

# The Commonwealth of Massachusetts Department of Early Education and Care

Procedure Bulletin 2018 - July

EEC Licensing Procedure  
#LPRO-18-002

**Title:** Guidance regarding the use of license status, provider status, and regulatory status fields in LEAD

**For use by:** All EEC LEAD Users

**Effective date:** July 25, 2018

**Supersedes:** New Procedure

## Purpose:

The purpose of this procedure is to provide guidance on how to properly use the license status, provider status, and regulatory status fields in LEAD.

## Issue Presented:

Statuses in LEAD are important fields that must be maintained properly by LEAD users.

## Procedure:

There are three fields that a licensor will use to capture statuses on the provider page:

Provider / Umbrella / Assistant Detail		Edit	Delete	Sharing	Manage External Account	New Transaction (using wizard)	Create a licensing visit	Gen
▼ Information								
Name	Lynne Childcareprovider [View Hierarchy]				Umbrella			
Business Name					FCC System			
Provider / Umbrella / Assistant Type	Family Child Care [Change]				Licensor	TEST Oliver Winston [Change]		
Provider Number	P-242792				Previous Type			
License Status	Not Licensed				Legacy System Number			
Status Last Changed Date					Provider Status	Closed		
Tax ID	222222222				Regulatory Status	Inactive		
Licensing Region	Central				Closed Status Reason			
Provider Description					Legal Order			
Unlicensed Care Type					LM Code From LEAD	2		
Effective End Date					Subsidy Region			
Legal Action details					Associated CCRR	Child Care Resources		
					Config Record	Family Child Care		

### License Status:

In LEAD, a program can have only one of two possible license statuses: “Licensed” and “Not Licensed.” “Licensed” means that the program holds a valid license, which may, to use two examples, include licenses that have expired or are renewals in progress. “Not Licensed” means that the program is not yet licensed, or was previously licensed and is no longer. Both “Licensed” and “Not Licensed” has different Provider Statuses that can be marked.

In order to change a license status or provider status, you must double-click on the pencil “edit” button next to the License Status field and the following screen will appear:

The screenshot shows a "Dependent Fields" dialog box. It contains the following fields and controls:

- License Status:** A dropdown menu currently showing "Licensed".
- Provider Status:** A dropdown menu currently showing "Current", with an information icon (i) to its right.
- Legal Order:** A list box containing "Available", "Referred for legal action", "Suspended", and "Sanctions". To its right is a "Chosen" list box, also with an information icon. Arrows point from the "Legal Order" list to the "Chosen" list and vice versa.
- Legal Action details:** A text area containing "Not Applicable" with a button to its right.
- Closed Status:** A text area.
- Buttons:** "OK" and "Cancel" buttons at the bottom.

### Provider Statuses for Programs Marked as “Licensed”:

**Current** means that the program has a current valid license. This means that today’s date falls between the issue date and the expiration date. Even if they are an inactive FCC provider, as long as they are still holding a valid current license, the status should remain **current**.

**Renewal in progress** is used when a program is still operating prior to the license expiration date, and the program has submitted a license renewal transaction. This status will automatically update when the program has submitted the license renewal transaction.

**Regional enrollment freeze** is used when a program is operating and the region has imposed an enrollment freeze. Note that this status differs from when legal imposes an

enrollment freeze through a legal order. This status needs to be manually changed when an enrollment freeze is imposed, and the enrollment freeze letter should be uploaded to the “notes and attachments” section of LEAD on the provider page.

**Expired** status is automatically updated by LEAD when the expiration date of the license has passed and the program has not submitted a renewal transaction. At this point, the provider will not hold a valid license and the licensor may have to take further action to determine whether the program intends to renew its license, or if the program should be closed out.

### **Provider Statuses for Programs Marked as “Not Licensed”:**

**TBD** status is only used for GSA and R&P Programs. This status is used when a provider record is created and the program hasn’t yet registered for a Potential Provider Meeting (“PPM”), or there are no PPMs for that type of care (i.e. temporary shelter, foster care). It can also be used for new GSA or R&P programs under an umbrella where attending a PPM would not be required for the new program.

**Registered** status is used for a new program who registered for a PPM for FCC and GSA. For GSA, the admin will choose this status when the record is created and the new program is registered to attend a PPM. For FCC, this status is automatically populated through the PPM registration process for FCC programs in LEAD.

**New application in progress** status is used for applicants that have submitted a brand new application. These are programs that have never opened and operated prior to submission of the new license transaction. This status will automatically update when the program submits the new application transaction.

**Re-open in progress** status is for a currently closed provider who was previously licensed with EEC. This status will automatically populate for programs that were previously operational and submitted a new license transaction.

**Closed** status is only used when a program no longer has a valid license and the program is no longer operational. This status should not be used until a final closure has occurred and should not be used to mark if a family child care program goes inactive. For example, a legal referral for a suspension and revocation should not trigger a closure, since the program has not finally closed yet. For closed programs, the licensor must choose a “closed status reason” from the dropdown:



### **Closed status reasons:**

- **Voluntary Closure:** This reason should be selected when the program voluntarily decides to close.

- **New Application Withdrawn:** This reason should be selected when a new program withdraws its application, or a program in re-open status withdraws its new application to re-open. The program will have to withdraw its application through the portal, and the licensor will be notified about the withdrawal and can update the status accordingly.
- **Legal Action:** this reason should be selected when the program is closed due to legal action, such as a revocation.
- **Incomplete Application:** this reason should be selected when the program's closure is caused by the program's failure to complete its application.

### **Regulatory Status (only for FCC): Active and Inactive**

In order to mark a FCC program as “active” or “inactive”, licensors must use the “regulatory status” field. A program can be marked as “inactive” when they elect to go inactive, either as a result of its own decision or as the result of an ongoing investigation where inactive status is requested. This field is only available for FCC providers only.

<b>Regulatory Status</b>	Active ▼	
<b>Closed Status Reason</b>	--None--	
<b>Legal Order</b> 	Active	
<b>LM Code From LEAD</b>	Inactive	
<b>Subsidy Region</b>		

### **Managing Legal Order Statuses:**

Within the LEAD status management screen, licensors will have a place to list any legal orders that a program has been issued. Care must be taken to ensure that the proper legal order status is maintained. Note that more than one legal order status can be selected (for example, a program under sanctions and probationary licensure can have both statuses selected at once).

#### **Legal statuses for licensed programs:**

**Referred for legal action** should be used when the regional staff is referring a case to the legal unit for a legal order or some sort of legal action. Licensors should note that this field should be selected *regardless of the specific legal action being requested*. Unless and until a legal order or other legal action emanates from the legal unit, the program's legal action status should remain in this status.

**Suspended** status is used once a legal order is issued that includes an emergency suspension.

**Sanctions** status should be used once a legal order is issued that includes sanctions.

**Revocation in Progress** status should be used once a legal order is issued that includes a revocation.

**Probationary** status should be used once a legal order is issued that includes the issuance of probationary licenses.

**Freeze enrollment** status should be used when an enrollment freeze is imposed on a program by way of a legal order. Note that there is a different program status for regional enrollment freezes, as described above.

**Legal agreement** status should be used when the program has entered into a legal agreement with EEC.

**Refusal to renew** status should be used once a legal order is issued that includes a refusal to renew.

Legal statuses for “not licensed” programs:

**Revoked** status should be used once a program’s license has been revoked and the program no longer has appeal rights before DALA.

**Surrendered** status should be used once a program’s license has been surrendered.

**Cease and desist** status should be used once a cease and desist order has been issued to the unlicensed program.

**Refused to issue** status should be used once EEC has refused to issue a license and the program no longer has appeal rights before DALA.

**See case file** should be used in conjunction with another status if there is something of relevance in the case file that should be reviewed.