

Utah Baby Watch Early Intervention Program



Individuals with Disabilities Education Act 2004

Part C

FFY 2005-2013

(Revision)

State Performance Plan



Overview of Utah State Performance Plan Development

Utah's Part C State Performance Plan was developed in accordance with OSEP requirements. The initial development of the SPP began with the review of the requirements of Individuals with Disabilities Education Act (IDEA) 2004, and the consideration of each component through the use of OSEP provided materials. BWEI staff members reviewed all indicators and determined an action plan.

Revisions to the SPP indicators were received from OSEP in July 2005. Three Part C state staff members as well as an ICC member/local program director attended the OSEP Summer Institute in Washington, D.C. on August 10-12, 2005. During the institute the final SPP indicators, measurement requirements, and instructional materials were received and discussed by the Utah Part C representatives.

Broad stakeholder involvement was sought for all indicators. BWEI staff presented an overview of the SPP requirements at the Interagency Coordinating Council (ICC) meeting and BWEI Provider Consortium meetings on September 16, 2005. ICC members, BWEI providers, parents and community partners were invited to join subcommittees to work on individual or groups of indicators. Four subcommittees were formed to specifically address Child Outcomes, Family Outcomes, Transition and Compliance. Members included ten ICC representatives, including parents, twenty-one providers and five BWEI staff. A BWEI staff member or a provider chaired each subcommittee. Others agreed to participation through e-mail and conference calls.

The subcommittees convened to focus on the SPP at an extended two-day BWEI Provider Consortium meeting on October 13 and 14, 2005. On the first day, BWEI staff or local early intervention providers presented the indicators, baseline data, bottom lines, measurement requirements, and timelines to the group at large. On day two, the subcommittees had working sessions to provide their recommendations. Definitions, processes and instruments were determined. Implications for the new data collection system, BTOTS, and establishing measurable and rigorous targets were discussed.

BWEI staff developed draft content using the templates for indicators 1-14 incorporating the subcommittees' decisions and suggestions. The drafts were sent to other members of the subcommittees. Responses were requested by November 4, 2005 and revisions made. The complete draft SPP was sent to all stakeholders including the subcommittees, ICC, Providers Consortium and posted to the Baby Watch website on November 7th, 2005. During both the ICC and Provider Consortium meetings on November 18, 2005, the draft SPP was formally presented. There was discussion of all indicators, including the appropriateness of targets and improvement activities. Members of both groups voted final approval. Minor revisions were made and the SPP was submitted to OSEP on November 30, 2005.

The final State Performance Plan has been posted to the BWEI website, www.utahbabywatch.org. The SPP will also be distributed to all early intervention provider agencies and state advocacy groups. The ICC will distribute the SPP to its members which include representatives from 11 public agencies. The BWEI Program will work with the Department of Health, Public Information Officer to distribute the SPP to the media as appropriate.

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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 USC 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.

Overview of Issue/Description of System or Process:

Definition of timely services: The IFSP team will designate the start month/date of each service, based on the individual needs of the child and family. Unless otherwise specified by the team, timely service means:

- Services scheduled on a weekly basis: within 1 calendar month after IFSP is signed
- Services scheduled on a monthly basis: within 45 days after IFSP is signed
- Services scheduled on a quarterly basis: within 4 calendar months after IFSP is signed
- Services scheduled on an annual basis: within 1 year after IFSP is signed

All infants and toddlers receiving services under Part C in Utah have an IFSP, which must include all early intervention services, including frequency, intensity, duration, and location. The IFSP team determines the IFSP services, and may designate the start month/date of each service. IFSP services are initiated as soon as possible, depending on family and program circumstances.

The following data are entered into BTOTS, the statewide Part C data system, for every infant and toddler with IFSP:

- IFSP services, including frequency, intensity, duration, location, start and end date, and provider
- Services provided, including intensity, duration and location, and provider
- Visit status (appointment kept, cancelled, family no-show, etc)

The Part C Lead Agency monitors all contracted EI programs for compliance with this indicator through the Program Application and Program File Review processes. (Refer to Indicator 9 for a description of the Program Application and Program File Review Process.) Through the Program Application process, each contracting program annually submits their policy and procedures regarding IFSP service delivery to the LA for approval. During program file review, LA TA staff review IFSPs and service delivery records to ensure compliance with this Indicator. When IFSP services are not provided in a timely manner, or are not provided in accordance with the IFSP, the file must include an appropriate justification for the delay.

Baseline Data for FFY 2004 (2004-2005):

Data from state monitoring.

Number of programs reviewed between July 1, 2004 and June 30, 2005: 7 contracted programs plus services in these programs provided by Utah Schools for the Deaf and Blind (USDB) in accordance with interagency agreement.

Number of applicable files: 126

Children who received all services on their IFSP in a timely manner: 116 (92%)

Number of programs demonstrating full compliance: 4

Number of programs in which noncompliance was identified: 4

Discussion of Baseline Data:

Available data are from state’s monitoring process (refer to Indicator 9 for overview of monitoring process). Fifteen contracted early intervention programs are monitored on an 18-month cycle, through a file review process. State compliance coordinator and technical assistance team randomly select files and review for selected indicators based on IDEA. Applicable files include those for infants and toddlers who were referred and determined eligible, and IFSP was written within the previous 12 months.

All IFSP services must be initiated in a timely manner, meeting definition described above, to be in compliance with this indicator.

These data are from state monitoring. During FFY 2004-2005, 7 contracted EI programs were monitored on an 18-month cycle based on last file review. Data from FFY 2005-2006 will complement these data to include all programs.

Instances of noncompliance were identified in 4 programs. However, because these baseline data were collected retrospectively (not collected during the 2004-2005 file reviews), programs have not developed Improvement Plans for this indicator. These programs will develop plans to achieve full compliance during FFY 2005-2006 and results will be reported in the Feb. 2007 APR.

Circumstances resulting in untimely receipt of services:

- Family circumstances: child ill or hospitalized, family cancels appointments or no-shows, family requests to postpone visits
- Agency reasons: staff vacation, staff vacancy (either temporary, such as when someone is on maternity leave, or difficulty recruiting and retaining staff), staff person ill, reason for untimeliness not documented/reason unknown

FFY	Measurable and Rigorous Target
2005 (2005-2006)	In 100% of files reviewed in 9 contracted early intervention programs, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.
2006 (2006-2007)	In 100% of files reviewed in 8 contracted early intervention programs, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.
2007 (2007-2008)	In 100% of files reviewed in 7 contracted early intervention programs, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.

SPP Template – Part C (3)

UT
State

2008 (2008-2009)	In 100% of files reviewed in 8 contracted early intervention programs, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.
2009 (2009-2010)	In 100% of files reviewed through the database for all 15 contracted early intervention programs for the full year, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.
2010 (2010-2011)	In 100% of files reviewed through the database for all 15 contracted early intervention programs for the full year, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner
2011 (2011-2012)	In 100% of files reviewed through the database for all 15 contracted early intervention programs for the full year, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.
2012 (2012-2013)	In 100% of files reviewed through the database for all 15 contracted early intervention programs for the full year, infants and toddlers with IFSPs will receive the early intervention services on their IFSPs in a timely manner.

Improvement Activities/Timelines/Resources: (through FFY 2012)

Refer to Improvement Activities/Timelines/Resources for Indicator 9 (Effective General Supervision), plus those listed below.

Activity	Timeline	Resources
Implement statewide data system, BTOTS, in all contracted early intervention programs. Train state and local staff on BTOTS.	By June 30, 2006	MDSC, state IT personnel, BWEI staff, local early intervention program managers, staff and IT personnel.
Explore capacity to develop BTOTS report for this indicator.	By December 31, 2006	BWEI program manager, data manager, research analyst, and IT analyst.
Train EI programs on definition of “timely” EI services.	November 2005	BWEI program manager, EI providers
All EI programs will have procedures in place to ensure timely services, described in each annual Program Application.	July 1, 2005 - June 30, 2011	EI program managers
BWEI will monitor programs for compliance with this indicator. When noncompliance is identified, BWEI TA staff will work with program to determine nature of noncompliance, develop and implement Improvement Plan or Corrective Action.	As described for Indicator 9	BWEI Compliance Coordinator, TA staff, EI program managers and staff

SPP Template – Part C (3)

UT
State

Provide IFSP in-service training as required for EI credential.	Ongoing	BWEI CSPD
Clarify for EI programs the Timely Services definition and how it is calculated	2010-2011	BWEI staff
Provide BTOTS reports for EI Programs and instructions to monitor on a quarterly basis	2010 -ongoing	BWEI
Update BTOTS to capture provider and family circumstances accurately	Feb.-June 2011	MDSE, BWEI IT staff
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 collect timely services on the IFSP for all children through the database.	April 2011	BWEIP, MDSC IT staff

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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.

Overview of Issue/Description of System or Process:

All contracting early intervention programs in Utah (15) focus on providing early intervention services in natural environments. The majority of infants and toddlers receive some services in the home. Three early intervention programs provide services exclusively in the home. In addition to services provided in the home, a number of EI programs offer playgroups or parent training groups in their center locations, to offer families the opportunity to network with and learn from other parents, and for their children to interact with peers. Playgroups are generally for toddlers, while parent training groups may apply to parents of infants and toddlers. One program offers a variety of toddler groups in community settings. One program has integrated center-based services with Early Head Start services. In 9 programs, playgroups for developmentally delayed toddlers are integrated with typically developing peers.

Early intervention services in natural environments are monitored by the LA through 2 mechanisms: Program Applications and Program File Reviews. (Refer to Indicator 9 for a description of the Program Application and Program File Review Processes). Through the Program Application process, each contracting program annually submits their policy and procedures regarding early intervention services in natural environments to the LA for approval. Policies and procedures must be in compliance with IDEA requirements.

During Program File Reviews, LA reviews IFSPs and service delivery records to ensure compliance with this Indicator. When early intervention services are not provided in natural environments, the IFSP must include an appropriate justification as to why they are not.

IFSP data, including services and settings, are entered into BTOTS, the statewide Part C database. The Dec 1, 2004 618 data were compiled by the Part C data manager primarily through BTOTS, and supplemented with other data for one program. Local EI program managers verified the accuracy of the services and settings data prior to submission to Westat. The BTOTS program calculates the primary setting based on IFSP services and settings, considering frequency and duration of service in each setting. When aberrations are observed in the settings data, Part C data manager implements technical assistance to determine the cause and resolution (if any) for the aberration.

Baseline Data for FFY 2004 (2004-2005):

618 data for December 1, 2004. 75% of infants and toddlers with IFSPs primarily receive early intervention services in the home or programs for typically developing children.

- Home: 64%
- Programs for typically developing children: 11%

Primary setting by age:

- Infants: 96% primarily receive services in the home
- Toddlers ages 12 through 23 months: 85% primarily receive services in the home or programs for typically developing children
- Toddlers 24 through 35 months: 63% primarily receive services in the home or programs for typically developing children

Discussion of Baseline Data:

The above 618 data report only the primary setting. However, many infants and toddlers in Utah receive EI services in multiple settings. File review data for FFY 2004-2005 (144 files in 7 programs) demonstrate that early intervention services were provided in the home and/or community in 94% of files reviewed. Only 6% received all services in the early intervention classroom.

Service Location from EI Program File Reviews, 2004-2005, Utah Part C

- Home – 60%
- Community – 1%
- Home and community – 9%
- Home, community and EI center – 1%
- Home and EI center – 23%
- EI center – 6%

In addition, the 618 data define integrated playgroups for toddlers in early intervention centers as “programs for developmentally delayed”. While integrated playgroups are considered natural environments by the state, the 618 data do not allow for the reporting as such.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	75.5 percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.
2006 (2006-2007)	76 percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.
2007 (2007-2008)	76.5 percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.
2008 (2008-2009)	77 percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.

2009 (2009-2010)	77.5 percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.
2010 (2010-2011)	78% percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.
2011 (2011-2012)	78.5% percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.
2012 (2012-2013)	79% percent of infants and toddlers with IFSPs will primarily receive early intervention services in the home or programs for typically developing children.

Improvement Activities/Timelines/Resources: (through FFY 2012)

Refer to Improvement Activities/Timelines/Resources for Indicator 9 (Effective General Supervision), plus those listed below.

Activity	Timeline	Resources
All Program Applications will include appropriate policies and procedures for serving children in the natural environment.	July 1, 2005-June 30, 2012	Local EI programs and BWEI staff.
BWEI will work with EI providers to continue to identify appropriate community settings and programs for typically developing children in which to deliver EI services.	July 1, 2005 – June 30, 2006	Local EI programs and BWEI staff.
Implement statewide data system, BTOTS, in all contracted early intervention programs. Train state and local staff on BTOTS.	By June 30, 2006	MDSC, state IT personnel, BWEI staff, local early intervention program managers, staff and IT personnel.
Train providers on 618 settings definitions.	January 2006	BWEI Compliance Coordinator
BWEI will monitor programs for compliance with this indicator. When noncompliance is identified, BWEI TA staff will work with program to determine nature of noncompliance, develop and implement Improvement Plan or Corrective Action.	As described for Indicator 9	BWEI Compliance Coordinator, TA staff, EI program managers and staff

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 work continue to work with the Early Childhood Conference planning committee to include sessions on providing services in the natural environment at the October 2010 conference.	2010	BWEIP CSPD coordinator, EI providers and staff
BWEIP will conduct trainings to providers on Routines Based Interviews (RBI) and functional goal writing, and provide follow-up consultation for staff implementing these skills.	2010-2012	BWEIP CSPD coordinator, EI providers and staff
BWEIP staff will work with individual provider agencies in reviewing their process and policies regarding serving children in their 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 their natural environments.	2010- ongoing	Site visits, training, documentation
BWEIP staff will work with an Interagency Coordinating Council (ICC) subcommittee on serving children in their natural environments.	2011-ongoing	BWEIP staff, ICC subcommittee
BWEIP staff will work with the ICC subcommittee on serving children in their natural environments to develop policy on natural environments	2011-ongoing	BWEIP staff, ICC
BWEIP staff will monitor the settings data of individual provider agencies and the state as a whole regarding serving children in their natural environments.	2011-ongoing	APR, monitoring, BTOTS reports, and program practice

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan 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 USC 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.**

Overview of Issue/Description of System or Process:

A broad stakeholder committee was formed to focus on responding to the Part C SPP child outcomes indicator. The committee included all Part C staff, local early intervention providers, members of the ICC and parents. It was determined that Utah would report on all infants and toddlers rather than a sample. A baseline of entry-level data will be collected on a cohort of children entering the program from July 1, 2006 until October 30, 2006. Exit data will be reported in the February 2008 APR from this same cohort. After October 2006, all children coming into the program will be included in baseline entry data. Every subsequent year BWEI will report on entry and exit data for all children in the system.

Local early intervention providers will record age equivalent scores from assessments and evaluations in all developmental domains in connection with regularly occurring IFSP development times—the initial IFSP, the 6-month IFSP review, and annual IFSP. Data will be entered into the new Part C database, called the Baby and Toddler Online Tracking System (BTOTS). Entry and exit scores will be compared on children who have been enrolled in the program for at least 6 months. When the child exits early intervention services, the most recent age equivalent scores will be compared to entry scores to determine improvement of functioning for infants and toddlers served in early intervention for at least 6 months. Collecting data every six months assures that recent exit data is available for children who leave for various reasons before their IFSP is completed. If available, evaluations completed by Part B up to 1 month following transition at age three can be used for the exit data measurement.

Any norm referenced or criterion based assessment/evaluation used by the local early intervention provider will be acceptable if an age equivalent score by developmental domain is obtainable. Results of testing in the Social Emotional domain will determine progress for Measurement A concerning social emotional skills. Results of testing in the Cognitive and Communication domains will determine progress for Measurement B concerning acquisition and use of knowledge and skills. Results of testing in Adaptive and Motor domains will determine progress for Measurement C concerning appropriate behaviors to meet their needs.

When a test yields age ranges such as 11-14 months, the midpoint will be calculated, such as 12.5 months. Discussions about determining age equivalent scores using the Hawaii Early Learning Profile (HELP) resulted in a recommendation to provide guidelines to providers so that results would be consistently determined across the state. A guideline will be developed to assist providers using the HELP to gather age equivalency information.

The current state program eligibility definition, as applied for exiting a child from early intervention services, –1.0 SD below the mean or better or the 16th percentile or above in all areas of development, will be the criteria used to compare the “Percent of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers”.

BTOTS, the Part C data system will be used to analyze the data regarding age equivalents from one time period to the next and determine percentage of infants and toddlers who reach or maintain functioning at a level comparable to same-aged peers, who improved functioning, and who did not improve functioning for those children who received early intervention services for at least 6 months.

FFY 2007-2008 REVISION

Measurement strategies to collect data:

Entry scores for the three outcome categories are entered in the Baby and Toddler Online Tracking System (BTOTS) for all infants and toddlers over six and less than 30 months of age at entry. If the infant/family is served in early intervention at least six months, an exit score as well as whether the infant made progress is also determined for each of the outcome areas.

The team who participates in a child’s evaluation/assessment determines the entry rating for the infant and toddlers close to the time of the development of the IFSP. A variety of tools are used to determine eligibility and strengths and weaknesses, including but not limited to the REEL 2, ELAP, HELP, IDA, Rosetti, Brigance, BDI-II, Mullen, REEL 3, Bayley III, Peabody, CSBS, and PLS 4; different tools may be used at exit. Infants entering early intervention at less than six months chronological age will receive scores from the provider who is the most familiar with them when they reach six months of age. Professionals with the best knowledge of the infant or toddler will complete the exit scoring and determine if progress occurred.

Using the algorithm provided by the Early Childhood Outcome (ECO) Center, BTOTS calculates the number of infants or toddlers in each of the five progress categories for each of the three outcomes. The criteria for comparing to same-aged peers are represented by a score of 6 or 7 on the 7-point ECO Child Outcomes Summary Form (COSF) scale. In addition to the number and percentage of children in each category, BTOTS calculates the percentage of children for Summary Statements 1 and 2.

Outcome data is reviewed for accuracy using BTOTS monitoring reports. To ensure entry and exit scores are entered for the appropriate children in a timely fashion to BTOTS, an “alert” is issued to a program when a child outcome entry score is due. In addition, a BTOTS report is available for local programs to identify those children who have exited early intervention and require a child outcome exit score. At the state level, the report listing alerts indicates a steady or slightly lower rate of alerts over time, indicating that programs are now completing most entry and exit scores in a timely manner.

Baseline Data for FFY 2004 (2004-2005):

No data collected for this time period.

Discussion of Baseline Data:

FFY	Measurable and Rigorous Target
<p>2005 (2005-2006)</p>	<p>Preparing to collect baseline data.</p>
<p>2006 (2006-2007)</p>	<p>Report baseline data for infants and toddlers entering Part C 7/1/06-10/31/06</p>
<p>2007 (2007-2008)</p>	<p>Analysis of baseline data to determine exit targets for the 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 earl language/communication); C. Use of appropriate behaviors to meet their needs.</p> <p>Expand cohort to all children entering Part C.</p>

2008 (2008-2009)	Make necessary adjustments.
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Revised Targets for Infants and Toddlers Exiting FFY 2010-2011, FFY 2011-2012, and FFY 2012-2013

Summary Statements	Baseline FFY 2009	Targets for FFY 2010	Targets for FFY 2011	Targets for FFY 2012
1. Of those children who entered the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	80.6%	80.6%	80.6%	80.9%
2. The percent of children who were functioning within age expectations in Outcome A by the time they turned 3 years of age or exited the program	65.2%	65.2%	65.2%	65.5%
Outcome B: Acquisition and use of knowledge and skills (including early language/communication and early literacy)				
1. Of those children who entered the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	84.6%	84.6%	84.6%	84.9%
2. The percent of children who were functioning within age expectations in Outcome B by the time they turned 3 years of age or exited the program	58.6%	58.0%	58.0%	58.3%
Outcome C: Use of appropriate behaviors to meet their needs				
1. Of those children who entered the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program	84%	84.0%	84.0%	84.3%
2. The percent of children who were functioning within age expectations in Outcome C by the time they turned 3 years of age or exited the program	68%	67.5%	67.5%	67.8%

Revision to Improvement Activities/Timelines/Resources: (through FFY 2012)

Activity	Timeline	Resource
Develop guideline for determining age equivalency from HELP checklist.	June 2006	BWEI providers and staff
Update conversion chart.	October 2006	BWEI providers
Install new Part C database (BTOTS) at all 15 provider sites.	November 2005 - February 2006	IT contractor, BWEI staff
Enhance BTOTS to collect age equivalent data and be able to determine #1, 2, 3 in A, B, and C measurement areas for each child who received early intervention services for 6	April 2006	IT contractor, BWEI staff

months.		
Install new version of BTOTS at all 15 provider sites. Train providers and provide TA.	May 2006	IT contractor, BWEI staff
Early intervention providers will enter data.	June 2006	BWEI providers
Baby Watch Early Intervention staff will review data entry system and provide necessary T/A for providers.	August 2006	BWEI staff
Baby Watch Early Intervention staff will analyze baseline data.	December 2006 – January 2007	BWEI staff
Work with individual providers about their own program data to analyze any issues	Ongoing	BWEI staff
Report baseline progress data in 2010 APR (7/1/08 – 6/30/09)	2/10	BWEIP staff
Set measurable and rigorous targets in 2010 APR	2/10	BWEIP staff
Incorporate child outcome ratings into compliance monitoring system.	1/09	BWEIP staff
Add aspects of child outcome process to compliance monitoring system.	1/09	BWEIP staff
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

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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.

Overview of Issue/Description of System or Process:

State Activities:

Following each program file review Baby Watch staff survey parents on their participation in, and satisfaction with, the early intervention program. Results of telephone interviews demonstrated 35 of 38 families randomly selected from file review expressed satisfaction with services and service providers. All responses were positive in 5 of 7 programs reviewed.

A Parent Rights Handbook in English and Spanish is continually reviewed and updated, and distributed to local programs.

Baby Watch encourages parent participation on the Interagency Coordinating Council (ICC) by supporting the activities of the Parent Committee. These activities include: Providing information and resources to parent leaders in local programs through monthly phone conference calls, support of an internet bulletin board and collaboration with the parent training agency on mentorship training for parents.

Local Program Activities:

The Program Application includes a family involvement plan that is reviewed yearly by the Part C technical assistance staff. All new staff participates in the "Family Partnerships" credentialing workshop to ensure that family involvement is infused in all early intervention services. Local programs identify a staff member who is responsible for family participation and who acts as a liaison between the ICC Parent Committee and Baby Watch parent support staff.

All programs have developed a policy to ensure that parents have received and understand their rights under Part C.

New Activities:

Families participating in Part C will be surveyed annually to determine if they perceive that early intervention services have helped the family: know their rights, effectively communicate their children’s needs and help their children develop and learn. Sampling will not be used. All families in early intervention will be surveyed annually during a six-week window from March to April. Demographic data and program coding from the surveys returned will be evaluated to determine if the returned surveys are representative of the statewide population of infants and toddlers participating in Part C.

Baby Watch will use a paper and pencil version of the NCSEAM Family Survey. The survey will provide data for the family outcomes indicator and will provide family input for state monitoring. Each survey distributed will be identifiable to the local program level.

Local early intervention programs will hand deliver or mail surveys with a self addressed stamped envelope to each family in early March. Families will be instructed to mail the surveys to the state Baby Watch Program by mid April. All surveys received by May 15 will be included in the data compilation. Each survey will be accompanied by information on confidentiality and obtaining language assistance. Local program staff will arrange assistance or interpretation services as needed. Baby Watch will be responsible for the interpretation and reporting of the data at the federal, state and local program levels.

Baseline Data for FFY 2004 (2004-2005):

The FFY 2005-2006 APR to be submitted February 1, 2007 will provide the baseline for Indicator #4.

Discussion of Baseline Data:

New Indicator – baseline data will be collected in F2005-2006 and reported in APR February 1, 2007.

FFY	Measurable and Rigorous Target
<p>2005 (2005-2006)</p>	<p>A. 74% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p> <p>B. 71% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 79% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>
<p>2006 (2006-2007)</p>	<p>A. 75% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p> <p>B. 72% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 79.5% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>
<p>2007 (2007-2008)</p>	<p>A. 76% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p>

	<p>B. 73% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 80% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>
<p>2008 (2008-2009)</p>	<p>A. 77% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p> <p>B. 74% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 80.5% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>
<p>2009 (2009-2010)</p>	<p>A. 78% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p> <p>B. 75% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 81% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>
<p>2010 (2010-2011)</p>	<p>A. 79% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p> <p>B. 76% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 81.5% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>
<p>2011 (2011-2012)</p>	<p>A. 80% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p> <p>B. 77% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 82% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>
<p>2012 (2012-2013)</p>	<p>A. 81% of respondent families participating in Part C report that early intervention services have helped the family know their rights.</p> <p>B. 78% of respondent families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</p> <p>C. 82.5% of respondent families participating in Part C report that early intervention services have helped the family help their children develop and learn.</p>

Revisions to Improvement Activities/Timelines/Resources: (through FFY 2012)

Activity	Timeline	Resource
Convene Family Outcomes Stakeholder group.	September 2005 - ongoing	Part C families, ICC, EI providers
Research survey/data package options.	October - November 2005	BWEI
Order survey/data package.	December 2005	BWEI
Collect survey distribution plan from each local EI programs.	January 2006	BWEI, local EI programs
Distribute surveys to programs.	February 2006	BWEI
Deliver surveys with instructions to all families participating in part C.	March 2006	Local EI programs
Families return surveys to state Baby Watch	By May, 2006	Part C families
Data analyzed	By July, 2006	Contractor or BWEI
Reports to local programs	October, 2006	BWEI
APR FYY 2005 baseline to OSEP	February 1, 2007	BWEI
Report to public	April, 2007	BWEI
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	Monitoring BTOTS reports, APR Indicator data, survey results
BWEIP will solicit stakeholder input for improvement activities to improve outcomes on the Utah Family Survey.	Annually	Monitoring BTOTS reports, APR Indicator data, survey results
BWEIP will work with ICC and providers to develop a committee to improve positive results on the family survey.	Ongoing	Monitoring BTOTS reports, APR Indicator data, survey results

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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 toddlers birth to 1 with IFSPs divided by the population of infants and toddlers birth to 1 times 100 compared to National data.

Overview of Issue/Description of System or Process:

State Activities

Baby Watch provides information statewide to support local child find and public awareness activities. Statewide activities by Baby Watch include:

- Outreach information at state conferences, health fairs, community events, Annual Public Health Day at the Legislature;
- Meeting with and presenting information to other state agencies;
- The production of a calendar highlighting parent stories that is distributed to state agencies, ICC members, and E.I. programs to give to their partnering agencies, community groups, and primary referral sources, specifically targeting community pediatric practices;
- Visiting discharge rounds weekly at 2 major hospitals serving children from all regions of the state.
- Baby Watch also has representation on State Committees including: the Early Childhood Integrated Service Systems Committee, the Office of Child Care Advisory Board, and provides administrative support for the Utah Association for Infant Mental Health.

Collaborative Efforts

Baby Watch conducts outreach to community agencies by providing collaborative trainings on infant mental health to the mental health community and also in educating service providers in the birth to 3 referral process to early intervention including WIC, Home Health Care Nurses and Neo-Natal Follow-up Program. Baby Watch also partners with the state CHIP (Children's Health Insurance Program) office to facilitate integrated outreach efforts at the community level. Baby Watch is actively involved in the Utah Medical Home Project developing the Early Intervention and Screening Module for the Utah Medical Home Web site as well as on-going participation on the Medical Home Advisory Board and Screening Committee.

New Initiatives

Baby Watch has developed a Memo of Agreement with the Division of Child and Family Services, Department of Human Services, that agrees to a process of referrals will made to early intervention when

there is a concern about a child’s development. Child Protective Service caseworkers will screen children investigated for abuse or neglect.

Baby Watch administers the early intervention on-line application system that is part of the “UtahClicks” Universal Application system. “UtahClicks” is a common gateway for agency programs including: Medicaid, WIC, CHIP and Children with Special Health Care Needs that allows families to refer directly to early intervention programs on line.

Local Activities

Each local program develops a Child Find plan that is included in the Program Application. This application is reviewed yearly to ensure compliance with Federal Regulations. Local program outreach includes:

- Identification of primary referral sources, and targeting these to receive information on early intervention;
- Developmental screenings at health fairs;
- Sending out the Ages and Stages Questionnaire in English and Spanish for anticipatory guidance;
- Open houses;
- Pediatrician visits, Medical student site visits;
- Outreach material to local hospitals and elementary schools and pharmacies;
- NICU partnership;
- Information packets to new moms in the hospital;
- Utilization of United Way and local community publications.

Local programs work together with their local medical communities to ensure collaborative services. Local programs also provide written information to referral agencies, community partners and targeted locations where families gather as well as to local media.

Baseline Data for FFY 2004 (2004-2005):

618 data for December 1, 2004. Source: Table 8-4. Infants under 1 year of age (excluding infants at risk) receiving early intervention services under IDEA, Part C, by age, and state (in descending order of percent of population receiving services): 2004. Received from U.S Department of Education, Office of Special Education Programs, Data Analysis System (DANS). Data updated as of July 30, 2005.

Table below compares percentage of infants with IFSPs in Utah with other states with moderate eligibility criteria (A), and national average (B), in descending order.

**Percentage of Infant Population Served December 1, 2004,
States with Moderate Eligibility Criteria**

State	Percentage of population under age 1 with IFSP
Rhode Island	1.75
Idaho	1.66
New York	1.10
Illinois	1.09

Connecticut	1.03
California	0.97
National baseline	0.92
Texas	0.81
Utah	0.76
Nebraska	0.74
Tennessee	0.67
South Carolina	0.66
Georgia	0.55
New Jersey	0.53
Oregon	0.51
Kentucky	0.46
Puerto Rico	0.37

- A. Compared to other states with moderate eligibility criteria, Utah ranks lower than 7 states and higher than 8 states.
- B. Utah serves 0.16% less than the national baseline in percentage of infants with IFSP (0.76% and 0.92%, respectively).

Discussion of Baseline Data:

- 1. Trend data show that the percentage of infants served in Utah has remained fairly consistent over the past 5 years, with a slight decline from 2001 through 2003, followed by an increase in 2004.

Trend in number and percentage of infants with IFSP, Utah Part C, 2000-2004

Year	Percentage of population under age 1 with IFSP, Utah Part C	Number of infants with IFSP, December 1 count, Utah Part C
2000	0.9	423
2001	0.9	426
2002	0.8	371
2003	0.7	341
2004	0.8	360*

Source: DANS Table 8-6: Infants under 1 year of age (excluding infants at risk) receiving early intervention services under IDEA, Part C, by state (in descending order of percentage change): 2000-through 2004.

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

The decline in number and percent served from 2001 through 2003 may be associated with a change in eligibility criteria in 2003, in that premature infants at risk do not automatically qualify for Part C (must have other established conditions or demonstrate developmental delays).

2. Utah is a growth state, with a growing infant population. With a growing population of infants, early intervention programs must continue to grow in numbers just to maintain a consistent percentage of population served.

Data from Vital Records show a 7% increase in number of births documented from 2000 (47,331) through 2004 (50,653) (source: <http://health.utah.gov/ibis-ph/>).

National Vital Statistics Reports from 2003 report that Utah has the highest birth rate and highest fertility rate of all states, well above the national average as demonstrated in the table below.

Birth Rate and Fertility Rates, Utah and US, 2003

	Birth Rate	Fertility Rate
Utah	21.2 per 1000	92.2 per 1000
United States	14.1 per 1000	66.1 per 1000

Source: http://www.cdc.gov/nchs/data/nvsr/nvsr54/nvsr54_02.pdf

3. Racial-ethnic distribution. The demographics of Utah's population are dissimilar to the United States. The census data show that Utah's 0-3 population is fairly homogeneous, with 80% reported as white, non-hispanic in the 2000 census. Hispanic infants and toddlers make up the second largest group, 13% of the population. Baby Watch 618 trend data show increasing diversity in Utah's early intervention caseload from 2000-2004. In 2000, nearly 86% of the E.I. caseload was white, compared to 80% in the population. As of December 1, 2004, the racial/ethnic distribution of the E.I. caseload very closely approximates that of the population. These data, summarized in the table below, suggest that child find efforts to families of all racial/ethnic groups are effective.

Race/Ethnic Distribution of Baby Watch Caseload, 2000-2004

Race/Ethnicity	Baby Watch, December 1 count					0-3 Utah population 2000 Census Data ^b
	2000	2001	2002	2003	2004	
White, non-Hispanic	85.6%	85.2%	84.5%	80.8%	80.3%	80%
Hispanic	8.4%	9.2%	10%	12.6%	13.7%	13%
Black	1.2%	1.3%	1.2%	1.8%	1.3%	0.8%
American Indian/Alaska Native	2.9%	2.4%	2.3%	2.6%	2.2%	1.2%
Asian/Pacific Islander	2%	1.9%	2%	2.1%	2.5%	2%
Other	0	0	0	0	0	3%

Source: ^a Table 1: Report of Infants and Toddlers Receiving Early Intervention Services in Accordance with Part C. December 1, 2000 – 2004. Baby Watch Early Intervention, Utah.

^b Census 2000 Summary File 1/prepared by U.S. Census Bureau, 2001 (<http://health.utah.gov/ibis-ph>)

FFY	Measurable and Rigorous Target
2005 (2005-2006)	Baby Watch Early Intervention programs will serve (with IFSP) 0.78% of infants in Utah.
2006 (2006-2007)	Baby Watch Early Intervention programs will serve (with IFSP) 0.80% of infants in Utah.
2007 (2007-2008)	Baby Watch Early Intervention programs will serve (with IFSP) 0.82% of infants in Utah.
2008 (2008-2009)	Baby Watch Early Intervention programs will serve (with IFSP) 0.84% of infants in Utah.
2009 (2009-2010)	Baby Watch Early Intervention programs will serve (with IFSP) 0.86% of infants in Utah.
2010 (2010-2011)	Baby Watch Early Intervention programs will serve (with IFSP) 0.88% of infants in Utah.
2011 (2011-2012)	Baby Watch Early Intervention programs will serve (with IFSP) 0.90% of infants in Utah.
2012 (2012-2013)	Baby Watch Early Intervention programs will serve (with IFSP) 0.92% of infants in Utah.

Improvement Activities/Timelines/Resources: (through FFY 2012)

Activities	Timeline	Resources
Collect Data on referral sources and identify gaps in outreach.	June 2005 – ongoing	BTOTS – Program Application
Baby Watch will update the Child Find Policy.	January 2000 - June 2012	BWEI staff
Provide technical assistance to local programs in the development of a child find plan focusing on identifying and targeting population based sources of information of potentially eligible infants and toddlers.	June 2005 - June 2011	BWEI technical assistance staff., Part C Policy Manual, TRACE
Facilitate an ICC committee to provide input on the development of an Early Intervention and Screening Module for the Utah Medical Home Web Site.	June 30, 2004 - December 30, 2005	ICC members
Development, training and implementation of the “UtahClicks” on line application system.	May 30, 2005 - June 30, 2011	Utah State University
Development and sign a Memo of Agreement with DCFS to adhere to CAPTA and IDEA federal regulations.	June 30 - October 30, 2005	Department of Human Service, BWEI staff and providers
Training with Child Protective Workers and local early intervention programs on the screening and referral process to early intervention.	October 30, 2005 – June 30, 2011	BWEI technical assistance staff and DCFS training staff
All written outreach materials will be continually reviewed and updated to ensure their effectiveness in reaching all members of the population.	January 2006, - ongoing	Migrant Head Start, Community Partners
All EI Program Applications will include appropriate policies and procedures for child find at the local level, and for handling referrals. BWEI Community Partnerships Specialist will provide technical assistance to ensure plans are comprehensive and coordinated.	Annually, July 1, 2005 – ongoing	Contracted EI program managers, BWEI Community Partnership specialist
BWEI will monitor all contracted EI programs for compliance with referral and eligibility procedures through the file review process (refer to Indicator 9, General Supervision system to identify and correct noncompliance.) All noncompliance will be identified and corrected as soon as possible, within 1 year.	July 1, 2005 – ongoing	BWEI Compliance coordinator, TA staff, Local EI program managers and staff

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 individual provider agencies to review their process and policies regarding child find activities, referral and eligibility for infants.	2010-ongoing	APR, Monitoring, BTOTS reports, and program practice
BWEIP staff will assist individual provider agencies in planning and implementing improvement activities regarding child find activities, and referral, and eligibility for infants.	2010- ongoing	Site visits, training, documentation
BWEIP staff will monitor the data of individual provider agencies and the state as a whole regarding child find activities, referral and eligibility for infants.	2011-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.	2010-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 Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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 toddlers birth to 3 with IFSPs divided by the population of infants and toddlers birth to 3 times 100 compared to National data.

Overview of Issue/Description of System or Process:

Refer to overview of system description process for indicator # 5

Baseline Data for FFY 2004 (2004-2005):

618 data for December 1, 2004. Source: Table 8-3. Infants and toddlers ages birth through 2 (excluding children at risk) receiving early intervention services under IDEA, Part C, by eligibility criteria, age, and state (in descending order of percent of population receiving services): 2004. Received from U.S Department of Education, Office of Special Education Programs, Data Analysis System (DANS). Data updated as of July 30, 2005.

Table below compares percentage of infants and toddlers with IFSPs in Utah with other states with moderate eligibility criteria, and national average (in descending order).

**Percentage of Population 0-2 with IFSP, December 1, 2004,
States with Moderate Eligibility Criteria**

State	Percentage of population 0-2 with IFSP
New York	4.26
Rhode Island	3.56
Connecticut	3.10
Illinois	2.86
Idaho	2.73
Kentucky	2.29

National Baseline	2.24
New Jersey	2.21
Texas	1.84
Puerto Rico	1.80
Utah	1.77
Nebraska	1.74
Tennessee	1.71
California	1.67
Oregon	1.55
South Carolina	1.36
Georgia	1.33

- A. Compared to other states with moderate eligibility criteria, Utah ranks lower than 9 states, and higher than 6 states.
- B. Utah is slightly below the national baseline in percentage of infants and toddlers with IFSP (1.77% and 2.24%, respectively).

Discussion of Baseline Data:

Trend data show that the percentage of infants and toddlers served by Part C in Utah has remained fairly consistent over the past 5 years.

Year	Percentage of population 0-2 with IFSP, Utah Part C	Number of infants and toddlers with IFSP, December 1 count, Utah Part C
2000	1.7	2263
2001	1.8	2463
2002	1.8	2527
2003	1.7	2382
2004	1.8	2524

Source: DANS Table 8.5: Infants and toddlers ages birth through 2 (excluding children at risk) receiving early intervention services under IDEA, Part C, by state (in descending order of percentage change): 2000-2004).

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

The decline in numbers and percentage served in 2003 is associated with a change in eligibility criteria and implementation of exit policy for infants and toddlers who no longer demonstrate developmental delays.

Refer to SPP Indicator 5, Discussion of baseline data, #2 and #3 for information on unique characteristics of Utah’s 0-3 population.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.8% of infants and toddlers through age 2 in Utah.
2006 (2006-2007)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.88% of infants and toddlers through age 2 in Utah.
2007 (2007-2008)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.89% of infants and toddlers through age 2 in Utah.
2008 (2008-2009)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.90% of infants and toddlers through age 2 in Utah.
2009 (2009-2010)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.92% of infants and toddlers through age 2 in Utah.
2010 (2010-2011)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.95% of infants and toddlers through age 2 in Utah.
2011 (2011-2012)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.96% of infants and toddlers through age 2 in Utah.
2012 (2012-2013)	Baby Watch Early Intervention Programs will serve (with IFSP) 1.97% of infants and toddlers through age 2 in Utah.

Revised Improvement Activities/Timelines/Resources: (through FFY 2012)

Refer to activities and timelines for indicator #5.

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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 USC 1416(a)(3)(B) and 1442)

Measurement:

Percent = [(# of eligible 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 # of eligible infants and toddlers evaluated and assessed] times 100.

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

Overview of Issue/Description of System or Process:

Baby Watch policy requires that all infants and toddlers referred to early intervention receive a comprehensive multidisciplinary assessment in all domains, and if eligible, an IFSP meeting is conducted within Part C's 45-day timeframe. This is enforced through the system of general supervision described for Indicator 9. All contracted Early Intervention programs (15) must submit their policies and procedures to Baby Watch annually in their Program Applications. Policies and procedures must demonstrate compliance with IDEA. Compliance is also monitored through file review of each program on an 18-month cycle.

All BWEI programs complete a standard Eligibility Determination Form (EDF) for every infant and toddler evaluated for eligibility. Assessment results in all domains are documented on the EDF, which provides a clear summary of evaluations conducted and results.

The statewide Part C database, BTOTS, was developed to enhance identification of noncompliance and assist programs to meet full compliance. Users are required to document assessment results in all domains prior to entering IFSP data (except interim IFSP). Users will receive alerts and warnings when IFSP is due or overdue, and will generate reports informing them of IFSP due dates. When IFSP date is greater than 45 days after referral date, user is required to enter a delay category (program circumstances or family circumstances) and reason. Reports generated by BTOTS will enable program managers at the local level to closely monitor compliance and take actions to correct noncompliance in this area. Baby Watch will use reports to identify programs for focused monitoring and identify where technical assistance is needed, in a timely manner. BTOTS will be tested and implemented in all contracted EI programs in FFY 2005-2006.

Through the Comprehensive System of Personnel Development, Baby Watch requires early intervention providers to earn an Early Intervention Specialist credential. BWEI provides required in-service training to all providers who are working toward their credential, including IFSP and Assessment training modules.

Baseline Data for FFY 2004 (2004-2005):

Data from State monitoring.

Number of programs reviewed between July 1, 2004 and June 30, 2005: 7

Number of applicable files: 99

Files in compliance: 80 (81%)

- All assessments completed and IFSP written within 45 days: 62 files (63%)
- All assessments completed, IFSP written after 45 days due to family circumstances: 18 files (18%)

Files not in compliance: 19 (19%)

- IFSP within 45 days but some assessments missing, incomplete or late: 10 files (10%)
- All assessment completed but IFSP after 45 days without appropriate justification: 9 files (9%)

Discussion of Baseline Data:

Applicable files include those for infants and toddlers who were referred and determined eligible, and IFSP was written within the previous 12 months.

These data are from state monitoring. During FFY 2004-2005, seven contracted EI programs were monitored on an 18-month cycle based on last file review. Data from FFY 2005-2006 will complement these data to include all programs. By FFY 2006-2007, comprehensive statewide data will be available through BTOTS, Part C data system. Baseline data may shift when complete data are available.

State monitoring protocol collected these data as 2 separate file review indicators: 1) assessment in all domains; and 2) IFSP written, with all necessary elements, within 45 days after referral.

1) Assessment in all domains: 90% of files review in compliance

- 4 programs demonstrated compliance (3 maintained compliance, 1 resolved previously identified noncompliance)
- 2 programs demonstrated improvement from previously identified noncompliance, continued Improvement Plan into next reporting period
- 1 program demonstrated persistent noncompliance, developed and implemented Corrective Action Plan, data demonstrate noncompliance was resolved in October 2005

2) IFSP within 45 days: 93% of files in compliance

- 5 programs demonstrated compliance (3 maintained compliance, 2 resolved previously identified noncompliance)
- 1 program had newly identified noncompliance, developed and implemented Improvement Plan
- 1 program demonstrated improvement with previously identified noncompliance, Improvement Plan continued into next reporting period

Circumstances resulting in untimely evaluation and IFSP:

- Family circumstances: child ill or hospitalized, family cancels appointments or no-shows, family requests to postpone visits, program receives referral and repeatedly is unable to contact family

- Agency reasons: staff vacation, staff vacancy (either temporary, such as when someone is on maternity leave, or difficulty recruiting and retaining staff), staff person ill, high volume of referrals stressing the system beyond capacity, unable to coordinate all members for IFSP meeting (may be a translator involved, PIP etc), provider wanting to complete additional assessments before the IFSP (above and beyond the minimum), reasons for lateness not documented/reason unknown

FFY	Measurable and Rigorous Target
2005 (2005-2006)	In all files reviewed in 9 contracting early intervention programs, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline for all eligible infants and toddlers with IFSPs.
2006 (2006-2007)	In all files reviewed in 8 contracting early intervention programs, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline.
2007 (2007-2008)	In all files reviewed in 7 contracting early intervention programs, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline.
2008 (2008-2009)	In all files reviewed in 8 contracting early intervention programs, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline.
2009 (2009-2010)	In all files reviewed in 5 contracting early intervention programs, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline.
2010 (2010-2011)	100% of the infants and toddlers eligible for EI services statewide for a full year in the database, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline.
2011 (2011-2012)	100% of the infants and toddlers eligible for EI services statewide for a full year in the database, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline.
2012 (2012-2013)	100% of the infants and toddlers eligible for EI services statewide for a full year in the database, an evaluation and assessment and an initial IFSP meeting will be conducted within Part C’s 45-day timeline.

Revisions to Improvement Activities/Timelines/Resources: (through FFY 2012)

Implement statewide data system, BTOTS, in all contracted early intervention programs. Train state and local staff on BTOTS.	By June 30, 2006	MDSC, state IT personnel, BWEI staff, local early intervention program managers, staff and IT personnel.
Explore capacity to develop BTOTS report for this indicator.	By December 31, 2006	BWEI program manager, data manager, research analyst, and IT analyst.
All EI programs will have procedures in place to ensure assessment in all domains, described in annual Program Application.	July 1, 2005-June 30, 2011	EI program managers
BWEI will monitor programs for compliance with this indicator. When noncompliance is identified, BWEI TA staff will work with program to determine nature of noncompliance, develop and implement Improvement Plan or Corrective Action.	As described for Indicator 9	BWEI Compliance Coordinator, TA staff, EI program managers and staff
Provide Assessment and IFSP in-service training as required for EI credential.	Ongoing, July 1, 2005-June 30, 2011	Baby Watch CSPD
<i>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.</i>	Annually	Monitoring BTOTS reports, APR Indicator data
<i>BWEIP will solicit stakeholder input for improvement activities to improve the percentage of IFSPs within 45 days.</i>	Annually	Monitoring BTOTS reports, APR Indicator data
<i>BWEIP will work with ICC and providers to develop a committee to analyze reason for late IFSPs</i>	Ongoing	Monitoring BTOTS reports, APR Indicator data

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Indicator 8: 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
- B. Notification to LEA, if child potentially eligible for Part B: and
- C. Transition conference, if child potentially eligible for Part B.

(20 USC 1416(a)(3)(B) and 1442)

Measurement:

- A. Percent = [(# of children exiting Part C who have an IFSP with transition steps and services) divided by(# of children exiting Part C)] times 100.
- B. Percent =[(# of children exiting Part C and potentially eligible for Part B where notification to the LEA occurred) divided by the # of children exiting Part C who were potentially eligible for Part B)] times 100.
- C. 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.

Overview of Issue/Description of System or Process:

All Program Applications include policy and procedures, including local Interagency Agreements with Part B that comply with regulations regarding transition. State T.A. monitors every program for compliance in this area. (See overview of system for compliance indicator #9)

A State Memo of Understanding with Part B is in place to support interagency agreements between Part B and Part C. Further collaboration with Part B is facilitated by the membership of the State Office of Education 619 coordinator to the Part C Interagency Coordinating Council (ICC). The 619 Coordinator and Baby Watch Compliance Coordinator meet quarterly to discuss and resolve transition issues. Utah has excellent training activities and programs for both Part C and Part B personnel and families. They were developed in 2001 by Ski-Hi Institute at Utah State University, in collaboration with Baby Watch Early Intervention, Utah State Office of Education Students at Risk, and Utah Schools for the Deaf and Blind. This training was implemented in 2001-2002 in all Early Intervention programs and school districts. For continuous improvement, a staff development DVD was developed. All E.I. programs and LEAs have this training available in their agency. A parent DVD describing the transition process was developed and distributed through Part C and B programs during the reporting period. This is also available on the Part B web site.

BTOTS, statewide data system developed during FFY 2004-2005, will enhance identification of noncompliance in this area and assist programs to achieve full compliance in this area. The system will generate alerts and reports when transition meeting is due, and generate reports of children approaching age 3 (enable Part C to provide notification to LEA of child potentially eligible for Part B). When transition

meeting is not held in a timely manner, user is required to enter delay reason (unless family declines transition meeting).

Baseline Data for FFY 2004 (2004-2005):

Data from state monitoring.

7 of 15 local programs reviewed

- A. IFSPs with transition steps and services: 63 applicable files reviewed; 57 files in compliance (91%).
- B. Notification to LEA , if child potentially eligible for Part B: 43 applicable files reviewed; 40 files in compliance (93%).
- C. Transition conference, if child potentially eligible for Part B: 38 applicable files reviewed; 35 received transition meeting (92%).
 - 27 files (71%) in compliance for holding transition meeting on time (at least 90 days, and up to 6 months, prior to child's third birthday).

Discussion of Baseline Data:

7 of 15 local programs reviewed. Programs are reviewed on an 18-month cycle. Programs selected on the basis of 18 months since last review. Remaining programs will be monitored during FFY 2005-2006.

- A. BWEI monitoring protocol reviewed this indicator in files of children over 24 months of age.
 - 5 programs in compliance (4 maintained compliance, one resolved previously identified noncompliance)
 - 1 program had newly identified noncompliance, developed and implemented Improvement Plan
 - 1 program developed Corrective Action. The program submitted data demonstrating resolution of noncompliance as of 7/17/2005.
- B. File considered in compliance if review team found signed Release of Information to LEA in file. Isolated incidence of noncompliance found in 3 programs, no Improvement Plans required.
- C. 5 programs in compliance (3 maintained compliance, 2 resolved previously identified noncompliance).
 - 1 program had newly identified noncompliance, developed and implemented Improvement Plan.
 - 1 program developed Corrective Action. Data submitted 7/18/05 demonstrates compliance in 27 of 31 files of children transitioned during a 6-month period (87%).

In FFY 2006-2007, statewide baseline data for all children exiting Part C will be available for parts A and C of this indicator, through BTOTS, Part C data system. Data system is being implemented during FFY 2005-2006. Data system includes data for each child, including:

- Transition planning complete
- Transition meeting status
- Delay reason, if transition meeting not held in timely manner

Baseline data will be adjusted accordingly if shifts occur.

FFY	Measurable and Rigorous Target
<p>2005 (2005-2006)</p>	<p>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:</p> <ul style="list-style-type: none"> A. IFSPs with transition steps and services B. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and C. Transition conference, if child potentially eligible for Part B.
<p>2006 (2006-2007)</p>	<p>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:</p> <ul style="list-style-type: none"> A. IFSPs with transition steps and services B. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and C. Transition conference, if child potentially eligible for Part B.
<p>2007 (2007-2008)</p>	<p>100% 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:</p> <ul style="list-style-type: none"> A. IFSPs with transition steps and services B. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and C. Transition conference, if child potentially eligible for Part B.
<p>2008 (2008-2009)</p>	<p>100% 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:</p> <ul style="list-style-type: none"> A. IFSPs with transition steps and services B. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and C. Transition conference, if child potentially eligible for Part B.
<p>2009 (2009-2010)</p>	<p>100% 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:</p> <ul style="list-style-type: none"> A. IFSPs with transition steps and services B. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and C. Transition conference, if child potentially eligible for Part B.
<p>2010 (2010-2011)</p>	<p>100% 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:</p> <ul style="list-style-type: none"> A. IFSPs with transition steps and services B. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and C. Transition conference, if child potentially eligible for Part B.

<p>2011 (2011-2012)</p>	<p>100% 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:</p> <ul style="list-style-type: none"> D. IFSPs with transition steps and services E. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and F. Transition conference, if child potentially eligible for Part B.
<p>2012 (2012-2013)</p>	<p>100% 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:</p> <ul style="list-style-type: none"> G. IFSPs with transition steps and services H. Notification to LEA, if child potentially eligible for Part B (unless family opts out); and I. Transition conference, if child potentially eligible for Part B.

Revised Improvement Activities/Timelines/Resources: (through FFY 2012)

Activity	Timeline	Resources
Implement a statewide database in all early intervention programs. Users will begin entering transition data into database. Users will receive training on data entry and use of reports to enhance compliance.	July, 2005 – June 30, 2006	BWEI staff and providers
Establish statewide baseline data on compliance for 8A and 8C.	July 1, 2006 – June 30, 2007	BWEI staff
Each program will include a transition page on the IFSP that documents transition steps and services at the initial IFSP and updated at each review.	January 1, 2006 – June 30, 2011	Transition training and technical assistance – BWEI staff
Local programs will alert parents to the process of providing the Part B program with the names of all children potentially eligible for Part B services. Programs will include an opt-out clause for parents to sign on the Transition page of the IFSP.	January 1, 2006 – June 30, 2011	Technical assistance BWEI staff
Local Interagency Agreements will be amended to include the process for notifying the Part B program of children potentially eligible for Part B services.	June 30, 2006 – June 30, 2011	Technical assistance from Part C and Part B
Database will generate alerts and reports to inform programs when transition meeting is due.	July 1, 2005 – June 30, 2011	BWEI
Continue to meet with the Part B 619	August 2003 – June	BWEI Data and Transition

Coordinator quarterly to coordinate information to improve transition for students and families.	30, 2011	Specialists; Part B 619 Coordinator
Work with Part B 619 Coordinator to identify district and providers that need state technical assistance and/or training on transitions.	June 2005. June 30, 2011	BWEI Data and Transition Specialist and Part B Coordinator
Part C will develop a new Memorandum of Understanding with Part B upon approval of new state special education rules. This will include a timeline for the transition meeting and responsibilities of the Part C and Part B agencies in conducting the transition meeting.	January 2012	Part C Coordinator; Part B 619 Coordinator
Each program will develop a new Local Interagency Agreement with LEAs including a timeline for the transition meeting and responsibilities of Part C and Part B agencies in conducting the transition meeting.	June 2012	Part B Memo of Understanding
Part C will monitor each program on a two year cycle for compliance and implement CIMP when needed. Programs with low compliance will receive additional technical assistance to resolve noncompliance.	June 30,2005-June 30, 2011	Part C Compliance specialist and BWEI TA team.
BWEIP will present an in-depth report on the status of Utah’s percentages 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 Transition Steps and Services on the IFSP, Notification to the LEA and Timely Transition Conferences	Annually	Monitoring BTOTS reports APR Indicator data
BWEIP will work with Information Technology (IT)staff to collect Transition Steps and Service on the IFSP, and Notification to the LEA for all children through the database.	April 2011	BWEIP, MDSC IT staff

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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 non compliance corrected within one year of identification:

- a. # of findings of non compliance.
- 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 9 Worksheet" to report data for this indicator (see Attachment A).

Overview of Issue/Description of System or Process:

Utah has 15 early intervention providers (programs) statewide, who maintain contracts with the lead agency.

Revision submitted with of FFY 2009-2010 APR – February 1, 2011

State General Supervision System Framework:

1. The State General Supervision System Framework (See Attachment 1) demonstrates the state's tiered intervention framework for general supervision.
 - a. **General Activities:** An annual review of every program.
 - 1) The LA shall conduct several annual general supervision activities for each EI program to monitor the implementation of IDEA and identify possible areas of noncompliance and low performance. The general activities include:
 - a) Collection and verification of BTOTS data for the SPP/APR compliance and results indicators;
 - b) Program Determinations;
 - c) Review of program data accountability plan;
 - d) Fiscal Management;
 - e) Collection and verification of 618 data in BTOTS618 data; and
 - f) Targeted technical assistance and professional development.
 - b. **Focused Activities:** An annual review of selected EI programs
 - 1) The LA shall conduct annual focused monitoring activities with selected EI programs. The programs and areas of focus are determined annually based on state aggregated data, individual program data and other information.
 - a) EI programs and the ICC may be included in determining which EI programs will be reviewed and what focused activities will be reviewed.
 - b) Focused monitoring activities may include:
 - i) Off-site monitoring activities to include in-depth review of data entered in

BTOTS.

- ii) On-site monitoring activities to include file reviews, interviews, observation and follow-up monitoring visits.
 - iii) Additional activities completed as determined necessary by the LA.
- c. **Intensive Activities:** A review of EI programs, as needed.
- 1) The LA shall conduct intensive monitoring activities in EI programs, as needed.
 - a) Intensive activities may be necessary based on issues identified through general or focused monitoring activities, the complaints/dispute resolution system, or other means. Intensive activities include:
 - i) On or Off-site monitoring activities, including an in-depth review of data entered in BTOTS;
 - ii) Interviews;
 - iii) Follow-up monitoring visits; and
 - iv) Additional activities determined necessary by the LA.

A. Identification of Noncompliance:

1. Noncompliance may be identified at all levels within the State General Supervision System Framework through relevant activities.
2. If the LA finds noncompliance with any compliance indicator, it shall make a written notification of the finding of noncompliance and require a corrective action (CA) of full correction of all noncompliance from the respective EI program.

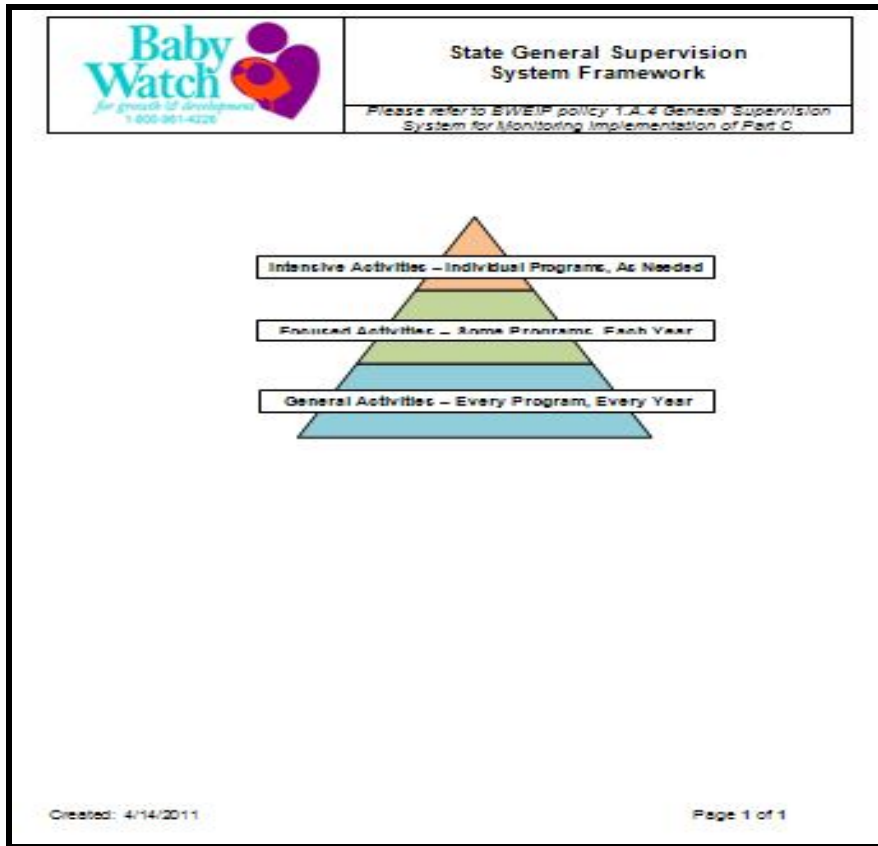
B. Correction of Noncompliance:

1. All noncompliance, once it is identified and notification is given to the EI Program, shall be corrected as soon as possible, but in no case later than one (1) year from the date of the written notification of findings of noncompliance.
2. The LA shall require CAs for all noncompliance.
3. The actions and reporting required varies based on the level of noncompliance as delineated in the Corrective Action Overview (Attachment 2).
4. If noncompliance is not corrected within one (1) year of the written finding of noncompliance, the LA may impose sanctions, such as:
 - a. More explicit details required within the CA;
 - b. On-site visits to determine root causes of noncompliance;
 - c. Additional reporting requirements deemed necessary to ensure compliance; and
 - d. Extensive technical assistance.
5. The LA may require that the EI program provide detail in the CA on how they may revise necessary policies, procedures or practices that contributed to any noncompliance. (see attached document copy *)

D. Training and Technical Assistance:

1. The LA may provide training and TA that is directly linked to the SPP/APR and state monitoring activities to assist EI programs in:
 - a. Understanding the requirements related to these indicators;
 - b. Developing and implementing meaningful improvement plans to correct any noncompliance;
 - c. Enhancing their program performance; and
 - d. Improving outcomes for children and families within their program.

Attachment 1.



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.

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/.
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/.
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/.

End of Revision submitted with of FFY 2009-2010 APR – February 1, 2011

Baby Toddler Online Tracking System (BTOTS) data system was designed during FFY 2004-2005 to ensure compliance in several areas, as described below. BTOTS also includes various reports to assist programs at the state and local level to achieve compliance, and identify and correct any noncompliance in a timely manner.

- Indicator 1: User will enter all IFSP services (including frequency, location, intensity and method) and document service delivery. User can generate report of services delivered and not delivered within a given time frame.
- Indicator 7: IFSP: if not completed within 45 days after referral, user will need to document justification/reason. User will receive warnings when 6-month or annual IFSP review are due or overdue. Assessment in all domains: results must be entered before user can create IFSP (except interim IFSP).
- Indicator 8: User will document transition planning and transition meeting, will receive alerts and generate reports when transition meeting is due or overdue, generate report of children turning 3 within a given time frame.
- Indicators 10-13: Procedural safeguards: User will be required to document parent rights, parent consent, and prior notices given when they are required (e.g., for evaluation, IFSP development or amendment, transition). User will receive warning when significant events are due or overdue (e.g., IFSP, transition meeting).
- Indicator 14: BTOTS will include all data needed for 618 reports, will generate accurate and timely reports. Reports submitted in previous years required manually collecting and compiling data.

Baseline Data for FFY 2004 (2004-2005):

9.A. 87% of noncompliance related to monitoring priority areas and indicators identified in FFY 2003-2004 was corrected within one year of identification.

- a. 23 findings were made related to priority areas.
- b. 20 findings were corrected as soon as possible but no later than one year from identification.
- c. 1 finding was completed after one year from identification.

9.B. 100% of noncompliance related to areas not included in the monitoring priority areas and indicators identified in FFY 2003-2004 was corrected within one year of identification.

- a. 13 findings were made not related to priority areas.
- b. 13 findings were corrected as soon as possible but no later than one year from identification.

9.C. 100% of noncompliance identified through other mechanisms (complaints, due process hearings, mediations, etc.) was corrected within one year of identification.

- a. noncompliance was identified in 1 EI program through a formal complaint.
- b. 1 finding of noncompliance was made.
- c. 1 finding was corrected as soon as possible and in less than one year from identification.

Results from state monitoring FFY 2004-2005: reported in baseline data for each indicator (Indicator 1, 2, 7, and 8)

Discussion of Baseline Data:

Discussion follows compilation tables for 9.A. and 9.B. below.

Compilation Table 9.A.

Indicator	Monitoring Method	# of programs reviewed 2003-2004	a. # with Findings (2003 – 2004)	b. # corrected w/in 1 yr (2004-2005)	c. # corrected after 1 year	% corrected w/in 1 year
1. Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner. <i>Not measured FFY 2003 – 2004. Refer to discussion of baseline data.</i>	On-Site Visit	0	0	0		0%
2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or programs for typically developing children.	Self-Review			1		75%
	On-Site Visit	15	4	2	1	
	Total			3	1	
3. Percent of infants and toddlers with IFSPs who demonstrated improved: positive social-emotional skills, acquisition and use of knowledge and skills; use of appropriate behaviors to meet their needs. NEW INDICATOR NO DATA 2004-05						N/A
4. Percent of families participating in Part C who report that early intervention services helped the family: know their rights; effectively communicate their children’s needs; and help their children develop and learn. NEW INDICATOR NO DATA 2004-05						N/A
5. Percent of infants and toddlers birth to 1 with IFSPs.	On-site Visit	15	0	0		0%
6. Percent of infants and toddlers birth to three with IFSPs.	On-site Visit	15	0	0		0%
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.	Self-Review			2		87%
	On-site Visit	15	8	4		
	Other: Corrective Action			1		

	Total	15	8	7		
Indicator	Monitoring Method	# of programs reviewed 2003-2004	a. # with Findings 2003 – 2004	b. # corrected w/in 1 yr	c. # corrected after 1 year	% corrected w/in 1 year
8. 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. 8a. IFSPs with transition steps and services.	Self-Review			3		100%
	On-Site Visit	15	4	1		
	Total	15	4	4		
8b. Notification to the LEA, if child potentially eligible for Part B. <i>Not measured FFY 2003-2004. Refer to discussion of baseline data.</i>	On-site Visit	15	0	0		N/A
8c. Transition Conference, if child is potentially eligible for part B.	Self-Review			2		85%
	On-site Visit	15	7	4		
	Total	15	7	6		
Totals			23	20		87%

Compilation Table 9.B.

Indicator	Monitoring Method	# of programs reviewed 2003 – 2004	a. # with findings 2003 – 2004	b. # corrected w/in 1 year	% Corrected w/in 1 year
1. Procedural Safeguards: Prior written notice is provided prior to evaluation, IFSP development, 6-month IFSP review, transition, and any other time changes occur.	Self-Review			1	100%
	On-site Visit	15	6	5	
	Total		6	6	
2. Eligibility is based on state-defined criteria, including developmental delay, diagnosed condition, or clinical opinion.	Self-Review			2	100%
	On Site Visit	15	7	5	
	Total		7	7	
Total			13	13	

Discussion of data in Compilation Table.

9.A.1. Data were not collected for this indicator in FFY 2003-2004. Baseline data for this Indicator are from 2004-2005 monitoring and are reported as baseline in the template for Indicator 1. Timely resolution of noncompliance for Indicator 1 will be reported in the February 2007 APR.

9.A.2. Noncompliance was identified in 4 programs in FFY 2003-2004. Monitoring from 2004-2005 demonstrated resolution of noncompliance in 3 programs. In the fourth, 2004-2005 monitoring demonstrated improvement, but not full compliance, for this indicator. Follow-up on-site review in September 2005 demonstrated full compliance for this indicator in this program.

9.A.3 and 9.A.4. New indicator, no data available from 2003-2004 or 2004-2005.

9.A.5. and 9.A.6. No monitoring findings for these indicators from 2003-2004. Refer to Measurable and Rigorous targets for Indicators 5 and 6.

9.A.7. In one program, noncompliance identified in 2003-2004 was not fully resolved per monitoring in FFY 2004-2005. Significant improvement was demonstrated, and program continues to implement Improvement Plan.

9.A.8b. Data were not collected for this indicator in FFY 2003-2004. Baseline data for this Indicator are from 2004-2005 monitoring and are reported as baseline in the template for Indicator 8b. Resolution of noncompliance for Indicator 8b will be reported in the February 2007 APR.

9.A.8c. In one program, noncompliance identified in 2003-2004 was not fully resolved per monitoring in FFY 2004-2005. Baby Watch provided technical assistance, and program implemented Improvement Plan. Resolution of noncompliance for Indicator 8c in this program will be reported in the February 2007 APR.

9.B.1. All programs with identified noncompliance in the procedural safeguards area regarding required written prior notices in FFY 2003-2004 demonstrated compliance in FFY 2004-2005.

9.B.2. All programs with identified noncompliance in the eligibility area in FFY 2003-2004 demonstrated compliance in FFY 2004-2005.

Refer to addendum for required response to FFY 2003-2004 Annual Performance Report.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.
2006 (2006-2007)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.
2007 (2007-2008)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.
2008 (2008-2009)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.
2009 (2009-2010)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.

	noncompliance as soon as possible but in no case later than one year from identification.
2010 (2010-2011)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.
2011 (2011-2012)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.
2012 (2012-2013)	General supervision system (including monitoring, complaints, hearings, etc.) will identify and correct all noncompliance as soon as possible but in no case later than one year from identification.

Revised Improvement Activities/Timelines/Resources: (through FFY 2012)

Activity	Timeline	Resources
Implement statewide data system, BTOTS, in all contracted early intervention programs. Train state and local staff on BTOTS.	By June 30, 2006	MDSC, state IT personnel, BWEI staff, local early intervention program managers, staff and IT personnel.
Develop system of validating BTOTS data through file review process.	By December 31, 2006	BWEI Compliance Coordinator, TA staff, USU GSEG grant.
Conduct file reviews in 9 contracted early intervention programs, completing 18-month monitoring cycle. Follow up on new and previously identified noncompliance through CIMP until resolved.	July 1, 2005-June 30, 2006	BWEI Compliance Coordinator and TA staff.
Develop schedule for 2-year monitoring process, to include a representative sample of programs annually.	By June 30, 2006	BWEI Compliance Coordinator, TA staff.
Revise monitoring indicators to align with SPP and APR indicators.	By June 30, 2006	BWEI Program Manager, Compliance Coordinator, TA staff
Investigate developing self-assessment protocol and tool for providers.	By December 31, 2006	BWEI Compliance Coordinator, TA staff, ICC, EI providers
Change file review cycle from 18 months to 2 years, with a technical assistance visits during alternate year. Follow up on new and previously identified noncompliance through CIMP until resolved.	July 1, 2006 – June 30, 2011	BWEI data manager, program manager, contracted early intervention program managers and staff.
Each contracted EI program will submit a Program	By July 1, each	BWEI Program Manager, TA staff, local

SPP Template – Part C (3)

Utah

Application that includes evidence of policies and procedures to ensure IDEA Compliance. BWEI will review and approve all applications, providing technical assistance as needed.	year, from 2006 - 2010	EI program managers
Adjust compliance monitoring cycle to each program every three years, with a technical assistance visits during alternate years. Follow up on new and previously identified noncompliance through Corrective Action Plans.	2008 -2013	BWEI Staff
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

Refer also to Improvement Activities/Timelines/Resources for Indicator 10 (Complaint resolution)

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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.

Overview of Issue/Description of System or Process:

Procedural safeguards are ensured through the following system.

- Program applications must describe appropriate policy and procedures to ensure procedural safeguards are met.
- All contracted Early Intervention Programs provide the Baby Watch booklet, "Parents' Rights in Early Intervention", to all families, which includes all required elements for procedural safeguards under IDEA. All prior notices include the Baby Watch "Parents' Rights Summary". Both of these documents were developed in 2004 in response to the OSEP verification visit. They were implemented and distributed to all families participating in Part C in Utah as of June 2005. Both are available in English and Spanish and are also available on the Baby Watch website. (www.utahbabywatch.org).
- Training is required for all E.I. staff. The required Procedural Safeguards credentialing training is available as a self-study module on DVD, and Procedural Safeguards are other credential training modules.
- Evidence of compliance is determined through the file review process.
- The Parent Information and Training Center provides resources and support to parents about their rights and complaint procedures.
- Baby Watch has a designated lead agency staff person to handle complaints, maintains access to dispute resolution center, due process hearing officers, and the State Attorney General's Office.

Baseline Data for FFY 2004 (2004-2005):

100% of signed written complaints with reports issued were resolved within 60-day timeline.

Discussion of Baseline Data:

Baby Watch received one signed written complaint in FFY 2004, on December 6, 2004. Baby Watch compliance coordinator investigated the complaint and distributed a written report to the parties involved on January 28, 2005. Noncompliance was identified and the early intervention program implemented corrective action, which was completed April 12, 2005.

SPP Template – Part C (3)

State

FFY	Measurable and Rigorous Target
<p>2005 (2005-2006)</p>	<p>Utah will ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>
<p>2006 (2006-2007)</p>	<p>Utah will continue to ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>
<p>2007 (2007-2008)</p>	<p>Utah will continue to ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>
<p>2008 (2008-2009)</p>	<p>Utah will continue to ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>
<p>2009 (2009-2010)</p>	<p>Utah will continue to ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>
<p>2010 (2010-2011)</p>	<p>Utah will continue to ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>
<p>2011 (2011-2012)</p>	<p>Utah will continue to ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>
<p>2012 (2012-2013)</p>	<p>Utah will continue to ensure that 100% of signed written complaints with reports issued will be resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</p>

Improvement Activities/Timelines/Resources: (through FFY 2012)

SPP Template – Part C (3)

State

Activity	Timeline	Resources
Distribute Baby Watch booklet “Parents’ Rights in Early Intervention” to all families participating in Part C in Utah and advocacy groups. Post documents on Baby Watch website.	June – July 2005	BWEI Compliance Coordinator, Community Partnership Specialist, local EI program managers, staff and service coordinators.
All early intervention providers will revise prior notice documents to include “Parents’ Rights Summary” and all IFSP forms to document that parents received the Parents’ Rights booklet and it was explained to them.	June 2005	BWEI Compliance Coordinator, local EI Program Managers
All Program Applications submitted to Baby Watch and approved will include the required policy elements incorporating the Procedural Safeguards documents.	May 2006	BWEI TA staff, local EI Program Managers.
Review Parents Rights documents to ensure full compliance with IDEA, in accordance with report issued for FFY 2003-4 APR. Revise accordingly.	October 2006	BWEI Compliance Coordinator, Program Manager, and Community Partnership Specialist.
Review Parent Rights documents as needed to ensure compliance with IDEA 2004, when regulations are released.	Within 6 months of release of final Part C regulations	BWEI Compliance Coordinator and Community Partnership Specialist.
Develop BTOTS, statewide Part C data system, to enhance compliance with required procedural safeguards.	By June 30, 2005	MDSC, BWEI Program Manager, Research Analyst, Compliance Coordinator, State IT staff, local users group
Implement BTOTS in all contracted EI Programs.	By June 30, 2006	MDSC, BWEI TA staff, Research Analyst, State and local IT staff, local EI programs
All written complaints and due process hearing requests received will be handled by BWEI Compliance Coordinator, in a timely and appropriate manner.	July 1, 2005 – June 30, 2010	BWEI Compliance Coordinator, Program Manager, local EI program managers, State Attorney General’s Office, Dispute Resolution Center, Utah Parent Center.

SPP Template – Part C (3)

State

Monitor each contracted EI program at least every 24 months for compliance with approved policy and procedures regarding procedural safeguards.	July 1, 2005-June 30, 2010	BWEI Compliance Coordinator, TA staff, local EI programs.
Attend Utah Institute on Special Education Law conference annually.	Each summer, 2005-2010, as available	BWEI Program Manager, TA staff, local EI programs
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 Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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.

Overview of Issue/Description of System or Process:

Baby Watch (BWEI) has not adopted Part B dispute resolution procedures. 30-day timeframe for due process hearing applies.

Refer to Overview of Issue/Description of System or Process for SPP Indicator 10, for description of system to ensure procedural safeguards.

Baseline Data for FFY 2004 (2004-2005):

0% of fully adjudicated due process hearing requests were fully adjudicated within the applicable timeframe; 1 due process hearing requests was pending at the end of the reporting period (due to family circumstances)

Discussion of Baseline Data:

Baby Watch received one request for due process on May 11, 2005. BWEI offered mediation, enlisted the services of a Due Process Hearing Officer and consulted with Attorney General's office. The due process hearing was delayed at the family's request. The due process hearing request was fully adjudicated August 19, 2005. Findings were issued and the early intervention program implemented corrective action, which was completed September 30, 2005.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	BWEI will ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.
2006 (2006-2007)	BWEI will continue to ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.
2007 (2007-2008)	BWEI will continue to ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.

<p>2008 (2008-2009)</p>	<p>BWEI will continue to ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.</p>
<p>2009 (2009-2010)</p>	<p>BWEI will continue to ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.</p>
<p>2010 (2010-2011)</p>	<p>BWEI will continue to ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.</p>
<p>2011 (2011-2012)</p>	<p>BWEI will continue to ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.</p>
<p>2012 (2012-2013)</p>	<p>BWEI will continue to ensure that 100% of fully adjudicated due process hearing requests will be fully adjudicated within the applicable timeline.</p>

Revisions Improvement Activities/Timelines/Resources: (through FFY 2012)

Refer to Improvement Activities/Timelines/Resources for Indicator 10 (Complaint Resolution)

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

(The following items are to be completed for each monitoring priority/indicator.)

Monitoring Priority: Effective General Supervision Part C / General Supervision

N/A

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)**

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

Monitoring Priority: Effective General Supervision Part C / General Supervision

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

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

Measurement:

Percent = (2.1(a)(i) + 2.1(b)(i)) divided by (2.1) times 100.

Overview of Issue/Description of System or Process:

Refer to Overview of Issue/Description of System or Process for SPP Indicator 10, for description of system to ensure procedural safeguards.

Mediation must be offered any time a due process hearing is requested or a signed written complaint is filed. Through mediation, the family and a representative of their local Early Intervention Program will meet with a neutral person to help the parties solve the problem. The state Baby Watch Early Intervention Program will arrange for mediation when requested, including the identification of a mediator.

Mediation:

- Is voluntary on the part of all parties
- Is conducted by a qualified and impartial mediator who is trained in effective mediation techniques.
- Cannot be used to deny or delay the right to a due process hearing.
- Results in a written agreement.

Families have the right to:

- Receive mediation at no cost.
- Have the meeting carried out at a time and in a location that is reasonable and convenient for them and parties involved.
- Have all personally identifiable information maintained in a confidential manner.
- Be assured that discussions that occur during the mediation process will be kept confidential and will not be used as evidence in any subsequent due process hearing or civil proceedings.

Baseline Data for FFY 2004 (2004-2005):

No mediation requests, so assume 100%.

Discussion of Baseline Data:

BWEI did not hold any mediation in FFY 2004 (2004-2005). Baseline doesn't apply because there were no mediations held.

SPP Template – Part C (3)

State

BWEI received 1 signed written complaint and 1 due process hearing request during FFY 2004-2005. Mediation was offered to the family in both instances. Family declined mediation.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	Target not applicable due to lack of mediation requests.
2006 (2006-2007)	Target not applicable due to lack of mediation requests.
2007 (2007-2008)	Target not applicable due to lack of mediation requests.
2008 (2008-2009)	Target not applicable due to lack of mediation requests.
2009 (2009-2010)	Target not applicable due to lack of mediation requests.
2010 (2010-2011)	Target not applicable due to lack of mediation requests.
2011 (2011-2012)	Target not applicable due to lack of mediation requests.
2012 (2012-2013)	Target not applicable due to lack of mediation requests.

Improvement Activities/Timelines/Resources: (through FFY 2012)

Refer to Improvement Activities/Timelines/Resources for Indicator 10 (Complaint Resolution)

Part C State Performance Plan (SPP) for 2005-2012

Overview of the State Performance Plan Development:

Refer to Overview of State Performance Plan preceding this document.

(The following items are to be completed for each monitoring priority/indicator.)

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).

Overview of Issue/Description of System or Process:

Baby Watch is in the final stage of developing and implementing BTOTS (Baby Toddler Online Tracking System), a statewide data collection and management tool for Part C. The initial phase of BTOTS was implemented during FFY 2002-2003. This included a mechanism for contracting agencies to submit or export data in a standard format to the state. Lead Agency staff developed a users guide and trained all early intervention programs to submit or export required data. During FFY2003-2004, the systems requirements documents were finalized; the LA obtained funding to develop Phase 2; wrote RFP and selected vendor to develop database (MDSC, Logan, UT); and the Initial User Interface Document was developed and presented to stakeholder group of EI providers for review.

During the reporting period (2004-2005), MDSC developed the BTOTS application and beta testing began. Stakeholder groups met three times during the year to review progress. Development group, including LA Program Manager, Data Manager, Research analyst, IT programmers and MDSC met at least monthly to review and discuss progress of the project.

BTOTS was installed in two local programs for beta testing in June 2005. Full implementation is anticipated by the end of the calendar year 2005.

618 data were collected from a combination of sources. Existing data systems generated the reports in 5 programs. One program submitted data manually. In the other 9 programs, BTOTS was used to compile the 618 data. BWEI research Analyst used BTOTS data to generate lists for each 618 data table, by program. LA Data Manager provided instructions for each program (director and data staff) to verify the accuracy of the BTOTS data lists. Prior to compiling the 618 data tables, the EI program managers ensured that necessary revisions were made and that the data were complete and accurate.

Part C Data Manager participated on planning committee for Part B/C Data Manager Meeting, held August 2005, in Washington DC.

Baseline Data for FFY 2004 (2004-2005):

100% of Utah’s State reported data (618 and State Performance Plan and Annual Performance Report) were timely and accurate.

a) 618 data, December 1 2004

- Table 1: original submission 1/28/2005
Revised Table 1 submitted 10/20/2005
- Tables 2-5: original submission 10/20/2005

Tables submitted electronically to Shafali Srivastava at Westat; mailed to Troy Justesen at OSEP. Shafali e-mailed change reports to Part C data manager on 10/26/05, Part C Data Manager responded on October 28, 2005.

2003-2004 Annual Performance Report: submitted electronically on 3/25/2005 (prior to deadline), using web-based format.

b) All data were accurate as submitted. Table 1 was resubmitted as a revision because implementation of BTOTS, statewide data system, resulted in minor revision to child count number (increase of 0.35%). Mechanisms to ensure accuracy of the data are described above in Overview of Issue/Description of system or Process.

Discussion of Baseline Data:

618 data and 2003-2004 APR were submitted prior to due dates.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	Utah will ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.
2006 (2006-2007)	Utah will continue to ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.
2007 (2007-2008)	Utah will continue to ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.
2008 (2008-2009)	Utah will continue to ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.
2009 (2009-2010)	Utah will continue to ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.
2010 (2010-2011)	Utah will continue to ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.

<p>2011 (2011-2012)</p>	<p>Utah will continue to ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.</p>
<p>2012 (2012-2013)</p>	<p>Utah will continue to ensure that 100% of the State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.</p>

Improvement Activities/Timelines/Resources: (through FFY 2012)

<p>Activity</p>	<p>Timeline</p>	<p>Resource</p>
<p>Beta test BTOTS program in two local agencies. Make necessary changes as indicated. Develop Users Guide, etc.</p>	<p>June 30, 2005 – September 30, 2005</p>	<p>MDSC, LA IT staff, BWEI Research Analyst and TA staff, Up to 3 Early Intervention, DDI VANTAGE early Intervention</p>
<p>Train BWEI TA staff on BTOTS program and reports.</p>	<p>By October 1, 2005</p>	<p>BWEI Research Analyst</p>
<p>Install BTOTS in all Early Intervention Programs statewide. Train providers on BTOTs use.</p>	<p>By June 30, 2006</p>	<p>MDSC, LA IT staff, BWEI Research Analyst and TA staff.</p>
<p>BTOTS enhancement to collect child outcomes data.</p>	<p>By July 1, 2006</p>	<p>Contractor</p>
<p>Enhancement committee to review and prioritize recommended enhancements.</p>	<p>Ongoing, meet at least twice annually.</p>	<p>BWEI staff, IT staff, local EI providers.</p>
<p>Develop method of validating BTOTs data through file review process.</p>	<p>By December 31, 2006</p>	<p>BWEI staff</p>
<p>Develop QA process with EI providers.</p>	<p>By December 31, 2006</p>	<p>BWEI staff, local EI providers</p>
<p>Use BTOTS to generate timely, accurate 618 data reports.</p>	<p>BY OSEP due dates, July 1, 2005 – June 30, 2011.</p>	<p>BWEI staff</p>
<p>Report Child Count data October 15 of each year.</p>	<p>2006-2011</p>	<p>BWEI staff</p>
<p>Use BOTS to develop statewide baseline data for indicators 3, 7, and 8, and for reporting in APR.</p>	<p>By February 2, 2007</p>	<p>BWEI staff</p>

Use BTOTS data to report to the public on the status of each EI Program.	April of each year, 2007-2011.	BWEI staff, ICC, local EI providers
Assist programs in revising their data accuracy plans in their program applications.	2009-2011	BWEIP data manager
Continue development of the BTOTS Web database	Ongoing	BWEIP staff
Write operational definitions for all data elements in BTOTS and add them to the BTOTS Web database.	2010-2012	BWEIP staff
Begin development of a compliance database.	2010-2012	BWEIP staff