

Collecting, Verifying and Using High Quality Part C Monitoring Data

Terry Harrison – Part C Coordinator
Oliver Giller – Data Manager
New Jersey Early Intervention System
(NJEIS)

General Supervision

- NJEIS is leveraging data to conduct desk audits to monitor programs, identify non-compliance, issue findings and ensure correction in a timely manner.

NJEIS Approach to Monitoring

New Jersey - Monitoring Data

Desk Audit and Inquiry

- Monitoring team conducts desk audits to identify potential non-compliance using data extract.
- Inquiry on each child record identified as potential non-compliant is conducted with the local program.
- Rate of compliance is determined using both the compliant records from the initial extract and the inquiry results.

Purpose of Inquiry

- Verify data accuracy
- Identify exceptional circumstances (e.g. parent reasons)
- Identify barriers to achieving compliance
- Identify improvement strategies planned and/or implemented by the local program

Findings

- Findings are issued based on results from the desk audit & inquiry
- NJEIS issues a corrective action plan (CAP) setting out requirements to be met by the local program including:
 - Required evidence of change, and
 - Quantitative monthly targets
- Local program identifies strategies to achieve targets.

Monitoring Correction

- NJEIS monitors monthly progress toward correction using the data system.
- The local program is required to report on each non-compliance until the program can show compliance through the requirements of the CAP
- More information:

<http://www.nectac.org/topics/quality/gensup.asp>

Local Determinations

Local Determination are based on:

- Performance and Compliance Indicators
- Timely and Accurate Data
- Completion of prior year's Finding and Corrective Action Plan within 12 month
- Additional findings include:
 - Complaint Investigations
 - Hearings
 - At Risk Grantee Status
 - High Risk Grantee Status

Holistic Approach to Monitoring

- Since the implementation of a central management office (state data system) in 2004, NJEIS has monitored using census data.
- Based on an event or indicator, every child record is queried for a specific calendar period.
- For example, monitoring of Indicator 7 (45 day timeline) would begin with a query of all children referred in November 2007.
- All the compliant records vs. non-compliant records determine compliance rate

Statistical Methods

- FY 08 NJEIS moved to stratified random sampling of records over 2 or 3 months for:
 - Indicator 1 - Timely Services
 - Indicator 7 - 45 Days
- Allows a small sample size for large counties
- Provides a larger sample for small counties
- Provides statistically valid result for a longer time period

Leveraging data for monitoring

New Jersey - Monitoring Data

Child Level Database

NJEIS has a child level database that tracks a child from referral to exit

The database records:

- Demographic information
- Key milestone dates (Referral, eligibility)
- Eligibility reason
- Billing Authorizations based on Services agreed to through the IFSP
- Claims submitted, paid, denied, or disallowed

Data Validation

- Using logic to validate data at multiple levels:
 - Data entry fields have edit checks that assure data is valid
 - Funky Data Reports
 - Possible Closed Reports
 - Child assignment

Data Verification

- Assuring valid and reliable data by verifying that the data entered is correct
 - Data entry is done by third party data entry staff at 4 regional centers
 - Many eyes verify and correct data
- Data is provided, used and verified by:
 - Service Coordinators
 - Families
 - Program Provider Agencies (SCUS & EIPs)
 - Individual EIP Practitioners

Using Data System for Monitoring

Data drive desk audits are used to monitor:

- Timely Services
- 45 Days
- Transition Planning Conference

Additional uses of database:

- Fiscal monitoring
- 618 Data
- Procedural Safeguards
- Including real time inquiries to investigate issues regarding child, services, and practitioners

Data Extracts

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Desk Audit Data Extract

- Requires the Data Manager to have an understanding of the issue the monitoring team is investigating & the conclusion they are trying to draw
- Data extracts are generated using business rules
- Developed with the Monitoring Coordinator/Team, Data Manager, Part C Coordinator
- Data extract identifies compliant and potential non-compliant child records
- Business rules are reviewed annually

Purpose of Data Extract

- Provide data to the monitoring team to conduct a desk audit
- Attempt to drill down data to get as close as possible to the specific area being monitored
- Minimize the intensity of inquiry for the Monitoring team & local programs required to verify data accuracy and conduct follow-up.

Example of Extract and Business Rules

Indicator 8c - Transition Planning Conference (TPC)

- Extract child records that exited within 6 months of third birthday
- Extract is grouped by county and third birthday

Example of Extract and Business Rules

Business rules used to determine potential non-compliance with Indicator 8c

- Determine TPC closest to 33 months of age that is in compliance with 90 day requirement.
- If no TPC Authorization record is present mark record as potentially non-compliant for inquiry by monitoring team.

Example of Extract and Business Rules

Additional data included in extract:

- Service Coordinator's name
- Date of TPC that occurred after 33 months
- Child's exit date

Extract is then used to conduct a desk audit

Challenges of Using Data

- NJEIS's most challenging indicator is timely services:
 - Services are timely if provided within 30 days of parental consent to the IFSP
 - The data system and billing authorizations does not currently record the date of consent for the IFSP
 - The data system does not currently track reasons for delays

Challenges of Using Data

- NJEIS has to inquiry on a larger set of services to determine if services were untimely or added to the IFSP as part of an additional IFSP Meeting
- The current procedures can take up to 6 months to obtain and review responses to inquires at multiple system levels and issue findings

Enhancements to Data System

- NJEIS would like to improve data system to help in collection of timely data:
 - Record IFSP Meeting Data
 - Record date of parental consent
 - Require practitioner to submit initial date of service within a short time period rather than rely on claims data
 - If service was not timely record the reasons through a drop down listing

How do we do all this?

New Jersey - Monitoring Data

No more packing up the station wagon.

- NJEIS no longer needs to go on site to measure the SPP/APR indicators or 618 Data

Focused Monitoring

Triggered by:

- Atypical findings, such as high % of delays in meeting the 45 timeline were reported as family reasons.
- Multiple issues identified in local program compliance and performance
- Follow-up on local programs with At Risk and High Risk grant status

Data Driven:

- Monitoring team uses various data reports to identify the specific child records for review and data verification on-site