

# State Interagency Coordinating Council

April 1, 2024 Minutes

American School for the Deaf, West Hartford, CT

**Cynthia Jackson**

*ICC Chair/Provider*

**Leona Adamczyk**

*ICC Vice Chair*

**John Lamb**

*Dept. of Public Health*

**Tiffany Allain**

*Parent Representative*

**Donna Maitland-Ward**

*Dept. for Children and Families*

**Maris Pelkey**

*Creative Interventions, Provider*

**Elaine Balsley**

*Reachout, Provider*

**Nicole Cossette**

*Office of Early Childhood*

**Senator Ceci Maher**

*State Senator*

**Shonda Easley**

*Parent representative*

**Sharon Marie**

*Dept. of Aging & Disabilities Services*

**Ginny Mahoney**

*Dept. of Social Services*

**Anne Giordano**

*Education Connection, Provider*

**Louis Tallarita**

*SDE-Homeless Children*

**Renee Kleinman**

*SDE-619, Pending*

**Julie Hall**

*SARAH Inc, Provider*

**Enrique Pabon**

*Early Head Start*

**Ann Milanese, M.D.**

*American Academy of Pediatrics*

**Representative Liz Linehan**

*House of Representatives*

**Tammy Venenga**

*Dept. Of Developmental Services*

**Mary Beth Bruder**

*UCEDD*

**Lisa Opert**

*Parent Representative*

**Robb Dunn**

*Parent Representative*

**Caitlin McNamara**

*Parent representative*

**Joshua Vaughn**

*Parent Representative*

**Shakira Wade**

*Parent Representative*

**Jennifer Dowty**

*Department of Insurance*

**Kristina Gilbertie**

*Rehab Associates, Provider, Pending*

**ICC Members Present:** Donna Maitland-Ward, Julie Hall, John Lamb, Lisa Opert, Anne Giordano, Robb Dunn, Maris Pelkey, Renee Kleinman (pending appointment), Caitlin McNamara, Cynthia Jackson, Elaine Balsley, Shakira Wade, Kristina Gilbertie, Nicole Cossette, Sharon Marie, Joshua Vaughn, Ginny Mahoney, Leona Adamczyk, Jennifer Dowty

**ICC Members Absent:** Ann Milanese, Tammy Venenga, Ceci Maher, Liz Linehan, Louis Tallarita, Mary Beth Bruder, Tiffany Allain, Shanda Easley, Enrique Pabon

**OEC Members Present:** Deputy Commissioner Elena Trueworthy, Jeff Bravin, Executive Director of American School for the Deaf.

Meeting called to order at 9:00 AM by Cindy Jackson, ICC Chair

**Introductions:** Jeff Bravin, Executive Director of American School for the Deaf welcomed ICC Members, Families, and Program Directors. ICC Members, Families, and Providers introduced themselves.

**Public Comment:**

There was no public comment.

**Old Business:**

January 2024 minutes approved.

*Legislative/Fiscal:* Provided an update on rate increase that is incorporated within the current Human Service Bill (HB 5459) and is currently before appropriations. Several program directors have testified in favor of the increase

*System Support/Professional Development:* Provide updates on current PD development from Koleen. Discussed that the Natural Learning Environment practice is actually April 30<sup>th</sup>.

*Communication/Education & Outreach:* Discussed that their update is today's Family Focused Meeting.

*211 Advisory Committee:* Amanda Heath presented for Child Development 211 and discussed their intake process. She discussed Sparkler and how it impacts the call center as well as follow up they provide for the *Ages and Stages Questionnaire (ASQ)*. Nicole reported that the 211 Advisory Committee meets about every 2 weeks and have been working on supporting the revisions of scripts used by the 211CD team as well as reviewing and revising letters sent to providers and families.

Deputy Commissioner Elena Trueworthy arrived around 9:30 AM. She greeted families, ICC Members, and Providers and discussed the importance of family voice at decision making tables especially within everything that the OEC does. She discussed the

relationship of the Office of Early Childhood (OEC) Parent Cabinet and several parent representatives on the ICC.

**New Business:**

Family Focus: Nine families presented about their experience within Birth to Three and the support that they received from their providers. Six families presented in person and three Council Members read letters that were submitted on behalf of Providers.

Lisa Opert presented on behalf of Connecticut Parent Advocacy Center (CPAC) Family Connections program. Within her presentation she discussed how CPAC supports families and their Tiered system of different levels of support a family may need. She discussed their programs including the Parent Training Information (PTI) Center, Family Connections, and Next STEPS. Lisa discussed how families can sign up for CPAC's newsletter and how to access resources.

Nicole Cossette, Part C Coordinator reviewed Family survey results with support from Amanda Kach, Part C Data Manager.

Elisabeth Teller, Family Liaison discussed her role within the Birth to Three and how she supports families who have concerns within the Birth to Three System.

Cincy Jackson and Leona Adamczyk discussed leadership opportunities within the ICC committees.

**Lead Agency Report:** Nicole Cossette, Part C Coordinator, reviewed the Lead Agency Report. See below.

Nicole updated the ICC on the SPP/APR which was submitted January 30, 2024. April 9, 2024, the SPP/APR clarification period will open and closed April 23, 2024. The Office of Special Education Programs (OSEP) will issue Connecticut's determination on June 18, 2024. We've begun working of the FFY2023 SPP/APR.

Nicole discussed the draft of the Part C Grant Application is out for public comment. It is due May 22, 2024. She reported that we've been working with the Center for IDEA Fiscal reporting, with a national TA to improve fiscal procedures. Nicole provided updates to the ICC on the different departments. Rebecca Smith, Education and Outreach, started community placement with Community Health Center's pediatric office in Hartford. Will be completed Grand Rounds April 26, 2024. Cohort 3 participants with the Leadership Grant are working on their projects with support from previous cohorts. They will begin recruiting for the next cohort over the summer.

Personnel Development completed the final report for the Rainbow Grant and it was submitted February 8, 2024. They continue to partner with Bonnie Keilty, PhD. This partnership will outline next steps related to partnering with Institute of Higher Education (IHE) in support of education and outreach, student placement, and alignment of preservice with Early Intervention Specialist (EIS) credential. EIS credentialing exam will be proctored April 1, 2024. There are seven providers registered for the exam. It was reported that there are 12 modules available for asynchronous learning opportunities through Protraxx.

Nicole reported that General Supervision has been developing and reviewing the Priority Rubric 2024. Once scored, the information will be shared with the ICC. The OEC continues to work with the insurance commission to resolve HSA/HRA issues and maximize commercial insurance billing. She reported that PCG is working with the LA and insurance community of practice (CoP). She also reported that newly revised procedures will be posted to the Birth to Three website within the next weeks for providers. Procedures revisions were paid by the American rescue Plan Act (ARPA) funding and primarily revised the template to be more reader friendly.

She discussed the ICC Annual Report and asked for suggestions for revisions. Nicole discussed RAIN development. Data for Connecticut Part C FFY/22/SFY23 SPP-APR Summary was reviewed

Cindy Jackson asked for clarification on the COLA and how the yearly increase would work. Nicole discussed that she needed to go back to the document to review but believed it would be 2.5% per year. Questions were raised regarding whether all services or just escrow were covered by the COLA, Nicole said she would check and get back to ICC

**Committee Report Out**

**Legislative/Fiscal:**

Chairs: Elaine Balsley, Julie Hall, and Shanda Easley

Reported back about PCG and Fiscal. Discussed the rate study recommendations reflected in HB 5459 H.B. 5459 An Act Increasing Rates of Medicaid Reimbursement for Certain Providers

**System Support/Professional Development:**

Chairs: Anne Giordano and Robb Dunn

Discussed Dr. Laurie Know and conversations around training with how to engage adults. Also discussed Dr. Sullivan and Play Project. Asked how to prepare staff if there is going to be another change with training. Anne presented on behalf of OEC Professional Development on many new learning modules going into Canvas. She discussed upcoming trainings through CT-AIMH including Serving Children Who are Homeless. Discussed Natural Learning Environments training April 30<sup>th</sup>.

**Communication/Education & Outreach:**

Chairs: Lisa Opert and Maris Pelkey

Lisa discussed planning a community outing. Discussed 211 Calendar and she will be adding events to it. Also discussed Parent Video and next steps.

Meeting ended 12:00 PM

**Next ICC Meeting**

<b>Date:</b>	Monday, June 3, 2024
<b>Time:</b>	9:00 AM to 12:00 PM
<b>Location:</b>	American School for the Deaf, West Hartford



### **State Systemic Improvement Plan (SSIP)**

*Parents will be able to describe their child's abilities and challenges more effectively.  
as a result of their participation in Early Intervention.*

#### FFY20-25 SPP / APR SSIP

- Connecticut submitted the State Performance Plan/Annual Performance Report (SPP/APR) on January 30, 2024! The final report can be found here: [Annual Performance Reports – Birth23.org](https://www.birth23.org/annual-performance-reports)
- On April 9, 2024, the SPP/APR clarification period will open. Clarification will close on April 23, 2024.
- The Office of Special Education Programs (OSEP) will issue Connecticut's determinations on June 18, 2024.
  - Connecticut will be issuing local determinations during this time.
- Connecticut has begun working on FFY2023 SPP/APR.

#### Fiscal Enhancements

- The draft Part C Grant Application is out for public comment; see the attached posting and application. The application can be found here: [Annual Part C Application – Birth23.org](https://www.birth23.org/annual-part-c-application)
  - The application is due on May 22, 2024.
- The Lead Agency has been working with the Center for IDEA Fiscal Reporting, a national technical assistance center, to improve fiscal procedures.
- The Office of Early Childhood sent out the Birth to Three provider contract amendments for signature last week. The amendment includes the one-time provider payments.

#### Education Outreach

- Rebecca Smith completed presentations to the following:
  - Help Me Grow Advisory Board,
  - Ridgefield Library, and
  - Central Connecticut State University (CCSU), with Koleen Kerski.
- Rebecca Smith began a community placement with the Community Health Center (CHC) at their pediatric center in Hartford.
  - The community placement included presentations at a Lunch & Learn with CHC staff.
  - In the coming months, Rebecca will continue to visit the CHC and present.
  - There will be a presentation at the Grand Rounds on April 26, 2024, for all CHCs in Connecticut.
- Education and outreach will support two Child Development Centers in Fairfield County with internal procedures for referring children to Birth to Three. This work is through a partnership with the Early Childhood Mentorship Pilot-In Partner with Early Head Start.

#### Leadership Grant

- Cohort 3 participants are working on their projects.
  - Previous cohorts are coaching the new cohorts in their leadership development.
- Recruiting for the next cohort is anticipated to begin over the summer.

## Personnel Development

- The final report for the Rainbow Grant (84.325P) was submitted on February 8, 2024.
- Professional development continued the partnership with Bonnie Keilty, PhD. This partnership will outline the next steps related to partnering with Institutes of Higher Education (IHE) in support of education and outreach, student placement, and alignment of preservice with the Early Intervention Specialist (EIS) credential.
  - There are currently four IHE programs involved in conversations.
- The Early Intervention Specialist (EIS) credentialing exam will be proctored at the Office of Early Childhood (OEC) on April 1, 2024.
  - Currently, there are seven providers registered to take the exam.
- There are now 12 modules available for asynchronous learning opportunities through the OEC Protraxx catalog under the Birth to Three resource category.
  - The System Support and Personnel Development Committee survey identifies most of these training topics that are included in these modules as needs.
  - The remaining topic materials have been developed and will be launched in the public catalog soon.
- The two learning pathways that will replace the Initial Certificate and Service Coordination modules currently on CTTrain have been built.
  - Currently, these training modules are being tested.
  - The OEC will notify Birth to Three providers before launching the new learning pathway.
    - These pathways will remove the need to manage certificates of completion before attending the one-day in-person Service Coordination.

## General Supervision

- The Priority Rubric measures for 2024 are being developed. Once scored, the information will be shared with the ICC.
- The Office of Early Childhood continues to work with the insurance commission to resolve HSA/HRA issues and maximize commercial insurance billing.
- Public Consulting Group (PCG) is working with the Lead Agency and the Insurance Community of Practice (CoP) to:
  - create a user manual,
  - collect consumer feedback for PCG's next contract, and
  - update the adjudication matrix.
- Newly revised procedures will be posted on the Birth to Three website within the next week for providers. The procedure revisions were paid by the American Rescue Plan Act (ARPA) funding and primarily revised the template to be more reader friendly.

## Other Topics:

- ICC Annual Report – Suggestions for Revisions?
- RAIN Development continues, the expected launch is sometime in 2024.

## Data

The enrollment and fiscal data requested by the ICC on a regular basis is attached.

## Connecticut Part C FFY22 / SFY23 SPP-APR Summary

Indicator	FFY20	FFY21	Target	FFY22	Notes
# 1. Percent of infants and toddlers with IFSPs on 12/1/21 who receive the NEW early intervention services on their IFSP in a timely manner.	99.6%	99.9%	100%	99.9%	2 new services were late due to staff error.
# 2. Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or programs for typically developing children.	99.97%	99.98%	95%	99.92%	
# 3a. Percent of infants and toddlers with IFSPs who demonstrate improved positive social-emotional skills (including social relationships)	73% / 56.36%	74.0% / 60.21%	73% / 60%	73.6%/56.40%	Summary Statements 1/2  Summary 1 = Reduced Gap Summary 2 = Caught Up
# 3b. Percent of infants and toddlers with IFSPs who demonstrate improved acquisition and use of knowledge and skills (including early language/ communication)	79.0% / 47.29%	80.57% / 52.9%	83% / 53%	79.0%/47.3%	
# 3c. Percent of infants and toddlers with IFSPs who demonstrate improved use of appropriate behaviors to meet their needs	81.0% / 67.2%	83.8 % / 70.89 %	84% / 72%	81.0%/67.30%	
# 4a. Percent of families in Birth to Three for at least six months who report that early intervention services have helped the family know their rights	90.9%	89.9%	90%	91.0%	
# 4b. Percent of families in Birth to Three for at least six months who report that early intervention services have helped the family effectively communicate their children's needs	89.6%	89.6%	91%	94.9%	The SiMR for the SSIP (Indicator 11) is aligned with this but not this result exactly since it is only about children with diagnosed conditions.
# 4c. Percent of families in Birth to Three for at least six months who report that early intervention services have helped the family help their children develop and learn	96.7%	97.3%	93%	98.7%	

## Connecticut Part C FFY22 / SFY23 SPP-APR Summary

Indicator	FFY20	FFY21	Target	FFY22	Notes
<u>9# 5.</u> Percent of infants and toddlers age birth to 1 on 12/1/21 with IFSPs compared to State Census age 0	1.48%	1.40%	1.30%	1.44%	
<u># 6.</u> Percent of infants and toddlers age birth to 3 on 12/1/21 with IFSPs compared to State Census ages 0-2	5.39%	4.81%	4.90%	5.81%	
<u># 7.</u> Percent of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were held within 45 day from referral.	99.92%	99.84%	100.00%	99.32%	48 were late due to program error.
<u># 8a.</u> 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 IFSPs with transition steps and services	100%	100%	100%	100%	
<u># 8b.</u> Percent of all children exiting Birth to Three who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including notification to school district if a child is potentially eligible for preschool special education	100%	100%	100%	100%	
<u># 8c.</u> 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 transition conference at least 90 days before age 3, if the child potentially eligible for preschool special education	99.6%	99.9%	100%	99.45%	22 were not held due to program errors including delays waiting for the LEA to attend.

Notes:

NOTICE OF PUBLIC PARTICIPATION, COMMENTS, AND HEARINGS  
ON CONNECTICUT'S ANNUAL STATE APPLICATION  
UNDER PART C OF IDEA  
FOR CONNECTICUT BIRTH TO THREE SYSTEM'S  
FEDERAL FUNDING

Posted: March 4, 2024

Connecticut's Federal Application for Part C funds under the Individuals with Disabilities Education Act (IDEA) for Federal Fiscal Year 2024 is currently out for public comment until April 26, 2024. This document can be found on the Birth to Three Website – under About Birth to Three > Annual Part C Application on the left menu or by following this link: <http://www.birth23.org/aboutb23/fedapp/>.

Written comment on the application must be submitted by 5:00 p.m. on Wednesday, April 24, 2024. Comments should be sent to the attention of Nicole Cossette, by mail at the Office of Early Childhood, 450 Columbus Boulevard Suite #205, Hartford, CT, 06103-1835; by Fax 860-622-2789 or by e-mail: [Nicole.Cossette@ct.gov](mailto:Nicole.Cossette@ct.gov).

Each year Connecticut submits an application to the US Department of Education (ED) Office of Special Education Programs (OSEP) for about \$4.5M in funding to support the administration of Part C of the Individuals with Disabilities Education Act (IDEA Part C).

Here is a [link](#) to the draft FFY24 Part C Application.

Written comments on the draft application must be submitted by 5:00 p.m. on Wednesday, April 24, 2024. Comments should be sent to the attention of Nicole Cossette, by mail at the Office of Early Childhood, 450 Columbus Boulevard Suite #205, Hartford, CT, 06103-1835; by Fax 860-622-2789 or by e-mail: [Nicole.Cossette@ct.gov](mailto:Nicole.Cossette@ct.gov).

Two public hearings concerning the proposed application will be held as follows:

1. Tuesday, April 9, 2024, from 1:00 p.m. to 2:00 p.m. remotely at the link below:

## Microsoft Teams meeting

**Join on your computer, mobile app or room device**

[Click here to join the meeting](#)

Meeting ID: 298 746 920 176

Passcode: VmQVnr

[Download Teams](#) | [Join on the web](#)

**Or call in (audio only)**

[+1 860-840-2075,,932236900#](tel:+18608402075932236900) United States, Hartford

Phone Conference ID: 932 236 900#

2. Tuesday, April 23, 2024, from 11:00 a.m. to 12:00 p.m. remotely at the link below:

**Join on your computer, mobile app or room device**

[Click here to join the meeting](#)

Meeting ID: 267 831 703 616

Passcode: gTDKct

[Download Teams](#) | [Join on the web](#)

**Or call in (audio only)**

[+1 860-840-2075,,99861960#](tel:+1860840207599861960) United States, Hartford

Phone Conference ID: 998 619 60#

**OMB NO. 1820-0550**  
**Expires: 02/28/2027**

**ANNUAL STATE APPLICATION UNDER PART C OF THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT AS AMENDED IN 2004  
FOR FEDERAL FISCAL YEAR (FFY) 2024**

**CFDA No. 84.181A**

**ED FORM No. 1 B20—26P**

**UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION PROGRAMS**

**Washington, DC 20202-2600**

**Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0550. Public reporting burden for this collection of information is estimated to average 10 hours per response, including time for reviewing instructions; searching existing data sources; gathering and maintaining the data needed; and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit under IDEA Part C (20 U.S.C. 1400, et seq.). If you have any comments concerning the accuracy of the time estimate, suggestions for improving this individual collection, or if you have comments or concerns regarding the status of your individual form, application or survey, please contact Jennifer Simpson at [jennifer.simpson@ed.gov](mailto:jennifer.simpson@ed.gov) / (202) 245-6348 directly.

## SECTION I

### A. Submission Statements for Part C of IDEA

Select 1 or 2 below. Check 3 if appropriate.

1.  The State's policies, procedures, methods, descriptions, certifications, and assurances meet all application requirements of Part C of the Act as found in the Individuals with Disabilities Education Act (IDEA), codified at 20 U.S.C. 1431 through 1443 and the Part C regulations in 34 CFR Part 303. The State is able to provide and/or meet all policies, procedures, methods, descriptions, and assurances, found in Sections II.A and II.B of this Application.
- By selecting this submission statement, the State either has on file with the Secretary or has submitted new or revised State policies, procedures, methods, and descriptions that meet all requirements found in Section II.A.
2.  The State cannot provide the policies, procedures, methods, descriptions, and/or assurances for all application requirements of Part C of the Act as found in Part C of the IDEA, 20 U.S.C. 1431 through 1443 and the Part C regulations in 34 CFR Part 303. The State has determined that it is unable to provide the policies, procedures, methods, descriptions, and/or assurances that are checked 'No' in Sections II.A and II.B. However, the State assures that throughout the period of this grant award the State will operate consistently with all requirements of IDEA in 20 U.S.C. 1431 through 1443 and the 2011 Part C regulations in 34 CFR Part 303. The State will develop and/or make such changes to existing policies, procedures, methods, descriptions, and assurances as are necessary to bring the policies, procedures, methods, descriptions, and assurances into compliance with the requirements of the IDEA Part C Act and regulations, as amended, as soon as possible, and not later than June 30, 2025. The State has included the date by which it expects to complete necessary changes associated with policies, procedures, methods, descriptions, and assurances marked 'No'. The items checked 'Yes' in Section II.A are enclosed with this application as revised or new or are identified as "OF" already on file with the Secretary.<sup>1</sup>

Optional:

3.  The State is submitting new or modified State policies and procedures previously submitted to the Department and checked in Section II.A, "N", "R" or "OF" cell(s) found in the 'Yes' column. These modifications are a result of: (1) the State revising its applicable State law or regulations; (2) changes required by the Secretary due to new interpretation of the Act or regulations by a federal court or the State's highest court; and/or (3) because of an official finding of noncompliance with Federal law or regulation.

### B. Conditional Approval for Current Grant Year

If the State received conditional approval for the current grant year, check the statement(s) below:

#### 1. Conditional Approval Related to Assurances in Section II.A:

- a. Sections II.A and II.B reflect completion of all issues identified in the FFY 2023 conditional approval letter (attach any additional documentation required by the FFY 2023 letter).
- b. As noted in Sections II.A and II.B, the State has not completed all issues identified in the FFY 2023 conditional approval letter.

<sup>1</sup> If Option 2 is checked, the State is to provide dates in Sections II.A and II.B as to when the required policies, procedures, methods, descriptions, and assurances will be provided, which date can be no later than June 30, 2025.

**2. Conditional Approval Related to Other Issues:**

- \_\_\_\_\_ a. The State previously submitted documentation of completion of all issues identified in the FFY 2023 conditional approval letter.
- \_\_\_\_\_ b. The State is attaching documentation of completion of all issues identified in the FFY 2023 conditional approval letter. *(Attach documentation showing completion of all issues.)*
- \_\_\_\_\_ c. The State has not completed all issues identified in the FFY 2023 conditional approval letter. *(Attach documentation showing completion of any issues and a list of items not yet completed.)*

## SECTION II

### A. State Policies, Procedures, Methods, and Descriptions

As checked below, the State hereby declares that it has or has not filed the following policies, procedures, methods, and descriptions with the U.S. Department of Education, and, as of the date of the signature below, affirms and incorporates by reference those policies, procedures, methods, and descriptions with respect to Part C of the Individuals with Disabilities Education Act (IDEA or Act) in 20 U.S.C. 1431–1443 and the Part C regulations in 34 CFR Part 303 (Part C). By submission of this Section II, the State assures that throughout the period of this FFY 2024 grant award, the State will operate consistently with all requirements of Part C of the IDEA in 20 U.S.C. 1431 through 1443 and the Part C regulations in 34 CFR Part 303. The State will develop and/or make such changes to existing policies, procedures, methods, descriptions, and assurances as are necessary to bring the policies, procedures, methods, descriptions, and assurances into compliance with the requirements of the IDEA Part C Act and regulations by the date indicated below and not later than June 30, 2025.

- Check and enter date(s) as applicable.
- Enclose relevant documents.

**Yes** (If New or Revised is checked, the State is submitting policies, procedures, methods, and descriptions with this application. If already 'On File with OSEP', check OF.)

**N** = 'New' Policy and/or Procedure

**R** = 'Revised' Policy and/or Procedure

**OF** = Policy and/or Procedure is already 'On File' with the USDE

**No** (Policies, procedures, methods, and descriptions have not been provided. Provide date by which State will submit to OSEP required documentation, which date shall be no later than June 30, 2025.)

Yes: N	Yes: R	Yes: OF	No	State Policies, Procedures, Methods, and Descriptions
				<b>Subpart C—State Policies and Procedures</b>
		X		1. Each application must include the name of the State lead agency, as designated under §303.120, that will be responsible for the administration of funds provided under this part. (34 CFR §303.201)
		X		2. Each application must include a description of services to be provided under Part C to infants and toddlers with disabilities and their families through the State's system. (34 CFR §303.203(a))
				3. Each application must include the State's policies and procedures regarding the identification and coordination of all available resources within the State from Federal, State, local, and private sources as required under subpart F of 34 CFR Part 303.  <i>The State must have policies and procedures that meet the requirements listed in 3(a) and the methods identified in 3(b), and must provide responses to those entries. If the State has not adopted a system of payments, it may respond "NA" to 3(a).</i>

Yes: N	Yes: R	Yes: OF	No	State Policies, Procedures, Methods, and Descriptions
		X		<p>(a) If the State has adopted a system of payments, each application must include any policies or procedures adopted by the State as its system of payments and those policies and procedures must meet the requirements in §§303.510, 303.520 and 303.521 (regarding the use of public insurance or benefits, private insurance, or family costs or fees).</p> <p>(34 CFR §303.203(b)(1))</p> <p><b><i>The policies and procedures listed in 3(a) are optional. Enter 'NA' in the cells to the left if the State has elected not to adopt a system of payments (which includes a system to use public insurance or benefits or private insurance or family fees to pay for Part C services); otherwise check the appropriate response under the 'Yes' column and, if checking 'N' or 'R', attach policies and procedures.</i></b></p> <p><b><i>The State's response under 3(a) of Section II.A must match the State's response under Section IV.A.</i></b></p>
		X		<p>(b) Each application must include the methods (State law, regulation, signed interagency or intra-agency agreements or other appropriate written method(s) approved by the Secretary) used by the State to implement the payor of last resort and fiscal responsibility requirements in §303.511(b)(2) and (3).</p> <p>(34 CFR §303.203(b)(2))</p> <p><b><i>If the State uses signed interagency agreements or "other appropriate written method(s)" to meet the requirements in 3(b), please check 'N' or 'R' and submit with the application. If the State's method is a State statute or regulation, the State does not need to submit that method (the statute or regulation) with its application.</i></b></p>
		X		<p>4. Each application must include the State's rigorous definition of developmental delay as required under §§303.10 and 303.111. Each Statewide system must include the State's rigorous definition of <u>developmental delay</u>, consistent with §§303.10 and 303.203(c), that will be used by the State in carrying out programs under Part C of the Act in order to appropriately identify infants and toddlers with disabilities who are in need of services under Part C of the Act. The definition must—</p> <p>(a) Describe, for each of the areas listed in §303.21(a)(1), the evaluation and assessment procedures, consistent with §303.321, that will be used to measure a child's development; and</p> <p>(b) Specify the level of developmental delay in functioning or other comparable criteria that</p>

Yes: N	Yes: R	Yes: OF	No	<b>State Policies, Procedures, Methods, and Descriptions</b>
				constitute a developmental delay in one or more of the developmental areas identified in §303.21(a)(1).  (34 CFR §§303.203(c) & 303.111)
		NA		<p>5. If the State provides services under Part C to at-risk infants and toddlers through the statewide system, the application must include—</p> <p>(a) The State’s definition of at-risk infants and toddlers with disabilities who are eligible in the State for services under Part C (consistent with §§303.5 and 303.21(b)); and</p> <p>(b) A description of the early intervention services provided under Part C to at-risk infants and toddlers with disabilities who meet the State’s definition described in §303.204(a).</p> <p>(34 CFR §303.204).</p> <p><b><i>The policies and procedures listed in 5 are optional (i.e., they only apply if the State opts to serve at-risk children). Enter 'NA' in the cells to the left if the State has elected not to provide services under Part C to at-risk infants and toddlers; otherwise check the appropriate response under the 'Yes' column and, if checking 'N' or 'R', attach the definition and description.</i></b></p>
				<p>6. Each State application must include a description of the State’s use of funds under Part C for the fiscal year or years covered by the application. (34 CFR §303.205)</p> <p><b><i>The State must complete Section III of this application.</i></b></p>
		X		<p>7. Each application must include the State’s policies and procedures that require the referral for early intervention services under Part C of specific children under the age of three, as described in §303.303(b) (which includes children who are the subject of a substantiated case of abuse or neglect, or directly affected by illegal substance abuse or withdrawal symptoms resulting from prenatal drug exposure). (34 CFR §303.206)</p>
		X		<p>8. Each application must include a description of the procedure used by the State to ensure that resources are made available under Part C for all geographic areas within the State. (34 CFR §303.207)</p>
		X		<p>9. Each application must include a description of the policies and procedures used by the State to ensure that, before adopting any new policy or procedure (including any revision to an existing policy or procedure)</p>

Yes: N	Yes: R	Yes: OF	No	<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p>needed to comply with Part C of the Act and 34 CFR Part 303, the lead agency—</p> <ul style="list-style-type: none"> <li>(1) Holds public hearings on the new policy or procedure (including any revision to an existing policy or procedure);</li> <li>(2) Provides notice of the hearings held in accordance with §303.208(b)(1) at least 30 days before the hearings are conducted to enable public participation; and</li> <li>(3) Provides an opportunity for the general public, including individuals with disabilities, parents of infants and toddlers with disabilities, EIS providers, and the members of the Council, to comment for at least 30 days on the new policy or procedure (including any revision to an existing policy or procedure) needed to comply with Part C of the Act and 34 CFR Part 303.</li> </ul> <p>(34 CFR §303.208(b))</p>
		X		<p>10. (a) <u>Application Requirements</u>: Each State must include the following in its application:</p> <ul style="list-style-type: none"> <li>(1) A description of the policies and procedures it will use to ensure a smooth transition for infants and toddlers with disabilities under the age of three and their families from receiving early intervention services under Part C to preschool or other appropriate services (for toddlers with disabilities) or exiting the program for infants and toddlers with disabilities.</li> <li>(2) A description of how the State will meet each requirement in §303.209(b) through (f).</li> <li>(3) (i) (A) If the lead agency is not the SEA, an interagency agreement between the lead agency and the SEA; or (B) If the lead agency is the SEA, an intra-agency agreement between the program within that agency that administers Part C of the Act and the program within the agency that administers section 619 of the Act</li> <li>(ii) To ensure a seamless transition between services under Part C and under Part B of the Act, an interagency agreement under paragraph (a)(3)(i)(A) of this section or an intra-agency agreement under paragraph (a)(3)(i)(B) of this section must address how the lead agency and the SEA will meet the requirements of paragraphs (b) through (f) of this section (including any policies adopted by the lead agency under §303.401(d) and (e)), §303.344(h), and 34</li> </ul>

Yes: N	Yes: R	Yes: OF	No	<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p style="text-align: center;">CFR 300.101(b), 300.124, 300.321(f) and 300.323(b).</p> <p>(4) Any policy the lead agency has adopted under §303.401(d) and (e).</p> <p>(b) <u>Notification to the SEA and appropriate LEA.</u> The State must ensure that—</p> <p>(1) Subject to paragraph (b)(4) of this section, not fewer than 90 days before the third birthday of the toddler with a disability if that toddler may be eligible for preschool services under Part B of the Act, the lead agency notifies the SEA and the LEA for the area in which the toddler resides that the toddler on his or her third birthday will reach the age of eligibility for services under Part B of the Act, as determined in accordance with State law; or</p> <p>(2) Subject to paragraph (b)(4) of this section, if the lead agency determines that the toddler is eligible for early intervention services under Part C of the Act more than 45 but less than 90 days before that toddler’s third birthday and if that toddler may be eligible for preschool services under Part B of the Act, the lead agency, as soon as possible after determining the child’s eligibility, notifies the SEA and the LEA for the area in which the toddler with a disability resides that the toddler on his or her third birthday will reach the age of eligibility for services under Part B of the Act, as determined in accordance with State law; or</p> <p>(3) Subject to paragraph (b)(4) of this section, if a toddler is referred to the lead agency fewer than 45 days before that toddler’s third birthday and that toddler may be eligible for preschool services under Part B of the Act, the lead agency, with parental consent required under §303.414, refers the toddler to the SEA and the LEA for the area in which the toddler resides; but, the lead agency is not required to conduct an evaluation, assessment, or an initial IFSP meeting under these circumstances;</p> <p>(4) The notification required under paragraphs (b)(1), (2), and (3) of this section is consistent with any policy that the State has adopted, under §303.401(e), permitting a parent to object to disclosure of personally identifiable information.</p> <p>(c) <u>Conference to discuss services.</u> The State must ensure that—</p> <p>(1) If a toddler with a disability may be eligible for preschool services under Part B of the Act, the lead agency, with the approval of the family of the toddler, convenes a conference, among the lead agency, the family, and the LEA not</p>

Yes: N	Yes: R	Yes: OF	No	State Policies, Procedures, Methods, and Descriptions
				<p>fewer than 90 days—and, at the discretion of all of the parties, not more than 9 months—before the toddler’s third birthday to discuss any services the toddler may receive under Part B of the Act.</p> <p>(2) If a toddler with a disability is determined to not be potentially eligible for preschool services under Part B of the Act, the lead agency, with the approval of the family of that toddler, makes reasonable efforts to convene a conference among the lead agency, the family, and providers of other appropriate services for the toddler to discuss appropriate services that the toddler may receive.</p> <p>(d) <u>Transition plan</u>. The State must ensure that for all toddlers with disabilities –</p> <p>(1)(i) It reviews the program options for the toddler with a disability for the period from the toddler’s third birthday through the remainder of the school year; and</p> <p>(ii) Each family of a toddler with a disability who is served under Part C is included in the development of the transition plan required under this section and §303.344(h);</p> <p>(2) It establishes a transition plan in the IFSP not fewer than 90 days—and, at the discretion of all of the parties, not more than 9 months—before the toddler’s third birthday; and</p> <p>(3) The transition plan in the IFSP includes, consistent with §303.344(h), as appropriate—</p> <p>(i) Steps for the toddler with a disability and his or her family to exit from the Part C program; and</p> <p>(ii) Any transition services that the IFSP Team identifies as needed by that toddler and his or her family.</p> <p>(e) <u>Transition conference and plan meeting requirements</u>. Any conference conducted under paragraph (c) of this section or meeting to develop the transition plan under paragraph (d) of this section (which conference and meeting may be combined into one meeting) must meet the requirements in §§303.342(d) and (e) and 303.343(a).</p> <p>(f) <u>Applicability of transition requirements</u>.</p> <p>(1) The transition requirements in paragraphs (b)(1) and (2), (c)(1), and (d) of this section apply to all toddlers with disabilities receiving services under this part before those toddlers turn age three, including any toddler with a disability under the age of three who is served by a State that offers services under §303.211.</p>

Yes: N	Yes: R	Yes: OF	No	<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p>(2) In a State that offers services under §303.211, for toddlers with disabilities identified in paragraph (b)(1) of this section, the parent must be provided at the transition conference conducted under paragraph (c)(1) of this section: (i) An explanation, consistent with §303.211(b)(1)(ii), of the toddler's options to continue to receive early intervention services under this part or preschool services under section 619 of the Act; (ii) The initial annual notice referenced in §303.211(b)(1). (3) For children with disabilities age three and older who receive services pursuant to §303.211, the State must ensure that it satisfies the separate transition requirements in §303.211(b)(6)(ii).</p> <p>(34 CFR §303.209)</p>
		X		<p>11. Each application must contain a description of State efforts to promote collaboration among Head Start and Early Head Start programs under the Head Start Act (42 U.S.C. 9801, <u>et seq.</u>, as amended), early education and child care programs, and services under Part C. (34 CFR §303.210)</p>
		X		<p>12. Each application must include, as required by Section 427 of the General Education Provisions Act (GEPA), a description of how the State has identified barriers and developed strategies to address the barriers and has provided a description of the steps the State is taking to ensure equitable access to, and participation in, Part C. (34 CFR §303.212(a))</p>
		X		<p>13. (a) General. (1) Subject to paragraphs (a)(2) and (b) of this section, a State may elect to include in its application for a grant under Part C a State policy, developed and implemented jointly by the lead agency and the SEA, under which a parent of a child with a disability who is eligible for preschool services under section 619 of the Act and who previously received early intervention services under Part C, may choose the continuation of early intervention services under Part C for his or her child after the child turns three until the child enters, or is eligible under State law to enter, kindergarten or elementary school.</p> <p>(2) A State that adopts the policy described in paragraph (a)(1) of this section may determine whether it applies to children with disabilities—</p> <ul style="list-style-type: none"> <li>(i) From age three until the beginning of the school year following the child's third birthday;</li> <li>(ii) From age three until the beginning of the school year following the child's fourth birthday; or</li> </ul>

Yes: N	Yes: R	Yes: OF	No	<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p style="text-align: center;">(iii) From age three until the beginning of the school year following the child's fifth birthday.</p> <p>(3) However, in no case may a State provide services under this section beyond the age at which the child actually enrolls in, or is eligible under State law to enter, kindergarten or elementary school in the State.</p> <p>(b) <u>Requirements</u>. If a State's application for a grant under Part C includes the State policy described in paragraph (a) of this section, the system must ensure the following:</p> <ol style="list-style-type: none"> <li>(1) Parents of children with disabilities who are eligible for services under section 619 of the Act and who previously received early intervention services under Part C will be provided annual notice (the initial annual notice must be provided as set forth in §303.209(f)(2)(ii)) that contains—               <ol style="list-style-type: none"> <li>(i) A description of the rights of the parents to elect to receive services pursuant to §303.211 or under Part B of the Act; and</li> <li>(ii) An explanation of the differences between services provided pursuant to §303.211 and services provided under Part B of the Act, including—                   <ol style="list-style-type: none"> <li>(A) The types of services and the locations at which the services are provided;</li> <li>(B) The procedural safeguards that apply; and</li> <li>(C) Possible costs (including the costs or fees to be charged to families as described in §§303.520 and 303.521), if any, to parents; and</li> </ol> </li> </ol> </li> <li>(2) Consistent with §303.344(d), services provided pursuant to §303.211 will include an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills.</li> <li>(3) The State policy ensures that any child served pursuant to this section has the right, at any time, to receive FAPE (as that term is defined at §303.15) under Part B of the Act instead of early intervention services under Part C of the Act under §303.211.</li> <li>(4) The lead agency must continue to provide all early intervention services identified in the toddler with a disability's IFSP under §303.344 (and consented to by the parent under §303.342(e)) beyond age three until that toddler's initial eligibility determination under Part B of the Act is made under 34 CFR §300.306. This provision does not apply if the LEA has requested parental consent for the initial evaluation under</li> </ol>

Yes: N	Yes: R	Yes: OF	No	<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p>§300.300(a) and the parent has not provided that consent.</p> <p>(5) The lead agency must obtain informed consent from the parent of any child with a disability for the continuation of early intervention services pursuant to this section for that child. Consent must be obtained before the child reaches three years of age, where practicable.</p> <p>(6)(i) For toddlers with disabilities under the age of three in a State that offers services under this section, the lead agency ensures that the transition requirements in §303.209(b)(1) and (2), (c)(1) and (d) are met.</p> <p>(ii) For toddlers with disabilities age three and older in a State that offers services under this section, the lead agency ensures a smooth transition from services under this section to preschool, kindergarten or elementary school by: (A) Providing the SEA and LEA where the child resides, consistent with any State policy adopted under §303.401(e), the information listed in §303.401(d)(1) not fewer than 90 days before the child will no longer be eligible under subsection (a)(2) of this section to receive early intervention services under this section; (B) With the approval of the parents of the child, convening a transition conference, among the lead agency, the parents, and the LEA, not fewer than 90 days—and, at the discretion of all parties, not more than 9 months—before the child will no longer be eligible under subsection (a)(2) of this section to receive, or will no longer receive, early intervention services under this section, to discuss any services that the child may receive under Part B of the Act; and (C) Establishing a transition plan in the IFSP not fewer than 90 days—and, at the discretion of all parties, not more than 9 months—before the child will no longer be eligible under subsection (a)(2) of this section to receive, or no longer receives, early intervention services under this section.</p> <p>(7) In States that adopt the option to make services under Part C available to children ages three and older pursuant to §303.211, there will be a referral to the Part C system, dependent upon parental consent, of a child under the age of three who directly experiences a substantiated case of trauma due to exposure to family violence, as defined in section 320 of the Family Violence Prevention and Services Act, 42 U.S.C. 10401, et seq.</p> <p>(c) <u>Reporting requirement.</u> If a State includes in its application a State policy described in §303.211(a), the State must submit to the Secretary, in the State's report under §303.124, the number and</p>

Yes: N	Yes: R	Yes: OF	No	<b>State Policies, Procedures, Methods, and Descriptions</b>
				<p>percentage of children with disabilities who are eligible for services under section 619 of the Act but whose parents choose for their children to continue to receive early intervention services under §303.211.</p> <p>(d) <u>Available funds</u>. The State policy described in §303.211(a) must describe the funds—including an identification as Federal, State, or local funds—that will be used to ensure that the option described in §303.211(a) is available to eligible children and families who provide the consent described in §303.211(b)(5), including fees, if any, to be charged to families as described in §§303.520 and 303.521.</p> <p>(e) <u>Rules of construction</u>.</p> <p>(1) If a statewide system includes a State policy described in §303.211(a), a State that provides services in accordance with this section to a child with a disability who is eligible for services under section 619 of the Act will not be required to provide the child FAPE under Part B of the Act for the period of time in which the child is receiving services under §303.211.</p> <p>(2) Nothing in this section may be construed to require a provider of services under Part C to provide a child served under Part C with FAPE.</p> <p>(34 CFR §303.211)</p> <p><b><i>The policies and procedures listed in 13 are optional. Enter 'NA' in the cells to the left if the State has elected not to develop and implement a policy under 34 CFR §303.211 to make Part C services to children beyond age three; otherwise check the appropriate response under the 'Yes' column and, if checking 'N' or 'R', attach policies and procedures.</i></b></p>

## B. Assurances and Optional Assurance

The State makes the following assurances and provisions as required by Part C of the Individuals with Disabilities Education Act. (20 U.S.C. 1431 et. seq.; 34 CFR §§303.101-126; 303.220; 303.227)

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.) Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
X		<p>1. The State has adopted a policy that appropriate early intervention services, as defined in 34 CFR §303.13, are available to all infants and toddlers with disabilities in the State and their families, including—</p> <ul style="list-style-type: none"> <li>(a) Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State;</li> <li>(b) Infants and toddlers with disabilities who are homeless children and their families; and</li> <li>(c) Infants and toddlers with disabilities who are wards of the State.</li> </ul> <p>(34 CFR §303.101(a))</p>
X		<p>2. The State has in effect a statewide system of early intervention services that meets the requirements of section 635 of the Act, including policies and procedures that address, at a minimum, the components required in 34 CFR §§303.111 through 303.126. (34 CFR §303.101(a))</p>
X		<p>3. The State ensures that any State rules, regulations, policies and procedures relating to 34 CFR Part 303 conform to the purposes and requirements of 34 CFR Part 303. (34 CFR §303.102)</p>
		<p>4. Each statewide system (system) must include, at a minimum, the components described in §§303.111 through 303.126. (34 CFR §303.110)</p>
X		<p>5. The State has a policy in effect that ensures that appropriate early intervention services are based on scientifically based research, to the extent practicable, and are available to all infants and toddlers with disabilities and their families, including—</p> <ul style="list-style-type: none"> <li>(a) Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State; and</li> </ul>

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>  <i>Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
		(b) Infants and toddlers with disabilities who are homeless children and their families. (34 CFR §303.112)
X		6. (a) The Statewide system ensures the performance of— (1) A timely, comprehensive, multidisciplinary evaluation of the functioning of each infant or toddler with a disability in the State; and (2) A family-directed identification of the needs of the family of the infant or toddler to assist appropriately in the development of the infant or toddler. (b) The evaluation and family-directed identification required in paragraph (a) of this section must meet the requirements of 34 CFR §303.321.  (34 CFR §303.113)
X		7. The Statewide system ensures that, for each infant or toddler with a disability and his or her family in the State, an IFSP, as defined in 34 CFR §303.20, is developed and implemented that meets the requirements of 34 CFR §§303.340 through 303.345 and that includes service coordination services, as defined in 34 CFR §303.34. (34 CFR §303.114)
X		8. The Statewide system includes a comprehensive child find system that meets the requirements in 34 CFR §§303.302 and 303.303. (34 CFR §303.115)
X		9. The Statewide system includes a public awareness program that— (a) Focuses on the early identification of infants and toddlers with disabilities; and (b) Provides information to parents of infants and toddlers through primary referral sources in accordance with 34 CFR §303.301.  (34 CFR §303.116)
X		10. The Statewide system includes a central directory that is accessible to the general public (i.e., through the lead agency's Web site and other appropriate means) and includes accurate, up-to-date information about:  (a) Public and private early intervention services, resources, and experts available in the State;

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>  <i>Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
		<p>(b) Professional and other groups (including parent support and training and information centers, such as those funded under the Act) that provide assistance to infants and toddlers with disabilities eligible under Part C of the Act and their families; and</p> <p>(c) Research and demonstration projects being conducted in the State relating to infants and toddlers with disabilities.</p> <p>(34 CFR §303.117)</p>
X		<p>11. The Statewide system includes a comprehensive system of personnel development, including the training of paraprofessionals and the training of primary referral sources with respect to the basic components of early intervention services available in the State. The State’s comprehensive system of personnel development—</p> <p>(a) Includes—</p> <ol style="list-style-type: none"> <li>(1) Training personnel to implement innovative strategies and activities for the recruitment and retention of EIS providers;</li> <li>(2) Promoting the preparation of EIS providers who are fully and appropriately qualified to provide early intervention services under Part C; and</li> <li>(3) Training personnel to coordinate transition services for infants and toddlers with disabilities who are transitioning from an early intervention services program under Part C of the Act to a preschool program under section 619 of the Act, Head Start, Early Head Start, an elementary school program under Part B of the Act, or another appropriate program.</li> </ol> <p>(b) May include—</p> <ol style="list-style-type: none"> <li>(1) Training personnel to work in rural and inner-city areas;</li> <li>(2) Training personnel in the emotional and social development of young children;</li> <li>(3) Training personnel to support families in participating fully in the development and implementation of the child’s IFSP; and</li> <li>(4) Training personnel who provide services under this part using standards that are consistent with early learning personnel development standards funded under the State Advisory Council on Early Childhood Education and Care established under the Head Start</li> </ol>

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>  <i>Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
		Act, if applicable. (34 CFR §303.118)
X		<p>12. The Statewide system includes policies and procedures relating to the establishment and maintenance of qualification standards to ensure that personnel necessary to carry out the purposes of Part C are appropriately and adequately prepared and trained. These policies and procedures provide for the establishment and maintenance of qualification standards that are consistent with any State-approved or State-recognized certification, licensing, registration, or other comparable requirements that apply to the profession, discipline, or area in which personnel are providing early intervention services. Nothing in Part C of the Act may be construed to prohibit the use of paraprofessionals and assistants who are appropriately trained and supervised in accordance with State law, regulation, or written policy, to assist in the provision of early intervention services under Part C of the Act to infants and toddlers with disabilities. (34 CFR §303.119(a)–(c))</p>
X		<p>13. The Statewide system includes a single line of responsibility in a lead agency designated or established by the Governor that is responsible for the following—</p> <p>(a) (1) The general administration and supervision of programs and activities administered by agencies, institutions, organizations, and EIS providers receiving assistance under Part C of the Act; and</p> <p>(2) The monitoring of programs and activities used by the State to carry out Part C of the Act (whether or not the programs or activities are administered by agencies, institutions, organizations, and EIS providers that are receiving assistance under Part C of the Act), to ensure that the State complies with Part C of the Act, including—</p> <ul style="list-style-type: none"> <li>(i) Monitoring agencies, institutions, organizations, and EIS providers used by the State to carry out Part C of the Act;</li> <li>(ii) Enforcing any obligations imposed on those agencies, institutions, organizations, and EIS providers under Part C of the Act and 34 CFR Part 303;</li> <li>(iii) Providing technical assistance, if necessary, to those agencies, institutions, organizations and EIS providers;</li> <li>(iv) Correcting any noncompliance identified through monitoring as soon as possible and in no case later than one year after the lead agency’s identification of</li> </ul>

<p><b>Yes</b></p> <p><i>(Assurance is hereby provided.)</i></p>	<p><b>No</b></p> <p><i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i></p> <p><i>Check and enter date(s) as applicable</i></p>	<p><b>Subpart B—Assurances</b></p> <p>(20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)</p>
		<p>the noncompliance; and</p> <p>(v) Conducting the activities in paragraphs (a)(2)(i) through (a)(2)(iv) of this section, consistent with 34 CFR §§303.700 through 303.707, and any other activities required by the State under those sections.</p> <p>(b) The identification and coordination of all available resources for early intervention services within the State, including those from Federal, State, local, and private sources, consistent with subpart F of 34 CFR Part 303.</p> <p>(c) The assignment of financial responsibility in accordance with subpart F of 34 CFR Part 303.</p> <p>(d) The development of procedures in accordance with subpart F of 34 CFR Part 303 to ensure that early intervention services are provided to infants and toddlers with disabilities and their families under Part C of the Act in a timely manner, pending the resolution of any disputes among public agencies or EIS providers.</p> <p>(e) The resolution of intra- and interagency disputes in accordance with subpart F of 34 CFR Part 303.</p> <p>(f) The entry into formal interagency agreements or other written methods of establishing financial responsibility, consistent with 34 CFR §303.511, that define the financial responsibility of each agency for paying for early intervention services (consistent with State law) and procedures for resolving disputes and that include all additional components necessary to ensure meaningful cooperation and coordination as set forth in subpart F of 34 CFR Part 303.</p> <p>(34 CFR §303.120)</p>
<p>X</p>		<p>14. The Statewide system includes a policy pertaining to the contracting or making of other arrangements with public or private individuals or agency service providers to provide early intervention services in the State, consistent with the provisions of Part C of the Act and 34 CFR Part 303, including the contents of the application, and the conditions of the contract or other arrangements. The policy —</p> <p>(a) Includes a requirement that all early intervention services must meet State standards and be consistent with the provisions of Part C; and</p> <p>(b) Is consistent with the Education Department General Administrative Regulations in 34 CFR Part 80.</p> <p>(34 CFR §303.121)</p>

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)  Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
X		15. The Statewide system includes procedures for securing the timely reimbursement of funds used under Part C of the Act, in accordance with subpart F of 34 CFR Part 303. (34 CFR §303.122)
X		16. The Statewide system includes procedural safeguards that meet the requirements of subpart E of 34 CFR Part 303. (34 CFR §303.123)
X		17. The Statewide system includes a system for compiling and reporting timely and accurate data that meets the requirements of 34 CFR §§303.700 through 303.702 and 303.720 through 303.724 and the following requirements. The data system includes a description of the process that the State uses, or will use, to compile data on infants or toddlers with disabilities receiving early intervention services under Part C, including a description of the State’s sampling methods, if sampling is used, for reporting the data required by the Secretary under sections 616 and 618 of the IDEA and 34 CFR §§303.700 through 303.707 and 303.720 through 303.724. (34 CFR §303.124)
X		18. The Statewide system includes a State Interagency Coordinating Council (Council) that meets the requirements of subpart G of 34 CFR Part 303. (34 CFR §303.125)
X		19. The Statewide system includes policies and procedures to ensure, consistent with 34 CFR §§303.13(a)(8) (early intervention services), 303.26 (natural environments), and 303.344(d)(1)(ii) (content of an IFSP), that early intervention services for infants and toddlers with disabilities are provided—  (a) To the maximum extent appropriate, in natural environments; and  (b) In settings other than the natural environment that are most appropriate, as determined by the parent and the IFSP Team, only when early intervention services cannot be achieved satisfactorily in a natural environment.  (34 CFR §303.126)
X		20. The Statewide system ensures that Federal funds made available to the State under section 643 of the Act will be expended in accordance with the provisions of 34 CFR Part 303, including §§303.500 and 303.501. (34 CFR §303.221)

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.) Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
X		21. The Statewide system will comply with the requirements in §§303.510 and 303.511 in subpart F of this part. (34 CFR §303.222)
X		22. The Statewide system ensures that—  (a) The control of funds provided under 34 CFR Part 303, and title to property acquired with those funds, will be in a public agency for the uses and purposes provided in 34 CFR Part 303; and  (b) A public agency will administer the funds and property.  (34 CFR §303.223)
X		23. The Statewide system ensures that it will—  (a) Make reports in the form and containing the information that the Secretary may require; and  (b) Keep records and afford access to those records as the Secretary may find necessary to ensure compliance with the requirements of 34 CFR Part 303, the correctness and verification of reports, and the proper disbursement of funds provided under 34 CFR Part 303.  (34 CFR §303.224)
X		24. The Statewide system ensures that –  (a) Federal funds made available under section 643 of the Act to the State – (1) Will not be commingled with State funds; and (2) Will be used so as to supplement the level of State and local funds expended for infants and toddlers with disabilities and their families and in no case to supplant those State and local funds.  (b) To meet the requirement in paragraph (a) of this section, the total amount of State and local funds budgeted for expenditures in the current fiscal year for early intervention services for children eligible under this part and their families must be at least equal to the total amount of State and local funds actually expended for early intervention services for these children and their families in the most recent preceding fiscal year for which the information is available. Allowance may be made for—

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)</i>  <i>Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
		<p>(1) A decrease in the number of infants and toddlers who are eligible to receive early intervention services under this part; and</p> <p>(2) Unusually large amounts of funds expended for such long-term purposes as the acquisition of equipment and the construction of facilities.</p> <p>(c) Requirement regarding indirect costs.</p> <p>(1) Except as provided in paragraph (c)(2) of this section, a lead agency under this part may not charge indirect costs to its Part C grant.</p> <p>(2) If approved by the lead agency's cognizant Federal agency or by the Secretary, the lead agency must charge indirect costs through either—</p> <p style="padding-left: 20px;">(i) A restricted indirect cost rate that meets the requirements in 34 CFR 76.560 through 76.569; or</p> <p style="padding-left: 20px;">(ii) A cost allocation plan that meets the non-supplanting requirements in paragraph (b) of this section and 34 CFR Part 76 of EDGAR.</p> <p>(3) In charging indirect costs under paragraph (c)(2)(i) and (c)(2)(ii) of this section, the lead agency may not charge rent, occupancy, or space maintenance costs directly to the Part C grant, unless those costs are specifically approved in advance by the Secretary.</p> <p>(34 CFR §303.225)</p>
X		<p>25. The Statewide system ensures that fiscal control and fund accounting procedures will be adopted as necessary to ensure proper disbursement of, and accounting for, Federal funds paid under 34 CFR Part 303. (34 CFR §303.226)</p>
X		<p>26. The State ensures that policies and practices have been adopted to ensure that—</p> <p>(a) Traditionally underserved groups, including minority, low-income, homeless, and rural families and children with disabilities who are wards of the State, are meaningfully involved in the planning and implementation of all the requirements of Part C; and</p> <p>(b) These families have access to culturally competent services within their local geographical areas.</p> <p>(34 CFR §303.227)</p>

<b>Yes</b> <i>(Assurance is hereby provided.)</i>	<b>No</b> <i>(Assurance cannot be ensured. Provide date on which State will complete changes in order to provide assurance.)  Check and enter date(s) as applicable</i>	<b>Subpart B—Assurances</b>  (20 U.S.C. 1434; 1435; and 1437(b); 34 CFR §§303.101-126; 303.220; 303.227)
		Assurance Regarding Optional Policy
X		<p><i>Enter 'NA' in the cell to the left if this assurance is not applicable to your State.</i></p> <p>27. A State may adopt and has adopted a policy that includes making ongoing good-faith efforts to recruit and hire appropriately and adequately trained personnel to provide early intervention services to infants and toddlers with disabilities, including, in a geographic area of the State where there is a shortage of such personnel, the most qualified individuals available who are making satisfactory progress toward completing applicable course work necessary to meet the standards described in paragraphs (a) and (b) of this section. (34 CFR §303.119(d))</p>

**C. Certifications**

The State Lead Agency is providing the following certifications:

Yes	
X	<p>1. The State certifies that ED Form 80-0013, <i>Certification Regarding Lobbying</i>, is on file with the Secretary of Education.</p> <p>With respect to the <i>Certification Regarding Lobbying</i> the State recertifies that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; that the State shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 CFR Part 82, Appendix B); and that the State Agency shall require the full certification, as set forth in 34 CFR Part 82, Appendix A, in the award documents for all sub awards at all tiers.</p>
X	<p>2. The State certifies that it has met the certifications in the Education Department General Administrative Regulations (EDGAR) at 34 CFR §80.11 relating to State eligibility, authority and approval to submit and carry out the provisions of its State application, and consistency of that application with State law are in place within the State.</p>
X	<p>3. The State certifies that the arrangements to establish financial responsibility for the provision of Part C services among appropriate public agencies under §303.511 and the lead agency's contracts with EIS providers regarding financial responsibility for the provision of Part C services meet the requirements in §§303.500 through 303.521 and are current as of the date of submission of the certification. (34 CFR §303.202)</p>

**D. Statement**

I certify that the State of Connecticut has provided the policies, procedures, methods, descriptions, and assurances checked as 'yes' in Sections II.A and II.B and the certifications required in Section II.C of this application. These provisions meet the requirements of Part C of the Individuals with Disabilities Education Act as found in 20 U.S.C. 1431-1443 (as amended) and the 2011 regulations in 34 CFR Part 303 (as amended). The State will operate its IDEA Part C program in accordance with all of the required policies, procedures, methods, descriptions, assurances and certifications.

If any policies, procedures, methods, descriptions, and assurances have been checked 'no', I certify that the State will operate throughout the period of this grant award consistently with the requirements of the IDEA as found in 20 U.S.C. 1431-1443 (as amended) and the 2011 regulations in 34 CFR Part 303 (as amended), and will make such changes to existing policies and procedures as are necessary to bring those policies and procedures into compliance with the requirements of the IDEA, as amended, as soon as possible, and not later than June 30, 2025. (34 CFR §76.104)

I, the undersigned authorized official of the

Connecticut, Office of Early Childhood,  
*(Name of State and official name of State agency)*

am designated under Part C by the Governor of this State to submit this application for FFY 2024 funds under Part C of the Individuals with Disabilities Education Act (IDEA).

Printed/Typed Name and Title of Authorized Representative of the State:	
Signature:	Date:

### SECTION III

#### A. Description of Use of Federal IDEA Part C Funds for Personnel of the State Lead Agency (LA) and the Interagency Coordinating Council (ICC)<sup>2</sup>

When completing this section include:

- Totals for the number of lead agency and ICC administrative positions, salaries and fringe benefits funded either 100 percent and/or less than 100 percent with Federal IDEA Part C funds;
- A general description of the duties for each position;
- A distinction between lead agency and ICC roles: insert (LA) or (ICC) in the “Description of Duties;” after each position; and
- A subtotal of the amount.

Identify any administrative positions for which less than 100% of the time is spent on Part C and, for each such position, indicate the percentage of time spent on Part C and the total amount of salary and fringe benefits included in the Part C application budget.

Positions Funded	Number of Positions	% of Time Spent on Part C	Salaries & Fringe Benefits	Description of Duties
100% funded with Part C Funds	9	100%	\$1,467,934.68	Education and Outreach (child find and public awareness); Personnel Development (scale up of EBPs, training, technical assistance for EIS programs and staff, managing procedures); State ICC Support Staff; Clerical support; Monitoring and General Supervision; Family Liaison; Part C Data Manager (Federal Reporting) and Procedural Safeguards
< 100% funded with Part C Funds	1	85%	\$180,353.24	Part C Coordinator (Federal Reporting) Procedural Safeguards and General Supervision. Leadership, long range planning, and interagency coordination.
<b>Subtotal of amount under A:</b>			<b>\$1,648,287.92</b>	

<sup>2</sup> Federal IDEA Part C funds used to support the SICCC must meet the requirements of 34 CFR §303.603.

## B. Maintenance and Implementation Activities for the Lead Agency and the ICC

When completing this section include:

- A description of the nature and scope of each major activity to be carried out under Part C in maintaining and implementing the statewide system of early intervention services:
  - Lead Agency Activities could include enhancing the Comprehensive System of Personnel Development, implementing child find strategies, or ensuring a timely, comprehensive, multidisciplinary evaluation for each child;
  - ICC Activities could include coordinating child find identification efforts, ensuring the timely provision and payment of early intervention services to eligible children and their families, advising on early childhood transition, support for the ICC (travel), or other implementation and development activities of the ICC
- The approximate amount of Federal IDEA Part C funds to be spent for each activity; and
- A subtotal of the amount.

### Special Note: Prior Approval

Some direct costs require prior approval. These items include using Federal IDEA Part C funds to pay for: (1) equipment; (2) participant support costs (such as training or travel costs); (3) construction or renovation of facilities; and (4) rent, occupancy or space maintenance costs.<sup>3</sup> States may find helpful [OSEP's Guidance for Common Prior Approval Requests under IDEA Parts B and C](#) issued on January 3, 2023. It provides a summary of the guidance and approval process for the most common prior approval cost categories. The October 2019 [Frequently Asked Questions \(2019 FAQs\) Prior Approval – OSEP and RSA Formula Grants](#)<sup>4</sup> details prior approval flexibilities for **equipment and participant support costs** and describes the parameters under which OSEP has provided prior approval for a subset of these costs.

For any activity or expense listed under Section III of this application that is not covered by the 2023 guidance and 2019 FAQs and requires OSEP prior approval, mark an "X" in the chart below and submit supporting documentation.

**Approval of the State's FFY 2024 application does not constitute OSEP's approval of these expenses unless specifically referenced.** *(Add rows as needed)*

Major Activity/ Expense	Part C Funds to be Spent	Description of Activities/Expenses (include whether it is for the Lead Agency or SICC)	Prior Approval Needed
Operating Expenses	\$222,000	Third party billing contractor fees, Translation services; supplies; printing, postage, and delivery services; travel and mileage reimbursement for lead agency staff	

<sup>3</sup> IDEA and the Uniform Guidance require prior approval for the following expenses: (1) equipment (tangible personal property (including information technology systems) having a useful life of more than one year and a per unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the nonfederal entity for financial statement purposes, or \$5,000 (see 2 CFR §200.33)); (2) participant support costs (direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees), in connection with conferences or training projects 2CFR §200.75; (3) construction/renovation (see 2 CFR §200.12(b)); and (4) rent (see 2 CFR §200.465)).

<sup>4</sup> Under the 2019 FAQs, OSERS granted prior approval for participant support costs under IDEA that: (1) are associated with required meetings for the SICC; (2) incurred as part of providing services identified on an IFSP under IDEA; (3) do not exceed \$5000 per individual participant per training/conference. In addition, the 2019 FAQs provide prior approval for equipment that is identified on or directly related to the implementation of the IFSP.

Major Activity/ Expense	Part C Funds to be Spent	Description of Activities/Expenses (include whether it is for the Lead Agency or SICC)	Prior Approval Needed
General Administrative Payment	\$1,729,942.08	An administrative per child for the program with an IFSP on the 1st of the billing month that plans for less than 9 hours of service per month and as long as at least one service was provided during the billing month. GAPs for children that transfer programs are paid to the program with the IFSP on the 1st of the month as long as a service was provided by the sending program before the transfer. Receiving programs will be paid the GAP in the following month, as long as all the requirements for a GAP are in place.	
Data Systems	\$24,500	Renewal of software & maintenance as well as server use and data consultant services.	
Procedural Safeguards	\$11,000	As needed for contracted mediators, hearing officers & court reporter expenses for hearings. Funding to pay surrogate parent fees through PTI when needed.	
Supervision and Monitoring	\$31,000	Payment for parent members of monitoring teams, training & materials for providers related to self-assessment focused monitoring, & improvement planning. Funding for family survey (C4/SSIP).	
Assistive Technology	\$193,800	Funding to a non-profit agency that inventories, refurbishes, & recycles Birth to Three assistive technology devices & provides training on assistive technology for providers as well as assistance in making AT purchases.	
Family Support and Leadership	\$78,000	Funding for one or more parent organizations to provide a parent voice in Part C activities including training & to assist families with IDEA issues and sponsor. Reflective Supervision Groups. Production of, parent rights and SOP brochures & family stories in various languages to inform them about the early intervention system, their rights, & the transition process.	
Technical Advisors	\$18,000	Funding for the availability of a Board-certified Developmental Pediatrician to advise the early intervention system on all medical & health issues, including eligibility for children with diagnosed conditions. The pediatrician consults with other sub specialists as needed.	

Major Activity/ Expense	Part C Funds to be Spent	Description of Activities/Expenses (include whether it is for the Lead Agency or SICC)	Prior Approval Needed
Training and Technology	\$475,000	Funding to scale up evidence supported practices as part of Personnel Development for the SSIP. Funding to address issues of recruitment & retention; credentialing of early intervention service providers; targeted technical assistance & in-service training for early intervention service providers & program directors. LMS and TWW	
Public Awareness	\$196,000	Funding to support Education and Outreach activities related to the SSIP. Costs for production of child find materials in various languages; outreach events & trainings to increase primary referral sources' awareness of early intervention services, referral mechanisms, & the eligibility criteria including central intake office's ability to offer ASQ development monitoring services. Website enhancements.	
ICC	\$15,000	Coordinating child find identification efforts, ensuring the timely provision and payment of early intervention services to eligible children and their families, advising on early childhood transition, support for the ICC (travel), or other implementation and development activities of the ICC	
<b>Subtotal of amount under B:</b>	\$2,994,242.0 8		

**C. Direct Services (Funded by Federal IDEA Part C Funds)**

When completing this section include:

- A description of any direct early intervention service that the State lead agency expects to provide to eligible children and their families with Federal IDEA Part C funds.
- The approximate amount for each direct service (States must disaggregate by service the approximate amount of Federal IDEA Part C funds expected to be expended for each direct service); and
- A subtotal of the amount.

Special Note: Amounts for Costs Other Than Direct Services

If contracts with EIS providers include amounts for costs other than direct services, the State should:

- report the amount and type of non-service expenses in Section III.B (along with all other maintenance and implementation activities for IDEA Part C incurred by the State lead agency and/or the SICC) **or**
- report the entire amount in Section III.C and insert a footnote in Section III.C to indicate the estimated amounts listed in that section that includes expenses for non-direct services. (Example: State contracts with EIS provider for occupational therapy (OT) services and training. Training amounts would be listed under Section III.B. and OT services under Section III.C or the entire amount would be placed in Section III.C and a footnote would specify that the estimated amount also includes training expenses. (This option may be helpful if the contractual amounts cannot be easily disaggregated.)

*(Add rows as needed.)*

Description of Each Direct Early Intervention Service	Approximate Amount of Federal IDEA Part C Funds to be Spent on Each Direct Service
<b>Subtotal of amount under C:</b>	\$0.00

**D. Activities by Other State Agencies**

If State agencies (other than the State lead agency) are to receive a portion of the Federal IDEA Part C funds and that amount is not already identified in Section III.C above, the State must include in this section:

- The name of each State public agency expected to receive funds.
- The approximate amount of funds each State public agency will receive; and
- A summary of the purposes for which the funds will be used.

Provide subtotal of amount. *(Add rows as needed.)*

State Agency Receiving Funds	Amount of Funds	Purpose
<b>Subtotal of amount under D:</b>	\$0.00	

### E. Description of Optional Use of IDEA Part C Funds<sup>5</sup>

In addition to using Federal IDEA Part C funds to maintain and implement the statewide system of early intervention, States may use funds for:

- expanding and improving on services for infants and toddlers and their families that are otherwise available; and
- initiating, expanding, or improving collaborative efforts related to at-risk infants and toddlers in any State that does not provide services for at-risk infants and toddlers. The application must include:
  - The name of the major activity.
  - The approximate amount of funds to be spent; and
  - A description of the activities.

Provide subtotal of amount. *(Add rows as needed.)*

Major Activity	Part C Funds to be Spent	Description of Activities
<b>Subtotal of amount under E:</b>	\$0.00	

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<sup>5</sup> See IDEA section 638.

**F. Totals**

Enter the subtotal amounts for Sub Sections A-E found in Section III and any indirect costs charged as specified in Section IV.B. The subtotal amounts (Rows 1-6) should total the estimated grant application amount. (A State may apply for less than the full estimated allotted amount.)

Row No.	Section	Amount
<b>Enter the subtotal amounts for Sub Sections A-E found in Section III of this application.</b>		
1.	III.A.	\$1,648,287.92
2.	III.B.	\$2,994,242.08
3.	III.C.	\$0.00
4.	III.D.	\$0.00
5.	III.E.	\$0.00
<b>Enter any Indirect Costs to be Charged (See Section IV.B of this application.)</b>		
6.	IV.B	\$65,307.00
<b>Total</b> (Rows 1-6)		\$4,707,837.00

Will your lead agency use FFY 2024 federal IDEA Part C funds for subgrants? Yes: \_\_\_\_\_ No:   X

## Section IV

### A. System of Payments / Use of Insurance / Program Income

The State

does (check as applicable)

does not (check as applicable)

have a system of payments for Part C services under 34 CFR §§303.203(b)(1), 303.500(b), 303.520, and 303.521 which may include the use of public benefits or insurance, private insurance or family fees, such as a sliding scale. Any family fees collected are treated as "program income" for purposes of 2 CFR §200.307(e) and 34 CFR §303.520(e) and are not included in the State's determination of State and local expenditures for maintenance of effort and non-supplanting purposes of 20 U.S.C. 1437(b)(5)(B) and 34 CFR §303.225(a) and (b).

*Note: If the State has adopted new or has revised its existing policies and procedures regarding its system of payments, it must submit these new and/or revised policies and procedures under Item 3.a in Section II.A above.*

### B. Restricted Indirect Cost Rate/Cost Allocation Plan Information

Under IDEA's non-supplanting provisions in 20 U.S.C. 1437(b)(5)(B) and Part C regulation in 34 CFR §303.225(c), a lead agency may not charge indirect costs to its Part C grant unless the lead agency charges indirect costs through either— (i) A restricted<sup>6</sup> indirect cost rate that meets the requirements in 34 CFR §§76.560 through 76.569; or (ii) A cost allocation plan that meets the non-supplanting requirements in paragraph (b) of this section and 34 CFR part 76 of EDGAR.

Check the applicable status below (more than one check mark may be necessary) and enclose appropriate documentation for this Federal Fiscal Year.

No indirect costs are charged to the Part C grant. The total amount of the Federal Part C grant is used for allowable direct costs.

The lead agency is an State educational agency (SEA) and works directly with the U.S. Department of Education's Indirect Cost Unit to ensure that indirect costs are only charged on a restricted basis to the State's IDEA Part C grant. The State has a final restricted indirect cost rate agreement that is approved for the period \_\_\_\_\_ through \_\_\_\_\_. (Please attach a copy of the most recently approved restricted indirect cost rate agreement or cost allocation plan or other applicable indirect cost documentation.)

The lead agency is not an SEA and has a final restricted indirect cost rate that has been approved by the State lead agency's cognizant Federal agency and is in effect for this FFY (ending on June 30, 2025) The period of approval for the restricted indirect cost rate agreement is \_\_\_\_\_ through \_\_\_\_\_. (The State must attach a copy of the approved restricted indirect cost rate agreement.)

The lead agency is not an SEA and has either a provisional or final restricted indirect cost rate that expires or expired on 6/30/25 and the State is in the process of negotiating a new restricted indirect cost rate agreement that will be in effect for the period 2023-2024 [please attach proposal].<sup>7</sup> The State lead agency will continue to charge or bill the Part C grant using the provisional or previously approved final restricted indirect cost rate until a new rate is

<sup>6</sup> Charging indirect costs on a "restricted" basis is a key part of implementing the IDEA Part C requirement in IDEA section 637(b)(5)(B), which requires that federal funds be used to supplement (and not supplant) "State and local funds expended for infants and toddlers with disabilities and their families. The restricted indirect cost rate formula is described at 34 CFR §§75.564 and 76.565. The formula limits the general administrative costs that can be included in the indirect cost pool (numerator) and requires adjustments to the modified total direct cost (MTDC) base (denominator).

<sup>7</sup> A "provisional" indirect cost rate is a temporary rate established for a future prospective period of time to permit budgeting, obligations, and payment of funds by awarding agencies until such time as the actual indirect costs can be determined and a final rate is established for the applicable period; provisional rates are subject to adjustment by issuance of a "final" rate based on actual indirect costs incurred for the period (usually the organization's fiscal year).

negotiated and approved by the State's cognizant Federal agency, at which point the State lead agency must make appropriate adjustments for applicable FFYs. The State acknowledges that a final restricted indirect cost rate may result in an adjustment of the final audited expenditures allowable to be charged to the Part C grant and the Department's approval of this FFY Part C application with an expired or provisional restricted indirect cost rate does not constitute approval of that rate as the final rate for the lead agency for this FFY. When a final restricted indirect cost rate is approved, the lead agency must submit to OSEP: (1) a copy of the "final" restricted indirect cost rate agreement; and (2) details of adjustments made to past GAPS draw downs in light of the "final" rate. (The State must attach a copy of the previously approved restricted indirect cost rate agreement.)

\_\_\_\_\_ The lead agency is not an SEA and has a final cost allocation plan that has been approved by the State lead agency's cognizant Federal agency, which is \_\_\_\_\_. The cost allocation plan charges costs only on a restricted basis and has also been approved by ED's Indirect Cost Unit. It is in effect until \_\_\_\_\_ [insert date or note until amended] for this Federal fiscal year (FFY) (ending on June 30, 2025). (The State must attach a copy of the approved cost allocation plan and approval documentation from both the lead agency's cognizant Federal agency and ED's Indirect Cost Unit.)

**OEC Birth to Three System Direct Service Expenditures<sup>1</sup>**

Invoice	Jun-23	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23	Jan-24	Feb-24	Mar-24	Apr-24	May-24
Paid in	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23	Jan-24	Feb-24	Mar-24	Apr-24	May-24	Jun-24
Escrow	1,902,012	1,323,962	1,914,506	1,801,177	1,886,941	1,935,604	1,762,512	1,819,312				
GAP	1,098,000	1,105,400	1,151,000	1,038,800	1,024,600	1,041,000	1,024,600	1,032,200				
Interpretation	19,065	34,478	36,562	21,088	85,858	69,759	89,151	68,516				
ATech + Other	45,733	54	28,317	5,806	38,124	23,986	28,263	48,148				
<b>Total</b>	<b>3,064,810</b>	<b>2,463,894</b>	<b>3,130,385</b>	<b>2,866,871</b>	<b>3,035,523</b>	<b>3,070,349</b>	<b>2,904,526</b>	<b>2,968,176</b>				

**Commercial Insurance Payments<sup>2</sup>**

	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23	Jan-24	Feb-24	Mar-24	Apr-24	May-24	Jun-24
Claims Paid	343,848	358,554	334,584	354,534	386,115	344,155	309,547	216,695				
Amount Billed	1,489,089	1,454,610	1,302,414	1,315,290	1,243,527	1,111,527	1,017,975	966,981				
%Paid/Billed	23%	25%	26%	27%	31%	31%	30%	22%				
Billing Fees	-	20,902	52,920	29,146	29,913	-	-	27,336				

Birth to Three Funding:	
State Appropriation	32,952,407
Part B Evaluations	1,130,000
Part C for Direct Services	1,839,988
SID 29685/87 Billing Fees	110,223
<b>Total Funding</b>	<b>36,032,618</b>
<b>Surplus (Deficit)</b>	<b>(329,508)</b>

Direct Service Hours (Units were used prior to 11/1/17)						
FY	19 Act.	20 Act.	21 Act.	22 Act.	23 Act.	24 Est.
Jun	36,792	39,459	33,683	34,276	39,605	43,921
Jul	36,942	42,673	34,273	32,815	36,033	39,425
Aug	38,265	41,179	30,114	33,879	40,831	44,786
Sept	35,742	42,384	31,226	33,868	38,246	39,281
Oct	41,640	44,791	31,724	34,088	38,367	43,667
Nov	37,810	38,150	29,208	33,941	38,327	41,876
Dec	33,032	49,433	30,734	30,902	35,619	36,489
Jan	41,645	42,772	30,865	33,140	41,201	45,151
Feb	37,283	41,300	30,888	35,092	34,875	42,400
Mar	40,631	32,283	35,848	41,678	46,094	50,657
Apr	42,542	33,630	31,892	36,031	39,656	43,582
May	44,478	32,416	31,720	37,926	45,356	49,846
<b>Total</b>	<b>466,801</b>	<b>480,470</b>	<b>382,171</b>	<b>417,634</b>	<b>474,209</b>	<b>521,080</b>
<b>% Chg</b>	<b>344.34%</b>	<b>2.93%</b>	<b>-20.46%</b>	<b>9.28%</b>	<b>13.55%</b>	<b>9.88%</b>

Actual  
Estimated

- 1) Based on Budget Tracking system as of February 2024
- 2) Based on data from PCG using date paid not date of service  
Values in grey are being double checked with PCG.
- 3) Based on monthly estimates by the OEC including a list of assumptions and data that change frequently
- 4) Based on reconciled invoices (actual) and estimates using a list of assumptions using available information

**Connecticut Office of Early Childhood Birth to Three System Monthly Enrollment Data**

	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb
<b>Calls to 211CDI</b>	1404	1239	1336	1118	964	1401	1108	1199	1059	1076	1355	1327
Percent compared to CY2019 average (1113)	126%	111%	120%	100%	87%	126%	100%	108%	95%	97%	122%	119%
<i>Families declining the referral to B23<sup>1</sup></i>	248	248	265	265	203	203	186	235	179	178	114	35
Percent compared to CY2019 average (199)	125%	125%	133%	133%	102%	102%	93%	118%	90%	89%	57%	18%
Percent of calls to 211CD (CY2019 average was 17%)	18%	20%	20%	24%	21%	14%	17%	20%	17%	17%	8%	3%
<b>Referrals to Birth to Three</b>	1156	990	1071	852	761	1198	921	964	880	889	1112	920
Percent compared to CY2019 average (913)	127%	108%	117%	93%	83%	131%	101%	106%	96%	97%	122%	101%
<i>Families declining eligibility evaluations<sup>2</sup></i>	70	68	78	62	64	90	96	66	80	44	72	66
Percent compared to CY2019 average (67)	104%	101%	116%	93%	96%	134%	143%	99%	119%	66%	107%	99%
Percent of B23 referrals (CY2019 average was 7%)	6%	7%	7%	7%	8%	8%	10%	7%	9%	5%	6%	7%
<b>Initial Eligibility Determinations</b>	1024	866	953	968	729	933	890	948	839	728	947	912
Percent compared to CY2019 average (843)	120%	101%	111%	113%	85%	109%	104%	111%	98%	85%	111%	107%
<b>Determined to be Eligible</b>	678	566	663	647	504	646	586	656	607	497	658	633
Percent compared to CY2019 average (570)	119%	99%	116%	114%	88%	113%	103%	115%	106%	87%	115%	111%
Percent Eligible	66%	65%	70%	67%	69%	69%	66%	69%	72%	68%	69%	69%
Percent compared to CY2019 average (68%)	-2%	-3%	2%	-1%	1%	1%	-2%	1%	4%	0%	1%	1%
<i>Families leaving Part C in the month before an initial IFSP meeting<sup>3</sup></i>	23	20	33	29	18	26	21	24	21	18	21	28
Percent compared to CY2019 average (55)	42%	36%	60%	53%	33%	47%	38%	44%	38%	33%	38%	51%
Percent of B23 those eligible (CY2019 average was 10%)	3%	4%	5%	4%	4%	4%	4%	4%	3%	4%	3%	4%
<b>Initial IFSP meeting held during the month</b>	658	523	656	629	487	588	579	626	595	506	587	587
Percent compared to CY2019 average (516)	128%	101%	127%	122%	94%	114%	112%	121%	115%	98%	114%	114%
<i>Families leaving Part C after the initial IFSP meeting but before EITS<sup>3</sup></i>	7	13	5	7	11	7	8	9	6	4	6	8
Percent compared to CY2019 average (15)	47%	87%	33%	47%	73%	47%	53%	60%	40%	27%	40%	53%
Percent of all Exits	1%	3%	1%	2%	3%	1%	1%	2%	1%	1%	1%	2%
<b>Eligible children who received an EITS in the month</b>	6798	6715	6937	7067	7009	7328	6620	6702	6732	6548	6771	6711
Percent compared to CY2019 average (5177)	131%	130%	134%	137%	135%	142%	128%	129%	130%	126%	131%	130%
Average hours per child per month	5.8	5.1	5.6	5.3	4.8	5.2	5.0	5.5	5.2	4.8	5.6	5.3
Percent compared to CY2019 average (7.3)	79%	70%	77%	73%	66%	71%	68%	75%	71%	66%	77%	73%
<b>Eligible children with an ASD diagnosis who received an EITS in the month</b>	735	738	769	835	761	854	784	778	780	754	779	788
Percent compared to CY2019 average (676)	109%	109%	114%	124%	113%	126%	116%	115%	115%	112%	115%	117%
Average hours per child per month	11.5	10.1	11.0	10.3	9.4	10.1	9.9	11.3	10.7	9.6	11.6	10.8
Percent compared to CY2019 average (24.9)	46%	41%	44%	41%	38%	41%	40%	45%	43%	39%	47%	43%
<b>Eligible children without an ASD diagnosis who received an EITS in the month</b>	6116	6018	6212	6281	6293	6522	5891	5964	5996	5829	6052	5980
Percent compared to CY2019 average (4529)	135%	133%	137%	139%	139%	144%	130%	132%	132%	129%	134%	132%
Average hours per child per month	5.0	4.4	4.9	4.6	4.2	4.5	4.2	4.7	4.5	4.1	4.8	4.5

**Connecticut Office of Early Childhood Birth to Three System Monthly Enrollment Data**

	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb
Percent compared to CY2019 average (4.7)	106%	94%	104%	98%	89%	96%	89%	100%	96%	87%	102%	96%
<b>Children in families who exited before age 3<sup>3</sup></b>	196	148	196	258	195	229	208	207	181	155	198	157
Percent compared to CY2019 average (224)	88%	66%	88%	115%	87%	102%	93%	92%	81%	69%	88%	70%
<b>Children in families who exited at age 3<sup>4</sup></b>	382	352	200	167	164	995	585	393	393	393	397	350
Percent compared to CY2019 average (322)	119%	109%	62%	52%	51%	309%	182%	122%	122%	122%	123%	109%
<b>Children in Families who exited at age 3 as eligible for Part B</b>	268	239	94	65	73	867	430	261	254	236	246	277
Percent compared to CY2019 average (225)	119%	106%	42%	29%	32%	385%	191%	116%	113%	105%	109%	123%

*data as of 03/25/24\**

All counts are counts of cases and include may include referrals within 45 days of age 3.

- 1) includes parent declined, referred to LEA, DCF no concerns and unable to contact
- 2) includes parent declined, moved out of CT, deceased and unable to contact
- 3) EITS stands for Early Intervention "Treatment" Services vs EIS (also evaluations, assessments, and IFSP meetings)
- 3) includes parent withdrew, moved out of CT, deceased and unable to contact
- 4) includes eligible for Part B, not eligible, and eligibility not determined/LEA not included