

Utah Baby Watch Early Intervention Program



Individuals with Disabilities Education Act 2004

Part C

FFY 2010-2011

Annual Performance Report



**ANNUAL REPORT CERTIFICATION OF THE
INTERAGENCY COORDINATING COUNCIL
UNDER PART C OF THE
INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)**

Under IDEA Section 641(e)(1)(D) and 34 CFR §303.654, the Interagency Coordinating Council (ICC) of each jurisdiction that receives funds under Part C of the IDEA must prepare and submit to the Secretary of the U.S. Department of Education (Department) and to the Governor of its jurisdiction an annual report on the status of the early intervention programs for infants and toddlers with disabilities and their families operated within the State. The ICC may either: (1) prepare and submit its own annual report to the Department and the Governor, or (2) provide this certification with the State lead agency's Annual Performance Report (APR)¹ under Part C of the IDEA. This certification (including the annual report or APR) is due no later than February 1, 2012.

On behalf of the ICC of the State/jurisdiction of _____, I hereby certify that the ICC is: [please check one]

1. Submitting its own annual report (which is attached); or
2. Using the State's Part C APR for FFY 2010 in lieu of submitting the ICC's own annual report. By completing this certification, the ICC confirms that it has reviewed the State's Part C APR for accuracy and completeness.²

I hereby further confirm that a copy of this Annual Report Certification and the annual report or APR has been provided to our Governor.

Joyce Dolcount *Ginger West*
Signature of ICC Chairperson

1/25/12
Date

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¹ Under IDEA Sections 616(b)(2)(C)(ii)(II) and 642 and under 34 CFR §80.40, the lead agency's APR must report on the State's performance under its State performance plan and contain information about the activities and accomplishments of the grant period for a particular Federal fiscal year (FFY).

² If the ICC is using the State's Part C APR and it disagrees with data or other information presented in the State's Part C APR, the ICC must attach to this certification an explanation of the ICC's disagreement and submit the certification and explanation no later than February 1, 2012.

Utah Part C Annual Performance Report FFY 2010-2011 Overview

Utah's Part C State FFY 2010-2011 Annual Performance Plan (APR) was developed in accordance with the Office of Special Education (OSEP) requirements. The initial development of the APR began with the review of Utah's State Performance Plan (SPP), and the consideration of each component using materials provided by OSEP. Staff members of Utah's Part C System, the Baby Watch Early Intervention Program (BWEIP), reviewed all indicators and determined an action plan and timeline to complete the FFY 2010-2011 APR.

BWEIP had discussions regarding the three compliance indicators that deal with timeliness including, Indicators 1 (Timely IFSP Services), 7 (Timely IFSP), and 8c (Timely Transition Conferences). See details under each indicator in the APR.

BWEIP staff participated in OSEP technical assistance (TA) calls and utilized guidance documents and tools such as the indicator check list and The Right IDEA website. BWEIP staff members attended the OSEP Mega Conference, and participated in Mountain Plains Regional Resource Center conference calls and the August 2011, regional meeting regarding the development of the FFY 2010 APR. Utah's Part C program received an OSEP Verification Visit October 12-14, 2010. During these meetings, revisions, and clarifications to SPP/APR measurement requirements and instructional materials were received.

Stakeholder involvement was solicited for reporting of all indicators. A report and discussion of the APR was presented to the Interagency Coordinating Council (ICC) and BWEIP Provider Consortium in early December 2011. The ICC and BWEIP providers were invited to provide input on improvement strategies for Indicators 1-8. At this meeting, the ICC elected to continue the work of the subcommittees formed in January 2011. The subcommittees are focusing on SPP/APR Indicators 1, 2, 4, 5 and 7. BWEIP staff continues to work with these subcommittees to provide additional data for their review and analysis, as well as suggestions for development of measurable, rigorous targets and improvement activities. A final draft of the APR was distributed to the ICC and BWEIP providers on January 12, 2012. Comments were taken into consideration for the final SPP/APR documents. The SPP was updated to include revised targets and new planned improvement activities for FFY 2011-2013 and was submitted with the FFY 09-10 APR.

The 2005-2012 SPP and the FFY 2010 - 2011 APR have been posted to the BWEIP website at www.utahbabywatch.org. The BWEIP will work with the Department of Health's Public Information Officer to distribute the FFY 2010-2011 APR to the media as appropriate. Local program profiles of Indicators 1-8 were distributed to providers and posted to the BWEIP website in November, 2011. Local BWEIP, also received their program determinations and notifications of noncompliance in November, 2011.

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

Overview of the Annual Performance Report Development:

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 (2010-2011)	In 100% of files reviewed, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.

Actual Target Data for FFY 2010:

99.5%

The data was collected for this indicator for all Baby Watch Early Intervention programs through the statewide database, the Baby and Toddler Online Tracking System (BTOTS), and includes all children with IFSPs who received early intervention (EI) services on their IFSPs during the time period July 1, 2010 through June 30, 2011.

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 (for the time period July 1, 2010 through June 30, 2011)	4,677
b. Total number of infants and toddlers with IFSPs (for the time period July 1, 2010 through June 30, 2011)	4,700
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) (for the time period July 1, 2010 through June 30, 2011)	99.5%

(OMB NO: 1820-0578 / Expiration Date: 08/31/2014)
 (OMB NO: 1820-0578 Expiration Date: 8/31/2014)

Explanation of Progress in FFY 2010-2011:

APR Template – Part C (4)

Utah

The percentage of files in compliance increased from 97.2% in FFY 2009 to 99.5% in FFY 2010, an increase of 2.3%. The FFY 2009 and FFY 2010 APR data was based on data from BTOTS for all 15 programs for an entire year. Prior to FFY 2009, compliance for this indicator was based on monitoring reviews at 5 programs annually. The use of the data for the entire state through BTOTS strengthened the awareness and ability of all providers to self monitor on an ongoing basis. This is directly related to the progress demonstrated.

Provider Delay	LATE NEW SERVICE STATUS FFY 2010							
	*Child no longer in Part C	1-5 Days Late	6-15 Days Late	16-25 Days Late	26-35 Days Late	36-45 Days Late	45 + Days Late	Total
Program 1	3	0	2	0	1	1	1	8
Program 2	0	1	2	0	0	0	1	4
Program 3	1	1	0	1	0	0	0	3
Program 4	1	3	0	0	0	0	0	4
Program 5	0	0	3	0	0	0	1	4
Totals	5	5	7	1	1	1	3	23

Improvement Activities Completed in FFY 2010:

In FFY 2009 the Baby Watch Early Intervention Program (BWEIP) reviewed the state's timely services definitions and consolidated them into one standard for all service frequencies. All new services must begin no later than within 45 days of the service start date on the IFSP. During FFY 2010 the timely services standard was reinforced through corrective actions, technical assistance and self monitoring.

BWEIP continued clarification of the new timeliness standard to EI providers.

BWEIP encouraged EI providers to run and review BTOTS monitoring reports systematically for the timeliness indicators and bring to their staff's attention alerts from the reports. These activities were incorporated into all EI providers' required data accuracy plans.

In late FFY 2009 family and provider circumstances delay categories were clarified to capture in more detail the reasons for late events. Corresponding changes were made to the BTOTS dropdown menus to incorporate the delay reason categories.

During FFY 2010 providers were encouraged to analyze data by drilling down to the child level for reasons for delays and make necessary process adjustments to prevent future delayed service provision.

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

Based on guidance from OSEP during the October 2010 verification visit and the identification of noncompliance resulting from the State's failure to issue findings based on the BTOTS database, BWEIP went back and reviewed its BTOTS database, identified noncompliance and issued findings on November 15, 2010, based on FFY 2009 data. On November 15, 2010, BWEIP notified the EI programs of 183 findings of noncompliance for timely services for the FFY 2009 time period. All 183 findings of noncompliance and their full correction will be further detailed in the FFY 2011 APR, Indicators 1 and 9, due February 1, 2013.

Level of compliance (actual target data) State reported for FFY 2009-2010 for this indicator: 97.2%

1. <u>Number of findings of noncompliance the State made during FFY 2009-2010 (the period from July 1, 2009, through June 30, 2010)</u>	183
2. <u>Number of FFY 2009-2010 findings the State verified as timely corrected (verified as corrected within one year from the date of notification to the EIS program of</u>	183

the finding)	
3. Number of FFY 2009-2010 findings not verified as corrected within one year [(1) minus (2)]	0

Correction of FFY 2009-2010 Findings of Noncompliance Not Timely Corrected (corrected more than one year from identification of the noncompliance) and/or Not Corrected:

4. Number of FFY 2009-2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2009-2010 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	0
6. Number of FFY 2009-2010 findings not verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: N/A

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

EI program compliance with timely service initiation requirements is a component of the annual database monitoring for each EI program for the full 12-month reporting period. These monitoring reviews included a review by local programs of timely service initiation requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site and off-site reviews of data, procedures, and individual child files. When noncompliance was identified, each program was required to respond in writing to a Corrective Action (CA) to address and correct all incidences of noncompliance.

Fourteen of 15 EI programs received notifications of noncompliance. There were 183 (2.8% of total new service visits) findings of noncompliance in fourteen programs for this indicator identified through the BTOTS data base monitoring for all programs for the full year in FFY 2009. All corrective action required from FFY 2009 data base monitoring for this indicator has been completed by the EI programs and verified by BWEIP staff within one year of notification of the noncompliance.

BWEIP has implemented a two-pronged verification process to ensure that each EI program with a previous finding of noncompliance is (1) meeting regulatory requirements and (2) ensuring that in each instance of noncompliance, the EI program has initiated services, although late, for any child whose services were not initiated in a timely manner, unless the child is no longer within the jurisdiction of the BWEIP.

1. Related to the 14 programs with findings under Indicator 1, BWEIP verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) in ~~34 CFR §§303.340(c), 303.342(e), and 303.344(f)(1)~~ based on subsequently collected data.

When noncompliance was found, programs were required to submit to BWEIP the results of regular self-monitoring based on subsequently collected data. Programs also submitted narrative reports accounting for each specific instance of noncompliance and provided steps to ensure that the reasons for noncompliance are being addressed in order to prevent future recurrences. Programs demonstrated correction of noncompliance by performance at 100% for all children for at least one month.

By conducting ongoing monitoring, BWEIP further verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements.

2. For the 183 children/families impacted by noncompliance found in FFY 2009, BWEIP verified that the agency had initiated services, although late, for each child whose services were not initiated in a timely manner, unless the child was no longer within the jurisdiction of BWEIP, consistent with **OSEP Memorandum 09-02, dated October 17, 2008.**

LATE NEW SERVICE STATUS FFY 2009								
Provider Delay	*Child no longer in Part C	1-5 Days Late	6-15 Days Late	16-25 Days Late	26-35 Days Late	36-45 Days Late	45+ Days Late	Total
Program 1	0	0	3	1	2	0	0	6
Program 2	4	4	4	1	0	0	0	13
Program 3	0	1	0	1	0	2	0	4
Program 4	2	4	7	1	2	0	4	20
Program 5	1	0	0	0	0	2	0	3
Program 6	5	3	1	1	3	0	8	21
Program 7	0	0	1	0	1	0	0	2
Program 8	0	1	2	0	0	0	3	6
Program 11	2	2	5	1	0	0	2	12
Program 12	26	3	6	1	1	2	35	74
Program 13	1	3	3	1	0	0	1	9
Program 14	3	2	1	2	0	0	3	13
Total	44	23	33	11	9	6	56	183

*Child no longer under the jurisdiction of Part C

As EI programs conducted data monitoring, they were required to document the actual number of days after the IFSP service start date that the service was provided (if the service was not provided within 45 days). This was done to assure that services although late were provided for the child/family and as a way to encourage EI programs to analyze their data regularly. BWEIP has verified that each EI program with noncompliance under this indicator has met the requirements for each child although late. The results of EI program data monitoring are validated by BWEIP through ongoing BTOTS and onsite monitoring.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009:

BWEIP notified each EI program in writing of their findings of noncompliance as well as supplied Corrective Action Levels Templates as detailed below.

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Noncompliance Corrective Action Process Overview

As per OSEP instruction referenced on the enclosed FFY 2009 Corrective Action Overview, Baby Watch is required to make findings and inform programs of all noncompliance, as well as implement a corrective action and fully correct and verify correction of all noncompliance as soon as possible, but no later than June 30, 2011.

The purpose of the corrective action is to assist the program and BWEIP to understand and correct the underlying causes of the noncompliance so that the program can achieve the **100% Compliance** status. We are using this template to assist with that process. The template includes a corrective action level for each compliance indicator that is less than 100% for FFY 2009 and contains cells for you to supply current indicator data, analysis of the root cause/s for noncompliance, written implementation plan, reviews, reporting, and timelines.

To verify correction of noncompliance, Baby Watch must review data that demonstrate that your program has corrected each individual instance of noncompliance, unless the infant or toddler is no longer within the jurisdiction of your program. For timeline-specific indicators (Indicators 1, 7, 8a, 8b, and 8c), data must demonstrate that the required action (e.g., evaluation and initial IFSP) occurred, although late. In addition, Baby Watch must review subsequent data (following the identification of noncompliance) that demonstrate 100% compliance with the requirements. The requirements for the full correction each level of noncompliance is detailed in the following chart.

Corrective Action Requirements for Noncompliance Identified in FFY 2009

<u>Compliance Level</u>	<u>Corrective Action Required?</u>	<u>EI Program Corrective Action Requirements</u>	<u>EI Program Corrective Action Reporting to BWEIP</u>
<u>100% Compliance</u>	<u>No</u>	<u>None</u>	<u>N/A</u>
<u>Meets Requirements 95% to 99.9% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> • <u>Determine status and cause of each late event, unless the child is no longer in Part C.</u> • <u>Periodic self-review of monitoring report(s) in the indicator(s) of concern.</u> 	<ul style="list-style-type: none"> • <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> • <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u>
<u>-Needs Assistance 80% to 94.9% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> • <u>Analysis of cause(s) of noncompliance.</u> • <u>Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP.</u> • <u>TA conference call(s) as needed.</u> • <u>Onsite BWEIP TA as needed.</u> 	<ul style="list-style-type: none"> • <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> • <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u> • <u>Quarterly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern.</u> • <u>Final written report to BWEIP detailing progress by 6/1/11.</u>
<u>Needs Intervention 70% to 79.9% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> • <u>Analysis of cause(s) of noncompliance</u> • <u>Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP.</u> • <u>Bi-monthly TA call with BWEIP.</u> • <u>Onsite monitoring visit.</u> • <u>Onsite BWEIP TA.</u> 	<ul style="list-style-type: none"> • <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> • <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u> • <u>Bi-monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern.</u> • <u>Monthly written reporting and TA call with BWEIP.</u> • <u>Final written report to BWEIP detailing progress by 6/1/11.</u>
<u>Needs Substantial Intervention < 70% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> • <u>Analysis of cause(s) of noncompliance</u> • <u>Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP.</u> • <u>Monthly TA call with BWEIP.</u> • <u>Onsite monitoring visit(s).</u> • <u>Onsite BWEIP TA.</u> 	<ul style="list-style-type: none"> • <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> • <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u> • <u>Monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern.</u> • <u>Monthly written reporting and TA call with BWEIP.</u> • <u>Final written report to BWEIP detailing progress by 6/1/11.</u>

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Correction of Remaining FFY 2009 Findings of Noncompliance (if applicable): N/A

Correction of Any Remaining Findings of Noncompliance from FFY 2008 or Earlier (if applicable): N/A

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2005-2012 (see SPP revision):

Activity	Timeline	Resources
BWEIP will present an in-depth report on the status of Utah’s percentage of timely services on the IFSP to a joint Interagency Coordinating Council and Early Intervention Provider meeting.	Annually	Monitoring BTOTS reports APR Indicator data
BWEIP will solicit stakeholder input for improvement activities to improve timely services on the IFSP	Annually	Monitoring BTOTS reports APR Indicator data
BWEIP will work with information technology staff to continue to collect timeliness of services on the IFSP for all children through the new web version of the database.	April 2012	BWEIP, MDSC IT staff

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

Monitoring Priority: Early Intervention Services In Natural Environments

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

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 (2010-20011)	78.0% of infants and toddlers with IFSPs will primarily receive early intervention services in the home or community-based settings.

Actual Target Data for FFY 2010-2011:

89.2% of infants and toddlers with IFSPs primarily received early intervention (EI) services in the home or community-based settings.

Source: Table 2: Report of Program Settings Where Early Intervention Services are Provided to Infants and Toddlers with Disabilities and Their Families in Accordance With Part C, December 1, 2010. [Original submission on January 25, 2011; revised Table 2 submitted to OSEP and the Data Accountability Center (DAC) on May 11, 2011.]

- Number of infants and toddlers with IFSPs receiving services primarily in the home: 2,949
- Number of infants and toddlers with IFSPs receiving services primarily in community-based settings: 62
- Total number of infants and toddlers with IFSPs: 3,375
- Percentage of infants and toddlers with IFSPs primarily receiving EI services in the home or community-based settings: $[(2,949 + 62) / 3,375] \times 100 = [3,011 / 3,375] = 89.21\% = 89.2\%$

Explanation of Progress for FFY 2010-2011:

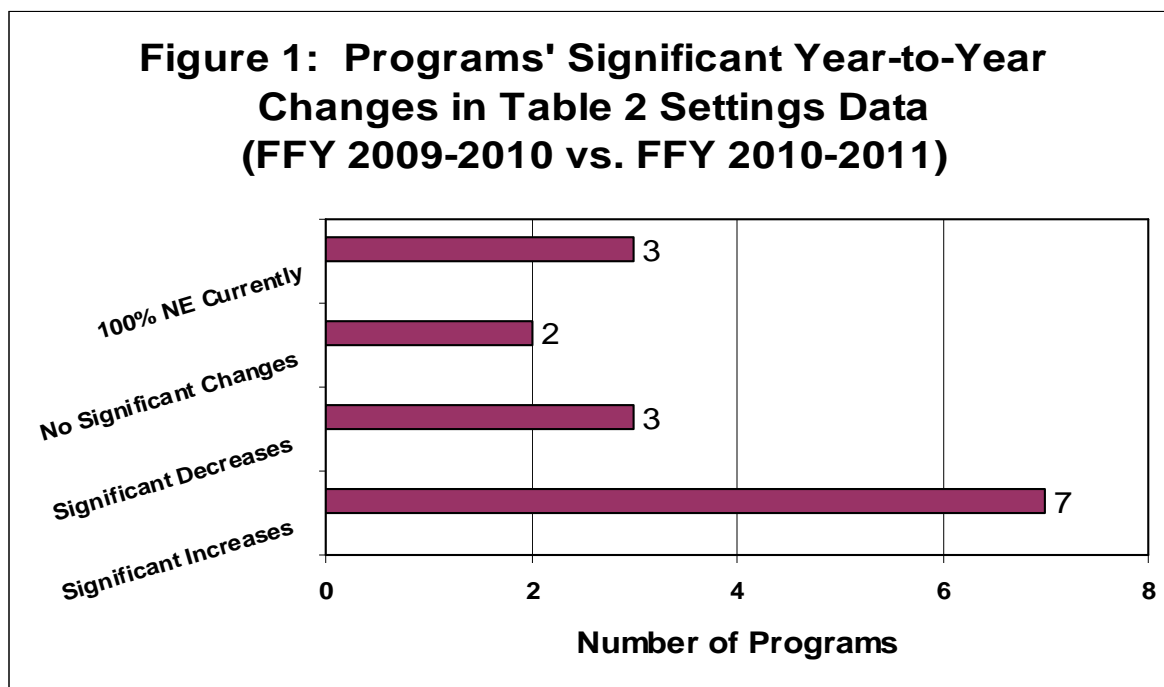
Progress was observed from the FFY 2009-2010 actual target data of 84.3% (and SPP target of 77.5%) and FFY 2010-2011 SPP target of 78.0%, with actual target data of 89.2% of infants and toddlers with IFSPs who primarily received EI services in home or community-based settings. As shown in Table 1, the Indicator 2 target for FFY 2010-2011 was met for the second time in five federal fiscal years.

Table 1. Indicator 2 Targets and Actual Target Data for Previous Five Fiscal Years

FFY (From December 1 Count)	Indicator 2 Target	Indicator 2 Actual Target Data
FFY 2006-2007 (From December 1, 2006)	76.0%	72.0%
FFY 2007-2008 (From December 1, 2007)	76.5%	71.0%
FFY 2008-2009 (From December 1, 2008)	77.0%	71.0%
FFY 2009-2010 (From December 1, 2009)	77.5%	84.3%
FFY 2009-2010 (From December 1, 2010)	78.0%	89.2%

For three of the last five reporting years, the percentage of infants and toddlers with IFSPs receiving early intervention services primarily in home or community-based settings was static at approximately 71.0%. The Baby Watch Early Intervention Program (BWEIP) Indicator 2 targets for reporting years FFY 2005-2010 were based on previous years' data, which was "hand-collected" prior to the introduction of the Baby and Toddler Online Tracking System (BTOTS) database in 2005.

Following the trend from FFY 2009-2010, in FFY 2010-2011, the percentage of infants and toddlers with IFSPs receiving early intervention services primarily in home or community-based settings increased to 89.2% and exceeded the Indicator 2 state target of 78.0%. To understand the reasons for this increase, BWEIP implemented the same methodology and criteria with local programs that the Data Accountability Center uses with states to identify significant year-to-year changes in their 618 data. The BWEIP Data Manager compared programs' FFY 2009-2010 and FFY 2010-2011 Indicator 2 data and flagged all significant changes (defined as either a frequency change of 10 or more children or percentage change of 10% or more) from the prior to the current reporting year. The results of this comparison are shown in Figure 1 below.



As shown in Figure 1, 100% of infants and toddlers received services in the natural environment (NE) in three of 15 programs both federal fiscal years. Two programs' percentages, although not at 100%, were above Indicator 2 state targets and showed no significant changes from one year to the next.

Of the remaining ten programs, three programs showed significant year-to-year decreases in their settings percentages (two were below the FFY 2010-2011 Indicator 2 state target) and seven had significant year-to-year increases in their Indicator 2 data from FFY 2009-2010 to FFY 2010-2011, although one of these seven programs was still below the FFY 2010-2011 Indicator 2 state target. These ten programs were required to submit to BWEIP an analysis and explanation of changes in their program's actual target data from FFY 2009-2010 to FFY 2010-2011.

- The three programs with significant year-to-year decreases in their FFY 2010-2011 Indicator 2 percentages corrected how they had been capturing and reporting the frequency, duration, and/or setting of center-based services on IFSPs and in BTOTS in FFY 2009-2010. In July 2011, BWEIP staff verified that these programs were now recording the details of IFSP services accurately.
- The seven programs with significant year-to-year increases in their Indicator 2 percentages provided different explanations of their progress:
 - One program increased the number and duration of home-based services, relative to center-based services, on children's IFSPs.
 - For one program, significant year-to-year changes appear to have been related to incorrect recording of the duration of center-based services on IFSPs and in BTOTS. This program was asked to amend IFSPs and correct BTOTS in April 2011.
 - The remaining five programs offered multiple reasons for significant year-to-year increases in their NE settings data:
 - Overall program growth (n=2);
 - Restructuring center-based services to delineate more accurately between Special Instruction and Family Training (n=2);
 - Many center-based services ending before the December 1 count (n=1);
 - Closer examination of the use of center-based services for individual children, resulting in a reduction of the number of center-based services offered (n=3); and
 - Increased use of existing groups in the community (n=2).

The BWEIP reviewed the information and prepared a summary of significant year-to-year changes that was presented to providers at their December 2010 meeting. As part of the summary, operational definitions of settings used with "group" intensity services and instructions about how to reflect accurately the frequency, intensity, duration, and setting of all services, both on a child's IFSP and in BTOTS, were reviewed. The program with incorrect information was asked to amend IFSPs and BTOTS; follow up with the program in April 2011 indicated that changes had been implemented, as BWEIP had requested.

Improvement Activities Completed for FFY 2010-2011:

October 2010: Dr. Robin McWilliam from the Siskin Children's Institute was the keynote speaker at the Utah Early Childhood Conference, which is held every other year and is jointly sponsored by the BWEIP and Part B program. Dr. McWilliam also conducted a breakout session on providing services in the natural environment at the conference.

December 2010: The BWEIP presented an in-depth report on the status of Utah's settings data to a joint Interagency Coordinating Council and early intervention provider meeting in December 2010. BWEIP staff prepared a multi-page document to explain the definitions of the three settings categories, how the primary setting is calculated from IFSPs in BTOTS, and the relationship between 618 settings data and APR Indicator 2, and presented national settings data from the NECTAC summary.

APR Template – Part C (4)

UT
State

January 2011: An ICC sub-committee to address serving children in their natural environment was formed. Both ICC parent members and some BWEIP staff have joined non parent ICC members on the sub-committee.

March 2011: The BWEIP offered a two-day training on Routines-Based Interviewing (RBI) with Dr. Robin McWilliams from the Siskin Children’s Institute. Approximately 215 EI program and Utah Schools for the Deaf the Blind (USDB) staff, as well as all BWEIP staff, attended the training. Two EI staff currently have RBI certification, with two others working toward certification to train in RBI.

May 2011: The BWEIP offered two sessions of Dr. Pip Campbell’s two-day training on routine-based services to approximately 122 EI program and USDB staff statewide. BWEIP staff also attended the training.

BWEIP Resolution of Previously Identified Noncompliance for FFY 2010-2011:

There were no findings of noncompliance in FFY 2010-2011.

Revisions to Improvement Activities for FFY 2011-2012:

Activity	Timeline	Resources
BWEIP will present an in-depth report on the status of Utah’s percentage of children served in the natural environment to a joint Interagency Coordinating Council and Early Intervention Provider meeting.	Annually	618 data
BWEIP will solicit stakeholder input for improvement activities to services in the natural environment.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will explore training opportunities for interventions that are embedded in everyday activities and routines within the natural environment.	2010-2012	BWEIP CSPD coordinator
BWEIP will continue to revise CSPD training modules for staff working on the credentialing process to emphasize appropriate use of natural environments.	2010-2012	BWEIP CSPD coordinator, EI providers and staff
BWEIP will continue to work with the Early Childhood Special Education Conference planning committee to include sessions on providing services in the natural environment at the October 2012 conference.	2010	BWEIP CSPD coordinator, EI providers and staff
BWEIP will conduct trainings to providers on Routines Based Interviews (RBI) and	2010-2012	BWEIP CSPD coordinator, EI providers and staff

APR Template – Part C (4)

UT
State

functional goal writing, and provide follow-up consultation for staff implementing these skills.		
BWEIP staff will work with individual provider agencies in reviewing their process and policies regarding serving children in natural environments.	2010-2011	APR, monitoring, BTOTS reports, and program practice
BWEIP staff will assist individual provider agencies in planning and implementing improvement activities regarding serving children in natural environments.	2010- ongoing	Site visits, training, documentation
BWEIP staff will work with an Interagency Coordinating Council (ICC) subcommittee on serving children in natural environments.	2011-ongoing	BWEIP staff, ICC subcommittee
BWEIP staff will work with an ICC subcommittee on serving children in natural environments to develop policy.	2011-ongoing	BWEIP staff, ICC subcommittee.
BWEIP staff will monitor the settings data of individual provider agencies and the state as a whole regarding serving children in natural environments.	2011-ongoing	APR, monitoring, BTOTS reports, and program practice

Part C State Annual Performance Report (APR) for 2009

Overview of the State Performance Plan/Annual Performance Report Development:

Refer to Overview preceding this document.

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 2008-2009 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.

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 2010-2011:

Targets and Actual Data for Part C Children Exiting in FFY 2010-2011

Summary Statements	Actual FFY 2009 n=2,058 (%)	Actual FFY 2010 n=2,058 (%)	Target FFY 2010 (%)
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	80.62%	71.37%	80.6%
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	65.21%	61.25%	65.2%
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 A, the percent who substantially increased their rate of growth by the time they exited the program. Formula: c+d/ a+b+c+d	84.69%	78.29%	84.6%
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	58.02%	54.26%	58.0%
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	84.09%	75.50%	84.0%
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	67.54%	62.75%	67.5%

Progress Data for Part C Children Exiting in FFY 2010 – 2011:

A. Positive social-emotional skills (including social relationships):	Number of children	% of children
a. Percent of children who did not improve functioning	19	0.79
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	464	19.40
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	444	18.56
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	760	31.77
e. Percent of children who maintained functioning at a level comparable to same-aged peers	705	29.47
Total	2,392	100.00
B. 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	13	0.54
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	445	18.60
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	636	26.59
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	1016	42.47
e. Percent of children who maintained functioning at a level comparable to same-aged peers	282	11.79
Total	2,392	100.00
C. Use of appropriate behaviors to meet their needs:	Number of children	% of children
a. Percent of children who did not improve functioning	12	0.50
b. Percent of children who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	428	17.89
c. Percent of children who improved functioning to a level nearer to same-aged peers but did not reach	451	18.85
d. Percent of children who improved functioning to reach a level comparable to same-aged peers	905	37.83
e. Percent of children who maintained functioning at a level comparable to same-aged peers	596	24.92
Total	2,392	100.00

Discussion of Summary Statements for FFY 2010-2011:

Comparison of last year's to this year's actual Summary Statement data.

A comparison of last to this year's summary statement data shows a decline in all percentages. Overall, the decline in summary statement data was larger for Summary Statement 1 than Summary Statement 2. For Summary Statement 1, the largest differences are for Outcomes A and B at -9.25% and -8.59%, respectively, and for Outcome B at 6.4%. Other differences are -3.6%, -3.8%, and -4.8% for Summary

Statement 2 Outcomes A, B, and C, respectively. However, although Utah's summary statements percentages have dropped, they are within the national percentage averages for FFY 2009-2010 provided by the Early Childhood Outcome Center (ECO) (between 71% and 76% for Summary Statement 1 and 54% and 62% for Summary Statement 2 in all outcomes).

A review and comparison of summary statements for Utah's 15 early intervention programs showed that the percentages for Summary Statement 2 Outcome B were lower (range 32% to 69%) than for Outcomes A (range 31% to 74%) and C (range 38% to 79%). Differing from Summary Statement 2, Summary Statement 1 Outcome A (range 47% to 87%) rather than Outcome B (59% to 100%) had the lowest range of percentages.

Compare this year's summary statement data to the summary statement targets and discuss whether or not targets were met.

The targets set for FFY 2010-2011 were not reached and slippage occurred in both Summary Statements 1 and 2 in all outcomes. Summary Statement 1 showed the largest slippage in percentages for Outcomes A and B. The slippage for Summary Statement 2 in all outcomes was much less than for Summary Statement 1.

From FFY 2009-2010 to FFY 2010-2011, the total number of children with child outcome scores rose from 2,058 to 2,392, an increase of 16.3% (n=334). This increase is a significant change in the population of children included in the child outcome data. With this year's data, a complete three years' worth of data for all the children entering and exiting early intervention has been collected.

Utah's FFY 2010-2011 frequencies and percentages fit into the quality data categories that the ECO defines as:

- At least 28% of the population that exited early intervention is included in scoring. In Utah, 59.31% of exited children received entry and exit scores.
- Not more than 10% of children are in Outcome A, which indicates they made no progress. Utah has less than 2% of children in Outcome A.
- Not more than 65% of children in Outcome E, which indicates they maintained functioning at a level comparable to same-aged peers. Utah has 12% to 29% of children in Outcome E.

Utah did not attain the target percentages for Summary Statements 1 and 2, possibly because of providers' expertise in scoring children and the limited data available to determine baseline and resulting targets.

Depending on when the child entered and exited early intervention services in the last three years, differences in providers' skill levels may have impacted the entry and exit scores they were assigned. Program staff has gained a greater understanding of and are more experienced in scoring children and training others how to score children since Utah adopted the Child Outcome Summary approach in 2007. As programs become more experienced in determining scores for children entering and exiting early intervention services, the resulting calculations are more accurate. Many programs provided initial and ongoing training in child outcome measurement to their staff in FFY 2010-2011.

Programs continue to train new staff and provide refresher training for experienced staff, which also may impact the quality of the scoring process. An online training is now available on the Baby Watch Early Intervention website (<http://utahbabywatch.org/foreiproviders/training/cosf/intro.htm>) to assist programs.

Another issue for meeting targets is having a true baseline. Measuring child outcomes is still a new process in Utah. A complete analysis of many more years of data based on full 12 month cohorts of children enrolled six to 30 months is still needed in order to have true confidence in choosing appropriate targets.

Discussion of a-e Progress Data for FFY 2010-2011:

The number of children in the data set and the number/percentage of children missing in the outcomes data.

Figure 1. Progress Data FFY 2010-2011

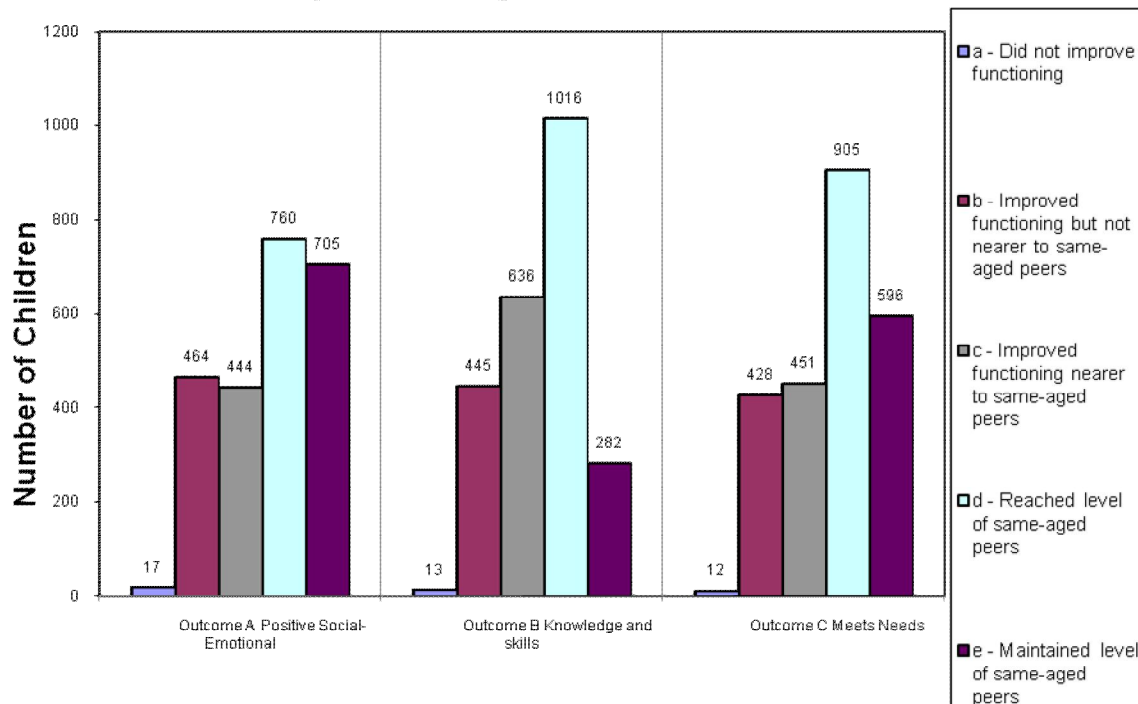


Figure 1 shows Utah’s fourth year worth of progress data for children exiting in FFY 2010-2011. From FFY 2009-2010 to FFY 2010-2011, the total number of children exiting with an entry and an exit score and at least six consecutive months of service rose significantly from 2,058 to 2,392, an increase of 16.3%. The total number of children who exited early intervention FFY 2010-2011 was 3,672. In the same time period, the total number of children with entry and exit scores and at least six consecutive months of services was 2,392 (59.31%) of the children who exited early intervention. FFY 2010-2011 was the first year in which there were 12 months of data collected about children referred at birth who exited at age three.

In FFY 2010-2011, 32 children who should have had an exit score did not receive one; this change represents a drop of 69% in the number of children without an exit score compared to FFY 2009-2010. Because the entry and exit scores are collected in the Baby Toddler Online Tracking System (BTOTS) on all children, a larger percentage of children receiving early intervention services are captured for the annual child outcome measurement. Programs are able to identify in the data base, children who had an entry score and at least six consecutive months of service but no exit score at exit. Program staff is notified through BTOTS soon after a child exits so that a score can be determined and added to the data base. Programs are encouraged to run the “No Child Outcome Exit Score” report monthly to locate any children who meet the criteria for requiring an exit score but did not get one.

The percentages of children representing each progress category indicate a significant change in the development of the 2,392 children receiving services for FFY 2010-2011. Overall, a larger percentage of children substantially increased their rate of growth than the percentage of children who functioned within age expectations at exit.

The a-e progress data and patterns in the data.

While the pattern in the number of children in the five progress categories was similar across outcome areas, the percentages of children across progress categories showed more variability.

- Percentages across the three outcomes for Progress Categories a and b were similar in magnitude at less than 1% and between 17% and 19%, respectively.
- Percentages for Progress Categories c, d, and e showed differences across outcome areas:
 - Progress Category c percentages were similar for Outcomes A (18.56%) and C (18.85%) but was higher at 26.59% for Outcome B.
 - For Progress Category d, which had the largest percentages of all five progress categories, with a high percentage of 42.27% in Outcome B, 5% lower at 37.83% for Outcome C, and 6% lower at 31.77% for Outcome A.
 - For Progress Category e, the percentages ranged from a high of 29.47% for Outcome A, to a low of 11.70% for Outcome B, with Outcome C in the middle at 24.92%.

Compared to other states, Utah has a low percentage of Children in Progress Category a. For the Progress Categories b and c, Utah percentages are similar to other states. The Progress Category d is higher than other states yet Progress Category e is lower.

Discussion of Improvement Activities Completed for FFY 2010-2011:

July 2010 – June 2011: Utah programs continued to conduct activities to improve their data quality.

July 2010 – June 2011: BWEIP staff were available to provide training to programs upon request. Handouts from previous trainings were available on the BWEIP website (www.utahbabywatch.org). Some providers used their own staff to train their new staff. Resources through ECO and other states' websites were provided to all providers.

May 2010: A provider group met to discuss child outcomes in Utah, specifically, the possibility of using one assessment tool across the state that would calculate the score for each outcome. This discussion identified key issues such the cost of using a tool for each child; the difficulties in using one tool rather than what programs are already doing; and how to train program staff to achieve consistent scoring, if using one assessment is not feasible.

Providers also reviewed methodologies and training from different states represented on ECO's website (http://www.fpg.unc.edu/~eco/pages/states_approaches.cfm). Results of the review of methodologies and trainings were used to design the online training for staff in Utah (<http://utahbabywatch.org/foreiproviders/training/cosf/intro.htm>). A follow up meeting was scheduled for August 2011.

May 2010: Programs requested their own child outcome data specifically with the entry and exit cross tabs. Some programs only chose to investigate outliers, i.e., the children who entered the program with a score of 1, 2, or 3 but left the program scoring 5, 6, or 7. Programs' analysis of this data helped them to identify their training needs and training was provided.

Explanation of Progress or Slippage that occurred for FFY 2010-2011:

As previously mentioned, Utah did not attain their target percentages for Summary Statements 1 and 2. FFY 2010-2011 is the first year that slippage from the targets occurred. FFY 2010 is the fourth year of collecting child outcome data using the same methodology and many more years of data will be needed to establish reliable and stable baseline data. After true baseline data is available, Utah will be able to set valid targets. Until that time, Utah will continue to train programs, review data, and ensure complete data entry.

Revisions to and ongoing Improvement Activities / Timelines / Resources for FFY 2010-2012:

No revisions will be made this year.

Activity	Timeline	Resources
Plan to develop continuous training opportunities for all providers at annual conference, online, or self-study.	Ongoing	BWEIP staff
Work with individual providers about their own program data to analyze any issues	Ongoing	BWEIP staff
Assist programs in using information gathered during analysis of their data especially training issues	Ongoing	BWEIP staff
Continue meeting with providers about training and any other data issues	Ongoing	BWEIP staff
Refine website training resources to provide online activities for new staff and as a refresher course	Ongoing	BWEIP staff
Introduce a program self assessment just for child outcomes so that programs can look at their procedures and improve the way they assess children and collect data for child outcomes.	Ongoing	BWEIP staff

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

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 USC 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 Targets
<p>2010 (2010-2011)</p>	<ul style="list-style-type: none"> A. 79% of respondent families participating in Part C will report that early intervention services have helped the family know their rights. B. 76% of respondent families participating in Part C will report that early intervention services have helped the family effectively communicate their children's needs. C. 81.5% of respondent families participating in Part C will report that early intervention services have helped the family help their child develop and learn.

Actual Target Data for FFY 2009-2010:

- A. 87% of respondent families participating in Part C report that early intervention services have helped the family know their rights.
- B. 84% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.
- C. 93% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.

PART C Early Intervention Family Survey Report for Data Collected in 2011

SPP/APR Indicator #4a: Percent of families participating in Part C who report that early intervention services have helped the family: **a. Know their rights.**

Standard: A 0.95 likelihood of a response of “agree,” “strongly agree,” or “very strongly agree” with this item on the NCSEAM survey’s Impact of EI Services on Your Family scale: “Over the past year, Early Intervention services have helped me and/or my family: know about my child’s and family’s rights concerning Early Intervention services.”

2011 Percent at or above indicator 4A standard (539):	87%	(SE of the mean = 0.8%)
2010 Percent at or above indicator 4A standard (539):	86%	(SE of the mean = 1.0%)
2009 Percent at or above indicator 4A standard (539):	84%	(SE of the mean = 1.1%)

SPP/APR Indicator #4b: Percent of families participating in Part C who report that early intervention services have helped the family: **b. Effectively communicate their children’s needs.**

Standard: A 0.95 likelihood of a response of “agree,” “strongly agree,” or “very strongly agree” with this item on the NCSEAM survey’s Impact of EI Services on Your Family scale: “Over the past year, Early Intervention services have helped me and/or my family: communicate more effectively with the people who work with my child and family.”

2011 Percent at or above indicator 4B standard (556):	84%	(SE of the mean = 0.9%)
2010 Percent at or above indicator 4B standard (556):	84%	(SE of the mean = 1.0%)
2009 Percent at or above indicator 4B standard (556):	81%	(SE of the mean = 1.2%)

SPP/APR Indicator #4c: Percent of families participating in Part C who report that early intervention services have helped the family: **c. Help their children develop and learn.**

Standard: A 0.95 likelihood of a response of “agree,” “strongly agree,” or “very strongly agree” with this item on the NCSEAM survey’s Impact of EI Services on Your Family scale: “Over the past year, Early Intervention services have helped me and/or my family: understand my child’s special needs.”

2011 Percent at or above indicator 4C standard (516):	93%	(SE of the mean = 0.6%)
2010 Percent at or above indicator 4C standard (516):	92%	(SE of the mean = 0.8%)
2009 Percent at or above indicator 4C standard (516):	91%	(SE of the mean = 0.9%)

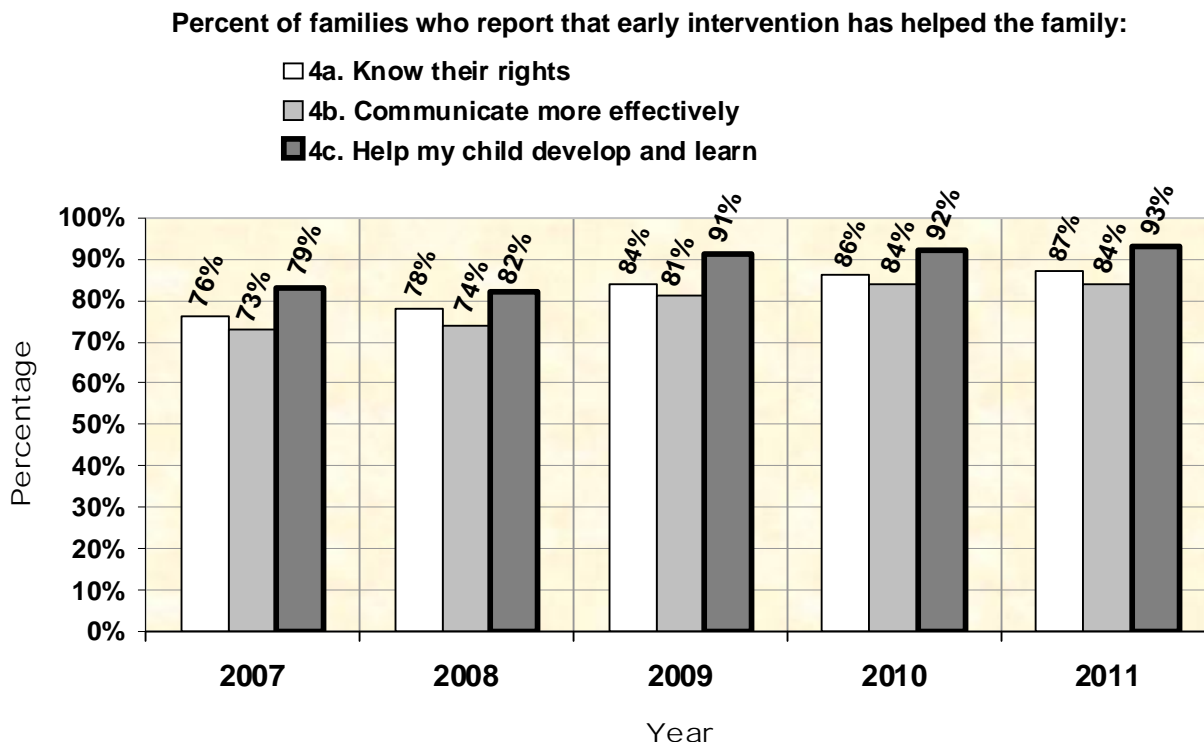
	2011	2010	2009
Number of Valid Responses	1,752	1,347	1,073
Mean Measure	737	721	716
Measurement SD	179	175	172
Measurement reliability	0.88-0.95	0.89-0.95	0.89-0.95

Averages of eight U.S. states’ 1,750 families participating in the 2005 NCSEAM Pilot Study:

Indicator Value	A 74%	B 70%	C 84%	SE of Mean 0.9% - 1.1%	Mean Measure 644	SD 158
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*AVATAR NCSEAM Results for FFY 2010-2011
10/11

Figure 1. Impact of Early Intervention on the Family Scale, Utah 2007-2011.



Explanation of progress FFY 2009-2010:

On April 5, 2011, 3,377 Utah versions (English and Spanish) of the National Center for Special Education and Accountability Monitoring (NCSEAM) Family Surveys – Part C were mailed or hand-delivered to families of children ages birth to three with disabilities or delays and under an IFSP as of March 1, 2011, in all 29 Utah counties. Of the surveys sent out, 1,752 were returned with measurable data on the survey’s “Impact on Early Intervention Services on the Family” scale used for reporting the SPP/APR indicators 4a, 4b, and 4c. The response rate was 52%, an increase of 9% over the FFY 2009-2010 response rate of 43%. Individual survey items’ overall agreement percentages are then associated with a 2.3% margin of error, at a 95% confidence level, assuming that 75% of the responses are agreeable. The data met or exceeded the NCSEAM 2005 National Item Validation Study’s standards for the internal consistency, completeness, and overall quality expected from this survey.

In FFY 2010-2011, Spanish language surveys represented 227 (12.98%) of the total responses, an increase of 60 surveys (0.59%) from 167 (12.39%) in FFY 2009-2010.

The percentages reported are calculated as the percent of families whose measures are at or above a standard that is specific to each indicator. In these analyses, the standards applied were those recommended by a nationally representative stakeholder group convened by NCSEAM. This group identified items that most closely represented the content of each of the indicators and recommended the level of agreement that should be required on these items. For Indicators 4a, 4b, and 4c, the recommended standards were operationalized as measures of 539, 556, and 516, respectively, because these are the calibrations of the items most closely related to the indicators. The percentages reported for each indicator are the percent of families with measures on the “Impact of Early Intervention Services on Family” scale that are at or above these levels.

Figure 2. shows the distribution of measures on the “Impact on Families” scale for all families whose data were submitted for the FFY 2010-2011 analysis. The overall average of all the individual family measures is 671.

Figure 2: “Impact of Early Intervention Services on Your Family” scale”

Over the past year, early intervention services have helped me and/or my family:

Calibrations	Item Texts
677	participate in typical activities for children and families in the community.
656	know about services in the community.
639	know where to go for help and support to meet my family's needs.
624	keep up friendships for my child and family.
608	know where to go for help and support to meet my child's needs.
583	be more effective in managing my child's behavior.
576	make changes in our family routines that will benefit my child with special needs.
576	do activities that are good for my child even in times of stress.
569	improve my family's quality of life.
564	feel that I can get the services and supports that my child and family need.
563	get services that my child and family need.
562	feel that my family will be accepted and welcomed in the community.
559	feel more confident in my skills as a parent.
559	feel that my child will be accepted and welcomed in the community.
556	communicate more effectively with people who work with my child and my family.
552	understand how the early intervention system works.
545	understand the roles and responsibilities of the people who work with my child.
540	figure out solutions to problems as they come up.
539	feel that I can handle the challenges of parenting a child with special needs.
539	know about my child's and family's rights concerning early intervention services.
534	be able to evaluate how much progress my child is making.
516	understand my child's special needs.
498	feel that my efforts are helping my child.
497	do things with and for my child that are good for my child's development.

Table 1. FFY 2009-2010 Racial/Ethnic representation of enrolled Baby Watch Early Intervention Program (BWEIP) families versus enrolled BWEIP families responding to the survey.

Race/ Ethnicity		Dec. 2007 Utah 618 Child Count	07-08 Utah NCSEAM Returns	Dec. 2008 Utah 618 Child Count	08-09 Utah NCSEAM Returns	Dec. 2009 Utah 618 Child Count	09-10 Utah NCSEAM Returns	Dec. 2010 Utah 618 Child Count	10-11 Utah NCSEAM Returns
White	#	2,384	744	2,434	836	2,458	1,017	2499	1,466
	%	80%	84.6%	78%	77.9%	74.87%	75.51%	73.85%	83.69%
Black or African American	#	31	8	26	4	24	5	35	16
	%	1.0%	0.9%	1%	0.4%	0.74%	0.36%	1.03%	0.91%
Hispanic or Latino	#	437	75	531	171	621	269	677	163
	%	15%	8.5%	17%	15.9%	18.92%	19.97%	20.01	9.29%
Asian or Pacific Islander	#	50	10	42	23	55	22	48	28
	%	2.0%	1.1%	1%	2.1%	1.68%	1.62%	1.42%	1.58%
American Indian or Alaska Native	#	66	24	59	24	65	8	61	37
	%	2.0%	2.7%	2%	2.2%	1.98%	0.58%	1.80%	2.14%
Other	#	n/a	8	25	12	59	26	64	42
	%	n/a	.9%	1%	1.1%	1.80%	1.97%	1.89%	2.40%
Total non- white	#	584	125	683	234	824	330	885	286
	%	19.53%	15.4%	21.91%	21.8%	25.10%	24.49%	26.15%	16.32%
Total	#	2,989	879	3,117	1,073	3,283	1,347	3,384	1,752
	%	100%	100%	100%	100%	100%	100%	100%	100%

During FFY 2010-2011, non-white respondents decreased to 16.32% (n=286) compared to 24.49% (n=330) during FFY 2009-2010.

Hispanic or Latino respondents decreased to 9.29 % (n=163) compared to 19.97% (n=269) in FFY 2009-2010.

American Indian/Alaska Native respondents increased by 1.56% to 2.14% (n=37) as compared to 0.58% (n=8) in FFY 2009-2010

Table 2. Survey Results Grouped by Program Location.

Program Location	Number of Programs	FFY 09-10 Family Survey Return Rate	FFY 10-11 Family Survey Return Rate	4a. Parents know their rights	4b. Communicate more effectively	4c. Help my child develop and learn
Urban	7	72%	47%	86%	83%	92%
Rural	3	21%	56%	93%	90%	96%
Frontier	5	6%	69%	75%	72%	87%

In FFY 2010-2011 frontier and rural programs had significant increases in return rates, 63% and 35%, respectively, while urban declined by 25%. The urban return rate was very high in FFY 2009-2010. The large increases in the frontier and rural return rates appear to be related to hand delivery and collection of sealed surveys by all eight programs. Two urban programs continue to use mail delivery and return.

Rural families ratings on all three measures are the highest followed by urban families and lastly frontier families. Positive ratings on, 4a. “Parents know their rights” and 4b. “Communicate more effectively” is quite variable throughout the state, while families reporting that “Early Intervention has helped their child develop and learn” is consistently high statewide.

Table 3. Survey Results by Age at Referral

Child's Age of First Referral to Early Intervention	Number & Percent of Returns				4a. Parents know their rights		4b. Communicate more effectively		4c. Help my child develop and learn	
	2009		2010		2009	2010	2009	2010	2009	2010
Birth to 1 Year	460	38%	587	36%	87%	89%	85%	88%	92%	94%
1-2 Years	494	37%	638	39%	85%	86%	84%	82%	90%	91%
2-3 Years	294	25%	405	25%	80%	86%	80%	83%	91%	94%
Total	1248*	100%	1,630	100%	86%	87%	83%	84%	91%	93%

Table 4. Percentage of Responses At or Above Indicator by Age of Referral

Child's Age of First Referral to Early Intervention	Number of Responses	4A. Parents know their rights	4B. Communicate more effectively	4C. Help my child develop and learn
Birth to 1 Year	587	89.1%	87.7%	94.2%
1-2 Years	638	85.7%	82.1%	91.1%
2-3 Years	405	85.7%	82.5%	93.8%
Total	1630	86.8%	84.1%	93.0%

The total of 1,630 represents a subset of surveys returned where the child's age at referral was clearly indicated. Families of children referred from birth through two years of age return the survey in greater numbers. Families of children referred from birth to one year respond more positively to a). *knowing their rights*. b). *communicating their child's needs more effectively*, and c). *helping their children develop and learn*.

Improvement Activities Completed, Contributing to Progress for FFY 2010-2011:

Survey Implementation:

BWEIP monitored all programs for activities directed toward facilitation of the Utah NCSEAM Family Survey. Each program submits its plan to BWEIP annually for approval. The plans must contain a description of methods for survey promotion, distribution, follow-up, and collection. In general, programs increased the survey's visibility by making announcements and reminders in multiple formats such as newsletters, postcards, letters, flyers, and service providers' individual communications with families, prior to and during survey distribution and collection.

Programs worked with staff to ensure their understanding of the survey concepts and incorporating the principles in their interactions with families.

Programs stressed the importance of survey participation to staff and families.

BWEIP developed four survey announcements in both English and Spanish and distributed them to all providers to be used in newsletters, postcards and flyers.

BWEIP shared information on successful strategies and problems experienced with providers.

BWEIP monitored and reported back to each program weekly the number of returned surveys. Individual programs implemented strategies to remind families to return the survey. Two providers incorporated the survey into community activities and a drawing.

BWEIP also monitored the status of mailing addresses with the contractor AVATAR. Address corrections were made and those dropped from the first mailing were recaptured in a second mailing.

BWEIP provided survey results to each program as compared to the state SPP targets and Utah averages.

BWEIP provided technical assistance and item by item review for several programs to determine problem areas.

BWEIP publicly reported the local program survey results as compared to the state SPP targets and Utah averages in the individual program profiles posted to www.UtahBabyWatch.org website and through a media advisory.

Resolution of previously identified noncompliance for FFY 2010-2011

N/A

Revisions to Improvement Activities for FFY 2010-2012:

Activity	Timeline	Resources
BWEIP will present an in-depth report on the response to Utah's Family Survey to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting.	Annually	APR Indicator data, Monitoring BTOTS reports, survey results
BWEIP will solicit stakeholder input for improvement activities to improve outcomes on the Utah Family Survey.	Annually	APR Indicator data, Monitoring BTOTS reports, survey results
BWEIP will work with ICC and providers to develop a committee to improve positive results on the family survey.	Ongoing	APR Indicator data, Monitoring BTOTS reports, survey results

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

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 USC 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 (2010-2011)	Baby Watch Early Intervention programs will serve (with IFSP) 0.88% of infants in Utah.

Actual Target Data for FFY 2010-2011:

The Baby Watch Early Intervention Program (BWEIP) served 0.65% of infants in Utah on December 1, 2010.*

With a percentage served of 0.65% Utah is 0.38% below the FFY 2010-2011 national baseline of 1.03% for infants receiving early intervention under IDEA.

(*Source Table 1: Report of Children Receiving Early Intervention Services in Accordance with Part C, December 1, 2010. [Original submission to the Data Accountability Center (DAC) January 25, 2011; revisions submitted April 19, 2011 and May 24, 2011.])

Explanation of Slippage for FFY 2010-2011:

The SPP target for December 1, 2010 of 0.88% was not met. As part of the review of Indicator 5 data, BWEIP considers year-to-year changes (from the previous to the current year) in the percentage of infants served and the infant population, as well as the absolute number of infants served. The absolute number of infants served in Utah increased by 1.5% $[(344 - 339) / 339 = 5 / 339 = 1.5\%]$ from December 1, 2009 to December 1, 2010. The infant population in Utah decreased by -7.6% $[(52,675 - 57,018) / 57,018 = -4,343 / 57,018 = -7.6\%]$ from December 1, 2009 to December 1, 2010.

Year-to-year changes in the number of infants served, infant population, and percentage of infants served for 2004-2010 are shown in Table 1. Over this time period, the number of infants served by providers each year has fluctuated but generally has shown a downward trend since the 2004 high of 360. During this same timeframe, Utah’s infant population has increased each year, with the exception of 2004 to 2005, 2008 to 2009, and again from 2009 to 2010. Utah did experience significant population growth since the 2000 census. However, it appears the infant population figures used for calculating the FFY 2010-2011 percentage served, which come from the 2010 U.S. Bureau of the Census, more accurately reflect the current number of infants in the state than the intercensal estimates used for the latter part of the previous decade. Targets for this indicator have not been met from 2005-2010.

Another consideration in analyzing and understanding these year-to-year changes is that BWEIP began electronic data collection in 2005, with the introduction of the Baby and Toddler Online Tracking System (BTOTS) statewide. As with targets for APR Indicator 2, Indicator 5 targets for 2005-2010 were set based on data that was “hand-collected” prior to 2005.

Table 1. Year-To-Year Changes of Number of Infants Served, Infant Population, and Percentage of Infants Served for FFY 2004-2010

Reporting Date	# Infants Served	% Change in # Infants Served	Infant Population ¹	% Change in Population	Target	% Infants Served ²
December 1, 2004	360**		50,051 (50,755)		N/A	0.72%
December 1, 2005	320***	-11.1%	49,602 (50,813)	-0.9%	0.78%	0.65%
December 1, 2006	349***	9.1%	52,310 (48,886)	5.5%	0.80%	0.67%
December 1, 2007	339***	-2.9%	53,376	2.0%	0.82%	0.64%
December 1, 2008	324****	-4.4%	57,069	6.9%	0.84%	0.57%
December 1, 2009	339*****	4.6%	57,018	-0.1%	0.86%	0.59%
December 1, 2010	344*****	1.5%	52,675	-7.6%	0.88%	0.65%

¹ Two sets of population figures are shown, July 2008-2009 and pre-July 2008 Subcounty Population Estimates; pre-July 2008 estimates are shown in parentheses. 2010 population figures come from the 2010 U.S. Bureau of the Census.

²Source: (a) For 2004-2005 and 2006 data, DANS Table 8-4; percentages shown are based on U.S. Census Bureau Subcounty Population Estimates released July 2008. (b) For 2007 data, U.S. Department of Education, Office of Special Education Programs (OSEP), Data Analysis System (DANS), OMB #1820-0557: “Infants and Toddlers Receiving Early Intervention Services in Accordance with Part C,” 2007. (c) For 2008 data, revised Table 1 “Report of Children Receiving Early Intervention Services in Accordance with Part C (on December 1, 2008)” submitted to OSEP and DAC on September 9, 2009. (d) For 2009 data, revised Table 1 “Report of Children Receiving Early Intervention Services in Accordance with Part C (on December 1, 2009)” submitted to OSEP and DAC on April 2, 2010. (e) For 2010 data, revised Table 1 “Report of Children Receiving Early Intervention Services in Accordance with Part C (on December 1, 2010)” submitted to OSEP and DAC on May 24, 2011.

** Revised Table 1 submitted to OSEP and Westat 10/20/2005.

***Revised Table 1 submitted to OSEP and Westat 4/21/2008.

****Revised Table 1 submitted to OSEP and Westat 9/9/09.

*****Revised Table 1 submitted to OSEP and DAC 4/2/10.

*****Revised Table 1 submitted to OSEP and DAC 5/24/11.

Improvement Activities Completed for FFY 2010-2011:

FFY 2010-2011: BWEIP continued involvement with agencies that potentially refer to early intervention including the Foster Care System, Voices for Utah Children, affiliation with Utah Family Voices, Family Investment Coalition, Utah Schools for the Deaf and the Blind, local hospitals, the family and pediatric practice communities, Office of Child Care, Hispanic Community Center, migrant farm worker families, Children’s Health Insurance Program, Legislative Coalition for Persons with Disabilities, and homeless outreach.

FFY 2010-2011: Referrals by the Division of Child and Family Services to programs following screening, as required by the Child Abuse Prevention and Treatment Act interagency agreements, continue statewide.

FFY 2010-2011: The BWEIP nurse has been working with the Newborn Intensive Care staff in two hospitals to ensure referrals are made and IFSPs are written prior to discharge. Most of the programs that have been asked to meet with families prior to discharge have been able to do so. One other hospital has an early intervention provider as hospital staff that coordinates the referrals in a similar fashion.

FFY 2010-2011: An Interagency Coordinating Council (ICC) parent representative traveled to North Carolina for the “Inclusion Conference” in May 2011. Parent representatives also serve on the executive committee for “The Expanding Opportunities for Inclusion Initiative”. The committee hosted a daylong institute for the community at large in October 2010.

FFY 2010-2011: BWEIP presented an in-depth report on the status of Utah's percentage of the population served for infants and toddlers to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting in early January 2011. During the meeting stakeholder input was solicited for improvement activities to strengthen child find activities for eligible infants.

FFY 2010-2011: The ICC, EI providers and BWEIP developed the Baby Find committee to focus on analyzing infant referrals. The committee is developing strategies that will increase awareness and education of Baby Watch Early Intervention to area hospitals, primary care doctors, pediatricians and the community. This committee has identified 8 goals that will assist in building community partnerships that will result in an increase in enrollment of infants' birth to one in Early Intervention Programs throughout Utah.

FFY 2010-2011: The Baby Find committee's first project, an online Pediatric and Family Practice survey will be completed in early November 2011. The committee worked closely with the Utah Pediatric Society and the Utah Family Practice Association.

FFY 2010-2011: During this reporting period, BWEIP reviewed BTOTS reports for the state as a whole and each program to determine how families heard about early intervention. Programs are encouraged to review these reports periodically to make necessary child find activity adjustments.

FFY 2010-2011: BWEIP nurse has partially completed the development of an in-service training curriculum for providers regarding services for fragile infants. The final portion should be completed in FFY 2011-2012. Therapists working with fragile infants in the Newborn Intensive Care Unit (NICU) at Primary Children's Hospital and the University of Utah Health Sciences Center have provided written, graphic, and video information for the training. Case study information continues to be compiled. All information has been formatted to produce an online training.

As seen in Table 2, referral sources remain fairly constant at referral and at eligibility. Overall, 63% of all the children referred to BWEIP come from health care providers and hospitals. Of those referrals, 73% are found eligible for early intervention services.

Table 2. How Families Heard about Early Intervention in Utah During FFY 2010-2011, by *Children Referred and by Children found Eligible

How Families Heard About Early Intervention	*Children Referred FFY10 7/1/10-6/30/11		Children Found Eligible FFY10 7/1/10-6/30/11	
Health Care Provider	3,137	55%	2,291	73%
Family or Friend	706	12%	479	68%
Early Intervention Provider	561	9%	425	76%
Hospital	503	8%	351	70%
Sibling in Early Intervention	342	6%	251	73%
School or Child Care Provider	286	5%	167	58%
Social Service Agency	180	3%	96	53%
Media	113	2%	101	89%
Total	5,828	100%	4148	71%

*Some children referred during the last two months of the FFY 2010-2011 may not have been found eligible until early FFY 2011-2012, while some children found eligible in FFY 2010-2011 may have been referred in late FFY 2009-2010. Referral source may not be available for all children.

As seen in Table 3, the majority of children, when referred to BWEIP, are between the ages of one and three (74%), while infants less than 12 months old comprise 26% of referrals.

Table 3. BWEIP Age at Referral During FFY 2010-2011

Age at Referral	Number Referred	% Referred
Birth to One Year	1,571	26%
One to Two Years	2,164	35%
Two to Three Years	2,363	39%
Total Birth to Three Years	6,098	100%

As presented in Table 4, the majority (77%) of children at eligibility are ages one to three, with children between age two and three comprising the largest group at 42%. Infants are the smallest group at 23%.

Table 4. BWEIP Age at Eligibility During FFY 2010-2011

Age at Eligibility	Number Eligible	% Eligible
Birth to One Year	972	23.3%
One to Two Years	1,428	34.3%
Two to Three Years	1,765	42.4%
Total Birth to Three Years	4,165	100%

As shown in Table 5, in FFY 2010-2011, 68% of children referred to early intervention were found eligible. At 62%, infants showed the lowest rate of eligibility of those referred.

Table 5. BWEIP Percentage of Referred Children Found Eligible During FFY 2010-2011

Age at Eligibility	Number Referred	Number Eligible	% Referred found Eligible
Birth to One Year	1,571	972	62%
One to Two Years	2,164	1,428	66%
Two to Three Years	2,363	1,765	75%
Total Birth to Three Years	6,098	4,165	68%

Resolution of Previously Identified Noncompliance for FFY 2009-2010:

There were no findings of noncompliance for FFY 2009-2010.

Revisions to Improvement Activities / Timelines / Resources for FFY 2011-2012

Activity	Timeline	Resources
BWEIP will present an in-depth report on the status of Utah's percentage of the population served for infants and toddlers to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting.	Annually	APR, Monitoring and BTOTS reports
BWEIP will solicit stakeholder input for improvement activities to strengthen child find activities for eligible infants. State staff will complete the Annual APR final draft for approval in January.	Annually	APR Indicator data
BWEIP will work with ICC and providers to develop a committee to analyze serving the infant population.	Ongoing	618 data, state population data
BWEIP staff will work with early intervention providers to review their process and policies regarding child find activities, referral and eligibility for infants.	Ongoing	APR, Monitoring, BTOTS reports, and program practice
BWEIP staff will assist early intervention providers in planning and implementing improvement activities regarding child find activities, and referral, and eligibility for infants.	Ongoing	Site visits, training, documentation
BWEIP staff will monitor the data of early intervention providers and the state as a whole regarding child find activities, referral and eligibility for infants.	Ongoing	APR, Monitoring, BTOTS reports, and program practice
BWEIP project manager will develop a targeted plan to encourage relationships with new pediatricians and primary care doctors and provide updates to those who currently refer to programs.	Ongoing	BWEIP and local provider staff
BWEIP nurse will begin development of an in-service training curriculum for providers regarding services for fragile infants.	2009-2012	BWEIP nurse
BWEIP nurse will continue to build the Newborn Intensive Care Unit referral relationship process with other hospitals throughout the state.	Ongoing	BWEIP nurse

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

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 USC 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 (2010-2011)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.95% of infants and toddlers through age 2 in Utah.

Actual Target Data for FFY 2010-2011:

The Baby Watch Early Intervention Program (BWEIP) served 2.13% of infants and toddlers birth to three in Utah on December 1, 2010.*

With a percentage served of 2.13% Utah is 0.69% below the FFY 2010-2011 national baseline of 2.82% for infants and toddlers birth to three receiving early intervention under IDEA.

(*Source Table 1: Report of Children Receiving Early Intervention Services in Accordance with Part C, December 1, 2010. [Original submission to the Data Accountability Center (DAC) January 25, 2011; revisions submitted April 19, 2011 and May 24, 2011.])

Explanation of Progress for FFY 2010-2011:

The SPP target for December 1, 2010 of 1.95% was met. As part of the review of Indicator 6 data, BWEIP considers year-to-year changes (from the previous to the current year) in the percentage of infants and toddlers served and the birth to three population, as well as the absolute number of infants and toddlers served. The absolute number of 0- to 3-year-olds served in Utah increased by 3.1% $[(3,384 - 3,284) / 3,284 = 100 / 3,284 = 3.1\%]$ from December 1, 2009 to December 1, 2010. The birth to three population in Utah decreased by -5.3% $[(159,028 - 167,932) / 167,932 = -8,904 / 167,932 = -5.3\%]$ from December 1, 2009 to December 1, 2010.

Year-to-year changes in the number of infants and toddlers served, the birth to three population, and percentage of infants and toddlers served for 2004-2010 are shown in Table 1. Over this time period, providers in Utah have increased the number of infants and toddlers they serve every year. During this same timeframe, Utah's birth to three *population* increased every year except for the 5.3% drop observed from 2009 to 2010. Utah did experience significant population growth since the 2000 census. However, it appears the birth to three population figures used for calculating the FFY 2010-2011 percentage served, which come from the 2010 U.S. Bureau of the Census, more accurately reflect the current number of 0- to

3-year-olds in the state than the intercensal estimates used for the latter part of the previous decade. Targets were met and exceeded every year except for FFY 2006-2007 and FFY 2008-2009.

Another consideration in analyzing and understanding these year-to-year changes is that the BWEIP began electronic data collection in 2005, with the introduction of the Baby Toddler Online Tracking System (BTOTS) statewide. As with targets for APR Indicator 2, Indicator 5 targets for 2005-2010 were set based on data that was “hand-collected” prior to 2005.

Table 1. Year-To-Year Changes in the Number of 0- to 3-Year-Olds Served, 0- to 3-Year-Old Population, and 0- to 3-Year-Old Percentage Served for FFY 2004-2010

Reporting Date	# 0-3 Served	% Change in # 0-3 Served	0-3 Population ¹	% Change in 0-3 Population	Target	% 0-3 Served ²
December 1, 2004	2,524**		145,226 (146,965)			1.74%
December 1, 2005	2,676***	6.0%	148,204 (150,943)	2.1%	1.80%	1.81%
December 1, 2006	2,777***	3.8%	152,227 (150,581)	2.7%	1.88%	1.82%
December 1, 2007	2,989***	7.6%	155,483	2.1%	1.86%	1.92%
December 1, 2008	3,117****	4.3%	165,985	6.8%	1.90%	1.88%
December 1, 2009	3,284*****	5.4%	167,932	1.2%	1.92%	1.96%
December 1, 2010	3,384*****	3.1%	159,028	-5.3%	1.95%	2.13%

¹ Two sets of population figures are shown, July 2008-2009 and pre-July 2008 Subcounty Population Estimates; pre-July 2008 estimates are shown in parentheses. 2010 population figures come from the 2010 U.S. Bureau of the Census.

²Source: (a) For 2004-2005 and 2006 data, DANS Table 8-4; percentages shown are based on U.S. Census Bureau Subcounty Population Estimates released July 2008. (b) For 2007 data, U.S. Department of Education, Office of Special Education Programs (OSEP), Data Analysis System (DANS), OMB #1820-0557: “ Infants and Toddlers Receiving Early Intervention Services in Accordance with Part C,” 2007. (c) For 2008 data, revised Table 1 “Report of Children Receiving Early Intervention Services in Accordance with Part C (on December 1, 2008)” submitted to OSEP and DAC on September 9, 2009. (d) For 2009 data, revised Table 1 “Report of Children Receiving Early Intervention Services in Accordance with Part C (on December 1, 2009)” submitted to OSEP and DAC on April 2, 2010. (e) For 2010 data, revised Table 1 “Report of Children Receiving Early Intervention Services in Accordance with Part C (on December 1, 2010)” submitted to OSEP and DAC on May 24, 2011.

** Revised Table 1 submitted to OSEP and Westat 10/20/2005.

***Revised Table 1 submitted to OSEP and Westat 4/21/2008.

****Revised Table 1 submitted to OSEP and Westat 9/9/09.

*****Revised Table 1 submitted to OSEP and DAC 4/2/10.

*****Revised Table 1 submitted to OSEP and DAC 5/24/11.

Improvement Activities Completed for FFY 2010-2011:

FFY 2010-2011: BWEIP continued involvement with agencies that potentially refer to early intervention including the Foster Care System, Voices for Utah Children, affiliation with Utah Family Voices, Family Investment Coalition, Utah Schools for the Deaf and the Blind, local hospitals, the family and pediatric practice communities, Office of Child Care, Hispanic Community Center, migrant farm worker families, Children’s Health Insurance Program, Legislative Coalition for Persons with Disabilities, and homeless outreach.

FFY 2010-2011: Referrals by the Division of Child and Family Services to programs following screening, as required by the Child Abuse Prevention and Treatment Act interagency agreements, continue statewide.

FFY 2010-2011: The BWEIP nurse has been working with the Newborn Intensive Care staff in two hospitals to ensure referrals are made and IFSPs are written prior to discharge. Most of the programs that have been asked to meet with families prior to discharge have been able to do so. One other hospital has an early intervention provider as hospital staff that coordinates the referrals in a similar fashion.

FFY 2010-2011: An Interagency Coordinating Council (ICC) parent representative traveled to North Carolina for the “Inclusion Conference” in May 2011. Parent representatives also serve on the executive committee for “The Expanding Opportunities for Inclusion Initiative”. The committee hosted a daylong institute for the community at large in October 2010.

FFY 2010-2011: BWEIP presented an in-depth report on the status of Utah’s percentage of the population served for infants and toddlers to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting in early January 2011. During the meeting stakeholder input was solicited for improvement activities to strengthen child find activities for eligible infants.

FFY 2010-2011: The ICC, EI providers and BWEIP developed the Baby Find committee to focus on analyzing infant referrals. The committee is developing strategies that will increase awareness and education of Baby Watch Early Intervention to area hospitals, primary care doctors, pediatricians and the community. This committee has identified 8 goals that will assist in building community partnerships that will result in an increase in enrollment of infants’ birth to one in Early Intervention Programs throughout Utah.

FFY 2010-2011: The Baby Find committee’s first project, an online Pediatric and Family Practice survey will be completed in early November 2011. The committee worked closely with the Utah Pediatric Society and the Utah Family Practice Association.

FFY 2010-2011: During this reporting period, BWEIP reviewed BTOTS reports for the state as a whole and each program to determine how families heard about early intervention. Programs are encouraged to review these reports periodically to make necessary child find activity adjustments.

FFY 2010-2011: BWEIP nurse has partially completed the development of an in-service training curriculum for providers regarding services for fragile infants. The final portion should be completed in FFY 2011-2012. Therapists working with fragile infants in the Newborn Intensive Care Unit (NICU) at Primary Children’s Hospital and the University of Utah Health Sciences Center have provided written, graphic, and video information for the training. Case study information continues to be compiled. All information has been formatted to produce an online training.

As seen in Table 2, referral sources remain fairly constant at referral and at eligibility. Overall, 63% of all the children referred to BWEIP come from health care providers and hospitals. Of those referrals, 73% are found eligible for early intervention services.

Table 2. How Families Heard about Early Intervention in Utah During FFY 2010-2011, by *Children Referred and by Children found Eligible

<i>How Families Heard About Early Intervention</i>	<i>*Children Referred FFY10 7/1/10-6/30/11</i>		<i>Children Found Eligible FFY10 7/1/10-6/30/11</i>	
Health Care Provider	3,137	55%	2,291	73%
Family or Friend	706	12%	479	68%
Early Intervention Provider	561	9%	425	76%
Hospital	503	8%	351	70%
Sibling in Early Intervention	342	6%	251	73%
School or Child Care Provider	286	5%	167	58%
Social Service Agency	180	3%	96	53%
Media	113	2%	101	89%
Total	5,828	100%	4148	71%

*Some children referred during the last two months of the FFY 2010-2011 may not have been found eligible until early FFY 2011-2012, while some children found eligible in FFY 2010-2011 may have been referred in late FFY 2009-2010. Referral source may not be available for all children.

As seen in Table 3, the majority of children, when referred to BWEIP, are between the ages of one and three (74%), while infants less than 12 months old comprise only 26% of referrals.

Table 3. BWEIP Age at Referral During FFY 2010-2011

Age at Referral	Number Referred	% Referred
Birth to One Year	1,571	26%
One to Two Years	2,164	35%
Two to Three Years	2,363	39%
Total Birth to Three Years	6,098	100%

As presented in Table 4, the majority (77%) of children at eligibility are ages one to three, with children between age two and three comprising the largest group at 42%. Infants are the smallest group at 23%.

Table 4. BWEIP Age at Eligibility During FFY 2010-2011

Age at Eligibility	Number Eligible	% Eligible
Birth to One Year	972	23.3%
One to Two Years	1,428	34.3%
Two to Three Years	1,765	42.4%
Total Birth to Three Years	4,165	100%

As shown in Table 5, in FFY 2010-2011, 68% of children referred to early intervention were found eligible. At 62%, infants showed the lowest rate of eligibility of those referred.

Table 5. BWEIP Percentage of Referred Children Found Eligible During FFY 2010-2011

Age at Eligibility	Number Referred	Number Eligible	% Referred found Eligible
Birth to One Year	1,571	972	62%
One to Two Years	2,164	1,428	66%
Two to Three Years	2,363	1,765	75%
Total Birth to Three Years	6,098	4,165	68%

Resolution of Previously Identified Noncompliance for FFY 2009-2010:

There were no findings of noncompliance for FFY 2009-2010.

Revisions to Improvement Activities / Timelines / Resources for FFY 2011-2012

Activity	Timeline	Resources
BWEIP will present an in-depth report on the status of Utah's percentage of the population served for infants and toddlers to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting.	Annually	APR, Monitoring and BTOTS reports
BWEIP will solicit stakeholder input for improvement activities to strengthen child find activities for eligible infants. State staff will complete the Annual APR final draft for approval in January.	Annually	APR Indicator data
BWEIP will work with ICC and providers to develop a committee to analyze serving the infant population.	Ongoing	618 data, state population data
BWEIP staff will work with early intervention providers to review their process and policies regarding child find activities, referral and eligibility for infants.	Ongoing	APR, Monitoring, BTOTS reports, and program practice
BWEIP staff will assist early intervention providers in planning and implementing improvement activities regarding child find activities, and referral, and eligibility.	Ongoing	Site visits, training, documentation
BWEIP staff will monitor the data of early intervention providers and the state as a whole regarding child find activities, referral and eligibility.	Ongoing	APR, Monitoring, BTOTS reports, and program practice
BWEIP project manager will develop a targeted plan to encourage relationships with new pediatricians and primary care doctors and provide updates to those who currently refer to programs.	Ongoing	BWEIP and local provider staff

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

Overview of the Annual Performance Report Development:

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 (2010-2011)	All eligible infants and toddlers (100%) will receive an evaluation and an assessment and an IFSP within 45 days of referral.

Actual Target Data for FFY 2010:

99.6.%

The data was collected for this indicator for all Baby Watch Early Intervention programs through the statewide database, the Baby and Toddler Online Tracking System (BTOTS), and includes all newly referred children who were found eligible and for whom an initial IFSP was required to be conducted during the time period July 1, 2010 through June 30, 2011.

Infants Evaluated and Assessed and provided an Initial IFSP meeting Within Part C’s 45-day timeline in FFY 2010:

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 (for the time period July 1, 2010 through June 30, 2011)	3,879
b. Number of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted (for the time period July 1, 2010 through June 30, 2011)	3,898

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) (for the time period July 1, 2010 through June 30, 2011)	99.6%
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Explanation of Progress in FFY 2010:

The percentage of files with IFSPs completed within 45 days increased from 98.8% in FFY 2009 to 99.6% in FFY 2010, an improvement of 0.8%. A total of 19 children (0.4%) as compared to 47 children in FFY 2009 were delayed in the provision of the evaluations, assessments, and/or the initial IFSP due to provider circumstances. As shown in Table 1, the primary reasons for delayed IFSPs were provider scheduling issues (i.e., cancellations due to illness or emergencies). All 19 children received an IFSP, although delayed, between one and 35 days late.

Table 1. Provider Circumstances and Length of Delay for Late IFSPs, FFY 2010

	Provider Circumstances for Late IFSPs FFY 2010								Total
	Provider Schedule				Late Evaluations	Illness	Waiting for Records	Late Intakes	
# Days IFSPs Late	1-5	6-10	11-15	35	9-12	7-13	21	1-23	
# Files	5	1	1	1	2	2	1	6	19

The use of the data for the entire state through BTOTS strengthened the awareness and ability of all providers to self monitor on an ongoing basis. This is directly related to the progress demonstrated. Early intervention (EI) programs continued to strive for timely performance and have identified improvement strategies such as building capacity to respond to the increased demands for evaluations; streamlining the scheduling process; and increasing their use of BTOTS alerts for upcoming deadlines.

Baby Watch Early Intervention Program (BWEIP) staff monitored data for all EI programs and, when necessary, implemented enforcement and reporting strategies to address noncompliance. The enforcement and reporting activities included local analysis of data to identify specific areas of concern; development of a corrective action plan with data-based targets for correction of noncompliance; and the revision of program policies and/or procedures. BWEIP conducted additional on-site visits to verify the implementation of new procedures and verify correction of noncompliance.

Improvement Activities Completed in FFY 2010:

BWEIP continues to encourage EI providers to systematically run and review BTOTS monitoring reports for the timeliness indicators and bring to their staff’s attention alerts from the reports. These activities were incorporated into all EI providers’ data accuracy plans.

In FFY 2009 family and provider circumstances delay categories were clarified to capture in more detail the reasons for late events. Corresponding changes were made to BTOTS dropdown menus to incorporate the delay reason categories.

BWEIP continues to encourage providers to run and review systematically the BTOTS delay category reports in order to be aware of reasons for the delayed provision of IFSPs in their programs.

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

Based on guidance from OSEP during the October 2010 verification visit and the identification of noncompliance resulting from the State’s failure to issue findings based on the BTOTS database, BWEIP went back and reviewed its BTOTS database, identified noncompliance and issued findings on November 15, 2010, based on FFY 2009 data. On November 15, 2010, BWEIP notified the EI programs of 47 findings of noncompliance for late IFSP’s for the FFY 2009 time period. All 47 findings of noncompliance and their full correction will be further detailed in the FFY 2011 APR, Indicators 7 and 9, due February 1, 2013.

Level of compliance (actual target data) State reported for FFY 2009 for this indicator: 98.8%

1. Number of findings of noncompliance the State made during FFY 2009-2010 (the period from July 1, 2008, through June 30, 2009)	<u>47</u>
2. Number of FFY 2009-2010 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	<u>47</u>
3. Number of FFY 2009-2010 findings not verified as corrected within one year [(1) minus (2)]	<u>0</u>

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 2009-2010 findings not timely corrected (same as the number from (3) above)	<u>0</u>
5. Number of FFY 2009-2010 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)	<u>0</u>
6. Number of FFY 2009-2010 findings not verified as corrected [(4) minus (5)]	<u>0</u>

Actions Taken if Noncompliance Not Corrected: N/A

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

EI program compliance with evaluations, assessments, and initial IFSP meeting requirements is a component of the annual database monitoring for each EI program for the full 12 month reporting period. These monitoring reviews included a review by local programs of timely service initiation requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site and off-site reviews of data, procedures, and individual child files. When noncompliance was identified, each program was required to respond in writing to a Corrective Action (CA) to address and correct all incidences of noncompliance.

Four EI programs received notifications of noncompliance.

There were 47 (1.2% of total initial IFSPs) findings of noncompliance in four programs for this indicator identified through the BTOTS data base monitoring for all programs for the full year in FFY 2009. All corrective action required from FFY 2009 data base monitoring of this indicator has been completed by the EI programs and verified by BWEI staff within one year of notification of the noncompliance.

BWEIP has implemented a two pronged verification process to ensure that each EI program with a previous finding of noncompliance is (1) meeting regulatory requirements and (2) ensuring that in each instance of noncompliance, the EI program has conducted evaluations, assessments, and an IFSP meeting, although late, for any child whose IFSP were not initiated in a timely manner, unless the child is no longer within the jurisdiction of the BWEIP.

1. Related to the 4 programs with findings under Indicator 7, BWEIP verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) in **34 CFR §§303.340(c), 303.342(e), and 303.344(f)(1)** based on subsequently collected data.

When noncompliance was found, programs were required to report to BWEIP the results of regular self monitoring based on subsequently collected data. Programs must also submit narrative reports accounting for each specific instance of noncompliance and provide steps to ensure that the reasons for noncompliance are being addressed in order to prevent future recurrences. Programs demonstrated correction of noncompliance by performance at 100% for all children for at least one month.

By conducting ongoing monitoring, BWEIP further verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements.

2. For the 47 children/families impacted by noncompliance found in FFY 2009, BWEIP verified that the agency had conducted evaluations, assessments and an IFSP meeting, although late, for each child whose IFSP was not initiated in a timely manner, unless the child was no longer within the jurisdiction of BWEIP, consistent with **OSEP Memorandum 09-02, dated October 17, 2008.**

Table 2. Provider Circumstances and Length of Delay for Late IFSPs, FFY 2009-2010

	<u>Provider Circumstances for Late IFSPs</u>								Total
	<u>Provider Schedule</u>				<u>Late Evaluations</u>	<u>Illness</u>	<u>Waiting for Records</u>	<u>Late Intakes</u>	
<u># Days IFSPs Late</u>	<u>1-5</u>	<u>3-8</u>	<u>11-18</u>	<u>34</u>	<u>3-8</u>	<u>2-26</u>	<u>4-17</u>	<u>3-18</u>	
<u># Files</u>	<u>15</u>	<u>6</u>	<u>7</u>	<u>1</u>	<u>5</u>	<u>6</u>	<u>2</u>	<u>5</u>	<u>47</u>

As EI programs conducted data monitoring, they were required to document the actual number of days and reasons why evaluations, assessments and IFSP meetings were late (if the IFSP was not provided within 45 days). This is done to assure that IFSP requirements although late were provided for the child/family and as a way to encourage EI programs to analyze their data regularly. BWEIP has verified that each EI program with noncompliance under this indicator has met the requirements for each child although late. The results of EI program data monitoring are validated by BWEIP through ongoing BTOTS and onsite monitoring.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009:

BWEIP notified each EI program in writing of their findings of noncompliance as well as Corrective Action Levels Templates as detailed below.

*Document Copy***Noncompliance Corrective Action Process Overview**

As per OSEP instruction referenced on the enclosed FFY 2009-2010 Corrective Action Overview, Baby Watch is required to make findings and inform programs of all noncompliance, as well as implement a corrective action and fully correct and verify correction of all noncompliance as soon as possible, but no later than June 30, 2011.

The purpose of the corrective action is to assist the program and BWEIP to understand and correct the underlying causes of the noncompliance so that the program can achieve the **100% Compliance** status. We are using this template to assist with that process. The template includes a corrective action level for each compliance indicator that is less than 100% for FFY 2009-2010 and contains cells for you to supply current indicator data, analysis of the root cause/s for noncompliance, written implementation plan, reviews, reporting, and timelines.

To verify correction of noncompliance, Baby Watch must review data that demonstrate that your program has corrected each individual instance of noncompliance, unless the infant or toddler is no longer within the jurisdiction of your program. For timeline specific indicators (Indicators 1, 7, 8a, 8b, and 8c), data must demonstrate that the required action (e.g., evaluation and initial IFSP) occurred, although late. In addition, Baby Watch must review subsequent data (following the identification of noncompliance) that demonstrate 100% compliance with the requirements. The requirements for the full correction each level of noncompliance is detailed in the following chart.

<u>Corrective Action Requirements for Noncompliance Identified in FFY 2009-2010</u>			
<u>Compliance Level</u>	<u>Corrective Action Required?</u>	<u>EI Program Corrective Action Requirements</u>	<u>EI Program Corrective Action Reporting to BWEIP</u>
<u>100% Compliance</u>	<u>No</u>	<u>None</u>	<u>N/A</u>
<u>Meets Requirements 95% to 99.9% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> ● <u>Determine status and cause of each late event, unless the child is no longer in Part C.</u> ● <u>Periodic self-review of monitoring report(s) in the indicator(s) of concern.</u> 	<ul style="list-style-type: none"> ● <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> ● <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u>
<u>Needs Assistance 80% to 94.9% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> ● <u>Analysis of cause(s) of noncompliance.</u> ● <u>Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP.</u> ● <u>TA conference call(s) as needed.</u> ● <u>Onsite BWEIP TA as needed.</u> 	<ul style="list-style-type: none"> ● <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> ● <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u> ● <u>Quarterly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern.</u> ● <u>Final written report to BWEIP detailing progress by 6/1/11.</u>
<u>Needs Intervention 70% to 79.9% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> ● <u>Analysis of cause(s) of noncompliance</u> ● <u>Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP.</u> ● <u>Bi-monthly TA call with BWEIP.</u> ● <u>Onsite monitoring visit.</u> ● <u>Onsite BWEIP TA.</u> 	<ul style="list-style-type: none"> ● <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> ● <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u> ● <u>Bi-monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern.</u> ● <u>Monthly written reporting and TA call with BWEIP.</u> ● <u>Final written report to BWEIP detailing progress by 6/1/11.</u>
<u>Needs Substantial Intervention < 70% Compliance</u>	<u>Yes</u>	<ul style="list-style-type: none"> ● <u>Analysis of cause(s) of noncompliance</u> ● <u>Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP.</u> ● <u>Monthly TA call with BWEIP.</u> ● <u>Onsite monitoring visit(s).</u> ● <u>Onsite BWEIP TA.</u> 	<ul style="list-style-type: none"> ● <u>Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c).</u> ● <u>Subsequent data report at 100% for each indicator of concern per BWEIP specification.</u> ● <u>Monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern.</u> ● <u>Monthly written reporting and TA call with BWEIP.</u> ● <u>Final written report to BWEIP detailing progress by 6/1/11.</u>

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

1. Number of remaining FFY 2008-2009 findings of noncompliance noted in OSEP’s FFY 2008-2009 APR response table of June 2010 for this indicator	0
2. Number of remaining FFY 2008-2009 findings the State has verified as corrected	0
3. Number of remaining FFY 2008-2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Remaining FFY 2008 Findings: N/A

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010-2012:

Activities	Timelines	Resources
BWEIP will present an in-depth report on the status of Utah’s percentage of IFSPs within 45days to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will solicit stakeholder input for improvement activities to improve the percentage of IFSPs within 45 days.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will work with ICC and providers to develop a committee to analyze reason for late IFSPs	Ongoing	Monitoring BTOTS reports, APR Indicator data
BWEIP will work with the Parent Center and the ICC to develop education for parents and their role in early intervention.	April 2013	BWEIP, Parent Center, ICC

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

Overview of the Annual Performance Report Development:

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
2010 (2010-2011)	100% of files reviewed of children exiting Part C will receive 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;

Actual Target Data for FFY 2010:

100%

In late FFY 2010 the statewide database, the Baby and Toddler Online Tracking System (BTOTS), was enhanced to enable BWEIP to collect and monitor data for this indicator for every Baby Watch Early Intervention program each year. (Past data collection was based on a 3 year, 5 program onsite monitoring cycle). The data for the FFY 2010 APR submission for this indicator is from March 1, 2011- June 30, 2011, which is inclusive of the time period that the database enhancement took effect. Future submissions will include a full 12 month fiscal year.

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	74
b. Number of children exiting Part C	74
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)	100%

Explanation of Progress in FFY 2010:

In FFY 2010, 100% of files reviewed of children exiting Part C 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; The percentage increased by 4.4% as compared to FFY 2009 percentage of 95.6%. Process and data base changes were implemented statewide to ensure that transition steps and services were documented for all children exiting Part C.

Improvement Activities Completed in FFY 2010:

BWEIP implemented the data base change with the capacity to capture data for this indicator on March 1, 2011.

BWEIP provided technical assistance to EI programs regarding transition steps and services documentation in the data base.

BWEIP developed reports by program and statewide to monitor transition steps and services ongoing and at exit.

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

Level of compliance (actual target data) State reported for FFY 2009-2010 for this indicator: 95.6%

1. Number of findings of noncompliance the State made during FFY 2008-2009 (the period from July 1, 2008, through June 30, 2009).	12
2. Number of FFY 2008-2009 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)	12
3. Number of FFY 2008-2009 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 2009-2010 findings not timely corrected (same as the number from (3) above).	0
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5. Number of FFY 2009-2010 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”).	0
6. Number of FFY 2009-2010 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: N/A

Verification of Correction of FFY 2009 noncompliance or FFY 2008 findings (either timely or subsequent):

There were 12 findings of noncompliance for one program for this indicator identified through on-site compliance monitoring reviews that occurred in FFY 2009. All corrective action required for FFY 2009 has been completed and the correction of noncompliance verified by BWEIP staff within one year of notification of the noncompliance.

Early Intervention (EI) program compliance for IFSPs with transition steps and services requirements was a component of on-site compliance monitoring reviews. These monitoring reviews included a review by local programs for IFSPs with transition steps and services requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site reviews of data, procedures, and individual child files. If noncompliance was identified, each program was required to submit a Corrective Action Plan (CAP) to address all areas of noncompliance.

The program’s CAP was approved by BWEIP and the plan’s implementation was verified within one year of issuance of the findings of noncompliance report. Validation of the implementation of the CAP occurred through a variety of methods depending on the issues identified. BWEIP staff validated correction of noncompliance in the following manner:

- On-site review and sampling of child files to ensure that the correct policies and procedures were being implemented.
- Review of data in BTOTS.
- Review of child files of those children who’s IFSPs did not include transition steps and services to ensure that their IFSPs had been updated to include transition steps and services.
- EI program submission of details of the activities being conducted by the program to ensure the implementation of appropriate policies and procedures related to all IFSPs having transition steps and services.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009:

Twelve of 270 (4.5%) reviewed files did not include transition steps and services on the IFSP. The status of the files is as follows:

- Files 1 – 2: No documentation of transition steps and services on the six-month IFSP reviews.
- Files 3 –12: Transition steps and services form was blank or missing from file.

BWEIP issued findings of noncompliance and a CAP was written and implemented to address the noncompliance identified. CAP activities included the development of a form to be used with all IFSPs to document transition steps and services. The program submitted two subsequent data reports and BWEI verified that 100% of children were receiving transition steps and services on their IFSPs.

Consistent with OSEP Memorandum 09-02, Utah verified that the EI program is correctly implementing the specific regulatory requirements by collecting updated data that demonstrated compliance. Two

subsequent reviews of child files by BWEIP showed that all children under IFSP had transition steps and services documented.

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

1. Number of remaining FFY 2008-2009 findings of noncompliance noted in OSEP’s FFY 2009-2010 APR response table of June 2011 for this indicator	0
2. Number of remaining FFY 2008-2009 findings the State has verified as corrected	0
3. Number of remaining FFY 2008-2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2008 findings: N/A

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008: N/A

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

Additional Information required by the OSEP APR Response Table for this Indicator (if applicable): Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010-2012:

Activities	Timelines	Resources
BWEIP will present an in-depth report on the status of Utah’s percentage of Transition Steps and Services on the IFSP to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will solicit stakeholder input for improvement activities to improve Transition Steps and Services on the IFSP	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will develop new transition policy including steps and services for all children exiting Part C in accordance with the 2011 Part C Regulations	June 2012	BWEIP
BWEIP will work with information technology (IT) staff to document Transition Steps and Services on the IFSP for all children exiting Part C through web based BTOTS	June 2012	BWEIP, MDSC IT staff

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

Overview of the Annual Performance Report Development:

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:

- B 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
2010 (2010-2011)	100% of files reviewed of children exiting Part C will receive timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including: B. Notification to LEA, if child potentially eligible for Part B (unless family opts out);

Actual Target Data for FFY 2010:

100%

In late FFY 2010 the statewide database, the Baby and Toddler Online Tracking System (BTOTS), was enhanced to enable BWEIP to collect and monitor data for this indicator for every Baby Watch Early Intervention program each year. (Past data collection was based on a 3 year, 5 program onsite monitoring cycle). The data for the FFY 2010 APR submission for this indicator is from March 1, 2011 - June 30, 2011, which is inclusive of the time period that the database enhancement took effect. Future submissions will include a full 12 month fiscal year.

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	70
b. Number of children exiting Part C who were potentially eligible for Part B	70

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%
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Explanation of Progress in FFY 2010:

In FFY 2010, 100% of files reviewed of children exiting Part C received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including: B. Notification to the LEA. The percentage increased by .7% as compared to FFY 2009-2010 percentage of 99.3%. Process and data base changes were implemented statewide to ensure that notification to the LEA occurred unless the parent “*Opted Out of the Disclosure of Directory Information*” for all children exiting Part C. (BWEIP adopted a “Disclosure of Directory Information” or “opt out” policy, which was approved by OSEP in April 30, 2009). Four families Opted Out of the Disclosure of Directory Information during the reporting period.

Improvement Activities Completed in FFY 2010:

BWEIP implemented the data base change with the capacity to capture data for this indicator on March 1, 2011.

BWEIP provided technical assistance to EI programs regarding notification to the LEA documentation in the data base.

BWEIP developed reports by program and statewide to monitor notification to the LEA, ongoing and at exit.

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

Level of compliance (actual target data) State reported for FFY 2009-2010 for this indicator: 99.3%

1. Number of findings of noncompliance the State made during FFY 2009-2010 (the period from July 1, 2009, through June 30, 2010)	2
2. Number of FFY 2009-2010 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 2009-2010 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 2009-2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2009-2010 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”).	0
6. Number of FFY 2009-2010 findings <u>not</u> verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: N/A

Verification of Correction of FFY 2009-2010 noncompliance or FFY 2009-2010 findings (either timely or subsequent):

There were 2 findings of noncompliance in a single program for this indicator identified through on-site compliance monitoring reviews that occurred in FFY 2009-2010. All corrective action required for FFY 2009-2010 has been completed and the correction of noncompliance was verified by BWEIP staff within one year of notification of the noncompliance.

EI program compliance with notification to the LEA and BWEIP's "Disclosure of Directory Information" policy was a component of on-site compliance monitoring reviews. These monitoring reviews included a review by programs of the notification to the LEA requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site reviews of data, procedures, and individual child files. If noncompliance was identified, each program was required to submit a Corrective Action Plan (CAP) to address and correct any areas of noncompliance.

The program's CAP was approved by BWEIP and the plan's implementation was verified within one year of issuance of the findings of noncompliance report. Validation of the implementation of the CAP occurred through a variety of methods depending on the issues identified. BWEIP staff validated correction of noncompliance in the following manner:

- On site-review and sampling of child files to ensure that the correct policies and procedures were being implemented.
- Review of data in BTOTS.
- Review of child files that did not have documentation that BWEIP's "Disclosure of Directory Information" form was reviewed with the family to ensure that families were subsequently given the information.
- EI program submission to BWEIP of details of the activities being conducted by the program to ensure the implementation of appropriate policies and procedures related to notification to the LEA.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008-2009:

One program showed that 2 files of 21 (90.5%) had no evidence that notification to the LEA and discussion of the BWEIP's "Disclosure of Directory Information" ("opt out") policy was discussed with the families.

- Files 1 – 2: "Disclosure of Directory Information" form was missing from the file.

BWEIP issued findings of noncompliance and a CAP was written and implemented to address and correct the findings noncompliance identified. CAP activities included (1) a training conducted by the local program for their staff to review the BWEIP "Disclosure of Directory Information" policy and Part C regulations related to notification to the LEA; (2) the requirement that all children whose families were not informed about notification to the LEA and BWEIP's "Disclosure of Directory Information" policy be offered the opportunity to do so; and (3) verification that correct documentation was in all child files within two months of issuance of the CAP. At an on-site follow up visit, BWEIP staff verified that the required documentation was in both files.

Consistent with OSEP Memorandum 09-02, Utah verified that the EI program is correctly implementing the specific regulatory requirements by collecting updated data that demonstrated compliance. A subsequent review of children's files by BWEIP showed that the program was discussing notification to the LEA and the BWEIP "Disclosure of Directory Information" policy with all families and that completed forms were in all reviewed files.

Correction of Remaining FFY 2008-2009 Findings of Noncompliance (if applicable): N/A

1. Number of remaining FFY 2007-2008 findings of noncompliance noted in OSEP's FFY 2008 APR response table in June 2010 for this indicator	0
2. Number of remaining FFY 2008-2009 findings the State has verified as corrected	0
3. Number of remaining FFY 2008-2009 findings the State has NOT verified as corrected [(1) minus (2)]	0

Verification of Correction of Remaining FFY 2008-2009 findings: N/A

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008-2009: N/A

Correction of Any Remaining Findings of Noncompliance from FFY 2007-2008 or Earlier (if applicable): N/A

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

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010-2012:

Activities	Timelines	Resources
BWEIP will present an in-depth report on the status of Utah’s percentage of Notification to the LEA to a joint Interagency Coordinating Council ICC) and early intervention provider meeting.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will solicit stakeholder input for improvement activities to improve Notification to the LEA.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will develop new transition policy to include notification to the LEA for all children exiting Part C in accordance with the 2011 Part C Regulations	June 2012	BWEIP
BWEIP will work with information technology (IT) staff to document notification to the LEA on the IFSP for all children exiting Part C through web based BTOTS	June 2012	BWEIP, MDSC IT staff

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

Overview of the Annual Performance Report Development:

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 children exiting Part C and potentially eligible for Part B where the transition conference occurred) divided by the (# of children 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
2010 (2010-2011)	100% of files reviewed of children exiting Part C will receive 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.

The data was collected for this indicator for all Baby Watch Early Intervention programs through the statewide database, the Baby and Toddler Online Tracking System (BTOTS), and includes all children who were potentially eligible for Part B and for whom transition conferences were due for the full year July 1, 2010 through June 30, 2011.

Actual Target Data for FFY 2010-2011:

97.0% ~~93.0%~~

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 (the period from July 1, 2010 through June 30, 2011)	2,242
b. Number of children exiting Part C who were potentially eligible for Part B (the period from July 1, 2010 through June 30, 2011)	2,309

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) (the period from July 1, 2010 through June 30, 2011)	97%
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Explanation of Progress in FFY 2010:

The percentage of files in compliance increased from 93.0% in FFY 2009 to 97.0% in FFY 2010, an increase of 4.0%.

Of 2,309 records reviewed in BTOTS that required a transition conference, 2,242 showed that a transition conference was held in a timely manner. Six of 15 early intervention (EI) programs held 100% of the required transition conferences in a timely manner. The 67 late conferences were attributable to the nine remaining programs. Table 1 shows the 67 late transition conferences, delay reasons, and the number of days transition conferences were late, unless the child was no longer under the jurisdiction of BWEIP.

Table 1. Delay Reasons and Length of Delay for Late Transition Meetings, FFY 2010

	Delay Reasons for Late Transition Meetings							Total	
	Provider Schedule								Child No Longer in EI
# Days Late	1-15	16-30	31-45	46-60	61-75	76-90	Over 90	Not Held	
# Files	27	9	4	2	3	1	1	20	67

Improvement Activities Completed in FFY 2010:

BWEIP continues to encourage EI providers to run and review systematically BTOTS monitoring reports for the timeliness indicators and bring to their staff’s attention alerts from the reports. These activities were incorporated into all EI providers’ data accuracy plans.

In late FFY 2009 family and provider circumstances delay categories were clarified to capture in more detail the reasons for late events. Corresponding changes were made to BTOTS dropdown menus to incorporate the delay reason categories. During FFY 2010 providers were encouraged to drill down to the child level for reasons for delays and make necessary process adjustments to prevent future delayed service provision.

BWEIP encouraged providers to systematically run and review the BTOTS delay category reports in order to be aware of reasons for the delayed transition conferences in their programs.

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

Based on guidance from OSEP during the October 2010 verification visit and the identification of noncompliance resulting from the State’s failure to issue findings based on the BTOTS database, BWEIP went back and reviewed its BTOTS database, identified noncompliance and issued findings on November 15, 2010, based on FFY 2009 data. On November 15, 2010, BWEIP notified the EI programs of 145 findings of noncompliance timely transition conferences for the FFY 2009 time period. All 145 findings of noncompliance and their full correction will be further detailed in the FFY 2011 APR, Indicators 8C and 9, due February 1, 2013.

Level of compliance (actual target data) reported for FFY 2008 for this indicator: 95%

<u>1. Number of findings of noncompliance the State made during FFY 2009 (the</u>	<u>145</u>
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<u>period from July 1, 2009 through June 30, 2010)</u>	
<u>2. Number of FFY 2009-2010 findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS program of the finding)</u>	<u>145</u>
<u>3. Number of FFY 2009-2010 findings not verified as corrected within one year [(1.) minus (2.)]</u>	<u>0</u>

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

<u>4. Number of FFY 2009-2010 findings not timely corrected (same as the number from (3.) above)</u>	<u>0</u>
<u>5. Number of FFY 2009-2010 findings the State has verified as corrected beyond the one-year timeline (“subsequent correction”)</u>	<u>0</u>
<u>6. Number of FFY 2009-2010 findings not verified as corrected [(4.) minus (5.)]</u>	<u>0</u>

Actions Taken if Noncompliance Not Corrected: N/A

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

There were 145 findings of noncompliance in six programs for this indicator identified through on-site compliance monitoring reviews that occurred in FFY 2009. All corrective action required for FFY 2009 has been completed and the correction of noncompliance verified by BWEIP staff within one year of notification of the noncompliance.

EI program compliance with transition conference requirements was a component of on-site compliance monitoring reviews. These monitoring reviews included a review by programs of transition conference requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site reviews of data, procedures, and individual child files. If noncompliance was identified, each program was required to submit a Corrective Action Plan (CAP) to address and correct any areas of noncompliance.

The program’s CAP was approved by BWEIP and the plan’s implementation was verified within one year of issuance of the findings of noncompliance report. Validation of the implementation of the CAP occurred through a variety of methods depending on the issues identified. BWEIP staff validated correction of noncompliance in the following manner:

- On site review and sampling of child files to ensure that the correct policies and procedures were being implemented.
- Review of data in BTOTS.
- Review of child files of those children who did not have timely transition conferences to ensure that the meeting did occur, as well as for a subsequent selection of children.
- EI program submission of details of the activities being conducted by the program to ensure the implementation of appropriate policies and procedures related to transition conferences.

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2009:

Table 2. Delay Reasons and Length of Delay for Late Transition Meetings, FFY 2009

	<u>Delay Reasons for Late Transition Meetings</u>								Total	
	Provider Schedule									Child No Longer in EI
# Days Late	<u>1-15</u>	<u>16-30</u>	<u>31-45</u>	<u>46-60</u>	<u>61-75</u>	<u>76-90</u>	<u>91-105</u>	<u>109</u>	Not Held	
# Files	<u>32</u>	<u>22</u>	<u>11</u>	<u>11</u>	<u>9</u>	<u>4</u>	<u>1</u>	<u>1</u>	<u>54</u>	<u>145</u>

~~BWEIP issued a finding of noncompliance for six EI programs and CAPs were written and implemented to address and correct the noncompliance identified. CAP activities included (1) providing intensive training about transition to the existing Transition Coordinator; (2) requiring the Transition Coordinator to report the status of all transition conferences on a monthly basis to his supervisor; (3) revising the transition process to meet requirements that all meetings due by 90 days are to be held between 120 to 90 days before child's third birthday; and (4) adopting a new system to keep documentation of all aspects of transition together and enable staff to comply with all time lines. Transition conferences were subsequently held for two of the five children potentially eligible for Part B reported as being late in FFY 2008. The three remaining children exited EI services without a transition conference. The program found the Transition Coordinator at his performance review to be performing at an unsatisfactory level and, when efforts to improve his performance failed, a replacement coordinator was hired and trained. This program successfully implemented new supervisory procedures to monitor timeliness of transition conferences and currently documents all attempts to schedule the transition conference in BTOTS.~~

~~Consistent with OSEP Memorandum 09-02, BWEIP has verified that the EI program with noncompliance reported in the FFY 2008 APR is correctly implementing the specific regulatory requirements by collecting updated data that demonstrated compliance. An on-site visit and a final BTOTS report verified full correction of the noncompliance within one year of identification of the noncompliance.~~

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

Describe the specific actions that the State took to verify the correction of findings of noncompliance identified in FFY 2008: N/A

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

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010-2012:

Activities	Timelines	Resources
BWEIP will present an in-depth report on the status of Utah’s percentage of Timely Transition Conferences to a joint Interagency Coordinating Council (ICC) and early intervention provider meeting.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will solicit stakeholder input for improvement activities to improve Timely Transition Conferences.	Annually	Monitoring BTOTS reports, APR Indicator data
BWEIP will develop new transition policy including timely transition conference for all children exiting Part C in accordance with the 2011 Part C Regulations	June 2012	BWEIP
BWEIP will work with information technology (IT) staff to document timely transition conference on the IFSP for all children exiting Part C through web based BTOTS	June 2012	BWEIP, MDSC IT staff
BWEIP will work with the Parent Center and the ICC to develop education for parents and their role in early intervention.	April 2013	BWEIP, Parent Center, ICC

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
2010 (2010-2011)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct 100% of all noncompliance as soon as possible but in no case later than one year from identification.

Actual Target Data for FFY 2010

100%

Describe the process for selecting EIS programs for Monitoring:

See the State Performance Plan (SPP) 2005-2012 Indicator 9 for updated information on the revisions to the BWEIP general supervision system to include using the statewide database, the Baby and Toddler Online Tracking System (BTOTS), to collect an entire year’s worth of data for compliance monitoring.

Of the 389 findings reported in the FFY 2010 APR, 14 findings are based on onsite monitoring, while the remaining 375 findings are from BTOTS for indicators 1, 7 and 8C. All of these 389 findings are based on FFY 2009 data. However, the 14 findings were identified and corrected between July 1, 2009 - June 30, 2010 (FFY 2009), while the remaining 375 findings were issued in November 2010 (FFY 2010) but reported incorrectly in indicator 9 chart. These 375 findings will be reported in the FFY 2011 APR due February 1, 2013. Following the October 2010, verification visit, BWEIP was advised by OSEP to go back and review the BTOTS database and make findings on identified noncompliance.

The FFY 2009 (with the exception of Indicators 8A and 8B) APR data was based on data from BTOTS for all 15 programs for an entire year. Prior to FFY 2009 compliance for this indicator was based on monitoring reviews at 5 programs annually. The use of the data for the entire state through BTOTS strengthened the awareness and ability of all providers to self monitor on an ongoing basis. This is directly related to the progress demonstrated.

The Baby Watch Early Intervention Program (BWEIP) collected data for Indicators 8A. and 8B. compliance in FFY 2009 through on-site compliance monitoring reviews. The 15 programs were reviewed on a three-year cycle, with five sites receiving a full compliance monitoring visit each year. At each site, 25% of the files or 25 files—whichever is greater—are reviewed, an increase in the number of files reviewed compared to previous years.

Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2010:

BWEIP encouraged early intervention (EI) programs to use monitoring and data reports available in BTOTS to track the correction of all noncompliance. When noncompliance was identified, Corrective Action Plans (CAPs) were issued by BWEIP and completed as soon as possible but no later than one year from notification of the noncompliance. See Resources on pages 13 and 14.

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 made during FFY 2009-2010 (the period from July 1, 2009, through June 30, 2010) (Sum of Column a on the Indicator C 9 Worksheet)	<u>14 389</u>
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 C 9 Worksheet)	<u>14 389</u>
3. Number of 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 2009-2010 findings not timely corrected (same as the number from (3) above)	0
5. Number of FFY 2009-2010 findings the State has verified as corrected beyond the one-year timeline ("subsequent correction").	0
6. Number of FFY 2009-2010 findings <u>not</u> yet verified as corrected [(4) minus (5)]	0

Actions Taken if Noncompliance Not Corrected: N/A

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

BWEIP verified that each EI program with noncompliance identified in FFY 2009 (1) was correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) based on a review of updated data (e.g., data subsequently collected through on-site monitoring or BTOTS) and (2) corrected each individual case of noncompliance, unless the child was no longer within the jurisdiction of the BWEIP, as consistent with OSEP Memorandum 09-02.

Describe the specific actions that State took to verify the correction in FFY 2010 of findings of noncompliance identified in FFY 2009:**Indicator 1: Timely IFSP Services – 183 Findings of Noncompliance**

EI program compliance with timely service initiation requirements is a component of the annual database monitoring for each EI program for the full 12-month reporting period. These monitoring reviews included a review by local programs of timely service initiation requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site and off-site reviews of data, procedures, and individual child files. When noncompliance was identified, each program was required to respond in writing to a Corrective Action (CA) to address and correct all incidences of noncompliance.

Fourteen EI programs received notifications of noncompliance.

There were 183 (2.8% of total new service visits) findings of noncompliance in fourteen programs for this indicator identified through the BTOTS data base monitoring for all programs for the full year in FFY 2009. All corrective action required from FFY 2009 data base monitoring of this indicator has been completed by the EI programs and verified by BWEIP staff within one year of notification of the noncompliance.

BWEIP has implemented a two-pronged verification process to ensure that each EI program with a previous finding of noncompliance is (1) meeting regulatory requirements and (2) ensuring that in each instance of noncompliance, the EI program has initiated services, although late, for any child whose services were not initiated in a timely manner, unless the child is no longer within the jurisdiction of the BWEIP.

1. Related to the 14 programs with findings under Indicator 1, BWEIP verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) in **34 CFR §§303.340(c), 303.342(e), and 303.344(f)(1)** based on subsequently collected data.

When noncompliance was found, programs were required to report to BWEIP the results of regular self-monitoring based on subsequently collected data. Programs must also submit narrative reports accounting for each specific instance of noncompliance and provide steps to ensure that the reasons for noncompliance are being addressed in order to prevent future recurrences. Programs demonstrated correction of noncompliance by performance at 100% for all children for at least one month.

By conducting ongoing monitoring, BWEIP further verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements.

2. For the 183 children/families impacted by noncompliance found in FFY 2009, BWEIP verified that the agency had initiated services, although late, for each child whose services were not initiated in a timely manner, unless the child was no longer within the jurisdiction of BWEIP, consistent with **OSEP Memorandum 09-02, dated October 17, 2008.**

Table 1. Length of Service Delay for FFY 2009-2010

LATE NEW SERVICE STATUS FFY 2009								
<u>Provider Delay</u>	<u>#Child no longer in Part C</u>	<u>1-5 Days Late</u>	<u>6-15 Days Late</u>	<u>16-25 Days Late</u>	<u>26-35 Days Late</u>	<u>36-45 Days Late</u>	<u>45+ Days Late</u>	<u>Total</u>
Program 1	0	0	3	1	2	0	0	6
Program 2	4	4	4	1	0	0	0	13
Program 3	0	1	0	1	0	2	0	4
Program 4	2	4	7	1	2	0	4	20
Program 5	1	0	0	0	0	2	0	3
Program 6	5	3	1	1	3	0	8	21
Program 7	0	0	1	0	1	0	0	2
Program 8	0	1	2	0	0	0	3	6
Program 11	2	2	5	1	0	0	2	12
Program 12	26	3	6	1	1	2	35	74
Program 13	1	3	3	1	0	0	1	9
Program 14	3	2	1	2	0	0	3	13
Total	44	23	33	11	9	6	56	183

*Child no longer under the jurisdiction of Part C

As EI programs conducted data monitoring, they were required to document the actual number of days after the IFSP service start date that the service was provided (if the service was not provided within 45 days). This is done to assure that services although late were provided for the child/family and as a way to encourage EI programs to analyze their data regularly. BWEIP has verified that each EI program with noncompliance under this indicator has met the requirements for each child although late. The results of EI program data monitoring are validated by BWEIP through ongoing BTOTS and onsite monitoring.

Indicator 7: IFSP within 45 days – Forty Seven Findings of Noncompliance

EI program compliance with evaluations, assessments, and initial IFSP meeting requirements is a component of the annual database monitoring for each EI program for the full 12 month reporting period. These monitoring reviews included a review by local programs of timely service initiation requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site and off-site reviews of data, procedures, and individual child files. When noncompliance was identified, each program was required to respond in writing to a Corrective Action (CA) to address and correct all incidences of noncompliance.

Four EI programs received notifications of noncompliance.

There were 47 (1.2% of total initial IFSPs) findings of noncompliance in four programs for this indicator identified through the BTOTS data base monitoring for all programs for the full year in FFY 2009. All corrective action required from FFY 2009 data base monitoring of this indicator has been completed by the EI programs and verified by BWEI staff within one year of notification of the noncompliance.

BWEIP has implemented a two pronged verification process to ensure that each EI program with a previous finding of noncompliance is (1) meeting regulatory requirements and (2) ensuring that in each instance of noncompliance, the EI program has conducted evaluations, assessments, and an IFSP meeting, although late, for any child whose IFSP were not initiated in a timely manner, unless the child is no longer within the jurisdiction of the BWEIP.

1. Related to the 4 programs with findings under Indicator 7, BWEIP verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) in 34 CFR §§303.340(e), 303.342(e), and 303.344(f)(1) based on subsequently collected data.

~~When noncompliance was found, programs were required to report to BWEIP the results of regular self-monitoring based on subsequently collected data. Programs must also submit narrative reports accounting for each specific instance of noncompliance and provide steps to ensure that the reasons for noncompliance are being addressed in order to prevent future recurrences. Programs demonstrated correction of noncompliance by performance at 100% for all children for at least one month.~~

~~By conducting ongoing monitoring, BWEIP further verified that each EI program with noncompliance under this indicator is correctly implementing the specific regulatory requirements.~~

- ~~2. For the 47 children/families impacted by noncompliance found in FFY 2009, BWEIP verified that the agency had conducted evaluations, assessments and an IFSP meeting, although late, for each child whose IFSP was not initiated in a timely manner, unless the child was no longer within the jurisdiction of BWEIP, consistent with **OSEP Memorandum 09-02, dated October 17, 2008.**~~

Table 2. Provider Circumstances and Length of Delay for Late IFSPs, FFY 2009

	<u>Provider Circumstances for Late IFSPs</u>								Total
	<u>Provider Schedule</u>				<u>Late Evaluations</u>	<u>Illness</u>	<u>Waiting for Records</u>	<u>Late Intakes</u>	
<u># Days IFSPs Late</u>	<u>1-5</u>	<u>3-8</u>	<u>11-18</u>	<u>34</u>	<u>3-8</u>	<u>2-26</u>	<u>4-17</u>	<u>3-18</u>	
<u># Files</u>	<u>15</u>	<u>6</u>	<u>7</u>	<u>1</u>	<u>5</u>	<u>6</u>	<u>2</u>	<u>5</u>	<u>47</u>

~~As EI programs conducted data monitoring, they were required to document the actual number of days and reasons why evaluations, assessments and IFSP meetings were late (if the IFSP was not provided within 45 days). This is done to assure that IFSP requirements although late although late were provided for the child/family and as a way to encourage EI programs to analyze their data regularly. BWEIP has verified that each EI program with noncompliance under this indicator has met the requirements for each child although late. The results of EI program data monitoring are validated by BWEIP through ongoing BTOTS and onsite monitoring.~~

~~BWEIP reviewed updated data (subsequent data from IFSPs) for both EI programs and determined that 100% of the IFSPs for children referred after noncompliance was identified were completed within 45 days of referral. These reviews fully demonstrated and documented that the programs are currently implementing the statutory/regulatory requirements consistent with the 45-day timely completion of IFSPs.~~

Indicator 8A: IFSPs with Transition Steps and Services - Twelve Findings of Noncompliance

There were 12 findings of noncompliance for one program for this indicator identified through on-site compliance monitoring reviews that occurred in FFY 2009. All corrective action required for FFY 2009 2010 has been completed and the correction of noncompliance verified by BWEIP staff within one year of notification of the noncompliance.

Early Intervention (EI) program compliance for IFSPs with transition steps and services requirements was a component of on-site compliance monitoring reviews. These monitoring reviews included a review by local programs for IFSPs with transition steps and services requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site reviews of data, procedures, and individual child files. If noncompliance was identified, each program was required to submit a Corrective Action Plan (CAP) to address all areas of noncompliance.

The program's CAP was approved by BWEIP and the plan's implementation was verified within one year of issuance of the findings of noncompliance report. Validation of the implementation of the CAP occurred through a variety of methods depending on the issues identified. BWEIP staff validated correction of noncompliance in the following manner:

- On site-review and sampling of child files to ensure that the correct policies and procedures were being implemented.
- Review of data in BTOTS.
- Review of child files of those children who's IFSPs did not include transition steps and services to ensure that their IFSPs had been updated to include transition steps and services.
- EI program submission of details of the activities being conducted by the program to ensure the implementation of appropriate policies and procedures related to all IFSPs having transition steps and services.

Twelve of 270 (4.5%) reviewed files did not include transition steps and services on the IFSP. The status of the files is as follows:

- Files 1 – 2: No documentation of transition steps and services on the six-month IFSP reviews.
- Files 3 –12: Transition steps and services form was blank or missing from file.

BWEIP issued a finding of noncompliance and a CAP was written and implemented to address the noncompliance identified. CAP activities included the development of a form to be used with all IFSPs to document transition steps and services. The program submitted two subsequent data reports and BWEI verified that 100% of children were receiving transition steps and services on their IFSPs.

Consistent with OSEP Memorandum 09-02, Utah verified that the EI program is correctly implementing the specific regulatory requirements by collecting updated data that demonstrated compliance. Two subsequent reviews of child files by BWEIP showed that all children under IFSP had transition steps and services documented.

Indicator 8B: Notification to LEA, if child potentially eligible for Part B. – Two Findings of Noncompliance

There were 2 findings of noncompliance in a single program for this indicator identified through on-site compliance monitoring reviews that occurred in FFY 2009. All corrective action required for FFY 2009 has been completed and the correction of noncompliance was verified by BWEIP staff within one year of notification of the noncompliance.

EI program compliance with notification to the LEA and BWEIP's "Disclosure of Directory Information" policy was a component of on-site compliance monitoring reviews. These monitoring reviews included a review by programs of the notification to the LEA requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site reviews of data, procedures, and individual child files. If noncompliance was identified, each program was required to submit a Corrective Action Plan (CAP) to address and correct any areas of noncompliance.

The program's CAP was approved by BWEIP and the plan's implementation was verified within one year of issuance of the findings of noncompliance report. Validation of the implementation of the CAP occurred through a variety of methods depending on the issues identified. BWEIP staff validated correction of noncompliance in the following manner:

- On site-review and sampling of child files to ensure that the correct policies and procedures were being implemented.

- Review of data in BTOTS.
- Review of child files that did not have documentation that BWEIP's "Disclosure of Directory Information" form was reviewed with the family to ensure that families were subsequently given the information.
- EI program submission to BWEIP of details of the activities being conducted by the program to ensure the implementation of appropriate policies and procedures related to notification to the LEA.

One program showed that 2 files of 21 (90.5%) had no evidence that notification to the LEA and discussion of the BWEIP's "Disclosure of Directory Information" ("opt out") policy was discussed with the families.

- Files 1 – 2: "Disclosure of Directory Information" form was missing from the file.

BWEIP issued findings of noncompliance and a CAP was written and implemented to address and correct the findings noncompliance identified. CAP activities included (1) a training conducted by the local program for their staff to review the BWEIP "Disclosure of Directory Information" policy and Part C regulations related to notification to the LEA; (2) the requirement that all children whose families were not informed about notification to the LEA and BWEIP's "Disclosure of Directory Information" policy be offered the opportunity to do so; and (3) verification that correct documentation was in all child files within two months of issuance of the CAP. At an on-site follow up visit, BWEIP staff verified that the required documentation was in the both files.

Consistent with OSEP Memorandum 09-02, Utah verified that the EI program is correctly implementing the specific regulatory requirements by collecting updated data that demonstrated compliance. A subsequent review of children's files by BWEIP showed that the program was discussing notification to the LEA and the BWEIP "Disclosure of Directory Information" policy with all families and that completed forms were in all files.

Indicator 8C: Transition Conference – One Hundred Forty Five Findings of Noncompliance

~~There were 145 findings of noncompliance in six programs for this indicator identified through on-site compliance monitoring reviews that occurred in FFY 2009. All corrective action required for FFY 2009 has been completed and the correction of noncompliance verified by BWEIP staff within one year of notification of the noncompliance.~~

~~EI program compliance with transition conference requirements was a component of on-site compliance monitoring reviews. These monitoring reviews included a review by programs of transition conference requirements through the review of data, written policies, and individual child files. Similarly, BWEIP staff also conducted on-site reviews of data, procedures, and individual child files. If noncompliance was identified, each program was required to submit a Corrective Action Plan (CAP) to address and correct any areas of noncompliance.~~

~~The program's CAP was approved by BWEIP and the plan's implementation was verified within one year of issuance of the findings of noncompliance report. Validation of the implementation of the CAP occurred through a variety of methods depending on the issues identified. BWEIP staff validated correction of noncompliance in the following manner:~~

- ~~• On-site review and sampling of child files to ensure that the correct policies and procedures were being implemented.~~
- ~~• Review of data in BTOTS.~~

- ~~Review of child files of those children who did not have timely transition conferences to ensure that the meeting did occur, as well as for a subsequent selection of children.~~
- ~~EI program submission of details of the activities being conducted by the program to ensure the implementation of appropriate policies and procedures related to transition conferences.~~

Table 3. Delay Reasons and Length of Delay for Late Transition Meetings, FFY 2009

	<u>Delay Reasons for Late Transition Meetings</u>									Total
	Provider Schedule								Child No Longer in EI	
# Days Late	1-15	16-30	31-45	46-60	61-75	76-90	91-105	109	Not Held	
# Files	32	22	11	11	9	4	1	1	54	145

~~BWEIP issued a finding of noncompliance for six EI programs and CAPs were written and implemented to address and correct the noncompliance identified. CAP activities included (1) providing intensive training about transition to the existing Transition Coordinator; (2) requiring the Transition Coordinator to report the status of all transition conferences on a monthly basis to his supervisor; (3) revising the transition process to meet requirements that all meetings due by 90 days are to be held between 120 to 90 days before child's third birthday; and (4) adopting a new system to keep documentation of all aspects of transition together and enable staff to comply with all time lines. Transition conferences were subsequently held for two of the five children potentially eligible for Part B reported as being late in FFY 2008. The three remaining children exited EI services without a transition conference. The program found the Transition Coordinator at his performance review to be performing at an unsatisfactory level and, when efforts to improve his performance failed, a replacement coordinator was hired and trained. This program successfully implemented new supervisory procedures to monitor timeliness of transition conferences and currently documents all attempts to schedule the transition conference in BTOTS.~~

~~Consistent with OSEP Memorandum 09-02, BWEIP has verified that the EI program with noncompliance reported in the FFY 2008 APR is correctly implementing the specific regulatory requirements by collecting updated data that demonstrated compliance. An on-site visit and a final BTOTS report verified full correction of the noncompliance within one year of identification of the noncompliance.~~

Correction of Remaining FFY 2007 Findings of Noncompliance: N/A

Correction of Any Remaining Findings of Noncompliance from FFY 2006 or Earlier: N/A

Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2010-2012:

Activity	Timeline	Resources
Apply both prongs of 09-02 Memo to all findings of noncompliance.	2010-2013	BWEIP Staff
Monitor Corrective Actions Plans (CAPs) and correction of all noncompliance through BTOTS, child record reviews, and EI provider policy and procedures.	2010-2013	BWEIP Staff

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	14 0	183 0	183 0
	Dispute Resolution: Complaints, Hearings	0	0	0
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	0	0	0
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	0	0	0

Optional APR Template – Part C (4)

Utah

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	0	0	0
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
6. Percent of infants and toddlers birth to 3 with IFSPs	Dispute Resolution: Complaints, Hearings	0	0	0
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	40	470	470
	Dispute Resolution: Complaints, Hearings	0	0	0
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	12	12
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;	Dispute Resolution: Complaints, Hearings	0	0	0

Optional APR Template – Part C (4)

Utah

<p>8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:</p>	<p>Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other</p>	<p>1</p>	<p>2</p>	<p>2</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>Dispute Resolution: Complaints, Hearings</p>	<p>0</p>	<p>0</p>	<p>0</p>
<p>8. The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:</p>	<p>Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other</p>	<p>6 0</p>	<p>145 0</p>	<p>145 0</p>
<p>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, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.</p>	<p>Dispute Resolution: Complaints, Hearings</p>	<p>0</p>	<p>0</p>	<p>0</p>
<p>OTHER AREAS OF NONCOMPLIANCE:</p>	<p>Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other</p>	<p>0</p>	<p>0</p>	<p>0</p>

	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
OTHER AREAS OF NONCOMPLIANCE:	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	0
	Dispute Resolution: Complaints, Hearings	0	0	0
			389	389
Sum the numbers down Column a and Column b			14	14
Percent of noncompliance corrected within one year of identification = (column (b) sum divided by column (a) sum) times 100.			(b) / (a) X 100 =	100.00%

REFERENCE Correction of Noncompliance/Corrective Action Process

Noncompliance Corrective Action Process Overview

As per OSEP instruction referenced on the enclosed FFY 2009-2010 Corrective Action Overview, Baby Watch is required to make findings and inform programs of all noncompliance, as well as implement a corrective action and fully correct and verify correction of all noncompliance as soon as possible, but no later than June 30, 2011.

The purpose of the corrective action is to assist the program and BWEIP to understand and correct the underlying causes of the noncompliance so that the program can achieve the **100% Compliance** status. We are using this template to assist with that process. The template includes a corrective action level for each compliance indicator that is less than 100% for FFY 2009-2010 and contains cells for you to supply current indicator data, analysis of the root cause/s for noncompliance, written implementation plan, reviews, reporting, and timelines.

To verify correction of noncompliance, Baby Watch must review data that demonstrate that your program has corrected each individual instance of noncompliance, unless the infant or toddler is no longer within the jurisdiction of your program. For timeline-specific indicators (Indicators 1, 7, 8a, 8b, and 8c), data must demonstrate that the required action (e.g., evaluation and initial IFSP) occurred, although late. In addition, Baby Watch must review subsequent data (following the identification of noncompliance) that demonstrate 100% compliance with the requirements. The requirements for the full correction each level of noncompliance is detailed in the following chart.

Corrective Action Requirements for Noncompliance Identified in FFY 2009-2010			
Compliance Level	Corrective Action Required?	EI Program Corrective Action Requirements	EI Program Corrective Action Reporting to BWEIP
100% Compliance	No	None	N/A
Meets Requirements 95% to 99.9% Compliance	Yes	<ul style="list-style-type: none"> Determine status and cause of each late event, unless the child is no longer in Part C. Periodic self-review of monitoring report(s) in the indicator(s) of concern. 	<ul style="list-style-type: none"> Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c). Subsequent data report at 100% for each indicator of concern per BWEIP specification.
Needs Assistance 80% to 94.9% Compliance	Yes	<ul style="list-style-type: none"> Analysis of cause(s) of noncompliance. Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP. TA conference call(s) as needed. Onsite BWEIP TA as needed. 	<ul style="list-style-type: none"> Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c). Subsequent data report at 100% for each indicator of concern per BWEIP specification. Quarterly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern. Final written report to BWEIP detailing progress by 6/1/11.
Needs Intervention 70% to 79.9% Compliance	Yes	<ul style="list-style-type: none"> Analysis of cause(s) of noncompliance Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP. Bi-monthly TA call with BWEIP. Onsite monitoring visit. Onsite BWEIP TA. 	<ul style="list-style-type: none"> Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c). Subsequent data report at 100% for each indicator of concern per BWEIP specification. Bi-monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern. Monthly written reporting and TA call with BWEIP. Final written report to BWEIP detailing progress by 6/1/11.
Needs Substantial Intervention < 70% Compliance	Yes	<ul style="list-style-type: none"> Analysis of cause(s) of noncompliance Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP. Monthly TA call with BWEIP. Onsite monitoring visit(s). Onsite BWEIP TA. 	<ul style="list-style-type: none"> Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8a-c). Subsequent data report at 100% for each indicator of concern per BWEIP specification. Monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern. Monthly written reporting and TA call with BWEIP. Final written report to BWEIP detailing progress by 6/1/11.

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

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 (2010-2011)	100% of signed written complaints with reports issued will be resolved within a 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.

Actual Target Data for FFY 2010-2011: N/A

The Baby Watch Early Intervention Program (BWEIP) received no signed written complaints with a report issued within 60 days during the FFY 2010-2011 reporting period.

Improvement Activities Completed for FFY 2010-2011: N/A

Resolution of Previously Identified Noncompliance for FFY 2009-2010: N/A

Revisions, with Justification, Improvement Activities / Timelines / Resources for 2010-2012:

Activity	Timeline	Resources
Create and keep a log to document informal concerns raised by parents of children receiving early intervention services who contact the State	2011 - ongoing	BWEIP program director
Require all local programs to create and keep a log to document informal concerns raised by parents of children receiving early intervention services	2011 - ongoing	BWEIP staff and all local programs

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

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 (2010-2011)	100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.

Actual Target Data for FFY 2010-2011: N/A

The Baby Watch Early Intervention Program (BWEIP) received no due process hearing requests were filed during FFY 2010-2011.

Improvement Activities Completed for FFY 2010-2011: N/A

Resolution of Previously Identified Noncompliance for FFY 2009-2010: N/A

Revisions, with Justification, Improvement Activities / Timelines / Resources for 2010-2012:

Activity	Timeline	Resources
Create and keep a log to document informal concerns raised by parents of children receiving early intervention services who contact the State	2011 - ongoing	BWEIP program director
Require all local programs to create and keep a log to document informal concerns raised by parents of children receiving early intervention services	2011 - ongoing	BWEIP staff and all local programs

Part C Annual Performance Report (APR) for 2010

Overview of the State Performance Plan Development:

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.

Utah Part C has not adopted Part B due process procedures

N/A

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

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 = $[(2.1(a)(i) + 2.1(b)(i)) \text{ divided by } (2.1)] \text{ times } 100.$

FFY	Measurable and Rigorous Target
2010 (2009-2010)	100% percent of mediations held resulted in mediation agreements.

Actual Target Data for FFY 2010-2011: N/A

The Baby Watch Early Intervention Program (BWEIP) received no requests for mediations during the reporting period of FFY 2010-2011.

Improvement Activities Completed for FFY 2010-2011: N/A

Resolution of Previously Identified Noncompliance for FFY 2009-2010: N/A

Revisions, with Justification, Improvement Activities / Timelines / Resources for 2010-2012:

Activity	Timeline	Resources
Create and keep a log to document informal concerns raised by parents of children receiving early intervention services who contact the State.	2011 - ongoing	BWEIP program director
Require all local programs to create and keep a log to document informal concerns raised by parents of children receiving early intervention services.	2011 - ongoing	BWEIP staff and all local programs
Work with Utah State Office of Education to increase the number of hearing officers trained on Part C issues in case of a due process hearing request.	2011 - ongoing	BWEIP program director

Part C State Annual Performance Report (APR) for 2010

Overview of the Annual Performance Report Development:

Refer to Overview of Annual Performance Plan preceding this document.

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, including race and ethnicity, settings and November 1 for exiting, personnel, dispute resolution); and
- b. Accurate (describe mechanisms for ensuring accuracy).

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 (2010-2011)	100% of the state-reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

Actual Target Data for FFY 2010-2011:

100% of state-reported data (618 and State Performance Plan and Annual Performance report) are timely and accurate.

- 618 Table 1: submitted January 25, 2011. Revisions submitted April 19, 2011(data notes added in response to “Year-to-Year Changes”); and May 24, 2011.
- 618 Table 2: submitted January 25, 2011. Revisions submitted April 19, 2011(data notes added in response to “Year-to-Year Changes”); and May 24, 2011.
- 618 Table 3: submitted October 17, 2011.
- 618 Table 4: submitted October 17, 2011.

The Baby Watch Early Intervention Program (BWEIP) data manager contacted all program directors six to eight weeks prior to the 618 data submission dates to initiate the process of verifying their data were complete and accurate prior to being compiled and submitted to DAC. Through this process, the BWEIP data manager worked closely with the local programs and was available to answer questions, check on operational definitions, etc., as needed. All program directors were required to submit to BWEIP a signed written verification of data completeness and accuracy.

Progress for FFY 2010-2011:

July 2010 – June 2011: BWEIP staff met regularly throughout the year with contractors from Multimedia Data Services Corporation (MDSC) to ensure fidelity and progress of the web-based version of the Baby and Toddler Online Tracking System (BTOTS). In May 2011, BWEIP and MDSC staff met with local program staff to update them on development progress, and deployment requirements and timelines.

July 2010 – June 2011: During the last year, 229 calls and emails were submitted through the BTOTS HELP line. The BTOTS HELP line, along with a BTOTS User's Guide, has been available to providers since the initial installation of the application. HELP line inquiries generally consist of data entry and policy questions, along with application and report enhancement requests.

July 2010 – June 2011: BTOTS Users Group (BUG) meetings were held on a regular basis throughout the year. Key discussion points included:

July 2010

- BTOTS Classic:
 - 2.8.2
 - Assessment teams now optional
 - Annual review visit reassignment
 - Ending PIP services unchecks the PIP flag
 - Review of bug fixes
 - 2.8.3
 - Exit date can no longer be after child's third birthday
 - Review of bug fixes
- Discussion of proposed BTOTS Classic 2.9.0 updates
- TEDI reconciliation process demonstration
- BTOTS Web:
 - Development progress
 - Reviewed operational definitions

October 2010

- BTOTS Classic: review of recent updates
 - 2.8.4
 - Review of bug fixes
- TEDI exit reason updates
- Discussion of future BTOTS Classic updates
 - 2.9.0
 - Expanded delay reasons for late IFSPs and transition conferences
 - Review of new reports
 - 2.10.0
 - Auto transfer enhancements
- BTOTS Web: review of development process

December 2010

- Deactivating accounts for former employees
- Discussion of future BTOTS Classic updates
 - 2.9.0
 - Expanded delay reasons for late IFSPs and transition conferences
 - Timely Services report
 - COSF alert fix

February 2011

- BTOTS Classic: review of recent updates
 - 2.9.0
 - Expanded list of delay categories
 - Transition steps and services
 - New transition meeting category
 - Timely Services report
 - COSF alert
- BTOTS Web:
 - Demonstrations of Find Child screen, person “picker,” COSF decision tree
 - Discussion of home page and dashboard

April 2011

- BTOTS Classic:
 - Review of 2.9.0 and 2.9.1 updates
 - 2.9.2
 - CHARM framework update
 - Display “late after” dates on IFSP review and transition conference data entry forms
 - Display “Months of Service” on COSF tab
 - “BabyWatch Hearing Checklist” will no longer require a result
 - Eligibility determination will be required for children being deactivated if they have assessments entered
 - New monitoring reports
 - Review of bug fixes
- BTOTS Web:
 - Child class alternate attendance
 - Information change log
 - IFSP tab
 - Discussion of home page and dashboard

Improvement Activities Completed for FFY 2010-2011:

FFY 2010-2011: With the assistance of the BWEIP staff, all 15 local programs completed their data accuracy protocols that describe how they will assure data accuracy, quality, and fidelity in BTOTS. In addition, the protocols include other activities that contribute to data accuracy such reviewing monitoring and other reports.

Revisions, with Justification, Improvement Activities / Timelines / Resources for 2010-2011:

Activity	Timeline	Resources
Write operational definitions for all data elements in BTOTS Web and add them to the database.	2009-2011	BWEIP staff
Continue development of the BTOTS Web database and prepare for 2012 deployment.	2011-2012	BWEIP staff
Complete online HELP for BTOTS Web.	2011-2012	BWEIP staff

FFY 2010 APR (UTAH)

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	1	1	2
13	1	1	2
		Subtotal	30
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) =		35

618 Data - Indicator 14					
Table	Timely	Complete Data	Passed Edit Check	Responded to Data Note Requests	Total
Table 1 - Child Count Due Date: 2/2/11	1	1	1	1	4
Table 2 - Program Settings Due Date: 2/2/11	1	1	1	1	4
Table 3 - Exiting Due Date: 11/2/11	1	1	1	N/A	3
Table 4 - Dispute Resolution Due Date: 11/2/11	1	1	1	N/A	3
				Subtotal	14
618 Score Calculation			Grand Total (Subtotal X 2.5)		35

Indicator #14 Calculation	
A. APR Grand Total	35.00
B. 618 Grand Total	35.00
C. APR Grand Total (A) + 618 Grand Total (B) =	70.00
Total NA in APR	0.00
Total NA in 618	0.00
Base	70.00
D. Subtotal (C divided by Base*) =	1.000
E. Indicator Score (Subtotal D x 100) =	100.0

*Note any cell marked as N/A will decrease the denominator by 1 for APR and 2.5 for 618



FAMILY SURVEY - EARLY INTERVENTION

This survey is for families receiving Early Intervention services. Your responses will help guide efforts to improve services and results for children and families.

You may skip any item that does not apply to your family.

INSTRUCTIONS

- Do not use pens that soak through the paper.
- Fill in circle completely: This: ● Not This: ⊗ ⊘

For each statement below, please select one of the following response choices:

Very Strongly Disagree Strongly Disagree Disagree Agree Strongly Agree Very Strongly Agree

FAMILY-CENTERED SERVICES

The Early Intervention service provider(s) that work with my child:

- are dependable.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- are easy for me to talk to about my child and my family.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- are good at working with my family.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

My service coordinator is available to speak with me on a regular basis.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My service coordinator is knowledgeable and professional.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Written information I receive is written in an understandable way.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I was given help and information about the transition (when my child will leave Early Intervention for other settings or services).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My family's needs (such as transportation, child care, etc.) were considered when planning for my child's services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I was asked whether I wanted help in dealing with stressful situations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I was given choices concerning my family's services and supports.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My family's daily routines were considered when planning for my child's services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I have felt part of the team when meeting to discuss my child.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The services on our Individualized Family Service Plan (IFSP) have been provided in a timely way.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

My family was given information about:

- changing routines, activities, and the physical setting that would help my child.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- the rights of parents regarding Early Intervention services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- community programs that are open to all children.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- resources offered that support for parents of children participating in this program.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- how to be part of programs and get other services in the community.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- how to advocate (speak up to get support) for my child and my family.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- who to call if I am not satisfied with the Early Intervention services my child receives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Very Strongly Disagree
Strongly Disagree
Disagree
Agree
Strongly Agree
Very Strongly Agree

FAMILY-CENTERED SERVICES Continued...

Someone from the Early Intervention program:

- asked what else the Early Intervention program could do to support my child and my family.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- helped me get in touch with other parents for help and support.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- asked whether the services my family was receiving were meeting our needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- went out into the community with me and my child to help us get involved in community activities and services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Early Intervention services and Your Family

Over the past year, Early Intervention services have helped me and/or my family:

- be part of activities for children and families in my community.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- know about services in the community.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- improve my family's quality of life.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- know where to go for support to meet my child's needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- know where to go for support to meet my family's needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- get the services that my child and family need.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- feel more confident in my skills as a parent.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- provide social and networking opportunities in the Early Intervention program.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- make changes in family routines that will benefit my child with special needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- be more effective in managing my child's behavior.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- do activities that are good for my child even in times of stress.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- feel that I can get the services and supports that my child and family need.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- understand how the Early Intervention system works.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- be able to evaluate how much progress my child is making.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- communicate more effectively with the people who work with my child and family.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- understand the roles of the people who work with my child and family.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- know about my child's and family's rights concerning Early Intervention services.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- do things with and for my child that are good for my child's development.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- understand my child's special needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
- feel that my efforts are helping my child.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Child's Age at Time of Survey Completion

- Birth to 1 year
- 1-2 years
- 2-3 years
- Over 3 years

Child's Age when First Referred to Special Education

- Birth to 1 year
- 1-2 years
- 2-3 years

Corrective Action Requirements for Noncompliance Identified in FFY 2009-2010

Compliance Level	Corrective Action Required?	EI Program Corrective Action Requirements	EI Program Corrective Action Reporting to BWEIP
100% Compliance	No	None	N/A
95% to 99.9% Compliance	Yes	<ul style="list-style-type: none"> ● Determine status and cause of each late event, unless the child is no longer in Part C. ● Periodic self-review of monitoring report(s) in the indicator(s) of concern. 	<ul style="list-style-type: none"> ● Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8c). ● Subsequent data report at 100% for each indicator of concern per BWEIP specification.
80% to 94.9% Compliance	Yes	<ul style="list-style-type: none"> ● Analysis of cause(s) of noncompliance. ● Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP. ● TA conference call(s) as needed. ● Onsite BWEIP TA as needed. 	<ul style="list-style-type: none"> ● Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8c). ● Subsequent data report at 100% for each indicator of concern per BWEIP specification. ● Quarterly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern. ● Final written report to BWEIP detailing progress by 6/1/11.
70% to 79.9% Compliance	Yes	<ul style="list-style-type: none"> ● Analysis of cause(s) of noncompliance ● Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP. ● Bi-monthly TA call with BWEIP. ● Onsite monitoring visit. ● Onsite BWEIP TA. 	<ul style="list-style-type: none"> ● Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8c). ● Subsequent data report at 100% for each indicator of concern per BWEIP specification. ● Bi-monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern. ● Monthly written reporting and TA call with BWEIP. ● Final written report to BWEIP detailing progress by 6/1/11.
< 70% Compliance	Yes	<ul style="list-style-type: none"> ● Analysis of cause(s) of noncompliance ● Written implementation plan to address cause(s) with specified timeline, submitted to and approved by BWEIP. ● Monthly TA call with BWEIP. ● Onsite monitoring visit(s). ● Onsite BWEIP TA. 	<ul style="list-style-type: none"> ● Data report to BWEIP showing correction for all individual instances (or completion, although late) for timeline indicators (1, 7, 8c). ● Subsequent data report at 100% for each indicator of concern per BWEIP specification. ● Monthly review and reporting to BWEIP of monitoring report(s) for the indicator(s) of concern. ● Monthly written reporting and TA call with BWEIP. ● Final written report to BWEIP detailing progress by 6/1/11.