

**Ohio Department of Job & Family Services  
Bureau of Child Care Policy & Technical Assistance**

**Provider Technical Assistance Letter 12  
Moderate and Serious Risk Non-Compliance Reductions and Removal Guidelines  
for Step Up To Quality for Family Child Care Home Providers  
December 31, 2016  
Updated October 1, 2018**

**Background**

Moderate Risk Non-Compliances (MRNC) and Serious Risk Non-Compliances (SRNC) for Family Child Care Home providers are outlined in Appendix A in rule 5101:2-13-03 of the Ohio Administrative Code (OAC). MRNCs are assigned a point value of three and SRNCs are assigned a point value of six. All non-compliances not identified as a MRNC or a SRNC are considered low-risk and are valued as one point. MRNCs and SRNCs are cited as non-compliances during a program's licensing inspection and may impact the Step Up To Quality (SUTQ) rating.

In order for a program to be considered for a SUTQ star rating, the child care program cannot have been cited for a six-point SRNC or have a total of eighteen MRNC and/or SRNC points in the previous twelve months prior to the registration date and between the registration date and the awarded star rating.

As outlined in the SUTQ rule 5101:2-17-04 of OAC, once rated, if a program has a non-compliance that is a six-point SRNC or accumulates eighteen MRNC and/or SRNC points over twelve months, the SUTQ rating may be impacted. Low risk non-compliance points are not included in the accumulation.

**Process**

If a program disagrees with licensing non-compliance findings then the program may submit a Request for Review by submitting the JFS 01155 "Request for Review for Licensing and Step Up To Quality" within seven business days of the receipt of the licensing report per OAC 5101:2-12-03 (F)(1). This allows for the opportunity to request that any MRNCs and/or SRNCs be reviewed in order to be overturned to prevent the SUTQ rating from potentially being impacted.

If the licensing non-compliance(s) are not overturned or if the time period to request a licensing review has passed and the JFS 01155 was not submitted, the licensing non-compliance(s) that are MRNCs and SRNCs are reviewed to determine if a SUTQ rating reduction or removal is warranted. The Corrective Action Plan (CAP) submitted for the licensing violation is also reviewed and all applicable factors are considered.

A program is notified when a reduction or removal is determined. If the program disagrees with the reduction/removal of the SUTQ star rating, the program may submit the JFS 01155 "Request for Review for Licensing and Step Up To Quality" within seven business days of the receipt of the SUTQ reduction or removal letter per OAC 5101:2-17-05 (B).

**Changes**

The attached matrix is utilized as a guide by the Ohio Department of Job and Family Services (ODJFS) to ensure consistent consequences for programs that have a six-point SRNC or MRNC and/or SRNC non-compliances that total twenty-four points or more. This point increase from eighteen to twenty-four points is the result of stakeholder feedback received during the SUTQ five-year review Clearance process. The SUTQ amended rules, effective January 6, 2019, will reflect this change as well. The ODJFS will continue to monitor the impact to programs due to the MRNC and/or SRNC citations and the appropriateness and outcomes of this process for future consideration.

**Reduction and Removal Guidelines for Step Up To Quality (SUTQ)  
for Family Child Care Home Providers  
OAC rule 5101:2-13-03- Appendix A (Effective 10/1/2018)**

**Any non-compliance may result in a stricter penalty based on the scope and severity of the incident. Factors taken into consideration include, but are not limited to:**

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| <ul style="list-style-type: none"> <li>• The intent of the person responsible for the action.</li> <li>• The age of the child and their dependency on an adult.</li> <li>• If the incident was self-reported.</li> <li>• If the FCC had similar licensing violations in the past.</li> <li>• Provider awareness or involvement in the risk or incident.</li> </ul> | <ul style="list-style-type: none"> <li>• The length of time over which a child’s safety was at risk.</li> <li>• Whether or not this is a re-occurring incident.</li> <li>• The location of the incident and the additional risk resulting from that location.</li> <li>• What corrective action was taken to ensure safety of children would not be compromised again.</li> <li>• If there was a serious incident or serious injury to a child as defined in Chapter 13</li> </ul> |
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If the FCC receives a:	Then:
Warning	No action will be taken to reduce or remove the star rating; however, six SRNC points will be documented and count towards the 12-month total.
Rating Reduction	The FCC must wait 6 months before registering for a change of rating, or if reduced to a zero, 6 months before they can register to be rated.
Rating Removal	The FCC must wait 12 months before they can register to be rated.

**For any 6 point SRNC citation listed below, the Family Child Care program may have a rating reduction or removal as outlined below:**

Rule number and 6-point SRNC		1 <sup>st</sup> citation	2 <sup>nd</sup> citation	3 <sup>rd</sup> citation
03	<b>Compliance inspection and complaint investigation</b> <ul style="list-style-type: none"> <li>Provider refuses ODJFS or county agency access to home.</li> <li>Provider falsifies information to ODJFS or county agency.</li> </ul>	Rating Removal		
	<ul style="list-style-type: none"> <li>Resident, child care staff member (CCSM) or employee refuses ODJFS or county agency access to home.</li> </ul>	Warning	Reduce by 1 star	Rating Removal
09	<b>Background check requirements</b> <ul style="list-style-type: none"> <li>Provider, resident, employee or CCSM is not eligible for employment or residency and remains employed or in the home.</li> <li>Resident or employee or child care staff member refuses to submit information for a background check.</li> </ul>	Rating Removal		
12	<b>Safe equipment and environment</b> <ul style="list-style-type: none"> <li>Weapons, firearms and ammunition are accessible to children on the premises and there's no valid exemption, or are accessible to children while being carried by someone with a valid exemption. Illegal drugs on premises or alcohol in area used for children.</li> </ul>	Rating Removal		
	<ul style="list-style-type: none"> <li>Extenuating circumstances: Incidents in which a child brings a gun to FCC and puts it someplace that the program would not be required to check (example brings it in a book bag and hangs bag in cubby).</li> </ul>	Warning	Reduce by 1 star	Rating Removal
14	<b>Transportation and field trip safety</b> <ul style="list-style-type: none"> <li>Child left unattended on a fieldtrip or in a vehicle.</li> <li>CCSM or employee is under the influence of drugs or alcohol.</li> </ul>	Reduce by 1 star	Rating Removal	
	<ul style="list-style-type: none"> <li>Driver not 18 years old.</li> <li>Driver is not appropriately licensed, has a suspended license or has a license that expired more than 6 months ago.</li> <li>Contracted driver is under the influence of drugs or alcohol.</li> </ul>	Warning	Reduce by 1 star	Rating Removal
	<ul style="list-style-type: none"> <li>Provider is under the influence of drugs or alcohol.</li> </ul>	Rating Removal		
19	<b>Supervision of children and child guidance</b> <ul style="list-style-type: none"> <li>Child (not school-age) unattended outside but in a contained, "safe" area.</li> <li>Child unattended outside of a facility building, during a swimming activity or any time a child is off-site, and no child was seriously injured or a serious incident did not occur.</li> <li>Children not protected from harm and no child was seriously injured or a serious incident did not occur</li> </ul>	Warning	Reduce by 1 star	Rating Removal

	<ul style="list-style-type: none"> <li>Child unattended outside of a facility building, during a swimming activity or any time child is off-site, and a child was seriously injured or a serious incident occurred</li> <li>Child(ren) not protected from harm and a child was seriously injured or a serious incident occurred.</li> </ul>	Reduce by 1 star	Rating Removal	
	<ul style="list-style-type: none"> <li>Substantiated Public Children Services Agency (PCSA) finding of abuse/neglect/endangerment that occurred in a program for an employee, CCSM, or resident and the individual was terminated from employment or the resident no longer resides in the home.</li> </ul>	Warning	Reduce by 1 star	Rating Removal
	<ul style="list-style-type: none"> <li>Provider fails to report suspected abuse/neglect/endangerment to PCSA.</li> <li>Substantiated PCSA finding of abuse/neglect/endangerment that occurred in a program for an owner, administrator, employee, CCSM or a resident and the individual was not terminated from employment or the resident continues to reside in the home. Provider uses prohibited disciplinary techniques.</li> </ul>	Rating Removal		
24	<b>Swimming and water safety requirements</b> <ul style="list-style-type: none"> <li>Staff not actively supervising, and no child was seriously injured or a serious incident did not occur.</li> <li>Child swimming in lakes, ponds, rivers, etc.</li> <li>Lifeguard used to meet ratio.</li> </ul>	Warning	Reduce by 1 star	Rating Removal
	<ul style="list-style-type: none"> <li>Staff not actively supervising and a child was seriously injured or a serious incident occurred.</li> <li>No lifeguard present during water activity.</li> <li>Swimming site accessible to child w/out staff supervision.</li> </ul>	Reduce by 1 star	Rating Removal	
25	<b>Medication administration</b> <ul style="list-style-type: none"> <li>Medication administered to the wrong child.</li> </ul>	Warning	Rating Removal	

Accumulation of MRNC and/or SRNC Points in Twelve Month Period	
24 Points	Reduce by 1 star
30 Points	Rating removal
Additional Factors	
FCC star rating may be removed if:	
<ul style="list-style-type: none"> <li>Death or serious injury occurs to a child.</li> </ul>	

As a result of the 2-star transition, if a provider's star rating is scheduled to be reduced to a 2-star rating pursuant to the tiered rating reduction described above, the provider will instead be reduced to a 1-star rating.