Guidance for the NJEIS Provider Competency Standards Self-Assessment

General Guidance

Background and Purpose

The NJEIS Provider Competency Standards Self-Assessment was developed by Frank Porter Graham (FPG) Child Development Institute for the New Jersey's Early Intervention System (NJEIS) to assist local programs in evaluating their efforts and supporting improvements to their programs. The Self-Assessment is a companion to the NJEIS Provider Competency Standards that were adapted from the ECTA System Framework. It is an Excel-based tool adapted from the ECTA Systems Framework Self-Assessment, that provides a structure for providers to record the current status of their program and set priorities for improvement.

We recommend that key stakeholders of the program, including staff and beneficiaries of early intervention, complete the self-assessment using a consensus process. Participants may opt to complete one or more components of the self-assessment at a time or over an extended time period. However, we do recommend that an entire component be completed at one time as part of a self-assessment process.

Different sets of stakeholders may be appropriate participants for different components. The self-assessment process produces valuable discussions about the status of the current program and results in a quantitative and qualitative picture of the program's strengths and areas for improvement.

We also encourage providers to use the self-assessment as part of an ongoing improvement planning process in which participants assess the current status of their program, develop a plan for improvement, implement the plan, and reassess the program to monitor progress. When used as part of an ongoing process, reassessment allows a provider to monitor and document progress toward building and maintaining a high-quality program.

> **NJEIS Provider Competency Components**
> Governance Standards
> Finance Standards
> Personnel/Workforce Standards
> Data Standards
> Accountability & Quality Improvement Standards
> Quality Standards

Overview of the Suggested Process

1. Select the component(s) for which the self-assessment will be completed.
2. Identify the appropriate stakeholders for the self-assessment process for those components.
3. Gather stakeholders and complete the self-assessment.
4. Review the self-assessment results and determine priorities for improvement planning.
5. Develop a plan for improvement.
6. Implement the plan for improvement.
7. Establish and maintain a continuous cycle of reassessment and improvement planning, that is, re-administer the self-assessment, identify areas of progress and new or ongoing areas for improvement, and revise the plan accordingly.

Completing the Self-Assessment

Each component contains multiple Quality Indicators and each Quality Indicator has multiple Elements of Quality. When completing the self-assessment, participants review and discuss each element, assigning it a consensus rating of 1 to 4, and recording brief notes (the "evidence") describing the basis of the rating.

Participants should read each element and discuss whether the element is in place and, if so, whether it is partially or fully implemented. A 1 on the element rating scale indicates the element is not implemented and the provider is not planning to implement it. A 2 indicates the element is not implemented but the provider is planning to work on it or has started working on it. A 3 on the scale indicates an element is partially implemented. An element can be partially implemented in a variety of ways. It might be that some aspects of the element are implemented, and others are not. It might be that the element is implemented in some areas of the program but not others. Finally, a 4 on the scale indicates the element is fully implemented. By fully implemented, we mean the element is in place and of high quality.

Elements of Quality Rating Scale	
1	**No** - element not in place <u>and</u> not planning to work on it at this time
2	**No** - element not in place <u>but</u> planning to work on it or getting started
3	**Yes** - element partially implemented
4	**Yes** - element fully implemented

After discussing an element, the participants should determine the rating that best describes the current status of that element, record the rating, and document the basis for the rating. Documenting the basis for the rating decision will be important for improvement planning so there is a record of what the participants considered in reaching their decision. For example, if the element was rated as partially implemented, what aspect of the element was identified as not yet in place or of high quality?

The combination of ratings of the elements determines the rating for the associated Quality Indicator. Unlike the Element of Quality rating, the Quality Indicator rating is not selected by the stakeholder group but rather is calculated based on the element ratings. The self-assessment tool automatically calculates the Quality Indicator ratings from the element ratings. Quality Indicators receive a rating ranging from 1 to 7, with a 1 meaning none of the associated Elements of Quality is planned or in place and a 7 meaning all of them are fully implemented.

Quality Indicator Rating Scale	
1	None of the elements is yet planned or in place.
2	Most of the elements are not yet planned or in place.
3	Some elements are in place; a few may be fully implemented.
4	At least half of the elements are in place; a few may be fully implemented.
5	At least half of the elements are in place; some are fully implemented.
6	At least half of the elements are fully implemented; the rest are partially implemented.
7	All elements are fully implemented.

Note: *In place* means an element is fully or partially implemented.

The Self-Assessment Tool creates a profile that includes a summary of the numerical ratings and a graph of the results. The bars in the graph are color coded to show the relative strengths and weaknesses across the Quality Indicators in each of the completed components.

Providers are encouraged to use the self-assessment as part of an ongoing improvement planning process. The results of the self-assessment will help a provider identify the relative strengths and weaknesses of its program, but the self-assessment is not a road map that tells a provider where to start or what to do next. The provider determines where to focus improvement efforts based on its priorities and resources. After reviewing the overall results for the Quality Indicators, the participants can recommend priority areas for improvement. To set priorities, the provider can go back to the worksheet for each of the components completed. The completed Self-Assessment Tool provides priority ratings of low, medium, or high to be assigned to the Elements of Quality, the Quality Indicators, or both. The priorities assigned in the Component workbook are summarized on the Summary page. An improvement plan can be developed based on the profile and the priorities recommended by the participants.

Detailed instructions on how to use the Framework Self-Assessment Tool are contained on the first worksheet in the file ("Instructions") and on the next page. The Tool can be found at http://nj.gov/health/fhs/eis/index.shtml.

Detailed Instructions for the Working in the Self-Assessment Tool

Overview of Instructions

There are 10 worksheets in the Self-Assessment Tool. Six of them are for rating the Elements of Quality for the competency standards components. The purpose of each worksheet is explained below along with the instructions on how to use it.

NOTE: The Self-Assessment tool must be opened using Microsoft Excel. Other spreadsheet software, including Apple Numbers, are not compatible with this tool.

Upon opening the workbook, be sure to enable the macros. There are several ways to accomplish this, depending upon which version of Microsoft you are using:

- Microsoft 2013: Click on the *Enable Content* button in the yellow Message Bar.

- Microsoft Excel 2007 and 2010: Go to File > Info > Enable Content > Enable All Content.

- Microsoft 2003: Download and install the Compatibility Pack from Microsoft: https://www.microsoft.com/en-us/download/details.aspx?id=3

If you cannot enable the macros through one of these methods, you may need to change a setting in your security or trust center settings. Additional information is provided at http://www.exceltrick.com/how_to/enable-macros-in-excel/.

Editing the Self-Assessment

Throughout the workbook, cells that are shaded light yellow require data entry; data cannot be entered in cells shaded light blue; those cells are automatically calculated and cannot be edited.

You may perform a spell check on each of the element rating sheets by selecting the "Spell Check" box at the top of a particular element rating sheet. A spell check will be performed on all the unprotected light-yellow cells in that sheet.

Saving the Results of the Self-Assessment

The Self-Assessment Tool is an Excel workbook and needs to be saved just like any other workbook. We recommend saving the file with the date it was completed in the file name, e.g., Self-Assessment_09-13-17, and then saving the file with a new file name if you complete more components at a later date, e.g., Self-Assessment_12-08-18. Save the file often while you are working in it.

Printing the Results of the Self-Assessment

Each worksheet in the workbook has an existing default print area set up. The print areas may be redefined or resized by using the Print Area option in Excel's Page Layout tab.

Worksheets

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10 Worksheets

Instructions

Participants

Table of Contents

Element Rating Sheets (6)

       GS - Governance Standards

       FS - Finance Standards

       PS - Personnel/Workforce Standards

       DS - Data Standards

       AS - Accountability and Quality Improvement Standards

       QS - Quality Standards

QI Summary

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Instructions

This sheet provides detailed instructions for working in the Self-Assessment Tool. They are provided in this document and in the workbook for your convenience.

Participants

This sheet is for documenting the program name and participants (by name and/or role) who are involved in the self-assessment. Enter the name and/or role of each participant, and place an "X" in the cell in the component. Enter the date on which the self-assessment was completed in row 10.

Table of Contents

This sheet lists all of the components in the Competency Standards. There are links to each of the worksheets for the components. An alternative to using the links is to click on the worksheet tab at the bottom of the document.

Element Rating Worksheets

Element ratings: Each of these 6 worksheets are used to rate the Elements of Quality (EQs) for each component. Within a worksheet the elements are organized by Quality Indicator (QI).

In the Rating column, enter the rating for each element by entering the number (1 to 4) or by selecting the value from the dropdown list. The Element of Quality Rating scale, 1 to 4, is presented at the top directly above the rating column and is further explained in the Self-Assessment Guidance.

NOTE: The QI rating is automatically calculated and displayed (in the light blue cell) ONLY when ALL element ratings for that QI are entered.

Evidence: Immediately below each element is a text box (shaded light yellow) for documenting the evidence for the element. The text box will expand to the needed length.

There are two buttons at the top of each page labeled *Show Evidence* and *Hide Evidence*. Clicking on the *Show Evidence* button will resize the rows and display all of the evidence; clicking on the *Hide Evidence* button will hide all of the evidence rows. Thus, the Element Rating worksheets may be viewed and/or printed with or without the evidence displayed.

At the top of each sheet is a link back to the *Table of Contents* and buttons that make it easy to navigate to each QI.

Priority: To the right of each cell for the element rating and QI rating is a cell to indicate the *Priority* of each element and QI. The *Priority* rating is an optional feature and may be used for planning which elements or QIs to work on. The *Priority* options are high, medium, or low, or this cell may be left blank.

The priority designation may be entered by typing an L, M, or H (lower or upper case) or by using the dropdown list. The recommended process is to rate the elements of quality for all components the participants will be completing and then go back and assign the priority ratings. This allows the participants to get an overall view of strengths and areas of need across multiple Quality Indicators and Elements of Quality.

QI Summary

The QI Summary sheet displays a summary of the QI ratings for each of the Quality Indicators for which all the elements were rated. **Data cannot be entered or edited on this sheet**; it simply displays the summary data from the Element Rating worksheets. The QI ratings are displayed in column M, and the QI priority, if entered, is displayed in column N. The red, yellow, or green horizontal bars graphically depict the QI ratings.

The total number of elements in the QI is presented to the right of the graph. To the right of the total is the number of elements in each QI with ratings of 1, 2, 3, and 4. A summary of the number of elements with each priority is provided to the far right. The number of elements for each priority reflects only those elements for which a priority was selected.

The links at the top left of the sheet, to the right of *Jump To,* allow easy navigation to each of the Provider Competency Standard's Components. Also at the top of this sheet are two buttons called *Wrap Text* and *Narrow Rows*. Click on the *Wrap Text* button to display the full text of the QI; click on the *Narrow Rows* button to view the first part of the QI, with only one row per QI.