/complaint findings but the agency publishes nursing home inspection results on the web with data from a federal system.

The system permits integration with other programs through a data mart of FRAES provider demographic information shared with other ancillary systems to track emergency related information about residential health care. There is also a System–wide Enforcement Tracking (SET) which provides a view to FRAES demographic information, inspection, complaint and enforcement information, some of which is obtained from a federal database (ASPEN). In addition there are databases on health

care provider employee criminal background screening results and the architectural plans review process for providers.

In the future, the agency would like more flexibility to add validation rules to the system to prevent data entry errors. The workflow process will also be added.
The system is generally not used in the field although some users have a dial up connection which allows them to access data from home. The system was not intended to be portable. The system is easier to use than the federal systems such as ASPEN/OSCAR but the agency would like it to be more intuitive. Training for all modules is usually completed within 1-2 days with additional training available upon request. The agency does a considerable amount of on the job training on the system.

If they were to start over, the agency would buy the source code. The agency's primary advice to others getting started is to create as much uniformity across programs as possible before starting and to develop rules for expansion of the system to make change more comfortable.

Detailed information concerning the Florida long term care system can be viewed on their website www.floridahealthstat.com
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Indiana

The State of Indiana, Division of Family Resources, Bureau of Child Care is responsible for licensure of child care programs and subsidized child care. Prior to the automation, staff tracked responsibilities through excel worksheets and ICWSIS (Integrated Child Welfare Services Information Systems).

Beginning in 1998-99, discussions began regarding an automated child care licensing program. The state chose to contract with an existing local technology provider already under contract, The Consultants Consortium (TCC). The new automation system, known as the "Regulated Child Care System (RCCS) was implemented in 2000-01.

Current system capability includes:

Yes	NO	
	X	Inquiry
X		Application
X		Inspection Dates
X		Overall Inspection Findings
X		Specific Violations cited at inspection
X		Licensing approval/disapproval
X		Enforcement actions
X		Administrative actions(i.e., reason, type of action, outcome)
X		Complaint investigations (allegations, dates, conclusions, etc.)
X		Clients served (age range, disability, capacity or program type, etc.)
X		Program contact information
X		Inspection due dates
X		Can it alert agency staff of actions in need of attention (i.e. pending renewals, etc.)?
X		Does it aggregate rule violation and licensing action data over time period for an individual program/set of programs?

Of the states interviewed, Indiana seems to have the most comprehensive and innovative program. The system captures all information on facilities from application through the licensure process, plan approval, demographics, complaints, injuries, waivers, food program, room specifications, fire marshal inspections, enforcement actions and citations, licensing inspections, directors and their credentials, water testing, etc.

The system creates "Task" lists for the individual counselors which remain until the tasks are completed. In addition, the system provides a variety of forms and letters, such as licenses, enforcement letters, notice of accreditation expirations, etc. Information in the RCC System feeds the subsidized child care and payments system (CCDF), background screening system, as well as the public website.

The agency added personal tablet notebook computers for field staff in 2006, replacing desktops. The tablets contain the same RCCS information and are carried to the field for inspections. They also have a signature recognition capability and can record hand written comments as well as the signature of the child care operator and licensing counselor. Once an inspection is complete, reports are printed and then downloaded to the server from a "docking station".

The tablets also have the ability to take pictures which attach automatically to the inspection report. This feature has proven to be a great asset. There is also an automatic alert system for emergencies or complaints. For example, if a supervisor receives a complaint on a facility, he/she can send an alert to the counselor in the field to request a visit to the facility to begin the investigation. The tablets and system are extremely efficient having reduced the need for clerical staff and increased productivity of field staff. Future plans include adding a global position system (GPS) to tablets.

Management reports have been found to be very helpful. Reports can be run on any assortment of information captured in the system, as well as by individual workers. Supervisors can manage licensing counselor's activities, monitor their workload, view the task list accomplishments, tasks pending, etc. Facility reports address many aspects to help aggregate data for evaluation of staff. Ad hoc reports are requested for special tasks such as evaluating patterns of provider violations, etc. If they find an ad hoc report beneficial, they make a request for creating standard report.

The Child Care Administrator for the State of Indiana believes that part of their success is due to the positive working relationship between the Department and vendor. Their contracted vendor is helpful, accommodating and offers ideas for improvement. Quality enhancements are added on a quarterly basis, generally at no additional cost to the existing contract. When larger enhancements are considered, the vendor provides the Child Care office with a report on the "projected return on investment" which provides a picture of the potential financial benefit vs. cost. Managers find this report extremely helpful in managing their ideas and making worthwhile decisions.

Indiana has also implemented a "Software Steering Committee" which considers suggestions from staff or others about changes or additions to the system. This ensures that there is a level of control and that all aspects of the proposed enhancements are considered.

The public is able to access information on the Child Care Licensing program at the website location: www.childcarefinder.In.gov. The website offers search ability, demographics for each provider along with inspection, complaints and enforcement action.

SUMMARY AND RECOMMENDATIONS

Each state brought an interesting perspective to this study. While most were very pleased with their existing programs, all were able to identify suggestions for improving the process of creating an automated system for licensing.

I. PURPOSE AND PRIORITIES

First and foremost, the focus and goal of the automation system should be established. What is the purpose of the automation? Is it to collect and interface data? Is it to manage the overall day to day process? Is it to provide information to consumers and providers? The project must also have sufficient funding and the support of senior managers.

From this larger picture comes the list of system goals. What should the system accomplish? These expectations should be delineated into three levels of priorities so critical features can be distinguished and put into operation at the beginning and others added later as enhancements.

Flexibility and the potential for growth are very important elements to identify as priorities. Statutory and policy changes are frequent in state government and the system must be able to easily make those accommodations. While this may seem obvious, the vendor or IT developer may not think in those terms. In addition, several program administrators stated they benefited from traveling to other states to observe licensing automation systems.

<u>Recommendations</u>:

- **Set clear priorities.**
- **Define "required" functions to be completed initially and "desired" functions to be added as enhancements.**

II. BUSINESS FLOW

Prior to developing the automation system, the process of analyzing the business practices should be completed. This will most likely be the most critical and beneficial action that can be taken to ensure that the automation system is successful and efficient for staff.

It is best to utilize an outside individual or agency with experience in analyzing work flow. This analysis phase requires involvement of program, administrative and IT staff working together. It should include individuals with different levels of knowledge and skills who are involved in the work flow at some point. The members of this group may change at various intervals of the analysis. Most participants will not be members of the smaller workgroup development team.

All the action steps in every transaction must be examined by the agency. This involves being able to state and draw the work-flow for every transaction in every setting, and where possible, amend the process to be the same for all settings. Even though the current business processes may appear sound and complete, going through this exercise. i.e., considering every step of the process - how applications are sent, checks mailed, corrective plans done, etc., will clarify and solidify an effective, efficient workflow process.

Staff from Virginia and New York strongly emphasized the benefit of this step. New York staff cautioned "Don't miss the opportunity to reflect on how and why something is done. Don't fall prey to repeating the same mistakes at a faster speed. Re-engineer the work process by forcing staff to re-think how business is done and don't just automate what might be an inefficient way of doing things."

It also helps to seriously consider the relational database, identifying where, when and how many times the same information is collected, where it's placed in the system and how is it used.

Recommendations:

- **Analyze all business practices and work flow to enhance efficiency and effectiveness.**
- **Using a professional in this field to facilitate the process is highly recommended.**

III. DEVELOPMENT TEAM

All states reported that having large work groups was extremely ineffective and wasted a great deal of time. Participants often were distracted by speculation ("what if", "what about...") which made keeping focus and direction difficult. Managers and staff would attend intermittently which disrupted planning and derailed ideas.

A small workgroup should be convened and empowered to make decisions. The workgroup should be inclusive of the respective areas to be automated and include IT representation. Workgroups which did not have internal IT representation were often required to make decisions foreign to their experience. IT representatives are crucial in assisting program staff in understanding all the factors to be considered.

Recommendations:

- **Create a small, inclusive workgroup of individuals who are knowledgeable, analytical and dedicated to the project.**
- **The workgroup should be empowered to make decisions and should solicit and/or consider additional information and other staff input as needed.**

IV. SYSTEM DESIGN

The system design phase should precede the bid process or internal development. This phase should also involve the procurement staff (if applicable), internal IT staff and a few program staff who understand the priorities and goals the system should accomplish.

This phase will focus on actual design specifications that will go out for bid or for IT staff to build in-house. It is a time when program staff and IT staff must make sure they are speaking the same language and clearly understand what each is communicating. The agency should also have a good idea of what the system will likely cost compared to how much is budgeted.

Based on the state interviews, concentrating all efforts one program area at a time seemed to be far more successful than tackling multiple areas all at once. If trying to master a larger, more comprehensive system, the design and development piece can become overwhelming and stall the process. Larger systems also require the involvement of more people, which often slows the progress.

New York referred to the building of their child care automation system as the "Lincoln Logs" approach. They began with one priority area at a time. Once satisfied with its operation, they moved on to the next piece.

The success of this concept seemed universal with all those interviewed. Those states that began with a larger vision felt that it slowed the process and things were overlooked in the planning. Using the shorter approach helped keep the workgroups from missing important details and generally improved transition to other program areas.

One important feature the system must have is the ability to "type it once" and "link it" to any other area where it applies. If that concept is captured, it has a snowball effect on efficiency (Michigan). Also, once the vendor/developer is selected, it will be important to consider their input for identifying other ways to design improvement and efficiency.

Recommendation:

- **Finish one priority area completely before moving forward with others.**

V. CUSTOM-BUILT vs. "OFF THE SHELF"

If considering an "off the shelf" product, remember that the process will still require a level of customization. Some products may have limitations that prevent modification. States that experienced "off the shelf" products did not necessarily find it cost efficient.

Michigan staff recommended against buying boxed software. They believe there is greater value in hiring internal programmers who work for the agency to design the software. They noted that customized "add-ons" from a contracted vendor can be very costly. The boxed software was not consistent with the nature of human services licensing.

However, Florida purchased a pre-existing software program specifically for field inspections from the developer, Sanswrite, with customization of the software completed by the vendor. In this case, the vendor had already experienced implementation of a child care licensing program. Florida staffs have been very satisfied with the product.

Since the development of the various state systems identified in this study, there are now more technology providers and more potential choices of pre-developed software packages. Several states with custom-built systems have also purchased pre-developed software programs to run reports, such as Impromptu and Data Warehouse.

Recommendations:

- **Agencies should choose the type of automation program which will best meet their specific needs.**
- **Consider possibilities in using a blend of both types – custom built and "off the shelf" products.**
- **For either choice, customization will be needed and a plan for ongoing maintenance.**

VI. CONTRACTED vs. AGENCY DEVELOPERS

Each state identified its technology partners differently. North Carolina, New York and Michigan all used staff persons employed by the state. However, New York used an existing contractor, Xerox Inc., to assist the agency in conceptualizing the system. Florida contracted with one vendor based on the absence of other vendors at the time; and Arkansas and Indiana used existing state vendors. Virginia, Texas and Colorado all went through the process of putting the automation projects out for bid.

Clearly there are advantages and disadvantages to each approach. In house providers cost less and guarantee ongoing support and maintenance. Utilizing existing contracts is a simplified process that requires very little undertaking. However, both limit choices.

In considering the procurement process, there are now several technology companies in the nation with experience, thereby creating a larger pool of possible vendors. The disadvantage is the length of time the process takes to complete.

Recommendations:

- **If the decision is procurement, then a contract procurement specialist should be involved with the workgroup.**
- **IT and program people should be involved in the contract development, assist at bidders' conferences and with negotiations of timelines and deliverables.**
- **The contract should be specific in expectations of the completed product. If too vague, it deters progress and is unenforceable.**
- **The contract should also include a method of getting the data back in usable form if the vendor fails or if a decision is made to contract with another vendor at the expiration of the first contract.**
- **Prior to awarding a contract, make sure the vendor has a favorable history with previous clients.**

VII. AFTER DEVELOPMENT BEGINS

A. Transferring Old vs. New Information

Consider the importance of transferring existing information to a new system. While transfer may not be difficult for the system designer to accommodate, it may provide more work for staff and managers than simply entering the information as new data.

The decision will depend on the volume of existing information. But if transfer is in the plans, there will be extensive time spent on insuring that no old or obsolete information is transferred. Cleaning up old files and purifying the information can be painstaking and tedious. It will most likely take a long time before the integrity of the new system is pure.

Recommendation:

- **Decide in advance the extent of existing information, and whether to transfer to the new system or treat it as new data.**
- **Plan accordingly.**

B. STAFF TRAINING

All states expressed regret in failing to adequately plan for the training needs of staff. Most states provided two to three days of staff training at initial implementation with an expectation that it would be sufficient. However the training proved inadequate for several reasons:

- Unanticipated culture change. Moving from one method of operation to another creates a change of culture for line staff which may or may not be readily accepted.
- Lack of familiarity with computers or staff that are "techno phobic."
- Too much information provided at one time to be absorbed by participants.
- Staff had no time to practice
- Each staff have a different learning style. Some learn quickly, others require visual aids or repeat opportunities to learn.
- Staff who are not well trained tend to underutilize the total capacity of the system.

Subsequent training beyond the beginning period was not generally provided or planned. The only exceptions were identified as training for new employees, or when substantial changes or enhancements had occurred. All states expressed concern that licensing staff did not make maximum use of their respective automation system.

Some states employ the "super-user" concept which identifies specific staff with additional training and expertise to train newcomers and assist co-workers. Staff turnover keeps the need for "super-users" ongoing, but more often than not, once the supply of these trainers is depleted, training falls to supervisors and co-workers to train new staff.

Florida, Arkansas and Indiana incorporated staff training by the vendor in their contract. However, the contract language is typically vague and most states felt that vendor training was quick and inadequate. Vendor staff will train on the technical aspects of the enhancements or changes, but they do not train staff from a "programmatic" perspective, which staff find easier to understand and apply.

Michigan has designated an agency IT employee to give new employees a one (1) day training on the computer. Florida has a 2 week training course for new counselors and devotes one (1) day of that training to the computer program. In both states, the unit supervisor or co-workers are expected to assist new staff in the learning process.

Arkansas relied on "on the job training"; however they have now dedicated a statewide position l to go where needed to train new staff. This trainer also works with existing counselors on a remedial basis as needed.

Indiana reported that the agency offers bi-weekly training on occasion for staff. They have also purchased software known as "Tel-span" which enables existing staff to receive help directly from a vendor technician. The vendor assists by remotely accessing the counselor's computer.

Texas believes in retrospect that it would have been easier and more efficient in the long run if the process had allowed more practice time for staff and more training on the front end. Even now with new releases, they have left staff floundering by not supplying sufficient training on the system.

Recommendations:

- **Build a budget for initial and on-going training**
- **Plan training with a goal for staff to be able to use the automation system to its maximum capability.**
- **Plan for training of staff in such a way that they have repeated and multiple opportunities to learn the system on an ongoing basis.**
- **Break the learning into sections and provide them time to acquire experience with each component before moving on.**
- **Expect individuals who are uncomfortable with technology and strategize ways to work effectively with them.**
- **Clarify ongoing training by vendor in the contract; however do not expect this type of training to be sufficient for staff. Plan for internal enhancement training.**
- **Work together with the vendor/developer on the development of the Users' Manual to make it complete and easy for licensing staff to use.**

C. Pilot Testing, "Going Live" and Future Enhancements

Pilot testing is a normal procedure prior to actual implementation of an automation system. This phase should involve selecting users by program or region, to test the system for the ease of use, effectiveness in doing the job, and the efficiency it contributes.

Florida's staff shared that the agency piloted the program initially, but that as time went by, tended to get away from piloting new phases of the development.

They believe that piloting was an important step and should be included in the planning for each phase of the system's development. It is more efficient in the long run and leads to a more successful statewide system.

Once the automation system is operational, the website is generally the next phase. Determining the amount of information to be posted is important to providers and the public. If inspection or complaint reports are in the plan, both Virginia and Florida stressed the importance of planning for a system of reviewing reports for errors and appropriateness prior to posting on the web.

Ways to enhance the system will be a reoccurring theme from this point forward. It will be important to approach enhancement suggestions in an organized manner to evaluate significance, effective, cost and overall impact.

Recommendations:

- **Plan for pilot testing at each phase of system's development.**
- **Consider continuing the small workgroup concept to address ongoing enhancement.**
- **Review important data before posting to website.**

CONCLUSION

NARA has identified states with successful "state of the art" automation systems that include field inspection components, has identified possible vendors for design and development of a system and made specific recommendations on the best method to develop and implement an effective automated system.

Using a survey of automation systems in states/provinces/territories, NARA selected nine states for further study. This report has described the automation systems in each of these states and then summarized the thinking and experiences of these states in the design, development and implementation of their systems.

The report outlines clear recommendations from the states to guide others in developing an automation system. All of the recommendations are important and valuable. However, several stand out as most critical: a) set clear expectations and priorities for the process prior to initiating the process, b) establish all business practices and workflow to be captured by the system before proceeding, c) work with a small empowered group of staff throughout the design and implementation and d) consider completing and piloting one priority area before moving on to the next.

There is a wealth of information in the report and appendices to guide the Department in developing a functional, "state of the art" automation system. States were very willing to respond to the NARA survey and are readily available to provide more guidance for other states in their endeavors. We wish to thank all of the state/provincial staff who shared their experiences, knowledge and wisdom on the automation of licensing systems.

For further information on the report and project, please contact Nancy Starr at NLStarr@hotmail.com and Pauline Koch at Pauline@naralicensing.org

NARA Automation Survey Results - March 2006

Date Rec'd	State/Prov /Country	Contact	Automated System	Categories Included	Capture license process	Management Reports	Web-based	DEVELOPER IH = in house C=Contracted out	Mobile or laptops for field?	Public Viewing	Consider for Selection
3/7/2006	Alabama	Dianne Wright	No	No	No	No	No	No	No	No	No, AL in developmental stage
3/26/2006	Arizona	David Douglas	Yes	Child Care, Adult Care, DD and MH	Yes	Yes	Yes	Iin house and ASPEN	Yes	No	No - TC to David Douglas indicated program not developed to the extent described in survey
3/11/2006	Arkansas	Kelli Hilburn	Yes	Child Care, QA	Yes	Yes	No	Contracted - Northrop Grumman	In progress	Some	Yes, consider for selected state
2/13/2006	British Columbia	Kim McDonald	Yes	Child Care, Adult Care	No	To some degree	No	Contracted - Healthspace	No	No	Possibly, has limitations but recommended by agency
3/15/2006	British Columbia	Nicole Byrne	Yes	Child Care, Adult Care	Yes	Yes	Being discussed	Contracted - Healthspace	No but has capability	No, But has capability	Possibly, has limitations but recommended by agency
2/21/2006	British Columbia	L. Cates	Yes	Not specified	No	No	No	Contracted - Hedgehog Environmental Systems - Decade Software	No	No	No
3/16/2006	British Columbia	Margaret Mitchell	Yes	Child Care, DD and MH	Yes partially	Unknown	Yes	Contracted - not identified	No	No	No
3/11/2006	Colorado	Roger Esquibel	Yes	Child Care, Child Welfare, Background Screening	Yes	Yes	Yes	Contracted - Compuware	Yes	Yes	Yes, consider for selected state
2/24/2006	Connecticut	D. Conover	Yes	Child Care, background checks	Yes, but limited	Limited	No	In house	No	No	No

NARA Automation Survey Results - March 2006

Date Rec'd	State/Prov /Country	Contact	Automated System	Categories Included	Capture license process	Management Reports	Web-based	DEVELOPER IH = in house C=Contracted out	Mobile or laptops for field?	Public Viewing	Consider for Selection
2/22/2006	Delaware	L. Jezyk	Yes, but needs updating	Child care, child welfare, Background screening	Yes, but under improvement	Yes, but under improvement	Yes	Contracted - Maximus	Yes	Yes	Older system, needs revisions
2/9/2006	Florida	Debby Russo	Yes	Child Care, Background Screening	Yes	Yes	Yes	Contracted - Sanswrite	Yes	Yes	Yes, consider for selected state
3/2/2006	Florida	Joyce West	Yes	Child Care, Background Screening	Yes	Yes	Yes	Contracted - Sanswrite	Yes	Yes	Duplicate - Yes, consider for selected state
3/15/2006	Florida	Molly McKinstry	Yes	Some Child Care, DD, MH, Adult Care, Health Care professionals and facilities	Yes	Yes	Yes	Contracted - Versa Management System	Yes for federal program ASPEN	Yes	Interesting response
3/11/2006	Hawaii	Julie Morita	Yes	Child Care	Not Really	Yes	No	Contracted - eWorldES	No	No	No
2/28/2006	Illinois	Pat Bennett	Yes, but old	Child care, child welfare, background checks	Yes, but limited	Limited	No	Contracted - unknown	No	No	No, old and in need of refinement/replacement. Agency would not recommend
2/10/2006	Indiana	Debbie Sampson	Yes	Child care, Background screening	yes	yes	partially	Contracted - TCC	Yes	Yes	YES selected state
2/16/2006	Indiana	A. Smith	Yes	Child care, Background screening	Yes	Yes	Yes	Contracted - Consultants Consortium	Yes	Yes	YES selected state

NARA Automation Survey Results - March 2006

Date Rec'd	State/Prov /Country	Contact	Automated System	Categories Included	Capture license process	Management Reports	Web-based	DEVELOPER IH = in house C=Contracted out	Mobile or laptops for field?	Public Viewing	Consider for Selection
3/11/2006	Iowa	James Overland	No	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No
2/10/2006	Kansas	Eldonna Chesnut	Yes	Child Care, Adult Care	Yes	Yes	Yes	Contracted - KDHE	In progress	Not yet	Recommended by Child Care staff but no infor about adult care intergration
2/10/2006	Kentucky	Robert Hester	Yes	Child Care , Adult Care	Yes	Somewhat	Yes	In house	No	No	No
3/11/2006	Maine	Peter Mauro	Yes	Child Welfare	Yes	No	No	Contracted	No	No	No, not happy with system
3/7/2006	Maryland	Phil Koskin	Total new system in progress	In progress	In progress	In progress	In progress	Contracted - Maximus	In progress	In progress	Due June 2006
3/15/2006	Michigan	James Sinnamon	Yes	Child Care, Child Welfare, Adfult Care, Background Screening	Yes	No	No	In house	No	Yes	Recommended by staff - more comprehensive than most - we should probably seek more info?
2/9/2006 and 3/1/06	Mississippi	Festus Simkins	Yes, but doesn't meet their needs	Child Care	No	No	No	N/A	No	No	No need a new system when $ permits
2/10/2006	Mississippi	Gloria Shelton	No	MH, DD	Have a system (Macwis) but not automated?	No	No	N/A	Laptops used by staff	No	No
4/18/2006	Missouri	Lisa Bastean	Yes	Child Care	Yes	No	No	IN house - but now beginning to work with MAP	No, not yet	No	No
3/6/2006	Nevada	Paula Hawkins	Partial	Child Care	No	No	No	unknown	No	No	No, Pending development

NARA Automation Survey Results - March 2006

Date Rec'd	State/Prov /Country	Contact	Automated System	Categories Included	Capture license process	Management Reports	Web-based	DEVELOPER IH = in house C=Contracted out	Mobile or laptops for field?	Public Viewing	Consider for Selection
3/11/2006	New Hampshire	Denise Corvino	No	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No
3/2/2006	New Hampshire	Theresa Jarvis	Yes	DD,MH, Adult Care	Partial	No	No	In house	No	No	No
2/1/2006	New Jersey	Sue Metz	No	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No
3/15/2006	New York	Suzanne Sennett	Yes	Child Care and Background Screening	Yes	Yes	Yes	In house	In Progress	Yes	Has several plans for increasing program. Would be worth talking to.
3/7/2006	North Carolina	June Locklear	Yes	Child Care - is also connected to subsidy program	Yes	Yes	Yes	In house	Yes	Yes	Yes, should be considered
3/1/2006	Ohio	Ernie Fischer	Yes	Unclear	Yes	No	No	In house	No	No	No, is currently being revised.
3/2/2006	Oklahoma	Donna Porter	Uses two systems	Child care and child welfare	Yes with both	No	In progress	Contracted - Premiros Tech.	In progress	In progress	Working on new system at this time
2/17/2006	Pennsylvania	K. Kroh	No	Simple one in ALF	N/A	N/A	N/A	N/A	N/A	N/A	No
3/7/2006	Pennsylvania	Robert Robinson	Yes - limited	Administrative information	No	No	No	In house	No	No	No
3/1/2006	Prince Edward Isl. Canada	C. McCormick	No	N/A	N/A	N/A	N/A	N/A	N/A	N/A	NO
3/7/2006	Rhode Island	Ian Knowles	Yes, partial	DD,MH, Substance abuse	Yes	No	No	In house	Partial	Partial	No - program does not include licensing piece. (per TC with Ian)
3/2/2006	Saipan	Joann Aquino	No	N/A	N/A	N/A	N/A	N/A	N/A	N/A	No

NARA Automation Survey Results - March 2006

Date Rec'd	State/Prov /Country	Contact	Automated System	Categories Included	Capture license process	Management Reports	Web-based	DEVELOPER IH = in house C=Contracted out	Mobile or laptops for field?	Public Viewing	Consider for Selection
2/27/2006	Saskatchewan	B. Dougherty and Raianne Engel	Yes, system has two components	Child Care	Yes	Yes but limited	No	In house	No	No	No, systems currently under review.
3/13/2006	South Carolina	Rita Paul	Yes, new program	Child Care	In progress	In progress	In progress	In house	Yes	Yes, partially	No, still in development
2/10/2006	South Dakota	Carroll Forsch	Yes	Child Care, Child Welfare	Partial	No	No	In house	No	No	No, working on new system
2/9/2006	Tennessee	Arthur Hyde	No	MH	NA	NA	NA	NA	NA	NA	No
2/10/2006	Tennessee	Unknown	No automated system for MH and DD	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
3/13/2006	Tennessee	Judy Stephenson	Yes	Child Care and Background Screening	Yes	Yes	No, but working on it.	Contracted - then in house, Software purchased by CIBER	No	Some	No, In process of being updated
2/13/2006	Texas	Pat Smith	Yes	Child Care, RCCF, foster care agencies	Yes	Yes	Yes	Contracted - Accenture	Not currently	Yes	Yes -
2/28/2006	Virginia	Jeff Williams	Yes	Child care, child welfare, adult care	Yes	Yes	Yes	Contracted - Bearing Point	Yes	Yes	Yes, consider for selected state
3/1/2006	Virginia	Charlene Vincent	Yes	Children's residential programs	Yes	Yes	No	In house	No	No	No

NARA Automation Survey Results - March 2006

Date Rec'd	State/Prov /Country	Contact	Automated System	Categories Included	Capture license process	Management Reports	Web-based	DEVELOPER IH = in house C=Contracted out	Mobile or laptops for field?	Public Viewing	Consider for Selection
2/15/2006	Washington	J. Roalkam	Yes	Child Care, child welfare	Limited	Limited	No	Contracted - unknown	No	In progress	No, not recommended by state due to age
3/11/2006	Washington DC	Valerie Ware	Yes	Child Care	Yes	No	No	Contracted - Accela	No	No	Recommends although not totally satisfied with system
2/28/2006	Wisconsin	Ric Hirst	Yes	Child care and subsidized CC info, payments	Yes	Yes	Yes	Contracted - NEERAJ CHITRA	Yes	Not yet	Consider for selection although WI says not yet recommended
3/6/2006	Wisconsin	Mark Andrews	Yes	Adult Care	Yes	Yes	No	Doesn't know	No	No	No (APIS system not recommended)

NARA Automation Survey of Selected States
Phase 2

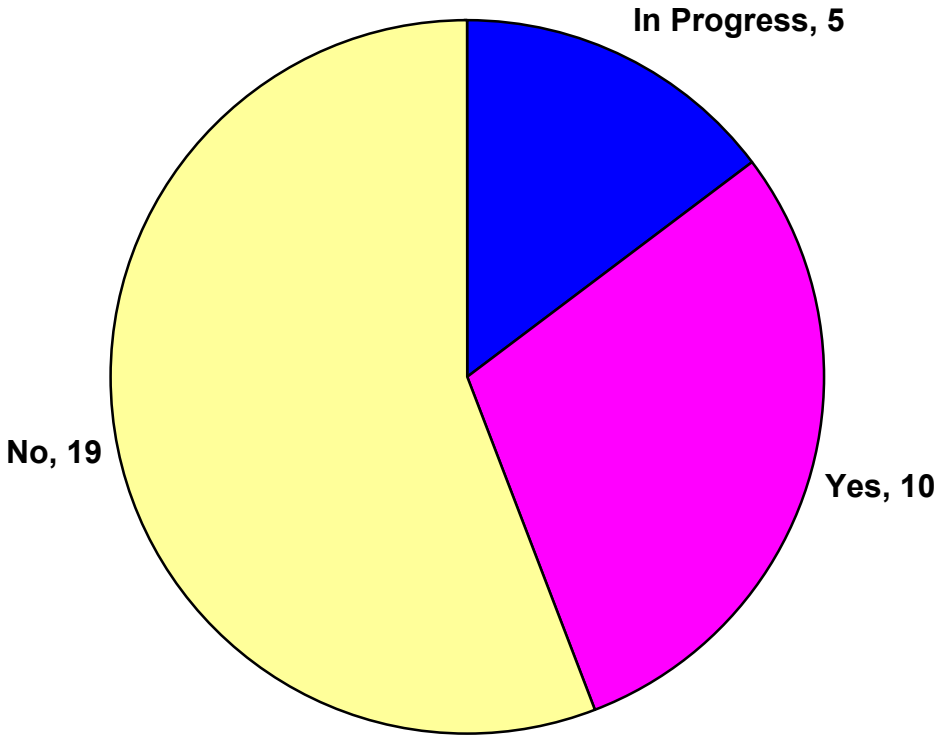
State/Prov /Country	Contact	Categories Included	Name of System	RFP, Existing Vendor, Single Source Contract	Number of bidders	Implementation date	DEVELOPER IH = in house C=Contracted out	Satisfaction with vendor	Capture license process	Web-based	Mobile or laptops for field?	Public Viewing
Arkansas	Kelli Hilburn	Child Care, QA	Child Care Liensing, Eligibility and Nutrition - (CLEAN)	No RFP - used existing vendor	n/a	2002	Contracted - Northrop Grumman	Rough spots but overall pleased	Yes, detailed	No	In progress	Some
Colorado	Roger Esquibel	Child Care, Child Welfare, Background Screening	Colorado Child Care Licensing System (CCCLS)	RFP process - took a year to get through levels of approval	8 bids	Set to be implemented June 2006	Contracted - "Compuware"	Yet to be determined	Anticipated	Yes	Not developed like other states	Currently under construction
Florida	Debby Russo	Child Care, Background Screening	Child Care Information Sytsem	Single sourced after researching	n/a	2001	Contracted - (MAP Software, Inc.) Sanswrite	Extremely satisfied - vendor very responsive to needs	Yes, basic categories	Yes	Yes	Yes
Florida	Molly McKinstry	Some Child Care, DD, MH, Adult Care, Health Care professionals and facilities	LicenseEase Florida Regulatory System	Single-sourced for upgrade with Versa	n/a	1997	Contracted - Versa Management System	Adequate	yes	Yes	Yes for federal program ASPEN	Yes
Indiana	Michelle Thomas	Child care, Background screening	Regulated Child Care System (RCCS)	Single sourced with existing state vendor	n/a	2000-01	Contracted - Consultants Consortium	Extremely satisfied - vendor very responsive and innovative	Yes, lots of detail	Yes	Yes	Yes
Michigan	Tim Hickman	Child Care, Child Welfare, Adfult Care, Background Screening	BITS "Bureau Information Tracking System"	In house development - hired staff from other section of state agency	n/a	2001	In house - they hired state programming staff from overseeing agency	N/A	Yes, with detail	No, however they have many aspects of the system posted on the internet. Basically the work is done and then it's posted on line for public viewing	No	Yes
New York	Suzanne Sennett	Child Care and Background Screening	Child Care Facility Licensing System	In house development	n/a	2000	In house development with input from Xerox, Inc.	Their experise in anaylyzing the business activity was very worthwhile and highly recommended.	Yes	Yes	In Progress	Yes
North Carolina	June Locklear	Child Care - is also connected to subsidy program	Regulatory System	In house development	N/A	1996	In house	N/A	Yes, basic categories	Yes	Yes	Yes

Compiled by: Nancy Starr
NARA consultant, April 2006

NARA Automation Survey of Selected States
Phase 2

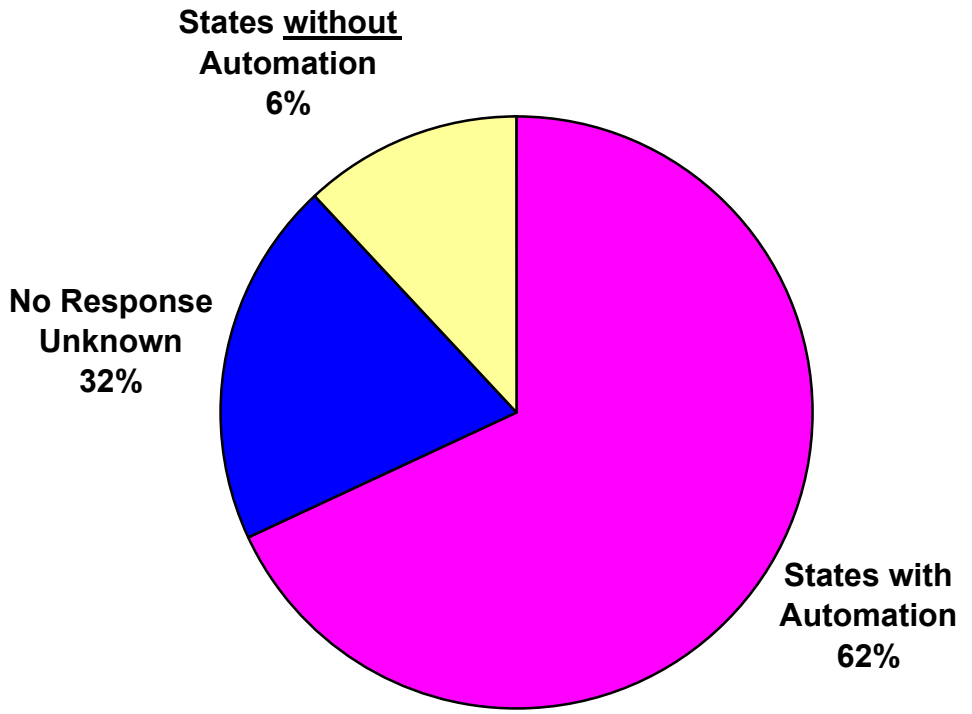
Texas	Pat Smith	Child Care, RCCF, foster care agencies	Child Care Licensing Automation System - (CLASS)	RFP process - took about a year	10 bids	2000	Contracted - Accenture	Very satisfied. Vendor was very responsive, listened to needs, seemed committed to building what they wanted.	Yes, detailed	Yes	Not currently	Yes
Virginia	Jeff Williams	Child care, child welfare, adult care	Division of Licensing Programs Help and Information System - (DOLPHIN)-	RFP- process took 7.5 months	12 bids	2003	Contracted - Bearing Point with subcontractor VERSA	Started off well but hit several bumps along the way. Difficult to have one vendor and then another vender subcontracted. It created several problems. Would not recommend that arranmgement.	Yes, basic categories	Yes	Yes	Yes

Do Licensing Staff Use Mobile or Laptop Computers to Enter Information from the Field?
(Results from 34 states)



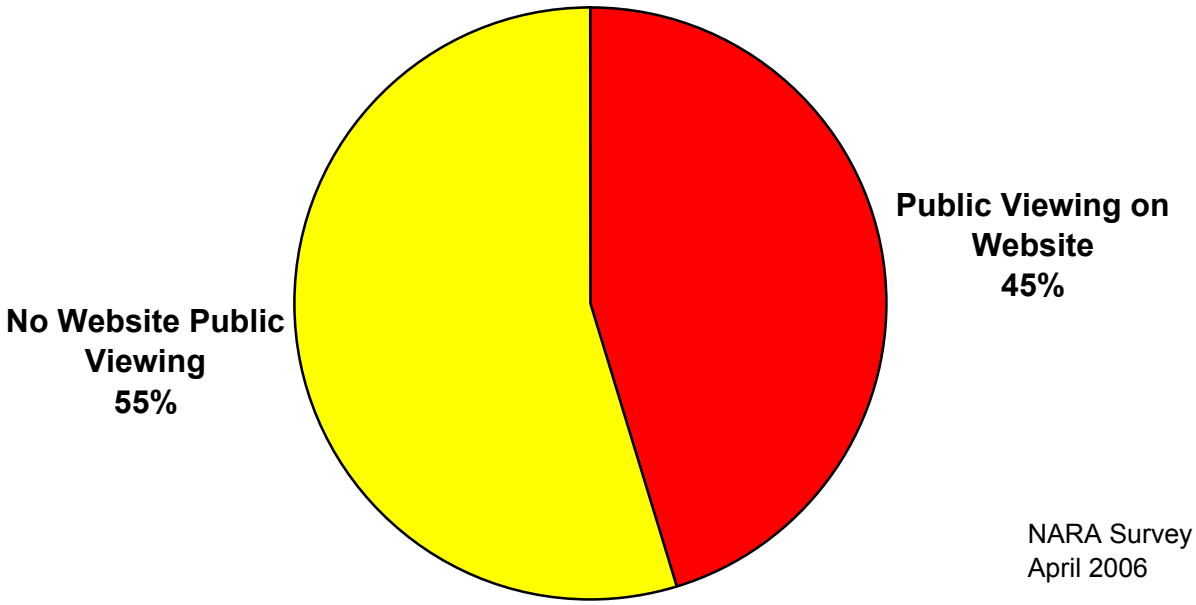
NARA survey
April 2006

Do you have an Automated System for the Licensing Program? (US States Only)



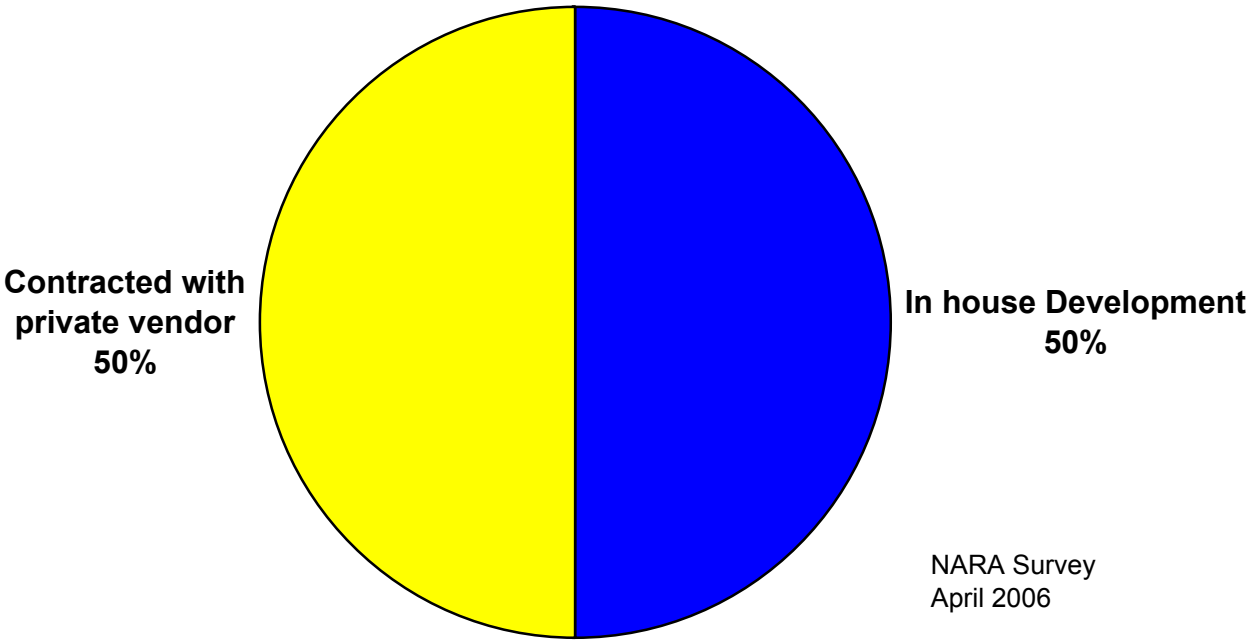
NARA Survey
April 2006

Is Any Part of Your System Available to the Public for Viewing?
(Based on responses from 34 states)



NARA Survey
April 2006

Who Developed Your Automated System?



NARA Survey
April 2006