

DLRS - Strategic Map SFY 2014-15

Unit: Children's Licensing & Investigation Services

STRATEGIC INITIATIVE	Objectives	Action Steps January - March 2014	Action Steps April - June 2014	Action Steps July - September 2014	Action Steps October - December 2014	Action Steps January - March 2015	Action Steps April - June 2015	Summary Status July 1, 2015
RESOURCE UTILIZATION 1. Ensure efficient use of resources to achieve Division objectives.	Implement / amend performance metric reporting.	Determine performance metrics for all children's licensing programs	Enhance existing reports & create new to ensure all metrics are captured.	Collaborate with CHP II to identify trends/patterns in data	Develop comprehensive monthly report for senior management and unit staff. Data will be utilized as element of staff's annual job evaluation.	Assess data to ensure all expectations are reasonable and attainable by staff	Modify expectations if needed	Monthly metric report subject to ongoing review, continues to evolve. Work ongoing w/Macwis Data Specialist to identify areas data can accurately be extracted from Macwis. OAlIs track data not found in Macwis (licensing actions, SODs, POCs). Vacant Comprehensive Health Planner II (CHPII) position filled, will support completion of a comprehensive dash board report. Data is used for supervision, performance evaluations, management reports. Ongoing assessment of attainability of expectations based on overall staff performance.
	Develop electronic survey process	Identify cost related to issuing licensing staff tablets	Meet with OIT to discuss timeframe & cost related to creation of electronic survey.	Create workgroup to review current survey and identify needed changes.	Draft new survey tool(s), incorporate feedback from all staff, share with senior management	Purchase tablets. Collaborate with OIT to put survey tool(s) in electronic format	Train staff with new technology and survey process	Staff input received regarding software goals and development of electronic survey tool for Child Care Licensing. Met with "off the shelf" vendor The Consultant Consortium (TCC) to compare the cost, efficiency, and timeline of purchasing pre-developed software versus the development of new through Business Process Management (BPM). Estimate for project with DLRS Division Operations, pending final decision and next steps.
	Implement licensing action advisory panel	Identify necessary participants for advisory panel	Develop policy and procedural guidelines for advisory panel. Set day and time established for panel participants.	Create written feedback form for each review and begin regular meetings	Assess process of advisory panel, strengths and challenges and provide feedback to senior management	Make changes to process if necessary and implement changes	Provide summary of first year to include all cases reviewed and outcome/decisions	Compliance Advisory Panel meets weekly. Standardized reporting tool implemented, weekly status updates tracked. Standard Operating Procedure related to CAP completed. Assessment of actions taken underway to assist in the ongoing development of the scoring methodology for differential monitoring in child care licensing.
	Develop risk assessment scale to augment survey process	Identify work group participants	Contact other States who use a risk assessment tool to help guide the development of Maine's tool.	Identify the greatest risk factors, and common deficiencies for Maine child care providers.	Rate child care licensing deficiencies and risk factors by severity to guide survey frequency and intervention	Create risk assessment tool and pilot with selected staff and random sample child care providers	Assess data from pilot, make adjustments if necessary, fully implement with all child care providers	Risk assessment tool will be incorporated into Differential Monitoring process. Staff weighted current rules using a Delphi process with support from the OCQI. Licensing using an abbreviated tool for interim inspections, includes key indicators.
	Develop a correspondence management process (signatures)	Identify documents/correspondence in need of supervisory review and signature	Review current form letters and correspondence, make changes as necessary	Development of policy for external correspondence for licensing and OOH	Monitor to ensure compliance			Child Care standard correspondence and legal documents updated. Next phase of review/updates for Children's Residential and Out of Home Investigation (OOH).
ACCOUNTABILITY 2. Develop formal infrastructure to (1) measure and mitigate risk; (2) measure and certify compliance (regulatory, financial, contractual); and (3) provide effective and efficient management decision support.	Develop Standard Operating Procedures and Work Flows	Identify work group participants for each team	Draft SOP and work flow in work groups for each team	Present drafts to larger unit for feedback/contributions	Implement SOP and work flow	Assess through QA and supervision adherence to SOP/work flow procedures.	Assess SOP and work flow to ensure most effective and efficient for unit.	Necessary policies and standard operating procedures (SOPs) identified; many are in draft form. Focus on completion of SOPs for child care as first priority.
	Documented enforcement strategies, sanctions, fines	Create excel spread sheet to document all enforcement	Identify who will update document and who will be responsible for distribution	Develop tool with Sonya WB to graph by worker enforcement actions.	Begin sharing data with staff on a quarterly basis. Identify the outliers (too much/little)	Supervisors and QA review outliers to identify if performance issue or due to compliant caseload	Increase frequency of supervision when performance issue. Identify barriers w/ staff, create work plan, closely monitor	Office Associate II (OAI) tracking enforcement actions for child care and children's residential licensing. Outliers within team identified and being addressed in performance evaluations and supervision. Quality Assurance activities in development stage to assess inter-rater reliability, improve consistency amongst staff, and ensure customer service standards are met.
	Review best practice standards from various sources to increase rankings	Identify the ranking sources and standards. Review and assess where Maine currently falls	Identify with senior management the standards that are most critical to meet in the first year with increased work force	Develop plans to meet standards, share with staff, begin implementation immediately	Assess progress and assess the need for changes to ensure success	Continued monitoring and begin annual report to provide feedback to senior management	Complete annual report for children's licensing to include all programs	Ongoing assessment of Maine's alignment with national standards. Planning strategies to ensure Maine meets new federal requirements resulting from 11/2014 Reauthorization Act of CCDBG.
	Job function analysis for manager/compliance QA training / supervisors	Review current job descriptions/responsibilities identified	Senior management determine division of responsibilities, write SSPSII (supervisor)job descriptions	Develop clear & measurable performance expectations for Manager, Supervisors, Compliance Officer	Establish weekly supervision scheduled with Supervisors and Compliance Officer	Assess if the division of responsibilities is most effective and efficient. Make changes as necessary.		Management meeting regularly to discuss progress on major initiatives. Refinement of job functions and responsibilities amongst the management structure within Children's Licensing to be adjusted/realigned to ensure division of responsibilities is most effective and efficient.

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WORK FORCE DEVELOPMENT 3. Develop a work force to ensure that DLRS maintains a qualified and sincerely engaged team that is mission focused.	Recruitment and onboard of new positions	Work in collaboration with HR to secure approval and post new positions	Complete interview process, hire top candidates, complete staff orientation training & field shadowing	Supervisors establish set supervision at least monthly w/ staff. Complete 3 month evals. JW meet regularly with HR regarding performance of new employees	Complete 6 month evals	Continue to monitor individual strength & challenges through supervision and QA	Annual performance evaluations due for all newly on boarded employees	Annual performance evaluations for 16 new employees (starting May 2014) and existing staff 90% current. Individual development plans identified and in progress. Supervisors meeting with CCWs (field staff) at least monthly for individual supervision and group supervision/meetings twice monthly.
	Unit meetings and training schedules	Continue monthly unit meeting w/ entire unit and monthly case review with OOH	Design and deliver a two week training orientation for child care licensing. All staff participate (est. start May 12)	Identify individual training needs for continued professional development, schedule training.	Supervisors research training opportunities for entire children's team	Develop an annual training plan for staff development opportunities for the coming year		Statewide monthly unit meetings with entire Children's Services team as well as, unit specific monthly meetings. Training needs identified and to be refined for the next strategic plan. National Association for Regulatory Administration (NARA) training, certification, and membership under exploration for Child Care Licensing.
	Training on consistent MACWIS documentation	JW review current documentation expectations to ensure all areas are covered.	Extensive Macwis training included in new staff orientation training.	Supervisors review all workers by random sample from caseload to ensure timely and quality doc. In Macwis	Identify individual training needs to enhance Macwis skills and proficiency			Macwis training ongoing as needed. New CCWs are proficient in the areas of Macwis that they are frequently using. Vacant Project Specialist to begin random Macwis audits to ensure staff are following documentation expectations for quality, thoroughness, accuracy, and timely reflection of field work.
	SETU training on documentation	Schedule meeting with Kate Carnes, Director of SETU to identify training needs and plan	Work collaboratively with Kate Carnes to develop new staff orientation and schedule trainers	Supervisors identify staff in need of additional writing skills training, schedule training	Supervisors continue to work closely with identified staff to improve overall quality			Initial documentation and writing skills training completed. All staff to receive additional training specific to Principals of Documentation.
PROVIDER RELATIONS 4. Improve communication and relationships with providers in an effort to enhance regulatory compliance and quality while decreasing the need for enforcement action.	Develop publically facing web portal for licensing actions	Identify funding source	Meet with OIT to discuss timeframe & cost related to creation	Establish work group with DLRS and OIT, begin meeting	Work group in plan and development stages of designing portal	Continued development, confirm funding source, OIT launch	Monitor and assess usability of web-portal	1/5/15 successfully launched public web portal, DLRS child care licensing details available on Child Care Choices web site. Ongoing task to review new documents, redact confidential/non- public information, scan to Fortis, and index for public view.
	PSA / Amnesty for unlicensed practice	Follow up with DHHS Director of Communications and schedule another meeting	Meet with Director of Communications to create plan to proceed with PSA	Determine media source, TV/radio, seek message approval by Communications JM	Record/create PSA and seek approval from Director of Communications	Develop plan w/ supervisors to effectively respond to unlicensed providers who respond in a timely fashion. PSA live	Licensing and OAIL respond to unlicensed providers seeking licensure.	Two phase campaign to address unlicensed child care providers outlined in draft form. Radio and television broadcast under exploration.
	Children's Licensing Newsletter	Design logo and format for Community Programs -	Present to all staff and elicit ideas for articles, etc..	Draft article introducing new staff, geographic coverage areas, and new initiatives	Continue to provide stories/articles/suggestions to Heather Joslyn for upcoming letters			Child Care Newsletter to be carried over as objective for 2015-2017 Strategic Plan.
	Develop disaster preparedness technical assistance	Review National standards for disaster preparedness in child care settings	Assistant Director member of Maine Disaster Mental Health Advisory Committee will raise issue of enhancing child care providers preparedness	Train selected licensing staff to specialize in providing technical assistance to providers	All staff implement survey tool, assist providers in ensuring plans are well thought out and safety standards are met	Refer providers to specialized staff when needed.	Work with Sonya WB to pull data to verify Maine providers are meeting National recommendations	New Federal requirements for Disaster Preparedness/Emergency Plans shared with providers in form of a survey and at the 12 provider forums in Spring 2015. MEMA, CDC, SFMO, MRTQ, and local Emergency Preparedness personnel assisting with revisions to existing YIKES manual and with the creation of a State level plan.
	Children's Licensing Forum	Identify work group to develop plan/agenda for annual forums (southern and northern Maine)	Contact providers to seek input regarding their identified needs	Identify dates of forums and secure location to hold event	Create agenda and invite presenters	Disseminate invitations to providers and other child care stakeholders	Forum, provide feedback/evaluation form for participants, identify areas to improve upon in future forums	Child Care licensing forums held in Fall of 2014 in 11 locations and in Spring of 2015 in 12 locations Statewide. Forums were well attended and well received by the provider community. Assessment of frequency, location, and optional time of year, day of week, time of day to be assessed and planning refined for 2016 and 2017 forums.
	Pamphlets for parents and providers re licensing actions	Identify information in need of improved communication with parents and child care providers	Consult with child care licensing in other states to assist in development	Manager and supervisors draft pamphlets and seek input from staff	Manager and Supervisors modify as necessary and seek input from senior management	Final review and printing of pamphlets, begin dissemination	QA randomly sample providers and parents regarding usefulness of material, seek feedback	Pamphlets for providers and parents in final stages of review following additional necessary revisions.
	Development of a differential monitoring program for licensing visits	Identify alternative methods to determine frequency of child care inspections	Research Differential monitoring used by child care licensing in other States	deficiencies identified during the Federal OIG audit will focus inspections to improve overall health, safety, compliance in child care settings	Identify 3-4 areas for heightened attention during all surveys based on identified trends in deficiencies			Received technical assistance from the National Center on Child Care Quality Improvement and have consulted with states that are using Differential Monitoring in Child Care Licensing. Staff implemented abbreviated inspection tool that is inclusive of Dr. Richard Fiene's 13 key indicators. Current rule has been weighted and development of scoring methodology is underway. Management is in the early stages of consultation with Dr. Fiene.
REGULATIONS / STATUTES 5. Develop and implement Regulatory and Legislative Agendas that support the Division's mission.	Children's Licensing Rules	Management and staff continue to place items in parking lot for Catherine Valcourt's review	Determine projected date for revisions to Child Care Licensing Rules	Identify work group and when appropriate begin entering suggested rule revisions into Share Point				DLRS draft of Child Care Rule Revision to be completed by the end of July 2015. Merging the current three Rules into one Rule with core standards.
	OOH Rules	Assess need for OOH rules	Advocate for the development of OOH rules separate from statute that are oriented to OCFS/Child Welfare					Legislation for Out of Home Investigation team passed (PL 283, LD 1432). Drafting of Rules for the Out of Home Investigation Team in early stages.