

**Part C State Performance Plan (SPP) for 2005 -2010**

Overview of the State Performance Plan Development:	1
Indicator 1: Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.	2
Indicator 2: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or programs for typically developing children.	6
Indicator 3: Percent of infants and toddlers with IFSPs who demonstrate improved:	9
A. Positive social-emotional skills (including social relationships);	9
B. Acquisition and use of knowledge and skills (including early language/communication);	9
C. Use of appropriate behaviors to meet their needs	9
Indicator 4: Percent of families participating in Part C who report that early i ntervention services have helped the family:	17
A. Know their rights;	17
B. Effectively communicate their children's needs; and	17
C. Help their children develop and learn.	17
Indicator 5: Percent of infants and toddlers birth to 1 with IFSPs compared to:	27
A. Other States with similar eligibility definitions; and	27
B. National data.	27
Indicator 6: Percent of infants and toddlers birth to 3 with IFSPs compared to:	30
A. Other States with similar eligibility definitions; and	30
B. National data.	30
Indicator 7: Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C’s 45 -day timeline.	35
Indicator 8: Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including:	38
A. IFSPs with transition steps and services;	38
B. Notification to LEA, if child potentially eligible for Part B; and	38
C. Transition conference, if child potentially eligible for Part B.	38
Indicator 9: General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.	45
Indicator 10: Percent of signed written complaints with reports issued that were resolved within 60 -day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.	52
Indicator 11: Percent of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.	56
Indicator 12: 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).	58
Indicator 13: Percent of mediations held that resulted in mediation agreements.	60
Indicator 14: State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.	62

**Part C State Performance Plan (SPP) for 2005 -2010****Overview of the State Performance Plan Development:**

**Please Note: Massachusetts submitted the State Performance Plan to the Office of Special Education Programs in December 2005. Massachusetts has amended the SPP to include new indicators and information. The following is a complete revised SPP (using the SPP template) that addresses all the Priority Indicators including the “New Indicators” for Part C which are 3, 4, and 12.**

The Massachusetts Part C State Performance Plan was developed between September and December 2005, incorporating information from prior reporting to OSEP through Annual Performance Reports, as well as public input from over 70 people at a presentation to the full Interagency Coordinating Committee (ICC) and numerous additional stakeholders on November 10, 2005, addressing all required indicators. Prior to the November 10 ICC meeting, a letter from the Part C Coordinator inviting parents, EI Program directors, and EI vendors to that meeting was widely distributed.

Data reported in the SPP is gleaned from numerous sources. They are collated, and interpreted for this report and for ongoing program monitoring. A primary source of data is the Early Intervention Information System (EIIS), a data management system maintained at the Department of Public Health as a Microsoft SQL database. Massachusetts' 61 community-based Early Intervention provider agencies enter data into the EIIS system on a regular basis. Client registration data, including service coordinator assignment and other child-specific data, is entered within 10 days of first face-to-face service date (a new standard in SFY 2005) to create a new client record. Eligibility evaluation and service plan data is entered within 10 days of evaluation. This data is then correlated with a comprehensive service delivery database for data verification, for example, to access dates of service for individual children. Client discharge data is to be entered within 10 days of discharge date.

Seven service types are tracked via Service Delivery by provider discipline and child identification number, including: Home Visit, Center-Based Individual Visit (requires justification for service not in natural environment), Community Child Group, EI-Only Child Group (also requires justification for service not in natural environment), Parent Group, Assessment, and Intake/Screening.

This Plan was developed using data from EIIS and Service Delivery reports, as well as monitoring and complaint system data. Additional data from prior year Annual Performance Reports and the parent complaint data system was incorporated as well. In order to gather baseline data on all required indicators for the SFY 2005 reporting period, the state also utilized a Self-Assessment for EI providers. The self-assessment form gathered affirmations on provider data and process verification, as well as information we will use to verify data submitted, and a transition survey in which the Lead Agency requested information on three questions for every child discharged during the reporting period as potentially LEA eligible. The transition survey data is utilized on our response to Question 8, as is our Data Verification protocol.

In preparation for submission of our 20th year application in April 2006, Massachusetts intends to hold a public hearing in January 2006, into which information regarding the State's Part C Performance Plan will be integrated. In addition, the Lead Agency will plan other methods of gathering feedback from the public on the SPP (electronically through publication of web-based data, through focus groups associated with program monitoring, at training venues, etc).

***(The following items are to be completed for each monitoring priority/indicator.)***

**Monitoring Priority: Early Intervention Services In Natural Environments**

**Indicator 1: 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)

**Measurement:**

Percent = [(# of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner) divided by the (total # of infants and toddlers with IFSPs)] times 100.

Account for untimely receipt of services.

**Overview of Issue/Description of System or Process:**

Input was sought from ICC members and approximately 40 other stakeholders on November 10, 2005, regarding the state's definition of "timely".

While Part C regulations do not specify the timeline between IFSP meeting and IFSP signature date, many stakeholders and Lead Agency staff are concerned about adopting the standard of 30 days, meaning that potentially a minimum of 75 days could pass between a family's initial referral and first IFSP service date. For this reason, the following recommendation was made:

- The state's definition of "timely", currently operationalized at 21 days, will move to 30 days in the new revision of the Massachusetts Early Intervention Operational standards (MA EIOS), to be completed in January 2006. The Lead Agency's intention is to establish a "tickler" system that will inform providers when this period exceeds 21 days, thereby allowing the 30 day standard to be met consistently.

The public input session also raised the question of compliance with timely services when the family is unable to be available, for example when a child is hospitalized. It was also noted that because Massachusetts serves an at-risk population, this could potentially result in a higher rate of family cancellation or "no-shows" due to the many issues with which families may be dealing. Lead Agency staff explained that OSEP is seeking this data in order to determine whether reasons for lateness are systemic or family reasons. "Reason codes" in our information system assist the Lead Agency in determining the reasons for lateness of service start date.

The following wording was discussed and agreed upon by Part C staff for incorporation into the EIO Operational Standards:

**The Massachusetts Early Intervention system defines "timely services" as those that begin within, and do not exceed, 30 days of the IFSP signature date. Programs are encouraged to make good faith efforts to begin services immediately following the day of the IFSP signature. Services designated by the IFSP team as "weekly" should begin within one week, and services designated as "monthly" should begin within one month.**

One of two priority areas for our state's Focused Monitoring system, which will replace our previous monitoring system as of January 2006, is "Service Coordination". The indicator selected for ranking programs in this area is: **"Number of days between IFSP signature date and first service date"**. Data relating to "Number of days between IFSP signature date and first service date" was presented to stakeholders at the State Interagency Coordinating Council meeting November 10, 2005. The report developed for Focused Monitoring purposes includes this information by individual program and includes program ranks. This data report was shared with providers statewide November 18, 2005 via e-mail and regular mail and will be reviewed at a statewide program directors' training December 5, 2005. Providers were given information on the focused monitoring process, protocols, and procedures.

Massachusetts ensures that all children receive all services on their IFSP's through a monitoring system that includes the following components:

- Annual Self-Assessment (new format developed for the first time to report on SFY 2005 data) completed by providers, which requires affirmation that referral, eligibility evaluation, and IFSP timelines are followed and accurately reported to EIS. The Self-Assessment includes a Data Verification component

## SPP Template – Part C (3)

Massachusetts

that matches information reported by providers to service delivery and information systems to ensure accuracy.

- Monitoring of EIS data, and reporting by region to Regional Specialists, every six months by Data Manager.
- On site visits to one program for each of two areas in each of five groupings (a total of ten visits: programs are grouped by size of enrollment) each year. On site monitoring is done by a team of Lead Agency staff and parents, and includes a desk audit, data review, record review and focus groups with parents, staff and community members in order to explore the reasons for untimely services.
- Tracking of parent complaint data, which is then correlated with EIS data to target programs in need of improvement.

### Baseline Data for FFY 2004 (2004-2005):

The following data was shared with ICC members and other stakeholders in November 2005 in order to solicit input:

- Data from January 2005 to July 2005 indicates a range of 8 days to 35 days from IFSP signature date to first service for all providers. The statewide average is 14 days, and most providers fall well within 30 days.
- Between January 2005 and June 2005, 6,302 children had new IFSPs. 5,023 (79.7%) of those children had their first service within 21 days; 5,587 (88.6%) of those children had first service within 30 days.
- Of 9,930 children with new and existing IFSP's during the same period (January 2005 -July 2005), 8,208 (82.7 %) had their first service within 21 days, and 8,941 (90%) within 30 days.

### Discussion of Baseline Data:

Reason codes are currently collected on the EIS for the time period from referral to IFSP meeting (see Indicator # 7) and indicate that a variety of reasons, ranging from child hospitalization to lack of program personnel, are invoked to explain IFSP meetings that are not held within the 45 day timeline. The Lead Agency extrapolates that these reason codes also account for untimely receipt of services. Our system clarified the definitions of all reason codes over the past year, so the system can determine whether the program remains in compliance (for example, the family cancelled or moved, the child was hospitalized) or out of compliance (for example, staff became ill, personnel of the needed discipline were not available).

As we update EIS for SFY 2007, we will develop a mechanism to gather reason codes for timeliness regarding receipt of services.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	100% of infants and toddlers with IFSPs receive the early intervention services on their IFSPs in a timely manner according to the state's definition of "timely".
2006 (2006-2007)	100% of infants and toddlers with IFSPs receive the early intervention services on their IFSPs in a timely manner according to the state's definition of "timely".
2007 (2007-2008)	100% of infants and toddlers with IFSPs receive the early intervention services on their IFSPs in a timely manner according to the state's definition of "timely".

<p><b>2008</b> (2008-2009)</p>	<p><b>100% of infants and toddlers with IFSPs receive the early intervention services on their IFSPs in a timely manner according to the state’s definition of “timely”.</b></p>
<p><b>2009</b> (2009-2010)</p>	<p><b>100% of infants and toddlers with IFSP s receive the early intervention services on their IFSPs in a timely manner according to the state’s definition of “timely”.</b></p>
<p><b>2010</b> (2010-2011)</p>	<p><b>100% of infants and toddlers with IFSPs receive the early intervention services on their IFSPs in a timely manner according to the state’s definition of “timely”.</b></p>

**Improvement Activities/Timelines/Resources:**

Our state has re-configured our entire monitoring system to better meet General Supervision requirements. We are targeting regional resources to programs most in need of improvement, and are also improving data collection, verification, and monitoring protocols to allow us to more closely and frequently monitor using key data elements.

Massachusetts has updated our monitoring system over the past two years. Working closely with the National Center for Special Education Accountability and Monitoring (NCSEAM), our state is implementing a “Focused Monitoring” system to determine how sites will be selected for visits based on data and rankings, rather than automatically visiting each program every year.

As discussed above, we are developing a “tickler” system for notifying programs when time between IFSP signature and services exceeds 21 days, to assist programs in self-monitoring. Programs whose data review reveals that services are untimely will be required to submit a corrective action plan to their region’s Regional Specialist and will be monitored to determine that they are able to comply with the requirement.

In addition, in SFY 2007 we will be instituting a new set of “reason codes” to explain instances of untimely services.

Detailed information, support, and technical assistance will be offered to all Early Intervention Program directors by Lead Agency staff and Regional Specialists to support providers in both understanding the requirements and in meeting this goal.

Implementation of the state’s newly adopted definition of “timely” will be incorporated into the Massachusetts Early Intervention Operational Standards (MA EIOS), currently under revision for a January 2006 completion date. The definition will also be widely distributed, along with technical assistance in meeting this requirement, at a Program directors’ training to be held December 5, 2005.

**Improvement Activities FFY2007**

*The Timeliness of Services Survey section of the FY 2008 Annual Report/Self-Assessment will be distributed to all EIPs in late summer/early fall 2008, separate from the remainder of the Annual Report/Self-Assessment. Service delivery data will be utilized to match program reported IFSP service dates. The Data Manager along with Lead Agency regional staff will review data, send individual reports to all programs with outcome results for local programs to review, edit, make corrections, and provide the appropriate justification for untimely services to ensure more accurate and reliable data.*

**Timeline:** September 2008

**Resource:** Data Manager/ Lead Agency Regional Staff

## SPP Template – Part C (3)

Massachusetts

### ***Improvement Activities FFY 2008***

*The Data Manager and Lead Agency regional staff will continue to provide technical assistance and guidance to local early intervention programs on the State's definition of "timely", and assist programs in the development of appropriate tracking systems to monitor timely provision of services. Lead agency staff will continue to review data and provide local program reports on performance in this Indicator.*

***Timeline:*** February 2009 and ongoing      ***Resource:*** Data Manager/Lead Agency Regional Staff

***New improvement activities noted above are reflected in the Massachusetts Part C State Performance Plan that will be posted on the Lead Agency website.***

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

When Indicator 2, “*infants and toddlers with IFSPs primarily receive early intervention services in the home or programs for typically developing children*”, was discussed at a public input session on November 10, 2005, the following points were raised by stakeholders:

- Our state has made significant progress in addressing, defining and complying with this area.
- 618 data does not provide a complete picture because it only describes where children receive MOST of their services
- It continues to be appropriate for some children (those who are medically fragile, blind or deafblind) to receive services in settings that are not natural environments, such as clinic settings or Schools for the Blind or Deaf, WITH appropriate justification.

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Early Intervention Services In Natural Environments**

**Indicator 2: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or programs for typically developing children. 1**

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

**Measurement:** Percent = [(# of infants and toddlers with IFSPs who primarily receive early intervention services in the home or programs for typically developing children) divided by the (total # of infants and toddlers with IFSPs)] times 100.

**Overview of Issue/Description of System or Process:**

Previous non-compliance in this area has been addressed and corrected through monitoring, updated reporting mechanisms, and training for providers regarding service setting and appropriate justification. Non-compliance was identified by OSEP in reviewing 618 “settings” data and was included as part of the State Improvement Plan in 2000.

One method the Lead Agency utilized in order to address this issue was to assist EI providers build capacity for community relationships by providing support for EI providers in reaching out to community-based programs. This was done through mini-grants in 2000 and 2001 to specifically support the time needed to build relationships within communities that would result in shared, community-based activities for young children such as community playgroups. Following these grants, the Lead Agency developed a very specific and concrete definition of a “community group” in 2002 that could include both early intervention and typically developing children and could be provided at an early intervention program site. The Lead Agency also developed a rate differential so community groups were reimbursed at a higher rate than EI-only groups. The Universal IFSP form was updated to include the requirement that a justification must be included for all services not provided in a natural setting. On site monitoring practices were updated to allow the Lead Agency to correlate IFSP’s reviewed, progress notes, and service delivery reports, verifying this data against what was entered in the EIS system.

The Lead Agency, in partnership with MA Department of Education, also applied for and received a General Supervision Enhancement Grant (GSEG) in 2003 to support “Project Playgroup”, grants provided to twenty collaborations of community-based EI programs with Massachusetts Family Networks, DOE-supported family support programs for children birth to four. These collaborations resulted in enhancing some existing

<sup>1</sup> At the time of the release of this package, revised forms for collection of 618 State reported data had not yet been approved. Indicators will be revised as needed to align with language in the 2005-2006 State reported data collections.

## SPP Template – Part C (3)

Massachusetts

playgroups and in building new ones in some communities. Massachusetts also worked with the National Early Childhood Technical Assistance Center (NECTAC) to initiate a workplan on providing services in natural environments, throughout 2002 and 2003.

Training offered through the Lead Agency's training vendor was updated to reflect a state commitment to the provision of services in natural environments. Collaboration with the state child care agency, including co-funding (in 2001 and 2002) of Regional Consultation Program (RCP's), who are charged with outreach to Child Care Resource and Referral Agencies to support the inclusion of young children with disabilities in typical child care settings, also resulted in the development of supports for children with disabilities and delays to be better included in settings where typically developing children spend time.

### Baseline Data for FFY 2004 (2004-2005):

Most recent 618 data demonstrates, for primary service setting, 99.2% (of 13,757 children in 12/1/2004 child count) of children with IFSP's received their primary services in natural settings.

### Discussion of Baseline Data:

The Lead Agency continues to monitor service settings data through the EISS and through service delivery reports. Our monitoring practices combine all data sources related to setting in order to conclude that practice has indeed changed in our state.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	99.3% of children with IFSP's will receive services in the home or in programs for typically developing children, or will have justification statements on their IFSP's as to why such services cannot be delivered in these settings.
2006 (2006-2007)	99.4% of children with IFSP's will receive services in the home or in programs for typically developing children, or will have justification statements on their IFSP's as to why such services cannot be delivered in these settings.
2007 (2007-2008)	95% of children with IFSP's will receive services in the home or in programs for typically developing children, or will have justification statements on their IFSP's as to why such services cannot be delivered in these settings.
2008 (2008-2009)	95% of children with IFSP's will receive services in the home or in programs for typically developing children, or will have justification statements on their IFSP's as to why such services cannot be delivered in these settings.
2009 (2009-2010)	95% of children with IFSP's will receive services in the home or in programs for typically developing children, or will have justification statements on their IFSP's as to why such services cannot be delivered in these settings.
2010 (2010-2011)	95% of children with IFSP's will receive services in the home or in programs for typically developing children, or will have justification statements on their IFSP's as to why such services cannot be delivered in these settings.

### Improvement Activities/Timelines/Resources:

## SPP Template – Part C (3)

Massachusetts

The Lead Agency will continue to mandate training for all new staff in the field regarding the requirements to provide services in natural environments or have justification statements on IFSP's if such services cannot be provided in natural environments. Massachusetts' Universal IFSP Form, utilized by all Massachusetts programs, will continue to specify where and when justification is required. EIS, Service Delivery, and 618 data will be monitored for service settings by Regional Specialists and the Data Manager.

For SFY 2007, as part of a scheduled update of the EIS system, a question regarding primary service setting will be added to the IFSP form of the EIS. This will provide verification of data in ensuring the accuracy of 618 data.

SFY 2006: Annual training for Program Directors will include content on the importance of providing services in natural environments. Programs identified as outliers in this area through data review will receive technical assistance and will be required to submit corrective action plans.

SFY 2007 and ongoing: New question regarding primary service setting to be incorporated into EIS. A process to provide more detailed reporting of community group settings will be planned and implemented.

### **Revisions to Proposed Target FFY 2007**

*Over the past several years the number of children receiving services in the home and community based settings in Massachusetts has never been below 98%. However, an increased number of enrolled children with significant and complex needs for whom outcomes can not be achieved in a natural setting has attributed to the slight increase in children receiving services in settings other than home or community based. Therefore, based on the discussion with Stakeholders, and the fact that there will always be a small percentage of children for whom early intervention services can more appropriately be delivered in a specialized setting, Massachusetts will change its target for Indicator # 2 to 95% over the remaining four years of the SPP.*

### **Improvement Activities**

*A new question regarding primary service setting will be added to the IFSP and incorporated into the Early Intervention Information System (EIS) (Reporting for Table 2 618 data). Training will be provided regarding the new data entry requirement.*

**Timeline:** State Fiscal Year 2008

**Resource:** Data Manager/Lead Agency Staff

*Massachusetts Part C Department of Public Health staff in collaboration with the Department of Early Education and Care, Department of Education, Head Start, and Early Head Start submitted an application for a SpecialQuest grant to build upon already existing relationships to create a statewide system to provide quality inclusive opportunities for all young children and their families by embedding the SpecialQuest approach, materials, and resources into professional development and service systems.*

**Timeline:** ongoing

**Resource:** Assistant Director Early Childhood Programs

### **Improvement Activities – FFY 2008**

*A new question regarding primary service setting will be added to the IFSP and incorporated into the Early Intervention Information System (EIS) or programs will be surveyed at the program level regarding the primary services setting for all IFSP services.*

**Timeline:** Calendar year 2009

**Resource:** Data Manager/Lead Agency Staff

*Lead Agency staff will continue participation in SpecialQuest Birth-Five State Leadership Team ([www.specialquest.org](http://www.specialquest.org)) and in the planning of a symposium on inclusion this spring. The Leadership Team is recruiting Dan Habib, to present the film, "Including Samuel", as a Plenary Session, with workshops for discussion afterward with a focus on how SpecialQuest materials could help support the inclusion of infants, toddlers, preschoolers and young students with disabilities.*

*Timeline: Ongoing*

*Resource: Assistant Director, Early Childhood Programs/EI Training Center Director/Parent Leadership Education Coordinator*

*New improvement activities noted above are reflected in the Massachusetts Part C State Performance Plan that will be posted on the Lead Agency website.*

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

**Monitoring Priority: Early Intervention Services in Natural Environments**

**Indicator 3: 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);
- C. Use of appropriate behaviors to meet their needs

**Measurement:**

- A. Positive social-emotional skills (including social relationships):
  - a. Percent of infants and toddlers who did not improve functioning = [(# of infants and toddlers who did not improve functioning) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = [(# of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same -aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - c. Percent of infants and toddlers who improved functioning to a level nearer to same -aged peers but did not reach it = [(# of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = [(# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - e. Percent of infants and toddlers who maintained functioning at a level comparable to same - aged peers = [(# of infants and toddlers who maintained functioning at a level comparable to

same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.

If a + b + c + d + e does not sum to 100%, explain the difference.

- B. Acquisition and use of knowledge and skills (including early language/communication and early literacy):
- Percent of infants and toddlers who did not improve functioning = [(# of infants and toddlers who did not improve functioning) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = [(# of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same -aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100 .
  - Percent of infants and toddlers who improved functioning to a level nearer to same -aged peers but did not reach it = [(# of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = [(# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - Percent of infants and toddlers who maintained functioning at a level comparable to same -aged peers = [(# of infants and toddlers who maintained functioning at a level comparable to same-aged peers) divided by (# of infants and toddlers with IFSPs assessed)] times 100.

If a + b + c + d + e does not sum to 100%, explain the difference.

- C. Use of appropriate behaviors to meet their needs:
- Percent of infants and toddlers who did not improve functioning = [(# of infants and toddlers who did not improve functioning) divided by (# of infants and toddlers with IFSPs assessed)] times 100.
  - Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers = [(# of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same -aged peers) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.
  - Percent of infants and toddlers who improved functioning to a level nearer to same -aged peers but did not reach it = [(# of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach it) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.
  - Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers = [(# of infants and toddlers who improved functioning to reach a level comparable to same-aged peers) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.
  - Percent of infants and toddlers who maintained functioning at a level comparable to same -aged peers = [(# of infants and toddlers who maintained functioning at a level comparable to same-aged peers) divided by the (# of infants and toddlers with IFSPs assessed)] times 100.

If a + b + c + d + e does not sum to 100%, explain the difference.

### Overview of Issue/Description of System or Process:

The Massachusetts EI system collects entry and exit data on every child through the Early Intervention Information System (EIIS). There are currently two Lead Agency approved assessment tools to determine eligibility in the Massachusetts Early Intervention System, the Michigan EIDP and the Battelle Developmental Inventory 2. The majority of the programs throughout the state utilize the Michigan EIDP as the primary tool for determining eligibility. In last year's State Performance Plan Massachusetts reported entry and exit data on all children determined eligible through the Michigan who received at least six consecutive months of service. In addition, Massachusetts serves at -risk children under Part C and reported

the at-risk children outcome data separately from those children eligible under established conditions and developmental delay.

## Background

In February 2007, the state utilized 618 Exiting data to report progress at the time of exit. For the 2005 SPP, stakeholders along with Lead Agency staff defined the criteria for the five reporting categories as a comparison in the percentage of improvement in functionality in the following three outcome areas; positive social-emotional skills (social emotional domain); acquisition and use of knowledge and skills (communication domain) and use of appropriate behaviors to meet their needs (adaptive/self help domain).

The criteria for each indicator was as follows:

- a. The percent of infants and toddlers who did not improve functioning = the percent of functionality at discharge was less than or equal to the percent of functionality at enrollment.
- b. The percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same age peers = the % of functionality improvement between enrollment and discharge was between 1% and 29%.
- c. The percent of infants and toddlers who improved functioning to a level nearer to same -aged peers but did not reach it = the % of functionality improvement between enrollment and discharge was between 30% and 59%.
- d. The percent of infants and toddlers who improved functioning to reach a level comparable to same -aged peers = the % of functionality improvement between enrollment and discharge was 60% or greater.
- e. The percent of infants and toddlers who maintained functioning at a level comparable to same -aged peers = the % of functionality was 100%+ at both enrollment & discharge OR the % of functionality was 85% at discharge or greater even if the % of functionality between enrollment & discharge did not show an improvement.

The June 2007 OSEP response letter noted for Indicator # 3 that Massachusetts did not report entry -level data based on the required measurement. Reporting categories and definitions were considered too rigorous to report the subtle levels of progress for infants and toddlers.

Based on guidance from OSEP and staff at the ECO Center, Massachusetts redefined its criteria for each of the five reporting categories. Details about the reporting categories are defined below:

### New Approach to Measurement Criteria for FFY 2006 SPP to Collect Data:

Lead Agency staff and stakeholders representing Higher Education, EI Program Director, and program staff redefined the Massachusetts criteria for measuring the five reporting categories to better capture child outcomes data. The new criteria for each indicator is as follows:

- a. The percent of infants and toddlers who did not improve functioning is defined as **children whose developmental age is the same at entry and exit.**
- b. The percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same age peers is defined as those **children with a functional level (developmental age divided by chronological age) at exit was greater than the functional level at entry but less than 50%.**
- c. The percent of infants and toddlers who improved functioning to a level nearer to same age peers but did not reach it is defined as those **children with a functional level (developmental age divided by chronological age) at exit was greater than the functional level at entry and between 50% and 84%.**
- d. The percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers is defined as those **children with an entry functional level less than 85% and exit functional level greater than or equal to 85%.**

## SPP Template – Part C (3)

Massachusetts

- e. The percent of infants and toddlers who maintained functioning at a level comparable to same -aged peers is defined as those **children with a functional level greater than or equal to 85% at both entry and exit.**

Exit data was collected on all FY 2006 IFSP children excluding the following;

- Children having no or only one evaluation
- Children with no evaluation scores under the three domains
- Children with illogical data (evaluation date was prior to the birth date)

In addition, children showing a decrease in functionality under the specific domains are not included in the reporting data. The cohort of children whose outcome data was originally reported in category “a” in FY 2006 was excluded from the current reporting categories. The decision to omit these children’s data was based on further investigation by the Lead Agency staff which resulted in the conclusion that current evaluation protocols are not sensitive enough to accurately measure the subtle progress that is achieved by this group of children. The Lead Agency recognizes that the domains based evaluation utilized to date, while valuable in measuring quantitative progress in domain areas, may be less applicable in measuring qualitative functionality. Massachusetts’ ongoing improvement activities will include the identification and implementation of alternative measurement activities which will more accurately capture the functional improvement for all EI enrolled children.

### **Quality assurance of monitoring procedures to ensure the accuracy and completeness of the outcome data:**

Lead Agency staff ensure the reliability and accuracy of the eligibility data through Data Verification affirmation of the Annual Report, where programs affirm that “EIS forms” are present and complete in each child’s file and are validated through EIS. In addition, Lead Agency personnel cross -reference eligibility information comparing information on the EIS with eligibility data submitted in the Annual Report File review. This assures that eligibility requirements are being met with regard to assessment, at risk categories and established conditions.

### **Baseline Data:**

This is NOT baseline data. Progress data reported in 2010 will be considered baseline data. The first year of progress data for children exiting in FFY 2005/FY 2006 is presented in the tables below.

A. Positive social-emotional skills (including social relationships):	Number of children	% of children	Number of At Risk Children	% of At Risk Children
a. Percent of infants and toddlers who did not improve functioning	46	.8%	0	0%
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	13	.2%	0	0%
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	196	3.3%	4	1.3%
d. Percent of infants and toddlers who	1,299	21.9%	65	21.1%

**SPP Template – Part C (3)**

Massachusetts

improved functioning to reach a level comparable to same-aged peers				
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	<b>4,390</b>	<b>73.9%</b>	<b>239</b>	<b>77.6%</b>
Total	<b>N= 5,944</b>	<b>100%</b>	<b>N= 308</b>	<b>100%</b>

B. Acquisition and use of knowledge and skills (including early language/communication):	Number of children	% of children	Number of At Risk Children	% of At Risk Children
a. Percent of infants and toddlers who did not improve functioning	135	2.8%	0	0%
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	27	.6%	0	0%
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	749	15.6%	4	1.3%
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	1,255	26.2%	73	24.5%
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	2,632	54.9%	221	74.2%
<b>Total</b>	<b>N= 4,798</b>	<b>100%</b>	<b>N= 298</b>	<b>100%</b>

C. Use of appropriate behaviors to meet their needs:	Number of children	% of children	Number of At Risk Children	% of At Risk Children
a. Percent of infants and toddlers who did not improve functioning	97	1.9%	1	.3%
b. Percent of infants and toddlers who improved functioning but not sufficient to move nearer to functioning comparable to same-aged peers	12	.2%	0	0%
c. Percent of infants and toddlers who improved functioning to a level nearer to same-aged peers but did not reach	521	10.3%	13	4.5%
d. Percent of infants and toddlers who improved functioning to reach a level comparable to same-aged peers	1,351	26.8%	75	25.8%
e. Percent of infants and toddlers who maintained functioning at a level comparable to same-aged peers	3,055	60.7%	202	69.4%
<b>Total</b>	<b>N= 5,036</b>	<b>100%</b>	<b>N= 291</b>	<b>100%</b>

**Discussion of Baseline Data:**

Progress data reported in 2010 will be considered baseline data.

As was stated above Massachusetts utilized 618 Exiting data, excluding IFSP children having no or only one evaluation; children with no evaluation scores available under all three domains (Social Emotional, Communication, and Adaptive), children with illogical data (evaluation date prior to birth day) and children showing a decrease in functionality under the specific domains.

Massachusetts defined the amount of progress and real and meaningful improvement for infants and toddlers as those falling in reporting categories b –e, those infants and toddlers who were age appropriate and/or showed improvement. Based on this definition, **99.2%** of infants and toddlers in the Massachusetts EI system (excluding at-risk) were either age appropriate or improved functioning in the Social Emotional domain demonstrating social-emotional skills (including social relationships), **97.2%** of infants and toddlers in the Massachusetts EI system (excluding at -risk) were either age appropriate or improved functioning in the Communication domain demonstrating acquisition and use of knowledge and skills (including early language/communication) and 98.1 % of infants and toddlers (excluding at risk) were either age appropriate or improved functioning in the Adaptive/Self Help domain demonstrating use of appropriate behavior to meet their needs.

Using the same measurement criteria for infants and toddlers in the Massachusetts EI system eligible based only on at-risk criteria (308 out of 308), **100%** were age appropriate or improved functioning in the Social Emotional domain demonstrating improved social -emotional skills; (298 out of 298) **100%** were age appropriate or improved functioning in the Communication domain demonstrating acquisition and use of knowledge and skills; and (290 out of 291) **99.7%** were age appropriate or improved functioning in the Adaptive/Self Help domain demonstrating appropriate behavior to meet their needs.

**Measurable and Rigorous Targets:**

Targets will be set in 2010.

**Improvement Activities/Timelines/Resources:**

Based on feedback from OSEP, Massachusetts' current process for reporting child outcomes using the current evaluation protocols is not sensitive enough to accurately measure the subtle progress achieved by infants and toddlers. Therefore, Massachusetts has been engaged in strategic planning with Stakeholders and has solicited input and technical assistance from OSEP, the ECO Center, NERRC and other states over the past year to obtain assistance on how best to report meaningful child outcomes data that meets the federal reporting requirements and is beneficial to the Massachusetts EI system.

Massachusetts has obtained technical assistance in redefining our measurement criteria for the five reporting categories and plans to engage in some short term planning over the next six months to better capture outcome data. The comparison of developmental domain scores at entry and exit utilizing one tool, and one source of information that does not include family input will not capture the level of progress for the child outcomes indicator.

Massachusetts' ongoing improvement activities will include the identification and implementation of alternative measurement activities which will more accurately capture the functional improvement for all EI children. Possible options may include utilizing the Michigan and Battelle crosswalks, introducing the COSF and/or moving to only one assessment tool. **See new Indicator 3, that was submitted with the FFY 2007 APR.**

<b>Activity</b>	<b>Timelines</b>	<b>Resources</b>
Massachusetts will expand current stakeholders group to engage broader representation from EI community to address measuring EC outcomes	January 2008	Assistant Director Early Childhood Programs and Lead Agency Regional Staff
Develop a plan for Massachusetts EI to better capture meaningful outcome data	February 2008 – June 2008	Assistant Director Early Childhood Programs and Lead Agency Regional Staff
Develop and offer training to provider community on new measurement activities	July 2008 – December 2008	Assistant Director Early Childhood Programs and Lead Agency Regional Staff
Initiate new protocol and start collecting entry data	January 2009	Data Manager and Lead Agency Staff

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

The Lead Agency solicited public input from a broad group of Stakeholders including parents, service providers, program directors and agency representatives to develop a plan for administration and dissemination of the Family Survey. The Stakeholders group met on December 12, 2006 and January 2, 2007 to review implementation of the NCSEAM Family Survey, identify survey questions relevant to the Massachusetts EI system, discuss distribution and survey return strategies, and determine measurable and rigorous targets for the state’s performance on this indicator.

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Early Intervention Services In Natural Environments**

**Indicator 4: 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)

**Measurement:**

- A. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family know their rights) divided by the (# of respondent families participating in Part C)] times 100.
- B. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family effectively communicate their children's needs) divided by the (# of respondent families participating in Part C)] times 100.
- C. Percent = [(# of respondent families participating in Part C who report that early intervention services have helped the family help their children develop and learn) divided by the (# of respondent families participating in Part C)] times 100.

**Overview of Issue/Description of System or Process:**

As noted in the State Performance Plan, the Lead Agency participated with NCSEAM in the Family Survey pilot, and utilized the NCSEAM Family Survey to establish baseline data to be submitted in the February 2007 APR. The following is a description of the Massachusetts Sampling Plan to capture baseline data for this indicator.

## Massachusetts Family Survey Sampling Plan and Methodology

### Background:

The sampling plan developed to measure Indicator 4 of the SPP, "*Percent of families participating in Part C who report that early intervention services have helped the family: to a) know their rights, b) effectively communicate their children's needs; and c) help their children develop and learn*", was based on factors of the Massachusetts system. These factors included:

1. The size of the Massachusetts Part C system which serves approximately 30,000 children annually,
2. The number of children served at any one point in time (approximated at 14,000 children), and
3. A determination of the best time to survey families during their EI experience to seek feedback from families.

Massachusetts participated in the NCSEAM Family Survey pilot. In return for serving as a pilot state, Massachusetts received 1000 free scannable surveys and analysis of returned surveys. Because this resource was limited to 1000 surveys in relation to the numbers of children served, it was determined that a sampling plan utilizing NCSEAM as a resource would be the method for collecting baseline data for the February '07 APR submission.

### Collection and Review of Available Data:

In preparation for the development of the sampling plan, the MA DPH assembled the following data from the EIIS:

Total number of children enrolled in EI as of Dec. 1, 2005 by age group:

- 0 -1
- 1 -2
- 2 -3

This data was further analyzed by state geographic regions using three filters:

- Ethnicity
- Race
- Primary language spoken at home

### Methodology and Implementation:

Technical assistance reviews from Dr. Lisa Persinger at NCSEAM, NECTAC staff, and DPH statisticians substantiated that a valid sample could be achieved by sending surveys to all 61 certified Massachusetts early intervention programs.

MA DPH moved forward toward implementation of the sampling the plan by:

- Collecting and analyzing transition and discharge data from the EIIS system for a comparable time frame in 2005,
- Establishing distribution criteria that identified families whose children had been enrolled in EI for a minimum of six months and were transitioning out of EI between September 22 and October 27, 2006, for any reason, including turning three, no longer eligible, moving or family choice as those who would receive a survey.
- Determining each of the 61 certified programs would be sent a number of surveys consistent with the discharge rate of children and families in September and October 2005.
- Responding to the second most common language in the home of eligible children, Spanish, (*source: MDPH EIIS system*) by utilizing the NCSEAM survey translated in Spanish by the Iowa Part C system.

Each early intervention program was sent packets of materials which included cover letters of explanation in both English and Spanish, LSU IRB letter, surveys, stamped, self addressed envelopes and pencils. Programs were asked to have Service Coordinators hand deliver materials to families who met the above referenced criteria.

After packets were distributed to the EI programs, a PowerPoint presentation was sent in advance of a conference call to provide additional background and explanation. Representatives from 18 programs and vendor agencies joined the call. The conference call generated several questions. The lead agency provided

# SPP Template – Part C (3)

Massachusetts

response to the participants during the call and subsequently developed an FAQ which was distributed electronically to all early intervention providers in addition to being posted on the Department of Public Health and Early Intervention Parent Leadership (EIPLP) websites. Early Intervention providers offered very positive feedback about the dissemination and distribution process.

OSEP reviewed the Massachusetts Sampling Plan stating that the sampling plan should be able to provide valid and reliable statewide data given that all 61 EI programs will be distributing the survey. There was some concern that the 37 day time period for distribution of the surveys may not yield enough returned surveys to make it valid. The Massachusetts EI system has about 16,000 children exit the system in a year, which is approximately 1,350 a month (30,000 served annually but 14,000 served at any point in time). At 95% confidence with an interval of 5 you would need 299 returned surveys to report State data which seems feasible. However, if there are 61 EI programs that means they are receiving very few if any from some programs (299 divided by 61 = approx 5 per program), this may lead to issues for local level reporting.

It is the states intent to establish statewide baseline data to be submitted in the February 2007 APR. The Lead Agency will be following up with a much more extensive survey distribution plan in the upcoming year to enable us to draw inferences on a local level. The DPH will continue to investigate available internal resources as well as engage input from Stakeholders regarding systemic implementation and distribution for the February 2008 APR.

## Baseline Data for FFY 2004 (2004-2005):

### Statistical Summary STATE OF MASSACHUSETTS

#### PART C Early Intervention Family Survey Report For Data Collected in 2006

**SPP/APR Indicator #4a:** Percent of families participating in Part C who report that early intervention services have helped the family:  
A. Know their rights.

Standard: A .95 likelihood of a response of “agree,” “strongly agree” or “very strongly agree” with this item on the NCSEAM survey’s Impact of EI Services on Your Family scale:  
“Over the past year, Early Intervention services have helped me and/or my family: know about my child’s and family’s rights concerning Early Intervention services.”

<b>Percent at or above indicator 4A standard (539):</b>	<b>80%</b>	<b>(SE of the mean = 2.3%)</b>
---	------------	--------------------------------

**SPP/APR Indicator #4b:** Percent of families participating in Part C who report that early intervention services have helped the family:  
B. Effectively communicate their children’s needs.

Standard: A .95 likelihood of a response of “agree,” “strongly agree” or “very strongly agree” with this item on the NCSEAM survey’s Impact of EI Services on Your Family scale:  
“Over the past year, Early Intervention services have helped me and/or my family: communicate more effectively with the people who work with my child and family.”

<b>Percent at or above indicator 4B standard (556):</b>	<b>77%</b>	<b>(SE of the mean = 2.5%)</b>
---	------------	--------------------------------

**SPP/APR Indicator #4c:** Percent of families participating in Part C who report that early intervention services have helped the family:  
 C. Help their children develop and learn.

Standard: A .95 likelihood of a response of “agree,” “strongly agree” or “very strongly agree” with this item on the NCSEAM survey’s Impact of EI Services on Your Family scale:  
 “Over the past year, Early Intervention services have helped me and/or my family: understand my child’s special needs.”

<b>Percent at or above indicator 4C standard (516):</b>	<b>86%</b>	<b>(SE of the mean = 2.1%)</b>
---	------------	--------------------------------

Number of Valid Responses:	290	Mean Measure:	700
Measurement reliability: 0.90		Measurement SD:	183

Averages of 8 U.S. states’ 1,750 families participating in the 2005 NCSEAM Pilot Study:

Indicator	A	B	C	SE of Mean	Mean Measure	SD
Value	74%	70%	84%	0.9% - 1.1%	644	158

**Discussion of Baseline Data:****Results Summary**

An electronic data file containing the results of 292 family surveys was provided to Avatar International, Inc. by the State of Massachusetts for measurement scaling and statistical analysis. The data meet or exceed the NCSEAM pilot study's standards for internal consistency, completeness, and overall quality. Of the 292 responding families, 290 provided responses to the survey's Impact of EI Services on Families rating scale items. These cases provide the raw material for this report.

The percents reported to OSEP for SPP/APR indicators 4a, 4b, and 4c are calculated as the percent of families whose measures are at or above a standard that is specific to each indicator. In these analyses, the standards applied were the standards recommended by a nationally representative stakeholder group convened by NCSEAM. This group identified items that most closely represented the content of each of the indicators and recommended the level of agreement that should be required on these items. For indicators 4a, 4b, and 4c, the recommended standards were operationalized as measures of 539, 556, and 516, respectively, since these are the calibrations of the items most closely related to the indicators. The percent reported to OSEP for each indicator is the percent of families with measures on the Impact of Early Intervention Services on Families scale that are at or above these levels.

Figure 1 below shows the distribution of measures on the Impact on Families scale for all families whose data were submitted for this analysis. The overall average of all the individual family measures is 700. In Figure 1, imagine that vertical lines have been drawn at 539, 556, and 516 on the x-axis. These lines would divide the measures above these standards from those below, and would illustrate that the percentages of responding Massachusetts Part C families with measures at or above these levels are 80%, 77%, and 86%, respectively, as shown in the previous page's summary statistics.

There is always a certain amount of error in estimating a value for the entire population of families in a state, based on data from a sample of families. Given the size of the population of families receiving early intervention services, and the number of families from whom completed surveys were received, there is a 95% likelihood that the true value of these percentages is as much as 2.5% less or more than the values given, depending on the standard error of the mean for each indicator (reported on the Statistical Summary page).

**Data Volume and Quality**

The Massachusetts data from the Impact of EI Services on Families scale meet or exceed the NCSEAM 2005 National Item Validation Study's standards for the internal consistency, completeness, and overall quality expected from this survey. Massachusetts families responded on average to about 20 of the 22 questions on this scale. Measurement reliability ranges from .90-.95, depending on how error is estimated, meaning that the measures fall in four to five statistically distinct ranges. Overall data consistency is acceptable, as indicated by several different model fit statistics.

Massachusetts's data from the Quality of Family-Centered EI Services scale also meet or exceed the NCSEAM 2005 National Item Validation Study's standards for the internal consistency, completeness, and overall quality. Families responded on average to about 22 of the 24 items on this scale. Measurement reliability ranges from .80-.90, depending on how error is estimated, meaning that the measures fall in three to four statistically distinct ranges. Overall data consistency is acceptable, as indicated by several different model fit statistics.

**Source:** William P. Fisher, Jr., PH.D, Avatar International Inc. Orlando Corporate Research Center.

Massachusetts 2006 Part C Impact on Family Measures

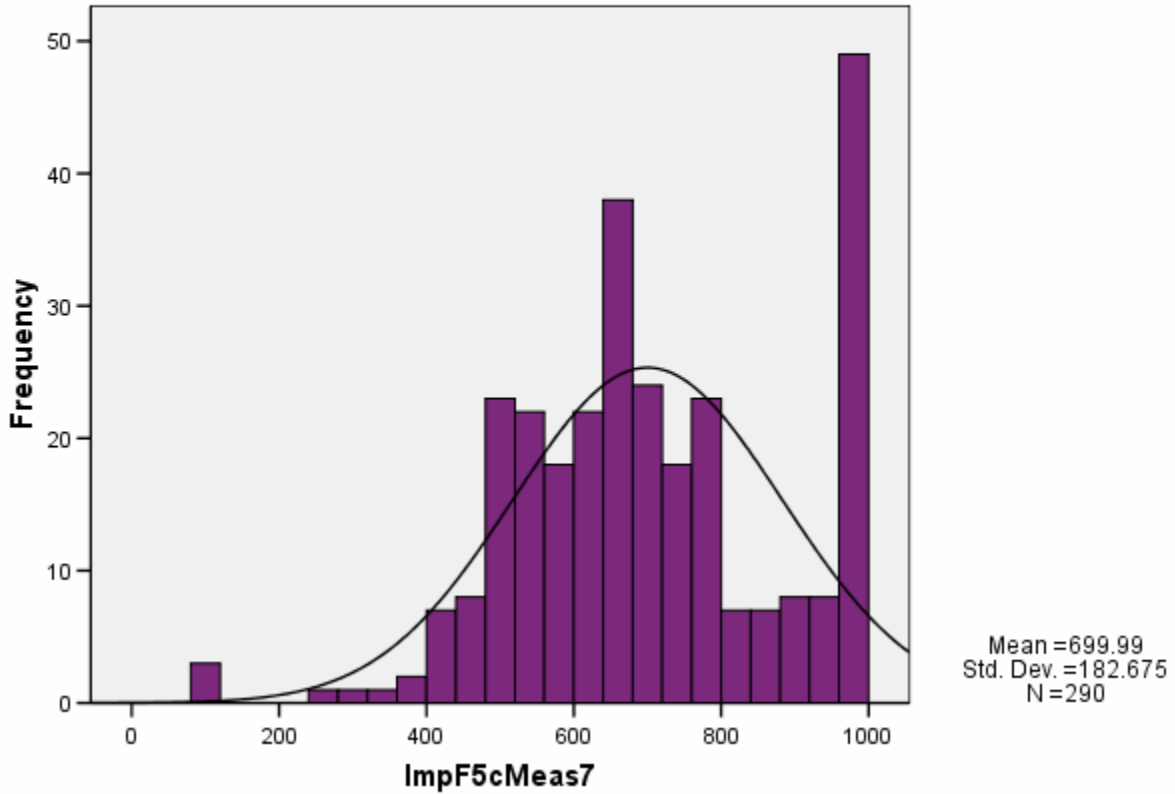


Figure 1. Distribution of Massachusetts Part C Impact on Family Measures, 2006

FFY	Measurable and Rigorous Target
<p><b>2005</b> (2005-2006)</p>	<p><b>Percent of families participating in Part C who report that early intervention services have helped the family:</b></p> <p><b>80%</b> - of families participating in Part C know their rights</p> <p><b>77%</b> - of families participating in Part C effectively communicate their children’s needs</p> <p><b>86%</b> - of families participating in Part C help their children develop and learn</p>
<p><b>2006</b> (2006-2007)</p>	<p><b>Percent of families participating in Part C who report that early intervention services have helped the family:</b></p> <p><b>81%</b> - of families participating in Part C know their rights</p> <p><b>78%</b> - of families participating in Part C effectively communicate their children’s needs</p> <p><b>87%</b> - of families participating in Part C help their children develop and learn</p>
<p><b>2007</b> (2007-2008)</p>	<p><b>Percent of families participating in Part C who report that early intervention services have helped the family:</b></p> <p><b>70%</b> - of families participating in Part C know their rights</p> <p><b>70%</b> - of families participating in Part C effectively communicate their children’s needs</p> <p><b>85%</b> - of families participating in Part C help their children develop and learn</p>
<p><b>2008</b> (2008-2009)</p>	<p><b>Percent of families participating in Part C who report that early intervention services have helped the family:</b></p> <p><b>71%</b> - of families participating in Part C know their rights</p> <p><b>71%</b> - of families participating in Part C effectively communicate their children’s needs</p> <p><b>86%</b> - of families participating in Part C help their children develop and learn</p>
<p><b>2009</b> (2009-2010)</p>	<p><b>Percent of families participating in Part C who report that early intervention services have helped the family:</b></p>

	<p><b>72% - of families participating in Part C know their rights</b></p> <p><b>72% - of families participating in Part C effectively communicate their children’s needs</b></p> <p><b>87% - of families participating in Part C help their children develop and learn</b></p>
<p><b>2010 (2010-2011)</b></p>	<p><b>Percent of families participating in Part C who report that early intervention services have helped the family:</b></p> <p><b>73% - of families participating in Part C know their rights</b></p> <p><b>73% - of families participating in Part C effectively communicate their children’s needs</b></p> <p><b>88% - of families participating in Part C help their children develop and learn</b></p>

**Improvement Activities/Timelines/Resources:**

The Stakeholders engaged in a review of NCSE AM Family Survey, following the guidelines for “Item Shopping” to modify the survey for the Massachusetts system. The Lead Agency then solicited estimates for contracting out the Family Survey modification, production, dissemination, data entry, analysis and disaggregation. The Lead Agency also gathered additional data from the EIS system regarding the number of Annual IFSPs meeting held throughout the year.

In the Massachusetts EI system there are approximately 7400 Annual IFSP meetings per year. In developing a consistent approach to survey dissemination, the Stakeholders determined that the time of distribution for the Family Survey will be at the child and family’s Annual IFSP meeting. This will be operationalized at the program level and will allow families to be able to ask questions to providers regarding any issues or concerns that are addressed in the Family Survey. It will also enable the state to maximize the data collected on the local EIPs to help them better meet the needs of families enrol led in their programs.

The Lead Agency will contract with Piedra Data Services to complete the Family Survey modifications, production, dissemination, data entry, analysis and disaggregation. All 61 EIPS will receive a packet from Piedra Data Services on or around July 1, 2007 to start distribution of the NSCEAM Family Survey to families by the Service Coordinators at the Annual IFSP meeting. Given that the DPH received almost a 30% return rate on surveys during the pilot period, Service Coordinators will continue to be an integral part of the dissemination plan. Surveys will be available in English and Spanish. EIPs will identify a point person at the program level to assist families in identifying appropriate agency or community resources for language capacity to assist in the completion the survey. All surveys will be returned directly to Piedra Data Services for analysis, state wide data reporting and local program level reports.

Setting a measurable and rigorous target for the state’s performance on these indicators involved reviewing the current baseline data and determining what amount of change indicates real and meaningful improvement by Stakeholders. The state’s ultimate goal is for 100% targets in this indicator, and is committed to continue to offer education to families regarding their Family Rights, how they can effectively communicate their children’s needs and help their children develop and learn to improve services and results for children with disabilities. Stakeholders believe that a 5 % increase over the next five years of the SPP would represent a meaningful improvement on this indicator.

The state, through its Early Intervention Parent Leadership Project (EIPLP), staffed by family members whose children have received services in the Massachusetts Early Intervention system, will develop and implement skill building opportunities for families to meet and review their understanding of Early

Intervention, their rights, responsibilities and expectations. This Parent to Parent interaction and support will grow family involvement in the system. In addition, sessions on Family Rights will be presented at the annual Massachusetts Early Intervention Consortium Conference. Family members will be supported to attend this conference by the Lead Agency. Over the next year, the state will translate the Family Survey into two additional languages that represent the third and fourth most common languages of families utilizing Early Intervention services. Outreach materials educating families about Early Intervention will be developed and disseminated in these languages.

The Lead Agency will publicly report local program data on Indicator # 4 in 2008 on the Lead Agency website. Local program reports will be disseminated to each Early Intervention Program highlighting Program Performance on the percent of families participating in Part C who report that early intervention services have helped the family: know their rights, effectively communicate their children's needs and help their children develop and learn. Program performance will be compared to the state target, the difference between program performance and state target and the EIPs performance compared to similar program grouping.

***Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for FFY 2007:***

*The Lead Agency may have been premature in setting targets last year on such a small sample of respondents not large enough to reflect the current EI population in the state. Based on Stakeholder input from the January 10, 2008 ICC meeting the Lead Agency will consider this FFY 2006 data as baseline data for setting targets for FFY 2007 as follows:*

***Percent of families participating in Part C who report that early in tervention services have helped the family:***

***70% - Know their rights***

***70% - Effectively communicate their children's needs***

***85% - Help their children develop and learn***

***The Lead Agency has revised its Measurable and Rigorous Target in the Massachusetts Part C State Performance Plan for 2005 – 2010 to reflect improvement over the FFY 2006 revised baseline data. See pages 21 -22.***

***Improvement Activities:***

*The lead agency will develop and offer Family Rights and Due Process training opportunities to families and professionals in a variety of modalities (face to face, flash videos, DVD's, etc.) Information helping families to more effectively participate in and understand the language of their IFSP is being developed and will be disseminated. An initiative to increase the number of parent contacts, volunteer parents and EI programs is underway. The parent contacts serve as a conduit of information between the Lead Agency and their EI program. Parent contacts share information with families and support them in offering their thoughts, needs and opinion to their programs and the Lead Agency. In FFY07 there will be a focus on understanding family rights and ways of communication children's needs. With support from the ICC, information about the Family Survey and its three components will go out to the larger provider community. This increased knowledge will support families to participate even more broadly within the IFSP process and will serve as another source of information about the three critical components measured by the Family Survey. The Lead Agency will continue to review and adjust its targets as appropriate.*

*Timeline: 2008 -2009*

*Resource: Lead Agency Staff to include the Director of Office of Family Initiatives, PLP Training Coordinator, Director of Office of Family Rights and Due Process, Assistant. Director of Early Childhood Programs*

***The Lead Agency will continue its improvement and/or maintenance activities that extend to 2010.***

**Improvement Activities FFY 2008**

The Lead agency will continue its planning process to develop and offer Family Rights and Due Process training opportunities to families and professionals in a variety of modalities (face to face, flash videos, DVD's, etc.) An internal working group consisting of the Director of Family Initiatives, Director of the Office of Family Rights and Due Process, EI Training Director, Assistant Director of Early Childhood Programs, and Parent Leadership staff have started to discuss ways to share information with families and support them in understanding family rights and ways to effectively communicate their child's needs.

**Timeline:** 2008 – 2010

**Resource:** Lead Agency Staff to include the Director of Office of Family Initiatives, Parent Leadership staff, Director of Office of Family Rights and Due Process, Assistant Director of Early Childhood Programs, Director EI Training Center

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / Child Find**

**Indicator 5: Percent of infants and toddlers birth to 1 with IFSPs compared to:**

- A. Other States with similar eligibility definitions; and**
- B. National data.**

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

**Measurement:**

- A. Percent = [(# of infants and toddlers birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to the same percent calculated for other States with similar (narrow, moderate or broad) eligibility definitions.
- B. Percent = [(# of infants and toddlers birth to 1 with IFSPs) divided by the (population of infants and toddlers birth to 1)] times 100 compared to National data.

**Overview of Issue/Description of System or Process:**

Based on 12/1/2004 child count data, 2,210 (2.76%) of infants and toddlers under the age of one have an IFSP.

Discussion at November's public input session took note of the fact that Massachusetts serves one of the highest percentages (first or second in numbers served dependent upon inclusion of at-risk of delay) of both children birth to one and birth to three in Part C. The challenge in recent years has been to manage the system's growth within available resources. This was done successfully in SFY 2005. SFY 2005 was also the first year of flat growth since the program's entry into the federal Part C system in 1988.

**Baseline Data for FFY 2004 (2004-2005):**

*Comparative Data between National Baseline and Massachusetts for infants served under the age of one, including children at risk of delay*

<b>National Baseline (12/1/04)</b>	<b>Massachusetts (12/1/04)</b>
<b>0.98%</b>	<b>2.76%</b>

Comparative Data for States with **Similar Eligibility** for infants served under the age of one, including children at risk of delay

State	% Served under 1 year of age	Difference from National Average
Hawaii	6.86%	5.88%
<b>Massachusetts</b>	<b>2.76%</b>	<b>1.78%</b>
Indiana	1.99%	1.01%
New Mexico	1.98%	1.00%
West Virginia	1.91%	.93%

**Discussion of Baseline Data:**

Over the past several years the percentage of increase in this category has been steady (approximately .1%) but flattened in the 2004 child count. The implications of this flat growth may be interpreted in a variety of ways. First, it is possible the large majority of infants eligible for early intervention services have been identified and substantial growth may no longer occur within the Massachusetts system. Another interpretation is that infants whose families are easier to engage have come forward and remaining growth in the birth to age one group will be in harder to engage populations (recent immigrants, linguistic minorities). These populations will be challenging to engage and will likely require greater representation of care providers reflecting their cultural and linguistic heritage. Recruitment of personnel that reflect the demographics of the state’s early intervention families continues to be a priority of the Massachusetts Early Intervention system.

FFY	Measurable and Rigorous Target
<b>2005</b> (2005-2006)	<b>2.8% - infants served under the age of one, including children at risk of delay</b>
<b>2006</b> (2006-2007)	<b>2.85% - infants served under the age of one, including children at risk of delay</b>
<b>2007</b> (2007-2008)	<b>2.85% - infants served under the age of one, including children at risk of delay</b>
<b>2008</b> (2008-2009)	<b>2.85% - infants served under the age of one, including children at risk of delay</b>
<b>2009</b> (2009-2010)	<b>2.85% - infants served under the age of one, including children at risk of delay</b>
<b>2010</b> (2010-2011)	<b>2.85% - infants served under the age of one, including children at risk of delay</b>

**Improvement Activities/Timelines/Resources:**

The primary focus of improvement will be continuing to seek out infants eligible for Massachusetts early intervention services. A major effort is currently underway utilizing data from the Massachusetts Perinatal to Early Life Longitudinal (PELL) data project, which is a joint activity of the Massachusetts Department of

Public Health and the Boston University School of Public Health. The project involves collecting and comparing data from the Early Intervention Information System, Massachusetts birth certificate data and Massachusetts birth hospital discharge information. What is emerging from initial analysis is the apparent existence of disparities in referral practices for women and infants with low English proficiency or women are foreign born. DPH staff are currently in discussion of how to utilize this information for program improvement activities and incorporation into key indicators in SFY-06 and SFY-07.

In regard to program growth, securing adequate financial resources to support projected growth will remain key. Appropriate levels of funding are in place for SFY -06 and the state budget for SFY-07 is currently in process. At present, it is expected that adequate resources will be available to serve all identified infants in SFY-07.

***Revision to Proposed Targets FFY 2007***

*The Lead Agency with input from the ICC stakeholders revised the State Target for Indicator # 5 at 2.85% of infants served under the age of one, including children at-risk of delay, over the remaining period of the SPP. Massachusetts has reasonable justification for the proposed revision in the state's target given that we currently serve three times the national average, and the impending growth and fiscal climate in Massachusetts continues to be an issue.*

***Improvement Activities FFY 2008***

*The Lead Agency will continue to engage in discussions with the Early Childhood community and broad stakeholders regarding the implications of the screening initiatives and ongoing growth of the system, to ensure that needs of diverse and hard to reach populations are being met.*

***Timeline:*** Ongoing

***Resource:*** Part C Coordinator/Lead Agency Staff

***New improvement activities noted above are reflected in the Massachusetts Part C State Performance Plan that will be posted on the Lead Agency website.***

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / Child Find**

**Indicator 6: Percent of infants and toddlers birth to 3 with IFSPs compared to:**

- A. Other States with similar eligibility definitions; and**
- B. National data.**

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

**Measurement:**

- A. Percent = [(# of infants and toddlers birth to 3 with IFSPs) divided by the (population of infants and toddlers birth to 3)] times 100 compared to the same percent calculated for other States with similar (narrow, moderate or broad) eligibility definitions.
- B. Percent = [(# of infants and toddlers birth to 3 with IFSPs) divided by the (population of infants and toddlers birth to 3)] times 100 compared to National data.

**Overview of Issue/Description of System or Process:**

**Baseline Data for FFY 2004 (2004-2005):**

Based on 12/1/2004 child count data, 13,757 (5.75%) of infants and toddlers under the age of three have an IFSP.

Discussion at November’s public input session took note of the fact that Massachusetts serves one of the highest percentage (first or second in numbers served dependent upon inclusion of at -risk of delay) of both children birth to one and birth to three in Part C of any state. The challenge in recent years has been to manage the system’s growth within available resources. This was done successfully in SFY 2005. SFY 2005 was also the first year of flat growth since the program’s entry into the federal Part C system in 1988.

**Baseline Data for FFY 2004 (2004-2005):**

*Comparative Data between National Baseline and Massachusetts for infants/toddlers served under the age of three, including children at risk of delay*

<b>National Baseline (12/1/04)</b>	<b>Massachusetts (12/1/04)</b>
<b>2.30%</b>	<b>5.75%</b>

Comparative Data for States with **Similar Eligibility** for infants/toddlers served under the age of three, including children at risk of delay

State	% Served under 3 year of age	Difference from National Average
Hawaii	7.09%	4.79%
<b>Massachusetts</b>	<b>5.75%</b>	<b>3.45%</b>
Wyoming	3.98%	1.68%
New Mexico	3.42%	1.12%
West Virginia	3.26%	0.96%

**Discussion of Baseline Data:**

Similar to the baseline data on children under one discussed above, the past several years have seen a small but steady percentage increase in this category (approximately .2 to 4% range) but these increases flattened in the 12/1/04 child count. As with the infant data, the implications of this flat growth may be interpreted in a variety of ways. First, DPH staff believes that the large majority of eligible infants and toddlers in Massachusetts have been identified and that system growth such as that of the 1990's and early 2000's will no longer occur. Assuming that most eligible families have been identified the remaining growth in the Early Intervention program will come from harder to engage populations (recent immigrants, linguistic minorities). As noted previously, these populations will be challenging to engage and will likely require greater representation of care providers reflecting their cultural and linguistic heritage. Additional areas which will likely produce modest growth are children identified through the state's child welfare department, in this case the Massachusetts Department of Social Services. It is projected over the next several years that an additional 1,000 to 1,500 children will be referred to the Early Intervention system from the state child welfare agency. This growth has already been projected into state budgetary requests. However, it should be noted that due to Massachusetts' historic broad eligibility, most children identified by the Commonwealth's child welfare agency have been referred and enrolled in large numbers for many years.

FFY	Measurable and Rigorous Target
<b>2005</b> (2005-2006)	<b>5.80% of MA infants and toddlers under age three based upon 12/1/05 count</b>
<b>2006</b> (2006-2007)	<b>5.85% of MA infants and toddlers under age three based upon 12/1/06 count</b>
<b>2007</b> (2007-2008)	<b>5.85% of MA infants and toddlers under age three based upon 12/1/07 count</b>
<b>2008</b> (2008-2009)	<b>5.85% of MA infants and toddlers under age three based upon 12/1/08 count</b>
<b>2009</b> (2009-2010)	<b>5.85% of MA infants and toddlers under age three based upon 12/1/09 count</b>
<b>2010</b> (2010-2011)	<b>5.85% of MA infants and toddlers under age three based upon 12/1/10 count</b>

**Improvement Activities/Timelines/Resources:**

The primary focus of improvement will be to continuing to seek out infants eligible for the Massachusetts early intervention services. A major effort is currently underway utilizing data as previously discussed from the PELL project. What are emerging from initial analysis are disparities in referral practices for women and infants with low English proficiency or women are foreign born. For example, children of foreign born and non-English speaking mothers were 25% less likely to be referred to EI than children of US born and English speaking mothers (PELL -EI data brief-draft-October 2005) Also identified within the PELL data was the fact that of teen mothers found eligible, only one-half were likely to enroll their children for on-going services. DPH staff are currently in discussion of how utilize this information for program improvement activities and incorporation into key indicators during SFY -06 and SFY-07.

It should also be noted that beyond the number/percentages of children receiving on -going early intervention services, an additional 8,000 children receive some type of early intervention service (intake visit, assessment w/ineligible finding or assessment w/eligible finding but choosing not to go forward with the development of an IFSP). These numbers support the Lead Agency's belief that referral to Early Intervention has largely become institutionalized within Massachusetts, most specifically with the Commonwealth's medical community.

In regard to program growth, securing adequate financial resources to support projected growth will remain key. Appropriate levels of funding are in place for SFY -06 and the budget for SFY-07 is currently in process. At present, it is expected that adequate resources will be available to serve all identified infants in SFY-07.

SFY 2006: Continuing efforts to identify more difficult to engage populations and to recruit more diverse personnel to EI staff positions will continue.

SFY 2007: State level three-year initiative to substantially increase direct service providers' salaries to be introduced in budget planning for FY 2007. Continuing efforts to identify more difficult to engage populations and to recruit more diverse personnel to EI staff positions will continue.

SFY 2008: State level three-year initiative to substantially increase direct service providers' salaries to enter second year. Continuing efforts to identify more difficult to engage populations and to recruit more diverse personnel to EI staff positions will continue.

SFY 2009: State level three-year initiative to substantially increase direct service providers' salaries to enter third year. Continuing efforts to identify more difficult to engage populations and to recruit more diverse personnel to EI staff positions will continue. Evaluate SFY 2007 and SFY 2008 activities and correct outreach efforts as appropriate.

**Revision to Proposed Targets FFY 2007**

*The Lead Agency with input from the ICC stakeholders revised the State Target for Indicator # 6 at 5.85% of infants and toddlers birth to three, including children at-risk of delay, over the remaining period of the SPP. Massachusetts has reasonable justification for the proposed revision in the state's target given we will exceed the national average of children served, and the impending growth and fiscal climate in Massachusetts continues to be an issue.*

**Improvement Activities FFY 2008**

*The Lead Agency will continue to engage in discussions with the Early Childhood community and broad stakeholders regarding the implications of the screening initiatives and ongoing growth of the system, to ensure that needs of diverse and hard to reach populations are being met.*

**Timeline:** Ongoing

**Resource:** Part C Coordinator/Lead Agency Staff

*New improvement activities noted above are reflected in the Massachusetts Part C State Performance Plan that will be posted on the Lead Agency website.*



**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / Child Find**

**Indicator 7: Percent of eligible infants and toddlers with IFSPs for whom an evaluation and 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)

**Measurement:**  
 Percent = [(# of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting was conducted within Part C’s 45 -day timeline) divided by the (# of eligible infants and toddlers evaluated and assessed)] times 100.  
 Account for untimely evaluations.

**Overview of Issue/Description of System or Process:**

The 45-day timeline continues to be monitored as part of our Contract Performance Standards. Lead Agency staff in SFY 2004 updated the definition of “45 days” (replacing “from initial referral to IFSP signature” with “from initial referral to IFSP meeting”) in our Operational Standards, and provided training and technical assistance statewide to address this. The curriculum for mandatory training has been updated to reflect the IDEA and State requirement to hold an IFSP meeting within 45 days of referral.

**Baseline Data for FFY 2004 (2004-2005):**

In SFY 2005, 93.2% of children had an evaluation, assessment and initial IFSP meeting conducted within 45 days of referral. This is up from the SFY 2004 rate reported in the previous year’s APR of 87%.

**Discussion of Baseline Data:**

This is a high-profile area of attention within our state system. The jump in compliance from SFY 2004 to SFY 2005 reflects the emphasis that the Lead Agency has placed on this issue through our monitoring system. In SFY 2004, 13 programs were identified through monitoring as out of compliance in this area. All received corrective action plans, and all were closed out within the year, based on surveillance of data through Contract Performance review. Please see Baseline Data for Indicator 9 for a through discussion of corrective action plans issued and subsequent actions.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	<b>100% of eligible infants and toddlers with IFSPs will have an evaluation, assessment, and initial IFSP meeting conducted within Part C’s 45 -day timeline.</b>
2006 (2006-2007)	<b>100% of eligible infants and toddlers with IFSPs will have an evaluation, assessment, and initial IFSP meeting conducted within Part C’s 45-day timeline.</b>

<p><b>2007</b> (2007-2008)</p>	<p><b>100% of eligible infants and toddlers with IFSPs will have an evaluation, assessment, and initial IFSP meeting conducted within Part C’s 45 -day timeline.</b></p>
<p><b>2008</b> (2008-2009)</p>	<p><b>100% of eligible infants and toddlers with IFSPs will have an evaluation, assessment, and initial IFSP meeting conducted within Part C’s 45 -day timeline.</b></p>
<p><b>2009</b> (2009-2010)</p>	<p><b>100% of eligible infants and toddlers with IFSPs will have an evaluation, assessment, and initial IFSP meeting conducted within Part C’s 45-day timeline.</b></p>
<p><b>2010</b> (2010-2011)</p>	<p><b>100% of eligible infants and toddlers with IFSPs will have an evaluation, assessment, and initial IFSP meeting conducted within Part C’s 45 -day timeline.</b></p>

**Improvement Activities/Timelines/Resources:**

The Lead Agency continues to monitor evaluation, assessment and IFSP meeting within 45 days as a contract performance standard for all providers. This became a key area of monitoring in SFY 2004 for the first time. As a result of the Lead Agency’s increased focus on this area, the State’s compliance rate has increased significantly. This will continue to be a key area of focus in our General Supervision and on-site monitoring protocol, and will also be regularly reviewed through data monitoring.

During the past year, the Lead Agency developed numerous technical assistance tools to assist providers in coming into compliance with the 45 day required timeline. Providers were assisted in developing internal protocols, timelines, tracking and tickler systems that would allow them to better monitor the timeline for IFSP development.

The Annual Program Director training on 12/5/2005 will also focus on timeliness requirements, both in the area of timely provision of services and the 45 -day timeline. The Lead Agency will include timeline requirements regarding evaluation, assessment, and initial IFSP meeting within 45 days in mandatory annual program director trainings SFY 2006 and ongoing.

**Improvement Activities FFY 2008**

*The Lead Agency will continue to provide technical assistance, guidance and support to EIPs struggling to maintain compliance in Indicator # 7 through ongoing staff training on the federal requirement and by sharing promising or best practices from those programs maintaining 100% compliance. In addition, the Lead Agency staff will assist programs in the development of appropriate tracking systems to monitor the 45 day timeline and continue to review data and provide local program reports on performance in this Indicator.*

**Timeline:** Ongoing

**Resource:** Lead Agency staff & Data Manager

***New improvement activities noted above are reflected in the Massachusetts Part C State Performance Plan that will be posted on the Lead Agency website.***



**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

Both OSEP and the Lead Agency had previously identified Transition as an area of challenge for Massachusetts, based on inconsistencies in monitoring data from the SFY 2003 APR.

In response, the Lead Agency implemented a variety of training and technical assistance activities, detailed in our November 22, 2004 letter to OSEP, including:

- Updates to the EIS “Discharge” form, implemented in SFY 2004. Transition information was moved from the IFSP Client Registration Form to the Discharge Form, allowing us to more accurately capture transition information for all children at discharge, including for children discharged because they no longer meet eligibility criteria.
- Updates to the state’s Universal IFSP form, listing the required components of Transition directly on the Transition Page of the form
- Updates to training, including mandatory training delivered to all new EI providers, and training specifically on Transition

In addition, a new State Agency, Department of Early Education and Care (EEC), began July 1, 2005, and now include Preschool Special Education Services formerly within the state’s Department of Education (DOE). This change in the Massachusetts services landscape is expected to trigger needed updates affecting Transition policies: for example, the interagency agreement on Transition, formerly with DOE, will now be re-written with EEC as a collaborator.

The Part C Lead Agency also initiated a joint application across the three agencies (DPH, EEC, and DOE) for a GSEG grant for SFY 2006 -2007 to support more comprehensive transition and consistent child outcomes through data systems that communicate across agencies, for example, potentially assigning State-Assigned Student Identification (SASID) numbers to young children at entry into Part C services. If received, the GSEG funding will allow us to build in numerous supports for a more consistent system of transitions.

“Transition” is our second area of Focused Monitoring (with “Service Coordination”). Through the Focused Monitoring process, we hope to identify some of the key factors that are impeding our ability to demonstrate compliant transition.

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / Effective Transition**

**Indicator 8: Percent of all children exiting Part C who received timely transition planning to support the child’s transition to preschool and other appropriate community services by their third birthday including:**

- A. IFSPs with transition steps and services;**
- B. Notification to LEA, if child potentially eligible for Part B; and**
- C. Transition conference, if child potentially eligible for Part B.**

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

**Measurement:**

A. Percent = [(# of children exiting Part C who have an IFSP with transition steps and services)

divided by the (# of children exiting Part C)] times 100.

- B. Percent = [(# of children exiting Part C and potentially eligible for Part B where notification to the LEA occurred) divided by the (# of children exiting Part C who were potentially eligible for Part B)] times 100.
- C. Percent = [(# of children exiting Part C and potentially eligible for Part B where the transition conference occurred) divided by the (# of children exiting Part C who were potentially eligible for Part B)] times 100.

#### Overview of Issue/Description of System or Process:

In September 2005, the Lead Agency distributed a Self -Assessment to all EI providers to gather baseline data on services, protocols, and policies utilized within the system in SFY 2005. The Self -Assessment included a three-part Transition Survey to gather baseline data for the SPP. Each program was provided with the Unique Identification numbers of each child who had been discharged from the program as potentially LEA eligible during the prior year. Programs were asked to answer the following three questions for each child:

- ◆ Did a transition planning conference occur for this child?
- ◆ If Yes, was the LEA invited?
- ◆ If Yes, was the LEA present?

If No, please describe why or why not.

In OSEP's letter of October 21, 2005, responding to Massachusetts' SFY 2004 APR, the state is required to submit updated data regarding Transition Planning Conferences. This data, appearing below under "baseline", was collected in the SFY 2005 self-assessment submitted by programs, and verified through comparison with exiting data from the EIS and monitoring visits.

OSEP's letter of October 21, 2005, specifically requests information on notification to LEAs of potentially eligible children. The Transition page of the Universal IFSP utilized in Massachusetts includes the following language regarding required Transition activities:

*The process includes activities and tasks performed by the family and EI staff and should include a review of options for families, information for parents regarding the process of transition, support available to parents, **information to be sent to the LEA and/or other community providers**, and the specific plan for how the child will successfully transition to the next setting.*

LEAs are routinely notified of potentially eligible children, but vary widely in their response to this notification and in whether they attend Transition Planning Conferences. Monitoring data from file review demonstrates that documentation of LEA notification has not been consistently present on the Transition page of the IFSP. This is an identified area that will be corrected.

Data collected from this survey provided the Lead Agency with some insight into the needs for training within the system.

#### Baseline Data for FFY 2004 (2004-2005):

- A. 72.3% of ALL children discharged (regardless of age of discharge), based on exiting data from OSEP's Table 3, had a "yes" answer to "Was the individual transition plan fully developed?"**
- B. 61.5% of children discharged from EI and potentially eligible for Part B, had a "yes" answer to "was the LEA invited?" on the Transition Survey on the Annual Report/Self-Assessment.**

**C. 85.2% of children discharged from EI and potentially eligible for Part B had a “yes” answer to “Did a Transition conference occur for this child?”**

**Discussion of Baseline Data:**

Answers to the Transition Survey questions demonstrate a wide range of interpretations among EI providers, which the Lead Agency plans to address at the Directors’ Training December 5<sup>th</sup>. Some of the information gathered includes the following:

- ◆ Many EI clinicians believe that a transition plan is not needed for any child who is either younger than 2 ½ or who is not potentially eligible for Part B.
- ◆ Many EI clinicians believe that the Transition Planning Conference is the same as the IEP meeting.
- ◆ Some programs have been specifically told by the LEA in their area that the LEA will not attend transition planning conferences. In these cases, the EI programs have not been holding meetings at all, believing that without the presence of the LEA, transition planning is not possible.
- ◆ The Lead Agency has developed a proposed definition for “Transition Planning Conference”, as follows:

Transition Planning Conference: **The required meeting that is held with a child and/or his/her family, and documented on the "Transition Page" of the IFSP, at least 90 days and up to 6 months prior to the child's third birthday. The purpose of the conference is to inform the family about all possible transition options and to prepare the family for the termination of EI services.**

**For children potentially eligible for service through their Local Education Agency (LEA), the LEA must be invited to the conference. The transition planning conference must include a discussion of concrete next steps, and must be documented as a transition planning conference on a contact note.**

**For children discharged prior to their third birthday for any reason, the conference must include sharing information with the family about community options for services for young children.**

FFY	Measurable and Rigorous Target
2005 (2005-2006)	100% of children exiting Part C have: Transition plans with steps and services and, if potentially eligible for Part B, have their LEA notified AND have a transition planning conference at least 90 days and up to six months prior to their third birthday.
2006 (2006-2007)	100% of children exiting Part C have: Transition plans with steps and services and, if potentially eligible for Part B, have their LEA notified AND have a transition planning conference at least 90 days and up to six months prior to their third birthday.
2007 (2007-2008)	100% of children exiting Part C have: Transition plans with steps and services and, if potentially eligible for Part B, have their LEA notified AND have a transition planning conference at least 90 days and up to six months prior to

	<b>their third birthday.</b>
<b>2008 (2008-2009)</b>	<b>100% of children exiting Part C have: Transition plans with steps and services and, if potentially eligible for Part B, have their LEA notified AND have a transition planning conference at least 90 days and up to six months prior to their third birthday.</b>
<b>2009 (2009-2010)</b>	<b>100% of children exiting Part C have: Transition plans with steps and services and, if potentially eligible for Part B, have their LEA notified AND have a transition planning conference at least 90 days and up to six months prior to their third birthday.</b>
<b>2010 (2010-2011)</b>	<b>100% of children exiting Part C have: Transition plans with steps and services and, if potentially eligible for Part B, have their LEA notified AND have a transition planning conference at least 90 days and up to six months prior to their third birthday.</b>

**Improvement Activities/Timelines/Resources:**

As previously mentioned, this is one of the key areas we have selected for Focused Monitoring, the process we will utilize beginning in 2006 to decide which programs receive on-site visits. In Massachusetts, all children discharged from Early Intervention, whether discharged at or prior to their third birthday, whether potentially LEA eligible or not, are required to be informed about concrete steps for transition. Our indicator for Focused Monitoring in this area, therefore, is “number of children with at least one referral at discharge from Early Intervention”. Referrals may be made by the EI program or the service coordinator or may be initiated by the family.

Five programs will be selected for onsite visits based on this indicator.

In response to OSEP’s request for a plan to correct non-compliance in this area, the following steps have been taken:

The Lead Agency has developed a new Transition Page for the IFSP that covers each of the required areas by incorporating the following:

**Date Invitation sent to LEA \_\_\_\_\_**  
**Date of Transition Planning Conference \_\_\_\_\_ (known as the 90 day meeting with Local Education Agency (LEA). Please note based on the new federal language this meeting may occur up to 9 months before the child is eligible for preschool.**  
**LEA attended transition planning conference \_\_\_\_\_yes \_\_\_\_\_no**  
**Anticipated date of Transition: \_\_\_\_\_**

This Transition Page will be “rolled out” to community providers on 12/5/2005, with the following plan:

- The Self-Assessment for SFY 2006 will again include a Transition Survey to be completed by providers, in order for the Lead Agency to collect needed transition data. The data reported by providers will be verified against service delivery data.
- In the SFY 2006 Transition Survey, the Lead Agency will collect data on children discharged between January 2006 and June 2006.

- Providers must begin to utilize the new Transition page within their IFSP's on January 1, 2006 in order to collect accurate data.
- The Lead Agency will include timelines/procedural requirements regarding transition to all "next step" services in annual mandatory program director trainings, as well as in updated materials. When slippage is identified through data review, programs will receive monitoring and be required to submit and implement corrective action planning.

### **Improvement Activities FFY 2007**

*The updated Interagency Transition Agreement between the DPH, Head Start, DOE, and EEC is completed and is currently being reviewed at the senior management level at DOE. Once finalized and disseminated this agreement will provide guidance to EIPs and local school districts on transition requirements and will promote timely transitions. DPH and EEC staff will provide additional guidance to providers regarding the Interagency Agreement.*

**Timeline:** 2008      **Resource:** Lead Agency Staff/Part B 619 Coordinator

*In response to OSEP's request Massachusetts has developed a Transition Policy that includes the Interagency Transition Agreement, opt-out provisions, and defines (Part B) "potentially eligible children". The Lead Agency has obtained stakeholder input and feedback on the Transition Policy and will obtain informal review from OSEP prior to the submission of the SPP/APR. The draft Transition Policy will also be submitted as part of the 22<sup>nd</sup> Year Part C Application for additional comment.*

**Timeline:** January – May, 2008      **Resource:** Lead Agency Staff

*Massachusetts Lead agency staff are currently collaborating with the Northeast and North Central Regional Resource Centers to develop an online Transition Training to support EI program staff in providing effective transition services to children who are exiting Part C and entering Part B special education services. The training will help personnel in recognizing the critical components of transition and in taking appropriate steps to support children and families in the process. The online training will be required of all new services coordinators working in the EI system. The Lead agency staff will partner with EEC to determine if the training will be required of Part B staff as well.*

**Timeline:** FY 2008      **Resource:** Assistant Director Early Childhood Programs/CSPD Coordinator/619 Coordinator

### **Improvement Activities FFY 2008**

*Massachusetts Lead agency will continue to provide clarification and guidance to Early Intervention providers on Federal Transition requirements through the Building a Community Orientation Training, the online Transition Training, and the Training Curriculum "Implementing Early Intervention Transition".*

**Timeline:** Ongoing      **Resource:** Lead Agency Staff/EI Training Director

*Lead agency staff will host periodic teleconferences with providers to communicate and clarify transition requirements and the Massachusetts Transition Policy as needed.*

**Timeline:** Ongoing      **Resource:** Assistant Dir. Early Childhood Programs/Dir. Office of Family Rights and Due Process

*Lead Agency will identify ways to highlight commendable transition activities and practices within the EI community.*

**Timeline:** Ongoing      **Resource:** Lead Agency Staff

*New Improvement Activities noted above are reflected in the Massachusetts Part C State Performance Plan.*



## Part C State Performance Plan (SPP) for 2005 -2010

### Overview of the State Performance Plan Development:

*(The following items are to be completed for each monitoring priority/indicator.)*

<b>Monitoring Priority: Effective General Supervision Part C / General Supervision</b>
--

**Indicator 9: General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.**

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

<p><b>Measurement:</b></p> <p>Percent of noncompliance corrected within one year of identification:</p> <ol style="list-style-type: none"> <li># of findings of noncompliance.</li> <li># of corrections completed as soon as possible but in no case later than one year from identification.</li> </ol> <p>Percent = [(b) divided by (a)] times 100.</p> <p>For any noncompliance not corrected within one year of identification, describe what actions, including technical assistance and/or enforcement that the State has taken.</p>
---



### **Overview of Issue/Description of System or Process:**

Prior to SFY 2004, the Lead Agency's staff of six Regional Specialists performed a regular annual cycle of program recertification visits to all 63 programs, visiting half of the programs each year and recertifying them all annually, based on each program meeting state and federal criteria for compliance.

With the initiation of our discussions on implementing a more focused approach, we began to provide "Focused Monitoring" recertification visits in SFY 2004, to maximize Lead Agency resources, allow us to transition to a more data-driven approach, and maintain a presence in programs within each region. The more "focused" approach was a less intensive, in depth visit but still included all the basic components of a monitoring visit: data review, file review, on site interviews, family focus groups.

In SFY 2005, a total of 3 full recertification visits, 38 "focused monitoring" visits, and 68 other visits (made for the purposes of technical assistance, training, or to monitor ongoing program compliance in previously identified areas) were completed by Regional Staff. Detailed information on these visits, by region of the state, is below under "Discussion of Baseline Data".

Within our system, we identify noncompliance by programs as either F (Federal: non-compliant with IDEA regulations, for example, not meeting 45-day timeline or incomplete Transition Plan) or S (State: not meeting State standards, for example, staff health and safety records are incomplete). When program noncompliance exists, it generally exists in both categories for an individual program: however, we write one corrective action plan, citing multiple issues as necessary, per program. Therefore, we have defined our Category F as "A" below: non-compliance related to monitoring priority areas. Our Category S is defined as "B": non-compliance not related to priority areas. There is significant overlap within these two categories. Finally, "C" consists of non-compliance that we have identified through the parent complaint system or through monitoring of our data system.

**Massachusetts Part C Determinations FFY 2006****Overview**

*In determining how well Massachusetts Early Intervention Programs meet the requirements of the IDEA, the Office of Special Education Programs (OSEP) of the US Department of Education requires that the DPH use the most recent Annual Performance Report (APR) data from four compliance indicators in the State Performance Plan. This data is obtained from the local programs through the Annual Report/Self Assessment and the Early Intervention Information System (EIS).*

*The four compliance indicators are:*

- *Timely Services (Indicator #1)*
- *Initial IFSPs (Indicator # 7)*
- *Early Childhood Transitions (Indicator # 8)*
  - *IFSP with transition Steps and Services (Indicator 8a)*
  - *Notification to LEA, of potentially eligible for Part B (Indicator 8b)*
  - *Transition Planning Conferences ( Indicator 8c)*
- *Correction of Non Compliance within 12 months (Indicator 9)*

*In addition to the compliance Indicators noted above, the state will take into consideration the following information in making local determinations for FY 07:*

- *Timely and Accurate Data (Indicator # 14) which includes:*
  - *Submission of Annual Report on time*
  - *Data Verification Report/EIP File Review*
  - *Percent of EIS Client data is transmitted in a timely manner*
- *Complaint Management data*
  - *3 or more phone calls to DPH in a three month period*
  - *Findings and/or decisions in favor of a complainant derived from a Formal Administrative Complaint or Due Process Hearing*
- *Other Monitoring data (which may include information obtained through Focused Monitoring onsite visits, data verification process, historical monitoring data, etc.)*

**Review Process**

*States must use the same four categories as OSEP in making determinations of the status of local programs. Categories and enforcement actions may include:*

*Meets Requirements*

*Needs Assistance*

- *advise program of available sources of technical assistance to address areas in which the program needs assistance.*

*Needs Intervention*

- *may require the program to prepare or implement a corrective action plan to correct the identified area(s) of noncompliance.*

*Needs Substantial Intervention*

- *require program to complete a corrective action plan to correct the identified area(s) of noncompliance*
- *withhold, in whole or in part payments to the program.*

*In reviewing local early intervention programs to make determinations, Massachusetts used the four required compliance indicators for the first year and in addition will use the three optional components noted above in future years. In the follow up correspondence to providers from the FY 06 Annual Report the Department set a baseline of 80% compliance for the compliance indicators. In order to be consistent with the follow up from the Annual Report and requests for Corrective Action Plans, the Department used the following criteria and review process for Local Determinations for FY06:*

*Compliance rate at or above 80% on all four compliance indicators - **Meets Requirements.**  
 Compliance rate below 80% in one compliance indicator - **Needs Assistance**  
 Compliance rate below 80% in two compliance indicators – **Needs Intervention**  
 Compliance rate below 80% in three compliance indicators – **Needs Substantial Intervention.***

*FY 2007 Local Determinations will be completed in the spring of 2008 and will be based on a 90% compliance rate on the compliance indicators with the goal being 100% on all compliance indicators. In addition the DPH will take into consideration the performance indicators of timely and accurate data, and the Complaint Management data.*

#### **Baseline Data for FFY 2004 (2004-2005):**

- A.** Noncompliance related to monitoring priority areas and indicators corrected within one year of identification: **33** instances of non-compliance with priority areas were identified throughout our system in SFY 2005. These resulted in **34** corrective action plans addressing monitoring priority areas, of which **28** have been completed (**82%**).
- B.** Noncompliance not related to the monitoring priority areas and indicators corrected within one year of identification: **30** instances of noncompliance not related to the priority indicators and areas were identified throughout our system in SFY 2005. These resulted in **24** corrective action plans addressing a variety of areas, of which **24** have been completed (**80%**).
- C.** Noncompliance identified through other mechanisms: **4** instances of noncompliance were identified, of which one has been closed out and three are pending. (**25%**).

**NOTE:** While the Lead Agency's monitoring activities continue to uncover some non-compliance in priority areas, it is not systemic non-compliance as it occurs on only one or two records in individual programs.

#### **Discussion of Baseline Data:**

A breakdown of all monitoring visits provided in Massachusetts in SFY 2005 is provided below. Please note this shows the number of ISSUES identified in each category, where above we have listed the number of PLANS requested for each category:

SPP Template – Part C (3)

Massachusetts

<b>Region</b>		<b>Southeast</b>	<b>MetroWest</b>	<b>Boston</b>	<b>Northeast</b>	<b>Central</b>	<b>West</b>	<b>Total</b>	<b>Specialty</b>
<b>No. of programs</b>		<b>11</b>	<b>7</b>	<b>9</b>	<b>14</b>	<b>10</b>	<b>12</b>	<b>63</b>	
<b>Site Visits</b>	<b>A</b> Recert.	0	0	0	1	2	0	<b>3</b>	0
	<b>B</b> Focused Monitoring	7	3	6	13	3	6	<b>38</b>	0
	<b>C</b> Other	31	1	4	17	6	9	<b>68</b>	9
	<b>D</b> Total site visits	<b>38</b>	<b>4</b>	<b>10</b>	<b>31</b>	<b>11</b>	<b>15</b>	<b>109</b>	<b>9</b>
	<b>E</b> Parent recert team member present	5	2	3	10	5	6	<b>31</b>	0
<b>Results of Completed Reports</b>	<b>F</b> Corrective action plans requested	7	2	6	14	5	6	<b>42</b>	0
	1 State - compliance: ## of issues	10	0	8	6	4	6	<b>34</b>	0
	2 Federal - compliance: ## of issues	7	2	7	5	6	6	<b>33</b>	0
	* IFSP 45 day	4	2	6	3	4	4	<b>(23)</b>	
	* Incomplete Transition plans	6	1	4	5	5		<b>(22)</b>	
	* 90 day mtng				1		4	<b>(5)</b>	
	* 6 mo IFSP reviews	3		3	2	1		<b>(9)</b>	
	*justification segregated	1		2	1			<b>(4)</b>	
	* incomplete IFSPs	1		1		4	1	<b>(7)</b>	
	* notification IFSP meeting			1		1	3	<b>(5)</b>	
	IFSP > 1 year						1	<b>(1)</b>	
	Consent Forms	4		3		1		<b>(8)</b>	

Non-compliance identified through monitoring of data and through the complaint system is as follows:

<b>SFY 2005 Corrective Action Plans As A Result of General Supervision Data Monitoring</b>						
<b>Program</b>	<b>General Supervision Data Source</b>	<b>Plan Requested</b>	<b>Compliance Issues Identified (F) – Federal (S) – State</b>	<b>Plan Rec'd</b>	<b>Actions Steps &amp; Strategies</b>	<b>Date Plan Closed</b>
<b>KDC Plymouth</b>	- EIS data – 45 day timeline - parent calls - program self report	March 2005	- Initial IFSP meetings within 45 days of referral (F)	April 2005	- Developed internal tracking/ monitoring process for 45 day timeline - Staff training on timeline and need for appropriate documentation of reasons beyond 45 days. - Extensive recruitment of additional staff - Streamlined Intake process - Met with lead agency staff to discuss efforts and ensure ongoing compliance	Closed June 30, 2005 – EIP remains on monthly monitor through December 2005 by lead agency. DPH also monitors EIS data to ensure compliance with 45 day timeline.

<b>FFY</b>	<b>Measurable and Rigorous Target</b>
<b>2005 (2005-2006)</b>	<b>100% of noncompliance related to monitoring priority areas, not related to monitoring priority areas, and identified through other methods, is corrected within one year.</b>
<b>2006 (2006-2007)</b>	<b>100% of noncompliance related to monitoring priority areas, not related to monitoring priority areas, and identified through other methods, is corrected within one year.</b>

<p><b>2007</b> (2007-2008)</p>	<p><b>100% of noncompliance related to monitoring priority areas, not related to monitoring priority areas, and identified through other methods, is corrected within one year.</b></p>
<p><b>2008</b> (2008-2009)</p>	<p><b>100% of noncompliance related to monitoring priority areas, not related to monitoring priority areas, and identified through other methods, is corrected within one year.</b></p>
<p><b>2009</b> (2009-2010)</p>	<p><b>100% of noncompliance related to monitoring priority areas, not related to monitoring priority areas, and identified through other methods, is corrected within one year.</b></p>
<p><b>2010</b> (2010-2011)</p>	<p><b>100% of noncompliance related to monitoring priority areas, not related to monitoring priority areas, and identified through other methods, is corrected within one year.</b></p>

**Improvement Activities/Timelines/Resources:**

With the implementation of Focused Monitoring for on site selection, we intend to continue and enhance the following activities:

- Use of numerous data sources (all previously referred to) to monitor programs and ensure compliance.
- Use of consistent follow-up tools (on site monitoring, data review, parent complaint monitoring) to ensure that noncompliance is corrected and stays corrected.
- Updates to Early Intervention Information System as needed to collect data that allows us to monitor effectively.
- As appropriate and timely, engage the Data Task Force Advisory Committee of the ICC to make recommendations regarding use and collection of data.
- Implement requirements for new Enterprise System Management (ESM) data basics and update annually (see Indicator # 14).

***Improvement Activities FFY 2007***

***1. Determinations:*** Local Determinations were made in the Fall of 2007 and will be made as soon as possible each year after the APR data disaggregated to the program level in preparation for public reporting. The determinations will not be included in the public reporting

***Timeline:*** Ongoing

***Resource:*** Data Manager & DPH Regional Staff

***2. Focused Monitoring:*** The Lead Agency hosted a Focused Monitoring Stakeholders meeting on August 16, 2007 to discuss and gather input on proposed changes to the Focused Monitoring process in the following areas:

***Scheduling Cycle*** – change in the onsite visit schedule from a calendar year to a fiscal year to commence in July 2008.

**Program Groupings** – revised program groupings according to size of the program based on children with IFSPs, FY07 cumulative. Each program grouping has 12 Early Intervention Programs.

**Priority Areas/Indicators** – Stakeholders were in favor of keeping the current priority areas.

**Data Sources** – Change will be made to the Transition data source used for onsite selection to – “the percent of children moving to Part B services who had a transition planning conference”. Data will be collected through the Annual Report/Self -Assessment transition survey.

**Onsite Protocols** – onsite protocols will be revised to capture the necessary data in each of the priority indicators.

**Timeline:** June 2008

**Resource:** Assistant Director Early Childhood Programs, Parent Team Coordinator, Lead Agency Regional Staff.

3. The Massachusetts Overview of Focused Monitoring in General Supervision and State Monitoring of Local Programs document will be updated to include the changes to the Focused Monitoring Process and to also include the Local Determinations process.

**Timeline:** April 2008

**Resource:** Assistant Director Early Childhood Programs

4. The Assistant Director of Early Childhood Programs and DPH regional staff will work closely with the Data Manager to enhance the EIIS data collection capacity to track identification of noncompliance regarding timely provision of services, IFSP meetings within 45 days and transition requirements.

**Timeline:** Ongoing

**Resource:** Assistant Director Early Childhood Programs

**Improvement Activities FFY 2008**

The Lead Agency will convene a Focused Monitoring Stakeholders meeting in the Spring of 2009 to discuss the current Focused Monitoring process and gather input on the selection criteria for onsite visits.

**Timeline:** Spring 2009 and Ongoing

**Resource:** Assistant Director, Early Childhood Programs, Parent Team Coordinator, Regional Lead Agency Staff

The Assistant Director of Early Childhood Programs and Regional Lead Agency staff will continue to work closely with the Data Manager to enhance the EIIS data collection capacity to track identification of noncompliance regarding timely provision of services, IFSP meetings within 45 days and transition requirements.

**Timeline:** Spring 2009 and Ongoing

**Resource:** Assistant Director, Early Childhood Program, Parent Team Coordinator, Regional Lead Agency staff.

**New Improvement activities noted above are reflected in the Massachusetts Part C State**

**Performance Plan.**

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

This indicator, *signed written complaints with reports issued were resolved within 60 -day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint*, occasioned an interesting discussion at the public input session in November. The Lead Agency was asked, “Is your goal to increase the number of parent complaints?” Our goal is to ensure that all families have received and have full access to (in the sense of both understanding and being comfortable with using) their due process rights.

Given the size of our system (cumulative number of children served approximately 30,000 per year), we have a minimal number of formal administrative/due process complaints registered. In both SFY 2003 and SFY 2004, we had three parent complaints, and in SFY 2005 we had five. All were investigated and had reports issued within the 60-day timeline.

The Lead Agency does address multiple parent questions/ requests for information on numerous fronts. These may be issues that could potentially become complaints if left un-addressed. Parents are always informed of their due process rights and options when they contact the Lead Agency. A complaint that is registered with the Coordinator of Procedural Safeguards typically contains multiple issues, but is addressed and registered as one complaint per family.

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 10: Percent of signed written complaints with reports issued that were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.**

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

**Measurement:** Percent = [(1.1(b) + 1.1(c)) divided by 1.1] times 100.

**Overview of Issue/Description of System or Process:**

The Lead Agency has been in the process of updating materials related to the procedural safeguards system, including:

- Training offered to EI programs, staff, and families, and the state’s Parent Training Information Center throughout SFY 2004 and SFY 2005.
- Consent forms that reflect all of families’ rights under the IDEA.

Calls may come in to the Lead Agency from family members with issues ranging from simple questions about their rights or program process to more complex questions that may eventually result in filing written complaints. All Lead Agency staff inform parents of their due process rights and have developed a system for ensuring that families’ questions are addressed in a timely manner by the Lead Agency staff person most appropriate to address the particular complaint.

**Baseline Data for FFY 2004 (2004-2005):**

Five signed written complaints were received by the Lead Agency, investigated within the timelines, and had reports issued **(100%)**.

**Discussion of Baseline Data:**

<b>FFY</b>	<b>Measurable and Rigorous Target</b>
<b>2005</b> (2005-2006)	<b>100% of signed written complaints with reports issued are resolved within 60 - day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</b>
<b>2006</b> (2006-2007)	<b>100% of signed written complaints with reports issued are resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</b>
<b>2007</b> (2007-2008)	<b>100% of signed written complaints with reports issued are resolved within 60 - day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</b>
<b>2008</b> (2008-2009)	<b>100% of signed written complaints with reports issued are resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</b>
<b>2009</b> (2009-2010)	<b>100% of signed written complaints with reports issued are resolved within 60 - day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</b>
<b>2010</b> (2010-2011)	<b>100% of signed written complaints with reports issued are resolved within 60 - day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.</b>

**Improvement Activities/Timelines/Resources:**

The Lead Agency will continue to make information available regarding procedural safeguards within the system. Goals for the upcoming year include updating Family Rights information and having it translated into a variety of languages. In addition, the Coordinator of Procedural Safeguards has developed universal consent forms to be utilized by all programs, which will be rolled out at the 12/5/2005 training for Program Directors.

*Improvement Activities FFY 2007*

*Family Rights and Due Process training targeted for parents will be developed by the Lead Agency utilizing various modalities. Training may include face to face opportunities, conference calls, webinars, and Flash videos to review and discuss procedural safeguards. Additionally, periodic articles written for the Parent Perspective, a newsletter offered by the Parent Leadership Project will occur in FY08.*

**Timeline – FY 2008**      **Resource:** Director, Office of Family Rights and Due Process/Lead Agency Staff

**Improvement Activities FY 2008**

*Family Rights and Due Process training targeted for parents will continue to be discussed and developed by the Lead Agency utilizing a variety of modalities. Training opportunities including face to face, conference calls, webinars, and Flash videos to review and discuss procedural safeguards will continue to be explored in the upcoming year.*

**Timeline - Calendar year 2009**      **Resource:** Director, Office of Family Rights and Due Process/  
Director of Family Initiatives/Training Director/Parent Leadership  
staff



**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 11: Percent of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.**

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

**Measurement:** Percent = [(3.2(a) + 3.2(b)) divided by 3.2] times 100.

**Overview of Issue/Description of System or Process:**

The Lead Agency continues to retain under contract an independent hearing officer (formerly with the Bureau of Special Education Appeals) to preside over due process hearings. Plans were initiated in SFY 2004 to broaden this resource by establishing a contract with a hearing officer in the Western part of the state. However, as that candidate is currently unavailable, those plans have been temporarily placed on hiatus.

Parents continue to be informed of their option to access formal due process hearings to resolve disputes involving any aspect of their child’s IFSP. A description of the process and timelines is provided, and parents are also given a resource list of free and low -cost legal and advocacy supports.

**Baseline Data for FFY 2004 (2004-2005):**

No due process hearing requests were received in SFY 2005.

**Discussion of Baseline Data:**

FFY	Measurable and Rigorous Target
2005 (2005-2006)	100% of due process hearing requests are fully adjudicated within the applicable timeline.
2006 (2006-2007)	100% of due process hearing requests are fully adjudicated within the applicable timeline.
2007 (2007-2008)	100% of due process hearing requests are fully adjudicated within the applicable timeline.
2008 (2008-2009)	100% of due process hearing requests are fully adjudicated within the applicable timeline.

<p><b>2009</b> (2009-2010)</p>	<p><b>100% of due process hearing requests are fully adjudicated within the applicable timeline.</b></p>
<p><b>2010</b> (2010-2011)</p>	<p><b>100% of due process hearing requests are fully adjudicated within the applicable timeline.</b></p>

**Improvement Activities/Timelines/Resources:**

SFY 2006: Family Rights information distributed by the Lead Agency and by all EI programs will be updated and translated and made widely available. It will include training information on family rights and procedural safeguards.

SFY 2007: Annual Program directors’ training will include distribution of updated information on procedural safeguards and updated Materials Request Form for programs. Lead Agency monitors programs’ ability to meet required timeframes and addresses any slippage through corrective action.

These activities will be continued through SFY 2010.

**Part C State Performance Plan (SPP) for 2005 -2010**

Overview of the State Performance Plan Development:

**Please Note: Not Applicable as we have developed Part C Due Process Procedures.**

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 12: 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)

**Measurement:**

Percent = (3.1(a) divided by 3.1) times 100.

**Overview of Issue/Description of System or Process:**

Currently, Massachusetts Early Intervention operationalizes standards consistent with Part C due process procedures and has not adopted Part B procedures. Resolution sessions are not included in the states due process and procedural standards. Therefore, this indicator is not applicable to the Massachusetts system.

**Baseline Data for FFY 2004 (2004-2005):**

**Discussion of Baseline Data:**

FFY	Measurable and Rigorous Target
2005 (2005-2006)	N/A
2006 (2006-2007)	N/A
2007 (2007-2008)	N/A
2008 (2008-2009)	N/A
2009 (2009-2010)	N/A

<p><b>2010</b> <b>(2010-2011)</b></p>	<p><b>N/A</b></p>
---	-------------------

**Improvement Activities/Timelines/Resources:**

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

Per guidance from OSEP (FAQ below), we are not answering this question as we have not reached the threshold of 10 mediation requests. In fact, we have received no mediation requests in SFY 2005.

*Question: If a State had no mediation requests in 2004 -2005, how does the State set targets?  
 Answer: The number of mediation sessions that are resolved through written settlement agreements is dependent on many factors. However, a State should not set targets for Indicator 13 unless its baseline data reflect that it has received a minimum threshold of 10 mediation requests.*

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 13: Percent of mediations held that resulted in mediation agreements.**

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

**Measurement:** Percent = [(2.1(a)(i) + 2.1(b)(i)) divided by 2.1] times 100.

**Overview of Issue/Description of System or Process:**

The Lead Agency continues to utilize mediators, when needed, from the Bureau of Special Education Appeals at the Massachusetts Department of Education. Families are informed of their option to access mediation services to resolve disputes.

**Baseline Data for FFY 2004 (2004-2005):**

**Discussion of Baseline Data:**

FFY	Measurable and Rigorous Target
2005 (2005-2006)	
2006 (2006-2007)	
2007 (2007-2008)	
2008 (2008-2009)	

<p><b>2009</b> (2009-2010)</p>	
<p><b>2010</b> (2010-2011)</p>	

**Improvement Activities/Timelines/Resources:**

**Part C State Performance Plan (SPP) for 2005 -2010**

**Overview of the State Performance Plan Development:**

In responding to this indicator, *state reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate*, the Lead Agency reviewed prior submissions, notes and OSEP correspondence, and determined that the state’s reports are consistently submitted by required deadlines, meeting the criteria for “timely”. We did note that our reporting on personnel had not always been timely, but are also aware that that report will not be required moving forward.

In terms of accuracy, the Lead Agency reviewed past correspondence and notes from our data verification visit and has determined that safeguards are in place to ensure the accuracy of data submitted.

*(The following items are to be completed for each monitoring priority/indicator.)*

**Monitoring Priority: Effective General Supervision Part C / General Supervision**

**Indicator 14: State reported data (618 and State Performance Plan and Annual Performance Report) are timely and accurate.**

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

**Measurement:**

State reported data, including 618 data, State performance plan, and annual performance reports, are:

- a. Submitted on or before due dates (February 1 for child count, including race and ethnicity, settings and November 1 for exiting, personnel, dispute resolution); and
- b. Accurate (describe mechanisms for ensuring error free, consistent, valid and reliable data and evidence that these standards are met).

**Overview of Issue/Description of System or Process:**

The Data Manager, the Assistant Director for Policy, Planning, and Training, and the Coordinator of EI Field Services work closely together to monitor data, design responsive data and reporting systems, and collate information used to report to OSEP and to WESTAT for the 618 data.

**Baseline Data for FFY 2004 (2004-2005):**

100% of required reports were submitted on time and were accurate.

**Discussion of Baseline Data:**

Despite limited resources, the Lead Agency works to ensure the accuracy and consistency of data. Our verification process consists of matching various data sources against each other to check for accuracy in numerous areas. For example, one piece of our Data Verification Plan to monitor the accuracy of the annual self-assessment is to cross-reference program-reported eligibility based on file review with eligibility entered in the EIIS. We also check service delivery records against IFSP data entered in EIIS to determine that children are receiving services listed on their IFSPs.

FFY	Measurable and Rigorous Target
2005 (2005-2006)	100% of state data reports are timely and accurate.
2006 (2006-2007)	100% of state data reports are timely and accurate.
2007 (2007-2008)	100% of state data reports are timely and accurate.
2008 (2008-2009)	100% of state data reports are timely and accurate.
2009 (2009-2010)	100% of state data reports are timely and accurate.
2010 (2010-2011)	100% of state data reports are timely and accurate.

**Improvement Activities/Timelines/Resources:**

Massachusetts continues to move towards a complex human services management system for state agencies that will link service delivery/billing data with eligibility data for numerous programs within the state health and human services system. This new entity, to be called Enterprise Invoice Management/Enterprise Service Management (EIM/ESM), will be piloted at three entities of the Department of Public Health, one of which is the Early Intervention system. It is expected that the pilot may begin by July 2006. EIM/ESM will effectively replace the early Intervention Information System and will significantly extend the data collection, verification, accuracy, and reporting capabilities of the system.

SFY 2006: Continuous improvement of EIM/ESM will occur through updates on ongoing version upgrades. Additional queries will be added as necessary to remain responsive to OSEP and other stakeholder data requests/requirements.

**Improvement Activities FFY 2007**

*The lead agency will engage in a number of improvement activities over the next year to increase data quality. These activities are also stated within the State Performance Plan:*

*SPP/APR Indicator #1: The survey within the Annual Report/Self -Assessment that is used to provide data for this indicator will be distributed to EIC contracted providers in the early fall of 2008 instead of the late fall. This will allow the Department of Public Health to identify and follow -up with providers regarding incomplete and questionable data. Providers will have the time to review their reports and update or explain any missing or incomplete data.*

**Timeline:** Fall 2008

**Resource:** Data Manager/Asst. Dir. Early Childhood

*Table #2 of 618 and SPP/APR Indicator #2: The Data Manager and Assistant Director of Early Childhood Programs will pursue EIS enhancements to include a primary setting question on the IFSP EIS Form. This data will be used for Table #2 of the 618 data set and Indicator #2 of the SPP/APR.*

*The IFSP data captured within EIIS can then be matched against service data in order to validate and ensure consistency of information across data systems.*

**Timeline:** January 2009 to July 2009

**Resource:** Data Manager/Asst. Dir. Early Childhood

*SPP/APR Indicator #4: Family Outcomes – The Lead Agency will continue to utilize the NCSEAM Family Survey as a valid and reliable instrument to measure family outcomes and ensure data quality for this information.*

**Timeline:** Ongoing

**Resource:** Director of Office of Family Initiatives/Asst. Dir. Early Childhood

*Table #1 of 618 and SPP/APR Indicators #5 and #6: Massachusetts will continue with its current practices for ensuring data quality for this information.*

**Timeline:** NA

**Resource:** Data Manager/Asst. Dir. Early Childhood

*SPP/APR Indicator #7: Massachusetts will continue with its current practices for ensuring data quality for this information.*

**Timeline:** NA

**Resource:** Data Manager/Asst. Dir. Early Childhood

*Table #3 of 618 and SPP/APR Indicator #8: The Data Manager and Assistant Director of Early Childhood Programs will pursue EIIS enhancements to include transition questions (LEA notification, Opt-out, and Transition Planning Conference) on the EIIS client system. This will enable the Department of Public Health to capture this data on an ongoing basis. Validation reports will be developed within the EIIS system to identify incomplete, illogical and inconsistent information for these questions. This data will replace the use of the Annual Report/Self-Assessment transition section.*

**Timeline:** January 2009 to July 2009

**Resource:** Data Manager/Asst. Dir. Early Childhood

*The lead agency will begin onsite verification visits with programs based on APR Indicator Data and local determinations. First onsite visit to occur March 2008.*

**Timeline:** March 2008 and ongoing

**Resource:** Focused Monitoring Team

### **Improvement Activities FFY 2008**

*The Lead Agency will continue to discuss and pursue EIIS enhancements in the upcoming year. One enhancement is to include a primary setting question on the IFSP EIIS form to be used for Table #2 of the 618 data and Indicator #2 of the SPP/APR. IFSP data captured within the EIIS can then be matched with Service Delivery Data in order to validate and ensure consistency of information across data systems.*

*The other enhancement is to include transition questions about, LEA Notification, Parental Opt -Out, and Transition Planning Conference to the EIIS client system. This would allow the Lead Agency to capture transition data at discharge. Validation reports will be developed within the EIIS system to identify incomplete, illogical and inconsistent information for these questions.*

**Timeline:** Calendar Year 2009

**Resource:** Data Manager/Asst. Dir Early Childhood,  
Asst Division Director for Administration and Finance

*New and Ongoing Improvement Activities noted above are reflected in the Massachusetts Part C State Performance Plan*