Integrating Results into Accountability Procedures and Activities

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Outcomes

Participants will:

- Increase their understanding of critical aspects of systems change to begin using results data to determine local program accountability

- Learn how one state made changes to monitoring procedures, what worked, and what they learned

- Engage in small group work to explore how they may incorporate the strategies presented

Shifting the Balance

In 2012, the US Department of Education revised accountability activities to focus on improved results for infants, toddlers, and young children, as well as compliance.

Past Accountability Focus on Compliance

Now, Integrated Focus on Results and Compliance

# Core Principles of Results Driven Accountability (RDA)

- Partnership with stakeholders

- Transparent and understandable

- Drives improved outcomes

- Protection of individual rights

- Differentiated incentives

- Resources match to impact

- Responsive to ultimate consumers - children and families

https://www2.ed.gov/about/offices/list/osers/osep/rda/core-principles.html

Expanding the Focus

- Promotes strategies to improve child and family outcomes by:
  - Strengthening state and local infrastructure
  - Increasing local program and provider capacity
  - Measuring progress and fidelity

At what stage are you in the integration of results into accountability procedures?

Exploration

Installation

Initial Implementation

Full Implementation
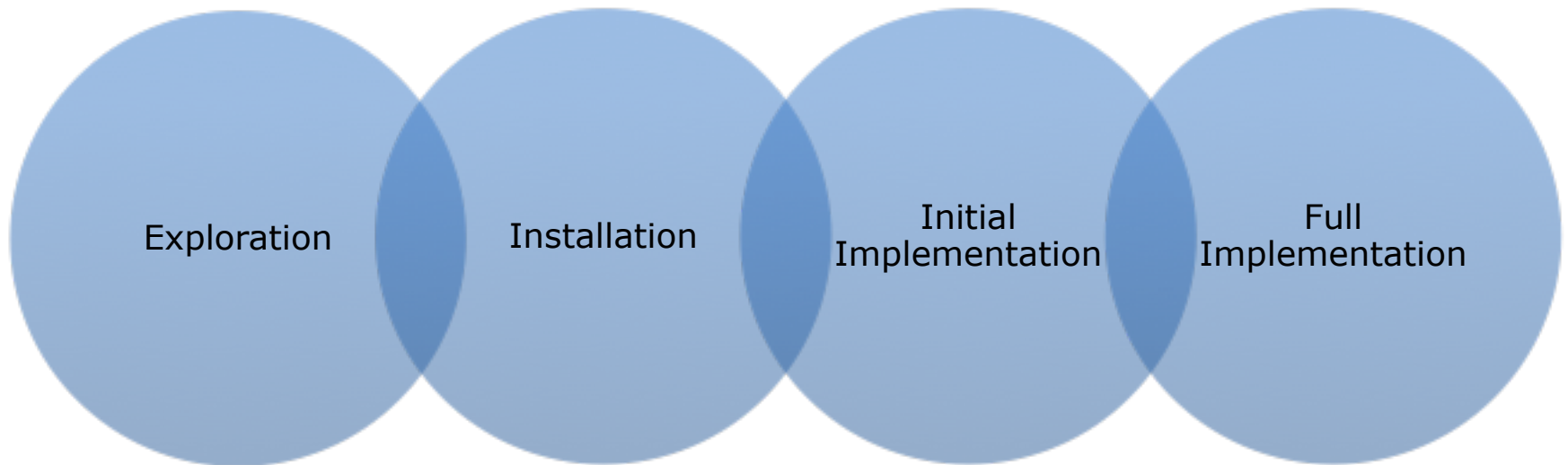
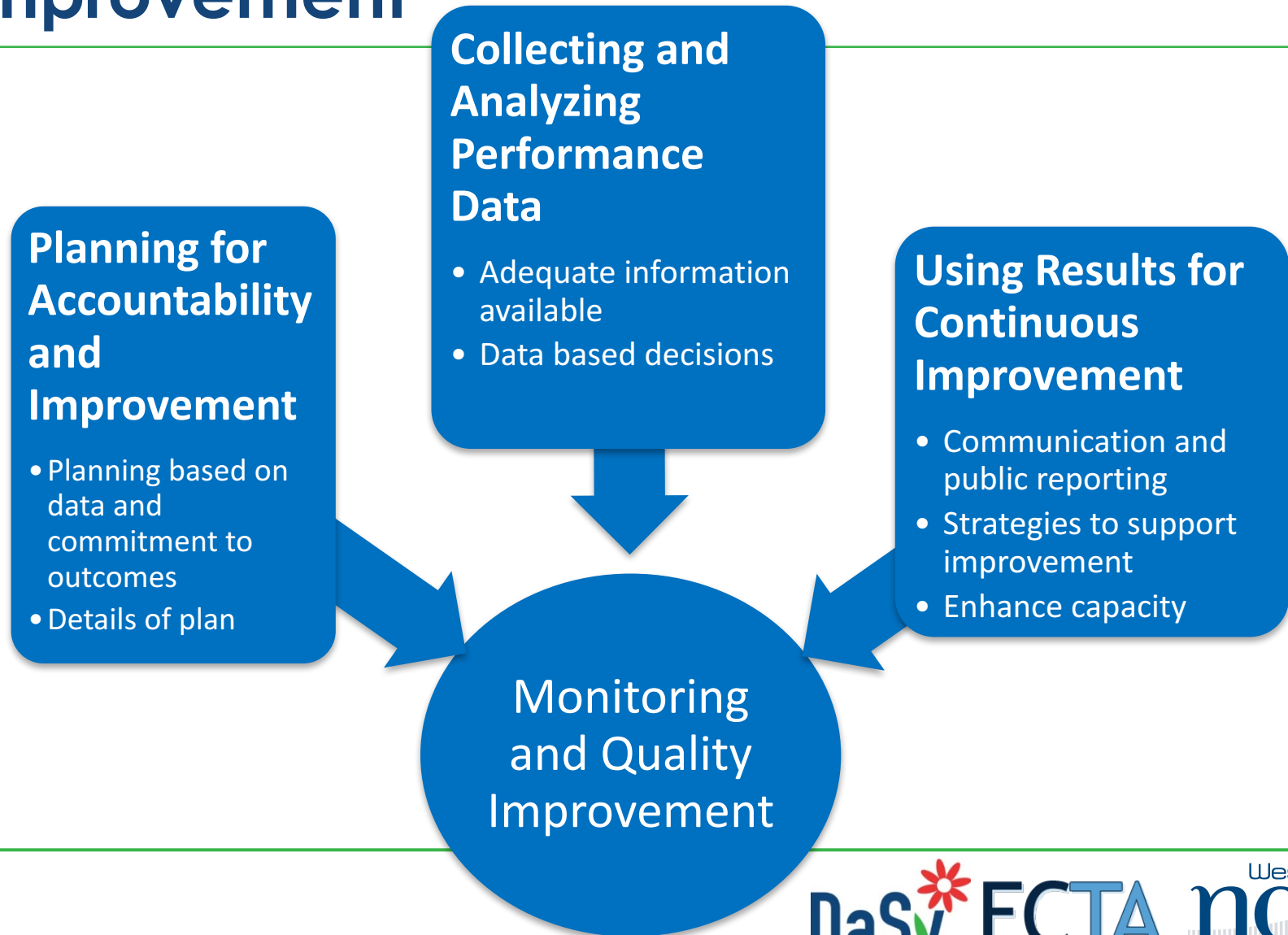# As you think about results, consider the infrastructure changes that may be needed in:

- Governance

- Finance

- Personnel/Workforce

- Data System

- Accountability/Quality Improvement

- Quality Standards

ECTA System Framework http://ectacenter.org/~pdfs/pubs/ecta-system_framework.pdf

Brief Discussion

- As you think about a results focus in your current accountability systems and, in particular, your monitoring activities:

    - What benefits and challenges might this have for your state Part C or 619 program?

    - For local programs and providers?

    - For families?

Accountability and Quality Improvement

Collecting and Analyzing Performance Data

- Adequate information available
- Data based decisions

Planning for Accountability and Improvement

- Planning based on data and commitment to outcomes
- Details of plan

Using Results for Continuous Improvement

- Communication and public reporting
- Strategies to support improvement
- Enhance capacity

Monitoring and Quality Improvement

Features Needed to Incorporate Results into Monitoring Systems

- **Building Capacity of State Staff**: acquiring a different skill set for results monitoring

- **Active Engagement**: involving the Lead Agency, early intervention (EI) programs, and stakeholders in the work

- **Transparency**: creating and sharing monitoring system objectives, tools and resources, and sharing in advance, etc. with stakeholders; not assuming a "gotcha" approach

- **Front Loading TA**: providing EI programs with upfront training and skills prior to monitoring to support progress on results

- **Qualitative Data Collection**: collecting more than just compliance data by using interviews, observations or other sources needed to inform the "why" of quantitative data

Features Needed to Incorporate Results in Monitoring Systems

- **Root Cause Analysis**: to understand the problem represented in the data

- **Improvement Planning**: addressing the root cause and improving the results — not just about correction of noncompliance

- **Selection for Differentiated Intervention**: providing tiers and tiered cycles of monitoring and interventions based on data or findings

- **Incentives (Rewards, Sanctions towards Accountability)**: supporting sustainability and accountability

Baby Watch Early Intervention Program (BWEIP)

- Lead agency – Part C Utah

- 16 Subrecipients

- Est. 9,600 infants and toddlers with active IFSPs in SFY18

Foundation of Utah's Part C System

- Imbed evidence-based research and interventions, principles, validated practices, and relevant laws and regulations

- Assess the application of foundational pillars of early intervention: *family-centered services; relationship-based practices; natural environments; children's learning; adult learning principles; and quality team practices*

- Provide information to drive enhancements to systems and practices at the department and local program level

Results Focus

- Shift from compliance only to identifying and evaluating quality, evidence-based practices

- Improved family outcomes - quality service provisions and evidence-based interventions that result in increased child advocacy, effective communication, and promotion of child growth and development

- Improved child outcomes – quality service provisions, well-documented policies and procedures, and future incorporation of Quality Assurance Plan into local determinations

Utah Part C
General Supervision System Overview

- Design a comprehensive system that successfully accomplishes the following:
  - Identifies and monitors administrative processes
  - Identifies evidence-based practices, compliance, and quality
  - Measures the value of services afforded to children and families in early intervention
  - Systematizes practices within programs and minimizes the broad diversity in design and implementation of intervention models

Utah's Part C General Supervision System Objectives:

- Strengthen local capacity to develop policies and procedures that align with state policy

- Increase local capacity to improve data entry and use

- Strengthen relationships through increased interactions with program administrators and direct service staff

- Ensure quality in the provision of services

Utah's Part C General Supervision System Objectives:

- Improve clarity regarding BWEIP expectations and requirements

- Promote consistency in program systems and service provisions

- Identify needs for training and technical assistance

- Improve results for children and families

Utah's Part C Accountability and Monitoring Site Visit Planning Form

Designed to clearly communicate objectives and to serve as a guideline for organizing or directing the onsite monitoring visit

Utah's Part C Accountability and Monitoring Tools

Desk Audit

- Parent Survey
- IFSP Quality Assessment
- Compliance Indicator Checklist

Site Visit

- Administrative Team Interview
- Staff Interviews
- Observation of Staff and/or Team Meetings
- Service Provision Observations

Utah Part C Monitoring & Quality Assurance Report

❑ Desk Audit

❑ Observations

❑ Interviews

❑ Survey

❑ Strengths

❑ Challenges

❑ Recommendations

❑ Quality Assurance Plan

Purpose of Results Measurement Tools, Report, and Processes

- Determine compliance and IFSP quality and application of evidence-based practices

- Provide information on effectiveness of local program processes and procedures

- Support self-reflection at the provider, program, and state levels

- Measure family satisfaction with services

- Identify aspects that will require capacity-building at the local level

- Drive ongoing training and technical assistance activities

Lessons Learned

- High percentage of records reviewed identified as *Needs Improvement*

- Training and technical assistance will be needed

- There are gaps in the overall compliance and monitoring process that need to be addressed

- Programs were understanding about the urgency of the roll-out and like the comprehensive monitoring, but they were not prepared for the focus on results

- It is a time-consuming process and will need to be amended to address the findings and for sustainability

Utah's Next Steps

- Convening a State Systemic Improvement Plan (SSIP) Compliance and Quality Assurance workgroup to increase stakeholder engagement

- Implementing Quality Assurance Plan and Operational Risk Assessment with follow-up by new staff member

- Updating Utah Part C Policies and Procedures Manuals

- Providing statewide training & technical assistance

Small Group Activity

- What results accountability procedures or activities have you selected or are planning to measure?

- Do you already have data on the measure?

- Does your staff have the skill set and/or capacity for results accountability work? If not, how are you building their capacity?

- Who are the other stakeholders who need to be involved?

- What have you learned so far?

- What can you do to sustain the work?

- What supports from national TA Centers do you need to implement this work?

Resources

- NCSI Part C Results-Based Accountability Cross-State Learning Collaborative https://ncsi.wested.org/resources/learning-collaboratives/

- ECTA System Framework http://ectacenter.org/~pdfs/pubs/ecta-system_framework.pdf

- Considerations for Implementing Systemic Change http://ectacenter.org/~pdfs/pubs/ecta-considerations_for_implementing.pdf

- ECTAC Notes no. 25 *Essential Elements of High Performing, High Quality Part C Systems, pgs. 45-48* *http://ectacenter.org/~pdfs/pubs/partcupdate2010.pdf*

Resources, cont'd.

- DEC Recommended Practices Checklists
  http://ectacenter.org/decrp/type-checklists.asp

- The Early Intervention Workbook: Essential Practices for Quality Services *http://products.brookespublishing.com/The-Early-Intervention-Workbook-P704.aspx*

- Leading by Convening
  https://ncsi.wested.org/resources/leading-by-convening/

- Developing and Implementing an Effective System of General Supervision: Part C
  http://www.hdc.lsuhsc.edu/tiers/resources/Effective General Supervision Paper_Part C.pdf

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Thank you

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