

ME
Part C

FFY2017
State Performance Plan /
Annual Performance Report

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR) Introduction to the State Performance Plan (SPP)/Annual Performance Report (APR)

Executive Summary:

Child Development Services (CDS) is a quasi-governmental agency responsible for the implementation of Part C and Part B 619. As described in the state statute: The Maine Department of Education (MDOE) Commissioner "shall establish and supervise the state intermediate educational unit. The state intermediate educational unit is established as a body corporate and politic and as a public instrumentality of the State for the purpose of conducting child find activities as provided in 20 United States Code, Section 1412 (a)(3) for children from birth to under 6 years of age, ensuring the provision of early intervention services for eligible children from birth to under 3 years of age and ensuring a free, appropriate public education for eligible children at least 3 years of age and under 6 years of age." MRSA 20-A§7209(3)

CDS, an intermediate educational unit (IEU) has nine regional locations that serve as system points of entry for Part C and 619 and one state office. The state CDS office maintains a central data management system, system-wide policies and procedures, system-wide contracts for service providers, and centralized fiscal services.

Despite advance training of staff and contracted providers in the use of Maine Child Information Network Connection (CINC), significant subsequent trainings, as well as fine tuning/troubleshooting of the data system throughout this year, were necessary to ensure the entry of accurate, high quality data.

Attachments

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General Supervision System:

The systems that are in place to ensure that IDEA Part C requirements are met, e.g., monitoring systems, dispute resolution systems.

CDS implements the General Supervision System for Part C and Part B 619 in Maine that was developed in conjunction with MDOE. Monitoring, findings, corrections and implementation of Individuals with Disabilities Education Act (IDEA) and Maine Unified Special Education Regulation (MUSER) are the primary responsibilities for the CDS Data Manager, under the direction of the Part C State Coordinator/State Director of the State Intermediate Educational Unit (IEU)

All Sites are monitored, provided letter of findings, required to submit corrective action plans and are provided determinations annually. The Commissioner of Education provides certification of the information by submitting the letters of findings. CDS State IEU has adopted the Part B due process procedures and utilizes the MDOE Due Process office to fulfill the requirements of IDEA.

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Technical Assistance System:

The mechanisms that the State has in place to ensure the timely delivery of high quality, evidenced based technical assistance and support to early intervention service (EIS) programs.

The CDS State Director continues to serve as both the Early Intervention Technical Adviser and the Part C Coordinator. In this dual role, the CDS State Director provides assistance to any and all early intervention providers in Maine, as needed or as determined, to ensure compliance with federal Part C indicators and progress toward targets. This position is also responsible for ensuring the Routines-Based Early Intervention (RBEI) model is implemented with fidelity.

The CDS State Director, in collaboration with Regional Early Intervention Program Managers, continually reviews State Part C data and revises procedures and policies as needed to ensure compliance with and movement toward federal Part C indicators and fidelity to the RBEI model. This continuous improvement approach results in ongoing data review and timely guidance to the field.

The CDS State Director also works closely with the State 619 Coordinator, the State Data Manager, and Regional Early Intervention Program Managers to ensure that there is an understanding of roles and responsibilities in each program as related to transition and to develop materials to support smooth transition of children who are turning three. The CDS State Director and other State Leadership representatives and site-level leadership representatives also represent CDS on a number of state and local committees as well as state and local multiagency collaboratives.

CDS requested technical assistance in the areas of fiscal, eligibility, timelines, C to B transition, General Supervision System, APR, SSIP, data systems, and data analysis from the IDEA Data Center (IDC), the Early Childhood Technical Assistance Center (ECTACenter), the Center for IDEA Early Childhood Data Systems (DaSy), Infant and Toddler Coordinators Association (ITCA) and the National Center for Systemic Improvement (NCSI). CDS State IEU personnel participated in OSEP, DaSY, ECTACenter, and NCSI teleconferences and conferences as frequently as possible.

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No APR attachments found.		

Professional Development System:

The mechanisms the State has in place to ensure that service providers are effectively providing services that improve results for infants and toddlers with disabilities and their families.

In FFY2017, CDS continues its efforts, initially addressed through its State Personnel Development Grant, "to increase the percentages of children, ages birth-two, receiving timely, evidence-based early intervention services in their natural environments by qualified personnel". These efforts include the initial training of new staff and contracted providers on all components of RBEI, including family ecology, child and family needs assessment, participation-based outcomes, support-based home visits, and collaborative consultation to childcare. All staff and contracted providers receive ongoing fidelity checks on the above components and subsequent focused trainings are developed based on the results of those fidelity checks.

Regional sites have also conducted professional development needs assessments and accessed trainings based on the results of those assessments. These topics include effective sleep practices, neonatal abstinence syndrome, mental health, cultural competency, and regional resources/partners.
2/1/2019

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

CDS State Leadership has also continued its involvement in a number of state initiatives for the purposes of collaboration, pooling of resources, and the reduction of silos. These include:

The Developmental Systems Integration (DSI) project (a sub-group of Maine Quality Counts), the goal of which is to increase the statewide rate of developmental screenings, to ensure the sharing of those results appropriate agencies, and to support referrals of families to relevant resources. DSI is also currently developing a cross-sector Care Coordinator training to ensure that all care coordinators have a foundational knowledge of care coordination best practices and awareness of available resources.

The Maine Education Center for the Deaf and Hard of Hearing (MECDHH) Community of Practice which focuses on refining the process of fully integrating professionals with expertise in working with Deaf and hard of hearing infants, toddlers and their families into CDS' implementation of RBEI.

Early Start Maine, a collaboration between CDS and the Maine Autism Institute for Education and Research (MAIER), which supports CDS' implementation of the Early Start Denver Model (ESDM). This collaboration has been successful in fully implementing evidence-based ABA services, in the natural environment, to infants, toddlers and their families.

The Childcare Advisory Council, through which stakeholders work to improve the quality of Maine childcares to impact child outcomes.

Attachments

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Stakeholder Involvement: apply this to all Part C results indicators

The mechanism for soliciting broad stakeholder input on targets in the SPP, including revisions to targets.

The CDS State IEU utilizes the State Interagency Coordinating Council (SICC) to solicit broad stakeholder input on the State Performance Plan (SPP) and annual Performance Report (APR) including revisions and setting targets. In addition, the SICC also discusses Part C trends and identifies priorities for Maine's Part C program. The SICC currently meets quarterly, however a recent infusion of new members has resulted in its reinvigoration and more frequent meetings are likely.

CDS also works closely with regional site leadership and staff, contracted providers, and other State entities such as the Maine Education Center for Deaf/Hard of Hearing, the Maine Autism Institute for Education and Research, Maine Families Home Visiting, Maine Center for Disease Control's Children with Special Healthcare Needs, Child Welfare, and Early Head Start. These collaborations allow for the pooling of resources and increase stakeholder engagement with the Part C Programs. As a result, those stakeholders impact, both directly and indirectly, Maine's performance on federal indicators.

CDS is also involved in a number of initiatives in Maine where information is gathered from and shared in relation to Early Intervention Services and the success and challenges the State faces for infants and toddlers. Like the SICC these initiatives have cross sector representation.

Attachments

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No APR attachments found.		

Reporting to the Public:

How and where the State reported to the public on the FFY 2016 performance of each EIS Program or Provider located in the State on the targets in the SPP/APR as soon as practicable, but no later than 120 days following the State's submission of its FFY 2016 APR, as required by 34 CFR §303.702(b)(1)(i)(A); and a description of where, on its Web site, a complete copy of the State's SPP, including any revision if the State has revised the SPP that it submitted with its FFY 2016 APR in 2018, is available.

Reports to the public on the performance of the regional sites (EIS programs) are available on the CDS website at <https://www.maine.gov/oe/cds/stateperformance>, as required by 34 CFR §303.702(b)(1)(i)(A). In addition to the SPP/APR, CDS' "Reporting" webpage also includes CDS' Letters of Determination, State Systemic Improvement Plan, and Annual Legislative Report.

Attachments

File Name	Uploaded By	Uploaded Date
No APR attachments found.		

Actions required in FFY 2016 response

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**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 1: Timely provision of services**

Monitoring Priority: Early Intervention Services In Natural Environments

Compliance indicator: Percent of infants and toddlers with Individual Family Service Plans (IFSPs) who receive the early intervention services on their IFSPs in a timely manner.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target			100%	100%	100%	100%	100%	100%	100%	100%	100%
Data		91.00%	95.40%	94.50%	91.00%	92.90%	99.00%	97.00%	99.00%	99.58%	99.17%

FFY	2015	2016
Target	100%	100%
Data	99.03%	93.26%

Key: Gray – Data Prior to Baseline Yellow – Baseline

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target	100%	100%

FFY 2017 SPP/APR Data

Number of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner	Total number of infants and toddlers with IFSPs	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
646	703	93.26%	100%	93.17%

<p>Number of documented delays attributable to exceptional family circumstances <i>This number will be added to the "Number of infants and toddlers with IFSPs who receive their early intervention services on their IFSPs in a timely manner" field above to calculate the numerator for this indicator.</i></p>	9
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Include your State's criteria for "timely" receipt of early intervention services (i.e., the time period from parent consent to when IFSP services are actually initiated).
 Maine's criteria for "timely" receipt of early intervention services is no later than 30 days from the parental consent of initiation of services.

What is the source of the data provided for this indicator?

- State monitoring
- State database

Provide the time period in which the data were collected (e.g., September through December, fourth quarter, selection from the full reporting period).

Data collected from the full reporting period of July 1, 2017 through June 30, 2018.

Describe how the data accurately reflect data for infants and toddlers with IFSPs for the full reporting period.

Data accurately reflects data for infants and toddlers with IFSPs for the full reporting period since a full reporting period is used (July 1, 2017 through June 30, 2018). The full year data has historically been used to calculate timeliness of services.

Actions required in FFY 2016 response

none

Note: Any actions required in last year's response table that are related to correction of findings should be responded to on the "Correction of Previous Findings of Noncompliance" page of this indicator. If your State's only actions required in last year's response are related to findings of noncompliance, a text field will

Correction of Findings of Noncompliance Identified in FFY 2016

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
2	2	0	0

FFY 2016 Findings of Noncompliance Verified as Corrected

Describe how the State verified that the source of noncompliance is correctly implementing the regulatory requirements

Prior to considering any finding from FFY 2016 corrected, CDS State IEU verified that each regional site with noncompliance: (1) was correctly implementing 34 CFR §§303.340(c), 303.342(e), and 303.344(f)(1) (i.e., achieved 100% compliance) based on updated data such as data subsequently collected through on-site monitoring or the State data system (Case-e); and (2) has corrected each individual case of noncompliance and has provided services although late for any child whose services were not delivered timely, unless the child is no longer within the jurisdiction of the regional site, consistent with OSEP Memorandum 09-02, dated October 17, 2008 (OSEP Memo 09-02).

Describe how the State verified that each individual case of noncompliance was corrected

Specifically, to verify that each regional site was correctly implementing the requirements, CDS State IEU reviewed subsequent updated data from CINC and verified subsequent data submitted through regional site self-assessments and compliance reports submitted by each regional site. The subsequent time period for which each program was required to demonstrate 100% compliance with the specific regulatory requirements varied based on the level of noncompliance identified in the program.

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 2: Services in Natural Environments**

Monitoring Priority: Early Intervention Services In Natural Environments

Results indicator: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target ≥			91.00%	92.00%	93.00%	94.00%	95.00%	95.00%	95.00%	95.00%	95.00%
Data		89.00%	85.00%	87.00%	90.00%	85.00%	91.00%	88.00%	98.00%	99.40%	99.89%

FFY	2015	2016
Target ≥	95.00%	95.00%
Data	98.79%	98.40%

Key: Gray – Data Prior to Baseline Yellow – Baseline Blue – Data Update

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target ≥	95.00%	96.00%

Key:

Targets: Description of Stakeholder Input

On January 15, 2015 the State Interagency Coordinating Council (SICC) convened to review indicator baselines, discuss target trends and identify targets for C2 from FFY2013 through FFY2018. The SICC is made up of members appointed by the governor of the state, for the purpose of advising and assisting the Lead Agency in the implementation of the Part C program, including the development of the SPP. Target data was presented to the SICC by describing trends and results of regression analyses and exponential smoothing. SICC members discussed potential root causes of performance that did not meet the targets in the previous SPP. Stakeholders made recommendations of performance targets given current and potential improvement activities. The ICC's recommendations for targets were considered for the development of the State Performance Plan.

Prepopulated Data

Source	Date	Description	Data	Overwrite Data
SY 2017-18 Child Count/Educational Environment Data Groups	7/11/2018	Number of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	908	
SY 2017-18 Child Count/Educational Environment Data Groups	7/11/2018	Total number of infants and toddlers with IFSPs	915	

FFY 2017 SPP/APR Data

Number of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings	Total number of infants and toddlers with IFSPs	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
908	915	98.40%	95.00%	99.23%

Actions required in FFY 2016 response

none

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 3: Early Childhood Outcomes

Monitoring Priority: Early Intervention Services In Natural Environments

Results indicator: 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)

Does your State's Part C eligibility criteria include infants and toddlers who are at risk of having substantial developmental delays (or "at-risk infants and toddlers") under IDEA section 632(5)(B)(i)? **No**

Historical Data

	Baseline Year	FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
A1	2008	Target ≥						52.00%	53.00%	53.00%	53.00%	53.00%	53.00%
		Data					51.50%	43.50%	42.00%	40.00%	24.00%	44.70%	55.40%
A2	2008	Target ≥						40.00%	41.00%	41.00%	41.00%	41.00%	41.00%
		Data					39.70%	42.10%	52.00%	50.00%	37.00%	54.87%	60.13%
B1	2008	Target ≥						59.00%	60.00%	60.00%	60.00%	60.00%	60.00%
		Data					59.10%	53.50%	52.00%	39.00%	37.00%	54.05%	67.73%
B2	2008	Target ≥						26.00%	27.00%	27.00%	27.00%	27.00%	27.00%
		Data					25.60%	26.80%	33.00%	26.00%	23.00%	33.33%	35.56%
C1	2008	Target ≥						52.00%	53.00%	53.00%	53.00%	53.00%	53.00%
		Data					51.50%	54.70%	56.00%	51.00%	48.00%	61.11%	67.24%
C2	2008	Target ≥						37.00%	38.00%	38.00%	38.00%	38.00%	38.00%
		Data					37.20%	38.60%	48.00%	43.00%	34.00%	58.28%	63.09%

	FFY	2015	2016
A1	Target ≥	53.00%	53.00%
	Data	59.52%	64.03%
A2	Target ≥	41.00%	41.00%
	Data	44.03%	41.67%
B1	Target ≥	60.00%	60.00%
	Data	71.69%	73.59%
B2	Target ≥	27.00%	27.00%
	Data	27.35%	29.94%
C1	Target ≥	53.00%	53.00%
	Data	67.97%	68.34%
C2	Target ≥	38.00%	38.00%
	Data	45.91%	41.36%

Key: Gray – Data Prior to Baseline Yellow – Baseline Blue – Data Update

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target A1 ≥	53.00%	54.00%
Target A2 ≥	41.00%	42.00%
Target B1 ≥	60.00%	61.00%
Target B2 ≥	27.00%	28.00%
Target C1 ≥	53.00%	54.00%
Target C2 ≥	38.00%	39.00%

Key:

Targets: Description of Stakeholder Input

On January 15, 2015 the State Interagency Coordinating Council (SICC) convened to review indicator baselines, discuss target trends and identify targets for C3 from FFY2013 through FFY2018. The SICC is made up of members appointed by the governor of the state, for the purpose of advising and assisting the Lead Agency in the implementation of the Part C program, including the development of the SPP. Target data was presented to the SICC by describing trends

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

and results of regression analyses and exponential smoothing. SICC members discussed potential root causes of performance that did not meet the targets in the previous SPP. Stakeholders made recommendations of performance targets given current and potential improvement activities. The ICC's recommendations for targets were considered for the development of the State Performance Plan.

FFY 2017 SPP/APR Data

Number of infants and toddlers with IFSPs assessed	726.00
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Outcome A: Positive social-emotional skills (including social relationships)

	Number of Children	Percentage of Children
a. Infants and toddlers who did not improve functioning	12.00	1.65%
b. Infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	204.00	28.10%
c. Infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	225.00	30.99%
d. Infants and toddlers who improved functioning to reach a level comparable to same-aged peers	163.00	22.45%
e. Infants and toddlers who maintained functioning at a level comparable to same-aged peers	122.00	16.80%

	Numerator	Denominator	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
A1. Of those children who entered or exited the program below age expectations in Outcome A, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program $(c+d)/(a+b+c+d)$.	388.00	604.00	64.03%	53.00%	64.24%
A2. The percent of infants and toddlers who were functioning within age expectations in Outcome A by the time they turned 3 years of age or exited the program $(d+e)/(a+b+c+d+e)$.	285.00	726.00	41.67%	41.00%	39.26%

Reasons for A2 Slippage

Southern and Central Maine continue to experience a significant influx of refugees. These "New Mainers" have often experienced significant trauma in their country of origin, in subsequent refugee camps, and in settling in a new country. This trauma and the challenge of working with families for whom English is their non-native language and for whom cultural norms regarding disability and related intervention are often different from the Part C providers can cause significant challenges in providing intervention with the same effectiveness as native Mainers. CDS is currently collaborating with regional cultural brokers and organizations to build stronger relationships with the New Mainer communities, to identify eligible infants and toddlers in a timely manner and to provide culturally responsive interventions. In addition, CDS hopes to participate in proposed statewide initiative to address trauma and adverse childhood experiences.

Outcome B. Acquisition and use of knowledge and skills (including early language/ communication)

	Number of Children	Percentage of Children
a. Infants and toddlers who did not improve functioning	10.00	1.38%
b. Infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	207.00	28.51%
c. Infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	283.00	38.98%
d. Infants and toddlers who improved functioning to reach a level comparable to same-aged peers	178.00	24.52%
e. Infants and toddlers who maintained functioning at a level comparable to same-aged peers	48.00	6.61%

	Numerator	Denominator	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
B1. Of those children who entered or exited the program below age expectations in Outcome B, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program $(c+d)/(a+b+c+d)$.	461.00	678.00	73.59%	60.00%	67.99%
B2. The percent of infants and toddlers who were functioning within age expectations in Outcome B by the time they turned 3 years of age or exited the program $(d+e)/(a+b+c+d+e)$.	226.00	726.00	29.94%	27.00%	31.13%

Outcome C: Use of appropriate behaviors to meet their needs

	Number of Children	Percentage of Children
a. Infants and toddlers who did not improve functioning	7.00	0.96%
b. Infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	183.00	25.21%
c. Infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	247.00	34.02%
d. Infants and toddlers who improved functioning to reach a level comparable to same-aged peers	208.00	28.65%

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

	Number of Children	Percentage of Children
e. Infants and toddlers who maintained functioning at a level comparable to same-aged peers	81.00	11.16%

	Numerator	Denominator	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
C1. Of those children who entered or exited the program below age expectations in Outcome C, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program (c+d)/(a+b+c+d).	455.00	645.00	68.34%	53.00%	70.54%
C2. The percent of infants and toddlers who were functioning within age expectations in Outcome C by the time they turned 3 years of age or exited the program (d+e)/(a+b+c+d+e).	289.00	726.00	41.36%	38.00%	39.81%

The number of infants and toddlers who did not receive early intervention services for at least six months before exiting the Part C program

The number of infants and toddlers who exited the Part C program during the reporting period, as reported in the State's part C exiting 618 data	990
The number of those infants and toddlers who did not receive early intervention services for at least six months before exiting the Part C program.	316

Please note that this data about the number of infants and toddlers who did not receive early intervention services for at least six months before exiting the Part C program is optional in this FFY16 submission. It will be required in the FFY17 submission.

Was sampling used? No

Did you use the Early Childhood Outcomes Center (ECO) Child Outcomes Summary (COS) process? Yes

List the instruments and procedures used to gather data for this indicator.

Maine uses the ECO process for COS. The form has been built into the statewide data system with validations to ensure every child has a COS form on file at entry and at exit from EI services if they have been in services for more than six months.

Actions required in FFY 2016 response

none

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 4: Family Involvement**

Monitoring Priority: Early Intervention Services In Natural Environments

Results indicator: 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)

Historical Data

	Baseline Year	FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
A	2006	Target ≥					89.00%	91.00%	91.00%	91.00%	91.00%	91.00%	91.00%
		Data			76.00%	85.00%	88.00%	76.00%	90.00%	88.00%	96.57%	96.41%	97.74%
B	2006	Target ≥					89.00%	91.00%	91.00%	91.00%	91.00%	91.00%	91.00%
		Data			85.00%	79.00%	92.00%	82.00%	92.00%	88.00%	96.59%	95.96%	98.19%
C	2006	Target ≥					89.00%	91.00%	91.00%	91.00%	91.00%	91.00%	91.00%
		Data			88.00%	85.00%	92.00%	82.00%	92.00%	94.00%	97.56%	95.07%	97.29%

	FFY	2015	2016
A	Target ≥	91.00%	91.00%
	Data	96.74%	96.55%
B	Target ≥	91.00%	91.00%
	Data	97.65%	96.55%
C	Target ≥	91.00%	91.00%
	Data	99.06%	96.55%

Key: Gray – Data Prior to Baseline Yellow – Baseline Blue – Data Update

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target A ≥	91.00%	92.00%
Target B ≥	91.00%	92.00%
Target C ≥	91.00%	92.00%

Key:

Targets: Description of Stakeholder Input

On January 15, 2015 the State Interagency Coordinating Council (SICC) convened to review indicator baselines, discuss target trends and identify targets for C4 from FFY2013 through FFY2018. The SICC is made up of members appointed by the governor of the state, for the purpose of advising and assisting the Lead Agency in the implementation of the Part C program, including the development of the SPP. Target data was presented to the SICC by describing trends and results of regression analyses and exponential smoothing. SICC members discussed potential root causes of performance that did not meet the targets in the previous SPP. Stakeholders made recommendations of performance targets given current and potential improvement activities. The ICC's recommendations for targets were considered for the development of the State Performance Plan.

FFY 2017 SPP/APR Data

Number of families to whom surveys were distributed	464.00
Number of respondent families participating in Part C	18.10% 84.00
A1. Number of respondent families participating in Part C who report that early intervention services have helped the family know their rights	79.00
A2. Number of responses to the question of whether early intervention services have helped the family know their rights	84.00
B1. Number of respondent families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs	82.00
B2. Number of responses to the question of whether early intervention services have helped the family effectively communicate their children's needs	84.00
C1. Number of respondent families participating in Part C who report that early intervention services have helped the family help their children develop and learn	81.00

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

C2. Number of responses to the question of whether early intervention services have helped the family help their children develop and learn	84.00
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	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
A. Percent of families participating in Part C who report that early intervention services have helped the family know their rights	96.55%	91.00%	94.05%
B. Percent of families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs	96.55%	91.00%	97.62%
C. Percent of families participating in Part C who report that early intervention services have helped the family help their children develop and learn	96.55%	91.00%	96.43%

Was sampling used? No

Was a collection tool used? Yes

Is it a new or revised collection tool? No

The demographics of the families responding are representative of the demographics of infants, toddlers, and families enrolled in the Part C program.
Yes

Include the State's analysis of the extent to which the demographics of the families responding are representative of the demographics of infants, toddlers, and families enrolled in the Part C program.

Data were collected in the spring of 2018. All families of children receiving services through the nine regional sites (Part C and 619) received a parent survey via a telephone call. 464 Part C families were contacted to complete the survey and 84 responded, yielding a response rate of 18.10%. This response rate is lower than the last few FFY reporting years. Analyses of representativeness by gender and race/ethnicity were conducted, and respondent data was found to be representative of the CDS population.

Actions required in FFY 2016 response

none

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 5: Child Find (Birth to One)**

Monitoring Priority: Effective General Supervision Part C / Child Find

Results indicator: Percent of infants and toddlers birth to 1 with IFSPs compared to national data.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target ≥			0.80%	0.85%	0.75%	0.77%	0.82%	0.82%	0.82%	0.82%	0.82%
Data		0.65%	0.64%	0.71%	0.52%	0.64%	0.52%	0.63%	0.70%	0.63%	0.65%

FFY	2015	2016
Target ≥	0.82%	0.82%
Data	0.62%	0.74%

Key: Gray – Data Prior to Baseline Yellow – Baseline Blue – Data Update

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target ≥	0.82%	0.83%

Key:

Targets: Description of Stakeholder Input

On January 15, 2015 the State Interagency Coordinating Council (SICC) convened to review indicator baselines, discuss target trends and identify targets for C5 from FFY2013 through FFY2018. The SICC is made up of members appointed by the governor of the state, for the purpose of advising and assisting the Lead Agency in the implementation of the Part C program, including the development of the SPP. Target data was presented to the SICC by describing trends and results of regression analyses and exponential smoothing. SICC members discussed potential root causes of performance that did not meet the targets in the previous SPP. Stakeholders made recommendations of performance targets given current and potential improvement activities. The ICC's recommendations for targets were considered for the development of the State Performance Plan.

Prepopulated Data

Source	Date	Description	Data	Overwrite Data
SY 2017-18 Child Count/Educational Environment Data Groups	7/11/2018	Number of infants and toddlers birth to 1 with IFSPs	76	null
U.S. Census Annual State Resident Population Estimates April 1, 2010 to July 1, 2017	6/12/2018	Population of infants and toddlers birth to 1	12,477	null

FFY 2017 SPP/APR Data

Number of infants and toddlers birth to 1 with IFSPs	Population of infants and toddlers birth to 1	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
76	12,477	0.74%	0.82%	0.61%

Reasons for Slippage

In Maine, the average age of referral to Part C is 12 months. However, the average age at which children are determined eligible is 18 months. The cause of this low identification is threefold: 1) Many of these infants are referred through the Child Abuse Prevention and Treatment Act and are historically difficult to contact and engage; 2) NICUs and birthing hospitals tend to refer for medically-based services, and; 3) The current eligibility evaluation tool (the Battelle Developmental Inventory-II) may be less effective in evaluating this age group. CDS is currently speaking with other Category C Eligibility states who have higher 0 – 1 identification rates to determine possible solutions. CDS has also partnered with ECTA/DaSY to complete the Child Find Self-Assessment which has helped to identify Maine's performance with regard to Child Find recommended practices.

Compare your results to the national data

Maine continues to utilize highly restrictive eligibility criteria (Category C) which limits the percentage of infants and toddlers determined eligible for Part C services.

Actions required in FFY 2016 response

none

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

Indicator 6: Child Find (Birth to Three)

Monitoring Priority: Effective General Supervision Part C / Child Find

Results indicator: Percent of infants and toddlers birth to 3 with IFSPs compared to national data.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target ≥			2.91%	2.43%	2.55%	2.67%	2.81%	2.81%	2.81%	2.81%	2.81%
Data		2.89%	2.51%	2.38%	2.29%	2.29%	2.37%	2.49%	2.42%	2.17%	2.30%

FFY	2015	2016
Target ≥	2.81%	2.81%
Data	2.34%	2.43%

Key: Gray – Data Prior to Baseline Yellow – Baseline Blue – Data Update

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target ≥	2.81%	2.90%

Key:

Targets: Description of Stakeholder Input

On January 15, 2015 the State Interagency Coordinating Council (SICC) convened to review indicator baselines, discuss target trends and identify targets for C6 from FFY2013 through FFY2018. The SICC is made up of members appointed by the governor of the state, for the purpose of advising and assisting the Lead Agency in the implementation of the Part C program, including the development of the SPP. Target data was presented to the SICC by describing trends and results of regression analyses and exponential smoothing. SICC members discussed potential root causes of performance that did not meet the targets in the previous SPP. Stakeholders made recommendations of performance targets given current and potential improvement activities. The ICC's recommendations for targets were considered for the development of the State Performance Plan.

Prepopulated Data

Source	Date	Description	Data	Overwrite Data
SY 2017-18 Child Count/Educational Environment Data Groups	7/11/2018	Number of infants and toddlers birth to 3 with IFSPs	915	
U.S. Census Annual State Resident Population Estimates April 1, 2010 to July 1, 2017	6/12/2018	Population of infants and toddlers birth to 3	38,227	

FFY 2017 SPP/APR Data

Number of infants and toddlers birth to 3 with IFSPs	Population of infants and toddlers birth to 3	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
915	38,227	2.43%	2.81%	2.39%

Compare your results to the national data

Maine continues to utilize highly restrictive eligibility criteria (Category C) which limits the percentage of infants and toddlers determined eligible for Part C services.

Actions required in FFY 2016 response

none

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 7: 45-day timeline**

Monitoring Priority: Effective General Supervision Part C / Child Find

Compliance indicator: Percent of eligible infants and toddlers with IFSPs for whom an initial evaluation and initial assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target			100%	100%	100%	100%	100%	100%	100%	100%	100%
Data		94.40%	91.00%	91.10%	70.00%	64.60%	85.00%	88.00%	89.00%	82.52%	74.48%

FFY	2015	2016
Target	100%	100%
Data	81.36%	98.45%

Key: Gray – Data Prior to Baseline Yellow – Baseline

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target	100%	100%

FFY 2017 SPP/APR Data

Number of eligible infants and toddlers with IFSPs for whom an initial evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline	Number of eligible infants and toddlers evaluated and assessed for whom an initial IFSP meeting was required to be conducted	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
1,151	1,262	98.45%	100%	91.20%

Number of documented delays attributable to exceptional family circumstances <i>This number will be added to the "Number of eligible infants and toddlers with IFSPs for whom an initial evaluation and assessment and an initial IFSP meeting was conducted within Part C's 45-day timeline" field above to calculate the numerator for this indicator.</i>	0
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Reasons for Slippage

Maine's Part C program continues to experience a shortage of qualified Part C staff and contracted providers. This is partially due to CDS' low compensation, but echoes a statewide K-12 trend of qualified personnel leaving Maine in high numbers. Because of this shortage, achieving 100% compliance on Indicator 7 has been challenging. However, data gathered through the SSIP process has been used to clearly and effectively communicate the issue to Maine's Commissioner of Education, the Maine State Legislature, and Maine's Governor. As a result, CDS is currently finalizing a new contract with its collective bargaining unit. The new contract includes significant increases in compensation – the primary identified barrier to the recruitment and retention of qualified personnel.

Technical Assistance has been provided to regional sites; including, confirmation of scheduled appointments with families, flexibility in filling late cancellations, and empowering service coordinators with the appropriate credentials who have historically been designated service coordinators to act as the second discipline in conducting evaluations, assessments and IFSP development.

What is the source of the data provided for this indicator?

- State monitoring
- State database

Provide the time period in which the data were collected (e.g., September through December, fourth quarter, selection from the full reporting period).

Data collected from the full reporting period of July 1, 2017 through June 30, 2018.

Describe how the data accurately reflect data for infants and toddlers with IFSPs for the full reporting period.

Data were collected from the State database (CINC) for all infants and toddlers with IFSPs for the reporting period of July 1, 2017 through June 30, 2018. The full year data has historically been used to calculate this indicator. Findings of noncompliance were made based on these data, as appropriate.

Actions required in FFY 2016 response

none

Note: Any actions required in last year's response table that are related to correction of findings should be responded to on the "Correction of Previous Findings of Noncompliance" page of this indicator. If your State's only actions required in last year's response are related to findings of noncompliance, a text field will not be displayed on this page.

Correction of Findings of Noncompliance Identified in FFY 2016

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
9	9	0	0

FFY 2016 Findings of Noncompliance Verified as Corrected

Describe how the State verified that the source of noncompliance is correctly implementing the regulatory requirements

Prior to considering any finding from FFY 2016 corrected, CDS State IEU verified that each regional site with noncompliance: (1) was correctly implementing 34 CFR §§303.148(b)(2)(i) (as modified by IDEA section 637(a)(9)(A)(ii)(I)) (i.e., achieved 100% compliance) based on updated data such as data subsequently collected through on-site monitoring or the State data system (CINC); and (2) has corrected each individual case of noncompliance and has provided services although late for any child whose services were not delivered timely, unless the child is no longer within the jurisdiction of the regional site, consistent with OSEP Memorandum 09-02, dated October 17, 2008 (OSEP Memo 09-02).

Describe how the State verified that each individual case of noncompliance was corrected

Specifically, to verify that each regional site was correctly implementing the requirements, CDS State IEU reviewed subsequent updated data from the data system, performed on-site file reviews, and verified subsequent data submitted through regional site self-assessments and compliance reports submitted by each regional site. The subsequent time period for which each program was required to demonstrate 100% compliance with the specific regulatory requirements varied based on the level of noncompliance identified in the program.

Through CINC, CDS was also able to verify that each child received services, although late.

In addition to verifying correction according to the OSEP 09-02 Memorandum, CDS State IEU also complied with the requirements to account for all instances of noncompliance identified through its database as well as on-site monitoring and other monitoring procedures; identify the level, location (regional site), and root cause(s) of all noncompliance; and require any regional site with policies, procedures, or practices that contributed to the noncompliance to revise those policies, procedures, or practices and submit CAPs. CDS State IEU and the regional site created the CAP. These activities ranged from providing staff training, attending required TA, submitting monthly reports to the CDS State IEU and completing CAP check in calls with the CDS State IEU.

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

Indicator 8A: Early Childhood Transition

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Compliance indicator: The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:

- A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;
- B. Notified (consistent with any opt-out policy adopted by the State) the State educational agency (SEA) and the local educational agency (LEA) where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and
- C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target			100%	100%	100%	100%	100%	100%	100%	100%	100%
Data		69.00%	69.00%	83.50%	79.00%	86.60%	87.00%	94.00%	99.00%	99.81%	100%

FFY	2015	2016
Target	100%	100%
Data	100%	100%

Key: Gray – Data Prior to Baseline Yellow – Baseline

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target	100%	100%

FFY 2017 SPP/APR Data

Data include only those toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday.

Yes

No

Number of children exiting Part C who have an IFSP with transition steps and services	Number of toddlers with disabilities exiting Part C	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
431	431	100%	100%	100%

Number of documented delays attributable to exceptional family circumstances <i>This number will be added to the "Number of children exiting Part C who have an IFSP with transition steps and services" field to calculate the numerator for this indicator.</i>	0
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What is the source of the data provided for this indicator?

State monitoring

State database

Provide the time period in which the data were collected (e.g., September through December, fourth quarter, selection from the full reporting period).

Selection from the full reporting period of July 1, 2017 through June 30, 2018.

Describe how the data accurately reflect data for infants and toddlers with IFSPs for the full reporting period.

Data were collected from the State database (CINC) for all children for the reporting period of July 1, 2017 through June 30, 2018. The full year data has historically been used to calculate this indicator.

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

Actions required in FFY 2016 response

none

Note: Any actions required in last year's response table that are related to correction of findings should be responded to on the "Correction of Previous Findings of Noncompliance" page of this indicator. If your State's only actions required in last year's response are related to findings of noncompliance, a text field will not be displayed on this page.

Correction of Findings of Noncompliance Identified in FFY 2016

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
0	0	0	0

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 8B: Early Childhood Transition**

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Compliance indicator: The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:

- A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;
- B. Notified (consistent with any opt-out policy adopted by the State) the State educational agency (SEA) and the local educational agency (LEA) where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and
- C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target			100%	100%	100%	100%	100%	100%	100%	100%	100%
Data		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

FFY	2015	2016
Target	100%	100%
Data	100%	100%

Key: Gray – Data Prior to Baseline Yellow – Baseline

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target	100%	100%

FFY 2017 SPP/APR Data

Data include notification to both the SEA and LEA

- Yes
- No

Number of toddlers with disabilities exiting Part C where notification to the SEA and LEA occurred at least 90 days prior to their third birthday for toddlers potentially eligible for Part B preschool services	Number of toddlers with disabilities exiting Part C who were potentially eligible for Part B	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
431	431	100%	100%	100%

<p>Number of parents who opted out This number will be subtracted from the "Number of toddlers with disabilities exiting Part C who were potentially eligible for Part B" field to calculate the denominator for this indicator.</p>	null
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Describe the method used to collect these data

Data were collected from the State database (CINC) for all children for the reporting period of July 1, 2017 through June 30, 2018. The full year data has historically been used to calculate this indicator.

Do you have a written opt-out policy? No

What is the source of the data provided for this indicator?

- State monitoring
- State database

Provide the time period in which the data were collected (e.g., September through December, fourth quarter, selection from the full reporting period).

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

Data were collected from the State database (CINC) for all children for the reporting period of July 1, 2017 through June 30, 2018. The full year data has historically been used to calculate this indicator.

Describe how the data accurately reflect data for infants and toddlers with IFSPs for the full reporting period.

Data were collected from the State database (CINC) for all children for the reporting period of July 1, 2017 through June 30, 2018. The full year data has historically been used to calculate this indicator.

Actions required in FFY 2016 response

none

Note: Any actions required in last year's response table that are related to correction of findings should be responded to on the "Correction of Previous Findings of Noncompliance" page of this indicator. If your State's only actions required in last year's response are related to findings of noncompliance, a text field will not be displayed on this page.

Correction of Findings of Noncompliance Identified in FFY 2016

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
0	0	0	0

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 8C: Early Childhood Transition**

Monitoring Priority: Effective General Supervision Part C / Effective Transition

Compliance indicator: The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:

- A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;
- B. Notified (consistent with any opt-out policy adopted by the State) the State educational agency (SEA) and the local educational agency (LEA) where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and
- C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target			100%	100%	100%	100%	100%	100%	100%	100%	100%
Data		87.00%	87.00%	60.00%	56.00%	94.80%	93.00%	77.00%	83.00%	83.46%	83.85%

FFY	2015	2016
Target	100%	100%
Data	80.24%	90.45%

Key: Gray – Data Prior to Baseline Yellow – Baseline

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target	100%	100%

FFY 2017 SPP/APR Data

Data reflect only those toddlers for whom the Lead Agency has conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services

- Yes
- No

Number of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties at least nine months prior to the toddler's third birthday for toddlers potentially eligible for Part B	Number of toddlers with disabilities exiting Part C who were potentially eligible for Part B	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
420	431	90.45%	100%	97.45%

Number of toddlers for whom the parent did not provide approval for the transition conference <i>This number will be subtracted from the "Number of toddlers with disabilities exiting Part C who were potentially eligible for Part B" field to calculate the denominator for this indicator.</i>	0
Number of documented delays attributable to exceptional family circumstances <i>This number will be added to the "Number of toddlers with disabilities exiting Part C where the transition conference occurred at least 90 days, and at the discretion of all parties at least nine months prior to the toddler's third birthday for toddlers potentially eligible for Part B" field to calculate the numerator for this indicator.</i>	0

What is the source of the data provided for this indicator?

- State monitoring
- State database

Provide the time period in which the data were collected (e.g., September through December, fourth quarter, selection from the full reporting period).

Selection from the full reporting period of July 1, 2017 through June 30, 2018.

Describe how the data accurately reflect data for infants and toddlers with IFSPs for the full reporting period.

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

Date were collected from the State database (CINC) for all children for the reporting period of July 1, 2017 through June 30, 2018. The full year data has historically been used to calculate this indicator. Findings of noncompliance were made based on these data, as appropriate.

Actions required in FFY 2016 response

none

Note: Any actions required in last year's response table that are related to correction of findings should be responded to on the "Correction of Previous Findings of Noncompliance" page of this indicator. If your State's only actions required in last year's response are related to findings of noncompliance, a text field will not be displayed on this page.

Correction of Findings of Noncompliance Identified in FFY 2016

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
8	8	0	0

FFY 2016 Findings of Noncompliance Verified as Corrected

Describe how the State verified that the source of noncompliance is correctly implementing the regulatory requirements

Prior to considering any finding from FFY 2014 corrected, CDS State IEU verified that each regional site with noncompliance: (1) was correctly implementing 34 CFR §§303.148(b)(2)(i) (as modified by IDEA section 637(a)(9)(A)(ii)(II)) (i.e., achieved 100% compliance) based on updated data such as data subsequently collected through on-site monitoring or the State data system (Case-e); and (2) has corrected each individual case of noncompliance and has provided services although late for any child whose services were not delivered timely, unless the child is no longer within the jurisdiction of the regional site, consistent with OSEP Memorandum 09-02, dated October 17, 2008 (OSEP Memo 09-02).

Describe how the State verified that each individual case of noncompliance was corrected

Specifically, to verify that each regional site was correctly implementing the requirements, CDS State IEU reviewed subsequent updated data from CINC and verified subsequent data submitted through regional site self-assessments and compliance reports submitted by each regional site. The subsequent time period for which each program was required to demonstrate 100% compliance with the specific regulatory requirements varied based on the level of noncompliance identified in the program.

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 9: Resolution Sessions**

Monitoring Priority: Effective General Supervision Part C / General Supervision

Results indicator: Percent of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements (applicable if Part B due process procedures under section 615 of the IDEA are adopted).

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

Historical Data

Baseline Data:

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target ≥			0%	0%	0%	5.00%	6.00%	6.00%	6.00%	6.00%	6.00%
Data				0%							

FFY	2015	2016
Target ≥	6.00%	6.00%
Data		

Key: Gray – Data Prior to Baseline Yellow – Baseline Blue – Data Update

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target ≥	6.00%	7.00%

Key:

Targets: Description of Stakeholder Input - Please see the Stakeholder Involvement section of the [introduction](#).

Enter additional information about stakeholder involvement

Prepopulated Data

Source	Date	Description	Data	Overwrite Data
SY 2017-18 EMAPS IDEA Part C Dispute Resolution Survey; Section C: Due Process Complaints	11/8/2018	3.1(a) Number resolution sessions resolved through settlement agreements	n	n
SY 2017-18 EMAPS IDEA Part C Dispute Resolution Survey; Section C: Due Process Complaints	11/8/2018	3.1 Number of resolution sessions	n	n

Explanation of Alternate Data

FFY 2017 SPP/APR Data

3.1(a) Number resolution sessions resolved through settlement agreements	3.1 Number of resolution sessions	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
0	0		6.00%	0%

Actions required in FFY 2016 response

none

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 10: Mediation**

Monitoring Priority: Effective General Supervision Part C / General Supervision

Results indicator: Percent of mediations held that resulted in mediation agreements.

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

Historical Data

Baseline Data: 2005

FFY	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Target ≥			77.00%	78.00%	80.00%	82.00%	85.00%	85.00%	85.00%	85.00%	85.00%
Data			100%		100%			100%	100%	100%	

FFY	2015	2016
Target ≥	85.00%	85.00%
Data		

Key: Gray – Data Prior to Baseline Yellow – Baseline Blue – Data Update

FFY 2017 - FFY 2018 Targets

FFY	2017	2018
Target ≥	85.00%	86.00%

Key:

Targets: Description of Stakeholder Input - Please see the Stakeholder Involvement section of the [introduction](#).

Enter additional information about stakeholder involvement

Prepopulated Data

Source	Date	Description	Data	Overwrite Data
SY 2017-18 EMAPS IDEA Part C Dispute Resolution Survey; Section B: Mediation Requests	11/8/2018	2.1.a.i Mediations agreements related to due process complaints	n	null
SY 2017-18 EMAPS IDEA Part C Dispute Resolution Survey; Section B: Mediation Requests	11/8/2018	2.1.b.i Mediations agreements not related to due process complaints	n	null
SY 2017-18 EMAPS IDEA Part C Dispute Resolution Survey; Section B: Mediation Requests	11/8/2018	2.1 Mediations held	n	null

FFY 2017 SPP/APR Data

2.1.a.i Mediations agreements related to due process complaints	2.1.b.i Mediations agreements not related to due process complaints	2.1 Mediations held	FFY 2016 Data	FFY 2017 Target	FFY 2017 Data
0	1	1		85.00%	100%

Actions required in FFY 2016 response

none

**FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)
Indicator 11: State Systemic Improvement Plan**

Monitoring Priority: General Supervision

Results indicator: The State's SPP/APR includes a State Systemic Improvement Plan (SSIP) that meets the requirements set forth for this indicator.

Reported Data

Baseline Data:

FFY	2013	2014	2015	2016	2017
Target					
Data					

Key: Gray – Data Prior to Baseline Yellow – Baseline
Blue – Data Update

FFY 2018 Target

FFY	2018
Target	

Key:

Description of Measure

Targets: Description of Stakeholder Input

Overview

Data Analysis

A description of how the State identified and analyzed key data, including data from SPP/APR indicators, 618 data collections, and other available data as applicable, to: (1) select the State-identified Measurable Result(s) for Infants and Toddlers with Disabilities and their Families, and (2) identify root causes contributing to low performance. The description must include information about how the data were disaggregated by multiple variables (e.g., EIS program and/or EIS provider, geographic region, race/ethnicity, socioeconomic status, gender, etc.) As part of its data analysis, the State should also consider compliance data and whether those data present potential barriers to improvement. In addition, if the State identifies any concerns about the quality of the data, the description must include how the State will address these concerns. Finally, if additional data are needed, the description should include the methods and timelines to collect and analyze the additional data.

Analysis of State Infrastructure to Support Improvement and Build Capacity

A description of how the State analyzed the capacity of its current infrastructure to support improvement and build capacity in EIS programs and/or EIS providers to implement, scale up, and sustain the use of evidence-based practices to improve results for infants and toddlers with disabilities and their families. State systems that make up its infrastructure include, at a minimum: governance, fiscal, quality standards, professional development, data, technical assistance, and accountability/monitoring. The description must include current strengths of the systems, the extent the systems are coordinated, and areas for improvement of functioning within and across the systems. The State must also identify current State-level improvement plans and other early learning initiatives, such as Race to the Top-Early Learning Challenge and the Home Visiting program and describe the extent that these new initiatives are aligned, and how they are, or could be, integrated with, the SSIP. Finally, the State should identify representatives (e.g., offices, agencies, positions, individuals, and other stakeholders) that were involved in developing Phase I of the SSIP and that will be involved in developing and implementing Phase II of the SSIP.

State-identified Measurable Result(s) for Infants and Toddlers with Disabilities and Their Families

A statement of the result(s) the State intends to achieve through the implementation of the SSIP. The State-identified Measurable Result(s) for Infants and Toddlers with Disabilities and their Families must be aligned to an SPP/APR indicator or a component of an SPP/APR indicator. The State-identified Measurable Result(s) for Infants and Toddlers with Disabilities and their Families must be clearly based on the Data and State Infrastructure

FFY 2017 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

Analyses and must be a child- or family-level outcome in contrast to a process outcome. The State may select a single result (e.g., increase the rate of growth in infants and toddlers demonstrating positive social-emotional skills) or a cluster of related results (e.g., increase the percentage reported under child outcome B under Indicator 3 of the SPP/APR (knowledge and skills) and increase the percentage trend reported for families under Indicator 4 (helping their child develop and learn)).

Statement

Description

Selection of Coherent Improvement Strategies

An explanation of how the improvement strategies were selected, and why they are sound, logical and aligned, and will lead to a measurable improvement in the State-identified Measurable Result(s) for Infants and Toddlers with Disabilities and their Families. The improvement strategies should include the strategies, identified through the Data and State Infrastructure Analyses, that are needed to improve the State infrastructure and to support EIS program and/or EIS provider implementation of evidence-based practices to improve the State-identified result(s) for infants and toddlers with disabilities and their families. The State must describe how implementation of the improvement strategies will address identified root causes for low performance and ultimately build EIS program and/or EIS provider capacity to achieve the State-identified Measurable Result(s) for Infants and Toddlers with Disabilities and their Families.

Theory of Action

A graphic illustration that shows the rationale of how implementing the coherent set of improvement strategies selected will increase the State's capacity to lead meaningful change in EIS programs and/or EIS providers, and achieve improvement in the State-identified Measurable Result(s) for Infants and Toddlers with Disabilities and their Families.

Submitted Theory of Action: No Theory of Action Submitted

 Provide a description of the provided graphic illustration (optional)

Infrastructure Development

- Specify improvements that will be made to the State infrastructure to better support EIS programs and providers to implement and scale up EBPs to improve results for infants and toddlers with disabilities and their families.
- Identify the steps the State will take to further align and leverage current improvement plans and other early learning initiatives and programs in the State, including Race to the Top-Early Learning Challenge, Home Visiting Program, Early Head Start and others which impact infants and toddlers with disabilities and their families.
- Identify who will be in charge of implementing the changes to infrastructure, resources needed, expected outcomes, and timelines for completing improvement efforts.
- Specify how the State will involve multiple offices within the State Lead Agency, as well as other State agencies and stakeholders in the improvement of its infrastructure.

Support for EIS programs and providers Implementation of Evidence-Based Practices

- Specify how the State will support EIS providers in implementing the evidence-based practices that will result in changes in Lead Agency, EIS program, and EIS provider practices to achieve the SIMR(s) for infants and toddlers with disabilities and their families.
- Identify steps and specific activities needed to implement the coherent improvement strategies, including communication strategies and stakeholder involvement; how identified barriers will be addressed; who will be in charge of implementing; how the activities will be implemented with fidelity; the resources that will be used to implement them; and timelines for completion.
- Specify how the State will involve multiple offices within the Lead Agency (and other State agencies such as the SEA) to support EIS providers in scaling up and sustaining the implementation of the evidence-based practices once they have been implemented with fidelity.

Evaluation

- Specify how the evaluation is aligned to the theory of action and other components of the SSIP and the extent to which it includes short-term and long-term objectives to measure implementation of the SSIP and its impact on achieving measurable improvement in SIMR(s) for infants and toddlers with disabilities and their families.
- Specify how the evaluation includes stakeholders and how information from the evaluation will be disseminated to stakeholders.
- Specify the methods that the State will use to collect and analyze data to evaluate implementation and outcomes of the SSIP and the progress toward achieving intended improvements in the SIMR(s).
- Specify how the State will use the evaluation data to examine the effectiveness of the implementation; assess the State's progress toward achieving intended improvements; and to make modifications to the SSIP as necessary.

Technical Assistance and Support

Describe the support the State needs to develop and implement an effective SSIP. Areas to consider include: Infrastructure development; Support for EIS programs and providers implementation of EBP; Evaluation; and Stakeholder involvement in Phase II.

