

FY 2014



Development of the Head Start Key Indicator-C Tool



HEAD START

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Agenda

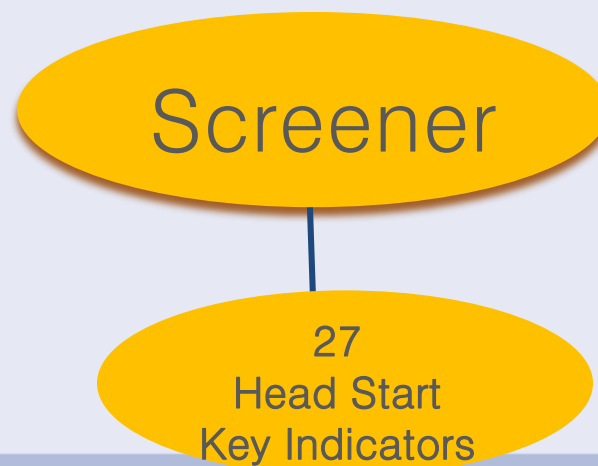
- Purpose and process of the HSKI-C tool
- HSKI-C tool development approach
 - Employment of a proven tool development process
 - Psychometric testing and iterative refinement of tool
 - Expert consultation
 - Finalization of tool and implementation procedures
 - Continual evaluation

Key Points

- Tool has been developed using proven, evidence-based methods
- Experts are consulted to ensure a strong tool
- Strict criteria for how the tool will be used reduces risk for OHS
- Testing demonstrated HSKI-C's strong overall reliability
- Continual evaluation will ensure that that tool is operating as designed over time

What is the Head Start Key Indicator-Compliance (HSKI-C) Tool?

- An evidenced-based, differential monitoring tool used to monitor a select group of grantees
- An abbreviated monitoring protocol comprised of a statistically determined subset of compliance measures (CMs) from the FY 2014 Monitoring Protocol
- Head Start Key Indicators cover Fiscal, Governance, Systems, Comprehensive Services & School Readiness



HSKI-C Process

- A select group of grantees will be eligible for HSKI-C
- Strict eligibility criteria = History of Compliance
 - Must have compliant monitoring reviews and no Immediate Deficiency or Other review findings since last cycle
 - No Fiscal findings in last two cycles
 - Do not meet any DRS criteria, including CLASS
 - No significant changes in grantee structure or leadership
 - Cleared by the Regional Office
 - Clean Annual Audits

HSKI-C Process (2)



- Passed HSKI-C = passing ALL parts of the HSKI-C (Fiscal, Governance, Systems, Comprehensive Services & School Readiness)
 - Receive only Environmental Health & Safety and CLASS Reviews
 - Still participate in Annual Audit and RO Annual Visit
 - Still subject to “Other” Reviews if needed

HSKI-C Process (3)



- Unsuccessful HSKI-C = a risk is identified in ANY part of the HSKI-C
- Comprehensive Review = Environmental Health & Safety, CLASS, Fiscal, Governance, Systems, ERSEA, and Comprehensive Services & School Readiness
 - Also Annual Audit, RO visit, subject to Other reviews

HSKI-C Process (4)

- HSKI-C implementation highlights
 - All HSKI-C reviewers will complete comprehensive training prior to completing any reviews
 - All HSKI-C reviewers will have field support from subject matter experts (SMEs) to answer questions in real time
 - All HSKI-C review data are reviewed by SMEs and QC staff for quality assurance
- All grantees that receive a HSKI-C will have a full comprehensive review in the next review cycle regardless of their HSKI-C result

HSKI-C Tool Development Approach

- Employment of a proven tool development process
- Evaluation and iterative refinement of tool
- Expert consultation and continued refinement
- Finalization of tool and implementation procedures
- Continual evaluation

Employed Proven Tool Development Process

- Development process developed by [Dr. Richard Fiene](#) (Pennsylvania State University)
 - Process used in state child care licensing
 - Development process used with Stepping Stones
 - Successfully used in the development of previous iterations of HSKI
- Team consulted with Dr. Fiene throughout the development process

Employed Proven Tool Development Process (2)

- Analysis of 3-years of monitoring data (FY 2012, FY 2013, FY 2014)
 - Initial diagnostic analyses – to see if OHSMS data were appropriate for this approach
 - Numbers of findings – total, by content area, by Compliance Measure (CM)
 - Different patterns of findings for HS, EHS, and HS/EHS programs
 - Relationship of findings to program quality measures (CLASS)
 - Analyses indicated which CMs were most likely to:
 - Differentiate between high and low performing grantees
 - Be cited in grantees with the most overall findings

Employed Proven Tool Development Process (3)

- From the 107 CMs in the FY 2014 protocol
 - A pool of 42 CMs demonstrated significant and meaningful predictive power
 - The pool of 42 CMs was further examined for relative predictive power and workload feasibility
- Based on this examination
 - 27 CMs were identified as CORE screener items
 - Head Start Key Indicators cover Fiscal, Governance, Systems, Comprehensive Services & School Readiness
 - The remaining items could serve as a reserve pool of CMs to be randomly added in future years

Psychometric testing and iterative refinement of tool

- Do HSKI-C results align with results from a full triennial?
 - Agreement analysis
- Out of 292 grantees that have completed triennial or first year reviews in FY 2014 YTD, 65 would have received an HSKI-C based on the eligibility requirements
- Of those 65 reviews, the full HSKI-C agreed with the full triennial results **91%**

Example of Psychometric testing of Fiscal CMs

- OHS requested additional review of Fiscal CMs because of:
 - The financial implications of any potential fiscal issues
 - Need for external validation against Grants Management Disallowance List
- The HSKI-C includes 5 of the 14 Fiscal CMs in the full monitoring protocol
- Fiscal CMs in the HSKI-C agreed with the results of the full Fiscal protocol **97%**

Example of Psychometric testing of Fiscal CMs (2)

- Do HSKI-C results identify grantees on the Grants Management Disallowance List?
 - Sensitivity Analysis
- In FY 2013, 43 grantees were on the Disallowance List
- Of those 43 grantees, **41** were identified by the HSKI-C as needing a comprehensive review
 - Either by not meeting the HSKI eligibility requirements or an unsuccessful HSKI-C
- This yields a sensitivity rate of **95%**
 - 2 were not picked up by the HSKI-C process
 - These 2 were the same agency (1 migrant, 1 non-migrant grant) and were recommended for close without disallowance

Expert Consultation

- Several questions for experts:
 - Are there any CMs that need to be added that may not be identified in the statistical analyses?:
 - CMs with low predictive power but are too important to exclude
 - Face validity
 - How can we best ensure reliability?
 - What kind of training will be needed?
 - What kind of field support will be needed (e.g., help desk)?

Expert Consultation

- Experts suggested:
 - Minor refinements to existing CMs
 - Specific issues to target in training
 - SMEs be available for real-time consultation during HSKI-C reviews

Continued Assessment

- The HSKI-C tool will be continually tested and evaluated to ensure that the CMs continue to be predictive of performance on a full review
- This includes statistical analyses of monitoring data as well as review by fiscal and other experts

Summary

- Tool has been developed using proven, evidence-based methods
- Strict criteria for how the tool will be used reduces risk for OHS
- Continual evaluation will ensure that that tool is operating as designed over time

Regional Office Grantee Feedback

- Criteria for HSKI-C Grantees
 - Has there been significant turnover in the agency's leadership? This includes changes in key staff, including the HS or EHS Director, fiscal officer, and service area coordinators
 - Did the Grantee's most recent self-assessment indicate any major concerns?
 - Did the Grantee publish an up-to-date Annual Report?
 - Did the Grantee's most recent PIR data indicate any major concerns?
 - Is the grantee operating a new program option?