

**Early Steps Continuous Improvement Process  
Determinations Criteria  
2010-2011**

Period of Review for which determinations will be made:  
July 1, 2009 – June 30, 2010

<b>INDICATORS / PROBES TO BE CONSIDERED IN MAKING DETERMINATIONS</b>			
Indicator 1	Services are provided in a timely manner	QA Probe II.4.2.(b)	Child Record Review
Indicator 7	Initial IFSP takes place within 45 days or referral	QA Probe II.1.6.(b)	Child Record Review
Indicator 8A	IFSP includes steps and services for transition	QA Probe III.1.2	Child Record Review
Indicator 8B	The local education agency is notified of potentially eligible children.	QA Probe III.1.1	Child Record Review
Indicator 8C	A transition conference is held at least 90 days prior to the child's third birthday.	QA Probe III.1.3.(b)	Child Record Review
Indicator 9	Noncompliance is corrected within one year of identification.	N/A	Noncompliance Tracking
N/A	Annual and periodic reviews of the IFSP are held as required	QA Probe II.1.7.(b)	Child Record Review

**Meets Requirements**

For all identified probes:

QA Score of 75% - 100% on QA 2010-2011;

**AND**

Noncompliance identified in 2009-2010 was corrected within one year of identification;

**AND**

Noncompliance identified in 2008-2009 or any prior year has been corrected.

**Needs Assistance**

One or more probes meet the following criteria and all other probes meet the above criteria:

The LES achieved a score of  $\leq 74\%$  on 2010-2011 QA;

**AND**

Noncompliance identified in 2009-2010 was corrected within one year of identification;

**AND**

Noncompliance identified in 2008-2009 or any prior year has been corrected.

**OR**

Noncompliance identified in 2009-2010 was not corrected within one year of identification.

**OR**

Noncompliance identified in 2009-2010 or any prior year has not yet been corrected and there has been a score of 90% or greater on a subsequent correction activity.

**OR**

Noncompliance identified in 2009-2010 or any prior year has not yet been corrected and the LES has demonstrated improvement that meets or exceeds the statewide average (either on QA or correction activity).

### **Needs Intervention**

One or more probes meet the following criteria:

Noncompliance identified in 2009-2010 or any prior year has not yet been corrected and the LES has demonstrated some improvement (either on QA or correction activity).

**OR**

Does not meet criteria for Meets Requirements, Needs Assistance, or Needs Substantial Intervention.

### **Needs Substantial Intervention**

Two or more probes meet the following criteria:

Noncompliance identified in 2009-2010 or any prior year has not yet been corrected and the LES has demonstrated no improvement (either on QA or correction activity).

**OR**

The failure to substantially comply significantly affects the core requirements of the program, such as the delivery of services to eligible children or the LES has informed the Early Steps State Office that it is unwilling to comply.

### **Other Factors to be Considered in Determinations Decisions:**

**DATA:** Is data valid and reliable?

<b>DATA PROBES TO BE CONSIDERED</b>	
QA Probe II.1.6 (c)	Barrier code is entered if initial IFSP more than 45 days
QA Probe III.1.3(c)	Transition conference date is entered into data system
QA Probe III.1.3(d)	Barrier code if transition conference date is late
QA Probe IV.2.2	FSPSAs are accurate.

Data is valid and reliable if:

There are no instances of uncorrected historical noncompliance with data probes.

**Audit Reports specify no material weaknesses, reportable conditions, or other significant findings**

The audit report submitted in accordance with OMB Circular A-133 and the report of any audit conducted by the Department of Health Contract Administration unit specify no material weaknesses, reportable conditions, or other findings that are likely to compromise program operations.

**OR**

One or both of the audit reports mentioned above specifies material weaknesses, reportable conditions, or other findings and the provider has complied with the required corrections in the manner and timeframe specified in the audit report.

Decision consideration: If data is not valid and reliable and/or the audit report(s) specifies material weaknesses, reportable conditions, or other findings which have not been corrected, the Determination of the LES will be moved to the next lowest Determination level.

**DETERMINATIONS TIMEFRAMES**

Each LES will be notified in writing by April 30, 2011 of its determination category.

**APPEALS PROCESS**

In the event an LES Director/Coordinator disagrees with the determination designation for the LES, a written statement must be submitted to the Bureau Chief of the Early Steps State Office. This statement must be submitted within 30 days of the LES's receipt of the determination notification and should include rationale and supporting documentation for the disagreement.