Development of the Head Start Key Indicator-C Tool

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Agenda

• Purpose and process of the HSKU-C tool
• HSKU-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 the 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
• 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
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
• 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%
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?