

	<b>INDIANA DEPARTMENT OF CHILD SERVICES TITLE IV-D POLICY MANUAL</b>	
	<b>Chapter 20: Other Child Support Related Topics</b>	<b>Effective Date: 04/06/2022</b>
	<b>Section 5: Self-Assessment</b>	<b>Version: 1.1 Revision Date: 04/06/2022</b>

**BACKGROUND**

State Title IV-D programs are required to implement an annual self-assessment review and report process.<sup>1</sup>

Indiana’s annual self-assessment is performed by the Field Consultants of the County Relations Unit (CRU) and the Program Support Unit of the Child Support Bureau (CSB). The self-assessment review measures Indiana’s performance on the federally established self-assessment criteria. Results are submitted by CSB via a report filed with the Office of Child Support Services (OCSS).

CSB must ensure the annual self-assessment review meets all federal requirements and must maintain responsibility for, and control of, the results produced and the contents of the annual report that is submitted to OCSS.<sup>2</sup>

**POLICY**

Indiana does not review the entire Title IV-D caseload. Indiana uses the federal sampling methodology to select a sample of cases from the State’s entire caseload during the review period for the annual self-assessment review.<sup>3</sup> The self-assessment review must cover a 12-month period.<sup>4</sup> This 12-month period corresponds to the federal fiscal year. All cases selected are reviewed for each of the following compliance criteria to the extent applicable:

1. Case closure;
2. Establishment of paternity and a support order;
3. Expedited Processes - six (6) and 12 months;
4. Enforcement of orders;
5. Disbursement of collections;
6. Securing and enforcing medical support orders;
7. Review and adjustment of orders; and
8. Intergovernmental services.<sup>5</sup>

The self-assessment process requires States to measure and report their compliance in each criterion. Self-assessment is designed to identify whether corrective action is necessary to

<sup>1</sup> 42 U.S.C. § 654(15)(A)

<sup>2</sup> 45 C.F.R. § 308.1(a)

<sup>3</sup> 45 C.F.R. § 308.1(b)

<sup>4</sup> 45 C.F.R. § 308.1(d)

<sup>5</sup> 45 C.F.R. § 308.2

improve a State's compliance in meeting federal compliance standards in each of the required criteria.

Federal regulations require that Indiana meet a minimum compliance standard of 75% for the following self-assessment criteria: Establishment of Paternity and Support Orders, Enforcement of Orders, Disbursement of Collections, Medical Support Enforcement, Review & Adjustment, Expedited Process (6 months), and Interstate Services.

Federal regulations require that Indiana meet a 90% minimum compliance standard for Case Closure and Expedited Process (12 months) criteria.

If the minimum compliance standard is not met for any of the required program criteria, then the State must create and submit to OCSS:

1. A statewide corrective action plan that explains the performance discrepancy;
2. A plan to improve performance in the affected category or categories for the upcoming year; and
3. The projected outcome for the State as a whole from the corrective action plan.<sup>6</sup>

## REFERENCES

- [42 U.S.C. § 654](#): State plan for child and spousal support
- [45 C.F.R. § 303.101](#): Expedited Processes
- [45 C.F.R. § 308.1](#): Self-assessment implementation methodology
- [45 C.F.R. § 308.2](#): Required program compliance criteria

## PROCEDURE

### 1. Case Universe Creation

At the close of every federal fiscal year, the self-assessment case universe is created using the federal methodology sampling requirements. The case universe represents the sample set of cases that will be reviewed for self-assessment out of all possible open and closed Title IV-D cases in the State. Once the case universe has been created, the sample size is run through the sampling methodology until a minimum of five (5) open cases and one (1) closed case are selected for all 92 counties in the State. The total number of cases assigned to a county for review varies depending on their size; larger counties tend to have more cases assigned for review than smaller counties.

### 2. Case Review

After all the cases have been selected for a county, CSB's Program Support Unit coordinates with the Field Consultants to conduct the self-assessment reviews for each county. The Field Consultants are responsible for reviewing and scoring cases that are selected for the self-assessment review. During the review period, Field Consultants may contact the Title IV-D Prosecutor's Offices as needed for clarification regarding case information. All review results are entered into the self-assessment database by the end of December of the review year. After the Field Consultants

<sup>6</sup> 45 C.F.R. § 308.1(e)(1)(2)

complete their reviews and identify cases with errors, Program Support reviews the scores submitted by the Field Consultants for every self-assessment case. Program Support conducts a more in-depth review of cases with errors, cases that were closed or excluded, and a random sample of cases for each county that were identified as not having any errors. If there are any discrepancies between the Field Consultant's findings and Program Support's review, Program Support will contact the assigned Field Consultant to try to resolve the discrepancy.

After completion of the statewide review, Program Support sends each Title IV-D Prosecutor's Office, as well as the assigned Field Consultant, a communication that includes preliminary results of the self-assessment review. The preliminary results provide the Title IV-D Prosecutor's Offices with either: 1) a list of cases with errors and a brief explanation of the errors, or 2) notification that they passed the self-assessment review with no errors.

If a Title IV-D Prosecutor's Office receives a list of cases with potential errors, the Title IV-D Prosecutor's Office has the opportunity to provide Program Support additional information that may be considered to pass the cases. Program Support will review any additional information that might be submitted by the Title IV-D Prosecutor's Office and make changes to the case's scoring in the database as needed.

The self-assessment case universe and the Self-Assessment Complete Guide are published on the Child Support Resources website (CSR) as resources for the Title IV-D Prosecutor's Offices. This allows the Title IV-D Prosecutor's Office to review their selected cases for any possible errors.

### 3. Data Analysis and Results: County Level

Each county's self-assessment results are compiled into a final report that is prepared and sent to the Title IV-D Prosecutor's Office's County Security Administrator (CSA), or a contact person of the county's choosing. This report details the specific county's results, the overall State results, and cases in the county that were determined to not meet the federal compliance thresholds. Indiana uses federal passing thresholds for each county. For example, if a county has three (3) cases selected, but one (1) case does not meet all performance criteria, then the pass rate for the county would be 66.7%. If a county meets the required compliance threshold for each of the criteria on every case reviewed, then they have passed the self-assessment review for the year, and no further actions are necessary by the Title IV-D Prosecutor's Office.

If a county does not meet all federal compliance thresholds for all the cases reviewed, then the county must complete a corrective action plan. The county corrective action plan details what required program compliance threshold(s) was not met and outlines the county's plans to improve performance in cases relating to the identified criteria during the next fiscal year. The county corrective action plan is signed by a representative of the Title IV-D Prosecutor's Office and returned to Program Support.

### 4. Data Analysis and Results: State Level

Program Support creates a final report of the State's overall results which is submitted to OCSS's Regional Office and the OCSS Commissioner no later than six (6) months

after the end of the review period.<sup>7</sup> The report of findings that is submitted to OCSS contains:

- a. Historical data from the previous review year;
- b. An executive summary, including a summary of the mandatory program criteria findings;<sup>8</sup>
- c. A description of optional program areas covered by the review;<sup>9</sup>
- d. A description of sampling methodology used;<sup>10</sup>
- e. The results of the self-assessment review;<sup>11</sup> and
- f. A description of the corrective actions proposed and/or taken.<sup>12</sup>

Upon completion of the final report, it is submitted to OCSS electronically through the Federal Parent Locate Services State Portal. The final report is also posted to the CSR.

If a statewide corrective action plan was warranted for not meeting all of the federal compliance thresholds, Program Support will prepare the corrective action plan and submit it with the final report to OCSS. Program Support will also coordinate and monitor the implementation of the corrective action plan. If no corrective action plan was required for the State, then the self-assessment review is considered completed for the fiscal year.

## FORMS AND TOOLS

1. [FFY 2022 Self-Assessment State Report](#)
2. [Self-Assessment Coding Sheet 2022](#)
3. [Self-Assessment Complete Guide 2022](#)

## FREQUENTLY ASKED QUESTIONS

1. Q. What is expedited processes?
  - A. Expedited processes refers to the administrative and judicial processes that States must have in effect and use to establish a child support order on a Title IV-D case. When a support order is needed, an action to establish a support order must be completed from the date of service of process to the time of disposition within six (6) months for 75% of cases reviewed, and twelve (12) months for 90% of cases reviewed<sup>13</sup>.

## RELATED INFORMATION

N/A

<sup>7</sup> 45 C.F.R. § 308.1(e)(2)(i)

<sup>8</sup> *Id.*

<sup>9</sup> 45 C.F.R. § 308.1(e)(2)(ii)

<sup>10</sup> 45 C.F.R. § 308.1(e)(2)(iii)

<sup>11</sup> 45 C.F.R. § 308.1(e)(2)(iv)

<sup>12</sup> 45 C.F.R. § 308.1(e)(2)(v)

<sup>13</sup> 45 C.F.R. § 303.101(a)(b)(2)(i)

<b>REVISION HISTORY</b>
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<b>Version</b>	<b>Date</b>	<b>Description of Revision</b>
Version 1	01/29/2020	Final approved version
Version 1.1	04/06/2022	Updated hyperlinks; Reviewed for accuracy
	08/22/2023	Changed Office of Child Support Enforcement (OCSE) to Office of Child Support Services (OCSS)