National Association for Regulatory Administration

Proactive Approach to Regulatory Change Management - FOCUS 2025

Consumer Protection Through Prevention

NARA

- NARA is an international non-profit professional association founded in 1976 representing all human care licensing
- Licensing professionals including Dr. Richard Fiene – "Father of Key Indicator System Theory"
- NARA's professional services and educational curricula have been used by dozens of states and provinces for program-specific research, training, and customized technical assistance
  - Child day and residential settings
  - Care settings for older adults
  - Care settings for mental health and individual with disabilities

Overview

This session discusses research-based licensing systems that are essential to safeguarding vulnerable populations while promoting quality care.

Session Objectives

1. Introduce regulatory science and the concepts of research-based licensing systems.
2. Provide a high-level overview of NARA's Differential Monitoring (DM) system
3. Link these research-based tools to increased effectiveness and efficiency.
4. Introduce the Quality Assisted Living Collaborative efforts

Objective #1

Introduce the concepts of research-based licensing systems and how to address the national trend of finding and developing the appropriate regulatory administrative structure using a foundation of regulatory science.

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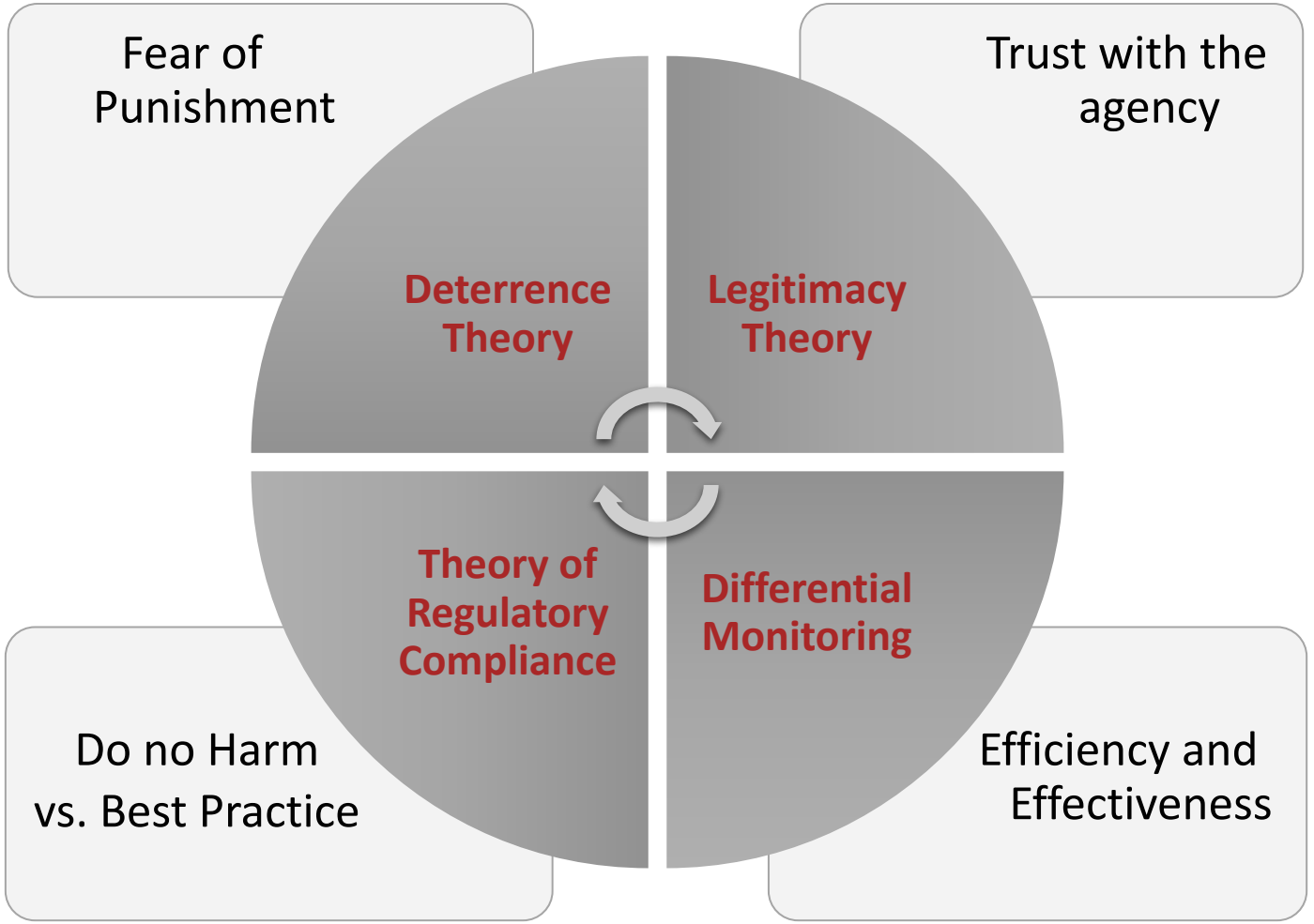
Regulatory Science

Regulatory science in the human care industry is a field that uses scientific methods to inform, evaluate or develop tools, methods, standards, and systems that support a better understanding of safety, quality, and effectiveness of licensing systems.

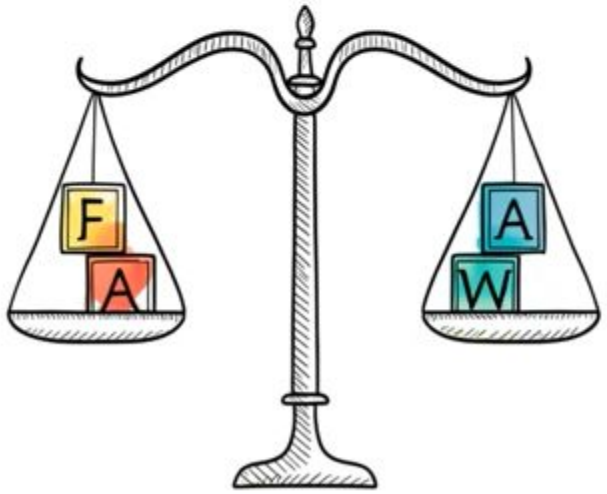
- Standards Development
- Safety and Efficacy
- Monitoring and Enforcement

Theories of Regulatory Science



NotebookLM

The Science of Safe Care: Finding 'Right Rules'



Objective #2

Provide an overview of NARA's research-based methodology used to develop focused measuring tools using Differential Monitoring:

- ✔ Key Compliance Indicators
- ✔ Weighted Risk Assessments
- ✔ Key Quality Indicators

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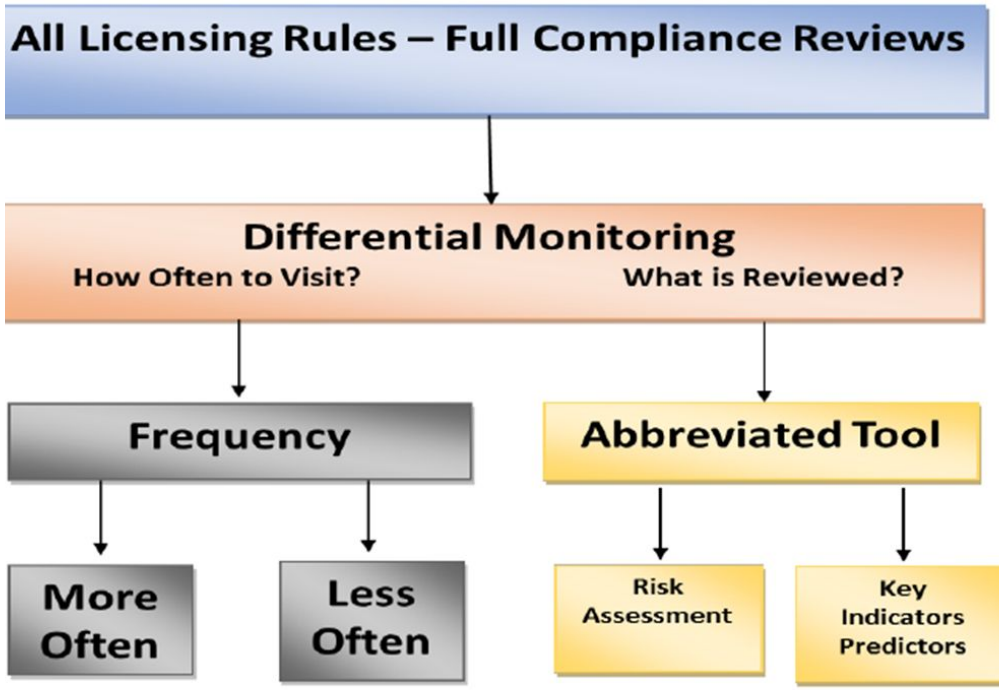
What: Differential Monitoring

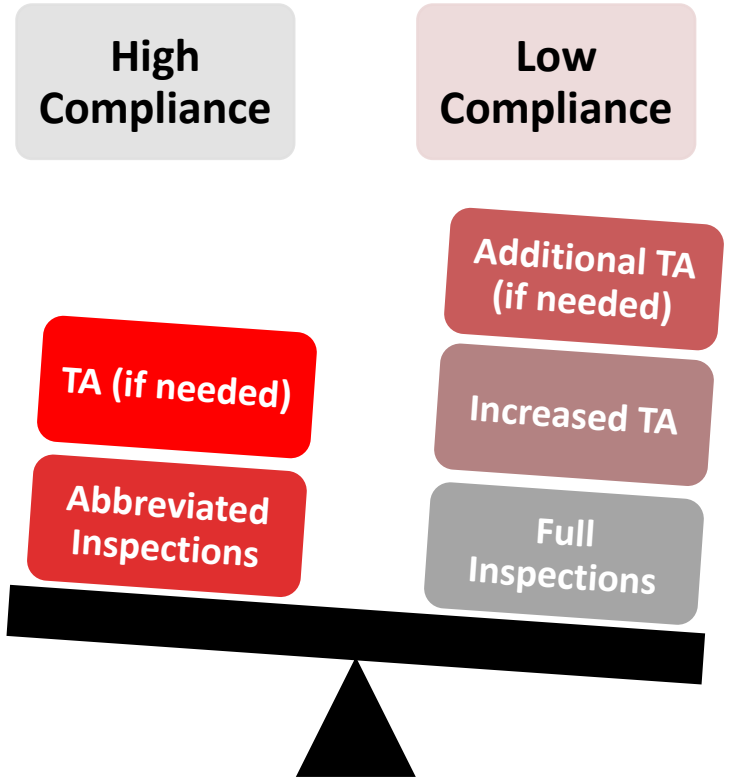


Note: This graphic is adapted from a graphic developed by Dr. Richard Fiene and used in: Fiene R. (2013) *Differential monitoring logic model and algorithm (DMLMA: A new early childhood program quality indicator model (ECPQIM4)© for early care and education regulatory agencies* Middletown, PA: Research Institute for Key Indicators.

- ✔ Increase monitoring frequency for programs with low levels of compliance;
- ✔ Identify providers in need of technical assistance;
- ✔ Recognize programs with strong compliance records with abbreviated inspections; and
- ✔ Use staff resources efficiently.

Why: Differential Monitoring (DM)

DM enables regulatory agencies to be more efficient when monitoring “high” performing providers so more time and TA can be provided to “low” performing providers.



How: Differential Monitoring

- Key Compliance Indicators
- Weighted Risk Assessment
- Key Quality Indicators
- Validation

Key Compliance Indicators

Key Compliance Indicators

- Uses a subset of licensing regulations.
- Statistically predicts compliance with the entire rule set.
- Subset is identified through a statistical methodology.

Key Compliance Indicator System

- A form of differential inspections.
- Uses a portion of the full set of regulations.
- Includes Key or Predictor rules.

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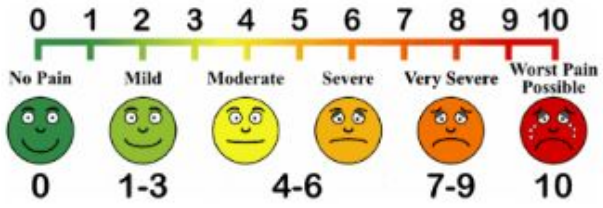
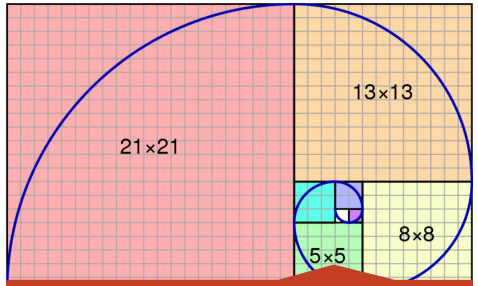
Weighted Regulations

This scoring system provides identifies areas that place clients at greatest risk for mortality or morbidity.

- Weighted systems are used so that each rule does not have an equal weight
- If you do not weight, by default, you have given all rules an Equal Weight



Qualitative



Relative

Objective #3

Link research-based tools to understand how to increase the effectiveness and efficiency of a regulatory oversight agency

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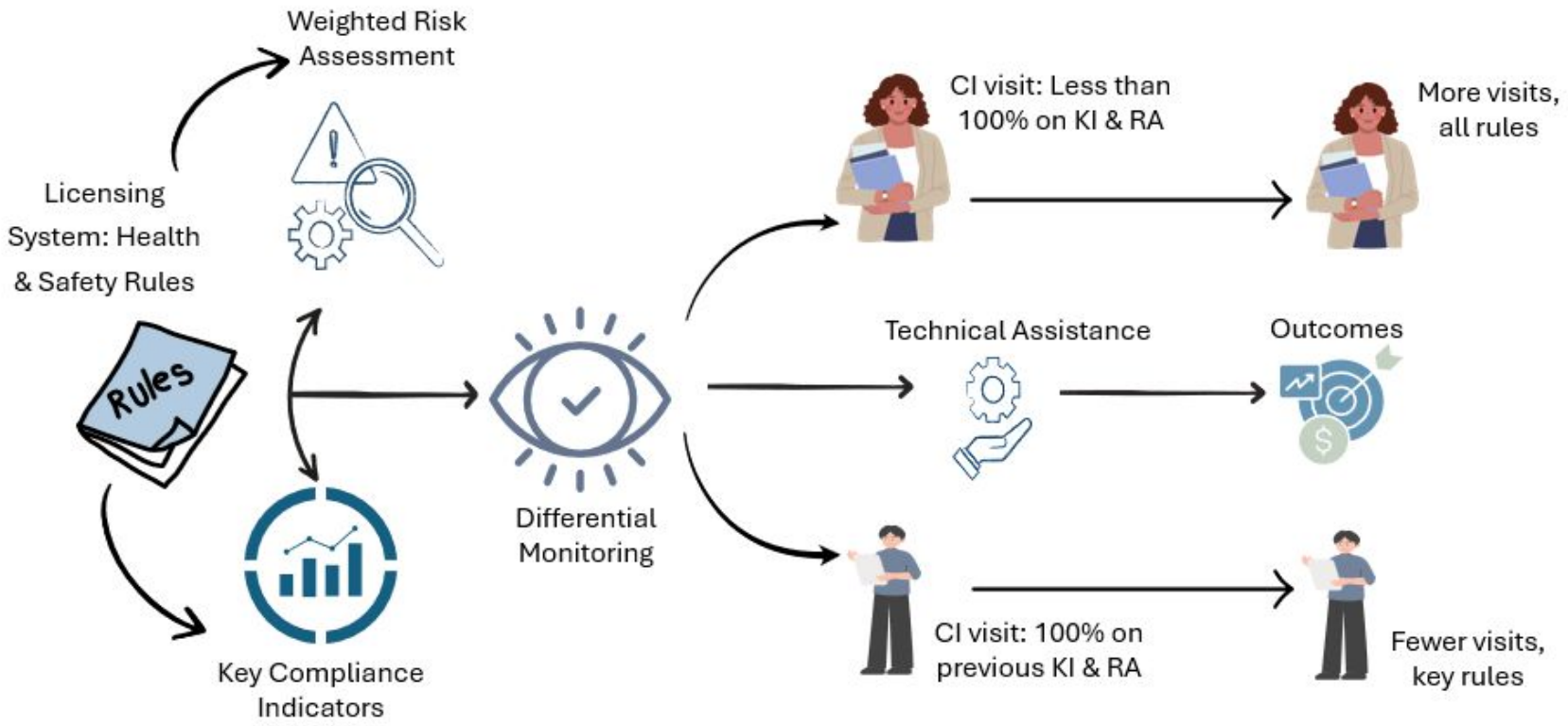
Putting It Together



Other Focused Inspection Tools

Eligibility Criteria

- Valid License for 1+year
- No current/recent investigations
- No Sanctions
- Consistent program leadership

Policy & Procedures

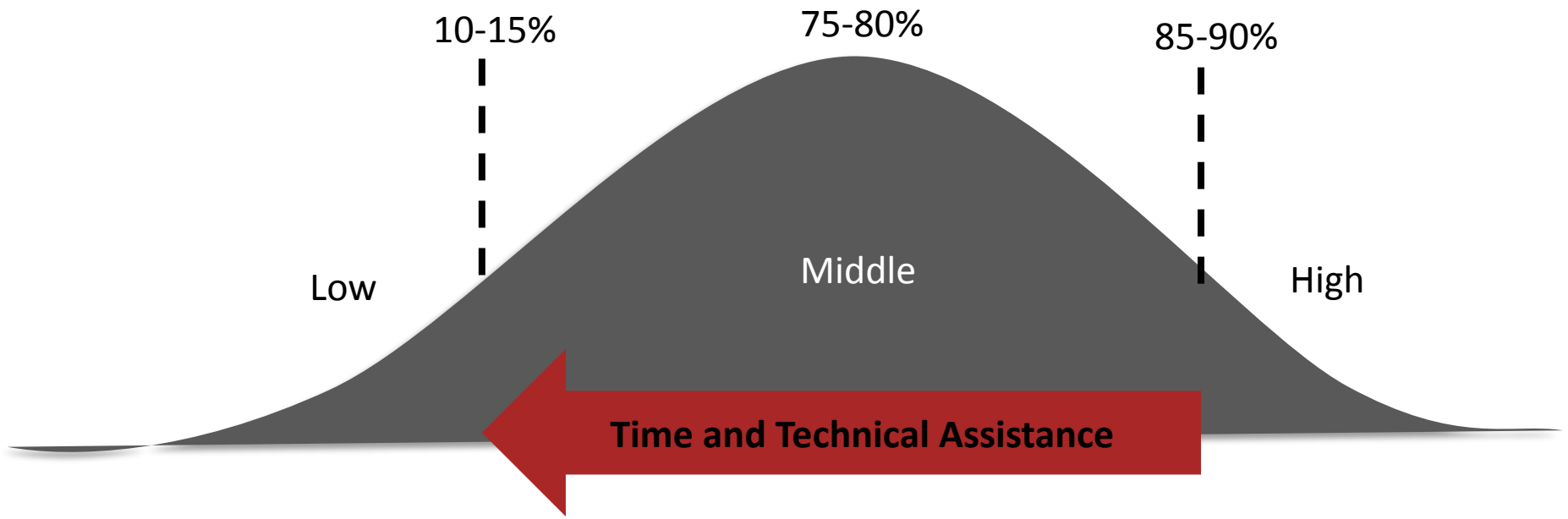
- Ensures compliance
- Promotes equity and consistency
- Provides framework
- Protects everyone

Abbreviated Checklist

- 5-10 high-risk regulations
- 5-10 key compliance indicators
- 5-10 random regulations

Focused Inspection - Wrap up

Limited time spent with the “High” performing providers = More time and technical assistance can be provided to “low” performing providers.



Thank You!

www.naralicensing.org