



Kentucky Public Health  
Prevent. Promote. Protect.

## Part C Coordinator’s Report April 13, 2023

### Service Statistics

| FY23  | 07/01/2022-09/30/2022 | 10/01/2022-12/31/2022 | 01/01/2023-03/31/2023 | 04/01/2023-06/30/2023 |
|---|-----------------------|-----------------------|-----------------------|-----------------------|
| Screened (children with suspected delay)  | 1,724                 | 1,609                 | 1,837                 |                       |
| Number of referrals   | 3,212                 | 2,845                 | 3,472                 |                       |
| Number of new eligible children (includes Established Risk, Developmental Delay and Informed Clinical Judgment) | 1,379                 | 1,393                 | 1,354                 |                       |
| Total unduplicated number of children served during period (includes those evaluated but no IFSP services)      | 7,561                 | 6,184                 | 7,895                 |                       |

Source: Technology-assisted Observation and Teaming System (TOTS).

### Federal Program Requirements

**The State Performance Plan/Annual Performance Plan (SPP/APR):** The FFY21 report was submitted timely. Clarification week will be April 17-21. This is an opportunity to respond to questions that reviewers in the Office of Special Education Program (OSEP) have concerning the information provided by the state. State determinations are announced in June.

**OSEP Differentiated Monitoring:** Monitoring started with the document requests from OSEP. Reviews of documents began and OSEP scheduled a call to ask the State Lead Agency (SLA) to further understand the structure of the state system. Focus groups with ICC members, Point of Entry (POE) leadership, and early intervention providers began in late March. The Kentucky Parent Training and Information (PTI) center, KY-SPIN, is assisting OSEP staff with identifying parents for both the Part C and Part B programs. The SLA is partnering with KY-SPIN to identify parents whose children are at different stages of KEIS participation—newly enrolled, in service for six months or more, and those in the transition stage, including parents whose children have exited.

**FFY23 Federal Grant Application:** The FFY23 federal grant application is on the Kentucky Early Intervention System (KEIS) website ([Kentucky Early Intervention System Reports - Cabinet for Health and Family Services](#)). There is a 30 day public review period and 30 day comment period that ends on June 1, 2022. Comments may be emailed to [paula.goff@ky.gov](mailto:paula.goff@ky.gov).

**618 Data Due Dates:** The December 1 child count due date to June 28, 2023. The Part C Dispute resolution moved to November 15, 2023. The Exiting Report will be due February 21, 2024.

**Data Trends**—See PowerPoint

### KEIS Operations

**State Lead Agency (SLA) Staff:** A new Budget Specialist I will be joining the team in early May. This hire fills all vacant positions in the billing unit. The office expects to move in the latter part of May as renovations to the Health Services Building will be completed. The move will take a couple of days and staff will be on a staggered schedule so that access to email and phones is intact while moving. Any disruption to operations will be announced.

### Compliance Monitoring:

#### Formal Complaints

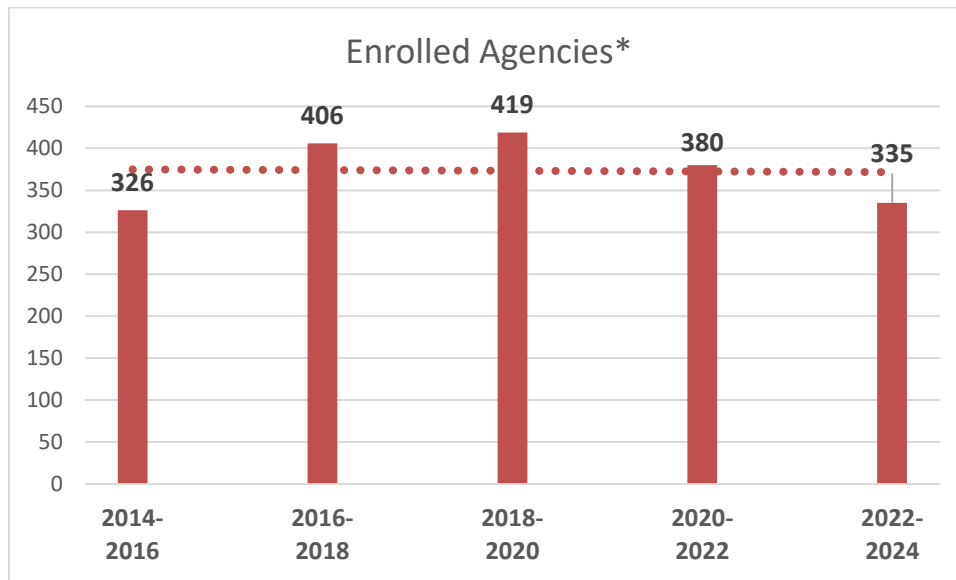
- One formal complaint was received this quarter.
  - FIVCO POE

The complaint alleged a specific provider was unprofessional, falsified documentation, and attempted to dictate service times. A new provider was found per the parent’s request. An investigation revealed no other concerns about falsified documentation. It appears this claim resulted from a misunderstanding between the parent and provider. However, other parents confirmed the provider is unprofessional. A few issues were also noted with the provider’s billing. The provider is developing a corrective action plan, which will include professional development.

**Audits:**

- Five billing audits were completed this quarter.
  - One audit showed no concerns.
  - Another audit revealed only minor concerns, which were addressed through education. No sanctions imposed.
  - The remaining three audits resulted in findings of noncompliance. Issues noted included overlaps in visits, no break for travel between visits, providing the incorrect number of services per the IFSP, not providing services and entering documentation within 30 days of being added to the IFSP, and providing services prior to receipt of parental consent. These issues resulted in recoupment of funds and corrective action plans.
  
- POE desk audits begin soon. Five POEs will be reviewed each year. This year the review includes Northern Kentucky, Barren River, Big Sandy, Cumberland Valley, and Green River.

**Provider Updates:**



**\*Note:** During the national state of emergency, new provider enrollment was suspended so that existing providers had children to serve. The suspension began in 2020 and ended 2022.

**Provider Renewal Detail**

**2014-2016 Renewal**

- The SLA processed 326 agency packets (that could be agencies of one or agencies of multiple providers) and 15 POE packets.

**2016-2018 Renewal**

- The SLA processed 406 agency packets (that could be agencies of one or agencies of multiple providers) and 15 POE packets.

**2018-2020 Renewal**

- The SLA processed 419 agency packets (that could be agencies of one or agencies of multiple providers) and 15 POE packets.
- The SLA made 39 agencies (agency of one or agency of multiple providers) inactive due to no renewal paperwork by July 1, 2028.

\*\* (2020) The national state of emergency due to the Covid outbreak led to referral numbers declining to an all-time low. Because of this, the SLA placed new provider enrollments on hold to allow existing providers to work as much as possible.

**2020-2022 Renewal**

- The SLA processed 380 agency packets (that could be agencies of one or agencies of multiple providers) and 15 POE packets.
- The SLA made 42 agencies (agency of one or agency of multiple providers) inactive due to no renewal paperwork by July 1, 2020.
- Number of Active Providers as of July 7: 1058

\*\* (2020) The national state of emergency due to the Covid outbreak led to referral numbers declining to an all-time low. Because of this, the SLA placed new provider enrollments on hold to allow existing providers to work as much as possible.

**2022-2024 Renewal**

- The SLA processed 335 agency packets (that could be agencies of one or agencies of multiple providers) and 15 POE packets.
- The SLA made 13 agencies (agency of one or agency of multiple providers) inactive due to no renewal paperwork by July 1, 2022.
- A total of 40 agencies submitted termination paperwork for the July 1, 2020, deadline.

**Total number of providers (not agencies) as of March 1: 903**

**Service Coordinator Status**

| POE               | Active Cases (referral to IFSP) | Number Service Coordinators | Number Service Coordinators Needed for caseloads of 45 |
|-------------------|---------------------------------|-----------------------------|--|
| Bluegrass         | 1001                            | 24                          | 21   |
| Barren River      | 470                             | 7                           | 10   |
| Big Sandy         | 116                             | 1                           | 2  |
| Buffalo Trace     | 101                             | 3                           | 2  |
| Cumberland Valley | 222                             | 3                           | 4  |
| FIVCO             | 186                             | 5                           | 4  |
| Green River       | 239                             | 5                           | 5  |
| Gateway           | 91                              | 2                           | 2  |
| KIPDA             | 1800                            | 24                          | 36   |
| Kentucky River    | 192                             | 5                           | 5  |
| Lake Cumberland   | 241                             | 6                           | 4  |
| Lincoln Trail     | 490                             | 9                           | 10   |
| Northern Kentucky | 879                             | 20                          | 19   |
| Purchase          | 276                             | 5                           | 6  |
| Pennyrile         | 201                             | 3                           | 4  |

**Highest caseload: Big Sandy (116), KIPDA (average 74), Barren River and Pennyrile (average 67)**

**POE Managers with Significant Caseloads**

| Point of Entry    | Caseload               |
|-------------------|------------------------|
| Barren River      | 53                     |
| Big Sandy         | 59                     |
| Cumberland Valley | 47                     |
| Green River       | 5 IFSPs + 17 referrals |
| KIPDA             | 20 referrals           |

| <b>Point of Entry</b> | <b>Caseload</b> |
|-----------------------|-----------------|
| Pennyrile             | 50              |

**Record Review:**

**UNIVERSITY OF LOUISVILLE, SCHOOL OF MEDICINE, PEDIATRICS  
07/01/22 – 03/31/23 (39 weeks)**

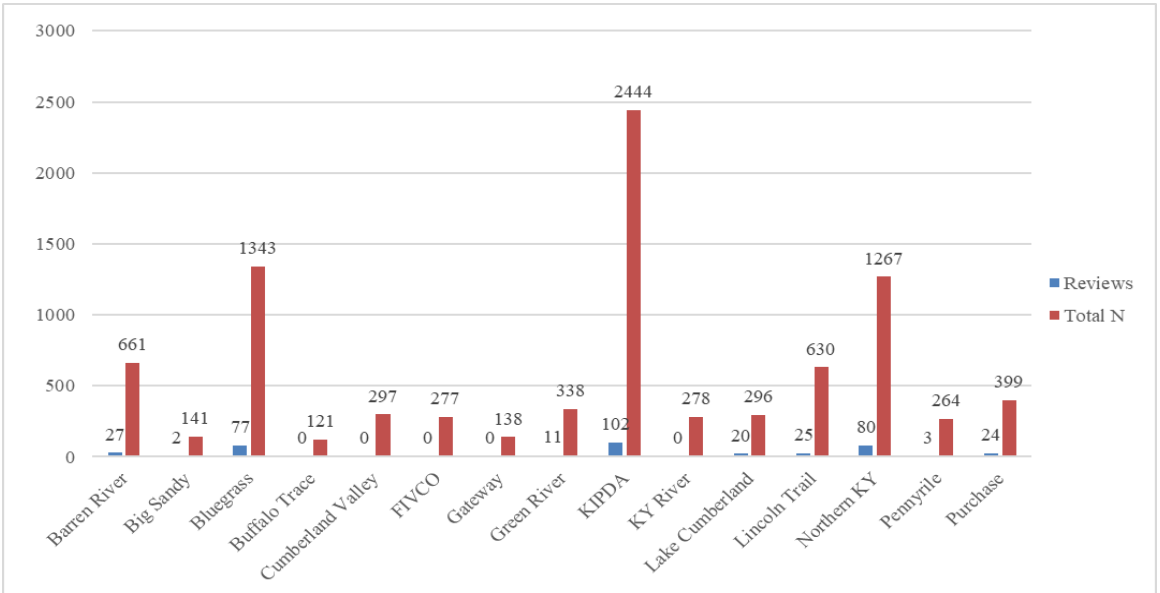
| <b>Review Type</b>      | <b>N</b> | <b>Determinations</b>  | <b>Criteria</b>   |
|-------------------------|----------|--|---|
| Eligibility             | 257      | 249 - Eligible<br>07 - Denied<br>01 - Deferred - screening   | <ul style="list-style-type: none"> <li>Request in TOTS</li> <li>PLE Report in TOTS and phone contact</li> <li>Additional testing (if any)</li> </ul>  |
| Eligibility/ILE         | 90       | 82 - Approved for Eligibility clarification (DD vs ASD)<br>02 - Denied<br>06 - Deferred (referral on file; travel)   | <ul style="list-style-type: none"> <li>Review of Request in TOTS</li> <li>Review of all submitted records/TOTS documentation</li> <li>Description of child's social-communication</li> <li>MCHAT/STAT conducted by DCES</li> </ul>  |
| Intensive Authorization | 10       | 08 - Approved for diagnostic clarification of an autism spectrum disorder and related program planning   | <ul style="list-style-type: none"> <li>Review of Request in TOTS</li> <li>Review of all submitted records/TOTS documentation</li> <li>Description of child's social-communication</li> <li>ASD Screening findings, if available</li> </ul>  |
|                         |          | 00 - Approved for diagnostic clarification of Childhood Apraxia of Speech (CAS)/ Dyspraxia diagnosis and related programming   | <ul style="list-style-type: none"> <li>Review of Request in TOTS</li> <li>Review of all submitted records/TOTS documentation</li> <li>Receptive language vs. expressive language findings in relation to measured cognitive skills</li> <li>Description of speech sound production and progress</li> <li>Description of oral mechanism and oral-motor status</li> </ul>   |
|                         |          | 00 - Approved for other – (e.g., Regulatory/Anxiety Disorders; motor/CP; Global Delay/Slow progress)   | <ul style="list-style-type: none"> <li>Review of Request in TOTS</li> <li>Review of all submitted records/TOTS documentation</li> <li>Review of phone contact (if any)</li> <li>Clinical judgment, DSM-5 criteria</li> </ul>  |
|                         |          | 02 - Denied/Defer<br>-Diagnosis established<br>-Appropriate plan<br>-Referral on file  |   |
| Service Exception       | 14       | 12 - Service Exception Approved<br>Units Approved per Plan:<br>Range: 138 - 232<br>Mean: 190.73<br>Unit Frequencies:<br>- 0 – 144: 01<br>-145 – 164: 00<br>-165 – 184: 03<br>-185 – 204: 05<br>-205 – 224: 02<br>-225 – 244: 01<br>-245 – 264: 00<br>-265 – 284: 00<br>-285 – 304: 00<br>- > 305: 00 | <ul style="list-style-type: none"> <li>Review of Request in TOTS</li> <li>Review of all submitted records/TOTS documentation <ul style="list-style-type: none"> <li>RBI and parent priorities</li> <li>Child's current developmental presentation/status</li> <li>Rate of documented progress</li> <li>Current and proposed interventions</li> </ul> </li> <li>Request merit</li> <li>Review of phone contact (if any)</li> <li>Available practice standards or guidelines (Autism, CAS)</li> <li>Assignment of a primary service provider</li> <li>Implementation of a consultative model</li> </ul> |

|       |     |                                     |  |
|-------|-----|-------------------------------------|--|
|       |     | 01 – Denied service exception/units |  |
|       |     | 01 – Family declined review         |  |
| Total | 371 |                                     |  |

**Notes:**

- 1.4% (n = 5) of the 371 requests have had previous reviews (all for service exception)
- Data reflects stability over same period FY 2022 (N = 370)
  - FY 2022: 9.49/week average; FY 2023: 9.51/week average

**Referrals by District (with cumulative child count):**



| District          | Reviews | N    | Reviews per Child |
|-------------------|---------|------|-------------------|
| Barren River      | 27      | 661  | 0.041             |
| Big Sandy         | 2       | 141  | 0.014             |
| Bluegrass         | 77      | 1343 | 0.057             |
| Buffalo Trace     | 0       | 121  | 0.000             |
| Cumberland Valley | 0       | 297  | 0.000             |
| FIVCO             | 0       | 277  | 0.000             |
| Gateway           | 0       | 138  | 0.000             |
| Green River       | 11      | 338  | 0.033             |
| KIPDA             | 102     | 2444 | 0.042             |
| KY River          | 0       | 278  | 0.000             |
| Lake Cumberland   | 20      | 296  | 0.068             |
| Lincoln Trail     | 25      | 630  | 0.040             |
| Northern KY       | 80      | 1267 | 0.063             |
| Pennyrite         | 3       | 264  | 0.011             |
| Purchase          | 24      | 399  | 0.060             |
|                   | 371     | 8894 | 0.042             |

**Timeline Indicators this period:**

Average days from complete file to review: 2.41 days

Average total days from complete file to final notification Posted to TOTS: 2.57 days

**FY23 KEIS Budget**

**Percent of Year Elapsed: 50.00%**

| <b>REVENUES</b>               |                         |                         |              |
|-------------------------------|-------------------------|-------------------------|--------------|
| <b>Fund</b>                   | <b>Budgeted</b>         | <b>Expenditures</b>     | <b>Spent</b> |
| General--SJPA/SJPB (KEIS)     | \$ 4,370,900.00         | \$ 3,668,614.91         | 84%          |
| Agency--Family Share/Medicaid | \$ 14,986,100.00        | \$ 7,969,358.35         | 53%          |
| Federal--SJPB 1200            | \$ 6,169,000.00         | \$ 2,460,096.00         | 40%          |
| FFY21                         | \$ 6,280,636.00         | \$ 2,890,203.85         | 46%          |
| FFY22                         | \$ 6,374,484.00         | \$ 4,940,085.26         | 77%          |
| <b>GRAND TOTAL REVENUES</b>   | <b>\$ 38,181,120.00</b> | <b>\$ 21,928,359.37</b> | <b>57%</b>   |

| <b>EXPENDITURES</b>                |                         |                         |              |
|------------------------------------|-------------------------|-------------------------|--------------|
|                                    | <b>Budgeted</b>         | <b>Expenditures</b>     | <b>Spent</b> |
| Salaries/Fringe                    | \$ 1,086,900.00         | \$ 533,552.30           | 49%          |
| Personal Service Contracts         | \$ -                    | \$ -                    | -            |
| Other Personnel/Personnel Indirect | \$ 568,100.00           | \$ 240,880.20           | 42%          |
| <b>PERSONNEL SUBTOTAL</b>          | <b>\$ 1,655,000.00</b>  | <b>\$ 774,432.50</b>    | <b>47%</b>   |
| Operating                          | \$ 113,400.00           | \$ 60,071.92            | 53%          |
| Operating Indirect                 | \$ 104,600.00           | \$ 56,538.02            | 54%          |
| <b>OPERATING SUBTOTAL</b>          | <b>\$ 218,000.00</b>    | <b>\$ 116,609.94</b>    | <b>53%</b>   |
| Program Administration Contracts   | \$ 5,208,700.00         | \$ 2,986,416.65         | 57%          |
| Local Health Department Grants     | \$ 1,946,100.00         | \$ 606,159.76           | 31%          |
| Provider Agreements                | \$ 15,391,300.00        | \$ 9,196,788.30         | 60%          |
| <b>GRANTS/BENEFITS SUBTOTAL</b>    | <b>\$ 22,546,100.00</b> | <b>\$ 12,789,364.71</b> | <b>57%</b>   |
| <b>GRAND TOTAL EXPENDITURES</b>    | <b>\$ 24,419,100.00</b> | <b>\$ 13,680,407.15</b> | <b>56%</b>   |

**Provider Payments FY23**

|                                      | <b>1<sup>st</sup> Qtr</b> | <b>2<sup>nd</sup> Qtr</b> | <b>3<sup>rd</sup> Qtr</b> | <b>4<sup>th</sup> Qtr</b> |
|--------------------------------------|---------------------------|---------------------------|---------------------------|---------------------------|
| Total \$ Amount billed to Medicaid   | \$2,061,508.36            | \$2,361,354.94            | \$2,712,705.08            |                           |
| Total \$ Amount paid by Medicaid     | \$2,038,180.98            | \$2,328,316.22            | \$2,676,356.67            |                           |
| Medicaid Denial (\$)                 | \$23,327.38               | \$33,038.72               | \$36,348.41               |                           |
| Medicaid Denial (%)                  | 1.13% denial              | 1.40% denial              | 1.34% denial              |                           |
| Total \$ Amount paid by Insurance    | \$115,428.73              | \$162,043.81              | \$105,134.53              |                           |
| Total \$ Amount paid by KEIS         | \$2,707,017.99            | \$2,413,322.65            | \$2,490,438.66            |                           |
| <b>Total Paid All payor sources:</b> | <b>\$4,860,627.70</b>     | <b>\$4,903,682.68</b>     | <b>\$5,271,929.86</b>     |                           |
| Family Share Payments Received       | \$6,495.00                | \$6,055.00                | \$14,205.00               |                           |

*Note 1: Data Source is TOTS. Quarterly data changes as data updated. Excludes POE payments.*