



# Preparing for the SFY22 TRS Baseline Analysis

June 27, 2022

Welcome to  
the webinar!

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

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

**Handouts:** Handouts section on control panel.

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

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

### **Tech Tips**

- Close other open apps (Word, email, etc.)
- Use headset if having audio problems.
- Make sure Computer Audio is checked on your control panel.
- Log off and back in.
- Use Dial-in option: phone # is on your control panel.



## Objectives/Agenda



Timelines for the baseline process




Compliance components



Data cleaning



Documentation



What are you  
here to learn?



# Annual Baseline Calendar

<https://ohioearlyintervention.org/monitoring>

<b>SFY22 Baseline Compliance Calendar (subject to change)</b>	
<b>Date(s)</b>	<b>LEA (All Counties) Children turning three between February 1, 2021 and January 31, 2022</b>
1/7/2022	Send initial notification email to counties (all)
1/21/2022	Counties complete data cleaning/review
1/22/2022 to 2/1/2022	Counties run Feb 1 LEA report and send applicable pages to appropriate LEA
2/2/2022	LEA reports due to DODD
<b>Date(s)</b>	<b>45-Day (Group 2) 45 Day Timelines Ending July 1, 2021 and September 30, 2021</b>
11/16/2021	45-Day Baseline webinar
11/30/2021	Counties complete data cleaning/review
12/6/2021	All deletion requests processed
12/14/2021	Counties complete data re-entry following deletions by DODD
12/20/2021	Compliance data extracted from EIDS
1/10/2022	Compliance inquiries sent to applicable counties
1/11/2022 to 1/25/2022	Counties responding to inquiries
1/26/2022 to 3/24/2022	Verification and final analysis
3/25/2022	Results memos issued
<b>Date(s)</b>	<b>Transition (Group 3) Transition Steps and Services and TPCs due between October 1, 2021 and December 31, 2021</b>
2/2/2022	Transition Baseline webinar
2/22/2022	Counties complete data cleaning/review
2/28/2022	All deletion requests processed
3/1/2022	Counties complete data re-entry following deletions by DODD
3/2/2022	Compliance data extracted from EIDS
3/15/2022	Compliance inquiries sent to applicable counties
3/16/2022 to 3/30/2022	Counties responding to inquiries
3/31/2022 to 5/20/2022	Verification and final analysis
5/23/2022	Results memos issued
<b>Date(s)</b>	<b>TRS (Group 1) Services due to start between January 1, 2022 and March 31, 2022</b>
6/27/2022	TRS Baseline webinar
7/15/2022	Counties complete data cleaning/review
7/21/2022	All deletion requests processed
7/27/2022	Counties complete data re-entry following deletions by DODD
7/28/2022	Compliance data extracted from EIDS
8/9/2022	Compliance inquiries sent to applicable counties
8/10/2022 to 8/24/2022	Counties responding to inquiries
8/25/2022 to 10/17/2022	Verification and final analysis
10/18/2022	Results memos issued

# Baseline Process

Baseline overview document is available on the EI website:

<https://ohioearlyintervention.org/monitoring>

## Ohio Baseline Compliance Analysis Process

### Compliance Monitoring

Each year, Ohio monitors counties on the required compliance indicators: 45-Day Timeline; Timely Receipt of Services (TRS); and Transition, including Transition Steps and Services, Notification to the Local Educational Agency (LEA), and Timely Transition Planning Conferences (TPC). Results from each of these analyses are included in Ohio's Annual Performance Report (APR) due to the U.S. Department of Education's Office of Special Education Programs (OSEP) at the beginning of February each year.

### Cyclical Monitoring Process

Ohio has implemented a rotating annual monitoring schedule in which county programs are included in either the 45-Day, TRS, or Transition (including Transition Steps and Services and TPC) analysis each year and all counties have data analyzed for each of these compliance indicators within a three-year period. Notification to the LEA is monitored for every county annually.

### Baseline Analysis Schedule

The entire process from initial notification of inclusion to disseminating final results memos takes approximately 3.5 months, and includes the following:

- Initial Communications are sent:
  - Included counties receive a schedule of baseline activities and a handout regarding the process for reviewing and cleaning data.
  - Counties not included receive information as such, with approximate dates regarding which indicator they were or will be monitored on for the baseline year.
- A data cleaning period is initiated and lasts approximately one month:
  - Counties have two weeks to review and clean data that will be included in the baseline analysis, including asking questions and requesting any needed deletions in the Early Intervention Data System (EIDS).
  - All deletion requests are processed by EIDS staff within approximately five working days.
  - Any applicable data re-entry following deletions needs to be completed by counties within approximately five working days.
- Relevant data are extracted from EIDS and analyzed after the data cleaning period is complete:
  - DODD staff perform initial data analyses and prepare any needed county inquiries within approximately a week and a half.
  - County inquiries, including missing data and verification requests, as applicable, are sent to counties, who are then required to respond within approximately 10 working days. Data may be missing for a number of reasons, such as delays due to family reasons, late timelines due to staff error, and data entry errors. County staff are asked to indicate why any components are missing from the data system.
  - DODD staff verify applicable records (i.e., confirm that hard copies support what is entered in EIDS), send clarification requests to those counties with incomplete verification documentation, review/reconcile any needed data, and finalize results within three to four weeks.



# SFY22 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)





# TRS Requirement

All EI services must begin within 30 calendar days of the IFSP to which they are added in order to be considered timely



# TRS Components in EIDS

Service start date

Noncompliance reasons (NCRs), as applicable

# TRS Date Ranges

- DODD utilizes one quarter of the SFY to determine baseline compliance percentages
- For the SFY22 TRS Baseline compliance analysis, DODD will examine all records with a TRS due date between **January 1, 2022 and March 31, 2022**
  - This includes new services added to IFSPs between **December 2, 2021 and March 1, 2022**

# Timeline for TRS Analysis

<b>Projected Date</b>	<b>Event/Task</b>	<b>Who</b>
6/21/2022	<i>Data for county files extracted</i>	<i>DODD</i>
6/24/2022	<i>Files with the data to be included in analysis sent to counties</i>	<i>DODD</i>
7/1/2022	<b>Counties begin reviewing applicable data</b>	<i>Counties</i>
7/15/2022	<b>All deletion requests and inquiries regarding data cleaning due</b>	<i>Counties</i>
7/27/2022	<b>Counties complete data re-entry following deletions</b>	<i>Counties</i>
7/28/2022	<i>Compliance data extracted from EIDS</i>	<i>DODD</i>
8/9/2022	<i>Compliance inquiries sent to counties</i>	<i>DODD</i>
8/24/2022	<b>Compliance inquiries due to DODD</b>	<i>Counties</i>
10/18/2022	<i>Results memos issued by DODD</i>	<i>DODD</i>



# County Responsibilities

Ensure all data are:

- Complete
- Accurate
- Entered timely



# County Responsibilities: Data Cleaning

- Review and clean up data by **Friday, July 15, 2022**
  - Deletion requests
  - Questions about any of the data
- Submit any inquiries to EIDS with “SFY22 TRS Baseline” in the subject
  - Be sure to use this email address: [eids@dodd.ohio.gov](mailto:eids@dodd.ohio.gov)
- Any data re-entry following deletions is due **Wednesday, July 27, 2022**

# County Responsibilities: Data Inquiries

- Respond to any data inquiries by **Wednesday, August 24, 2022**
- Three potential types of inquiries
  - Missing data (if any TRS components are missing in EIDS)
  - Verification Request (selection of records from each county)
  - NCR confirmation (for any system reasons)

# TRS Data Cleaning – County Files

- Because the EI Services Report contains additional information outside of TRS, DODD sent a data file that includes all of the children with individual service due dates between January 1, 2022 and March 31, 2022
- Please note that the data for this additional report were extracted on June 21, 2022. This means that any data entry/changes/edits performed after this date will NOT be reflected in the data file provided to you.



# TRS Data Cleaning – County File Example

County data files look similar to the one below (with additional information):

IFSP Date	Service Type	TRS Due	Start Date	NCR
2/7/2022	Special instruction	3/9/2022	2/24/2022	
12/22/2021	Speech-language pathology services	1/21/2022	1/19/2022	
12/9/2021	Occupational Therapy	1/8/2022	12/20/2021	
12/9/2021	Vision services	1/8/2022	12/20/2021	
1/27/2022	Special instruction	2/26/2022	2/24/2022	
12/8/2021	Occupational Therapy	1/7/2022	1/6/2022	
12/8/2021	Speech-language pathology services	1/7/2022	1/6/2022	
12/2/2021	Speech-language pathology services	1/1/2022	12/13/2021	
12/8/2021	Speech-language pathology services	1/7/2022	1/5/2022	
12/9/2021	Special instruction	1/8/2022	2/3/2022	Parent/Child Reason
12/16/2021	Family training, counseling and home visits	1/15/2022	1/5/2022	
12/16/2021	Physical Therapy	1/15/2022	1/5/2022	
1/7/2022	Special instruction	2/6/2022	1/7/2022	
2/1/2022	Special instruction	3/3/2022	2/8/2022	
2/22/2022	Special instruction	3/24/2022	Missing	
1/12/2022	Special instruction	2/11/2022	1/12/2022	
1/12/2022	Special instruction	2/11/2022	1/12/2022	

# TRS Data Cleaning - EI Services Report

## Early Intervention Reports

[45-Day CAP Log](#)

[45-Day Compliance Monitoring Report](#)

[CAPTA Report](#)

[COSF - Child List Report](#)

[Diagnosed Medical Conditions List](#)

[EI Redetermination](#)

[EI Services](#)

[Quarterly LEA Report](#)

[Service Coordinator Caseload](#)

[Service Coordinator Caseload Monitoring Report](#)

[Service Coordinator Funding and IFSP Services Payment Source Report](#)

[Transition Compliance](#)

[Transition Planning Conference Cap Log](#)

[TRS Cap Log](#)

[TRS Compliance Report](#)

Counties should use the *EI Services report* in EIDS

# EI Services Report

- This report includes a list of all services included on all IFSPs within the selected timeframe (This means that additional services not subject to TRS will be included on the report)
  - Please note this report pulls by IFSP date, so use the timeframe of 12/2/2021 through 3/1/2022 to extract TRS due dates in the applicable timeframe
- Reminder: ONLY new services added to IFSPs within the timeframe will be included in the TRS analysis

The screenshot shows a web form titled "EI Services Report". It contains several input fields: "\* County:" with a dropdown menu showing "BEIS Test County"; "\* IFSP Date From:" with a date picker set to "12 / 02 / 2021"; "\* IFSP Date To:" with a date picker set to "03 / 01 / 2022"; and "\* Report Format:" with a dropdown menu set to "EXCEL". A "Get Report" button is located in the top right corner. A red box highlights the date fields, and a red arrow points from a text box to the "IFSP Date To" field. The text box contains the note: "For SFY22, DODD will use data from IFSPs completed between 12/2/2021 and 3/1/2022". A red box also highlights the "Get Report" button. At the bottom left, there is a note: "\* Indicates required field."

EI Services Report

\* County: BEIS Test County

\* IFSP Date From: 12 / 02 / 2021

\* IFSP Date To: 03 / 01 / 2022

\* Report Format: EXCEL

\* Indicates required field.

Get Report

For SFY22, DODD will use data from IFSPs completed between 12/2/2021 and 3/1/2022

# 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

# Missing Data Inquiry

IFSP Date	TRS Due Date	Service Type	Start Date	Non Compliance Reason
8/6/2020	9/5/2020	Speech-language pathology services		
8/7/2020	9/6/2020	Speech-language pathology services		
8/18/2020	9/17/2020	Special instruction		
6/11/2020	7/11/2020	Special instruction		
8/11/2020	9/10/2020	Physical Therapy		

# Verification of records


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

<https://ohioearlyintervention.org/monitoring>

<b>TRS Verification</b>			
<i>The child's EIDS# should be on the upper right corner of every page of every verification document (unless already present on the page).</i>			
<b>Component</b>	<b>Verification document</b>	<b>Source of information</b>	<b>Requirement</b>
IFSP date	IFSP	Header	IFSP type and date
		Section 5	Parent signature and date EI Service Coordinator signature and date
New service added	IFSP	Section 4	Outcome identified All new EI services listed on the grid (EI Services) Service type, Method, Location, How often, Session length, Provider agency, Funding source, and Projected end date complete Projected end date not past third birthday
Service start date	Service provider note	Any written service provider note	Documentation of the early intervention services provided, including: date, length, duration, frequency, intensity, method of delivery, location, and all activities related to Individualized Family Service Plan outcomes Provider name and discipline Provider within his/her licensure (provider and service type must match) Information was provided to, or intervention occurred with, the family Provider signature
	Service provider form	Any written service provider form	
NCR	Case note	Case note with date/s (Case notes may be documented on paper or electronically)	Must support reason and reflect date within 30-day window* Date of case note Signature or initials of service provider
	Other sources, such as a newspaper article, email, etc.	Dated document with details of event (weather emergency, closure, etc.)	Documentation with details of event

\*Note that the federal regulations require that services start as soon as possible after the parent consents to the service.

# TRS: IFSP Header

<b>Form EI-04 Individualized Family Service Plan (IFSP)</b> 			
IFSP type and date	<input checked="" type="checkbox"/> Initial	<input type="checkbox"/> Periodic	<input type="checkbox"/> Annual
	<input type="checkbox"/> Periodic	<input type="checkbox"/> Periodic	
	<input type="text" value="1/12/2022"/>	<input type="text"/>	<input type="text"/>
			EIDS number <input type="text" value="8675309123"/>

# TRS: IFSP Signature Page

I have been fully informed and understand all information related to the provision of Early Intervention services described in this IFSP. I have a copy of the Ohio Early Intervention Parent Rights brochure and understand my rights for giving consent. I understand that I have dispute resolution options if I have an Early Intervention complaint. I have received prior written notice about the proposed Early Intervention services and agree to the provision of these Early Intervention services described in this IFSP.

<i>Bridget Jones</i>	<b>Bridget Jones</b>	<b>1/12/2022</b>
Parent signature	Parent name	Date
_____	_____	_____
Parent signature	Parent name	Date

We acknowledge that the outcomes reflect the family's priorities and concerns and the EI services support those outcomes. We agree to carry out the plan in a manner that supports the family's ability to help their child participate in and learn from their everyday activities whenever possible.

Signature	Name, role, and agency	Participation method	Date
<i>Jennifer Green</i>	<b>Jennifer Green, Service Coordinator, Paris Health Department</b>	<b>p</b>	<b>1/12/2022</b>
<i>S. Hunnaman</i>	<b>Steve Hunnaman, Developmental Specialist, FCBDD</b>	<b>p</b>	<b>1/12/2022</b>
<i>Kelli Flood</i>	<b>Kelli Flood, Occupational Therapist, FCBDD</b>	<b>p</b>	<b>1/12/2022</b>
_____	_____	_____	_____



# Section 4: IFSP Outcome

Outcome number	1	This child outcome addresses	<input type="checkbox"/> Developing positive social relationships	<input type="checkbox"/> Acquiring and using new skills and knowledge	<input checked="" type="checkbox"/> Taking action to meet own needs	<input type="checkbox"/> Outcome addresses family participation, family well-being, or information	<input type="checkbox"/> Outcome addresses transition
<p>Given what you've shared about your family's daily life, what would you like to see happen within your family's activities as a result of EI supports and services. How will we know when it is accomplished?</p> <p><b>Savi will sleep through the night.</b></p>							

# TRS: The Grid

### Early Intervention Services

**Early Intervention services: Using all of the information available, the IFSP team has identified the following EI services to support our outcomes.**

El service type	Method	Location	How often	Session length	Provider agency	Funding source	Projected start date	Projected end date	Outcome number(s)
SI	D	H	22/180	45 mins	CBDD	CBDD	1/20/22	5/15/22	1

Method: Direct (D); Joint (J) • In-person: (P); Technology (T)      Location: Home (H); Community (C); Other (O)

# Service Provider Notes

Documentation of the early intervention services provided, including:

Date

Length

Duration

Frequency

Intensity

Method of  
Delivery

Location

All activities  
related to  
IFSP  
outcomes

# TRS: Service Provider Notes

Additional requirements include:

- Provider name and discipline
- Provider matches service type
- Intervention occurred with, or information provided to, family
- Provider signature
- Service occurred no earlier than date IFSP signed

# Service Delivery Guidance Document

## **EISC'S RESPONSIBILITIES REGARDING SERVICE DELIVERY/ AFTER SERVICES ARE ADDED TO THE IFSP**

- Coordinating, facilitating, and monitoring the delivery of needed EI services and other services identified in the IFSP to ensure that the services are provided in a timely manner (i.e., within 30 days of the parent's signature on the IFSP after a service has been added to the grid)
- Requesting and reviewing provider notes to document service start dates, including requesting additional documentation when needed (such as to support a reason for a late timeline)
- Conducting ongoing follow-up activities to determine if early intervention services are being provided as written on the IFSP
- Facilitating an IFSP review any time a change needs to be made to a service
- Ensuring that PWN is provided before any change in service (i.e., a change in any of the first seven boxes on the grid)
- Documenting all activities in case notes

<https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/EI-Service-Delivery-Guidance-05-12-2021.pdf>

POLL

How soon after being added to an IFSP must a new service begin?

- a. 45 calendar days
- b. 45 business days
- c. 30 calendar days
- d. 30 business days
- e. The same day

# Documentation of 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



## Final Analysis & Results

- Data inquiry results 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

# Potential TRS Issues

- Provider notes reflect IFSP development, not service delivery
- Provider notes do not include documentation of family reasons for delays
- Provider service notes do not describe a service (e.g., observations of what child did)
- Notes are missing provider's discipline
- Case notes are from EISC rather than service provider

# 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



# Record Review Checklist

<p><b>TRS/Monitoring of Service Delivery</b></p> <p><input type="checkbox"/> Case notes document steps taken by EISC to seek out providers and funding sources for any needed EI services.</p>	
<p>March 2021 <span style="float: right;">Page 7</span></p>	

**Early Intervention Record Review Checklist** 

County: \_\_\_\_\_

EISC: \_\_\_\_\_

Child's Name: _____	Reviewer: _____
EIDS #: _____	Date Reviewed: _____
<p><input type="checkbox"/> Case notes reflect EISC activities related to the coordination, facilitation, and monitoring of the delivery of EI services, including contacts, meetings, requests for provider documents, and follow-up activities to ensure that services are provided as written on the IFSP and in a timely manner.</p> <p><input type="checkbox"/> PWN (EI-11) is completed whenever any of the first seven columns of the service grid are changed (EI-04).</p> <p><input type="checkbox"/> Documentation reflects contacts around scheduling an IFSP review, including sending IFSP Meeting Notice (EI-13).</p> <p><input type="checkbox"/> For providers, case notes include:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Documentation of the EI services provided, including the date, length, duration, frequency, intensity, method of delivery, location, and all activities related to IFSP outcomes</li> <li><input type="checkbox"/> Provider name, discipline, and evidence the provider's licensure matches the service type</li> <li><input type="checkbox"/> Description of how information was provided to, or intervention occurred with, the family</li> <li><input type="checkbox"/> Any adjustments made to intervention strategies and activities</li> <li><input type="checkbox"/> Provider signature and date</li> </ul>	Notes:

# Resources

- SFY22 Baseline Schedule - [https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/SFY22-Baseline-Calendar\\_condensed-for-website.pdf](https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/SFY22-Baseline-Calendar_condensed-for-website.pdf)
- Baseline Analysis Process - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/Baseline-Analysis-Process-2019-10-3.pdf>
- Verification Standards - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/Verification-Compliance-Standards-11-30-20.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>
- EI Service Delivery - <https://ohioearlyintervention.org/storage/ocali-ims-sites/ocali-ims-oei/documents/EI-Service-Delivery-Guidance-05-12-2021.pdf>

# Questions?

Send any questions regarding the baseline process to [Melissa.Courts@dodd.ohio.gov](mailto:Melissa.Courts@dodd.ohio.gov)

Send any deletion requests or data questions to [EIDS@dodd.ohio.gov](mailto:EIDS@dodd.ohio.gov)

# Presenter Contact Information

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

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

Karen Kincaid – [karen.kincaid@dodd.ohio.gov](mailto:karen.kincaid@dodd.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!

