



INDIANA  
DEPARTMENT *of*  
EDUCATION

# INDICATOR 12

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# MONITORING AND COMPLIANCE GUIDE

**Indiana Department of Education**

Office of Special Education

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# Indicator 12: Early Childhood Transition



### Definition of Indicator 12:

Indicator 12 measures the percentage of children referred by the Individuals with Disabilities Education Act (IDEA) Part C (early intervention) prior to age three, who are found eligible for IDEA Part B (services for school-aged children), and have an Individualized Education Program (IEP) developed and implemented by their third birthday (20 U.S. Code [U.S.C]. 1416(a)(3)(B)).

### State Performance Report/Annual Performance Review (SPP/APR) Calculation

$$\text{Percent} = [(c) \text{ divided by } (a - b - d - e - f)] \text{ times } 100$$

Where:

- a. Number of children who have been served in Part C and referred to Part B for eligibility determination.
- b. Number of children referred determined to be NOT eligible and whose eligibility was determined prior to their third birthday
- c. Number of children found eligible who have an IEP developed and implemented by their third birthday
- d. Number of children for whom parent refusal to provide consent caused delays in evaluation or initial services, or to whom exceptions under 34 CFR §300.301(d) applied
- e. Number of children determined to be eligible for early intervention services under Part C less than 90 days before their third birthday
- f. Number of children whose parents chose to continue early intervention services beyond the child's third birthday through a state's policy under 34 CFR §303.211 or a similar state option.

An account for children included in (a), but not included in b, c, d, e, or f must be given. Indicate the range of days beyond their third birthday when eligibility was determined, the IEP developed, and the reason(s) for the delays.

Any score below **100%** results in a finding of noncompliance.

State Targets					
Target Year	2021	2022	2023	2024	2025
Target Data	100%	100%	100%	100%	100%



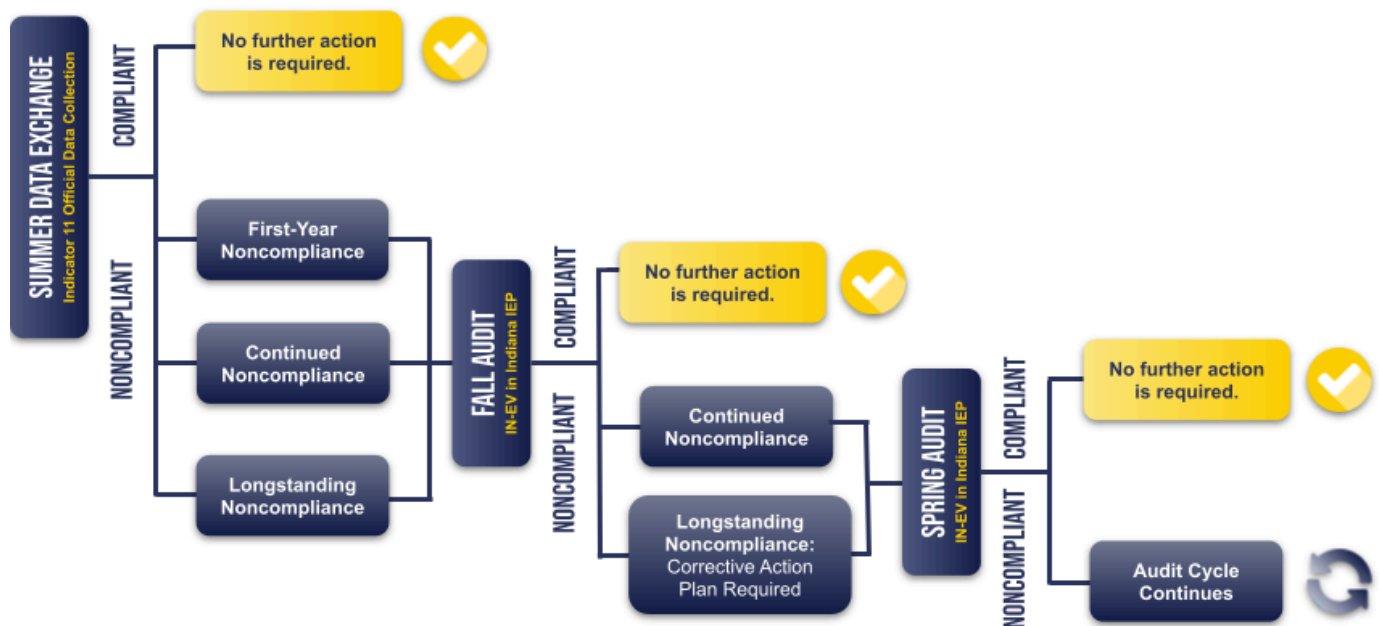
## RDA Calculation

$$\frac{\text{No. of Timely Evaluations (Eligible)} + \text{No. of Timely Evaluations (Ineligible)} + \text{No. of Untimely Evaluations Excused}}{\text{No. of Total Evaluations (Parental Consent Obtained)}}$$

## Indicator 12 Data Collection

- Official Data Collection: July Data Collection - Evaluation Roster (EV Roster) in Data Exchange (DEX)
- Fall Audit<sup>1</sup>: November or December Data Collection - IN-EV Report in Indiana IEP (IIEP)
- Spring Audit<sup>2</sup>: May Data Collection - IN-EV Report in IIEP

## Monitoring Cycle



The Indiana Department of Education’s (IDOE) Office of Special Education (OSE) monitors Indicator 12 data at three separate points during the calendar year. During the July data collection window, DEX is used to conduct the official review of all First Steps’ transitions conducted by the local educational agency (LEA) throughout the previous school year. For example, in July 2023, the July data collection will include all First Steps transitions conducted during the 2022-2023 school year.

<sup>1</sup> LEAs found to be noncompliant with meeting timelines for First Steps’ transitions during the official data collection period (July-June of each school year) undergo an audit of their First Steps transitions conducted between July and October of the subsequent school year.

<sup>2</sup> LEAs that continue to have noncompliance after the fall audit will undergo an audit in the spring of the same school year as the subsequent audit took place in the fall. First Steps’ transitions conducted between January and April are monitored.



LEAs that are found to be noncompliant with meeting timelines for First Steps transitions during the July certification will undergo a fall audit. The audit will occur no later than December, and will review any First Steps transitions that occurred between July and October. For LEAs that continue to have noncompliance after the fall audit, a spring audit for First Steps transitions conducted between January and April will be conducted in May.

LEAs that are determined noncompliant for the official data collection and the two subsequent audits are moved from a *First-Year Noncompliance* status to a *Continued* status. These LEAs will continue to be monitored using the aforementioned cycle until they are found compliant during one of the monitoring windows.

## Compliance Guidelines

LEAs report all First Steps transitions through the EV Roster in DEX. The roster is generated by information collected in the LEA's student information system (SIS) and is available to download via DEX throughout the school year. The report contains a column which indicates whether the student transitioned from First Steps and if that transition was completed in a timely manner. The report must be downloaded and saved prior to the July 1st rollover. For federal reporting purposes within the SPP/APR, "pending" evaluations are included in the calculation under (a) as described in the SPP/APR calculation portion of this document.

For the state reporting to LEAs on the yearly performance within the Results Driven Accountability (RDA) Dashboard, "pending" evaluations are not included in the calculation. A subsequent pull of data in the July data collection via DEX must include all "pending" evaluations with documentation of "compliant" or "noncompliant" status.



## Correction of Noncompliance

LEAs with a finding of noncompliance for First Steps transitions fall into one of the following categories: Noncompliant with First-Year Noncompliance, Continued Noncompliance, or Longstanding Noncompliance.

### First Year Noncompliance

LEAs that have first-year noncompliance must complete the following tasks to correct their finding of noncompliance:

1. Meet all subsequent timelines for First Steps' evaluations.
2. Review the EV Roster in DEX to ensure all timelines are accurately recorded.
3. Participate in universal training and technical assistance opportunities (optional).

### Continued Noncompliance

LEAs that have had a finding for more than one year must complete the following tasks to correct their finding of noncompliance:

1. Complete the Indicator 12 Root Cause Analysis and Corrective Action Plan form.
2. Meet all subsequent timelines for First Steps evaluations.
3. Review the EV Roster in DEX to ensure all timelines are accurately recorded.
4. Participate in targeted training and technical assistance opportunities by Indiana IEP Technical Assistance Center
5. Attend quarterly meetings to ensure timelines are being met

### Longstanding Noncompliance

LEAs that have had a finding for more than two years will need to complete the following tasks to correct their finding of noncompliance:

1. Complete the Indicator 12 Root Cause Analysis and Corrective Action Plan form.
2. Meet all subsequent timelines for First Steps evaluations.
3. Review the EV Roster in DEX to ensure all timelines are accurately recorded.
4. Participate in targeted training and technical assistance opportunities by Indiana IEP Technical Assistance Center
5. Attend quarterly meetings to ensure timelines are being met
6. On-site school visit(s) by IDOE staff



## Results Driven Accountability (RDA)

Indicator 12 is included in the Compliance Matrix of RDA. When an LEA meets the target for a particular compliance indicator, they are considered “compliant” and are assigned a score of 5. If the LEA has findings of noncompliance, but their records are still between 95.00%-99.99% compliant, they will also receive a score of 5. For any findings of noncompliance that result in a compliance rate of less than 95%, the LEA is assigned a score of 1.

For RDA purposes, if a record is closed for an excused reason, such as the parent revoking consent or if an evaluation is completed late, those records are counted as compliant.

RDA Scoring for Indicators 11, 12, and 13	
Percentage Compliance	Points
100.00% (Compliant)	5
95.00% - 99.99% (Substantially Compliant - Finding)	5
Less Than 95.00% (Finding)	1

Category Weights for Compliance Index	
Category	Percentage Weight
Indicator 4B	12.5%
Indicator 9	12.5%
Indicator 10	12.5%
Indicator 11	12.5%
Indicator 12	12.5%
Indicator 13	12.5%
Continued Noncompliance	10%
Longstanding Noncompliance	15%
<b>Total</b>	<b>100%</b>



## Requesting Technical Assistance (TA)

TA involves communication between a specialist or consultant and the LEA to receive targeted support with a development need or problem to build organizational capacity. IDOE offers support with [various levels](#) of TA, and the [TA Request Form](#) may be submitted to request these resources. Additional resources are delineated below:

Technical Assistance Resources	
Level of Support	Resources
Universal	IEP TA Center <ul style="list-style-type: none"> <li>• <a href="#">Statewide Conference: Elevating Education: Improving Outcomes for All</a></li> <li>• <a href="#">What Administrators Need to Know About Special Education (SPED)</a></li> </ul>
	IDOE <ul style="list-style-type: none"> <li>• <a href="#">Spread the Word: First Steps to Preschool Transitions</a></li> </ul>
Targeted/ Intensive	<ul style="list-style-type: none"> <li>• <a href="#">IDOE Technical Assistance Request Form</a></li> </ul>

Contact IDOE's [Office of Special Education](#) for additional support.

