Use of Data for Fiscal Management of State Part C Systems

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Contents

Introduction

Use of Data for Fiscal Management of State Part C Systems is designed to increase the knowledge and skills of lead agency staff regarding the use of data for appropriate fiscal management of Part C. This document addresses budget development and management. It is the second in a set of documents about the use of fiscal data. The other documents present information on understanding and using fiscal data elements, funding allocation methodologies, and cost studies.

This document has three sections:

1. Budget Development and Management;
2. Budget Analysis; and
3. Using Fiscal Data to Develop Programmatic and Political Support.

Presented here is an in-depth look at the integral role of fiscal data in the development, management, and use of the state Part C budget including basic budget management information, examples of analysis, and samples of reports, forms, and other tools. The information is intended to help state Part C lead agency staff better understand the importance of a state Part C budget by identifying strategic policy questions that can be answered through the use of a high-quality data-based budget. Moreover, this document covers the important considerations, steps, data elements, and analyses needed to develop, maintain, and make use of a state Part C budget.

A well-conceived budget, constructed from and aligned with the state's data system's purpose and vision, will contain a wealth of financial data for addressing state and federal accountability requirements, at a minimum.

Framework connection: The Purpose and Vision (PV) subcomponent's Quality Indicator PV1 of the Data System Framework stresses the importance of an articulated guiding purpose and vision for a high-quality early childhood data system. Likewise, Quality Indicator PV2 elucidates the elements regarding the intent and goals of the data system to be included in the purpose and vision.

A well-conceived budget also can be used by state Part C staff to answer important policy questions, particularly questions that generate programmatic and political support. Programmatic questions can be answered by collecting and analyzing fiscal data elements and are also used to develop and manage a budget.

Fiscal data such as services (planned and delivered), child program eligibility, and revenue received by source are key components for a state Part C budget. The fiscal data drive and inform the subsequent management of the budget itself and ultimately shape the Part C program. Proper development and management of the budget are paramount to its usefulness for answering programmatic questions and building programmatic support.

Sample Fiscal Questions

1. What are the revenue sources that support the total cost of EI as a percentage of the total cost of EI? as a percentage of families? as an average per child?
2. What are the trends over time by funding source
3. What is the average cost per child, per month, per program, per region, per slot (monthly 1-day count), per number served (annual cumulative count)?
4. What is the average number of hours of service per child, per month, per cost per hour?

To maximize its utility, a state Part C budget should contain high-quality data pertinent to the state's needs. Once in place, the budget is subject to change over time insofar as the data driving it change. Knowing what measurable or derived changes in

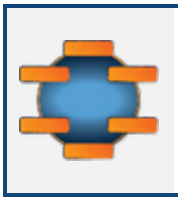
the data to look for, what these changes might mean for managing the budget, and how to make appropriate budget decisions are important parts of budget management.

Section I: Budget Development and Management

State Part C lead agency staff are faced with the task of developing a budget for the early intervention system annually. Identifying and locating the key fiscal data elements needed to do this task effectively are crucial, not only for creating the budget, but also for the accurate fiscal management of the Part C system for the upcoming year and beyond. Here are some specific suggestions for how to begin the budget development process and how best to manage the fiscal aspect of the system over time.

Budget Development

Many factors come into play in developing the budget for a Part C state system. A state should begin by identifying the data elements necessary to develop a comprehensive picture of total costs (e.g., service, infrastructure, and administrative costs) and all possible revenue sources. The resulting budget provides the Part C program staff with the information needed to project the revenue required to cover anticipated expenses.



Framework connection: Quality Indicator FN3 within the Fiscal Data subcomponent of the ECTA (Early Childhood TA) System Framework) illustrates the connection between fiscal data and budget development. Likewise, Quality Indicator FN2 within the Fiscal Planning Process/Forecasting subcomponent details the importance of using a strategic finance plan to forecast short and long-term budget needs to support the program.

State administrators also need to decide how far back and forward to go in their fiscal data analysis in order to accurately estimate budgetary needs and ensure that a strong base of financial support is formed. Whereas some states may be required, either by the lead agency or the legislature, to develop only an annual budget, in general a high-quality Part C system maintains a 3-year cycle of backward and forward scans of fiscal data, by fiscal year, to inform budgetary planning. Multiyear analyses can help states obtain more precise cost estimates for budget development as trends in services authorized versus services delivered will level out to a more predictable average. Trends in revenue received also become more predictable in a multiyear scan. Any anticipated demographic, program, or policy changes that may affect projected costs or revenue to the program must also be taken into consideration.

In *Understanding and Using Fiscal Data: A Guide for Part C State Staff* (Greer, Kilpatrick, Nelson, & Reid, 2014) (PDF version available on the DaSy Center website), the specific data elements needed to understand the total fiscal obligations of a Part C system were identified, as well as the revenue sources used to support those obligations. In that document, states were encouraged to incorporate essential fiscal data elements into their data system(s) and gave suggestions for where to find them (see Table 1).

Table 1. Essential Data Categories and Data Elements for Fiscal Data Analysis

Data Category	Data Elements	Location of Data
Child and family demographics	• Child name • Diagnosis (ICD9/10) • Program eligibilities • Family income and size • Primary home language	• Child record
Service data	• Frequency/intensity of each service authorized • Frequency/intensity of each service delivered • Types of services	• IFSP (Individualized Family Service Plan)
Program data	• Charges by service billed • Revenue received, by source of funding	• Local provider agency fiscal records
Lead agency data	• Staff administrative costs • Infrastructure obligations and payments	• State lead agency fiscal records
Local provider data	• Revenue received, by funding source • Staff administrative costs • Infrastructure obligations and payments	• Local program fiscal records

Source: Winer et al. (2015).

The financial obligations of a Part C system are reflective of direct services costs, infrastructure costs (e.g., contracts for data management, technical assistance, professional development and monitoring activities), and administrative costs (e.g., rent, utilities, transportation). To understand total costs, states need data on revenue as well as the child and family demographics shown in Table 1. When collected over time, trend data can help Part C system staff position themselves to respond to policy and social changes that have fiscal implications.

Framework connection: Five data elements are necessary to ensure quality budget development, and they should ideally be available in the state's data system and accessible to the state staff members developing the budget. In fact, the Data System Framework's Quality Indicator SD4 considers the presence of these elements as a measure of the quality of the larger data system.

When sorted by month, program, region, and provider over time, these five data elements inform Part C lead agency staff of costs and anticipated revenue. In turn, staff are able to identify potential shortfalls in revenue that need to be addressed. A state has options in terms of how to use those data to inform budget development, e.g., by identifying total fiscal obligation or cost per child, and must incorporate infrastructure and administrative cost data into the budget to make accurate projections. It is imperative that the Part C Coordinator work closely with the lead agency fiscal staff and Part C Data Manager to determine how to incorporate these fiscal data elements into the state's data system in such a way that that the data

Data Elements for Quality Budget Development

1. Number of children served
2. Service utilization (planned and delivered)
3. Payment source by service type
4. Revenue sources and amounts
5. Revenue sources by percentage of children eligible

are consistent across all the state's local programs. For a sample of how this information can support various analyses, see for Virginia's Part C Fiscal Form, which is used for budget development as well as biannual reporting (see the appended VA Fiscal Form or the Contracts & Budgets, Fiscal Form SFY 2016 section, on the Infant & Toddler Connection of the Virginia website).

When collected over time, trend data on the five essential elements can help Part C system staff respond to policy and demographic changes that have fiscal implications. The Part C lead agency needs to collect accurate information about the revenue sources that are used to support the total costs of the Part C system. In all states, funds for the Part C system come from a variety of sources. By congressional intent, Part C was designed to coordinate already existing federal, state, and local resources. Although some of the federal funding sources will be common across most states, such as Federal Part C and Medicaid, other sources will vary depending on the state Part C lead agency, historic funding patterns, and states' systems of payment policies. To maximize the use of available funds, data about each child's differing programmatic eligibilities (e.g., Medicaid, State Children's Health Insurance Program, Children with Special Health Care Needs), and funding sources (e.g., private insurance, Title V Maternal and Child Health programs, developmental disabilities agencies) used by the individual states should be included in the data collected by Part C. The Part C lead agency can then use those data to calculate the percentage of children eligible for Part C services by each primary revenue source, as well as other trends by funding source such as changes in amounts available by source or changes in eligibility requirements that will change numbers of children eligible by source. The same data can be used when developing allocations for local programs. Having a broad understanding of the difference in child populations and eligibilities will help support an allocation process that distributes funding on a more equitable basis.

In *Understanding and Using Fiscal Data: A Guide for Part C State Staff* (Greer et al., 2014) (PDF version), data analysis templates were provided that can be used to

- determine the state's fiscal obligation for the Part C System,
- identify the cost per child, and
- identify additional funding needed to support the program.

These templates are particularly useful in the middle of the fiscal year when it becomes apparent that the Part C program will most likely be facing a budgetary shortfall.

Unanticipated expenses may result from changes in child and family demographics, increases or decreases in authorized and delivered services, policy changes (e.g., eligibility changes for Medicaid, programmatic increases in screening initiatives), and social changes (e.g., increase in neonatal abstinence syndrome population, HIV epidemic, high incidence of low birth weight, major changes in socioeconomic characteristics of the eligible population) that would affect revenue and/or expenditures. It is important for the Part C system to track these trends and the potential impact on the payer mix (i.e., amount of revenue by funding source and how that changes over time). With the data specified in Table 1, disaggregated by local program and fiscal year, the state can view trends in its service population, expenses, and revenue, all of which begin to build the picture of budgetary needs for the Part C program in the short and long term.

First Steps in Budget Development

To begin the budget development process, Part C state staff and possibly other fiscal staff need to ask the following questions to get an overall picture of the data they have available and the key considerations needed for effective budget development, planning and management (ITCA Fiscal Technical assistance Initiative, 2014).

Where to Begin

- Is all of the needed information available from the various data sources to move forward?
- Who makes the decision on what methodology is used to develop the budget?

- Is the expertise of fiscal staff, data staff, and local program/provider administrators accessed/maximized?
- Are there other system variables and/or degrees of control that need to be considered?

Essential Fiscal Information

- What is the estimated number of children to be served?
- What is the estimated revenue, by source? Are all payers' data represented in the projections?
- Who bills for what (by discipline vs. service type)?
- What is known about underfunding or potential shortfalls, if applicable?
- Who in the lead agency makes determinations of fiscal exposure or risk in terms of determining the amount the lead agency stands to lose or potentially be liable for?

Number of Years Guiding Fiscal Projections

- How many years of prior fiscal data are used in the analysis? 1 year? 3 years? 5 years? 10 years?

Additional Analysis

- What other data sources should be used (e.g., birth data, changes in eligibility or identification)?
- What other broader social drivers are reviewed (e.g., drug-exposed newborns, immigrations, adoptions, homelessness)?

Budget Management

Once the state Part C system has a budget in place, use of routine fiscal data reports (e.g., monthly, quarterly) inform how funds are being used. This type of information is vital as a system tracks and monitors those expenses, routinely assessing actual expenses as compared with amounts budgeted, which enables state staff to anticipate shortfalls and strategize about how to address them. While the state maintains the ultimate responsibility for this oversight, a system that encourages and facilitates budget management strategies for regional/local programs or providers helps instill fiscal leadership and accountability across levels of the system.

Framework connection: Quality Indicator FN4 within the Fiscal Data subcomponent of the ECTA System Framework) identifies the use of fiscal data to manage the budget as a direct reflection of a quality Part C system.

Framework connection: The importance of the use of data cannot be understated and appears again in a broader sense within the Data Use Subcomponent's Quality Indicator DU5 of the Data System Framework. Here, the timely and appropriate use of data to inform decisions (such as targeted subgroup analysis) is used as a measure of quality of the Part C data system.

Five key data elements are needed for ongoing management of the budget at the state and regional/and or local level:

1. number of children referred,
2. number of children evaluated,
3. number of children served,
4. service utilization, and
5. revenue received.

Regardless of how frequently this information is reported, routine fiscal data reports should be generated and shared with local programs; these reports should disaggregate data by region, program, and/or provider. Depending on the sophistication of the state data system(s), these data may be readily available in real time at the state and/or local level. Alternatively, it may be necessary for regional or local programs or providers to generate and submit this information to the lead agency in a separate format. Such a requirement should be made explicit in contractual language or other means of a formal arrangement between the regional or local program provider or agency and the lead agency. Again, it is important to work closely with both the fiscal and data staff within the lead agency to determine an efficient and effective way to capture and display these data for program and/or provider use. The sophistication of such reports/dashboards varies by state, but it is important to start with the data that are available and begin to plan for the fiscal data enhancements that are needed.

In Colorado, the Part C state office generates a monthly Medicaid enrollment report to track the number of children whose early intervention services were billed to Medicaid as compared with the number of children actively enrolled in Medicaid (see the appended Colorado Enrollment Reports). Discrepancies are brought to the attention of local programs and are then rectified on a routine basis. This type of oversight using fiscal data maximizes access to all potential revenue sources before Part C funds are used.

Section II: Budget Analysis

Budget analysis is the process of separating fiscal issues into their component parts and systematically investigating each part and the interaction among the parts. Later, the components of an issue are put back together in a logical way to support a policy conclusion or recommendation.

Types of Budget Analysis

Early intervention leaders should use the analytic process to develop recommendations on budget proposals, legislation, initiatives, and other issues that affect the state financially. Preparing solid recommendations is the foundation for an advisory role to the governor's office and the role in representing the administration in early intervention finance. Types of budget analyses include the following:

- **Fiscal.** The primary role is to provide analyses of fiscal issues or problems within the Part C program. States review budget change proposals, legislation, initiatives, regulations, and reports to analyze fiscal impacts. Fiscal analyses answer such questions as, How much will (or should) this proposal or program cost (or save) the state? How much revenue will it generate via Medicaid, local revenue, commercial insurance, etc.?
- **Policy.** Staff may also perform policy analysis when reviewing legislative proposals. Policy analysis is intended to help decision makers make choices about early intervention programs and regulations of individuals. Policy analysis focuses on such questions as, What is the likely impact of this policy on specific groups or organizations? Policy analysis can be done from the perspective of known priorities and policies or without such political preconditions. We discuss in Section III specific political implications to consider in budget analysis.

- **Policy combined with fiscal.** Most often, budget analyses include a combination of fiscal and policy issues. For example, analysts review a budget change proposal not only to evaluate the reasonableness of the estimated fiscal impacts, but also to assess the proposed policy objective in relation to the state administration's priorities. The resulting recommendation may indicate that the proposed funding augmentation (or reduction) should be modified depending on whether the policy objective is of high or low priority to the state administration. Essentially, budget analysis should be done in conjunction with policy questions for determining fiscal impact of certain policy decisions (such as an eligibility change).

Sometimes, the deadline for an analysis is so short that the analysis must be quick and dirty and be based largely on assumptions because time is insufficient to gather more information. In these cases it is helpful if the assumptions can be based on historical information or on data collected over time. In other cases (such as when asked to prepare Issue Memos), early intervention offices may have time to prepare a more expansive analysis.

Developing Budget Analysis Skills and Knowledge

The foundation for any budget analysis is a thorough working knowledge of the state's Part C program:

- the policy issues (such as eligibility definition, or increasing provider credentialing requirements) and
- state processes, priorities, and fiscal constraints (e.g., budget cap, inability to increase rates).

Following are some tips on the sources and types of information that should be gathered, which is an ongoing process, and how to manage the time needed to complete analyses.

Sources of Information

Suggested ways to increase your understanding of policy information that can inform budget analysis and develop budget analytical skills are:

- read analyses performed by others (the Legislative Analyst, Bureau of state Audits, etc.),
- learn the history (e.g., speak with or review written work of predecessors on the budget/fiscal issues),
- listen to others who already know the programs and issues well (e.g., speak with department staff when reviewing various documents), and
- discuss issues with advocates and constituents.

Areas of Knowledge

- **Program knowledge.** The foundation for any analysis is a thorough working knowledge of the program being addressed. No analytical technique can replace basic information about how the program works. Such knowledge typically includes who and how many it serves, what it provides, how services are delivered, the current costs, criteria for expending the funds, how the program evolved (e.g., what were key decision points in program's history), and the trends in terms of revenues, expenditures, staffing and/or contracts, and workload data.

- **Knowledge of the state's current fiscal situation and constitutional constraints.** In many states, less than 10% of the budget is discretionary. In analyzing budget issues, it is important to keep these factors in mind and know the position of Part C relative to the major constraints. This will inform state staff on whether there is some flexibility and the lead agency can entertain discretionary proposals or whether state staff will have to recommend reductions. For example, a state budget office may make an across-the-board directive that agencies must reduce their operating budget by 5%.

- **Knowledge of other administration and department of finance priorities.** Current state policies and priorities (such as those outlined in the governor's budget summary or budget highlights, or the state of the state address) need to be taken into account when analyzing an issue. Awareness of these policies helps budget analysts to frame questions and recommendations. Examples of recent state priorities include (1) reducing personnel years, (2) reducing general fund expenditures, and (3) making the state more competitive.

- **Knowledge of the issue.** Besides general program knowledge, specific information about the issue being addressed is important to understanding proposed changes. For example, if the state is considering special rates for specific service disciplines for children with specified diagnoses, it will be important to have a deep understanding of the service needs and potential cost drivers for these children/families.

Section III. Using Fiscal Data to Develop Programmatic and Political Support

Fiscal analysis can also be thought of as the process by which the lead agency attempts to answer the following programmatic and policy questions regarding a proposal, activity, program or process:

- Who or what is affected?
- What are the effects?
- How, when, or will it operate?
- What is the cost?
- How might the problem, issue, or policy be resolved?

Beyond the management of fiscal resources through budget development, management, and analysis, fiscal data can be used to shape public opinion and inform decision makers (both internal to state agencies as well as state legislatures). Fiscal data can also be important to help families understand the value of the services and supports their child and family receive. Keeping all stakeholders informed through the use of fiscal data helps to create a common language and knowledge as well as a platform to share the message about the impact and cost-effectiveness of the Part C system that results in improved outcomes for young children with disabilities and their families.

Developing a Business Case

Almost every state is challenged to identify sufficient funding to address the continued growth in numbers of infants and toddlers needing services and supports through the Part C system. The ability of state leadership to advocate for additional funding depends greatly on the ability to develop a convincing business case. A high-quality business case uses fiscal and demographic data to create political will for system sustainability.

A profile of the Part C system that includes fiscal and demographic data can be used with a variety of audiences. Profiles should be developed at both the state and local levels. It is important to include local data because of the variability from one location to another and the different audiences that need to be educated. These audiences include service providers, families, insurers, legislators, state agencies, and state political leadership.

The initial goal is to develop a common baseline of information and understanding among the audiences. This is necessary for the data to be understood and acted on. Educating stakeholders on demographics, service utilization, and funding is essential for achieving fiscal sustainability.

What kinds of data should be included in the profile? At a minimum the profile should capture the

- total number of children served, by age and race;
- service location and utilization;
- total funding; and
- average funding per child.

Once the data profiles have been developed at the state level, the data can be reconfigured in a variety of ways. County or regional profiles can be developed and the data from each county compared with the state data for variances. State legislative district profiles can be produced to inform each legislator of the services and supports that have been provided to residents of his or her district. The same type of profile can be developed for congressional districts. Each of these profiles and their distribution provide an opportunity to both inform the intended recipients and to advocate on behalf of the population served by Part C.

Profiles should be customized to the intended audience. It is important to remember that some of the intended audience may be visual learners and will be more receptive to graphics (charts and graphs) than a set of numbers. To inform the intended audience, the document must be attractive enough to make them want to pick it up. In the age of multimedia and instant information, keeping the profile to a single page that can be consumed quickly will attract more readers (see the Example State and County Profiles in the appendix).

When building a case that supports the benefit of investing in Part C, a report that documents the cost avoidance (action taken to reduce future costs) of early intervention can be a powerful tool. By using transition data and incorporating the average cost per child for special education, a report can be developed that shows the cost savings of investing in early intervention (see Table 2).

Table 2. Cost Avoidance Over Time Resulting from Early Intervention Investments

	Children Exiting Part C Not Eligible for Special Education	Annual Cost of Special Education per Child ($)	Cost Avoidance ($)
Year 1	2,813 children	4,979	14,005,927
Year 2	2,100 children (25% of children return)	4,979	10,455,900
Year 3	1,575 children (an additional 25% of children)	4,979	7,841,925
		Total 3-year savings	$32,303,752

Leadership can look at trend analysis of these data and project longer term savings. Even if that full number is only out of special education for 1 year, as demonstrated in Table 2, the cumulative effect of savings is substantial.

Fiscal Data for Families

While services provided through an IFSP may be “at no cost” to the child and family, once the child turns 3, they may still need services and supports. Helping a family understand the fiscal implications of their child’s needs can be an important support that Part C can provide. Developing an “Explanation of Benefits” to give to every family on an established schedule has two benefits. It enables the family

- to understand the resources that the state Part C system is investing in promoting positive outcomes for their child and family and
- to begin to plan for what resources need to be identified to support the child’s needs once he or she turns 3.

This can also be a quality control/assurance measure by checking the number of hours of service received compared with the number of hours billed (see the appended Example Explanation of Benefits).

Section IV. Conclusion

Good fiscal management of a state Part C system begins with an understanding of its financial obligations. Those obligations are reflective of direct services costs, infrastructure costs (e.g., contracts for data management, technical assistance, professional development and monitoring activities), and administrative costs (e.g., rent, utilities, transportation).

A state should begin by identifying the data elements necessary to develop a comprehensive picture of both the financial obligations and all possible revenue sources. These elements create the framework for the development and management of a budget. Knowing what measureable or derived changes in the data to look for and what these changes might mean for developing and maintaining the budget support the ability of the lead agency to make informed decisions. When collected over time, trend data on these essential elements can help Part C system staff respond to policy and demographic changes that have fiscal implications.

Although the staff in each state Part C lead agency may have varying comfort levels with, knowledge about, and skills in fiscal management, it is most important for the staff to start using data in whatever format is available. Some states may have sophisticated data systems with extensive capacity. Others may still be operating with spreadsheets. In either case, use what data is available to begin to understand all aspects of fiscal management. Creating reports and documents that bring a degree of transparency to the fiscal side of Part C allows all stakeholders to have the same baseline of information and helps garner both support and advocacy for infants and toddlers with disabilities and their families.

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Appendix

Virginia's Part C Fiscal Form

Full form is available at http://www.infantva.org/Fiscal.htm under the *Contracts & Budgets, Fiscal Form SFY 2016* heading.

LOCAL LEAD AGENCY COSTS

Infant & Toddler Connection of: _____ **DUNS Number:** _____

SFY 16

Section A: Budget, Expenses and Service Information by Service

Budget Revision Dates:				
	ANNUAL BUDGET			
	Annual Federal Part C Revenues	**Annual State Part C Revenues**	**Additional Revenues**	**Total Revenues**
Direct Services Units of Service by 15 minute increments (or month for SC):				
Assessment for Service Planning				$ -
Counseling				$ -
Nursing				$ -
Occupational Therapy				$ -
Occupational Therapy - AT Service				$ -
Physical Therapy				$ -
Physical Therapy - AT Service				$ -
Psychology				$ -
Social Work				$ -
Developmental Services (formerly SI)				$ -
Speech Language Pathology				$ -
Speech Language Pathology - AT Service				$ -
Vision				$ -
Other Services (1)				$ -
Subtotal Direct Services:	$ -	$ -	$ -	$ -
Direct Services Individual Activities:				
Assistive Technology Devices				$ -
Audiology				$ -
Eligibility Determination (EI Providers)				$ -
Health				$ -
Nutrition				$ -
Service Coordination				$ -
Transportation				$ -
Other Services (2)				$ -
Subtotal Individual Activities:	$ -	$ -	$ -	$ -
System Operations				
Administration - Indirect				$ -
System Management				$ -
Data Collection				$ -
Training				$ -
Public Awareness/Child Find				$ -
Other System Cost				$ -
Subtotal Operations:	$ -		$ -	$ -
TOTAL REVENUE/EXPENDITURES:	$ -	$ -	$ -	$ -

Section B: Revenues by Source

SOURCE	**ANNUAL BUDGET**
Federal Part C Funds	
Federal Part C Retained Earnings	
State Part C Funds	
State Part C Retained Earnings	
State Funds	
Local Funds	
Medicaid	
Medicaid EI TCM	
Insurance	
TRICARE	
Family Cost Share	
Donations	
In Kind	
Other: (Specify)	
TOTAL REVENUE/EXPENDITURES:	$ -
SURPLUS:	$ -

NOTE: Administrative - Indirect, if applicable, must be allocated across available revenue sources. Allocation to Federal is not required; but, Indirect may also be exclusively Federal if other revenue sources are not available.

INDIRECT RATIO				
	Federal	**State**	**Other**	**Total**
Administration - Indirect Expenditures	$ -		$ -	$ -
Direct Services and Direct Systems Ops	$ -	$ -	$ -	$ -
Total Indirect and Direct Expenditures	$ -	$ -	$ -	$ -
Indirect Ratio - Indirect divided by Direct Exp	#DIV/0!	For Direct Only	#DIV/0!	#DIV/0!

If Federal Indirect is supported by a Federally Approved Indirect Cost Rate or election to use the 10% de Minimis Cost Rate, please provide supporting documentation.

Colorado Enrollment Reports

COLORADO'S TRACKING OF PROJECTED VS. ACTUAL MONTHLY ENROLLMENT FOR STATE PART C

1	ENROLLMENT	7/1/13-6/30/14													
2	CCB	State/Part C Projected AME	State/Part C Actual AME	Difference Actual to Projected	% Monthly Enrolled	Trust Projected AME	Trust Actual AME	Difference Actual to Projected	% Monthly Enrolled	Medicaid Projected AME	Medicaid Actual Enrolled AME	Medicaid Actual Service Paid	Medicaid Actual TCM Paid	% Difference Actual Paid to Actual Enrolled TCM	% Difference Actual Enrolled to Projected TCM
3	BLUE PEAKS	50	57	7	114.7%	3	2	-1	64%	37	45	16	39	87%	121%
4	COLORADO BLUESKY	144	162	18	112.3%	13	13	0	101%	107	120	24	86	72%	112%
5	COMMUNITY CONN	75	56	-19	74.2%	5	3	-2	50%	40	37	9	31	84%	92%
6	COMMUNITY OPTIONS	102	68	-34	66.8%	11	14	3	123%	56	45	2	34	76%	81%
7	DDC/IMAGINE!	494	518	24	104.8%	81	77	-4	95%	223	256	154	164	64%	115%
8	DEV. DISAB. RES. CTR	550	580	30	105.5%	105	122	17	116%	228	249	110	156	63%	109%
9	DEV. OPP/STARPOINT	78	68	-10	87.5%	2	1	-1	29%	44	56	29	40	72%	127%
10	DEV. PATHWAYS	1,441	1,625	184	112.8%	107	172	65	161%	581	725	248	473	65%	125%
11	EASTERN	107	100	-7	93.6%	3	1	-2	39%	64	55	14	51	91%	86%
12	ENVISION	267	341	74	127.8%	26	38	12	144%	133	175	100	127	72%	132%
13	FOOTHILLS-GATEWAY	317	357	40	112.6%	32	32	0	98%	138	205	117	169	83%	148%
14	HORIZONS	60	56	-4	92.6%	8	10	2	122%	24	29	14	22	76%	120%
15	INSPIRATION FIELD	27	23	-4	86.4%	0	0	0	0%	19	21	3	21	99%	111%
16	MOUNTAIN VALLEY	146	161	15	110.6%	7	25	18	352%	71	84	8	57	67%	118%
17	NORTH METRO	729	734	5	100.7%	73	82	9	112%	431	484	250	352	73%	112%
18	ROCKY MT. HUMAN SERVIC	1,302	1,112	-190	85.4%	198	163	-35	82%	687	682	173	497	73%	99%
19	SOUTHEASTERN	20	11	-9	52.9%	0	0	0	0%	13	5	1	3	61%	42%
20	SOUTHERN	28	7	-21	25.0%	2	0	-2	0%	10	7	3	4	62%	67%
21	STRIVE	134	124	-10	92.8%	15	16	1	104%	68	74	2	64	87%	108%
22	TRE	725	723	-2	99.7%	49	50	0	101%	244	284	149	247	87%	117%
23	STATE TOTAL	6796	6885	89	101.3%	740	817	77	110%	3218	3637	1424	2637	73%	113%
24															

COLORADO'S TRACKING OF MONTHLY AMOUNT EXPENDED (COMPARING ALLOCATION WITH ACTUAL EXPENSES OF PAYMENTS FROM THREE FUNDING SOURCES: STATE PART C, PRIVATE TRUST FUNDS, AND MEDICAID)

25	DIRECT SERVICE FUNDS	7/1/13 - 6/30/14				TRUST & MEDICAID PAYMENTS	7/1/13 - 6/30/14		
26	CCB	State/Part C Allocated Funds	Payments for Direct Service Claims, Transaction Dates	% Expended	Balance of State and Part C Funds	Trust Payments for Direct Service and MF	Trust Payments for SC	Medicaid Service Payments	Medicaid TCM Payments
27	BLUE PEAKS	$ 117,477	$ 117,477	100.00%	$ 0	$ 830.64	$ 574.98	$ 27,801.53	$ 31,937.93
28	COLORADO BLUESKY	$ 313,272	$ 313,264	100.00%	$ 8	$ 34,797.04	$ 4,690.23	$ 118,419.98	$ 169,002.88
29	COMMUNITY CONN	$ 208,848	$ 208,848	100.00%	$ 0	$ 13,333.03	$ 1,722.22	$ 16,779.52	$ 47,334.20
30	COMMUNITY OPTIONS	$ 261,060	$ 206,397	79.06%	$ 54,663	$ 31,540.11	$ 8,982.87	$ 2,926.13	$ 45,325.16
31	DDC/IMAGINE!	$ 1,261,790	$ 1,309,647	103.79%	$ (47,857)	$ 358,340.88	$ 72,612.81	$ 602,990.65	$ 216,793.68
32	DEV. DISAB. RES. CTR	$ 1,392,320	$ 1,296,915	93.15%	$ 95,405	$ 389,273.73	$ 113,051.54	$ 394,846.35	$ 196,535.86
33	DEV. OPP/STARPOINT	$ 226,252	$ 196,072	86.66%	$ 30,180	$ 1,587.00	$ 535.56	$ 46,184.90	$ 54,874.34
34	DEV. PATHWAYS	$ 4,694,702	$ 4,694,702	100.00%	$ 0	$ 592,535.30	$ 124,857.97	$ 929,027.30	$ 487,435.72
35	EASTERN	$ 300,219	$ 300,219	100.00%	$ -	$ 3,066.71	$ 862.47	$ 31,828.24	$ 61,397.48
36	ENVISION	$ 776,479	$ 839,652	108.14%	$ (63,173)	$ 143,508.69	$ 27,892.64	$ 258,158.15	$ 141,135.00
37	FOOTHILLS-GATEWAY	$ 909,359	$ 891,352	98.02%	$ 18,007	$ 116,746.54	$ 33,064.74	$ 282,592.48	$ 213,533.65
38	HORIZONS	$ 169,689	$ 118,141	69.62%	$ 51,548	$ 30,653.17	$ 7,314.34	$ 26,478.84	$ 18,921.05
39	INSPIRATION FIELD	$ 73,967	$ 27,904	37.72%	$ 46,063	$ -	$ -	$ 3,571.72	$ 21,795.04
40	MOUNTAIN VALLEY	$ 435,100	$ 415,703	95.54%	$ 19,397	$ 72,727.13	$ 18,639.27	$ 15,526.03	$ 86,008.22
41	NORTH METRO	$ 1,823,069	$ 1,823,069	100.00%	$ -	$ 323,540.65	$ 66,966.80	$ 1,016,789.28	$ 405,367.12
42	ROCKY MT. HUMAN SERVIC	$ 3,158,826	$ 3,158,826	100.00%	$ -	$ 643,598.65	$ 166,224.07	$ 638,090.40	$ 615,667.05
43	SOUTHEASTERN	$ 56,563	$ 37,358	66.05%	$ 19,205	$ -	$ -	$ 1,808.35	$ 2,983.12
44	SOUTHERN	$ 87,020	$ 6,841	7.86%	$ 80,179	$ -	$ -	$ 12,874.05	$ 3,257.08
45	STRIVE	$ 356,782	$ 342,597	96.02%	$ 14,185	$ 53,800.50	$ 12,198.95	$ 1,927.21	$ 117,711.48
46	TRE	$ 2,358,242	$ 2,358,213	100.00%	$ 29	$ 195,259.56	$ 46,644.29	$ 407,387.60	$ 516,352.18
47	STATE TOTAL	$ 18,981,036	$ 18,663,195	98.33%	$ 317,841	$ 3,005,139.33	$ 706,835.75	$ 4,836,008.71	$ 3,453,368.24
48									

Example State and County Profiles

SAMPLE STATE PROFILE

July 1, 2014 through June 30, 2015

A. Population Information

State Population:	6,951,999
Birth to Three Population:	355,675
Population Growth Percentage:	0.497%
Low Birth Weight Population:	6.57%

B. Cumulative Child Enrollment age based on March 1

Birth to 1 Year Olds:	2,220	13.40%
1 to 2 Year Olds:	4,086	24.65%
2 to 3 Year Olds:	5,674	34.24%
Over 3 Years:	4,593	27.71%

C. Statewide Totals

Total Number of Children Served:	16,573
Number of Children on Medicaid	7,486
Total Amount Paid on Behalf of Children:	$51,461,538.04
Total Amount Paid by Medicaid	$19,040,769.06
Statewide Average per Child:	$3,105.14

D. Race Information		% of total served	% of state population (0-19)
White/Not Hispanic	13,464	81.24%	84.41% (0-1)
Black/Not Hispanic	651	9.96%	8.90%
Hispanic	643	3.88%	3.53%
American Indian/Alaskan Native	21	0.13%	0.25%
Asian	198	1.20%	0.97%
Multi-Racial	596	3.59%	1.20%

E. Services by Location (duplicated count for all locations)

Home:	14,886
Community:	10,009
Other:	9,169

F. Children Receiving by Service Type	Number Served	Percentage
Assistive Technology	1,453	8.77%
Audiology	2,483	14.98%
Developmental Therapy	7,150	43.14%
Health Services	1	0.01%
Interpreter Services	120	0.72%
Medical	35	0.21%
Nursing	115	0.69%
Nutrition	541	3.26%
Occupational Therapy	5,794	34.96%
Physical Therapy	6,790	40.97%
Psychology	287	1.73%
Service Coordination	15,388	92.85%
Social Work	135	0.81%
Speech Therapy	9,392	56.67%
Transportation	189	1.14%
Vision	56	0.34%
Other	194	1.17%

SAMPLE COUNTY PROFILE

July 1, 2014 through June 30, 2015

A. Population Information

County Population:	333,719
Birth to Three Population:	15,869
Population Growth Percentage:	10.31%
Low Birth Weight Percentage:	7.40%

B. Cumulative Child Enrollment age based on March 1

		County	State
Birth to 1 Year Olds:	148	15.18%	13.40%
1 to 2 Year Olds:	226	23.18%	24.65%
2 to 3 Year Olds:	338	34.67%	34.24%
Over 3 Years:	263	26.97%	27.71%

C. Statewide Totals

Total Number of Children Served:	975	5.88% of State Total
Number of Children on Medicaid	497	
Total Amount Paid on Behalf of Children:	$3,325,280	6.46% of State Total
Total Amount Paid by Medicaid	$1,695,890	
County Average per Child:	$3,411	State Average per Child: $3,105.14

D. Race Information

		% of total served	% of county population (0-19)
White/Not Hispanic	681	69.85%	79.60%
Black/Not Hispanic	157	16.10%	10.84%
Hispanic	42	4.31%	4.18%
American Indian/Alaskan Native	3	0.31%	0.34%
Asian	16	1.64%	1.94%
Multi-Racial	76	7.79%	1.72%

E. Services by Location (duplicated count for all locations)

Home:	877
Community:	294
Other:	657

F. Children Receiving by Service Type

	County Percentage	State Percentage
Assistive Technology	5.3%	8.77%
Audiology	13.5%	14.98%
Developmental Therapy	29.1%	43.14%
Health Services	0.0%	0.01%
Interpreter Services	0.8%	0.72%
Medical	0.0%	0.21%
Nursing	7.5%	0.69%
Nutrition	0.5%	3.26%
Occupational Therapy	40.1%	34.96%
Physical Therapy	41.5%	40.97%
Psychology	0.6%	1.73%
Service Coordination	96.1%	92.85%
Social Work	0.0%	0.81%
Speech Therapy	67.5%	56.67%
Transportation	0.7%	1.14%
Vision	0.1%	0.34%
Other	0.3%	1.17%

Example Explanation of Benefits

EXPLANATION OF BENEFIT

January 1, 1015 - March 31, 2015

Mr and Mrs. Tom Smith
2014 Main Street
Anytown, USA
Child: Mary Smith
Child's Age: 24 months

In the first three months of 2015, the state Part C system has paid early intervention providers for the following services received by your child:

Services	Dates of Service	Total Payment
Speech Therapy	January 15	$95
	January 29	$95
	February 12	$95
	February 26	$95
	March 11	$95
	March 25	$95
Developmental Therapy	January 7	$85
	January 14	$85
	January 21	$85
	January 28	$85
	February 4	$85
	February 11	$85
	February 18	$85
	February 25	$85
	March 4	$85
	March 11	$85
	March 18	$85
	March 25	$85
Service Coordination	January	$210
	February	$210
	March	$210

If you have any questions or if you believe that your child did not receive one of the services listed, please contact Jerry Meyer at 888-888-8888.