

Final Report

Evaluating the New Key Indicator Inspection Tool: Phase Two Pilot Results

Prepared for the Community Care Licensing Division,
California Department of Social Services

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KIT Phase Two Appendix

Table of Contents

Phase Two Child Care Program Area KIT 3 Forms.....	2
Phase Two Children’s Residential Care KIT 3 Forms	9
Phase Two Adult and Senior Care KIT 3 Forms	15
Appendix Tables 3.1 through 9.1	25

Phase Two Child Care Program Area KIT 3 Forms

Inspection Type: <input type="text"/>	KIT 3: FAMILY CHILD CARE HOME	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?			Regulation	Compliance Indicator Description	
	Yes	No	N/A*		
Walk Through	1	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417 (g)(5)(A-B) ZT - All pools, spas, hot tubs, fish ponds, or similar bodies of water are made inaccessible to children by covering or fencing as specified by regulation
	2	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417 (g)(4)(A-C) ZT - Storage areas for firearms and other dangerous weapons are inaccessible to children, and locked. Ammunition is locked separately
	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(g)(4) & (g)(4)(A) Storage areas for poisons, detergents, cleaning compounds, medications and other items which could pose a danger to children are stored where they are inaccessible to children; and poisons are locked
	4	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(g)(1) Fireplaces and open face heaters are screened to prevent access by children
	5	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(g)(1) Fire extinguishers and smoke detectors meet State Fire Marshall standards
	6	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(b) The home is kept clean and orderly, with heating and ventilation for safety and comfort
	7	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(g)(3) Where children less than five years old are in care, stairs are fenced or barricaded
	8	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(d) The home provides safe toys, play equipment, and materials
	9	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1597.543 Facility has one or more functioning carbon monoxide detectors that meet the statutory requirements
Care and Supervision	10	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(a) & H&S 1597.58 (c)(2) ZT - The licensee is present in the home and ensures that children in care are supervised at all times.
	11	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(k)(2) ZT -Children are not left in parked vehicles
	12	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(a) When temporarily absent from the home, the licensee arranges for a substitute adult to care for and supervise children in their absence
	13	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102416.5(a) The licensee maintains capacity specified on the license.
	14	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102423(a)(2) Each child has safe, healthful, and comfortable accommodations, furnishings, and equipment
Record Review	15	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(g)(8) The home has a current roster of the children
	16	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417 (g)(9)(A)(1) The home conducts fire and disaster drills at least once every six months, and documents the date and time of each drill
	17	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102418(g)/(g)(1) Licensee documents immunizations and maintains and updates records for children in care
	18	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102419(d) Licensee provides the child's parent or representative with a copy of the Family Child Care Home Notification of Parents' Rights
Administration	19	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102391(a) ZT - Any authorized employee of the Department may enter and inspect any place providing personal care and services at anytime, with or without advance notice
	20	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102417(r)(1) ZT - Upon notice of the Department to remove an individual from the home, pursuant to H&S Code 1596.871(c)(2), or to exclude an individual from the home, pursuant to H&S Code 1596.8897, the licensee immediately removes the individual and prevents them from returning to the home or having contact with children in care
	21	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102370(d)(1) All individuals subject to a criminal record review have obtained a criminal record clearance or exemption prior to working, residing, or volunteering in a licensed home
	22	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	102416(c) The licensee and other personnel as specified have completed training on preventive health practices including pediatric CPR and First Aid

Number of staff records reviewed today

Number of children's records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date? <input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection? <input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT? <input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT: Final July 27

Print Form

A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited.
 Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CCC@csus.edu Fax: 916-278-5150

Submit by Email

Inspection Type: <input type="text"/>	KIT 3: CHILD CARE INFANT CENTER	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(e)	ZT - All pools, spas, hot tubs, fish ponds, or similar bodies of water are fenced or covered as specified to be inaccessible to children
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)(2)	ZT - Firearms and other weapons are not allowed or stored on the premises of a child care center
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)	Disinfectants, cleaning solutions, poisons and other items that are dangerous to children, shall be inaccessible to children
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(n)	Furniture and equipment are in good condition, free of sharp, loose or pointed parts
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.2(d)(2)	The surface of the outdoor activity space is maintained in a safe condition, and is free of hazards
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(f)(1)	All storage containers for solid waste, including moveable bins, have tight fitting covers that are kept on, and are in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.2(e)	The areas around or under high climbing equipment, swings, slides, and similar equipment are cushioned with material that absorbs falls
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(a)(1)	The licensee takes measures to keep the facility free of flies, other insects, and rodents
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101439	The facility has age-appropriate furniture and equipment including, but not limited to, cribs, cots, or mats; changing tables, and feeding chairs
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101439(d)(2)	A baby walker is not allowed on the premises of a child care center in accordance with H & S Code Section 1596.846
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101439.1	The facility has sufficient infant napping equipment that meets the requirements of 101439.1(a)-(f)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101438.3	The facility shall have indoor activity space for infants that is physically separate from space used by preschool child care center/school-age child care center components, and meets the requirements of 101438.3 (a) - (e)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(a)	The child care center is clean, safe, sanitary, and in good repair at all times to ensure the safety and well-being of children, employees, and visitors
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101417(a)(6)	The toddler program is conducted in areas physically separate from those used by older or younger children. Space planning and usage for the toddler component is governed by the provisions of Section 101438.3. Plans to alternate use of outdoor play space must be approved by the department
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1596.954	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101427(j)	Bottles, dishes, and containers of food brought by the infant's authorized representative are labeled with the infant's name and the current date
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101439(h)(4)	While in use, infant changing tables are placed within arm's reach of a sink
Care and Supervision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101229(a)(1)	ZT - No child(ren) are left without the supervision, including visual supervision, of a teacher at any time, except as specified in sections 101216.2(e)(1) and 101230(c)(1)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101429(a)(1)	ZT - The facility ensures that each infant is never left unattended, and under the direct visual supervision of a staff person at all times
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101416.5	The facility is in compliance with the staff-infant ratios required in 101416.5 (a)-(e)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101416.5(b)	There is a ratio of one teacher for every four infants in attendance
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101216.2(b)	Notwithstanding Section 101216(d), centers may use aides who are less than 18 provided they are either: high school graduates, or are currently participating in an occupational program conducted by an accredited high school or college

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: CHILD CARE INFANT CENTER, continued

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description	
Administration/Staff Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101200(a)	ZT - The Department has inspection authority as specified in H&S Code sections 1596.852, 1596.853, and 1596.8535	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101170.1(a)	ZT - The department shall notify a licensee to remove/bar, any person with specified convictions or for other reasons. The licensee shall comply with the notice	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101161(a)	ZT - The licensee does not exceed the approved capacity of the fire clearance for the facility.	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101170(e)(1)	Prior to working or volunteering in a licensed child care facility, all individuals subject to criminal record review have obtained a clearance or criminal record exemption	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101217	The licensee ensures that personnel records are maintained on the licensee, administrator, and each employee	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101416.2(b)	Prior to employment, an infant care teacher has completed, with passing grades, at least three postsecondary semester or equivalent quarter units in early childhood education or child development, and three postsecondary semester or equivalent quarter units related to the care of infants, at an accredited or approved college or university	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101226(e)	In centers where the licensee chooses to handle medications, all medications are centrally stored, maintained with the child's name, and are dated, and follow the conditions as prescribed in (e)(1) through (e)(6)	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101229.1(b)	The person who brings the child to, and removes the child from the center, signs the child in/out	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101212(b)	The name of the child care center director or fully qualified teacher(s) designated to act in the director's absence is reported to the Department within 10 days of a change.	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101416.2	The facility ensures that staff being utilized as infant teachers during the compliance review meet the qualification requirements of 101416.2 (a), (b), (c) and (g).	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101227(a)(6)	Menus are posted at least one week in advance in a place visible by the child's authorized representative, dated, and kept on file for 30 days, and are made available on request	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101216(f)	At least one person trained in CPR and Pediatric First Aid is present when children are at the facility or at offsite activities	
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101161(a)	The licensee does not exceed the conditions, limitations, and capacity specified on the license (if fire clearance capacity is exceeded, use Zero Tolerance item located above)	
	Child Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101221(a)	The licensee ensures that a separate, complete, and current record for each child is maintained
		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101221(b)(8)	Each child's record contains a medical assessment
<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	101427	The facility has an individual feeding plan for each infant that meets the requirements of 101427 (b) (1)-(5)	
<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	101419.2 & .3	The facility ensures that each infant has an Infant Needs and Services Plan that meets the requirements of 101419.2 (a)-(b) and 101419.3 (a)	

Number of staff records reviewed today

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Did this inspection occur on more than one date? Yes No Was a comprehensive inspection triggered during this inspection? Yes No If so, was the comprehensive inspection triggered by items on this KIT? Yes No

Comments or suggestions about this KIT:

Final July 27

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Submit by Email

Inspection Type: <input type="text"/>	KIT 3: CHILD CARE CENTER - SCHOOL AGE	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(e)	ZT - All pools, spas, hot tubs, fish ponds, or similar bodies of water are fenced or covered as specified to be inaccessible to children
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)(2)	ZT - Firearms and other weapons are not allowed or stored on the premises of a child care center
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(a)	The child care center is clean, safe, sanitary and in good repair at all times to ensure the safety and well-being of children, employees, and visitors
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101538.3(b)	In combination programs, outdoor activity space provided for school-age children is physically separate from space provided for infant care and child care center children
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)	Disinfectants, cleaning solutions, poisons and other items that are dangerous to children, are inaccessible to children
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)(1)	Storage areas for poisons are locked
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(n)	Furniture and equipment is in good condition, free of sharp, loose, or pointed parts
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(e)(4)	All toilets, hand washing, and bathing facilities are in safe and sanitary operating condition
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.3(b)	All floors are clean and safe
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101227(a)(18)	All kitchen, food preparations and storage areas are kept clean, free of litter, rubbish, and free of rodents and other vermin
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(f)(1)	All storage containers for solid waste, including moveable bins, have tight-fitting covers that are kept on, and in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239.2(a)	Untaminated drinking water is readily available both indoors and out
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.2(d)(2)	Outdoor activity space surfaces are free of hazards
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.2(e)	The areas around or under high climbing equipment, swings, slides and similar equipment are cushioned with material that absorbs a fall
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101516.5 & 5(b)	The facility maintains compliance with staff-child ratios required in 101516.5(a)-(d)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101227(a)(6)	Menus are posted at least one week in advance, in a place visible by the child's authorized representative, dated and kept on file for 30 days, and made available on request
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1596.954	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
Child Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101221(a)	There is a separate, complete, and current record maintained for each child enrolled in the child care center

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: CHILD CARE CENTER - SCHOOL AGE, continued

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Administration/Staff Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1596.8897(g)	ZT - A licensee's failure to comply with the departments's exclusion order after being notified of the order shall be grounds for disciplining the licensee pursuant to Section 1596.885 or 1596.886
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101200(a)	ZT - The department has inspection authority as specified in Health & Safety Code sections 1596.852, 1596.853, and 1596.8535
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101170.1(a)	ZT - The department shall notify a licensee to remove/bar any person with specified convictions or for other reasons. The licensee shall comply with the notice.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101161(a)	ZT - The licensee shall not exceed the approved capacity of the fire clearance for the facility
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101229(a)(1)	ZT - No child(ren) shall be left without the supervision, including visual supervision, of a teacher at any time except as specified in sections 101216.2(e)(1) and 101230(c)(1)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101170(e)(1) & (e)(2)	Prior to working or volunteering in a licensed child care facility, all individuals subject to criminal record review have obtained a clearance or criminal record exemption, or clearance as specified in 101170 (f)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101161(a)	The licensee does not exceed the conditions, limitations, and capacity specified on the license (if fire clearance capacity is exceeded, use Zero Tolerance item located above)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101216(f)	At least one person trained in CPR and Pediatric First Aid is present when children are at the facility or at offsite activities
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101212(b)	The name of the child care center director or fully qualified teacher(s) designated to act in the director's absence shall be reported to the Department within 10 days of a change
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101229.1(a)(1)	The person who signs the child in/out uses their full legal signature and records the time of day
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101217(a) &(a)(6)	Personnel records are maintained on the licensee, administrator, and each employee which includes documentation of the educational background, training, and/or experience specified in this chapter
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101217(a)(11)	Each personnel record contains a health screening as specified in section 101216(g)	
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101216(g)(1)	All personnel are in good health, verified by a health screening, including a test for tuberculosis, performed or supervised by a physician not more than one year prior to, or seven days after, employment or licensure	

Number of staff records reviewed today

Number of children's records reviewed today

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Did this inspection occur on more than one date?	<input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection?	<input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT?	<input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT: Final July 27

Print Form	<i>A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited.</i> Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CCC@csus.edu Fax: 916-278-5150	Submit by Email
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Inspection Type: <input type="text"/>	KIT 3: CHILD CARE CENTER - MILDLY ILL	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?						
	Yes	No	N/A*	Regulation	Compliance Indicator Description	
Walk Through	1	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(e)	ZT - All pools, spas, hot tubs, fish ponds, or similar bodies of water are fenced or covered as specified to be inaccessible to children
	2	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)(2)	ZT - Firearms and other weapons are not allowed or stored on the premises of a child care center
	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)	Disinfectants, cleaning solutions, poisons and other items that are dangerous to children, are inaccessible to children
	4	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(g)(1)	Storage areas for poisons are locked
	5	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101226(e)(1)(A)	Medications are kept in a safe place inaccessible to children
	6	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(f)(1)	All storage containers for solid waste, including moveable bins, have tight fitting covers that are kept on, and are in good repair
	7	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(e)(4)	All toilets, hand washing, and bathing facilities are in safe and sanitary operating condition
	8	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.3(b)	All floors are clean and safe
	9	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238(a)(1)	The licensee takes measures to keep the facility free of flies, other insects and rodents
	10	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(n)	Furniture and equipment are in good condition, free of sharp, loose, or pointed parts
	11	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101639(e)	Not withstanding Section 101239(b), the total licensed capacity of a center does not exceed 10 mildly ill children for every toilet and hand washing sink
	12	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101639(e)(2)	Toilets used by mildly ill school-age children provide for individual privacy
	13	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101626.2(b)(1)	The isolation area is physically separate from the indoor activity area and is located to afford easy observation of, and access to, children requiring isolation
	14	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101638.3(b)	In combination centers with a Level I or Level II component for mildly ill children, indoor activity space for the Level I or Level II component is physically separate from indoor activity space for any other child care center component
	15	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1596.954	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
Outdoors	16	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(q)	All materials and surfaces accessible to children, including toys, shall be free from toxic substances
	17	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.2(d)(2)	The surface of the outdoor activity space is maintained in a safe condition, and is free of hazards
	18	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101238.2(e)	The areas around or under high climbing equipment, swings, slides, and similar equipment are cushioned with material that absorbs falls
	19	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101239(o)	Playground equipment is in safe condition, free of sharp, loose or pointed parts
Food Service	20	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101227(a)(18)	All food prep and storage areas are kept clean, free of litter, and rubbish, and are free of rodents and other vermin
	21	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101227(a)(19)	All food is protected against contamination. Contaminated food is discarded immediately
	22	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101639.2(b)	Each child uses a cup or bottle labeled with his/her name, or a single-use disposable cup
	23	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101227(a)(15)	All foods capable of spoiling and causing food intoxications are stored in covered containers at 45 F
Care and Supervision	24	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101229(a)(1)	ZT - No child(ren) are left without the supervision, including visual supervision, of a teacher at any time, except as specified in sections 101216.2(e)(1) and 101230(c)(1)
	25	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101216(f)	At least one person trained in CPR and Pediatric First Aid is present when children are at the facility or at offsite activities
	26	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101616.5(b)	There is a ratio of one teacher to every 3 infants in attendance
	27	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101616.5(c)	There is a ratio of one teacher to every 6 preschool aged child in attendance
	28	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101616.5(d)	There is a ratio of one teacher to every 8 school-aged child in attendance
	29	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	101616.5(e)	When groups are mixed, staffing ratio will be based on the youngest child in the group

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: CHILDCARE CENTER - MILDLY ILL, continued

In compliance?		Regulation	Compliance Indicator Description
Yes	No		
Administration/Staff Records	30	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101200(a) ZT - The Department has inspection authority as specified in H&S Code sections 1596.852, 1596.853, and 1596.8535
	31	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101170.1(a) ZT - The department shall notify a licensee to remove/bar, any person with specified convictions or for other reasons. The licensee shall comply with the notice.
	32	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101161(a) ZT - The licensee does not exceed the approved capacity of the fire clearance for the facility
	33	<input type="radio"/> <input type="radio"/> <input type="radio"/>	H & S 1596.8897(g) ZT - A licensee's failure to comply with the department's exclusion order after being notified of the order shall be grounds for disciplining the licensee
	34	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101170(e)(1) Prior to working or volunteering in a licensed child care facility, all individuals subject to criminal record review have obtained a clearance or criminal record exemption
	35	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101212(b) The name of the child care center director or fully qualified teacher(s) designated to act in the director's absence is reported to the Department within 10 days of a change.
	36	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101217(a)(11) Each personnel record contains a health screening
	37	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101217(a)(6) Each personnel record contains documentation of the educational background, training, and/or experience of the employee
	38	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101629.1(b) The licensee shall require that each child be signed in and out by his/her authorized representative
	39	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101161(a) The licensee does not exceed the conditions, limitations, and capacity specified on the license (if fire clearance capacity is exceeded, use Zero Tolerance item located above)
	40	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101615(b) The director of a Level I or Level II child care center for mildly ill children shall, prior to employment, meet the requirements of Section 10161b5(1) OR (b)(2)
	41	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101227(a)(6) Menus are posted at least one week in advance in a place visible by the child's authorized representative, dated, and kept on file for 30 days, and are made available on request
Child Records	42	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101621(b)(5) Each child's record contains the daily inspection form completed by the qualified staff who performed the inspection
	43	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101626(c) Each child has a written plan of care that is updated daily
	44	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101221(b)(5) Each child's record contains information including; the name, address and telephone number of the child's authorized representative, and of relatives, or others who can assume responsibility for the child if the authorized representative cannot be reached when necessary
	45	<input type="radio"/> <input type="radio"/> <input type="radio"/>	101221(b)(8) Each child's record contains a medical assessment

Number of staff records reviewed today

Number of children's records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one visit? Yes No Was a comprehensive inspection triggered during this inspection? Yes No If so, was the comprehensive inspection triggered by items on this KIT? Yes No

Comments or suggestions about this KIT:

Final July 27

Print Form

A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited.
Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CCC@csus.edu Fax: 916-278-5150

Submit by Email

Phase Two Children's Residential Care KIT 3 Forms

Inspection Type: <input type="text"/>	KIT 3: FOSTER FAMILY HOME	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89387(d)	Swimming pools and all other bodies of water are inaccessible to children who are under the age of 10 years old or who are disabled
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet the statutory requirements
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89387.2(a)(1)	Storage areas for firearms/dangerous weapons are locked
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89387(a)(7)	Children have comfortable mattresses, clean linens, blankets, and pillows, all in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89387(b)	The home is clean, safe, sanitary, and in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89387.2(a)	Medicines, disinfectants, and cleaning solutions are inaccessible to children
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89387(n)	Hot water is kept at a safe temperature
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89387(a)(1)	No more than two children share a bedroom
Supervision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89378(a)	Adequate supervision is provided for children in care (Consider Prudent Parent Exception)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89376(a)	Caregiver ensures three nutritious meals, snacks, and special diets
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89372(a)	Children are accorded personal rights
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89361 (a)	Caregiver submits special incident reports as required
Child Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89468(a)	Needs and Services plans are in children's files
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89370(a)	For each child in the home, the caregiver maintains a separate, complete, and current record on file
Staff Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89319	Caregivers/adults residing in the home have Child Abuse Index checks, and have DOJ/FBI criminal record clearances
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89405(a)	Caregivers have 12 hours foster parent training prior to placement, and 8 hours annual training thereafter
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89219(d)	Prior to presence in the home, all persons (unless exempt under subsection (b)) obtained a CA criminal record clearance or exemption
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89405(b) & (b)(1)	Foster parents and caregivers have First Aid and CPR training, and training was obtained from an agency offering such training including, but not limited to, the American Red Cross, the American Heart Association, a training program approved by the State Emergency Medical Services Authority, or a course offered by an accredited college or university
Administration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89420(a)	Appropriate fire clearance is maintained as required when a non-ambulatory child or more than six (6) foster children are in care
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89410(a)	Home operates within capacity/limitations of license
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	89475(b)	Caregiver maintains age appropriate first aid supplies

Number of staff records reviewed today
 Number of children's records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date? <input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection? <input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT? <input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT: *Draft: July 2015*

Print Form

A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited.
 Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CRES@csus.edu Fax: 916-278-5150

Submit by Email

Inspection Type: <input type="text"/>	KIT 3: ADOPTION AGENCY	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?		Regulation	Compliance Indicator Description	
Yes	No	N/A*		
Walk Through	1	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89164(a)(2) Agency provides separate waiting rooms for adoptive parents and for natural parents	
	2	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89165(a)(3) Agency provides play and viewing rooms when extensive child placing activities are conducted	
Participant Records	3	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89179(b) Agency retains adoption case records indefinitely	
	4	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89182(a) Agency maintains a case record for each family unit or individual served in its program	
	5	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89182(b)(1) Each case record includes: A face sheet or application form	
	6	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89182(b)(2) Each case record includes: A typewritten record of the study	
	7	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89182(b)(3) Each case record includes: Medical and other reports	
	8	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89182(b)(5) Each case record includes: Applicable legal documents	
	9	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89182(b)(10) Each case record includes: Court reports	
	10	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89182(d) All case records shall be available to the licensing agency to inspect, audit, and copy upon demand during normal business hours	
	Facility/Staff Records	11	<input type="radio"/> <input type="radio"/> <input type="radio"/>	89034(a) Personnel of private adoption agencies have submitted fingerprints as required in Section 80019 ch. 1
		12	<input type="radio"/> <input type="radio"/> <input type="radio"/>	80019(e)(1) & (e)(2) All individuals subject to a criminal record review have obtained a California clearance or a criminal record exemption as required by the Department, or requested a transfer of a criminal record clearance prior to working, residing or volunteering in a licensed facility
13		<input type="radio"/> <input type="radio"/> <input type="radio"/>	89155(b) Agency social workers have master's degrees from accredited graduate schools of social work, or meet additional requirements	
14		<input type="radio"/> <input type="radio"/> <input type="radio"/>	89143 Staff members are qualified for their responsibilities by education, training, experience, personality, and health	
15		<input type="radio"/> <input type="radio"/> <input type="radio"/>	80066(a)(10) & (a)(11) Personnel records are maintained on the licensee, administrator, and each employee, which contain a health screening and tuberculosis test documents	
16		<input type="radio"/> <input type="radio"/> <input type="radio"/>	80022 Licensee has, and maintains on file, a current, written, definitive plan of operation	
17		<input type="radio"/> <input type="radio"/> <input type="radio"/>	89040(a) Adoption services are limited to those specified on the license	
18		<input type="radio"/> <input type="radio"/> <input type="radio"/>	89155(a) Agency employs social workers to provide social services in the adoption program	
19		<input type="radio"/> <input type="radio"/> <input type="radio"/>	89158 Agency employs professional and clerical staff in sufficient numbers to perform adoption agency functions	
20		<input type="radio"/> <input type="radio"/> <input type="radio"/>	89164(a)(6) Agency maintains adoption case records in locked files	

 Number of staff records reviewed today

 Number of participant records reviewed today

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Did this inspection occur on more than one date? <input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection? <input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT? <input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT: Draft: July 2015

Print Form	<i>A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited.</i> Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CRE5@csus.edu Fax: 916-278-5150	Submit by Email
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Inspection Type: <input type="text"/>	KIT 3: FOSTER FAMILY AGENCY	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?		Regulation	Compliance Indicator Description		
	Yes	No	N/A*		
Administration Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88087(b)	Agency ensures that all confidential records are kept in locked cabinets in administrative/sub offices
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88022(a)(4)(C)	Agency's plan of operation contains a description of the services to be provided to children, certified parents(s), and foster family home licensee(s) including the treatment services to be provided by the foster family agency program
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88061(a)	Agency submits reports to the licensing agency as required
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88063(c)(3)	Agency board of directors actively ensures accountability, and accesses and maintains the level of funds necessary to cover FFA operational costs
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88068.2(d)	Agency completes a Needs and Services plan within 30 days of child placement
Staff Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88019(a)(2)	Agency personnel obtain DOJ or FBI criminal record clearances or exemptions prior to being home alone with, or having supervisory control of children.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88064(a)&(a)(1) &(a)(1)(A)	Administrator has a Master's Degree from an accredited or state approved graduate school in social work or social welfare; marriage, family, and child counseling; counseling psychology; social psychology; or equivalent education, and has a minimum of three years of experience in the field of child or family services, two years of which have been in an administrative or managerial position
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88065.3 (g)(3)&(g)(6)	Social work personnel are responsible for the evaluation and assessment of a child for placement and for continued supervision of the placement of the child, including direct contact with the child and the certified parent(s) or foster family home licensee(s)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88065.2(b) &.3(b)	Social work supervisors and social workers have required education and experience
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88066(a)(1)(A)	Agency personnel records document that staff completed required training
CFH Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88019(a)(1)	CFH applicants and all adults residing in the home have obtained a criminal record clearance or exemption prior to certification
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88030(b)&(c)(1)&(c)(2)	Agency provides CFH with a signed Certificate of Approval, which includes the capacity for which the home has been certified, and the age range of children to be served
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88069.7(b)(2)	CFH case records contain written records of the home study
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88069.7(b)(11)	CFH case records contain each child's records and the date the child was placed in care
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88069.7(c)(4)	CFH case records contain a copy of the Certificate of Approval
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88069.7(c)(5)	CFH case records document 12 hours training for certified parents
Child Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88070(a)(1)(E)	Agency ensures that child's records, if available, contain medical/dental history, immunization records, and physicians orders for any medically necessary diet
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88070(a)(1)(J)	Agency ensures that child's records contain medical consent forms signed by authorized representatives.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88070(a)(1)(K)	Agency ensures that child's records contain copies of original and modified Needs and Services Plans
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	88070(a)(1)(M)	Agency ensures that child's records contain vaccination documentation

Number of staff records reviewed today
 Number of children's records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date? <input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection? <input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT? <input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT: Draft: July 2015

Print Form	A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited. Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CRES@csus.edu Fax: 916-278-5150	Submit by Email
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Inspection Type: <input type="text"/>	KIT 3: SMALL FAMILY HOME	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?		Regulation	Compliance Indicator Description		
	Yes	No	N/A*		
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80010(a)	ZT - The home is operating within the capacity and limitations of the license
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(e)	ZT - All licensees ensure the inaccessibility of pools (in-ground & above-ground), wading pools, hot tubs, spas, fish ponds, or similar bodies of water through a pool cover or surrounding fence.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(1)	ZT - Storage areas for firearms and dangerous weapons are locked
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(2)	ZT - Firing pins are stored and locked separately from firearms
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(3)	ZT - Ammunition is stored and locked separately from firearms
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83023(b)	ZT - Home maintains appropriate fire clearance
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(a)	The home is clean, safe, sanitary, and in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83087.2(a)	Outdoor activity space is free of obstructions and hazards
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83088(c)	Children have individual beds, comfortable mattresses, clean linens, blankets, and pillows, that are in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83087(b)(5)	Except for infants, children do not share a bedroom with an adult
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83087(b)(3)	No room commonly used for other purposes is used as a bedroom
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83076(b)	There is fresh perishable and nonperishable food in the home in a quantity to meet the needs of the next three meals and the between meal snacks
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet the statutory requirements
Care and Supervision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83075(f)	ZT - Any time a child is in the home, at least one of the persons providing regular and routine direct care and supervision has current training in first aid and CPR
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83078(a)(1)	Licensee provides services identified in child's needs and services plan, and individualized health care plan, for children with special health care needs
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83064(b)(2)	When absent from the home while children are present, the licensee provides for supervision of the children by a responsible adult unless otherwise agreed to in advance by the licensing agencies
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83072(c)(20)	Children have the right to attend school and participate in extracurricular, cultural, and personal enrichment activities consistent with the child's age and developmental level
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83072(c)(5)	Each school age child has access to an individual storage space for his/her private use
Child Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83070(b)(5)	Caregiver has written authorization to obtain medical and dental care
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83072(c)	Personal rights forms are in the children's files
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	83070(b)(7)	Each child's record contains dental and medical history, including immunization records and any physician's orders for any medically necessary diet
Administration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80026(h)	Licensee maintains accurate records of clients' accounts of cash resources, personal property, and valuables entrusted to his/her care
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80066(a)(6)	Facility personnel files document that staff meet training requirements
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80019(c)	The licensee, applicant, administrator, and any adult other than a client, residing in the facility, has a California criminal record clearance or exemption

Number of staff records reviewed today
 Number of children's records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one visit? <input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection? <input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT? <input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT:

Draft: July 2015

Print Form	A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited. Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CRE@csus.edu Fax: 916-278-5150	Submit by Email
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Inspection Type: **KIT 3: CRISIS NURSERY** LPA Code:
 Facility Lic Num: Facility Name: KIT Date:

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86587(g)(4)	ZT - Firearms and other dangerous weapons are not be allowed into or stored on the premises
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86587(e)	ZT - Swimming pools, hot tubs, spas, fish ponds and similar bodies of water are made inaccessible by covers or fences
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86587(a)	Crisis nurseries are clean, safe, sanitary, and in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86587(g)	Disinfectants, cleaning solutions, poisons, and other dangerous items are inaccessible
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet the statutory requirements
Child Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86568.1(c)(1)(A)	Upon admission or placement, the crisis nursery completes an admission form that includes a family history, child health information, emergency information, dietary requirements, daily needs, habits or routines, and the disciplinary methods used by the parents or guardian
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86568.1(c)(1)	Upon admission or placement, the crisis nursery obtains information and signed consent forms specified in 86570(b)(1) to (16)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86568.1(c)(4)(A)	Upon admission or placement, the crisis nursery ensures that the authorized representatives understand, sign, and receive a copy of the child's personal rights
Staff Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86519(e)(1)	Prior to working or volunteering in a crisis nursery, all individuals obtained a California Criminal Record Clearance or exemption
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86519.2(b)	Prior to employment, residence, or initial presence in a crisis nursery, all individuals completed a Child Abuse Index Check (LIC 198A)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86565(h)(1)	All crisis nursery personnel, including the administrator, staff and volunteers, have a health screening report signed by a physician not more than one year prior to, or seven days after employment
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86565(n)	Lead caregivers, caregivers, and volunteers have a current and valid certificate verifying successful completion of pediatric first aid and pediatric cardiopulmonary resuscitation training
Administration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86510(a)	ZT - A crisis nursery shall not operate beyond the conditions and limitations specified on the license, including the capacity limitation
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86505.1(a)	ZT - The maximum capacity of a crisis nursery shall be 14
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86502(a)	ZT - All crisis nurseries shall obtain and maintain a fire clearance
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	85665.5(a)	ZT - There is at least one fully qualified and employed lead caregiver on site at all times
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86522(a)	Crisis nursery maintains a written plan of operation
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86523(a)	Crisis nursery posts current written emergency plans
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86561(a)(4)	Any suspected physical or psychological abuse or neglect of any child in care is reported to the Department and to other reporting agencies by the next business day (PC 11165.6 and PC 11166)

Number of staff records reviewed today

Number of children's records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date? Yes No
 Was a comprehensive inspection triggered during this inspection? Yes No
 If so, was the comprehensive inspection triggered by items on this KIT? Yes No

Comments or suggestions about this KIT:

Draft: July 2015

A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited. Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CRE@csus.edu Fax: 916-278-5150

Inspection Type:	<input type="text"/>	KIT 3: Transitional Housing Placement Program	LPA Code:	<input type="text"/>	
Facility Lic Num:	<input type="text"/>	Facility Name:	<input type="text"/>	KIT Date:	<input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087 (e)	ZT - All licensees ensure the inaccessibility of pools (in-ground & above-ground), wading pools, hot tubs, spas, fish ponds, or similar bodies of water through a pool cover or surrounding fence.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80010 (a)	ZT - Licensee shall not operate a facility beyond the conditions and limitations specified on the license, including the capacity limitation.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86078(a)(2)	ZT - Licensee ensures that THPP participants provide care and supervision for participant's children
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86087(d)	ZT - Firearms and other weapons are not stored in THPP living units
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86087(e)(1)	If the children of the participant reside in the THPP living unit, disinfectants, cleaning solutions, poisons, and other items that could pose a danger are not accessible
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(a)	The facility is clean, safe, sanitary, and in good repair for the safety and well-being of clients, employees, and visitors
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86088(a)(2)	THPP participants and their minor children are provided with household essentials including, but not limited to: cooking utensils, furniture, equipment, supplies, and linens
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet the statutory requirements
Participant Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86070(b)	Each THPP participant's record contains copies of important documents as listed in subsection 86070(b)(1 through 9) - Including, but not limited to: copies of school records, immunization records, and medical records.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86068.2	Each THPP participant's records include a personalized Needs and Services plan
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86068.2(c)	The Needs and Services plan is completed within 30 calendar days from the date of placement
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86066(a)	Personnel records include documentation that THPP personnel meet the education and experience requirements
Staff Records	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80019(d)	THPP licensee and staff have criminal record clearances
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80019.2	THPP licensee and staff have child abuse index checks
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86075(d)(2)	Employees responsible for direct care and supervision of participants have current training, from persons qualified to provide such training, in CPR and First Aid
Administration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	86020(b)	ZT - THPP licensee requests fire clearances for participant living units prior to residence of non-ambulatory individuals
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80065(g)	All personnel, including the licensee, administrator, and volunteers, are in good health, and are physically, mentally, and occupationally capable of performing assigned tasks

Number of staff records reviewed today

Number of participant records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date?	<input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection?	<input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT?	<input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT:

Draft: July 2015

Print Form

A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited. Call ISR at 800-311-4906 for technical assistance. Email: KIT3_CRE@csus.edu Fax: 916-278-5150

Submit by Email

Phase Two Adult and Senior Care KIT 3 Forms

Inspection Type: <input type="text"/>	KIT 3: ASC - ADULT RESIDENTIAL	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description	
Walk Through	1	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80020(a)	ZT - Facility fire clearance is maintained in conformity with State Fire Marshall regulations
	2	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(e)	ZT - All pools and bodies of water are appropriately secured
	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(1)	ZT - Storage areas for firearms and other dangerous weapons are locked
	4	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(c)	All outdoor and indoor passageways are free of obstruction
	5	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)	Disinfectants, cleaning solutions, poisons are inaccessible to clients.
	6	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(d)	Lamps or lights are present in all rooms to ensure the comfort and safety of all clients
	7	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(e)(1)	Hot water temperature is maintained between 105 degrees F and 120 degrees F
	8	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(e)(3)	All toilets, hand washing, and bathing facilities are safe, sanitary, and in operating condition with additional equipment for physically handicapped clients
	9	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	85088(c)(4)	The licensee ensures that each client has clean linen in good repair, including lightweight warm blankets and bedspreads, top and bottom sheets, pillow cases, mattress pads, rubber or plastic sheeting when necessary, and bath towels, hand towels, and washcloths
	10	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
Food Service	11	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80076(a)(1)	All food is selected, stored, prepared, and served in a safe and healthful manner
	12	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	85076(d)(1)	Supplies of nonperishable foods are maintained on the premises to last for a minimum of one week and fresh perishable foods for a minimum of two days
	13	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80076(a)(18)	All foods are protected against contamination. Contaminated food is discarded immediately
Care and Supervision	14	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	85065(b)	ZT - The licensee employs staff as necessary to ensure provision of care and supervision to meet clients' needs
	15	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80072(a)(2)	Each client is accorded safe, healthful, and comfortable accommodations, furnishings and equipment to meet his/her needs
	16	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	85078(a)(1)	The licensee provides those services identified in the client's needs and services plan as necessary to meet the client's needs
Inc. Med. Care	17	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(n)(3)	All medications are labeled and are maintained in compliance with label instructions, and state and federal law
	18	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(n)(1)	Medication is kept in a safe and locked place that is not accessible to persons other than employees responsible for the supervision of the centrally stored medication

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: ADULT RESIDENTIAL, Continued

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Facility/Staff Records	19	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80010(a) ZT - Licensee does not operate beyond the conditions and limitations specified on the license, including the capacity
	20	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80046(a) ZT - Pursuant to H & S Code sections 1558 and 1558.1, an individual can be prohibited from serving as a member of a board of directors, executive director, or officer; from being employed or allowed in a licensed facility
	21	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80044(a) ZT - Employees of CCLD are allowed to enter the facility to conduct inspections, as specified in H & S Code sections 1526.5, 1533, 1534, and 1538
	22	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80019(e)(1) All staff have a criminal record clearance or a criminal record exemption
	23	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(j)(i) Staff responsible for direct care and supervision have current first aid training
	24	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80023(d) Disaster drills are conducted at least every six months
	25	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	85064(b) The adult residential facility has a certified administrator
Resident Records	26	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(a) The licensee ensures that each client receives first aid and other needed medical or dental services, including arrangement for and/or provision of transportation to the nearest available services
	27	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80069(b) Prior to accepting a client into care, the licensee obtained and kept on file documentation of the client's medical assessment
	28	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80069(c)(1) The client's medical assessment includes the results of an examination for communicable tuberculosis and other contagious/infectious diseases
	29	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80026(e) Cash resources, personal property, and valuables of clients are kept separate and intact, and are not co-mingled with facility funds or petty cash
	30	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80070(a) The licensee ensures that a separate, complete, and current record is maintained for each client
	31	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	85068.3(a) Initial needs and services plan is updated as necessary
	32	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80068(a) The licensee completes an individual written admission agreement with each client and the client's authorized representative if any

Number of staff records reviewed today

Number of resident records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date?	<input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection?	<input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT?	<input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT:

Final July 27

Print Form

A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited.
Call ISR at 800-311-4906 for technical assistance. Email: KIT3_ASC@csus.edu Fax: 916-278-5150

Submit by Email

Inspection Type: <input type="text"/>	KIT 3: ASC - ADULT DAY	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82020	ZT - Facility fire clearance is maintained in conformity with State Fire Marshall regulations
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82087(f)	ZT - All pools and bodies of water are appropriately secured
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(1)	ZT - Storage areas for firearms/poisons/other dangerous weapons is locked
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82087(a)(3)	Disinfectants, cleaning solutions, and poisons are inaccessible to clients
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82088(e)(1)	Hot water temperature is maintained between 105 degrees F and 120 degrees F
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82088(e)(3)	All toilets, hand washing, and bathing facilities are maintained in a safe, sanitary, operating condition, with provisions/equipment for handicapped individuals
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82087(a)	The program site is clean, safe, sanitary, and in good repair at all times for the safety and well-being of clients, employees, and visitors
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82072(a)(2)	Each client is accorded safe, healthful, and comfortable accommodations, furnishings and equipment to meet his/her needs
Food Service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82076(a)(1)	All food is selected, stored, prepared, and served in a safe and healthful manner
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82076(a)(16)	All kitchen, food preparation, and storage areas are kept clean, free of litter and rubbish, and measures are taken to keep all such areas free of rodents and other vermin
Care and Supervision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82078(a)	ZT - There is care and supervision necessary to meet the client's needs and all services specified in the admissions
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82065(e)	ZT - There is direct supervision of clients during participation in, or presence at, potentially dangerous activities or areas
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82072(a)(8)	Clients' personal rights include not being placed in a restraining device. Postural supports may be used, under conditions listed in 82072(a)(8)(A - E)
Inc. Med. Care	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82075(b)	Clients are assisted with self-administration of medications
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	82075(f)(1)	Medication is kept in a safe and locked place that is not accessible to persons other than employees responsible for the supervision of the centrally stored medication

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: ADULT DAY, Continued

In compliance?		Regulation	Compliance Indicator Description			
Yes	No	N/A*				
17	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82010	ZT - The licensee is operating the day program within the conditions and limitations specified on the license, including the capacity limitation		
18	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82065(a)	ZT - Program personnel are at all times sufficient in numbers and competent to provide the services necessary to meet individual client needs		
19	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82046(a)	ZT - Excluded person - Department may prohibit an individual from serving as a member of a board of directors, executive director, or officer; or from being employed or present in a licensed facility		
20	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82044(a)	ZT - Pursuant to the authority specified in H&S code sections 1526.5, 1533, 1534, and 1538; the licensing agency shall evaluate and inspect Adult Day Programs		
21	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82075(f)	Staff responsible for direct care and supervision have current first aid and CPR training		
Facility/Staff Records	22	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82064(a)(1) & (a)(2)	The program administrator either has a baccalaureate degree in psychology, social work, or a related human services field and has a minimum of one year experience in the management of a human services delivery system, or has three years of experience in a human services delivery system including at least one year in a management or supervisory position	
	23	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82065.1(d)(1)	Direct care staff receive a minimum of 8 documented hours of training per year	
	24	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82066(a)(10)	Personnel records contain a health screening from a licensed medical professional	
	25	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82019(e)(1) & (e)(2)	Prior to working, residing, or volunteering in a licensed day program, all individuals subject to criminal record review obtain a California clearance or a criminal record exemption, or request the licensee or applicant for a license to request a transfer of a criminal record clearance	
	26	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82022(a)	Licensee has, and maintains on file, a current, written, definitive plan of operation	
	27	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82066(a)	Licensee ensures that personnel records are maintained on the licensee, administrator, and each employee	
	28	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82064(d)	The administrator receives and documents a minimum of 30 clock hours of continuing education every 24 months of employment	
	29	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82065(g)(1)	The good physical health of each employee and individual licensee is verified by a health screening, including negative test results for tuberculosis, performed by or under the supervision of a physician not more than one year prior to, or seven days after, employment or licensure	
	Resident Records	30	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82068(a)	The licensee completes and maintains an individual written admission agreement with each client and the client's authorized representative, if any
		31	<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82068.2(e)	The written Needs and Services plan is maintained in the client's file
32		<input type="radio"/>	<input type="radio"/>	<input type="radio"/> 82068.3(a)	The licensee ensures that each client's written Needs and Services plan is updated as often as necessary, but at least annually, to ensure its accuracy, and to document significant occurrences that result in changes in the clients's physical, mental, psychological, and/or social functioning	

<input type="checkbox"/> Number of staff records reviewed today	<input type="checkbox"/> Number of resident records reviewed today
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* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date?	<input type="radio"/> Yes <input type="radio"/> No	Was a comprehensive inspection triggered during this inspection?	<input type="radio"/> Yes <input type="radio"/> No	If so, was the comprehensive inspection triggered by items on this KIT?	<input type="radio"/> Yes <input type="radio"/> No
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Comments or suggestions about this KIT: Final July 27

<input type="button" value="Print Form"/>	A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited. Call ISR at 800-311-4906 for technical assistance. Email: KIT3_ASC@csus.edu Fax: 916-278-5150	<input type="button" value="Submit by Email"/>
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Inspection Type: <input type="text"/>	KIT 3: ASC - Social Rehab Facility	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(e)	ZT - All pools and bodies of water are appropriately secured
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(1)	ZT - Storage areas for firearms and other dangerous weapons are locked.
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80020(a)	ZT - Facility fire clearance is maintained in conformity with State Fire Marshall regulations
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(c)	All outdoor and indoor passageways are kept free of obstruction
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)	Disinfectants, cleaning solutions, and poisons are inaccessible to clients
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(d)	Lamps or lights are in all rooms to ensure comfort and safety
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(e)(1)	Hot water temperature is maintained between 105 degrees F and 120 degrees F
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(a)	The facility is clean, safe, sanitary and in good repair for the safety and well-being of clients, employees, and visitors
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	81076(c)(4)	Freezers and refrigerators are kept clean and maintain their temperature
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(e)(3)	All toilets, hand washing and bathing facilities are in safe, sanitary operating condition with additional equipment for physically handicapped individuals
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(e)	Faucets used by clients for personal care such as shaving and grooming deliver hot water
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	81088(c)(4)	The licensee ensures provision of clean linen in good repair, including lightweight, warm blankets and bedspreads, to and bottom bed sheets, pillow cases, mattress pads, rubber or plastic sheeting when necessary, and bath towels, hand towels, and washcloths
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80072(a)(2)	Each client is accorded safe, healthful, and comfortable accommodations, furnishings, and equipment to meet his/her needs
Food Service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80076 (a)(17-19)	In facilities providing meals to clients, all kitchen, food preparation, and storage areas are kept clean, free of litter and rubbish, and measures are taken to keep all such areas free of rodents, and other vermin. All food is protected against contamination. Contaminated food is discarded immediately and all equipment, dishes, and utensils are kept clean and maintained in safe condition
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	81076(c)(1)	Food supplies include nonperishable foods to last a minimum of 1 week, and perishable foods for a minimum of 2 days are available

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: SOCIAL REHAB FACILITY, continued

In compliance?						
	Yes	No	N/A*	Regulation	Compliance Indicator Description	
Inc. Med. Care	17	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(n)(1)	Medications are safe, locked, and inaccessible
	18	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075 (n)(7)(A-D)	The licensee maintains a record of centrally stored prescription medications for each client which includes the name of the client, the prescribing physician, the name, strength and quantity of the drug, and the date filled, and the client's record of prescription medications is retained for at least one year
Administration/Staff Records	19	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80065(a)	ZT - Facility personnel are competent to provide the services necessary to meet individual client needs
	20	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80010(a)	ZT - Licensee does not operate beyond the conditions and limitations specified on the license
	21	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80046(a)	ZT - An individual can be prohibited from serving as a member of a board of directors, executive director or officer, from being employed or allowing an individual in a licensed facility
	22	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80044(a)	ZT - Employees of CCLD shall be allowed to enter the facility to conduct inspections
	23	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	81065(f)	All direct care staff receive a minimum of 20 clock hours of continuing education per year, which provides the staff with the knowledge and skills as appropriate to their job assignment
	24	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80019(e)(1)	All individuals subject to a criminal record review obtain a criminal record clearance or a criminal record exemption
Resident Records	25	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(i)	Staff responsible for direct care and supervision have current first aid training
	26	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80065(g)(1)	All personnel, including the licensee, administrators, and volunteers are in good health, and are physically, mentally, and occupationally capable of performing tasks, as verified by a health screening including a test for tuberculosis, performed by or under the supervision of a physician not more than one year prior to, or seven days after employment or licensure
	27	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	81068.2(b)	Prior to admission, the licensee completes a written Needs and Services Plan for each client admitted
	28	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80069 (c)(1)/(c)(4)	The licensee obtains a medical assessment which includes the results of an examination for communicable tuberculosis and other contagious/infectious diseases, and a determination of the clients' ambulatory status

Number of staff records reviewed today

Number of resident records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date? Yes No Was a comprehensive inspection triggered during this inspection? Yes No If so, was the comprehensive inspection triggered by items on this KIT? Yes No

Comments or suggestions about this KIT:

Final July 27

Print Form

A comprehensive inspection is triggered if: one Zero Tolerance and/or two Type A violations are cited.
Call ISR at 800-311-4906 for technical assistance. Email: KIT3_ASC@csus.edu Fax: 916-278-5150

Submit by Email

Inspection Type: <input type="text"/>	KIT 3: ASC - ARFSHN	LPA Code: <input type="text"/>
Facility Lic Num: <input type="text"/>	Facility Name: <input type="text"/>	KIT Date: <input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Walk Through	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(e)	ZT - All pools and bodies of water are appropriately secured
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(1)	ZT - Storage areas for firearms and other dangerous weapons are locked
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80020(a)	ZT - Facility fire clearance is maintained in conformity with State Fire Marshall regulations
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(a)	The facility is clean, safe, sanitary, and in good repair
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(e)(2)(E)	Oxygen tanks that are not portable are secured either in a stand or to the wall
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(b)(1)	Facility uses protective devices including but not limited to nonslip material on rugs
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80087(g)(1)	Storage areas for disinfectants, cleaning solutions, and poisons are locked
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1503.2	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(e)(1)	Hot water delivered to fixtures used by clients is maintained between 105 degrees F and 120 degrees F
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80088(e)(3)	Toilets, hand washing, and bathing facilities are maintained in safe, and sanitary operating condition, and additional equipment, aids, and/or conveniences are provided for physically handicapped individuals
Food Service	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80076(a)(1)	Meals are at least 1/3 of the servings recommended in the USDA Basic Food Group Plan - for the age group served, and are selected, stored, prepared, and served in a safe and healthful manner
	Care/Supervision	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80065(a)
<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	80078(a)	The licensee provides care and supervision as necessary to meet the client's needs
Incidental Medical Care	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80092.10(a)(4)	The licensee ensures that gastrostomy feeding, hydration, medication administration through the gastrostomy, and stoma cleaning are provided by a licensed professional when the client is unable to provide his/her own feeding, hydration, and care
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(n)(3)	Medications are labeled and maintained in compliance with label instructions and state and federal laws
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(n)(1)	Medication is kept in a safe and locked place, inaccessible to persons other than employees responsible for the supervision of the centrally stored medication

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: ARFSHN, Continued

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Facility/Staff Records	17	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80010(a) ZT - Facility does not operate beyond the conditions and limitations specified on the license, including the maximum number of persons who may receive services at any one time
	18	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80046(a) ZT - An individual can be prohibited from serving as a member of a board of directors, executive director, or officer and from being employed, or allowed to enter, a licensed facility
	19	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80044(a) ZT - Any authorized employee of the licensing agency may, upon presentation of proper identification, enter and inspect any place providing personal care, supervision, and services at any time, with or without advance notice
	20	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80065(g)(1) All personnel, including the licensee, administrator, and volunteers, are in good health, and are physically, mentally, and occupationally capable of performing assigned tasks
	21	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80019(e)(1) All staff have a criminal record clearance, or a criminal record exemption
	22	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80075(i) Staff providing care and supervision have first aid training from qualified agencies including, but not limited to, the American Red Cross
	23	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80023(d)(2) Disaster drills are documented and the documentation is maintained in the facility for at least one year
	24	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80024(a) Licensee maintains continuous compliance with licensing regulations unless prior written licensing agency approval is received
Resident Records	25	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80066(a) Licensee ensures that personnel records are maintained on the licensee, administrator, and each employee
	26	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80077.2 (b)(2)(C) Prior to accepting a client into care, the licensee completes a Needs and Services Plan that includes a method for determining the client's needs
	27	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80026(h) Licensee maintains accurate records of accounts of cash resources, personal property, and valuables entrusted to his/her care
	28	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80070(a) A separate, complete, and current record is maintained in the facility for each client
	29	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	80072(b) At admission, a client and their authorized representative are advised of, and given a list of their rights

Number of staff records reviewed today

Number of resident records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date? Yes No Was a comprehensive inspection triggered during this inspection? Yes No If so, was the comprehensive inspection triggered by items on this KIT? Yes No

Comments or suggestions about this KIT:

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Inspection Type:	<input type="text"/>	KIT 3: ASC - RCFCI	LPA Code:	<input type="text"/>	
Facility Lic Num:	<input type="text"/>	Facility Name:	<input type="text"/>	KIT Date:	<input type="text"/>

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description	
Walk Through	1	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87887(f)	ZT - All pools and bodies of water are appropriately secured
	2	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87820(a)	ZT - Facility fire clearance is maintained in conformity with State Fire Marshall regulations
	3	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87887(a)	The facility is clean, safe, sanitary, and in good repair at all times
	4	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87887(b)(1)	All clients are protected against hazards including protective devices which include, but are not limited to, nonslip material on rugs
	5	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87887(c)	All outdoor and indoor passageways are free of obstruction
	6	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87888(a)	A comfortable temperature for clients is maintained at all times
	7	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87887(h)(1)	Storage areas for poisons, firearms, and other dangerous weapons are locked
	8	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87888(e)(1)	Hot water temperature is maintained between 105 degrees F and 120 degrees F
	9	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87889(a)	Contaminated and hazardous waste, such as soiled diapers, used needles and syringes, soiled surgical dressings, disposable wipes, gloves, and other items and/or equipment used for the hygienic care and treatment of residents, shall be disposed of by a hazardous waste company
	10	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H&S 1568.043	Facility has one or more functioning carbon monoxide detectors that meet statutory requirements
	11	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87888(d)	Lamps or lights are installed in all rooms to ensure the comfort and safety of residents
	12	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87888(e)(3)	All toilets, hand washing, and bathing facilities are safe, sanitary, and in good operating condition with additional equipment for physically handicapped individuals as needed
Food Service	13	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87876(a)(1)	All food is protected from contamination and is of the quality and quantity necessary to meet the needs of the residents
	14	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87876(a)(20)	Facility has an operable dishwasher that meets regulatory requirements
	15	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87876(a)(13)	All persons engaged in food preparation and service observe personal hygiene and food services sanitation practices which protect the food from contamination
Care/Supervision	16	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87878(a)	ZT - The licensee provides care and supervision as necessary to meet the resident's needs
	17	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	87865.1(b)	For daytime hours, the minimum staffing ratio is one direct care staff person up, awake, and on duty for every ten residents on the premises

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

FORM CONTINUES ON PAGE 2

Page 2 KIT 3: RCFCI, continued

In compliance?

	Yes	No	N/A*	Regulation	Compliance Indicator Description
Inc. Med. Care	18	<input type="radio"/>	<input type="radio"/>	87915(a)(1)	Medications are kept in a safe and locked place that is not accessible to persons other than employees responsible for the supervision of the centrally stored medication
	19	<input type="radio"/>	<input type="radio"/>	87870(b)(10)	Each resident record contains a record of any illness or injury requiring treatment by a physician or dentist and for which the facility provided assistance to the resident in meeting his/her medical and/or dental needs
	20	<input type="radio"/>	<input type="radio"/>	87810(a)	ZT - Licensee does not operate the facility beyond the conditions and limitations specified on the license
Facility/Staff Records	21	<input type="radio"/>	<input type="radio"/>	87844(a)	ZT - The Department has the authority to conduct an inspection of any licensed residential care facility or residential care facility which has applied to be licensed at any time
	22	<input type="radio"/>	<input type="radio"/>	87846(a)	ZT - The Department may prohibit an individual from serving as a member of the board of directors, executive director, or officer; being employed or allowed in a licensed facility
	23	<input type="radio"/>	<input type="radio"/>	87819(a)(1)	Criminal record clearance for all required persons is associated to the license
	24	<input type="radio"/>	<input type="radio"/>	87819(a)(4)	The licensee has submitted fingerprints to the California Department of Justice, along with a second set of fingerprints for the purpose of searching the records of the Federal Bureau of Investigation, prior to any individual's employment, residence, or initial presence in the facility
	25	<input type="radio"/>	<input type="radio"/>	87866(a)	The licensee ensures that personnel records are maintained on the licensee, administrator, and each employee
	26	<input type="radio"/>	<input type="radio"/>	87826(h)	Licensee maintains accurate records of accounts of cash resources, personal property, and valuables entrusted to his/her care
	27	<input type="radio"/>	<input type="radio"/>	87823(d)(2)	Disaster drills are conducted and documented at least every 6 months and documents are maintained for at least one year.
	28	<input type="radio"/>	<input type="radio"/>	87923(a)(1)	All direct care staff and the facility manager have current first aid training and a copy of the current first aid card is maintained in the personnel record

Number of staff records reviewed today

* Not applicable or not observable. In the comment section, please explain why an item was not applicable or not observable during this KIT inspection.

Did this inspection occur on more than one date? Yes No Was a comprehensive inspection triggered during this inspection? Yes No If so, was the comprehensive inspection triggered by items on this KIT? Yes No

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Appendix Tables 3.1 through 9.1

Appendix Table 3.1: Common KIT Item Frequencies: Supporting Documentation for Figure 3.1 (FCCH)

KIT item	KIT 1	KIT 2	Average KIT 1/2	KIT 3	Perc KIT 1/2	Perc KIT 3
ZT 102417(g)(5)(A-B)	5	0	2.5	8	0%	1%
ZT 102417(g)(4)(A)-(C)	11	10	10.5	25	1%	3%
ZT 102417(a)	6	5	5.5	9	1%	1%
ZT 102391(a)	0	0	0	1	0%	0%
102417(g)(4)	154	148	151	207	19%	24%
102417(g)(1)	92	164	128	13	16%	2%
102417(b)	13	18	15.5	22	2%	3%
102417(g)(3)	24	12	18	21	2%	2%
102416.5(a)	23	27	25	42	3%	5%
102370(d)(1)	35	52	43.5	51	6%	6%
102416(c)	157	211	184	235	24%	27%
102416.5(c)	-	3	3	6	0%	1%
102417(d)	-	29	29	38	4%	4%
102417(g)(8)	-	166	166	188	21%	22%
Total N/Percent			781.5	866	100%	100%

Appendix Table 4.1: Common KIT Item Frequencies: Supporting Documentation for Figure 4.1 (Infant)

KIT item	KIT 1	KIT 2	Average KIT 1/2	KIT 3	Perc KIT 1/2	Perc KIT 3
ZT 101238(e)	0	0	0	0	0%	0%
ZT 101238(g)(2)	0	0	0	0	0%	0%
ZT 101200(a)	0	0	0	0	0%	0%
ZT 101229(a)(1)	0	3	1.5	0	6%	0%
ZT 101429(a)(1)	4	1	2.5	4	10%	7%
ZT 101161(a)	0	0	0	0	0%	0%
ZT 101170.1(a)	0	-	0	0	0%	0%
101238(g)	1	2	1.5	6	6%	10%
101239(n)	0	4	2	2	8%	3%
101238.2(d)(2)	0	2	1.5	2	6%	3%
101239(f)(1)	1	1	1	2	4%	3%
101238.2(e)	0	2	1.5	2	6%	3%
101238(a)(1)	0	0	0	1	0%	2%
101170(e)(1)	0	4	2	1	8%	2%
101216(f)	2	4	3	3	12%	5%
101212(b)	0	0	0	0	0%	0%
101227(a)(6)	0	1	0.5	3	2%	5%
101439.1	1	0	0.5	1	2%	2%
101438.3	0	0	0	1	0%	2%
101416.5	1	3	2	3	8%	5%
101427	0	0	0	2	0%	3%
101419.2	0	1	0.5	8	2%	13%
101419.3	1	2	1.5	3	6%	5%
101416.2	1	4	2.5	3	10%	5%
101161(a)	0	-	0	2	0%	3%
101221(b)(8)	2	-	2	11	8%	18%

101439	0	-	0	0	0%	0%
Total N/Percent			26	60	100%	100%

Appendix Table 5.1: Common KIT Item Frequencies: Supporting Documentation for Figure 5.1 (School Age)

KIT item	KIT 1	KIT 2	Average KIT 1/2	KIT 3	Perc KIT 1/2	Perc KIT 3
ZT 101238(e)	0	0	0	0	0%	0%
ZT 101238(g)(2)	0	0	0	0	0%	0%
ZT 101229(a)(1)	2	2	2	3	7%	10%
ZT 101200(a)	0	0	0	0	0%	0%
ZT 101161(a)	0	1	0.5	1	2%	3%
101238(g)	2	3	2.5	1	9%	3%
101238(g)(1)	0	0	0	0	0%	0%
101239(n)	0	2	1	1	3%	3%
101238.2(d)(2)	1	1	1	0	3%	0%
101239(e)(4)	1	3	2	2	7%	7%
101238.3(b)	0	3	1.5	1	5%	3%
101227(a)(18)	0	1	0.5	0	2%	0%
101239(f)(1)	2	0	1	3	3%	10%
101239.2(a)	1	1	1	1	3%	3%
101238.2(e)	1	2	1.5	2	5%	7%
101170(e)(1)	1	2	1.5	2	5%	7%
101216(f)	7	3	5	4	17%	13%
101212(b)	1	3	2	0	7%	0%
101161(a)	1	0	0.5	0	2%	0%
101227(a)(6)	0	4	2	1	7%	3%
101516.5	0	1	0.5	0	2%	0%
ZT 101170.1(a)	0	-	0	0	0%	0%
ZT H&S 1596.8897(g)	-	0	0	0	0%	0%
101229.1(a)(1)	0	-	0	6	0%	20%
101217(a)(11)	0	-	0	1	0%	3%
101217(a)(6)	-	3	3	1	10%	3%
Total N/Percent			29	30	100%	100%

Appendix Table 6.1: Common KIT Item Frequencies: Supporting Documentation for Figure 6.1 (FFH)

KIT item	KIT 1	KIT 2	Average KIT 1/2	KIT 3	Perc KIT 1/2	Perc KIT 3
89387(d)	2	0	1	2	5%	3%
89378(a)	0	0	0	0	0%	0%
89410(a)	2	0	1	4	5%	5%
89387(a)(7)	0	0	0	3	0%	4%
89387(b)	5	3	4	13	18%	17%
89387.2(a)	2	1	1.5	1	7%	1%
89376(a)	0	0	0	0	0%	0%
89319	0	2	1	6	5%	8%
89405(a)	4	3	3.5	14	16%	19%
89405(b)	9	3	6	22	27%	29%
89475(b)	2	0	1	2	5%	3%
89387.2(a)(1)	0		0	0	0%	0%
89372(a)	0		0	1	0%	1%
89468(a)	0		0	1	0%	1%
89387(n)		0	0	4	0%	5%
89387(a)(1)		1	1	2	5%	3%
89361(a)		2	2	0	9%	0%
Total N/Percent			22	75	100%	100%

Appendix Table 8.1: Common KIT Item Frequencies: Supporting Documentation for Figure 8.1 (ARES)

KIT item	KIT 1	KIT 2	Average KIT 1/2	KIT 3	Perc KIT 1/2	Perc KIT 3
ZT 80010(a)	0	0	0	1	0%	0%
ZT 80087(e)	2	0	1	2	1%	1%
ZT 80087(g)(1)	18	6	12	28	9%	10%
ZT 85065(b)	2	5	3.5	2	3%	1%
ZT 80046(a)	0	0	0	0	0%	0%
ZT 80044(a)	0	0	0	0	0%	0%
80088(e)(1)	29	27	28	61	21%	23%
80076(a)(1)	6	7	6.5	17	5%	6%
85076(d)(1)	19	18	18.5	30	14%	11%
80019(e)(1)	0	1	0.5	3	0%	1%
80075(n)(3)	0	0	0	0	0%	0%
80075(n)(1)	0	1	0.5	3	0%	1%
80087(c)	9	-	9	21	7%	8%
80087(g)	23	-	23	40	17%	15%
80088(d)	4	-	4	8	3%	3%
80088(e)(3)	7	-	7	15	5%	6%
85068.3(a)	8	-	8	12	6%	4%
85088(c)(4)	-	8	8	18	6%	7%
80026(e)	-	2	2	3	1%	1%
80068(a)	-	2	2	6	1%	2%
Total N/Percent	118	77	97.50	249	100%	100%

Appendix Table 9.1: Common KIT Item Frequencies: Supporting Documentation for Figure 9.1 (A Day)

KIT item	KIT 1	KIT 2	Average KIT 1/2	KIT 3	Perc KIT 1/2	Perc KIT 3
ZT 82010	1	0	0.5	0	4%	0%
ZT 82087(f)	0	0	0	0	0%	0%
ZT 82065(e)	0	0	0	0	0%	0%
ZT 82046(a)	0	0	0	0	0%	0%
ZT 82044(a)	0	0	0	0	0%	0%
82087(a)(3)	3	6	4.5	5	38%	29%
82088(e)(1)	3	1	2	6	17%	35%
82088(e)(3)	2	0	1	0	8%	0%
82076(a)(1)	0	0	0	0	0%	0%
82068.2(e)	0	0	0	0	0%	0%
82019(e)(1)	1	0	0.5	0	4%	0%
82075(f)	2	4	3	5	25%	29%
82075(b)	1	0	0.5	0	4%	0%
ZT 82065(a)	-	0	0	0	0%	0%
82066(a)(10)	0	-	0	1	0%	6%
82072(a)(8)	-	0	0	0	0%	0%
Total N/Percent			12	17	100%	100%

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Table of Contents

Acknowledgements.....	2
Table of Tables and Figures	4
Executive Summary.....	6
KIT 3 Development Methodology (in brief)	6
Pilot Data Research Objectives and Specific Research Questions.....	7
Pilot Test Procedures	7
Major Conclusions from Phase Two Pilot	8
Recommendations	9
Organization of the Remainder of the Report.....	10
SECTION 1: BACKGROUND AND METHODOLOGY	11
Chapter 1: Introduction	12
KIT 3 Development and Modifications (In Brief).....	12
Evaluating the New KITs: Objectives and Specific Research Questions	13
KIT 3 Pilot Testing Procedures.....	13
Data Collection	14
KIT Pilot Test Data Received	14
Inspection Data as Recorded in FAS.....	15
Chapter 2: Pilot Study Data, Research Questions, and Measures.....	17
Research Questions.....	17
SECTION 2: CHILD CARE CENTERS	20
Chapter 3: Family Child Care Homes	21
Chapter 4: Infant Child Care Facilities.....	27
Chapter 5: School Age Child Care Facilities	34
SECTION 3: CHILDREN’S RESIDENTIAL FACILITIES	39
Chapter 6: Foster Family Homes.....	40
Chapter 7: Specialized Children’s Residential Facilities with Small Pilot Study Sample Sizes	45
SECTION 4: ADULT AND SENIOR CARE FACILITIES.....	47
Chapter 8: Adult Residential Facilities	48
Chapter 9: Adult Day Facilities	54
Chapter 10: Specialized Adult/Senior Care Residential Facilities with Small Pilot Study Sample Sizes	60

Table of Tables and Figures

Table 1.1: Electronic KIT 3 Submissions, by Facility Type	15
Table 1.2: Adjusted KIT 3 Sample Sizes, by Facility Type	16
Table 3.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (FCCH)	21
Table 3.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (FCCH)	22
Table 3.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (FCCH)	22
Table 3.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (FCCH).....	23
Table 3.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (FCCH).....	23
Table 3.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (FCCH).....	24
Figure 3.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (FCCH)...	25
Table 4.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (Infant)	27
Table 4.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (Infant)	28
Table 4.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (Infant)	28
Table 4.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (Infant).....	29
Table 4.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (Infant).....	29
Table 4.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (Infant).....	30
Figure 4.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (Infant) .	33
Table 5.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (School Age)	34
Table 5.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (School Age)	35
Table 5.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (School Age)	35
Table 5.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (School Age)	36
Table 5.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (School Age)	36
Table 5.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (School Age).....	37
Figure 5.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (School Age)	38
Table 6.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (FFH).....	40

Table 6.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (FFH)	41
Table 6.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (FFH)	41
Table 6.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (FFH)	42
Table 6.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (FFH)	42
Table 6.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (FFH)	43
Figure 6.1. Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (FFH)	44
Table 7.1: Small Family Homes Inspection and Violations Frequencies.....	45
Table 7.2: Foster Family Agencies Inspection and Violations Frequencies	46
Table 8.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (A Res)	48
Table 8.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (A Res)	49
Table 8.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (A Res)	49
Table 8.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (A Res)	50
Table 8.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (A Res)	50
Table 8.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (A Res).....	51
Figure 8.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (A Res)...	53
Table 9.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (A Day).....	54
Table 9.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (A Day).....	55
Table 9.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (A Day).....	55
Table 9.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (A Day)	56
Table 9.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (A Day)	56
Table 9.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (A Day)	57
Figure 9.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (A Day) ..	59
Table 10.1: Social Rehabilitation Facilities Inspection and Violations Frequencies	60

Executive Summary

California has more than 75,000 licensed community care facilities with the capacity to serve roughly 1.4 million children, disabled adults, and elderly persons needing care and supervision. The Community Care Licensing Division (CCLD) of the California Department of Social Services (CDSS) is the agency designated by California's Health and Safety Code to protect and promote the health, safety, and quality of life of each person in such community care facilities, through the administration of an effective regulatory enforcement system. Within CCLD, more than 475 Licensing Program Analysts (LPAs) perform direct inspections of facilities for compliance with health and safety regulations.

In late 2010, in an effort to increase the number of routine inspections CCLD could perform per year, CCLD developed several Key Indicator Tools (KIT) and began using them as a complement to their comprehensive inspection processes. KITs are intended to (1) standardize the inspection protocol between facilities and between inspectors, (2) enhance the efficiency of the inspection process, and (3) appropriately identify whether a more comprehensive inspection is warranted.

In 2012, CCLD began a collaborative effort with the Institute for Social Research (ISR) at Sacramento State University to evaluate and improve the Key Indicator Tools. In the end, this collaborative effort produced new KITs for 18 CCLD facility types that are contained within the three overarching program areas: Child Care, Children's Residential, and Adult/Senior Care).

To evaluate and improve the KITs, the ISR proceeded in several stages. We:

1. Reviewed existing inspection/investigation data
2. Job shadowed LPAs in each of the three program areas
3. Conducted stakeholder meetings (internal and external)
4. Facilitated extended discussions with LPA workgroups and CCLD upper management¹
5. Created a new "KIT 3" for each facility type, based on a hybrid methodology that integrated three data-driven processes to overcome weaknesses associated with any single approach
6. Conducted extended pilot tests of the new KITs in two phases, analyzing the resulting data to form the basis of our evaluation.

KIT 3 Development Methodology (in brief)

Using four years of CCL facility inspection data (within program area and facility type), we identified a list of "key indicator" violations that can be used to predict when a facility has violated a large number of regulatory codes or has at least one severe code violation. Specifically, we devised a hybrid methodology that incorporated three analytical strategies. First, we performed logistic regression analyses to identify and rank the specific violations that predict high-frequency violation inspections. Second, to take account of violation severity, we examined how such key indicator rankings differed between routine visits and complaint visits, adding indicators that rank highly during complaint visits even if they did not appear in the broader analysis. Third, to further account for violation severity, we identified additional violations recorded during complaint visits that were associated with domain clusters of violations during routine inspection visits.

¹ See *Key Indicator Tool Development Project: Phase I and II: Final Report* (June 2014) for an in-depth discussion of this aspect of the project (Institute for Social Research, June 2014).

After identifying the list of key indicators, ISR created the KIT 3 tool itself using Adobe LiveCycle, which provides for electronic submission of a form's data and does not allow submission of incomplete forms. This prohibition against incomplete data submission encouraged LPAs to systematically review facility compliance of *every* regulatory item on KIT 3 (in contrast to the earlier KITs, which were simply printed out checklists of specific regulations). The forced data submission also enhanced the quality of data, compensating to some degree for shortcomings in the inspection data repository system that CCLD currently uses (the Lotus Notes-based Field Automated System (FAS)).

Pilot Data Research Objectives and Specific Research Questions

Broadly speaking, ISR's analyses of KIT 3 pilot data sought to evaluate KIT 3—relative to KITs 1 and 2—based on four criteria: validity, reliability, efficiency, and utility. These objectives led us to evaluate KIT 3 (including the new data collection and submission procedures) with regard to six primary indicators:

1. The number and rate of regulatory violations cited, overall (validity)
2. The number of zero tolerance violations cited (validity)
3. The number of comprehensive visits triggered (validity)
4. The percent of regulatory violations cited at least once (efficiency)
5. The consistency and accuracy with which LPAs submitted KIT forms (reliability and utility)
6. The qualitative feedback received from LPAs, program managers, and other CCLD staff (utility).

Pilot Test Procedures

After internal pilot tests with a small sample of LPAs, ISR commenced large-scale pilot testing statewide—in two phases. The first phase, which took place for two months during the Fall of 2014, tested the new KITs developed for (1) preschool centers, (2) children's group homes, and (3) residential care facilities for the elderly (RCFEs).² We pilot tested 15 KIT 3s pertaining to all of the remaining facility types in the late Summer/Fall of 2015.³

After each phase of piloting, we cleaned, merged, and matched the electronically submitted KIT 3 data with CCLD's FAS inspection data, forming the complete study period data set. Ultimately, we used four sources of data for analysis:

- Four years of FAS inspection data (2008 to 2011)
- FAS inspection data from Fall 2013, 2014, and 2015
- The merged KIT 3 and FAS inspection data from the Phase One pilot period in Fall 2014
- The merged KIT 3 and FAS inspection data from the Phase Two pilot period in Fall 2015

² We created two KITs for Residential Care Facilities for the Elderly, according to their size (1-6 beds vs. 7 or more beds)

³ Child Care Program facility types: Infant Centers, School Age Centers, Day Care Centers for the Mildly Ill; Children's Residential facility types: Adoption Agencies, Foster Family Agencies, Small Family Homes, Foster Family Homes, Crisis Nurseries, Transitional Housing Placement Programs; Adult/Senior Care facility types: Adult Residential, Adult Day, Social Rehabilitation, Residential Care for those with Special Health Care Needs, and Residential Care for the Chronically Ill.

Major Conclusions from Phase Two Pilot

This section summarizes the results from Phase Two of the pilot test (Fall 2015), which reviewed the performance of KIT 3, relative to KITs 1 and 2, with regard to 15 of the 18 CCL facility types (though, as we will discuss below, nine of them did not include enough inspections or citations from which to draw conclusions). Generally speaking, the findings we report here are very much in keeping with those from the Phase 1 pilot. For a detailed review of the performance of the facility types piloted in Phase 1 (Fall 2014: preschool centers, children’s group homes, and residential care facilities for the elderly), see our earlier report: “KIT 3 Phase One Pilot Test of Four KITs”, submitted to CCLD August 2015.

Across all facility types, we can draw a few general conclusions about the reliability and utility of the new KIT 3s:

- By design, KIT 3 accurately captures specific regulation and statute code sections, since LPAs do not hand-type entries on the forms themselves. In itself, this change significantly enhances inspection reliability.
- The electronic submission process, using Adobe LiveCycle, enhances the reliability of data submission.
- Based on email correspondence and other communication with LPAs and regional managers, LPAs tended to find the new KIT 3 forms, recording process (on tablets) and submission process to be user friendly, which is also reflected in the generally high percentage of forms that LPAs correctly completed and submitted during the data collection.
- In terms of the six criteria listed above that we used to evaluate KIT 3 relative to KITs 1 and 2, KIT 3 frequently outperforms KITS 1 and 2, and performs equally well in other instances.
- The specific criterion on which KIT 3 outperformed the earlier KITs most consistently was with respect to tool efficiency: the percentage of KIT items that LPAs cited at least once during the comparable study periods was regularly higher—often much higher—for KIT 3 than for the earlier KITs.
- In no facility type did KIT 3 lead to a higher frequency of total violations (KIT and non-KIT) than KITs 1 and 2.⁴ This may indicate all KIT versions perform similarly in identifying poorly performing facilities.
- Overall, for no individual facility type did KIT 3 perform *worse* than the earlier KITs.

The remainder of this section summarizes the findings with respect to each Phase Two facility type, in turn:

Family Child Care Homes: KIT 3 added five new regulatory violations to the tool. Performance-wise, KIT 3 outperformed KITs 1 and 2 with respect to the average number of KIT violations cited, the percentage of KIT inspections triggering a comprehensive inspection, and the number of individual KIT items cited at least once during the comparison time periods. With the five additional items, KIT 3 proves to be a statistically sound instrument to aid in the efficiency of the KIT inspection process in family day care homes.

⁴ There are exceptions to this statement. Statistical testing was not possible in several facility types due to limited numbers of KIT inspections: One facility type in the child care program, five in children’s residential, and three in adult/senior care. Details are provided in the relevant chapters.

Infant Centers: KIT 3 added 14 new regulatory violations to the tool, four of which were never cited and might be considered candidates for removal going forward. In terms of their relative performance, KIT 3 outperformed KITS 1 and 2 in terms of the number of KIT violations cited and the percentage of inspections that triggered comprehensive inspections (barely). Furthermore, KIT 3 appears to be a much more efficient tool: the percentage of KIT 3 items that LPAs cited at least once was roughly 30-40% greater than on KITS 1 and 2. However, while KIT 3 appeared to generally outperform KITS 1 and 2 on the other criteria as well, the differences tended to be small and not statistically significant. Finally, LPAs cited identical KIT items at very different rates across the three KITS—an unusual result that we find difficult to interpret. In general, then, while the Infant Center results generally favor KIT 3, we cannot say this with as much confidence as we did with respect to Family Child Care Homes.

School Age Child Care Facilities: KIT 3 added eight new regulatory violations to the KIT, three of which were never cited and could be candidates for removal going forward. In terms of its relative performance on the criteria we have identified, KIT 3 does not tend to differ significantly from KITS 1 and 2. Thus, while we cannot say with any confidence that KIT 3 outperformed KITS 1 and 2, we can say that KIT 3 performed at least as well—indicating that KIT 3 is a viable alternative.

Foster Family Homes: KIT 3 included four new regulatory violations to the tool, three of which were cited at least once. Across most of the evaluation criteria we have measured, KIT 3 did not differ statistically from KITS 1 and 2. However, if nothing else, KIT 3 appears to be a much more efficient tool: the percentage of KIT 3 items that LPAs cited at least once during the pilot period was more than 40 percentage points higher than for KITS 1 or 2 during comparable periods.

Adult Residential Facilities (General): KIT 3 added eleven new regulatory violations to the tool. Performance-wise, while KIT 3 performs similarly to KITS 1 and 2 on some evaluative criteria, it outperforms KITS 1 and 2 in several others—most notably the average number of violations cited, the average number of comprehensive triggering citations, and the percentage of KIT items that LPAs cited at least once during the comparable study periods. This facility type presents one of the clearest indications of KIT 3 superiority, relative to the earlier KITS.

Adult Day Care Facilities: KIT 3 added 14 new regulatory violations to the tool. In terms of performance, KIT 3 radically outperformed the earlier KITS in terms of the number of violations that it identified during the comparable study periods—catching almost twice as many. Moreover, KIT 3 was more likely to trigger a comprehensive inspection than were KITS 1 or 2, and as has been a consistent theme across facility types, the percentage of KIT 3 items that LPAs cited at least once during the study period was greater than the percentage for KITS 1 or 2 during comparable periods (though the difference is not as great for this facility type as it was for some of the others). On the other hand, LPAs cited identical KIT items at quite different rates across the comparison periods—more in some cases during KIT 3, and less in others. Thus, while KIT 3 does not appear to outperform the earlier KITS across the board, it fares quite well overall.

Although the KIT 3 forms appear to have performed well with regard to the facility types listed below, the pilot period did not produce enough data, in terms of inspections or citations, to perform large scale statistical analysis: Mildly Ill Child Care Facilities, Adoption Agencies, Foster Family Agencies, Small Family Homes, Crisis Nurseries, Transitional Housing Placement Programs, Social Rehabilitation facilities, and Residential Care for those with Special Health Care Needs and the Chronically Ill.

Recommendations

1. KIT 3 should be implemented as an inspection tool, but least one alternative version of each KIT be produced to maintain the fidelity of the inspection process.

2. The new KIT 3 Adobe LiveCycle form be continued for KIT inspections. The KIT 3 format will be helpful in the future design of a new FAS-type database to collect CCLD inspection data. Furthermore, in the interim, it can be used with database programs such as Access, Excel, or SPSS to collect and analyze inspection data for decision-making and policy analysis purposes.
3. A comprehensive training program should be developed (much as was done with the original implementation of the KITs), to ensure all LPAs are familiar with the form and comfortable in its use. Such training will help the KIT 3's ability to standardize the KIT inspection process.
4. CCLD should conduct or sponsor additional research to determine why some regulations are very infrequently / never cited (excluding zero tolerance items) in inspections. Inspection items falling into this category would appear to have limited utility, and might be removed or combined into a more general category within that facility type. Results from the ISR KIT 3 development analysis also could be used for training purposes to focus LPAs' attention in this area.
5. Zero tolerance and other regulations that must be checked at every inspection should not be included in future analysis of empirically identified KIT items. The mandated KIT items could be placed in a separate section on the KIT in future modifications.

Organization of the Remainder of the Report

The remainder of this report consists of four sections. Section 1 provides an introduction to the project (Chapter 1) and discusses the pilot study's research questions in greater detail, and discusses the data and measures used to analyze those research questions (Chapter 2). Section 2 describes the Phase Two pilot test results as they pertain to the Child Care program area facilities (with the exception of Preschools, which ISR piloted in Phase 1). Section 3 does the same with regard to the Children's Residential program area facilities (with the exception of Group Homes, which was piloted in Phase 1), and Section 4 considers the Adult and Senior Care program area facilities (with the exception of Residential Care Facilities for the Elderly, also piloted in Phase 1). The Phase 1 Pilot Results [Preschools, Group Homes, and Residential Care Facilities for the Elderly can be reviewed in "KIT 3 Phase One Pilot Test of Four KITs", submitted to CCLD August 2015). For those interested in results as they pertain to only a subset of program areas or facility types, we have structured this report so that each specific facility chapter may be read independently.

SECTION 1: BACKGROUND AND METHODOLOGY

This section provides a general overview of the project in Chapter 1, and details the specific research questions, data, and measurement strategy in Chapter 2.

Chapter 1: Introduction

California has more than 75,000 licensed community care facilities with the capacity to serve roughly 1.4 million children, disabled adults, and elderly persons needing care and supervision. The Community Care Licensing Division (CCLD) of the California Department of Social Services (CDSS) is the agency designated by California’s Health and Safety Code to protect and promote the health, safety, and quality of life of each person in community care, through the administration of an effective regulatory enforcement system. CCLD has more than 475 Licensing Program Analysts (LPAs) who directly monitor facilities for compliance with health and safety requirements typically through routine facility inspections.

In late 2010, in an effort to increase the number of routine inspections CCLD could perform per year, CCLD developed Key Indicator Tools (KIT) and began using them as a complement to their comprehensive inspection processes. KITs are intended to standardize the inspection protocol between facilities and between inspectors, enhance the efficiency of the inspection process, and appropriately identify when a more comprehensive inspection is warranted.

In 2012, CCLD began a collaborative effort with the Institute for Social Research (ISR) at Sacramento State University to evaluate and improve the Key Indicator Tools. The partnership also included guidance from the National Association of Regulatory Agencies (NARA). In the end, this collaborative effort produced new KIT tools for each of the 18 community care facility types (as contained within the three CCLD program areas).

This report (1) describes the new KITs (hereafter referred to as “KIT 3,” (2) elaborates the methods used to create them, (3) summarizes pilot test procedures, and (4) evaluates the validity, reliability, utility and overall effectiveness of the new KITs, relative to their predecessors.

KIT 3 Development and Modifications (In Brief)

The goal in developing any KIT is to identify specific indicators (in this case, violations) that can efficiently predict whether a facility stands a good chance of being low-performing—either in terms of violation frequency or violation severity—so as to focus initial inspections on identifying such predictive violations (thereby triggering comprehensive inspections). Thus, to create a useful KIT, one must devise a methodology that efficiently identifies specific violations that are not only associated with high numbers of violations within a facility but also with the presence of severe (e.g., zero tolerance) violations.

Using four years of CCL facility inspection data (within program area and facility type), we accomplished this goal by devising a hybrid methodology that incorporated three analytical strategies: (1) logistic regression, (2) ranking, and (3) correlation/clustering by violation domain.⁵

We used logistic regression analysis as our starting point, which robustly identified and ranked specific violations that are associated with a facility violating a high number of codes. This produced an initial list of “key indicator” violations. However, this logistic regression approach did not differentiate violations in terms of severity.

Therefore, we augmented the list of key indicators by distinguishing between routine inspections and complaint-driven inspections—which typically involve more severe violations. We added key indicators that ranked highly in their predictive capacity during complaint investigations, even if they had not ranked highly during the routine inspection analysis.

⁵ As noted in prior reports, several data-system challenges complicated the creation of a useful methodology – rendering impossible the simple replication of approaches previously used in other states.

Finally, to refine the list even further, we deepened our focus on complaint investigations—adding additional violations to the key indicator list that tended to correlate with given clusters of violations during routine inspections.

This process resulted in significant changes to KIT 3, relative to KITs 1 and 2, in terms of the specific regulatory violations (i.e. “key indicators”) that are listed on each form. For a comprehensive list of changes as they relate to such indicators, per facility type, see the earlier report: “KIT Task 7 Phase Two KITs”, submitted to CCLD June 2015.

We also modified the way that LPAs use and submit KIT data. When LPAs used KIT 1 or 2 during a facility inspection, they did not indicate anywhere—either on the form, in the facility file, or in FAS—that they had examined each and every KIT item. In other words, LPAs used KITs 1 or 2 as guides during inspections, but not as record-keeping tools. As a result, without such records, researchers could not draw valid conclusions about a facility’s compliance with each KIT item. We designed the new KIT 3s to address this problem; when LPAs use the form during inspections, they cannot submit the form before recording whether the facility is in compliance with each regulation listed on the form. This practice eliminates missing/partial responses, thereby greatly enhancing the soundness of the data collected. Finally, we added additional questions to the bottom of each KIT 3 form, which we included to test various aspects of the KIT 3’s validity and efficacy.⁶

In summary, the major differences between CCLD’s KITs 1 and 2 and ISR’s KIT 3 lie in how ISR selected items for inclusion, the requirement that each item be examined, and KIT 3’s additional validity questions. For more detailed information, see *Key Indicator Tool Development Project: Phase I and II: Final Report*. Please see the 15 new KIT 3 forms in the Appendix.

Evaluating the New KITs: Objectives and Specific Research Questions

Broadly speaking, ISR’s analyses of KIT 3 pilot data sought to evaluate KIT 3s—relative to KITs 1 and 2—on four criteria: validity, reliability, utility, and overall effectiveness. More specifically, we examined the extent to which KIT 3 differs from the earlier KITs with regard to the following indicators:

- The overall number and rate of regulatory violations cited
- The number of zero tolerance violations cited
- The number of comprehensive visits that it triggers
- The range of different violations cited
- The utility of KIT 3’s empirically identified regulatory items on KIT 3

Chapter Two provides the rationale underlying each of these evaluator indicators/research questions, and details the data, measures, and analytical methods used to address them.

KIT 3 Pilot Testing Procedures

Pilot data collection took place in two phases. In the first phase, which took place from July 27 to Oct 30 2014, CCLD and ISR jointly selected three facility types to complete pilot testing: Preschool Child Care Centers (CCC), Children’s Group Homes (GH), and Residential Care Facilities for the Elderly (RCFE). In the latter case, we designed and tested two KIT 3s: one for smaller RCFE facilities (one-to-six bed capacity) and another for larger RCFE facilities (seven or more bed capacity).

⁶For example: one question asked if a comprehensive inspection was triggered during the KIT visit, and if so, did KIT items trigger the comprehensive inspection.

During the second phase, the remaining 15 facility types completed pilot testing from July 27 to Oct 30, 2015

In order to ensure the new KIT 3s were error-free and ready for distribution, Regional Office managers selected one or two LPAs from their staff to pre-test them before implementing the division-wide data collection. Once ISR reviewed the results of this pre-test and completed minor adjustments to the form, CCLD's regional managers trained the general LPA workforce on how to use the improved KIT 3.

Prior to starting official data collection, we allotted time for all LPAs to become comfortable using the new KIT 3. To that end, we asked all newly trained LPAs to submit one or two practice KIT 3s, electronically, to ensure that they could fill out and submit the forms properly and that we were able to receive their submissions successfully.

Data Collection

To facilitate the collection of the KIT 3 test data, we developed a protocol to guide participating LPAs through the electronic submission process and to provide: (1) ongoing error checking during the test data collection period, (2) feedback to LPAs so as to reduce submission errors, and (3) a standardized process for handling incoming data, thereby maintaining quality and consistency in data prepared for analysis. Within each program area, we initiated facility-specific KIT 3 inspection data collections in a staggered fashion.

We instructed LPAs to use KIT 3 during all annual random, annual required, and five-year inspections ONLY IF the inspection was KIT-eligible.⁷ We further instructed LPAs to submit each KIT 3 form to ISR for every KIT inspection they performed during the data collection period. Preliminary record review (via FAS downloads) during Phase One of the pilot (the first four KITs listed above) revealed that not all LPAs were compliant with the data collection period directions; some LPAs continued to use KITs 1 or 2, and some LPAs used KIT 3s during inspections but neglected to submit the KIT 3 to ISR. We asked that CCLD instruct all LPAs to only perform KIT 3 inspections when warranted, and to always submit the KIT 3 to ISR during the data collection period.

Every time an LPA completed a KIT 3, the LPA transmitted it to the ISR as an email attachment. Each day during data collection, an ISR team member monitored and responded to LPA emails containing questions or raising problems—seeking help from CCLD program administrators/staff as necessary. Throughout this period, KIT 3 submissions were examined closely for possible misinterpretation of items by LPAs, mistakes in filling out the KIT, and/or questions regarding items on the KIT or for problems submitting the KIT through email. During the data collection period a fair amount of time was spent responding to LPAs regarding such matters.

KIT Pilot Test Data Received

As each facility type's data collection period ended, we combined all KIT 3 forms into facility-specific PDF data sets, which were examined for suitability in data analysis. Table 1.1 highlights the number of KIT 3 forms that we received, and the percentage that we deemed acceptable for analysis.

⁷ Some facilities only receive comprehensive inspections due to prior compliance issues or source of funding, and therefore were not eligible for a KIT inspection at all.

Table 1.1: Electronic KIT 3 Submissions, by Facility Type

	Facility Type	Number of KIT 3s received	Number of KIT 3s after cleaning	Percent of KIT 3s accepted for potential analysis	
Phase One	Preschools	456	418	92%	
	Group Homes	130	118	91%	
	RCFE 1 to 6 Bed	136	128	94%	
	RCFE 7 or more	47	45	96%	
	Total	769	709	92%	
Phase Two	FCCH	1631	1574	97%	
	Infant	163	151	93%	
	School Age	121	115	95%	
	Mildly Ill	3	3	100%	
	FFH	58	57	98%	
	SFH	13	13	100%	
	AA	5	5	100%	
	FFA	5	5	100%	
	THPP	4	4	100%	
	CN	1	1	100%	
	A Res	457	447	98%	
	A Day	29	29	100%	
	ARFSHN	9	7	78%	
	SRF	11	9	82%	
	RCFCI	5	5	100%	
	Total	2515	2425	96%	
	Both Phases	Total	3284	3134	95%

RCFE: Residential care facilities for the elderly; FCCH: Family child care home; FFH: Foster family home; SFH: small family home; AA: Adoption agencies; FFA: Foster family agencies; THPP: Transitional housing placement programs; CN: Crisis nurseries; A Res: Adult residential facilities; A Day: Adult day programs; ARFSHN: Adult residential facilities for those with special health care needs; SRF: Social rehabilitation facilities; RCFCI: Residential care facilities for the chronically ill.

Inspection Data as Recorded in FAS

As noted, CCLD provided ISR with FAS inspection visit data, to provide a subset of data (i.e., inspections using KITs 1 and KIT 2 one year earlier) to compare to the new KIT 3 data. FAS data pulls arrived in .txt format,⁸ which we converted into Excel data. Next, we imported the cleaned Excel FAS data into SPSS,⁹ where we consolidated and matched inspection and violation files.¹⁰ We attempted to merge the appropriate facility-specific FAS SPSS file with the electronically submitted KIT 3 data. If no matching FAS

⁸ .txt format: this is a file format that is easily read by multiple data processing software, but needs to be converted to a more useable format prior to being used by data processing software.

⁹ IBM's Statistical Package for Social Sciences, a program used extensively in social science research for more than 30 years.

¹⁰ LPAs enter inspection data and cited violations data on two different forms in FAS and for ISR's purposes, required matching for a complete data picture of each inspection visit.

entry existed, we excluded the KIT 3 submission from further data analysis. If a KIT 3 inspection was present in FAS but no KIT 3 was submitted to ISR, the FAS KIT 3 data was included in analysis. Table 1.2 shows the adjusted number of KIT 3s considered appropriate for further analysis.¹¹

Table 1.2: Adjusted KIT 3 Sample Sizes, by Facility Type

	Facility Type	Electronic submissions	KITs in FAS but not submitted	Adjusted total KIT inspections	
Phase One	Preschools	456	418	652	
	Group Homes	130	118	168	
	RCFE 1 to 6 Bed	136	128	229	
	RCFE 7 or more	47	45	76	
	Total	769	709	1125	
Phase Two	FCCH	1574	653	2227	
	Infant	151	0	140	
	School Age	115	55	170	
	Mildly Ill	3	0	3	
	FFH	57	8	66	
	SFH	13	33	46	
	AA	5	*	1	
	FFA	5	0	5	
	THPP	4	*	2	
	CN	1	0	1	
	A Res	447	140	587	
	A Day	29	10	39	
	ARFSHN	7	0	2	
	SRF	9	1	10	
	RCFCI	5	*	2	
	Total	2425	900	3301	
	Both Phases	Total	3194	1609	4426

*Some submissions did not match FAS data because FAS indicated a non-triggered comprehensive inspection occurred.

¹¹ During data analysis, it is not uncommon to find additional problems with individual entries. Therefore, valid totals as reported in subsequent chapters may be slightly different than represented in Table 1.2.

Chapter 2: Pilot Study Data, Research Questions, and Measures

To analyze the Phase Two pilot study data for the purpose of evaluating KIT 3, we used two primary data sources. They are both FAS-based, and represent three different time periods:

- FAS data from Fall 2014 (“Previous Period”)
- FAS data combined with KIT 3 electronic submissions from Fall 2015 (“Study Period”)

The first FAS data set’s date range was July 2014 through November 2014. The electronically submitted KIT 3 pilot data was cleaned, merged, and matched with the other 2015 FAS data whenever possible.¹²

Research Questions

A fundamental purpose of designing a new hybrid KIT was to improve the validity and reliability of the existing KITs as an indicator tool for use in facility inspections. The new KIT also had to be practical in terms of being similar enough to past KITs to make its use familiar to LPAs, negating the need for extensive training on a new instrument. The new hybrid KIT also had to meet CCLD’s requirements pertaining to regulatory inspections, such as including zero tolerance (ZT) violations. It was to serve as a better mechanism for data collection on the inspection process, providing administrators with information to improve the fidelity and efficiency of the inspection process. From these requirements, several research questions emerged which the pilot testing of KIT 3 was designed to answer. To guide the analysis, the research team proposed five general research questions. We present the research questions in this chapter as jargon-free to the greatest extent possible. For the interested reader, Appendix J contains the formal null hypotheses and alternative hypotheses for each research question.

Analysis of KIT data can be done with several different measures, and it is important to understand each of them:

- Number of KIT violations (instances of non-compliance with regulations listed on the KIT used during the inspection visit)
- Average number of KIT and non-KIT item citations
- Number of KIT inspection visits
- Number of KIT items (rows) cited found to be out of compliance (regardless of multiple violations of the item during the visit)

Research Question 1: Is there a difference between KITs 1 and 2 and KIT 3 with regard to the number of zero tolerance violations cited?

Rationale: All KITs contain zero tolerance regulations.¹³ Because CCLD defines review of ZT regulations as mandatory, KIT 3 included the same ZT items as found on KITs 1 and 2. There is no reason to expect LPAs citing ZT violations more (or less) often when they use KIT 3 than when they used KITs 1 or 2 during

¹² Each KIT visit in FAS was included in the analysis if it occurred during the previous periods. Only KIT 3 visits were included in the study period analysis. If the visit took place over more than one calendar date, the violations were combined and registered with the initial visit date. Some visits had more than one stated purpose (e.g., annual inspection and case management work done during the same visit). If we could not clearly identify which violations were relevant only to the inspection, we excluded the visit’s results from analysis.

¹³ A zero-tolerance regulation is one so serious that if violated, would typically be considered grounds for civil penalties and possible facility closure.

inspections in the Fall 2014 Period. By extension, this would mean that differences between KITS 1 and 2 and KIT 3 on the measures studied would be due to the discretionary items added to KIT 3, or the discretionary items on KITS 1 and 2 that were removed in the construction of KIT 3 (see Research Question #2).

- Measure: Number of ZT KIT violations. This is the total of ZT violations as recorded in FAS.
- Example: A KIT 3 visit recorded two violations of the same ZT item on the KIT. Therefore, it has two ZT violations (but note that only one ZT KIT item was cited).

Research Question 2: Is there a significant difference in the average number of KIT and non-KIT item citations, overall, between KITS 1 and 2 and KIT 3?

Rationale: Because non-ZT items on KIT 3 were maintained, dropped, or added based on empirical assessment of four years of historical data during the KIT 3 development phase (including considering violation frequency, violation ranking, and clustering in problematic areas), there should be an increase in the number of KIT items cited when using KIT 3 during an inspection, compared to using KITS 1 and 2. In addition, compared to KITS 1 and 2, KIT 3 inspections should lead to a higher average number of total violations because KIT 3 is designed to identify poorly performing facilities that would have more violations.

- Measure: Average number of KIT and non-KIT items cited, per inspection.
- Example: Five KIT violations are cited during a KIT 3 visit, but only four KIT items were cited, because the facility had two instances of non-compliance with the same KIT item
- Example: The average number of all violations found during inspections using KITS 1 and 2 is much lower than KIT 3's average number. We can test these findings for statistical significance.

Research Question 3: Does the use of KIT 3 trigger comprehensive inspections more frequently? Is there a significant difference in the percentage of KIT 3 inspections triggering an in-depth comprehensive inspection, compared to KITS 1 and 2?

Rationale: Again, as in Question 2 (above), because we believed that the new KIT 3 would be more successful at identifying facilities that needed a comprehensive inspection, we expected that the percentage of KIT 3 visits triggering comprehensive inspections might be greater than that of KITS 1 and 2.

- Measure: The number of comprehensive inspections triggered during a KIT visit.¹⁴
- Example: During 100 KIT 1 visits, 25 comprehensive inspections were triggered (25%); during 100 KIT 3 visits, 33 comprehensive inspections were triggered (33%). We can test these findings for statistical significance between the KITS.

Research Question 4: Is there a significant difference in the range of different KIT items that LPAs cite or do not cite on the KITS?

Rationale: Again, assuming KIT 3 is a stronger tool in terms of the relevance of its items, it seems logical to assume that more items on the KIT 3 form will be cited, compared to KITS 1 and 2. In other words, are KIT 3's items more useful? Because LPAs occasionally cite multiple violations of one KIT item during an inspection, we count KIT items (rows on the KIT) rather than total KIT violations to assess the KITS. And, we

¹⁴ If a visit was marked as a KIT-triggered comprehensive inspection, but the LPA did not cite any KIT items, we excluded that visit from analysis.

focus on KIT items rather than number of KIT violations because this study is intended to examine the utility of the KIT items themselves.

- Measure: a count of KIT items (rows) cited during at least one KIT inspection.
- Example: KIT 1 has 20 separate items listed, and LPAs cited 15 of those items at least once during the previous period: 75 percent of KIT 1 items have ever been cited. KIT 3 has 24 separate items, and 20 of them were cited at least once during the study period: therefore 83 percent of KIT 3's items were cited at least once, a higher percent than the items on KIT 1.

The remaining chapters of this report summarize the Phase Two pilot test results for each program area and facility type, one by one. We begin with the Child Care program facility types (Section 2), continue with those in the Children's Residential program (Section 3), and conclude with those in the Adult and Senior Care program (Section 4).

SECTION 2: CHILD CARE CENTERS

In this section of the report, we discuss the pilot test results as they pertain to facility types within the Child Care Center program area: Family Child Care Homes (Chapter 3), Infant Centers (Chapter 4), and School Age Child Care Facilities (Chapter 5). We do not discuss Child Care Facilities for the Mildly Ill in detail, because there are only six such facilities in the state. CCLD LPAs conducted five total inspection visits in Mildly Ill centers across the two comparison periods (one KIT 1 and one KIT 2 inspections occurred during the prior period, and 3 KIT 3 inspections during the study period); no KIT violations were cited during any of those visits.

Chapter 3: Family Child Care Homes

In this chapter, we describe the KIT 3 pilot test results as applied to Family Child Care Homes (FCCH). We compare KIT 3 pilot test results to those of KITs 1 and 2 from the same time period in the prior year, observing the tools' relative tendency to identify code violations and trigger comprehensive inspections. Specifically, we examine:

- The relative frequency with which each tool identified at least one KIT item violation during an inspection and the total number of KIT and non-KIT violations during a KIT inspection
- The relative frequency with which each tool identified a *zero tolerance* violation
- The relative frequency with which each tool triggered a comprehensive inspection
- The relative *average number of violations* that each tool identified—both in general and after distinguishing between KITs which trigger comprehensive inspections and KITs that did not trigger comprehensive inspections
- The relative *percentage of individual KIT items (rows)* on the KITs cited at least once during the study periods
- The relative frequency with which the tools identified *specific* violations, both in raw numbers and as a percentage of the total number of KIT citations, for just items present on KITs during the two comparison periods

Frequency: At Least One Violation

First, we observe the relative frequency with which each tool identified at least one violation during a KIT inspection. As Table 3.1 shows below, KIT 3 was 5-6% more likely to identify at least one violation, a statistically significant finding.

Table 3.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (FCCH)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
KIT Inspections	N	Percent	N	Percent	N	Percent		
No KIT violations cited	1,003	71%	1,297	70%	1,449	65%	3,707	68%
At least one KIT violation cited	413	29%	546	30%	778	35%	1,779	32%
Total	1,416		1,843		2,227		5,486	

Frequency: Zero Tolerance Violations

What about zero tolerance violations? We see that none of the KITs identified zero tolerance violations very often, and that KIT 3 performs very similarly to KITs 1 and 2 in this respect.

- KIT 1 Zero Tolerance violations: 22 of 597 KIT violations (4%)
- KIT 2 Zero Tolerance violations: 11 of 885 KIT violations (2%)
- KIT 3 Zero Tolerance violations: 33 of 1421 KIT violations (3%)

Frequency: Comprehensive Inspection Trigger

How did KIT 3 compare to KITs 1 and 2 in terms of triggering comprehensive inspections? As Table 3.2 highlights, KIT 3 tended to trigger a comprehensive inspection more than twice as frequently as had KITs 1 and 2, a statistically significant finding. These results indicate a KIT 3 inspection triggers a comprehensive inspection roughly one out of seven inspections, whereas KITs 1 and 2 triggered a comprehensive inspection one out of 20 inspections.

Table 3.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (FCCH)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
	N	Percent	N	Percent	N	Percent		
Triggered a comprehensive inspection	84	6%	52	3%	107	14%	243	7.6%
Didn't trigger a comp inspection	1,332	94%	1,791	97%	671	86%	3,794	92.3%
Total	1,416		1,843		778		4,037	

Average Number of KIT Violations

Having looked at the relative frequency with which the KITs identified at least one violation and how often comprehensive inspections are triggered, we now turn our attention to comparing the KITs with respect to the overall number of violations that each tool identified. As we can see in Table 3.3 below, on average, KIT 3 identified more violations than the other KITs, both including and not including the zero tolerance regulations—differences that are statistically significantly different. Finally, the higher average number of all types of violations cited during a KIT 3 inspection (KIT and non-KIT violations), is not statistically significant. KIT 3 inspections were no more likely to identify poorly performing facilities more often than KITs 1 and 2. This finding may indicate that each KIT version is performing similarly in this aspect.

Table 3.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (FCCH)

	Previous Period		Study Period	
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	<i>p</i>
Average KIT violations per visit (Number of inspections)	1.46 (416)	1.62 (546)	1.91 (778)	.000
Average KIT violations per visit, excluding ZT items (Number of inspections)	1.42 (406)	1.59 (545)	1.87 (769)	.000
Average violations per KIT visit, all possible regulations (Number of inspections)	2.46 (559)	2.41 (741)	2.56(987)	.262

Triggered Comprehensive Inspections

As Table 3.4 highlights below, the average number of KIT violations cited during a KIT inspection that triggered a comprehensive is significantly higher for KIT 3 visits (2.71 KIT violations), compared to an average number for KITs 1 and 2 (2.36 KIT violations), a statistically significant finding. The difference between KIT 3 and KITs 1 and 2 in the average number of KIT violations for those inspections which did not trigger a comprehensive inspection is also significantly different (1.78 for KIT 3 versus an average 1.41 for the other KITs).

Table 3.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (FCCH)

	Previous Period		Study Period	p
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	
Average KIT violations when a comprehensive was triggered (Number of inspections)	2.00 (76)	2.71 (45)	2.71 (107)	.001
Average KIT violations for inspections that did not trigger a comprehensive (Number of inspections)	1.33 (337)	1.52 (501)	1.78 (671)	.000

NOTE: Some comprehensive inspections were triggered by two Type A violations of non-KIT items, and are excluded from the above findings.

Percentage of KIT Indicators Cited At Least Once

One of the best ways to evaluate the relative usefulness of the KITs is to analyze the utility of each item on the KITs. Specifically, what percentage of the indicators included on each KIT did LPAs cite at least once during the comparison and study periods? If the percentage is large, that suggests a more practical and efficient tool, in that LPAs spend less time reviewing regulations rarely, if ever, cited. In other words, KIT items should be relevant as well as useful. As Table 3.5 below reveals, KIT 3 outperformed KITs 1 and 2 by a substantial margin in this respect; ninety-one percent of KIT 3 items were cited at least once, compared to 78% of KIT 1 items and 79% of KIT 2 items.

Table 3.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (FCCH)

	Previous Period		Study Period
	KIT 1	KIT 2	KIT 3
Number of KIT items cited	14	15	20
Total KIT items present*	18	19	21
Percent KIT items cited	78%	79%	95%

*These counts were not generated within the KIT data; they are simply counts using Table 3.6 below. No statistical testing was possible. Some regulations were combined on the KITs but are counted as individual items in this table.

Frequency: Specific Violations

Finally, it is useful to compare how frequently the KITs identified and cited specific violations. Table 3.6 makes these comparisons, distinguishing items that appear on all three KITs from those that appear on two of the KITs and those that appear on only one KIT. The table also distinguishes zero tolerance items from non-zero tolerance items.

Table 3.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (FCCH)

	KIT item	Number of violations			Percent of violations		
		KIT 1	KIT 2	KIT 3	KIT 1	KIT 2	KIT 3
On all three KITs	ZT 102417(g)(5)(A-B)	5	0	8	1%	-	1%
	ZT 102417(g)(4)(A)-(C)	11	10	25	2%	1%	2%
	ZT 102417(a)	6	5	9	1%	1%	1%
	ZT 102391(a)	0	0	1	-	-	0.1%
	102417(g)(4)	154	148	207	26%	17%	15%
	102417(g)(1)	92	164	13	15%	19%	1%
	102417(b)	13	18	22	2%	2%	2%
	102417(g)(3)	24	12	21	4%	1%	1%
	102416.5(a)	23	27	42	4%	3%	3%
	102370(d)(1)	35	52	51	6%	6%	4%
	102416(c)	157	211	235	26%	24%	17%
On two KITs	ZT 102370.1(a)	1	0		0.2%	-	
	ZT 102417(k)(1)	0	0		-	-	
	102421(b)	51	38		9%	4%	
	102417(c)	3	1		0.5%	0.1%	
	102417(g)(6)	0	1		-	0.1%	
	102416.5(c)		3	6		0.3%	0.4%
	102417(d)		29	38		3%	3%
	102417(g)(8)		166	188		19%	13%
On one KIT	ZT 102417(r)(1)	0			-		
	ZT 102417(k)(2)			1			0.1%
	ZT H&S 1597.58(c)(2)			0			-
	102417(g)(9)(A)(1)	22			4%		
	102423(a)(2)			35			2%
	102418(g)/(g)(1)			164			12%
	102419(d)			88			6%
	102418(g)(1)			74			5%
	H&S 1597.543			193			14%
	Total KIT violations	597	885	1,421	100%	100%	100%

With regard to the zero tolerance items, we see that item while ZT 102417(g)(4)(A)-(C)¹⁵ appears far more likely to be cited than any other ZT item across the board, as a percentage of KIT violations, all three KITs cited that ZT item just 1 to 2% of the time.

As for non-zero tolerance items that appear on all three of the KITs, it is worth noting that no item was cited more frequently on KIT 3 than on the other KITs (as a percentage of cited violations), and several were cited much less frequently on KIT 3. The individual items that stand out in this regard are:

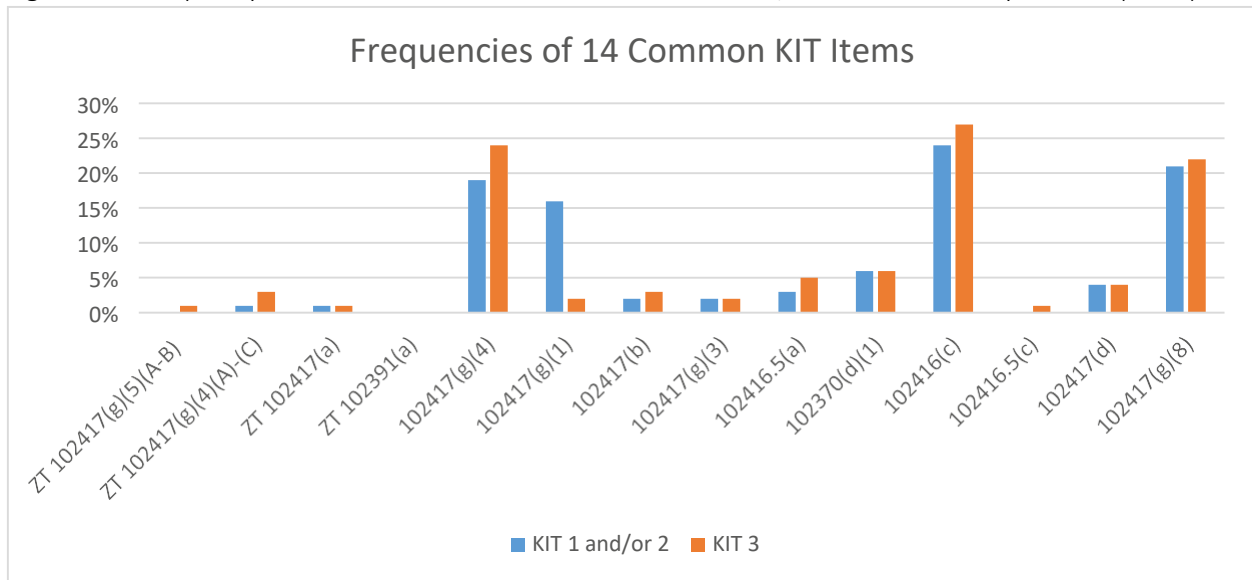
¹⁵ ZT 102417(g)(4)(A)-(C) – The licensee shall be present in the home and shall ensure that children in care are supervised at all times, the home shall be kept clean and orderly, with heating and ventilation for safety and comfort, and the home shall maintain telephone service.

- 102417(g)(1)¹⁶ (KIT 1 - 15%; KIT 2 - 19%; and KIT 3 - 1%)
- 102416(c)¹⁷ (KIT 1 - 26%; KIT 2 - 24%; and KIT 3 - 17%)

Two of the three KIT items present on just KIT 2 and KIT 3 were cited at similar rates, and the third common item was cited much more frequently on KIT 2 than KIT 3: 102417(g)(8)¹⁸ (19% by KIT 2 vs. 13% by KIT 3). KIT 3 items included five that were not on KITs 1 or 2. As a percentage of all KIT 3 violations, these five new items comprised fully 39% of those violations.

Figure 3.1 displays the relative frequencies of 14 common KIT items with the exception of 102417(g)(1); the general distribution pattern appears remarkably similar.¹⁹ This indicates the KITs are being used similarly during the KIT inspections, and KIT 3’s electronic format did not unduly influence how LPAs performed their KIT inspections during the study period.

Figure 3.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (FCCH)



NOTE: These percentages are based on only the 14 items common to KIT 3 and KITs 1 and/or 2; percentages differ from those in Table 3.6 because these are based on 14 KIT items, not all possible KIT items. Please see Appendix Table 3.1 for supporting documentation.

In sum, while KIT 3 performs similarly to KITs 1 and 2 in some areas for KIT inspections occurring in family child care homes, it is statistically significantly different from the other two KITs in a few ways, namely the average number of KIT violations on KIT 3 and the percentage of KIT inspections triggering a comprehensive inspections. Additionally, the percent of individual KIT 3 items cited at least once during the comparison

¹⁶ 102417(g)(1) – The home shall be free from defects or conditions which might endanger a child. Fireplaces and open-face heaters shall be screened to prevent access by children. The home shall contain a fire extinguisher and smoke detector device which meet standards established by the State Fire Marshal.

¹⁷ 102416(c) – The licensee and other personnel as specified shall complete training on preventative health practices, including pediatric cardiopulmonary resuscitation and pediatric first aid, pursuant to Health and Safety Code Section 1596.866.

¹⁸ 102417(g)(8) – The home shall be free from defects or conditions which might endanger a child. Each family child care home shall have a current roster of children as specified in Health and Safety Code Section 1596.841.

¹⁹ If an item was present on both KIT 1 and 2, the number of violations was averaged for the purposes of this figure

time periods was notably higher. With the five additional items, KIT 3 proves to be a statistically sound instrument to aid in the efficiency of the KIT inspection process in family day care homes.

In the next chapter, we review findings from the pilot test of the new KIT 3 used in Infant Child Care Centers.

Chapter 4: Infant Child Care Facilities

In this chapter, we describe the KIT 3 pilot test results as applied to Infant child care facilities (Infant). We compare KIT 3 pilot test results to those of KITs 1 and 2 from the same time period in the prior year, observing the tools' relative tendency to identify code violations and trigger comprehensive inspections.²⁰ Specifically, we examine:

- The relative frequency with which each tool identified at least one KIT item violation during an inspection and the total number of KIT and non-KIT violations during a KIT inspection
- The relative frequency with which each tool identified a *zero tolerance* violation
- The relative frequency with which each tool triggered a comprehensive inspection
- The relative *average number of violations* that each tool identified—both in general and after distinguishing between KITs which trigger comprehensive inspections and KITs that did not trigger comprehensive inspections
- The relative *percentage of individual KIT items (rows)* on the KITs cited at least once during the study periods
- The relative frequency with which the tools identified *specific* violations, both in raw numbers and as a percentage of the total number of KIT citations, for just items present on KITs during the two comparison periods

Frequency: At Least One Violation

First, we observe the relative frequency with which each tool identified at least one violation during a KIT inspection. As Table 4.1 shows below, KIT 3 was 17% more likely to identify at least one violation: 29% of KIT 3 inspections had at least one KIT violation, compared to 12-19% of KIT 1 or KIT 2 inspections.

Table 4.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (Infant)

	Previous Period				Study Period			
	KITs 1		KIT 2		KIT 3		Total	Average
KIT Inspections	N	Percent	N	Percent	N	Percent		
No KIT violations cited	104	88%	117	81%	170	71%	391	97%
At least one KIT violation cited	14	12%	28	19%	70	29%	112	3%
Total	118		145		140		403	

Frequency: Zero Tolerance Violations

As for zero tolerance violations, KIT 3 did not tend to cite such violations with the same regularity as had KITs 1 or 2. Specifically:

²⁰ Previous period dates: July 27 to Oct 30 2014; Study period dates: July 27 to Oct 30 2015

- KIT 1 Zero Tolerance violations: 4 of 18 KIT violations (22%)
- KIT 2 Zero Tolerance violations: 4 of 45 KIT violations (9%)
- KIT 3 Zero Tolerance violations: 4 of 126 KIT violations (3%)

Frequency: Comprehensive Inspection Trigger

How did KIT 3 compare to KITs 1 and 2 in terms of triggering comprehensive inspections? As Table 4.2 highlights, KIT 3 tended to trigger a comprehensive inspection slightly less frequently (3% vs. an average 5% with KITs 1 and 2).

Table 4.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (Infant)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
	N	Percent	N	Percent	N	Percent		
Triggered a comprehensive inspection	6	5%	4	3%	7	2.9%	17	3.6%
Didn't trigger a comp. inspection	112	95%	141	97%	233	97%	486	96.3%
Total	118		145		240		503	

Average Number of KIT Violations

Having looked at the relative frequency with which the KITs identified at least one violation, and how often they triggered comprehensive inspections, we now turn our attention to comparing the overall average number of violations that each KIT identified. As we can see in Table 4.3 below, the KITs performed fairly similarly, in that each type of comparison (average KIT violations, average KIT violations excluding zero tolerance items, and average number of all types of violations) reveals a steady increase in the number of violations, from KIT 1 to KIT 2 to KIT 3. In all cases, though, the increases were small and not significantly different. KIT 3 inspections were no more likely to identify poorly performing facilities more often than KITs 1 and 2. This finding may indicate that each KIT version is performing similarly in this aspect.

Table 4.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (Infant)

	Previous Period		Study Period	
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	<i>p</i>
Average KIT violations per visit (Number of inspections)	1.29(14)	1.61(28)	1.86(70)	.231
Average KIT violations per visit, excluding ZT items (Number of inspections)	1.17(12)	1.65(26)	1.83(69)	.231
Average violations per KIT visit, all possible regulations (Number of inspections)	2.13(39)	2.32(57)	2.38(101)	.761

Triggered Comprehensive Inspections

Similarly, as Table 4.4 highlights below, when a comprehensive inspection was triggered, the same pattern emerges: the average number of KIT violations increased from KIT 1 to KIT 2 to KIT 3, but the averages were not statistically different from each other. Note that this lack of statistical significance may be due to the

small number of cases, or may be due to chance. Keep in mind that a comprehensive inspection can be triggered by just one Type A violation of a KIT *or* a non-KIT item; if that situation occurs frequently, the average number of violations during such KIT inspections would not necessarily increase a great deal.

Table 4.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (Infant)

	Previous Period		Study Period	
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	<i>p</i>
Average KIT violations when a comprehensive was triggered (Number of inspections)	1.5(4)	3(2)	3.43 (7)	.295
Average KIT violations for inspections that did not trigger a comprehensive (Number of inspections)	1.2(10)	1.5(26)	1.68 (63)	.340

Percentage of KIT Indicators Cited At Least Once

One of the best ways to evaluate the relative usefulness of the KITs is to analyze the utility of each item on the tools. Specifically, what percentage of the indicators included on each tool did LPAs cite at least once? If the percentage is large, that suggests a more efficient tool, in that LPAs spend less time reviewing regulations rarely, if ever, cited. In other words, KIT items should be relevant as well as useful.

As Table 4.5 below reveals, the KIT 3 out-performed the older KITs by a substantial margin in this respect; seventy-three of KIT 3 items were cited at least once, compared to 29% of KIT 1 items and 42% of KIT 2 items.

Table 4.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (Infant)

	Previous Period		Study Period
	KIT 1	KIT 2	KIT 3
Number of KIT items cited	12	18	30
Total KIT items present*	42	43	41
Percent KIT items cited	29%	42%	73%

*These counts were not generated within the KIT data; they are simply counts using Table 4.6 below. No statistical testing was possible. Some regulations were combined on the KITs but are counted as individual items in this table.

Frequency: Specific Violations

It is useful to compare how frequently each KIT identified a violation, and which KIT items were cited. Table 4.6 makes these comparisons, presenting the KIT items in such a way that the reader can tell if a given KIT item was on one, two, or all three KITs, and how frequently the item was cited on each of those KITs. The table also distinguishes zero tolerance items from non-zero tolerance items.

As a percentage of violations, LPAs cited zero tolerance items less frequently with KIT 3: just three percent of KIT 3 violations were of the one KIT 3 zero tolerance item: 101429(a)(1).²¹ This particular item was cited

²¹ 101429(a)(1) – In addition to Section 101229, each infant shall be constantly supervised and under direct visual observation and supervision by a staff person at all times. Under no circumstances shall ANY infant be left unattended.

on all three KITs, and was a full 22% of all of KIT 1’s violations. Seven percent of KIT 2’s violations were of the only other zero tolerance item cited during either period: 101229(a)(1).²²

As for non-zero tolerance items that appear on all three of the KITs, it is worth noting that on nearly all items KIT 3 cited the item less frequently than KITs 1 and 2 had. In general, as a percentage of all KIT citations, KIT 3 tended to cite items at roughly the same or lower frequently:

- 101239(n)²³ (9% on KIT 2 vs 2% on KIT 3 (no violations noted on KIT 1))
- 101239(f)(1)²⁴ (6% on KIT 1 vs 2% on KIT 2 and KIT 3)
- 101416.2²⁵ (6% on KIT 1, 9%, on KIT 2, and 2% on KIT 3)

With respect to the items that only appear on two of the three KITs, few items were cited during those inspections. Regarding KIT 3 specifically, only one of the four common items with KIT 1 was cited, and as a percentage of violations on those KITs, KIT 1 was cited 11% and KIT 3 9% (101221(b)(8)).²⁶

KIT 3 included 14 new items, although one health and safety statute did not exist when KITs 1 and 2 were developed: H&S 1596.954,²⁷ requiring carbon monoxide monitors in all facilities. Fully 53% of violations cited during KIT 3 inspections were cited at least once. Four of the new KIT 3 items were never cited; CCL might consider removing them from KIT 3.

Table 4.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (Infant)

	KIT item	Number of violations			Percent of violations		
		KIT 1	KIT 2	KIT 3	KIT 1	KIT 2	KIT 3
On all three KITs	ZT 101238(e)	0	0	0	-	-	-
	ZT 101238(g)(2)	0	0	0	-	-	-
	ZT 101200(a)	0	0	0	-	-	-
	ZT 101229(a)(1)	0	3	0	-	7%	-
	ZT 101429(a)(1)	4	1	4	22%	2%	3%
	ZT 101161(a)	0	0	0	-	-	-
	101238(g)	1	2	6	6%	4%	5%
	101239(n)	0	4	2	-	9%	2%
	101238.2(d)(2)	0	2	2	-	4%	2%
	101239(f)(1)	1	1	2	6%	2%	2%

²² 101229(a)(1) – No child(ren) shall be left without the supervision of a teacher at any time, except as specified in Sections 101216.2(e)(1) and 101230(c)

²³ 101239(n) – Furniture and equipment shall be maintained in good condition, free of sharp, loose, or pointed parts.

²⁴ 101239(f)(1) – Solid waste shall be stored, located and disposed of in a manner that will not transmit communicable diseases or odors, create a nuisance, or provide a breeding place or food source for insects or rodents. All containers used for storage of solid wastes, including moveable bins, shall have a tightfitting cover that is kept on; shall be in good repair; and shall be leak-proof and rodent-proof

²⁵ 101416.2 – Infant Care Teacher Qualifications and Duties

²⁶ 101221(b)(8) – Each record shall contain information including, but not limited to, the following: medical assessment, including ambulatory status as specified in Section 101220

²⁷ H&S 1596.954 – Facility has one or more functioning carbon monoxide detectors that meet statutory requirements.

	101238.2(e)	0	2	2	-	4%	2%
	101238(a)(1)	0	0	1	-	-	1%
	101170(e)(1)	0	4	1	-	9%	1%
	101216(f)	2	4	3	11%	9%	2%
	101212(b)*	0	0	0	-	-	-
	101227(a)(6)	0	1	3	-	2%	2%
	101439.1	1	0	1	6%	-	1%
	101438.3	0	0	1	-	-	1%
	101416.5	1	3	3	6%	7%	2%
	101427	0	0	2	-	-	2%
	101419.2	0	1	8	-	2%	6%
	101419.3	1	2	3	6%	4%	2%
	101416.2	1	4	3	6%	9%	2%
On two KITs	ZT 101170.1(a)	0		0	-		-
	101238(g)(1)	0	0		-	-	
	101226(e)(1)(A)	0	0		-	-	
	101239(o)	0	0		-	-	
	101239(e)(4)	1	0		6%	-	
	101238.3(b)	0	4		-	9%	
	101227(a)(18)	0	0		-	-	
	101239.2(a)	0	0		-	-	
	101239(q)	0	0		-	-	
	101229.1(a)(1)	2	3		11%	7%	
	101216.3(a)	0	0		-	-	
	101221(b)(5)	0	0		-	-	
	101438.2	0	0		-	-	
	101417	0	0		-	-	
	101161(a)	0		2	-		2%
	101221(b)(8)	2		11	11%		9%
	101439*	0		0	-		-
On one KIT	ZT H&S 1596.8897 (g)		0				-
	101227(a)(19)	1			6%		
	101217(a)(11)	0			-		
	101227(a)(15)		0			-	
	101439(h)(1)		2			4%	
	101439(h)(2)		0			-	
	101439(l)		0			-	
	101217(a)		2			4%	
	101217(b)		0			-	

	101216.2(b)*			0			-
	101217			1			1%
	101226(e)*			0			-
	101229.1(b)			9			7%
	101238(a)			5			4%
	101416.5(b)			9			7%
	101416.2(b)			4			3%
	101417(a)(6)*			0			-
	101427(j)			9			7%
	101439(d)(2)*			0			-
	101439(h)(4)			2			2%
	101221(a)			2			2%
	H&S 1596.954			24			19%
	101438.3(b)			1			1%
	Total KIT violations	18	45	126	100%	100%	100%

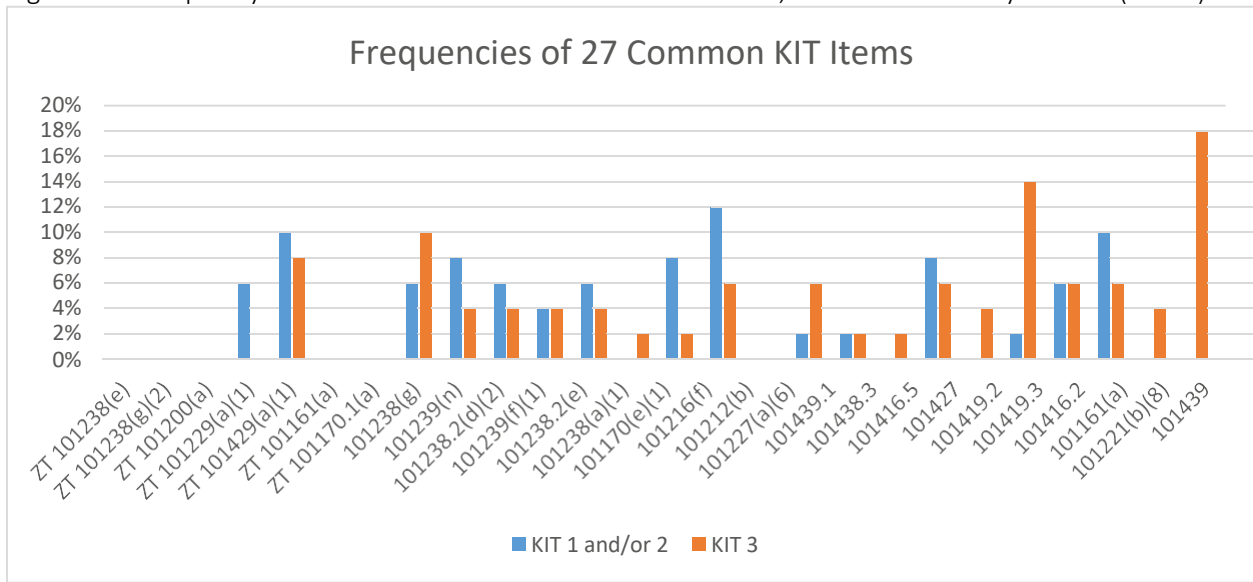
*KIT items CCLD could consider removing from KIT 3.

Finally, Figure 4.1 allows the reader to make a direct comparison of the 27 KIT items common to all three KITs; the general distribution pattern does not appear similar.²⁸ This is a finding difficult to interpret. We would like to see common KIT items cited relatively frequently regardless of the KIT, indicating that the electronic format did not have undue influence on how each KIT is used during the inspection. In this case, four common items were only cited during KIT 3 inspections.²⁹ While this may indicate CC LPAs treated the KIT 3 differently during those inspections, CC LPAs did not display this pattern when using KIT 3 forms in other child care facilities.

²⁸ If an item was present on both KIT 1 and 2, the number of violations was averaged for the purposes of this figure

²⁹ 101238(a)(1): The licensee takes measures to keep the facility free of flies, other insects, and rodents; 101438.3: The facility shall have indoor activity space for infants that is physically separate from space used by preschool child care center/school-age child care center components, and meets the requirements of 101438.3(a) – (e); 101427: The facility has an individual feeding plan for each infant that meets the requirements of 101427(b)(1) – (5); 101161(a): The licensee does not exceed the conditions, limitations, and capacity specified on the license.

Figure 4.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (Infant)



NOTE: These percentages are based on only the 27 items common to KIT 3 and KITs 1 and/or 2; percentages differ from those in Table 4.6 because these are based on 27 KIT items, not all possible KIT items. Please see Appendix Table 4.1 for supporting documentation

In summary, KIT 3 added 14 new regulatory violations to the tool, four of which were never cited and might be considered candidates for removal going forward. In terms of their relative performance, KIT 3 outperformed KITs 1 and 2 in terms of the number of KIT violations cited and the percentage of inspections that triggered comprehensive inspections (barely). Furthermore, KIT 3 appears to be a much more efficient tool: the percentage of KIT 3 items that LPAs cited at least once was roughly 30-40% greater than on KITs 1 and 2. However, while KIT 3 appeared to generally outperform KITs 1 and 2 on the other criteria as well, the differences tended to be small and not statistically significant. Finally, LPAs cited identical KIT items at very different rates across the three KITs—an unusual result that we find difficult to interpret. In general, then, while the Infant Center results generally favor KIT 3, we cannot say this with as much confidence as we did with respect to Family Child Care Homes.

In the next chapter, we present pilot test results as they pertain to School Age Child Care Centers.

Chapter 5: School Age Child Care Facilities

In this chapter, we describe the KIT 3 pilot test results as applied to School Age child care facilities (School Age). We compare KIT 3 pilot test results to those of KITs 1 and 2 from the same time period in the prior year, observing the tools' relative tendency to identify code violations and trigger comprehensive inspections.³⁰ Specifically, we examine:

- The relative frequency with which each tool identified at least one KIT item violation during an inspection and the total number of KIT and non-KIT violations during a KIT inspection
- The relative frequency with which each tool identified a *zero tolerance* violation
- The relative frequency with which each tool triggered a comprehensive inspection
- The relative *average number of violations* that each tool identified—both in general and after distinguishing between KITs which trigger comprehensive inspections and KITs that did not trigger comprehensive inspections
- The relative *percentage of individual KIT items (rows)* on the KITs cited at least once during the study periods
- The relative frequency with which the tools identified *specific* violations, both in raw numbers and as a percentage of the total number of KIT citations, for just items present on KITs during the two comparison periods

Frequency: At Least One Violation

First, we observe the relative frequency with which each tool identified at least one violation during a KIT inspection. As Table 5.1 shows below, KIT 3 was not statistically more or less likely to cite at least one violation.

Table 5.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (School Age)

	Previous Period				Study Period			
	KITs 1		KIT 2		KIT 3		Total	Average
KIT Inspections	N	Percent	N	Percent	N	Percent		
No KIT violations cited	98	84%	100	78%	133	78%	331	80%
At least one KIT violation cited	19	16%	28	22%	37	22%	84	20%
Total	117		128		170		415	

Frequency: Zero Tolerance Violations

What about zero tolerance violations? We see that none of the KITs identified zero tolerance violations very often, and that eight percent of KIT violations for all three KITs were zero tolerance violations.

³⁰ Previous period dates: July 27 to Oct 30 2014; Study period dates: July 27 to Oct 30 2015

- KIT 1 Zero Tolerance violations: 2 of 24 KIT violations (8%)
- KIT 2 Zero Tolerance violations: 3 of 40 KIT violations (8%)
- KIT 3 Zero Tolerance violations: 4 of 52 KIT violations (8%)

Frequency: Comprehensive Inspection Trigger

How did KIT 3 compare to KITs 1 and 2 in terms of triggering comprehensive inspections? As Table 5.2 highlights, KIT 3 triggered a comprehensive inspection much less frequently: Nine percent of KITs 1 and 2 inspections triggered a comprehensive, compared to three percent when LPAs used KIT 3. While this seems like a big difference, it is not a statistically significant one; due to the small number of observations in the data, the difference could have been a function of chance.

Table 5.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (School Age)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
	N	Percent	N	Percent	N	Percent		
Triggered a comprehensive inspection	2	11%	2	7%	1	3%	5	6%
Didn't trigger a comp inspection	17	89%	26	93%	36	97%	79	94%
Total	19		28		37		84	

Average Number of KIT Violations

Having looked at the relative frequency with which the KITs identified at least one violation, and how often comprehensive inspections are triggered, we now turn our attention to comparing the KITs with respect to the overall number of violations that each tool identified. As we can see in Table 5.3 below, KIT 3 does not statistically differ from KITs 1 or 2 on these dimensions. KIT 3 inspections were no more likely to identify poorly performing facilities more often than KITs 1 and 2. This finding may indicate that each KIT version is performing similarly in this aspect.

Table 5.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (School Age)

	Previous Period			Study Period
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	<i>p</i>
Average KIT violations per visit (Number of inspections)	1.32 (19)	1.36 (28)	1.43 (37)	.912
Average KIT violations per visit, excluding ZT items (Number of inspections)	1.28 (18)	1.4 (25)	1.44 (34)	.866
Average violations per KIT visit, all possible regulations (Number of Inspections)	1.91 (33)	2.09 (47)	1.73 (56)	.457

Triggered Comprehensive Inspections

As Table 5.4 highlights below, there is not much of a difference between KIT 3 and KITs 1 and 2 in the number of violations cited during inspections that triggered a comprehensive inspection. The average number of KIT violations cited during a triggering visit is not statistically significantly different across the two time periods. Likewise, the difference in the average number of violations cited during non-triggering

KIT visits is also not statistically significant. The low number of KIT-triggered comprehensive inspections in this study should be interpreted with caution.

Table 5.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (School Age)

	Previous Period		Study Period	
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	<i>p</i>
Average KIT violations when a comprehensive was triggered (Number of inspections)	1.00 (2)	2.0 (2)	1.0 (1)	.872
Average KIT violations for inspections that did not trigger a comprehensive (Number of inspections)	1.35 (17)	1.14 (29)	1.44 (35)	.625

NOTE: Some comprehensive inspections were triggered by violations of non-KIT items, and are excluded from the above values.

Percentage of KIT Indicators Cited At Least Once

One of the best ways to evaluate the relative usefulness of the KITs is to analyze the utility of each KIT item. Specifically, what percentage of the indicators included on each tool did LPAs cite at least once during the comparison and study periods? If the percentage is large, that suggests a more efficient tool, in that LPAs spend less time reviewing regulations rarely, if ever, cited. In other words, KIT items should be relevant as well as useful. As Table 5.5 below reveals, KIT 2 and KIT 3 items were cited at functionally the same amount: 58% to 59% of items on those KITs. In contrast, just 42% of KIT 1 items were ever cited during the previous period.

Table 5.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (School Age)

	Previous Period		Study Period
	KIT 1	KIT 2	KIT 3
Number of KIT items cited	14	18	20
Total KIT items present*	33	31	34
Percent KIT items cited	42%	58%	59%

*These counts were not generated within the KIT data; they are simply counts using Table 5.6 below. No statistical testing was possible. Some regulations were combined on the KITs but are counted as individual items in this table.

Frequency: Specific Violations

Finally, it is useful to compare how frequently the KITs identified and cited specific types of violations. Table 5.6 makes these comparisons, distinguishing items that appear on all three KITs from those that appear on two of the KITs and those that appear on only one KIT. The table also distinguishes zero tolerance items from non-zero tolerance items.

Table 5.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (School Age)

	KIT item	Number of violations			Percent of violations		
		KIT 1	KIT 2	KIT 3	KIT 1	KIT 2	KIT 3
On all three KITs	ZT 101238(e)	0	0	0	-	-	-
	ZT 101238(g)(2)	0	0	0	-	-	-
	ZT 101229(a)(1)	2	2	3	8%	5%	6%
	ZT 101200(a)	0	0	0	-	-	-
	ZT 101161(a)	0	1	1	-	3%	2%
	101238(g)	2	3	1	8%	8%	2%
	101238(g)(1)*	0	0	0	-	-	-
	101239(n)	0	2	1	-	5%	2%
	101238.2(d)(2)	1	1	0	4%	3%	-
	101239(e)(4)	1	3	2	4%	8%	4%
	101238.3(b)	0	3	1	-	8%	2%
	101227(a)(18)	0	1	0	-	3%	-
	101239(f)(1)	2	0	3	8%	-	6%
	101239.2(a)	1	1	1	4%	3%	2%
	101238.2(e)	1	2	2	4%	5%	4%
	101170(e)(1)	1	2	2	4%	5%	4%
	101216(f)	7	3	4	29%	8%	8%
	101212(b)	1	3	0	4%	8%	-
	101161(a)	1	0	0	4%	-	-
	101227(a)(6)	0	4	1	-	10%	2%
101516.5	0	1	0	-	3%	-	
On two KITs	ZT 101170.1(a)	0		0	-		-
	ZT H&S 1596.8897(g)		0	0		-	-
	101226(e)(1)(A)	0	0		-	-	
	101239(o)	0	0		-	-	
	101239(q)	0	0		-	-	
	101238(a)(1)	1	3		4%	8%	
	101216.3(a)	0	0		-	-	
	101221(b)(5)	2	0		8%	-	
	101529.1	0	2		-	5%	
	101229.1(a)(1)	0		6	-		12%
101217(a)(11)	0		1	-		2%	
101217(a)(6)		3	1		8%	2%	
On one KIT	101227(a)(19)	0			-		
	101227(a)(15)		0			-	
	101221(b)(8)	1			4%		
	101216(g)(1)			3			6%
	101217(a)			0			-
	101221(a)			3			6%
	101238(a)			2			4%
	101538.3(b)			0			-
	101170(e)(2)			1			2%
101516.5(b)			0			-	

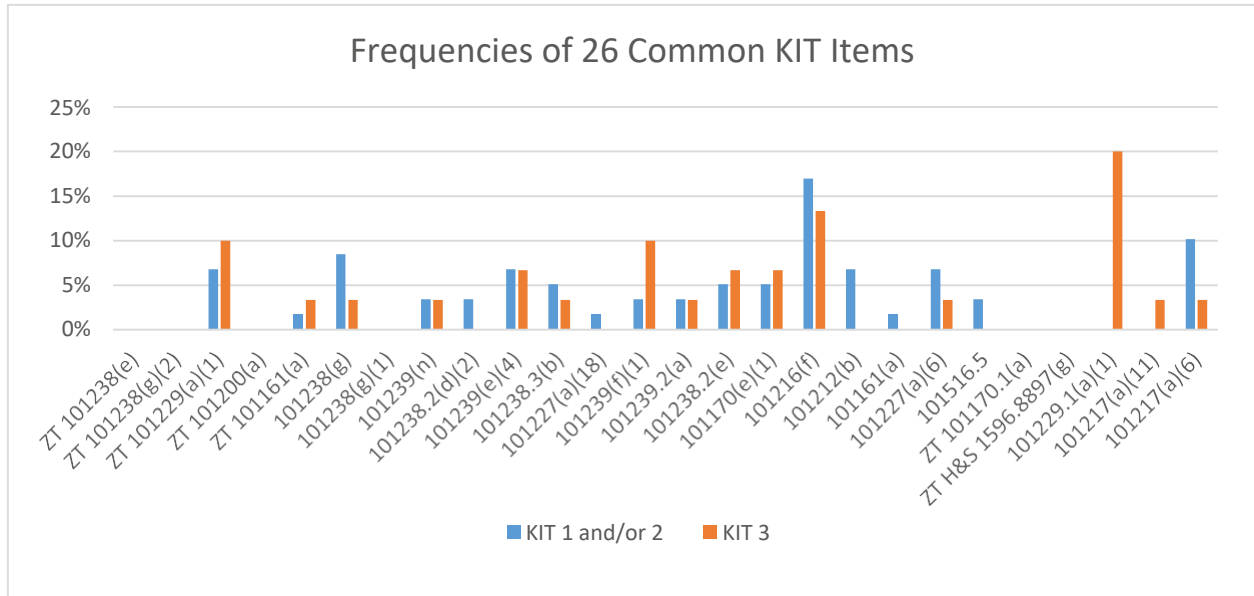
	H&S 1596.954			13			25%
	Total KIT violations	24	40	52			

* KIT item CCLD could consider removing from KIT 3

Of the eight new items added to KIT 3, three were never cited during the study period, making them candidates for removal. Furthermore, one new item comprised fully 25% of all KIT 3 violations: the newly implemented Health and Safety statute 1596.954, which requires carbon monoxide detectors in day care centers.

Figure 5.1 displays the relative frequencies of 26 common KIT items; the general distribution pattern appears somewhat dissimilar.³¹ However, the number of violations of any one KIT item is quite small (typically cited less than four times for a given KIT), and readers should use caution when interpreting the results. Due to the small number of violations, we cannot know the impact of using KIT 3’s electronic format during KIT inspections.

Figure 5.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (School Age)



NOTE: These percentages are based on only the 26 items common to KIT 3 and KITs 1 and/or 2; percentages differ from those in Table 5.6 because these are based on 26 KIT items, not all possible KIT items. Please see Appendix Table 5.1 for supporting documentation.

In conclusion, KIT 3 does not tend to differ significantly from KITs 1 and 2 with regard to the evaluative criteria that we have examined. Thus, while we cannot say with any confidence that KIT 3 outperformed KITs 1 and 2, we can say that it performed at least as well—indicating that KIT 3 is a viable alternative.

Thus concludes our analyses of the KIT 3 Pilot as it relates to Child Care facilities. In the next section of the report, we present pilot test results as they pertain to Children’s Residential facilities.

³¹ If an item was present on both KIT 1 and 2, the number of violations was averaged for the purposes of this figure

SECTION 3: CHILDREN’S RESIDENTIAL FACILITIES

In this section of the report, we discuss the pilot test results as they relate to Children’s Residential Facilities. We begin, in Chapter 6, with a discussion of Foster Family Homes. Then, in Chapter 7, we briefly discuss several facility types that have very small sample sizes when it comes to the number of inspections performed during the study period, and especially with regard to the number of violations cited during those periods (Small Family Homes, Adoption Agencies, Foster Family Agencies, Crisis Nurseries, and Transitional Housing Placement Programs). Given the small numbers of inspections and citations in those five facility types, it is not feasible to conduct large-scale quantitative analyses. Thus, in Chapter 7, our discussion is limited with respect to these facility types.

Chapter 6: Foster Family Homes

In this chapter, we describe the KIT 3 pilot test results as applied to Foster Family Homes (FFH). We compare KIT 3 pilot test results to those of KITs 1 and 2 from the same time period in the prior year, observing the tools' relative tendency to identify code violations and trigger comprehensive inspections.³² Specifically, we examine:

- The relative frequency with which each tool identified at least one KIT item violation during an inspection and the total number of KIT and non-KIT violations during a KIT inspection
- The relative frequency with which each tool identified a *zero tolerance* violation
- The relative frequency with which each tool triggered a comprehensive inspection
- The relative *average number of violations* that each tool identified—both in general and after distinguishing between KITs which trigger comprehensive inspections and KITs that did not trigger comprehensive inspections
- The relative *percentage of individual KIT items (rows)* on the KITs cited at least once during the study periods
- The relative frequency with which the tools identified *specific* violations, both in raw numbers and as a percentage of the total number of KIT citations, for just items present on KITs during the two comparison periods

Frequency: At Least One Violation

First, we observe the relative frequency with which each tool identified at least one violation during a KIT inspection. As Table 6.1 shows below, KIT 3 cited at least one violation a little more frequently than had KITs 1 and 2 (35% to 30% each, respectively), but that higher percent was not statistically significant.

Table 6.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (FFH)

	Previous Period				Study Period			
	KITs 1		KIT 2		KIT 3		Total	Average
KIT Inspections	N	Percent	N	Percent	N	Percent		
No KIT violations cited	54	70%	28	70%	43	65%	125	68%
At least one KIT violation cited	23	30%	12	30%	23	35%	58	32%
Total	77		40		66		183	

Frequency: Zero Tolerance Violations

There are no zero tolerance items on the KIT 3 inspection form for Foster Family Homes.

Frequency: Comprehensive Inspection Trigger

How did KIT 3 compare to KITs 1 and 2 in terms of triggering comprehensive inspections? As Table 6.2 highlights, KIT 3 tended to trigger a comprehensive inspection slightly more frequently (3.2% vs. 2.6% with

³² Previous period dates: July 27 to Oct 30 2014; Study period dates: July 27 to Oct 30 2015

KIT 1 [no comprehensive inspections were triggered when KIT 2 was used]). This difference in frequency between KIT 3 and KIT 1 is statistically significant, although one could argue that it is not really a substantively meaningful difference given the small number of instances.

Table 6.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (FFH)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
	N	Percent	N	Percent	N	Percent		
Triggered a comprehensive inspection	2	2.6%	0	0	6	3.2%	8	4.4%
Didn't trigger a comp. inspection	75	97.4%	40	100%	60	96.8%	297	95.6%
Total	77		40		66		305	

Average Number of KIT Violations

Having looked at the relative frequency with which the KITs identified at least one violation and how often they triggered comprehensive inspections, we now turn our attention to comparing the overall average number of violations that each KIT identified. As we can see in Table 6.3 below, while the average number of violations increased from KIT 1 to KIT 2 to KIT 3—both for average KIT item violations and for all violation types—the increases were small and not statistically significant. KIT 3 inspections were no more likely to identify poorly performing facilities more often than KITs 1 and 2. This finding may indicate that each KIT version is performing similarly in this aspect.

Table 6.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (FFH)

	Previous Period		Study Period	
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	<i>p</i>
Average KIT violations per visit (Number of inspections)	1.26 (23)	1.50 (12)	1.61 (23)	.351
Average violations per KIT visit, all possible regulations (Number of inspections)	1.59 (37)	2.11 (18)	2.41 (29)	.109

Triggered Comprehensive Inspections

During the previous period, KIT 1 only triggered one comprehensive inspection. The LPA cited three KIT violations during that inspection. By contrast, during the KIT 3 study period, there were five KIT-triggered comprehensive inspections, with an average number of 3.2 KIT violations. However, this difference is not statistically significant (meaning we cannot definitively distinguish the effect from zero). This lack of statistical significance may be due to the small number of cases, or may be due to chance.

Table 6.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (FFH)

	Previous Period		Study Period
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)
Average KIT violations when a comprehensive was triggered (Number of inspections)	3.00 (1)	n/a	3.20 (5)
Average KIT violations for inspections that did not trigger a comprehensive (Number of inspections)	1.18 (22)	n/a	1.17 (18)

NOTE: Some comprehensive inspections were triggered by violations of non-KIT items, and are excluded from the above findings. No comprehensive inspection was triggered by KIT 2 during the previous period.

Percentage of KIT Indicators Cited At Least Once

One of the best ways to evaluate the relative usefulness of the KITs is to analyze the utility of each item on the tools. Specifically, what percentage of the indicators included on each tool did LPAs cite at least once? If the percentage is large, it suggests a more efficient tool, in that LPAs spend less time reviewing regulations rarely, if ever, cited. In other words, KIT items should be relevant as well as useful. As Table 6.5 below reveals, KIT 3 outperformed the older KITs by a substantial margin in this respect; 73% of KIT 3 items were cited at least once, compared to 31% of KIT 1 items and 25% of KIT 2 items.

Table 6.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (FFH)

	Previous Period		Study Period
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)
Number of KIT items cited	8	8	16
Total KIT items present*	26	32	22
Percent KIT items cited	31%	25%	73%

*These counts were not generated within the KIT data; they are simply counts using Table 6.6 below. No statistical testing was possible. Some regulations were combined on the KITs but are counted as individual items in this table.

Frequency: Specific Violations

It is useful to compare how frequently each KIT identified a violation, and which KIT items were cited. Table 6.6 makes these comparisons, presenting the KIT items in such a way that the reader can tell if a given KIT item was present on one, two, or all three KITs, and how frequently the item was cited on each of those KITs.

As a percentage of violations, LPAs cited two items with similar frequencies:

- 89787(b)³³ (17%, 19%, and 15% on KITs 1, 2, and 3, respectively)
- 89405(a)³⁴ (14%, 19%, 16%, KITs 1, 2, and 3)

LPAs cited three common KIT items three times more often on KITs 1 or 2 versus KIT 3:

³³ 89387(b):The home is clean, safe, sanitary, and in good repair

³⁴ 89405(a): Caregivers have 12 hours foster parent training prior to placement, and 8 hours annual training thereafter

- 89387(d)³⁵ (7% on KIT 1, 2% on KIT 3)
- 89475(b)³⁶ (7% on KIT 1, 2% on KIT 3)
- 89387(a)(1)³⁷ (6% on KIT 2, 2% on KIT 3)

KIT 3 included four new items; three were cited at least once (the most often cited was the new Health and Safety statute requiring carbon monoxide monitors, H&S 1596.954).

Table 6.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (FFH)

		Previous Period			Study Period		
		Number of violations			Percent of KIT violations		
	KIT item	KIT 1	KIT 2	KIT 3	KIT 1	KIT 2	KIT 3
On all three KITs	89387(d)	2	0	2	7%	-	2%
	89378(a)*	0	0	0	-	-	-
	89410(a)	2	0	4	7%	-	4%
	89387(a)(7)	0	0	3	-	-	3%
	89387(b)	5	3	13	17%	19%	15%
	89387.2(a)	2	1	1	7%	6%	1%
	89376(a)*	0	0	0	-	-	-
	89319	0	2	6	-	13%	7%
	89405(a)	4	3	14	14%	19%	16%
	89405(b)	9	3	22	31%	19%	25%
	89475(b)	2	0	2	7%	-	2%
On two KITs	89372(a)(10)(B)		0			-	
	89372(a)(9)		0			-	
	89372(a)(5)		0			-	
	89370(a)(6)	0	0		-	-	
	89370(a)(3)	0	0		-	-	
	11165.5PC	0	0		-	-	
	89387.2(a)(1)*	0		0	-		
	89372(a)	0		1	-		1%
	89468(a)	0		1	-		1%
	89387(n)		0	4		-	4%
	89387(a)(1)		1	2		6%	2%
	89361(a)		2	0		13%	
On one KIT	89387(h)	3			10%		
	89387.2(a)	0			-		
	89372(a)(4)	0			-		
	89361(a)(4)	0			-		
	89361(a)(9)	0			-		
	89387(k)		0			-	
		89387(a)(4)		1			6%
	89323(a)		0			-	

³⁵ 89387(d): Swimming pools and all other bodies of water are inaccessible to children who are under the age of 10 years old or who are disabled

³⁶ 89475(b): Caregiver maintains age appropriate first aid supplies

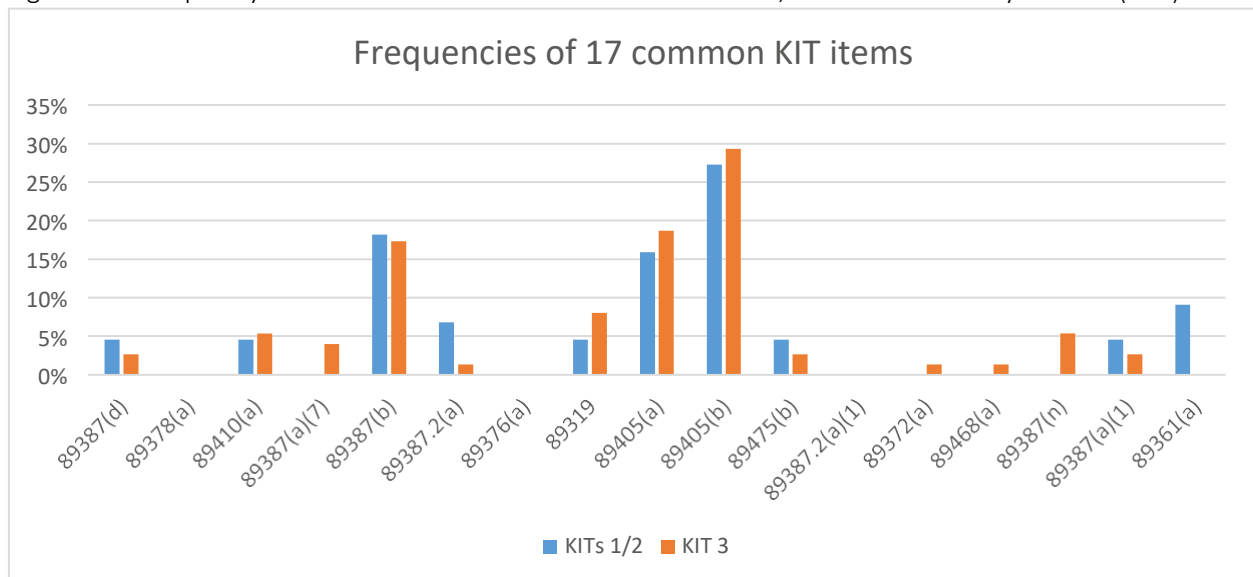
³⁷ 89387(a)(1): No more than two children share a bedroom

	89323(a)(1)			0			-
	89372(a)(1)			0			-
	89372(a)(10)(B)(8)			0			-
	89370(a)				0		-
	89219(d)				1		1%
	89405(b)(1)				1		1%
	H&S 1503.2				13		15%
	Total KIT violations	29	16	89	100%	100%	100%

* KIT item CCLD could consider removing from KIT 3

Figure 6.1 allows the reader to make a direct comparison of the 17 KIT items common to all three KITs.³⁸ For items cited by all KITs, the distribution pattern is quite similar. Three common items were never cited during any KIT inspection, and only four items were only cited during KIT 3 inspections. With these exceptions, the relatively similar distribution patterns may indicate the electronic format did not have undue influence on the use of KIT 3 during the inspection.

Figure 6.1. Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (FFH)



NOTE: These percentages are based on only the 17 items common to KIT 3 and KITS 1 and/or 2; percentages differ from those in Table 6.6 because these are based on 17 KIT items, not all possible KIT items. Please see Appendix Table 6.1 for supporting documentation.

In summary, KIT 3 included four new regulatory violations to the tool, three of which were cited at least once. Across most of the evaluation criteria we have measured, KIT 3 did not differ statistically from KITS 1 and 2. However, if nothing else, KIT 3 appears to be a much more efficient tool: the percentage of KIT 3 items that LPAs cited at least once during the pilot period was more than 40 percentage points higher than for KITS 1 or 2 during comparable periods.

Next, in Chapter 7, we briefly discuss our limited findings as they relate to several Children’s Residential facility types that LPAs visited infrequently during the study period and for which they cited very few regulatory violations.

³⁸ If an item was present on both KIT 1 and 2, the number of violations was averaged for the purposes of this figure

Chapter 7: Specialized Children’s Residential Facilities with Small Pilot Study Sample Sizes

In this chapter, we briefly discuss the Phase Two pilot test results regarding Children’s Residential facility types that LPAs visited relatively infrequently during the KIT 3 pilot study period and in comparable KIT 1 or KIT 2 periods (in fact, CCLD did not create KIT 2 forms for these facility types): Small Family Homes, Adoption Agencies, Foster Family Agencies, Crisis Nurseries, and Transitional Housing Placement Programs.

We begin by discussing the 154 Small Family Homes in the state, which was the Children’s Residential facility type in this category with the most visits during the study period (relatively speaking): LPAs conducted 46 KIT 3 inspections during the study period, and 31 visits during the comparable KIT 1 period—far more than they conducted in Adoption Agencies, Foster Family Agencies, Crisis Nurseries or Traditional Housing Placement Programs. As Table 7.1 highlights below, in Small Family Homes KIT 3 visits produced at least one cited violation 13% of the time, a ten-percentage point increase over the comparable KIT 1 period visits. Four individual KIT 3 items were cited, compared to only one KIT 1 item. This difference is 12 percentage points higher.

These results suggest that the KIT 3 tool improved the efficiency and overall effectiveness of the inspection process, relative to KIT 1. However, these results should be interpreted with extreme caution; the number of violations in both periods was very small—meaning these differences between KIT 1 and 3 are nowhere close to statistically significant.

Table 7.1: Small Family Homes Inspection and Violations Frequencies

	KIT 1	KIT 3
N visits	31	46
N KIT violations	1	4
N total violations	4	6
Percent KIT/comp visit with at least one KIT violation cited	3%	13%
N triggering Comprehensive Visits	0	1*
N KIT items cited	1	4
Number of KIT items	21	24
Percent KIT items cited	5%	17%

*Triggered by two Type A violations

When it comes to the 242 Foster Family Agencies in the state, there are a few more data points to examine, but not many. As Table 7.2 displays below, in Foster Family agencies, LPAs conducted eight inspections during the KIT 1 period, producing five KIT violations. Thirteen percent of the individual 24 KIT 3 items were cited. By contrast, LPAs conducted five inspections of such facility types during the KIT 3 period, resulting in zero KIT violations. Again, nothing can really be made of these results, given the extremely small numbers.

Table 7.2: Foster Family Agencies Inspection and Violations Frequencies

	KIT 1	KIT 3
N visits	8*	5
N KIT violations	5	0
N total violations	6	1
Percent KIT/comp visit with at least one KIT violation cited	24%	0%
N triggering KIT visits	0	0
N KIT items cited	3	0
Number of KIT items	24	26
Percent KIT items cited	13%	0%

*Two additional KIT visits were noted in FAS but only Certified Family Home-related deficiencies were recorded; those two KIT visits are not included in this number of KIT 1 visits.

Moving now to a discussion of Adoption Agencies, we cannot draw conclusions regarding the performance of KIT 3, relative to KIT 1, because LPAs only conducted three KIT 1 period visits and one KIT 3 period visit—none of which resulted in any cited KIT violations.

As for the five Crisis Nurseries in the state, there is even less to report. LPAs conducted two visits during the KIT 1 period, resulting in zero violations, and they conducted one visit during the KIT 3 period, resulting in one violation.

The story is much the same with regard to the 90 Transitional Housing Placement Programs in California. LPAs conducted a total of six inspections during the KIT 1 period and two during the KIT 3 period, none of which resulted in a KIT violation.

In sum, when it comes to the specialized Children’s Residential facilities in the state, we simply do not have enough data to draw any conclusions about the relative utility or efficacy of KIT 3, relative to earlier tools.

SECTION 4: ADULT AND SENIOR CARE FACILITIES

In this section, we discuss KIT 3 pilot test results with respect to the Adult and Senior Care facility types that we examined during Phase Two of the pilot data collection. In Chapter 8, we discuss Adult Residential facilities, and in Chapter 9, we discuss Adult Day Centers. Finally, in Chapter 10, we discuss specialized Adult and Senior Care facilities that make up a relatively small percentage of adult facilities in the state: Social Rehabilitation facilities, Residential Facilities for Those with Special Health Care Needs, and for those who are Chronically Ill. During the Phase Two KIT 3 Pilot data collection period and comparable KIT 1 and 2 periods, LPAs conducted relatively few inspections of these facility types, and cited even fewer violations—rendering large-scale data analyses infeasible. Thus, as was the case with regard to specialized Children’s Residential facilities for which there were few data points, our discussion is limited as it relates to such facility types.

Chapter 8: Adult Residential Facilities

In this chapter, we describe the Phase Two KIT 3 Pilot test results as applied to Adult Residential facilities (A Res). We compare KIT 3 Pilot test results to those of KITs 1 and 2 from the same time period in the prior year, observing the tools' relative tendency to identify code violations and trigger comprehensive inspections.³⁹ Specifically, we examine:

- The relative frequency with which each tool identified at least one KIT item violation during an inspection and the total number of KIT and non-KIT violations during a KIT inspection
- The relative frequency with which each tool identified a *zero tolerance* violation
- The relative frequency with which each tool triggered a comprehensive inspection
- The relative *average number of violations* that each tool identified—both in general and after distinguishing between KITs which trigger comprehensive inspections and KITs that did not trigger comprehensive inspections
- The relative *percentage of individual KIT items (rows)* on the KITs cited at least once during the study periods
- The relative frequency with which the tools identified *specific* violations, both in raw numbers and as a percentage of the total number of KIT citations, for just items present on KITs during the two comparison periods

Frequency: At Least One Violation

First, we observe the relative frequency with which each tool identified at least one violation during a KIT inspection. As Table 8.1 shows below, KIT 3 was 17% more likely to identify at least one KIT item violation (39% of the time vs. an average 22% of the time).

Table 8.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (A Res)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
KIT Inspections	N	Percent	N	Percent	N	Percent		
No KIT violations cited	254	73%	302	83%	360	61%	884	68%
At least one KIT violation cited	96	27%	65	17%	227	39%	421	32%
Total	350		367		587		1,305	

Frequency: Zero Tolerance Violations

What about zero tolerance violations? We see that none of the KITs identified zero tolerance violations very often, and that KIT 3 performs very similarly to KITs 1 and 2 in this respect (11% percent of the time vs. 13% of the time).

³⁹ Previous period dates: July 27 to Oct 30 2014; Study period dates: July 27 to Oct 30 2015

- KIT 1 Zero Tolerance items cited: 22 of 158 KIT violations (14%)
- KIT 2 Zero Tolerance items cited: 11 of 90 KIT violations (12%)
- KIT 3 Zero Tolerance items cited: 45 of 425 KIT violations (11%)

Frequency: Comprehensive Inspection Trigger

How did the KIT 3 compare to KITs 1 and 2 in terms of triggering comprehensive inspections? As Table 8.2 highlights, KIT 3 tended to trigger a comprehensive inspection slightly more frequently, but this difference in frequency between KIT 3 and the other KITs is not statistically significant.

Table 8.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (A Res)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
	N	Percent	N	Percent	N	Percent		
Triggered a comprehensive inspection	25	7%	20	5%	55	9%	100	7%
Didn't trigger a comp. inspection	325	93%	347	95%	531	91%	1,203	93%
Total	350		367		586		1,303	

Average Number of KIT Violations

Having looked at the relative frequency with which the KITs identified at least one violation, both in general and in terms of zero tolerance items, we now turn our attention to comparing the KITs with respect to the overall number of violations that each tool identified, on average. As we can see in Table 8.3 below, KIT 3 statistically tended to identify more violations than the other KITs, both when we include zero tolerance regulations in the calculation and when we do not. However, when we include both KIT and non-KIT violations, the slightly higher average number of violations found during KIT 3 visits is not statistically significantly different. KIT 3 inspections were no more likely to identify poorly performing facilities more often than KITs 1 and 2. This finding may indicate that each KIT version is performing similarly in this aspect.

Table 8.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (A Res)

	Previous Period		Study Period		p
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)		
Average KIT violations per visit (Number of inspections)	1.64 (96)	1.38 (64)	1.88 (226)		.003
Average KIT violations per visit, excluding ZT items (Number of inspections)	1.55 (88)	1.33 (60)	1.79 (212)		.004
Average violations per KIT visit, all possible regulations (Number of inspections)	2.80 (199)	2.58 (160)	3.04 (316)		.196

Triggered Comprehensive Inspections

As Table 8.4 highlights below, the starkest difference between KIT 3 and KITs 1 and 2 is in the number of violations cited during inspections that triggered a comprehensive inspection. KIT 3 tended to identify nearly 3 violations during such inspections, compared to fewer than 2 violations during KIT 1 and 2 visits—

a difference that is statistically significant. However, the average number of KIT violations for those KIT inspections which did not trigger a comprehensive inspection was not significantly different.

Table 8.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (A Res)

	Previous Period		Study Period	
	KIT 1 (N)	KIT 2 (N)	KIT 3 (N)	p
Average KIT violations when a comprehensive was triggered (Number of inspections)	2.00 (22)	1.67 (13)	2.94 (49)	.002
Average KIT violations for inspections that did not trigger a comprehensive (Number of inspections)	1.53 (74)	1.30 (53)	1.59 (177)	.131

NOTE: Some comprehensive inspections were triggered by two Type A violations of non-KIT items, and are excluded from the above values.

Percentage of KIT Indicators Cited At Least Once

One of the best ways to evaluate the relative usefulness of the KITs is to analyze the utility of each item on the tools. Specifically, what percentage of the indicators included on the tool did LPAs cite at least once during the comparison and study periods? If the percentage is large, that suggests a more efficient tool, in that LPAs spend less time reviewing regulations that are rarely, if ever, cited. In other words, KIT items should be relevant as well as useful. As Table 8.5 below reveals, KIT 3 outperformed KITs 1 and 2 by a substantial margin in this respect; ninety-one percent of KIT 3 items were cited at least once, compared to 66% of KIT 1 items and 56% of KIT 2 items.

Table 8.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (A Res)

	Previous Period		Study Period
	KIT 1	KIT 2	KIT 3
Number of KIT items cited	19	15	29
Total KIT items present	29	27	32
Percent KIT items cited	66%	56%	91%

*These counts were not generated within the KIT data; they are simply counts using Table 8.6 below. No statistical testing was possible. Some regulations were combined on the KITs but are counted as individual items in this table.

Frequency: Specific Violations

Finally, it is useful to compare how frequently the KITs identified and cited specific types of violations. Table 8.6 makes these comparisons, distinguishing items that appear on all three KITs from those that appear on two of the KITs and those that appear on only one KIT. The table also distinguishes zero tolerance items from non-zero tolerance items.

Table 8.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (A Res)

	KIT item	Number of violations			Percent of violations		
		Previous Period		Study Period	Previous Period		Study Period
		KIT 1	KIT 2	KIT 3	KIT 1	KIT 2	KIT 3
On all three KITs	ZT 80010(a)	0	0	1	-	-	0.2%
	ZT 80087(e)	2	0	2	1%	-	0.5%
	ZT 80087(g)(1)	18	6	28	11%	7%	7%
	ZT 85065(b)	2	5	2	1%	6%	0.5%
	ZT 80046(a)	0	0	0	-	-	-
	ZT 80044(a)	0	0	0	-	-	-
	80088(e)(1)	29	27	61	18%	30%	14%
	80076(a)(1)	6	7	17	4%	8%	4%
	85076(d)(1)	19	18	30	12%	21%	7%
	80019(e)(1)	0	1	3	-	1%	1%
	80075(n)(3)*	0	0	0	-	-	-
	80075(n)(1)	0	1	3	-	1%	1%
On two KITs	80088(a)	0	0		-	-	
	85088(c)(5)	7	4		4%	4%	
	80077.3(a)	2	0		1%	-	
	85070(a)(3)	0	4		-	4%	
	85069.3(a)	1	1		1%	1%	
	80075(i)	5	2		3%	2%	
	80024(a)	0	0		-	-	
	85064(e)	3	0		2%	-	
	80087(c)	9		21	6%		5%
	80087(g)	23		40	15%		9%
	80088(d)	4		8	3%		2%
	80088(e)(3)	7		15	4%		4%
	85068.3(a)	8		12	5%		3%
	85088(c)(4)		8	18		9%	4%
	80026(e)		2	3		2%	1%
	80068(a)		2	6		2%	1%
On one KIT	ZT 80020(a)			12			3%
	80087(b)	5			3%		
	85076(d)(4)	6			4%		
	85075(b)	2			1%		
	80072(b)	0			-		
	85088(f)(1)(A)		0			-	
	80023(d)(2)		2			2%	
	80076(a)(6)		0			-	
	85079(a)		0			-	
	85078(a)(1)			2			0.5%
	80072(a)(2)			9			2%
	80023(d)			21			5%
	80069(c)(1)			6			1%

	80075(a)			4			1%
	80069(b)			8			2%
	80076(a)(18)			8			2%
	80070(a)			14			3%
	85064(b)			12			3%
	80075(j)(i)			2			0.5%
	H&S 1503.2**	n/a	n/a	57			13%
	Total KIT violations	158	90	425	100%	100%	100%

* KIT item CCLD could consider removing from KIT 3

**H&S 1503.2 did not exist in statute when KITs 1 & 2 were developed.

With regard to the zero tolerance items, we see that item 80087(g)(1)⁴⁰ is far more likely to be cited than any other item across the board, but that the new tool does not cite it any more frequently than KIT 2 had, and does so less frequently than KIT 1 had. We also observe that the addition of ZT 80020(a)⁴¹ to KIT 3 seems to have been a well advised change, given that the new tool identified that particular violation 12 times during the study period.

As for non-zero tolerance items that appear on all three of the KITs, it is worth noting that no KIT 3 item was cited more frequently than the other KITs (as a percentage of cited violations). In general, KIT 3 tended to cite items at about the same rates as KIT 1 had, but cited a few items less frequently than KIT 2 had. The individual items that stand out in this regard are:⁴²

- 80088(e)(1) (14% to 30%, KIT 3 vs. KIT 2, respectively)
- 80076(a)(1) (4% to 8%, KITs 1 & 3 vs. KIT 2)
- 85076(d)(1) (7% to 21%, KIT3 vs. KIT 2)

With respect to the items that appear on two of the three KITs, KIT 3 also performs quite similarly to the other two KITs, but is again a little less likely to cite a couple of the items—specifically 80087.g⁴³ (9% to 15%, KIT 3 vs KIT1) and 85088.c.⁴⁴ (4% to 9%, KIT3 vs KIT2).

Looking finally at the items that appear on only one of the KITs, the thing that stands out most starkly is that new Health and Safety statute 1503.2⁴⁵ is 13% of all KIT violations cited during a KIT 3 visit, strongly validating its inclusion on KIT 3.

Figure 8.1 displays the relative frequencies of 20 common KIT items; the general distribution pattern appears similar.⁴⁶ This indicates the KITs are being used similarly during the KIT inspections. This is a positive

⁴⁰ 80087(g)(1): Storage areas for firearms and other dangerous weapons are locked

⁴¹ 80020(a): Facility fire clearance is maintained in conformity with State Fire Marshall regulations

⁴² 80088(e)(1): Hot water temperature is maintained between 105 and 120 degrees F; 80076(a)(1): All food is selected, stored, prepared, and served in a safe and healthful manner; 85076(d)(1): Supplies of nonperishable foods are maintained on the premises to last for a minimum of one week, and fresh perishable foods for a minimum of two days

⁴³ 80087(g): Disinfectants, cleaning solutions, poisons are inaccessible to clients

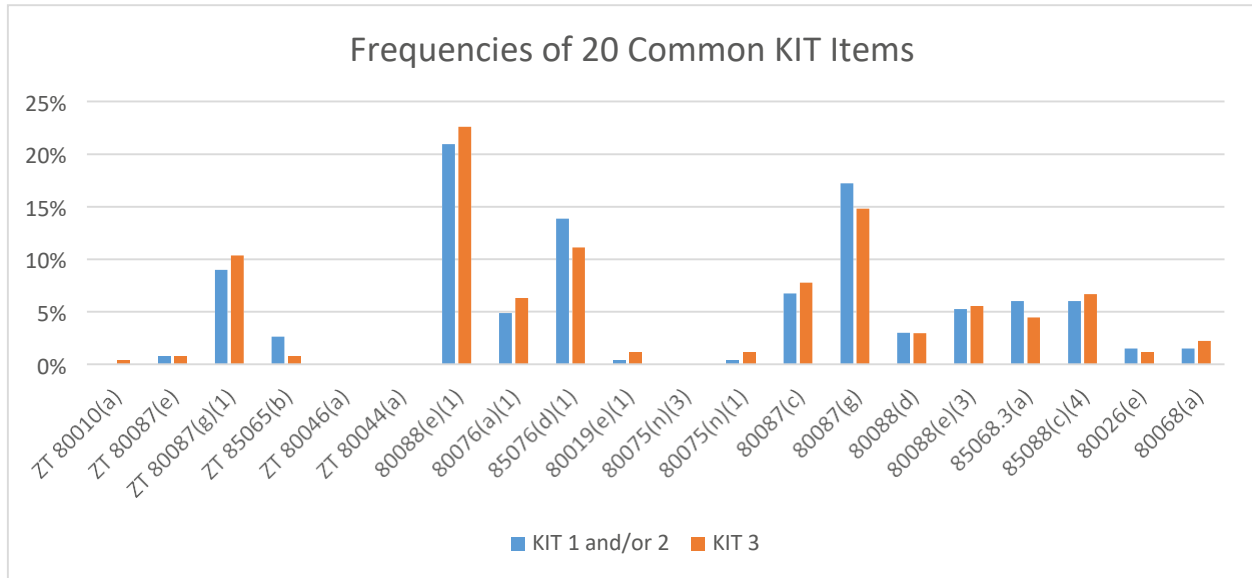
⁴⁴ 85088(c)(4): License ensures that each client has clean linen in good repair, including lightweight warm blankets and bedspreads, top and bottom sheets, pillow cases, mattress pads, rubber or plastic sheeting when necessary, and bath towels, hand towels, and washcloths

⁴⁵ Health and Safety Statute 1503.2: Facility has one or more functioning carbon monoxide detectors that meet statutory requirements

⁴⁶ If an item was present on both KIT 1 and 2, the number of violations was averaged for the purposes of this figure

finding in that the necessity of an LPA literally indicating compliance with each KIT 3 item (due to the new electronic format) in itself did not create a higher rate of non-compliance.

Figure 8.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (A Res)



NOTE: These percentages are based on only the 20 items common to KIT 3 and KITS 1 and/or 2; percentages differ from those in Table 8.6 because these are based on 20 KIT items, not all possible KIT items. Please see Appendix Table 8.1 for supporting documentation.

In short, while KIT 3 performs similarly to KITS 1 and 2 in some areas for inspections occurring in Adult Residential facilities, it out-performs KITS 1 and 2 in several others. With only a few items that CCLD may consider removing, KIT 3 proves to be a statistically sound instrument to aid in the efficiency and identification of code violations for inspections within adult residential facilities. Next, we will review the pilot test results for Adult Day center KITS.

Chapter 9: Adult Day Facilities

In this chapter, we describe the KIT 3 Pilot test results as applied to Adult Day programs (A Day). We compare KIT 3 Pilot test results to those of KITs 1 and 2 from the same time period in the prior year observing the tools' relative tendency to identify code violations and trigger comprehensive inspections.⁴⁷ Specifically, we examine:

- The relative frequency with which each tool identified at least one KIT item violation during an inspection and the total number of KIT and non-KIT violations during a KIT inspection
- The relative frequency with which each tool identified a *zero tolerance* violation
- The relative frequency with which each tool triggered a comprehensive inspection
- The relative *average number of violations* that each tool identified—both in general and after distinguishing between KITs which trigger comprehensive inspections and KITs that did not trigger comprehensive inspections
- The relative *percentage of individual KIT items (rows)* on the KITs cited at least once during the study periods
- The relative frequency with which the tools identified *specific* violations, both in raw numbers and as a percentage of the total number of KIT citations, for just items present on KITs during the two comparison periods

Frequency: At Least One Violation

First, we observe the relative frequency with which each tool identified at least one violation during a KIT inspection. As Table 9.1 shows below, LPAs did not cite violations of KIT items more frequently when using KIT 3 versus KITs 1 and 2. The frequency was roughly the same for KITs 1 and 3 (52% to 51%), and slightly higher than KIT 2 (44%).

Table 9.1: Comparing Proportion of KIT Inspections with at Least One KIT Regulation Cited, Previous and Study Periods (A Day)

	Previous Period				Study Period				
	KIT 1		KIT 2		KIT 3		Total	Average	
	N	Percent	N	Percent	N	Percent			
KIT Inspections									
No KIT violations cited	15	48%	22	56%	19	49%	56	51%	
At least one KIT violation cited	16	52%	17	44%	20	51%	53	49%	
Total	31		39		39		109		

Frequency: Zero Tolerance Violations

What about zero tolerance violations? Only one zero toleration was cited at all, during the previous period: 82010 (licensee shall not operate beyond the conditions and limitations of specified for the license).

⁴⁷ Previous period dates: July 27 to Oct 30 2014; Study period dates: July 27 to Oct 30 2015

Frequency: Comprehensive Inspection Trigger

How did KIT 3 compare to KITs 1 and 2 in terms of triggering comprehensive inspections? In general, there were very few KIT-triggering comprehensive inspections. As Table 9.2 highlights, KIT 3 tended to trigger a comprehensive inspection slightly more often than KIT 1 (5% versus 3%). However, this difference was not statistically significant. No KIT 2 inspection triggered a comprehensive inspection.

Table 9.2: Number and Percent of KIT Inspections Which Triggered a Comprehensive Inspection, Previous and Study Periods (A Day)

	Previous Period				Study Period			
	KIT 1		KIT 2		KIT 3		Total	Average
	N	Percent	N	Percent	N	Percent		
Triggered a comprehensive inspection	1	3%	0	0%	2	5%	3	3%
Didn't trigger a comp. inspection	30	97%	39	100%	37	95%	106	97%
Total	31		39		39		109	

Average Number of KIT Violations

Having looked at the relative frequency with which the KITs identified at least one violation, and how often they triggered comprehensive inspections, we now turn our attention to comparing the overall average number of violations that each KIT identified. As we can see in Table 9.3 below, LPAs cited a significantly higher average number of KIT violations with KIT 3 than they had with KITs 1 or 2, when including and excluding zero tolerance items in the analyses. By contrast, when counting violations of any regulation or statute cited during KIT inspections, there was no statistically significant difference in the average number of violations. KIT 3 inspections were no more likely to identify poorly performing facilities more often than KITs 1 and 2. This finding may indicate that each KIT version is performing similarly in this aspect.

Table 9.3: Average Number of KIT Violations, for KIT Inspections with at Least One Violation, Previous and Study Periods (A Day)

	Previous Period		Study Period	
	KIT 1	KIT 2	KIT 3	<i>p</i>
Average KIT violations per visit (Number of inspections)	1.20 (10)	1.18 (11)	2.23 (13)	0.002
Average KIT violations per visit, excluding ZT items (Number of inspections)	1.22 (9)	1.18 (11)	2.23 (13)	0.003
Average violations per KIT visit, all possible regulations (Number of inspections)	1.81 (16)	1.65 (17)	2.05 (20)	0.368

Triggered Comprehensive Inspections

As Table 9.4 highlights below, only three KIT inspections triggered comprehensive inspections: one KIT 1 inspection, and two KIT 3 inspections. Due to these low incidences, we could not perform statistical analyses. We did test the average number of violations between KITs for those inspections that did not trigger a comprehensive inspection, and found statistical significance between KIT 1 and KIT 3.

Table 9.4: Average Number of KIT Violations for Triggering and Non-Triggering KITs, Previous and Study Periods (A Day)

	Previous Period		Study Period	
	KIT 1	KIT 2	KIT 3	<i>p</i>
Average KIT violations when a comprehensive was triggered (Number of inspections)	1.0 (1)	n/a	2.0 (2)	0.667
Average KIT violations for inspections that did not trigger a comprehensive (Number of inspections)	1.22 (9)	n/a	2.27 (11)	0.003

NOTE: No comprehensive inspection was triggered by KIT 2 during the previous period.

Percentage of KIT Indicators Cited At Least Once

One of the best ways to evaluate the relative usefulness of the KITs is to analyze the utility of each item on the tools. Specifically, what percentage of the indicators included on each tool did LPAs cite at least once? If the percentage is large, that suggests a more efficient tool, in that LPAs spend less time reviewing regulations that are rarely, if ever, cited. In other words, KIT items should be relevant as well as useful. As Table 9.5 below reveals, the percentage of KIT items cited on KITs 1 and 3 were similar (27 and 33%, respectively), and were higher than the percentage of items on KIT 2 (17%).

Table 9.5: Number and Percent of KIT Items Cited During at Least One KIT Inspections, Previous and Study Periods (A Day)

	Previous Period		Study Period
	Kit 1	Kit 2	Kit 3
Number of KIT items cited	8	5	11
Total KIT items present*	30	29	33
Percent KIT items cited	27%	17%	33%

*These counts were not generated within the KIT data; they are simply counts using Table 9.6 below. No statistical testing was possible. Some regulations were combined on the KITs but are counted as individual items in this table.

Frequency: Specific Violations

It is useful to compare how frequently each KIT identified a violation, and which KIT items were cited. Table 9.6 makes these comparisons, presenting the KIT items in such a way that the reader can tell if a given KIT item was on one, two, or all three KITs, and how frequently the item was cited on each of those KITs. The table also distinguishes zero tolerance items from non-zero tolerance items.

In general, LPAs found few violations during KIT visits in the previous period (27 KIT violations total), and 40 KIT violations when using KIT 3 during the study period.

Notable findings:

- Two KIT 2 items were cited much more frequently than on KITs 1 or 3
 - 82087(a)(3)⁴⁸ (46% of KIT 2 violations, versus 21 and 13% on KITs 1 and 3, respectively)
 - 82075(f)⁴⁹ (31% of KIT 2 violations, versus 14 and 13% on KITs 1 and 3)
- Seven of the 14 new KIT 3 items were cited at least once, and seven were never cited
- The majority (59%) of KIT 3 violations are from the seven new KIT 3 items
 - 15% are violations of the new Health and Safety statute 1503.2 (carbon monoxide detectors are required in all facilities)

Table 9.6: KIT Items Present on KITs 1, 2, and 3, Previous and Study Periods (A Day)

	KIT item	Number of violations			Percent of violations		
		KIT 1	KIT 2	KIT 3	KIT 1	KIT 2	KIT 3
On all three KITs	ZT 82010	1	0	0	7%	-	-
	ZT 82087(f)	0	0	0	-	-	-
	ZT 82065(e)	0	0	0	-	-	-
	ZT 82046(a)	0	0	0	-	-	-
	ZT 82044(a)	0	0	0	-	-	-
	82087(a)(3)	3	6	5	21%	46%	13%
	82088(e)(1)	3	1	6	21%	8%	15%
	82088(e)(3)	2	0	0	14%	-	-
	82076(a)(1)*	0	0	0	-	-	-
	82068.2(e)*	0	0	0	-	-	-
	82019(e)(1)	1	0	0	7%	-	-
	82075(f)	2	4	5	14%	31%	13%
	82075(b)	1	0	0	7%	-	-
	On two KITs	ZT 82078	0	0		-	-
ZT 82065(a)			0	0		-	-
82074(c)		0	0		-	-	
82087(b)(1)		0	0		-	-	
82076(c)		0	0		-	-	
82076(a)(7)		0	0		-	-	
82077.4(b)(4)		0	0		-	-	
82065.1(d)		0	0		-	-	
82023(d)		1	1		7%	8%	
82024(a)		0	0		-	-	
82064(g)		0	0		-	-	
82075(k)		0	0		-	-	
82066(a)(10)		0		1	-		3%
82072(a)(8)*		0	0		-	-	
On one KIT	ZT 82020			0			-
	ZT 82078(a)			0			-
	ZT 80087(g)(1)			0			-
	82087.2(a)(1)	0			-		

⁴⁸ 82087(a)(3): Disinfectants, cleaning solutions, and poisons are inaccessible to clients

⁴⁹ 82075(f): Staff responsible for direct care and supervision have current first and CPR training

82087.3(a)	0			-		
82088(a)	0			-		
82065.5(b)	0			-		
82075(a)(2)	0			-		
82087(d)		1			8%	
82066(e)		0			-	
82092(a)		0			-	
82022(a)*			0			-
82064(a)(1)/(a)(2)*			0			-
82064(d)			3			8%
82065(g)(1)			2			5%
82066(a)*			0			-
82068.3(a)			0			-
82068(a)			3			8%
82072(a)(2)*			0			-
82075(l)(1)*			0			-
82076(a)(16)*			0			-
82087(a)			2			5%
82019(e)(2)			1			3%
H&S 1503.2			6			15%
82065.1(d)(1)			6			15%
Total KIT violations	14	13	40	100%	100%	100%

* KIT items CCLD could consider removing from KIT 3

Figure 9.1 allows the reader to make a direct comparison of the 16 items common to all three KITs, note that only eight of these common items were cited.⁵⁰ The general distribution pattern does not appear similar. This finding is difficult to interpret. We would like to see common KIT items cited at relatively similar frequencies regardless of the KIT, indicating that the electronic format did not have undue influence on how a KIT is used during the inspection. In this case, four items were only cited during the previous period,⁵¹ one was cited only during a KIT 3 inspection,⁵² and just three common items were cited during both the previous and study periods.⁵³ Eight of the 16 common items were never cited during either period. This may indicate ASC LPAs treated the KIT tools differently in the two comparison periods.

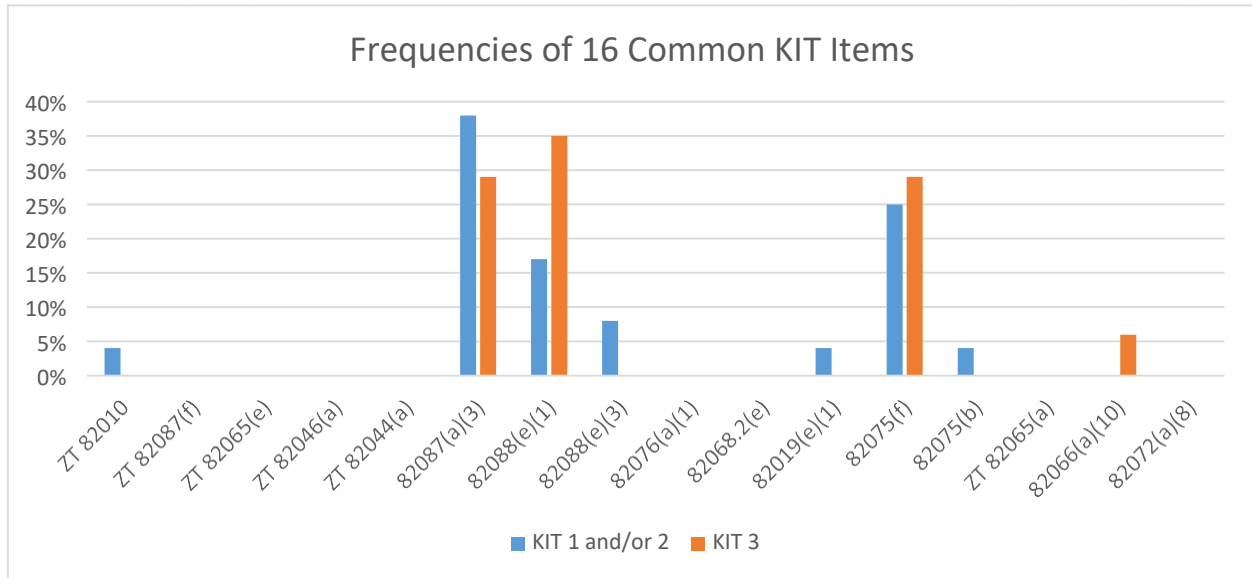
⁵⁰ If an item was present on both KIT 1 and 2, the number of violations was averaged for the purposes of this figure

⁵¹ 82010: The licensee is operating the day program within the conditions and limitations specified on the license, including the capacity limitation; 82088(e)(3): All toilets, hand washing, and bathing facilities are maintained in a safe, sanitary operating condition, with provisions/equipment for handicapped individuals; 82075(b): Clients are assisted with self-administration of medications; 82019(e)(1): Prior to working, residing, or volunteering in a licensed day program, all individuals subject to criminal record review obtain a California clearance or a criminal record exemption.

⁵² 82066(a)(10): Personnel records contain a health screening from a licensed medical professional.

⁵³ 82087(a)(3): Disinfectants, cleaning solutions, and poisons are inaccessible to clients; 82088(e)(1): Hot water temperature is maintained between 105 and 120 degrees F; 82075(f): Staff responsible for direct care and supervision have current first and CPR training.

Figure 9.1: Frequency Distribution of Common KIT Item Violations, Previous and Study Periods (A Day)



NOTE: These percentages are based on only the 16 items common to KIT 3 and KITS 1 and/or 2; percentages differ from those in Table 9.6 because these are based on 16 KIT items, not all possible KIT items. Please see Appendix Table 9.1 for supporting documentation.

In summary, KIT 3 added 14 new regulatory violations to the tool. In terms of performance, KIT 3 radically outperformed the earlier KITs in terms of the number of violations that it identified during the comparable study periods—identifying almost twice as many. Moreover, KIT 3 was more likely to trigger a comprehensive inspection than were KITS 1 or 2, and as has been a consistent theme across facility types, the percentage of KIT 3 items that LPAs cited at least once during the study period was greater than the percentage for KITS 1 or 2 during comparable periods (though the difference is not as great for this facility type as it was for some of the others). On the other hand, LPAs cited identical KIT items at quite different rates across the comparison periods—more in some cases during KIT 3, and less in others. Thus, while KIT 3 does not appear to outperform the earlier KITs across the board, it fares quite well overall.

In the next chapter, we discuss pilot test results as they pertain to three Adult/Senior Care facility types (Social Rehabilitation facilities, Residential Care for those with Special Health Care Needs, and for those who are Chronically Ill) that LPAs rarely inspected during the study period or during the comparable KIT 1 and KIT 2 periods), and for which they rarely cited violations during those inspections (thereby preventing large-scale data analyses).

Chapter 10: Specialized Adult/Senior Care Residential Facilities with Small Pilot Study Sample Sizes

In this chapter, we briefly consider three specialized Adult Residential facilities for which very few inspections took place during the KIT 3 Pilot study period or during the comparable KIT 1 and 2 period: Social Rehabilitation facilities, Special Health Care Needs facilities, and facilities for the Chronically Ill. We begin by discussing the 103 Social Rehabilitation facilities in the state. As Table 10.1 illustrates below, LPAs conducted ten inspections of such facilities during the KIT 3 pilot period, citing nine KIT violations (including 18% of all the possible violation types at least once). LPAs cited at least one violation in 60% of all inspections during the study period.

By contrast, during the KIT 1 period, LPAs conducted 17 visits, citing eight KIT violations (17% of all possible violation types at least once), and citing at least one violation in 35% of all visits. During the KIT 2 period, LPAs conducted four visits, citing one KIT violation. These results suggest that KIT 3 might have proved more effective at identifying violations, but we cannot definitively draw any conclusions based on these small sample sizes.

Table 10.1: Social Rehabilitation Facilities Inspection and Violations Frequencies

	Previous Period		Study Period
	KIT 1	KIT 2	KIT 3
N visits	17	4	10
N KIT violations	8	1	9
N total violations	18	3	16
Percent KIT/comp visit with at least one KIT violation cited	35%	25%	60%
N triggering KIT visits	2*	0	1**
N KIT items cited	5	1	3
Number of KIT items	29	28	34
Percent KIT items cited	17%	4%	18%

*Both comprehensive inspections were triggered by two Type A violations

**Triggered by three Type A violations

As for the 38 Special Health Care Needs facilities in California, LPAs only conducted two KIT 3 inspections during the pilot period, and only seven inspections during the KIT 1 and 2 periods combined. The KIT 3 inspections resulted in two Type A KIT violations, triggering a comprehensive inspection. By contrast, none of the KIT 1 or 2 inspections resulted in citations. Again, while it appears that KIT 3 might have proven more effective at identifying violations, no conclusions can be drawn from such infinitesimally small numbers.

When it comes to facilities for the Chronically Ill, the story is similar: LPAs conducted two KIT 3 inspections, matching the number that they had conducted during the comparable KIT 2 period (none were conducted during the KIT 1 period). The KIT 3 inspections resulted in three KIT violations, while the KIT 1 inspections resulted in two. None of the violations triggered a comprehensive inspection. Thus, nothing can be gleaned from these data with respect to the relative efficacy of KIT 3 relative to the earlier KITs.