

---

---

---

# ANNUAL PERFORMANCE REPORT

IDEA Part C



FFY 2009 (2009-2010)  
Submitted February 1, 2011

State of Iowa  
Iowa Department of Education  
Bureau of Early Childhood Services  
Grimes State Office Building  
Des Moines, Iowa 50319-0146

---

---

---



State of Iowa  
**Department of Education**  
Grimes State Office Building  
400 E 14<sup>th</sup> St  
Des Moines IA 50319-0146

### **State Board of Education**

Rosie Hussey, President, Clear Lake  
Charles C. Edwards, Jr., Vice President, Des Moines  
Sister Jude Fitzpatrick, West Des Moines  
Michael L. Knedler, Council Bluffs  
Valorie J. Kruse, Sioux City  
Ana Lopez-Dawson, Pella  
Max Phillips, Woodward  
LaMetta Wynn, Clinton  
Corey Anderson, Student Member, Norwalk

### **Administration**

Jason Glass, Director and Executive Officer  
of the State Board of Education  
Gail M. Sullivan, Chief of Staff

### **Division of PK-12 Education**

Kevin Fangman, Division Administrator

### **Early Childhood Services Bureau**

LauraBelle Sherman-Proehl, Chief  
Julie Curry, State Early ACCESS (Part C) Coordinator

It is the policy of the Iowa Department of Education not to discriminate on the basis of race, creed, color, sex, sexual orientation, gender identity, national origin, gender, disability, religion, age, political party affiliation, or actual or potential parental, family or marital status in its programs, activities, or employment practices as required by the *Iowa Code* sections 216.9 and 256.10(2), Titles VI and VII of the Civil Rights Act of 1964 (42 U.S.C. § 2000d and 2000e), the Equal Pay Act of 1973 (29 U.S.C. § 206, et seq.), Title IX (Educational Amendments, 20 U.S.C. §§ 1681 – 1688) Section 504 (Rehabilitation Act of 1973, 29 U.S.C. § 794), and the Americans with Disabilities Act (42 U.S.C. § 12101, et seq.).

If you have questions or grievances related to compliance with this policy by the Iowa Department of Education, please contact the legal counsel for the Iowa Department of Education, Grimes State Office Building, 400 E 14<sup>th</sup> St, Des Moines IA 50319-0146, telephone number 515/281-5295, or the Director of the Office for Civil Rights, U.S. Department of Education, 111 N. Canal Street, Suite 1053, Chicago, IL 60606-7204



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

Under IDEA Section 641(e)(1)(D) and 34 CFR §303.654, the Interagency Coordinating Council (ICC) of each jurisdiction that receives funds under Part C of the IDEA must prepare and submit to the Secretary of the U.S. Department of Education (Department) and to the Governor of its jurisdiction an annual report on the status of the early intervention programs for infants and toddlers with disabilities and their families operated within the State. The ICC may either: (1) prepare and submit its own annual report to the Department and the Governor, or (2) provide this certification with the State lead agency's Annual Performance Report (APR)<sup>1</sup> under Part C of the IDEA. This certification (including the annual report or APR) is due no later than February 1, 2011.

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

1.  Submitting its own annual report (which is attached); or
2.  Using the State's Part C APR for FFY 2009 in lieu of submitting the ICC's own annual report. By completing this certification, the ICC confirms that it has reviewed the State's Part C APR for accuracy and completeness.<sup>2</sup>

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



\_\_\_\_\_  
Signature of ICC Chairperson

January 27, 2011

Date

Julie Hahn, Parent Representative and Chair  
[Julie\\_hawk@yahoo.com](mailto:Julie_hawk@yahoo.com)  
(515) 237-3879

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

<sup>2</sup> If the ICC is using the State's Part C APR and it disagrees with data or other information presented in the State's Part C APR, the ICC must attach to this certification an explanation of the ICC's disagreement and submit the certification and explanation no later than February 1, 2011.



## Part C Annual Performance Report (APR) for FFY 2009 (2009-2010)

	<b>Page</b>
<b>Table of Contents</b>	i
<b>Comprehensive Chart of OSEP Response Table Requirements</b>	ii
<b>Introduction and System Infrastructure</b>	vi
<b>Overview of Annual Performance Report Development</b>	1
<b>Monitoring Priority: EIS in the NE</b>	
Indicator 1: Timely Services	3
Indicator 2: Natural Environment	11
Indicator 3: Early Childhood Outcomes	17
Indicator 4: Family Centered Services	33
<b>Monitoring Priority: General Supervision</b>	
Indicator 5: Child Find B-1	47
Indicator 6: Child Find B-3	61
Indicator 7: Timely Evaluation and Assessment	75
Indicator 8A: Transition Steps and Services	85
Indicator 8B: Transition Notification of LEA (AEA)	93
Indicator 8C: Transition Timely Conference	99
Indicator 9: Monitoring	107
Indicator 10: Complaints	121
Indicator 11: Hearings	127
Indicator 12: Resolution Sessions	131
Indicator 13: Mediations	133
Indicator 14: Timely and Accurate Data	135



Part C Annual Performance Report (APR) Comprehensive Chart  
 OSEP Response Letter Requirements for FFY 2008 (2008-2009)

Indicator	OSEP Response Table Comments Regarding FFY 2008 APR (2-1-10)	APR OSEP Indicator Requirement	State Update Page Number FFY 2009
C1: Timely Services	The State provided data and met target of 100%.		N/A
<p><b>Note.</b> During OSEP’s October 2010 Verification Visit, OSEP required Iowa to make changes in its data collection for C1 and to report the new data in its FFY 2009 APR. See page 3 for Indicator C1 details.</p>			
C2: Settings/ Natural Environment	The State’s actual target data are at 98.52% and reflect high performance. OSEP has no expectation that an increase in this percentage is necessary. It is important that the State continue to monitor to ensure individualized decisions.		N/A
<p><b>C3: ECO</b>                      A. Social-emotional                      B. Knowledge and skill                      C. Appropriate behavior</p>	The State revised measurement language as required in revised Indicator Measurement Table and OSEP accepted those revisions. State provided required FFY 2008 baseline data, targets and improvement activities and OSEP accepted them.	The State must provide baseline data, targets and improvement activities with the FFY 2009 APR.	APR (pp.17) <b>Note.</b> Indicator is written in APR template for first time.
C4: Family Outcomes	The State provided data and met each of three targets. Data for C4B and C4C represent progress.		N/A
C5: Child Find Birth -1	The State revised measurement language as required in revised Indicator Measurement Table and OSEP accepted those revisions. State met FFY 2008 target.		N/A
C6: Child Find Birth -3	The State revised measurement language as required in revised Indicator Measurement Table and OSEP accepted those revisions. State met FFY 2008 target.		N/A

Continued...

Indicator	OSEP Response Table Comments Regarding FFY 2008 APR (2-1-09)	APR OSEP Indicator Requirement	State Update Page Number FFY 2009
<b>C7:</b> Timely Evaluation and Assessment	The State revised measurement language as required in revised Indicator Measurement Table and OSEP accepted those revisions. The State did not meet its FFY 2008 target of 100%. Progress was made from FFY 2007. The State reported that 7 findings of noncompliance were identified in FFY 2007 and corrected in timely manner.	The FFY 2009 APR must report correction and verification of any noncompliance identified in FFY 2008, consistent with OSEP Memo 09-02. The State must review its FFY 2009 improvement activities and revise them, if appropriate, to ensure demonstration of compliance with the 45-day timeline.	APR (pp.75)
<b>C8:</b> Transition (A, B & C)	The State met its 100% target for C8B. The State did not meet its target of 100% for C8A and C8C. The State reported that all findings of noncompliance identified in FFY 2007 were corrected in timely manner (two findings for C8A and four findings for C8C).	C8A and C8C as required by OSEP; the State must correct any noncompliance identified in FFY 2008. The FFY 2009 APR must report correction and verification of any noncompliance identified in FFY 2008, consistent with OSEP Memo 09-02. The State must review its improvement activities and revise them, if necessary, if unable to demonstrate compliance in FFY 2009.	APR 8A (pp 85) 8B (pp 93) 8C (pp 99)
<b>C9:</b> General Supervision (monitoring, complaints, hearings, etc.)	The State met its FFY 2008 target of 100%. State reported that all 16 findings in FFY 2007 were corrected in timely manner.	As required by OSEP; the State must report in its FFY 2009 APR correction of noncompliance of Indicators C7, C8(A) and C8(C) under each Indicator, consistent with OSEP Memo 09-02. The State must use Indicator 9 Worksheet in FFY 2009 APR.	APR (pp.107)
<b>C10:</b> Complaints resolved within 60 day timeline	No written complaints were filed during FFY 2008.		N/A

Continued...

Indicator	OSEP Response Table Comments Regarding FFY 2008 APR (2-1-09)	APR OSEP Indicator Requirement	State Update Page Number FFY 2009
<b>C11:</b> Due process hearings	No due process hearing requests were filed during FFY 2008.		N/A
<b>C12:</b> Hearing requests to resolution sessions resolved	Not applicable, per OSEP instructions.		N/A
<b>C13:</b> Mediations that resulted in agreements	No mediations were requested or held during FFY 2008.	The State is not required to provide or meet its targets or provide improvement activities until any FFY in which 10 or more mediations are conducted.	N/A
<b>C14:</b> Timely- and Accurate Data	The State met its FFY 2008 target of 100%.	The State must use Indicator 14 Data Rubric in FFY 2009 APR.	N/A



**Part C Annual Performance Report (APR) for FFY 2009 (2009-2010)****Introduction of the Annual Performance Report**

The Annual Performance Report is a Federal reporting requirement to provide yearly updates for each state's progress meeting 14 indicators from the State Performance Plan submitted December 2, 2005 and revised February 1, 2011. The State Performance Plan was developed with six years of targets and improvement activities to provide results for meeting the needs of infants and toddlers with known conditions or developmental delays. In 2011, the plan was extended by two years to end in FFY 2012 (2012-2013). The following information provides a brief overview of the Iowa birth to three system, the process used for broad stakeholder input and public reporting requirements.

**The Early ACCESS Infrastructure**

In Iowa, the system that implements the Individuals with Disabilities Education Act (IDEA 2004) Part C is referred to as Early ACCESS since it is a collaborative system of four state agencies. The four agencies, known as the Signatory Agencies, are the Iowa Department of Education, Iowa Department of Public Health, Iowa Department of Human Services, and the University of Iowa Child Health Specialty Clinics. The Governor of Iowa designated the Department of Education to be the Lead Agency with fiscal and legal responsibilities among the four Signatory Agencies.

The Iowa Council for Early ACCESS (ICEA) is Iowa's State Interagency Coordinating Council (SICC) mandated by Federal law of IDEA, Part C. The Governor appoints Council members who represent key constituencies across Iowa. The Council advises and assists the Lead Agency to achieve an effective statewide comprehensive interagency system of integrated early intervention services. The Executive Committee of the Council serves as the decision-making group for the Council and advisory group to the system.

Historically (from 1974 to 2003), Iowa was divided into 15 intermediate agencies (Area Education Agencies) providing specialized services. In 2003, five of the agencies merged, which reduced the total number to 12. In 2005, two more agencies merged reducing the total number to 11. In 2006, two agencies merged reducing the agencies number to 10. The original 15 agencies (currently 10 agencies) assumed the role of Regional Grantees and agreed to the fiscal and legal responsibility for ensuring that the Early ACCESS system is carried out regionally. (Iowa is a birth mandate state so the structure was primarily established.) Therefore, the geographic boundaries of the Early ACCESS regions are the same as the Area Education Agency (AEA) boundaries and are referred to as Regional Grantees or Regions. AEA Directors of Special Education serve as the Regional Grantee Administrators. The Regional Grantees and Signatory Agencies work together to identify all eligible children and assure needed early intervention services are provided.



**Overview of the Development of the Annual Performance Report (APR) for FFY 2009 (2009-2010)**

The State’s Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators and the Early ACCESS Leadership Group provided stakeholder input regarding reporting requirements for the State Performance Plan (SPP). First members were provided baseline and target data compared to targets established in the SPP. Second, the groups’ role in providing input to the Lead Agency for submitting the Office of Special Education Programs (OSEP) Annual Performance Report was reviewed. Third, a question and answer period occurred to clarify any data questions and concepts. Fourth, members worked in small groups to analyze the data and draw conclusions. Lead Agency consultants were available to facilitate and answer questions. Fifth, small group conclusions and comments regarding progress or slippage of meeting targets, root causes, and improvement activities were shared. Analysis conclusions, discussion notes and comments were provided to Lead Agency staff to include in the APR for each indicator.

Several key stakeholder groups were integral in providing input; the group, members, and meeting dates specific to the development of the Annual Performance Report are provided in Table 1.

Table 1.  
*Group, Members and Meeting Dates of Key Stakeholders Input for APR Development.*

Group	Members	Meeting Dates
The Early ACCESS Council	<ul style="list-style-type: none"> <li>• Parents of Children with Disabilities</li> <li>• Service Providers</li> <li>• Signatory Agencies at the State and Regional Level</li> <li>• Representatives of Insurance Commission</li> <li>• Mental Health Providers</li> <li>• Representatives of Head Start</li> <li>• Local/Regional/State Representatives of Mental Health, Private Medical and Physicians</li> <li>• Higher Education</li> </ul>	September 17, 2010 November 19, 2010 January 21, 2011
Regional Grantee Administrators	<ul style="list-style-type: none"> <li>• Directors of Special Education for 10 Regional Grantees</li> </ul>	November 12, 2010 December 9, 2010 January 13, 2011
Early ACCESS Leadership Group	Representatives of the: <ul style="list-style-type: none"> <li>• Regional Grantees</li> <li>• Signatory Agencies</li> </ul>	December 1, 2010

**Public Dissemination and Reporting.** The Lead Agency will report to the public progress and/or slippage in meeting the measurable and rigorous targets of the SPP/APR and performance of each Early Intervention Program (Iowa’s Regional Grantee) on the targets in the SPP by posting the FFY 2009 (2009-2010) Iowa Part C Annual Performance Report (APR) submitted to OSEP on the State of Iowa Department of Education website ([http://www.iowa.gov/educate/index.php?option=com\\_content&task=view&id=633&Itemid=1270#LegalRequirementsReports](http://www.iowa.gov/educate/index.php?option=com_content&task=view&id=633&Itemid=1270#LegalRequirementsReports)) no later than February 28, 2011. The State Performance Plan (SPP) was updated to extend targets and improvement activities for two additional years (FFY 2011, FFY 2012), per OSEP Memo November 22, 2010 instructions. The Lead Agency will post the revised SPP 2009 (2009-2010) on the same State of Iowa Department of Education website (above) no later than February 28, 2011.

The Iowa Annual Performance Report will be disseminated to the public through the following channels and timelines:

- Posted on the Iowa Department of Education Website: no later than February 28, 2011 at: [http://www.iowa.gov/educate/index.php?option=com\\_content&task=view&id=633&Itemid=1270#LegalRequirementsReports](http://www.iowa.gov/educate/index.php?option=com_content&task=view&id=633&Itemid=1270#LegalRequirementsReports).
- Provided to Regional Grantee Administrators: No later than February 28, 2011;
- Provided to Early ACCESS Leadership Group: No later than February 26, 2011;
- Released to the Public via notice in the newspaper: No later than February 28, 2011; and
- Provided to the Iowa Council of Early ACCESS: No later than March 4, 2011.

**Annual Performance Report Structure.** The structure of Iowa's APR is based on the following OSEP requirements:

1. **Overview of the Annual Performance Report Development.** Provides brief information regarding broad stakeholder input for development of the report.
2. **Monitoring Priority.** Describes OSEP requirement for IDEA monitoring.
3. **Indicator.** Measures results of the Part C IDEA system for 14 areas.
4. **Measurement.** Requirement provided by OSEP so all states consistently report progress for the 14 indicators.
5. **Measurable/Rigorous Targets.** Compliance indicator targets were set at 100% and results indicator targets were set by states based on baseline data and broad stakeholder input.
6. **Actual Target Data.** Provides the state's annual data reported for both number and percentages.
7. **Discussion of Improvement Activities Completed and Explanation of Progress or Slippage.** Provides conclusion statements that explain state progress or slippage based on analysis of target data in relationship to established targets.

Also provides descriptions of the planned improvement activities for the year reported and the effectiveness of the activities. The Improvement Activities are reported using five subheadings:

- a. Verification of data includes the Lead Agency's description of systemic processes used for data verification and accuracy.
  - b. Analysis of data to identify concerns describes the state and region analysis of data regarding improvement.
  - c. Analysis of policies, procedures and practices reviews meeting law requirements and implementation and revisions provided.
  - d. Technical assistance and professional development activities are described as provided to the Regions and Signatory Agencies.
  - e. Ongoing monitoring and enforcement as needed reviews the evaluation and monitoring results provided to Regions, including correction of any previous non-compliance findings. Also provides information about findings identified regarding noncompliance of local programs and their correction, when applicable.
8. **Revisions, with Justification, to Proposed Targets/Improvement Activities/Timelines/Resources.** Provides Lead Agency's intentions for maintaining or revising for next FFY year.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### 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.

This is a *compliance indicator* and OSEP designated the measurable and rigorous target at 100%.

FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of infants and toddlers with IFSPs receive early intervention services on their IFSPs in a timely manner (30 calendar days from consent for services).

### Actual Target Data for FFY 2009:

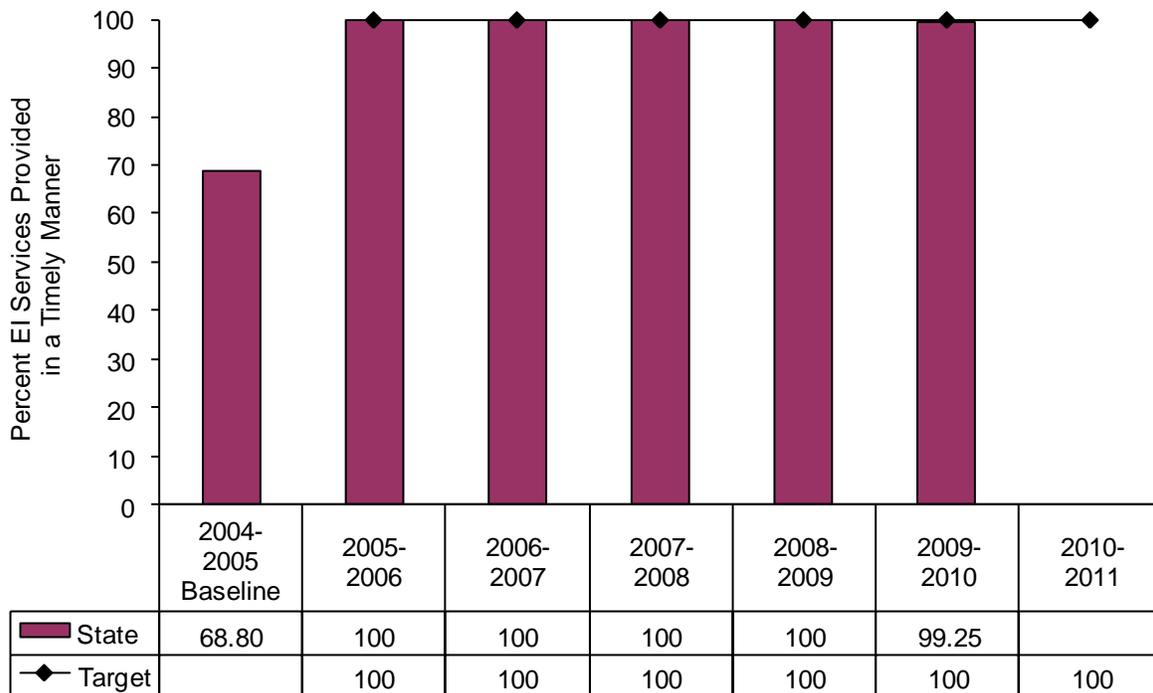
Data for this indicator were taken from a monitoring file review for the current reporting period and reflect the initiation of services from initial, periodic, or annual reviews for a random sample of all children served through IFSPs on October 30, 2009 (3,772 total IFSPs). The monitoring cycle occurs annually with all Regional Grantees. The Lead Agency provided each Regional Grantee with an Excel data collection form and a random sample of IFSPs consisting of 10% of IFSPs in their region or a minimum of 15 files, whichever was greater. Random samples included files with service coordination and early intervention services to monitor timely services across providers. Iowa included in its calculation children for whom the State had identified the cause for the delay as exceptional family circumstances.

**Note.** Prior to receipt of OSEP's October 25-29, 2010 Verification Visit letter, the Lead Agency collected and analyzed C1 data as per OSEP Team October 2010 instructions.

Data are based on the actual number of days, not the average, between parental consent and the data specified on the IFSP for initiation of services. These numbers are included in the numerator and denominator. Services are considered timely if initiated within 30 calendar days from the date consent for services were obtained (State criteria).

Figure C1.1 shows FFY 2004 baseline through current reporting year data and target for provision of timely services. As noted in the figure, the state target was met for FFY 2005 through FFY 2008. For the current reporting period, there was minimal slippage of 0.75% from the target. For baseline as well as the current reporting year, timely services were monitored by the Lead Agency using a statewide IFSP file review process. For FFY 2006 through FFY 2008, Part C census data from the Iowa's Information Management System (IMS) of the full reporting year were used to report on timely services.

Figure C1.1. State Percent of Infants and Toddlers with IFSPs Who Receive the Early Intervention Services on Their IFSPs in a Timely Manner.



Source. Regional File Review FFY 2004 and FFY 2009; Iowa Information System (IMS) FFY 2005 - FFY 2008.

Table C1.1 below provides the number of child IFSPs sampled for the current reporting year for which initial services were provided in a timely manner; the total number of child IFSPs reviewed per Regional Grantee; the percent of infants, toddlers and families who received initial services in a timely manner; and the number and percent of children for which services did *not* start within 30 days of consent for services.

Table C1.1

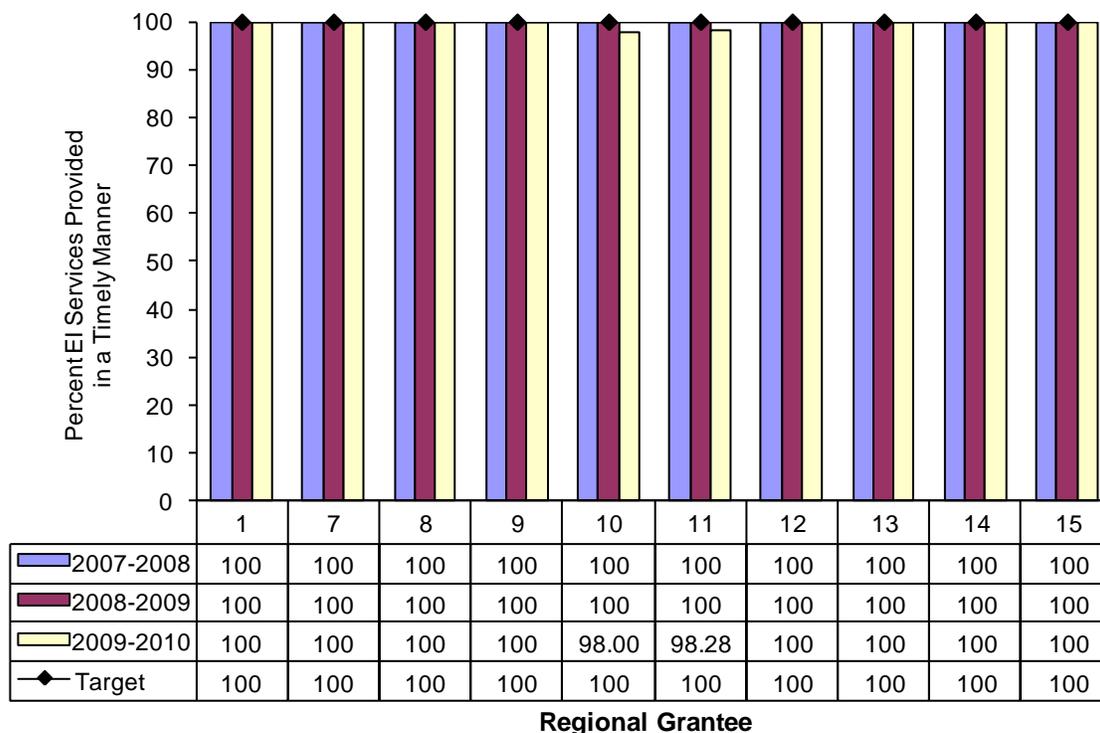
*Regional Grantee Percent and Number of Children Receiving Timely and Untimely Services.*

A	B	C	D	E
Regional Grantee	Initial Services Within 30 Days of IFSP Meeting	Delayed for Family Reasons	Total Timely Services Plus Those Delayed for Family Reasons (B+C)	Services NOT Within 30 Days with No Family Reason Documented
1	86.36% 19/22	13.64% 3/22	100% 22/22	0% 0/22
7	91.84% 45/49	8.16% 4/49	100% 49/49	0% 0/49
8	78.26% 18/23	21.74% 5/23	100% 23/23	0% 0/23
9	97.50% 39/40	2.50% 1/40	100% 40/40	0% 0/40
10	92.00% 46/50	6.00% 3/50	98.00% 49/50	2.00% 1/50
11	94.83% 110/116	3.45% 4/116	98.28% 114/116	1.72% 2/116
12	88.57% 31/35	11.43% 4/35	100% 35/35	0% 0/35
13	95.65% 22/23	4.35% 1/23	100% 23/23	0% 0/23
14	93.33% 14/15	6.67% 1/15	100% 15/15	0% 0/15
15	96.43% 27/28	3.57% 1/28	100% 28/28	0% 0/28
State	92.52% 371/401	6.73% 27/401	99.25% 398/401	0.75% 3/401

Source. Part C Regional Monitoring Data - File Review, FFY 2009.

Figure C1.2 below shows trend data for Regional Grantees FFY 2007 through current reporting year data and state target for percent of timely services provision.

Figure C1.2. Regional Grantee Percent of Early Intervention Services Provided in a Timely Manner, Three-Year Trend.



Source. Iowa Information Management System FFY 2007 - FFY 2008. Part C Regional Monitoring File Review, FFY 2009.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:**

Iowa experienced a slight slippage of 0.75% from the 100% target for the current reporting year, yet achieved substantial compliance for timely services (99.25%). Data indicated that 92.52% of infants and toddlers (401) received all early intervention services within 30 days of the consent for services. An additional 6.73% (27) were reported to be untimely due to exceptional children or family reasons. Three children’s services were untimely due to systems reasons such as staff shortages, vacation, illness, or scheduling. Services that were untimely were provided within 5 days or less from the 30-day timeline.

Several improvement activities were continued to impact meeting the target for this indicator. The activities included verification of data, analysis of data, analysis of policies, procedures, and practices, technical assistance, and ongoing monitoring.

**Verification of data.** In the current reporting year, the data collection system used for timely services and related requirements for timely services was the Part C Monitoring File Review process. The Lead Agency provided the file review random sample for the Regional Grantees where 10% or a minimum of 15 child files were sampled. The Lead Agency provided written guidance, technical assistance and ongoing support to maintain systemic procedures for data collection and monitoring Indicator C1 and related requirements.

**Analysis of data to identify concerns.** Timely services data were analyzed by the Lead Agency, Regional Grantee Leadership and the State Interagency Coordinating Council (SICC). Stakeholders commented that the data indicated a substantial percentage of children and families received timely early intervention services (99.25%). They also noted that Iowa's model of service providers as initial evaluators is working and needs to be preserved. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of policies, procedures and practices.** The Lead Agency continued working to strengthen the Part C finance system in order to maximize the coordination of resources. Implementing and reporting of the Part C American Recovery and Reinvestment Act (ARRA) funds was a priority in FFY 2009. Funds were designated for direct services, helping local programs keep pace with the long-term annual increases of children served (doubled in last seven years). Iowa has plans to address sustainability during FFY 2010.

In spring 2010, the Lead Agency, with the support of its Signatory Agencies and SICC, successfully secured state appropriations for Early ACCESS. The appropriation for the current reporting year maintained the dedicated state allocation to the Part C system. The allocation went to direct services provided by the Regional Grantees and a health partner, including nutrition services and services for underserved populations such as children referred by CAPTA (Child Abuse Prevention and Treatment Act); premature infants; children who have medically complex issues; and children who are drug affected.

Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations, including timely provision of services. Practitioners reported that the manual clarified a lot of issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Definitions and requirements of each of the early intervention services;
- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation; and
- Procedures and documentation regarding parent withdrawal of consent for services.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

Innovative efforts to improve timely and coordinated services were continued by the Polk County Juvenile Court who started the *Court Teams for Change* project in Iowa. *Court Teams for Change* is a collaborative effort that involves Polk County Juvenile Court, *Zero to Three* (a national infant-toddler advocacy organization), the Iowa Department of Human Services, provider agencies, and Early ACCESS. Its goal is to improve outcomes for infants and toddlers who have been removed from the home due to parental drug use or domestic violence.

Trend data regarding referrals of children who were abused or neglected were analyzed by the Lead Agency. Early ACCESS data for the Court Team's region showed that the number of children served by Early ACCESS increased from 39 in FFY 2005 to 103 in FFY 2009.

Early ACCESS Regional Grantees have been working with Family Drug Courts in other parts of the state using strategies similar to *Court Teams for Change*. Data gathered from the Family Drug Courts shows 94% of children served did not return to foster care. This compares to 88% for the state as a whole. Federal law gives states 12 months to reunify children and parents; the six pilot sites accomplished this goal in 81% of the cases while the statewide average is 61%.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: training providers in use of the procedures manual including timely service requirements; service coordination training which stressed proper IFSP documentation and the importance of initiating all services within 30 days; developed a system of alerts to notify services coordinators of upcoming deadlines; coordinated monthly indicator reports; and increased supervision to improve or maintain indicator targets. The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

**Ongoing monitoring and enforcement as needed.** There were no new next step requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report related to this compliance indicator; the State met the target of 100%.

**Correction of FFY 2008 Findings of Noncompliance:** Not applicable as state met 100% compliance target for this indicator. In FFY 2008, the Lead Agency did not identify any findings on noncompliance for related requirements for this indicator.

**Identification of Current Reporting Year Noncompliance:**

For the current reporting period, **two findings of noncompliance were identified for Indicator C1.** In addition, Iowa's System to Achieve Results (I-STAR) was used to monitor related requirements for this indicator (file review using random sample of 10% IFSPs). This electronic, web-based monitoring system allows Regional Grantees to see their performance in all areas related to all indicators. Examples of related requirements for timely services includes written prior notice, parent attendance at the IFSP meeting, obtaining written consent for services and details related to service delivery. **One finding of noncompliance was identified for related requirements** for this indicator.

The Lead Agency notified two Regional Grantees of findings of noncompliance. Both Regions were required to analyze root causes and submit plans to correct noncompliance as soon as possible and no later than one year from noncompliance notification date. The corrective action plans were approved by the Lead Agency. Results of the corrections and verification will be reported in next year's Annual Performance Report.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources for FFY 2010. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.



## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Early Intervention Services In Natural Environments

**Indicator 2:** Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or programs for typically developing children (community based settings).

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

#### Measurement:

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

This is a *results indicator*, therefore, each state was allowed by OSEP to set their own target from baseline data. The Lead Agency, with input from stakeholder groups, established measurable and rigorous targets ranging from 96.1% to 96.6%.

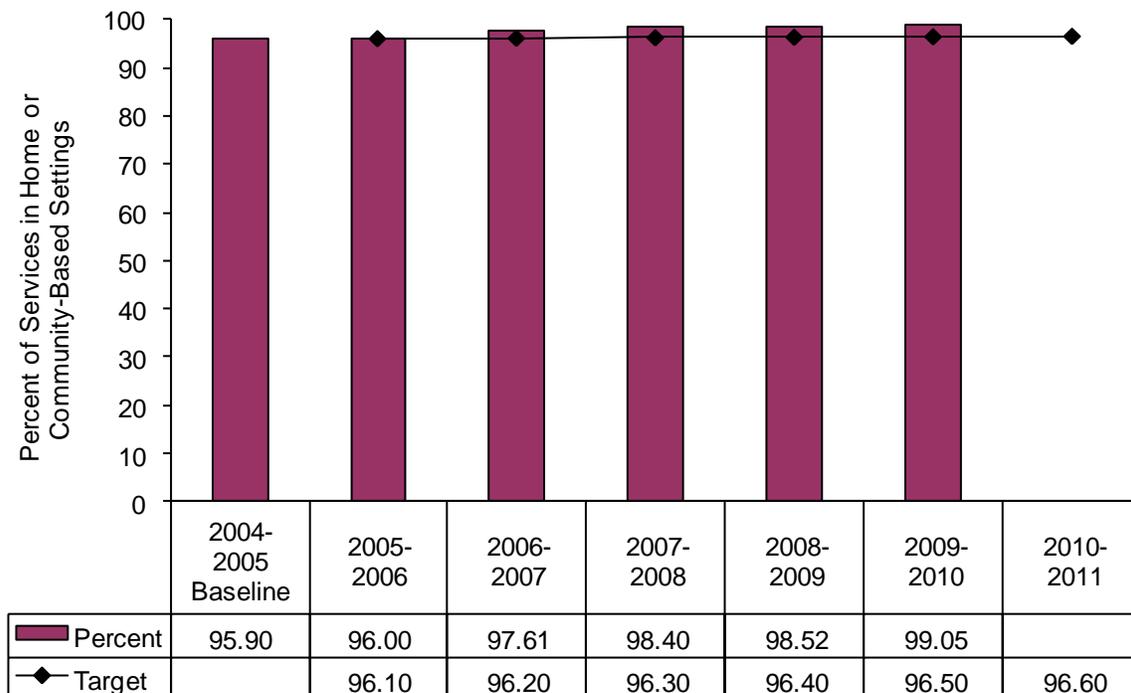
FFY	Measurable and Rigorous Target
<b>2009 (2009-2010)</b>	96.5% of infants and toddlers with IFSPs primarily receive early intervention services in the home or community-based settings.

### Actual Target Data for FFY 2009:

Data for percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings were obtained from Iowa's FFY 2009 618 Settings Table 2 data, which are provided by Iowa's Information Management System (IMS). State baseline and target data are presented in Figure C2.1.

The following figure shows the FFY 2004 baseline through current reporting year data and targets for percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings.

Figure C2.1. Percent of Infants and Toddlers with IFSPs Who Primarily Receive Early Intervention Services in the Home or Community-Based Settings



Source. Iowa 618 Settings Table, FFY 2004 - FFY 2009.

The table below provides the type, number, and percent of settings where early intervention services were primarily provided to infants and toddlers and their families in the current reporting period.

Table C2.1  
Number and Percent of Infants and Toddlers with IFSPs Who Primarily Receive Early Intervention Services in the Home or Community-Based Settings.

Natural Environment	Number	Percent
Community-Based Settings	99	2.63%
Home	3637	96.42%
Other	36	0.95%
<b>Total</b>	<b>3772</b>	<b>100%</b>

Source. Iowa 618 Settings Table, FFY 2009.

Table C2.2 provides Regional Grantee numbers used to calculate the percent where services were primarily provided in home and community-based settings for FFY 2009.

Table C2.2.

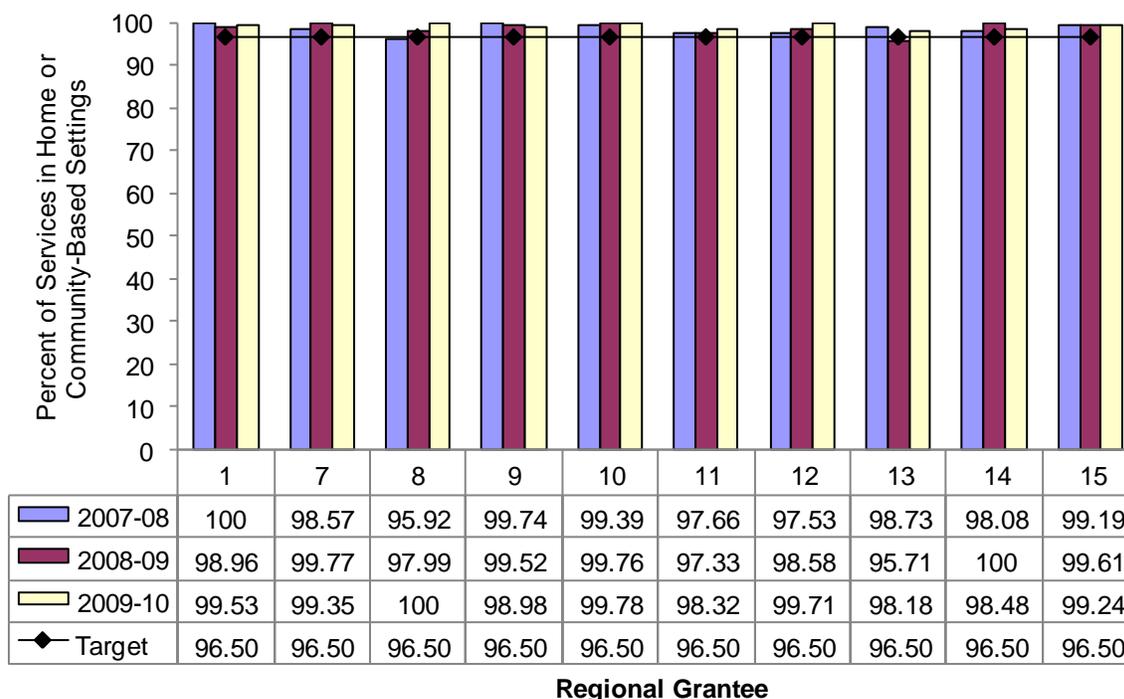
*Percent of Infants and Toddlers with IFSPs Who Primarily Receive Early Intervention Services in the Home or Community-Based Settings, by Regional Grantee.*

	1	7	8	9	10	11	12	13	14	15	State
2007 -	100%	98.57%	95.92%	99.74%	99.39%	97.66%	97.53%	98.73%	98.08%	99.19%	98.40%
2008	165/165	415/421	188/196	385/386	327/329	875/896	316/324	156/158	51/52	244/246	3134/3185
2008 -	98.96%	99.77%	97.99%	99.52%	99.76%	97.33%	98.58%	95.71%	100%	99.61%	98.52%
2009	190/192	430/431	195/199	416/418	410/411	1019/1047	347/352	201/210	59/59	256/257	3523/3576
2009 -	99.53%	99.35%	100%	98.98%	99.78%	98.32%	99.71%	98.18%	98.48%	99.24%	99.05%
2010	214/215	459/462	224/224	389/393	456/457	1109/1128	342/343	216/220	65/66	262/264	3736/3772

Source. Iowa Information Management System (IMS), FFY 2007 - FFY 2009.

Figure C2.2 provides trend data and FFY 2009 target for Regional Grantee FFY 2007 through current reporting year percent of services primarily provided in natural environments (home and community-based settings).

Figure C2.2. Percent of Infants and Toddlers with IFSPs Who Primarily Receive Early Intervention Services in the Home or Community-Based Settings, by Regional Grantee.



Source. Iowa Information Management System (IMS), FFY 2007 - FFY 2009.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:**

During the reporting year, 99.05% of children served through IFSPs on October 30, 2009 received services primarily in the home or community-based settings, exceeding its target of 96.5%. The majority of services were provided in the home (3736 of 3772). Services provided in programs for typically

developing children, such as child care, Early Head Start or early childhood care settings, were minimal (99/2.63%). Other environments, such as clinics and residential facilities, were also minimal (36/0.95%). All Regional Grantees exceeded the State target for early intervention services provided in the natural environment.

It is noted that four regions experienced slippage; however, they remain well above the target of 96.5%. Regional Grantee data analyses revealed individualized circumstances of the children's needs were better met in settings other than a natural environment. Current activities have been effective in meeting the target for this indicator and therefore will be continued.

The Lead Agency engaged in a variety of improvement activities to assure children were served in natural environments to the maximum extent appropriate and that individualized decisions were made about those settings. Improvement activities concentrated on service coordinator and provider training, verification of data, analysis of policies, procedures and practices, technical assistance, and ongoing monitoring.

**Verification of data.** Data are based on the 618 Settings Table, which are collected through Iowa's Information Management System (IMS). Iowa's IMS data system entails data checks at several steps:

**Step 1.** Regional Grantee IMS data entry personnel are trained to review IFSPs for completeness and consistency. If needed, IFSP team members are contacted to clarify or complete specific data or the IFSP is returned for corrections.

**Step 2.** When data are entered into IMS, several types of automatic data quality messages appear on the IMS screens:

- When a new eligible child is entered, the statewide historical database is queried to see if the child may have had an earlier IFSP. A list of near matches, based on name and birth date, is provided so that data entry personnel can check to see if the new child was previously served. This routine reduces the risk of the same child having two different IMS identification numbers.
- Some data fields are required before data entry can continue. For example, if the resident district code, gender, ethnicity, birth date, or serve status is left blank, a message appears with a prompt and no further data entry is allowed until a valid value is entered.
- For other data fields, a message appears but data entry may continue. For example, if the code is left blank, a message advises the operator but data entry continues. These messages are saved and written to a Verification Report (see below).

**Step 3.** A Verification Report sorted by Regional Grantee, lists data warnings and possible data errors that need to be checked. The report is run in real time so it is continuously updated and available to data entry personnel. Data entry personnel review the report for his or her respective Regional Grantee, cross checking against the IFSP and following up with Regional Grantee and local IFSP team members as needed. Types of warnings in the report include possible duplicate children, questionable age/IFSP age-eligibility combination, blank code, invalid program/service combination, and invalid full-part time code. The Verification Report is monitored by the Lead Agency to ensure that Regional Grantees regularly access and review potential errors during the two critical seasons for data entry (count/setting and exit).

**Step 4.** Lead Agency data personnel periodically review IMS, personnel, and discipline data and contact IMS and Regional Grantee staff with specific accuracy issues above and beyond the Verification Report to rectify any data abnormalities.

Data verification procedures for IMS are described in more depth in Indicator 14.

**Analysis of data to identify concerns.** Data for services in natural environments were analyzed by Lead Agency, Regional Grantee Leadership and State Interagency Coordinating Council (SICC). All Regional Grantees were above the target for the reporting year. Stakeholders input revealed that they were generally satisfied with state performance, trend and target. However, they expressed the need to avoid compromising individualized services just to meet the natural environments requirement. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of policies, procedures and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations, including timely provision of services. Practitioners reported that the manual clarified a lot of issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the requirements and definitions of each of the early intervention services. Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** In order to enhance services in natural environments, the Lead Agency, Signatory Agencies and Regional Grantees continued several initiatives during the reporting period.

The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

State staff met regularly with AEA Special Education Directors and Early ACCESS Leadership Group to provide technical assistance and to obtain recommendations regarding regional needs, including natural environments.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: Each Region submitted year end reports to document monitoring activities that were conducted to reach and/or maintain state targets. Monitoring activities included on-going training about services in the natural environment at regular staff meetings and in-services; Module 3 of service coordinator training program, emphasizing family-centered, individualized planning; and the web-based IFSP trainings. One region contracted with a national expert to provide training on family centered, routines-based assessment and interventions. Monitoring activities included requiring Service Coordinators and supervisor discussions whenever services were not provided in the natural environment. Service Coordinators participated in regional file reviews, gaining a better understanding of the importance of accurate documentation.

**Ongoing monitoring and enforcement as needed.** There were no requirements in the June, 2010 Response Table related to this indicator; all Regional Grantees met the target in FFY 2008.

For the current reporting period, the Lead Agency monitored services in natural environments with all Regional Grantees, including individualized team decision-making regarding service settings. **No findings were identified.** All Regional Grantees met the target.

Iowa's System to Achieve Results (I-STAR) was used to monitor indicator related requirements for all Regional Grantees via file reviews using a random sample of 10% of IFSPs. This electronic, web-based monitoring system allows Regional Grantees to see their performance in all areas related to performance and compliance indicators. Lead Agency's review of related requirements showed that Regional Grantees implemented federal requirements that support services in natural environments. **No findings were identified for related requirements.**

The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.

**Overview of the Annual Performance Report Development:**

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

**Monitoring Priority: Early Intervention Services In Natural Environments**

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

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

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

**Measurement:**

Outcomes:

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

Progress categories for A, B and C:

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

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

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

**Measurement for Summary Statement 1:**

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

**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 [total # of infants and toddlers reported in progress categories (a) + (b) + (c) + (d) + (e)] times 100.

**Actual Target Data for FFY 2009:**

Data reported for the current reporting year are progress data, baseline and actual target data for summary statements in each of the ECO Areas (Outcomes A, B and C). The number of children sum to 100%, data are consistent with the measurement, and no explanation of difference or variance is required. Iowa's criterion for defining "comparable to same-aged peers" is a child who has been rated as 6 or 7 on the ECO Summary form.

The ECO Summary form is used to summarize the child's skills and behaviors in comparison to the functioning expected for the age of the child and the child's progress in each of the three ECO areas. The ECO Summary form for comparison to peers is based on a seven-point rating scale that summarizes each child's level of functioning in each of the three ECO areas in relation to same-aged peers. For infants and toddlers who entered and exited Early ACCESS, a rating of six or seven indicate the outcome is achieved at an age-appropriate level across a variety of settings and situations, and a rating of one through five indicate the child's functioning was below age-appropriate skills expected of a child his or her age. In addition, the IFSP Teams determine if a child has progressed or acquired new skills or behaviors in each of the three ECO areas while receiving early intervention services and document the child's improvements by responding to a "yes/no" question on the ECO Summary form.

The methods used by IFSP Teams have included, but were not limited to, a review of initial evaluation data, interviews, observations, behavior checklists, structured interactions, play-based assessments, adaptive and developmental scales, and curriculum-based, criterion-referenced and norm-referenced assessment instruments. The assessment instruments commonly used by teams included, but were not limited to, the Developmental Assessment of Young Children, Carolina Curriculum for Infants and Toddlers with Special Needs Assessment, Hawaii Early Learning Profile, Developmental Observation Checklist System and the Assessment, Evaluation and Programming System for Infants and Children.

The progress data for children at the time they turned three years of age or exited Early ACCESS services from FFY 2006 through FFY 2009 are presented in Figures C3.1, C3.6 and C3.11 for each of the three ECO Areas (Outcomes A, B and C). Actual numbers used in the calculations are provided in Tables C3.1, C3.3 and C3.5 for the current reporting year.

The FFY 2008 baseline and FFY 2009 target data for children at the time they turned three years of age or exited Early ACCESS services are presented for each of the three ECO Areas (Outcomes A, B and C). The data for children who substantially increased their rate of growth (Summary Statement 1) are reported in Figures C3.2, C3.7, and C3.12. The data for children who are functioning within age expectations of peers (Summary Statement 2) are reported in Figures, C3.4, C3.9, and C3.14. Regional Grantee data and target for Summary Statement 1 are reported in Figures C3.3, C3.8 and C3.13. Regional Grantee data and target for Summary State 2 are reported in Figures C3.5, C3.10 and C3.15. Numbers and percents for Regional Grantee Summary Statements 1 and 2 are reported in Tables C3.2, C3.4 and C3.6.

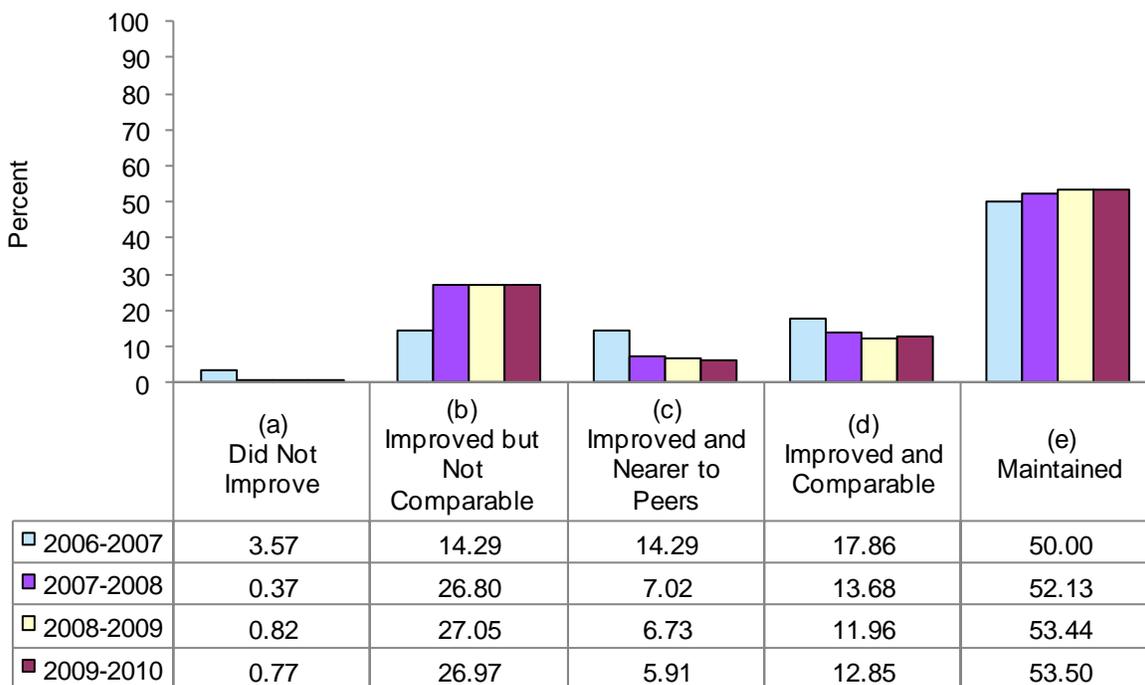
Table C3.1

Number and Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (A) Positive Social-Emotional Skills Including Social Relationships.

Category	(a) Did Not Improve	(b) Improved but Not Comparable	(c) Improved and Nearer to Peers	(d) Improved and Comparable	(e) Maintained	Total
<b>N</b>	12	420	92	200	833	1557
<b>Percent</b>	0.77%	26.97%	5.91%	12.85%	53.50%	100%

Source. Iowa Information Management System (IMS), FFY 2009.

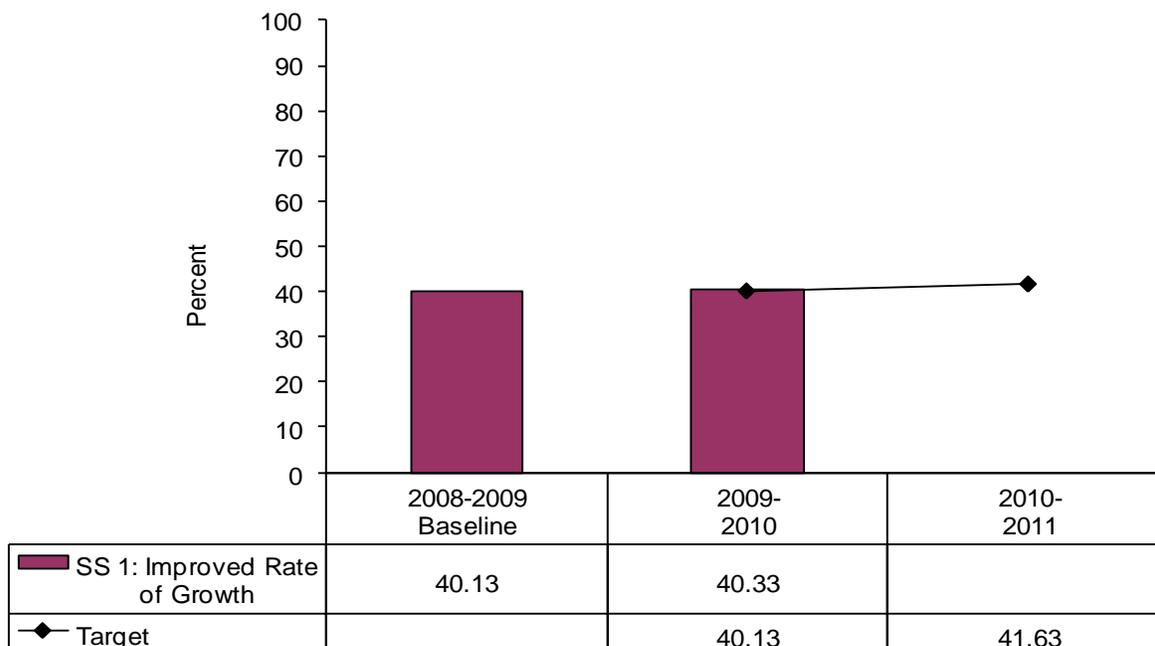
Figure C3.1. Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (A) Positive Social-Emotional Skills Including Social Relationships.



Source. Iowa Information Management System (IMS), FFY 2006 - FFY 2009.

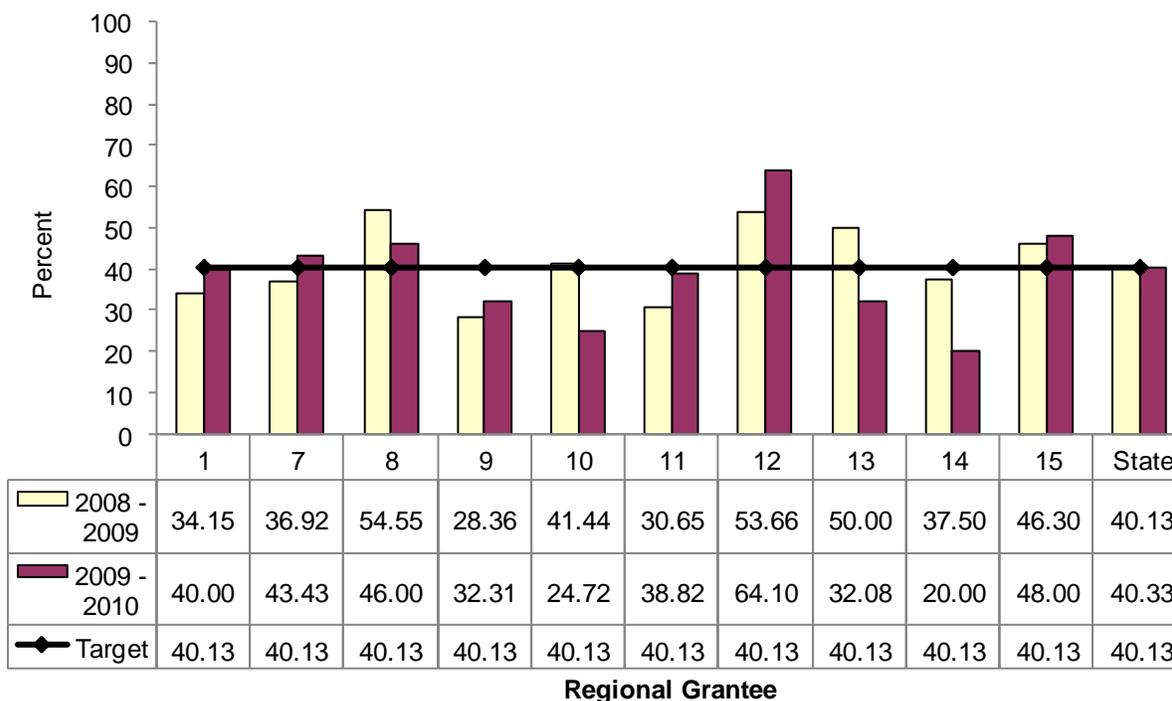
Note. FFY 2006 percentages based upon N= 28; FFY 2007 N = 541; FFY 2008 N = 1338; FFY 2009 N= 1557.

Figure C3.2. Percent of Infants and Toddlers with IFSPs Who Substantially Increased Rate of Growth in (A) Positive Social-Emotional Skills Including Social Relationships (Summary Statement 1).



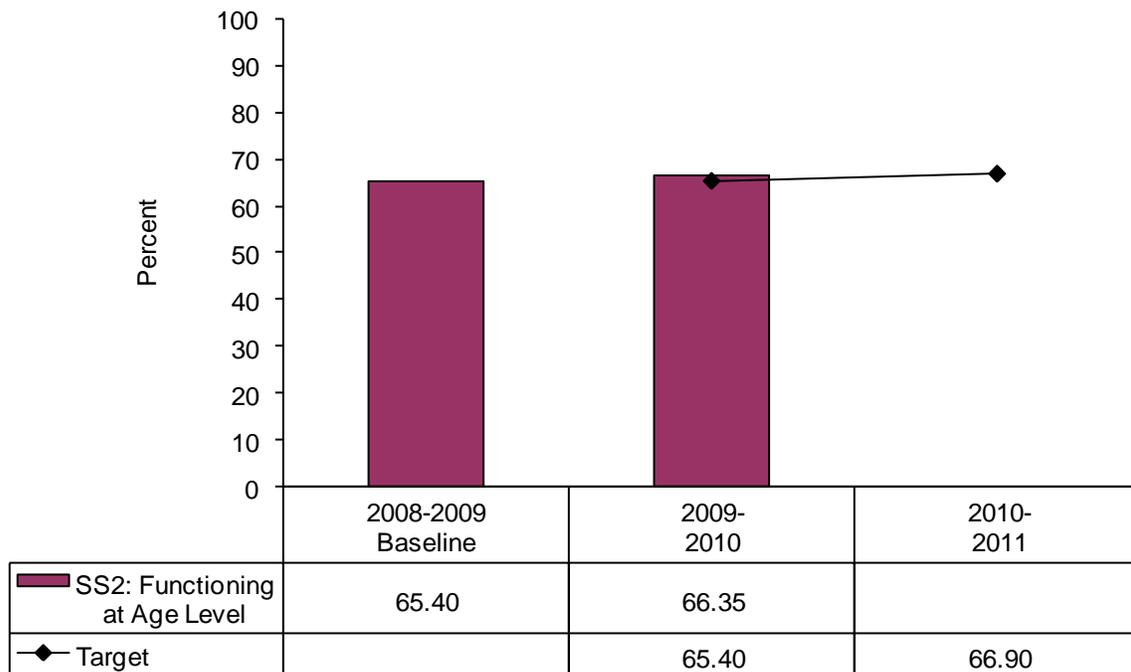
Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.3. Percent of Infants and Toddlers with IFSPs Who Substantially Increased Rate of Growth in (A) Positive Social-Emotional Skills Including Social Relationships, by Regional Grantee (Summary Statement 1).



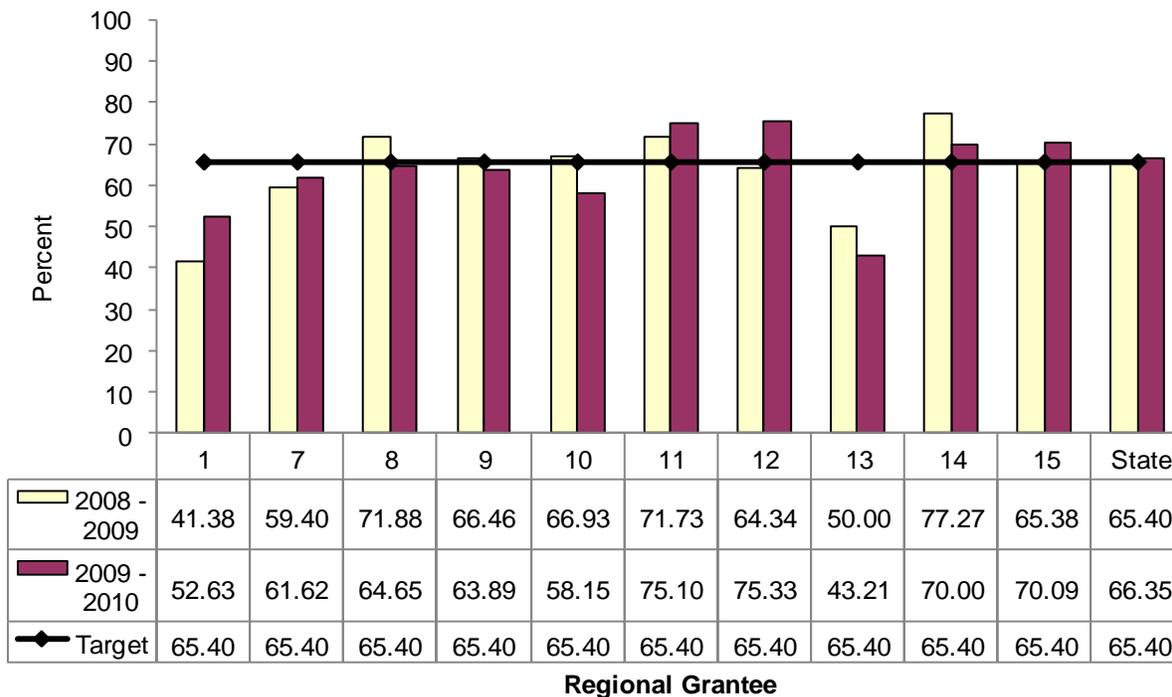
Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.4. Percent of Infants and Toddlers with IFSPs Functioning Within Age Expectations in (A) Positive Social-Emotional Skills Including Social Relationships (Summary Statement 2).



Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.5. Percent of Infants and Toddlers with IFSPs Functioning within Age Expectations in (A) Positive Social-Emotional Skills Including Social Relationships, by Regional Grantee (Summary Statement 2).



Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Table C3.2

Number and Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (A) Positive Social-Emotional Skills Including Social Relationships, by Regional Grantee.

Regional Grantee and State Totals										
1	7	8	9	10	11	12	13	14	15	State
<b>Summary Statement 1: Substantially Increased Rate of Growth</b>										
40.00%	43.43%	46.00%	32.31%	24.72%	38.82%	64.10%	32.08%	20.00%	48.00%	40.33%
24/60	43/99	23/50	21/65	22/89	66/170	50/78	17/53	2/10	24/50	292/724
<b>Summary Statement 2: Functioning within Age Expectations</b>										
52.63%	61.62%	64.65%	63.89%	58.15%	75.10%	75.33%	43.21%	70.00%	70.09%	66.35%
50/95	114/185	64/99	92/144	107/184	362/482	113/150	35/81	21/30	75/107	1033/1557

Source. Iowa Information Management System (IMS), FFY 2009.

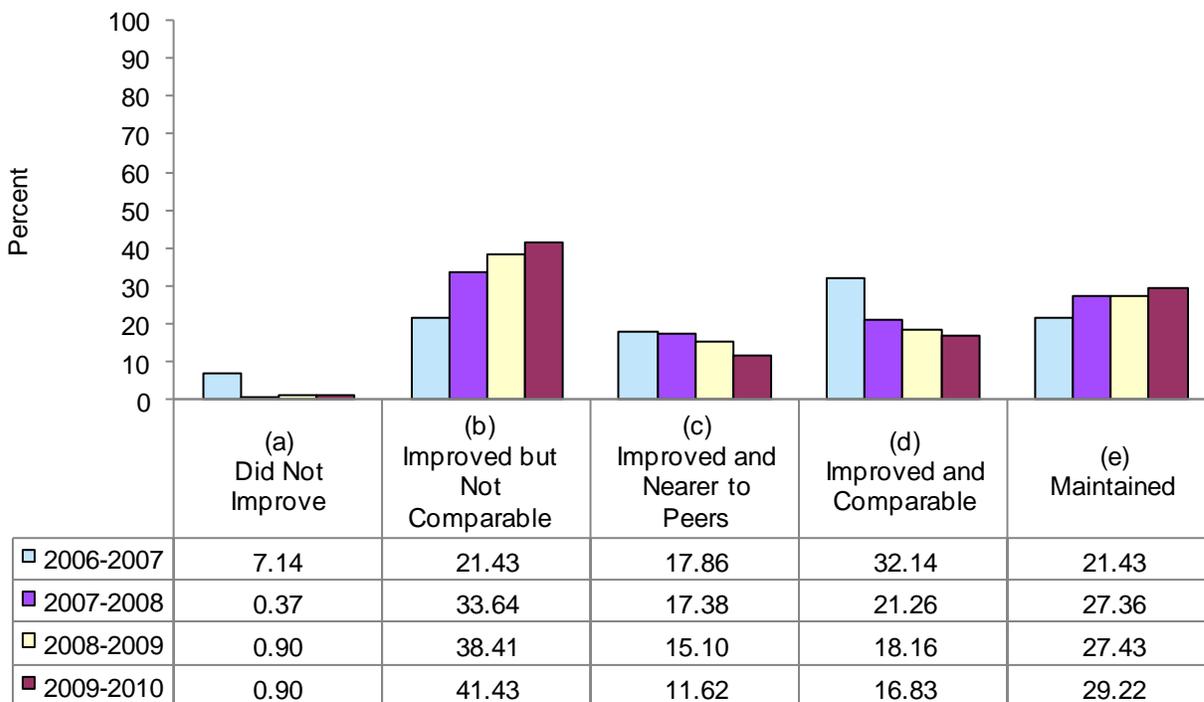
Table C3.3

Number and Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (B) Acquisition and Use of Knowledge and Skills Including Early Language/Communication.

Category	(a) Did Not Improve	(b) Improved but Not Comparable	(c) Improved and Nearer to Peers	(d) Improved and Comparable	(e) Maintained	Total
<b>N</b>	14	645	181	262	455	1557
<b>Percent</b>	0.90%	41.43%	11.62%	16.83%	29.22%	100%

Source. Iowa Information Management System (IMS), FFY 2009.

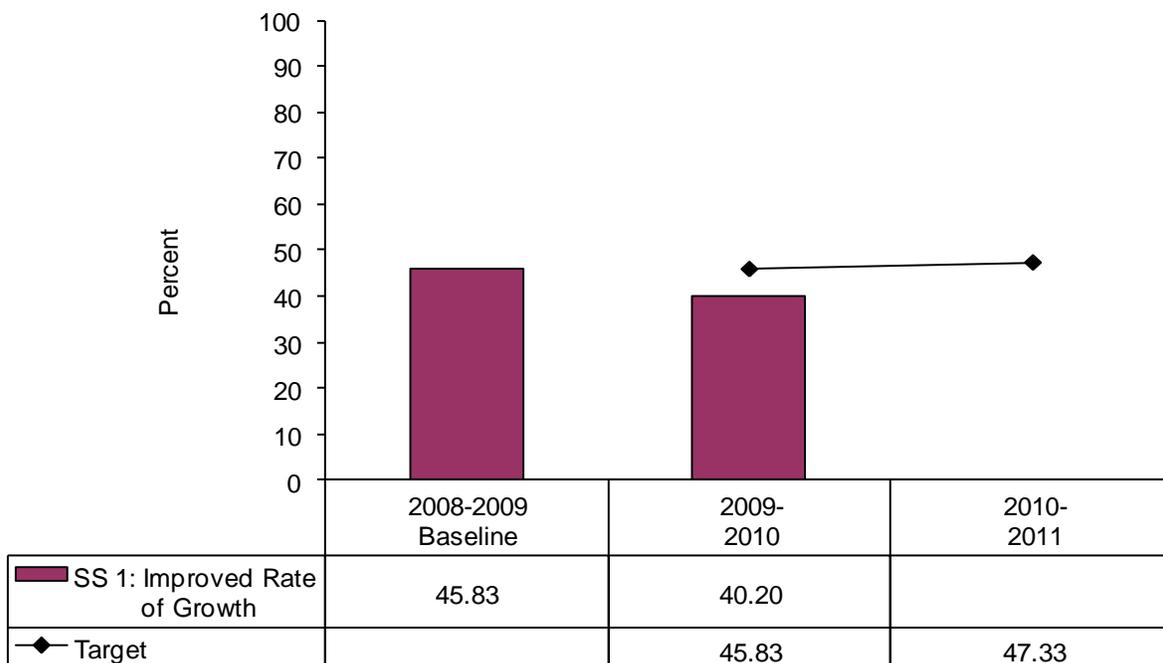
Figure C3.6. Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (B) Acquisition and Use of Knowledge and Skills Including Early Language/Communication.



Source. Iowa Information Management System (IMS), FFY 2006 - FFY 2009.

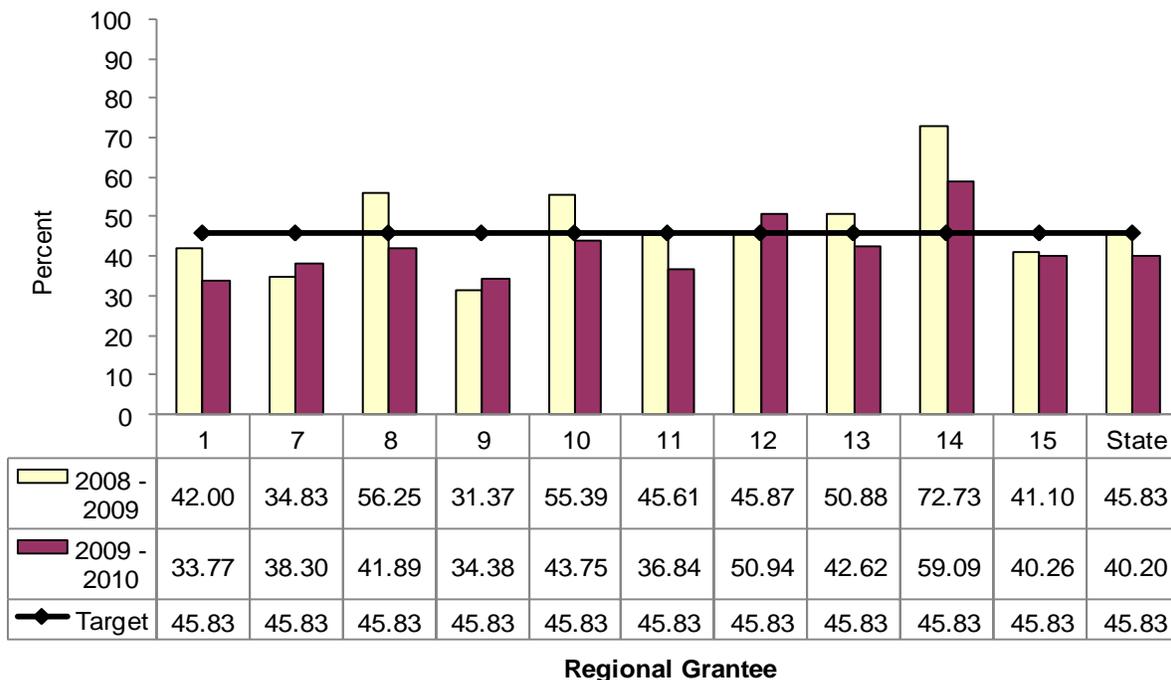
Note. FFY 2006 percentages based upon N= 28; FFY 2007 N = 541; FFY 2008 N = 1338; FFY 2009 N= 1557.

Figure C3.7. Percent of Infants and Toddlers with IFSPs Who Substantially Increased Rate of Growth in (B) Acquisition and Use of Knowledge and Skills Including Early Language/Communication (Summary Statement 1).



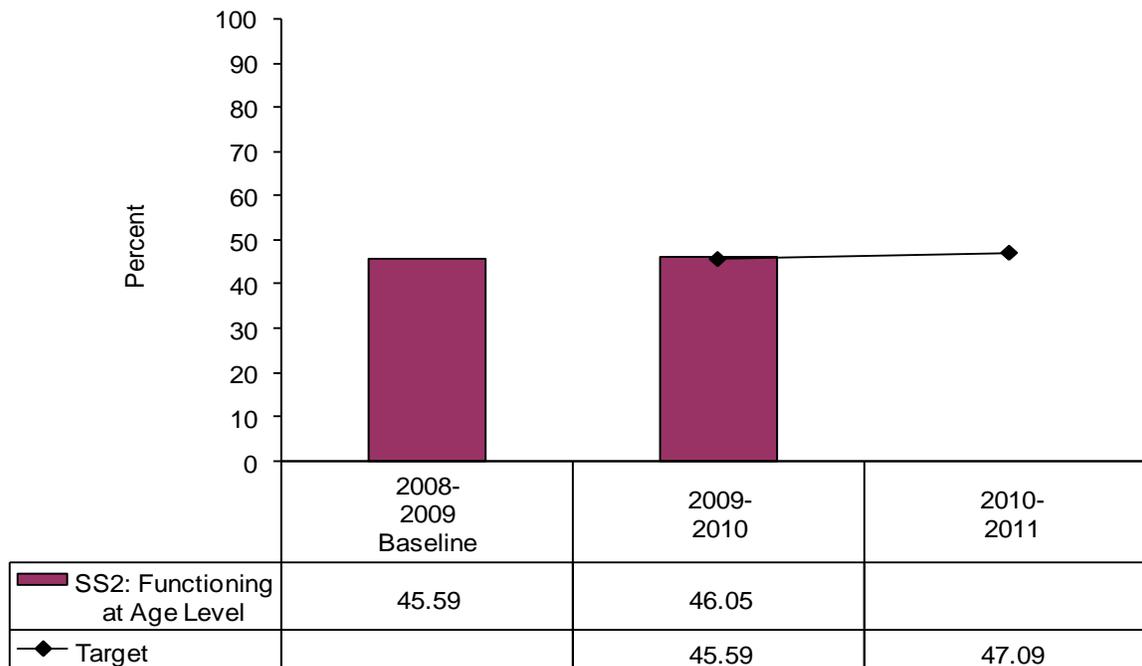
Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.8. Percent of Infants and Toddlers with IFSPs Who Substantially Increased Rate of Growth in (B) Acquisition and Use of Knowledge and Skills Including Early Language/Communication, by Regional Grantee (Summary Statement 1).



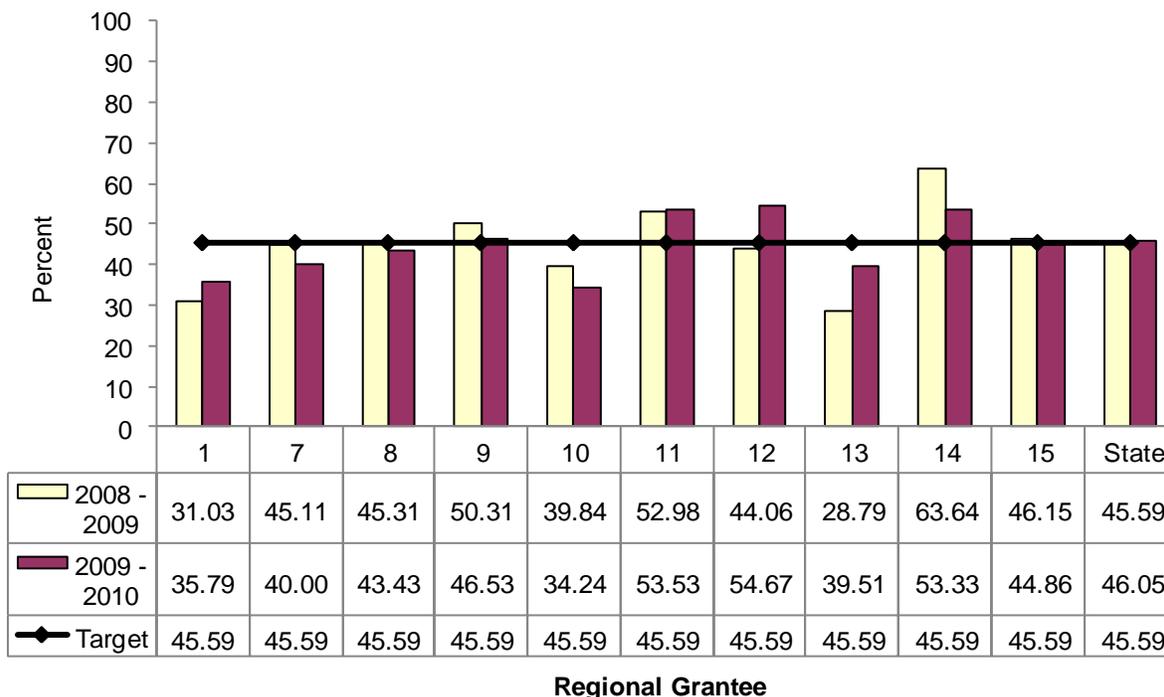
Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.9. Percent of Infants and Toddlers with IFSPs Functioning within Age Expectations in (B) Acquisition and Use of Knowledge and Skills Including Early Language/Communication (Summary Statement 2).



Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.10. Percent of Infants and Toddlers with IFSPs Functioning within Age Expectations in (B) Acquisition and Use of Knowledge and Skills Including Early Language/Communication, by Regional Grantee (Summary Statement 2).



Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Table C3.4

Number and Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (B) Acquisition and Use of Knowledge and Skills Including Early Language/Communication, by Regional Grantee.

Regional Grantee and State Totals										
1	7	8	9	10	11	12	13	14	15	State
<b>Summary Statement 1: Substantially Increased Rate of Growth</b>										
33.77%	38.30%	41.89%	34.38%	43.75%	36.84%	50.94%	42.62%	59.09%	40.26%	40.20%
26/77	54/141	31/74	33/96	63/144	112/304	54/106	26/61	13/22	31/77	443/1102
<b>Summary Statement 2: Functioning within Age Expectations</b>										
35.79%	40.00%	43.43%	46.53%	34.24%	53.53%	54.67%	39.51%	53.33%	44.86%	46.05%
34/95	74/185	43/99	67/144	63/184	258/482	82/150	32/81	16/30	48/107	717/1557

Source. Iowa Information Management System (IMS), FFY 2009.

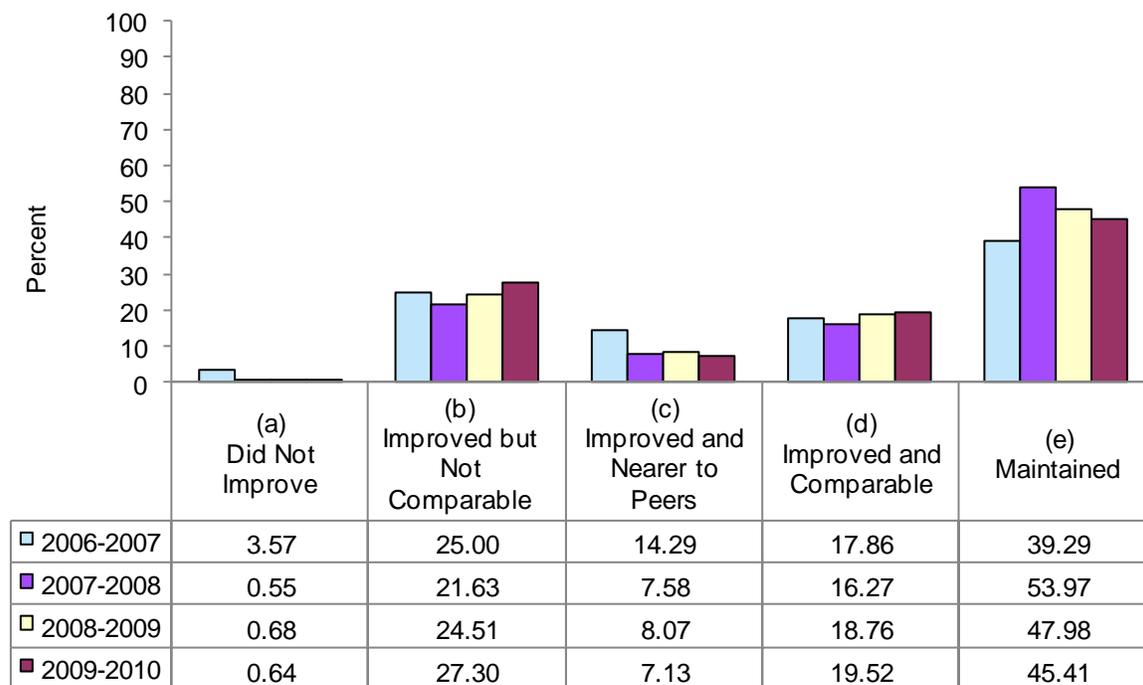
Table C3.5

Number and Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (C) Use of Appropriate Behaviors to Meet Their Needs.

Category	(a) Did Not Improve	(b) Improved but Not Comparable	(c) Improved and Nearer to Peers	(d) Improved and Comparable	(e) Maintained	Total
<b>N</b>	10	425	111	304	707	1557
<b>Percent</b>	0.64%	27.30%	7.13%	19.52%	45.41%	100%

Source. Iowa Information Management System (IMS), FFY 2009.

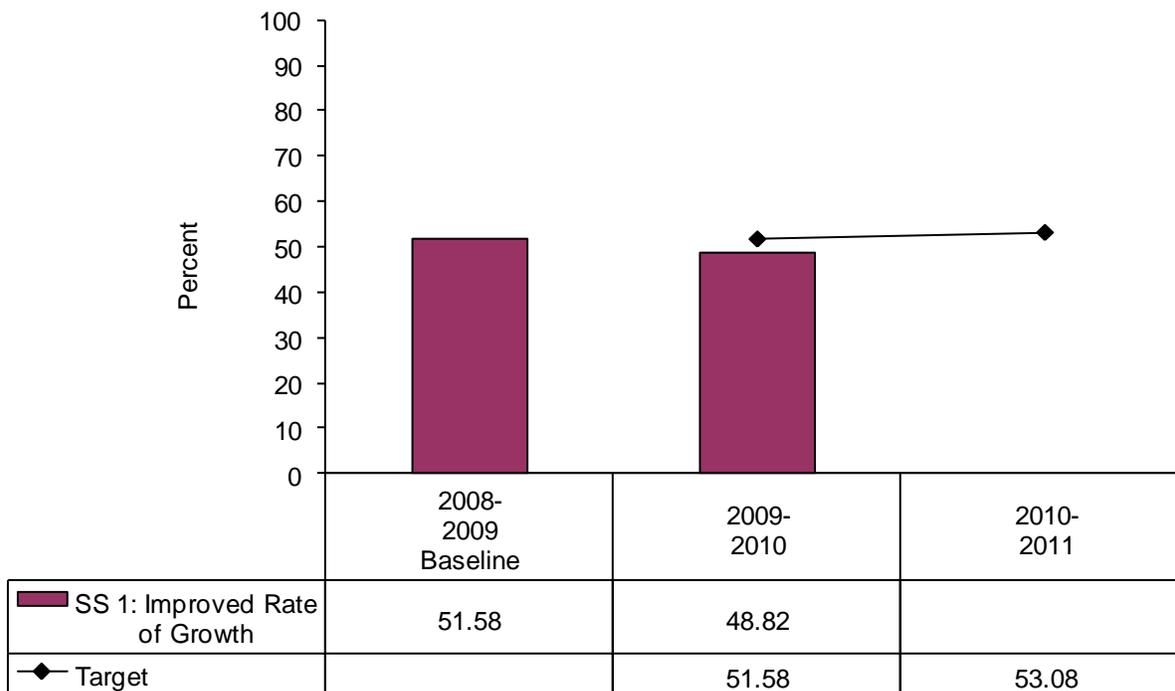
Figure C3.11. Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved (C) Use of Appropriate Behaviors to Meet Their Needs.



Source. Iowa Information Management System (IMS), FFY 2006 - FFY 2009.

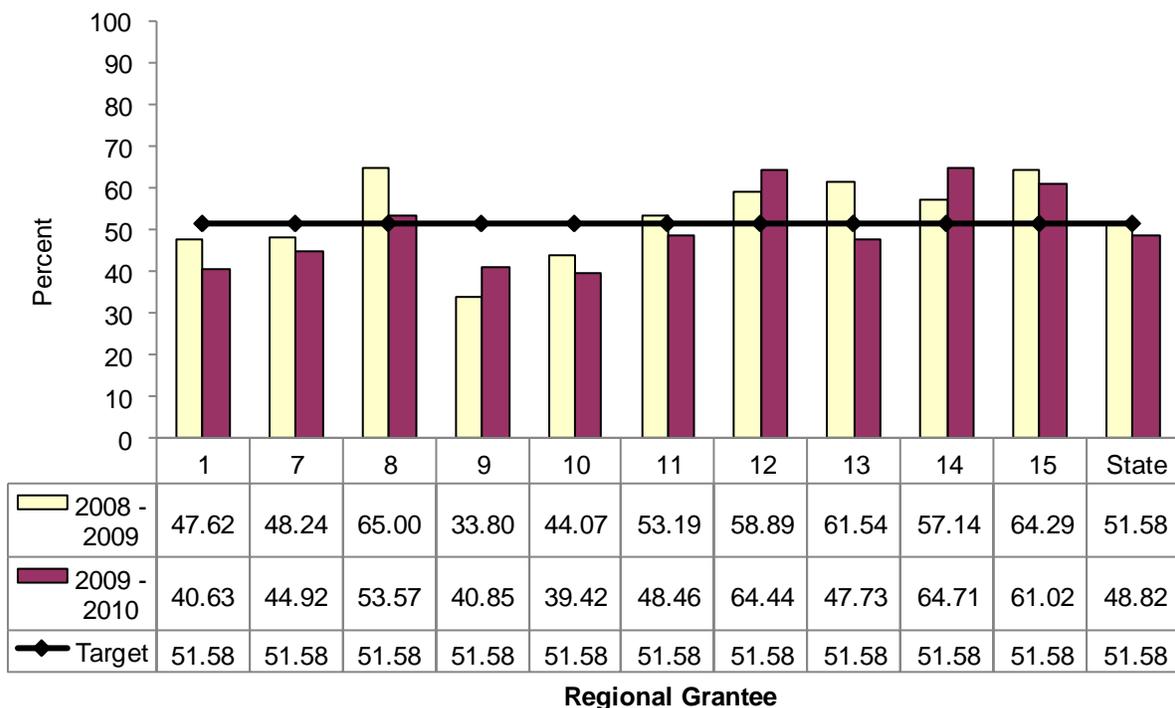
Note. FFY 2006 percentages based upon N= 28; FFY 2007 N = 541; FFY 2008 N = 1338; FFY 2009 N= 1557.

Figure C3.12. Percent of Infants and Toddlers with IFSPs Who Substantially Increased Rate of Growth in (C) Use of Appropriate Behaviors to Meet Their Needs (Summary Statement 1).



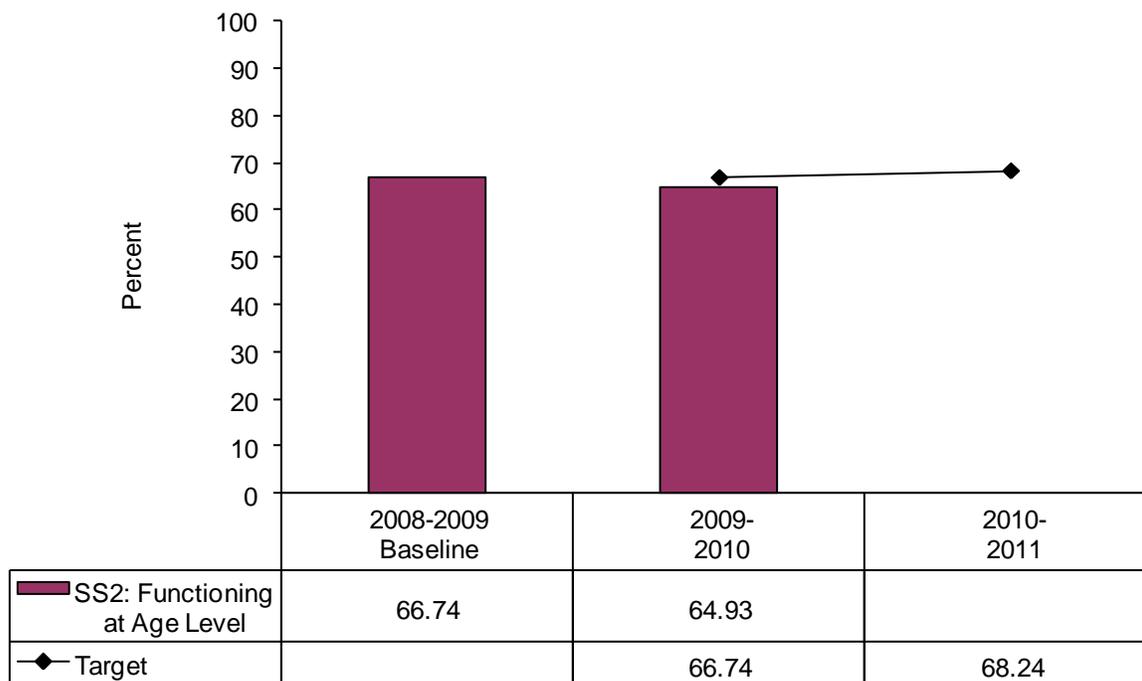
Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.13. Percent of Infants and Toddlers with IFSPs Who Substantially Increased Rate of Growth in (C) Use of Appropriate Behaviors to Meet Their Needs, by Regional Grantee (Summary Statement 1).



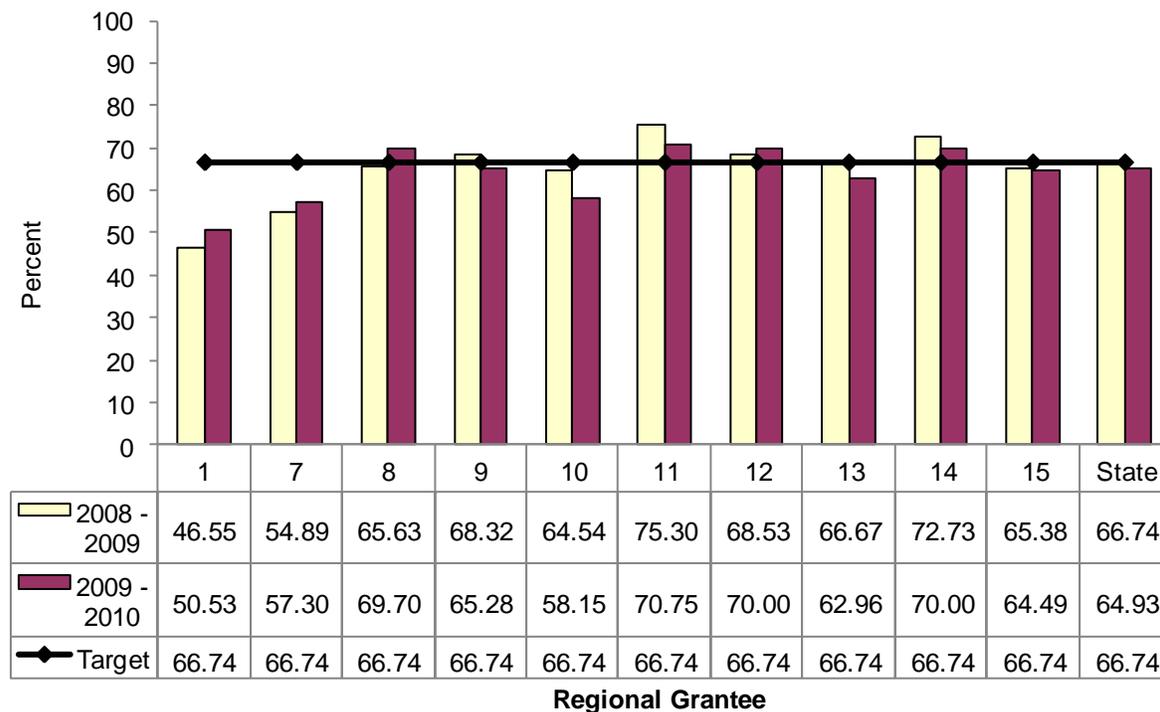
Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.14. Percent of Infants and Toddlers with IFSPs Functioning within Age Expectations in (C) Use of Appropriate Behaviors to Meet Their Needs (Summary Statement 2).



Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Figure C3.15. Percent of Infants and Toddlers with IFSPs Functioning within Age Expectations in (C) Use of Appropriate Behaviors to Meet Their Needs, by Regional Grantee (Summary Statement 2).



Source. Iowa Information Management System (IMS), FFY 2008 - FFY 2009.

Table C3.6

Number and Percent of Infants and Toddlers with IFSPs Who Demonstrated Improved  
(C) Use of Appropriate Behaviors to Meet Their Needs, by Regional Grantee.

Regional Grantee and State Totals										
1	7	8	9	10	11	12	13	14	15	State
<b>Summary Statement 1: Substantially Increased Rate of Growth</b>										
40.63%	44.92%	53.57%	40.85%	39.42%	48.46%	64.44%	47.73%	64.71%	61.02%	48.82%
26/64	53/118	30/56	29/71	41/104	110/227	58/90	21/44	11/17	36/59	415/850
<b>Summary Statement 2: Functioning within Age Expectations</b>										
50.53%	57.30%	69.70%	65.28%	58.15%	70.75%	70.00%	62.96%	70.00%	64.49%	64.93%
48/95	106/185	69/99	94/144	107/184	341/482	105/150	51/81	21/30	69/107	1011/1557

Source. Iowa Information Management System (IMS), FFY 2009.

### Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:

The baseline data reported in FFY 2008 were available for 1,338 children at the time they turned three years of age or exited Early ACCESS services. While the number of children for whom data were available in the baseline year increased from the previous years, many children who prior to baseline year were still participating in early intervention services and were not reported until the current reporting year. The proportions of children in the baseline data may not have been representative of children participating in Early ACCESS.

In the current reporting year (FFY 2009), data were available for 1,557 children at the time they turned three years of age or exited Early ACCESS services. This is the first year Target Data were considered representative of children participating in Early ACCESS. The length of time the children participated in services ranged from 6.0 to 35.17 months, with an average of 19.89 months. The children's ages ranged from 7.83 months to 36 months. In addition, the age at entry for initial Early ACCESS services ranged from .33 to 29.57 months, with an average of 12.52 months.

**Substantially Increased Rate of Growth (Summary Statement 1).** Analysis of State performance revealed the following in each of the three Outcome areas:

- (A) Social-Emotional Skills: Iowa was slightly above the target of 40.13% by +0.2% (40.33%).
- (B) Acquisition of Knowledge and Skills: Iowa was below the target of 45.83% by -5.63% (40.20%).
- (C) Appropriate Behaviors to Meet Their Needs: Iowa was below the target of 51.58% by -2.76% (48.82%).

Analysis of Regional Grantee (Summary Statement 1) performance revealed the following in each of the three Outcome areas:

- (A) Social-Emotional Skills: Four of ten Regional Grantees met the target.
- (B) Acquisition of Knowledge and Skills: Two of ten Regional Grantees met the target.
- (C) Appropriate Behaviors to Meet Their Needs: Four of ten Regional Grantees met the target.

Additional analysis of the data for Substantially Increased Rate of Growth showed that one Regional Grantee met the State of Iowa targets in each of the three ECO areas and two Regional Grantees met the targets in two of three ECO areas.

**Functioning within Age Expectations (Summary Statement 2).** Analysis of State data revealed the following in each of the three Outcome areas:

- (A) Social-Emotional Skills: Iowa was slightly above the target of 65.40% by +0.95% (66.35%).
- (B) Acquisition of Knowledge and Skills: Iowa was slightly above the target of 45.59% by +0.46% (46.05%).
- (C) Appropriate Behaviors to Meet Their Needs: Iowa was slightly below the target of 66.74% by -1.81% (64.93%).

Analysis of Regional Grantee (Summary Statement 2) performance revealed the following in each of the three Outcome areas:

- (A) Social-Emotional Skills: Five of ten Regional Grantees met the target.
- (B) Acquisition of Knowledge and Skills: Five of ten Regional Grantees met the target.
- (C) Appropriate Behaviors to Meet Their Needs: Four of ten Regional Grantees met the target.

Additional analysis of the data for Functioning within Age Expectations showed that one Regional Grantee met the State of Iowa targets in each of the three ECO areas and two Regional Grantees met the targets in two of three ECO areas.

The Lead Agency engaged in several improvement activities to improve the quality of the data as well as improve the quality of early intervention services to improve early childhood outcomes for infants and toddlers. The activities included verification of data, analysis of data, analysis of policies, procedures, and practices, technical assistance, and ongoing monitoring.

**Verification of data.** Data are based on the 618 Settings Table, which are collected through Iowa's Information Management System (IMS). Iowa's IMS data system entails data checks at several steps:

**Step 1.** Regional Grantee IMS data entry personnel are trained to review IFSPs for completeness and consistency. If needed, IFSP team members are contacted to clarify or complete specific data or the IFSP is returned for corrections.

**Step 2.** When data are entered into IMS, several types of automatic data quality messages appear on the IMS screens:

- When a new eligible child is entered, the statewide historical database is queried to see if the child may have had an earlier IFSP. A list of near matches, based on name and birth date, is provided so that data entry personnel can check to see if the new child was previously served. This routine reduces the risk of the same child having two different IMS identification numbers.
- Some data fields are required before data entry can continue. For example, if the resident district code, gender, ethnicity, birth date, or serve status is left blank, a message appears with a prompt and no further data entry is allowed until a valid value is entered.
- For other data fields, a message appears but data entry may continue. For example, if the code is left blank, a message advises the operator but data entry continues. These messages are saved and written to a Verification Report (see below).

**Step 3.** A Verification Report sorted by Regional Grantee, lists data warnings and possible data errors that need to be checked. The report is run in real time so it is continuously updated and available to data entry personnel. Data entry personnel review the report for his or her respective Regional Grantee, cross checking against the IFSP and following up with Regional Grantee and local IFSP team members as needed. Types of warnings in the report include possible duplicate children, questionable age/IFSP age-eligibility combination, blank code, invalid program/service combination, and invalid full-part time code. The Verification Report is monitored by the Lead Agency to ensure that Regional Grantees regularly access and review potential errors during the two critical seasons for data entry (count/setting and exit).

**Step 4.** Lead Agency data personnel periodically review IMS, personnel, and discipline data and contact IMS and Regional Grantee staff with specific accuracy issues above and beyond the Verification Report to rectify any data abnormalities.

The Lead Agency and IMS staff established uniform data entry procedures for entering the data from the ECO Summary form. The system does not accept a rating other than what is determined on the ECO Summary form. The Regional Grantee data entry personnel reviewed and entered the information from the ECO Summary form for each initial, annual and exit IFSP meeting into IMS; data checks occurred to ensure data accuracy. The Regional Grantee data entry personnel have continued to participate in training and ongoing follow-up support provided by the Lead Agency during the current reporting year).

Data verification procedures for IMS are described in more depth in Indicator 14.

**Analysis of data to identify concerns.** Early Childhood Outcomes data for C3 were analyzed by the Lead Agency, Regional Grantee Leadership and the State Interagency Coordinating Council (SICC). Stakeholder responses focused on three areas: 1) Reviewing data and conducting root cause analysis of current data; 2) Further analysis of data demographics, including the study of the age range of the population represented in the data; and 3) Maintaining high expectations for children's performance in regard to rate of growth and functioning within age expectations. Specifically, stakeholders expressed interest in analyzing the data representing children who entered Early ACCESS services at or near birth, and initially functioned within age expectations; however, upon exit were below age expectations (Progress Category "b").

Additional analysis was conducted with the Lead Agency and the Early ACCESS Leadership Group to analyze data patterns and anomalies in each Region. The state staff and Early ACCESS Leadership Group discussed the potential reasons for differences in data patterns. The Early ACCESS Leadership Group utilized these data to conduct a root cause analysis and implement strategies to improve both early intervention services and data quality within each Region.

**Analysis of policies, procedures and practices.** The evaluation requirements established in IDEA and the *Iowa Administrative Rules for Early ACCESS* ensure that Individualized Family Service Plan (IFSP) Teams use valid and reliable assessments and evaluation materials administered by trained and knowledgeable personnel (IAC 281-120.40). A comprehensive evaluation of a child's present level of development and unique needs must be completed as required by the *Iowa Administrative Rules of Early ACCESS*. Each Regional Grantee, as required by the *Iowa Administrative Rules for Early ACCESS*, has written and adopted evaluation policies and procedures that were approved by the Lead Agency. The policies and procedures are on file with the Lead Agency.

Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. One entire section is devoted to Early Childhood Outcome procedures. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations,

including timely provision of services. Practitioners reported that the manual clarified a lot of issues that the field had raised and was a useful reference tool as questions arose.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

Procedures for Early Childhood Outcomes (ECO) in the Part C Procedures Manual detail the systematic protocol IFSP teams follow in determining children's functioning compared to same-aged peers and progress in skills and behaviors in the three ECO areas. As a part of each child's initial and annual IFSP review, a child's age-appropriate functioning and progress made in his or her skills and behaviors are determined based on data gathered through the following methods: Record reviews, Interviews, Observations and Tests/Assessments (RIOT).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency has used the OSEP-funded National ECO Center's training materials and resources to ensure quality professional development for ECO (e.g., Decision Tree for Summary Rating Discussions, Age-Expected Child Development Resources and COSF Training Materials). Use of the ECO training material has provided assurance that all IFSP Teams in Iowa have been trained to implement consistent procedures for gathering, analyzing and reporting these data on the ECO Summary Form.

Additionally, the Lead Agency met with the Early ACCESS Leadership Group to analyze the ECO data patterns and anomalies in each Region. The state staff discussed the potential reasons for differences in data patterns. The Early ACCESS Leadership Group utilized these data to conduct a root cause analysis and implement professional development, technical assistance and follow-up support to improve both data quality and early intervention services. The Lead Agency has been collaborating with the *Center on the Social and Emotional Foundations for Early Learning* (CSEFEL) to expand statewide efforts to implement Program-Wide Positive Behavioral Interventions and Supports with infants and toddlers receiving Early ACCESS services. In addition, the Lead Agency has developed Every Child Reads Training to enhance providers' understanding of early literacy interventions with infants and toddlers. This would include families, child care providers and Early ACCESS IFSP Teams.

The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency

will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Lead Agency required all 10 Regional Grantees to report the training and support provided for IFSP Teams to effectively implement the ECO process in the Regional Part C Year-End Reports. Each of the ten Regional Grantees reported in the current reporting year that they were providing professional development and technical assistance regarding the procedures for gathering and reporting children's performance on the ECO Summary form, implementation of valid and reliable evaluation and assessment instruments, utilization of assessment data to guide intervention strategies and data entry procedures.

**Ongoing monitoring and enforcement as needed.** There were no requirements in the June, 2010 Response Table related to this indicator. The Lead Agency will continue to monitor progress for all Regions with this indicator through regularly scheduled data verification reports in FFY 2010. Monitoring will include data and root cause analysis by both the Lead Agency and Regional Grantees. Each Regional Grantee will submit documentation of improvement activities to reach and/or maintain state targets for Summary Statements 1 and 2 for each of the Outcome areas (A, B and C). The Lead Agency will continue to monitor progress of all Regions for Outcome areas (A, B and C) through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of improvement plans.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Early Intervention Services In Natural Environments

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

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

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

#### Measurement:

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

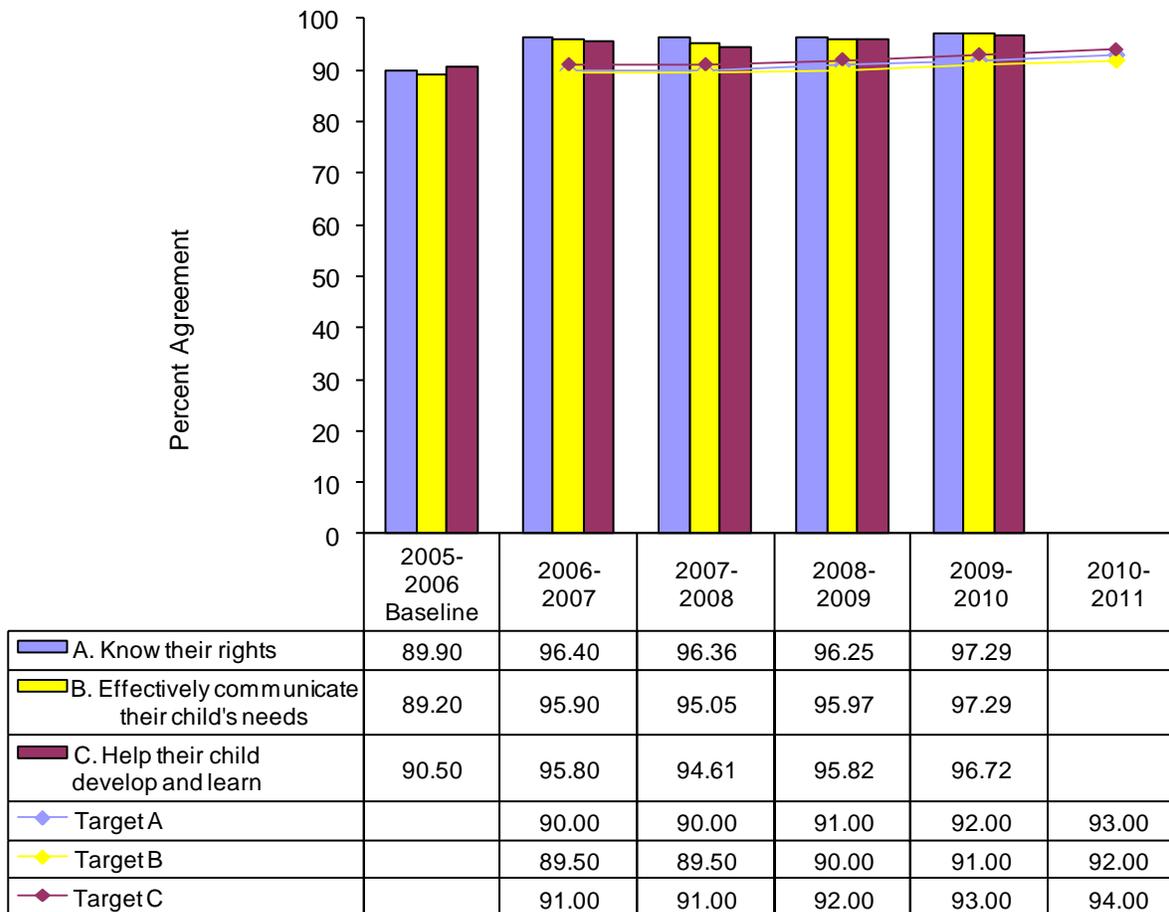
This is a *results indicator*, therefore, each state was allowed by OSEP to set their own target from baseline data. The Lead Agency, with input from stakeholder groups, established measurable and rigorous targets ranging from 89.2% to 94%

FFY	Measurable and Rigorous Target
2009 (2009-2010)	<ul style="list-style-type: none"> <li>A. 92% of families participating in Part C report that early intervention services have helped the family know their rights.</li> <li>B. 91% of families participating in Part C report that early intervention services have helped the family effectively communicate their children's needs.</li> <li>C. 93% of families participating in Part C report that early intervention services have helped the family help their children develop and learn.</li> </ul>

**Actual Target Data for 2009:**

Figure C4.1 illustrates the FFY 2005 baseline through current reporting year data and State targets from the Part C Family Survey which measures the percent of families reporting that early intervention services helped their family.

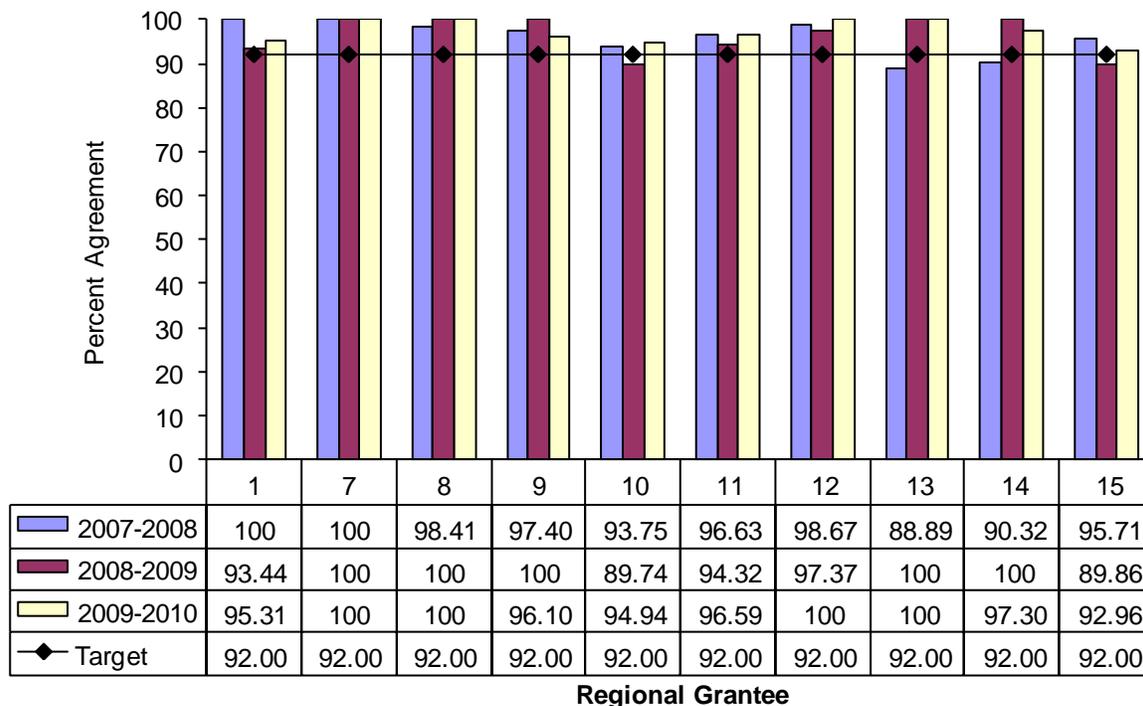
Figure C4.1. Percent of Families Reporting that Early Intervention Services Helped the Family.



Source. North Central Regional Resource Center, Families' Ratings Report, FFY 2005. Iowa's System to Achieve Results (I-STAR), FFY 2006 - FFY 2009.

Figure C4.2 shows the trend data for Regional Grantee FFY 2007 through current reporting year data and FFY 2009 target for percent families reporting that early intervention services helped the family know their rights.

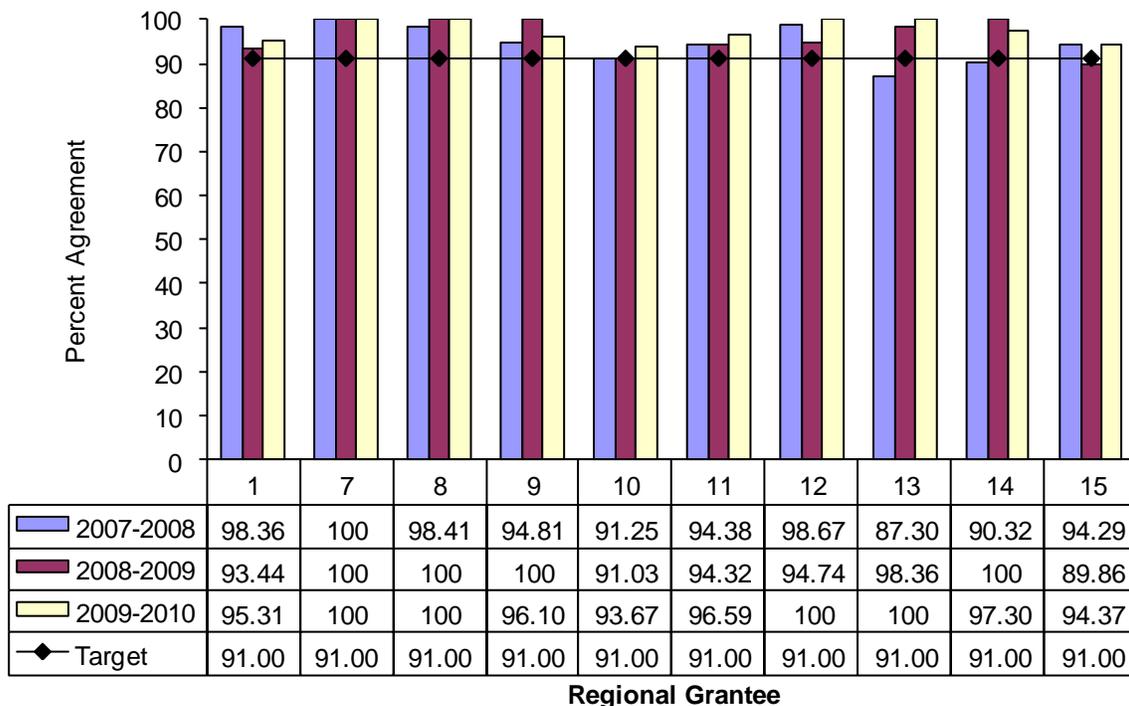
Figure C4.2. Percent of Regional Grantee Data for Families Reporting that EIS Helped the Family (A) Know their Rights.



Source. Iowa's System to Achieve Results (I-STAR), FFY 2007 - FFY 2009.

Figure C4.3 shows trend data for Regional Grantee FFY 2007 through current reporting year data and FFY 2009 target for percent families reporting that early intervention services helped the family effectively communicate their child's needs.

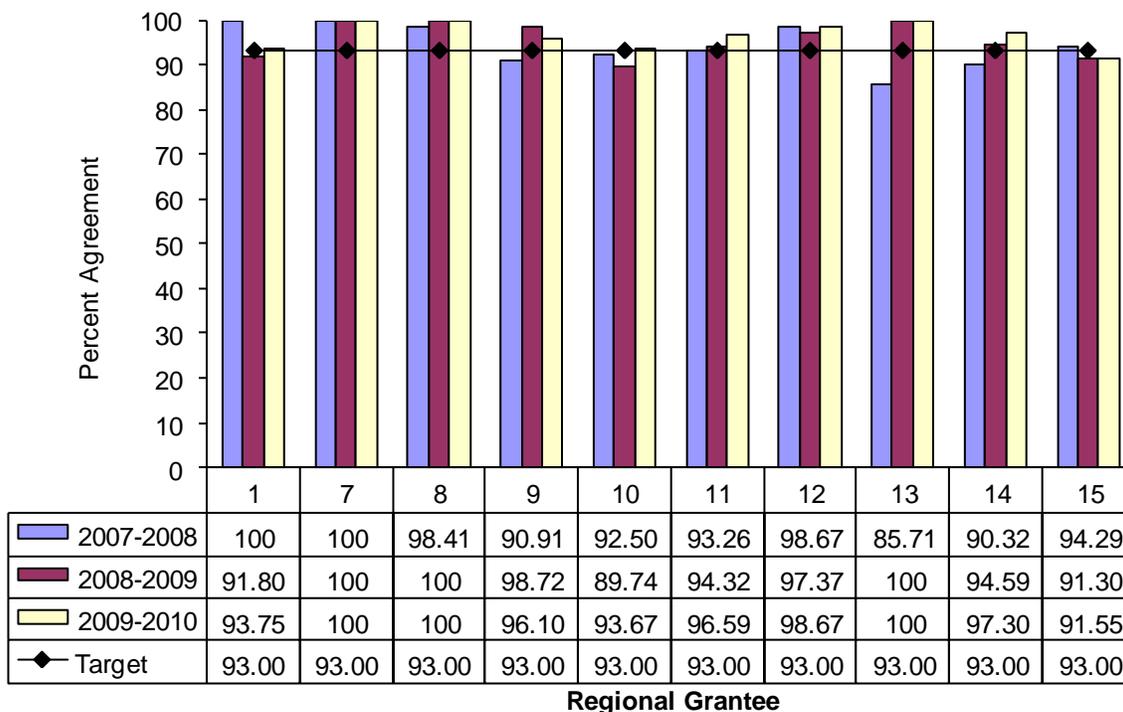
Figure C4.3. Percent of Regional Grantee Data for Families Reporting that EIS Helped the Family (B) Effectively Communicate their Child's Needs



Source. Iowa's System to Achieve Results (I-STAR), FFY 2007 - FFY 2009.

Figure C4.4 shows trend data for Regional Grantee FFY 2007 through current reporting year data and FFY 2009 target for percent families reporting that early intervention services helped the family help their child develop and learn.

Figure C4.4. Percent of Regional Grantee Data for Families Reporting that EIS Helped the Family (C) Help their Child Develop and Learn.



Source. Iowa's System to Achieve Results (I-STAR), FFY 2007 - FFY 2009.

Table C4.1 below provides the current reporting year data for the percentages and numbers used to calculate the three categories by Regional Grantee.

Table C4.1

*Regional Grantee and State Data Comparisons of Family Survey Results.*

Regional Grantee	(A) Know Their Rights	(B) Effectively Communicate Child's Needs	(C) Help Child Develop and Learn
1	95.31% 61/64	95.31% 61/64	93.75% 60/64
7	100% 79/79	100% 79/79	100% 79/79
8	100% 65/65	100% 65/65	100% 65/65
9	96.10% 74/77	96.10% 74/77	96.10% 74/77
10	94.94% 75/79	93.67% 74/79	93.67% 74/79
11	96.59% 85/88	96.59% 85/88	96.59% 85/88
12	100% 75/75	100% 75/75	98.67% 74/75
13	100% 66/66	100% 66/66	100% 66/66
14	97.30% 36/37	97.30% 36/37	97.30% 36/37
15	92.96% 66/71	94.37% 67/71	91.55% 65/71
<b>State</b>	97.29% 682/701	97.29% 682/701	96.72% 678/701

Source. Iowa's System to Achieve Results (I-STAR), FFY 2009.

#### **Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:**

Iowa met all three targets for the current reporting year. The percentage of families, who reported that early intervention services have helped the family, increased from the previous year in all three areas: (A) Know their rights, +1.04%; (B) Effectively communicate their children's needs, + 1.32%; and (C) Help their children develop and learn, +0.9%. Each category met the State targets. Reliability was considered high due to the 100% return rate from all Regional Grantees.

Analysis of Regional Grantee performance revealed the following:

- (A) Know your Rights: All Regional Grantees met the target. Four Regional Grantees achieved 100%. Compared to last year, 3 maintained 100%; 1 increased to 100%; 4 experienced increases between 1.87% and 5.2%; and 2 experienced slippage of 2.7% and 3.9%.
- (B) Helping Families Communicate Their Child's Needs: All ten Regional Grantees met the target. Four Regional Grantees achieved 100%. Compared to last year, two maintained 100%; 2 increased to 100%; 4 increased between 1.87% and 4.51%; and 2 experienced slippage of 2.7% and 3.9%.

- (C) Helping Families Help Their Child Develop and Learn: All Regional Grantees met the target. Three Regional Grantees achieved 100%. Compared to last year, 3 maintained 100%; 6 increased between 0.25% and 3.95%; and one experienced slippage of 2.62%.

Several improvement activities were implemented to impact family outcomes. Improvement activities focused on state-wide training of the Part C Procedures Manual, service coordination training programs, and family leadership in personnel preparation. Other activities included verification of data, analysis of data, analysis of policies, procedures, and practices, technical assistance, and ongoing monitoring.

**Verification of data.** Iowa issued a Request for Proposal (RFP) in April 2005 for the development of a state monitoring and improvement data system designed to enhance Iowa's federal requirement for monitoring of IDEA 2004 Part B and C by focusing on efficient and effective use of technology to make data-based decisions to improve specialized programs and services for Iowa's children. The contract was awarded to Education Data Services and Information Systems, LLC (EDSIS). The contractor works collaboratively with assigned state staff and all impacted agencies in order to ensure the implementation of an effective IDEA Part B and C monitoring system. The data system, Iowa's System to Achieve Results (I-STAR), was used for Family Surveys since FFY 2006. Each Area Education Agency assigned a qualified and trained person to enter the family survey data into the I-STAR system.

**(a) Sampling procedures.** In the current reporting period Iowa used the FFY 2005 approved sampling plan. Sample selection procedures were established so populations were representative of the Region and the State. Sample size was determined based on a margin of error for 95% confidence level at not more than 0.10 confidence interval. Random sampling was used to select names from all 3,772 children who had an IFSP on October 30, 2009. The random samples were drawn from Iowa's electronic database, the Information Management System (IMS). In addition to the necessary sample size, alternates were drawn for each AEA so that, if repeated attempts to contact selected parents were unsuccessful, alternate parents were contacted. All primary names as well as alternates were loaded into the I-STAR system. If parents declined to fill out a survey or could not be contacted after three attempts, I-STAR allowed an alternate to replace the primary family. This enabled Iowa to reach the target sample number needed in order to maintain the 95-10 confidence level. The table below shows the number of IFSPs per Regional Grantee on October 30, 2009, and the sample size that was used.

Table C4.2.

*Number of IFSPs and Sample Size by Regional Grantee: Ages Birth - Three Population.*

Regional Grantee	Number of IFSPs	Sample Size
1	215	64
7	462	79
8	224	65
9	393	77
10	457	79
11	1128	88
12	343	75
13	220	66
14	66	37
15	264	71
<b>State Total</b>	<b>3772</b>	<b>701</b>

*Source.* Iowa Information Management System (IMS), FFY 2009.

Iowa collected 100% of the sample from Regional Grantees, supporting high confidence in the results. The Lead Agency considered all survey data accurate and collected in a timely manner.

**Participants.** A random sample of parents of children with IFSPs on October 30, 2009 completed the Family Survey. This sample was considered representative of the state.

**Instrumentation.** The 47-item survey titled *Family Survey-Early Intervention* (NCSEAM, 2005) was used in FFY 2006 and FFY 2007 but was modified for FFY 2008. The primary reasons for the change was feedback from stakeholders groups that identified the 47-item survey was too long for parents to complete and the questions were not all applicable or used for improvement planning. The revised survey, composed of a subset of the original survey, included only 21 items to measure Indicator C4. Therefore in FFY 2009, Iowa used the revised *Family Survey-Early Intervention* (NCSEAM, version 2.0, adapted form) to collect Indicator C4 data. See revised survey at end of this indicator. This revision meets the indicator measurement requirements and maintains the integrity of year to year comparisons.

**Survey Completion Procedures.** The Service Coordinator provided the randomly selected family a copy of the survey at a home visit along with a self-addressed stamped return envelope addressed to the Regional Grantee. To assure confidentiality, the family completed the survey after the Service Coordinator had left then mailed the completed survey back to the Regional Grantee office. If the family did not complete a survey, a Regional Grantee designee followed up to complete the surveys by phone and at least three attempts were made. Regional Liaisons or designees that had login permission and passwords to the I-STAR system then entered the completed survey data into I-STAR.

**(b) Sample representation.** The population proportions were analyzed by data consultants at the Iowa Department of Education. No concerns were identified in response rates, missing data or selection bias.

The table below represents race/ethnicity data the Lead Agency analyzed comparing Part C population percentages with representation data of the sample. Local program data are not reported to safeguard the disclosure of personally identifiable information about individual children.

Table C4.3

*Percent Race/Ethnicity Survey Population Compared to Part C Population.*

Race/Ethnicity	Part C Population	Survey Population	Difference
Hispanic/Latino	11.64%	10.97%	-0.67%
American Indian or Alaska Native	0.77%	0.91%	0.14%
Asian	1.51%	1.55%	0.04%
Black or African American	5.67%	4.78%	-0.89%
Native Hawaiian or Other Pacific Islander	0.05%	0.07%	0.02%
White	75.90%	77.14%	1.24%
Two or More Races	4.45%	4.57%	0.12%

Source. Iowa Information Management System (IMS), FFY 2009.

The Lead Agency also analyzed age and gender data comparing Part C population percentages with representation data of the sample. The total survey response was 17.51%, birth to 1-year-old; 32.70%, 1-to 2-years-old, and 49.79%, 2-to-3-years-old. The difference between ages of the Part C population and the survey response ranged from -1.31% to +0.82%. Gender representation was 40.23% female and 59.77% male with a difference of -0.19% to 0.19%.

In summary, the sample was technically proportionately representative to within 1.31% of the Iowa Part C population, by age, race, and gender. Iowa considered these data as representative of each Regional Grantee as well as the State population of children served in Early ACCESS.

**Data verification - analysis methodology.** I-STAR programming was created using the analysis formula that was developed in FFY 2005 by Thomas J. Delaney, Eds., Educational Specialist, North Central Regional Resource Center to set the percentages for each sub-category. Once the deadline for survey data entry was passed, the program automatically calculated the performance level for Indicator C4 for each Regional Grantee and the State.

**Analysis of data to identify concerns.** Family Survey data for C4 were analyzed by the Lead Agency, Regional Grantee Leadership, and the State Interagency Coordinating Council (SICC) on families perceptions of how early intervention services and supports helped them. Stakeholders affirmed that families were generally satisfied with the services and supports provided to them and to their children. After analyzing the data, stakeholders commented that the state should consider surveying families at exit from Part C services. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of policies, procedures and practices.** The Lead Agency continued working to strengthen the Part C finance system in order to maximize the coordination of resources. Implementing and reporting of the additional Part C American Recovery and Reinvestment Act (ARRA) funds was a priority in FFY 2009. Funds were designated for direct services, helping local programs keep pace with the long-term annual increases of children served (doubled in last seven years). Iowa has plans to address sustainability during FFY 2010.

In spring 2010, the Lead Agency, with the support of its Signatory Agencies and SICC, successfully secured state appropriations for Early ACCESS. The appropriation for the current reporting year maintained the dedicated state allocation to the Part C system. The allocation went to direct services provided by the Regional Grantees and a health partner, including nutrition services and services for underserved populations such as children referred by CAPTA (Child Abuse Prevention and Treatment Act); premature infants; children who have medically complex issues; and children who are drug affected.

Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations, including timely provision of services. Practitioners reported that the manual clarified a lot of issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Definitions and requirements of each of the early intervention services;
- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Report writing;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation; and

- Procedures and documentation regarding parent withdrawal of consent for services;
- Transition Toolbox steps and implementation;
- Documents required for the child's record; and
- Team decision-making regarding Early Childhood Outcomes (ECO).

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** Iowa's Part C system, Early ACCESS, implements *Guiding Principles and Practices for Delivery of Family Centered Services* that were developed by the Lead Agency and the Iowa SCRIPT team (Supporting Changes and Reform in Inter-professional Pre-service Training). These principles and practices are the foundation for designing and delivering family centered services by all Early ACCESS partners. The eight principles that guide practice are:

1. The overriding purpose of providing family-centered help is family empowerment, which in turn benefits the well-being and development of the child.
2. Mutual trust, respect, honesty, and open communication characterize the family/provider relationship.
3. Families are active participants in all aspects of decision-making. They are the ultimate decision-makers in the amount, type of assistance, and the support they seek to use.
4. The ongoing work between families and providers is about identifying family concerns (priorities, hopes, needs, outcomes, or wishes), finding family strengths, and the services and supports that will provide necessary resources to meet those needs.
5. Efforts are made to build upon and use families' informal community support systems before relying solely on professional, formal services.
6. Providers across all disciplines collaborate with families to provide resources that best match what the family needs.
7. Support and resources need to be flexible, individualized and responsive to the changing needs of families.
8. Providers are cognizant and respectful of families' culture, beliefs, and attitudes as they plan and carry out all interventions.

Four primary strategies have been used by the Lead Agency to implement these principles and provide support to families through (1) the service coordinator's role; (2) the availability of resource personnel in each region; (3) specific training and seminar opportunities; and (4) the personnel preparation development system.

The Family-Centered Principles are the philosophical foundation of the *Family-Centered Service Coordination Competency-Based Training Modules*. The Early ACCESS system of Iowa promotes these Family-Centered Principles in all aspects of training service professionals.

The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state

policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Parent-Educator Connection (PEC), an Iowa Department of Education initiative, has worked with families, educators, and community partners to promote success for all children and youth with disabilities since 1984. PEC Coordinators support capacity building for families through activities such as personal contacts, trainings, Individualized Family Service Plan (IFSP) and Individualized Education Plan (IEP) meetings, supportive activities for transition from Part C to B, and the statewide PEC Conference.

During FFY 2008 the Lead Agency teamed with a local university to begin developing an online unit on using assessment data to develop family-centered, measurable outcomes within the IFSP process. The unit was completed in FFY 2009 and provides basic information for service providers and service coordinators as well as additional learning activities that can be used by those more experienced. The units integrate family-centered principles, evidence-informed practices, federal and state requirements and recommended practices. Web resources and local resources are woven into the unit. Statewide rollout for the online unit will happen in FFY 2010.

One of the most important ways that Iowa empowers families and enhances personnel preparation curriculum is through the *Parents as Presenters* two-day workshop. This was the ninth year it was offered to a group of 24 selected parents. The workshop provided training for parents willing to share their experiences with students in college classes and community organizations for future early intervention professionals. Parents learned presentation techniques and experienced skills training to “tell their story”. Seven alumni returned to serve as faculty, further promoting parent leadership opportunities. In FFY 2009, 77 stipends were requested from parents who presented to pre-service and in-service classes and trainings.

In FFY 2009 Iowa Hands & Voices met with statewide Early ACCESS leadership to share information about Guide by Your Side and how they could connect with Early ACCESS. Iowa Hands and Voices was established 2004 and is an international parent driven organization established to ensure that services are available and provided appropriately to families who have children with disabilities. Guide By Your Side (developed in Colorado for birth to three) guides are parents who have children who are hard of hearing or deaf. They interview through Hands and Voices and EDHI teams and try to match a guide who most appropriately fits with the needs of the family (e.g. experience with cochlear implants). Ideally the first contact would occur about the time of diagnosis.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: discussions about family-centered practices at regular regional staff meetings and trainings; connected families to Parent-Educators (PEC) to assist with transitioning and a family/peer support program for children with hearing loss; and developed *Parent Expectations Guidelines* to assure parental rights knowledge and ability to communicate child needs. Regions used technology to better support parents in rural areas including using internet access cards to enhance web-based IFSP meetings in family homes and redesigning of Lead Agency website to include a section specifically for parents of infants and toddlers.

**Ongoing monitoring and enforcement as needed.** There were no new next step requirements in the June, 2010 Response Table related to this results indicator; the State met the target for all 3 categories of the indicator in FFY 2008.

For the current reporting period, Iowa's System to Achieve Results (I-STAR) was used to monitor Indicator C4 and related requirements for this indicator (file review using random sample of 10% files). This electronic, web-based monitoring system allows Regional Grantees to see their performance in all areas related to all indicators. Examples of related requirements include family-directed assessment of family priorities, resources and concerns; assessment of child's health and development; family rights; and contents of IFSP. There were ***no findings of noncompliance for Indicator C4 or any related requirements.***

The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.

<b>Family Survey — Early Intervention</b>		For Office Use Only: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>					
<p>This is a survey for families receiving <i>Early Intervention</i> services (Early ACCESS). Your responses are important. The state will use your responses to improve services and results for children and families. For each statement below, please select one choice: <b>Very Strongly Disagree, Strongly Disagree, Disagree, Agree, Strongly Agree, Very Strongly Agree.</b> In responding to each statement, think about your experience with <i>Early Intervention</i> services over the past year. You may skip any statement that you feel does not apply to your family. Your responses will be kept confidential.</p>		Use a <b>Pencil</b> to mark a box. Use a <b>check mark</b> in the appropriate box.					
			Very Strongly DISAGREE	Strongly DISAGREE	DISAGREE	AGREE	Strongly AGREE
<b>FAMILY-CENTERED SERVICES</b>							
1. I was given choices concerning my family's services and supports.	1.						
2. My family's daily routines were considered when planning for my child's services	2.						
<i>My family was given information about:</i>							
3. The rights of parents regarding Early ACCESS services.	3.						
4. Community programs that are open to all children	4.						
5. Opportunities for my child to play with other children.	5.						
6. How to advocate for my child and family.	6.						
7. Who to call if I am not satisfied with the services my child receives.	7.						
<i>The Early ACCESS service provider(s) that work with my child:</i>							
8. Are good at working with my family.	8.						
9. I was given information to help me prepare for my child's transition.	9.						
<b>IMPACT OF EARLY INTERVENTION SERVICES ON YOUR FAMILY</b>							
<i>Over the past year, Early ACCESS services have helped me and my family:</i>							
10. Improve my family's quality of life.	10.						
11. Know where to go for support to meet my child's needs	11.						
12. Get the services that my child and family need	12.						
13. Feel more confident in my skills as a parent.	13.						
14. Understand how the Early ACCESS system works.	14.						
15. Feel that my family will be accepted and welcomed in the community.	15.						
16. Communicate more effectively with the people who work with my child and family.	16.						
17. Understand the roles of the people who work with my child and family.	17.						
18. Know about my child's and family's rights concerning Early ACCESS services	18.						
19. Do things with and for my child that are good for my child's development.	19.						
20. Understand my child's special needs.	20.						
21. Feel that my efforts are helping my child.	21.						
<b>Please Return in the Enclosed Envelope —Thank You for Your Participation—</b>							
Adapted from Version 2.0, National Center for Special Education Accountability Monitoring <a href="http://www.monitoringcenter.iuhsc.edu">http://www.monitoringcenter.iuhsc.edu</a>							
S103/1002/Revised 10-1-08							



## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### 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.

This is a *results indicator*, therefore, each state was allowed by OSEP to set their own target from baseline data. The Lead Agency, with input from stakeholder groups, established measurable and rigorous targets ranging from 1.1% to 1.3%.

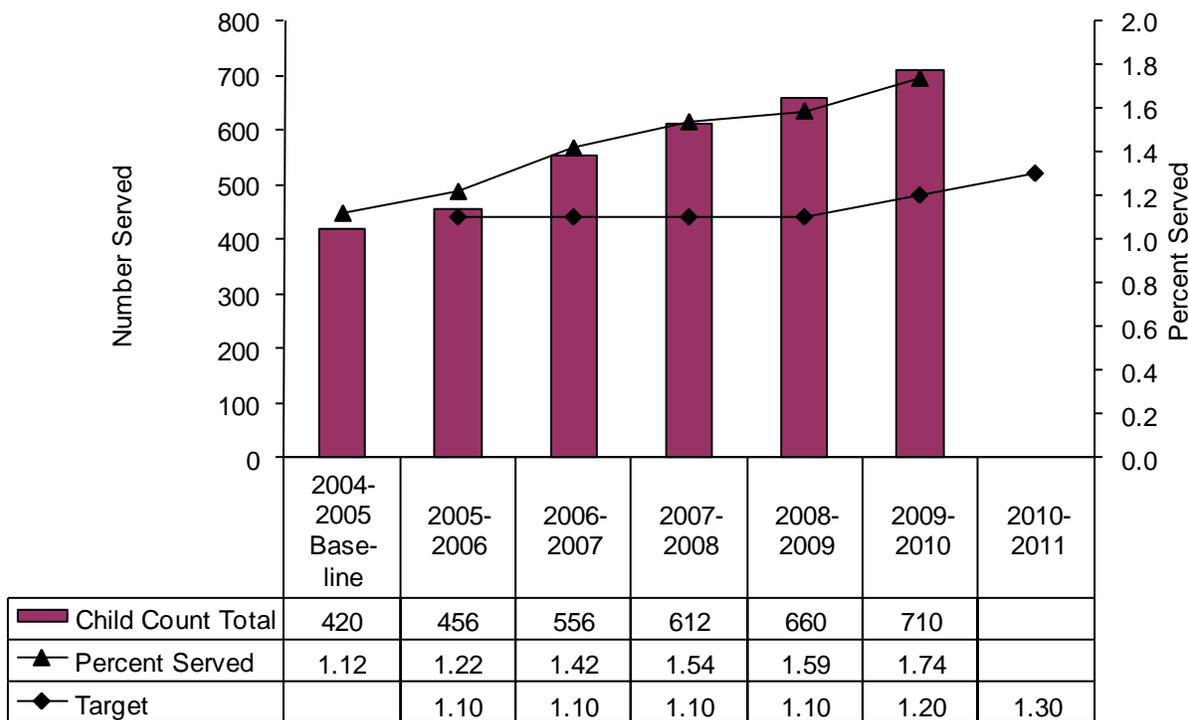
FFY	Measurable and Rigorous Target
2009 (2009-2010)	Percent of infants and toddlers birth to 1 with IFSPs will maintain at 1.2%, and when compared to national data will maintain 0.2% difference based on baseline year data.

### Actual Target Data for FFY 2009:

The National average for serving birth to age one children with IFSPs was 1.3%. Iowa's percent served was 1.74%. The calculated difference between Iowa's percent served and the national percent was 0.71. Iowa's target is to maintain a 0.20% difference. [Source. U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS), OMB #1820-0557: "Infants and Toddlers Receiving Early Intervention Services in Accordance with Part C," 2009. Data updated as of August 3, 2010.]

Figure C5.1 shows baseline FFY 2004 through the current reporting year and State targets of infants birth to one served in Early ACCESS Part C. The percentages shown for FFY 2004 were based on the December 1<sup>st</sup> Child Count, compared to Iowa birth minus death totals for the previous year. Data reported for subsequent years were based on the one-day child count that occurred on the last Friday of October and compared to the annual census estimations. Data collection was based on census, not sampling and are consistent with Iowa's reported 618 Data Table 1.

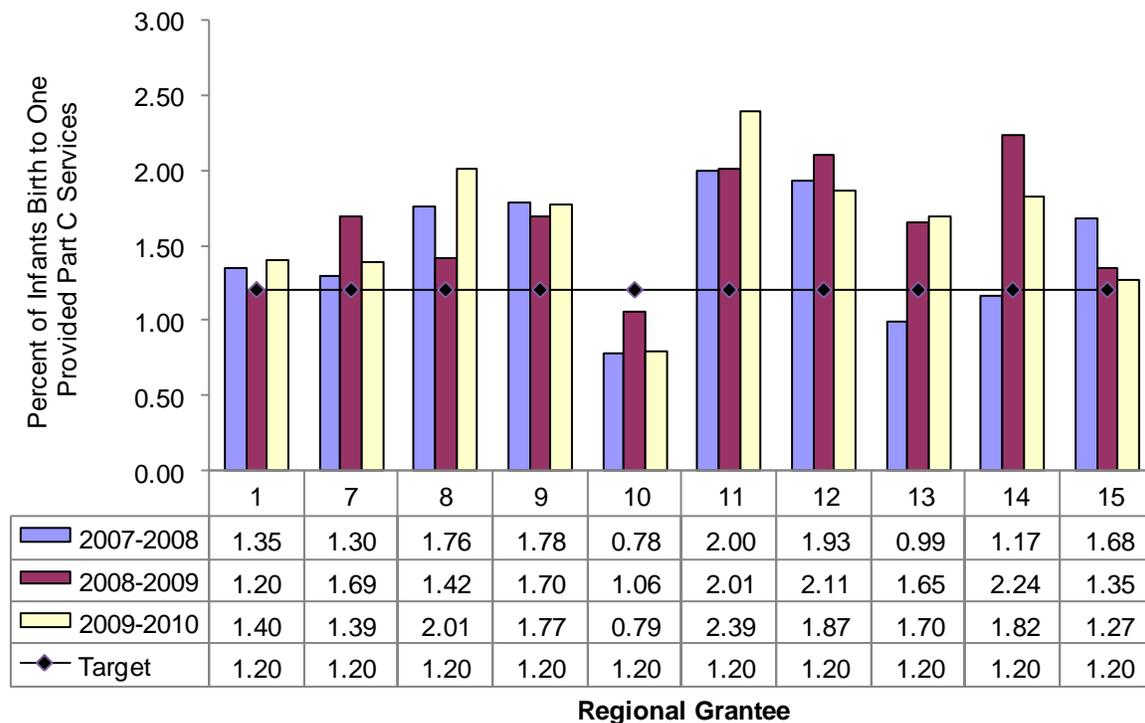
Figure C5.1. Number and Percent of Infants Birth to One with IFSPs.



Source. 618 Tables and U.S. Census Data, FFY 2004 - FFY 2005; U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS), FFY 2006 - FFY 2009.

Figure C5.2 shows trend data for the Regional Grantee FFY 2007 through current reporting year data and FFY 2009 target for the percent of infants served from birth to one year of age. These data were based on the one-day child count that occurred on the last Friday of October and were compared to resident population census estimates.

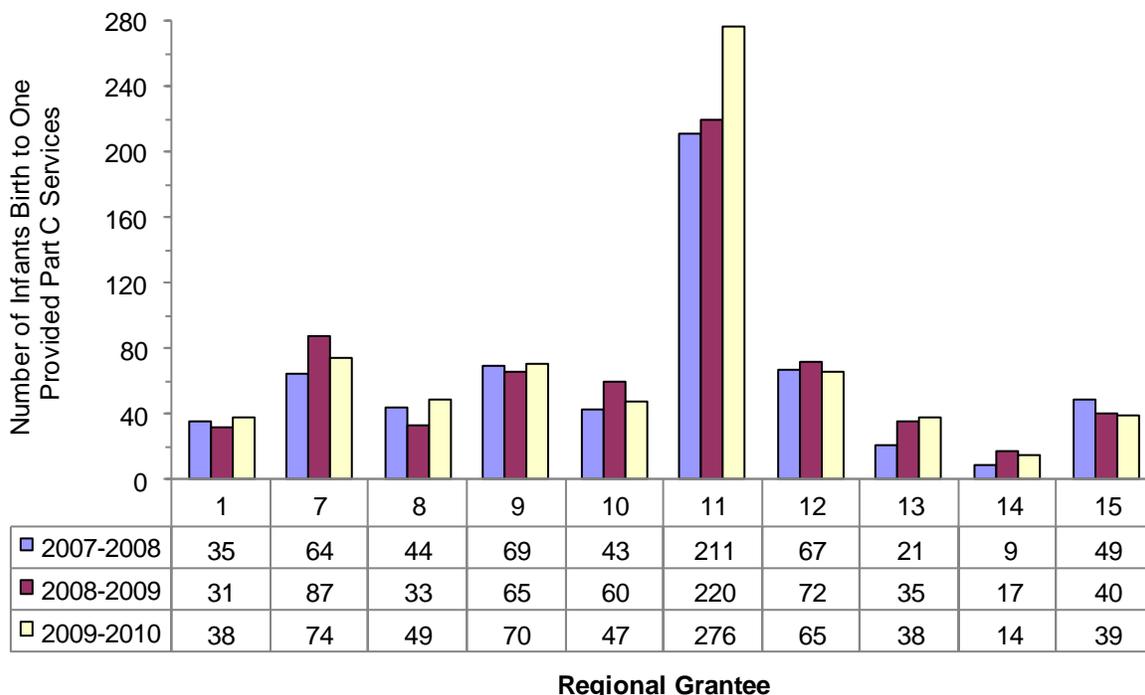
Figure C5.2. Percent of Infants Birth to One with IFSPs by Regional Grantee, Three-Year Trend.



Source. Iowa Information Management System (IMS), FFY 2007 - FFY 2009.

Figure C5.3 provides trend data for the Regional Grantee FFY 2007 through current reporting year data for the number of infants served from birth to one year of age.

Figure C5.3. Number of Infants Birth to One with IFSPs by Regional Grantee, Three-Year Trend.



Source. Iowa Information Management System (IMS), FFY 2007 - FFY 2009.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:**

In the current reporting year, Iowa served proportionately more infants than the 1.03% national rate with performance at 1.74% (710 out of an estimated 40,742 infants under age 1). In comparing Iowa’s 1.74% to the national rate of 1.03%, Iowa’s 0.71% difference exceeded the target of maintaining a 0.20% difference when compared to the national average. Iowa made a gain of 0.62% since the baseline year.

Iowa exceeded its FFY 2009 target of 1.2% for the percentage of infants receiving early intervention services which is a 0.54% increase from the previous years’ results of 1.59% infants served. Nine of the 10 Regional Grantees met and/or exceeded the State target.

Several improvement activities were implemented to impact meeting the target. The Lead Agency and Regional Grantees concentrated efforts on early identification with the help of interagency partners: Department of Human Services and judicial system regarding CAPTA (Child Abuse Prevention and Treatment Act); Department of Public Health regarding Early Hearing Detection and Intervention (EHDI); 1<sup>st</sup> Five initiative; Project LAUNCH; Service Coordination of Title V programs and Child Health Specialty Clinics; distribution of public awareness materials; referral procedures; and data analysis of referral sources to the Early ACCESS system. Other activities included verification of data, analysis of data, analysis of policies, procedures, and practices, technical assistance, and ongoing monitoring.

**Verification of data.** Iowa’s IMS data system entails data checks at several steps:

**Step 1.** Regional Grantee IMS data entry personnel are trained to review IFSPs for completeness and consistency. If needed, IFSP team members are contacted to clarify or complete specific data or the IFSP is returned for corrections.

**Step 2.** When data are entered into IMS, several types of automatic data quality messages appear on the IMS screens:

- When a new eligible child is entered, the statewide historical database is queried to see if the child may have had an earlier IFSP. A list of near matches, based on name and birth date, is provided so that data entry personnel can check to see if the new child was previously served. This routine reduces the risk of the same child having two different IMS identification numbers.
- Some data fields are required before data entry can continue. For example, if the resident district code, gender, ethnicity, birth date, or serve status is left blank, a message appears with a prompt and no further data entry is allowed until a valid value is entered.
- For other data fields, a message appears but data entry may continue. For example, if the code is left blank, a message advises the operator but data entry continues. These messages are saved and written to a Verification Report (see below).

**Step 3.** A Verification Report sorted by Regional Grantee, lists data warnings and possible data errors that need to be checked. The report is run in real time so it is continuously updated and available to data entry personnel. Data entry personnel review the report for his or her respective Regional Grantee, cross checking against the IFSP and following up with Regional Grantee and local IFSP team members as needed. Types of warnings in the report include possible duplicate children, questionable age/IFSP age-eligibility combination, blank code, invalid program/service combination, and invalid full-part time code. The Verification Report is monitored by the Lead Agency to ensure that Regional Grantees regularly access and review potential errors during the two critical seasons for data entry (count/setting and exit).

**Step 4.** Lead Agency data personnel periodically review IMS, personnel, and discipline data and contact IMS and Regional Grantee staff with specific accuracy issues above and beyond the Verification Report to rectify any data abnormalities.

Data verification procedures for IMS are described in more depth in Indicator 14.

**Analysis of data to identify concerns and effectiveness.** Child find data were analyzed by Lead Agency, Regional Grantee Leadership and State Interagency Coordinating Council (SICC) on children served in Early ACCESS. Nine Regions met the 1.2% State target, one did not. This Region served children birth to one at a rate of 1.06% in FFY 2008 and in the current reporting year decreased to a rate of .79%. This represents a decrease of thirteen children. Five of the 10 Regions increased the percent of infants served. Stakeholder input revealed that they were generally satisfied with state performance, trend, and target. They recognized the need to continue improvement activities including building relationships with potential referral sources. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of data to identify concerns and effectiveness-public awareness and referrals.** Iowa's public awareness program relies on 12 categories of referral sources, public awareness materials, and a central point of entry for Early ACCESS and the Regional Grantees.

Table C5.1 provides the number and percent of referrals the Regional Grantees received from specific referral sources. Twelve categories were used to collect and analyze the data for each Region. Regional Grantees tracked and reported referral source data. In the current reporting year the most common referral source statewide was Parent/Family (35%). Parent referrals by Regional Grantees ranged from 16.4% to 55.5%.

Table C5.1  
Number and Percent of Referrals Received by Regional Grantee.

	Regional Grantees										
	1	7	8	9	10	11	12	13	14	15	Total
<b>Parent/Family</b>	166	167	119	552	305	514	203	148	29	96	2299
	35.5%	16.4%	29.8%	55.5%	39.4%	31.9%	38.2%	49.0%	27.9%	25.6%	35.0%
<b>Hospitals/HRIF</b>	17	93	70	4	72	430	92	21	24	54	877
	3.6%	9.1%	17.5%	0.4%	9.3%	26.7%	17.3%	7.0%	23.1%	14.4%	13.3%
<b>Physicians</b>	109	170	55	38	78	373	73	21	7	51	975
	23.3%	16.7%	13.8%	3.8%	10.1%	23.2%	13.7%	7.0%	6.7%	13.6%	14.8%
<b>Dept of Human Services</b>	44	245	16	24	49	72	34	30	8	58	580
	9.4%	24.1%	4.0%	2.4%	6.3%	4.5%	6.4%	9.9%	7.7%	15.5%	8.8%
<b>LEA/AEA</b>	7	100	16	314	64	14	24	13	9	27	588
	1.5%	9.8%	4.0%	31.6%	8.3%	0.9%	4.5%	4.3%	8.7%	7.2%	8.9%
<b>Public/Private Health</b>	43	99	31	11	81	133	41	12	8	34	493
	9.2%	9.7%	7.8%	1.1%	10.5%	8.3%	7.7%	4.0%	7.7%	9.1%	7.5%
<b>Family Support Services</b>	36	65	42	13	74	33	8	30	12	16	329
	7.7%	6.4%	10.5%	1.3%	9.6%	2.0%	1.5%	9.9%	11.5%	4.3%	5.0%
<b>Child Health Specialty</b>	6	4	17	38	16	0	30	14	0	19	144
	1.3%	0.4%	4.3%	3.8%	2.1%	0.0%	5.6%	4.6%	0.0%	5.1%	2.2%
<b>Child Care</b>	16	36	18	0	19	19	8	3	1	3	123
	3.4%	3.5%	4.5%	0.0%	2.5%	1.2%	1.5%	1.0%	1.0%	0.8%	1.9%
<b>Head Start (HS) Early HS</b>	18	28	14	1	5	8	13	1	5	9	102
	3.8%	2.8%	3.5%	0.1%	0.6%	0.5%	2.4%	0.3%	4.8%	2.4%	1.6%
<b>State EDHI</b>	3	4	0	0	1	8	1	0	0	2	19
	0.6%	0.4%	0.0%	0.0%	0.1%	0.5%	0.2%	0.0%	0.0%	0.5%	0.3%
<b>Out of State Part C</b>	3	6	1	0	10	6	2	8	0	0	36
	0.6%	0.6%	0.3%	0.0%	1.3%	0.4%	0.4%	2.6%	0.0%	0.0%	0.5%
<b>Other</b>	0	0	0	0	0	0	3	1	1	6	11
	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.6%	0.3%	1.0%	1.6%	0.2%
<b>Total</b>	468	1017	399	995	774	1610	532	302	104	375	6576

Source. Regional Grantee Year End Reports, FFY 2009.

Table C5.2 provides definitions for the Early ACCESS referral source categories.

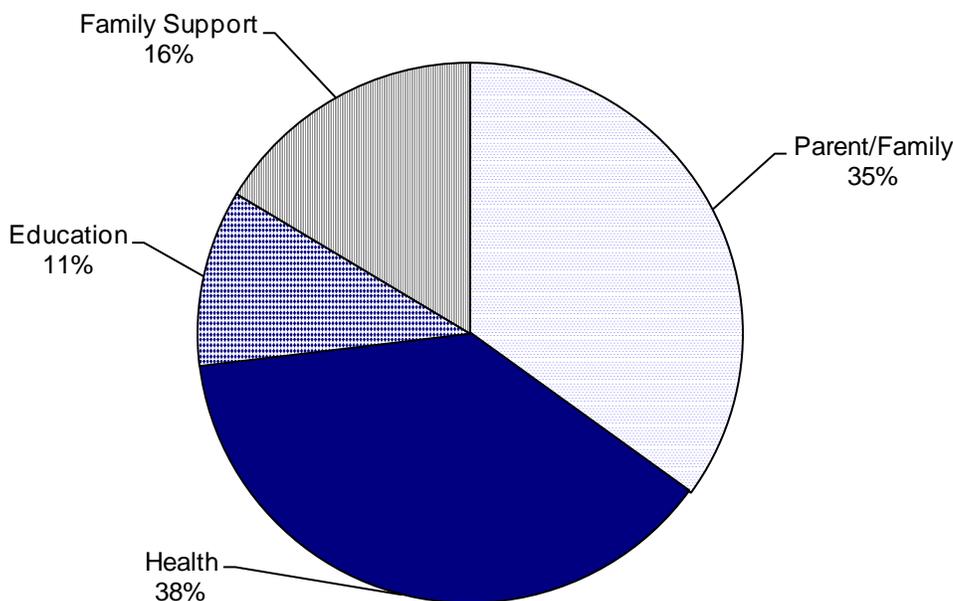
Table C5.2  
*Early ACCESS Referral Sources and Definitions.*

Referral Source	Definition
1. Parent/Family	Parent, family or other persons designated as a parent
2. Hospital/HRIF	Hospitals; hospital-based high-risk follow-up programs; Newborn Hearing Screening (NOT including referrals from Iowa Early Hearing Detection and Intervention office)
3. Physicians	Physicians (Pediatric, Family, Sub-specialty or General Practices)
4. Iowa Department of Human Services	Signatory Agency
5. LEA/AEA	Local or Area Education Agencies
6. Public/Private Health	Includes Title V agencies; Women, Infants and Children (WIC); County Public Health; home health agencies; etc.
7. Family Support Services	Family Support Services (e.g. ISU Extension; Lutheran Social Services; HOPES and HOPES-like; Healthy Families; Child Care Resource & Referral; Community Action Programs; programs supported by Community Empowerment Areas, etc.)
8. Child Health Specialty Clinics	Signatory Agency
9. Child Care	Providers of child care programs (child development homes and licensed child care centers)
10. Head Start and Early Head Start	Head Start programs and Early Head Start programs
11. State EHDl: Early Hearing Detection and Intervention	Iowa's newborn hearing screening and follow-up program
12. Out of State Part C	Families of children with IFSPs transferring from other states
13. Other	Other referral sources

*Source.* Regional Grantee Part C Application Instructions, FFY 2009.

To better understand referral data, the data were clustered into four categories of referral sources as shown in Figure C5.4. These clusters include: (1) Health (hospitals, high-risk follow-up programs, Child Health Specialty Clinics, and public and private health agencies); (2) Parent/Family; (3) Education [local school districts (LEA) and Area Education Agencies (AEA)/Regional Grantees]; and (4) Family Support [Child Care, Department of Human Services (DHS), and Social Service Agencies]. The combined health cluster accounted for 38% of referrals to the Early ACCESS system in the current reporting year. These referral data reflected referrals for children birth to age three; data could not be disaggregated for birth to one.

Figure C5.4. Source and Percent of Referrals Analyzed by Four Categories.



Source. Regional Grantee Year End Reports, FFY 2009.

**Public Awareness-Materials.** The Lead Agency provided the majority of Early ACCESS public awareness materials that the Regional Grantees and Signatory Agencies distributed. The Lead Agency published two major public awareness materials for statewide distribution. The first material, a developmental wheel, remained most popular among community partners. They reported that families felt the wheel was a helpful resource for understanding child development. The wheel provides information about early childhood development and appropriate activities for specific age ranges. The developmental wheel was revised in FFY 2008 to include information to promote the early identification of Autism Spectrum Disorder. Distribution of the English version of the developmental wheels declined by 12,500 while distribution of the Spanish version increased by 750 from the previous year. The second material is a brochure with general information about the program and information about how to make a referral. Fewer English and Spanish brochures were distributed during this reporting year.

Many Regional Grantees designed and distributed agency posters and brochures that described Early ACCESS services and how to make a referral. Posters are distributed throughout their region in grocery stores, laundry mats, and doctors' offices. Table C5.3 shows the number and type of public awareness materials distributed.

Table C5.3  
*Number and Type of Public Awareness Materials Distributed.*

	<b>English Wheels</b>	<b>Spanish Wheels</b>	<b>English Brochures</b>	<b>Spanish Brochures</b>
<b>2007</b>	45,000	7,000	45,000	11,000
<b>2008</b>	44,000	6,750	50,000	12,000
<b>2009</b>	31,500	7,500	30,000	7,500

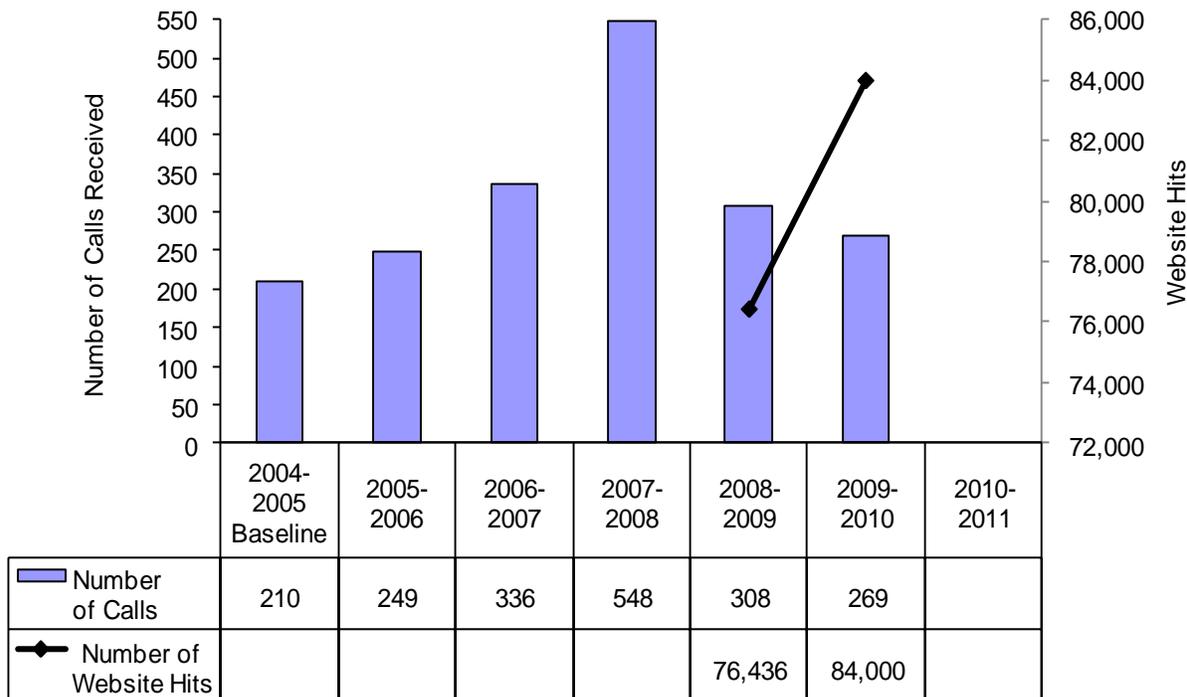
*Source.* Lead Agency, Iowa Department of Education, FFY 2007 - FFY 2009.

**Public Awareness-Statewide Conference Exhibits.** Early ACCESS state staff and central point of contact staff exhibited and distributed materials at over 20 statewide conferences/events. The primary audiences included: social service agency staff, medical providers, state agencies staff, and parents of children with or without disabilities. This activity provided the opportunity to engage a variety of early childhood constituents and service providers and answer their questions about Early ACCESS.

In addition to statewide conferences/events, Regional Grantees presented Early ACCESS information to local programs that serve children in their regions, examples of groups Regional Grantees presented to included: WIC agency, child care providers, local DHS offices, home visiting programs and medical students. The Regional Grantees initiated an active role in many local training activities and public awareness events. They worked closely with birthing and neonatal units to make Early ACCESS materials available to parents of newborns.

**Public Awareness-Central Point of Contact and the Central Directory.** The Lead Agency contracts with a local health agency to serve as the central point of contact and the central directory for the Early ACCESS system, called Early ACCESS Iowa. Iowa's central point of contact and central directory are accessed both by a toll free number and a website. All statewide and regional public relation materials include the toll free number and website. Callers are directly patched to the Regional Grantee who provides services in the region of the caller. Data on calls and website hits received by the central point of contact and the central directory are shown in Figure C5.5.

Figure C5.5. Number of Calls and Website Hits Received by Early ACCESS Central Point of Contact for Referral to Early ACCESS.



Source. Iowa COMPASS Quarterly Reports. FFY 2004 - FFY 2006 and Early ACCESS Iowa Quarterly Reports FFY 2007 - FFY 2009.

Note. FFY 2007 data reflect six month data from COMPASS and Early ACCESS Iowa.

Early ACCESS Iowa kept up with technology and how families and referral sources prefer to communicate. In FFY 2009 additional methods of contacting Early ACCESS Iowa became available; the central point of contact began receiving referrals for Early ACCESS via email and fax. Families and referral sources can now contact Early ACCESS Iowa via phone, email, fax, or individuals can go to the website which features a search function by zip code that allows them to connect to their local Regional Grantee Early ACCESS contact. While the phone calls regarding Early ACCESS decreased from the previous year, the updated central point of contact website received 84,000 hits, an increase in 7,564 hits from the prior year. The central point of contact had a record number of referrals in a single quarter. Early ACCESS Iowa participated in community events and distributed public awareness materials.

The central point of contact and the central directory also process referrals from the Iowa Department of Human Services for children less than the age of three who were abused or neglected (CAPTA). The central point of contact mails information about Early ACCESS to the parents along with contact information. The CAPTA referral process was improved in FFY 2009 by adding a confirmation process. When a CAPTA referral is completed, an Early ACCESS Iowa Specialist transmits the fax and notifies a Regional Grantee contact by email that a fax referral was sent.

The Early ACCESS referral process was also improved in FFY 2009, with input from Regional Grantees. Early ACCESS Iowa now uses the same intake/referral form for all regions and faxes referrals to a specific person at each agency and confirms that the agency received the referral via email or phone call.

The central point of contact and central directory also received American Reinvestment Recovery Act (ARRA) funds from the Lead Agency. In FFY 2009 Early ACCESS began to use the funds to enhance the online resource directory. The directory had been a PDF document; the directory will soon be a searchable database which is far more user friendly.

**Analysis of policies, procedures and practices.** The Lead Agency continued working to strengthen the Part C finance system in order to maximize the coordination of resources. Implementing and reporting Part C American Recovery and Reinvestment Act (ARRA) funds was a priority in FFY 2009. Funds were designated for direct services, helping local programs keep pace with the long-term annual increases of children served (doubled in last seven years). Iowa has plans to address sustainability after FFY 2010.

The Lead Agency, with the support of its Signatory Agencies and SICCC, successfully secured state appropriations for Early ACCESS. The appropriation for the current reporting year maintained the dedicated state allocation to the Part C system. The allocation went to direct services provided by the Regional Grantees and a health partner, including nutrition services and services for underserved populations such as children referred by CAPTA (Child Abuse Prevention and Treatment Act); premature infants; children who have medically complex issues; and children who are drug affected.

Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations, including timely provision of services. Practitioners reported that the manual clarified a lot of issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation; and
- Procedures and documentation regarding parent withdrawal of consent for services.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

Progress was made engaging Signatory Agencies regarding child find activities and provision of Service Coordination. The Department of Public Health fully implemented statewide guidelines that outlined Early ACCESS referral procedures for every child under the age of three with venous blood lead level greater than or equal to 20 micrograms per deciliter. With the addition of the Department of Public Health and Child Health Specialty Clinic Service Coordinators for target populations of children with health related conditions (prematurity, lead poisoned, medically fragile, drug exposed, etc.), referrals are expected to continue to increase. The Department of Public Health (Title V) and Child Health Specialty Clinics (CHSC) continued to contribute more resources (staff, time, funding, professional development, and data collection) to implement interagency service coordination. This increases the Early ACCESS system's capacity to serve more children and to align service coordination to meet the primary health needs of a child and family.

CHSC and Title V continued the consistent use of a reliable and valid diagnostic assessment tools to use with these special populations. Training was provided to the following numbers of CHSC and Title V service coordinators and early intervention providers: 57 trained during FFY 2006, 123 in FFY 2007, 51 in FFY 2008, and 44 in FFY 2009. This professional development activity promoted collaboration among all partners in the service provision of service coordination.

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** In order to enhance the child count for Iowa's Part C system, the state continued several initiatives during the current reporting year. These efforts focused on activities to improve professional development with state partners in order to increase the number of appropriate referrals to the system. The Lead Agency provided information to Regions and Signatory Agencies with criteria for selecting screening and assessment tools. The information provided a list of tools that were often used, a list of diagnostic instruments, and list of ongoing assessments. Professional development activities were key to contributing to the state's increased child count.

Regional Grantees continued to partner with the Level III hospitals and High Risk Infant Follow-up programs in the state in order to facilitate increased referrals through the hospitals. The region with two Level III hospitals and High Risk Infant Follow-up programs continued to dedicate staff to work with this population of children. FFY 2007 was when this project was implemented. Since FFY 2007 this region's birth-to-one percentage has increased from 1.73 to 2.39 in FFY 2009, an increase of 0.57. The region's birth-to-three percent increased from 2.62 in FFY 2007 to 3.27 in FFY 2009, an increase of 0.65. In the current reporting period this region's birth-to-one numbers and birth-to-three numbers continued to increase. Another region has used American Reinvestment Recovery Act funds to hire a liaison to assist in generating referrals from the area high risk infant follow up program and two other regions used American Reinvestment Recovery Act funds to send nurses to visit neighboring children's hospitals in bordering states to present Iowa resident Early ACCESS information. These hospitals see many of the children in their regions. During statewide meetings, regions shared their strategies to engage hospitals with other regions and regions continue to have conversations about improving relationships and communication with hospitals.

Collaboration with Iowa's Statewide Perinatal Care Program continued for FFY 2009. This program provides professional training and consultation to regional and primary providers in order to reduce the mortality and morbidity of infants. State staff continued to work to integrate Early ACCESS into the program.

In order to increase both the quantity and quality of referrals to Early ACCESS, statewide training on a validated screening tool that included a social emotional component was provided to 181 individuals and 38 received additional training to become trainers in FFY 2008. In FFY 2009, the trainers delivered over 40 trainings on a validated screening tool that includes a social emotional component to area child care providers, DHS workers, WIC staff, and home visiting programs. This has resulted in more quality referrals being made to Early ACCESS.

The Lead Agency continued to partner with the Iowa Early Hearing Detection and Intervention (EHDI) program to ensure that children who missed or did not pass their initial newborn hearing screening received follow-up. The EHDI staff identified children in need of audiological follow up through the EHDI data system and referred them to the Part C system. An early intervention provider was assigned to assist the family through the process, addressing any barriers to obtaining needed screenings and/or

early intervention services. The EHDI program hired 1.0 FTE with American Reinvestment Recovery Act funds for program evaluation to assess the infrastructure and processes that make up the EHDI system and data analysis. In FFY 2009 a survey was used to gain provider feedback on reporting hearing screening and diagnostic data through the EHDI database. The feedback will guide future programming, policy and decision making.

1st Five Healthy Mental Development Initiative began in FFY 2006 and has continued to expand in FFY 2009. As of FFY 2009 1<sup>st</sup> Five works with seven local child health agencies, operating in 14 Iowa counties and 54 participating medical practices, impacting approximately 65,000 children from birth to 5. Iowa's 1st Five Healthy Mental Development Initiative focuses on building supportive partnerships between primary care providers and public health agencies to deliver a seamless system of care for at-risk children and families. 1st Five sites recruit primary care practices to enhance well-child exams that include assessing for: social and emotional development; autism; family risk factors such as caregiver depression and family stress. This enhanced surveillance takes place concurrently with assessing for the development of a child's motor, language, cognitive and adaptive skills. 1st Five sites help to link families with community resources and facilitate referrals to appropriate services including Part C services. This collaboration builds infrastructure for support in relationship to increased appropriate referrals from community partners.

In FFY 2009 Iowa was awarded a Project LAUNCH grant. Project LAUNCH is a grant program of the federal Substance Abuse and Mental Health Services Administration (SAMHSA) which seeks to promote the wellness of young children birth to age eight. Using a public health approach, Project LAUNCH focuses on improving the systems that serve young children and address their physical, emotional, social, cognitive and behavioral growth. The goal: for all children to reach physical, social, emotional, behavioral, and cognitive milestones. Project LAUNCH aims to have all young children reach their developmental potential, enter school ready to learn, and experience success in the early grades. To achieve this goal, Iowa Project LAUNCH established state and local Councils on Young Child Wellness including Part C representation and implemented several evidence-based programs and practices, including standardized developmental screening in primary care and other settings, Nurse Family Partnership, Positive Behavior and Intervention Supports, and mental health consultation in schools and child care settings. This project has also assisted in identifying, screening and referring children to Early ACCESS.

*Court Teams for Change* is a collaborative effort that involves Polk County Juvenile Court, *Zero to Three* (a national infant-toddler advocacy organization), the Iowa Department of Human Services, provider agencies and Early ACCESS. Its goal is to improve outcomes for infants and toddlers who have been removed from the home due to parental drug use or domestic violence.

Trend data regarding referrals of children who were abused or neglected were analyzed by the Lead Agency. Early ACCESS data for the Court Team's region showed that the number of children served by Early ACCESS increased from 39 in FFY 2005 to 103 in FFY 2009.

Early ACCESS Regional Grantees have been working with Family Drug Courts in other parts of the state using strategies similar to *Court Teams for Change*. Data gathered from the Family Drug Courts shows 94% of children served did not return to foster care. This compares to 88% for the state as a whole. Federal law gives states 12 months to reunify children and parents; the six pilot sites accomplished this goal in 81% of the cases while the statewide average is 61%.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: tracking and analyzing referral data to determine the effectiveness of public awareness and child find efforts; distributing public awareness materials to targeted venues; hosting interagency councils; attending weekly discharge meetings at neonatal intensive care units; referral training with birthing hospitals; contracting with Signatory Agencies to conduct critical health reviews for children who have special health care needs; increasing capacity to conduct hearing rescreens of newborns who need follow-up in community settings; and provided training to community home visiting providers on developmental screening tool.

Regional Grantees also had discussions in state sponsored meetings to share best practices. Examples of topics covered included: success in building relationships with direct service providers of community partners rather than agency administrative staff and hospital NICU liaison position within two of Iowa's Level III birthing hospitals.

**Ongoing monitoring and enforcement as needed.** There were no new next step requirements in OSEP's June 3, 2010 SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report related to this results indicator; the State met the target in FFY 2008.

In the current reporting period the Lead Agency monitored effective child find in all Regional Grantees. Trend data showed increases for five of ten Regions. While the state and nine of ten Regions met the overall target, one Region did not. This Region designed and created posters that were distributed widely in their region and the region has used American Recovery and Reinvestment Act funds to create a new position to be in communication with major referral sources such as birthing hospitals and Department of Human Services. They used lessons learned from the NICU project in another region of the state to increase hospital referrals.

The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### 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.

This is a *results indicator*, therefore, each state was allowed by OSEP to set their own target from baseline data. The Lead Agency, with input from stakeholder groups, established measurable and rigorous targets ranging from 2.1% to 2.5%.

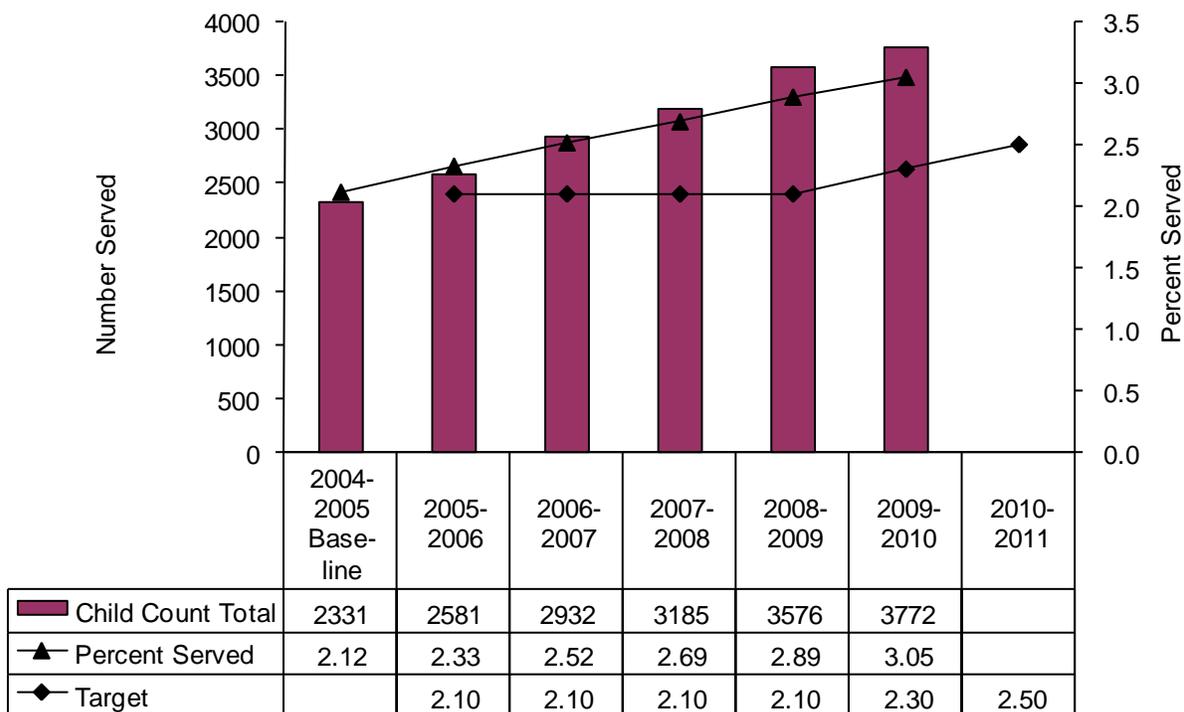
FFY	Measurable and Rigorous Target
2009 (2009-2010)	Percent of infants and toddlers birth to 3 with IFSPs will maintain at 2.3%, and when compared to national data will maintain as 0.12% difference based on baseline year data.

### Actual Target Data for FFY 2009:

The National average for serving birth to age three children with IFSPs was 2.67%. Iowa's percent served was 3.05%. The calculated difference between Iowa's percent served and the national percent was 0.38. Iowa's target is to maintain a -0.12% difference. [Source. U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS), OMB #1820-0557: "Infants and Toddlers Receiving Early Intervention Services in Accordance with Part C," 2009. Data updated as of August 3, 2010.]

Figure C6.1 shows baseline FFY 2004 through the current reporting year data and State targets of infants and toddlers birth to three served in Early ACCESS, Part C. The percentages shown for FFY 2004 were based on the December 1st Child Count, compared to Iowa birth minus death totals for the previous year. Data reported for subsequent years were based on the one-day child count that occurred on the last Friday of October and compared to the annual census estimations. Data collection was based on census, not sampling and are consistent with Iowa’s report 618 Data Table 1.

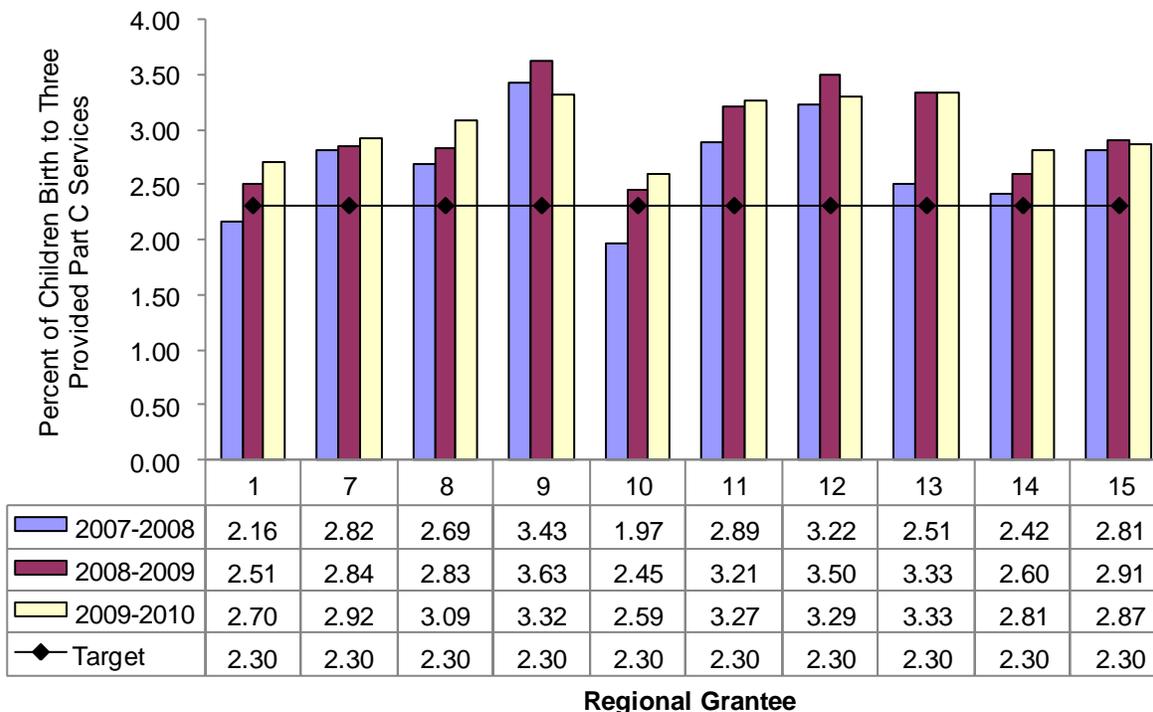
Figure C6.1. Number and Percent of Infants and Toddlers Birth to Three with IFSPs.



Source. 618 Tables and U.S. Census Data FFY 2004 - FFY 2005; U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS), FFY 2006 - FFY 2009.

Figure C6.2 shows trend data for the Regional Grantee FFY 2007 through current reporting year data and FFY 2009 target for the percent of children served from birth to three years of age.

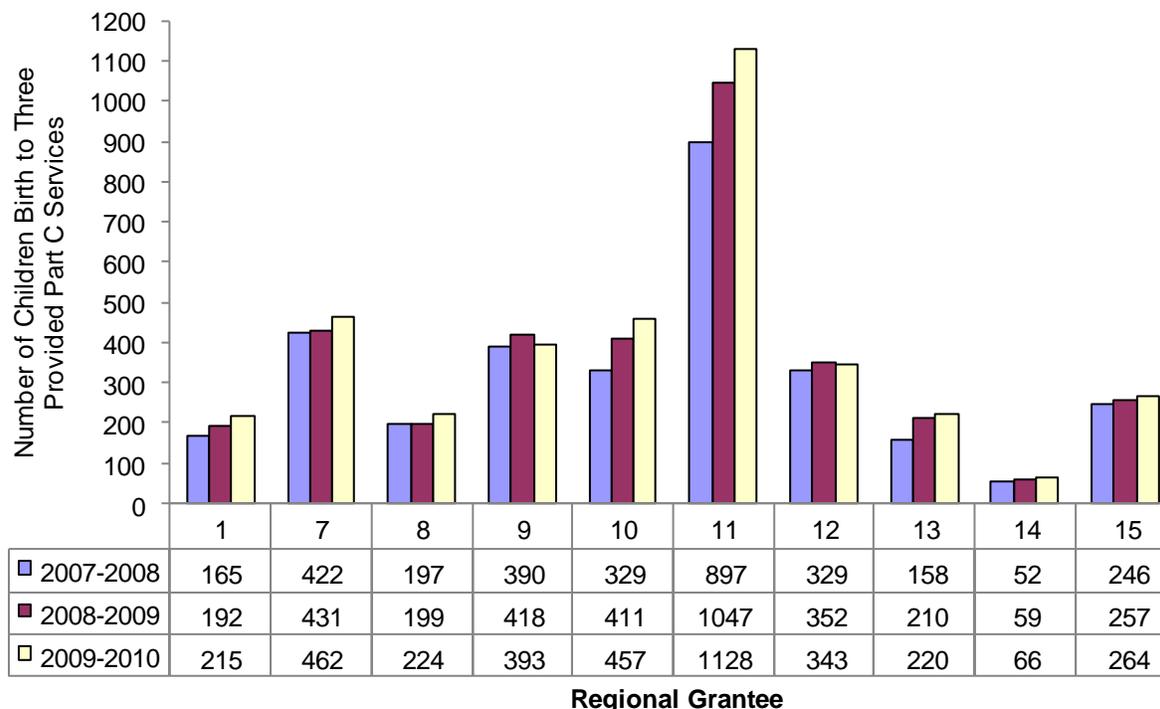
Figure C6.2. Percent of Infants and Toddlers Birth to Three with IFSPs by Regional Grantee, Three-Year Trend.



Source. Iowa Information Management System (IMS), FFY 2007 - FFY 2009.

Figure C6.3 provides trend data for the Regional Grantee FFY 2007 through current reporting year data and FFY 2009 target for the number of children served from birth to three years of age.

Figure C6.3. Number of Infants and Toddlers Birth to Three with IFSPs by Regional Grantees, Three-Year Trend.



Source. Iowa Information Management System (IMS) FFY 2007 - FFY 2009.

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:**

In the current reporting year, Iowa served proportionately more infants and toddlers than the 2.67% national rate with performance at 3.05% (3772 out of an estimated 123,638 children under age 3). In comparing Iowa's 3.05% to the national rate of 2.67%, Iowa's 0.38% difference exceeded the target of maintaining a -0.12% difference when compared to the national average. Iowa has made a gain of 0.93% since the baseline year.

The State exceeded the State target of 2.3% for the percentage of infants and toddlers receiving early intervention services which is a 0.16% increase from the previous year's results of 2.89% served. All Regional Grantees exceeded the target for the State Performance Plan.

Several improvement activities were implemented to impact meeting the target. The Lead Agency and Regional Grantees concentrated efforts on early identification with the help of interagency partners: Department of Human Services and judicial system regarding CAPTA (Child Abuse Prevention and Treatment Act); Department of Public Health regarding Early Hearing Detection and Intervention (EHDI); 1<sup>st</sup> Five initiative; Project LAUNCH; Service Coordination of Title V programs and Child Health Specialty Clinics; distribution of public awareness materials; referral procedures; and data analysis of referral sources to the Early ACCESS system. Other activities included verification of data, analysis of data, analysis of policies, procedures, and practices, technical assistance, and ongoing monitoring.

**Verification of data.** Iowa's IMS data system entails data checks at several steps:

**Step 1.** Regional Grantee IMS data entry personnel are trained to review IFSPs for completeness and consistency. If needed, IFSP team members are contacted to clarify or complete specific data or the IFSP is returned for corrections.

**Step 2.** When data are entered into IMS, several types of automatic data quality messages appear on the IMS screens:

- When a new eligible child is entered, the statewide historical database is queried to see if the child may have had an earlier IFSP. A list of near matches, based on name and birth date, is provided so that data entry personnel can check to see if the new child was previously served. This routine reduces the risk of the same child having two different IMS identification numbers.
- Some data fields are required before data entry can continue. For example, if the resident district code, gender, ethnicity, birth date, or serve status is left blank, a message appears with a prompt and no further data entry is allowed until a valid value is entered.
- For other data fields, a message appears but data entry may continue. For example, if the code is left blank, a message advises the operator but data entry continues. These messages are saved and written to a Verification Report (see below).

**Step 3.** A Verification Report sorted by Regional Grantee, lists data warnings and possible data errors that need to be checked. The report is run in real time so it is continuously updated and available to data entry personnel. Data entry personnel review the report for his or her respective Regional Grantee, cross checking against the IFSP and following up with Regional Grantee and local IFSP team members as needed. Types of warnings in the report include possible duplicate children, questionable age/IFSP age-eligibility combination, blank code, invalid program/service combination, and invalid full-part time code. The Verification Report is monitored by the Lead Agency to ensure that Regional Grantees regularly access and review potential errors during the two critical seasons for data entry (count/setting and exit).

**Step 4.** Lead Agency data personnel periodically review IMS, personnel, and discipline data and contact IMS and Regional Grantee staff with specific accuracy issues above and beyond the Verification Report to rectify any data abnormalities.

Data verification procedures for IMS are described in more depth in Indicator 14.

**Analysis of data to identify concerns and effectiveness.** Child find data were analyzed by Lead Agency, Regional Grantee Leadership and State Interagency Coordinating Council (SICC) on children served in Early ACCESS. All Regions exceeded the target and 6 of the 10 Regions increased the percent of infants and toddlers served. Stakeholder input revealed that they were generally satisfied with state performance, trend, and target. They recognized the need to continue improvement activities including building relationships with potential referral sources. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of data to identify concerns and effectiveness-public awareness and referrals.**

Iowa's public awareness program relies on 12 categories of referral sources, public awareness materials, and a central point of entry for Early ACCESS and the Regional Grantees. Table C6.1 provides the number and percent of referrals the Regional Grantees received from specific referral sources. Twelve categories were used to collect and analyze the data for each Region. Regional Grantees tracked and reported referral source data. In the current reporting year the most common referral source statewide was Parent/Family (35%). Parent referrals by Regional Grantees ranged from 16.4% to 55.5%.

Table C6.1

*Number and Percent of Referrals Received by Regional Grantee.*

	Regional Grantees										
	1	7	8	9	10	11	12	13	14	15	Total
<b>Parent/Family</b>	166	167	119	552	305	514	203	148	29	96	2299
	35.5%	16.4%	29.8%	55.5%	39.4%	31.9%	38.2%	49.0%	27.9%	25.6%	35.0%
<b>Hospitals/HRIF</b>	17	93	70	4	72	430	92	21	24	54	877
	3.6%	9.1%	17.5%	0.4%	9.3%	26.7%	17.3%	7.0%	23.1%	14.4%	13.3%
<b>Physicians</b>	109	170	55	38	78	373	73	21	7	51	975
	23.3%	16.7%	13.8%	3.8%	10.1%	23.2%	13.7%	7.0%	6.7%	13.6%	14.8%
<b>Dept of Human Services</b>	44	245	16	24	49	72	34	30	8	58	580
	9.4%	24.1%	4.0%	2.4%	6.3%	4.5%	6.4%	9.9%	7.7%	15.5%	8.8%
<b>LEA/AEA</b>	7	100	16	314	64	14	24	13	9	27	588
	1.5%	9.8%	4.0%	31.6%	8.3%	0.9%	4.5%	4.3%	8.7%	7.2%	8.9%
<b>Public/Private Health</b>	43	99	31	11	81	133	41	12	8	34	493
	9.2%	9.7%	7.8%	1.1%	10.5%	8.3%	7.7%	4.0%	7.7%	9.1%	7.5%
<b>Family Support Services</b>	36	65	42	13	74	33	8	30	12	16	329
	7.7%	6.4%	10.5%	1.3%	9.6%	2.0%	1.5%	9.9%	11.5%	4.3%	5.0%
<b>Child Health Specialty</b>	6	4	17	38	16	0	30	14	0	19	144
	1.3%	0.4%	4.3%	3.8%	2.1%	0.0%	5.6%	4.6%	0.0%	5.1%	2.2%
<b>Child Care</b>	16	36	18	0	19	19	8	3	1	3	123
	3.4%	3.5%	4.5%	0.0%	2.5%	1.2%	1.5%	1.0%	1.0%	0.8%	1.9%
<b>Head Start (HS) Early HS</b>	18	28	14	1	5	8	13	1	5	9	102
	3.8%	2.8%	3.5%	0.1%	0.6%	0.5%	2.4%	0.3%	4.8%	2.4%	1.6%
<b>State EDHI</b>	3	4	0	0	1	8	1	0	0	2	19
	0.6%	0.4%	0.0%	0.0%	0.1%	0.5%	0.2%	0.0%	0.0%	0.5%	0.3%
<b>Out of State Part C</b>	3	6	1	0	10	6	2	8	0	0	36
	0.6%	0.6%	0.3%	0.0%	1.3%	0.4%	0.4%	2.6%	0.0%	0.0%	0.5%
<b>Other</b>	0	0	0	0	0	0	3	1	1	6	11
	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.6%	0.3%	1.0%	1.6%	0.2%
<b>Total</b>	468	1017	399	995	774	1610	532	302	104	375	6576

Source. Regional Grantee Year End Reports, FFY 2009.

Table C6.2 provides definitions for the Early ACCESS referral source categories.

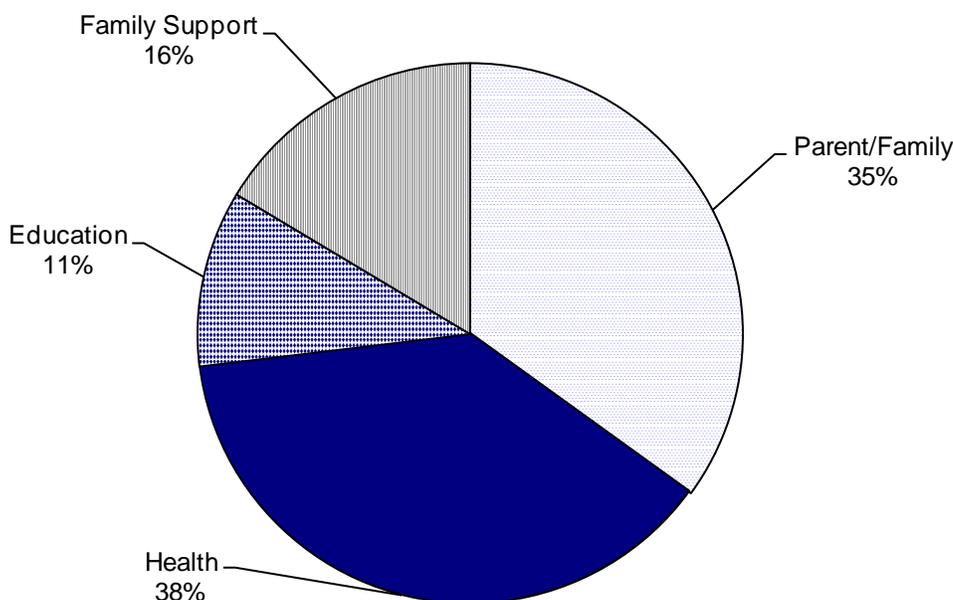
Table C6.2  
*Early ACCESS Referral Sources and Definitions.*

Referral Source	Definition
1. Parent/Family	Parent, family or other persons designated as a parent
2. Hospital/HRIF	Hospitals; hospital-based high-risk follow-up programs; Newborn Hearing Screening (NOT including referrals from Iowa Early Hearing Detection and Intervention office)
3. Physicians	Physicians (Pediatric, Family, Sub-specialty or General Practices)
4. Iowa Department of Human Services	Signatory Agency
5. LEA/AEA	Local or Area Education Agencies
6. Public/Private Health	Includes Title V agencies; Women, Infants and Children (WIC); County Public Health; home health agencies; etc.
7. Family Support Services	Family Support Services (e.g. ISU Extension; Lutheran Social Services; HOPES and HOPES-like; Healthy Families; Child Care Resource & Referral; Community Action Programs; programs supported by Community Empowerment Areas, etc.)
8. Child Health Specialty Clinics	Signatory Agency
9. Child Care	Providers of child care programs (child development homes and licensed child care centers)
10. Head Start and Early Head Start	Head Start programs and Early Head Start programs
11. State EHDl: Early Hearing Detection and Intervention	Iowa's newborn hearing screening and follow-up program
12. Out of State Part C	Families of children with IFSPs transferring from other states
13. Other	Other referral sources

*Source.* Regional Grantee Part C Application Instructions, FFY 2009.

To better understand referral data, the data were clustered into four categories of referral sources as shown in Figure C6.4. These clusters include: (1) Health (hospitals, high-risk follow-up programs, Child Health Specialty Clinics, and public and private health agencies); (2) Parent/Family; (3) Education [local school districts (LEA) and Area Education Agencies (AEA)/Regional Grantees]; and (4) Family Support [Child Care, Department of Human Services (DHS), and Social Service Agencies]. The combined health cluster accounted for 38% of referrals to the Early ACCESS system in the current reporting year. These referral data reflected referrals for children birth to age three.

Figure C6.4. Source and Percent of Referrals Analyzed by Four Categories.



Source. Regional Grantee Year End Reports, FFY 2009.

**Public Awareness-Materials.** The Lead Agency provided the majority of Early ACCESS public awareness materials that the Regional Grantees and Signatory Agencies distributed. The Lead Agency published two major public awareness materials for statewide distribution. The first material, a developmental wheel, remained most popular among community partners. They reported that families felt the wheel was a helpful resource for understanding child development. The wheel provides information about early childhood development and appropriate activities for specific age ranges. The developmental wheel was revised in FFY 2008 to include information to promote the early identification of Autism Spectrum Disorder. Distribution of the English version of the developmental wheels declined by 12,500 while distribution of the Spanish version increased by 750 from the previous year. The second material is a brochure with general information about the program and information about how to make a referral. Fewer English and Spanish brochures were distributed during this reporting year.

Many Regional Grantees designed and distributed agency posters and brochures that described Early ACCESS services and how to make a referral. Posters are distributed throughout their region in grocery stores, laundry mats, and doctors' offices. Table C6.3 shows the number and type of public awareness materials distributed.

Table C6.3  
*Number and Type of Public Awareness Materials Distributed.*

	<b>English Wheels</b>	<b>Spanish Wheels</b>	<b>English Brochures</b>	<b>Spanish Brochures</b>
<b>2007</b>	45,000	7,000	45,000	11,000
<b>2008</b>	44,000	6,750	50,000	12,000
<b>2009</b>	31,500	7,500	30,000	7,500

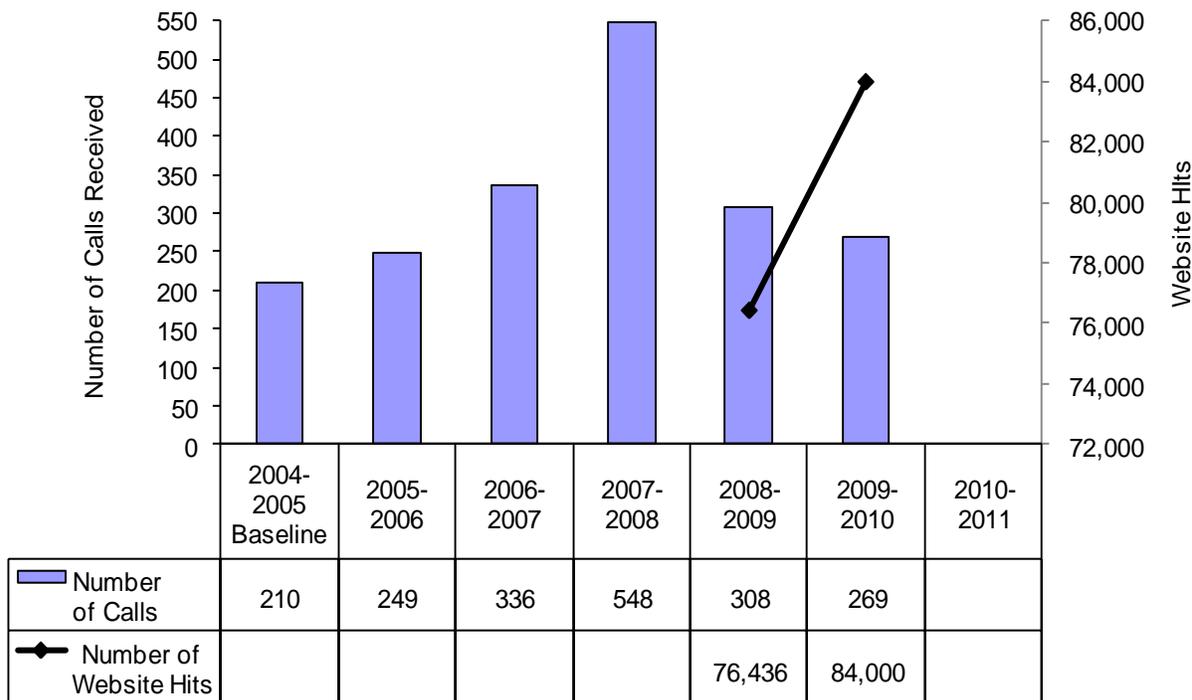
*Source.* Lead Agency, Iowa Department of Education, FFY 2007 - FFY 2009.

**Public Awareness-Statewide Conference Exhibits.** In this reporting year Early ACCESS state staff and central point of contact staff exhibited and distributed materials at over 20 statewide conferences/events. The primary audiences included: social service agency staff, medical providers, state agencies staff, and parents of children with or without disabilities. This activity provided the opportunity to engage a variety of early childhood constituents and service providers and answer their questions about Early ACCESS.

In addition to statewide conferences/events, Regional Grantees presented Early ACCESS information to local programs that serve children in their regions, examples of groups Regional Grantees presented to included: WIC agency, child care providers, local DHS offices, home visiting programs and medical students. The Regional Grantees initiated an active role in many local training activities and public awareness events. They worked closely with birthing and neonatal units to make Early ACCESS materials available to parents of newborns.

**Public Awareness-Central Point of Contact and the Central Directory.** The Lead Agency contracts with a local health agency to serve as the central point of contact and the central directory for the Early ACCESS system, called Early ACCESS Iowa. Iowa's central point of contact and central directory are accessed both by a toll free number and a website. All statewide and regional public relation materials include the toll free number and website. Callers are directly patched to the Regional Grantee who provides services in the region of the caller. Data on calls received by the central point of contact and the central directory are shown in Figure C6.5.

Figure C6.5. Number of Calls Received by Early ACCESS Central Point of Contact for Referral to Early ACCESS.



Source. Iowa COMPASS Quarterly Reports. FFY 2004 - FFY 2006 and Early ACCESS Iowa Quarterly Reports FFY 2007 - FFY 2009.

Note. FFY 2007 data reflect six month data from COMPASS and Early ACCESS Iowa.

Early ACCESS Iowa kept up with technology and how families and referral sources prefer to communicate. In FFY 2009 additional methods of contacting Early ACCESS Iowa became available; the central point of contact began receiving referrals for Early ACCESS via email and fax. Families and referral sources can now contact Early ACCESS Iowa via phone, email, fax, or individuals can go to the website which features a search function by zip code that allows them to connect to their local Regional Grantee Early ACCESS contact. While the phone calls regarding Early ACCESS decreased from the previous year, the updated central point of contact website received 84,000 hits, an increase in 7,564 hits from the prior year. The central point of contact had a record number of referrals in a single quarter. Early ACCESS Iowa participated in community events and distributed public awareness materials.

The central point of contact and the central directory also process referrals from the Iowa Department of Human Services for children less than the age of three who were abused or neglected (CAPTA). The central point of contact mails information about Early ACCESS to the parents along with contact information. The CAPTA referral process was improved in FFY 2009 by adding a confirmation process. When a CAPTA referral is completed, an Early ACCESS Iowa Specialist transmits the fax and notifies a Regional Grantee contact by email that a fax referral was sent.

The Early ACCESS referral process was also improved in FFY 2009, with input from Regional Grantees. Early ACCESS Iowa now uses the same intake/referral form for all regions and faxes referrals to a specific person at each agency and confirms that the agency received the referral via email or phone call.

The central point of contact and central directory also received American Reinvestment Recovery Act (ARRA) funds from the Lead Agency. In FFY 2009 Early ACCESS began to use the funds to enhance the online resource directory. The directory had been a PDF document; the directory will soon be a searchable database which is far more user friendly.

**Analysis of policies, procedures and practices.** The Lead Agency continued working to strengthen the Part C finance system in order to maximize the coordination of resources. Implementing and reporting Part C American Recovery and Reinvestment Act (ARRA) funds was a priority in FFY 2009. Funds were designated for direct services, helping local programs keep pace with the long-term annual increases of children served (doubled in last seven years). Iowa has plans to address sustainability after FFY 2010.

The Lead Agency, with the support of its Signatory Agencies and SICC, successfully secured state appropriations for Early ACCESS. The appropriation for the current reporting year maintained the dedicated state allocation to the Part C system. The allocation went to direct services provided by the Regional Grantees and a health partner, including nutrition services and services for underserved populations such as children referred by CAPTA (Child Abuse Prevention and Treatment Act); premature infants; children who have medically complex issues; and children who are drug affected.

Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations, including timely provision of services. Practitioners reported that the manual clarified a lot of issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation; and
- Procedures and documentation regarding parent withdrawal of consent for services.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

Progress was made engaging Signatory Agencies regarding child find activities and provision of Service Coordination. The Department of Public Health fully implemented statewide guidelines that outlined Early ACCESS referral procedures for every child under the age of three with venous blood lead level greater than or equal to 20 micrograms per deciliter. With the addition of the Department of Public Health and Child Health Specialty Clinic Service Coordinators for target populations of children with health related conditions (prematurity, lead poisoned, medically fragile, drug exposed, etc.), referrals are expected to continue to increase. The Department of Public Health (Title V) and Child Health Specialty Clinics (CHSC) continued to contribute more resources (staff, time, funding, professional development, and data collection) to implement interagency service coordination. This increases the Early ACCESS system's

capacity to serve more children and to align service coordination to meet the primary health needs of a child and family.

CHSC and Title V continued the consistent use of a reliable and valid diagnostic assessment tools to use with these special populations. Training was provided to the following numbers of CHSC and Title V service coordinators and early intervention providers: 57 trained during FFY 2006, 123 in FFY 2007, 51 in FFY 2008, and 44 in FFY 2009. This professional development activity promoted collaboration among all partners in the service provision of service coordination.

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** In order to enhance the child count for Iowa's Part C system, the state continued several initiatives during the current reporting year. These efforts focused on activities to improve professional development with state partners in order to increase the number of appropriate referrals to the system. The Lead Agency provided information to Regions and Signatory Agencies with criteria for selecting screening and assessment tools. The information provided a list of tools that were often used, a list of diagnostic instruments, and list of ongoing assessments. Professional development activities were key to contributing to the state's increased child count.

Regional Grantees continued to partner with the Level III hospitals and High Risk Infant Follow-up programs in the state in order to facilitate increased referrals through the hospitals. The region with two Level III hospitals and High Risk Infant Follow-up programs continued to dedicate staff to work with this population of children. FFY 2007 was when this project was implemented. Since FFY 2007 this region's birth-to-one percentage has increased from 1.73 to 2.39 in FFY 2009, an increase of 0.57. The Region's birth-to-three percent increased from 2.62 in FFY 2007 to 3.27 in FFY 2009, an increase of 0.65. In the current reporting period this region's birth-to-one numbers and birth-to-three numbers continued to increase. Another region has used American Reinvestment Recovery Act funds to hire a liaison to assist in generating referrals from the area high risk infant follow up program, and two other regions used American Reinvestment Recovery Act funds to send nurses to visit neighboring children's hospitals in bordering states to present Iowa resident Early ACCESS information. These hospitals see many of the children in their regions. During statewide meetings, regions shared their strategies to engage hospitals with other regions and regions continue to have conversations about improving relationships and communication with hospitals.

Collaboration with Iowa's Statewide Perinatal Care Program continued for FFY 2009. This program provides professional training and consultation to regional and primary providers in order to reduce the mortality and morbidity of infants. State staff continued to work to integrate Early ACCESS into the program.

In order to increase both the quantity and quality of referrals to Early ACCESS, statewide training on a validated screening tool that included a social emotional component was provided to 181 individuals and 38 received additional training to become trainers in FFY 2008. In FFY 2009, the trainers delivered over 40 trainings on a validated screening tool that includes a social emotional component to area child care providers, DHS workers, WIC staff, and home visiting programs. This has resulted in more quality referrals being made to Early ACCESS.

The Lead Agency continued to partner with the Iowa Early Hearing Detection and Intervention (EHDI) program to ensure that children who missed or did not pass their initial newborn hearing screening received follow-up. The EHDI staff identified children in need of audiological follow up through the EHDI

data system and referred them to the Part C system. An early intervention provider was assigned to assist the family through the process, addressing any barriers to obtaining needed screenings and/or early intervention services. The EHDI program hired 1.0 FTE with American Reinvestment Recovery Act funds for program evaluation to assess the infrastructure and processes that make up the EHDI system and data analysis. In FFY 2009 a survey was used to gain provider feedback on reporting hearing screening and diagnostic data through the EHDI database. The feedback will guide future programming, policy and decision making.

1st Five Healthy Mental Development Initiative began in FFY 2006 and has continued to expand in FFY 2009. As of FFY 2009 1<sup>st</sup> Five works with seven local child health agencies, operating in 14 Iowa counties and 54 participating medical practices, impacting approximately 65,000 children from birth to 5. Iowa's 1st Five Healthy Mental Development Initiative focuses on building supportive partnerships between primary care providers and public health agencies to deliver a seamless system of care for at-risk children and families. 1st Five sites recruit primary care practices to enhance well-child exams that include assessing for: social and emotional development; autism; family risk factors such as caregiver depression and family stress. This enhanced surveillance takes place concurrently with assessing for the development of a child's motor, language, cognitive and adaptive skills. 1st Five sites help to link families with community resources and facilitate referrals to appropriate services including Part C services. This collaboration builds infrastructure for support in relationship to increased appropriate referrals from community partners.

In FFY 2009 Iowa was awarded a Project LAUNCH grant. Project LAUNCH is a grant program of the federal Substance Abuse and Mental Health Services Administration (SAMHSA) which seeks to promote the wellness of young children birth to age eight. Using a public health approach, Project LAUNCH focuses on improving the systems that serve young children and address their physical, emotional, social, cognitive and behavioral growth. The goal: for all children to reach physical, social, emotional, behavioral, and cognitive milestones. Project LAUNCH aims to have all young children reach their developmental potential, enter school ready to learn, and experience success in the early grades. To achieve this goal, Iowa Project LAUNCH established state and local Councils on Young Child Wellness including Part C representation and implemented several evidence-based programs and practices, including standardized developmental screening in primary care and other settings, Nurse Family Partnership, Positive Behavior and Intervention Supports, and mental health consultation in schools and child care settings. This project has also assisted in identifying, screening and referring children to Early ACCESS.

*Court Teams for Change* is a collaborative effort that involves Polk County Juvenile Court, *Zero to Three* (a national infant-toddler advocacy organization), the Iowa Department of Human Services, provider agencies and Early ACCESS. Its goal is to improve outcomes for infants and toddlers who have been removed from the home due to parental drug use or domestic violence.

Trend data regarding referrals of children who were abused or neglected were analyzed by the Lead Agency. Early ACCESS data for the Court Team's Region showed that the number of children served by Early ACCESS increased from 39 in FFY 2005 to 103 in FFY 2009.

Early ACCESS Regional Grantees have been working with Family Drug Courts in other parts of the state using strategies similar to *Court Teams for Change*. Data gathered from the Family Drug Courts shows 94% of children served did not return to foster care. This compares to 88% for the state as a whole. Federal law gives states 12 months to reunify children and parents; the six pilot sites accomplished this goal in 81% of the cases while the statewide average is 61%.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: tracking and analyzing referral data to determine the effectiveness of public awareness and child find efforts; distributing public awareness materials to targeted venues; hosting interagency councils; attending weekly discharge meetings at neonatal intensive care units; referral training with birthing hospitals; contracting with Signatory Agencies to conduct critical health reviews for children who have special health care needs; increasing capacity to conduct hearing rescreens of newborns who need follow-up in

community settings; and provided training to community home visiting providers on developmental screening tool.

**Ongoing monitoring and enforcement as needed.** There were no new next step requirements in the June, 2010 Response Table related to this results indicator; the State met the target in FFY 2008.

In the current reporting period the Lead Agency monitored effective child find in all Regional Grantees. Trend data showed increases for five of ten Regions. While the state and nine of ten Regions met the overall target, one Region did not. This Region designed and created posters that were distributed widely in their region and the Region has used American Recovery and Reinvestment Act funds to create a new position to be in communication with major referral sources such as birthing hospitals and Department of Human Services. They used lessons learned from the NICU project in another region of the state to increase hospital referrals.

The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### 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 the (# of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted)] times 100.

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

This is a compliance indicator and OSEP designated the measurable and rigorous target at 100%.

FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of eligible infants and toddlers with IFSPs were evaluated and assessed, and had an initial IFSP meeting within Part C's 45-day timeline.

### Actual Target Data for FFY 2009:

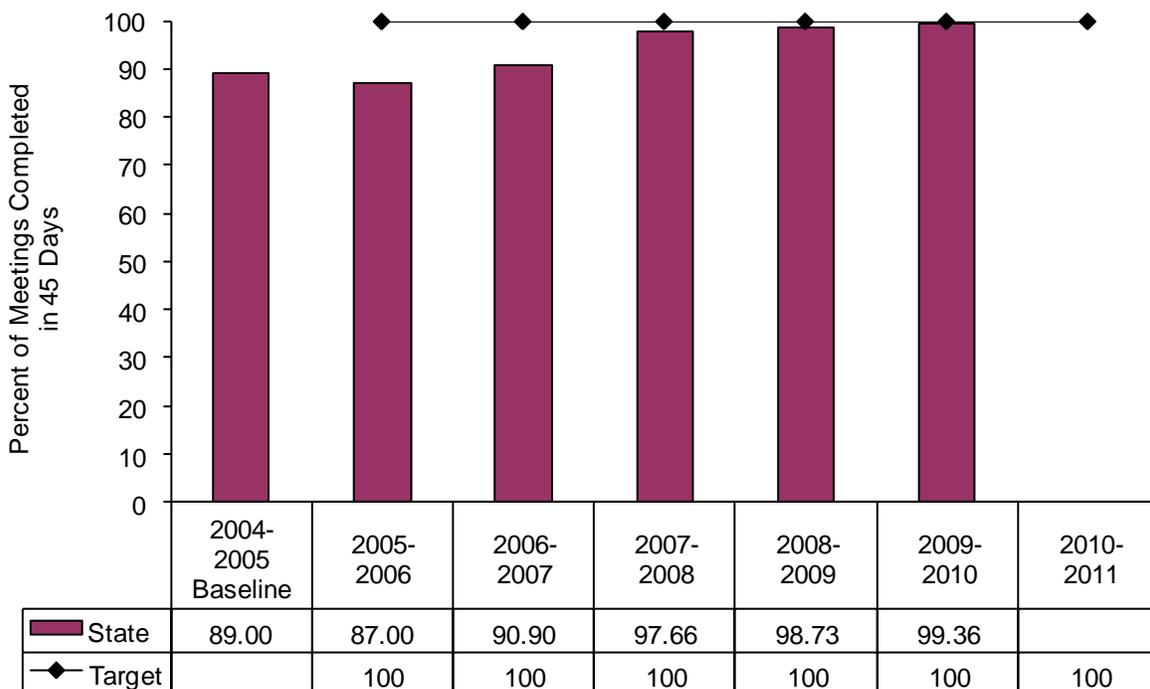
Data were collected and analyzed on the infants and toddlers with an Individualized Family Service Plan (IFSP) for whom evaluation and assessment and initial IFSP meetings were conducted within 45-days from the referral date. FFY 2009 data were selected from the full reporting year and reflected actual number of days, not averages.

In FFY 2006, the Lead Agency revised prior data sampling and the general file review process and changed to using electronic data entry of Iowa's Information Management System (IMS). All Regional Grantees were required to enter data into IMS on each initial IFSP, strengthening data validity from 10% sampling to census. The Lead Agency had determined that data would be more rigorous and timely by using IMS to monitor Regional Grantee's compliance in this area. Regional Grantees entered data for every IFSP and, when applicable, the reason the 45-day timeline was not met. Data for FFY 2006 through the current reporting period were drawn from the statewide database, IMS. The current reporting period data reflect all eligible infants and toddlers with IFSPs who were evaluated and assessed for whom an initial IFSP meeting was required to be conducted.

The number of children who had an exceptional circumstance for not meeting the 45-day timeline was included in the calculation of target data in both the numerator and denominator. Details of those exceptional family circumstances are discussed later in *Discussion of Improvement Activities Completed and Explanation of Progress or Slippage*.

Figure C7.1 shows baseline FFY 2004 through the current reporting year data and State targets for the percent of evaluations, assessments and IFSP meetings conducted within the 45-day timeline including those that had documented exceptional family circumstances.

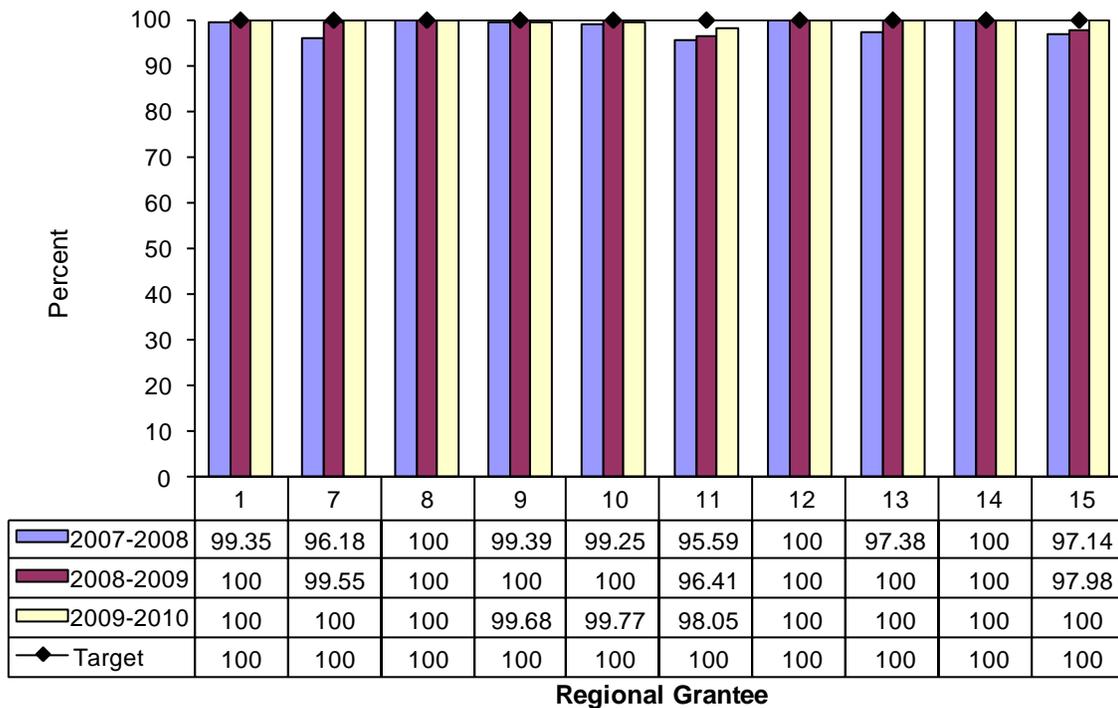
Figure C7.1. Percent of Eligible Infants and Toddlers with IFSPs for Whom Evaluations and Initial IFSP Meetings Were Conducted Within 45-Day Timeline.



Source. Part C Regional Monitoring Data - File Review, FFY 2004 - FFY 2005 and Iowa Information Management System (IMS), FFY 2006 to FFY 2009.

Figure C7.2 shows trend data for the Regional Grantee FFY 2007 through the current reporting year and FFY 2009 State target for the percent of eligible infants and toddlers with IFSPs for whom evaluations and assessments and initial IFSP meetings were conducted within the 45-day timeline including those that had documented exceptional family circumstances.

Figure C7.2. Percent of Eligible Infants and Toddlers with IFSPs for Whom Evaluations and Initial IFSP Meetings Were Conducted Within 45-Day Timeline, By Regional Grantee.



Source. Iowa Information Management System (IMS), FFY 2007 - FFY 2009.

Table C7.1 shows Regional Grantee data for the current reporting year for the percent and number of eligible infants and toddlers with IFSPs for whom evaluations and IFSP meetings were conducted within the 45 day timeline (Column B), those not within the 45-day timeline due to exceptional family circumstances (Column C), and the total of timely evaluations plus those delayed for family reasons (Column D). Percent and number of the infants and toddlers with IFSPs who had evaluations and initial IFSP meetings *not* conducted within 45 day timeline and with no documented exceptional family circumstances is also provided (Column E).

Table C7.1  
*Percent and Number of Eligible Infants and Toddlers with IFSPs for Whom Evaluations and Initial IFSP Meetings Were and Were Not Conducted Within 45-Day Timeline.*

A	B	C	D	E
Regional Grantee	Evaluations and IFSP Meetings Within 45 Days	Delayed for Family Reasons	Total Evaluations and IFSP Meetings Within 45 Days Plus Those Delayed for Family Reasons (B+C)	Evaluations and Meetings NOT Within 45 Days with No Family Reason Documented
1	99.42% 171/172	0.58% 1/172	100% 172/172	0% 0/172
7	88.42% 374/423	11.58% 49/423	100% 423/423	0% 0/423
8	88.31% 204/231	11.69% 27/231	100% 231/231	0% 0/231
9	89.91% 285/317	9.78% 31/317	99.68% 316/317	0.32% 1/317
10	99.31% 431/434	0.46% 2/434	99.77% 433/434	0.23% 1/434
11	80.14% 779/972	17.90% 174/972	98.05% 953/972	1.95% 19/972
12	88.70% 212/239	11.30% 27/239	100% 239/239	0% 0/239
13	95.52% 192/201	4.48% 9/201	100% 201/201	0% 0/201
14	94.74% 54/57	5.26% 3/57	100% 57/57	0% 0/57
15	90.52% 191/211	9.48% 20/211	100% 211/211	0% 0/211
State	88.82% 2893/3257	10.53% 343/3257	99.36% 3236/3257	0.64% 21/3257

Source. Iowa Information Management System (IMS), FFY 2009.

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

a. Number of infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline	<b>3236</b>
b. Number of infants and toddlers with IFSPs evaluated and assessed for whom an initial IFSP meeting was required to be conducted	<b>3257</b>
Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline (Percent = [(a) divided by (b)] times 100)	<b>99%</b>

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

Results indicated progress in the State's performance to attain the 100% target for the 45-day timeline for completing evaluations, assessments and conducting initial IFSP meetings from last year's 98.73% to the current 99.36%, an increase of 0.63%. The current reporting year data indicated that of the 3257 eligible children's referrals to Part C, 88.82% (2893/3257) of evaluations, assessments, and initial IFSP meetings were completed within 45 days of the initial referral. In addition, data indicated that of the referrals that were not completed within the 45-day timeline, 343 (10.53%) were due to exceptional family circumstances, which included hospitalization or illness, family vacation or schedule needs, or change in residency. Therefore, the State completed 99.36% (3236/3257) of the referrals to Early ACCESS within the 45-day timeline. Only 0.64% (21/3257) of all referrals did not meet the 45-day timeline.

Untimely evaluations, assessments and initial IFSP meetings were identified by Regional Grantees and the Lead Agency through root cause analyses. Reasons included misalignment of staff assignments, difficulty in completing health and vision assessments in timely manner, difficulty reaching families whose medically fragile infants were still hospitalized, and documentation on the IFSP.

In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency reviewed its improvement activities and engaged in multiple activities to improve achievement of this target. Improvement activities to verify data, analyze data, provide ongoing monitoring, revise state IFSP forms, develop a state-wide Part C Procedures Manual and implement targeted technical assistance are described in detail below, including refinements made to improve achievement of this target.

**Verification of data.** Iowa's IMS data system entails data checks at several steps:

**Step 1.** Regional Grantee IMS data entry personnel are trained to review IFSPs for completeness and consistency. If needed, IFSP team members are contacted to clarify or complete specific data or the IFSP is returned for corrections.

**Step 2.** When data are entered into IMS, several types of automatic data quality messages appear on the IMS screens:

- When a new eligible child is entered, the statewide historical database is queried to see if the child may have had an earlier IFSP. A list of near matches, based on name and birth date, is provided so that data entry personnel can check to see if the new child was

previously served. This routine reduces the risk of the same child having two different IMS identification numbers.

- Some data fields are required before data entry can continue. For example, if the resident district code, gender, ethnicity, birth date, or serve status is left blank, a message appears with a prompt and no further data entry is allowed until a valid value is entered.
- For other data fields, a message appears but data entry may continue. For example, if the code is left blank, a message advises the operator but data entry continues. These messages are saved and written to a Verification Report (see below).

**Step 3.** A Verification Report sorted by Regional Grantee, lists data warnings and possible data errors that need to be checked. The report is run in real time so it is continuously updated and available to data entry personnel. Data entry personnel review the report for his or her respective Regional Grantee, cross checking against the IFSP and following up with Regional Grantee and local IFSP team members as needed. Types of warnings in the report include possible duplicate children, questionable age/IFSP age-eligibility combination, blank Infant/Toddler code, invalid program/service combination, and invalid full-part time code. The Verification Report is monitored by the Lead Agency to ensure that Regional Grantees regularly access and review potential errors during the two critical seasons for data entry (count/setting and exit).

**Step 4.** Lead Agency data personnel periodically review IMS data and contact IMS and Regional Grantee staff with specific accuracy issues above and beyond the Verification Report to rectify any data abnormalities.

Data verification procedures for IMS are described in more depth in Indicator 14.

**Analyzing of data to identify concerns.** The 45-day timeline data were analyzed by Lead Agency, Regional Grantee Leadership and State Interagency Coordinating Council (SICC). In FFY 2009, the data indicated that of the 3257 infants and toddlers referred for an evaluation, 2893 received the evaluation, assessment and IFSP meeting within the 45-day timeline and 343 infants and toddlers did not have a timely evaluation due to child or family reasons. While 99.36% of the infants and toddlers referred for evaluation received timely evaluations, 21 (0.64%) of the infants and toddlers did not receive timely evaluations and initial IFSP meetings. Overall, state data indicate an improvement from the previous year (1.27% of infants and toddlers (40/3153) did not have timely evaluations)..

In the current reporting period, all ten of the Regional Grantees were within substantial compliance. Seven of the 10 Regional Grantees were at 100%. Two Regional Grantees were greater than 99.5% and one Regional Grantee was at 98.05%.

These data reflect that 5 Regions maintained 100% compliance, 3 Regions had an increase (0.45%, 1.64%, 2.02%), and 2 Regions experienced minimal slippage (0.23%, 0.32%) from the previous year. These data document the referrals conducted after the implementation of corrective actions and improvement activities in all Regions from the previous year.

Stakeholder input revealed satisfaction with the increased improvement and percent of change from baseline year 89.0% to current 99.36%; strategies were considered effective in improving practice; and understanding that unforeseen circumstances such as snow storms and staff illnesses effected staff ability to meet timelines. Stakeholders continued to express the need to avoid compromising the quality of evaluation and assessment requirements just to meet the 45-day timeline.

Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of policies, procedures and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides

service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations, including timely provision of services. Practitioners reported that the manual clarified a lot of issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Report writing; and
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical Assistance.** The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Lead Agency continued to partner with the Iowa Early Hearing Detection and Intervention (EHDI) program to ensure that children who missed or did not pass their initial newborn hearing screening received follow-up. The EHDI staff identified children in need of audiological follow up through the EHDI data system and referred them to the Part C system. An early intervention provider was assigned to assist the family through the process, addressing any barriers to obtaining needed screenings and/or early intervention services. The EHDI program hired 1.0 FTE with American Reinvestment Recovery Act funds for program evaluation to assess the infrastructure and processes that make up the EHDI system and data analysis. In FFY 2009 a survey was used to gain provider feedback on reporting hearing screening and diagnostic data through the EHDI database. The feedback will guide future programming, policy and decision making.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: clarifying procedures for staff; providing training to all agency staff about timelines and scheduling options; increasing FTEs using ARRA funds; and maintaining an infrastructure of technical assistance and support by providing ongoing meetings and training to targeted groups. Regional Grantees used a technological notification system to assist staff in meeting the 45-day timeline and strengthened supervisory monitoring of timelines. The State Procedures Manual was used to provide professional development to Regional Grantees and Signatory Agencies emphasizing early identification timelines and procedures.

**Ongoing monitoring and enforcement as needed.** In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the State is required to report correction and verification of noncompliance in the current, FFY 2009 APR.

**Correction of FFY 2008 Findings of Noncompliance (if State reported less than 100% compliance):**  
Level of compliance (actual target data) State reported for FFY 2008 for this indicator: 98.73%

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

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

Three of ten Regional Grantees did not meet the 100% target in FFY 2008 and were notified of findings of noncompliance. These 3 Regional Grantees were required to analyze root causes and submitted a SPP Action Plan to correct noncompliance as soon as possible and no later than one year from date of notification of noncompliance. The SPP Action Plans were approved by the Lead Agency; implementation was documented, followed by verification by the Lead Agency.

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

In each Region that had findings of noncompliance, after technical assistance and corrective activities occurred, five IFSPs with initial referral dates subsequent to the corrective activities were reviewed. Each demonstrated implementation of the requirement with 100% compliance for eligible infants and toddlers for whom an evaluation, assessment and an initial IFSP meeting were conducted within Part C's 45-day

timeline. The three Regions made the corrections within 9 months, and were verified by the Lead Agency; all three Regions met requirements of timely correction and verification.

Corrective actions included assuring that initial evaluation, assessment, and IFSP meeting, although late, was conducted for all children for whom the 45-day timeline was not met, unless the child was no longer within the jurisdiction of the EIS program. All 40 children for whom the 45-day timeline was not met *did* receive their initial evaluation, assessment and IFSP meeting as they all remained within the jurisdiction of the Regional Grantees. The review and verification process was done as a desk audit and paper review.

In FFY 2008, the Lead Agency identified one finding of noncompliance for C7 related requirements. As reported in the FFY 2008 APR submitted February 1, 2009, the Regional Grantee was notified of noncompliance within 30 days. The Regional Grantee submitted a corrective action plan which was approved by the Lead Agency. The corrective action plan was completed as well as all individual children's files have been corrected. After technical assistance and corrective activities occurred, five IFSPs with initial referral dates subsequent to the corrective activities were reviewed. Each demonstrated implementation of the requirement with 100% compliance for related requirements for this indicator. ***In FFY 2008, the Regional Grantee made necessary corrections for related requirements and were verified by the Lead Agency within one year of notification of findings of noncompliance.***

**Additional Information Required by the OSEP APR Response Table for this Indicator:**

Statement from the Response Table	State's Response
The State did not report 100% compliance in the FFY 2008 APR; the State must review its improvement activities and revise them, if necessary.	The Lead Agency reviewed its improvement activities and engaged in multiple activities to improve achievement of this target: verify data; analyze data; provide ongoing monitoring, revise state IFSP forms; develop a state-wide Part C Procedures Manual; and implement targeted technical assistance. The Lead Agency also determined its improvement activities outlined in the State Performance Plan were research-based, aligned with addressing underlying problems, demonstrated effective results and will continue as outlined in State Performance Plan.

**Identification of Current Reporting Year Noncompliance:**

For the current reporting period, ***3 findings of noncompliance were identified for Indicator C7*** using data from Iowa's Information Management System. Twenty one infants and toddlers did not receive timely evaluations/IFSP meetings. The three Regional Grantees were notified on findings of noncompliance, required to analyze root causes and submitted corrective action plans to correct noncompliance, as soon as possible and no later than one year. The plans were approved by the Lead Agency. Results of the corrections, verification and notice of corrections will be reported in next year's FFY 2009 Annual Performance Report (APR).

In addition, Iowa's System to Achieve Results (I-STAR) was used to monitor related requirements for this indicator via a file review using random sample of 10% of IFSPs. This electronic, web-based monitoring system allows Regional Grantees to see their performance in all areas related to all indicators. Examples of related requirements for this indicator are parental consent for evaluation, use of multidisciplinary evaluation procedures, and written meeting notice for initial IFSP meeting, parental consent for exchange of information and informed parental consent before providing services. ***In the current reporting year, no findings of noncompliance were identified for related requirements*** for this indicator. The Lead Agency will continue to monitor related requirements through the annual file review process.

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

In response to requirements in OSEP's June 3, 2010 SPP/APR Response Table for Iowa's FFY 2009 Annual Performance Report, the Lead Agency reviewed its improvement activities and determined activities outlined in the State Performance Plan were research-based, aligned with addressing underlying problems, demonstrated effective results and will continue as outlined in State Performance Plan. There are no revisions to Iowa's proposed targets, improvement activities, timelines or resources.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Effective General Supervision Part C / Effective Transition

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

- A IFSPs with transition steps and services

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

#### Measurement:

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

This is a compliance indicator and OSEP designated the measurable and rigorous target at 100%.

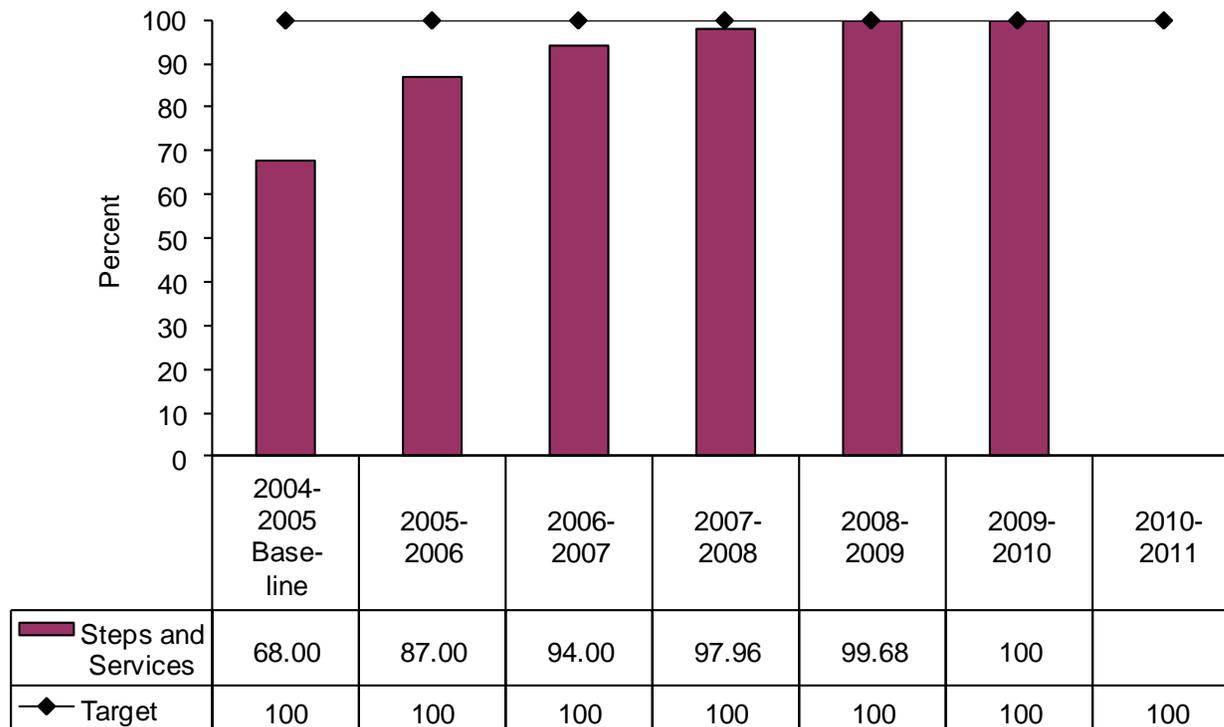
FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of children exiting Part C and transitioning to preschool and other community services that have IFSPs with transition steps and services.

### Actual Target Data for FFY 2009:

Data were obtained as part of the Part C statewide file review process using Iowa's System to Achieve Results (I-STAR) monitoring system. The monitoring cycle occurs annually with all Regional Grantees. The Lead Agency provided all Regional Grantees with a random sample consisting of 10% or a minimum of 15 files of the children reported in the most recent 618 Exit Table who exited during the prior full reporting year. File review data were obtained from IFSP and Individualized Education Program (IEP) files of children exiting Part C and eligible for Part B or children exiting Part C for other services.

Figure C8A.1 shows baseline FFY 2004 through the current reporting year data and targets for the percent of children exiting Part C who have an IFSP with transition steps and services.

Figure C8A.1. Percent of Children Exiting Part C Who Received Timely Transition Planning Including (A) Transition Steps and Services.



Source. Part C Regional Monitoring Data - File Review, FFY 2004 - 2005 and Iowa's System to Achieve Results (I-STAR), FFY 2006 - FFY 2009.

Table C8A.1 shows the Regional Grantee current reporting year data for the percent and number of Self-Assessment File Reviews meeting timely transition planning requirements including IFSP with transition steps and services.

Table C8A.1

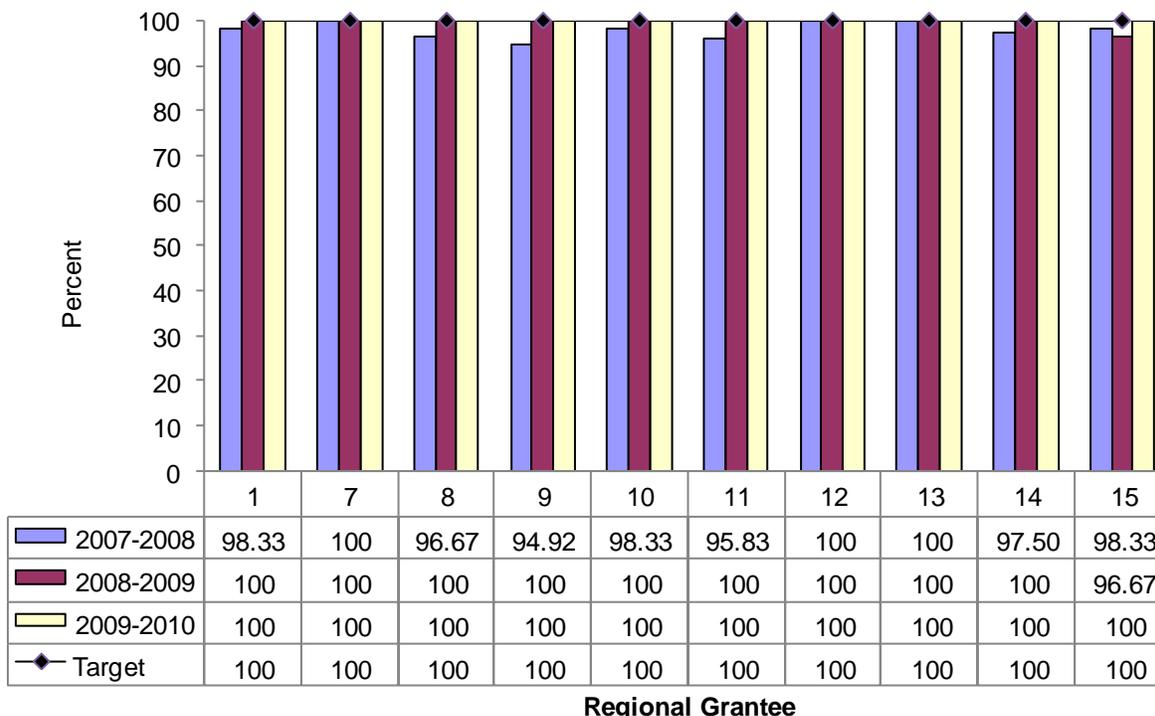
Percent (Number/Total Number) of File Reviews Meeting Requirements for (A) Transition Steps and Services by Regional Grantee.

Regional Grantee and State Totals										
1	7	8	9	10	11	12	13	14	15	State
<b>(A) IFSP Transition Steps and Services</b>										
100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
60/60	64/64	60/60	60/60	64/64	94/94	60/60	58/58	58/58	60/60	638/638

Source. Iowa's System to Achieve Results (I-STAR), FFY 2009.

Figure C8A.2 depicts the trend data for Regional Grantees from FFY 2007 to the current reporting period and FFY 2009 target using the percent of file reviews meeting the target for children exiting Part C who have an IFSP with transition steps and services.

Figure C8A.2. Percent of Children Exiting Part C Who Received Timely Transition Planning Including (A) Transition Steps and Services by Regional Grantee, Three-Year Trend.



Source. Iowa's System to Achieve Results (I-STAR), FFY 2007 - FFY 2009.

**Children Exiting Part C who Received Timely Transition Planning (A) steps and services:**

a. Number of children exiting Part C who have an IFSP with transition steps and services	<b>638</b>
b. Number of children exiting Part C	<b>638</b>
c. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday (Percent = [(a) divided by (b)] times 100)	100%

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

Iowa continued to make progress for this indicator with all Regional Grantees now meeting the 100% target for Indicator C8A. Data for Indicator C8A, IFSPs with transition steps and services increased from 99.68% to 100%, an increase of .32%.

In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency reviewed improvement activities and engaged in multiple activities to improve achievement of this target. Improvement activities included support to verify data, analyze data, provide ongoing monitoring, implement a state-wide Part C Procedures Manual and implement targeted technical assistance.

**Verification of data.** The Lead Agency maintained statewide procedures for monitoring compliance via I-STAR and the continuation of the contract with programmers to assure the collection of accurate data in the Part C Self-Assessment File Review. The I-STAR database allows for direct data entry thereby removing one level of possible data entry error. Programmers continued to update I-STAR in order to accurately and timely produce file review results related to this indicator as well as all related requirements for this indicator. The Lead Agency provided the file review random sample for the Regional Grantees where 10% or a minimum of 15 files were sampled. The random samples were taken from IFSPs of children exiting Part C and eligible for Part B or children exiting Part C for other services. A Lead Agency monitoring consultant provided technical assistance and ongoing support to Regional Grantee personnel designated to enter data into the I-STAR system.

**Analysis of data to identify concerns.** Transition indicator data were analyzed by the Lead Agency, Early ACCESS leadership, and State Interagency Coordinating Council. Stakeholders input revealed that progress was due to implementation and focus on both state and regional improvement strategies described later in this indicator. The impacts of increasing caseloads due to increased child count were noted as areas of concern from Regional Grantees.

Regional Grantees that had prior findings for noncompliance analyzed data and determined need for documentation, guidance regarding transition and related requirements, ongoing monitoring, and training in order to meet compliance. Conclusions and actions taken by the Lead Agency and Regional Grantees as a result of these analyses are described in subsequent sections of this indicator. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of policies, procedures, and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations. Practitioners reported that the manual clarified issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the Transition Toolbox steps and implementation. Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

The online transition implementation, guidance, and procedures training, *Connecting the Dots*, was initiated in January 2007 and updated in FFY 2008. The Lead Agency worked with OSEP-funded technical assistance center, North Central Regional Resource Center (NCRRC), to assist in the development of the statewide training. The *Connecting the Dots* training was divided into three parts: Federal and State Requirements, Recommended Transition Practices, and State-Specific Transition Policies and Procedures. Several new resources were added to the training including documents and websites. In FFY 2008, new service coordinators were required to take the online training, while existing service coordinators could review the training as a refresher. In FFY 2009 the *Connecting the Dots* training was discontinued because content was included in the Procedures Manual. All providers were trained on the manual within their regions.

In efforts to improve implementation of transition requirements and enhance parents' knowledge and skills during the transition process, Early ACCESS Regional Grantees and Signatory Agencies launched statewide use of the *Transition Toolbox, A Guide for Families*. The Toolbox was first developed and utilized by Service Coordinators in one Region that consistently achieved higher percentages in all three subcomponents of the C8 Transition Indicator and achieved 100% compliance in FFY 2007. This exemplary resource was adapted and continues to be used statewide.

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Lead Agency provided ongoing guidance to Regional Grantees regarding regional transition procedures during regularly scheduled meetings. Regional Grantees provided technical assistance to local providers regarding documentation, the use of checklists to monitor transition steps and services, as well as the use of the IFSP Transition Plan form.

**Ongoing monitoring and enforcement as needed.** In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the State is required to report correction and verification of noncompliance in the current, FFY 2009 APR.

**Correction of FFY 2008 Findings of Noncompliance (if State reported less than 100% compliance):**

Level of compliance (actual target data) State reported for FFY 2008 for this indicator: 99.68%

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

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

One Regional Grantee did not meet the 100% target and was notified of the finding of noncompliance. The Regional Grantee was required to analyze root causes and submitted a corrective action plan to correct noncompliance as soon as possible. Corrective actions included assuring that IFSP transition steps and services were complete for children identified in the findings of noncompliance unless the requirement no longer applied or the child was no longer within the jurisdiction of the program. The corrective action plan was approved by the Lead Agency. The Regional Grantee corrected noncompliance followed by verification by the Lead Agency within one year from the date of notification of noncompliance.

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

In the Region that had a finding of noncompliance, after technical assistance and corrective activities occurred, five IFSPs with transition dates subsequent to the corrective activities were reviewed. Each demonstrated implementation of the requirement with 100% compliance for IFSPs with transition steps and services for children exiting Part C and transitioning to preschool and other community services. The Region made the corrections within one year of notification of noncompliance, and was verified by the Lead Agency which meets the requirement of timely correction and verification.

Corrective actions included assuring that transition steps and services, although late, were conducted for all children for whom the findings of noncompliance occurred, unless the child was no longer within the jurisdiction of the EIS program. **The corrective action plan was completed as well as all individual children's files have been corrected. After technical assistance and corrective activities occurred, five IFSPs with initial referral dates subsequent to the corrective activities were reviewed. Each demonstrated implementation of the requirement with 100% compliance. In FFY 2008, the Regional grantee made necessary corrections and were verified by the Lead Agency within one year of notification of findings of noncompliance.**

The review and verification process was done as a desk audit and paper review. Beginning FFY 2010, I-STAR online monitoring system will be programmed to do subsequent file reviews for corrections of noncompliance. In addition, the web-based IFSP will be accessible for review by the Lead Agency monitoring consultant. This will reduce the need for on-site visits and paper reviews for verification as all IFSPs will be accessible via the online system.

In FFY 2008, the Lead Agency did not identify any findings of noncompliance for related requirements for this indicator.

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

Statement from the Response Table	State's Response
The State did not report 100% compliance in the FFY 2008 APR, the State must review its improvement activities and revise them, if necessary.	The Lead Agency reviewed its improvement activities and engaged in multiple improvement activities: verify data; analyze data; provide ongoing monitoring; implement a state-wide Part C Procedures Manual; and implement targeted technical assistance. The Lead Agency also determined its improvement activities outlined in the State Performance Plan were research-based, aligned with addressing underlying problems, demonstrated effective results and will continue as outlined in State Performance Plan.

**Identification of Current Reporting Year Noncompliance:**

***In the current reporting year, no findings of noncompliance were identified for Indicator C8A.***

Iowa's System to Achieve Results (I-STAR) was used to monitor implementation of transition requirements for this indicator through file reviews with all Regional Grantees. Each Region was provided a random sample of 10% of the active IFSP files or a minimum of 15. Samples were taken from IFSP and Individualized Education Program (IEP) files of children exiting Part C and eligible for Part B or children exiting Part C for other services. Two sets of Self-Assessment File Review questions were utilized. One set of questions was used for children exiting Part C for other services and another set of questions for children exiting Part C and potentially eligible for Part B special education services.

In addition, I-STAR was used to monitor related requirements for this indicator which allowed Regional Grantees to see their performance in all areas related to transitions. Examples of related requirements for this indicator are written meeting notice for transition planning meeting, procedural safeguards explained to family, meeting participants include parents, and written parental consent for transmission of information to relevant agency. ***In the current reporting year, no findings of noncompliance were identified for related requirements*** for this indicator.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: use of IFSP Transition Planning form for better documentation of steps and services; service coordinator training and ongoing support regarding transition procedures; training in *Transition Toolbox for Families*; on-going or frequent supervisory monitoring of transition IFSPs/file review; new technology to alert service coordinators of transition timelines for children on their caseload; newsletters for service coordinators; and Service Coordinator review of own files to assess quality and documentation of transition steps and services.

The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency reviewed its improvement activities and determined activities outlined in the State Performance Plan were research-based, aligned with addressing underlying problems, demonstrated effective results and will continue as outlined in State Performance Plan. There are no revisions to Iowa's proposed targets, improvement activities, timelines or resources.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Effective General Supervision Part C / Effective Transition

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

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

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

#### Measurement:

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

This is a compliance indicator and OSEP designated the measurable and rigorous target at 100%.

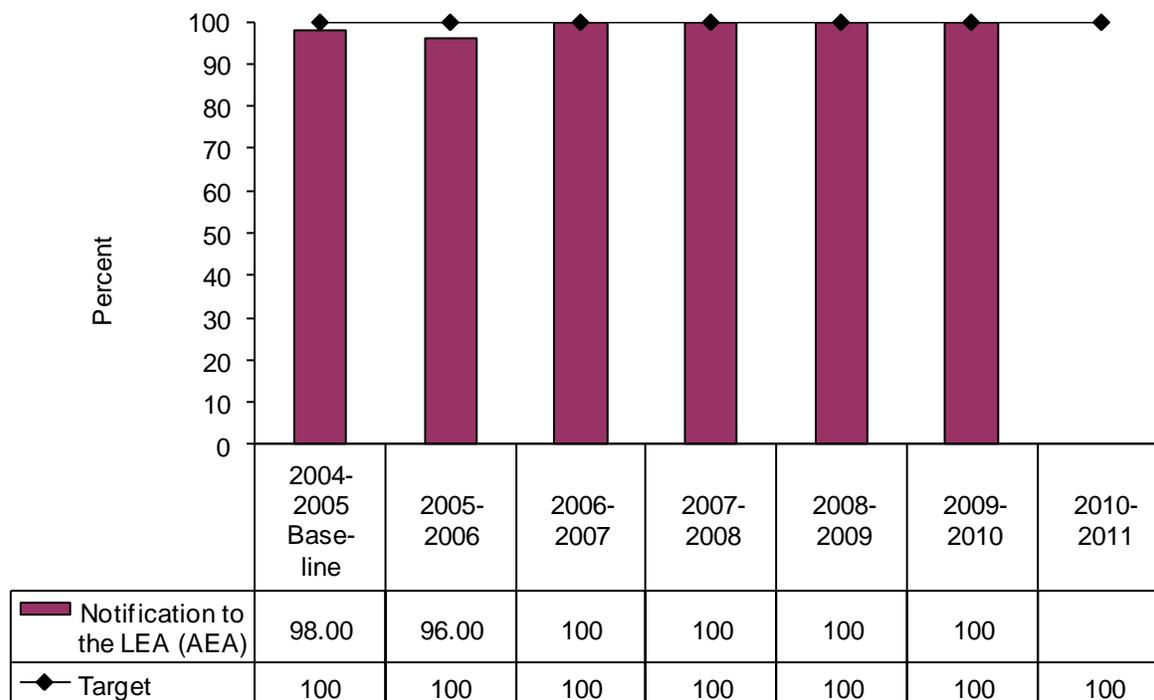
FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of children exiting Part C and potentially eligible for Part B had LEA notification occur.

### Actual Target Data for FFY 2009:

Data were obtained as part of the Part C statewide file review process using Iowa's System to Achieve Results (I-STAR) monitoring system. The monitoring cycle occurs annually with all Regional Grantees. The Lead Agency provided all Regional Grantees with a random sample consisting of 10% or a minimum of 15 files of the children reported in the most recent 618 Exit Table who exited during the prior full reporting year. File review data were obtained from IFSP and Individualized Education Program (IEP) files of children exiting Part C and eligible for Part B or children exiting Part C for other services.

Figure C8B.1 shows baseline FFY 2004 through the current reporting year data and targets for the percent of children exiting Part C where LEA (AEA) notification occurred.

Figure C8B.1. Percent of Children Exiting Part C Who Received Timely Transition Planning Including (B) Notification to the LEA (AEA).



Source. Part C Regional Monitoring Data - File Review, FFY 2004 - 2005 and Iowa's System to Achieve Results (I-STAR), FFY 2006 - FFY 2009.

Table C8B.1 shows the Regional Grantee data for the percent and number of Self-Assessment File Reviews meeting timely transition planning requirements including IFSP with notification of LEA/AEA.

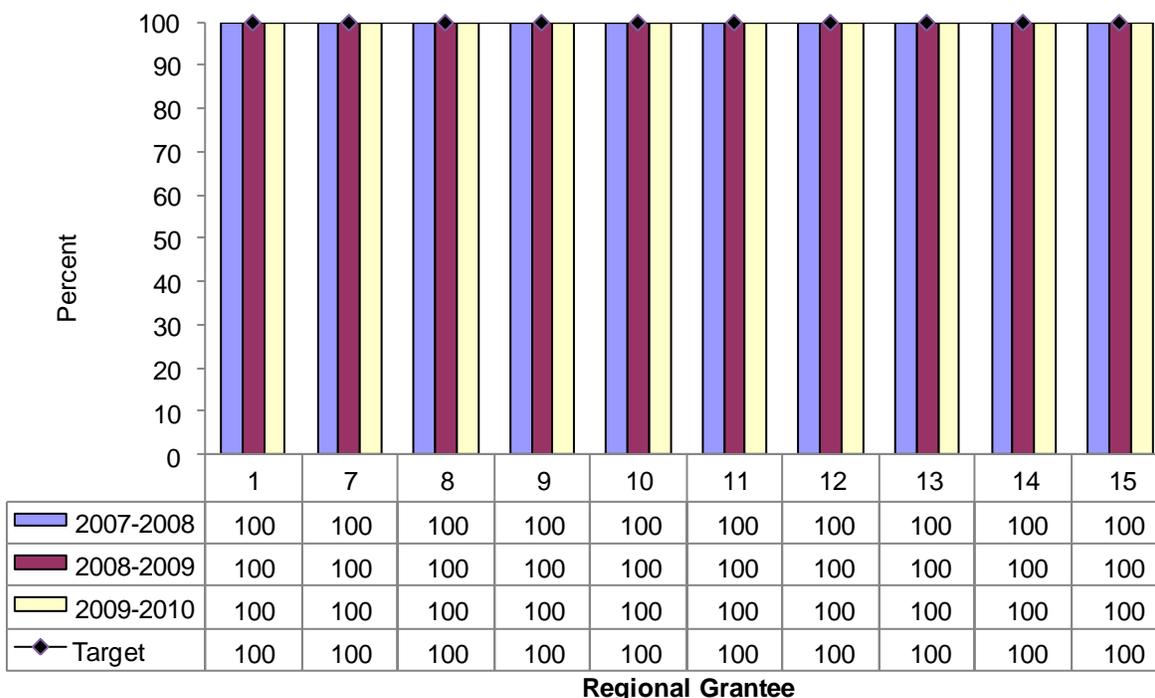
Table C8B.1  
Percent (Number/Total Number) of File Reviews Meeting Requirements for (B) Notification to the LEA (AEA), by Regional Grantee.

Regional Grantee and State Totals										
1	7	8	9	10	11	12	13	14	15	State
(B) Notification to LEA (AEA)										
100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
15/15	17/17	15/15	15/15	17/17	25/25	15/15	15/15	15/15	15/15	164/164

Source. Iowa's System to Achieve Results (I-STAR), FFY 2009.

Figure C8B.2 depicts the trend data for Regional Grantees from FFY 2007 to the current reporting period and FFY 2009 target using the percent of file reviews meeting the target for children exiting Part C who received timely transition planning that included notification to the LEA (AEA).

Figure C8B.2. Percent of Children Exiting Part C Who Received Timely Transition Planning Including (B) Notification to the LEA (AEA) by Regional Grantee, Three-Year Trend.



Source. Iowa's System to Achieve Results (I-STAR), FFY 2007 - FFY 2009.

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

a. Number of children exiting Part C and potentially eligible for Part B where the notification to the LEA occurred	<b>164</b>
b. Number of children exiting Part C who were potentially eligible for Part B	<b>164</b>
c. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday (Notification to LEA) (Percent = [(a) divided by (b)] times 100)	<b>100%</b>

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

All Regional Grantees and thus the State met the 100% target for Indicator C8B (164/164 files). In Iowa, the Area Education Agency (AEA) system is responsible for child find activities for Part B, therefore becoming the source to be notified for children exiting Part C and potentially eligible for Part B. The AEAs are the Regional Grantees for Part C in Iowa. Notification of LEA (AEA) is a process that is embedded into the data system that is part of Iowa's Information Management System (IMS). This guarantees all Part B AEA staff are notified of children exiting Part C and potentially eligible for Part B.

**Verification of data.** The Lead Agency maintained statewide procedures for monitoring compliance via I-STAR and the continuation of the contract with programmers to assure the collection of accurate data in the Part C Self-Assessment File Review. The I-STAR database allows for direct data entry thereby removing one level of possible data entry error. Programmers continued to update I-STAR in order to accurately and timely produce file review results related to this indicator as well as all related requirements for this indicator. The Lead Agency provided the file review random sample for the Regional Grantees where 10% or a minimum of 15 files were sampled. The random samples were taken from IFSPs of children exiting Part C and eligible for Part B or children exiting Part C for other services. A Lead Agency monitoring consultant provided technical assistance and ongoing support to Regional Grantee personnel designated to enter data into the I-STAR system.

**Analysis of data to identify concerns.** Transition indicator data were analyzed by the Lead Agency, Early ACCESS leadership, and State Interagency Coordinating Council. Stakeholders input revealed that the current system of automatic notification between Part C and Part B staff within the AEA system continues to be effective. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of policies, procedures, and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations. Practitioners reported that the manual clarified issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the Transition Toolbox steps and implementation. Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

The online transition implementation, guidance, and procedures training, *Connecting the Dots*, was initiated in January 2007 and updated in FFY 2008. The Lead Agency worked with OSEP-funded technical assistance center, North Central Regional Resource Center (NCRRC), to assist in the development of the statewide training. The *Connecting the Dots* training was divided into three parts: Federal and State Requirements, Recommended Transition Practices, and State-Specific Transition Policies and Procedures. Several new resources were added to the training including documents and websites. In FFY 2008, new service coordinators were required to take the online training, while existing service coordinators could review the training as a refresher. In FFY 2009 the *Connecting the Dots* training was discontinued because content was included in the Procedures Manual. All providers were trained on the manual within their regions.

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family

Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Lead Agency provided ongoing guidance to Regional Grantees regarding regional transition procedures during regularly scheduled meetings. Regional Grantees provided technical assistance to local providers regarding documentation, the use of checklists to monitor transition steps and services, as well as the use of the IFSP Transition Plan form.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: use of IFSP Transition Planning form for better documentation of steps and services; service coordinator training and ongoing support regarding transition procedures; training in *Transition Toolbox for Families*; on-going or frequent supervisory monitoring of transition IFSPs/file review; new technology to alert service coordinators of transition timelines for children on their caseload; newsletters for service coordinators; and Service Coordinator review of own files to assess quality and documentation of transition steps and services.

**Ongoing monitoring and enforcement as needed.** There were no requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report related to this indicator; the State met the target of 100% in FFY 2008.

**Correction of FFY 2008 Findings of Noncompliance:** Not applicable as State met the 100% compliance target and had identified no findings of noncompliance. In FFY 2008, the Lead Agency did not identify any findings of noncompliance for related requirements for this indicator.

***Identification of Current Reporting Year Noncompliance:***

***In the current reporting year, no findings of noncompliance were identified for Indicator C8B.***

Iowa's System to Achieve Results (I-STAR) was used to monitor implementation of transition requirements for this indicator through file reviews with all Regional Grantees. Each Region was provided a random sample of 10% of the active IFSP files or a minimum of 15. Samples were taken from IFSP and Individualized Education Program (IEP) files of children exiting Part C and eligible for Part B or children exiting Part C for other services. Two sets of Self-Assessment File Review questions were utilized. One

set of questions was used for children exiting Part C for other services and another set of questions for children exiting Part C and potentially eligible for Part B special education services.

In addition, I-STAR was used to monitor related requirements for this indicator which allowed Regional Grantees to see their performance in all areas related to transitions. Examples of related requirements for this indicator are written meeting notice for transition planning meeting, procedural safeguards explained to family, meeting participants include parents, and written parental consent for transmission of information to relevant agency. ***In the current reporting year, no findings of noncompliance were identified for related requirements*** for this indicator.

The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Effective General Supervision Part C / Effective Transition

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

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

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

#### Measurement:

- 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.

This is a compliance indicator and OSEP designated the measurable and rigorous target at 100%.

FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of all children exiting Part C and potentially eligible for Part B have a timely transition conference.

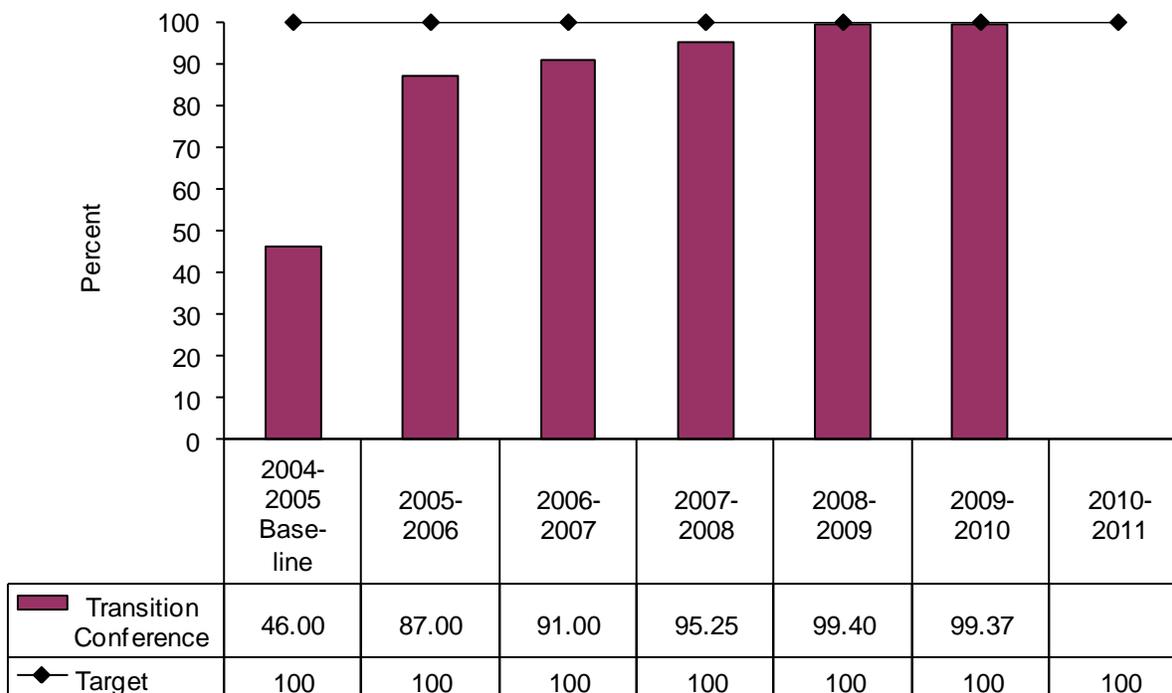
### Actual Target Data for FFY 2009:

Data were obtained as part of the Part C statewide file review process using Iowa's System to Achieve Results (I-STAR) monitoring system. The monitoring cycle occurs annually with all Regional Grantees. The Lead Agency provided all Regional Grantees with a random sample consisting of 10% or a minimum of 15 files of the children reported in the most recent 618 Exit Table who exited during the prior full reporting year. File review data were obtained from IFSP and Individualized Education Program (IEP) files of children exiting Part C and eligible for Part B or children exiting Part C for other services.

Iowa did include in their calculation the number of children for whom the State had identified the cause for the delay as exceptional family circumstances documented in the child's record (in both the numerator and denominator). The State did not include in the calculation the number of children for whom the family did not provide approval to conduct the transition conference which resulted in delays in timely transition (C). Numbers used to determine this calculation are provided later in this section.

Figure C8C.1 shows baseline FFY 2004 through the current reporting year data and targets for the percent of children exiting Part C with timely transition conference if potentially eligible for Part B.

Figure C8C.1. Percent of Children Exiting Part C Who Received Timely Transition Planning Including (C) Timely Transition Conferences.



Source. Part C Regional Monitoring Data - File Review, FFY 2004 - FFY 2005 and Iowa's System to Achieve Results (I-STAR), FFY 2006 - FFY 2009.

Table C8C.1 shows the Regional Grantee data for the percent and number of Self-Assessment File Reviews meeting timely transition planning requirements including IFSP timely transition conference.

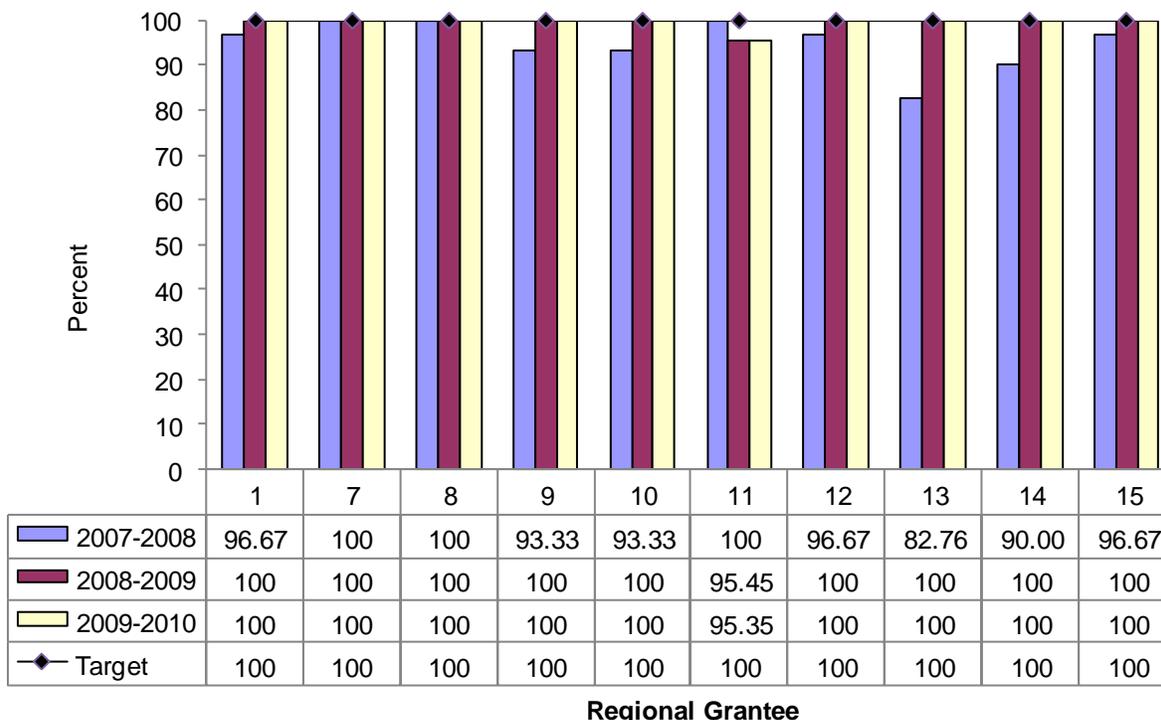
Table C8C.1  
Percent (Number/Total Number) of File Reviews Meeting Requirements for (C) Timely Transition Conferences by Regional Grantee.

Regional Grantee and State Totals										
1	7	8	9	10	11	12	13	14	15	State
(C) Timely Transition Conference										
100%	100%	100%	100%	100%	95.35%	100%	100%	100%	100%	99.37%
30/30	32/32	30/30	30/30	32/32	41/43	30/30	30/30	29/29	30/30	314/316

Source. Iowa's System to Achieve Results (I-STAR), FFY 2009.

Figure C8C.2 depicts the trend data for Regional Grantees from FFY 2007 to the current reporting period and FFY 2009 target using the percent of file reviews meeting the target for children exiting Part C with a timely transition conference if potentially eligible for Part B.

Figure C8C.2. Percent of Children Exiting Part C Who Received Timely Transition Planning Including (C) Timely Transition Conferences by Regional Grantee, Three-Year Trend.



Source. Iowa's System to Achieve Results (I-STAR), FFY 2007 - FFY 2009.

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

a. Number of children exiting Part C and potentially eligible for Part B where the transition conference occurred	<b>314</b>
b. Number of children exiting Part C who were potentially eligible for Part B	<b>316</b>
c. Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday (Transition Conference) (Percent = [(a) divided by (b)] times 100)	<b>99%</b>

**Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for FFY 2009:**

With its 99.37% performance, Iowa did not meet the 100% target and experienced 0.03% slippage from the previous year. Nine out of ten Regional grantees met 100% compliance. One Regional Grantee showed slight slippage from 95.45% to 95.35% (decrease of 0.10%). Statewide, a timely transition conference was not held in 2 cases, which was the same number of cases last year. Due to the differing number of file reviews conducted in the previous and current reporting year, this year's percentage was

calculated 0.03% lower than last year's. The two IFSP meetings were delayed due to staff reasons which were reported as schedule problems. Although specific to the same Region, the two cases were not provider specific nor considered a systemic concern. A timely transition conference was not held in 8 cases due to exceptional family circumstances and these cases were included in the numerator and denominator. The State remained in substantial compliance at 99.37%.

In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency reviewed improvement activities and engaged in multiple activities to improve achievement of this target. Improvement activities included support to verify data, analyze data, provide ongoing monitoring, implement a state-wide Part C Procedures Manual and implement targeted technical assistance.

**Verification of data.** The Lead Agency maintained statewide procedures for monitoring compliance via I-STAR and the continuation of the contract with programmers to assure the collection of accurate data in the Part C Self-Assessment File Review. This web-based database allows for direct data entry thereby removing one level of possible data entry error. Programmers continued to update I-STAR in order to accurately and timely produce file review results related to this indicator as well as all related requirements for this indicator. The Lead Agency provided the file review random sample for the Regional Grantees where 10% or a minimum of 15 files were sampled. The random samples were taken from IFSPs of children exiting Part C and eligible for Part B or children exiting Part C for other services. A Lead Agency monitoring consultant provided technical assistance and ongoing support to Regional Grantee personnel designated to enter data into the I-STAR system.

**Analysis of data to identify concerns.** Transition indicator data were analyzed by the Lead Agency, Early ACCESS leadership, and State Interagency Coordinating Council. Stakeholders input revealed that near compliance performance (99.37%) was due to implementation and focus on both state and regional improvement strategies described later in this indicator. The impacts of increasing caseloads due to increased child count were noted as areas of concern from Regional Grantees. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

Regional Grantees that had prior findings for noncompliance analyzed data and determined need for documentation, guidance regarding transition and related requirements, ongoing monitoring, and training in order to meet compliance. Conclusions and actions taken by the Lead Agency and Regional Grantees as a result of these analyses are described in subsequent sections of this indicator.

**Analysis of policies, procedures, and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations. Practitioners reported that the manual clarified issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the Transition Toolbox steps and implementation. Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

The online transition implementation, guidance, and procedures training, *Connecting the Dots*, was initiated in January 2007 and updated in FFY 2008. The Lead Agency worked with OSEP-funded technical assistance center, North Central Regional Resource Center (NCRRC), to assist in the development of the statewide training. The *Connecting the Dots* training was divided into three parts: Federal and State Requirements, Recommended Transition Practices, and State-Specific Transition Policies and Procedures. Several new resources were added to the training including documents and websites. In FFY 2008, new service coordinators were required to take the online training, while existing service coordinators could review the training as a refresher. In FFY 2009 the *Connecting the Dots* training was discontinued because content was included in the Procedures Manual. All providers were trained on the manual within their regions.

In efforts to improve implementation of transition requirements and enhance parents' knowledge and skills during the transition process, Early ACCESS Regional Grantees and Signatory Agencies launched statewide use of the *Transition Toolbox, A Guide for Families*. The Toolbox was first developed and utilized by Service Coordinators in one Region that consistently achieved higher percentages in all three subcomponents of the C8 Transition Indicator and achieved 100% compliance in FFY 2007. This exemplary resource was adapted and continues to be used statewide.

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Lead Agency provided ongoing guidance to Regional Grantees regarding regional transition procedures during regularly scheduled meetings. Regional Grantees provided technical assistance to local providers regarding documentation, the use of checklists to monitor transition steps and services, as well as the use of the IFSP Transition Plan form.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: use of IFSP Transition Planning form for better documentation of steps and services; service coordinator training and ongoing support regarding transition procedures; training in *Transition Toolbox for Families*; on-going or frequent supervisory monitoring of transition IFSPs/file review; new technology to alert service coordinators of transition timelines for children on their caseload; newsletters for service coordinators; and Service Coordinator review of own files to assess quality and documentation of transition steps and services.. The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

**Ongoing monitoring and enforcement as needed.** In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the State is required to report correction and verification of noncompliance in the current, FFY 2009 APR.

**Correction of FFY 2008 Findings of Noncompliance (if State reported less than 100% compliance):**

Level of compliance (actual target data) State reported for FFY 2008 for this indicator: 99.37%

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

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

One Regional Grantee did not meet the 100% target and was notified of the finding of noncompliance. The Regional Grantee was required to analyze root causes and submitted a corrective action plan to correct noncompliance as soon as possible. Corrective actions included assuring that IFSP transition conferences, although late, were completed for children identified in the findings of noncompliance unless the requirement no longer applied or the child was no longer within the jurisdiction of the program. The corrective action plan was approved by the Lead Agency. The Regional Grantee corrected noncompliance followed by verification by the Lead Agency within one year from the date of notification of noncompliance.

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

In the Region that had a finding of noncompliance, after technical assistance and corrective activities occurred, five IFSPs with transition dates subsequent to the corrective activities were reviewed. Each demonstrated implementation of the requirement with 100% compliance for IFSPs with timely transition conferences for children exiting Part C. The Region made the corrections within one year of notification of noncompliance, and was verified by the Lead Agency. Verification involved the Regional Grantee providing the Lead Agency monitoring consultant access to the files or providing a copy of the files for review. This process meets the requirement of timely correction and verification.

The review and verification process for the current reporting period was done as a desk audit and paper review. Beginning FFY 2010, I-STAR online monitoring system will be programmed to do subsequent file reviews for corrections of noncompliance. In addition, the web-based IFSP will be accessible for review by the Lead Agency monitoring consultant. This will reduce the need for on-site visits and paper reviews for verification as all IFSPs will be accessible via the online system.

**Additional Information Required by the OSEP APR Response Table for this Indicator:**

Statement from the Response Table	State's Response
The State did not report 100% compliance in the FFY 2008 APR, the State must review its improvement activities and revise them, if necessary.	The Lead Agency reviewed its improvement activities and engaged in multiple activities to improve achievement of this target. Improvement activities included support to verify data, analyze data, provide ongoing monitoring, implement a state-wide Part C Procedures Manual and implement targeted technical assistance. The Lead Agency also determined its improvement activities outlined in the State Performance Plan were research-based, aligned with addressing underlying problems, demonstrated effective results and will continue as outlined in State Performance Plan.

**Identification of Current Reporting Year Noncompliance:**

**In the current reporting year, one finding of noncompliance** was identified for this indicator. Iowa's System to Achieve Results (I-STAR) was used to monitor implementation of transition requirements for this indicator through file reviews with all Regional Grantees. Each Region was provided a random sample of 10% of the active IFSP files or a minimum of 15. Samples were taken from IFSP and Individualized Education Program (IEP) files of children exiting Part C and eligible for Part B or children exiting Part C for other services. Two sets of Self-Assessment File Review questions were utilized. One set of questions was used for children exiting Part C for other services and another set of questions for children exiting Part C and potentially eligible for Part B special education services.

In addition, I-STAR was used to monitor related requirements for this indicator which allowed Regional Grantees to see their performance in all areas related to transitions. Examples of related requirements for this indicator are written meeting notice for transition planning meeting, procedural safeguards explained to family, meeting participants include parents, and written parental consent for transmission of information to relevant agency. **In the current reporting year, one finding of noncompliance was identified for related requirements** for this indicator.

The Regional Grantee submitted a Corrective Action Plan which was approved by the Lead Agency. Correction and verification will be reported in FFY 2010, APR due February 1, 2012. The Lead Agency will continue to monitor progress of all Regions for this indicator and related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency reviewed its improvement activities and determined activities outlined in the State Performance Plan were research-based, aligned with addressing underlying problems, demonstrated effective results and will continue as outlined in State Performance Plan. There are no revisions to Iowa's proposed targets, improvement activities, timelines or resources.



## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Effective General Supervision Part C / General Supervision

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

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

#### Measurement:

Percent of noncompliance corrected within one year of identification:

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

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

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

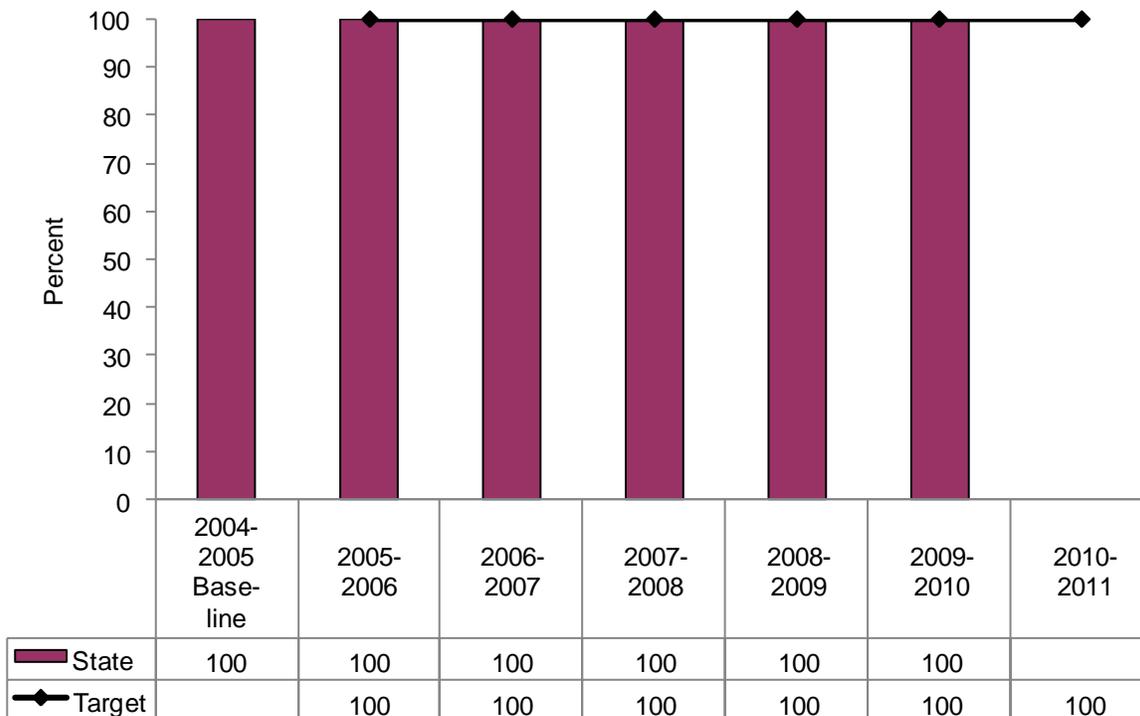
This is a compliance indicator and OSEP designated the measureable and rigorous target at 100%.

FFY	Measurable and Rigorous Target
2009 (2009-2010)	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 100% of the time.

**Actual Target Data for FFY 2009:**

Figure C9.1 shows the baseline FFY 2004 through current reporting year data and targets for correction of noncompliance within one year.

Figure C9.1. Percent of Correction of Noncompliance Within One Year of Identification.



Source. Part C Regional Monitoring Data-File Review, FFY 2004 - FFY 2005 and Iowa's System to Achieve Results (I-STAR), FFY 2006 - FFY 2009.

Table C9.1 is the OSEP required Indicator C9 Worksheet detailing FFY 2008 SPP/APR indicator noncompliance findings for which correction was verified no later than one year from identification.

Table C9.1  
Indicator C9 Worksheet: SPP and APR Indicator Noncompliance for Which Correction Was Verified No Later Than One Year From Identification.

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2008 (7/1/08 through 6/30/09)	(a) # of Findings of noncompliance identified in FFY 2008 (7/1/08 through 6/30/09)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than 1 year from identification
1. Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	NA
	Dispute Resolution: Complaints, Hearings	0	0	NA

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2008 (7/1/08 through 6/30/09)	(a) # of Findings of noncompliance identified in FFY 2008 (7/1/08 through 6/30/09)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than 1 year from identification
2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	NA
	Dispute Resolution: Complaints, Hearings	0	0	NA
3. Percent of infants and toddlers with IFSPs who demonstrate improved outcomes	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	NA
	Dispute Resolution: Complaints, Hearings	0	0	NA
4. Percent of families participating in Part C who report that early intervention services have helped the family	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	NA
	Dispute Resolution: Complaints, Hearings	0	0	NA
5. Percent of infants and toddlers birth to 1 with IFSPs 6. Percent of infants and toddlers birth to 3 with IFSPs	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	NA
	Dispute Resolution: Complaints, Hearings	0	0	NA
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.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	3	3	3
	Dispute Resolution: Complaints, Hearings	0	0	NA

Indicator/Indicator Clusters	General Supervision System Components	# of EIS Programs Issued Findings in FFY 2008 (7/1/08 through 6/30/09)	(a) # of Findings of noncompliance identified in FFY 2008 (7/1/08 through 6/30/09)	(b) # of Findings of noncompliance from (a) for which correction was verified no later than 1 year from identification
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;	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
	Dispute Resolution: Complaints, Hearings	0	0	NA
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: B. Notification to LEA, if child potentially eligible for Part B; and	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	0	0	NA
	Dispute Resolution: Complaints, Hearings	0	0	NA
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: C. Transition conference, if child potentially eligible for Part B.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
	Dispute Resolution: Complaints, Hearings	0	0	NA
OTHER AREAS OF NONCOMPLIANCE:  General Procedures: file review items that are related requirements to indicators & Regional Grantee responsibility requirements.	Monitoring Activities: Self-Assessment/ Local APR, Data Review, Desk Audit, On-Site Visits, or Other	1	1	1
	Dispute Resolution: Complaints, Hearings	0	0	NA
<b>Sum the numbers down Column a and Column b</b>			<b>6</b>	<b>6</b>

Source. Iowa Management System (IMS) and Iowa's System to Achieve Results (I-STAR), FFY 2008 and FFY 2009.

**Selecting EI Programs for Monitoring:**

Table C9.2 describes the monitoring components used to determine results for reporting General Supervision Indicator C9 with the number of noncompliance findings and number of corrections within one year of notification of citation. All Regional Grantees are monitored annually regarding compliance with state regulations, interagency agreements, regional applications and annual reports, dispute resolution, Part C finances, and procedural compliance. Area Education Agency (AEA) Accreditation occurred in two of the AEAs which serve as the Part C Regional Grantees (20% of AEAs reviewed on a five year cycle). Medicaid audits aligned with the AEA Accreditation cycle. The five year cycle aligns with Part B's monitoring cycle.

Table C9.2  
*Part C Monitoring Components with Number of Findings and Timely Corrections of Noncompliance.*

Monitoring Component	FFY 2008			FFY 2009		
	Number of Programs Monitored	Number of Noncompliance Findings	Number of Timely Corrections*	Number of Programs Monitored	Number of Noncompliance Findings	Number of Timely Corrections**
State regulations	10	0	NA	10	0	NA
Interagency agreements	10	0	NA	10	0	NA
Regional applications and annual reports	10	0	NA	10	0	NA
Dispute resolution	10	0	NA	10	0	NA
Area Education Agency Accreditation	2	0	NA	2	0	NA
Fiscal audit:						
--Part C funds	10	0	NA	10	0	NA
--Medicaid	2	0	NA	2	0	NA
Part C monitoring-- Self-assessment/ File Review	10	6	6	10	9	**

Source. Iowa's System to Achieve Results (I-STAR) and Iowa Department of Education (Lead Agency) Regional Monitoring Reports, FFY 2008 - FFY 2009.

Note. \* Corrections from findings in FFY 2008 occurred within one year.

\*\* Data will be reported in FFY 2010.

### **Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:**

In FFY 2008, Iowa identified 6 findings of noncompliance and verified correction of all 6 findings as soon as possible and no later than one year from identification. This resulted in Iowa meeting the 100% target for timely identification and correction of non-compliance.

In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency identified and addressed noncompliance with Indicators 7, 8A and 8C. Improvement activities were implemented with all Regional Grantees. After technical assistance and corrective activities occurred, five IFSPs from each Region per finding were verified and demonstrated compliance with 45-day timeline and transition requirements.

Several improvement activities were implemented to impact meeting the target and addressing compliance for all indicators. The activities included verification of data, analysis of data, analysis of policies, procedures, and practices, technical assistance, and ongoing monitoring.

**Verification of data.** A state monitoring and improvement data system was designed to enhance Iowa's federal requirement for monitoring of IDEA 2004 Part B and C by focusing on efficient and effective use of technology to make data-based decisions to improve specialized programs and services for Iowa's children. The contractor worked collaboratively with assigned state staff and all affected agencies in order to ensure the implementation of an effective IDEA Part B and C monitoring system. The data system, Iowa's System to Achieve Results (I-STAR), was used for Part C Self-Assessment File Reviews (procedural compliance and effective transition) and family surveys.

Data sources include, but are not limited to, 618 Data Tables and I-STAR. Data for 618 Data Tables and some SPP indicators are collected in Iowa's Information Management System (IMS), which employs a comprehensive verification process as described in C14. This multi-step process ensures the timely and accurate data required for all 618 Data Tables, the State Performance Plan and the Annual Performance Reports. Work continued on the development of a web-based IFSP to ensure more consistent and efficient data collected for data reporting and monitoring. State monitoring consultants also gathered and analyzed data from Regional Grantees regarding regional implementation of IDEA and SPP indicators.

All activities to correct noncompliance were completed within the one-year timeframe. All Regional Grantees submitted evidence of completion of correction activities to the Lead Agency. Such evidence of success included meeting agendas, training materials, meeting sign-in forms, and monitoring file reviews. Verification of timely correction of noncompliance was based on review of updated data. After technical assistance and corrective activities occurred, five IFSPs from each region per finding were reviewed and demonstrated compliance with 45-day timeline and transition requirements.

**Analysis of data to identify concerns.** Data from all aspects of the general supervision system were analyzed to identify any and all noncompliance concerns:

- State regulations, policies, and procedures. No noncompliance was found in reviewing Regional policies and procedures.
- Interagency agreements. No noncompliance findings were identified in interagency agreements, effective dates, and their implementation.
- Regional applications and annual reports. No noncompliance findings were identified in applications and annual reports.
- Dispute resolution. Iowa did not have a complaint, due process hearing, or mediation.
- Area Education Agency accreditation. No noncompliance findings were identified in reviewing two AEAs.
- Fiscal audit—Part C funds. No noncompliance findings were identified in reviewing Regional Applications and Annual Reports for appropriate use of Part C funds.

- Fiscal audit—Medicaid. Medicaid Good Standing Reviews were completed in one Signatory Agency and one Region in the current reporting year with no findings identified.
- Part C monitoring of Regional Grantee implementation of IDEA. Procedural compliance was monitored utilizing Regional Self-Assessment File Reviews and desk audits for compliance indicator performance. Findings were identified and Regional Grantees received timely notification. Details are provided throughout this indicator.

Table C9.3 shows Iowa's SPP compliance indicator targets and results for FFY 2004 through the current reporting year. Targets were set at 100% by OSEP as these are compliance indicators. These data were analyzed by the Lead Agency to form a basis for the discussion of improvement, progress and slippage.

Table C9.3  
SPP Compliance Indicator Trend Data Compared to Current Reporting Year Target.

Indicator	FFY 2004	FFY 2005	FFY 2006	FFY 2007	FFY 2008	FFY 2009	State Target FFY 2009
C1: Timely services	68.80%	100%	100%	100%	100%	99.25%	100%
C7: Timely evaluation and assessment (with family reason included)	89.00%	87.00%	90.90%	97.66%	98.73%	99.36%	100%
C8: Effective transition C to B							
A. IFSP transition steps/services	68.00%	87.00%	94.00%	97.96%	99.68%	100%	100%
B. Notification to AEA (LEA)	98.00%	96.00%	100%	100%	100%	100%	100%
C. Timely transition conference	46.00%	87.00%	91.00%	95.25%	99.40%	99.37%	100%
C9: General supervision (Monitoring)	100%	100%	100%	100%	100%	100%	100%
C10: Complaints (resolved within 60 days)	NA*	NA*	NA*	NA*	NA*	NA*	100%
C11: Hearings (adjudicated within 30 days)	NA**	NA**	NA**	NA**	NA**	NA**	100%
C12: Resolution sessions	NA***						
C14: Timely and accurate data	100%	100%	100%	100%	100%	100%	100%

Source. Iowa Information Management System (IMS); Iowa's System to Achieve Results (I-STAR); and U.S. Department of Education; Office of Special Education Programs, Data Analysis System (DANS), 618 Data Tables; FFY 2004 - FFY 2009.

Note. \* Iowa did not have a complaint filed.

\*\* Iowa did not have a request for due process hearing.

\*\*\* Iowa follows Part C due process procedures.

Although 100% targets have not been met for all compliance indicators, over 99% performance was achieved on all compliance indicators. In addition, there were no complaints filed or due process hearing requests. Overall, the number of noncompliance findings increased from 6 in FFY 2008 to 9 for FFY 2009. Current activities will continue in order to improve compliance indicators.

Table C9.4 describes Iowa's SPP results indicator trend data for FFY 2004 baseline through the current reporting year and compares performance to current reporting year target. According to OSEP, each state is allowed to set targets from baseline data to improve results for children for these six results indicators. These data were analyzed by the Lead Agency to form a basis for the discussion of improvement, progress and slippage.

Table C9.4  
SPP/APR Results Indicator Trend Data Compared to Current Reporting Year Target.

Indicator	FFY 2004	FFY 2005	FFY 2006	FFY 2007	FFY 2008	FFY 2009	State Target FFY 2009
C2: Natural environments	95.90%	96.00%	97.61%	98.40%	98.52%	99.05%	96.50%
C3: Early childhood outcomes	NA	NA	NA	NA	Baseline Statement 1 A) 40.13% B) 45.83% C) 51.58%	Summary Statement 1 A) 40.33% B) 40.20% C) 48.82%	Summary Statement 1 A) 40.13% B) 45.83% C) 51.58%
					Baseline Statement 2 A) 65.40% B) 45.59% C) 66.74%	Summary Statement 2 A) 66.35% B) 46.05% C) 64.93%	Summary Statement 2 A) 65.40% B) 45.59% C) 66.74%
C4: Family centered services	NA	A) 89.90% B) 89.20% C) 90.50%	A) 96.40% B) 95.90% C) 95.80%	A) 96.36% B) 95.05% C) 94.61%	A) 96.25% B) 95.97% C) 95.82%	A) 97.29% B) 97.29% C) 96.72%	A) 92.00% B) 91.00% C) 93.00%
C5: Child find 0 - 1	1.12%	1.22%	1.42%	1.54%	1.59%	1.74%	1.20%
C6: Child find 0 - 3	2.12%	2.33%	2.52%	2.69%	2.89%	3.05%	2.30%
C13: Mediations	0	0	0	0	0	0	NA*

Source. Iowa 618 Data Tables, FFY 2004 - FFY 2009 ; Part C Regional Monitoring Data-File Review, FFY 2004 - FFY 2005 ; and Iowa's System to Achieve Results (I-STAR) FFY 2006 - FFY 2009.

Note. \* Iowa did not have to set a target as the number of mediations (0) is less than 10.

The Lead Agency analyzed the overall effectiveness of its general supervision system, including monitoring, technical assistance and correction activities:

- Aligned with IDEA Reauthorization, which focused on results for children and families, Iowa exceeded state targets for nine of twelve APR results indicators with targets C2, C3A (Summary Statements 1 and 2), C3B (Summary Statement 2), C4A, C4B, C4C, C5, and C6. Iowa was slightly below the C3B (Summary Statement 1) and C3C targets for (Summary Statement 1 and 2).
- Iowa maintained meeting 100% target levels for 6 of 9 compliance indicators that had targets (C8A, C8B, C9, C10, C11 and C14. C12 does not have a target).

- The 3 remaining compliance indicators (C1, C7, C8C) resulted in over 99% performance.
  - Indicator C1 Timely Services slightly declined from 100% to 99.25%.
  - Indicator C7 Timely Evaluations and Initial IFSP meetings increased from 98.73%, to 99.36%.
  - Indicator C8C Timely transition conference minimally changed from 99.40% to 99.37%.
- There were no complaints, hearings or mediations during the current reporting year.

As a result of this analysis, Iowa acknowledges and has prioritized improvement and correction activities focused on reaching compliance in Indicators C1, C7, and C8C and maintaining compliance and performance in all other indicators. Information about current reporting year findings of noncompliance and correction of past years' findings of noncompliance can be found in the section ***Ongoing monitoring and enforcement as needed.***

**Analysis of policies, procedures, and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations. Practitioners reported that the manual clarified issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Definitions and requirements of each of the early intervention services;
- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Report writing;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation;
- Procedures and documentation regarding parent withdrawal of consent for services;
- Transition Toolbox steps and implementation;
- Documents required for child's record; and
- Team decision-making re Early Childhood Outcomes (ECO).

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

The online transition implementation, guidance, and procedures training, *Connecting the Dots*, was initiated in January 2007 and updated in FFY 2008. The Lead Agency worked with OSEP-funded technical assistance center, North Central Regional Resource Center (NCRRC), to assist in the development of the statewide training. The *Connecting the Dots* training was divided into three parts: Federal and State Requirements, Recommended Transition Practices, and State-Specific Transition

Policies and Procedures. Several new resources were added to the training including documents and websites. In FFY 2008, new service coordinators were required to take the online training, while existing service coordinators could review the training as a refresher. In FFY 2009 the *Connecting the Dots* training was discontinued because content was included in the Procedures Manual. All providers were trained on the manual within their regions.

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** State staff continued to support Regional Grantee and Signatory Agency implementation of state-developed trainings, guidance documents, and technical assistance to assist Regional Grantees and service providers regarding implementation of IDEA 2004 requirements. Specific technical assistance was provided to the Regional Grantees for areas of noncompliance. The Lead Agency monitoring consultant maintained close contact with those Regional Grantees with findings of noncompliance and reviewed their data throughout the year to ensure that corrective plans were implemented and that noncompliance was corrected timely.

Technical assistance developed by the Lead Agency and provided to the Regional Grantees and Signatory Agency Partners focused on: the importance of evaluation, assessment of infants and toddlers and completing an initial IFSP meeting within the 45-day timeline; the awareness of all Regions needing to meet the target of 100%, the need for clear documentation on the IFSP when the referral was received and when the IFSP meeting was held; and understanding the data entry system using the IMS.

The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly ninety-eight percent (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Lead Agency provided ongoing guidance to Regional Grantees regarding regional transition procedures during regularly scheduled meetings. Regional Grantees provided technical assistance to local providers regarding documentation, the use of checklists to monitor transition steps and services, as well as the use of the IFSP Transition Plan form.

During the current reporting year the Lead Agency also provided technical assistance for all monitoring priorities, including: providing training/professional development; improving data collection; improving systems administration and monitoring; improving collaboration/coordination; and clarifying/examining policies and procedures. Activities pertinent to each indicator are described in their respective section of

this report. Lead Agency analysis of all progress and slippage of all indicators and their respective SPP improvement activities indicated Iowa's efforts are having a positive effect on the progress toward meeting all targets and strengthening accuracy of data. The Lead Agency concluded SPP Improvement Activities should proceed as planned.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. All Regions engaged in a number of targeted activities to improve performance in both compliance and results indicators. Year-End Reports and analysis of new data each year assists the Lead Agency in collaboration with Regional Grantees in determining future technical assistance and the effectiveness of past assistance. Emphasis was placed on valid and reliable data as it related to each of the indicators. With high performance in all indicators, emphasis in technical assistance will shift to quality services that produce child/family results.

**Ongoing monitoring and enforcement as needed.** In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency identified and addressed FFY 2008 noncompliance with Indicators C7, C8A and C8C as described below.

**Timely Correction of FFY 2008 Findings of Noncompliance (corrected within one year from identification of the noncompliance):**

1. Number of findings of noncompliance the State made during FFY 2008 (the period from July 1, 2008, through June 30, 2009) (Sum of Column a on the Indicator C 9 Worksheet)	<b>6</b>
2. Number of findings the State verified as timely corrected (corrected within one year from the date of notification to the EIS programs of the finding) (Sum of Column b on the Indicator C 9 Worksheet)	<b>6</b>
3. Number of findings <u>not</u> verified as corrected within one year [(1) minus (2)]	<b>0</b>

Data for Indicator C7 were collected through the State's Information Management System (IMS). In **FFY 2008, 3 findings of noncompliance** were identified. Regional Grantees that did not meet the 100% target, were notified of findings of noncompliance and were required to analyze root causes and submit corrective SPP Action Plans, which were approved by the Lead Agency. Corrective activities were completed in all Regions within one year and evidence of correction was submitted to the Lead Agency, including evidence that evaluation and IFSP meetings were held for children identified in the noncompliance findings, unless the requirement no longer applied or the child was no longer within the jurisdiction of the program. After technical assistance and corrective activities occurred for each finding, five IFSPs from each notified Region per finding were reviewed and demonstrated timely evaluation and IFSP meeting requirements were implemented correctly. **The Lead Agency verified correction within one year** of the notification of findings and the Regional Grantees were sent a final notification that findings had been corrected.

Data for Indicator C8A and C8C were collected from the Regional Self-Assessment File Reviews (I-STAR). The Lead Agency addressed noncompliance in Indicator C8A and C8C. For **FFY 2008, 2 findings of noncompliance** related to transition were identified (1 finding for C8A and 1 for C8C). Regional Grantees were notified of the findings and required to submit corrective action plans, which were approved by the Lead Agency. Corrective activities were completed in all notified Regions and evidence of correction was submitted to the Lead Agency within the one-year timeline, including evidence that (A) transition planning conferences were held and (C) steps and services were conducted for children identified in the noncompliance findings, unless the requirement no longer applied or the child was no

longer within the jurisdiction of the program. After technical assistance and corrective activities occurred for each finding, five IFSPs from each notified Region per finding were reviewed and demonstrated transition requirements were being implemented correctly. **The Lead Agency verified correction within one year** of notification of findings and the Regional Grantees were sent a final notification that findings had been corrected.

Data for General Procedures were collected from the Regional Self-Assessment File Reviews (I-STAR). The Lead Agency addressed noncompliance in General Procedures and identified **1 finding of noncompliance in FFY 2008**. The Regional Grantee was notified of the finding and was required to submit corrective action plans, which were approved by the Lead Agency. Corrective activities were completed and evidence of correction was submitted to the Lead Agency within the one-year timeline, including evidence that general procedures were being implemented. After technical assistance and corrective activities occurred for each finding, five IFSPs from the Region per finding were reviewed and demonstrated general procedure requirements were being implemented correctly. **The Lead Agency verified correction within one year** of notification of the finding and the Regional Grantee was sent a final notification that the finding had been corrected.

#### **Identification of Current Reporting Year Noncompliance:**

All Regional Grantees are monitored annually regarding compliance with state regulations, interagency agreements, regional applications and annual reports, dispute resolution, Part C finances, and procedural compliance. Area Education Agency (AEA) Accreditation occurred in two of the AEAs which serve as the Part C Regional Grantees (20% of 10 AEAs on five-year cycle). Medicaid audits aligned with AEA Accreditation. **No findings for noncompliance were identified during these monitoring activities.**

For the current reporting period, Regional Self-Assessment File Reviews were completed for procedural monitoring in all Early ACCESS Regions. Each Region reviewed 10% of all files or a minimum of 15 files for general procedural compliance. Each Region also reviewed 10% or a minimum of 15 files (or all files if N<15) for two transition categories: 1) children eligible for Part B services; and 2) children not eligible for Part B. The same OSEP approved sampling plan for the SPP baseline data was used for the APR indicator data.

**For the current reporting year**, 3 of 10 Regional Grantees required corrective action plans based on **6 procedural findings of noncompliance** (2 for C1; 3 for C7, 1 for C8C) using I-STAR self-assessment file reviews, IMS and desk audit indicator data. The plans submitted were approved by the Lead Agency. Monitoring by state monitoring consultants will continue to measure progress toward meeting noncompliance within the one-year timeframe. Notification and correction data will be reported in next year's Annual Performance Report.

**For the current reporting year**, the Lead Agency monitored related requirements for all indicators in order to provide an additional source of data that would enhance understanding of regional indicator performance. The data source for the related requirements was Iowa's System to Achieve Results (I-STAR) file reviews, which had a random sample of 10% of all IFSPs for children in the Part C system on the last Friday of October during the reporting period. The Lead Agency identified **2 findings of noncompliance for related requirements for FFY 2009**. Details for related requirements and results of this monitoring can be found in each specific Indicator. In summary, results across these Indicators revealed that performance in related requirements was strong, thus validating Iowa's high Indicator performance.

**For the current reporting year**, the Lead Agency monitored general procedures in order to provide an additional source of data that would enhance understanding of regional indicator performance. General procedures are related requirements that are not identified to any specific indicator. The data source for the general procedure was Iowa's System to Achieve Results (I-STAR) file reviews, which had a random sample of 10% of all IFSPs for children in the Part C system on the last Friday of October during the reporting period. The Lead Agency identified **1 finding of noncompliance for general procedures for FFY 2009**. Details for general procedures and results of this monitoring can be found in each specific

Indicator. In summary, results across these Indicators revealed that performance in related requirements was strong, thus validating Iowa's high Indicator performance.

The Lead Agency will continue to monitor progress of all Regions for both compliance and results indicators and all related requirements through regularly scheduled data verification reports, file reviews, technical assistance, support and monitoring implementation of corrective action plans.

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

In response to requirements in OSEP's June 3, 2010, SPP/APR Response Table for Iowa's FFY 2008 Annual Performance Report, the Lead Agency reviewed its improvement activities and determined activities outlined in the State Performance Plan were research-based, aligned with addressing underlying problems, demonstrated effective results and will continue as outlined in State Performance Plan. There are no revisions to Iowa's proposed targets, improvement activities, timelines or resources.



## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### 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.

This is a compliance indicator and OSEP designated the measureable and rigorous target at 100%.

FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of signed written complaints with reports issued were resolved within a 60-day timeline, or a timeline extended for exceptional circumstances with respect to a particular complaint.

### Actual Target Data for FFY 2009:

There were no written complaints filed with the Lead Agency in the current reporting period; therefore, the target is not applicable. Data for this indicator are consistent with Iowa's 618 Part C Dispute Resolution Table 4, which follows on the next page. The table shows no written complaints filed, no mediation requests received, and no due process complaints filed. In section C of the table, the negative 9s mean "Not Applicable" because Iowa uses Part C due process procedures. The table only collects data if a state uses Part B procedures.

TABLE 4

REPORT OF DISPUTE RESOLUTION UNDER PART C, OF THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT  
2009-10

STATE: IA

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

### **Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:**

There were no written complaints filed with the Lead Agency in the baseline year, FFY 2005 and all subsequent years.

Iowa continued to work on several improvement activities to impact meeting the target for this indicator. The Lead Agency and Regional Grantees continued efforts to implement parental rights through Service Coordination training and technical assistance.

**Verification of data.** Data on the provision of procedural safeguards were obtained from Regional Grantee Self-Assessment File Reviews. The Lead Agency maintained statewide procedures for file reviews and monitoring compliance via I-STAR including the continuation of the contract with programmers to assure the collection of accurate data in the Part C Self-Assessment File Review. Programmers continued to update I-STAR in order to accurately and timely produce file review results related to this indicator as well as all related requirements for this indicator. The Lead Agency provided the file review random sample for the Regional Grantees where 10% or a minimum of 15 files were sampled. The random samples were taken from all children who had an IFSP on the last Friday of October during the reporting period and were drawn from the State database, the Information Management System (IMS). A Lead Agency monitoring consultant provided technical assistance and ongoing support to Regional Grantee personnel designated to enter data into the statewide I-STAR system.

**Analysis of data to identify concerns and effectiveness.** Data regarding the provision of parental rights were analyzed by the Lead Agency, Regional Grantee Leadership and the State Interagency Coordinating Council (SICC). All Regional Grantee file review results showed procedural safeguards were reviewed with families at time of evaluation. There were **no findings** identified regarding reviewing procedural safeguards at annual review time.

Results of the Family Survey were studied and showed that 97.29% of families surveyed reported that early intervention services have helped the family know their rights, which is above the state target of 92%. Stakeholder input revealed satisfaction with the process used to ensure that procedural safeguards are a priority and that families indicate they know their rights.

**Analysis of policies, procedures, and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The Manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations. Practitioners reported that the Procedures Manual clarified issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Definitions and requirements of each of the early intervention services;
- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Report writing;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation;
- Procedures and documentation regarding parent withdrawal of consent for services;
- Transition Toolbox steps and implementation;
- Documents required for child's record; and
- Team decision-making regarding Early Childhood Outcomes (ECO).

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Parent-Educator Connection (PEC), an Iowa Department of Education initiative, has worked with families, educators, and community partners to promote success for all children and youth with disabilities since 1984. PEC Coordinators support capacity building for families through activities such as personal contacts, trainings, Individualized Family Service Plan (IFSP) and Individualized Education Plan (IEP) meetings, supportive activities for transition from Part C to B, and the statewide PEC Conference.

One of the most important ways that Iowa empowers families and enhances personnel preparation curriculum is through the *Parents as Presenters* two-day workshop. This was the ninth year it was offered to a group of 24 selected parents. The workshop provided training for parents willing to share their experiences with students in college classes and community organizations for future early intervention professionals. Parents learned presentation techniques and experienced skills training to "tell their story". Seven alumni returned to serve as faculty, further promoting parent leadership opportunities. In FFY

2009, 77 stipends were requested from parents that presented to pre-service and in-service classes and trainings.

**Ongoing monitoring and enforcement as needed.** The provision of parental rights is monitored annually through self-assessment file reviews. In both the prior and current reporting years, there were no findings of noncompliance regarding procedural safeguards reviewed with families at required IFSP meetings.

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.



## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### 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.

This is a compliance indicator and OSEP designated the measureable and rigorous target at 100%.

FFY	Measurable and Rigorous Target
2009 (2009-2010)	100% of fully adjudicated due process hearing requests were fully adjudicated within the 30-day timeline.

### Actual Target Data for FFY 2009:

There were no due process hearing requests received or held in the current reporting year therefore, the target is not applicable. Data for this indicator are consistent with Iowa's 618 Part C Dispute Resolution Table 4, which is in Indicator 10, see page 122.

*Note.* In section C of the Table, the negative 9s mean "Not Applicable" because Iowa uses Part C due process procedures. The Table only collects data if a state uses Part B procedures.

### Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:

There were no due process hearing requests received or held in the baseline year as well as all subsequent reporting years.

Iowa did not have a written complaint filed. The Lead Agency continued to work on several improvement activities to impact meeting the target for this indicator. The Lead Agency and Regional Grantees continued efforts to implement parental rights through Service Coordination training and technical assistance.

**Verification of data.** Data on the provision of procedural safeguards were obtained from Regional Grantee Self-Assessment File Reviews. The Lead Agency maintained statewide procedures for

file reviews and monitoring compliance via I-STAR including the continuation of the contract with programmers to assure the collection of accurate data in the Part C Self-Assessment File Review. Programmers continued to update I-STAR in order to accurately and timely produce file review results related to this indicator as well as all related requirements for this indicator. The Lead Agency provided the file review random sample for the Regional Grantees where 10% or a minimum of 15 files were sampled. The random samples were taken from all children who had an IFSP on the last Friday of October during the reporting period and were drawn from the State database, the Information Management System (IMS). A Lead Agency monitoring consultant provided technical assistance and ongoing support to Regional Grantee personnel designated to enter data into the statewide I-STAR system.

**Analysis of data to identify concerns and effectiveness.** Data regarding the provision of parental rights were analyzed by the Lead Agency, Regional Grantee Leadership and the State Interagency Coordinating Council (SICC). All Regional Grantee file review results showed procedural safeguards were reviewed with families at time of evaluation. There were **no findings** identified regarding reviewing procedural safeguards at annual review time.

Results of the Family Survey were studied and showed that 97.29% of families surveyed reported that early intervention services have helped the family know their rights, which is above the state target of 92%. Stakeholder input revealed satisfaction with the process used to ensure that procedural safeguards are a priority and that families indicate they know their rights.

**Analysis of policies, procedures, and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations. Practitioners reported that the manual clarified issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Definitions and requirements of each of the early intervention services;
- Communication with referral sources;
- Children with IFSPs transferring from other states;
- Report writing;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation;
- Procedures and documentation regarding parent withdrawal of consent for services;
- Transition Toolbox steps and implementation;
- Documents required for child's record; and
- Team decision-making regarding Early Childhood Outcomes (ECO).

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency continued to support a Comprehensive System of Professional Development. In FFY 2009, Iowa's Family-Centered Service Coordination Competency-Based Training Program for new service coordinators was provided. The service coordination training modules are based on federal statute and regulations, research, and best practice and are focused on one of the five identified competencies required to be an effective service coordinator. Modules 1 through 5 incorporated state policies, procedures, and best practices regarding referrals, evaluation and assessment of infants and toddlers within 45-day timelines, IFSP provisions, coordinating community resources and infant and toddler development. Module 1-*Federal State and Local Rules, Regulations and Procedures for the Early ACCESS System* specifically addressed parental rights.

This training program is implemented to assure that service coordinators have the core competencies needed to provide high quality services to families. These trainers attended intensive three-day Approved Trainer sessions for each module. Trainers provided trainings in FFY 2009 throughout the state. Nearly (96.8%) of all 363 service coordinators in the state completed the requirements of the training program. The remaining 3.2% (new service coordinators) have plans to complete the program. The Lead Agency will continue to review results of parent survey data and monitoring results of compliance to study the effect of the competency based training modules.

The Parent-Educator Connection (PEC), an Iowa Department of Education initiative, has worked with families, educators, and community partners to promote success for all children and youth with disabilities since 1984. PEC Coordinators support capacity building for families through activities such as personal contacts, trainings, Individualized Family Service Plan (IFSP) and Individualized Education Plan (IEP) meetings, supportive activities for transition from Part C to B, and the statewide PEC Conference.

One of the most important ways that Iowa empowers families and enhances personnel preparation curriculum is through the *Parents as Presenters* two-day workshop. This was the ninth year it was offered to a group of 24 selected parents. The workshop provided training for parents willing to share their experiences with students in college classes and community organizations for future early intervention professionals. Parents learned presentation techniques and experienced skills training to "tell their story". Seven alumni returned to serve as faculty, further promoting parent leadership opportunities. In FFY 2009, 77 stipends were requested from parents that presented to pre-service and in-service classes and trainings.

**Ongoing monitoring and enforcement as needed.** The provision of parental rights is monitored annually through self-assessment file reviews. ***In both the prior and current reporting years, there were no findings of noncompliance regarding procedural safeguards reviewed with families at required IFSP meetings.***

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.

## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Effective General Supervision Part C / General Supervision

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

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

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

FFY	Measurable and Rigorous Target
2009 (2009-2010)	Not Applicable.

### Actual Target Data for FFY 2009:

Not applicable as Iowa has adopted the Part C due process procedures under 34 CFR §303.420.



## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Effective General Supervision Part C / General Supervision

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

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

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

FFY	Measurable and Rigorous Target
2009 (2009-2010)	Not Applicable.

### Actual Target Data for FFY 2009:

There were no mediations requested and no mediations held in the current reporting year. As indicated by the Office of Special Education Programs letter in response to Iowa's Annual Performance Report (submitted 2-1-06), Iowa has removed the target and improvement activities related to mediations since the number did not reach 10 or greater. Data for this indicator are consistent with Iowa's 618 Part C Dispute Resolution Table 4, which is in Indicator 10, see page 122.

*Note.* In section C of the Table, the negative 9s mean "Not Applicable" because Iowa uses Part C due process procedures. The Table only collects data if a state uses Part B procedures.



## Part C State Annual Performance Report (APR) for FFY 2009 (2009-2010)

### Overview of the Annual Performance Report Development:

The Part C Annual Performance Report (APR) was developed by Lead Agency staff reviewing baseline data, targets and improvement activities and drafting a report for each indicator. Stakeholder groups provided input on indicator data, which were included in the APR Discussion of Improvement Activities sub-section, *Analysis to identify concerns*. Stakeholder groups included the State Interagency Coordinating Council (Iowa Council for Early ACCESS), Regional Grantee Administrators, Early ACCESS Leadership Group, and the Lead Agency Department of Education staff. See Overview of the Development of the Annual Performance Report section for annual reporting to public.

### Monitoring Priority: Effective General Supervision Part C / General Supervision

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

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

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

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

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

This is a compliance indicator and OSEP designated the measureable and rigorous target at 100%.

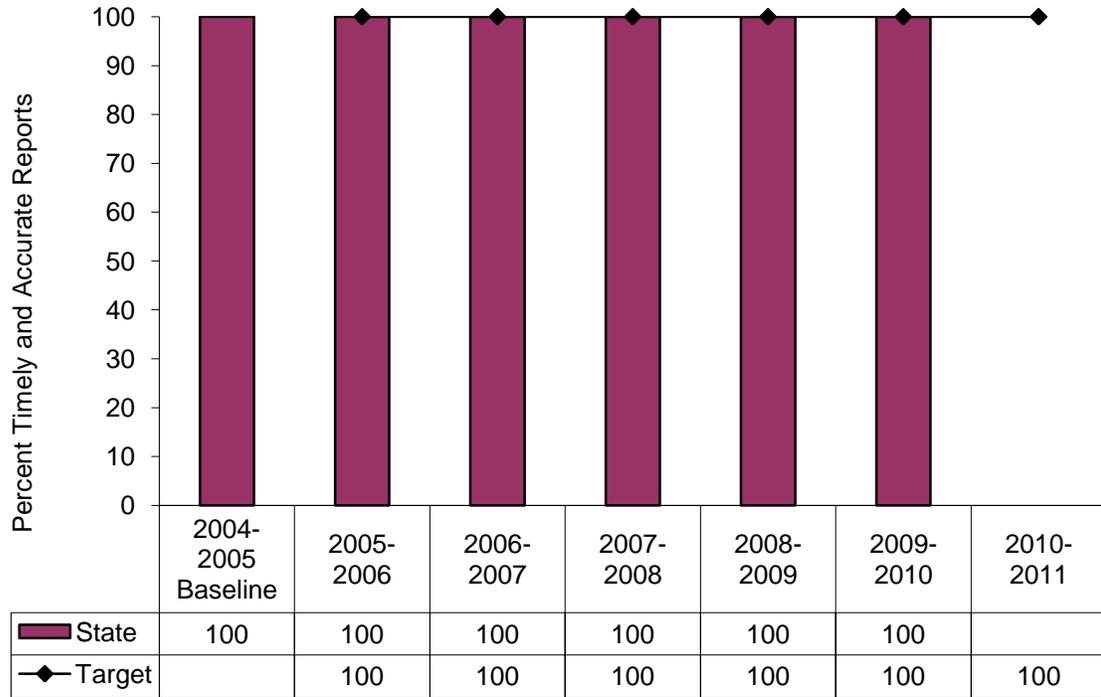
FFY	Measurable and Rigorous Target
2009 (2009-2010)	State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate 100% of the time.

### Actual Target Data for FFY 2009:

The Lead Agency monitored the timeliness and accuracy of data needed for Iowa's Annual Performance Report, State Performance Plan and 618 Data Tables through ongoing verification and validation reports as provided by Iowa's Information Management System (IMS) and Iowa's System to Achieve Results (I-STAR).

Figure C14.1 shows baseline FFY 2004 through current reporting year data and targets for timely reporting and accuracy of data for Iowa's Annual Performance Report, State Performance Report and 618 Tables.

Figure C14.1. Lead Agency Percent for State Reported Data That Are Timely and Accurate.\*



Source. 618 Data Tables, State Performance Plan and Annual Performance Reports Submitted to OSEP, FFY 2004 - FFY 2009.

\* Note. "State Reported" Means 618 Tables, State Performance Plan, and Annual Performance Report.  
 Note. Actual numbers for calculation of percentages are provided in Tables C14.2.

Table C14.1 provides results for timely and accurate data for Part C SPP/APR indicators for the current reporting year (in the required Indicator 14 Data Rubric).

Table C14.1

*Indicator 14 Data Rubric for Part C SPP and APR Reporting.*

<b>SPP/APR Data - Indicator 14</b>			
<b>APR Indicator</b>	<b>Valid and Reliable</b>	<b>Correct Calculation</b>	<b>Total</b>
<b>1</b>	1	1	2
<b>2</b>	1	1	2
<b>3</b>	1	1	2
<b>4</b>	1	1	2
<b>5</b>	1	1	2
<b>6</b>	1	1	2
<b>7</b>	1	1	2
<b>8a</b>	1	1	2
<b>8b</b>	1	1	2
<b>8c</b>	1	1	2
<b>9</b>	1	1	2
<b>10</b>	1	1	2
<b>11</b>	1	1	2
<b>12</b>	1	1	2
<b>13</b>	1	1	2
		<b>Subtotal</b>	30
<b>APR Score Calculation</b>	<b>Timely Submission Points</b> - If the FFY 2009 APR was submitted on-time, place the number 5 in the cell on the right.		5
	<b>Grand Total</b> - (Sum of subtotal and Timely Submission Points) =		35

*Source.* Iowa Information Management System (IMS); Iowa's System to Achieve Results (I-STAR); and U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS), 618 Tables, FFY 2009.

Table C14.2 provides results for timely and accurate data for Part C 618 data for the current reporting year (in the required Indicator 14 Data Rubric).

Table C14.2

Indicator 14 Data Rubric for Part C 618 Data Reporting.

618 Data - Indicator 14					
Table	Timely	Complete Data	Passed Edit Check	Responded to Data Note Requests	Total
Table 1 - Child Count Due Date: 2/1/10	1	1	1	1	4
Table 2 - Program Settings Due Date: 2/1/10	1	1	1	1	4
Table 3 - Exiting Due Date: 11/1/10	1	1	1	N/A	3
Table 4 - Dispute Resolution Due Date: 11/1/10	1	1	1	N/A	3
				<b>Subtotal</b>	14
<b>618 Score Calculation</b>			<b>Grand Total (Subtotal X 2.5)</b>		35

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

Source. Iowa Information Management System (IMS), Iowa's System to Achieve Results (I-STAR), and U.S. Department of Education, Office of Special Education Programs, Data Analysis System (DANS), 618 Tables, FFY 2009 (2009-2010).

\*Note. Any cell marked as N/A will decrease the denominator by 1 for APR and 2.5 for 618 Tables.

#### Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that Occurred for FFY 2009:

Results of Lead Agency data indicated the 100% target was met for provision of state reported data collected and reported in a timely manner and considered accurate. The 618 Data Tables for Child Count, Settings, Exiting and Dispute Resolution were submitted to the Data Accountability Center (DAC) by required due dates of February 1<sup>st</sup> and November 1<sup>st</sup>, 2009. Last reporting year's Annual Performance

Report and Part C State Performance Plan were submitted on time and met federal requirements after submission review. All indicator data were valid and reliable, calculations were done correctly, and instructions were followed. This resulted in a grand total of 35 on the Part C SPP and APR reporting rubric. All 618 data tables were complete and submitted in a timely manner. Edit checks were passed and all requested data notes completed. This resulted in a grand total score of 35 on the 618 Data Reporting Rubric. Combining these 35 points each from Tables C14.1 and C14.2 resulted in a C14 Indicator Score of 100% (70 points).

Several improvement activities were implemented to maintain compliance with this indicator. Included in these activities was continued training on the new Part C Procedures Manual. Policies and practices were analyzed; technical assistance was provided to Regional Grantees and IMS data entry personnel; and on-going monitoring of system performance was conducted. The Lead Agency partnered with Regional Grantees, Signatory Agencies, and IMS data entry personnel and provided oversight and training to ensure all needed data would be timely and accurate. These personnel also conducted verification and validation checks.

**Verification of data.** A State monitoring and improvement data system was designed to enhance Iowa's federal requirement for monitoring of IDEA 2004 Part B and C by focusing on efficient and effective use of technology to make data-based decisions to improve specialized programs and services for Iowa's children. In 2004, the Lead Agency issued an RFP to develop an online monitoring and data collection system. The contractor worked collaboratively with assigned State staff and all affected agencies in order to ensure the implementation of an effective IDEA Part B and C monitoring system. The data system, Iowa's System to Achieve Results (I-STAR), has been used for Part C Self-Assessment File Reviews (procedural compliance and effective transition) and Family Surveys beginning in FFY 2006. Data collection for 45-day timeline has been collected by Iowa's Information Management System (IMS) since FFY 2006. Utilizing IMS allowed collection of Indicator C7 data for all Part C eligible children. Data sources include, but are not limited to, 618 Data Tables, IMS and I-STAR. Continued development and rollout of the web-based IFSP will lead to more consistent and efficient data collected for reporting and monitoring.

Data for 618 Data Tables and some SPP indicators are collected in Iowa's Information Management System (IMS), which employs a comprehensive verification process. This multi-step process ensures the timely and accurate data required for all 618 Data Tables, State Performance Plan and Annual Progress Reports.

Iowa's IMS data system entails data checks at several steps:

**Step 1.** Regional Grantee IMS data entry personnel are trained to review IFSPs for completeness and consistency. If needed, IFSP team members are contacted to clarify or complete specific data or the IFSP is returned for corrections.

**Step 2.** When data are entered into IMS, several types of automatic data quality messages appear on the IMS screens:

- When a new eligible child is entered, the statewide historical database is queried to see if the child may have had an earlier IFSP. A list of near matches, based on name and birth date, is provided so that data entry personnel can check to see if the new child was previously served. This routine reduces the risk of the same child having two different IMS identification numbers.
- Some data fields are required before data entry can continue. For example, if the resident district code, gender, ethnicity, birth date, or serve status is left blank, a message appears with a prompt and no further data entry is allowed until a valid value is entered.
- For other data fields, a message appears but data entry may continue. For example, if the code is left blank, a message advises the operator but data entry continues. These messages are saved and written to a Verification Report (see below).

**Step 3.** A Verification Report sorted by Regional Grantee, lists data warnings and possible data errors that need to be checked. The report is run in real time so it is continuously updated and available to data entry personnel. Data entry personnel review the report for his or her respective Regional Grantee, cross checking against the IFSP and following up with Regional Grantee and local IFSP team members as needed. Types of warnings in the report include possible duplicate children, questionable age/IFSP age-eligibility combination, blank code, invalid program/service combination, and invalid full-part time code. The Verification Report is monitored by the Lead Agency to ensure that Regional Grantees regularly access and review potential errors during the two critical seasons for data entry (count/setting and exit).

**Step 4.** Lead Agency data personnel periodically review IMS, personnel, and discipline data and contact IMS and Regional Grantee staff with specific accuracy concerns above and beyond the Verification Report to rectify any data abnormalities.

Iowa's Part C data entry personnel (IMS) continued to work with Project EASIER (Electronic Access System for Iowa Education Records) to track individual data. Project EASIER is the Iowa Department of Education's initiative involving the transfer of individual child/student records. The mission of the project is to reduce data burden, encourage better decision-making by establishing and maintaining a cost effective method of accessing and transferring accurate and timely education information among school districts, Area Education Agencies, post-secondary institutions and the Iowa Department of Education.

Further, the Lead Agency continued to improve data entry procedures and revised data collection forms and database fields and provided ongoing training to Regional Grantee data personnel. The Regional Grantees conducted additional verification checks with guidance from the Lead Agency on data for Indicators C1, C3, C7, and the 618 Children Served, Settings and Exit Tables. All Regions verified and/or made timely corrections as needed to assure data were accurate before final reporting. The I-STAR web-based database allows for direct data entry thereby removing one level of possible data entry error. The Lead Agency also conducted a verification check on the I-STAR data used in Indicators C4, C8 and related requirements for all indicators.

**Analysis of data to identify concerns.** The Lead Agency, Regional Grantees, and IMS personnel analyzed specific results of SPP and APR indicator data for timely services, natural environments, early childhood outcomes, family outcomes, timely evaluations, child find, and transition information. Trend data were analyzed to ensure that accurate data were being collected on the IFSP and entered into the data system.

**Analysis of policies, procedures, and practices.** Iowa furthered its efforts to improve procedural consistency during this reporting period. In March 2009, the Regional Grantees (Area Education Agencies – AEAs) adopted one Part C Procedures Manual that they developed in conjunction with the Lead Agency. The same manual was adopted by one of the Signatory Agencies who provides service coordination and nutrition services. Both manuals were reviewed and approved by the Lead Agency to assure consistency with Part C federal and state requirements.

The Lead Agency and the Part C Procedure Manual Committee jointly designed and produced training DVDs, adult-learning activities and documents to be used by designated trainers at local trainings. Training materials, activities and support for the designated trainers were provided by the Committee and Lead Agency.

A total of 901 personnel from 13 disciplines across the state were trained, including support staff and administrators. Full implementation of the procedures by all Regional Grantees and the Signatory Agency was completed by September 1, 2009. The manual's definitions and requirements, examples and non-examples, If-Then tables, and procedural step tables helped clarify procedural expectations. Practitioners reported that the manual clarified issues that the field had raised and was a useful reference tool as questions arose. Training data revealed more clarification and guidance were still needed on the

following topics and Regional Grantees and Signatory Agencies made plans to provide ongoing support and technical assistance:

- Children with IFSPs transferring from other states;
- Report writing;
- Decisions and scenarios regarding eligibility determination, parent declines and needed documentation;
- Procedures and documentation regarding parent withdrawal of consent for services; and
- Documents required for child's record.

The Part C Procedures Manual Committee continued to operate to support implementation and address needed refinements and additions to the Manual including linking documents that provide best practices and clarifying information (e.g. scenarios; etc.).

During the prior and current reporting year, the Lead Agency, Regional Grantees, and Iowa's Information Management System (IMS) collaborated to design, program and test a web-based Individualized Family Service Plan (web IFSP) system. The web-based system was designed to address four priorities: 1) decrease service coordinator documentation burdens, 2) improve quality of data collection, 3) increase use of data reports for improvement planning, and 4) increase efficient access for data verification and monitoring. One Regional Grantee piloted the system in the fall of the current reporting year and refinements were made. Training of all Regional Grantee designated trainer teams occurred in the winter/spring. Full implementation was required to start July 1, 2010 (in the next reporting year).

**Technical assistance.** The Lead Agency, Regional Grantees, and IMS personnel conducted regular meetings during the current reporting year. The focus of the meetings was to ensure ongoing accuracy and timeliness of data. Personnel were trained in required information and accurate data entry for maintenance of indicator and 618 data. Training was also provided to assist personnel in understanding verification and validation reports (provided after data entry) and how to make any necessary changes to entered data. The Lead Agency also worked collaboratively with Regional Grantee leadership during regularly scheduled meetings to ensure accurate and timely data for Indicators C1 through C8.

The Lead Agency monitored Regional Grantee improvement activities throughout the year. Each region submitted year end reports to document improvement activities. Activities included: training, ongoing support for file reviews that focused on increased reliability and validity of data for Indicators C1 Timely Services; C7 Timely Evaluations and Initial IFSP Meetings; and C8 Transition. Regional Grantees indicated that they periodically used the IMS verification reports to monitor their agencies' performance and accurate data collection on this requirement.

**Ongoing monitoring and enforcement as needed.** In the current reporting year, Lead Agency consultants responsible for Part C data, program and monitoring continued to review data and collection procedures to assure timely and accurate data. Regional Grantees are notified of data reporting requirements in their annual IDEA Part C Regional Grantee Applications for federal funds. Timely and accurate data is one of the criteria for their annual Determinations. All Regions responded timely to all Lead Agency requests for data and verification activities and made timely corrections before data were used for reporting. ***In the prior and current reporting year, no findings of noncompliance were identified for timely and accurate data.***

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

There are no revisions to Iowa's proposed targets, improvement activities, timelines, or resources. In order to maintain target performance, the Lead Agency will continue to implement activities outlined in the State Performance Plan.