

	INDIANA DEPARTMENT OF CHILD SERVICES TITLE IV-D POLICY MANUAL	
	Chapter 20: Other Child Support Related Topics	Effective Date: 01/29/2020
	Section 5: Self-Assessment	Version: 1 Revision Date: 01/29/2020

BACKGROUND

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

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 Enforcement (OCSE).

CSB must ensure the annual self-assessment review meets all federal requirements, and must maintain and control the results produced and the contents of the annual report that is submitted to OCSE.² The self-assessment process begins each year by creating a universe of cases to be reviewed.

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.³ The self-assessment review must cover a twelve (12) month period.⁴ This twelve (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 twelve (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.⁵

¹ 42 U.S.C. § 654(15)(A)

² 45 C.F.R. § 308.1(a)

³ 45 C.F.R. § 308.1(b)

⁴ 45 C.F.R. § 308.1(d)

⁵ 45 C.F.R. § 308.2

The self-assessment process requires states to measure and report their compliance in each criteria. Self-assessment is designed to identify whether corrective action is necessary to improve compliance to meet federal compliance thresholds in each of the required criteria. The federal compliance thresholds for case closure and expedited process twelve (12) months is set at 90% of the cases reviewed. Expedited process 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 reviewed⁶.

For example, the expedited process criteria evaluates whether the child support order has been established within the required timeframe. Once the Respondent has been notified of the hearing through process of service, the child support order should be established within six (6) months from the date of service for 75% of cases randomly selected for the self-assessment review. The child support order should be established within twelve (12) months for 90% of cases reviewed for self-assessment.

The federal compliance thresholds for paternity and child support order establishment, enforcement, disbursement, medical support, review and adjustment, intergovernmental services, and six (6) month expedited processes is 75% of cases reviewed.⁷

If a compliance threshold is not met for any of the required program criteria, then the state must create and submit to OCSE:

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.⁸

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 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

⁶ 45 C.F.R. § 303.101(a)(b)(2)(i)

⁷ *Id.*

⁸ 45 C.F.R. § 308.1(e)(1)

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, the Field Consultant for that county is responsible for reviewing and coding those cases into the self-assessment database, which holds and stores all data for this review. All self-assessment review results are entered into the database by the end of December of the review year.

Program Support uses the information submitted by the Field Consultants in the self-assessment database to review every case where an error is found in any of the self-assessment criteria. Program Support also checks cases from every county that meet all of the self-assessment compliance criteria. Program Support will contact the Field Consultant for the appropriate county at the completion of the review if any discrepancies are found between Program Support and the Field Consultant's reviews.

If a county initially does not meet a compliance criteria on a case, Program Support provides a list of preliminary results to each county Title IV-D Prosecutor's office contact listing cases that have initially determined to fail, the self-assessment category it has failed for, and the reason for the fail. The communication to the county is also sent to the county's field consultant and requests that the county provide any additional information that should be considered in reviewing the case. Program Support will review any additional information that might be submitted by the Title IV-D Prosecutor and make changes to the case's scoring in the database as needed.

The total case universe selected for self-assessment and the Self-Assessment Complete Guide are published as resources for the Title IV-D Prosecutors on the Child Support Resources website (CSR). This allows the Title IV-D Prosecutor 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 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.

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 overall state's results which is submitted to OCSE's Regional Office and the OCSE Commissioner no later than six (6) months after the end of the review period.⁹ The report of findings that is submitted to OCSE contains:

- a. Historical data from the previous review year;
- b. An executive summary, including a summary of the mandatory program criteria findings;¹⁰
- c. A description of optional program areas covered by the review;¹¹
- d. A description of sampling methodology used;¹²
- e. The results of the self-assessment review;¹³ and
- f. A description of the corrective actions proposed and/or taken.¹⁴

Once the final report is approved by CSB, it is submitted to OCSE 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 OCSE. 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

[Self-Assessment Complete Guide](#)
[Self-Assessment Coding Sheet 2019](#)
[Federal Self-Assessment Report FFY ending 09/30/2017](#)

FREQUENTLY ASKED QUESTIONS

N/A

RELATED INFORMATION

N/A

⁹ 45 C.F.R. § 308.1(e)(2)(i)

¹⁰ *Id.*

¹¹ 45 C.F.R. § 308.1(e)(2)(ii)

¹² 45 C.F.R. § 308.1(e)(2)(iii)

¹³ 45 C.F.R. § 308.1(e)(2)(iv)

¹⁴ 45 C.F.R. § 308.1(e)(2)(v)