

Regulatory Compliance Scoring System and Scale

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By using the ECPQIM DB – Early Childhood Program Quality Improvement and Indicator Model Data Base, it is possible to propose developing and using a Regulatory Compliance Scoring System and Scale (RC3S). This new proposed RC3S could be used by state human service agencies to grade facilities as is done in the restaurant arena. Presently, in the human service field, licenses are issued with a Certificate of Compliance but generally it does not indicate what the regulatory compliance level is at. This new proposal would alleviate this problem by providing a scale for depicting the level of regulatory compliance.

The ECPQIM DB is an international data base consisting of a myriad group of data sets drawn from around the USA and Canada. It has been in the making over 40 years as of this writing, so its stability and generalizability have been demonstrated. What follows is the chart depicting the RC3S.

Regulatory Compliance Scoring System and Scale (RC3S)

Color	Non-Compliance Level	Regulatory Compliance Level
Blue	0	Full Compliance
Green	1-2	Substantial Compliance
Yellow	3-6	Mid-Range Compliance
Orange	7-9	Low Compliance
Red	10-15+	Very Low Compliance

It is evident from the above chart that the color go from blue to red which indicate increasing risk of non-compliance and a lower level of overall regulatory compliance which is not a good think in the licensing field. Non-compliance levels indicate the number of rules or regulations or standards that are not complied with. And lastly, the regulatory compliance level indicates the movement from full (100% regulatory compliance with all rules) to very low compliance with rules. These ranges for the scaling are based up 40 years of research in understanding and plotting the data distributions around the world related to regulatory compliance in the human services. These results have consistently appeared over this 4-decade time period and show no signs of changing at this point.