

# AR Part C

# FFY2015 State Performance Plan / Annual Performance Report

# FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR) Introduction to the State Performance Plan (SPP)/Annual Performance Report (APR)

## Executive Summary:

The Office of Special Education Programs (OSEP) instructs each state that receives Part C funding to develop a State Performance Plan (SPP) to evaluate its efforts in implementing the requirements of the Individuals with Disabilities Education Act (IDEA). Also, on a yearly basis each state is required to report on its efforts in the Annual Performance Report (APR). The state must report on 11 SPP/APR indicators, the first ten indicators include baseline data and rigorous targets. OSEP sets compliance indicators targets at 100%, while states are allowed to set their own targets for each results indicator. Indicator 11, the State Systemic Improvement Plan (SSIP) is a five year plan developed to improve the quality of early intervention services provided to infants and toddlers and their families through the Part C system. The SSIP is comprised of three phases: Phase I- Analysis, Phase II- Planning, and Phase III- Implementation and Evaluation.

This SPP/APR covers Federal Fiscal Year (FFY) 2015, reporting on data from State Fiscal Year 2015 (July 1, 2015 through June 30, 2016). SPP/APR Part C Indicators 1-10 must be submitted February 2, 2017 and Phase III of the SSIP (Indicator 11) on April 3, 2017.

Arkansas's Department of Human Services (ADHS) is the lead agency for the implementation and planning of the federal Part C grant. Within the ADHS, the Division of Developmental Disability Services, is responsible for the supervision of activities related to the administration of the Part C program. First Connections is the official program name for Arkansas Part C.

The First Connections program has five individual, interactive units responsible for system development. Part C Program Units are as follows: Data Management, Comprehensive System of Professional Development Management, Fiscal Management, Quality Assurance/ Monitoring, Licensure and Certification Management and Program Management. Personnel within each unit develops, analyzes, coordinates and reviews all facets of the Part C system to ensure that Arkansas Early Intervention Service (AEIS) providers and agency staff comply with federal regulations and state policy/procedures.

ADHS has Voucher Agreements with local independent programs to provide supports/services on behalf of the Part C program. The work of the First Connection program is guided by a general supervision system that supports EIS providers through targeted technical assistance and training and by program administrative oversight to ensure compliance with federal and state policies.

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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.

The Arkansas Department of Human Services, Division of Developmental Disability Services, as the lead agency is responsible for the administration of the Part C statewide comprehensive program. Arkansas' General Supervision System is comprised of policies and procedures that align with Part C requirements to ensure that Arkansas Early Intervention Service (AEIS) programs meet federal and state requirements. First Connections has a Quality Assurance/Monitoring Unit that is responsible for monitoring progress and providing oversight to ensure local program compliance with policies and procedures as required in the program manual.

In 2015, Arkansas' Part C program received approval of the revised First Connections Policy Manual. Lead Agency staff, distributed the approved policy to all AEIS providers clarifying the changes to assist and guide programs. During the reporting period, the monitoring staff used the Comprehensive Data System (CDS) to review child records to ensure compliance with timelines and other program requirements. As part of the monitoring process, all AEIS providers received an extensive review of their files, while, programs with ongoing concerns receive onsite visits as needed. Monitoring data described in the APR were acquired through the CDS, from desk audits, in addition to interviews from staff of selected local programs.

Arkansas Part C conducts several annual general supervision activities for each AEIS to monitor the implementation of the IDEA and identify possible areas of noncompliance. The annual activities include:

- \*Public Reporting of APR data
- \*Collection and verification of data for the SPP/APR compliance and results indicators
- \*Determination for local programs in meeting the requirements of IDEA

Additional tools were developed by Administrative staff to assist the monitoring unit in performing an in-depth assessment of the AEIS programs records. Monitoring staff also conduct other activities that aid in program improvement. These activities include fiscal monitoring that addresses the use of federal funds as well as the timeliness and accuracy of billing. The monitoring unit uses other available materials to ensure that local programs are provided the most up-to-date information to assist with improving overall program performance. Intensive or targeted activities are implemented to provide additional support to programs when issues or concerns are identified through monitoring process. FC staff may require AEIS providers to participate in specific professional development activities to support their efforts which improve results for infants, toddlers and their families.

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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.

# FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

administrators, and EI direct service providers (altogether termed "EI professionals" for the rest of this document). Team members from each of these units meet at least bi-weekly to discuss issues and to carefully examine program data to identify strengths and needs, to assist in creating quality action plans, and assign follow up as needed.

Regularly scheduled trainings (face to face workshops and Webinars) are provided by the CSPD Unit on a quarterly basis to provide ongoing professional development to EI professionals on federal and state policy, principles of early intervention, and DEC Recommended Practices. In addition to regularly scheduled ongoing professional development, First Connections has assigned staff to address program related calls, letters, emails and requests for assistance. State staff review the request and determine who would be the most appropriate person to assist with clarification. Based on the scope of the request, there might be a need to refer the matter to the Policy Manager and/ or the Part C Coordinator.

Technical Assistance that is targeted to meet specific needs is determined in a variety of ways: (a) EI professionals' request and EI professionals survey; (b) QA monitor identified need; (c) data unit identified need; (d) program coordinator identified need; (e) fiscal unit identified need.

Technical Assistance is delivered in a variety of ways to meet the needs of EI professionals:

- a. Lead Agency issues written policy briefs or clarifications on identified issues.
- b. QA monitor provides clarification on requested record review.
- c. QA monitor may recommend TA on a particular topic of identified need (based on provider questions and/or minor inconsistencies in files reviewed) and refer the provider administration to contact the CSPD Unit.
- d. QA monitor may recommend TA on a particular topic of identified need and provide self-study guides developed by the CSPD Unit on that topic.
- e. QA monitor may require TA on a particular topic of identified need as part of a Corrective Action Plan (CAP) when a provider or provider program is out of compliance. The provider or provider organization is given a time limit by which to complete the TA, which may be provided:

1. EI staff sent to existing CSPD workshop on that topic, when applicable
2. on site (CSPD Unit and QA Unit go to the provider to train entire EI staff)
3. via Webinar (CSPD Unit and QA Unit coordinate with provider admin)

f. By EI professional's request (phone call or e-mail to the Data Unit, QA Unit, CSPD Unit, or Fiscal Unit). TA may be provided on a specific topic via self-study guide sent electronically, Web training, routing individual or group to a regularly scheduled workshop, scheduling a site TA visit for staff, the question answered on the phone or in an email, or one-on-one assistance (provider comes to office for tutorial or EI professional and TA provider connects via phone and computer screen sharing for guided assistance).

g. CSPD Unit maintains a quarterly provider newsletter, *Connections*. The 4-page quarterly newsletter features articles on best practices, latest research, policy changes or points of frequent misunderstanding, frequently asked questions, and upcoming professional development opportunities.

h. CSPD Unit develops a one-hour "Lunch and Learn" Webinar on a frequently asked question/topic and posts the TA offering on the training calendar in the database accessible to all EI professionals, then notifies each of the unit personnel so that they can recommend the TA Webinar to those with an interest and/or need.

i. Quarterly First Connections' staff meeting where TA topic is delivered face to face as part of each staff meeting. The topic for TA is based on identified needs. Staff needs are identified collaboratively by the program manager who supervises state staff service coordinators, QA Unit, Fiscal Unit, and Data Unit based on recurring errors noted, record review, any parent or provider complaints, and staff TA requests/questions.

Technical Assistance for professionals outside of the Part C network is provided by the CSPD Unit to support parents/parent advocacy groups, referral sources, and "other related agencies." Technical Assistance of this nature is provided upon request of the group, organization, or agency that contacts First Connections. The scope of this TA varies, but generally revolves around creating and sustaining public awareness such as, understanding Part C and how to refer, family rights under IDEA, IDEA timelines/process from referral to completed IFSP, IDEA guidelines/requirements around supporting families of toddlers transitioning out of Part C to other appropriate early learning programs/services. Some examples include: "Family Rights under IDEA", training to early childhood special education students at Henderson State University's Teachers College; "The IFSP/IEP Process and Your Rights" to parents at ARC meetings and regional Parent Advisory Council Bistros; "EI Orientation" training to DCCECE and DCFS regional managers and to Early Head Start staff during new hire orientation or other HS/EHS scheduled in-service.

To ensure that PD and TA provided by First Connections personnel is high-quality, evidence-based training, staff TA providers systematically reference the philosophy and guiding principles of Early Intervention, IDEA guidelines, First Connections policy & procedures, and DEC Recommended Practices.

First Connections continues to receive high quality Technical Assistance and valuable resources from our national partners: Early Childhood Technical Assistance Center (ECTA Center), IDEA Data Center (IDC), National Center for Systemic Improvement (NCSI) and from the Center for IDEA Early Childhood Data Systems (DaSY).

Throughout the reporting period, Lead Agency staff have taken advantage of conference calls, webinars, and other professional development opportunities made available through OSEP and OSEP national technical assistance programs. First Connections assembled an "Improving Family Outcomes Team" consisting of the Part C Coordinator, CSPD Unit Manager, Data Unit Manager, QA Monitor, IHE representative, and a parent. This team participates in the Cross-State Family Outcomes Learning Collaborative (annual face to face workdays, team calls, and Webinars geared to improving family and child outcomes). Lead Agency staff attended national conferences and other Part C-related meetings to ensure ongoing professional development for First Connections staff as well as to ensure appropriate program administration.

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## 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.

First Connections' professional development activities seek to ensure accountability and promote the use of recommended and evidence-based practices. The goal of First Connections ongoing professional development is to provide EI professionals (service coordinators, EI direct service providers, and EI program administration) with the tools, confidence, and competence to equip them to support families in helping their child develop and learn (our SSIP SIMR). To meet this goal, First Connections professional development activities attempt to support providers in meeting program requirements while providing quality services to families of eligible infants and toddlers in an individualized, culturally sensitive, and ethical manner.

First Connections' Comprehensive System of Personnel Development (CSPD) involves many organized elements that include: policy development, developing and providing PD and TA, coordinating staff development/in-service, unit personnel who participate in reviewing EI professionals' (and others') questions and/or complaints, participation in regular manager's meetings, formal and informal assessment of program needs, evaluation of presentations, and follow-up.

As part of the SSIP work on Personnel, First Connections, in collaboration with the Arkansas 619 program, established a cross-sector PD Leadership Team with representatives from higher education, child care, the ICC and other agencies. During this cycle the team completed the assessment using the personnel component of the ECTA Center Systems Framework. The team developed two subcommittees to address the first two priority areas: Inservice and Personnel Standards. Both committees have met to develop a plan and are engaged in those activities. More information on the work of the PD Leadership team will be shared in the Phase 3 SSIP submission due

# FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR) in April.

In this reporting year, the CSPD Unit staff completed certification training to become Powerful Interactions (PI) Trainers. Powerful Interactions is a method for effective peer to peer coaching developed by Judy Jablon, Amy Laura Dumbro, and Shaun Johnsen. As PI trainers, CSPD Unit staff members have access to "coaching training" videos and other PI materials to support the provision of coaching/mentoring as on-site professional development and/or Technical Assistance that the unit has not previously been equipped to provide. The CSPD unit has prioritized their initial coaching efforts to provide support to the staff of the four local implementation sites. Additionally, the CSPD Unit can train EI providers in principles of effective peer coaching so that they can serve as peer mentors to coworkers and effectively "coach" parents on home visits to better support parents in implementing IFSP strategies.

To serve the entire state network of EI professionals, however, most professional development (or "training") is provided via traditional face to face workshops, Webinars, guided individual tutorials (connected by phone and PC screen sharing), phone/chat/email consultation and Q/A, and self-study guides.

First Connections maintains a "training calendar" on the Part C database accessible to all EI Professionals. The training calendar is updated quarterly and lists all scheduled PD and TA offerings. The Data Unit provides bi-annual (or more often as needed) "train the trainer" interactive workshops on using the Comprehensive Data System (CDS) so that staff from each provider organization can attend the two day certification workshop and go back to support their staff in appropriate use of the CDS. The CSPD Unit provides the other scheduled trainings (both face to face workshops and Webinars) on a rotating quarterly basis.

The regularly scheduled trainings include: EI orientation, procedural safeguards, transition, best practices in case management/service coordination, best practices for intake, natural environment practices, appointing a "surrogate parent" (educational surrogate), OSEP child and family outcomes, completing the First Connections Child & Family Assessment, using results of family assessment to develop a functional, family-centered IFSP, writing functional outcomes, prior authorization (fiscal), report writing, evaluation interpretation, teamwork in completing the COSF, IFSP development (and update/review), targeting and retargeting goals on the IFSP, and procedures for meeting exit requirements.

Ongoing professional development courses are revised/updated periodically when there is: (a) report of an identified need from one or more units that needs to be addressed within a particular topic; (b) state or federal policy changes; (c) new information is obtained on principles/best practices from a national TA partner, from attending a Part C-related Webinar or conference, and/or from CSPD Unit research.

Additional professional development and targeted "TA" topics are also offered either on site to EI provider staff or as TA Webinars. PD and TA needs are identified collaboratively by personnel from each unit working together and from EI professional feedback. In bi-weekly unit Manager's Meetings, data is reviewed and issues that have been identified in one or more units are discussed with the team to guide planning of additional PD and TA offerings. Targeted TA Webinars ("Lunch and Learn") may be presented by the CSPD Unit or by personnel from the Unit most closely aligned with the targeted TA topic. After presentation, Lunch and Learn Webinars are developed into self-study guides by CSPD Unit staff and made available to personnel of other units who can send them to EI professionals who have an interest and/or need for this type of support.

Feedback from EI professionals who have attended/participated in either a face to face workshop or a TA Webinar is used to inform planning of future PD and TA offerings. Feedback is obtained in a variety of ways that include:

1. for face to face workshops: each participant completes an anonymous paper "evaluation form" to rate the quality of the presentation, materials, and information as well as rate the usefulness of the training. The form has a space for suggestions as well as space for the participant to identify other desired/needed PD or TA.
2. for Web-based PD or TA: participants are emailed a link to a brief, anonymous online survey where they provide feedback on the effectiveness of the TA training and can type in a request for additional information or additional TA topics of need or interest.
3. EI professional anonymous online survey where those who take the survey identify what information and/or topic they self-identify as a need and their preferred mode (workshop, Webinar, self-study guide).

To ensure that First Connections' (FC) PD and TA is high-quality, evidence-based training, CSPD staff and TA providers from other FC units reference the philosophy and guiding principles of Early Intervention, IDEA guidelines, First Connections policy & procedures, and DEC Recommended Practices in all training materials, QA sessions/discussions, and written responses to inquiries. CSPD Unit staff is supported by program administration in maintaining their own professional development in order to stay abreast of current trends in the field of early learning/early intervention; staff is provided current literature on routines-based intervention, natural environment principles, family engagement, and coaching/consultative approaches in EI. CSPD staff is trained both in principles of adult learning as well as principles of peer to peer coaching. All PD and TA workshops and Webinars include a combination of lecture (with visual representations in the form of screen shots, diagrams, graphs, videos), reflective activities and/or self-assessment, discussion, and "putting it into practice" application activities to support adult learning. Workshops and Webinars provide those in attendance with "take away" handouts, copies of slides, and additional information to supplement what was presented and to provide more in-depth information that what could be covered in a short amount of time together.

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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 Annual Performance Report was developed with broad stakeholder input. Arkansas' State Interagency Coordinating Council (AICC) serves as the primary stakeholder group for the Part C program, providing continuous input and guidance regarding program development. The council members are given multiple opportunities to share their input throughout the year. Lead Agency personnel share programmatic updates on a regularly basis via email and at each quarterly AICC meeting. An overview of the APR is presented to the members along with summary data for each indicator. Also as requested, the AICC has provided support and guidance on the agencies SPP/APR, SIPP, professional development activities, data requirements, monitoring activities, program improvements and local Early Intervention Service Program position.

In addition to the AICC, the First Connections program also collaborated with a number of critical partners during the 2015-2016 reporting period. Stakeholders included partners such as: Arkansas Medicaid, Arkansas Department of Education, Arkansas Department of Health, Arkansas Head Start Association, Human Services Personell Office, Arkansas School for the Deaf, local Early Intervention Providers, Zero to Three the Division of Child Care and Early Childhood Education, Division of Children and Family Services, Quality Assurance Committee, Arkansas Disability Coalition and Division of Developmental Disabilities Services Administrative Staff.

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## FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

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### Reporting to the Public:

How and where the State reported to the public on the FFY 2014 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 2014 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 2014 APR in 2016, is available.

During the reporting period Arkansas Part C was fortunate enough to complete development on the new Arkansas First Connections website. A copy of the SPP/APR can be found on the Arkansas First Connections website at: <https://dhs.arkansas.gov/dds/firstconnectionsweb/#fc-home>. Also as required, the Lead Agency has made available and reported to the public data from the 2014 APR, no later than 120 days following the submission of the 2014 APR. The report cards that are posted on the state's website displays the performance of each local early intervention program status in meeting the states rigorous targets. Lead Agency staff completed annual determinations for all Arkansas Early Intervention Service providers as instructed in OSEP guidance documents.

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### Actions required in FFY 2014 response

### OSEP Response

### Required Actions

**FFY 2015 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 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		94.90%	77.00%	88.40%	82.00%	95.00%	90.00%	91.00%	91.00%	88.52%	93.00%

Key:  Gray – Data Prior to Baseline  Yellow – Baseline

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target	100%	100%	100%	100%

**FFY 2015 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 2014 Data*	FFY 2015 Target*	FFY 2015 Data
		93.00%	100%	92.70%

**Number of documented delays attributable to exceptional family circumstances**

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.

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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).**

Arkansas' Part C program chose the time period of February 1- April 30, 2016 to collect data to represent reporting for the full fiscal year. (2015)

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

Data for this indicator was collected from the statewide data system known as the Comprehensive Data System (CDS). Arkansas' Data Unit Personnel use the inquiry process to validate the data gathered in the states comprehensive system. Program data is collected from local service providers and state service coordinators. AEIS providers use the online data system to report information on the infants and toddlers within their local program. In addition, early intervention providers and staff use the system to create an electronic record for each First Connections infants and toddlers.

Arkansas' CDS was developed to capture and display data that accurately indicates the status of the infant and toddlers record at any given period of time. First Connections staff are allowed direct means to the AEIS providers electronic record that allows agency staff to work with them to address concerns connected to the families that they provide support and services. The Comprehensive Data System allows for a straight flow of data from each assigned user to the First Connections program. Arkansas' data system also includes as a part of the child's record, the start date of the IFSP, the first date of service that the child received as indicated on the IFSP.

Data was pulled for IFSP with dates starting a February 1- April 30, 2016, information was sent to each AEIS provider for validation and submission back to Part C data staff. In order to ensure the accuracy of the information, the lead agency chose this time period because of the quality of the data. First Connections selected the time period close to the end of the year to give new AEIS provider staff and state staff additional time to improve their skill level and ability in navigating the complexity of the system. Also, to authenticate the quality of the data; sufficient time was needed to confirm the information given. The Data Manager inspected the data that was reported for this time period to data for the full year (FFY2015) and established that it is representative of a full year of the state's data because the data includes all areas of the state, all provider types and all categories of eligible infants and toddlers.

**Actions required in FFY 2014 response**

none

Note: Any actions required in last year's response 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

**Correction of Findings of Noncompliance Identified in FFY 2014**

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
6	6	0	0

**FFY 2014 Findings of Noncompliance Verified as Corrected**

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

Once the noncompliance is identified, the AEIS provider is issued a finding in writing and required to correct the noncompliance within 90 days of notification.

As a part of subsequent review process, Arkansas Part C monitoring staff reviewed a percentage of provider records to ensure that all infants and toddlers receive services listed on the IFSP within 30 days of the parental consent for services.

Additionally, First Connections staff reviewed a percentage of updated records from each AEIS provider to determine if providers are initiating services of subsequent infants and toddlers in the required time frame. Arkansas Part C staff conducted this procedure in accordance with guidance provided in OSEP Memorandum 09-02, dated October 17, 2008 (OSEP Memo 09-02). Lead Agency personnel determined that each AEIS provider for whom data formerly showed noncompliance has corrected the noncompliance and is correctly implementing the regulatory requirement for infants and toddlers with IFSPs to receive their services in the required time frame.

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

Arkansas Part C monitoring staff examined the individual file of each infant or toddler for whom services were not started within 30 days of parent consent; to ensure that children were receiving services as written on their IFSP's. The review of records for FFY 2014 showed that children who had not received timely services were indeed receiving the services on the IFSP, even though late.

**OSEP Response**

The State reported that it used data from a State database to report on this indicator. The State further reported that it did not use data for the full reporting period (July 1, 2015-June 30, 2016). The State described how the time period in which the data were collected accurately reflects data for infants and toddlers with IFSPs for the full reporting period.

The State reported that it revised its FFY 2014 data because the system did not carry over the correct data from FFY 2014. However, the FFY 2014 data in the State's final SPP/APR are 100%. Because of this discrepancy, the State must clarify why its FFY 2014 data are 93%.

Because the State reported less than 100% compliance for FFY 2015, the State must report on the status of correction of noncompliance identified in FFY 2015 for this indicator. When reporting on the correction of noncompliance, the State must report, in the FFY 2016 SPP/APR, that it has verified that each EIS program or provider with noncompliance identified in FFY 2015 for this indicator: (1) is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) based on a review of updated data such as data subsequently collected through on-site monitoring or a State data system; and (2) has corrected each individual case of noncompliance, unless the child is no longer within the jurisdiction of the EIS program or provider, consistent with OSEP Memo 09-02. In the FFY 2016 SPP/APR, the State must describe the specific actions that were taken to verify the correction.

If the State did not identify any findings of noncompliance in FFY 2015, although its FFY 2015 data reflect less than 100% compliance, provide an explanation of why the State did not identify any findings of noncompliance in FFY 2015.

**Required Actions**

The State must provide, in its FFY 2016 SPP/APR, a clear explanation as to why it updated its FFY 2014 data. OSEP notes that in the FFY 2015 SPP/APR the State did report on the correction of six findings of noncompliance identified in FFY 2014.

**FFY 2015 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 ≥			64.00%	68.00%	70.00%	72.00%	45.50%	45.75%	46.00%	70.00%	73.00%
Data		62.95%	52.72%	46.00%	42.00%	45.00%	38.00%	32.00%	33.00%	74.38%	74.48%

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

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target ≥	76.00%	79.00%	82.00%	85.00%

Key:

**Targets: Description of Stakeholder Input**

First Connections staff provided program updates to the AICC during the quarterly meetings regarding the state's progress in achieving set targets. First Connections staff continue to worked in collaboration with other partners to: deliver services to infants and toddlers in the natural environment, to provide supports to families to help them support their children's development and to develop resources to support programs. Also, throughout the year, Arkansas staff provided opportunities for the ICC to provide input to the program, including revising and/or updating improvement strategies and reviewing program data if required.

**Prepopulated Data**

Source	Date	Description	Data	Overwrite Data
SY 2015-16 Child Count/Educational Environment Data Groups	7/14/2016	<a href="#">Number of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings</a>	1,508	
SY 2015-16 Child Count/Educational Environment Data Groups	7/14/2016	<a href="#">Total number of infants and toddlers with IFSPs</a>	1,977	

**FFY 2015 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 2014 Data*	FFY 2015 Target*	FFY 2015 Data
1,508	1,977	74.48%	76.00%	76.28%

**Actions required in FFY 2014 response**

none

**FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)**

**OSEP Response**

**Required Actions**

**FFY 2015 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 ≥						56.50%	56.75%	56.00%	56.25%	60.00%	61.00%
		Data					56.00%	67.00%	66.00%	70.00%	59.00%	68.13%	81.93%
A2	2008	Target ≥						24.50%	24.75%	25.00%	25.25%	30.00%	31.00%
		Data					24.00%	23.00%	25.00%	41.00%	22.00%	32.49%	46.99%
B1	2008	Target ≥						52.50%	52.75%	53.00%	53.25%	63.00%	62.00%
		Data					53.00%	65.00%	64.00%	69.00%	60.00%	68.52%	71.79%
B2	2008	Target ≥						20.50%	20.75%	21.00%	21.25%	28.00%	30.00%
		Data					20.00%	23.00%	25.00%	39.00%	21.00%	34.32%	39.84%
C1	2008	Target ≥						56.25%	56.50%	56.75%	57.00%	60.00%	61.00%
		Data					56.00%	65.00%	64.00%	69.00%	58.00%	66.28%	79.01%
C2	2008	Target ≥						22.50%	22.75%	23.00%	23.25%	28.00%	30.00%
		Data					22.00%	21.00%	26.00%	41.00%	23.00%	34.50%	41.46%

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

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target A1 ≥	62.00%	63.00%	64.00%	65.00%
Target A2 ≥	31.25%	31.50%	31.75%	32.00%
Target B1 ≥	62.50%	62.75%	62.75%	63.00%
Target B2 ≥	31.00%	33.00%	33.00%	34.00%
Target C1 ≥	62.75%	63.00%	63.00%	63.25%
Target C2 ≥	32.00%	33.00%	33.00%	34.00%

Key:

**Targets: Description of Stakeholder Input**

Throughout the course of the reporting period the Arkansas Part C program continued to maintain partnerships with stakeholders. As a part of the quarterly agenda, council members are provided program updates at the AICC meetings that gives the members an opportunity to better understand the APR performance indicators and the state's performance in each indicator. AICC member are allowed to provide ongoing feedback and suggestions to the Part C program regarding setting priorities and targets, and identify strategies to improve results for infants and toddlers and families.

**FFY 2015 SPP/APR Data**

Number of infants and toddlers with IFSPs assessed	634.00
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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	23.00	3.63%
b. Infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	171.00	26.97%
c. Infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	168.00	26.50%

**FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)**

	Number of Children	Percentage of Children
d. Infants and toddlers who improved functioning to reach a level comparable to same-aged peers	182.00	28.71%
e. Infants and toddlers who maintained functioning at a level comparable to same-aged peers	90.00	14.20%

	Numerator	Denominator	FFY 2014 Data*	FFY 2015 Target*	FFY 2015 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 $(c+d)/(a+b+c+d)$ .	350.00	544.00	81.93%	62.00%	64.34%
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 $(d+e)/(a+b+c+d+e)$ .	272.00	634.00	46.99%	31.25%	42.90%

**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	29.00	4.57%
b. Infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	164.00	25.87%
c. Infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	207.00	32.65%
d. Infants and toddlers who improved functioning to reach a level comparable to same-aged peers	185.00	29.18%
e. Infants and toddlers who maintained functioning at a level comparable to same-aged peers	49.00	7.73%

	Numerator	Denominator	FFY 2014 Data*	FFY 2015 Target*	FFY 2015 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 $(c+d)/(a+b+c+d)$ .	392.00	585.00	71.79%	62.50%	67.01%
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 $(d+e)/(a+b+c+d+e)$ .	234.00	634.00	39.84%	31.00%	36.91%

**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	16.00	2.52%
b. Infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	174.00	27.44%
c. Infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it	175.00	27.60%
d. Infants and toddlers who improved functioning to reach a level comparable to same-aged peers	191.00	30.13%
e. Infants and toddlers who maintained functioning at a level comparable to same-aged peers	78.00	12.30%

	Numerator	Denominator	FFY 2014 Data*	FFY 2015 Target*	FFY 2015 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 $(c+d)/(a+b+c+d)$ .	366.00	556.00	79.01%	62.75%	65.83%
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 $(d+e)/(a+b+c+d+e)$ .	269.00	634.00	41.46%	32.00%	42.43%

Was sampling used? No

Did you use the Early Childhood Outcomes Center (ECO) Child Outcomes Summary Form (COSF)? Yes

**FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)**

**Actions required in FFY 2014 response**

none

**OSEP Response**

**Required Actions**

# FFY 2015 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 ≥					77.00%	78.00%	80.00%	80.25%	80.25%	80.00%	82.00%
		Data			59.00%	62.00%	65.10%	65.00%	67.90%	64.20%	68.00%	75.00%	78.96%
B	2006	Target ≥					67.00%	68.00%	70.00%	70.25%	70.25%	80.00%	82.00%
		Data			70.00%	67.50%	70.30%	69.00%	71.30%	67.90%	71.00%	81.00%	81.84%
C	2006	Target ≥					84.00%	85.00%	87.00%	87.25%	87.25%	80.00%	82.00%
		Data			71.00%	70.80%	72.80%	73.00%	75.90%	73.20%	75.00%	80.00%	87.84%

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

### FFY 2015 - FFY 2018 Targets

FFY	2015	2016	2017	2018
Target A ≥	84.00%	86.00%	88.00%	90.00%
Target B ≥	84.00%	86.00%	88.00%	90.00%
Target C ≥	84.00%	86.00%	88.00%	90.00%

Key:

### Targets: Description of Stakeholder Input

Arkansas Part C continues to work in partnership with the AICC, agency stakeholders and national technical assistance agencies to examine family outcomes data and the process the state has in place to collect information from families. Over the past several years the Lead Agency has conducted an in-depth analysis into the family survey response data. The analysis led to implementing changes in the family survey, additional technical assistance to AEIS providers and state staff regarding family outcomes. First Connections staff evaluated the programs family outcomes data with the Arkansas Interagency Coordination Council and consulted with members on new targets .

### FFY 2015 SPP/APR Data

Number of respondent families participating in Part C	423.00
A1. Number of respondent families participating in Part C who report that early intervention services have helped the family know their rights	342.00
A2. Number of responses to the question of whether early intervention services have helped the family know their rights	421.00
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	361.00
B2. Number of responses to the question of whether early intervention services have helped the family effectively communicate their children's needs	422.00
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	361.00
C2. Number of responses to the question of whether early intervention services have helped the family help their children develop and learn	422.00

	FFY 2014 Data*	FFY 2015 Target*	FFY 2015 Data
A. Percent of families participating in Part C who report that early intervention services have helped the family know their rights	78.96%	84.00%	81.24%
B. Percent of families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs	81.84%	84.00%	85.55%
C. Percent of families participating in Part C who report that early intervention services have helped the family help their children develop and learn	87.84%	84.00%	85.55%

## FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

The Arkansas Part C staff mailed out 1200 surveys to parents of infants and toddlers with active IFSPs. First Connections families were provided multiple ways to response to the survey, hard copy via mail, telephone and the First Connections website. Demographics were collected from all respondents in the following areas: child's race and ethnicity, county of residence and child's AEIS provider. The Lead Agency received survey responses from all 75 counties in the state showing representation of all areas of the state and by race and ethnicity categories of the population of families in Arkansas First Connections program.

Was sampling used? No

Was a collection tool used? Yes

Is it a new or revised collection tool? No

Yes, the data accurately represent the demographics of the State

No, the data does not accurately represent the demographics of the State

### Actions required in FFY 2014 response

none

### OSEP Response

### Required Actions

# FFY 2015 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 ≥			0.42%	0.45%	0.66%	0.55%	0.55%	0.57%	0.58%	0.45%	0.45%
Data		0.39%	1.02%	0.72%	0.66%	0.61%	0.96%	0.85%	1.01%	0.44%	0.36%

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

### FFY 2015 - FFY 2018 Targets

FFY	2015	2016	2017	2018
Target ≥	0.47%	0.48%	0.49%	0.50%

Key:

### Targets: Description of Stakeholder Input

During the 2015 reporting period, the Part C program collaborated with various stakeholder groups within the state to analyze program child find data and to identify possible root causes of low identification as part of the SSIP Phase I process. In Phase I analysis of program data, lower than desired referrals for infants before their first birthday was noted and stakeholders proposed a variety of activities to address this issue.

In the current reporting period, the Lead Agency collaborated with program partners to ensure development and implementation of Child Find activities for infants birth to one that included collaboration with child care providers, the State's child protection agency, pediatrician's offices, family members, and other partners to reach parents, physicians, child care providers, and other primary referral sources. First Connections staff conducted a review of the program's birth to one Child Find data with the State's Interagency Coordinating Council to discuss current activities and program data.

First Connections collaborated with the Infant Hearing Program and the MIECHV Home Visiting program to draft mutually supportive inter and intra agency agreements to improve collaboration that supports referral of infants and toddlers to Part C for early intervention. MIECHV Home Visiting and First Connections administrative personnel worked together to create a MIECHV-HV referral form for use in the Follow Baby Back Home (FBBH) program so that home visitors for FBBH can quickly and easily refer families of infants suspected of having developmental delay to First Connections and First Connections can provide FBBH with year-end data on referrals received from their program.

First Connections CSPD Unit updated information in a revised EI Overview (brief training to orient non-Part C professionals on benefits of EI, how to refer, and how to explain the referral to parents and caregivers). First Connections CSPD Unit shared this information with social workers at Arkansas Children's Hospital as part of their in-service training to support hospital social workers in explaining Part C referrals and early intervention supports to families of infants 0-1 with disabilities.

### Prepopulated Data

Source	Date	Description	Data	Overwrite Data
SY 2015-16 Child Count/Educational Environment Data Groups	7/14/2016	<a href="#">Number of infants and toddlers birth to 1 with IFSPs</a>	587	null
U.S. Census Annual State Resident Population Estimates April 1, 2010 to July 1, 2015	6/30/2016	<a href="#">Population of infants and toddlers birth to 1</a>	37,698	null

### FFY 2015 SPP/APR Data

Number of infants and toddlers birth to 1 with IFSPs	Population of infants and toddlers birth to 1	FFY 2014 Data*	FFY 2015 Target*	FFY 2015 Data
587	37,698	0.36%	0.47%	1.56%

**FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)**

none

**OSEP Response**

**Required Actions**

**FFY 2015 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 ≥			2.25%	2.78%	2.30%	2.35%	2.37%	2.37%	2.37%	1.20%	1.30%
Data		2.25%	2.75%	2.34%	2.33%	2.19%	2.75%	2.73%	2.72%	1.19%	1.00%

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

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target ≥	1.40%	1.50%	1.80%	1.90%

Key:

**Targets: Description of Stakeholder Input**

As part of the Results Driven Accountability, OSEP is shifting focus from compliance-based monitoring to an accountability system based on differentiated monitoring and support. States were evaluated in five different areas: results, compliance, SSIP, child find and fiscal. Each state was notified of the area or areas which required improvement in performance and the level of technical assistance that OSEP would provide. Based on OSEP's review, Arkansas will receive intensive support in the area of child find.

This designation for our state is consistent with one of the areas that Arkansas identified during Phase I of the State Systemic Improvement Plan (SSIP) for Part C as a focus for improvement. Arkansas' SSIP demonstrates in the Theory of Action that one of the four broad areas integral to improvement strategies and system change involves the broad area of "Knowledge" and a need to "remarket the program." Strategies and activities in this area began in 2014 and include:

- revised brochures and a one-page program overview
- development of a First Connections Web page with a section for parents
- a quarterly parent newsletter
- a revised "EI Orientation" presentation shared as part of outreach to parents, parent advocacy groups, and the general public
- a revised "EI Orientation" presentation shared as part of outreach to other referral sources such as DCFS, DCCECE, pediatric professionals at hospitals and clinics

Refer to attachment A for Proposed Strategies in Response to DMS and Resources Needed to address child find.

During the course of the APR period, First Connections program engaged in joint efforts with several stakeholders within the state. Arkansas collaborated with different partners to develop and implement child find activities for infants and toddlers birth to three. First Connections Professional Development team members and other agency partners designed brochures, pamphlets, and other promotional items to assist in reaching parents, physicians, child care providers, and other referral sources. Also, Lead Agency staff completed a review of First Connections birth to three child find data with the Interagency Coordination Council. The overview is guided by agency staff and assist council members through an analysis of current data and procedures. This process assists the Lead Agency in establishing program targets and strategies. First Connections staff and agency associates collaborated with pediatricians offices, child care providers, and family members to design pamphlets, brochures and other promotional items to assist in reaching parents, child care providers, physicians, and other referral sources. Part C staff reviewed Arkansas birth to three child find data with the states Interagency Coordinating Council to discuss current activities and establish new targets.

**Prepopulated Data**

Source	Date	Description	Data	Overwrite Data
SY 2015-16 Child Count/Educational Environment Data Groups	7/14/2016	<a href="#">Number of infants and toddlers birth to 3 with IFSPs</a>	1,977	
U.S. Census Annual State Resident Population Estimates April 1, 2010 to July 1, 2015	6/30/2016	<a href="#">Population of infants and toddlers birth to 3</a>	113,736	

**FFY 2015 SPP/APR Data**

Number of infants and toddlers birth to 3 with IFSPs	Population of infants and toddlers birth to 3	FFY 2014 Data*	FFY 2015 Target*	FFY 2015 Data
1,977	113,736	1.00%	1.40%	1.74%

**FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)**

**Actions required in FFY 2014 response**

none

**OSEP Response**

**Required Actions**

**FFY 2015 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		75.80%	84.00%	88.00%	82.00%	99.00%	94.00%	92.00%	93.00%	88.11%	87.97%

Key:  Gray – Data Prior to Baseline  Yellow – Baseline

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target	100%	100%	100%	100%

**FFY 2015 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 2014 Data*	FFY 2015 Target*	FFY 2015 Data
246	290	87.97%	100%	92.41%

<p><b>Number of documented delays attributable to exceptional family circumstances</b>  <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></p>	22
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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).**

Arkansas First Connections selected the time period from January 1- March 30, 2016, to collect data to represent reporting for the full fiscal year. (2015)

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

The Part C Data Unit, used information gathered from the Comprehensive Data System to report the percentage of infants and toddlers receiving evaluations, assessments and IFSP meetings within a timely manner. Arkansas' statewide data system is used by AEIS providers and state staff to report data on children receiving supports and services. The CDS was developed to capture and display data that reflects the status of the infant and toddlers early intervention file.

Each child's file, in CDS includes the following: the date of the signed IFSP and the first date of service as indicated on the child's IFSP. Throughout the reporting period, Part C staff are allowed access to the AEIS providers electronic record to work together to assist in finding a means to address concerns surrounding the infants and toddlers they serve. Information is collected from License Community Programs, Independent Service Providers, and state service coordinators. Child data was pulled for IFSP, with dates starting January 1- March 30, 2016 and sent to each AEIS provider for verification and returned. With extreme care, First Connections selected this time period in order to capture the same children as reported in Indicator 1.

As directed by the Data Manager, agency staff reviewed if the children who received their services in a timely manner also had an evaluation and assessment and IFSP developed in 45 days. Also, to ensure the accurateness of the data; adequate time was given for verification of data. Additional analysis of all information was conducted by the Data Manager regarding data that was reported for this time period to data for the full year (FFY2015) and determined that it is reflective of a full year of data.

## FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

### Actions required in FFY 2014 response

none

Note: Any actions required in last year's response 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 2014

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 2014 Findings of Noncompliance Verified as Corrected

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

Upon the identification of noncompliance, the AEIS provider is issued a written finding and are required to correct the noncompliance within 90 days, but in all cases in one year. At the subsequent review, monitoring staff examined a percentage of records to ensure that all infants and toddlers received evaluations, assessments and IFSP meetings in the required time frame.

Also, Arkansas monitoring staff reviewed a percentage of updated files from each local provider to determine if subsequent infants and toddlers had an evaluation and an IFSP within the 45-day timeframe. Part C staff completed this process in accordance with the guidance provided in OSEP Memorandum 09-02, dated October 17, 2008 (OSEP Memo 09-02). The Lead Agency determined that each EIS provider, for whom data formerly showed noncompliance has corrected the noncompliance and is correctly implementing the regulatory requirement for infants and toddlers who receive evaluations, assessments and IFSP meetings within the required time frame.

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

First Connections monitoring staff examined individual child records of each infant or toddler who did not have an evaluation, assessment and IFSP meeting within 45 days. The review of records for FFY 2014 indicated that children who had not received evaluations, assessments and timely IFSP meetings indeed had subsequently completed evaluation and the IFSP meeting was conducted, although late.

### OSEP Response

The State reported that it used data from a State database to report on this indicator. The State further reported that it did not use data for the full reporting period (July 1, 2015-June 30, 2016). The State described how the time period in which the data were collected accurately reflects data for infants and toddlers with IFSPs for the full reporting period.

Because the State reported less than 100% compliance for FFY 2015, the State must report on the status of correction of noncompliance identified in FFY 2015 for this indicator. When reporting on the correction of noncompliance, the State must report, in the FFY 2016 SPP/APR, that it has verified that each EIS program or provider with noncompliance identified in FFY 2015 for this indicator: (1) is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) based on a review of updated data such as data subsequently collected through on-site monitoring or a State data system; and (2) has corrected each individual case of noncompliance, unless the child is no longer within the jurisdiction of the EIS program or provider, consistent with OSEP Memo 09-02. In the FFY 2016 SPP/APR, the State must describe the specific actions that were taken to verify the correction.

If the State did not identify any findings of noncompliance in FFY 2015, although its FFY 2015 data reflect less than 100% compliance, provide an explanation of why the State did not identify any findings of noncompliance in FFY 2015.

### Required Actions

# FFY 2015 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 SEA and the 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		54.00%	99.00%	55.00%	88.00%	96.00%	91.00%	90.00%	96.00%	85.14%	92.02%

Key:  Gray – Data Prior to Baseline  Yellow – Baseline

### FFY 2015 - FFY 2018 Targets

FFY	2015	2016	2017	2018
Target	100%	100%	100%	100%

### FFY 2015 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 2014 Data*	FFY 2015 Target*	FFY 2015 Data
211	221	92.02%	100%	95.48%

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).

Arkansas Part C selected the time period from July 1, 2015 – June 30, 2016 to collect data to represent reporting for the full fiscal year 2015.

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

The Lead Agency pulled data for indicator 8 from the Comprehensive Data System (CDS). Arkansas Data Unit uses the inquiry process to validate the information collected in the statewide system. Data is collected from each early intervention provider within the state. Each AEIS provider uses CDS to report data on the infants and toddlers they serve within their local program. Also, CDS generates an electronic record for each child. Arkansas First Connections created the database to capture and display data that indicates the status of the infant and toddlers record. Lead Agency staff are given access to the AEIS provider file in order to assist in resolving data issues. CDS includes, as a part of the child's record, steps and services listed on the child's IFSP. Beginning July 1-June 30, 2016 data was gathered from IFSP's and sent to each AEIS provider for review and verification. The data reported for this indicator reflects the full year (FFY2015).

### Actions required in FFY 2014 response

## FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

none

Note: Any actions required in last year's response 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 2014

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
5	5	0	0

### FFY 2014 Findings of Noncompliance Verified as Corrected

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

Part C Quality Assurance staff issued detailed letters to AEIS providers notifying them of their non-compliance. The letter informed local providers of their scores in relations to transition steps. AEIS provider monitoring letters quoted the federal regulations and informed them that they have to ensure that all children receive timely transition planning and that they must correct all noncompliance. Procedures outlined in the Arkansas' monitoring manual gives the providers 90 days to correct identified noncompliance, however, correction is required to be made no later than one year from the date of notification.

After the designated time period, for each provider previously found out of compliance, the quality assurance staff select a number of new records for review to ensure that the provider is in compliance with these new records. This verification process of reviewing new records ensures that the provider is correctly implementing the regulatory requirements.

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

First Connections verification procedures indicates that monitoring staff conducts the process of verifying correction of noncompliance for each provider that is cited for noncompliance. The process includes an analysis of records for toddlers who did not receive timely transition planning and were not in compliance with requirements to verify that the children received transition services (steps) although late, unless that child is no longer within the jurisdiction of the program.

### OSEP Response

Because the State reported less than 100% compliance for FFY 2015, the State must report on the status of correction of noncompliance identified in FFY 2015 for this indicator. When reporting on the correction of noncompliance, the State must report, in the FFY 2016 SPP/APR, that it has verified that each EIS program or provider with noncompliance identified in FFY 2015 for this indicator: (1) is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) based on a review of updated data such as data subsequently collected through on-site monitoring or a State data system; and (2) has corrected each individual case of noncompliance, unless the child is no longer within the jurisdiction of the EIS program or provider, consistent with OSEP Memo 09-02. In the FFY 2016 SPP/APR, the State must describe the specific actions that were taken to verify the correction.

If the State did not identify any findings of noncompliance in FFY 2015, although its FFY 2015 data reflect less than 100% compliance, provide an explanation of why the State did not identify any findings of noncompliance in FFY 2015.

### Required Actions

**FFY 2015 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 SEA and the 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		79.00%	96.40%	89.00%	88.00%	95.00%	96.00%	91.00%	97.00%	87.61%	95.82%

Key:  Gray – Data Prior to Baseline  Yellow – Baseline

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target	100%	100%	100%	100%

**FFY 2015 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 2014 Data*	FFY 2015 Target*	FFY 2015 Data
218	221	95.82%	100%	98.64%

Number of parents who opted out <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
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**Describe the method used to collect these data**

The state used the Comprehensive Data System to collect data for Indicator 8. Part C selected the time period from July 1, 2015 to June 30, 2016 to reflect reporting for the full fiscal year.

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).

Arkansas Part C collected data from July 1, 2015-June 30, 2016 to reflect reporting for the full fiscal year (2015).

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

## FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

First Connections staff collected data for Indicator 8 from the Comprehensive Data System (CDS). Data Unit staff used the inquiry process to confirm the information gathered in the statewide database. Transition data was collected from each Part C provider in Arkansas, including State Service Coordinators, their delegates and local early intervention providers. Program staff use the CDS to enter/report data on the infants and toddlers that they are assigned. The Lead Agency developed the Comprehensive Data System to collect and display data that reflects the position of the infant and toddlers early intervention files. Administrative Staff are permitted access to the providers electronic file that allows lead agency staff to work closely with AEIS providers and state staff to assist in providing guidance and support. The system includes, in the individual child record, the date of the child's transition conference as required in the federal regulation. Data was captured from IFSP's with dates starting July 1, 2015- June 30, 2016, and sent to AEIS providers and state staff for verification and submission back to the Part C program. In order to ensure the accuracy of the information; sufficient time was given to verify the data. Arkansas' data manager examined information that was reported and determined that it is reflective of a full year.

### Actions required in FFY 2014 response

none

Note: Any actions required in last year's response 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 2014

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
4	4	0	0

### FFY 2014 Findings of Noncompliance Verified as Corrected

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

Part C Quality Assurance staff disseminated letters of notification to local programs advising them of their non-compliance. Monitoring report letters informed AEIS providers of their scores connected to SEA/LEA notifications. The monitoring letter stated the federal regulations and informed them that they must ensure that all children in their program receive timely transition planning and that they must correct all noncompliance. Arkansas First Connections monitoring procedures allow AEIS providers 90 days to correct identified noncompliance, however, correction must be made no later than one year from the date of notification.

For each provider with previously identified noncompliance in this area, the quality assurance staff selects a number of new records to review. When this subsequent review of new records shows that the program is still in compliance, this process ensures that the provider is correctly implementing the regulatory requirements.

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

First Connections' verification process with respect to correction of noncompliance, incorporated an analysis of files for toddlers who did not receive timely transition planning and were not in compliance with requirements to verify that the children received transition services ( SEA/LEA notification ) although late, unless that child is no longer within the jurisdiction. Lead Agency staff confirmed that all noncompliance was corrected within one year of notification for each AEIS provider.

### OSEP Response

Because the State reported less than 100% compliance for FFY 2015, the State must report on the status of correction of noncompliance identified in FFY 2015 for this indicator. When reporting on the correction of noncompliance, the State must report, in the FFY 2016 SPP/APR, that it has verified that each EIS program or provider with noncompliance identified in FFY 2015 for this indicator: (1) is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) based on a review of updated data such as data subsequently collected through on-site monitoring or a State data system; and (2) has corrected each individual case of noncompliance, unless the child is no longer within the jurisdiction of the EIS program or provider, consistent with OSEP Memo 09-02. In the FFY 2016 SPP/APR, the State must describe the specific actions that were taken to verify the correction.

If the State did not identify any findings of noncompliance in FFY 2015, although its FFY 2015 data reflect less than 100% compliance, provide an explanation of why the State did not identify any findings of noncompliance in FFY 2015.

### Required Actions

**FFY 2015 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 SEA and the 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%	44.00%	55.00%	57.00%	86.00%	87.00%	76.00%	87.00%	86.28%	83.59%

Key:  Gray – Data Prior to Baseline  Yellow – Baseline

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target	100%	100%	100%	100%

**FFY 2015 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 2014 Data*	FFY 2015 Target*	FFY 2015 Data
142	221	83.59%	100%	88.24%

<b>Number of toddlers for whom the parent did not provide approval for the transition conference</b> <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
<b>Number of documented delays attributable to exceptional family circumstances</b> <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>	53

**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).**

The First Connections program selected the period of time from June 30,2015-July 1, 2016, to collect data to represent reporting for the full fiscal year. (2015)

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

Data for Indicator 8 was collected from the Comprehensive Data System (CDS). The inquiry process was used by Lead Agency staff to confirm the information gathered in the statewide database. Annual Report data was collected from each Part C provider in Arkansas . State Service Coordinators, their delegates and local early intervention providers use the CDS to enter/report data on the infants and toddlers that they are assigned. Administrative staff developed the Comprehensive Data System to collect and display data that reflects the position of the infant and toddlers early intervention files. Part C' data staff are permitted admittance to the AEIS providers electronic file that allows lead agency staff to work closely with AEIS providers and state staff to aid in providing guidance and support regarding data entry. The system includes, in the individual child record, the date of the child's transition conference as required in the federal regulation. Transition data was captured from IFSP's with dates starting July 1, 2015- June 30 , 2016, and sent to AEIS providers and state staff for verification 8/20/2018

**FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)**

and submission back to the Data unit. In an effort to ensure the accuracy of the information, sufficient time was given to verify the data. Arkansas' data manager examined information that was reported for this time period and determined that it is reflective of a full year.

**Actions required in FFY 2014 response**

none

Note: Any actions required in last year's response 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 2014**

Findings of Noncompliance Identified	Findings of Noncompliance Verified as Corrected Within One Year	Findings of Noncompliance Subsequently Corrected	Findings Not Yet Verified as Corrected
4	4	0	0

**FFY 2014 Findings of Noncompliance Verified as Corrected**

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

First Connections monitoring personnel sent notification letters to early intervention service providers advising them of their non-compliance. The notification letter informed them of their status in relation to timely transition conferences. Program notification letters referenced the federal regulations and informed them that they have to ensure that all children receive timely transition planning and the requirements around correcting all noncompliance. Lead Agency procedures give local providers 90 days to correct identified noncompliance, however, correction must be made no later than one year from the date of notification to the early intervention provider.

A process was put in place for providers who were not previously in full compliance with holding transition conferences for children at least 90 days before the toddler's third birthday. During a subsequent review, quality assurance staff reviewed a number of new records to see if the transition conferences for these new toddlers were held within the correct time period. If there were no additional instances of noncompliances in these records, the state viewed this as an indication that the program was correctly implementing the regulatory requirements.

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

The Part C process of verifying correction of noncompliance, involved a review of records for toddlers who did not receive timely transition planning and were not in compliance with requirements to verify that the children received transition services (transition conference) although late, unless that child is no longer within the jurisdiction of the program. First Connections staff certified that all noncompliance was corrected within one year of notification to the local provider.

**OSEP Response**

Because the State reported less than 100% compliance for FFY 2015, the State must report on the status of correction of noncompliance identified in FFY 2015 for this indicator. When reporting on the correction of noncompliance, the State must report, in the FFY 2016 SPP/APR, that it has verified that each EIS program or provider with noncompliance identified in FFY 2015 for this indicator: (1) is correctly implementing the specific regulatory requirements (i.e., achieved 100% compliance) based on a review of updated data such as data subsequently collected through on-site monitoring or a State data system; and (2) has corrected each individual case of noncompliance, unless the child is no longer within the jurisdiction of the EIS program or provider, consistent with OSEP Memo 09-02. In the FFY 2016 SPP/APR, the State must describe the specific actions that were taken to verify the correction.

If the State did not identify any findings of noncompliance in FFY 2015, although its FFY 2015 data reflect less than 100% compliance, provide an explanation of why the State did not identify any findings of noncompliance in FFY 2015.

**Required Actions**

**FFY 2015 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 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%
Data										0%	0%

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

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target ≥	0%	0%	0%	0%

Key:

**Explanation of Changes**

**Targets: Description of Stakeholder Input**

**Prepopulated Data**

Source	Date	Description	Data	Overwrite Data
SY 2015-16 EMAPS IDEA Part C Dispute Resolution Survey; Section C: Due Process Complaints	11/2/2016	<a href="#">3.1(a) Number resolution sessions resolved through settlement agreements</a>	n	n
SY 2015-16 EMAPS IDEA Part C Dispute Resolution Survey; Section C: Due Process Complaints	11/2/2016	<a href="#">3.1 Number of resolution sessions</a>	n	n

**Explanation of Alternate Data**

**FFY 2015 SPP/APR Data**

3.1(a) Number resolution sessions resolved through settlement agreements	3.1 Number of resolution sessions	FFY 2014 Data*	FFY 2015 Target*	FFY 2015 Data
0	0	0%	0.00%	

**Actions required in FFY 2014 response**

none

**OSEP Response**

The State reported fewer than ten resolution sessions held in FFY 2015. The State is not required to provide targets until any fiscal year in which ten or more resolution sessions were held.

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**FFY 2015 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 ≥				100%						100%	100%
Data								100%			

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

**FFY 2015 - FFY 2018 Targets**

FFY	2015	2016	2017	2018
Target ≥	100%	100%	100%	100%

Key:

**Targets: Description of Stakeholder Input**

Please see introduction section, under Stakeholder Input.

**Prepopulated Data**

Source	Date	Description	Data	Overwrite Data
SY 2015-16 EMAPS IDEA Part C Dispute Resolution Survey; Section B: Mediation Requests	11/2/2016	<a href="#">2.1.a.i Mediations agreements related to due process complaints</a>	n	null
SY 2015-16 EMAPS IDEA Part C Dispute Resolution Survey; Section B: Mediation Requests	11/2/2016	<a href="#">2.1.b.i Mediations agreements not related to due process complaints</a>	n	null
SY 2015-16 EMAPS IDEA Part C Dispute Resolution Survey; Section B: Mediation Requests	11/2/2016	<a href="#">2.1 Mediations held</a>	n	null

**FFY 2015 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 2014 Data*	FFY 2015 Target*	FFY 2015 Data
0	0	0		100.00%	

**Actions required in FFY 2014 response**

none

## FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)

### OSEP Response

The State reported fewer than ten mediations held in FFY 2015. The State is not required to meet its targets until any fiscal year in which ten or more mediations were held.

### Required Actions

**FFY 2015 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
Target			
Data			

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

**FFY 2016 - FFY 2018 Targets**

FFY	2016	2017	2018
Target			

Key:

**Description of Measure**

Please see attachment below.

**Targets: Description of Stakeholder Input**

Please see attachment below.

**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.

Please see below.

**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 2015 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

Please see below.

### Description

Please see below.

## 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.

Please see attachment.

## 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.

Please see attachment

## 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.

Please see attachment

## 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.

Please see attachment

## 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.

Please see attachment

**Phase III submissions should include:**

- Data-based justifications for any changes in implementation activities.
- Data to support that the State is on the right path, if no adjustments are being proposed.
- Descriptions of how stakeholders have been involved, including in decision-making.

**A. Summary of Phase 3**

1. Theory of action or logic model for the SSIP, including the SiMR.
2. The coherent improvement strategies or principle activities employed during the year, including infrastructure improvement strategies.
3. The specific evidence-based practices that have been implemented to date.
4. Brief overview of the year's evaluation activities, measures, and outcomes.
5. Highlights of changes to implementation and improvement strategies.

Please see attachment.

**B. Progress in Implementing the SSIP**

1. Description of the State's SSIP implementation progress: (a) Description of extent to which the State has carried out its planned activities with fidelity—what has been accomplished, what milestones have been met, and whether the intended timeline has been followed and (b) Intended outputs that have been accomplished as a result of the implementation activities.
2. Stakeholder involvement in SSIP implementation: (a) How stakeholders have been informed of the ongoing implementation of the SSIP and (b) How stakeholders have had a voice and been involved in decision-making regarding the ongoing implementation of the SSIP.

Please see attachment.

**C. Data on Implementation and Outcomes**

1. How the State monitored and measured outputs to assess the effectiveness of the implementation plan: (a) How evaluation measures align with the theory of action, (b) Data sources for each key measure, (c) Description of baseline data for key measures, (d) Data collection procedures and associated timelines, (e) [If applicable] Sampling procedures, (f) [If appropriate] Planned data comparisons, and (g) How data management and data analysis procedures allow for assessment of progress toward achieving intended improvements
2. How the State has demonstrated progress and made modifications to the SSIP as necessary: (a) How the State has reviewed key data that provide evidence regarding progress toward achieving intended improvements to infrastructure and the SiMR, (b) Evidence of change to baseline data for key measures, (c) How data support changes that have been made to implementation and improvement strategies, (d) How data are informing next steps in the SSIP implementation, and (e) How data support planned modifications to intended outcomes (including the SiMR)—rationale or justification for the changes or how data support that the SSIP is on the right path
3. Stakeholder involvement in the SSIP evaluation: (a) How stakeholders have been informed of the ongoing evaluation of the SSIP and (b) How stakeholders have had a voice and been involved in decision-making regarding the ongoing evaluation of the SSIP

Please see attachment.

**D. Data Quality Issues: Data limitations that affected reports of progress in implementing the SSIP and achieving the SiMR**

1. Concern or limitations related to the quality or quantity of the data used to report progress or results
2. Implications for assessing progress or results
3. Plans for improving data quality

Please see attachment.

**E. Progress Toward Achieving Intended Improvements**

1. Infrastructure changes that support SSIP initiatives, including how system changes support achievement of the SiMR, sustainability, and scale-up
2. Evidence that SSIP's evidence-based practices are being carried out with fidelity and having the desired effects
3. Outcomes regarding progress toward short-term and long-term objectives that are necessary steps toward achieving the SiMR
4. Measurable improvements in the SiMR in relation to targets

Please see attachment.

**F. Plans for Next Year**

1. Additional activities to be implemented next year, with timeline
2. Planned evaluation activities including data collection, measures, and expected outcomes
3. Anticipated barriers and steps to address those barriers
4. The State describes any needs for additional support and/or technical assistance

Please see attachment.

**OSEP Response**



**FFY 2015 Part C State Performance Plan (SPP)/Annual Performance Report (APR)  
Certify and Submit your SPP/APR**

I certify that I am the Director of the State's Lead Agency under Part C of the IDEA, or his or her designee, and that the State's submission of its IDEA Part C State Performance Plan/Annual Performance Report is accurate.

**Selected:** Designated by the Lead Agency Director to certify

Name and title of the individual certifying the accuracy of the State's submission of its IDEA Part C State Performance Plan/Annual Performance Report.

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Title: Part C Coordinator

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