

	<h2>Data Accountability and Quality Assurance</h2> <p>Sharon Walsh Data Accountability Center (DAC) June 15, 2010</p>
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	<h2>IDEA 2004 – “Focused Monitoring”</h2>
	<p>Primary focus of federal and state monitoring:</p> <ul style="list-style-type: none"> – “improving educational results and functional outcomes for all children with disabilities”; and – ensuring States meet program requirements “with a particular emphasis on those requirements that are most closely related to improving educational results for children with disabilities.” (Section 616)

	<h2>Government Performance and Results Act (GPRA), 1993</h2>
	<p>All federal agencies must:</p> <ul style="list-style-type: none"> ■ develop strategic plans describing their overall goals and objectives, ■ match these plans with quantifiable measures of performance (i.e. outcomes), and ■ report annually on progress against these measures.

Program Assessment Rating Tool (PART)

- The PART was introduced in 2002 by
- Designed to establish a meaningful link between GPRA and the budget process
- The PART has been used to assess every federally funded program
- Visit: www.expectmore.gov

Program: IDEA Grants for Infants and Families
Rating: Results Not Demonstrated
One Risk/Formula Grant

Agency: Department of Education
 Bureau: Office of Special Education and Rehabilitative Services

Purpose: 100
Planning Management: 29
Results/Accountability: 44

Results Achieved Measure Achieved
 Results Not Demonstrated New Measure Needed

Key Performance Measures	Year	Target	Actual
Long term and Annual Measure: Percentage of children participating in the Infants and Families program who demonstrate improved and sustained functional skills, including cognitive, social skills, and basic academic, communication and physical development (Populated measure with 10 data website, target under development)	1997	80%	72%
Long term and Annual Measure: Percentage of participating families that report that early intervention services have increased their family's capacity to enhance their child's development (Single year target)	2001	80%	79%
Long term and Annual Measure: Percentage of children ages birth through 2 who are enrolled in the IDEA and families program as a percentage of the general population in that age range (Single year development)	1999	1.8%	1.9%
	2000	1.8%	2.0%

Link to PART details on OMB website. 80

SPP-APR State Determinations & Local Reporting

- Statewide status on all SPP indicators is reported in the APR due every February 1st (4th APR submitted 2010)
- Local performance on indicators 1-8 as compared to state targets must be publically reported annually (beginning in 2007)
- OSEP sends "state determinations annually" each spring (beginning in 2007)
- States must inform local programs of their status annually (beginning in 2007)

	<h2 style="text-align: center;">Federal Enforcement of State Requirements</h2>
	<ul style="list-style-type: none"> ■ IDEA 2004 requires OSEP to determine which states fall under “meets requirements” or under one of three levels of enforcement: <ul style="list-style-type: none"> – Needs Assistance – Needs Intervention – Needs Substantial Intervention ■ Secretary must report to the Congress on any enforcement actions taken and why ■ States must use the same categories

	<h2 style="text-align: center;">Compliance vs. Results Indicators</h2>
	<ul style="list-style-type: none"> ■ “Compliance” indicators are federal requirements <ul style="list-style-type: none"> – Targets for these “compliance” indicators (#1, 7, 8, 9, 10, 11, and 14) must be 100% ■ The others indicators are “results” indicators (#2, 3, 4, 5, 6, 12, and 13) <ul style="list-style-type: none"> – States set targets for “results” indicators for each year of the SPP.

	<h2 style="text-align: center;">Federally Required Standard for Compliance</h2>
	<p><i>States must ensure that:</i></p> <ul style="list-style-type: none"> • Noncompliance is identified; and • All areas of noncompliance are corrected <i>as soon as possible but no later than 12 months</i> of the date of identification of the noncompliance

	<p>Indicator 1 – Timely Services (07-08)</p>
	<ul style="list-style-type: none"> ✓ 32 states 90-100% ✓ 13 states 80-89% ✓ 8 states 70-79 ✓ 2 states < 70% <p style="text-align: center;">-----</p> <p>NM-C 91.5%</p> <p style="text-align: right; font-size: small;">10</p>

	<p>Indicator 7- 45 Days (07-08)</p>
	<ul style="list-style-type: none"> ✓ 42 states 90-100% ✓ 10 states 80-89% ✓ 3 states 70-79% ✓ 1 state < 70% <p style="text-align: center;">-----</p> <p>NM-C 92.3%</p> <p style="text-align: right; font-size: small;">11</p>

	<p>Indicator 8A – Transition Steps on IFSP (07-08)</p>
	<ul style="list-style-type: none"> ✓ 19 states at 100% ✓ 20 states 95-99% ✓ 6 states 90-94% ✓ 8 states 80-89% ✓ 3 states < 70% <p style="text-align: center;">-----</p> <p>NM-C 94.0%</p> <p style="text-align: right; font-size: small;">12</p>

	<p>Indicator 8C – Transition Conference (07-08)</p>
	<ul style="list-style-type: none"> ✓ 13 states 100% ✓ 18 states 95-99% ✓ 7 states 90-94% ✓ 9 states 80-89% ✓ 9 states < 80% ----- NM-C 88.4%

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	<p>OSEP Onsite Monitoring</p>
	<ul style="list-style-type: none"> ■ About 15 states a year ■ Onsite state verification visits ■ May include topical focused monitoring visits ■ CrEAG – tool used to: <ul style="list-style-type: none"> – Analyze state general supervision system, data and fiscal to determine effectiveness in ensuring compliance and improvement performance; and – Review accuracy of data from APR

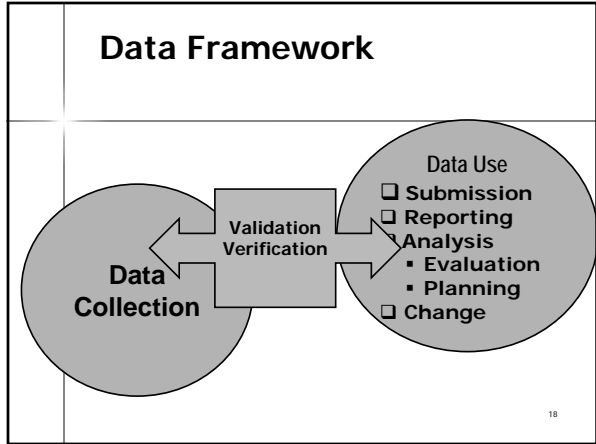
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	<p>IDEA-B 2010 State Determinations</p>
	<ul style="list-style-type: none"> ■ Meets Requirements – 31 states ■ Needs Assistance – 11 states ■ Needs Assistance (2) – 5 states ■ Needs Assistance (3) – 2 states ■ Needs Assistance (4) – 9 states ■ Needs Intervention – 1 state ■ Needs Intervention (4) – 1 state

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	IDEA-C 2010 State Determinations
	<ul style="list-style-type: none"> ■ Meets Requirements – 28 states ■ Needs Assistance – 7 states ■ Needs Assistance (2) – 4 states ■ Needs Assistance (3) – 3 states ■ Needs Assistance (4) – 9 states ■ Needs Intervention – 2 state ■ Needs Intervention (2) – 1 state ■ Needs Intervention (3) – 1 state ■ Needs Intervention (4) – 1 state

	Thoughts for the Day... Important Points
	<ul style="list-style-type: none"> ✓ How do you maximize the data you already collect? ✓ How do you organize your staff and your agency around ongoing data use? ✓ Its all about continuous improvement ✓ Begin with the "End In Mind" ✓ Use data to determine priority for focus ✓ It is important to "drill down" to understand performance to identify meaningful solutions



	<h2>There is a Process for Using Data to Improve Performance!</h2>
	<small>19</small>

	<h2>Data Analysis Process</h2>
Step 1	Identify issues
Step 2	Select relevant and available data/display data
Step 3	What do the data tell you?
Step 4	What are initial hypotheses about contributing factors?
Step 5	What additional data needed to get to root cause?
	<small>20</small>

	<h2>Data Analysis Process</h2>
Step 6	What is the root cause(s)
Step 7	Planning for improvement
Step 8	How to measure and track progress?
Step 9	What process to ensure strategy adjustments are made?
	<small>21</small>

	<p>Step 1</p> <p>Identify issues through periodic review of data. Who should be on the quality assurance/data team?</p> <p>22</p>

	<p>The Issue</p>
	<p>Make it a clear and measurable statement:</p> <p><i>For Example:</i></p> <p>Program did not meet 100% target for Indicator 1 (Percentage of children who received timely services).</p> <p>23</p>

	<p>Step 2</p> <p>Select relevant and available data? How should it be displayed? How should it be disaggregated?</p> <p>24</p>

	<h2>Examine & Discuss Data</h2>
	<ul style="list-style-type: none">■ Visual Analysis:<ul style="list-style-type: none">■ Patterns<ul style="list-style-type: none">– Trends– Variability■ Brainstorm■ Disaggregate and drill down

	<h2>Data-Based Decision Making</h2>
	<ul style="list-style-type: none">■ Data should be used to drive:<ul style="list-style-type: none">– Root Cause Analysis– Improvement Planning– Effectiveness (evaluation)

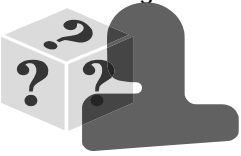
	<p style="text-align: center;">Step 3</p> <p style="text-align: center;">What do the data tell you? Can you drill down to get to the root causes and contributing factors with the data you have?</p>


	<h2 style="text-align: center;">Root Cause Analysis</h2>
	<p>An effective tool used both reactively, to investigate an adverse event that already has occurred, and proactively, to analyze and improve processes and systems before they break down</p> <p><i>(Preus, 2003, Root Cause Analysis: Using Data to Dissolve Problems)</i></p> <p style="text-align: right;"><small>28</small></p>

	<h2 style="text-align: center;">Why Use Root Cause Analysis?</h2>
	<ul style="list-style-type: none"> ■ Use the eyes and minds of the team to develop hypotheses to direct improvement planning ■ Remain open to new ideas as the investigation progresses, without losing focus ■ Eliminates random solutions ■ Conserves resources ■ To provide rationale for strategy selection ²⁹

	<h2 style="text-align: center;">When is a Cause a Root Cause?</h2>
	<ul style="list-style-type: none"> ■ Would the problem have occurred if the cause had not been present? ■ You run into a dead end asking what caused the proposed root cause ■ Everyone agrees that this is a root cause. ■ The cause is logical, makes sense, and provides clarity to the problem. ■ The cause is something that you can influence and control. ■ If the cause is dissolved/corrected, there is a realistic hope that the problem can be reduced/prevented in the future. <p style="font-size: small;">Preus, 2003, Root Cause Analysis: Using Data to Dissolve Problems <small>30</small></p>

	<p style="text-align: center;">Step 4 What are the initial hypotheses about what factors are contributing to the issue?</p> <p style="text-align: right;"><small>31</small></p>

	<h2>Hypothesis</h2>
	<p>An unproved theory, proposition, or supposition tentatively accepted to explain certain facts or to provide a basis for further investigation</p>  <p style="text-align: right;"><small>32</small></p>

	<ul style="list-style-type: none">■ Each hypothesis is a theory statement of why a program may be having difficulty meeting performance standards■ Working hypotheses provide the basis for further investigation and analysis 

	Hypotheses Testing
	<p>Guiding Questions</p> <ol style="list-style-type: none"> 1. What actions in our practice might have contributed to these results? 2. Has there been any information that would lead us to reject the stated hypotheses for our data patterns? 3. Given our data picture, are there any other possible explanations from our practice that we might pose? <p style="text-align: right;"><small>34</small></p>

	Step 5
	<p>What additional data or analyses do you need to test your hypotheses and get to the root causes and contributing factors?</p> <p style="text-align: right;"><small>35</small></p>

	Step 6
	<p>What are your conclusion(s) about the root causes and contributing factors after you review the additional data?</p> <p style="text-align: right;"><small>36</small></p>

	<p>Determine If Status Relates to:</p>
	<ul style="list-style-type: none"> ■ Quality of your data ■ Infrastructure ■ Policies/procedures ■ Professional development ■ Quality Assurance ■ Supervision <p><i>THIS DRIVES YOUR PLANNING</i></p> <p style="text-align: right;"><small>37</small></p>

	<p style="text-align: center;">Step 7</p>
	<p style="text-align: center;">What steps are needed to address the causes or contributing factors? Who will do what and when? What resources are needed? Who is accountable for the solution?</p> <p style="text-align: right;"><small>38</small></p>

	<p>An Effective Improvement Plan includes:</p>
	<ul style="list-style-type: none"> ■ A logical link between the root cause and improvement activities ■ Evidence-based practices ■ Partners identified to assist in improvement activity implementation <p style="text-align: right;"><small>39</small></p>

	<p>An Effective Improvement Plan includes:</p>
	<ul style="list-style-type: none"> ■ Specific action steps developed to complete improvement activities ■ Personnel identified to develop, implement, monitor and evaluate the improvement activity ■ Short term and long term outcomes for improvement activities <p style="text-align: right;">40</p>

	<p style="text-align: center;">Step 8 How will you use data to measure and track ongoing progress?</p> <p style="text-align: right;">41</p>

	<p>An Effective Improvement Plan includes:</p>
	<ul style="list-style-type: none"> ■ Data that will be collected and used to evaluate the outcomes of improvement activities ■ Specific timelines for each activity <p style="text-align: right;">42</p>

	Step 9
	What process will you use to ensure that necessary adjustments in strategies are made as needed?
	<small>43</small>

	Evaluating Progress
	<ul style="list-style-type: none"> ■ Be sure you include a periodic process for gathering, analyzing & using data ■ Ensure a process to determine if planned activities are occurring ■ Track the extent to which short term and long term outcomes are being achieved and if strategy adjustments are needed
	<small>44</small>

	Successful Improvement Plan
	<p>Successful completion of an improvement plan means that the program has corrected the noncompliance and/or made significance progress towards reaching established targets on results indicators</p>
	<small>45</small>

	<h2>Things to Remember</h2>
	<ul style="list-style-type: none">✓ Its all about <i>improved quality</i>✓ Hard to let go of traditional planning – <i>Not about random effort</i>✓ Hard to let go of <i>“I know why”</i>✓ Follow the data where it leads – <i>Keep asking What do the data tell you?</i>✓ Ask the difficult questions – <i>So what do we do now?</i>✓ Create an environment where <i>solutions are supported and celebrated</i> ⁴⁶
