

# Preparing for the SFY24 45-Day Baseline Analysis

November 15, 2023

Welcome to  
the webinar!

**Communicating:** Use Questions or Chat box to type comments and questions.

**Polls:** Poll question will appear on screen. Click the button next to your answer.

**Sign-in:** At end of presentation, type your name, role, and county into the Chat box.

**CPDUs:** CPDUs are not provided for this webinar.

**Recording:** This webinar is being recorded, and the recording will be posted to the EI website.

**Tech Tips:**

- Use computer audio (**arrow beside the mute button**)
- Use headset if having audio problems
- Close other apps
- Log out and back in Zoom
- Dial in (option listed on webinar invitation)

# Objectives/Agenda



Timelines for the baseline process



Compliance components



Data cleaning



Documentation

# Annual Baseline Calendar

<https://ohioearlyintervention.org/monitoring>

## SFY24 Baseline Compliance Calendar (subject to change)

Date(s)	LEA (All Counties) <i>Children turning three between February 1, 2024 and January 31, 2025</i>
1/21/2024	<i>Counties complete data cleaning/review</i>
1/22/2024 to 2/1/2024	<i>Counties run Feb 1 LEA report and send applicable pages to appropriate</i>
2/2/2024	<i>LEA reports due to DODD</i>

Date(s)	45-Day (Group 3) <i>45-Day timelines ending July through September 2023</i>
11/15/2023	<i>45-Day Baseline webinar</i>
11/30/2023	<i>Counties complete data cleaning/review</i>
12/6/2023	All deletion requests processed
12/14/2023	<i>Counties complete data re-entry following deletions by DODD</i>
12/20/2023	Compliance data extracted from EIDS
1/9/2024	Compliance inquiries sent to applicable counties
1/10/2024 to 1/24/2024	<i>Counties responding to inquiries</i>
1/25/2024 to 3/25/2024	Verification and final analysis
3/26/2024	Results memos issued

Date(s)	TRS (Group 2) <i>TRS due dates October through December 2023</i>
2/6/2024	<i>TRS Baseline webinar</i>
2/22/2024	<i>Counties complete data cleaning/review</i>
2/26/2024	All deletion requests processed
2/29/2024	<i>Counties complete data re-entry following deletions by DODD</i>
3/1/2024	Compliance data extracted from EIDS
3/14/2024	Compliance inquiries sent to applicable counties
3/15/2024 to 3/29/2024	<i>Counties responding to inquiries</i>
4/1/2024 to 5/22/2024	Verification and final analysis
5/23/2024	Results memos issued

Date(s)	Transition (Group 1) <i>TPC and Transition Steps and Services due January through March 2024</i>
3/27/2024	<i>Transition Baseline webinar</i>
4/12/2024	<i>Counties complete data cleaning/review</i>
4/17/2024	All deletion requests processed
4/22/2024	<i>Counties complete data re-entry following deletions by DODD</i>
4/23/2024	Compliance data extracted from EIDS
5/7/2024	Compliance inquiries sent to applicable counties
5/8/2024 to 5/22/2024	<i>Counties responding to inquiries</i>
5/23/2024 to 7/23/2024	Verification and final analysis
7/24/2024	Results memos issued

What are you  
here to learn?



# Baseline Process

Baseline overview document is available on the EI website:

<https://ohioearlyintervention.org/monitoring>



## Baseline Results

Results of the baseline analyses are determined using percent compliant, as follows:

- **100%:** If the analysis indicates 100% compliance, the county is considered compliant.
- **95 – 99.9%:** If the analysis shows a compliance percentage that falls in this range, DODD looks at one month of the most recent data. If the data appear to be 100% compliant in the data system (after any necessary missing data requests have been resolved), no finding is issued; however, the original percentage is utilized for Annual Performance Report (APR) reporting purposes. If the more recent data are not 100% compliant in the data system, a finding is issued reflecting the original compliance percentage.
- **<95% with only one noncompliant record AND no evidence of systemic noncompliance:** If the analysis indicates a compliance percentage less than 95%, but with only one noncompliant record for the data set, DODD looks at the circumstances to determine if the record reflects an isolated event or potential systemic noncompliance. In the absence of evidence of systemic noncompliance, DODD looks at one month of the most recent data. If the more recent data appear to be 100% compliant in the data system (after any necessary missing data requests have been resolved), no finding is issued; however, the original percentage is utilized for Annual Performance Report (APR) reporting purposes. If the more recent data are not 100% compliant in the data system, a finding is issued reflecting the original compliance percentage.
- **< 95%:** If the analysis shows the compliance percentage to be below 95% with more than one noncompliant record or evidence of systemic noncompliance, no further data are reviewed and a finding is issued.

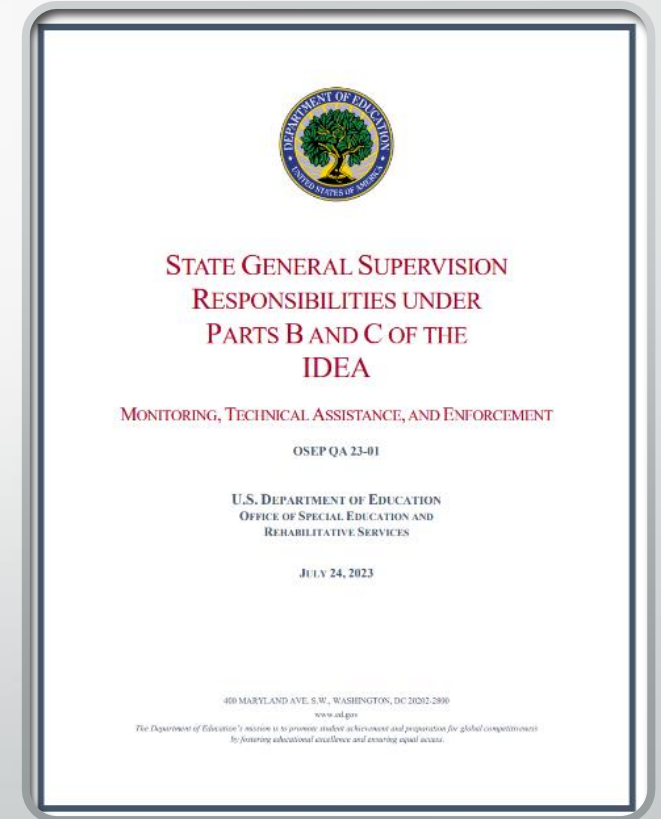
## Correction of Findings

Once issued a finding, counties must correct the finding as soon as possible, but no more than one year from issuance of the finding. Counties must also demonstrate that they have corrected each individual case of child-specific noncompliance, unless the child is no longer within the jurisdiction of the county. DODD examines data on a monthly basis to determine county compliance. In order to correct any findings, counties must first have one month of data at 100% compliance as entered in EIDS (i.e., before verification), at which point DODD will request a representative sample of records for verification. If all records are found to be compliant, a correction memo is issued. If any records are found to be noncompliant, DODD continues to examine monthly data. The following are some additional requirements of and details about what happens while a county is working to correct a finding:

- Counties must access technical assistance while on a finding.
- Data will be pulled on or just after the first of each month and counties will receive missing data inquiries, as necessary.
- Counties must run and review reports in EIDS at least monthly in order to stay on top of their data.
- If a county does not correct within six monthly data analyses, the county will complete a Corrective Action Plan (CAP).
- If a county has no applicable records during one of the first six months of analyses, the month will still count towards the six months. In situations where an extremely small program does not have sufficient, updated data to demonstrate systemic compliance, alternative methods of verification of correction may be considered, taking into consideration factors such as county size, number of children served, extenuating circumstances, etc. Alternative methods to verify

# Federal Guidance from OSEP

- Part C Differentiated Monitoring and Support (DMS) Reports -  
<https://www2.ed.gov/fund/data/report/idea/dmsrpts/index.html#partc-dms>
- OSEP General Supervision guidance -  
<https://sites.ed.gov/idea/osep-releases-updated-guidance-to-strengthen-states-general-supervision-requirements/>
- EI Program Updates #2307 and #2315



# SFY24 Compliance Baseline Data Uses



- For federal reporting in the Annual Performance Report (APR)
- To monitor compliance with federal requirements, including issuing findings if requirements are not being met
- As a factor in calculating county determinations



# Compliance Indicators

45-Day timeline

Timely Receipt of  
Services (TRS)

## Transition

- LEA notification
- Steps and services on the IFSP
- Transition Planning Conference (TPC)

# 45-Day Requirement



For all children referred to EI, eligibility determination, a child assessment, a family assessment, and an IFSP must be completed within 45 days of the referral.

# 45-Day Compliance Components in EIDS

Eligibility date

- Evaluation date
- Diagnosis documentation obtained date

Child and Family Assessment date

Initial Early Intervention IFSP date

Noncompliance reasons (NCRs), as applicable

# 45-Day Compliance Date Ranges

- DODD utilizes one quarter of the SFY to determine baseline compliance percentages
- For the SFY24 45-Day Baseline compliance analysis, DODD will examine all records with a 45-Day timeline ending between **July 1, 2023 through September 30, 2023**
- This includes all children referred between May 17, 2023 through August 16, 2023

# Timeline for 45-Day Analysis

<b><i>Projected Date</i></b>	<b><i>Event/Task</i></b>	<b><i>Who</i></b>
11/30/2023	<b><i>All deletion requests and inquiries regarding data cleaning due</i></b>	<i>Counties</i>
12/14/2023	<b><i>Counties complete data re-entry following deletions</i></b>	<i>Counties</i>
12/20/2023	<i>Compliance data extracted from EIDS</i>	<i>DODD</i>
1/9/2024	<i>Compliance inquiries sent to counties</i>	<i>DODD</i>
1/24/2024	<b><i>Compliance inquiries due to DODD</i></b>	<i>Counties</i>
3/26/2024	<i>Results memos issued by DODD</i>	<i>DODD</i>

# County Responsibilities: Data Cleaning



- Review and clean up data by **Thursday, November 30, 2023**
  - Deletion requests
  - Questions about any of the data
- Submit any inquiries to EIDS with "SFY24 45-Day Baseline" in the subject
- Any data re-entry following deletions is due **Thursday, December 14**

# County Responsibilities

Ensure all data are:

- Complete
- Accurate
- Entered timely



# County Responsibilities: Data Inquiries

- Respond to any data inquiries by **Wednesday, January 24, 2024**
- Three potential types of inquiries
  - Missing data (if any 45-Day components are missing in EIDS)
  - Verification Request (selection of records from each of the counties)
  - NCR confirmation (for any system reasons)





# Data Cleaning



<b>Early Intervention Reports</b>
<a href="#">45-Day CAP Log</a>
<a href="#">45-Day Compliance Monitoring Report</a>
<a href="#">45-Day Info For All Referrals</a>
<a href="#">Active Service Coordinator</a>
<a href="#">CAPTA Report</a>
<a href="#">Child Outcome Extract</a>
<a href="#">Child Outcome Monitoring</a>

Counties should use the *45-Day Compliance Monitoring Report* in EIDS

# 45-Day Compliance Monitoring Report

This report includes all children whose records were open at least 45 days. In the instances where contact was never made and the child was not exited in 45 days, all items will be labeled as "Missing".

### 45-Day Compliance Monitoring Report

County:	BEIS Test County	▼
Contract:	Early Intervention (BEIS Test County Early	▼
Agency:	ALL	▼
Worker:		▼
*Date Option:	<input checked="" type="radio"/> 45-Day Timeline Ends	
	<input type="radio"/> 45-Day Referral Date	
*Report Start Date:	07/01/2023	
*Report End Date:	09/30/2023	
*ReportType:	<input checked="" type="radio"/> Data Extract	
	<input type="radio"/> Data Summary	
*Report Format:	EXCEL	

*\* Indicates required field.*

Use the "45 Day Timeline Ends" option for the SFY24 baseline analysis.

For the SFY24 baseline analysis, use 07/01/2023 to 09/30/2023.

# 45-Day Compliance Monitoring Report

Y_Type	EligibilityCriteriaDate	Eligibility	Child_Assessment_Date	Child_Ass	Family_Assessment_Date	Family_Assessm	IFSP_Date	IFSP
	7/11/2023		7/11/2023		8/15/2023	51	8/15/2023	
	Missing		Missing		Missing		Missing	
Standard C	8/11/2023	51	8/11/2023	51	9/1/2023	51	9/1/2023	
	7/11/2023		7/11/2023		7/28/2023		7/28/2023	
	Missing		Missing		Missing		Missing	
	Missing		Missing		Missing		Missing	
	7/27/2023		7/27/2023		8/3/2023		8/3/2023	
Standard C	7/11/2023		7/11/2023		8/10/2023		8/10/2023	
Standard C	7/11/2023		7/11/2023		8/10/2023		8/10/2023	
ble	8/7/2023		Missing		Missing		Missing	
ble	8/29/2023	51	Missing		Missing		Missing	
	7/24/2023		7/24/2023		8/11/2023		8/11/2023	
Standard C	8/9/2023		8/9/2023		8/17/2023		8/17/2023	
9 Stanc	7/19/2023		7/19/2023		8/7/2023		8/7/2023	
Standard C	8/4/2023		8/4/2023		8/17/2023		8/17/2023	
ble	8/23/2023		8/23/2023		Missing		Missing	
9 Stanc	9/5/2023		9/5/2023		Missing		Missing	
it	7/26/2023		8/4/2023		8/4/2023		8/4/2023	
Standard C	8/8/2023		8/8/2023		8/17/2023		8/17/2023	
it	8/8/2023		8/8/2023		8/8/2023		8/8/2023	
it	8/1/2023		8/14/2023		8/14/2023		8/14/2023	
	Missing		Missing		Missing		Missing	
Standard C	8/25/2023		8/25/2023		9/5/2023		9/5/2023	

# Noncompliance Reasons (NCR)

51	Parent/Child Reason
52	Couldn't locate/reach family
53	Emergency related closure
54	HMG staff error
55	HMG system reason
56	System reason – COVID-19



<https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/EINCRExamples.pdf>

# Missing Data Inquiry

I	J	K	L	M	N	O	P
Eligibility NCR	Child Assessment Date	CA NCR	Family Assessment Date	FA NCR	IFSP Date	IFSP NCR	Notes
51	12/21/2020	51	12/11/2020		Missing		
	11/19/2020		11/20/2020		Missing		
51	Missing		Missing		Missing		
	11/5/2020		10/22/2020		Missing		
	Missing		Missing		Missing		
	11/13/2020		10/27/2020			51	
	Missing		Missing		Missing		



# Verification of records

- Does the documentation in the record support what is entered in the data system?

<https://ohioearlyintervention.org/monitoring>

## Ohio Early Intervention Compliance Indicator Verification Standards

This guidance document is intended to serve as an additional checklist for compliance documentation. It is not an exhaustive list of requirements and does not address related requirements. If you have questions about documentation and/or compliance, please contact your EI program consultant.

### 45-Day Verification

Component		Verification document	Source of information	Requirement
EIDS # on child record		Every document	Upper right corner of each page, if not already on page	Must be on all pages
Eligibility	Eval (including ICO)	IFSP	Section 3A  Section 3B  Section 3E	First box checked with date  I - IV complete, as applicable  Team member information Evaluator(s) represent two disciplines/licenses
	Diagnosed condition on the list (any)	IFSP  Documentation confirming the qualifying diagnosed condition	Section 3A  Document from health professional confirming diagnosis	Second box checked Diagnosis listed Date EISC received documentation confirming diagnosis  Child's name Child's diagnosis Professional's signature or authorization (a professional licensed to diagnose and treat mental or physical conditions) <i>Examples include a signed note from a physician, a hospital discharge document with the diagnosis and physician's/health professional's name, an email with an electronic signature or other authorization from the health professional, a</i>

# Eligibility

Child's name

EIDS number

## Section 3: Eligibility and Assessment

### Section 3A: Eligibility

#### Initial Eligibility

Your child is eligible for Ohio Early Intervention (EI) due to:

- Developmental delay, as determined by EI evaluation team, on \_\_\_\_\_ (date). See section 3B for the summary of eligibility.
- Diagnosed physical or mental condition with a high likelihood of resulting in a developmental delay.

Diagnosed condition

Date EI service coordinator confirmed diagnosed condition

# Eligibility via evaluation

## Section 3B of the IFSP – Tool Administration

- What tool was used
- Dates administered
- Results in all developmental domains
- Whether delay was present based on scores or ICO and area/s of delay
- Location of testing
- Any adaption, including virtual administration of the tool





# Eligibility via Diagnosed Condition

## Diagnosis on the list

- Acceptable documentation of qualifying condition
- Is it covered by Appendix C?
- Does it meet the requirements? (e.g., NAS vs. drug exposed)

## Diagnosis on the form

- Form EI-12 is complete
- Signed by health professional

<https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/Determining-Eligibility-EI.pdf>

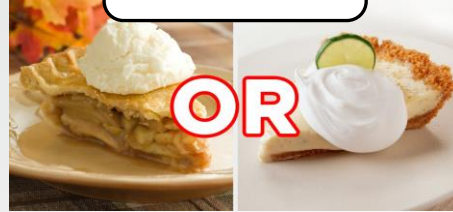
POLL



If a pediatrician made a referral to EI without accompanying documentation, but stated that the reason for the referral was Down Syndrome, that is sufficient documentation of a diagnosis on the list.

1. True
2. False

POLL



If the referral source was entered by Central Intake as being a Hospital Based Child Find specialist and the referral form is attached, the child is automatically eligible.

1. True
2. False

# Assessments

- Child Assessment
  - Section 3E complete – strengths and needs
  - Date completed must be documented next to E&A team info on IFSP
- Family Directed Assessment
  - EI-03 signed & dated
  - Waiver initialed if fewer than 10 days (e.g., same day)
  - Section 3C complete (if parent signed consent)
  - Approved tool used



# E&A team

- Section 3E must include E&A team member information
- Team must reflect more than one discipline



## Multidisciplinary Evaluation and Assessment Team Members

Printed name	Discipline	Contact information
Steve Hunnaman	Developmental Specialist	614-555-0006; 8/15/2019
Kelli Flood	Occupational Therapist	614-555-0007; 8/5/19
Jennifer Green	Service Coordinator	614-555-0016; 7/15/2019

# Consents & Signatures

## IFSP

- Date of IFSP on header with type
- Parent provided written consent
- EISC must sign IFSP
- E&A team provided input

## Written informed consent in general

- Ensure parents understand consent
- Alternative documentation (text, email, etc.) must reflect informed consent
- Method is documented in case notes



# Noncompliance Reasons

- For any late or missing components, case notes will be needed to support the reason
- Case notes, along with other supporting documentation, often determine whether a record will pass verification



# Documentation: High Quality Case Notes



- When did it occur?
- Where did it take place?
- How did it take place?
- Who was involved?
- What took place?
- Why did the activity occur?
- Follow-up activity needed
- Signature/credentials/date



# Documentation: Tell me what happened

- All attempts to contact the family
- Conversations with the family (including informed consent)
- Scheduling process – dates offered, dates declined, preferences, limitations
- Meetings, cancellations, and no shows
- Attempts to reschedule missed appointments ASAP
- The overall process, not just the result



## Sample case note

EISC received text message from mom, XXX XXXX requesting to cancel the evaluation appointment for the following day (8/16/2022) due to her older child having a fever. She requested to leave time to allow the illness to get through the rest of the family. EISC offered next available time slots of 8/29/2022 @ 11:30am and 8/31/2022 @ 1pm, mom declined both slots and requested the next early morning time slot, EISC offered first available time slot of 9/7/2022 @ 9am, mom accepted.

## Final Analysis & Results

- Data inquiries are incorporated into the final analysis
- Results memos are issued to each county
- Any county that is less than 100% receives a finding which must be addressed through the correction process



# Common Issues: Eligibility

## Avoid unnecessary evaluations

- Check EIDS – is the child already eligible (e.g., re-referral, transfer)?
- Does the referral itself document eligibility, such as an applicable ODH or HBCF referral?
- Is there documentation already available (e.g., Manage Documents, parent, medical record)?
- <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/Determining-Eligibility-El.pdf>



# Common Issues: Eligibility

## Diagnosed Conditions

- Ask the parent about any diagnoses and if they have documentation
- Is the diagnosis on the list?
- Does the documentation have all the components?
- Request documentation early, if needed

## Documentation of evaluations

- 3B needs to be complete (per the prompt), including how the child was eligible and area/s of delay
- Child is either eligible or not eligible (not “EI is recommended” or “ICO was offered”)

### **Section 3B: Evaluation Summary**

Below is a summary of your child's current level of functioning in all developmental domains. The evaluation team explains what was learned about your child's development through the evaluation process.

- I. **Tool administration:** In this section, the evaluation team documents what tool was used, the date(s) of administration, and results (including whether a delay is present based on scores or clinical opinion) in all developmental domains (adaptive, physical [gross and fine motor, vision, hearing], communication, social emotional and cognition). The location of testing and notations of any adaption to the tool or environment (adaptive equipment, interpreter, sign language) are included.

# Common Issues: Assessments

## Child Assessment

- Date needs to be on IFSP by E&A team

## FDA

- PWN must be initialed on EI-03 if fewer than 10 days
- Did parent sign consent?
- Did parent check consent choice?

### **Waiver of Timeline (optional)**

I understand and agree to waive my right to receive written notice 10 calendar days prior to the proposed activity.

Initials of parent(s)

Date

# Common Issues: Consents & Signatures

## IFSP

- EISC must sign
- Parent signature must be written

## Consents

- Consents must be in writing
- Documentation must show parent understood consent



# Common Issues: Case Notes

Document everything!

- All contacts and attempts
- All details around scheduling
- Dates within timeline that were offered
- Attempts to reschedule cancellations within a reasonable time







# Resources

- SFY24 Baseline Schedule - <https://ohioearlyintervention.org/monitoring>
- Baseline Analysis Process – <https://ohioearlyintervention.org/monitoring>
- Verification Standards Checklist - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/Verification-Compliance-Standards-11222.pdf>
- Record Review Checklist - <https://ohioearlyintervention.org/forms/Record-Review-Checklist>
- IFSP Guidance Document - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/IFSPGuidanceDocument07012019.pdf>
- Determining Eligibility: a Step-by-Step Process – <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/Determining-Eligibility-EI.pdf>



# Questions?

Send any questions regarding the baseline process to

[Melissa.Courts@childrenandyouth.ohio.gov](mailto:Melissa.Courts@childrenandyouth.ohio.gov)

[Erin.Hale@childrenandyouth.ohio.gov](mailto:Erin.Hale@childrenandyouth.ohio.gov)

Send any deletion requests or data questions to

[EIDS@childrenandyouth.ohio.gov](mailto:EIDS@childrenandyouth.ohio.gov)

# Presenter Contact Information

Melissa Courts – [melissa.courts@childrenandyouth.ohio.gov](mailto:melissa.courts@childrenandyouth.ohio.gov)

Erin Hale – [erin.hale@childrenandyouth.ohio.gov](mailto:erin.hale@childrenandyouth.ohio.gov)

Taylor Hammond – [taylor.hammond@childrenandyouth.ohio.gov](mailto:taylor.hammond@childrenandyouth.ohio.gov)

# POLL

## Was this helpful?



- I found it very helpful
- I found it helpful, but it didn't answer all my questions
- I already knew most of this, but it was good to hear again
- I really didn't get much out of this
- I was disappointed because it didn't meet my needs

Thank you!

