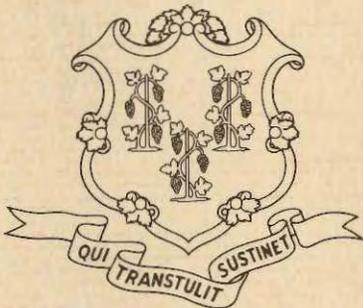


Family Day Care Homes In Connecticut

Connecticut
General Assembly



LEGISLATIVE
PROGRAM REVIEW
AND
INVESTIGATIONS
COMMITTEE

December 1980

CONNECTICUT GENERAL ASSEMBLY

LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE

The Legislative Program Review and Investigations Committee is a joint, bipartisan, statutory committee of the Connecticut General Assembly. It was established in 1972 as the Legislative Program Review Committee to evaluate the efficiency and effectiveness of selected state programs and to recommend improvements where indicated. In 1975 the General Assembly expanded the Committee's function to include investigations and changed its name to the Legislative Program Review and Investigations Committee. During the 1977 session, the Committee's mandate was again expanded by the Executive Reorganization Act to include "Sunset" performance reviews of nearly 100 agencies, boards, and commissions, commencing on January 1, 1979.

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FAMILY DAY CARE HOMES IN CONNECTICUT:

A PROGRAM REVIEW

LEGISLATIVE PROGRAM REVIEW AND

INVESTIGATIONS COMMITTEE

DECEMBER 1980

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LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE

Family Day Care Homes in Connecticut:
A Program Review

SUMMARY

In January 1980, the Legislative Program Review and Investigations Committee (LPR&IC) initiated a program review of family day care homes in Connecticut, focusing on the roles of the major agencies governing the regulation of such homes and the need for day care services. The committee's interest in this area was motivated by the recognition that a state day care policy does not exist.

The committee decided to examine only family day care homes in order to become familiar with the concepts and issues relevant to day care while maintaining a manageable scope for the review. Day care centers and group day care homes will be discussed in a follow-up study. It is the hope of the committee that a coordinated and integrated comprehensive plan and day care policy for the state will result from the two studies.

Assessment of the need for increased availability of day care services included an examination of the growth of women and mothers in the work force and estimates of the future growth of various occupational categories in the state. Day care providers were also asked their perceptions of the need for additional day care services.

Currently, responsibility for the regulation of day care services is fragmented. In the area of day care homes alone, five governmental entities are involved--the Departments of Children and Youth Services (DCYS), Income Maintenance (DIM) and Human Resources (DHR), the Office of Child Day Care and the Child Day Care Council. The two agencies with major roles are DCYS, which issues the family day care home licenses and regulations, and DHR, whose responsibilities include carrying out the various processing and inspection activities required for the licensure of a home, public information efforts, and the provision of technical assistance to day care home providers.

In an effort to improve the efficiency and effectiveness of the operation of the family day care home program in the state, the Legislative Program Review and Investigations Committee made recommendations in seven areas. These proposed modifications are intended to focus on changes in program activities and administrative structures which should facilitate the provision of day care home services in the state.

RECOMMENDATIONS

Role Definition of the Principal Agencies

1. All jurisdiction over family day care homes should be consolidated in one agency--the Department of Human Resources.
2. DHR should formalize and publish the major goals and objectives of the family day care home system.

Level of Regulation

3. The present level of regulation for family day care homes should be continued.
4. The legislative subject matter committee having jurisdiction over this area in 1981 should reevaluate the issue of licensure for family day care homes.

Standardization of Procedures

5. The Department of Human Resources should standardize its district office procedures for the initial licensing of family day care homes and the renewal of day care licenses.
6. DHR should ensure that a mechanism exists to handle complaints against day care providers and that follow-up investigations will be made.
7. All visits to day care homes, both those made at license renewal time and those made for purposes of monitoring, should be unannounced.
8. DHR should develop a procedure whereby periodic, unannounced visits are conducted on a random sample of approximately 20 percent of the active day care homes. Homes against which complaints have been filed should be monitored more frequently.
9. District offices should also be responsible for dealing with local fire marshals.

Public Information Efforts

10. The Department of Human Resources should undertake a systematic and on-going public information campaign to educate the public and relevant social service agencies about family day care homes in general.

11. DHR should also provide specific information in the areas of:
- A) Licensing - the requirements for licensure, any costs associated with the licensing process, the benefits of licensure, and enforcement of licensure; or
 - Certification - any costs associated with the certification process, the benefits of being a certified family day care home provider, and eligibility criteria for certification;
 - B) Referrals - where parents desiring family day care services can obtain specific information about the program; and
 - C) The complaint process for dissatisfied consumers and providers.
12. DHR should inform day care providers about other individuals in their neighborhoods who are also day care providers. DHR should also inform day care providers about available educational and training opportunities.

The Child Day Care Council

13. Section 19-43c of the Connecticut General Statutes should be amended to change the membership of the Child Day Care Council from 11 members to 13 members. The Commissioner of Income Maintenance and a provider representing day care operators should be added.

Regulatory Changes

14. The current state capacity limit regulations should be changed to conform to the proposed federal regulations.

AFDC Day Care Payments

15. The AFDC fee payment rate should be set per child rather than on the basis of the number of siblings cared for in a home. In addition, separate half-day and full-day rates should be set for AFDC children. In order to accomplish these changes, the Department of Human Resources, in consultation with the Department of Income Maintenance, should compute a fair rate for AFDC children.

CHAPTER 1

INTRODUCTION

Child day care is a service which provides parents or guardians who are working or away from home with care for their children during a portion of the day. Currently, the form of child care used most often for all age groups--other than the child remaining in his or her own home--is the day care home.¹ Day care centers which are another common form of care also provide educational and social services for children. The state and federal regulatory requirements of these two types of service differ to reflect the limits and needs of the respective settings.

The need for child care differs depending on a number of factors including the age of the child, the income of the family, and the employment status of the parent(s). Child care is a concern for increasing numbers of parents who choose to remain in the work force after the birth of a child. The "latch-key syndrome"--a child coming home to an empty house--is of paramount consideration to parents who need supervisory care for a school age child during part of the day. In addition, competent care for infants and toddlers is needed by many parents.

The demand for and availability of day care services in the United States has been increasing steadily for several years. The location and quantity of existing resources, however, are insufficient to meet the needs of all who would like to use such services. In addition, concerns have been expressed about the quality of care being provided.

The June 1980 meeting of the Eastern Region White House Conference on Families in Baltimore, Maryland, addressed the issue of day care in its recommendations. The conference approved a statement calling for a policy that government at all levels promote the development of alternative forms of quality care, both center and home based, in order to assure that child care programs involve families and reflect their diverse values and choices for their children.

In response to similar concerns, the Legislative Program Review and Investigations Committee (LPR&IC) initiated a

¹ Office of Assistance for Planning and Evaluation, The Appropriateness of the Federal Interagency Day Care Requirements (FIDCR): Report on Findings and Recommendations (Washington, D.C.: United States Department of Health, Education and Welfare, June, 1978).

program review of family day care homes in Connecticut in January 1980. The committee's interest in this area was particularly motivated by the recognition that a state day care policy does not exist. At the outset of this review, three state departments--Children and Youth Services, Income Maintenance and Human Resources--had major roles in the regulation of family day care homes. This fragmentation of functions among various state departments precipitated a question about the efficiency and effectiveness of a service operating under a multitude of administrative entities.

Instability within the day care home field has been increased by current federal guidelines which tend to discourage continuity of service, limit public knowledge about family day care, and produce variations in both fee schedules and minimum quality standards. Furthermore, control over operating standards and the uniform collection of data--important not only to agencies with jurisdiction in this area, but also to family day care providers and consumers of care--have not kept pace with the accelerating need for quality care.

The rationale for reviewing only family day care homes² was to familiarize the committee with concepts and issues relevant to day care, while maintaining a manageable scope for the review. Privately and publically funded day care centers, group homes, and other innovative before and after school programs are not reviewed in this project. It is the committee's intention to review these types of day care in a second study. A coordinated and integrated comprehensive plan, including recommendations from the second study, could culminate in a day care policy for Connecticut.

This review analyzes the roles of the major agencies governing family day care homes, coupled with a focus on family day care home providers, whose views are critical in the development of day care policies. The committee believes the state should identify the critical components necessary for a comprehensive day care policy and begin to standardize those elements across all day care services.

² Family day care is usually provided for a fee, by individuals who care for several children in their home. It is usually distinguishable from other day care by its location in a home within the consumer's neighborhood, a less formal and more personalized administrative operation, generally more flexible hours and days, and its small-group composition, which may include siblings. Under C.G.S. Section 19-43b(c), a family day care home is defined as a private family home caring for not more than four children not related to the provider where the children are cared for not less than three nor more than 12 hours during a 24 hour period and where care is given on a regularly recurring basis.

Methodology

A variety of evaluation methods were utilized in this review. In addition to comprehensive questionnaires mailed to providers and structured interviews conducted with personnel in the district offices of the Department of Human Resources (DHR), information was obtained during meetings with individuals from the agencies responsible for ensuring that the state's day care functions are carried out. A public hearing was also held by the committee on June 11, 1980.

Provider questionnaires. A questionnaire for licensed family day care home providers was developed by the LPR&IC staff. It was pretested during February 1980 on a pilot group of people who work with and train family day care providers as well as individuals trained in the area of program evaluation. Each question was discussed with this group and improvements and modifications were subsequently made.

Access to a list of the approximately 2,500 licensed family day care providers was provided by DHR.³ A randomly selected sample of 500 (20 percent of the population) was selected and mailed the questionnaire. A month later, a second random sample of 300 (12 percent) was selected. The total sample of 800 was subsequently reduced by 41 because of surveys returned by the U.S. Postal Service as undeliverable. During February and March 1980, 386 responses were received for a return rate of 51 percent.

The questionnaire was designed to measure a number of topical issues regarding child day care. It contained questions about the family day care home caregivers' history in the area of day care, including how they found out about licensure and why they decided to get a family day care license, their interaction with the state and local administration of family day care, and their feelings about licensing standards, training, the application process, home inspections and technical assistance. Four detailed questions concerned characteristics of the children served. The final section of the survey asked about the family day care providers themselves. (See Appendix III.)

³ As of October 1, 1980, there were 2,594 licensed family day care home providers in Connecticut. Licenses are issued annually to individuals for use at a specified address. (See Appendix II for a copy of the application form.)

A modified caregivers' questionnaire was sent to all of the family day care home providers of Child and Family Services, Inc. (CFS).⁴ Because these individuals receive extensive training and are guaranteed payment by CFS for children cared for, the committee was interested in whether or not there would be any differences between their responses and those of the DCYS licensed providers. All 38 CFS caregivers were mailed questionnaires. One survey was returned incomplete; 22 questionnaires were filled out and returned for a 59 percent response rate. (See Appendix IV.)

Structured interviews. Face-to-face interviews, using a structured format, were conducted with each of the six district office human resource managers and 11 of their day care specialists. The questions focused on staff experience with the administration and provision of day care services, the interaction between the district offices and the central day care office, day care policy and guidelines, the benefits of licensure, and the organizational development and jurisdiction of the family day care system. (See Appendix V.)

Other sources of information. The commissioners from the Department of Human Resources, the Department of Income Maintenance and the Department of Children and Youth Services and other individuals in those agencies responsible for day care program activities were interviewed to obtain clarification about issues related to family day care and some of the initial results from the provider questionnaires. The Director of the Office of Child Day Care was also interviewed.

The Child Day Care Council, which is composed of individuals from a diverse, yet representative, constituency of day care entities, was also surveyed. Five of the twelve members on the council responded to the questionnaire for a response rate of 42 percent. Not all questions, however, were answered by the respondents resulting in a response rate too low to use as a basis for drawing conclusions. (See Appendix VI.)

⁴ Child and Family Services, Inc. is a child placing agency, licensed under C.G.S., Sec. 17-49a, to place children in foster or adoptive homes. It also operates a day care home program. A prerequisite for acceptance as a CFS family day care home provider is the completion of basic training covering areas such as child development, health and safety, child care routines, creative play and nutrition. On-going training and educational support visits to the day care homes are provided by CFS staff. There are 36 other child placing agencies in Connecticut, approximately 10 of which operate some type of family day care home program.

Acknowledgements

The Legislative Program Review and Investigations Committee and its staff wish to thank the many state agency staff who provided information and suggestions during the preparation of this report. The committee also appreciates the cooperation of Child and Family Services, Inc., especially during the data gathering phase of the study. The committee would like to express special thanks to all family day care home providers who responded to the questionnaires distributed for the study. The committee also wishes to acknowledge the contributions of Elaine Anderson, Randy Garber and Joanne Downs, former members of the committee staff, in the design and development of the study during its early stages.

CHAPTER II

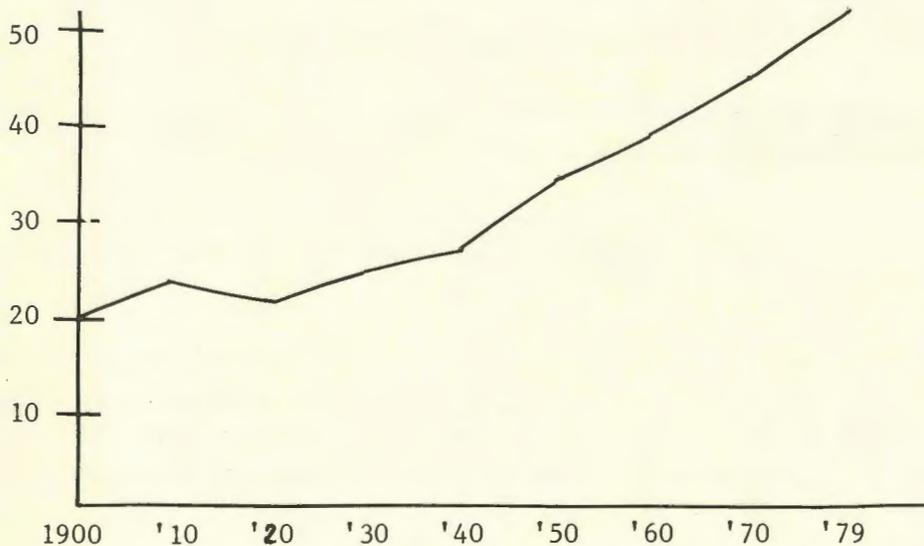
THE NEED FOR AND AVAILABILITY OF DAY CARE SERVICES

Documentation of Need for Day Care

There has been a dramatic increase in the number of women entering the labor force in the United States. In 1940, only 25 percent of all women worked while in 1979, over half were employed outside the home. (See Figure II-1.) Of the women currently in the labor force, seven out of ten are employed full time.

A traditional indicator of need for day care services is the number of working women with pre-school children. In March 1979, of all mothers with children under 18, 55 percent of these women were in the labor force. Of those with offspring between 6 and 17 years of age, 63 percent were working; 45 percent of the mothers with children under six were employed.

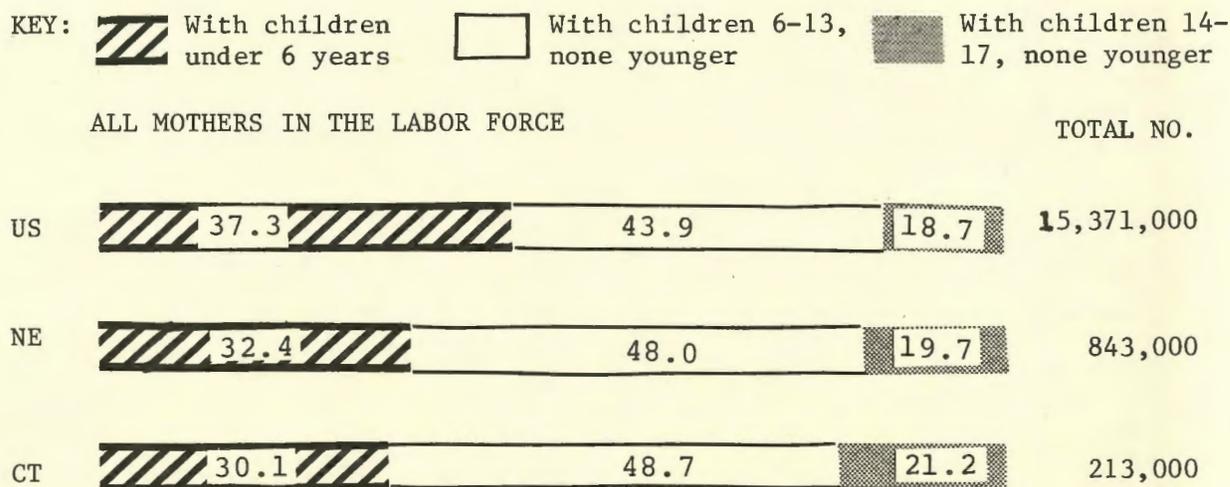
Figure II-1. Percentage of Women Over 16 in the Labor Force.



Source: Bureau of Labor Statistics and Bureau of Census data used in "The Superwoman Squeeze," Newsweek, March 19, 1980, p. 74.

By 1990, it is estimated that two out of three mothers will be working outside the home and half of them will have children under six. Connecticut statistics for 1976 indicate that 37 percent of all women in the work force had children under 18 and 14 percent had children under the age of six.⁵ Figure II-2 shows the ages of the children of mothers in the work force.

Figure II-2. Percent Distribution of Mothers in the Labor Force, by Age of Own Children, Spring, 1976 - United States (US), New England (NE) and Connecticut (CT).



Source: Connecticut Office of Child Day Care, Annual Report 1978-79, p. 10.

Studies in the past have found that a definable relationship exists between income or marital status and the need for day care.⁶ In general, the lower a family's income, the greater

⁵ Susan Bucknell, Executive Director, Permanent Commission on the Status of Women, Legislative Program Review and Investigations Committee public hearing on family day care homes, June 11, 1980, p. 39.

⁶ Permanent Commission on the Status of Women, Day Care in Connecticut: Problems and Perspectives, July 1975, pp. 36-37.

its need for day care facilities which will allow both parents to work outside the home. It is expected this same relationship will be true when a mother is the head of the household. As of 1974, one out of every six American children under the age of 11 lived in a single parent family--almost double the rate 30 years earlier.⁷ Available data on female headed families indicate that 54 percent of such women are in the labor force. (See Table II-1.) In Connecticut, it is estimated that three-quarters of the children under 18 from families with incomes below the poverty level live in female headed households. (See Table II-2.)

Table II-1. Labor Force Status of Female Family Heads, By Age, March 1974.

| Age | Population | Labor force | Percent in labor force |
|-------------------|------------|-------------|------------------------|
| Total | 6,798,000 | 3,679,000 | 54.1 |
| 16 to 24 years | 601,000 | 299,000 | 49.8 |
| 25 to 34 years | 1,484,000 | 936,000 | 63.1 |
| 35 to 44 years | 1,418,000 | 939,000 | 66.2 |
| 45 to 54 years | 1,255,000 | 867,000 | 69.1 |
| 55 to 64 years | 904,000 | 531,000 | 58.7 |
| 65 years and over | 1,136,000 | 107,000 | 9.4 |

Source: United States Department of Labor, 1975 Hand Book on Women Workers, p. 22.

During the period from 1974 through 1985, the number of job openings (due to turnover or expansion) in Connecticut is expected to be approximately 194,000. The two largest areas of new employment are expected to be clerical (52,160 jobs) and service (44,130 jobs).⁸ As Table II-3 shows, women are almost twice as likely to be employed as clerical workers as in any other occupation.

⁷ United States Department of Health, Education and Welfare, Is Early Intervention Effective?, by U. Bronfenbrenner, (Washington, D.C.: Government Printing Office, 1974).

⁸ Connecticut Department of Labor, Annual Planning Information FY 1981, p. 26.

Table II-2. Estimated Poverty Levels in Connecticut - 1981.

| <u>Persons below the poverty level</u> | | <u>Related children under 18 below the poverty level</u> | |
|--|---------|--|--------|
| Total | 365,820 | Total | 89,270 |
| Persons in families | 199,570 | <u>By age</u> | |
| Unrelated persons | 166,250 | under 6 years | 32,670 |
| | | 6 - 17 years | 56,600 |
| | | <u>By type of family and age</u> | |
| | | <u>Male head</u> | 20,380 |
| | | under 6 years | 13,910 |
| | | 6 - 17 years | 6,470 |
| | | <u>Female head</u> | 68,890 |
| | | under 6 years | 18,760 |
| | | 6 - 17 years | 50,130 |

Source: Connecticut Department of Labor, Annual Planning Information FY 1981, p. 66.

Table II-3. Major Occupation Groups of Employed Women.

| | <u>1978</u> <u>National</u> | <u>1977</u> <u>Connecticut</u> |
|--|--------------------------------|-----------------------------------|
| Professional, technical workers | 16% | 18.2% |
| Managers, administrators (except farm) | 6% | 5.5% |
| Clerical workers | 35% | 34.6% |
| Craft | 2% | 1.6% |
| Sales workers | 7% | 7.3% |
| Operatives | 11% | 14.2% |
| Service workers | 21% | 17.7% |

Source: United States Department of Labor, 1978 Handbook on Women Workers and 1979 Handbook on Women Workers.

The issue of need for day care was addressed by a number of speakers at the LPR&IC public hearing. Marina Rodriguez, representing the Community Council of the Capitol Region, said:

The need for day care has been identified in numerous national and local studies. Factors related to the need for day care include the continuing increase of women participating in the work force, the increase of single parent households and the continuing rise in the cost of living which in turn has increased the number of families with two working parents. These changing social and economic patterns are bringing more and more parents with young children into the labor force, and will continue to have tremendous influence on the need for expanded and alternative child care arrangements.⁹

Reporting on the results of a survey conducted by the Hartford State Labor Council, Susan Bucknell, executive director of the Permanent Commission on the Status of Women said that over two-thirds of the people surveyed were single parents and a major problem they had was an inability to pay for the cost of child care. Other problems cited by respondents were a lack of infant and second shift (3 pm - 11 pm) care and the limited availability of care for handicapped children.¹⁰

The day care providers who responded to the LPR&IC questionnaires also said the need for more day care services exists. Two-thirds to three-fourths of the respondents said their communities need more family day care homes which provide services full-time, part-time, night-time, and before and/or after school. They also cited similar needs for family day care for infants, toddlers, the mentally retarded, the physically handicapped and the emotionally disturbed.

Governmental Role in Day Care

For the day care services that do exist, varied levels of regulation are in effect in the United States. Based on information prepared in August 1976 for the Department of Health, Education and Welfare (HEW),¹¹ every state requires at

⁹ LPR&IC public hearing, p. 82.

¹⁰ Ibid., p. 40.

¹¹ U.S. Department of Health, Education and Welfare, Social and Rehabilitation Service, Child Day Care Management Study, Vol. I; Cross-Site Comparisons (Washington, D.C.: Government Printing Office, 1976), p. 120.

least some category of day care home providers to be registered, certified or licensed. Thirty-three states, including Connecticut and the other New England states, require all caregivers to be licensed.

In Arkansas, a provider must have a license only when taking care of more than six children or when serving federally subsidized children. Four other states require certification or letters of approval in the latter case. In seven states, providers must have a day care license if they serve more than four children. Arizona certifies all providers while Louisiana requires them to receive letters of approval from the state. Three states have established registration procedures under which the provider must make known his or her intent to care for children and to comply with state regulations.

Monitoring levels also vary from state to state. Data from the same HEW study indicate:

- 2 states - visit homes monthly;
- 1 state - visits only WIN¹² homes monthly;
- 14 states - visit all homes quarterly;
- 8 states - visit all homes semi-annually;
- 15 states - visit all homes annually;
- 5 states - visit homes irregularly or as needed;
- 3 states - do not visit homes at all; and
- 2 states - information not available.

Thirty-five states reported they offer training and technical assistance to their family day care home caregivers.¹³ The states were then rated on the amount of training provided based on the quantity per caregiver and the number of people receiving such assistance. Five states were rated as offering a high amount of assistance in terms of quantity and numbers. Eight states were rated as providing a moderate amount of

¹² Title IVC of the Social Security Act requires states to try to place all appropriate welfare recipients in jobs or job training. Mothers with children older than six are required to register for work or training under the Work Incentive Program (WIN) as a prerequisite for receiving Aid to Families with Dependent Children (AFDC) payments. The federal government pays 90 percent of the cost of day care for children of WIN trainees.

¹³ HEW, Child Day Care Management Study, p. 137.

training. Fourteen states (including Connecticut) offered low amounts of such assistance. The remaining states either provided no training assistance or the amount could not be determined.

The assistance offered in Connecticut is of a varying nature. If the district offices or the central office of DHR receive information they believe will be useful to the provider, the material is passed along to the day care provider. In addition, providers may request technical assistance from the agency. As part of the LPR&IC surveys for this study, DHR district office managers and day care specialists were asked how often day care providers receive assistance from the district offices. The responses ranged from seldom for assistance in the areas of activities and meal planning to very often in areas such as help in filling vacancies and business advice (fee collections). (See Table II-4.)

Table II-4. Assistance to Day Care Providers from DHR District Office Staff

| <u>Area of Assistance</u> | <u>How Often Received (most frequent response)</u> |
|--|--|
| Activities planning | Seldom |
| Meal planning | Seldom |
| Child discipline and behavior problems | Occasionally |
| Information on child development | Occasionally |
| Information on health and safety | Occasionally |
| Help in filling vacancies | Very often |
| Information on service agencies (food stamps, counseling, abuse questions, etc.) | Occasionally |
| Information about associations for day care providers | Occasionally |
| Business advice, like fee collections | Very often |
| A review of and helpful comments about their work | Occasionally |

Source: LPR&IC Day Care District Office Interview Survey (Question 12)

Existing Day Care Services in Connecticut

Demographic data were obtained from the questionnaires sent to licensed Connecticut family day care providers and Child and Family Service (CFS) caregivers about the age, schooling, race, income and any governmental assistance received by the

respondents. The data indicate a number of differences between the two groups of providers. (See Figure II-3.)

On the average a licensed Connecticut caregiver has been providing family day care services for 47 months, a CFS caregiver for 36 months. The national average is 52 months. A Connecticut caregiver has been a state licensed family day care operator 40 months on the average and a CFS provider 37 months. A child remains in the care of a state licensed provider an average of twelve months and in the care of a CFS provider an average of 10 months.

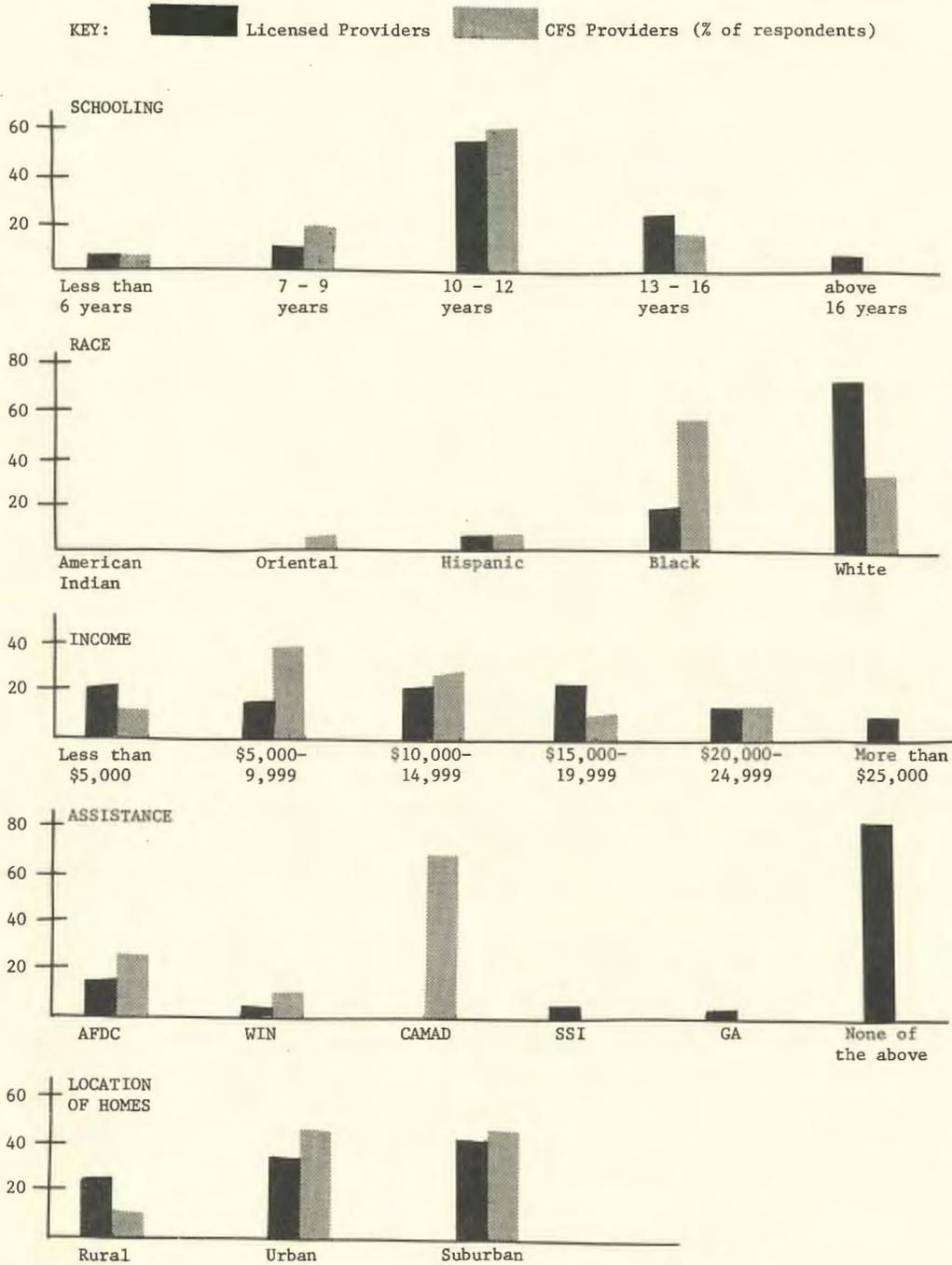
Awareness of licensing process. Sixty-five percent of the Connecticut providers who responded to the survey knew a day care license was required when they first started to care for other people's children while 96 percent of the CFS respondents knew a license was required. When Connecticut providers were asked how they found out a license was needed, the most common responses were a neighbor or friend who was not a provider (29 percent), another day care worker (28 percent) or someone from the Department of Human Resources (24 percent). Sixty-one percent of the CFS caregivers learned that a license was required from another day care worker.

Both Connecticut and CFS caregivers indicated that they thought it was very important that a medical exam for the provider (57 and 75 percent respectively) and reference letters (56 and 76 percent respectively) be required of a day care home operator before he or she is licensed. Eighty-two percent of the CFS respondents felt that completing training in child development before licensure was very important and nearly three-quarters said training should be completed in the areas of disciplining children, nutrition and activities planning. Between 34 and 43 percent of the licensed providers thought these items were very important. Six out of ten of the state licensed providers indicated a lead paint inspection of the home should be done prior to licensure.¹⁴

Almost half of the Connecticut providers indicated it took from two weeks to a month following their application before a licensing representative visited their day care home for the first time; 28 percent were visited in less than two weeks. Sixty-two percent of the CFS providers said the

¹⁴ Connecticut does require a medical exam and a lead paint inspection. State regulations also mandate other health and safety requirements.

Figure II-3. Characteristics of Licensed Family Day Care Home Providers and CFS Day Care Home Providers.



Source: LPR&IC Staff Analysis of Committee Questionnaire Results.

licensing representative came by in less than two weeks while one-third responded that it took between two weeks and a month.

When asked how frequently a licensing representative should visit a family day care home to check licensing standards, Connecticut providers indicated twice a year and CFS caregivers said six times per year. District office staff responses were split between once and twice a year; they agreed that unannounced licensing visits are the most effective.

Relationship with other state agencies. Seventy-six percent of the Connecticut providers indicated the staff of each district office was easy to deal with, three-quarters found DHR easy to deal with and 73 percent found DCYS easy to deal with. The district office staff interviewed felt that staff from the other district offices, and DHR, DCYS and DIM were cooperative.

Fee structure. Connecticut providers responding to the questionnaire indicated they take a number of factors into consideration when setting the fee for a child. Two-thirds consider the number of hours each child receives care, nearly half take into account whether care is provided for two or more children from the same family and whether the fee is set by the week or by the day. Thirty-seven percent of the respondents consider the age of the child.

Possible barriers to expansion. Although there are nearly 2,500 licensed family day care homes in the state, it is estimated there are many hundreds, possibly thousands, of unlicensed providers.¹⁵ In an attempt to determine why this situation exists, the various groups surveyed were asked why they believe people choose not to obtain a license. The primary reason cited by nearly two-thirds of the licensed providers and CFS caregivers was that a license limits the number of children that can be cared for.

Another reason suggested by more than half of both groups of respondents was that people don't want state agency personnel coming into their homes. Fifty-nine percent of the licensed providers, but only 41 percent of the CFS caregivers thought a desire not to list day care income for tax purposes deters people from seeking a license. The most common reasons identified by the DHR district office workers were the number of children being cared for and tax avoidance.

¹⁵ Westinghouse Learning Corporation and Westat Research, Inc., Day Care Survey--1970: Summary Report and Basic Analysis, (Washington, D. C.: Office of Economic Opportunity, 1971).

The issue of why individuals don't license their family day care homes was also addressed at the LPR&IC public hearing. Dale Maynard, director of policy and licensing for the Department of Children and Youth Services, stated "some individuals simply do not know that they must be licensed until they seek to advertise and learn that the newspaper will not accept an ad unless proof of licensure is supplied."¹⁶ He added:

Others hesitate to pursue licensure because they feel the state will impose a fee for studying their homes or they don't want personal information released or they don't want to report the income for tax purposes. I suspect that in Connecticut and across the country, the majority of family day care services are being offered by providers who have never sought nor received a license from a state, county or municipal authority.¹⁷

Frances T. Roberts, director of the office of child day care, testified that her office receives numerous telephone calls from people who are not aware that a license is needed in order to operate a child day care home. She said:

I think if we're ever going to get expansion of day care in the next ten years, it's going to be in family day care. But in order to achieve that, I think that the system has got to be accessible, acceptable, [and] known to the bulk of the providers and the clients....¹⁸

Accessibility to day care homes is further limited by caregivers who stop providing service temporarily or permanently. According to testimony presented at the committee's public hearing by a community council representative, in a survey of 100 licensed day care homes, only 60 were taking or seeking children at the time of the survey.¹⁹ Likewise, half

¹⁶ LPR&IC Public hearing, p. 15.

¹⁷ Ibid.

¹⁸ Ibid., p. 63.

¹⁹ Marina Rodriguez, Planner, Community Council of Capitol Region, Ibid., p. 83.

of the licensed Connecticut providers and one quarter of the CFS caregivers who responded to the LPR&IC surveys indicated that since first being licensed there have been periods of time when they stopped offering day care services. A variety of reasons for this decision were given by both groups.

Thirty-five percent of the licensed providers and 15 percent of the CFS caregivers said they didn't have enough children to care for; 20 percent and 15 percent respectively said they needed more income. Other answers noted by 20 percent or more of the licensed providers were: needed more time for other interests, poor parent cooperation and found different employment. Only two percent of the respondents cited difficulty meeting the state requirements or lack of technical assistance from the district office as reasons why they stopped providing service.

CHAPTER III

THE REGULATION OF DAY CARE HOMES IN CONNECTICUT

Administrative Responsibility

Throughout the twentieth century, the state of Connecticut has been concerned about the institutions and individuals who care for children on a temporary or permanent basis. As early as 1911, the state required those who cared for or boarded more than four dependent children under 16 years of age to obtain a license from the state board of charities (1911 Public Acts, Chapter 62). By the 1920's, the state required those caring for one or more children to obtain a license from the bureau of child welfare (1921 Public Acts, Chapter 383). In 1935, the licensing authority was given to the commissioner of welfare (1935 C.G.S. Section 717c) and in 1945, he was authorized to fix the maximum number of children to be boarded or cared for (1945 C.G.S. Section 392h).

The concept of caring for a child implied in these early statutes encompassed temporary and permanent short and long term care. The inclusion under these statutes of family day care homes as discussed in this report has evolved with the development of the day care home as it is known today. It should be noted that the services provided by day care homes are used as temporary protective care for abused children as well as general care when parents are absent for a portion of the day.

Modifications to the child care statutes continued throughout the 1970's. A 1973 change (Public Act 73-62) made it possible for child care providers to receive licenses from either the welfare commissioner or the Commissioner of Children and Youth Services. In 1974, child welfare services were transferred into one centralized agency--the Department of Children and Youth Services (DCYS). An agreement was reached between the state Welfare Department and DCYS to permit the signature of the DCYS commissioner to appear on family day care licenses while the staff performing the licensure functions would remain in the welfare department. The title of the State Welfare Department was changed to the Department of Social Services (DSS) in 1975.

In 1976, the Committee on the Structure of State Government (the Filer Commission) examined the structure and organization of all state agencies and prepared recommendations for

consolidating those with similar responsibilities. Utilizing some of the committee's findings, the General Assembly passed the 1977 Reorganization Act and placed major responsibility for day care in the newly created Department of Human Resources (DHR). During this same legislative session, a formal definition of a family day care home was adopted (Public Act 77-157).

DHR began operating in January 1979 and carried out the on-going recruitment, study and decision-making activities affecting family day care licensing, although the signature on the family day care home licenses continued to be that of the commissioner of DCYS. During 1978, the Child Day Care Council developed and recommended the adoption of revised licensure regulations, but there was confusion about which agency had the authority to review and promulgate the regulations.

In 1979, the General Assembly passed new legislation transferring the authority for licensure back to the Department of Children and Youth Services (Public Act 79-631). As a result, it is DCYS which must issue the regulations and once again a split in the oversight of day care homes exists.

According to testimony at the LPR&IC public hearing, DHR's current responsibility and goal for the family day care system is to provide an adequate number of day care homes throughout the state, to make citizens aware of the law requiring licensure, and to monitor and provide advice to homes so parents can feel confident when placing their children in them.²⁰ The concurrent role of DCYS is to issue new and renewal licenses and establish regulatory standards for the operation of day care homes. The involvement of the Department of Income Maintenance workers is limited to informing AFDC recipients about the availability of day care services and making referrals to DHR workers. Currently, payments for day care are processed as part of DIM's regular payments system.

In order to carry out its day care functions, DHR has district offices in Bridgeport, Hartford, Middletown, New Haven, Norwich and Waterbury, which are also frequently used as offices by personnel from the Departments of Children and Youth Services, Income Maintenance, and Labor. The DHR employees include social workers, community relations specialists, day care program specialists and social service aides. These individuals are

²⁰ Gertrude Mero, chief of day care, DHR, LPR&IC public hearing, p. 45.

responsible for initial and renewal licensure inspections, application processing, complaint follow-ups, approving AFDC arrangements, training and other technical assistance activities.

The Department of Human Resources is also the designated Title XX Agency in the state. As a result, it receives \$4 million in training funds from the federal government and some of this money is used to pay for the training of staff in qualified day care facilities and homes. In order to conform with new federal regulations, training activity will be expanded in the future to cover more day care providers.

DHR also handles the Work Incentive Program (WIN) which provides AFDC mothers with institutional or on-the-job training and, if necessary, remedial education in order to help them obtain marketable skills. Many of these women use family day care homes to provide substitute care for their children while they are participating in the program.

Two other state entities are also involved in overseeing aspects of day care. The Office of Child Day Care was created in 1975 to provide advocacy, coordination and planning for day care services of all types throughout the state (C.G.S. Section 4-60o). The three person staff is headed by a director appointed by the governor. Originally under the Department of Community Affairs for fiscal and budgetary purposes only, the office has been located within DHR on the same basis since the latter's creation in January 1979.²¹

The mandated responsibilities of the office include identification of existing child day care services and development of a plan to coordinate those services; identification of funding sources; development of recommended regulations for child day care services, including parent-controlled, non-profit day care cooperatives; and review and comment on preliminary plans of other state agencies administering state and federal funds for day care services.

The Child Day Care Council was established under Section 19-43c of the Connecticut General Statutes in 1967. It is an

²¹ During the 1980 legislative session, a bill (sSB 693) to transfer all administrative functions of the Office of Child Day Care to DHR was considered, but it did not pass. Funds for the operation of the office during FY 1980-81, however, were included in the DHR budget. As a result, although the mandate and statutory responsibility of the office continues, no funding has been appropriated to it for FY 1980-81.

11 member advisory body composed of the commissioners of the Departments of Children and Youth Services, Education, Health Services²² and Human Resources; the director of the Office of Child Day Care, who serves as chairperson; and six gubernatorial appointees. Of the latter members, one must be a member of a community action program, one must be a member of a child development or early childhood education department of a Connecticut college or university, another must be the parent of a child enrolled in a tax supported day care facility and finally, there must be the parent of a child enrolled in a privately supported day care facility.

The council serves in an advisory capacity to the Office of Child Day Care, makes recommendations to the Commissioner of Health Services with regard to day care centers, and advises the state agencies concerned with the regulation of family day care homes. The council is required by statute to hold public hearings on all of its recommendations. It must seek input from the parents of children using day care services, administrators of the services and other interested parties.

Day Care Regulations

The Department of Children and Youth Services (DCYS), in accordance with its statutory authority (C.G.S. Section 17-48), promulgates the regulations relating to child care facilities in Connecticut. The regulations governing the operation of family day care homes²³ define the conditions constituting family day care, set minimum requirements for the persons to be present during child care and the safety of physical surroundings, require that basic attendance and emergency information records be kept, and require water and lead paint tests in certain instances. DCYS expects to submit proposed revised regulations concerning "The Operation of Child-Caring Agencies and Facilities" to the Regulations Review Committee in December 1980.

²² The primary role of the Department of Health Services (DOHS) in the area of day care concerns day care centers, which the department is responsible for licensing under C.G.S. Section 19-43e. However, the agency staff do perform tests on water samples taken from wells at day care homes.

²³ Connecticut Regulations, Sections 17-48-52 through 17-48-72.

In March 1980, the U.S. Department of Health, Education and Welfare (precursor to the Department of Health and Human Services) issued new federal regulations governing family day care homes that serve children whose fees are paid by the government.²⁴ These regulations cover such areas as program activities for children, training, nutrition, health and safety, physical environment, social services, parent involvement and group composition. The regulations took effect on October 1, 1980, except the training provisions, which become effective April 1, 1981.

Administrative Costs of Regulation

The state of Connecticut collects no fees for the family day care home licenses it issues and all assistance provided by the state in this area is completely free. There are costs in operating the program, although no one is sure exactly how high they are. In an effort to assess the scope of the expense incurred by state government in the administration of this program, the committee gathered data on the family day care home related expenditures of the major agencies involved in regulating the program.

Because the Department of Human Resources is responsible for a majority of the functions associated with the licensure of day care homes, it has the highest identifiable costs. During the fiscal year ending June 30, 1981, DHR expects to spend approximately \$587,000 on personnel for family day care home licensing and approval of AFDC child care. Only \$43,250 of this amount is state support. The remainder of the funds are a combination of 100 percent federal funds, 90 percent federal reimbursement from the WIN program and 75 percent reimbursement from Title XX funds. This money is used to pay the full salaries of 38 employees in the six district offices and all or part of the salaries of six individuals in the department's central office.²⁵

The 1979-80 estimated expenditure for the Office of Child Day Care was \$176,624. Approximately \$139,000 was included in DHR's FY 1980-81 budget for the operation of the office.²⁶

²⁴ Federal Register, Vol. 45 No. 55, March 19, 1980, pp.17883-17884.

²⁵ July 16, 1980 letter from Commissioner Ronald E. Manning to LPR&IC staff.

²⁶ Office of Fiscal Analysis, Connecticut General Assembly, The State Budget for the 1980-81 Fiscal Year, September, 1980, p. 208.

The Department of Children and Youth Services indicated it did not have any personnel directly assigned to family day care homes. An inconsequential amount of time is spent by foster care licensing personnel handling the renewal of licenses for homes providing both day care and foster care, but even in combination with time spent on administrative issues, the total cost is too small to be measured by the agency.²⁷

Positions within the Department of Income Maintenance can be categorized on the basis of day care in in general, but not family day care homes specifically. DIM is primarily involved in day care indirectly through the processing of payments for child care. By allocating the estimated time per month spent on day care in their Fiscal Services and Budget Office, and the actual percentage of cumulative paid day care cases to cumulative AFDC cases from July 1, 1979, through May 30, 1980, the department calculated its 1979-80 personnel costs for the total day care program at \$18,827.²⁸

²⁷ July 30, 1980 letter from Commissioner Mark J. Marcus to LPR&IC staff.

²⁸ July 7, 1980 letter from Commissioner Edward W. Maher to LPR&IC staff.

CHAPTER IV

RECOMMENDATIONS

Role Definition of the Principal Agencies

As discussed earlier, five state governmental entities are presently involved with family day care homes in Connecticut. The Department of Children and Youth Services is responsible for licensing family day care homes; the Department of Human Resources is authorized to contract with DCYS to ensure that the duties and functions necessary to provide for the efficient and effective delivery of services to children are carried out; the Department of Income Maintenance processes state payments for day care; the Office of Child Day Care is mandated to identify, inventory and plan for the coordination of existing child day care services; and the Child Day Care Council makes recommendations to state agencies concerned with regulating family day care homes.

The results from structured face-to-face personal interviews, LPR&IC questionnaires, and the committee's public hearing on family day care homes indicated strong support for consolidating all the responsibilities in this area within one agency. Many comments were received about the difficulty of obtaining unanimity among the various agencies currently involved in the policy and implementation aspects of family day care services.

A DHR representative who testified on behalf of the commissioner at the committee's public hearing said the individuals from the various agencies involved in day care have worked together for many years. He noted, however:

...it would seem to be that just like with DCYS who licenses their own foster homes and institutions, and have the appropriations and utilize those facilities almost exclusively that the Department of Human Resources ought to have the same kind of authority over the programs for which they're paying for services....²⁹

²⁹ Lawrence Marostica, director of field operations, DHR, LPR&IC public hearing, p. 7.

The representative from DCYS indicated he concurred with the comments made by DHR with respect to jurisdictional problems and reiterated that the relationship between the agencies has been cooperative. He added, "...it would appear obvious to me that a single administration having responsibility for this particular area would most likely be more efficient, but at the present time I'm not prepared to answer the question of which agency."³⁰

The comments from the DIM representative also supported a centralized administrative approach. He said:

I think one of the things that has happened as the result of the splitting of the departments are the issues...[of] how do you coordinate and consolidate and integrate services when you fracture them into three separate agencies....I'm not so sure that great efficiencies occur when you separate things of that nature. Also, I might add, that one of the concrete areas that seems to be more difficult when you have three agencies handling a delivery system is in the area of writing policy....It's very difficult to get three different bureaucracies together in order to come out with a consolidated program.³¹

The Chief of Day Care for DHR, indicated that the only instance in which the department's staff must seek input from DCYS district office staff is in cases involving neglect and abuse. She agreed that there was no discernible disadvantage to eliminating DCYS from the licensing process and having either the commissioner of DHR or DIM sign the licenses and promulgate needed regulations.³²

At this time, the Legislative Program Review and Investigations Committee believes consolidation of jurisdiction for day care homes would be most appropriate. Accordingly, it is the recommendation of the committee that all jurisdiction over family day care homes be consolidated in one agency--the Department of Human Resources.

³⁰ Dale Maynard, director of policy and licensing, DCYS, Ibid., p. 17.

³¹ John Ely, District Director, DIM Hartford District Office, Ibid., p. 28.

³² Gertrude Mero, Ibid., p. 50.

This change should be accomplished smoothly because DHR already has the staff and is familiar with the programmatic and licensing functions for family day care homes. It is expected that the department will assess its operation and recommend those organizational changes that it believes are necessary to carry out its increased responsibilities. Furthermore, it is the belief of the committee that DHR will be better able to provide policy development when it also has statutory licensing responsibility.

The LPR&IC does recognize that some of the entities involved with family day care homes, in particular the Office of Child Day Care, also have responsibilities in the area of day care centers. It is the intention of the committee to examine the issue of consolidation of all day care services in its subsequent report on day care centers. As part of that examination, the most appropriate roles for the various governmental organizations involved in day care will be considered again.

A number of desirable goals can be achieved because of the existence of a family day care home system. At the present time, however, there is no prioritized enumeration of these goals for Connecticut. As a result, no inherent day care policy exists for this state. In order to provide program direction, and in conjunction with its preceding finding, the Legislative Program Review and Investigations Committee recommends that the Department of Human Resources formalize and publish the major goals and objectives of the family day care home system. This formalization should articulate a policy developed after consultation with the district offices, family day care providers, and parents who have used licensed family day care services. The policy goals should also be reviewed by the Child Day Care Council.

Level of Regulation

The regulation of family day care homes varies throughout the United States. The three most common types of governmental control are licensure, certification and registration. Under the most restrictive form of regulation, a person must obtain a license from a recognized authority in order to perform the specified activity and some demonstration of competence is required to obtain the license. A certification process provides verification that an individual has certain skills, but it does not prevent others from engaging in an activity as long as they do not claim to be certified. Registration requires individuals who wish to engage in a particular activity to list their names with an official body, but there are no restrictions on who may list their name.³³

In a majority of states, all day care home providers must be licensed, while in other states certification is used only for providers serving federally funded children. In Connecticut, there is a statutory requirement that all homes (or more specifically the day care home provider at a specified location) be licensed (C.G.S. Section 17-48). It is the recommendation of the Legislative Program Review and Investigations Committee that the present level of regulation be continued.

The committee believes the current system of regulation may insure the best quality of care and provide more professionalism to caregivers. However, there was not total agreement among all committee members on this issue. Recognizing that the decision to license or deregulate an area affecting state residents is essentially a political decision, the committee recommends that the legislative subject matter committee having jurisdiction over this area in 1981 reevaluate the issue of licensure for family day care homes.

Of particular concern to committee members is the fact that the current licensure system is actually closer to a certification mechanism and it may be misleading to call the Connecticut process "licensure." A true system of licensure would mandate that only licensed persons be allowed to operate family day care homes. In fact, at the present time in Connecticut, it is estimated that hundreds of unlicensed individuals are providing child care services which fall under the legal definition of a family day care home.

³³ Milton Friedman, Capitalism and Freedom (Chicago: University of Chicago Press, 1962), pp. 144-145.

While efforts are made to license these people when they are found to be operating day care homes illegally, enforcement of the law is not rigorously pursued. Likewise, penalties for violating the law are limited and rarely if ever invoked. As a result, some parents in the state are using homes that have not been inspected and licensed by the state while others are using licensed homes.

Additionally, under licensure a provider would have to demonstrate competence in order to operate a day care home. Presently state inspectors check the physical conditions of a house, verify the medical condition of the residents of the home as well as past or pending charges of crimes against persons or child abuse, but they do not test the competency of a prospective provider for specific training or knowledge.

According to a letter from the Department of Human Resources, applicants are rarely refused a family day care home license. It was stated that:

Usually it becomes obvious (1) that certain corrections in the environment would be necessary before a license could be granted, or (2) that the applicant has personal problems which would interfere with the provision of a healthy environment for day care children. After an open discussion about these concerns with the licensing worker, the applicant may decide not to make the corrections required, or may agree that some personal problems need to be resolved before caring for others' children. As a result, the application for licensure is voluntarily "withdrawn."³⁴

In those instances where a license has been refused, among the most frequently cited reasons were: fire or housing code violations; disapproved woodstoves or space heaters; medical problems; or poor relationship with applicant's own children witnessed during interview.

In an effort to facilitate the consideration of this issue by the standing committee, the LPR&IC believed it was important to outline the options available to the state in this area. Accordingly, the arguments for and against varying levels of regulations are presented below.

³⁴ July 22, 1980 letter from Gertrude H. Mero, Chief, Day Care Division, DHR, to LPR&IC staff.

Licensure. Under a true licensure system, certain standards must be met by successful applicants in order to demonstrate their competence to practice. Only individuals who are licensed can operate a day care home and the enforcement of the standards is the responsibility of an agency or regulatory board or commission. If a provider loses his or her license, then he or she cannot continue to operate a day care home.

In order to obtain a family day care home license, the state would most likely conduct an initial inspection of the potential home to check for lead paint and test houses with well water. The day care provider would have to present evidence of certain skills. He or she would have to receive his or her license before the service could be provided. An annual inspection of the home and evidence of the continued competence of the provider could be required.

ADVANTAGES: The existence of a licensure requirement indicates to the public that all day care homes and providers meet approved minimal standards. If in fact state inspections and monitoring of the care being provided are taking place, then the government acts as the enforcer of standards for the purchasers of family day care services. This may reduce the time and effort parents and guardians must expend to ensure their children are receiving quality care.

The Director of Field Operations for the Department of Human Resources testified that "The primary reason for licensing is to assure that the provider has the kind of environment that you would want your child to be placed into."³⁵ The Director of Policy and Licensing for the Department of Children and Youth Services "Having become involved in licensing I have a strong personal and professional preference for saying that licensing takes place because it does, at least, assure some degree of control and accountability for the particular area." He added, "...the intent is to assure that minimum care, quality of care, is given by the provider to the child."³⁶

DISADVANTAGES: The licensure process does not necessarily assure that a day care home meets all quality standards. If it focuses only on the physical condition of the home and not on

³⁵ Lawrence Marostica, LPR&IC public hearing testimony, p. 8.

³⁶ Dale Maynard, Ibid., p. 20.

the competency skills or training of the provider, then it will be difficult to use the existence of a license as a basis for assessing the care that will be provided within the day care home. The argument is often made that only a child's parent(s) or guardian(s) can judge whether a particular day care home is safe, appropriate and acceptable for the child and the government should not be involved in such determinations.

Another disadvantage to licensure is that it tends to discourage prospective day care operators from entering the field. It creates barriers which restrict entry and it places a limit on the number of children that can be cared for. In addition, a day care license requirement may promote an artificial fee structure, which may result in higher charges.

Limited awareness about the need to obtain a license before opening a day care home means that many people who presently operate homes without a license are in violation of the law. Legally, they could be prosecuted for operating unlicensed homes. Nonenforcement of a particular law, as is currently the case in this instance, can lead to disregard for other laws. It has been argued that since few complaints about day care homes are filed annually,³⁷ it would seem more sensible to eliminate licensure than to turn uninformed, unlicensed individuals into law breakers.

Certification. Under a certification system, those individuals wishing to receive this designation agree to provide to the state certain information which confirms that they meet specified criteria. In this way, the regulatory agency can determine whether the family day care home and its operator meet certain minimum qualifications, although they do not necessarily test competence. Under such a system, a noncertified person is allowed to operate a day care home, but only those people who meet the certification standards may advertise their homes as state certified. If a home does not maintain acceptable standards, the provider can be decertified and lose his or her right to advertise as such, but he or she can continue to operate a day care home.

³⁷ In 1979, DHR received 32 complaints against licensed family day care homes. The most frequent types of complaints concerned over-enrollment, poor housekeeping and disputes over fees. Other reports concerned child abuse, physical safety hazards, antagonism between neighbors, lack of supervision, suspicion a home was unlicensed, poor nutrition and inappropriate discipline.

ADVANTAGES: A list of certified homes which have been inspected by the state would be available to parents. They would then have the option of deciding between a certified or noncertified day care home. Providers would have the option of being certified or noncertified. If any capacity limits were imposed on certified homes, noncertified providers would be free to serve more children, which might lead to an increase in the number of available day care services. This system of limited governmental intervention would allow parents to decide the size and type of day care home desired for their children.

DISADVANTAGES: Day care homes which are not certified would never be inspected by the state. The state would not be able to assure that minimal standards are being maintained in all day care homes. Parents would have to assume a greater share of the burden of determining whether a day care home is safe and meets minimum specified criteria. Some professionals argue that many parents may not be able to make such a decision. It is the belief of some people that the role of the state is to ensure that at least some family day care homes exist which meet minimum standards.

Registration. Under a registration system, individuals who want to perform a specific activity must file their names and addresses with a designated agency. Generally, there is no pre-entry screening, but it is possible to set up a system which has a registration requirement in combination with minimum practice standards set by a regulatory agency. In this latter case, the process is not exclusionary, but it requires registrants to meet certain minimum standards. In the case of day care homes, such a requirement might be the absence of past convictions or pending charges of child abuse.

ADVANTAGES: This system would provide consumers of child care services with a complete list of individuals providing the services sought. The reduced restrictions on entry should expand the availability of family day care services. At the same time, parents can be assured of a certain level of care if the state selects the minimum standards version of this option.

DISADVANTAGES: The total scope of the state's knowledge about day care homes would probably be reduced because although all providers would have to register, they would be providing less information about their homes and themselves. As a result, the parents of a child would have to take greater responsibility for obtaining sufficient information to make a decision about where to place their children.

No state involvement. An alternative to the regulatory options already discussed is the complete removal of the state from this area. The state would neither certify, register nor license day care homes. Judgement about the quality of a home would be the responsibility of the parents of children needing such care.

ADVANTAGES: Parents would be free to decide for themselves which family day care home is the best one for their child. A market system should develop as the providers compete to provide services at acceptable standards. Price competition might also develop. Without restrictions, more individuals might open day care homes which could lead to an increase in the total number of day care spaces available. If more homes did open, parents would have a wider selection of caregivers to choose from.

DISADVANTAGES: Day care home providers would not have the need to pass annual licensure inspections as an incentive to keep up health and safety standards in their homes. Parents would have to decide for themselves without any information from governmental sources about the quality of services available from various family day care homes. For some parents this might be impossible. Likewise, there would be no screening of child abusers under this option.

A problem would arise with AFDC children who receive day care. Federal regulations mandate that AFDC children be placed in homes that meet all requirements concerning the total number of children that can be cared for at any one time.

Determining the need for regulation. In making a decision about what level of regulation is most appropriate in Connecticut, it is helpful to reconsider the intent and purpose of government regulation. A report by the Council of State Governments on the issue of occupational licensing identified three major questions for consideration. Basically, a state should consider the level of risk to consumers' life, health and safety or economic well-being; whether potential users of the service have the knowledge necessary to properly evaluate the qualifications of those offering the service; and whether the benefits to the public clearly outweigh the harmful effects that may result, such as decreased availability and increased cost. The choice of certification or registration rather than licensure may depend on the degree to which the level of risk to the consumer is present and the availability of other forms of redress.³⁸

³⁸ Benjamin Shimberg and Doug Roederer, Occupational Licensing: Questions a Legislator Should Ask (Lexington, KY: The Council of State Governments, 1978), p. 4.

Standardization of Procedures

As mentioned previously, the DHR staff who work in the district offices are responsible for many of the activities connected with obtaining and retaining a family day care license. While all of these workers are implementing the same state requirements, there are apparently some differences in the way the various offices handle the timing and scope of aspects of the licensure and monitoring process. For example, according to respondents to the LPR&IC provider questionnaire, an applicant for licensure may wait anywhere from a few days to a month or more before a district worker visits the home for an initial inspection. In an effort to facilitate the provision of consistent service for all providers throughout the state, the LPR&IC recommends that DHR standardize its district office procedures for the initial licensing of family day care homes and the renewal of day care licenses.

In addition, the Department of Human Resources should ensure that a mechanism exists to handle complaints against day care providers and that follow-up investigations will be made. While only 32 complaints were filed against licensed caregivers during 1979, it is important that a standardized process exist to guarantee that a fair evaluation will be made in each instance and, if warranted, that a course of corrective action will be taken.

In conformance with statutory requirements and in order to insure that day care homes continue to meet licensure standards after the initial application inspection is conducted, district office staff currently visit licensed homes annually. Nationally, the frequency of such monitoring visits ranges from monthly to never; the most common frequencies are quarterly (14 states) and annually (15 states). As a means of improving the value of this activity, the Legislative Program Review and Investigations Committee recommends that all visits to day care homes, both those made at license renewal time and those made for purposes of monitoring, be unannounced.

Based on the comments of respondents to the provider questionnaire, 41 percent of whom stated they would like to have two or more visits per year by a licensing representative, and the feelings of the district office staff that semi-annual visits would increase quality of control, the committee recognizes that one visit is inadequate. It recommends that DHR develop a procedure whereby periodic, unannounced visits are conducted on a random sample of approximately 20 percent of the active day care homes. The committee also recommends that homes against which complaints have been filed be monitored more frequently.

The performance of these additional visits should be possible without any increase in the size of the district office staffs. The committee believes the department will be able to use existing resources to carry out this task by having workers already out in the field make additional stops in the same vicinity on days when they have extra time.

The issue of safety standards for homes with woodstoves was raised during the district office interviews. The responsibility for inspecting stoves has fallen to the individual towns and, as a result, the requirements differ from town to town. The suggestion was made that the state fire marshal promulgate safety standards for homes with woodstoves. A recommendation has been suggested in the area of policy development that DHR establish a uniform procedure to be used by the district offices in dealing with local fire marshals. The Legislative Program Review and Investigations Committee recommends that the district offices should also be responsible for dealing with local fire marshals.

Public Information Efforts

Currently, no centrally determined policy exists for disseminating public information to either providers or consumers of day care services. Each district office is free to determine what outreach methods it will use to inform unlicensed providers of the need to obtain a license and to let parents know that the services of the office are available to help in a search for a suitable day care home.

The need for expanded efforts in the area of public information was expressed during the committee's public hearing by both agency officials and day care home providers. As mentioned earlier, many providers do not know they must be licensed until they try to advertise in the newspaper and find out their ad won't be accepted without proof that they are licensed. One speaker said, "The ...issue of recruitment efforts will involve extensive work in the area of public awareness. We need to alert the public sector of the need of this service in the hopes of securing more interested homemakers in becoming licensed."³⁹

In order to ensure a consistent statewide effort, the Legislative Program Review and Investigations Committee recommends that DHR undertake a systematic and on-going public information campaign to educate the public and relevant social service agencies about family day care homes in general. The Department of Human Resources should undertake this campaign whether a system of licensure or certification is in effect.

DHR should also provide specific information in the areas of:

- 1) Licensing - the requirements for licensure, any costs associated with the licensing process, the benefits of licensure, and enforcement of licensure; or
Certification - any costs associated with the certification process, the benefits of being a certified family day care home provider, and eligibility criteria for certification;
- 2) Referrals - where parents desiring family day care services can obtain specific information about the program; and
- 3) The complaint process for dissatisfied consumers and providers.

³⁹ Gertrude Mero, LPR&IC public hearing, pp. 45-46.

Concern has also been expressed about the lack of mutual support groups through which day care home operators can obtain support, training and referrals. A representative of the Community Council of the Capitol Region testified, "There is a need to develop a mechanism that links potential users with available services so that we can insure maximum use of the existing day care homes and provide an on-going mechanism for monitoring the quality of care provided." ⁴⁰

As a step toward meeting this need, the Legislative Program Review and Investigations Committee recommends that DHR inform day care providers about other individuals in their neighborhoods who are also day care providers. DHR should also inform day care providers about available educational and training opportunities. The department should decide the best mechanism to make this information available; one possibility would be at the time of initial licensure.

⁴⁰ Marina Rodriquez, Ibid., p. 84.

The Child Day Care Council

As described earlier in this report, the Child Day Care Council was established in 1967 to advise the Office of Child Day Care and to make recommendations about day care centers and family day care homes to the respective agencies involved in regulating those services. The council currently has 11 members--the Director of the Office of Child Day Care, six members appointed by the governor from various categories and four commissioners (Children and Youth Services, Education, Health Services and Human Resources).

Unofficially, the Commissioner of Income Maintenance, or his representative, has attended Child Day Care Council meetings for the last few years. The commissioner is able to offer valuable advice and comments concerning AFDC regulations which affect child day care. However, since he is not a formal member, he is unable to vote on any of the issues being considered by the council.

Another perspective currently missing from the council is that of a provider of family day care home services. The addition of such a representative would bring to the council the views and expertise of those who run day care homes and centers. The council presently contains two parent representatives. One is the parent of a child enrolled in a tax supported day care facility and the other is the parent of a child enrolled in a privately supported day care facility.

It is the recommendation of the Legislative Program Review and Investigations Committee that Section 19-43c of the Connecticut General Statutes be amended to change the membership of the Child Day Care Council from eleven members to thirteen members. The Commissioner of Income Maintenance and a provider representing day care operators should be added. The provider representative would become the seventh member appointed by the governor.

Regulatory Changes

There is often a lag between the promulgation of new state regulations and the time when changes in federal regulations impacting the operation of a state program take effect. In the area of family day care homes, new federal requirements effective on October 1, 1980, necessitate revisions in state regulations for homes providing federally funded services.

A problem affected by regulations that was of particular interest to the committee concerned the number of children that may be cared for in a single family day care home. At the present time, except in limited situations, Connecticut regulations prohibit a provider from caring for more than four children not related to him or her. Proposed draft state regulations would allow five children to be cared for, if only one child is under age two, and six children, if no children are under two years of age.

Under the new federal regulations, a provider caring for children who are all two years of age or older is allowed to have six children in the home as well as two additional school age children before and after school. The provider's own children younger than six and not in full day school count towards the group size requirement. (See Table IV-1).

The Legislative Program Review and Investigations Committee recommends that the current state capacity limit regulations be changed to conform to the proposed federal regulations. Such a change might help decrease turnover among providers. It should also respond to concerns that have been expressed about the "latch-key syndrome," a situation where a child returns from school to an empty house. The committee believes it is important to support actions which may lead to increased availability of before and after school care.

Table IV-1. Capacity Limits--group size¹ for day care homes.

| <u>Federal Regulations</u> | <u>Proposed State Regulations²</u> |
|--|---|
| When children of all ages are cared for, including children under age two, group size shall not exceed five. No more than two of these children may be under age two. | The home shall not contain more than two children under age two. When the group includes one or two children under age two, the size shall not exceed five. |
| If no children are under age two, the group size at any given time cannot exceed six; <u>except two additional school age children may be cared for before and after school hours.</u> | When no children are under age two, the group size cannot exceed six. |
| If all children are under age two, the group size shall not exceed three. | |

¹ Group size - Total number of children in the home, including the provider's own children who are not enrolled in a full-day program and the number of children for which the home is licensed.

² Existing state regulations require that no more than four children unrelated to the day care operator may be cared for at any given time; with the approval of the commissioner, not more than six such children of whom at least five are of common parentage may be cared for. (Sec. 17-48-45, Connecticut Regulations.)

Source: LPR&IC Staff Analysis of "HEW Day Care Regulations," Federal Register, Vol. 45, No. 55, March 19, 1980, p. 17884, Section 71-44 and the proposed revised regulations (17-48) of the State of Connecticut, September 22, 1980, concerning "The Operation of Child-Caring Agencies and Facilities", Section 17-48-107.

AFDC Day Care Payments

Obtaining sufficient financial remuneration for the services that are provided in a family day care home has been cited by many people as a problem. This concern is especially applicable when AFDC funded children are the recipients of the services.

The current AFDC fee schedule, which has been in effect for more than 15 years, pays \$25 per week for the first child from a family placed in a home, but only \$5 for a second sibling. No payments are made for any additional children from the same family. The Department of Income Maintenance is allowed to make exceptions to the fee limits if extenuating circumstances exist. When children from the same family are placed in different homes each is eligible for the \$25 payment.

A representative from DHR indicated that present funding levels are probably not adequate and the obvious solution to this problem would be to pay more money. However, he pointed out that action would probably result in a doubling of the appropriation needed for this expenditure category.

The DCYS representative also agreed that revenues available to providers are inadequate, especially considering how long ago the standards for AFDC children were set. The speaker from DIM did point out that the \$25 and \$30 per week fees being discussed are frequently for part time care, particularly after-school care. In such cases, the rates are more realistic. However, for children with special problems or for care of a longer duration, the department representative agreed the rates are low. He also noted that DIM has the authority to approve higher rates in appropriate cases.

Testimony at the LPR&IC public hearing stressed the need to place a priority on ensuring that day care services are available to AFDC mothers. There are 45,500 active AFDC families in Connecticut of whom at least 6,500 mothers are enrolled in work programs. The ability of such women to receive training, obtain employment and move off governmental assistance is facilitated by the availability of child care services. It appears realistic that the cost of placing AFDC children in day care homes would be less expensive than maintaining these families on state aid indefinitely.

Evidence gathered from the LPR&IC provider questionnaire, shows that the ability of DIM to get payments for day care services to caregivers on a timely basis does not appear to

be a significant problem. Among the 193 respondents who said they discontinued service for a period of time, only four percent cited the failure of the state to provide payments for AFDC children on time as a reason for their withdrawal. Under the current system, the AFDC day care parent receives the weekly fee from DIM and in turn pays the day care home provider.

To help alleviate some of the problems in this area, the Legislative Program Review and Investigations Committee recommends that the AFDC fee payment rate be set per child rather than on the basis of the number of siblings cared for in a home. In addition, separate half-day and full-day rates should be set for AFDC children. In order to accomplish these changes, the Department of Human Resources, in consultation with the Department of Income Maintenance, should compute a fair rate for AFDC children.

APPENDICES

APPENDIX I

GLOSSARY

Aid to Families with Dependent Children (AFDC) - an income maintenance program which is administered by the Department of Income Maintenance. The program is funded by a mix of state and federal money. Any parent or relative who has a dependent child or children and meets specified eligibility criteria can receive AFDC assistance for such child or children.

capacity limit - a limit on the number of children that can be cared for at any one time in a day care home.

Child and Family Services, Inc. (CFS) - a child placing agency licensed under C.G.S. Sec. 17-49a to place children in foster or adoptive homes. CFS also operates a day care home program.

Child Day Care Council - an 11 person advisory council which includes representatives of the agencies involved in day care as well as public members. It serves in an advisory capacity to the Office of Child Day Care, makes recommendations to the Commissioner of Health Services with regard to day care centers and advises the state agencies concerned with the regulation of family day care homes (C.G.S. Sec. 19-43c).

Department of Children and Youth Services (DCYS) - the agency which has statutory responsibility for licensing family day care homes in Connecticut (C.G.S. Sec. 17-48).

Department of Human Resources (DHR) - the agency which carries out the on-going recruitment, study and decision-making activities affecting family day care licensing.

Department of Income Maintenance (DIM) - the state agency responsible for administering state and federal income assistance programs such as Aid to Families with Dependent Children, Supplemental Security Income, food stamps and Medicaid.

family day care home - a private family home caring for not more than four children not related to the provider where the children are cared for not less than 3 nor more than 12 hours during a 24 hour period and where care is given on a regularly recurring basis (C.G.S. Sec. 19-43b(c)).

latch-key syndrome - a child coming home to an empty house.

licensed capacity - the number of children unrelated to the family day care home provider who may be accepted for care at any one time.

Office of Child Day Care - provides advocacy, coordination and planning for day care services of all types throughout the state (C.G.S. Sec. 4-60o).

provider - a person who runs a family day care home.

Work Incentive Program (WIN) - an employment and training program which requires mothers with children older than six to register for work or training as a prerequisite for receiving AFDC payments.



STATE OF CONNECTICUT
DEPARTMENT OF HUMAN RESOURCES

- SAMPLE -

Dear

We have received your request for a family day care license. Enclosed are the papers required to begin the process: an application form and a medical approval form for each member of the household. A stamped return envelope is included for your convenience.

When these papers have been completed and returned to our office, we will send out reference letters to the four people you list on your application. For this reason, please give their specific and correct addresses.

After three reference letters have been received in our office, we will contact you for an appointment. Our visit to your home will consist of a personal interview, an inspection of the home and outdoor play area, and supportive advice.

Please tell us if you have a wood stove or space heater or if your water comes from a well. A written certificate of inspection is required; we will be glad to contact the health or other appropriate officials for a free inspection.

Thank you for inquiring about family day care. If you have questions, please feel free to contact us.

Sincerely yours,

The Day Care Unit

ENC: Application
Medical forms
Return Envelope

APPLICATION FOR FAMILY DAY CARE LICENSE

DATE _____

APPLICANT'S NAME _____ DATE OF BIRTH _____

STREET ADDRESS OR RFD NO. _____

TOWN OR CITY _____ STATE _____

TELEPHONE NO. _____ OCCUPATION _____

PLEASE GIVE FULL DIRECTIONS FOR REACHING YOUR HOME: _____

| <u>Names of Adults and Children Living in the Home</u> | <u>Hours in Home</u> | <u>School Grade/Occupation</u> | <u>Date of Birth</u> |
|--|----------------------|--------------------------------|----------------------|
|--|----------------------|--------------------------------|----------------------|

| | | | |
|--|--|--|--|
| | | | |
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| <u>Boarders or Roomers</u> | <u>Hours in Home</u> | <u>Occupation</u> | <u>Age</u> |
|----------------------------|----------------------|-------------------|------------|
|----------------------------|----------------------|-------------------|------------|

| | | | |
|--|--|--|--|
| | | | |
| | | | |

Type of Home _____ Owned or Rented _____ No. of Rooms _____

On what floor level do you live? _____

Are there schools within walking distance of your home? Please name them: _____



STATE OF CONNECTICUT

DEPARTMENT OF HUMAN RESOURCES

-SAMPLE-

Regarding:

Dear

The above-named family has applied for a Day Care License to care for unrelated children in their home and has given your name as a personal reference.

In approving families for child care, naturally we want people who love and understand children; who can supervise and keep them safe; who have a good reputation in the community and can instill in children those qualities that make for good citizenship and good character.

We would appreciate from you an expression of your opinion as to their suitability as a day care family.

Please use the space below and the reverse side for your comments.

You will find a self-addressed, stamped envelope enclosed for your convenience.

Thank you for assisting us in this manner.

Sincerely yours,

Day Care Unit

ENC: envelope

Phone:

P.O. Box 786 1179 Main Street, Hartford, Connecticut 06101

An Equal Opportunity Employer

11/80

APPENDIX III

Licensed Family Day Care Home Provider Questionnaire

We appreciate you taking your time to fill this out. Please answer every question on both sides of every page. Thank you.

Family Day Care Home Provider

1. How many years have you been a family day care provider?
Ave. 47 months
2. How many months have you been a state-licensed family day care provider?
Ave. 40 months
3. How many months does the average child remain in your care on a full day basis?
Ave. 12 months
4. When you first started to care for other people's children, did you know that a state day care license was required to run a family day care home?
Please circle YES 63% NO 37%
5. How did you discover that a state day care license is required? You may circle more than one item.

- 29% a. neighbor or friend (who is not a provider)
- 16% b. news media
- 28% c. another day care worker
- 2% d. church or civic group
- 1% e. local school personnel
- 5% f. someone from the Department of Health
- 24% g. someone from the Department of Human Resources
- 6% h. someone from the Department of Children and Youth Services

6. How many people of each of the following age groups currently live in your household? Write in number of persons in each group.

WRITE NUMBER IN HOUSEHOLD
Average Answer

| | |
|-----------------------------------|-------|
| a. adults | 2 |
| b. children age 13 to 18 | 0 - 1 |
| c. children age 5 to 12 | 1 |
| d. children less than 5 years old | 0 - 1 |

7. Below are listed some reasons why family day care providers get a day care license. Please circle how important EACH item was to you when you first decided to get a day care license.

| | <u>Very Imp.</u> | <u>Somewhat Imp.</u> | <u>Not Too Imp.</u> | <u>Not At All Imp.</u> |
|--|----------------------|--------------------------|-------------------------|----------------------------|
| a. to get help filling my vacancies..... | 26% | 18% | 18% | 38% |
| b. to receive state money..... | 8% | 6% | 9% | 78% |
| c. to receive workshop training by the state..... | 12% | 18% | 18% | 53% |
| d. to receive information on things like health, safety, program planning, and activities..... | 35% | 25% | 16% | 24% |
| e. to provide me with an association of day care providers.... | 21% | 19% | 20% | 41% |
| f. to give my work importance..... | 39% | 21% | 14% | 26% |
| g. to have trained people review and comment on my work..... | 30% | 23% | 17% | 31% |
| h. because I thought I had to..... | 42% | 18% | 11% | 29% |

8. Please circle if your community needs MORE, the SAME NUMBER, or FEWER types of FAMILY DAY CARE HOMES. Please answer EACH item.

| My community needs: | <u>More</u> | <u>Same Number</u> | <u>Fewer</u> |
|--|-------------|------------------------|--------------|
| a. full-day family day care..... | 74% | 21% | 5% |
| b. part-time family day care..... | 66% | 28% | 5% |
| c. night-time family day care..... | 65% | 26% | 9% |
| d. before and/or after school care..... | 67% | 28% | 5% |
| e. infant family day care..... | 77% | 18% | 5% |
| f. toddler family day care..... | 65% | 30% | 5% |
| g. family day care for the mentally retarded.... | 73% | 20% | 8% |
| h. family day care for the physically handicapped..... | 73% | 21% | 6% |
| i. family day care for the emotionally disturbed..... | 71% | 21% | 8% |

9. Since you were first licensed as a family day care provider, have there ever been times when you did not provide family day care services? Please circle YES or NO.

YES 50% NO 50%

9a. IF YES, please tell us which of the following best describes why you stopped your family day care service during those times. You may answer more than one. Please circle answer(s). "I discontinued service because":

- 35% a. I didn't have enough children (applicants)
- 20% b. I found different employment
- 20% c. I needed more income
- 2% d. I had difficulty meeting the state requirements
- 4% e. I just didn't like the job anymore
- 23% f. I needed more time for other interests
- 21% g. poor parent cooperation
- 17% h. parents did not pay on time
- 4% i. state did not provide payment for AFDC children on time
- 1% j. lack of technical assistance from the district office
- 10% k. I moved

10. Please tell us how easy or difficult it has been for you to deal with EACH of the following state agencies.

| | <u>Easy</u> | <u>Not Too Difficult</u> | <u>Difficult</u> | <u>Impos- sible</u> |
|---|-------------|--------------------------|------------------|---------------------|
| a. the staff of your district office..... | 76% | 20% | 2% | 1% |
| b. Central Day Care Office..... | 76% | 20% | 2% | 2% |
| c. Dept. of Children and Youth..... Services..... | 73% | 22% | 2% | 3% |

11. Have you read the state standards for licensed day care?

YES 90% NO 10%

11a. IF YES, how clear are the licensing standards?

| | <u>Very Clear</u> | <u>Somewhat Clear</u> | <u>Not Very Clear</u> | <u>Not At All Clear</u> |
|----------------------------------|-------------------|-----------------------|-----------------------|-------------------------|
| The licensing standards are..... | 77% | 18% | 4% | 1% |

12. Some people decide not to license their day care home. Which of the following do you think are the most important reasons why people choose not to license their day care homes. You may circle more than one answer.

- 53% a. they don't want state people coming into their home
- 42% b. they don't want state people telling them what to do
- 10% c. they don't want the state to release their name to parents
- 67% d. because a license limits the number of children they can care for
- 13% e. because it means extra work for them
- 10% f. because a license increases their costs
- 59% g. because they would prefer not to list this income on their taxes

13. How many people do you know of who are currently providing family day care without a license? Please circle the number.

0 56% 1 13% 2 11% 3 7% 4 5% 5 2% 6 1% 7 1%
 8 0% 9 0% 10 1% More than 10 3%

14. How important do you think it is to have each of the following completed before being licensed as a family day care provider. Please answer each item.

| | Very <u>Imp.</u> | Somewhat <u>Imp.</u> | Not At <u>All Imp.</u> |
|---|---------------------|-------------------------|---------------------------|
| a. training by the state in nutrition..... | 34% | 41% | 24% |
| b. training by the state in child development..... | 40% | 39% | 21% |
| c. training by the state in disciplining children.. | 43% | 33% | 24% |
| d. training by the state in activities planning.... | 36% | 37% | 27% |
| e. medical examination for you..... | 57% | 26% | 17% |
| f. medical examination for others in household..... | 41% | 25% | 34% |
| g. water inspection of my home..... | 44% | 29% | 28% |
| h. lead paint inspection of my home..... | 62% | 21% | 17% |
| i. reference letters..... | 56% | 32% | 12% |

15. After your application to become a family day care provider was completed (medical exam in, water inspection done, references in, etc.), how long was it before a licensing representative first visited your home? Please circle ONLY ONE answer.

- 28% a. less than two weeks
- 45% b. between two weeks to one month
- 16% c. one month to six weeks
- 9% d. more than six weeks
- 1% e. the licensing representative never visited my home

16. Which items did the licensing representative check in your home when he or she first inspected your home. You may circle MORE THAN ONE item.

- 76% a. poisons out of children's reach
- 55% b. electrical appliances in good repair
- 50% c. fire extinguisher available
- 52% d. safety of toys
- 58% e. posted emergency telephone numbers
- 35% f. meal plans
- 57% g. your rules for children
- 55% h. your plans for children's activities

17. In your opinion, what is the minimum number of times a year a licensing representative should visit a family day care home to check licensing standards? Please WRITE IN NUMBER.

Ave. twice a year
 WRITE IN NUMBER OF TIMES

18. Please check how often you have received assistance from your district office for EACH of the following.

| I have received assistance for: | Very Often | Occasionally | Seldom | Never |
|---|------------|--------------|--------|-------|
| a. activities planning..... | 5% | 10% | 14% | 71% |
| b. meal planning..... | 6% | 12% | 13% | 69% |
| c. child discipline and behavior problems.. | 4% | 10% | 15% | 71% |
| d. information on child development..... | 7% | 17% | 15% | 62% |
| e. information on health and safety..... | 11% | 24% | 18% | 47% |
| f. helping me to fill vacancies..... | 17% | 26% | 15% | 42% |
| g. information on service agencies..... | 6% | 13% | 12% | 69% |
| h. information about associations for day care providers..... | 6% | 12% | 14% | 69% |
| i. business advice, like fee collections... | 4% | 9% | 15% | 72% |
| j. a review of and helpful comment about my work..... | 8% | 18% | 15% | 59% |

19. What is the highest level of schooling you have completed? Please circle one number. Average level of schooling completed 12.4 years

20. Please note how many children you presently care for of each of the following racial groups.

| | WRITE NUMBER OF CHILDREN |
|--------------------|--------------------------|
| a. White | Average 1 to 2 |
| b. Black | 0 to 1 |
| c. Hispanic | 0 |
| d. Oriental | 0 |
| e. American Indian | 0 |

21. How often do you use EACH of the following reasons to set the fee per child? Please answer EACH item.

| | Very Often | Occasionally | Seldom | Never |
|---|------------|--------------|--------|-------|
| a. parents' or guardians' income..... | 29% | 19% | 11% | 41% |
| b. if child has special needs..... | 22% | 29% | 10% | 38% |
| c. bargaining with parents..... | 13% | 17% | 16% | 54% |
| d. child's family situation..... | 32% | 23% | 11% | 34% |
| e. welfare workers' recommendation to parent for AFDC children..... | 13% | 15% | 6% | 66% |
| f. recommendation of district office... | 11% | 12% | 6% | 71% |
| g. providing care for two or more children from one family..... | 49% | 26% | 8% | 17% |
| h. child's age..... | 37% | 22% | 10% | 32% |
| i. if the fee is set by the week versus by the day..... | 48% | 22% | 7% | 23% |
| j. number of hours child receives care..... | 67% | 14% | 3% | 15% |
| k. if the child brings lunch..... | 36% | 17% | 6% | 41% |

22. What is your age? Average 37
WRITE AGE

23. What is your race? Please circle number under answer.

| <u>White</u> | <u>Black</u> | <u>Hispanic</u> | <u>Oriental</u> | <u>American Indian</u> |
|--------------|--------------|-----------------|-----------------|------------------------|
| 74% | 20% | 5% | 0% | 0% |

24. Please circle one answer which is closest to your total yearly family income before taxes.

- 21% a. less than \$5,000
- 16% b. \$5,000 to \$9,999
- 21% c. \$10,000 to \$14,999
- 21% d. \$15,000 to \$19,999
- 13% e. \$20,000 to \$24,999
- 8% f. more than \$25,000

25. Where is your family day care home located? Please circle number under answer.

| <u>Rural</u> | <u>Urban</u> | <u>Suburban</u> |
|--------------|--------------|-----------------|
| 23% | 36% | 40% |

26. Please circle any of the following which assist your personal living expenses. You may circle MORE THAN ONE.

- | | | | |
|-----|----------|-----|----------------------|
| 13% | a. AFDC | 3% | d. SSI |
| 3% | b. WIN | 1% | e. GA |
| 0% | c. CAMAD | 82% | f. None of the above |

APPENDIX IV

CFS Family Day Care Home Provider Questionnaire

We appreciate you taking your time to fill this out. Please answer every question on both sides of every page. Thank you.

Child and Family Service Provider

1. How many years have you been a family day care provider?
Ave. 36 months
2. How many months have you been a state-licensed family day care provider?
Ave. 37 months
3. How many months does the average child remain in your care on a full day basis?
Ave. 10 months
4. When you first started to care for other people's children, did you know that a state day care license was required to run a family day care home?
Please circle YES 96% NO 4%
5. How did you discover that a state day care license is required? You may circle more than one item.

- 35% a. neighbor or friend (who is not a provider)
- 17% b. news media
- 61% c. another day care worker
- 4% d. church or civic group
- 0% e. local school personnel
- 0% f. someone from the Department of Health
- 9% g. someone from the Department of Human Resources
- 4% h. someone from the Department of Children and Youth Services

6. How many people of each of the following age groups currently live in your household? Write in number of persons in each group.

WRITE NUMBER IN HOUSEHOLD
Average Answer

| | |
|-----------------------------------|--------|
| a. adults | 2 |
| b. children age 13 to 18 | 0 to 1 |
| c. children age 5 to 12 | 1 |
| d. children less than 5 years old | 0 to 1 |

7. Below are listed some reasons why family day care providers get a day care license. Please circle how important EACH item was to you when you first decided to get a day care license.

| | <u>Very Imp.</u> | <u>Somewhat Imp.</u> | <u>Not Too Imp.</u> | <u>Not At All Imp.</u> |
|--|----------------------|--------------------------|-------------------------|----------------------------|
| a. to get help filling my vacancies..... | 67% | 22% | 11% | 0% |
| b. to receive state money..... | 37% | 21% | 16% | 26% |
| c. to receive workshop training by the state..... | 86% | 5% | 10% | 0% |
| d. to receive information on things like health, safety, program planning, and activities..... | 77% | 23% | 0% | 0% |
| e. to provide me with an association of day care providers.... | 59% | 29% | 12% | 0% |
| f. to give my work importance..... | 50% | 33% | 6% | 11% |
| g. to have trained people review and comment on my work..... | 58% | 32% | 5% | 5% |
| h. because I thought I had to..... | 33% | 13% | 13% | 40% |

8. Please circle if your community needs MORE, the SAME NUMBER, or FEWER types of FAMILY DAY CARE HOMES. Please answer EACH item.

| My community needs: | <u>More</u> | <u>Same Number</u> | <u>Fewer</u> |
|--|-------------|------------------------|--------------|
| a. full-day family day care..... | 90% | 10% | 0% |
| b. part-time family day care..... | 53% | 41% | 6% |
| c. night-time family day care..... | 46% | 38% | 15% |
| d. before and/or after school care..... | 81% | 13% | 6% |
| e. infant family day care..... | 72% | 28% | 0% |
| f. toddler family day care..... | 76% | 24% | 0% |
| g. family day care for the mentally retarded.... | 80% | 13% | 7% |
| h. family day care for the physically handicapped..... | 73% | 27% | 0% |
| i. family day care for the emotionally disturbed..... | 71% | 14% | 14% |

9. Since you were first licensed as a family day care provider, have there ever been times when you did not provide family day care services? Please circle YES or NO.

YES 25% NO 75%

9a. IF YES, please tell us which of the following best describes why you stopped your family day care service during those times. You may answer more than one. Please circle answer(s). "I discontinued service because":

- 15% a. I didn't have enough children (applicants)
- 0% b. I found different employment
- 15% c. I needed more income
- 0% d. I had difficulty meeting the state requirements
- 0% e. I just didn't like the job anymore
- 0% f. I needed more time for other interests
- 0% g. poor parent cooperation
- 0% h. parents did not pay on time
- 0% i. state did not provide payment for AFDC children on time
- 0% j. lack of technical assistance from the district office
- 0% k. I moved

10. Which of the following best describes why you got your license with Child & Family Services, rather than the state? Circle one item only.

- 50% a. I was referred to Child & Family Services by another family day care provider
- 14% b. I thought I could get more money per child
- 5% c. I didn't want to deal with the state
- 0% d. I was referred to Child & Family Services by Info Line
- 32% e. I wanted the training offered by Child & Family Services

11. If you have ever had a state family day care license (not from Child & Family services), please write in the number of years you had that state license. (If you have never had a state license write in zero.)

Average: 0 to 1 year

12. Some people decide not to license their day care home. Which of the following do you think are the most important reasons why people choose not to license their day care homes. You may circle more than one answer.

- 59% a. they don't want state people coming into their home
- 41% b. they don't want state people telling them what to do
- 0% c. they don't want the state to release their name to parents
- 64% d. because a license limits the number of children they can care for
- 14% e. because it means extra work for them
- 5% f. because a license increases their costs
- 41% g. because they would prefer not to list this income on their taxes

13. How many people do you know of who are currently providing family day care without a license? Please circle the number.

0 70% 1 17% 2 0% 3 0% 4 4% 5 4% 6 0% 7 0%
 8 0% 9 0% 10 0% More than 10 0%

14. How important do you think it is to have each of the following completed before being licensed as a family day care provider. Please answer each item.

| | Very Imp. | Somewhat Imp. | Not At All Imp. |
|---|--------------|------------------|--------------------|
| a. training by the state in nutrition..... | 71% | 29% | 0% |
| b. training by the state in child development..... | 82% | 18% | 0% |
| c. training by the state in disciplining children.. | 71% | 29% | 0% |
| d. training by the state in activities planning.... | 70% | 30% | 0% |
| e. medical examination for you..... | 75% | 25% | 0% |
| f. medical examination for others in household..... | 70% | 30% | 0% |
| g. water inspection of my home..... | 47% | 42% | 11% |
| h. lead paint inspection of my home..... | 63% | 21% | 16% |
| i. reference letters..... | 76% | 18% | 6% |

15. After your application to become a family day care provider was completed (medical exam in, water inspection done, references in, etc.), how long was it before a licensing representative first visited your home? Please circle ONLY ONE answer.

62% a. less than two weeks
 33% b. between two weeks to one month
 0% c. one month to six weeks
 5% d. more than six weeks
 0% e. the licensing representative never visited my home

16. Which items did the licensing representative check in your home when he or she first inspected your home. You may circle MORE THAN ONE item.

68% a. poisons out of children's reach
 32% b. electrical appliances in good repair
 32% c. fire extinguisher available
 59% d. safety of toys
 55% e. posted emergency telephone numbers
 55% f. meal plans
 73% g. your rules for children
 64% h. your plans for children's activities

17. In your opinion, what is the minimum number of times a year a licensing representative should visit a family day care home to check licensing standards? Please WRITE IN NUMBER.

Average six times a year
 WRITE IN NUMBER OF TIMES

18. Please check how often you have received assistance from your district office for EACH of the following.

| I have received assistance for: | Very Often | Occa- sionally | Seldom | Never |
|--|------------|----------------|--------|-------|
| a. activities planning..... | 68% | 9% | 9% | 14% |
| b. meal planning..... | 62% | 24% | 5% | 10% |
| c. child discipline and behavior problems.. | 50% | 25% | 10% | 15% |
| d. information on child development..... | 55% | 27% | 5% | 14% |
| e. information on health and safety..... | 67% | 19% | 0% | 14% |
| f. helping me to fill vacancies..... | 65% | 15% | 5% | 15% |
| g. information on service agencies..... | 0% | 26% | 21% | 53% |
| h. information about associations for day care providers..... | 11% | 32% | 11% | 47% |
| i. business advice, like fee collections... | 11% | 11% | 11% | 67% |
| j. a review of and helpful comment about my work..... | 45% | 30% | 5% | 20% |

19. What is the highest level of schooling you have completed? Please circle one number. Average level of schooling completed: 11 years

20. Please note how many children you presently care for of each of the following racial groups.

| | <u>WRITE NUMBER OF CHILDREN</u> |
|--------------------|---------------------------------|
| | Average |
| a. White | 2 |
| b. Black | 1 to 2 |
| c. Hispanic | 0 |
| d. Oriental | 0 |
| e. American Indian | 0 |

21. What is your age? Average 43
WRITE AGE

22. What is your race? Please circle number under answer.

| <u>White</u> | <u>Black</u> | <u>Hispanic</u> | <u>Oriental</u> | <u>American Indian</u> |
|--------------|--------------|-----------------|-----------------|------------------------|
| 35% | 57% | 4% | 4% | 0% |

23. Please circle one answer which is closest to your total yearly family income before taxes.

- 10% a. less than \$5,000
- 38% b. \$5,000 to \$9,999
- 29% c. \$10,000 to \$14,999
- 10% d. \$15,000 to \$19,999
- 14% e. \$20,000 to \$24,999
- 0% f. more than \$25,000

24. Where is your family day care home located? Please circle number under answer.

| <u>Rural</u> | <u>Urban</u> | <u>Suburban</u> |
|--------------|--------------|-----------------|
| 9% | 48% | 43% |

25. Please circle any of the following which assist your personal living expenses. You may circle MORE THAN ONE.

- | | | | |
|-----|----------|----|----------------------|
| 23% | a. AFDC | 0% | d. SSI |
| 9% | b. WIN | 0% | e. GA |
| 68% | c. CAMAD | 0% | f. None of the above |

APPENDIX V

Day Care District Office

Interview Schedule

1. What is your current position in district office (TITLE)? _____
2. How long have you been in your current position? _____
3. How long have you been with the district office? _____
4. How long have you been working in the area of day care? _____
5. Briefly describe your training and experience related to day care.

6. For each of the following types of day care please tell me if you think your region needs MORE, the SAME NUMBER, or FEWER types of FAMILY DAY CARE HOMES. Does your community need more, the same number, or fewer:

| | <u>More</u> | <u>Same Number</u> | <u>Fewer</u> |
|---|-------------|------------------------|--------------|
| a. full-day family day care..... | 3 | 2 | 1 |
| b. part-time family day care..... | 3 | 2 | 1 |
| c. night-time family day care..... | 3 | 2 | 1 |
| d. before and/or after school care..... | 3 | 2 | 1 |
| e. infant family day care..... | 3 | 2 | 1 |
| f. toddler family day care..... | 3 | 2 | 1 |
| g. family day care for the mentally retarded..... | 3 | 2 | 1 |
| h. family day care for the physically handicapped | 3 | 2 | 1 |
| i. family day care for the emotionally disturbed. | 3 | 2 | 1 |

7. Please tell us how easy or difficult it has been for your office to deal with EACH of the following state agencies. Has it been easy, not too difficult, difficult, or impossible to deal with:

| | <u>Easy</u> | <u>Not Too Difficult</u> | <u>Difficult</u> | <u>Impos- sible</u> |
|---|-------------|------------------------------|------------------|-------------------------|
| a. the staff from other district offices... | 4 | 3 | 2 | 1 |
| b. Central Day Care Office (DHR)..... | 4 | 3 | 2 | 1 |
| c. DCYS..... | 4 | 3 | 2 | 1 |
| d. DIM | 4 | 3 | 2 | 1 |
| e. Other..... | | | | |

8. What written materials are provided to licensed family day care providers?

- When are these materials provided? (i.e. at time of initial licensure, renewal, sporadically throughout the year, or only upon request)

9. Some people decide not to license their day care home. For each of the following I will read, please tell me what you think are the most important reasons why people choose not to license their day care homes. Do they not license their homes because:

- a. they don't want state people coming into their home
- b. they don't want state people telling them what to do
- c. they don't want the state to release their name to parents
- d. because a license limits the number of children they can care for
- e. because it means extra work for them
- f. because a license increases their costs
- g. because they would prefer not to list this income on their taxes
- h. other _____

10. How important do you think it is for providers to have training in each of the following before being licensed as a family day care provider? Do you think it is very important, somewhat important or not at all important to have completedbefore being licensed.

| | Very <u>Imp.</u> | Somewhat <u>Imp.</u> | Not At <u>All Imp.</u> |
|--|---------------------|-------------------------|---------------------------|
| a. training by the state in nutrition..... | 3 | 2 | 1 |
| b. training by the state in child development..... | 3 | 2 | 1 |
| c. training by the state in disciplining children. | 3 | 2 | 1 |
| d. training by the state in activities planning... | 3 | 2 | 1 |
| e. medical examination for you..... | 3 | 2 | 1 |
| f. medical examination for others in household.... | 3 | 2 | 1 |
| g. water inspection of my home..... | 3 | 2 | 1 |
| h. lead paint inspection of my home..... | 3 | 2 | 1 |
| i. reference letters..... | 3 | 2 | 1 |
| j. other..... | 3 | 2 | 1 |

11. In your opinion, what is the minimum number of times a year a licensing representative should visit a family day care home to check licensing standards?

12. Please tell us how often day care providers receive assistance from your district office for EACH of the following. Please tell us if they receive assistance very often, occasionally, seldom or never.

| How often do they receive assistance for: | <u>Very Often</u> | <u>Occasionally</u> | <u>Seldom</u> | <u>Never</u> |
|--|-------------------|---------------------|---------------|--------------|
| a. activities planning..... | 4 | 3 | 2 | 1 |
| b. meal planning..... | 4 | 3 | 2 | 1 |
| c. child discipline and behavior problems | 4 | 3 | 2 | 1 |
| d. information on child development..... | 4 | 3 | 2 | 1 |
| e. information on health and safety..... | 4 | 3 | 2 | 1 |
| f. helping me to fill vacancies..... | 4 | 3 | 2 | 1 |
| g. information on service agencies (food stamps, counseling, abuse questions, etc.)..... | 4 | 3 | 2 | 1 |
| h. information about associations for day care providers..... | 4 | 3 | 2 | 1 |
| i. business advice, like fee collections. | 4 | 3 | 2 | 1 |
| j. a review of and helpful comment about my work..... | 4 | 3 | 2 | 1 |
| k. other _____ | 4 | 3 | 2 | 1 |

13. We are interested in your perceptions of how much "support" your office receives from the central office (DHR). For each of the following please tell us whether you Strongly Agree, Agree, Disagree or Strongly Disagree.

| | <u>SA</u> | <u>A</u> | <u>D</u> | <u>SD</u> |
|---|-----------|----------|----------|-----------|
| a. the central office stands behind the d.o. license enforcement efforts | 4 | 3 | 2 | 1 |
| b. the central office supports the d.o. efforts to have a license revoked | 4 | 3 | 2 | 1 |
| c. the central office provides assistance to the d.o. concerning training for day care providers | 4 | 3 | 2 | 1 |
| d. the central office provides information and an explanation to the d.o. concerning any changes in day care regulation | 4 | 3 | 2 | 1 |
| e. the central office seeks your input in developing policies | 4 | 3 | 2 | 1 |
| f. the central office seeks your input in developing procedures | 4 | 3 | 2 | 1 |

14. What are the family day care policy and guidelines under which you operate?

Who developed this policy?

How responsive is the policy to the needs of Connecticut citizens?

How operable is the policy in terms of program implementation and success?

What role does the central office have in development of day care policy?

What role does the day care council have in the development of day care policy?

15. Do you establish yearly goals in terms of the number of licenses granted & renewed?

What are these goals?

16. Many people have noted, nationally and in Connecticut, that a license limits the number of children and income a provider can have.

a. Why should an individual get a license in Connecticut?

What are the real benefits for the provider?

b. Can anything be done or, should anything be done to change present capacity limits to allow greater flexibility depending on the provider's experience and preferences?

c. What are the benefits of licensure to the public?

d. How do you insure continued quality assurance?

17. What staff do you presently have working in family day care service provision?

| | |
|------------------|---------------------|
| - Describe staff | a. roles |
| for each | b. responsibilities |
| job category | c. qualifications |
| | d. training |

18. What kind of staff turnover does your d.o. experience?
 - What causes this turnover?
 - How can it be minimized?

19. How does the split jurisdiction over family day care affect the administration and program effectiveness of family day care policy?

20. Do you have the opportunity or desire to initiate or develop innovative program planning?

21. Please describe the structure and system of family day care administration and planning prior to Executive Reorganization?

22. Please describe the system presently in operation?
 - What are the major pitfalls and/or benefits of this "new" system?

APPENDIX VI

Child Day Care Council Questionnaire

What is your position or title _____ and the agency or department for which you work _____.

1. What percentage of the Child Day Care Council's meetings do you attend?

Please circle one number only.

- 1 Almost 100%
- 2 More than 50%
- 3 From 25% - 50%
- 4 Less than 25%

2. How much time, outside the Child Day Care Council's meetings do you spend on Council activities? Please circle one number only.

- 1 0-4 hours per month
- 2 5-8 hours per month
- 3 9-16 hours per month
- 4 17 or more hours per month

3. How long have you served on the Child Day Care Council? Please write in number of years.

Write Number of Years

4. Which of the following responsibilities are most integral to the current and future goals of the Child Day Care Council? Please number in order of importance (1 = most important to 6 = least important).

_____ identify and inventory existing child day care services

_____ develop and revise child day care regulations

_____ study and identify funding sources

_____ recommend regulations to effectuate the development of parent controlled non-profit cooperative day care arrangements

_____ develop a plan to coordinate existing and future child day care services

_____ review and comment on plans of other state agencies administering state and federal funds for child day care service

_____ Other, please specify.

5. On a scale from 1 (Very Effective) to 4 (Not Effective), please rate the Child Day Care Council's overall performance in each of the following functions.

| <u>Very Effective</u> | | <u>Not Effective</u> | | |
|-----------------------|----------|----------------------|----------|--|
| <u>1</u> | <u>2</u> | <u>3</u> | <u>4</u> | |
| 1 | 2 | 3 | 4 | a. identify and inventory existing child day care services |
| 1 | 2 | 3 | 4 | b. develop and revise child day care regulations |
| 1 | 2 | 3 | 4 | c. study and identify funding sources |
| 1 | 2 | 3 | 4 | d. recommend regulations to effectuate the development of parent controlled non-profit cooperative day care arrangements |
| 1 | 2 | 3 | 4 | e. develop a plan to coordinate existing and future child day care services |
| 1 | 2 | 3 | 4 | f. review and comment on plans of other state agencies administering state and federal funds for child day care services |
| 1 | 2 | 3 | 4 | g. other (please specify) |

For each option circled 1 (Very Effective) or 4 (Not Effective), please explain the reasons for your rating.

6. Please circle whether you think the Child Day Care Council should have statutory responsibility, advisory capacity; should not have this responsibility; or should have another type of responsibility for each of the following roles. Circle one answer for each item.

| <u>Statutory Responsibility</u> | <u>Advisory Capacity</u> | <u>Should not have this responsibility</u> | <u>Other Role (please explain)</u> | |
|---------------------------------|--------------------------|--|------------------------------------|---|
| 1 | 2 | 3 | 4 | a. to develop family day care <u>policy</u> |
| 1 | 2 | 3 | 4 | b. to <u>educate</u> the public about family day care provision and need |
| 1 | 2 | 3 | 4 | c. to provide <u>oversight and monitoring</u> of family day care implementation |
| 1 | 2 | 3 | 4 | d. <u>program development</u> for family day care |
| 1 | 2 | 3 | 4 | e. <u>program implementation</u> of family day care |

7. On a scale from 1 = Excellent to 4 = Poor, please rate each of the following relationships in the day care system.

| <u>Excellent</u> | | | <u>Poor</u> | | |
|------------------|---|---|-------------|----|--|
| <u>1</u> | 2 | 3 | <u>4</u> | | |
| 1 | 2 | 3 | 4 | a. | The Child Day Care Council and the Department of Human Resources (DHR) |
| 1 | 2 | 3 | 4 | b. | The Child Day Care Council and the Department of Children and Youth Services (DCYS) |
| 1 | 2 | 3 | 4 | c. | The Child Day Care Council and the Department of Health Services (DOHS) |
| 1 | 2 | 3 | 4 | d. | The Department of Children and Youth Services and the Department of Human Resources |
| 1 | 2 | 3 | 4 | e. | The Department of Children and Youth Services and the Department of Health Services |
| 1 | 2 | 3 | 4 | f. | The Department of Children and Youth Services and the Department of Income Maintenance (DIM) |
| 1 | 2 | 3 | 4 | g. | The Department of Human Resources and the Department of Health Services |
| 1 | 2 | 3 | 4 | h. | The Department of Human Resources and the Department of Income Maintenance |
| 1 | 2 | 3 | 4 | i. | The Department of Human Resources and the district offices |
| 1 | 2 | 3 | 4 | j. | The Department of Income Maintenance and the district offices |

For each item you circled 1 (Excellent) or 4 (Poor), please explain the reasons for that rating.

8. Do you feel that the effective operation of the Child Day Care Council is impeded by any statute, regulation, or policy? Please circle Yes or No.

Yes

No

8a. If you answered yes to Question 8, what do you feel is the major impediment to the Child Day Care Council's effective operation? Please circle one number only.

1 Statutes are unclear

2 Statutory responsibilities are non-operable

3 Lack of agreement in goals between the members of the Council (Please explain)

4 Poor role definition of the Council

5 Other (Please specify) _____

9. Please tell us what you think the current and future goals should be of the Child Day Care Council?

10. We would like to know how you perceive the efficiency and effectiveness of the current family day care home system. Please include:

a. Suggestions or comments concerning the current regulations:

b. Comments about the administration of family day care:

c. Communication and coordination between the departments having jurisdiction over family day care:

d. Other issues which you feel impact upon the efficiency and effectiveness of the family day care system:

11. What do you feel are the key elements to include in a family day care policy in Connecticut for the next 5 years? Please include:

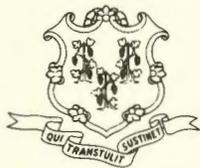
a. Who you feel should be responsible for developing this policy:

b. Who should be responsible for implementing the policy:

c. Who should be responsible for monitoring the policy implementation:

12. Please tell us what effect you think the elimination of the Office of Child Day Care would have on the Child Day Care Council:

13. Please tell us what effect you think the elimination of the Office of Child Day Care would have on family day care service provision and need:



LEGISLATIVE PROGRAM REVIEW
AND INVESTIGATIONS COMMITTEE

LEGISLATIVE OFFICE BUILDING, 18 TRINITY ST., HARTFORD, CT 06115 (203) 566-8480

May 20, 1980

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MICHAEL L. NAUER
Director

RE: Family Day Care Public Hearings

FROM: Michael L. Nauer, Director

The Legislative Program Review and Investigations Committee, currently conducting an evaluation of family day care, will hold a public hearing on this topic Wednesday, June 11, 1980 at 1:30 p.m. in the Appropriations Committee Room (310), State Capitol, Hartford. The hearing will address the structure, systems and regulations of licensed family day care homes in Connecticut.

The Committee is interested in hearing the views of the district offices, state agencies, professional associations, citizen groups, service providers and service recipients. The Committee would appreciate the coordination of presentations from within organized groups to avoid repetition and promote concise testimony.

If you or other individuals from your office or agency would like to be scheduled to testify, please contact Elaine Anderson at the Committee office (566-8480). You are strongly encouraged to present your views.

mlg

LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE PUBLIC
HEARING ON FAMILY DAY CARE, JUNE 11, 1980: WITNESS LIST

| | |
|------------------------|---|
| Mr. Lawrence Marostica | Director of Field Operations, Connecticut Department of Human Resources |
| Mr. Dale Maynard | Director of Policy and Licensing, Connecticut Department of Children and Youth Services |
| Mr. John Ely | Director of Hartford District Office, Connecticut Department of Income Maintenance |
| Ms. Susan Bucknell | Executive Director, Commission on the Status of Women |
| Ms. Gertrude Mero | Chief of Day Care, Connecticut Department of Human Resources |
| Ms. Frances Roberts | Director, Office of Child Day Care |
| Ms. Shirley Brunkhardt | Coordinator of the Family Day Care Program, Child and Family Services, Inc. |
| Ms. Connie Williamson | Licensed family day care home provider |
| Ms. Marina Rodriguez | Planner, Community Council of the Capitol Region, Inc. |
| Ms. Chandra Wagar | Licensed family day care home provider |
| Ms. Nan Abell | Day Care Committee of Greenwich |
| Ms. Merilee Milstein | Parent who has had children in family day care |
| Mr. Allen Peichert | Citizen |

APPENDIX VIII

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APPENDIX IX

AGENCY RESPONSE

It is the policy of the Legislative Program Review and Investigations Committee to submit a late draft of each report to the appropriate agencies for comment prior to publication. Because of modifications, additions and deletions made during the preparation of the final draft, topics or page numbers referenced in the agency responses may not correspond to the information in this report. Written comments were solicited from the Departments of Children and Youth Services, Human Resources and Income Maintenance as well as the Office of Child Day Care.



STATE OF CONNECTICUT
DEPARTMENT OF CHILDREN AND YOUTH SERVICES

ELLA GRASSO
GOVERNOR

MARK J. MARCUS
COMMISSIONER

November 18, 1980

Michael L. Nauer, Director
Legislative Program Review and
Investigations Committee
18 Trinity Street
Hartford, Connecticut 06115

Dear Mr. Nauer:

We agree with the Committee's conclusion that all jurisdiction for the administration of family day care should be within one agency, and we have no objection to the Department of Human Resources being the agency of choice.

We do request, however, that the concept of day care be broadened from that which is solely employment related to also encompass day care as a child welfare service. It is important to the clients of the Department of Children and Youth Services that State policy consider day care in this light and give it the same prominence that day care for working mothers enjoy. Day care should be viewed as a child protection service, and as one of the options available to prevent out-of-home placement of children. The Federal guidelines for Title IV-B also embrace and require this concept.

As the Committee moves into the second phase of its study, my staff and I will be pleased to assist in any way which would be helpful. I particularly recommend the expertise of Raymond Farrington, Director, Division of Childrens and Protective Services, telephone 566-5506.

Sincerely,

Mark J. Marcus
Commissioner

MJM:bnl

Copy: Deputy Commissioner Charles A. Launi
Deputy Commissioner Amy B. Wheaton
Raymond Farrington, Director, Childrens
and Protective Services

Telephone: (203) 566-3536

~~145 Main Street~~ • Hartford, Connecticut 06115
170 Sigourney Street



STATE OF CONNECTICUT

DEPARTMENT OF HUMAN RESOURCES
OFFICE OF THE COMMISSIONER

November 21, 1980

Mr. Michael L. Nauer, Director
Legislative Program Review and
Investigations Committee
Legislative Office Building
18 Trinity Street
Hartford, Connecticut 06115

Dear Mr. Nauer:

I sincerely appreciate the opportunity to review and comment on the first draft of the Family Day Care Home Report of the Legislative Program Review and Investigations Committee. The work done by the Committee and its staff represents the first major examination of the Family Day Care Home system.

I also wish to express my appreciation for having had the opportunity of contributing to this effort and that you found our staff cooperative and helpful. A number of the recommendations have been implemented by the Department of Human Resources and others are in the process of development.

I wish now to make comments on each of the recommendations in your report.

1. Consolidation of Jurisdiction of Family Day Care Homes in our Agency, DHR.

This recommendation is appropriate since DHR now, in fact, has the staff which does the family day care home assessments and the appropriations to pay for the care of AFDC children of mothers who are in work or training. As the State agency responsible for the WIN (Work Incentive Program-AFDC) family day care homes are a major resource. This dual responsibility gives DHR an incentive to assure quality care. Furthermore, DHR is the Title XX agency and has the responsibility for implementing the Federal Interagency Day Care Regulations (FIDCR) which impact on family day care.

2. Goals and Objectives of the Family Day Care Home System.

I wish to commend the Committee for this recommendation. As the agency which has the appropriation which I have referred to previously and assuming that DHR becomes the agency with overall jurisdiction in the family day care system, it is appropriate that DHR establish goals, objectives and policy. In addition, as the Title XX agency responsible for implementing the Federal Day Care Regulations, we are required to meet the standards in those regulations to assure continuation of Federal funds. I am pleased to advise you that DHR had made substantial progress in relation to an overall day care policy and has had a task force at work since

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early July on the implementation of the Federal Day Care Regulations. It is my intention to request that the Day Care Council and other interested individuals or groups review and comment on the goals, objectives and policies which will be forthcoming.

3. Level of Regulation

The licensing of family day care homes must continue if those who use this service will have confidence in those who give the service. It is similar to the licensing of foster homes which also is required in the Statutes of the State of Connecticut.

It is my intention to strengthen the licensing procedure. I have given a priority to the use of Title XX Training funds so that the DHR staff who do family day care home studies and the family day care providers themselves may become more proficient.

4. Standardization of District Office Procedures

In the organizational plan of DHR, all day care functions have been brought into a single division of day care in the Bureau of Field Operations. Mrs. Gertrude Mero is the Chief of this major division within field operations. The staff involved with family home studies and their supervisors have participated in major in-service training programs as one way of assuring standardization of procedures. In Addition, a Field Office Coordinator for agency family day care home activities has been assigned by Mrs. Mero to assure standardization and quality performance in the District Offices.

In this regard, I assure that there is a mechanism for handling all complaints against day care providers which include prompt follow-up investigations. In such cases, unannounced visits are a standard practice of DHR.

Oversight/monitoring functions will continue by DHR district offices and will include field visitations to day care homes as well as state/local relationships with fire marshalls.

5. Public Information Efforts

May I advise you that DHR has a policy for disseminating public information to either providers or consumers. I have previously referred to the Day Care Division of the Department. Mrs. Mero has given careful attention to recruitment of potential homes as a part of our efforts. (Please see Attachment A as an example.) In addition, there have been many group meetings

held on a Regional Basis. We have also provided information on request of currently licensed homes. Because of our efforts, newspapers will not accept advertisements unless a family day care home can provide their license number.

However, it is my intention as the policy of this agency that an intensive effort be made to make the family day care resource better known to the public at large and that unlicensed providers become aware that they are violating the State Statutes if they provide care to children in their homes who are not related to them.

I also encourage the Committee to use its influence to secure prompt adoption to of the State Day Care Regulations which I understand that DCYS will soon submit to the Legislative Regulations and Review Committee.

May I also comment further in regard to training of family day care home providers. During the period October 1, 1979 through September 30, 1980 DHR initiated several programs for training under the Title XX program. (Please see Attachment B) I have previously indicated that during the current year, the Department has made a major committment to train family day care home providers under Title XX. The Federal Day Care Regulations require that training be given effective April 1, 1981. We have proceeded well in advance this requirement to assure that training is available. Our contracts with colleges and universities have in the past included curriculum development costs. Therefore, family day care home providers not und Title XX may participate at their own cost as well.

6. Change in the Compositions of the Child Day Care Council

I have no objection to the increase in the membership of the Child Day Care Council from eleven to thirteen members. However, there apparently is some misunderstanding that the Council qualifies as the advisory body required in the Federal Day Care Regulations. I feel I must caution the Committee if it is being so advised, the Council will not meet the requirements of the Federal Regulations. (Please see Attachment C which is an extract from the Regulations). The Regulations state that the "agency" (Title XX agency-DHR) shall have a Day Care Advisory Council which I intend to establish. The Child Day Care Council is not an advisory council to the Department. It was created for a different purpose. The Advisory Council envisioned in the Regulations is appointed by the Commissioner of the State Title XX Agency. I believe it would require legislative action on the part of the General Assembly to modify the purpose and the appointing authority of the Child Day Care Council before it would be able to function as required in the Federal Regulations. In addition, it is not representative of the Advisory Council in its current makeup.

7. Capacity Limits for Day Care Homes

Please be advised that the current capacity limits for day care homes have been changed to conform to the Federal Regulations. Following a Regional meeting in June 1980, called by the Boston Regional Office of the Department of Health and Human Services, on the new regulations, DHR advised DCYS of the capacity limits and a change was made. As I advised you previously, the State regulations are to be filed soon with the Regulations and Review Committee.

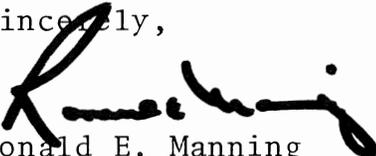
8. AFDC Day Care Payments

I concur that the present rate for family day care payment is probably not adequate. I am very concerned, however, since DHR has the appropriation formerly in the DIM budget, which would not support an increase in rates. The current rates have been in existence for many years, a simple adjustment to account for cost-of-living based on the present rates would require substantial new funding.

Following the June 1980 Regional meeting to which I referred to above, I instructed our Policy Division to initiate a study of all day care rates. I did so because Section 71.58 of the Federal Regulations specify that "in establishing rates of payment for child day care services the State agency shall take into account the costs to the facility of meeting this part". Since rates should be based on costs to begin with, and not the number of children from a family, I felt compelled to initiate a rate review. A rate based on current cost would certainly require additional funding.

May I thank the Committee again and compliment it and the staff on this major effort.

Sincerely,



Ronald E. Manning
Commissioner

REM/11

Attachments



STATE OF CONNECTICUT

DEPARTMENT OF INCOME MAINTENANCE

GEORGE B. COLEMAN
DEPUTY COMMISSIONER

December 4, 1980

TELEPHONE
(203) 566-2759

Mr. Michael L. Nauer, Director
Legislative Program Review and
Investigations Committee
Legislative Office Building
18 Trinity Street
Hartford, Connecticut 06115

Dear Mr. Nauer:

In reply to your letter of November 6, 1980, we have reviewed the draft of your committee's report of Family Day Care Homes. We found the report to be essentially accurate and satisfactory, and we have no further comments to offer.

We appreciate having had the opportunity to contribute to your study and to review your report.

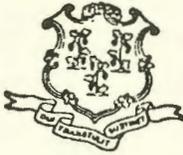
Sincerely,

A handwritten signature in dark ink, appearing to read "George B. Coleman", with a long horizontal flourish extending to the right.

GEORGE B. COLEMAN
DEPUTY COMMISSIONER

GBC:ELD

XC: John Ely



STATE OF CONNECTICUT
OFFICE OF CHILD DAY CARE

Frances T. Roberts, Director
1179 MAIN STREET HARTFORD, CONNECTICUT 06101

November 10, 1980

Michael L. Nauer, Director
Legislative Program Review and
Investigations Committee
Connecticut General Assembly
Legislative Office Building
18 Trinity Street
Hartford, CT 06115

Dear Mr. Nauer,

Thank you for the opportunity to comment on the first draft copy of your committee's report on Family Day Care Homes. It is an impressive document which brings together a lot of information that has been difficult to obtain and makes a number of very useful recommendations for the future.

In general, I am in agreement with all of the recommendations as far as they go and to the extent that I understand them. The area that is not clear to me is that of the functions which the committee recommends that the Office of Child Day Care and the Child Day Care Council continue to perform in relation to the Family Day Care Home program.

Presently, the statutory mandates of the Office of Child Day Care relate to child day care services. These services are defined in Section 19-43b as being of three types: day care center, group day care home, family day care home. The responsibilities of this office, as defined in Section 4-60o and reported on Page 24 of the draft copy, relate to day care services and thus the mandated functions of planning, coordination and advocacy would relate to Family Day Care Homes as well as to the other two types of services. The mandate to "review and comment" on preliminary spending plans also relates to day care services and thus to all three types as defined in Sec. 19-43b.

It would appear to me that the recommendation concerning the development of policy goals by the Department of Human Resources, to be reviewed by the Child Day Care Council, (Page 34) ought more properly to be carried out in conjunction with the Office of Child Day Care. This would appear to me to be necessary unless the policy goals which DHR addresses are limited to the operational aspects of those homes from which tax-funded services are purchased and/or specifically to the regulatory functions for all homes licensed by the state.

I am sure that your staff was aware that by far the majority of homes licensed by the state are in fact used by consumers who pay for services directly to the provider. The involvement with the state of these consumers and providers is thus limited to assurance that the facility used is properly licensed for their protection, just as a restaurant or barber shop might be. Even if DHR has the legal responsibility for licensing all homes, as your report recommends and I support, I do not believe that this agency alone should write policy goals for the whole system when there is an Office of Child Day Care with its

present mandates. Perhaps the report is predicated on its early demise, but we are not slated for "sunset" for a few more years! As long as we are alive and well, we have as much interest in family day care homes as in day care centers, if not more!

As for the Child Day Care Council, Sec. 19-43c was amended in 1977 to give it responsibility for making recommendations "to the state agencies concerned with the regulation of family day care homes." This function is correctly identified on Pages 24 and 25 and again on Page 31 of your report, as is the function of the Office of Child Day Care along with DCYS and DHR.

What is not clear is the meaning of the recommendation on Page 33 that "all jurisdiction over family day care homes be consolidated in one agency - DHR." The key question is whether the Committee is recommending the consolidation of the legal responsibilities now held by DCYS and the operational functions now carried out by DHR into one agency, which I support, or whether the Committee is suggesting that the "recommendation" function of the Council and the "planning, coordination and advocacy" function of my office be eliminated. Naturally I would oppose the latter. And the reason why I say the report is unclear as to what the Committee means is that another recommendation suggests the addition of a family day care home provider to the Council, by which I would assume that the Council would continue to make its recommendations to the agencies involved.

Let me again reiterate my support for all of the recommendations, and remind the committee of my interest and support of their efforts by attaching to this memo copies of letters addressed to staff and chairman over the last two years.

The areas which I regret to see were not successfully addressed in the report are those which my office has found impossible to get from the department formerly administering the purchase of service money for day care which runs about \$5.5 million annually. (This is the function which was transferred from DIM to DHR effective July 1, 1980.) No one seems able to give information on the number of children for whom day care services were purchased; the ages of children for whom services were purchased; the type of service that was purchased, i.e., family day care homes, day care centers, child's own home or relative's home. This information is necessary in order to have a base line on which to project increases or decreases resulting from changes in policy or formula.

Without this information, I cannot accept the observation by the "representative from DHR" that a change in funding level or policy would "probably result in a doubling of the appropriation needed" as stated on Page 51 of the report. Since we do not really know what we are buying now, nor for whom and whether full or part day, we cannot predict how much higher the cost would be of an equitable formula based on a per child rate as recommended by your committee. I heartily endorse the recommendation on Page 52, which as you know was the basis of legislation introduced by this office in 1978 and 1979 which came out of Human Services each year with a JF only to die in the Appropriations Committee when no accurate fiscal impact statement could be made.

I would like now to comment briefly but systematically on the recommendations contained in the LPR & IC Report.

1. Role definition of the Principal Agencies.

As discussed in depth earlier in this letter, I support the consolidation of the licensing function in DHR because I do not feel that DCYS has sufficient program involvement to give this area adequate priority. For 16 months they have had clear legal responsibility for promulgating new and much needed regulations and are just now moving these to the Regulations Review Committee to be read into the December meeting.

I am still concerned about the possible conflict of interest in DHR licensing what it will pay for, and would much prefer to see all three types of licensing done by the Health Department which has no vested financial interest and is perceived by providers and consumers as a neutral entity. However, I recognize the fiscal reality that the Health Department would have to have funds transferred from DHR in order to carry out this additional responsibility, and I know this would be difficult to achieve at the present time.

2. Major goals and objectives.

I support the concept of the development of goals and policy guidelines, but feel it should be done in conjunction with this office as noted above. I also want to comment on the statement that there exists no coherent day care policy for this state. In 1973, a policy was drawn up by a committee chaired by Commissioner Reuben Figueroa of DCA; it was never clear whether their charge (and product) related only to state-funded day care or all day care services. Similarly, the comments of LPR&IC's report do not differentiate among the family day care homes which serve AFDC children and the homes which are funded through Title XX (both the appropriate province of DHR) and those which are merely regulated by the state and thus would benefit from the input of other constituencies such as those which are represented on the Day Care Council.

The Council has from time to time discussed the development of a state day care policy as a support to its responsibilities in the regulatory area. I would also remind the Committee that part of the original mandate to the Office of Child Day Care was to "develop a plan to coordinate existing and future child day care services." It was asked to report to the Governor and General Assembly and did so on April 15, 1976. No action was taken other than acknowledgment of its receipt, but the "plan" has been on file for 4½ years with the Governor and both houses of the General Assembly.

3. Level of regulation.

I support continuation of regulation at the present level until the Committee on Human Services has the opportunity to re-evaluate the issue of licensure of family day care. In 1977, this office introduced the concept of registration in place of licensure in the same bill which sought to consolidate the licensing of all day care services in the State Department of Health as had been recommended by several bodies including the Commission on Children's Services (and later the Human Services Reorganization Commission.) In the discussion in your report, reference is made to "certification" as an alternative to licensure and there is no reference to "registration," the method currently in use in Michigan, Texas and Massachusetts. If the comments made in connection with "certification" are meant to cover a registration process, they are over-simplified and sometimes in error. Under registration, the provider attests to the fact that she meets the state's requirements by signing the registration forms, and agrees to unannounced visits by the state to ensure that she performs as she has stated she does. There are sample visits, drop-in visits and these are not limited to an initial period but could and should continue to occur as long as the provider remains on the registration rolls, and more frequently if complaints are received.

As for the alternative of "no state involvement," in addition to the fact that federal reimbursement under AFDC might be jeopardized, I do not feel it would be proper for the state to make referrals on the basis of a "list" about which we know nothing. This office receives daily calls from parents seeking care for their children. Without some form of licensure or registration, we would have less information to give them than we do presently and DHR would have little incentive to collect such information except for placing children paid for under tax funds. We would be going backward in demonstrating our concern for children's safety and well-being and assisting the parentsⁱⁿ finding care with which they can be comfortable.

4. Standardization of Procedures.

I agree with the recommendation as it applies to initial licensing; renewals; complaints and investigations; unannounced visits on a random basis; and dealing with the fire marshals with a uniform procedure. I do not agree that these additional visits can necessarily be made without an increase in the size of the district office staffs, and think this should be piloted in two District Offices for 6 months before it is adopted as policy.

I also note that while a mechanism to handle complaints is suggested, there is no fine or penalty mentioned nor a procedure to close down an undesirable home after efforts to help the provider meet standards has failed.

5. Public Information Efforts.

I recognize the need for disseminating information to providers and consumers, and support the recommendation concerning a public relations campaign to recruit providers and educate parents, but remind the Committee that such a campaign will cost money. It should include TV and radio spots, billboards, ads in daily, foreign language and weekly newspapers. It is certainly worth doing, but I think it would require a state appropriation. This office has published a guide to day care for parents in English and Spanish, but recognizes that the printed word has a limited audience and that mass media gets the message across.

6. Regulatory Changes.

As chairperson of the Child Day Care Council, I heartily support the additions of a family day care home provider and the official membership of DIM; actually, I would like a second provider and the Department of Consumer Protection, making a total of 15. For the record, the attendance of DIM's representative has been at my request as chairperson of the Council, since I thought that DHR had succeeded DCA, and DIM had succeeded DSS, for Council purposes. When I discovered my error, I felt DIM's presence was valuable and should continue. Actually, most issues are resolved by consensus rather than formal vote at Council meetings, but I would welcome making DIM a full-fledged member by statutory change.

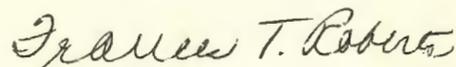
As for the recommendation concerning change in capacity limits for family day care homes, I would like to have an in-depth discussion of this recommendation at the next meeting of the Child Day Care Council. This would of course require legislative change as well as changes in regulations.

I would also like to bring to the Council the recommendation concerning changes necessary to conform to the proposed federal regulations, because I am not aware that any are needed. The state's licensing regulations are for all homes, whether reimburseable or not, and they represent a minimum standard as do the regulations for licensing day care centers. Funding agencies may ask for higher standards as a condition of funding; this higher or different standard need not be imposed on all of the homes in the state unless there is a conflict which I do not presently perceive.

7. AFDC Day Care Payments.

As noted above I heartily endorse the recommendation concerning payments for AFDC children, and urge that fiscal impact information be developed so that sufficient funds can be appropriated to DHR to enable them to change the present policy based on siblings to one based on a per-child rate as recommended by LPR & IC. This could be accomplished by a change in policy rather than requiring legislation.

Sincerely,



Frances T. Roberts (Mrs.)
Director

FTR:mam

atts.

