Compliance 2.0
Catching licensees doing something right

CLEAR LEARNING
CLEAR Call Webinar Series

Mark Parker
Rick Fiene

www.clearhq.org

**Council on Licensure, Enforcement and Regulation**

Background

Mark Parker

- President at Outlier Technologies and original author of SansWrite

- 25+ years of experience automating the full Compliance Monitoring Cycle

- Trusted Advisor to Regulatory Agencies and Regulated Businesses throughout the US and Canada

- Former NARA Board Member, Treasurer and Chair of the Finance Committee

Rick Fiene

Dr Fiene, a research psychologist and regulatory scientist, has spent his professional career in improving the quality of child care in various states, nationally, and internationally. He has done extensive research and publishing on the key components in improving child care quality through an early childhood program quality indicator model of training, technical assistance, quality rating & improvement systems, professional development, mentoring, regulatory science, licensing, risk assessment, differential program monitoring, key indicators, and accreditation. His research has also made significant contributions in regulatory science related to measurement and monitoring systems.

Compliance Monitoring Cycle
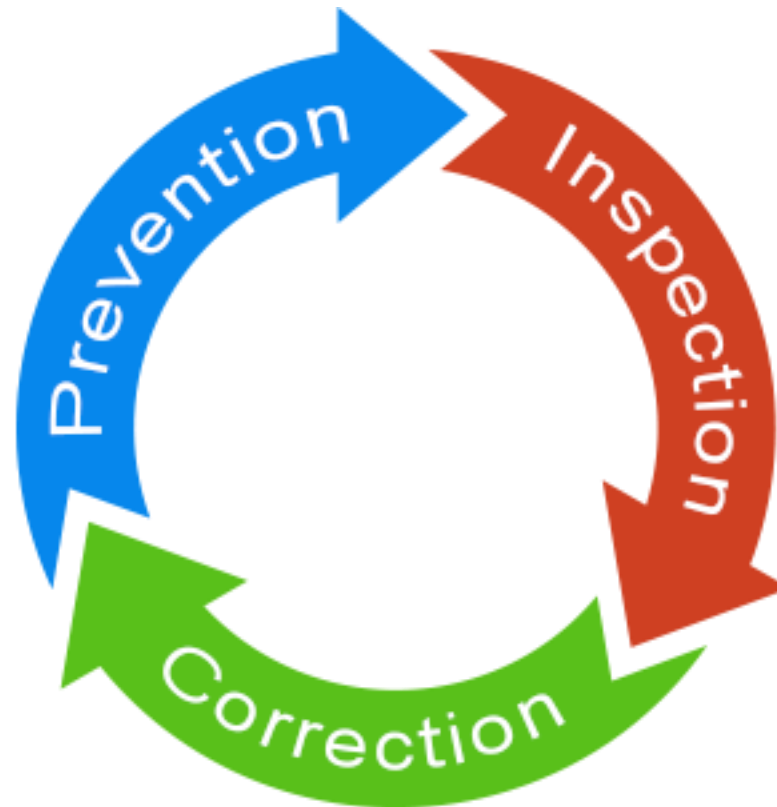
Foundation of Continuous Quality Improvement

Personal

Intentional

Specific

Catch People
doing something right

Ken Blanchard
on empowerment

Compliance 1.0

▶ Inspection
  ▪ 1 to 2 times per license period

▶ Correction
  ▪ Reinspection or next inspection

▶ Prevention
  ▪ Technical assistance

365 Days

■ Inspection ■ Correction ■ Prevention ■ Nothing

Compliance 2.0

▶ Everything Electronic
  ▪ With usable data

▶ Data Analytics
  ▪ For targeted technical assistance

▶ Equip Providers with Tools
  ▪ For corrections and continuous quality improvement
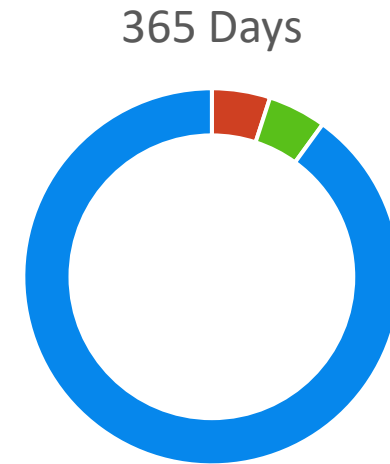
365 Days

■ Inspection   ■ Correction   ■ Prevention
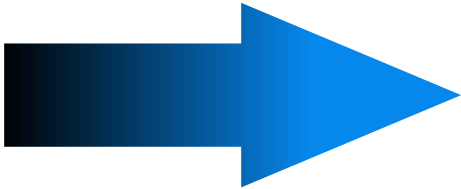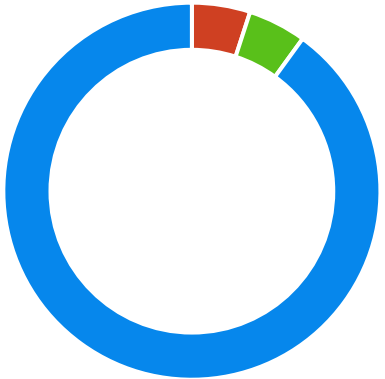
Evolving from 1.0 to 2.0

365 Days

365 Days

■ Inspection ■ Correction ■ Prevention ■ Nothing

■ Inspection ■ Correction ■ Prevention

Inspection

- **Snapshot In Time**
  - Beginning of the Cycle (Cross-sectional View)

- **Establishes a Baseline**
  - For Measuring Improvements

- **Focus on Capturing High Quality Data**
  - Accuracy, Efficiency and Consistency

Corrected On-site

Correction

- ▶ Root Cause
  - ▪ Assist providers with determining "why"

- ▶ Plan of Improvement
  - ▪ Assist providers with going beyond "immediate action taken"

- ▶ Evidence of Compliance
  - ▪ Electronically submitted and accepted before going public

Electronic Submission

Prevention

▶ Plan of Improvement
  ▪ Self-monitoring

▶ Self-assessments
  ▪ Questionnaires and information requests

▶ Data Visualization
  ▪ Understanding the type, scope and frequency of violations

Upcoming Webinar

How agencies are using big data to predict non-compliance

Data Visualization

Keys to Success

▶ High Quality Longitudinal Data

▶ Frequent and Effective Touchpoints

▶ Equip Providers with Tools for Continuous Quality Improvement

Contact Information

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