

Monitoring and Quality Assurance Report

[Month Year]



UTAH DEPARTMENT OF
HEALTH

Baby Watch Early Intervention Program

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Objective

The purpose of the Baby Watch Early Intervention Program (BWEIP) annual assessment audit is to identify and monitor local program administrative processes, compliance with federal regulations, BWEIP policy, quality, evidence-based practices, and the value of services afforded to children and families enrolled in early intervention. Furthermore, the BWEIP established the following objectives in creating a comprehensive, generalized supervision program:

- Strengthen local capacity;
- Improve clarity regarding BWEIP expectations and requirements;
- Identify needs for training and technical assistance;
- Promote consistency in program systems and service provisions;
- Ensure quality in the provision of services;
- Support the alignment of local program processes and procedures with BWEIP policy;
- Strengthen relationships with program administrators and direct service staff; and
- Improve results for children and families

Scope and Methodology

The BWEIP's approach to assessment addresses both *process-related* issues (i.e., how service are provided and the quality of services) jointly with *compliance* issues (i.e., the extent to which a program complies with BWEIP policy and federal regulations).

The methodology involves the following components:

- Defining, creating, and implementing qualitative measurements to examine the application of evidence-based practices (EBP) and Individualized Family Service Plan (IFSP) outcomes, strategies, and activities;
- Parent and professional interviews designed to assess similar dimensions of early intervention practice from the program and parent perspective;
- Desk review of BTOTS data entries determining validity, reliability, level of comprehension, and timeliness of information entered; and
- Administrative practices that monitor CSPD sustained commitment, timely training, and competent coaching.

Desk Audit

Compliance Indicator Checklist

RECOMMENDATIONS

IFSP Quality Assessment

Initial and Ongoing Eligibility Determination

RECOMMENDATIONS

Annual IFSP and Periodic Review

RECOMMENDATIONS

Child Strengths and Current Developmental Abilities

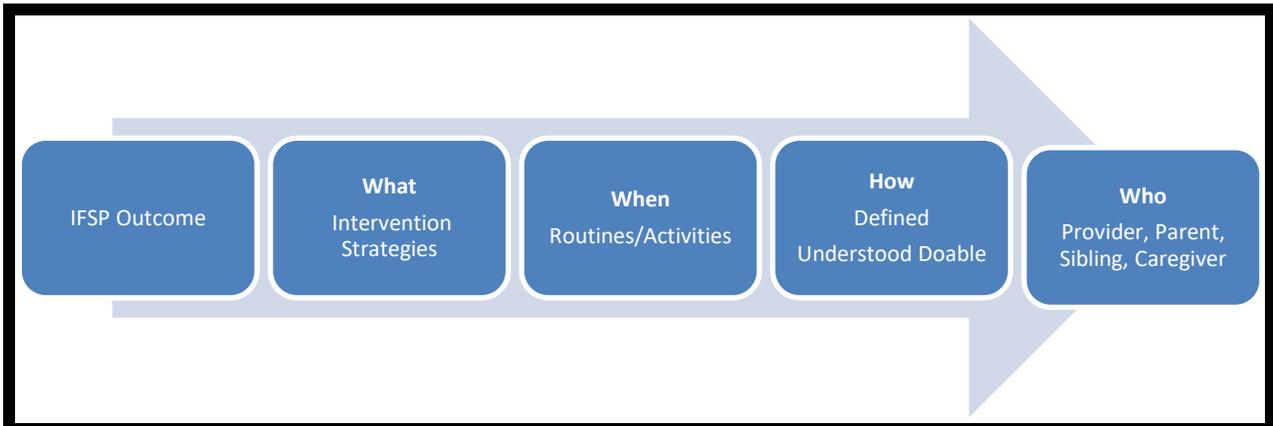
RECOMMENDATIONS

Child and Family-Centered Outcomes

RECOMMENDATIONS

Intervention Strategies and Activities

Table 3. Framework for Identifying and Applying Strategies. *The Early Intervention Workbook: Essential Practices for Quality Services*



RECOMMENDATIONS

Determining Services and Supports

Transition

RECOMMENDATIONS

Service Provisions

Eligibility Determination

RECOMMENDATIONS

IFSP Meetings

RECOMMENDATIONS

Home Visits

Program Narrative Report

Parent Survey

To best analyze the data collected from parent surveys, a percent threshold was determined to identify the minimum percentage of favorable responses (e.g., 90%) required in order for a program to receive an overall satisfactory rating.

This percent threshold was applied to all closed-ended questions asked of the following subgroups: families currently enrolled in early intervention; families referred to early intervention, but determined ineligible; and families who had exited from early intervention services.

In all, [redacted] parents participated in the survey. [redacted] were currently enrolled, [redacted] determined ineligible, and [redacted] had exited from the program.

Feedback received to open-ended survey questions was overall, highly favorable! The exception would be concerns expressed [redacted]. Survey results are detailed below.

Table 4. Percentage of participants who responded *positively* to all closed-ended questions asked in the parent survey. Percent met threshold = $\geq 90\%$

| Currently Enrolled n= [redacted] | Met Threshold | Determined Ineligible n= [redacted] | Met Threshold | Exited n= [redacted] | Met Threshold |
|----------------------------------|---------------|-------------------------------------|---------------|----------------------|---------------|
| Q4 = | | Q23 = | | Q36 = | |
| Q5 = | | Q24 = | | Q37 = | |
| Q6 = | | Q25 = | | Q38 = | |
| Q7 = | | Q26 = | | Q39 = | |
| Q8 = | | Q27 = | | Q40 = | |
| Q9 = | | Q28 = | | Q41 = | |
| Q10 = | | Q29 = | | Q42 = | |
| Q11 = | | Q30 = | | Q43 = | |
| Q12 = | | Q31 = | | Q44 = | |
| Q13 = | | Q32 = | | Q45 = | |
| Q14 = | | Q33 = | | /10= % | |
| Q15 = | | Q34 = | | | |
| Q16 = | | Q35 = | | | |
| Q17 = | | /13= % | | | |
| Q18 = | | | | | |
| Q19 = | | | | | |
| Q20 = | | | | | |
| /17= % | | | | | |

Noteworthy comments from parents about what they identified as the ‘best part’ of their experience with [Program Name]:

Noteworthy comments from parents about their experience with [Program Name]:

Provider Interview

Administrator Interview

One objective in interviewing members of the administrative team was to determine and evaluate the organization's infrastructure that governs practices in early intervention.

SFY 2018 Sub-Recipient Contracts: Special Provisions

Data Entry

In accordance with *Special Provisions* section VII. B. *The Sub-Recipient shall enter complete and accurate data into the BTOTS Web system....*

As outlined in the Special Provisions Section VII. C. *The Sub-Recipient shall enter into BTOTS complete data on service visits delivered to children and families within seven (7) days of each visit.* To determine compliance with this requirement, the **Late Service Entries** report in BTOTS was pulled examining entries made from [relevant 6 month time frame]. A total of [redacted] entries were found to be out of compliance according to definition: Changes to existing home visit notes are considered to be out of compliance when submitted after the 14th day of the month following the service visit.

RECOMMENDATIONS

Equipment Inventory Reconciliation

Special Provisions Section VI. of SFY2018 program contracts requires each early intervention program to submit an equipment reconciliation report and evidence of prior approval for all travel exceeding \$1,500.00 per individual and group gatherings in excess of \$1,000.00.

All local programs are to have a control system for safeguards to provide maintenance and prevent loss, damage, or theft of property.

RECOMMENDATIONS

Conclusion

Strengths

Concerns

General Recommendations

Appendix A: Early Intervention Acronyms and Glossary of Terms

| | |
|--------------|---|
| ASD | Autism Spectrum Disorder |
| BTOTS | Baby Toddler Online Tracking System |
| BWEIP | Baby Watch Early Intervention Program |
| CSPD | Comprehensive System of Personnel Development |
| DS | Developmental Specialist |
| EI | Early Intervention |
| FERPA | Family Educational Rights and Privacy |
| HHV | Health, Hearing, and Vision |
| IDEA | Individuals with Disabilities Education Act |
| IFSP | Individualized Family Service Plan |
| LEA | Local Education Agency |
| OT | Occupational Therapy |
| OTA | Occupational Therapy Assistant |
| PLD | Present Levels of Development |
| PT | Physical Therapist |
| PTA | Physical Therapy Assistant |
| RN | Registered Nurse |
| SI | Special Instruction |
| SLP | Speech Language Pathologist |
| SLPA | Speech Language Pathologist Assistant |
| SC | Service Coordinator |

Adult Learning - enhancing parent capacity to support child learning and skill acquisition through the practices of adult learning which include self-direction, praxis, voluntary participation, reflection, reciprocal respect, and collaborative exchanges.

Assessment – the ongoing procedures used by qualified personnel to identify the child’s unique strengths and needs and the early intervention service appropriate to meet those needs throughout the period of the child’s eligibility.

Baby Toddler Online Tracking System (BTOTS) – the collection and organized storage of child records for families enrolled in early intervention in the state of Utah.

Coaching – An intervention strategy or adult learning method that develops competence and confidence to strengthen and support child learning and skill acquisition.

Comprehensive System of Personnel Development (CSPD) - the primary mechanism for improving the quality of services provided to young children and their families comprised of the following five components: leadership, coordination, and sustainability; state personnel standards; preservice personnel requirement; in-service personnel development; recruitment and retention.

Concerns, Priorities, and Resources (CPR) – areas that family members identify as problems or challenges they want to address as part of the IFSP process and the identification of current strengths, abilities, and formal and informal supports that can be mobilized to meet family concerns, needs, or priorities.

Developmentally Appropriate Practices – the early childhood teaching behaviors that result when professionals when a child’s age, individual needs, and context in which children both live and learn is taken into account.

Evaluation – the procedures used by qualified personnel to determine a child’s initial and continuing eligibility.

Evaluation and Assessment Process – multiple tools or methods used to determine a child’s eligibility, functional abilities, and family needs and priorities.

Evidence-Based Practice (EBP) – strategies, interventions, and supports informed by research in which the characteristics and consequences of variables are empirically established and the relationship directly informs what a practitioner can do to produce a desired outcome.

Family-Centered Interventions – the recognition and application of the family as a constant in a child’s life and the identification of service systems and personnel to support, respect, encourage, and enhance the strength and competence of the family.

Functional Assessment - tools or methods used to provide information about a child’s functional abilities (i.e. participation, interaction, and independence in family and community life) in the context of day-to-day routines that includes a child’s likes, dislikes, interests, and motivators.

Functional, Individualized Family Service Plan (IFSP) Outcomes – the meaningful, useful, and measurable goals that reflect the priorities of the family and encompass real-life situations or family routines.

Individualized Family Service Plan (IFSP) – a legal document that guides the provision of services and supports for child and families enrolled in early intervention.

Individualized Family Service Plan (IFSP) Outcomes – statements or goals of the changes families want to see for their child and family.

Individualized Family Service Plan (IFSP) Team – the family members and professionals collaborating to assess the child, identify family strengths and needs, develop and carry out outcomes and strategies, and evaluate the effectiveness of the IFSP.

Intervention – the services and supports received to address the area of need as identified on the IFSP.

Local Education Agency - a district or charter school including the Utah School for the Deaf and Blind (USDB).

Modeling - an intervention tool or strategy involving the process of demonstration of a skill “in action.”

Multidisciplinary Teaming – two or more professionals from different disciplines who evaluate the child and family independently using measures particular to their respective disciplines.

Native Language – the language normally used by that individual, or, in the case of a child, the language normally used by the parents of the child.

Natural Environments – the settings that are natural or typical for a same-aged child without a disability, which may include the home or community settings, and the child and family’s daily routines.

Participation-Based Individualized Family Service Plan (IFSP) Outcome – a goal written with the child’s participation in one or more daily routines that includes the specific behavior(s) and measurable criteria for acquisition, generalization, and maintenance.

Parent Rights – the legal rights and responsibilities afforded to parents in special education including consent for evaluation, consent for services, appeals process, and access to child records.

Principles of Child Learning - the understanding of both typical and atypical behavior, including important developmental milestones, the influence of temperament, and the influence of nature and nurture jointly with the concept that children learn through repetition of meaningful activities with familiar and trusting caregivers during familiar routines and locations.

Procedural Safeguards – the process of protecting the confidentiality of personally identifiable information at the collection, maintenance, use, storage, disclosure, and destruction states.

Relationship-Based Practices – promoting child development through parent-provider and parent-child relationships through implementation of the following behaviors: recognizing parents as the expert of

their child, open and honest communication, respecting family priorities, displaying genuine caring, and flexibility.

Routines-Based Interview™ (RBI) – a semi-structured clinical interview designed to help families decide on outcomes/goals for their individualized plans, to provide a rich and thick description of child and family functioning, and to establish an immediately positive relationship between the family and the professional.

Service Coordination (SC) – case management for implementing the IFSP in a meaningful way that supports and promotes family capacities and competencies to identify, obtain, coordinate, monitor, and evaluate resources and services to meet individualized needs.

Special Instruction (SI) – the services provided, as appropriate, by qualified personnel to assist the family of a child with a disability in understanding the special needs of the child and enhancing the child’s development. Special instruction includes curriculum planning, parent instruction, supports, and the design of learning environments and activities that promote child acquisition of skills across a variety of developmental domains.

State Systemic Improvement Plan (SSIP) - a multi-year plan, developed in collaboration with stakeholders, to increase child social relationships by substantially increasing rate of growth for children of culturally diverse backgrounds enrolled in early intervention in the state of Utah.

Transdisciplinary Teaming - includes professionals from various disciplines committed to teaching, learning, and working across disciplinary boundaries to plan and provide integrated early intervention services through peer coaching and consultation, and the blending of specific skills to focus on achieving integrated IFSP outcomes.

Transitions - the name given to the process (steps and services) of preparing children and families to exit from early intervention.

Appendix B: Resources

Division for Early Childhood. (2014). DEC recommended practices in early intervention/early childhood special education 2014. Retrieved from <http://www.dec-sped.org/recommendedpractices>

McWilliams, R.A. (2010) Routines-Based Early Intervention: Supporting Young Children and Their Families. Baltimore, MD: Brookes Publishing Co.

Pacer Center Champions for Children with Disabilities. (2010) *Natural Environments Support Early Intervention Services*. Pacer Center, Inc. ACTION sheet: PHP –c178. Minneapolis, MN. Retrieved from www.pacer.org

Pletcher, L.C. & Younggren, N.O. (2013) The Early Intervention Workbook: Essential Practices for Quality Services. Baltimore, MD: Brookes Publishing Co.

Rush, D.D. & Shelden, M.L. (2011) The Early Childhood Coaching Handbook. Baltimore, MD: Brookes Publishing Co.

Rush, D.D. & Shelden, M.L. Shelden (2012) The Early Intervention Teaming Handbook: The Primary Service Provider Approach. Baltimore, MD: Brookes Publishing Co.

Younggren, N. (2002) Early Childhood Training and Technical Assistance Center (ECTA) *Family-Centered Early Intervention Services in Natural Environments: A Closer Look for Educational and Developmental Intervention Services (EDIS) Early Intervention*. *Natural Environments Handbook*. Retrieved from www.nectac.org

Younggren, N. (2014) Early Childhood Training and Technical Assistance Center (ECTA) *Educational and Developmental Intervention Services (EDIS) Comprehensive System of Personnel Development (CSPD) Individualized Family Service Plan*. *Process Guidance Handbook*. Retrieved from <http://ectacenter.org>

Appendix C: Quality Assurance Plan

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|-------------------------------|--|
| Quality Assurance Plan | |
| Identified Objectives | |

Root Cause Analysis

[Empty space for Root Cause Analysis content]

| Changes to Supervision | Strategies | Completion Date |
|------------------------|------------|-----------------|
| | | |

| Development/Revisions to Policies and Procedures | Strategies | Completion Date |
|--|------------|-----------------|
| | | |

| Provisions of Training/Technical Assistance from BWEIP | Strategies | Completion Date |
|---|------------|-----------------|
| | | |

| Changes to Provider Practices | Strategies | Completion Date |
|-------------------------------|------------|-----------------|
| | | |

| Valid, Timely, and Reliable Data | Strategies | Completion Date |
|----------------------------------|------------|-----------------|
| | | |

| Changes in Infrastructure/Staffing | Strategies | Completion Date |
|------------------------------------|------------|-----------------|
| | | |

| Required Evidence of Change | Document/Report | Responsible Party | Date Due |
|-----------------------------|-----------------|-------------------|----------|
| | | | |

