

# Part C Data System Functions

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## Overview

This resource contains a list of Part C data system functions designed to assist Part C programs<sup>1</sup> in developing and enhancing high-quality state data systems. The DaSy Center encourages state programs to work with DaSy Center staff for technical assistance (TA) on using this resource when they are considering or planning for a new or enhanced data system. DaSy Center TA could support state programs with developing a request for proposal (RFP) for a new data system as well as reviewing an existing state data system for possible enhancements.

When using this resource, please keep these important considerations in mind:

1. **This list is NOT exhaustive!** While it includes many functions, each state Part C program must review this list for additions, deletions, and modifications to address their unique needs.<sup>2</sup>
2. **Stakeholders representing all users of the system should provide input on the functions** for a state Part C data system. Including all different types of stakeholders (e.g., both state and local program administrative staff, direct service providers, service coordinators, parents [if they will have access]) will provide input early in the system planning and design phases to facilitate efficiency in the development phase.
3. **System functions in this list are grouped into categories, but a given system function may actually span multiple categories.** To keep the overall number of functions manageable, functions are listed in only one category. Therefore, it is important to view related content from multiple categories when considering any one content area.
4. **The last section of this document contains technical *considerations*—not technical data systems functions.** This differentiation between technical system functions and technical considerations is intentional because each state Part C program is housed within a larger state agency that typically has unique technical requirements for data systems associated with programs in their agency. However, it is critical that the state agency's information technology (IT) staff and Part C staff work together when planning the technical content of the Part C data system—even if the system is, or will be, supported by a vendor.

The DaSy Center developed several other products that complement the use of this list of data system functions. Two of the most relevant products are described and linked below.

- [DaSy Data System Framework](#)—designed to assist Part C and Section 619 programs in developing and enhancing high-quality state data systems and improving the quality of their IDEA data. Much of the content within the System Design and Development component of the framework is aligned with these data system functions.
- [IFSP Information Toolkit](#)—includes information about other features that may be included in a state data system (e.g., parent portal, IFSP transfers, dashboards). Because Individualized Family Service Plans (IFSPs) are a major part of state data systems, the DaSy Center encourages reviewing this toolkit.

<sup>1</sup> Many of these data system functions are also applicable to Part B data systems.

<sup>2</sup> The DaSy Center welcomes user input for additional data system functions that may be included in future updates. Please send suggested functions to [DaSy](#) using “possible new data system function” as the subject.

## Part C Data System Functions by Category

Use the following checklists to guide your planning, but select and tailor them to meet your program's unique needs and requirements. DaSy Center TA can assist you with identifying functions you may want in your state data system.

### Administration and Monitoring

<input type="checkbox"/>	1.	The system will support local and state program staff's review of child records to assure/verify local compliance by local program staff and contracted service providers.
<input type="checkbox"/>	2.	The system will track time-based compliance items and calculate the percentage of compliance by child, item, service provider, and local program level.
<input type="checkbox"/>	3.	The system will support authorized local program staff's data entry for the correction of noncompliance and support authorized state program staff's ability to track and approve correction of noncompliance at the individual child and item level.
<input type="checkbox"/>	4.	The system will support local program staff ability to upload and associate the files that document the correction of noncompliance at the individual child- and item-level.
<input type="checkbox"/>	5.	The system will support and track local program staff's correction of "pre-finding" noncompliance.
<input type="checkbox"/>	6.	The system will support, track, and report on the current status of noncompliance, the timely correction of noncompliance, and existing noncompliance that remains (within one year and separately after one year) by child, item, service provider, local program, general area of noncompliance.
<input type="checkbox"/>	7.	The system will support state program staff's ability to draft, modify as needed, and finalize local program corrective action plans (CAPs). (If state applicable, system will support local program input on CAP.)
<input type="checkbox"/>	8.	The system will support local program staff ability to complete a state staff-created, self-assessment protocol for improvement planning purposes.
<input type="checkbox"/>	9.	The system will support local program staff ability to draft, modify as needed, and update local program improvement plans. (If state applicable, system will support state input to and/or improvement of local program input plans.)
<input type="checkbox"/>	10.	The system will support state program staff's review and approval (where required) progress on local CAPs and program improvement plans.
<input type="checkbox"/>	11.	The system will support local program staff's ability to copy previous CAPs and program improvement plans and make modifications when drafting a new or updating CAP and/or program improvement plans.
<input type="checkbox"/>	12.	The system will support the creation of customizable letters, on state letterhead, supporting electronic signatures for authorized state staff, multiple recipients, cc field, and, where applicable, pull standardized data from system to populate tables in letters (e.g., local determination letters with APR indicator data, noncompliance data and results data).
<input type="checkbox"/>	13.	The system will maintain a log and a copy of all letters sent through the system

## Billing

<input type="checkbox"/>	1.	The system will indicate whether a child receiving services has been set up for billing private insurance and/or collecting payments from parents/guardians.
<input type="checkbox"/>	2.	The system will support the prior authorization from insurance company of funded services.
<input type="checkbox"/>	3.	The system will generate claims for applicable services to Medicaid based on the state's Medicaid billing policy.
<input type="checkbox"/>	4.	The system will generate claims for applicable services to private insurance or a health care clearinghouse based on the state's insurance billing policy.
<input type="checkbox"/>	5.	The system will support bulk/batch claims submission/resubmission to Medicaid and private insurance.
<input type="checkbox"/>	6.	The system will generate bills for co-payments and other fees owed by parents/guardians.
<input type="checkbox"/>	7.	The system will support the use of a sliding fee scale for parents/guardians based on family size and income.
<input type="checkbox"/>	8.	The system will support the upload of support documentation needed to finalize sliding scale fee determination.
<input type="checkbox"/>	9.	The system will support the update of progress notes, documents, and corresponding claims to support completing and, when necessary, adjusting, or voiding billings.
<input type="checkbox"/>	10.	The system will support the setup of monthly family cost caps for a child and display progress toward meeting the cap for viewing by authorized staff.
<input type="checkbox"/>	11.	The system will support the payment plans for parents/guardians.
<input type="checkbox"/>	12.	The system will support the entry of payments made by parents/guardians/other for billed services.
<input type="checkbox"/>	13.	The system will maintain audit data for financial audits and other necessary audits.
<input type="checkbox"/>	14.	The system will calculate interest and/or penalty fees for unpaid bills.
<input type="checkbox"/>	15.	The system will support tracking of debt collection activities.

## Case Management (Child)

<input type="checkbox"/>	1.	The system will search for existing "same child" records when a "new" child record is being created. The system will run matching/partial matching criteria and return possible "same child" records that already exist in the system.
<input type="checkbox"/>	2.	The system will support the initial and ongoing completion of child assessment, evaluation, and re-evaluation forms by authorized users.
<input type="checkbox"/>	3.	The system will support Part C eligibility information based on assessment, informed clinical opinion or established condition, and the date of eligibility determination.
<input type="checkbox"/>	4.	The system will support the entry of family concerns, priorities, and resources.

<input type="checkbox"/>	5.	The system will support the entry of child routine and functions.
<input type="checkbox"/>	6.	The system will support the entry of domain and subdomain scores from screener and evaluation tools.
<input type="checkbox"/>	7.	The system will support the creation and archival of: initial IFSP (based on the standard state form), 6-month IFSP, annual IFSP, interim IFSP, compensatory IFSP, state-allowed IFSP extension.
<input type="checkbox"/>	8.	The system will restrict access to child IFSPs based on authorized user and case assignment.
<input type="checkbox"/>	9.	The system will support authorized local program staff assigning cases to service coordinators. The system will also support authorized local staff to reassign cases.
<input type="checkbox"/>	10.	The system will support the creation and management of services (frequency, duration, intensity) based on IFSP and associate assign services to child and provider.
<input type="checkbox"/>	11.	The system will support and associate with child records: contracted staff, local program staff, and service providers entering appointment details such as duration, intervention/service provided, delivery method (e.g., direct, group, teleservice), and results/progress notes.
<input type="checkbox"/>	12.	The system will support direct entry of progress notes and upload of progress note documents associated with each stage of the case lifecycle (referral, evaluation, IFSP, intervention, goals, service appointments, etc.) and restrict access to these notes based on user roles.
<input type="checkbox"/>	13.	The system will support local program staff ability to transfer assigned cases to other staff in the same local program.
<input type="checkbox"/>	14.	The system will support in-state transference of a child's case to a new local in-state program and the notification process required for both the sending and receiving local programs.
<input type="checkbox"/>	15.	The system will support the new receiving local program with access to all case data and uploaded documents, while the original sending local program will retain access only to data and documents necessary for reporting and management functions.
<input type="checkbox"/>	16.	The system will support transition planning meetings for a child exiting the program (e.g., checklists, forms, updating enrollment status, updating COS ratings in cooperation with 619 staff).
<input type="checkbox"/>	17.	The system will support program staff's ability to collect early childhood transition information (transition steps, notification to school district, school district participation, transition meeting information, district of residence, and district of child care) when appropriate.
<input type="checkbox"/>	18.	The system will support contracted service providers' electronic communication via email or text with local program staff and with parents/guardians. (Copies of messages to parents will also be available to parents via the parent portal.)
<input type="checkbox"/>	19.	The system will automatically calculate and display days remaining to meet due dates (e.g., referral to initial IFSP, initial service delivery, transition meeting).
<input type="checkbox"/>	20.	The system will populate forms and screens throughout the system based on data already entered in the child's case (e.g., name, address, date of birth, referral date, IFSP date). Updates to selected child data (e.g., address) will auto update forms and screens.

<input type="checkbox"/>	21.	The system will calculate child's real-time age throughout system based on the date of birth entered.
<input type="checkbox"/>	22.	The system will populate forms and screens based on data already entered in user account (e.g., staff name, address, contact information).
<input type="checkbox"/>	23.	The system will support online and offline (non-internet connected) entry of data and support the upload of such information when internet connection is restored.
<input type="checkbox"/>	24.	The system will show users upon login the upcoming tasks and due date countdowns related to children in their caseloads (e.g., to be completed within XX days).
<input type="checkbox"/>	25.	The system will use the state issued unique ID as the primary child record identifier in the system.
<input type="checkbox"/>	26.	The system will support entering of multiple diagnosis codes, (e.g., IDC-10), including primary diagnosis code, for child record level.
<input type="checkbox"/>	27.	The system will support only authorized users reopening closed records for children younger than age of 3. Authorized users will have read-only access to closed records of children age 3 and older.
<input type="checkbox"/>	28.	The system will maintain record-level information about closed records to satisfy and complete all required reports and comply with program requirements, applicable agency governance policies, and state archive rules.
<input type="checkbox"/>	29.	The system will support the electronic distribution and direct entry of family outcomes survey associated by child record at recurring intervals during the child's enrollment in the program.
<input type="checkbox"/>	30.	The system will support the state program administrator's ability to set the frequency of family outcomes survey administration, the open and close dates of the survey, and the modification of the content to the survey on an annual basis (as needed).
<input type="checkbox"/>	31.	The system will support encrypted email communication between the local program staff, local school district, and state 619 program to support child transition activities. Such emails may contain personal identifiable information (PII) with a statement regarding the use of such information.
<input type="checkbox"/>	32.	The system will support an auditable electronic signature from a parent/guardian (or a signature proxy) on selected documents.
<input type="checkbox"/>	33.	The system will track and assign a status to child records based on the current step of the record (e.g., referral, eligibility determination, IFSP, transition, exit). Status change dates will be maintained by system.

## Communication

<input type="checkbox"/>	1.	The system will support (or integrate a tool that supports) authorized users creating, scheduling, editing, and deleting meetings, appointments, and other activities for system users, including parents.
<input type="checkbox"/>	2.	The system will support collaboration/communication among IFSP team members by allowing access to team member's schedules.
<input type="checkbox"/>	3.	The system will support differentiated read/write/edit access of events based on user role.
<input type="checkbox"/>	4.	The system will support scheduling meetings and service appointments amongst team members, local program staff, and contracted service providers.



<input type="checkbox"/>	5.	The system will send invitations of newly scheduled events to team members via the system and/or email.
<input type="checkbox"/>	6.	The system will send invitations via email to non-team members.
<input type="checkbox"/>	7.	The system will accept attendance replies of meeting invitations.
<input type="checkbox"/>	8.	The system will send automatic reminders to users (including parents) for upcoming events listed within the system (e.g., meeting/appointment reminders). Reminders may be text, email, and/or internal system notification.
<input type="checkbox"/>	9.	The system will support optional calendar views (day, week, month) by system users.
<input type="checkbox"/>	10.	The system will automatically notify specific local program users when a new case or task has been assigned to them.
<input type="checkbox"/>	11.	The system will automatically notify specific local program users about pending tasks at predetermined number of days before such tasks are due.
<input type="checkbox"/>	12.	The system will automatically notify specific local program users (e.g., local directors) of pending deadlines of tasks not completed associated with specific children, service coordinators, and service providers (e.g., 45-day referral to IFSP timeline, transition meeting).
<input type="checkbox"/>	13.	The system will automatically notify system users of any upcoming trainings for which they have registered, if the professional development training module (see below) is integrated.
<input type="checkbox"/>	14.	The system will have messaging capabilities allowing parents/guardians (if consent to share has been provided), local program staff, and contracted service providers to communicate, ask questions, provide information, and send messages to recipient's primary email address or via text.
<input type="checkbox"/>	15.	The system will have messaging capabilities allowing internal staff communications between supervisors, support staff, providers, coordinators, via recipient's primary email address or via text.
<input type="checkbox"/>	16.	The system will remind contracted service providers, local program staff, and local program directors of certification requirements in advance of the certification's expiration date.
<input type="checkbox"/>	17.	The system will support communication between state and local program staff regarding correction of noncompliance findings and actions in support of CAP and improvement plans.
<input type="checkbox"/>	18.	The system will generate and proactively notify users of possible data quality issues at the child-item level upon logging into the system. Upon failure to address within a predetermined period, the system will notify the service coordinator; then after an additional period, it will auto notify the local program director.

## Data Management

<input type="checkbox"/>	1.	The system will perform data entry validation and edit checks (e.g., format checks, field validation restrictions, logical consistency checks) during data entry/or entry saving event for checkable fields.
<input type="checkbox"/>	2.	The system flags unusual entries and requires user confirmation before saving data such as service delivery outliers (e.g., weekend services, unusually lengthy

		appointments) and allows state or local program staff to set parameters for the business rules upon which these flags are based.
<input type="checkbox"/>	3.	The system will contain the child-level and service provider-level data elements found in the <a href="#">System Design and Development subcomponent of the DaSy Framework</a> .
<input type="checkbox"/>	4.	The system will perform batch updates to multiple records when needed to update information as needed, (e.g., unique ID generation, Medicaid).
<input type="checkbox"/>	5.	The system will support automated or manual imports of selected data to be integrated from the following named state data system(s) if state applicable (e.g., personnel licensure information Early Hearing Detection and Intervention [EHDI], Maternal, Infant, and Early Childhood Home Visiting [MIECHV]).
<input type="checkbox"/>	6.	The system will support automated or manual exports of selected Part C data to integrate or link with the following named state data system(s) if state applicable (e.g., Early Childhood Integrated Data Systems (ECIDS), EHDI, Part B 619, other state educational agency (SEA) system).
<input type="checkbox"/>	7.	The system will restrict data entry of past, current, or future dates, in fields where as applicable.
<input type="checkbox"/>	8.	The system will use and align all system data fields with the Common Education Data Standards (CEDS; <a href="https://ceds.ed.gov/">https://ceds.ed.gov/</a> ) or a similar convention to support agency/state interoperability.
<input type="checkbox"/>	9.	The system will retain data according to the state's schedule for records retention, inclusive of all agency and program data reporting requirements and data governance policies.
<input type="checkbox"/>	10.	The system will maintain transaction logs of all events including, field content modification, document uploads, event creation, meetings scheduled, and so on. Transaction logs will contain and preserve the date and time of each transaction, user ID that triggered the transaction, previous value, and new value for entered data.
<input type="checkbox"/>	11.	The system will allow only authorized state staff to destroy limited system data (to be determined) according to the state's schedule for records destruction, agency policies, and program data reporting requirements and data governance policies. Records destruction procedures will require two authorized state agency persons authentication.
<input type="checkbox"/>	12.	The system will allow authorized users at local and state program levels to have read access to inactive records of children.
<input type="checkbox"/>	13.	The system will allow authorized users at local and/or state program levels to change the status of a closed record to open when an eligible child has returned to the state for service after having moved out of state.

## Document Management

<input type="checkbox"/>	1.	The system will support the upload of documents (e.g., pdf, doc(x), xls(x), txt, jpg, gif), both general interest and documents associated with a child's case record, and uploading of limited size TBD audio and video files (e.g., embedded system helps and training materials).
<input type="checkbox"/>	2.	The system will support document management features for authorized users to index and organize uploaded documents (e.g., creating folders; uploading, renaming, copying, deleting, contextually associating help files.)

<input type="checkbox"/>	3.	The system will support the creation of forms within the system to be completed in and/or distributed from the system (e.g., IFSPs, consents, authorizations, written notices).
<input type="checkbox"/>	4.	The system will support the creation of letters, letter sending as attachments via email, and storage of created letters (e.g., local program determination letters, findings of noncompliance letters, letters to families from providers).

## Parent Portal

<input type="checkbox"/>	1.	The system will include a Health Insurance Portability and Accountability Act/Family Educational Rights and Privacy Act (HIPPA/FERPA)-compliant parent/guardian portal allowing parents limited access to program information about their child according to state determined business rules (e.g., child's current IFSP, historical IFSPs, progress updates, case information, uploaded documents).
<input type="checkbox"/>	2.	The system will include a parent portal allowing parents to upload documents, request meetings, view upcoming events for their child (e.g., IFSP meeting, services), email and/or text exchanges with IFSP team, access and complete family outcomes survey.
<input type="checkbox"/>	3.	The system will include a parent portal allowing parents to access general (non-child specific) resources and information via active links to resources and direct access to general documents stored in the system.
<input type="checkbox"/>	4.	The system will include a parent portal allowing parents/guardians to submit feedback about the program and services received.
<input type="checkbox"/>	5.	The system will include a parent portal allowing parents to access current contact information for local program staff and contracted service providers.
<input type="checkbox"/>	6.	The system will include a parent portal allowing parents to update their personal contact information.
<input type="checkbox"/>	7.	The system will include a parent portal allowing parents to access relevant information about child and/or family referrals to other programs or services.

## Professional Development and Training<sup>3</sup>

<input type="checkbox"/>	1.	The system will support the entry and management (editing, copying, deleting, etc.) of individual professional development and training opportunities, including content areas, location, schedule, duration, prerequisites, capacity, description, CEUs, etc.
<input type="checkbox"/>	2.	The system will support the entry and management of attendee registration for, and attendance at, upcoming professional development and training events.
<input type="checkbox"/>	3.	The system will support, where applicable, attendee registration approval process (e.g., by local program supervisor), including automatically notifying approver and supporting individual and batch approvals.
<input type="checkbox"/>	4.	The system will support the confirmation of successful attendee registration for upcoming professional development and training events.

<sup>3</sup> While a professional development and training system is not usually contained within a Part C data system, it can be. Some system functions are included here because they would be tied to workforce records.

<input type="checkbox"/>	5.	The system will support the management of event capacity, including waiting lists, automatic adjustment of wait list based on registrant cancellation, waiting list status notifications, etc.
<input type="checkbox"/>	6.	The system will support the entry and management of presenters for upcoming professional development and training events.
<input type="checkbox"/>	7.	The system will track the continuing education units (CEUs) and certification-related training hours by attendees at professional development and training events.
<input type="checkbox"/>	8.	The system will track and maintain a searchable calendar of events by relevant search criteria (e.g., content areas, dates, location, presenters, availability).
<input type="checkbox"/>	9.	The system will support the pre-event uploading of content (e.g., agendas, reading material, forms) by presenters or authorized staff.
<input type="checkbox"/>	10.	The system will support the event evaluation, attendee pre/post testing, post event (e.g., 2 month) follow up with attendees.
<input type="checkbox"/>	11.	The system will provide summary evaluation data regarding events (e.g., evaluation results by presenter, content area, event, sponsoring agency).

## Referral and Eligibility

<input type="checkbox"/>	1.	The system will support the initiation of intake and referral forms including child info, parent info, referral source, reason for referral, etc. by authorized users. (If state applicable, system may support system referrals from stakeholders outside local programs.)
<input type="checkbox"/>	2.	The system will support local program's online completion of intake and referral forms including case-level documents, attaching additional supporting documents.
<input type="checkbox"/>	3.	The system will indicate the status of a new referral (e.g., pending, in progress, complete, assigned).
<input type="checkbox"/>	4.	The system will support sending an acknowledgement via email to those making referrals once the referral has been assigned in the system.
<input type="checkbox"/>	5.	The system will use ICD-10 and ICD-9 diagnosis codes where required. ICD-10 will be used for new diagnosis codes entered into the system; ICD-9 will be present in data converted and migrated from the legacy system.
<input type="checkbox"/>	6.	The system will retain necessary information on children found not eligible so that follow-up contact may occur as needed.
<input type="checkbox"/>	7.	The system will remind service coordinators to make and document child/family referrals made to other programs for children found not eligible (and whose parents consented to referrals).
<input type="checkbox"/>	8.	The system will support the direct entry of demographic and case data on children and parents/guardians and allow this data to be updated as needed by authorized users including parents.
<input type="checkbox"/>	9.	The system will flag records as late referrals (children referred to Part C after age XX months) and support reporting on late referral records.

## Reporting

<input type="checkbox"/>	1.	The system will directly support the following standard child-based reports based on authorized user and program affiliation:
<input type="checkbox"/>	a.	Children by status
<input type="checkbox"/>	b.	Children by key IFSP plan information (e.g., type of plan, plan date, close date, amendment start date, amendment end date, plan delay reason.)
<input type="checkbox"/>	c.	Children on caseload
<input type="checkbox"/>	d.	Children awaiting initial evaluation
<input type="checkbox"/>	e.	Children awaiting eligibility determination
<input type="checkbox"/>	f.	Children determined eligible awaiting entry child outcome summary
<input type="checkbox"/>	g.	Children determined eligible awaiting initial IFSP
<input type="checkbox"/>	h.	Children with an active IFSP
<input type="checkbox"/>	i.	Children with approaching 6-month IFSP review
<input type="checkbox"/>	j.	Children with approaching annual IFSP
<input type="checkbox"/>	k.	Children by transition steps, including delays
<input type="checkbox"/>	l.	Children approaching age 3 and school district not yet notified
<input type="checkbox"/>	m.	Children approaching age 3 without scheduled transition meeting
<input type="checkbox"/>	n.	Children by LEA monthly transition notification report
<input type="checkbox"/>	o.	Children whose transition meetings have occurred
<input type="checkbox"/>	p.	Children approaching age 3 without exit child outcome summary
<input type="checkbox"/>	q.	Children with outstanding or incomplete insurance information
<input type="checkbox"/>	r.	Children by a start of service (E.g., within days of referral, release of information, IFSP)
<input type="checkbox"/>	s.	Children that failed to receive services and the reason for failure
<input type="checkbox"/>	2.	The system will directly support, or through an associated business intelligence (BI) application, the following standard state-level reports, with the ability to disaggregate by local program:
<input type="checkbox"/>	a.	The system will generate APR indicator 1, timely receipt of services report
<input type="checkbox"/>	b.	The system will generate APR indicator 2, settings report
<input type="checkbox"/>	c.	The system will generate APR indicator 3, early childhood outcomes reports
<input type="checkbox"/>	d.	The system will generate APR indicator 4, family outcomes report
<input type="checkbox"/>	e.	The system will generate data to support APR indicator 5, child find birth to one report

<input type="checkbox"/>	f.	The system will generate data to support APR indicator 6, child find birth to three report
<input type="checkbox"/>	g.	The system will generate APR indicator 7, 45-day timeline report
<input type="checkbox"/>	h.	The system will generate APR indicator 8, early childhood transition reports
<input type="checkbox"/>	3.	The system will directly support, or through an associated BI application, the following standard reports based on authorized user and program affiliation:
<input type="checkbox"/>	a.	Standard financial reports (e.g., billing and debt collection activity at family, provider, and aggregate program levels.)
<input type="checkbox"/>	b.	Service providers with expired and those with soon-to-be expired certifications or licensures
<input type="checkbox"/>	c.	Service providers with relinquished contracts
<input type="checkbox"/>	d.	Planned, delivered, <i>and</i> planned vs delivered units of service by provider, child, service type, location, time, local program
<input type="checkbox"/>	e.	Compliance monitoring reports by child, content area, provider, program, original noncompliance, corrected noncompliance, timely corrected noncompliance, not-yet-corrected noncompliance
<input type="checkbox"/>	f.	Multiyear compliance monitoring reports by content area, provider, program, original noncompliance, corrected noncompliance, timely corrected noncompliance, not-yet-corrected noncompliance
<input type="checkbox"/>	g.	Data quality report of records that contain errors, probable errors, incomplete data, etc.
<input type="checkbox"/>	h.	Professional development/training reports of registrants, attendees, registrants vs attendees, evaluation scores, knowledge gain results, by content area, local program, presenter, sponsoring agency, date
<input type="checkbox"/>	4.	The system will support role-based report access.
<input type="checkbox"/>	5.	The system will support authorized users' creation of ad hoc reports via sophisticated multicriteria field-based record search queries (e.g., child name, parent name, provider name, services, date of birth, record status, program) to return all records meeting search criteria based on program (local, state).
<input type="checkbox"/>	6.	The system will format search results in a table, exportable to .xlsx, and offer to save query as a report name for local users to access later for use their own agency.
<input type="checkbox"/>	7.	The system will support search functionality within both ad hoc and standard system reports.
<input type="checkbox"/>	8.	The system will support authorized users' access and query of transaction logs.
<input type="checkbox"/>	9.	The system will support a predetermined number of standard reports for parents/guardians to view regarding their child(ren).
<input type="checkbox"/>	10.	The system will support authorized users' interaction with query results on ad hoc and standards reports such as: column sorting, filtering, searching.
<input type="checkbox"/>	11.	The system will, where applicable, support comparison of local data to state aggregate data (e.g., local ratio of home delivered services to state ratio).
<input type="checkbox"/>	12.	The system will support exporting of report query content to .xlsx).

<input type="checkbox"/>	13.	The system will support printing standard and ad hoc reports and include report creation date, page numbers, and report title.
<input type="checkbox"/>	14.	The system will support a method in which confidential information can be redacted on reports, search results, and screens based on role-based permissions.
<input type="checkbox"/>	15.	The system will support reports accessible via dashboards based on user roles as customized by state staff.
<input type="checkbox"/>	16.	The system will support data visualization in all standard reports and limited state-created new reports, through report tools in the system or associated BI application.

## Workforce Management

<input type="checkbox"/>	1.	The system will support local program creation, entry, and management of service provider, (including contracted provider) service provider records, including provider contact information, demographic information, education, and general profile information.
<input type="checkbox"/>	2.	The system will support local program entry and management of services provided by provider and geographical areas (including multiple local programs) served by provider.
<input type="checkbox"/>	3.	The system will support entry of local program staff and service provider certification/licensure including professional service areas, certification/license status, duration, expiration date, relevant historical certification/license status (e.g., probationary, emergency, out of state, declined, terminated, revoked, relinquished).
<input type="checkbox"/>	4.	The system will notify or indicate upcoming certification/license expiration to local program staff and service providers and also provide a summary display of that information to local program directors.
<input type="checkbox"/>	5.	The system will indicate which local program staff and service providers have not yet met minimum annual training hour requirements and display that information to local program directors.

## System Administration

<input type="checkbox"/>	1.	The system will support state system administrators' ability to create, suspend, delete, manage, and associate local system administrators with local programs.
<input type="checkbox"/>	2.	The system will support local system administrators' ability to create, suspend, delete, manage, and associate local system users including staff, contracted service providers, and parents with their local program.
<input type="checkbox"/>	3.	The system will support users' ability to update their user profile.
<input type="checkbox"/>	4.	The system will support state and local system administrators ability to assign, delete, manage, and associate roles with specific functionality for users under their authority.
<input type="checkbox"/>	5.	The system will support state system administrators' ability to create, delete, edit, and manage local programs.
<input type="checkbox"/>	6.	The system will support a permissions manager allowing state system administrators to create and manage roles in the system and assign system developed functionality to roles.

<input type="checkbox"/>	7.	The system will support password resets through local and state system administrators.
<input type="checkbox"/>	8.	The system will notify state and local system administrators of inactive users associated with their agency after a defined period.
<input type="checkbox"/>	9.	The system will support local and state system administrators ability to modify portions of landing page for state and local messages upcoming reminders (e.g., due dates, trainings), and general interest messages.
<input type="checkbox"/>	10.	The system will support selected administrative modifications within the database application with little or no reliance on the IT team, such as adjusting user permissions and adding support documents.
<input type="checkbox"/>	11.	The system will support state system administrators' ability to access and export all data within the system.
<input type="checkbox"/>	12.	The system will support local program system administrators' ability to access all their local program's data in the system.
<input type="checkbox"/>	13.	The system will support local and state system administrators' ability to view and search applicable transaction logs.
<input type="checkbox"/>	14.	The system will support all authorized users' ability to read transaction logs of their data transactions and the transactions of others on children in their case load.
<input type="checkbox"/>	15.	The system will support state system administrators' ability to create standard invoice templates.
<input type="checkbox"/>	16.	The system will support state system administrators' ability to create and manage data collection protocols including, creating, editing, deleting, naming, setting open/close dates.
<input type="checkbox"/>	17.	The system will support state system administrators' ability to create and manage fields within protocols including, field types (Y/N, multiselect, single select, text based, required/optional, etc.), copying, deleting, numbering, and simple skip pattern logic.
<input type="checkbox"/>	18.	The system will support state system administrators to define item-level error messages.
<input type="checkbox"/>	19.	The system will support state system administrators' ability to support management of business rules associated with workflow parameters, calculated dates, record status, illogical entry, record status, error messages, error warnings, etc.
<input type="checkbox"/>	20.	The system will support state system administrators' ability to override an action taken by a local program system administrator (the system will notify local program system administrator of any state change).
<input type="checkbox"/>	21.	The system will support state system administrators' ability to configure dashboards based on user roles with selected content and report displays allowing for users to directly access reports from dashboard.

## System Help

<input type="checkbox"/>	1.	The system will integrate context specific help resources such as information screens, prompts, links to short how-to media (developed by state program staff and/or vendor), field definitions, FAQs, screen, or tool tips, etc.
<input type="checkbox"/>	2.	The system will support state system administrators' ability to create context-specific online content into help features available in the solution.



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|--------------------------|----|---|
| <input type="checkbox"/> | 3. | The system will integrate real time chat box capability for user support during to be determined hours. |
| <input type="checkbox"/> | 4. | The system will support end user help desk service for user support during to be determined hours.      |

## User Interface

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|--------------------------|----|--|
| <input type="checkbox"/> | 1. | The system will use state branding.  |
| <input type="checkbox"/> | 2. | The system will support spell-check features available for data entry.   |
| <input type="checkbox"/> | 3. | The system will support basic formatting features for documents, emails, text, notes, etc. created in the system (e.g., bold, underline, italics, font size, limited font types, bulleted and numbered lists). |
| <input type="checkbox"/> | 4. | The system will support type ahead functionality on selected fields.   |
| <input type="checkbox"/> | 5. | The system will support the use of translation tools (e.g., Google Translate) to translate system web pages and documents.   |

## Technical Considerations

Listed below are some common technical considerations to be addressed when developing or enhancing a state data system. Even though the IT staff will likely establish the technical requirements—from this list and their own requirements—Part C staff involved in planning and implementing a data system should have at least some understanding of those requirements. Some of the technical considerations below are related to data system functions described in the previous sections. Part C staff should discuss these relationships between the data system functions and the technical considerations because they will impact the day-to-day usefulness, efficiency, and value of the state data system.

## Security Considerations

<input type="checkbox"/>	1.	How will the system's role-based access (state program staff, local program staff, contracted service providers, parents/guardians, service coordinators, etc.) comply with HIPAA, FERPA and other state privacy laws and requirements? (How will the system restrict system users to only what they should be able to access?)
<input type="checkbox"/>	2.	How will user access (single sign on [SSO], multifactor authentication, password management, etc.) be integrated into both the desired system and to existing state systems for all system users, including parents, local agency staff, contracted providers, and potentially other programs/agencies?
<input type="checkbox"/>	3.	What level of password strength and authentication will be required?
<input type="checkbox"/>	4.	How will the system maintain access only for currently authorized users? (For example, automatic expiration of inactive users, automatic notification sent to local and state system administrators of inactive users.)
<input type="checkbox"/>	5.	What level of data encryption will be required?
<input type="checkbox"/>	6.	How will secure data transference be supported?
<input type="checkbox"/>	7.	Will end users' connection to the system time-out after a predetermined period of time of non-engagement by the end user? If so, after what amount of time?
<input type="checkbox"/>	8.	What state security standards and industry security standards will be required for the system?
<input type="checkbox"/>	9.	How will environments comply with and maintain compliance with all state security requirements?
<input type="checkbox"/>	10.	What security measures are in place on all environments where data will reside?
<input type="checkbox"/>	11.	Where will the physical servers reside (city, state, country)?

## Access Considerations

<input type="checkbox"/>	1.	What end-user web browser and versions will be supported by the system?
<input type="checkbox"/>	2.	What end-user operating systems and versions will be supported by the system?

<input type="checkbox"/>	3.	What are the requirements (e.g., hardware, memory, processing speed, internet bandwidth) for end-user computers and internet connections?
<input type="checkbox"/>	4.	What is the required minimum schedule for user access to system (e.g., 7 days a week, 6 a.m.–midnight)?
<input type="checkbox"/>	5.	How will the dependence (if any) on state systems (e.g., SSO, state servers) impact user access?
<input type="checkbox"/>	6.	If applicable, how will the system provide the ability to work off-line and sync later? What system functionality will be supported when off-line?
<input type="checkbox"/>	7.	If applicable, how will the system support mobile device (tablet, smart phone) connectivity and accessibility for authorized users?

## Architecture Considerations

<input type="checkbox"/>	1.	What program language will the system be written in?
<input type="checkbox"/>	2.	What are the requirements for the system information technology platform (hardware, software, database, network)?
<input type="checkbox"/>	3.	What infrastructure specifications will support the different environments (development, testing, staging, production, reporting, training, disaster recovery), including but not limited to specifications for servers, load balancers, clusters, storage, operating systems, and databases?
<input type="checkbox"/>	4.	To what extent will the system incorporate interoperability? What interoperability standards will be used?
<input type="checkbox"/>	5.	How will the system be deployed as a web-based application?
<input type="checkbox"/>	6.	What third party tools will be incorporated into, used by, or the system will be compatible with (e.g., Business Intelligence tools, reporting and data visualization tools, qualitative analysis tools)?
<input type="checkbox"/>	7.	How will the system support/interact with legacy system data and for what time period?
<input type="checkbox"/>	8.	If legacy data will be transferred to the new system, what process will be used to extract, transform, and load (ETL) legacy data? What procedures will address potentially incompatible data?
<input type="checkbox"/>	9.	How will legacy data and new data be accurately processed together for reports that span the transition period between legacy and new system?
<input type="checkbox"/>	10.	Who will perform user acceptance training (UAT) and how will UAT be supported?
<input type="checkbox"/>	11.	What in-system helps will be incorporated into the system? If applicable, how will these helps be associated with real time live assistance (e.g., chats, screen share, help desk)?

## System Performance, Availability, Maintenance Considerations

<input type="checkbox"/>	1.	What is the schedule and process for initial system deployment?
<input type="checkbox"/>	2.	How will system performance be modulated to support periods of peak load and activity?
<input type="checkbox"/>	3.	What analytics will monitor system performance in real-time?
<input type="checkbox"/>	4.	How will the system be maintained to ensure compliance with any new federal or state requirements, including security assessment requirements?
<input type="checkbox"/>	5.	What is the schedule for system maintenance, including major and minor updates as well as hot fixes?
<input type="checkbox"/>	6.	How will scheduled and emergency updates be communicated to system users?
<input type="checkbox"/>	7.	How will system quality assurance and functionality be monitored?
<input type="checkbox"/>	8.	What tools will be used to manage and track system issue management and correction?
<input type="checkbox"/>	9.	Who will have access to issue management tools?
<input type="checkbox"/>	10.	How frequently will disaster recovery be tested?
<input type="checkbox"/>	11.	What incident response system will be in place in the event of a data breach? (Data Gov Toolkit: Data Breach Response)

## Environment Considerations

<input type="checkbox"/>	1.	What system environments will be established? (For example, development, testing, staging, production, reporting, training, disaster recovery.)
<input type="checkbox"/>	2.	What roles will have access to each environment?
<input type="checkbox"/>	3.	How will all data environments be monitored for performance?
<input type="checkbox"/>	4.	How will the production environment scale to meet load requirements?
<input type="checkbox"/>	5.	What backup schedule will be on production environment?
<input type="checkbox"/>	6.	How will redundancy and failover metrics be supported on production environment?
<input type="checkbox"/>	7.	What disaster recovery process will be in place? On which environments?

## Data Integration/Linking Considerations

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- ☐ 1. The database for any new Part C system should be relational so that child-level data tables will be associated with tables with program data, family demographic data, service provider data, child outcome data, and family survey/outcome data.
  - ☐ 2. If the new data system will directly integrate with other data systems, there will be additional technical considerations. Data integration may be with data from another Part C system, data from another program in the same agency, or with data from a different agency. Depending on the integration, multiple IT teams may be involved. There must be interoperability between the Part C system and other system(s) for efficient data integration.
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## Data Dictionary Consideration

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- ☐ 1. The responsibility of developing and maintaining a data dictionary may fall to a vendor, IT staff, Part C staff, or ideally a combination. It is important to establish who is responsible for data dictionary management, content, dissemination, updates, etc. When a vendor is responsible for all or parts of the data dictionary, this should be stated in the RFP.
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## Training Consideration

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- ☐ 1. The responsibility of developing training materials and training users (state and/or local) may fall to a vendor, IT staff, Part C staff, or any combination. It is important to establish who is responsible for training material development, training of trainers, training of local uses, training schedule, delivery methodology, etc. When a vendor is responsible for training, or parts of training, this should be stated in the RFP.
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## About Us

The contents of this report were developed under a grant from the U.S. Department of Education, #H373Z190002. However, those contents do not necessarily represent the policy of the U.S. Department of Education, and you should not assume endorsement by the Federal Government. Project Officers, Meredith Miceli and Amy Bae.



The DaSy Center is a national technical assistance center funded by the U.S. Department of Education, Office of Special Education Programs. The DaSy Center works with states to support IDEA early intervention and early childhood special education state programs in the development or enhancement of coordinated early childhood longitudinal data systems.

To learn more about the DaSy Center, visit the DaSy Center website at <http://www.dasycenter.org/>.

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