

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

**Provider Technical Assistance Letter 12-2015  
Serious Risk Non-Compliance Reductions and Removal Matrix  
for Step Up To Quality for Type A Home Providers  
May 18, 2015**

**Background**

Serious Risk Non-compliances (SRNC) for child care Type A Home providers are outlined in Appendix B in rule 5101:2-17-02 of the Ohio Administrative Code (OAC). In order for a program to be considered for a Step Up To Quality (SUTQ) star rating, the child care program shall not have been cited for a six point SRNC or have non-compliances that total twelve points within the previous twelve months prior to the registration date and between the registration date and the awarded star rating.

Once rated, if a program has a non-compliance that is a six point SRNC or accumulates twelve points over twelve months, the SUTQ rating may be impacted.

**Actions**

The attached matrix is utilized to ensure consistent consequences for programs that have a six point SRNC or non-compliances that total twelve points. The Ohio Department of Job and Family Services will continue to monitor the impact to programs due to the SRNC citations and the appropriateness and outcomes of this process for future consideration.

**Reduction and Removal Matrix for Step Up To Quality (SUTQ) for Type A Home Providers  
OAC rule 5101:2-17-04(E)**

**This matrix is a guideline to establish consistent consequences for a Type A Home who is cited for a serious risk non-compliance (SRNC). 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 Type A Home has similar licensing violations in the past.</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> </ul> |
|--|---|

If the Type A Home 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. Any warning may result in a stricter penalty based on the scope and severity of the incident.
Rating Reduction	The Type A Home 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 Type A Home must wait 12 months before they can register to be rated.

**For any 6 point SRNC citation listed below, the Type A Home will have a tiered penalty rating reduction:**

Rule number and 6-point SRNC		1 <sup>st</sup> citation	2 <sup>nd</sup> citation	3 <sup>rd</sup> citation
07	<b>Refuses Access</b>	Rating Removal		
09	<b>Administrator Falsifies Information to ODJFS</b> <ul style="list-style-type: none"> <li>• If the owner/administrator was unaware of the administrator’s falsification</li> </ul>	Warning	Reduce by 2 stars	Rating Removal
15	<b>Firearms on Premises</b> <ul style="list-style-type: none"> <li>• If the firearm was accessible to children</li> </ul>	Rating Removal		
	<ul style="list-style-type: none"> <li>• Extenuating circumstances: Incidents in which a child brings a gun to Type A Home 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	To be discussed	

17	<b>Swimming</b> <ul style="list-style-type: none"> <li>Child (not school-age) swim in lakes, ponds, rivers, etc.</li> <li>Staff not actively supervising</li> </ul>	Warning	Reduce by 2 stars	Rating Removal
	<ul style="list-style-type: none"> <li>No lifeguard</li> <li>Swimming site accessible to child w/out staff supervision</li> </ul>	Reduce by 2 stars	Rating Removal	
18	<b>Transportation</b> <ul style="list-style-type: none"> <li>Child left unattended on a fieldtrip</li> <li>Child left unattended in a vehicle off-site</li> </ul>	Reduce by 2 stars	Rating Removal	
	<ul style="list-style-type: none"> <li>Child left unattended in a vehicle on-site</li> </ul>	Warning	Reduce by 2 stars	Rating Removal
	<ul style="list-style-type: none"> <li>Driver with a valid license is not at least 18 years of age</li> <li>Driver without valid license (this does NOT include just an expired license)</li> </ul>	Warning	Reduce by 2 stars	Rating removal
	<ul style="list-style-type: none"> <li>Driver under the influence</li> </ul>	Rating Removal		
20	<b>Supervision</b> <ul style="list-style-type: none"> <li>Child unattended outside on-site but in a contained, "safe" area</li> <li>Child unattended inside but not within sight or hearing of program staff member</li> </ul>	Warning	Reduce by 1 star	Rating Removal
	<ul style="list-style-type: none"> <li>Child unattended outside and outside of a "safe" area, off-site or during a swimming activity</li> </ul>	Reduce by 2 stars	Rating Removal	
21	<b>Program Fails to Report Possible Abuse/Neglect/Endangerment to Children Services</b>	Rating Removal		
22	<b>Abuse/Neglect/Endangerment</b> <ul style="list-style-type: none"> <li>By employee or staff member that is substantiated by PCSA</li> </ul>	Rating Removal		
	<ul style="list-style-type: none"> <li>Involvement of owner/administrator in inappropriate discipline</li> </ul>	Rating Removal		
23	<b>Overnight Care</b> <ul style="list-style-type: none"> <li>Children sleeping on an unapproved floor of the Type A Home</li> </ul>	Warning	Reduce by 2 stars	Rating Removal

26	<b>Prohibitive Conviction</b> <ul style="list-style-type: none"> <li>Employee or staff member with a prohibitive conviction remains employed and doesn't have rehabilitation paperwork on file and cannot prove if rehabilitation standards are met at the time of the inspection. Also, proof of rehabilitation was not submitted by deadline required in the corrective action plan.</li> </ul>	Reduce by 2 stars	Rating Removal	
	<ul style="list-style-type: none"> <li>Employee, staff member or member of household refuses to be fingerprinted (without extenuating circumstances)</li> </ul>	Rating Removal		
31	<b>Medication</b> <ul style="list-style-type: none"> <li>Medication error, given to the wrong child</li> </ul>	Warning	Rating Removal	
	<ul style="list-style-type: none"> <li>Medication error, child given the wrong amount</li> </ul>	Warning	Rating Removal	
<b>Accumulation of Points in Twelve Month Period</b>				
12-14 Points		Reduce by 1 star		
15-17 Points		Reduce by 2 stars		
18 or more points		Rating removal		
<b>Additional Factors</b>				
A Type A Home's star rating may be removed if: <ul style="list-style-type: none"> <li>Death or serious injury occurs to the child due to the licensing rule violation</li> </ul>				