
Part C
Annual
Performance
Report
(APR)
FFY 2010



INDIANA



First Steps

February 1, 2012

Part C State Annual Performance Report (APR) for FFY2010

Table of Contents

APR Development Overview 3

Indicator 1 Receipt of EI Services in a Timely Manner..... 4

Indicator 2 EI Services in Home or Community-Based Settings..... 10

Indicator 3 Child Outcomes.....13

Indicator 4 Family Outcomes..... 18

Indicator 5 Percent of Infants Served..... 20

Indicator 6 Percent of Infant and Toddlers Served>..... 22

Indicator 7 IFSP Meeting within 45 Day Timeline..... 24

Indicator 8A IFSP with Transition Steps & Services..... 32

Indicator 8B Notification to LEA..... 38

Indicator 8C Transition Conference 41

Indicator 9 General Supervision - Correction of Noncompliance..... 47

C9 Worksheet 54

Indicator 10 Signed Written Complaints..... 59

Table 4 Report of Dispute Resolution..... 61

Indicator 11 Due Process Hearing Requests..... 62

Indicator 12 Hearing Requests Resolved - Settlement Agreements..... 63

Indicator 13 Mediations..... 64

Indicator 14 Timely and Accurate 618, SPP and APR Data..... 65

Self-Calculating Data Rubric 66

Part C State Annual Performance Report (APR) for FFY2010

Overview of the Annual Performance Report (APR) Development: The Indiana Part C, APR for FFY2010 was developed by the Bureau of Child Development Services, Division of Disability and Rehabilitative Services, Family and Social Services Administration (the lead agency for Part C) utilizing direction and input from a broad group of stakeholders. These stakeholders included:

- Parents and community leaders from the Indiana Interagency Coordinating Council (ICC)
- Cluster Local Planning and Coordinating Councils (LPCCs) and Cluster System Points of Entry (SPOE)
- Providers
- Central Reimbursement Office (CRO)
- Indiana Department of Education, Division of Exceptional Learners
- Quality Review-Focused Monitoring Teams and state contractors for quality review, training and evaluation (Indiana Institute for Disability and Community at Indiana University), and
- State staff from Family and Social Services Administration (FSSA), Bureau of Child Development Services (BCDS)

Several stakeholder meetings were held in 2010 and 2011 to discuss the State Performance Plan (SPP) and Indiana's progress in meeting the SPP targets. Data for the FFY2010 APR was presented to the ICC at their quarterly meeting on November 9, 2011. A copy of the power point presentation, *Measuring Up! SPP/APR Stakeholders Report* can be found at <http://www.utsprokids.org/firststepsinfo.asp>. Additionally, all ICC members received updated drafts of the indicator narratives, as they were written. On January 18, 2012, the ICC completed its final review of the FFY2010 APR and revised SPP. The ICC Chairperson signed the Annual Report Certification to use the State's IDEA, Part C, APR for FFY2010 in lieu of submitting a separate ICC annual report.

Data for the indicators in the APR were provided from numerous sources. These include:

- the state centralized database (data warehouse)
- claims data from the Centralized Reimbursement Office (CRO)
- Quality Review-Focused Monitoring data, compiled from annual on-site Cluster reviews
- SPOE self-reviews and Cluster Performance Plan Progress Reports
- Early Childhood Outcomes (ECO) Family Survey (parent exit interviews)
- Child outcome data collected and analyzed by the Indiana Institute for Disability and Community (IIDC) at Indiana University.

All data used in this annual progress report has been verified by staff at the Bureau of Child Development Services, Indiana First Steps System.

Indiana has posted the State Performance Plan (SPP) 2005-2012, Annual Progress Report (APR) for FFY2005, 2007, 2008, and 2009, along with OSEP letters of response to the State's December 2005 SPP and the FFY2005, FFY2006, FFY2007, FFY2008, and FFY2009 APRs on the First Steps web site located at <http://www.firststeps.in.gov> and the Unified Training System website at <http://www.utsprokids.org/firststepsinfo.asp>. Indiana will post the APR for FFY2010 following its submission on February 1, 2012. Public postings of the APR Indicator data for the state and each Cluster System Point of Entry (SPOE) also be found at <http://www.utsprokids.org/firststepsinfo.asp>.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 1: Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

Percent = [(# of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner) divided by the (total # of infants and toddlers with IFSPs)] times 100.

Account for untimely receipt of services, including the reasons for delays.

FFY	Measurable and Rigorous Target
2010	100% of infants and toddlers with IFSPs receive the early intervention services on their IFSPs in a timely manner

Definition of Timely: In the 2005 SPP, Indiana defined timely as, “*all services written in the IFSP are initiated within 30 calendar days from the IFSP date, with parent approval or within 30 days from the parent signature date on the IFSP service change page for newly added services*”. The expectation is that 30 days represents a reasonable amount of time allowed for services to begin. This time period allows adequate time for authorized services to be entered into the Central Reimbursement Office (CRO) database, for providers to be selected and for appointments with the family to be scheduled. As recommended by OSEP, in the SPP December 2005 letter, Indiana allows an exception for IFSP services that are delayed due to exceptional family circumstances and for less frequently delivered services, such as hearing aid maintenance scheduled on a quarterly basis

Indiana monitors each EIS program (Cluster) annually. For FFY2010, Indiana reviewed a sample of IFSPs (initial, annual and those with new IFSP services added at times other than the initial or annual IFSP) written between July 1, 2010 and June 30, 2011 to determine if new IFSP services were initiated within 30 days of the parent signature date of IFSP or service change page. The sampling unit for this indicator included all children with an IFSP written during FFY2010, (n=20,852). A minimum sample size of 644 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The sampling stratification process employed a random selection process based on gender and ethnicity. These random samples also included at least 8 files from every service coordinator in the state, thus insuring that all geographic areas of the state were sampled. The data collection strategy involved

Part C State Annual Performance Report (APR) for FFY2010

samples from each of the ten regional clusters. The purpose of using these categories was to ensure adequate representation of all children receiving First Steps services in Indiana.

Sample data was derived from early intervention record reviews performed by the Quality Review contractors and from state-verified, early intervention record reviews completed by the local SPOE as part of their quality review and progress monitoring system. Random pull lists of early intervention records were sent to each cluster. Reviewers noted if the *Documentation of Service Start* form was present in the record and if all new services started within 30 days of the parent signature on the IFSP or change of service page. If services were not delivered within 30 days, the reason for delay and actual date of service must be specified.

Actual Target Data for FFY 2010:

98% (2705/2761) of infants and toddlers with IFSPs received Early Intervention Services in a Timely Manner (within 30 days of parent signature for all new services). All untimely services must be accounted for, including reason for delay.

Infants and Toddlers with IFSPs who receive Early Intervention Services in a Timely Manner:

a. Number of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	2705
b. Total number of infants and toddlers with IFSPs	2761
Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner (Percent = [(a) divided by (b)] times 100)	98%

Table C1.1 Timely Services by Cluster – FFY2010

	# of IFSPs reviewed	% of total new IFSP services initiated ≤ 30 days	Services provided >30 days	Service never provided	Range in days to service start
State	2761	98% (2705/2761)	56	3	31-64 days
Cluster A	292	99% (289/292)	3	0	37, 38 & 47
Cluster B	245	99% (242/245)	3	0	33,50, & 58
Cluster C	243	98% (238/243)	5	0	33-59 days
Cluster D	207	97% (200/207)	7	1	33-44 days
Cluster E	230	93% (213/230)	17	0	32-54 days
Cluster F	171	99% (169/171)	2	1	36 days
Cluster G	754	99% (745/754)	9	1	31-60 days
Cluster H	230	97% (223/230)	7	0	33-64 days
Cluster I	155	100% (155/155)	0	0	
Cluster J	234	99% (231/234)	3	0	33, 35, & 35

Part C State Annual Performance Report (APR) for FFY2010

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2010: The sample reviewed included 2761 initial and annual IFSPs and service change pages written from July 1, 2010 through June 30, 2011. The sample was cumulative for the year and included four separate reporting periods. Overall 98% (2705/2761) of the records reviewed documented all new services written on the IFSP or the IFSP service change page were initiated within 30 days of the parent signature date was (Table C1.1). This represents a 0.5% slippage from the 98.5% reported for FFY2009. In FFY2010, one cluster SPOE (Cluster I) demonstrated 100% compliance for documentation of all new services within 30 days of the initial, annual IFSP and service change page date for the entire fiscal year. The remaining nine clusters demonstrated a level of compliance in excess of 97%, with the exception of Cluster E at 93%. While Cluster E had the most systems issues related to the initiation of Provider Agencies, it did achieve subsequent correction of its non-compliance in December 2011. Additionally, Clusters A, B, C, D, E, F, G, H and I all achieved subsequent state-verified compliance for a review period. (Table C1.2 Subsequent Correction of FFY2010 Non-Compliance).

Table C1.2 Subsequent Correction of Timely Services FFY2010

Cluster SPOE	State Verified Correction of Non-Compliance Data	Review Period and State Verification Date
A	100% (97/97)	(September – November 2011) Verified 12/7/11
B	100% (79/79)	(September – November 2011) Verified 12/8/11
C	100% (59/59)	(September – November 2011) Verified 11/29-30/11
D	100% (90/90)	(September – November 2011) Verified 11/4/11
E	100% (61/61)	(September – November 2011) Verified 12/29/11
F	100% (62/62)	(July – September 2011) Verified 10/17/11
G	100% (150/150)	(September – November 2011) Verified 12/28/11
H	100% (59/59)	(September – November 2011) Verified 11/29-30/11
J	100% (79/79)	(July – September 2011) Verified 10/21/11

Reasons for noncompliance varied and included:

- 9% (5/56) Service Coordinator errors, including failure to notify or follow up with authorized provider.
- 9% (5/56) Delays in obtaining Primary Care Provider (PCP) signature on the IFSP. The state requires a PCP signature on all IFSPs. This insures that the PCP has reviewed the plan and is in agreement with the plan of services. Plans are sent to the PCP and the authorized providers within 2 days of development. PCP's are asked to return the signed IFSP within 10 days. Authorized providers may set appointments with the family, but may not initiate services until the IFSP is signed by the PCP. Service Coordinators track the status of the IFSP and the 30 day start timeline.
- 11% (6/56) Lack of a provider – services were delayed because the agency was unable to immediately identify an available provider.
- 12.5% (7/56) Provider schedule did not allow services to start within 30 days. This includes instances where the chosen provider was unavailable to due vacation or illness.
- 59% (33/56) The stated reason was an unspecified system issue. These delays were only reported as system issues, without identifying the exact nature of the delay.

Part C State Annual Performance Report (APR) for FFY2010

There were three instances in which an authorized IFSP service was never provided. In two of these instances the family did not return calls and/or canceled appointments and that particular service never started, although the child continued to receive other IFSP services. In one instance, the family was waiting on physical therapy. The selected PT moved and when another was found who could provide the service, the family and the IFSP team felt the child had made adequate progress with the other services and no longer was in need of physical therapy.

In FFY10, Indiana implemented several initiatives to improve timely services. These included, 1) the creation of Provider Agencies responsible for recruitment and supervision of ongoing providers to serve specific service regions, 2) streamlining the evaluation process by moving Eligibility Determination Teams under SPOE supervision, and 3) improving the documentation of service start dates, by including them on the Provider Progress Report. While these initiatives initially resulted in some transient provider shortages in some Clusters, it is felt that given time they will result in continued compliance with timely service

Correction of FFY 2009 Findings of Noncompliance (if State reported less than 100% compliance):
 Level of compliance (actual target data) State reported for FFY 2009 for this indicator: 98.5%

1. Number of findings of noncompliance the State made during FFY 2009 (the period from July 1, 2009, through June 30, 2010)	5
2. Number of FFY 2009 findings the State verified as timely corrected (verified as corrected within one year from the date of notification to the EIS program of the finding)	5
3. Number of FFY 2009 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2009 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance – Table C1.3) and/or Not Corrected:

4. Number of FFY 2009 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2009 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	
6. Number of FFY 2009 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Verification of Correction of FFY 2009 noncompliance (either timely or subsequent):

*For States that Reported Less than 100% Compliance for FFY 2009 for Indicator 1 or that made findings in FFY 2009 under Indicator 1: **Five Clusters had findings issued for Indicator 1 (A, D, E, F and G). All five clusters were able to demonstrate timely correction, within one year of notification.***

Part C State Annual Performance Report (APR) for FFY2010

Table C1.3 FFY09: Correction of Timely Services (Timely & Subsequent)

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
A	98.3% (291/296)	100% (97/97)	10/19/11
D	97.4% (300/308)	100% (90/90)	10/19/11
F	99.3% (269/271)	100% (25/25)	10/19/11
Subsequent			
E	98.3% (230/234)	100% (61/61)	12/29/11
G	97.7% (516/528)	100% (150/150)	12/28/11

Actions Taken if Noncompliance Not Corrected: All instances of FFY09 non-compliance for Indicator 1 were subsequently corrected. The state will continue to monitor timely services for all Clusters and has requested that all Clusters improve reporting on this indicator. Data reports must include all instances where services exceed 30 days, whether the service was ever provided and in how many days and the exact cause for the delay. This information is also included in the revised provider progress note, providing a secondary source for information and verification.

Correction of Remaining FFY 2008 Findings of Noncompliance (if applicable): In FFY08, there was one finding of non-compliance noted in OSEP’s June 2011 letter. As reported in the FFY09 APR, Cluster D had failed to show subsequent correction of its Timely Services. The Cluster was able to demonstrate 100% (90/90) compliance with timely services in September 2011 and this data was verified by the state October 19, 2011.

1. Number of remaining uncorrected FFY 2008 findings of noncompliance noted in OSEP’s June 2011, FFY 2008 APR response table for this indicator	1
2. Number of remaining FFY 2008 findings the State has verified as corrected	1
3. Number of remaining FFY 2008 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2008 findings: Not applicable, as all findings of non-compliance were corrected.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008: Cluster D was placed on a corrective action plan and received additional training. The Cluster was required to submit periodic progress data. Additionally, in April 2011 a new fiscal agent was selected by the LPCC and approved by the State. The new fiscal agent also serves Clusters A & B and had a long history of exemplary service. Due to the size of the Cluster only one Provider Agency was named for the service area. Working together the fiscal agent and provider agency were able to demonstrate 100% compliance with timely services in September 2011 and this data was verified by the state October 19, 2011. . .

Correction of Any Remaining Findings of Noncompliance from FFY 2007 or Earlier (if applicable): Not Applicable.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested

Part C State Annual Performance Report (APR) for FFY2010

Statement from the Response Table	State's Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): Indiana continues to demonstrate a very high level of compliance with timely services. In FFY10, Indiana implemented several initiatives to improve timely services. These included the creation of Provider Agencies responsible for recruitment and supervision of ongoing providers, streamlining the evaluation process by moving Eligibility Determination Teams under SPOE supervision, and improving the documentation of service start dates by including them on the revised Provider Progress Report. While these initiatives initially created limited provider shortages in some Clusters, it is felt that given time they will result in improved compliance with timely services. No changes to the targets, activities or timelines are needed.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Early Intervention Services In Natural Environments

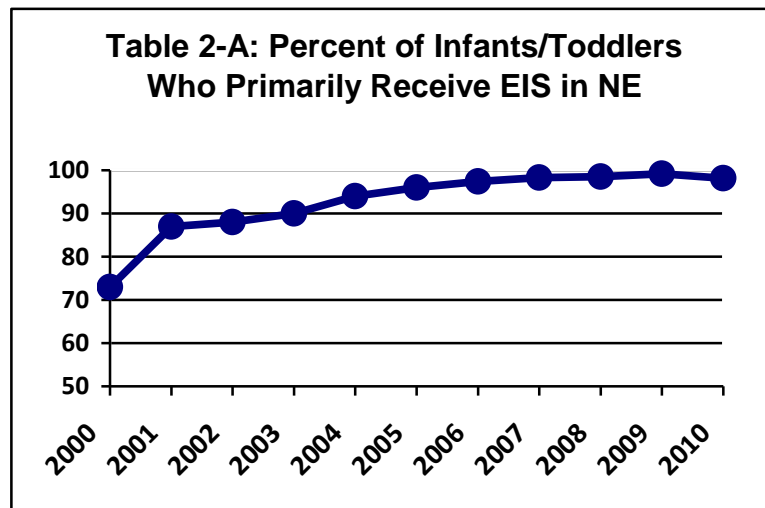
Indicator 2: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement: Percent = [(# of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings) divided by the (total # of infants and toddlers with IFSPs)] times 100.

FFY	Measurable and Rigorous Target
2010	95% of infants and toddlers with an IFSP primarily receive early intervention services in the home or community-based settings.

Actual Target Data for FFY2010: As reported in Table 2 of the 618 data report, 98.18% (9891/10074) of Indiana’s infants and toddlers with an IFSP primarily received early intervention services in the home or community-based settings (child care homes, child care centers, local parks, churches, etc.). Indiana has exceeded its target of 95%. These data represent a slight decrease from the 99.18% reported in FFY2009



For the FFY2010, Indiana captured the number of early intervention services in the natural environment from the Central Reimbursement Office (CRO) provider claims data which require a location code for all services provided (these data are collected and analyzed by the state data warehouse). To validate that the claim location data are valid and reliable, Indiana performs billing reviews for approximately 10% of its

Part C State Annual Performance Report (APR) for FFY2010

early intervention providers annually. These reviews conducted by the Quality Review contractors, compare the face-to-face form for each service provided during a specified two week period to the provider electronic claim data for the same period. The face-to-face form includes the date, time in, time out, and service location address. The form is signed by the provider and the parent/guardian attesting to its accuracy. Providers are notified when a discrepancy is found. Providers are required to payback any payments for services not provided as they were represented on the face-to-face form. This includes the higher payment rate made for services provided in the home or community-based setting.

Indiana has developed policies and procedures to ensure that, to the maximum extent appropriate to the needs of the child and family, early intervention services are provided in the natural environment, including the home and other community settings in which children without disabilities participate. When the IFSP team (including the parent and Service Coordinator) determines that the provision of early interventions services for an infant/toddler cannot satisfactorily be achieved in the child/family's natural environment, a setting other than a natural environment can be selected. IFSP teams make individualized decisions regarding the setting in which infants/toddlers receive early intervention services, in accordance with the IDEA. The IFSP team is trained to consider all possible service options for the child in order to individualize the IFSP for the child and family. When it has been determined by the IFSP team that services are best provided in a setting other than a natural environment for typically developing children, Indiana requires justification for that decision, including options that were considered by the IFSP team, along with a plan and timeline for transitioning the service into the natural environment. This information becomes a part of the child's IFSP.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY10: The SPP target for FFY 2010 was 95%. Indiana has met its SPP target for the percent of IFSPs with services in the home or programs for typically developing children. It was noted in the FFY2009 SPP/APR Response Table that no expectation for an increase in the percentage was necessary.

Indiana has placed an emphasis on training in regards to appropriate service settings, with a focus on routines based-intervention. The Best Practice Document used in provider and service coordinator training reflects evidenced-based practices regarding the acquisition of developmental skills within the child's and the family's everyday routines, activities and settings. All direct service providers must complete a comprehensive orientation via distance learning with two additional half day, face-to-face courses within their first year of enrollment. Service Coordinators also complete a distance learning orientation module that includes local supervision, along with two additional full-day, face-to-face trainings. The revised orientation courses include modules on service settings in the natural environment and IFSP development. In 2008, a distance learning module *Providing Early Intervention Supports and Services in Everyday Routines, Activities and Places* was developed and is available as an online training module. As providers become more skilled in providing services that involve the child's and family's natural routines, activities and places, the barriers to providing early intervention services in "other" settings are few.

Indiana has instituted procedures for enhanced parent communication and participation in the child's services. Early intervention services provided under Part C are intended to include the parent and/or caregiver as much as possible. This concept allows parents and caregivers to utilize tools and strategies that can be incorporated into a child's routines and daily life, allowing for therapy to continue outside the realm of therapy sessions. Policy changes were made in FFY10 that require active parent and caregiver participation to be a written strategy in a child's IFSP. Families are responsible for adhering to the participation guideline by regularly, actively participating in sessions that take place in the home or alternatively scheduled location. Participation is defined as direct, interactive involvement in therapy sessions at the minimum levels defined, as well as follow through on strategies and activities suggested by the First Steps team to promote continued developmental gains outside of the therapy sessions. When services are provided in the presence of another caregiver, such as a daycare or relative's home, that caregiver is expected to actively participate in the therapy sessions, with the child's parent actively

Part C State Annual Performance Report (APR) for FFY2010

participating in these sessions at a minimum of 1 time per month. If an ongoing service is written on a plan for once a month, the parent is required to participate at a minimum of 1 time per quarter. The state and the Indiana's ICC have worked with provider agencies and parent advocacy groups to insure that this policy change did not present an undue burden on working families, while insuring that early intervention services are of the greatest benefit to the child and family in all settings.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY11: The state has reviewed its target, improvement activities and timelines and no revisions are proposed.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 3: Percent of infants and toddlers with IFSPs who demonstrate improved:

- A. Positive social-emotional skills (including social relationships);
- B. Acquisition and use of knowledge and skills (including early language/ communication); and
- C. Use of appropriate behaviors to meet their needs.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

Outcomes:

- A. Positive social-emotional skills (including social relationships);
- B. Acquisition and use of knowledge and skills (including early language/communication); and
- C. Use of appropriate behaviors to meet their needs.

Progress categories for A, B and C:

- a. Percent of infants and toddlers who did not improve functioning = [(# of infants and toddlers who did not improve functioning) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = [(# of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it = [(# of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = [(# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
- e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers = [(# of infants and toddlers who maintained functioning at a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.

Summary Statements for Each of the Three Outcomes (use for FFY 2009-2010 reporting):

Summary Statement 1: Of those infants and toddlers who entered or exited early intervention below age expectations in each Outcome, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 1:

Percent = # of infants and toddlers reported in progress category (c) plus # of infants and toddlers reported in category (d) divided by [# of infants and toddlers reported in progress category (a) plus # of infants and toddlers reported in progress category (b) plus # of infants and toddlers reported in progress category (c) plus # of infants and toddlers reported in progress category (d)] times 100.

Part C State Annual Performance Report (APR) for FFY2010

Summary Statement 2: The percent of infants and toddlers who were functioning within age expectations in each Outcome by the time they turned 3 years of age or exited the program.

Measurement for Summary Statement 2: Percent = # of infants and toddlers reported in progress category (d) plus [# of infants and toddlers reported in progress category (e) divided by the total # of infants and toddlers reported in progress categories (a) + (b) + (c) + (d) + (e)] times 100.

Target Data and Actual Target Data for FFY 2010:

Targets and Actual Data for Part C Children Exiting in FFY 2010 (2010-11)

Summary Statements	Actual FFY 2009 (% and # children)	Actual FFY 2010 (% and # children)	Target FFY 2010 (% of children)
Outcome A: Positive social-emotional skills (including social relationships)			
1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d / a+b+c+d$	51% (n=6030)	49% (n= 7198)	53% (n= 7198)
2. The percent of children who were functioning within age expectations in Outcome A by the time they exited the program. Formula: $d+e / a+b+c+d+e$	49% (n=6030)	47% (n=7198)	51% (n= 7198)
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)			
1 Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d / a+b+c+d$	57% (n=6030)	59% (n= 7198)	58% (n= 7198)
2. The percent of children who were functioning within age expectations in Outcome B by the time they exited the program. Formula: $d+e / a+b+c+d+e$	69% (n=6030)	68% (n= 7198)	70% (n= 7198)
Outcome C: Use of appropriate behaviors to meet their needs			
1 Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they exited the program. Formula: $c+d / a+b+c+d$	54% (n=6030)	52% (n= 7198)	55% (n= 7198)
2. The percent of children who were functioning within age expectations in Outcome C by the time they exited the program. Formula: $d+e / a+b+c+d+e$	62% (n=6030)	58% (n= 7198)	63% (n= 7198)

Part C State Annual Performance Report (APR) for FFY2010

Progress Data for Part C Children FFY 2010

B. Positive social-emotional skills (including social relationships):	Number of children	% of children
a. Percent of children who did not improve functioning	491	6.8%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	1941	27.0%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	627	8.7%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	2024	28.1%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	2115	29.4%
Total	7198	100.0%
C. Acquisition and use of knowledge and skills (including early language/communication and early literacy):	Number of children	% of children
a. Percent of children who did not improve functioning	411	5.7%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	1204	16.7%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	713	9.9%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	1606	22.3%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	3264	45.3%
Total	7198	100.0%
C. Use of appropriate behaviors to meet their needs:	Number of children	% of children
a. Percent of children who did not improve functioning	552	7.7%
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	1941	27.0%
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	627	8.7%
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	2024	28.1%
e. Percent of children who maintained functioning at a level comparable to same-aged peers	2054	28.5%
Total	7198	100.0%

Discussion of Summary Statements and a-e Progress Data for FFY10:

The data reported for FFY10 represents 99% of the children receiving early intervention services for a minimum of six months. Children for whom data was missing or incomplete were not included in the final analyses. This includes children/families that left the system for failure to participate and those who were not able to be located. Analysis of the progress data is highly representative of the children the program

Part C State Annual Performance Report (APR) for FFY2010

services. In addition, the quality of the data and data analyses reflect several years of implementing and refining the current system for collecting, cleaning, and analyzing the data.

Additional Analyses:

An additional series of analyses with the child outcome data were conducted to determine if there were any differences among groups of children based on the following factors: child's eligibility status, child's ethnicity, geographic area, and family income level. Child outcome summary statement measures were used. In the chart, the % Substantial increase refers to Summary Statement 1: of those children who entered or exited the program below age expectations, the percent who substantially increased their rate of growth by the time they exited the program; and % within age expectations refers to Summary Statement 2: the percentage of children who were functioning within age expectations by the time they exited the program. A series of charts are presented below depicting these differences.

1. Were there differences in child outcomes among the major eligibility categories?

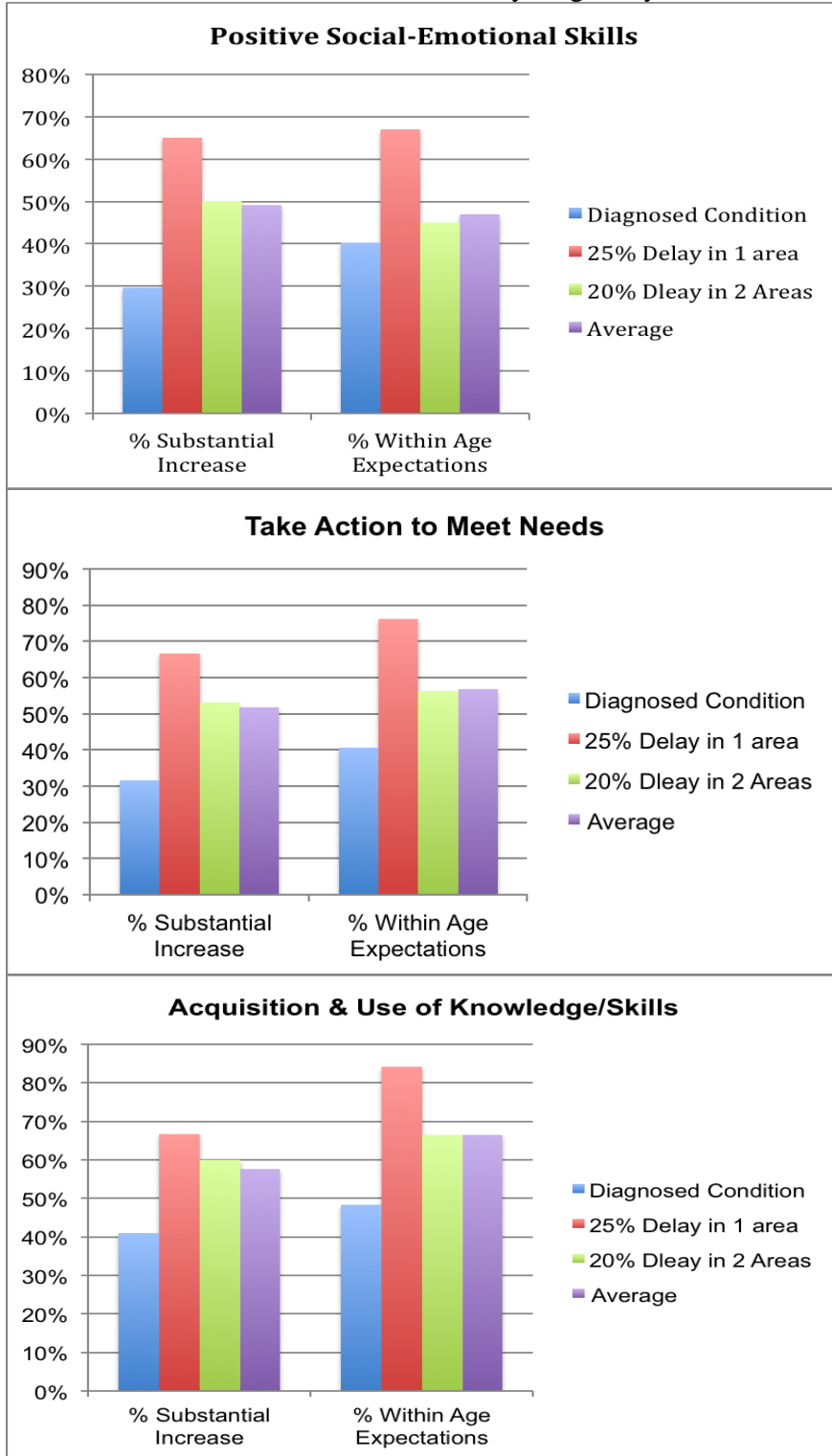
In Indiana children are eligible for early intervention services if they have:

- a physical or medical condition/diagnosis with a high probability of developmental delay
- a developmental delay of 25% or greater in at least one developmental domain
- a developmental delay of 20% or greater in two or more developmental domains

Analyses were conducted to determine any differences among these three eligibility groups on the three child outcome variables. Figure 1 includes three charts highlighting these differences, one chart for each child outcome.

Part C State Annual Performance Report (APR) for FFY2010

Figure 1
Differences in Child Outcomes by Eligibility Status



The results presented in the Figure 1 charts indicate that a greater percentage of children diagnosed with a 25% delay performed better on both measures across all three outcomes than children in the other two eligibility categories. A greater percentage of children with a 20% delay in two or more areas performed better on both measures across all three outcomes than children with established medical conditions. These results are not entirely unexpected, assuming that the needs of children with identified physical/medical conditions are likely greater than the other two eligibility areas.

Part C State Annual Performance Report (APR) for FFY2010

2. Were there differences in child outcomes among the major ethnicity groups?

Figure 2:
Differences in Child Outcomes by Ethnicity

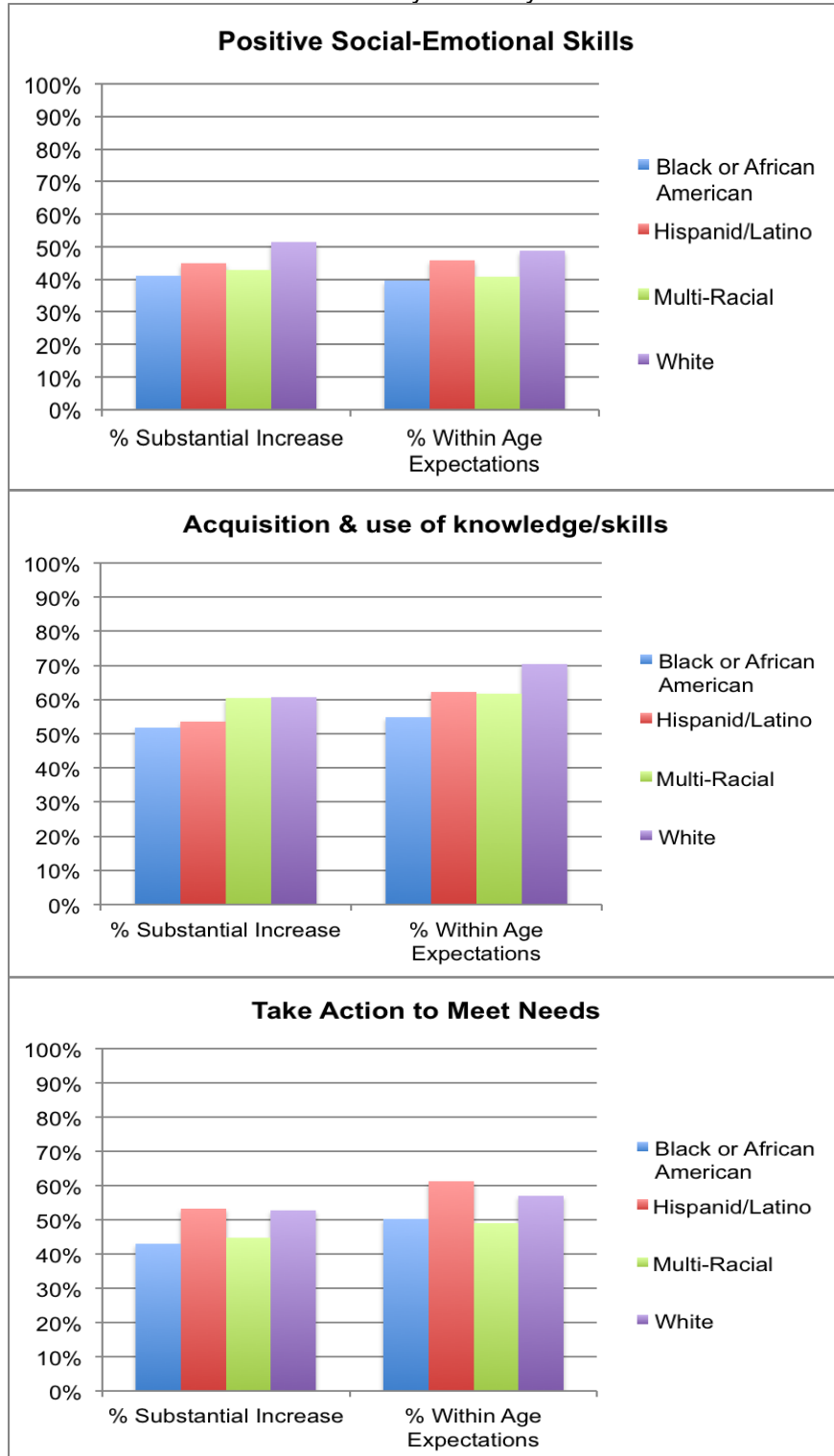


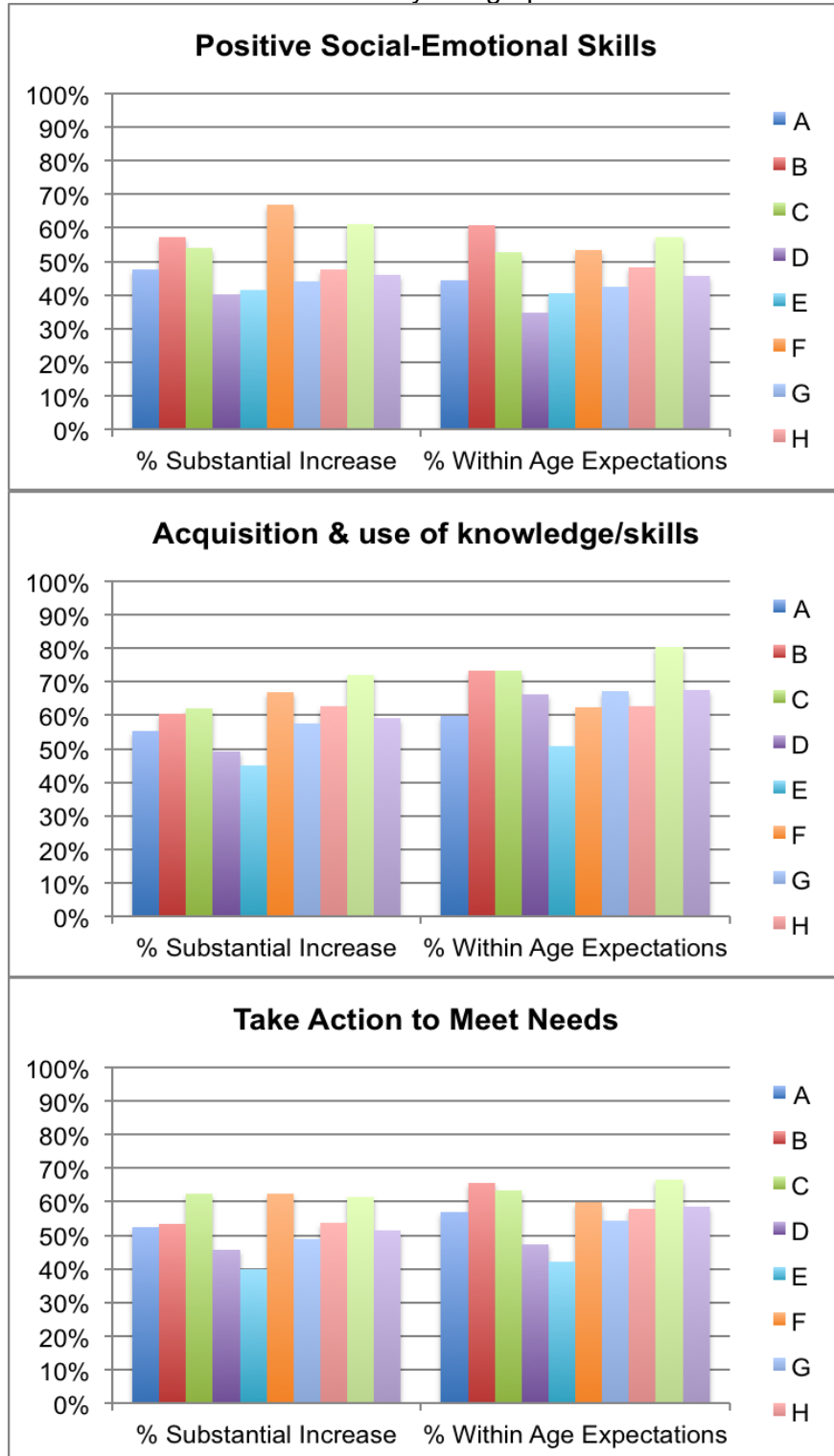
Figure 2 highlights differences among four major ethnic groups. Children who are White experienced higher gains in all three outcome areas as compared to children who are Black or African American, Hispanic, or Multi-Racial. Children who are Hispanic/Latino tended to experience the second highest gains; with Black or African American children experiencing the smallest gains. It should be noted that the differences among the four ethnic were within 10% points in the Positive Social-Emotional Skills outcome measures. The largest difference occurred in the *acquired and used knowledge and skills within age expectations* outcome between children who were White (69%) and all other races.

Hispanic/Latino children experiences gains that exceeded white and other races in the *taking action to meet needs* outcome.

Part C State Annual Performance Report (APR) for FFY2010

3. Were there differences in child outcomes among the major regions of the state?

Figure 3:
Differences in Child Outcomes by Geographic Area



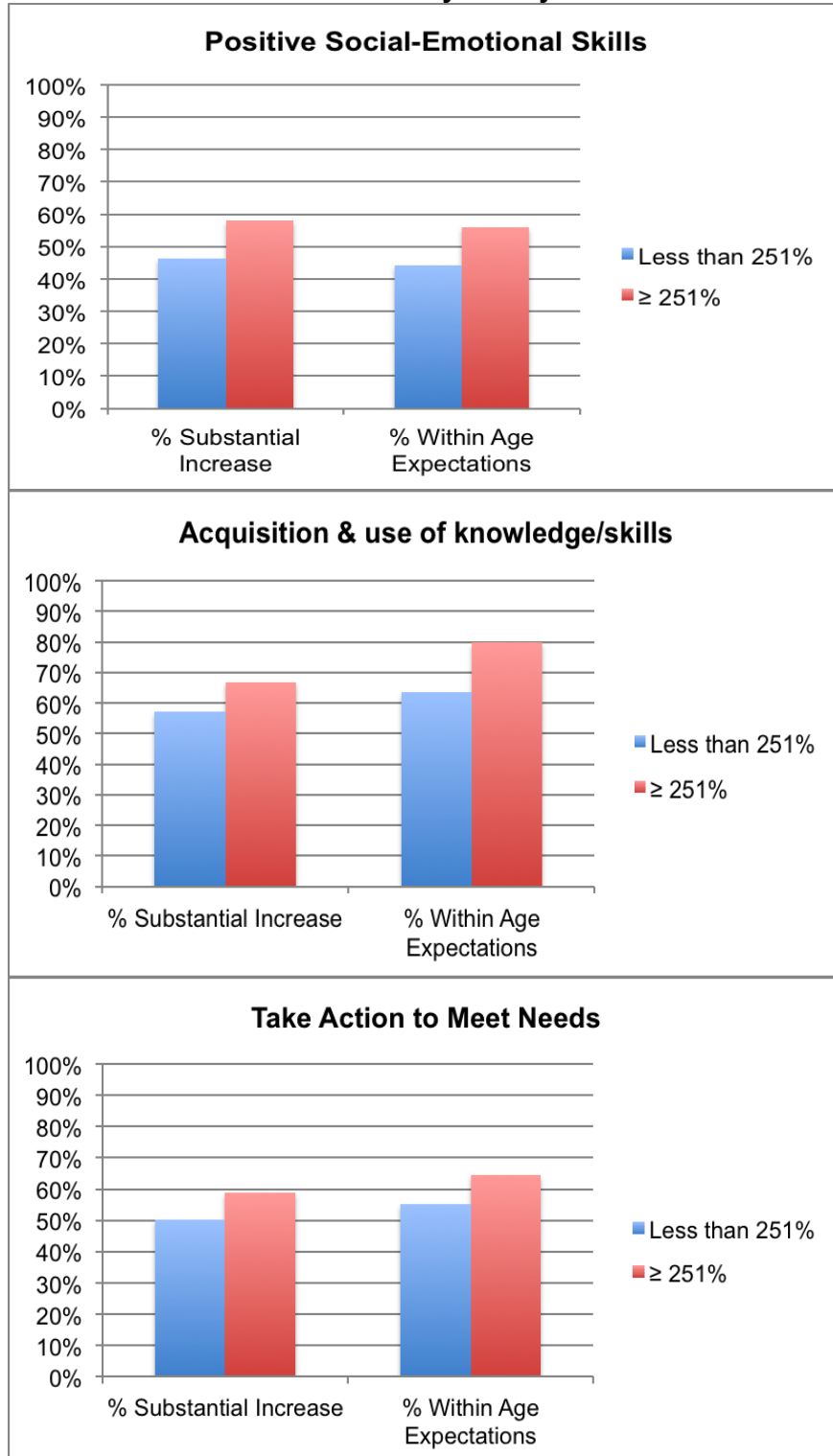
Indiana's First Steps program is organized into 10 regional units or clusters. Each cluster agency provides core early intervention services, including intake and ongoing service coordination. They in turn work with independent service providers to implement the child and family's IFSP. The number of children served within each cluster varies widely, with Cluster G serving the highest number of children included in this report (N=2320) and Cluster H serving the fewest children (N=300). Figure 3 highlights differences among the 10 regional clusters. While many of the clusters hover close to the state average across the 3 outcomes and 6 measures, there are some noticeable differences. Clusters B, C, F, and I generally demonstrated some of the highest gains, while Clusters D and E consistently showed the lowest gains.

Further studies to look at differences in cluster demographics, service delivery, service intensity and length of time in services is needed to determine cluster practices that yield the greatest child progress.

Part C State Annual Performance Report (APR) for FFY2010

4. Were there differences in child outcomes between poor and non-poor children?

Figure 4:
Differences in Child Outcomes by Family Income Level



Indiana's First Steps program collects income data from all families who wish to receive early intervention services. This information is used to determine each family's cost participation. Families with incomes less than 251% of the federal poverty guideline can receive early intervention services at no charge. Families who have an income greater than or equal to 251% are charged a copayment fee for each service outlined in the IFSP.

Figure 4 highlights differences between two family income groups: Families who are below the 251% poverty rate; and families who are at or above the 251% rate. Across all three outcomes and measures, children living in families at or above the 251% rate typically experience greater gains than children living in families below this rate.

Part C State Annual Performance Report (APR) for FFY2010

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY10:

Comparing this year's results with FFY09, demonstrates 1-4% declines in all measures except Outcome B.1, which experienced an increase of 2%. The state did not meet its targets, except for Outcome B.1. Possible reasons for slippage in the child outcome indicators include:

1. The First Steps Early Intervention program was not as effective in demonstrating child progress for children this year as compared to the previous year. This comparison has flaws in that different populations of children are used each year for this indicator. Further analysis is required to before making this assumption.
2. The impact of past changes in state's eligibility requirements has resulted in a greater proportion of children with more significant needs. In FFY06, Indiana raised it eligibility requirements resulting in fewer children with mild developmental delays who exited the program functioning at age expectation.
3. The impact of cost participation policies has resulted in a greater proportion of children from families living in poverty and a decrease in the proportion of middle and higher income families. Given that the First Steps program relies primarily on a home visiting model, the decline in child outcome measures may be the result of working with an increasingly challenging population of families.
4. More and better in-service training and technical assistance aimed at promoting more accurate pre- and post-assessment data of children. It is highly probable that the data used for establishing child outcome baselines was not as accurate or clean as the data presented in the past two years. For example, technical assistance was provided on the scoring system and the disparities that have existed among the 10 regions, specifically pointing out the differences that existed in the percentage of children who were scored as "did not improve functioning." In examining the a-e progress data, it is worth noting that there were minimal differences in 'e' percentages as compared to FY2009 data, but a jump of 1.5-1.8% in the number of children in the 'a' category- "did not improve functioning."

As noted above, data and guidance were provided to all 10 regional programs clarifying the importance of noting if children made measurable progress during their time in First Steps; and how this data had an impact on the computations. Comments from some of the participants suggested that this clarification was helpful and would be shared with service providers and service coordinators when conducting and recording their exit assessment data.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines /

Resources for FFY 2011: For the FFY 2011, there are no changes to the proposed targets. Additional analyses will be performed on the child outcome indicators to ascertain whether the child populations studied year-to-year are homogeneous in eligibility type, race and income levels. Additional study regarding the type, frequency and quality of services provided in relation to child progress should yield valuable information towards enhancing best practices in early intervention.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Early Intervention Services In Natural Environments

Indicator 4: Percent of families participating in Part C who report that early intervention services have helped the family:

- A. Know their rights;
- B. Effectively communicate their children's needs; and
- C. Help their children develop and learn.

(20 U.S.C. 1416(a)(3)(A) and 1442)

Measurement:

- A. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family know their rights) divided by the (# of respondent families participating in Part C)] times 100.
- B. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs) divided by the (# of respondent families participating in Part C)] times 100.
- C. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.

FFY	Measurable and Rigorous Target
2010 – 2012	<ul style="list-style-type: none"> A. 99% of respondent families participating in Part C who reported that early intervention services have helped the family know their rights. B. 99% of respondent families participating in Part C who reported that early intervention services have helped the family effectively communicate their children's needs. C. 97% of respondent families participating in Part C who reported that early intervention services have helped the family help their children develop and learn.

Part C State Annual Performance Report (APR) for FFY2010

Target Data and Actual Target Data for FFY 2010:

Target Data and Actual Target Data	FFY 2010 Target	FFY 2010 Actual	
<i>A. Know their rights</i>	99%	4720	96%
<i>B. Effectively communicate their children’s needs</i>	99%	4720	99%
<i>C. Help their children develop and learn</i>	97%	4720	96%

Service Coordinators throughout the state are expected to ask all families exiting the First Steps system to voluntarily complete an exit survey that is based on the questions provided by the Early Childhood Outcome Center (ECOC). These requests to complete the survey are made up to 3 months prior to the child and family’s exit from First Steps. For FFY2010, 4,720 families completed the survey. This represents 65% of all families (N=7,294) who exited First Steps and were in the program for a minimum of 6 months. The remaining 35% of families not included in this sample include families who could not be reached (15%), families who declined answering the survey (13%), families who did not complete the survey and for which no reason was given by the service coordinator (6%), and families who did complete the survey, but who did not complete all survey items (1%).

Chi Square analyses were performed on the following family and geographic demographics: race, poverty level, child’s eligibility, child’s gender, and region. The percentage of completed family surveys did not differ according to the following characteristics:

- gender, $\chi^2 (1, N = 7294) = 0.62, p < .05$

The percentage of completed family surveys did differ according to the following characteristics:

- Region, $\chi^2 (9, N = 7294) = 0.00, p < .01$ with some regions contributing disproportionately fewer/greater surveys
- Race, $\chi^2 (1, N = 7294) = 0.00, p < .01$ with a greater proportion of white versus minority families
- Poverty level, $\chi^2 (1, N = 7176) = 0.00, p < .01$, with a greater proportion of families above poverty completing the family survey than families below 251% of poverty (68% versus 62%, respectively)
- Eligibility, $\chi^2 (1, N = 7225) = 0.00, p < .01$, with a greater proportion of children with “medical” conditions with completed family surveys as compared to children with “developmental delays.”

In conclusion, while the differences do not appear to be great, statistical analyses suggests that the data may not be a perfect representative of the First Steps population.

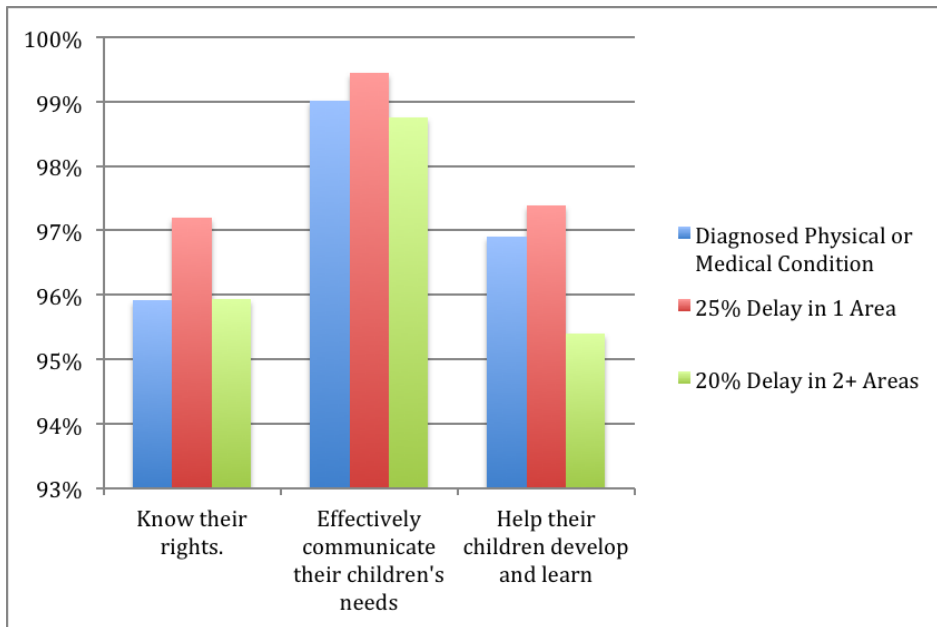
Part C State Annual Performance Report (APR) for FFY2010

Additional Analyses:

An additional series of analyses with the family outcome data were conducted to determine if there were any differences among groups of children based on the following factors: child’s eligibility status, child’s ethnicity, geographic area, and family income level. Family outcome measures were the percentage of families who reported that early intervention services have helped the family know their rights, effectively communicated their children's needs, and helped their children develop and learn.

Were there differences in family outcomes among the major eligibility categories?

Figure 5
Differences in Family Outcomes by Eligibility Status



Analyses were conducted to determine any differences among the three eligibility groups, and the results are presented in Figure 5 for all three family outcomes. Differences among the three eligibility groups are minimal (less than 2% separating any group).

Part C State Annual Performance Report (APR) for FFY2010

Were there differences in family outcomes among the major ethnicity groups?

Figure 6
Differences in Family Outcomes by Ethnicity

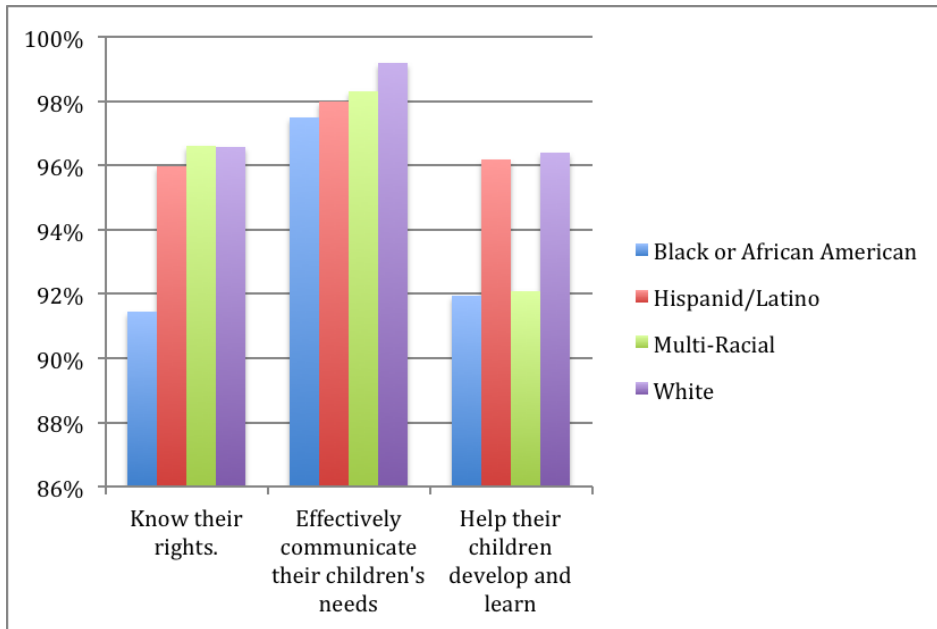


Figure 6 highlights differences among four major ethnic groups in Indiana for the three family outcomes.

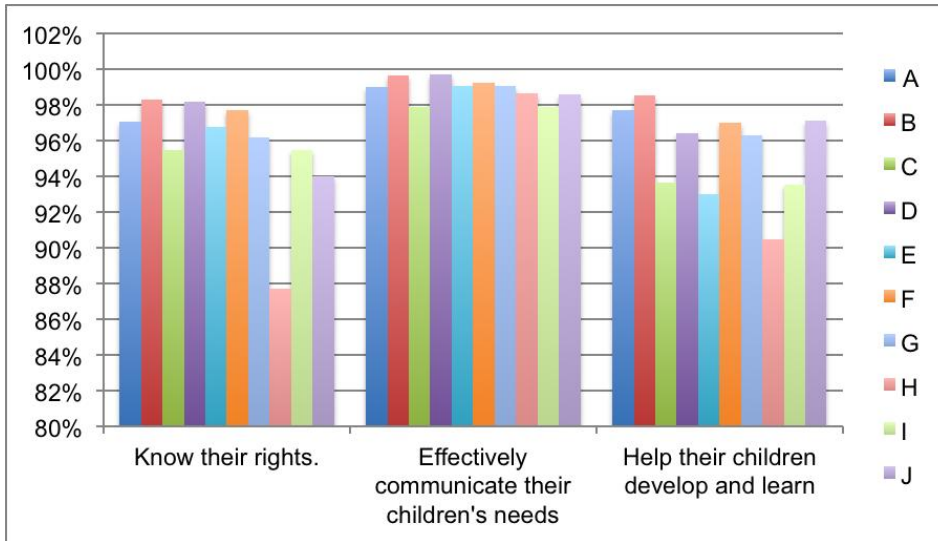
There were some differences noted for two of the family outcomes. For the first outcome, “Know their rights,” just under 92% of families of Black or African American children reported experiencing this outcome, as compared with

96-97% of the other ethnic groups. For the outcome, “Help their children develop and learn,” 4% fewer families of Black or African American children and families of multiracial children reported the presence of this outcome than the two highest ethnic groups, Hispanic/Latino and White families.

Part C State Annual Performance Report (APR) for FFY2010

Were there differences in child outcomes among the major regions of the state?

Figure 7
Differences in Family Outcomes by Geographic Area



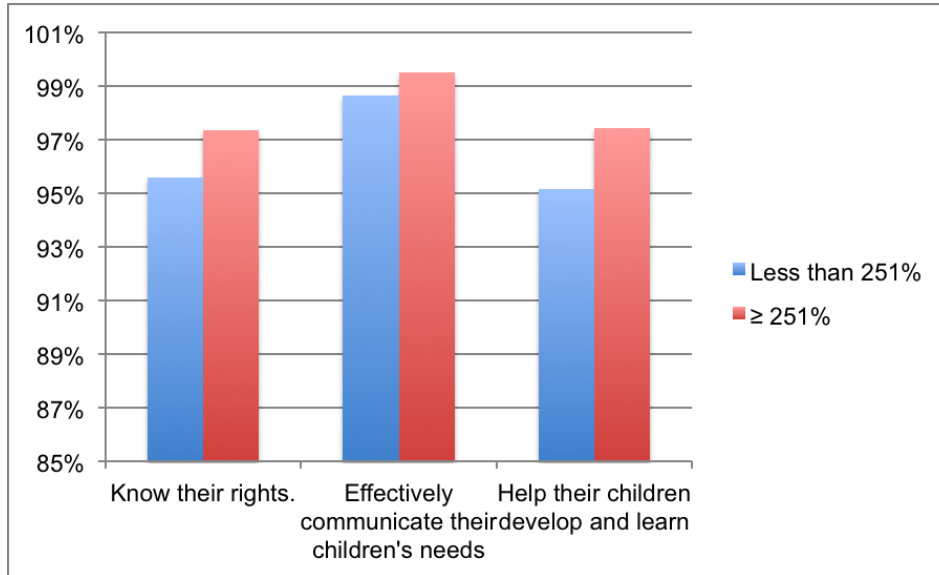
There were some differences among the 10 regional clusters in Indiana for two of the three family outcomes. For the family outcome that First Steps helped families know their rights, Cluster H was 6-10 percentage points below all of the other clusters. For the family

outcome that First Steps helped families to help their children develop and learn, Clusters C, E, H and I were 4-8% points below the top clusters

Part C State Annual Performance Report (APR) for FFY2010

Were there differences in child outcomes among children with different family incomes?

Figure 8
Differences in Family Outcomes by Family Income Level



Slightly fewer families with incomes less than 251% of the federal poverty experienced the three family outcomes. Figure 8 provides a graph of the results comparing this group with the group of families who are above the 251% rate.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2010: Data reported for FFY10 is essentially the same as FFY09 with the exception of a slight increase of 1 percentage point for Outcome C. The state has met its target for Outcome B-Families can effectively communicate their child’s needs. The state was not able to meet the targets of 99% for Outcome A-Families know their rights and 97% for Outcome C-Families help their children grow and develop, although both were at 96%.

Ongoing improvement activities to ensure the accuracy and completeness of the family survey data include the following:

- Updated the ECO Center survey
- Providing monthly data to the 10 regions responsible for collecting and entering the family survey data
- Providing individual feedback and technical assistance to improve the sample return rate.

All families receive a copy of the procedural safeguards booklet, *A Family’s Guide To Procedural Safeguards*. Service Coordinators and direct service providers also receive training to enhance progress towards the family outcomes and handouts that they may use with parents via the Training Times. Topics in the past year have included:

- *Early Home Learning Matters*
- *Your Babies Development – Parent Handouts for 12-15 months, 18-24 months, 24-30 months and 30-36 months*

Part C State Annual Performance Report (APR) for FFY2010

- *Early Literacy*
- *Reading Your Babies Cues, Birth to two years*
- *Early Intervention for Infants and Toddlers with Autism*

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2010

While the return rate has increased over previous years, it is obvious that future efforts will need to aim at increasing the representativeness of the data to address significant regional, race, and income level differences.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 5: Percent of infants and toddlers birth to 1 with IFSPs compared to national data.

(20 U.S.C. 1416(a) (3)(B) and 1442)

Measurement: Percent = [(# of infants and toddler birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to national data.

FFY	Measurable and Rigorous Target
2010	1.40% of infants and toddlers birth to 1 with IFSPs compared to national data.

Actual Target Data for 2010: Indiana served 1,163 infants, birth to 1 year in FFY2010. This represents 1.38% of the birth to one year population of 84,277

5.1: Actual Target Data for FFY2010:

STATE	CHILD COUNT 0-1	POPULATION 0-1	% OF POP. 0-1	CURRENT ELIGIBILITY
Indiana	1,163	84,277	1.38%	Moderate Eligibility Criteria
National	40,962	3,989,384	1.03%	

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY10: Indiana’s 1.38% of infants birth to one year with an IFSP represents an increase of .08% from the 1.3% reported in FFY09. While the number of eligible children birth to one year served remains less than the SPP target of 1.4%, Indiana remains well above the national percentage of 1.03%.

In 2006, Indiana’s eligibility rules were revised through state legislation and an amendment to the state’s Part C application. The change in the state’s eligibility rules eliminated the biological risk category and raised eligibility by developmental delay from a delay of 20% and/or -1.5SD to 25% and/or -2SD in one developmental domain and from 15% and/or -1SD to 20% and/or -1.5SD in two or more developmental domains.

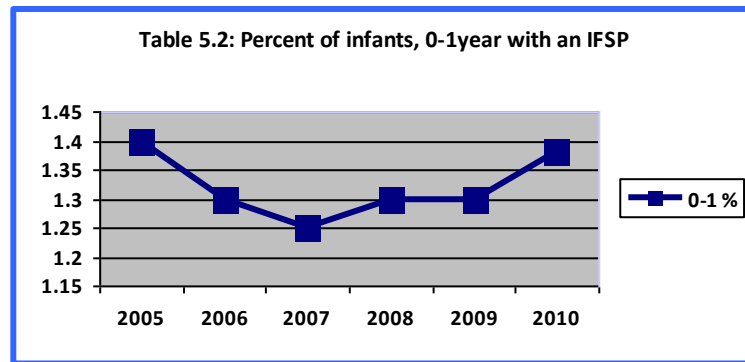
Indiana anticipated that child count numbers for eligible children birth to one year with an IFSP would decrease due to changes in the state’s eligibility criteria, as biological risk was removed and the level of delay for eligibility was increased. Table 5.2 illustrates the decrease in the number of infants served from FFY2005 through FFY2010. While the number of infants served in FFY2006 and FFY2007 declines, there were increases noted in FFY08. The number was consistent in FFY2009 at 1.3% FFY10 has seen an increased to 1.38%.

The state has included child find activities as part of the Local Planning and Coordinating grant deliverables. Each LPCC reports its child find activities and referral numbers to the state as part of its

Part C State Annual Performance Report (APR) for FFY2010

grant outcomes. LPCC activities include the development and distribution of child development information, including information on the First Steps System to local hospitals, physician offices, child care centers and other community locations that serve families with young children. All LPCCs are required to maintain memorandums of agreement with local referral agencies.

The state percent of infants, birth to one year does not account for the number of infants referred close to one year of age and for whom an IFSP is written after 12 months of age. The state believes this represents a significant number of children as the 0-3 percent of children served (3.92%) is significantly higher than the national average of 2.82%.



Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines /

Resources for FFY11: The state has made significant gain in achieving the 1.4% target. The state will continue to review child find activities and the referral of infants to insure that IFSPs are completed by 12 months of age.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 6: Percent of infants and toddlers birth to 3 with IFSPs compared to national data.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = [(# of infants and toddler birth to 3 with IFSPs) divided by the (population of infants and toddlers birth to 3)] times 100 compared to national data.

FFY	Measurable and Rigorous Target
2010	3% of infants and toddlers, birth to 3 will have IFSPs compared to national data.

Actual Target Data for FFY10: Indiana served 10,074 infants and toddlers, birth to 3 years of age in FFY10. This represents 3.92% of the birth to three years population of 257,202.

Table 6.1: Actual Target Data for FFY2010:

STATE	CHILD COUNT 0-2	POPULATION 0-2	% OF POP. 0-2	CURRENT ELIGIBILITY CRITERIA
Indiana	10,074	257,202	3.92%	Moderate
National	342,389	12,152,003	2.82%	

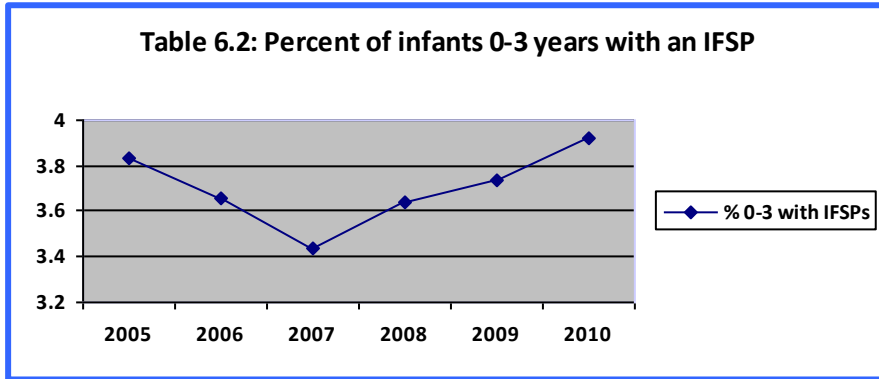
Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY10: Indiana continues to serve a high percentage of children birth through two years when compared to national data. Indiana’s 3.92% is above the state’s proposed target of 3% and the national average of 2.82%.

In 2006, Indiana’s eligibility rules were revised through state legislation and an amendment to the state’s Part C application. The change in the state’s eligibility rules eliminated the biological risk category and raised eligibility by developmental delay from a delay 20% and/or -1.5SD to 25% and/or -2SD in one developmental domain and from 15% and/or -1SD to 20% and/or -1.5SD in two or more developmental domains. The state anticipated that child count numbers for eligible children birth through two years with an IFSP would decrease in subsequent years. Table 6.2 illustrates a decline in children with an IFSP from FFY2005 through FFY2007 due to changes made to the state’s eligibility criteria. The state has experienced an increase in the number of children served in FFY2008 through FFY2010.

The state has included child find activities as part of the Local Planning and Coordinating grant deliverables. Each LPCC reports its child find activities and referral numbers to the state as part of its grant outcomes. LPCC activities include the development and distribution of child development information, including information on the First Steps System to local hospitals, physician offices, child care

Part C State Annual Performance Report (APR) for FFY2010

centers and other community locations that serve families with young children. All LPCCs are required to maintain memorandums of agreement with local referral agencies.



Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY11: Indiana has exceeded the target for this indicator. No changes are proposed to the target, improvement activities or timelines.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / Child Find

Indicator 7: Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C’s 45-day timeline.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C’s 45-day timeline) divided by the (# of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted)] times 100.

Account for untimely evaluations, assessments, and initial IFSP meetings, including the reasons for delays.

FFY	Measurable and Rigorous Target
2010	100% of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C’s 45-day timeline

Actual Target Data for FFY 2010: 99.8% (8310/8329) of eligible infants and toddlers with IFSPs for whom an evaluation, assessment and an initial IFSP were conducted within Part C’s 45 day timeline.

Infants Evaluated and Assessed and provided an Initial IFSP meeting Within Part C’s 45-day timeline:

a. Number of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C’s 45-day timeline	8310
b. Number of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted	8329
Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C’s 45-day timeline (Percent = [(a) divided by (b)] times 100)	99.8%

Part C State Annual Performance Report (APR) for FFY2010

Table 7.1 FFY10: Initial IFSPs Written within 45 days of Referral				
	Total IFSPs	% ≤ 45 days, including EFC	# ≥ 45 days	Number of days until IFSP was developed
State Total	8329	99.8% (8310/8329)	19	Range- 46-64 days
Cluster A	814	99.9% (813/814)	1	46
Cluster B	660	100% (660/660)	0	
Cluster C	694	99.7% (692/694)	2	49, 57
Cluster D	511	99.8% (510/511)	1	49
Cluster E	480	99.6% (478/480)	2	54, 46
Cluster F	342	100% (342/342)	0	
Cluster G	2781	99.7% (2774/2781)	7	52,58,47,48,56,64,48
Cluster H	483	99.8% (482/483)	1	47
Cluster I	935	99.8% (933/935)	2	52, 51
Cluster J	629	99.5% (626/629)	3	48,49,47

Data Source and Measurement Considerations: Indiana has a centralized data system. Every referral to Indiana First Steps is entered into the System Point of Entry (SPOE) database with the referral date, child name, and date of birth, address, referral source, and contact information. An Intake Service Coordinator contacts the family within 2 business days to set an appointment to meet with the family to explain the program, family rights and procedural safeguards and to obtain consent to gather information and to proceed with the evaluation/assessment. Once the family has consented to proceed, the intake coordinator assists obtaining the physician health summary and in the scheduling of the evaluation/assessment within 10 working days of the intake appointment. In Indiana, every child proceeding to evaluation/assessment receives a comprehensive developmental assessment by a multidisciplinary team, representing at least 2 professional disciplines. In addition to information received from the medical home and the multidisciplinary team, every child is assessed using the AEPS®. Additional observations and tests are performed as needed and appropriate.

Once the Eligibility Determination Team (EDT) assessment is completed, the information is sent to the intake coordinator who contacts the family. Based on evaluation and assessment results and recommendations of the ED team, the family makes a choice to proceed to an eligibility meeting or to accept the results that their child does not meet Indiana’s eligibility criteria. If the family chooses to proceed, the eligibility meeting is scheduled. Once the team determines that the child is eligible, the IFSP can be developed. If the child does not meet eligibility criteria or the family chooses not to proceed to the eligibility meeting, they are provided with local resource information and are informed that they will receive a follow up call within the next 3 to 6 months to determine if the family has continued concerns about their child’s development.

After the IFSP is written, the SPOE Cluster enters the child’s date of intake, eligibility meeting and IFSP meeting date into the SPOE database. If the child is not found eligible or the family chooses not to participate, the appropriate termination code is entered.

The local Cluster SPOE generates a monthly report listing every eligible child with an IFSP meeting date that exceeds the 45-day timeline. Each Cluster SPOE must submit a “Delay of IFSP” form for every IFSP that exceeds the 45-day timeline. This form provides information on why the initial 45 day timeline was not met. The parent signs this form indicating that they have been informed of their rights and procedural safeguards and understand that the IFSP exceeded the 45-day timeline and they are in agreement with the delay of IFSP reason stated on the form. Supporting documentation as to the circumstances of the

Part C State Annual Performance Report (APR) for FFY2010

delay must also be included in the Service Coordinator log notes. The Delay of IFSP form and the log notes become part of the early intervention record.

In order to monitor that the IFSP timelines are met, a Quality Review process has been developed to examine every instance when the IFSP exceeds the 45-day timeline. The determination on whether the delay was the result of an exceptional family circumstance (ex. family medical emergency, parent/child illness, family relocation or custody change, etc.) or the result of a systemic issue is made by the state and not the Cluster SPOE. The data analysis includes the number of initial IFSPs exceeding 45-day timeline divided by the total number of eligible infants and toddler evaluated and assessed for whom an IFSP meeting was required, and includes the reason for the delay. When the development of the IFSP exceeds 45 days, the actual date of the IFSP is recorded to insure that the child/family did subsequently have an IFSP developed.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2010: While, Indiana has not demonstrated compliance in the percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline, it remain at near 100%. The state has implemented the initiatives from FFY09 (listed below) and will continue to strive for 100% compliance.

1. Review of factors contributing to delays – Each regional Cluster self-monitors the 45-day timeline through SPOE data reports on a monthly basis. SPOEs monitor dates from referral to intake, referral to evaluation and referral to IFSP. This information allows the SPOEs to drill down to identify where delays are occurring in the process. This is an ongoing activity; there have been no changes in FFY2010 to the SPOE policies or procedures to monitor 45 day timeline.
2. To monitor each Cluster's performance in conducting initial IFSP meetings within 45 days of referral, the SPOEs must provide written documentation (Delay of IFSP form) to explain circumstances under which any initial IFSP exceeds 45 days to the QR contractor on a quarterly basis. These reports are used to identify trends and Cluster training needs.
3. Any Cluster not demonstrating 100% compliance is required to develop and implement corrective action plans to achieve full compliance as soon as possible, but no later than one year from identification. Clusters provide quarterly progress reports. Data used in the quarterly progress reports are validated by the Quality Review contractors, before any state issued letters of compliance are written. This is an ongoing activity - Clusters are required to develop improvement plans and to submit quarterly progress reports. Once a Cluster has demonstrated compliance for a period of one quarter, the state verifies the correction and issues a letter of compliance.
4. Performance based standards - A performance based standard is written into the SPOE Request for Funding (RFF) contracts requiring each local SPOE office to ensure initial IFSPs are completed within 45 days. SPOE funding was linked to the achievement of this standard and is reviewed semi-annually. SPOEs not meeting the 100% target may not be eligible for incentive funding of up to 1% annually. In FFY10, all SPOEs received incentive funding for substantial compliance.

The State publishes regional and statewide performance information on the 45-day timeline compliance at (<http://www.utsprokids.org/firststepsinfo.asp>).

Part C State Annual Performance Report (APR) for FFY2010

Table 7.3: Subsequent Correction of Non-Compliance for FFY10 (Data for 7/1/11-9/30/11)

Cluster SPOE	FFY10 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
C	99.7% (692/694)	100% (190/190)	1/5/11
D	99.8% (510/511)	100% (122/122)	1/5/11
G	99.7% (2774/2781)	100% (776/776)	1/5/11
H	99.8% (482/483)	100% (141/141)	1/5/11

Correction of FFY 2009 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2009 for this indicator: 99.9% (10196/10203)

1. Number of findings of noncompliance the State made during FFY 2009 (the period from July 1, 2009, through June 30, 2010)	2
2. Number of FFY 2009 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	2
3. Number of FFY 2009 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2009 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2009 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2009 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	
6. Number of FFY 2009 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: No corrective actions have been taken. Cluster G has consistently demonstrated a very high level of compliance for FFY09 (99.9% - 3158/3161). No systemic issues have been identified. For two of the four reporting periods, Cluster G had only one IFSP in excess of 45 days. When the IFSP exceeds 45 days, Cluster G has documented that the parent was informed of their rights. In each incident the referred child had an evaluation, assessment and IFSP albeit after the 45 day timeline. For the period of 7/1/11-9/30/11, reported within the one year timeline since notification, Cluster G achieved 100% (776/776) compliance, as noted in Table 7.3 above.

Verification of Correction of FFY 2009 noncompliance (either timely or subsequent): Data is verified from the state database and through Cluster submission of the Delay in IFSP form. In FFY2010, Cluster G had 7 IFSPs that exceeded 45 days. These ranged from 47 to 64 days. All children eventually had an IFSP meeting, albeit late. Cluster G did have a reporting period subsequent to the FFY10 report in which 100% of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C’s 45-day timeline and is now in compliance with the indicator.

Part C State Annual Performance Report (APR) for FFY2010

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: Indiana has a centralized data system and verification is done through system reports and Quality Review Monitoring at the annual on-site visit. Every referral to Indiana First Steps is entered into the System Point of Entry (SPOE) database with the referral date, child name, and date of birth, address, referral source, and contact information. A quarterly report is run to capture all referrals received with dates for Intake and IFSP meeting. In order to monitor that the IFSP timelines are met, a Quality Review process has been developed to examine every instance when the IFSP exceeds the 45-day timeline. The determination on whether the delay was the result of an exceptional family circumstance (ex. family medical emergency, parent/child illness, family relocation or custody change, etc.) or the result of a systemic issue is made by the state and not the Cluster SPOE. The data analysis includes the number of initial IFSPs exceeding 45-day timeline divided by the total number of eligible infants and toddler evaluated and assessed for whom an IFSP meeting was required, and includes the reason for the delay. When the development of the IFSP exceeds 45 days, the actual date of the IFSP is recorded to determine if the child/family subsequently had an IFSP developed.

Correction of Remaining FFY 2008 Findings of Noncompliance (if applicable):

Not Applicable

1. Number of remaining FFY 2008 findings of noncompliance noted in OSEP’s June 2011, FFY 2009 APR response table for this indicator	0
2. Number of remaining FFY 2008 findings the State has verified as corrected	0
3. Number of remaining FFY 2008 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Remaining FFY 2008 findings:

Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008: *Not Applicable*

Correction of Any Remaining Findings of Noncompliance from FFY 2007 or Earlier (if applicable):

Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): *None Requested*

Statement from the Response Table	State’s Response

Part C State Annual Performance Report (APR) for FFY2010

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The 100% target for this indicator will continue through FFY2012. While Indiana did not meet the 100% target for this indicator, the state continues to be consistently above 99.5% for indicator for the past five years. The state has reviewed its improvement activities and no revisions to the SPP are needed. Evaluation teams (EDTs) were moved under the supervision of the Cluster SPOE effective January 1, 2011.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8A: Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including:

- A IFSPs with transition steps and services

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of children exiting Part C who have an IFSP with transition steps and services) divided by the (# of children exiting Part C)] times 100.

FFY	Measurable and Rigorous Target
FFY10	A. 100% of eligible children will have IFSPs with transition steps and services.

Actual Target Data for FFY 2010:

99.9% (2200/2201) of eligible children had IFSPs with transition steps and services

In FFY2010, the state demonstrated a very high level of compliance for meeting the target for Indicator 8A of 100% of IFSPs with transition steps and services. Indiana utilizes a standard IFSP form that includes a section on transition steps, services/strategies, and timelines. This page is completed during the initial IFSP meeting and revised as needed at the six month review and annual IFSP.

Indiana monitors each EIS program (Cluster) annually. For FFY2010, Indiana reviewed a sample of IFSPs (initial and annual) written between July 1, 2010 and June 30, 2011 to determine if the IFSP had transition steps and services written in the plan. The sampling unit for this indicator included all children with an IFSP written during FFY2010, (n=20,852). A minimum sample size of 644 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The sampling stratification process employed a random selection process based on gender and ethnicity. These random samples also included at least 8 files from every service coordinator in the state, thus insuring that all geographic areas of the state were sampled. The data collection strategy involved samples from each of the ten regional clusters. The purpose of using these categories was to ensure adequate representation of all children receiving First Steps services in Indiana.

Sample data were derived from early intervention record reviews performed by the Quality Review contractors and from state-verified, early intervention record reviews completed by the local SPOE as part of their quality review and progress monitoring system. Random pull lists of early intervention records

Part C State Annual Performance Report (APR) for FFY2010

were sent to each cluster. Reviewers noted if the IFSP had a completed transition planning page that included transition outcomes, dates and strategies/services.

Children Exiting Part C who Received Timely Transition Planning:

a. Number of children exiting Part C who have an IFSP with transition steps and services	2200
b. Number of children exiting Part C	2201
Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday (Percent = [(a) divided by (b)] times 100)	99.9%

Table 8A.1: FFY10 – IFSPs with Transition Steps & Services		
	# of IFSPs reviewed	% of IFSPs reviewed with documented transition steps & services
State	2014	99.9% (2200/2201)
Cluster A	191	100% (222/222)
Cluster B	180	99.4% (180/181)
Cluster C	107	100% (163/163)
Cluster D	191	100% (217/217)
Cluster E	158	100% (179/179)
Cluster F	189	100% (151/151)
Cluster G	478	100% (589/589)
Cluster H	76	100% (181/181)
Cluster I	154	100% (157/157)
Cluster J	184	100% (161/161)

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2010: Indiana has maintained a very high level of compliance with the number of children who received timely transition planning to support transition to preschool and other appropriate services (99.95)%. Only one record did not have documentation of transition steps and services.

Subsequent compliance documentation: Only one cluster was found to be out of compliance for documentation of IFSP transition steps and services in FFY2010. Cluster B failed to document transition steps and services in 1 of the 181 EI records reviewed. The one child’s record that did not have Transition Steps and Services completed was from an initial IFSP and Transition Steps and Services were discussed and added at the 6th Month IFSP review providing subsequent correction for the child.. During the annual on-site focused monitoring review on December 8, 2011, Cluster B did demonstrate 100% compliance with Transition Steps and Services with documentation in each of the 95 files reviewed. These included initial, annual and transition file reviews.

Part C State Annual Performance Report (APR) for FFY2010

Table 8A.2: Subsequent correction - IFSPs with Transition Steps & Services			
	# of IFSPs reviewed	% of IFSPs reviewed with documented transition steps & services	Date of verification
Cluster B	95	100% (95/95)	12/8/11

Correction of FFY 2009 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2009 for this indicator: 99.9%

1. Number of findings of noncompliance the State made during FFY 2009 (the period from July 1, 2009, through June 30, 2010)	1
2. Number of FFY 2009 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	1
3. Number of FFY 2009 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2009 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2009 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2009 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	0
6. Number of FFY 2009 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: *Not Applicable*

Verification of Correction of FFY 2009 noncompliance (either timely or subsequent):

In FFY09, the state verified correction of non-compliance for Cluster F through its annual on-site review which occurred on October 28, 2010. In that review 100% (86/86) files reviewed had documented transition steps and services.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: For all children who remained in the jurisdiction of the EIS, the state verified subsequent correction of the non-compliance for Indicator 8A. In FFY209, 1 Cluster SPOE was issued findings for noncompliance with IFSP transition steps and services which represented 1 individual child. At the time of the chart review, the SPOE Director is provided a completed file review for each record. The review form provides name of the child and service coordinator. SPOEs are instructed to provide child and family transition steps for all children who have not yet exited the program. The one child was still within the system and received appropriate transition planning prior to exiting the system. Further monitoring was conducted to insure ongoing compliance for this indicator within the year. This included state-directed focused monitoring and state-verified cluster progress reports. Cluster F

Part C State Annual Performance Report (APR) for FFY2010

demonstrated 100% compliance in each of the cluster progress reporting periods: June 2011 – 100% 40/40 and September 2011 – 100% (25/25).

Correction of Remaining FFY 2008 Findings of Noncompliance (if applicable): Not Applicable

1. Number of remaining FFY 2008 findings of noncompliance noted in OSEP’s June 2010, FFY 2008 APR response table for this indicator	0
2. Number of remaining FFY 2008 findings the State has verified as corrected	0
3. Number of remaining FFY 2008 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2008 findings: Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008: Not Applicable

Correction of Any Remaining Findings of Noncompliance from FFY 2007 or Earlier (if applicable): Not applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None Requested

Statement from the Response Table	State’s Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The rigorous and measurable targets for this indicator must be 100%. Indiana has reviewed its SPP and no changes to the SPP improvement activities and timelines were made.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8B: Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including:

A Notification to LEA, if child potentially eligible for Part B;

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of children exiting Part C and potentially eligible for Part B where the notification to the LEA occurred) divided by the (# of children exiting Part C who were potentially eligible for Part B)] times 100.

FFY	Measurable and Rigorous Target
FF2010	100% of children exiting Part C and potentially eligible for Part B where the notification to the LEA occurred

Actual Target Data for FFY 2010:

100% (7199/7199) of children exiting Part C and potentially eligible for Part B had evidence of notification to the LEA.

Since 2005, Indiana has notified the appropriate LEA utilizing an electronic data transfer of child identifying information (name, date of birth, address) from the SPOE to the LEA for children who met the date of birth cut-off date. The electronic transfer is sent semi-annually in April and October. Indiana did not adopt a written notice or opt-out policy.

Part C State Annual Performance Report (APR) for FFY2010

Children Exiting Part C who Received Timely Transition Planning (Notification to LEA):

a. Number of children exiting Part C and potentially eligible for Part B where the notification to the LEA occurred	7199
b. Number of children exiting Part C who were potentially eligible for Part B	7199
Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday (Notification to LEA) (Percent = [(a) divided by (b)] times 100)	100%

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2010: Indiana provides child name, date of birth, and parent contact information to the appropriate school district (LEA) based on the address of the child’s residence, semi-annually in October and April. This procedure has enabled Indiana to provide accurate notification the LEA of children potentially eligible for Part B services. Additionally, service coordinators with parental consent; invite the LEA and other community partners (Head Start and local preschool representatives) to the transition meeting. These efforts are increasing LEA and other community partner attendance at the Part C Transition meetings.

Correction of FFY 2009 Findings of Noncompliance (if State reported less than 100% compliance):
 Level of compliance (actual target data) State reported for FFY 2008 for this indicator: **100%**

1. Number of findings of noncompliance the State made during FFY 2009 (the period from July 1, 2009, through June 30, 2010)	0
2. Number of FFY 2009 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	
3. Number of FFY 2009 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2009 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected: Not Applicable

4. Number of FFY 2009 findings not timely corrected (same as the number from (3) above)	
5. Number of FFY 2009 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	
6. Number of FFY 2009 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: Not Applicable

Verification of Correction of FFY 2009 noncompliance (either timely or subsequent): Not Applicable

Part C State Annual Performance Report (APR) for FFY2010

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: Not Applicable

Correction of Remaining FFY 2008 Findings of Noncompliance (if applicable): Not Applicable

1. Number of remaining FFY 2008 findings of noncompliance noted in OSEP’s June 2011, FFY 2009 APR response table for this indicator	0
2. Number of remaining FFY 2008 findings the State has verified as corrected	
3. Number of remaining FFY 2008 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2008 findings: Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008: Not Applicable

Correction of Any Remaining Findings of Noncompliance from FFY 2007 or Earlier (if applicable): Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable):

Statement from the Response Table	State’s Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The rigorous and measurable targets for this indicator must all be 100%. Indiana has reviewed the SPP and no revisions to the targets/activities or timelines are needed.

Part C State Annual Performance Report (APR) for FFY2010

Part C State Annual Performance Report (APR) for FFY 2010

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8C: Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including:

C. Transition conference, if child potentially eligible for Part B.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, at least nine months prior to the toddler’s third birthday for toddlers potentially eligible for Part B) divided by the (# of toddlers with disabilities exiting Part C who were potentially eligible for Part B)] times 100.

Account for untimely transition conferences, including reasons for delays.

FFY	Measurable and Rigorous Target
FFY2010	100% of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, at least nine months prior to the toddler’s third birthday for toddlers potentially eligible for Part B.

Actual Target Data for FFY 2010:

99.4% (1278/1286) of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties, at least nine months prior to the toddler’s third birthday for toddlers potentially eligible for Part B.

Children Exiting Part C who Received Timely Transition Planning (Transition Conference):

a. Number of children exiting Part C and potentially eligible for Part B where the transition conference occurred	1278
b. Number of children exiting Part C who were potentially eligible for Part B	1286
c. Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday (Transition Conference) (Percent = [(a) divided by (b)] times 100)	99.4%

Part C State Annual Performance Report (APR) for FFY2010

The data source for this indicator was the review of a sample of early intervention records of children who exited Part C in FFY2010. The review was conducted by the Quality Review – Focused Monitoring Team and through state-verified, quarterly progress data provided by the Clusters for their Cluster Performance Plan progress reports. This review demonstrated that 99.4% of the sample reviewed (1278/1286) had evidence of a transition meeting, within 90 to 270 days of the child’s third birthday. Indiana continues to maintain a high level of compliance for this indicator.

A list of randomly selected early intervention records was compiled for each of the 10 Cluster SPOEs. Each record pull list included a minimum of 2 records per Service Coordinator. The early intervention records used were reviewed to ensure that the sample was representative of all children exiting First Steps. The following procedure was utilized:

- The Sample Size was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The cumulative total of children served in the Part C program during FFY2010 was (n=20,852). A minimum sample size of 644 IFSPs was determined by using a sampling calculator made available from the website (<http://www.raosoft.com/samplesize.html>) by Raosoft, Inc. The actual number sampled far exceeds the required sample size for a confidence level of 99%, with a confidence interval of +/- 5%. The data collection strategy also included at least two records for every Service Coordinator in each of the ten regional Clusters to ensure obtaining records from all areas of the state and the Cluster region.

Table 8C.1: FFY10 - Timely Transition Meetings			
	# of IFSPs reviewed	% of total EI Records with documented transition meeting, 90-270 days prior to third birthday	Late Transition Meeting verification, if child remained in EI Program
State	1286	99.4% (1278/1286)	
Cluster A	323	100% (323/323)	
Cluster B	89	98.9% (88/89)	Yes, meeting held 76 days prior to 3 rd Birthday
Cluster C	88	97.7% (86/88)	No, 2 children exited program without formal transition meeting
Cluster D	113	99.1% (112/113)	Yes, meeting held 87 days prior to 3 rd Birthday
Cluster E	78	97.4% (76/78)	No, 2 children exited program without formal transition meeting
Cluster F	74	100% (74/74)	
Cluster G	289	99.7% (288/289)	Yes, meeting held 71 days prior to 3 rd Birthday
Cluster H	76	97.4% (75/76)	No, child exited program without formal transition meeting
Cluster I	93	100% (93/93)	
Cluster J	63	100% (63/63)	

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred in FFY 2010: Indiana has demonstrated 99.4% compliance with Indicator 8C. This represents a slippage of 0.5%. Eight of the 1,286 records reviewed did not have evidence of a timely transition meeting. Of these 8, five children were no longer under the jurisdiction of the EIS programs. Three

Part C State Annual Performance Report (APR) for FFY2010

children did have late Transition Meetings at 76, 81 and 71 days prior to their third birthday. All Clusters demonstrated very high levels of compliance in excess of 97% and all Clusters did demonstrate subsequent compliance.

Subsequent compliance documentation: All five Clusters were able to demonstrate ongoing compliance with timely transition meetings.

Table 8C.1: Subsequent Correction of Non-compliance for Timely Transition Meetings			Review Period and State Verification Date
	# of IFSPs reviewed	% of total EI Records with documented transition meeting, 90-270 days prior to third birthday	
Cluster B	33	100% (33/33)	Annual On-site Review: December 8, 2011
Cluster C	29	100% (29/29)	(September – November 2011) 11/30/11
Cluster D	25	100% (25/25)	Annual On-Site Review: November 4, 2011
Cluster E	27	100% (27/27)	(September – November 2011) 12/29/11
Cluster G	97	100% (97/97)	Annual On-Site Review: November 9 & 10, 2011

Correction of FFY 2009 Findings of Noncompliance (if State reported less than 100% compliance):

Level of compliance (actual target data) State reported for FFY 2009 for this indicator: 99.9%

1. Number of findings of noncompliance the State made during FFY 2009 (the period from July 1, 2009, through June 30, 2010)	1
2. Number of FFY 2009 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	1
3. Number of FFY 2009 findings <u>not</u> verified as corrected within one year [(1) minus (2)]	0

FFY 2009 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2009 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2009 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	
6. Number of FFY 2009 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Part C State Annual Performance Report (APR) for FFY2010

Actions Taken if Noncompliance Not Corrected: As reported in the FFY09 APR, there was one incident of non-compliance which was corrected prior to the submission of the FFY09 APR. Since the non-compliance was corrected, no actions were taken.

Subsequent compliance documentation: During the annual on-site focused monitoring review on December 1, 2010, Cluster I did demonstrate correction by documenting timely transition meetings in each of the 29 files reviewed.

Table 8C.1: Subsequent Correction of Non-compliance for Timely Transition Meetings			
	# of IFSPs reviewed	% of total EI Records with documented transition meeting, 90-270 days prior to third birthday	Date of verification of correction
Cluster I	28	100% (28/28)	December 1, 2010

Verification of Correction of FFY 2009 noncompliance (either timely or subsequent): Compliance was verified through a review of EI records at the annual onsite focused monitoring review on December 1, 2010. This on-site review consisted of a random selection of EI records, in which a review of the transition meeting packet documented all aspects of transition meeting, (LEA consents and notification, transition meeting written prior notice and transition meeting plans and minutes).

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009: No actions were required.

Correction of Remaining FFY 2008 Findings of Noncompliance (if applicable): *Not Applicable*
The state verified correction of the three findings of non-compliance identified in FFY2008.

4. Number of remaining FFY 2008 findings of noncompliance noted in OSEP’s June 2011, FFY 2009 APR response table for this indicator	0
5. Number of remaining FFY 2008 findings the State has verified as corrected	
6. Number of remaining FFY 2008 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2008 findings: Not Applicable

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008: Not Applicable

Correction of Any Remaining Findings of Noncompliance from FFY 2007 or Earlier (if applicable):
Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None Requested

Part C State Annual Performance Report (APR) for FFY2010

Statement from the Response Table	State’s Response
None	

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): The rigorous and measurable targets for this indicator must all be 100%. Indiana has reviewed its SPP and no revisions to the targets, improvement activities and timeline were required.

Part C State Annual Performance Report (APR) for FFY2010

Part C State Annual Performance Report (APR) for FFY 2010

Overview of the Annual Performance Report Development:

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 9: General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.

(20 U.S.C. 1416 (a)(3)(B) and 1442)

Measurement:

Percent of noncompliance corrected within one year of identification:

- a. # of findings of noncompliance.
- b. # of corrections completed as soon as possible but in no case later than one year from identification.

Percent = [(b) divided by (a)] times 100.

States are required to use the “Indicator C 9 Worksheet” to report data for this indicator (see Attachment A).

FFY	Measurable and Rigorous Target
FFY 2010	100% Percent of noncompliance corrected within one year of identification

Actual Target Data for FFY 2010:

94.7% (36/38) of noncompliance was corrected within one year of identification.

Describe the process for selecting EIS programs for Monitoring: Indiana has 10 regional clusters. Every cluster undergoes on-site monitoring annually. For each finding of non-compliance, the lead agency verifies correction of the issue at both the individual child level as well as the cluster/system level.

Indiana has a comprehensive general supervision system that includes the statewide data system, a statewide quality review-focused monitoring system, local quality review committees and an ongoing research initiative on program outcomes performed by the Indiana Institute on Disability and Community (IIDC) at Indiana University. A description of each component is provided below.

1. Indiana’s computerized data system was developed in 1994. A data file is created for every child referred to the First Steps system. Data for children found eligible include fields for child/family/provider information (date of birth, referral, intake, evaluation, IFSP, termination with reason; child demographic data; and provider information). Data for each Cluster System Point of

Part C State Annual Performance Report (APR) for FFY2010

Entry (SPOE) can be reviewed at any time by state and/or the local Cluster. The Cluster SPOEs can generate preset reports for use by their Local Planning and Coordinating Councils. State administrators can access all Cluster SPOE data and can generate preset and ad hoc reports. These data are used by the state as a source for ongoing desk audits of the system. The Central Reimbursement Office (CRO) data include child/family authorization and claims data.

2. The Data Warehouse (A state contracted entity that uses state provided data to develop 618 data and state profile reports) provides the state with county, cluster SPOE and statewide data reports. These reports are used by the state and Cluster SPOEs to monitor trends over time. The profiles of the state and Cluster SPOEs are posted on the state website for public access. They can be viewed at <http://www.in.gov/fssa/ddrs/2812.htm>.
3. In 1998, Indiana initiated Peer Monitoring as a component of its general supervision system. Through technical assistance provided by NCSEAM, Indiana revised its general supervision system to incorporate a focused monitoring (FM) approach in 2004. The state First Steps System contracts with three entities to provide quality review coordination, on-site reviews and local technical assistance. Indiana has ten Cluster SPOEs that serve as the local entity for referrals to Part C. The SPOEs maintain the early intervention record and since 2006 have employed all Service Coordinators and in 2011 all EDT teams. Each of the ten Clusters receives quarterly technical assistance visits and an annual verification visit. These visits are led by the Quality Review team leader responsible for the Cluster. Additional team members include state staff, peers from other Clusters, providers and parents. To provide public reporting of the Cluster performance, Cluster report cards were developed in 2006. The reports were revised in 2007 to mirror the Part C State Performance Plan (SPP) indicators. In addition to the annual verification visits, the SPOEs provide quarterly quality review reports and progress updates through their Cluster Performance Plans (CPP). The CPP serves as the Cluster's quality monitoring plan and includes strategies to correct any findings issued by the State, as soon as possible, but no later than one year. Clusters must submit progress data to demonstrate compliance. Once the cluster SPOE has demonstrated compliance for a reporting period, the data are verified by the state, the finding is verified corrected and the state issues a letter of compliance.

In January of 2009, findings were issued to each Cluster SPOE. While all Clusters were found to meet requirements, each Cluster SPOE received a findings table which listed all noncompliance requiring correction. The Cluster SPOEs were directed to demonstrate 100% compliance for indicators 1, 7, 8, and 9, along with the other related areas of noncompliance (annual IFSPs completed prior to expiration, timely 6 month reviews, 10 day written prior notice, income and insurance documentation) as soon as possible, but no later than one year from the date of the finding. Utilizing the information from the findings table, each Cluster SPOE was required to develop a CPP that identified activities, strategies and timelines for correction of any noncompliance. SPOEs were required to provide periodic progress data and narrative updates to demonstrate compliance with the indicators at 6 months, 9 months and 11 months from the date of the finding. In FFY2009, there were a total of 37 findings. Eight findings were for noncompliance with State Performance Plan indicators and 29 findings were for other related areas of noncompliance, including 15 findings against direct service providers for inappropriate/undocumented use of funds (billing issues).

Since the October 2008 OSEP verification visit, Indiana has modified its quality review- focused monitoring onsite visit schedule so that data can be provided to state staff in a more timely manner that will allow the state to issue findings within the current federal fiscal year. Quality Review-Focused Monitoring (QRFM) visits for FFY2010 were conducted in the months of October through December, 2010, with findings issued by the state to the Cluster within 90 days of the visit. Any additional findings noted during the 2010 QRFM visits and/or desk audits were added to the previously issued findings of January 2010. All findings for FFY2009 were required to be corrected by October 2011, to allow time for state data verification and to ensure that all findings have been corrected as soon as possible, but in no case later than one year.

Part C State Annual Performance Report (APR) for FFY2010

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2010: Indiana has maintained a high level of compliance with this indicator at 94.7% (36/38). This represents slight slippage from FFY09 – 97.3%. All OSEP required indicators were corrected within one year of notification. Two other areas of noncompliance (written prior notice and income documentation failed to complete verification prior to the one year timeline, although both have reported subsequent correction, they were reported too late for the state to verify correction.

Timely Correction of FFY 2009 Findings of Noncompliance (corrected within one year from identification of the noncompliance):

1. Number of findings of noncompliance the State identified in FFY 2009 (the period from July 1, 2009, through June 30, 2010) (Sum of Column a on the Indicator C9 Worksheet)	38
2. Number of findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS programs of the finding) (Sum of Column b on the Indicator C9 Worksheet)	36
3. Number of findings <u>not</u> verified as corrected within one year [(1) minus (2)]	2

Correction of FFY 2009 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2009 findings not timely corrected (same as the number from (3) above)	2
5. Number of FFY 2009 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	2
6. Number of FFY 2009 findings <u>not</u> yet verified as corrected [(4) minus (5)]	0

Verification of Correction of FFY 2009 noncompliance (either timely or subsequent):

Indicator 1: As reported in the FFY09 APR, Indiana was able to demonstrate subsequent correction of non-compliance and state verification of correction for 5 of 5 clusters.

Correction of Timely Services (Timely & Subsequent)

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
A	98.3% (291/296)	100% (97/97)	10/19/11
D	97.4% (300/308)	100% (90/90)	10/19/11
F	99.3% (269/271)	100% (25/25)	10/19/11
E	98.3% (230/234)	100% (61/61)	1/13/11
G	97.7% (516/528)	100% (150/150)	1/13/11

Part C State Annual Performance Report (APR) for FFY2010

Indicator 7: In FFY2009, Indiana reported Clusters were issued 2 findings for 45 day timeline.
Correction of Timely Services

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
G	99.6% (758/761)	100%% (170/170)	State database Oct-Dec 2010
J	99.1% (108/109)	100% (776/776)	State database Jul-Sep 2011

Indicator 8A – FFY09 Findings of non-compliance with transition steps and services

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
F	99.5% (188/189)	100% (86/86)	Annual On-Site 10/28/10

Indicator 8C: Timely Transition Meetings

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Letter
I	99% (104/105)	100% (28/28)	12/1/10

Other Areas of Noncompliance:

1) **Timely 6th Month Review of IFSP:** In FFY2009, Indiana issued a finding to Cluster CH. This Clusters was became 2 separate Clusters C & H. The state has verified that each of these clusters has achieved 100% compliance. Additionally, the state has verified that all of these children did receive a review of their IFSP and authorized services, although after the 6th month due date.

Correction of FFY2009 Noncompliance – Timely 6th Month IFSP Review

Cluster SPOE	FFY09 Reported Data	Cluster	FFY09 State Verified Correction of Non-Compliance Data	State Data Verification Date
CH	97.2% (70/72)	C	100% (29/29)	12/15/11
		H	100% (25/25)	12/15/11

2) **Written Prior Notice:** Indiana monitors written prior notice as part of procedural safeguards. The presence of written prior notice documentation is reviewed for the initial, IFSP, changes to IFSP services, the annual IFSP and the transition meeting. In FFY2009, Indiana reported (4) Clusters were issued findings. The state has verified that 3 of 4 of the clusters achieved 100% compliance. It was not possible to insure the subsequent correction of an individual child/family’s written prior notice omission. Clusters were monitored for systems corrections.

Part C State Annual Performance Report (APR) for FFY2010

Correction of FFY2009 Noncompliance – Written Prior Notice

Cluster SPOE	FFY09 Reported Data	FFY09 State Verified Correction of Non-Compliance Data	State Data Verification Date
B	99.6% (266/267)	100% (115/115) 100% (114/114)	06/15/2011 9/15/10
G	99% (969/979)	100% (368/368)	6/15/11
H	97.7% (257/263)	98.1% (303/309)	*
J	99.7% (317/318)	100% (116/116)	9/15/11

*Finding not corrected within one year

3. **Documentation of Income:** Indiana monitors documentation of income in the EI record. Indiana requires documentation of income for the determination of the family co-pay. Families choosing not to disclose income may still receive Part C services, but must pay full fee for those services eligible for copay. The presence of income documentation is reviewed for the initial and annual IFSP. In FFY2009, Indiana reported seven (7) Clusters were issued findings. The state has verified that each of these clusters has achieved 100% compliance. Families are not penalized for the Service Coordinators failure to provide income documentation. The subsequent correction of an individual child/family's income documentation is made at the quarterly visit prior to the annual IFSP. Clusters were monitored for systems corrections.

Correction of FFY2009 Noncompliance – Family Income Documentation

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
B	99.6% (202/203)	100% (51/51)	6/15/11
C	96.8% (123/127)	96% (55/57)	*
D	98.2% (109/111)	100% (63/63)	6/15/11
E	96% (97/101)	100% (52/52)	9/30/11
G	98.8% (252/255)	100% (181/181)	6/15/11
H	96.7% (188/122)	100% (53/53)	9/15/11
I	97.3% (181/186)	100% (48/48)	6/15/11

*Finding not corrected within one year

4. **Documentation of Insurance:** Indiana monitors documentation of insurance in the EI record. Indiana requires documentation of insurance. Families choosing not to disclose insurance may still receive Part C services, but must pay full fee. The presence of insurance documentation is reviewed for the initial and annual IFSP. In FFY2009, Indiana reported one (1) Cluster was issued findings. The state has verified that the cluster has achieved 100% compliance. Families are not penalized for the Service Coordinators failure to provide insurance documentation. The subsequent correction of an individual child/family's insurance documentation is made at the quarterly visit prior to the annual IFSP. Clusters were monitored for systems corrections.

Correction of FFY2009 Noncompliance – Family Insurance Documentation

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
E	99% (100/101)	100% (52/52)	9/15/11

5. **Appropriate Use of Funds for Provider Services:** Indiana performs provider audits to review documentation to support provider billing. In these audits, providers submit parent signed visit forms that are compared the date and time submitted for the provider claim. Providers who are unable to support documentation of the visit receive written notification from the state and are

Part C State Annual Performance Report (APR) for FFY2010

required to pay back the amount reimbursed to the provider for that session. Fifteen providers were cited with a finding in FFY2009. All fifteen providers received notice that the undocumented amount would be subtracted from future claims. All 15 findings were considered corrected once the provided was cited and the reimbursement was paid back to the state.

Audit #	date assigned	closed date	Auditor	Amount accessed
003036-08	9/2/2010	10/6/2010	Shepherd	\$ 17,641.88
003034-01	9/2/2010	10/6/2010	Shepherd	\$ 7,430.40
003076-07	9/17/2010	1/3/2011	Swinney	\$ 5,359.95
003260-03	11/22/2010	12/28/2010	Swinney	\$ 4,068.32
002972-06	8/4/2010	10/14/2010	Swinney	\$ 4,048.84
003160-07	10/7/2010	3/11/2011	Swinney	\$ 4,016.52
002915-07	7/20/2010	5/12/2011	Swinney	\$ 3,375.84
002699-09	4/14/2010	8/27/2010	Swinney	\$ 2,895.00
003458-04	2/10/2011	5/12/2011	Swinney	\$ 2,799.24
002658-01	3/31/2010	8/17/2010	Roy	\$ 2,632.50
003722-02	4/8/2011	6/14/2011	Swinney	\$ 2,607.84
002562-03	2/11/2010	7/19/2010	Swinney	\$ 2,055.80
003373-01	1/3/2011	3/28/2011	Swinney	\$ 1,900.00
003206-09	10/27/2010	2/28/2011	Roy	\$ 1,147.50
003035-10	9/2/2010	10/20/2010	Shepherd	\$ 774.00

Correction of Remaining FFY 2008 Findings of Noncompliance (if applicable): Not Applicable

If the State reported less than 100% for this indicator in its FFY 2009 APR and did not report in the FFY 2009 APR that the remaining FFY 2008 findings were subsequently corrected, provide the information below:

1. Number of remaining FFY 2008 findings noted in OSEP's June 2011 FFY 2009 APR response table for this indicator	2
2. Number of remaining FFY 2008 findings the State has verified as corrected	2
3. Number of remaining FFY 2008 findings the State has NOT verified as corrected [(1) minus (2)]	0

Indicator 1: Timely Services - Correction of FFY2008 Noncompliance

Cluster SPOE	FFY 2008 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Dates
D	94.5% (257/272)	97.4% (300/308)	10/13/09, 1/15/10, 6/15/10
Cluster SPOE	FFY 2009 Reported Data	State Verified Correction of Non-Compliance Data	State Verification Dates
D	97% (200/207)	100% (77/77)*	Annual On-Site Review 11/4/11

* Correction of non-compliance more than one year of finding.

Part C State Annual Performance Report (APR) for FFY2010

Other Areas of Non-Compliance – Written Prior Notice: Cluster G

Correction of FFY2008 Noncompliance – Written Prior Notice

Cluster SPOE	FFY08 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
G	99.5% (743/747)	99.3% (304/306) 99% (290/293) 98.68% (375/380)	01/15/10 6/15/10 12/13/11*

Cluster SPOE	FFY09 Reported Data	State Verified Correction of Non-Compliance Data	State Data Verification Date
G	99.7% (664/666)	100% (368/368)*	07/20/2011

* Correction of non-compliance more than one year of finding.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009 (including any revisions to general supervision procedures, technical assistance provided and/or any enforcement actions that were taken): All findings for FFY2008 (issued January 2010) were required to be corrected by October 2010, to allow time for state data verification and to ensure that all findings have been corrected as soon as possible, but in no case later than one year. Two findings were not corrected within that time period. Those Clusters, D and G were required to submit progress data quarterly. Once the Cluster achieved 100% compliance, the state verified the quarterly submissions. Verification involves an on-site visit in which a sample of the data sheets used for the quarterly report are reviewed for accuracy with the child’s EI record. In cases where the individual, child non-compliance can be corrected, the date of correction is noted. Cases in which individual child correction is not possible, i.e., written prior notice, the state looks for correction of the systemic issue.

Actions Taken if Noncompliance Not Corrected: Not Applicable

Correction of Any Remaining Findings of Noncompliance identified in FFY 2007 or Earlier (if applicable): Not Applicable

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested

Statement from the Response Table	State’s Response

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2011 (if applicable): While Indiana did not meet the 100% target for this indicator, the state continues to be consistently above 97% for indicator. The state has reviewed its improvement activities and no revisions were made to the SPP.

Part C State Annual Performance Report (APR) for FFY2010

INDICATOR C-9 WORKSHEET

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2009 (7/1/09 through 6/30/10)	(a) # of Findings of noncompliance identified in FFY 2009 (7/1/09 through 6/30/10)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
1. Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	5	5	5
	Dispute Resolution: Complaints, Hearings			
2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings			
3. Percent of infants and toddlers with IFSPs who demonstrate improved outcomes	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings			

Part C State Annual Performance Report (APR) for FFY2010

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2009 (7/1/09 through 6/30/10)	(a) # of Findings of noncompliance identified in FFY 2009 (7/1/09 through 6/30/10)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
4. Percent of families participating in Part C who report that early intervention services have helped the family	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings			
5. Percent of infants and toddlers birth to 1 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings			
6. Percent of infants and toddlers birth to 3 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings			
7. Percent of eligible infants and toddlers with IFSPs for whom an initial evaluation and initial assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	2	2	2
	Dispute Resolution: Complaints, Hearings			

Part C State Annual Performance Report (APR) for FFY2010

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2009 (7/1/09 through 6/30/10)	(a) # of Findings of noncompliance identified in FFY 2009 (7/1/09 through 6/30/10)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
<p>8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:</p> <p>A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;</p>	<p>Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other</p>	0	0	0
<p>A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;</p>	<p>Dispute Resolution: Complaints, Hearings</p>			
<p>8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:</p> <p>B. Notified (consistent with any opt-out policy adopted by the State) the SEA and the LEA where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and</p>	<p>Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other</p>	0	0	0
<p>B. Notified (consistent with any opt-out policy adopted by the State) the SEA and the LEA where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and</p>	<p>Dispute Resolution: Complaints, Hearings</p>			

Part C State Annual Performance Report (APR) for FFY2010

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2009 (7/1/09 through 6/30/10)	(a) # of Findings of noncompliance identified in FFY 2009 (7/1/09 through 6/30/10)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, and prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE: 34CFR §303.343(a) Annual IFSP written prior to expiration	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE: 34CFR§303.342(b) Timely 6 month IFSP review	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	2	2	2
	Dispute Resolution: Complaints, Hearings			

Part C State Annual Performance Report (APR) for FFY2010

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2009 (7/1/09 through 6/30/10)	(a) # of Findings of noncompliance identified in FFY 2009 (7/1/09 through 6/30/10)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than one year from identification
OTHER AREAS OF NONCOMPLIANCE: 639(a)(6) 470 IAC 3.1-13-2(a) Written Prior Notice	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	4	4	3
	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE: IC12-12.7-2-17 Cost participation plan; income documentation	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	7	7	6
	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE: IC12-12.7-2-17 Cost participation plan; insurance documentation	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
	Dispute Resolution: Complaints, Hearings			
OTHER AREAS OF NONCOMPLIANCE: 637 (b)(6) 470 IAC 3.1-3-4(5)(c) Appropriate use of funds for provider services	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	15	15	15
	Dispute Resolution: Complaints, Hearings			
Sum the numbers down Column a and Column b			38	36
Percent of noncompliance corrected within one year of identification = (column (b) sum divided by column (a) sum) times 100.			(b) / (a) X 100 =	94.7%

Part C State Annual Performance Report (APR) for FFY2010

NOTE: AS EXPLAINED IN THE COVER MEMORANDUM, USE THE FOLLOWING TEMPLATE FOR THE FFY 2010 APR SUBMISSION, DUE FEBRUARY 1, 2012.

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 10: Percent of signed written complaints with reports issued that were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = [(1.1(b) + 1.1(c)) divided by 1.1] times 100.

FFY	Measurable and Rigorous Target
2010	100% of signed, written complaints with reports issued were resolved within 60 day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

Actual Target Data for FFY2010): Indiana did not receive any signed, written complaints in FFY2010. As there were no signed, written complaints for FFY2010, this indicator is not applicable.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2010: State Part C personnel from the Bureau of Child Development Services are assigned to complaints and hearing requests. A complaint and hearing log is maintained. Indiana, through the Division of Disability and Rehabilitative Services - Bureau of Child Development Services, also maintains a contract with a special education attorney to assist with complaints and due process hearings. The attorney provides the state staff with assistance in the development and implementation of policies and procedures regarding due process, complaints, mediations and hearings.

Written complaints can be submitted directly to the state First Steps office. Concerns and complaints may also be directed to the Local Planning and Coordinating Council. Concerns may be investigated and resolved locally by the Local Planning and Coordinating Council, while complaints must be forwarded to the designated state staff within 2 days. The state staff will then investigate the complaint and issue a finding to all involved parties within 60 days of the initial complaint date. LPCCs maintain concern and complaint logs which are submitted electronically to the designated state staff to insure that all complaints have been received and that concerns handled at the local level are not actually a complaint.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2011: This is a compliance indicator and the target is set at 100%.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2010

TABLE 4

REPORT OF DISPUTE RESOLUTION UNDER PART C, OF THE
INDIVIDUALS WITH DISABILITIES EDUCATION ACT
2010-11

STATE: INDIANA

SECTION A: Written, Signed Complaints	
(1) Total number of written, signed complaints filed	0
(1.1) Complaints with reports issued	0
(a) Reports with findings of noncompliance	0
(b) Reports within timeline	0
(c) Reports within extended timeline	0
(1.2) Complaints pending	0
(a) Complaints pending a due process hearing	0
(1.3) Complaints withdrawn or dismissed	0
SECTION B: Mediation Requests	
(2) Total number of mediation requests received	0
(2.1) Mediations held	0
(a) Mediations held related to due process complaints	0
(i) Mediation agreements related to due process complaints	0
(b) Mediations held not related to due process complaints	0
(i) Mediation agreements not related to due process complaints	0
(2.2) Mediations pending	0
(2.3) Mediations not held	0
SECTION C: Due Process Complaints	
(3) Total number of due process complaints filed (for all States)	0
(3.1) Resolution meetings (applicable ONLY for States using Part B due process hearing procedures)	-9
(a) Written settlement agreements reached through resolution meetings	-9
(3.2) Hearings fully adjudicated (for all States) -	0
(a) Complete EITHER item (1) OR item (2), below, as applicable.	-9
(1) Decisions within timeline - Part C Procedures	0
(2) Decisions within timeline - Part B Procedures	-9
(b) Decisions within extended timeline (applicable ONLY if using Part B due process hearing procedures)	-9
(3.3) Hearing pending (for all States)	0
(3.4) Due process complaints withdrawn or dismissed (including resolved without a hearing) (for all States)	0

Part C State Annual Performance Report (APR) for FFY2010

NOTE: AS EXPLAINED IN THE COVER MEMORANDUM, USE THE FOLLOWING TEMPLATE FOR THE FFY 2010 APR SUBMISSION, DUE FEBRUARY 1, 2012.

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 11: Percent of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = [(3.2(a) + 3.2(b)) divided by 3.2] times 100.

FFY	Measurable and Rigorous Target
2010	100% of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.

Actual Target Data for FFY2010: Indiana did not receive any due process hearing requests in FFY2010.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2009: Indiana Part C assigns a state staff member from the Bureau of Child Development Services to monitor and resolve complaint and hearing requests. A complaint and hearing log is maintained. Indiana, through the Division of Disability and Rehabilitative Services - Bureau of Child Development Services, also maintains a contract with a special education attorney to assist with due process hearings. The attorney provides the Bureau staff with assistance in the development and implementation of policies and procedures regarding due process, complaints, mediations and hearings.

Revisions to the booklet, "A Family's Guide to Procedural Safeguards" were completed in FFY2008. A new online core training module on Procedural Safeguards was also completed in FFY2008. Indiana also offers annual training on IDEA Part B and C rules, regarding procedural safeguards and transition.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2011: This is a compliance indicator and the target is set at 100%

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 12: Percent of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements (applicable if Part B due process procedures are adopted).

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = (3.1(a) divided by 3.1) times 100.

FFY	Measurable and Rigorous Target
2010	Not Applicable - Indiana has not adopted Part B due process hearing procedures.

Actual Target Data for FFY2010: This indicator is not applicable, as Indiana has not adopted Part B due process hearing procedures.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2010: Not applicable, as Indiana has not adopted Part B due process hearing procedures.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2011: Indiana has not set targets for this indicator, as the state has not adopted the Part B due process hearing procedures under 34 CFR § 303.420.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 13: Percent of mediations held that resulted in mediation agreements.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: Percent = [(2.1(a)(i) + 2.1(b)(i)) divided by 2.1] times 100.

FFY	Measurable and Rigorous Target
2010	NOT APPLICABLE – Indiana has not set targets for this indicator, as it has not met the minimum threshold of 10 mediation requests.

Actual Target Data for FFY2009: There were no mediation requests in FFY2010.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2010: Indiana, through the Division of Disability and Rehabilitative Services - Bureau of Child Development Services, maintains a contract with a special education attorney to assist with mediations. The attorney provides the Bureau staff with assistance in the development and implementation of policies and procedures regarding due process, complaints, mediations and hearings. Once final IDEIA, Part C regulations are available, the attorney will address any needed revisions to the current policies and procedures.

The Service Coordinator and Direct Service Provider orientation trainings were revised and each provides expanded sections on procedural safeguards. Revisions to the booklet, "A Family's Guide to Procedural Safeguards" was completed in FFY2008. A new core training module on Procedural Safeguards was also completed in FFY2008.

Revisions, with Justification, to Proposed Targets/Improvement Activities/Timelines/Resources for FFY2011: Indiana has never received the minimum of 10 mediation requests; therefore, no targets have been set for this indicator.

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

Part C State Annual Performance Report (APR) for FFY2010

Monitoring Priority: Effective General Supervision Part C / General Supervision

Indicator 14: State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

(20 U.S.C. 1416(a)(3)(B) and 1442)

Measurement: State reported data, including 618 data, State performance plan, and annual performance reports, are:

- a. Submitted on or before due dates (February 1 for child count and settings and November 1 for exiting and dispute resolution); and
- b. Accurate, including covering the correct year and following the correct measurement.

States are required to use the “Indicator 14 Data Rubric” for reporting data for this indicator (see Attachment B).

FFY	Measurable and Rigorous Target
2010	100% of state reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

Actual Target Data for FFY2010: 100% of the required state reported data, including 618 data; SPP and APR were submitted by the dates due and have been verified by state staff as accurate. (Self Calculating Data Rubric for Table 14 is attached.)

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY2010: Indiana has submitted accurate and timely data to OSEP. The state is confident in the accuracy of its comprehensive data system. Data from the IFSP are entered directly by the Cluster SPOE and claims information is provided by the Central Reimbursement Office (CRO). Data from both these sources is provided to the Data Warehouse for additional analysis.

Missing data elements on IFSPs are returned to Service Coordinators for completion. Indiana’s data system contains numerous self audits to prevent the input of invalid data (for example, a referral date cannot be entered prior to the birth date or IFSP date cannot be prior to the eligibility date). Other validations include multiple sources for most data elements. Additionally all data supplied by the SPOEs are validated annually during on-site focused monitoring verification visits to each of the ten Cluster SPOEs. The dynamic nature of the system requires constant validation of data and on-going training. Training is conducted regarding requirements and procedures for collecting and reporting data for individuals who perform data entry functions at the Cluster SPOEs.

The SPP and APR are posted on the state training website (<http://www.utsprokids.org/firststepsinfo.asp>), in addition to the public report on the performance of programs in comparison to State SPP targets for indicators 1, 2, 3, 4, 5, 6, 7, and 8A, 8B 8C and 9.

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY2011: This is a compliance indicator and the target is set at 100%.

Part C State Annual Performance Report (APR) for FFY2010

Additional Information Required by the OSEP APR Response Table for this Indicator (if applicable): None requested.

2010 SPP/APR Data - Indicator 14			
APR Indicator	Valid and Reliable	Correct Calculation	Total
1	1	1	2
2	1	1	2
3	1	1	2
4	1	1	2
5	1	1	2
6	1	1	2
7	1	1	2
8a	1	1	2
8b	1	1	2
8c	1	1	2
9	1	1	2
10	1	1	2
11	1	1	2
12	NA	NA	0
13	1	1	2
		Subtotal	28
APR Score Calculation	Timely Submission Points - If the FFY 2010 APR was submitted on-time, place the number 5 in the cell on the right.		5
	Grand Total - (Sum of subtotal and Timely Submission Points) =		33

Part C State Annual Performance Report (APR) for FFY2010

Table	Timely	Complete Data	Passed Edit Check
Table 1 - Child Count Due Date: 2/2/11	1	1	1
Table 2 - Program Settings Due Date: 2/2/11	1	1	1
Table 3 - Exiting Due Date: 11/2/11	1	1	1
Table 4 - Dispute Resolution Due Date: 11/2/11	1	1	1
618 Score Calculation			Grand Total (Subtotal X 2.5) = 30

A. APR Grand Total	33
B. 618 Grand Total	30
C. APR Grand Total (A) + 618 Grand Total (B) =	63
Total NA in APR	2
Total NA in 618	0
Base	63
D. Subtotal (C divided by Base*) =	63/63 = 1
E. Indicator Score (Subtotal D x 100) =	100%