

# Section I



*Submission Statements,  
Assurances,  
and  
Certifications*



## 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, and assurances meet all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004 and applicable regulations (IDEA). 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 has submitted the new and/or revisions to State policies, procedures, methods, and descriptions that meet all requirements found in Section II.A.
2.  The State cannot provide policies, procedures, methods, descriptions, and/or assurances for all application requirements of Part C of the Act as found in PL 108-446, the Individuals with Disabilities Education Improvement Act of 2004. 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 consistent with all requirements of IDEA in PL 108-446 and applicable regulations. 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 IDEA, as amended, as soon as possible, and not later than June 30, 2011. 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' are enclosed with this application.<sup>1</sup>

Optional:

3.  The State is submitting new or modified State policies and procedures previously submitted to the Department and has checked, under Section II.A, the appropriate 'R' cell(s) found in the 'Yes' column. These modifications are: (1) deemed necessary by the State, for example when the State revises applicable State law or regulations; (2) required by the Secretary because there is a 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.

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<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, 2011. The State will be granted conditional approval until it can provide all policies, procedures, methods, descriptions, and assurances.

## **B. Conditional Approval for Current Grant Year**

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

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

- a. Sections II.A and II.B provide documentation of completion of all issues identified in the FFY 2009 conditional approval letter.
- b. As noted in Sections II.A and II.B, the State has not completed all issues identified in the FFY 2009 conditional approval letter.

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

- a. The State previously submitted documentation of completion of all issues identified in the FFY 2009 conditional approval letter.
- b. The State is attaching documentation of completion of all issues identified in the FFY 2009 conditional approval letter. *(Attach documentation showing completion of all issues.)*
- c. The State has not completed all issues identified in the FFY 2009 conditional approval letter. *(Attach documentation showing completion of any issues and a list of items not yet completed.)*

<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, 2010. The State will be granted conditional approval until it can provide all policies, procedures, methods, descriptions, and assurances.

## C. 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 PL 108-446.

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>	
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.)	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, 2011.)			
N	R	OF	<b>State Policies, Procedures, Methods, and Descriptions</b>	
			<b>State Policies and Procedures</b>	
		✓		1. As required in 20 U.S.C. 1432(5)(A) and 1435(a)(1), the State has provided its policies and/or procedures regarding the State's definition of 'developmental delay' to ensure that a rigorous definition of the term 'developmental delay' will be used by the State in carrying out programs under this Part in order to appropriately identify infants and toddlers with disabilities that are in need of services under Part C.
			6/30/2011	2. As required in 20 U.S.C. 1437(a)(6), the State has provided its policies and procedures that require the referral for early intervention services under this part of a child under the age of 3 who - (A) is involved in a substantiated case of abuse or neglect; or (B) is identified as affected by illegal substance abuse, or withdrawal symptoms resulting from prenatal drug exposure.
			6/30/2011	3. As required in 20 U.S.C. 1437(a)(9)(A), the State has provided its policies and procedures that ensures a smooth transition for toddlers receiving early intervention services under this part (and children receiving those services under by 20 U.S.C 1435(c)) to preschool, school, other appropriate services, or exiting the program, including a description of how: (i) the families of such toddlers and children will be included in the

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>
<b>Yes</b> (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.)		<b>No</b> (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, 2011.)	
<b>N</b>	<b>R</b>	<b>OF</b>	<b>State Policies, Procedures, Methods, and Descriptions</b>
			<p>transition plans required 20 U.S.C. 1437(a)(9)(C); and (ii) the lead agency designated or established under 20 U.S.C. 1435(a)(10) will (I) notify the local educational agency for the area in which such a child resides that the child will shortly reach the age of eligibility for preschool services under Part B, as determined in accordance with State law; (II) in the case of a child who may be eligible for such preschool services, with the approval of the family of the child, convene a conference among the lead agency, the family, and the local educational agency not less than 90 days (and at the discretion of all such parties, not more than 9 months) before the child is eligible for the preschool services, to discuss any such services that the child may receive; and (III) in the case of a child who may not be eligible for such preschool services, with the approval of the family, make reasonable efforts to convene a conference among the lead agency, the family, and providers of other appropriate services for children who are not eligible for preschool services under Part B, to discuss the appropriate services that the child may receive.</p>
		✓	<p>4. As required in 20 U.S.C. 1437(a)(9)(B), the State has provided its policies and/or procedures to ensure review of the child's program options for the period from the child's third birthday through the remainder of the school year.</p>
			<p>6/30/2011</p> <p>5. As required in 20 U.S.C. 1437(a)(9)(C), the State has provided its policies and/or procedures to ensure the establishment of a transition plan, including, as appropriate, steps to exit from the program.</p>

<p><i>Check and enter date(s) as applicable. Enclose relevant documents.</i></p>			<p><i>N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE</i></p>	
<p><b>Yes</b>  (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.)</p>			<p><b>No</b>  (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, 2011.)</p>	
<b>N</b>	<b>R</b>	<b>OF</b>	<b>State Policies, Procedures, Methods, and Descriptions</b>	
			<b>Optional Policies/Methods</b>	
			Type in 'NA' for not applicable under 'No' in the cells to the left if the State has not exercised this option.	
			N/A	6. As required in 20 U.S.C. 1437(a)(4), if the State provides services to at-risk infants and toddlers through the statewide system, the State has provided its: 1) description of services to at-risk infants and toddlers, and 2) definition of 'at-risk' under 20 U.S.C. 1432(5)(B)(i).
		✓		<p><i>Enter 'NA' in the cells to the left if the State does not have a system of payment. (See Section IV.A)</i></p> <p>7. As required in 20 U.S.C. 1432(4)(B) and 1437(a)(3)(A), the State has provided its policies and/or procedures that identify the State's system of payments for Part C services.</p>
			N/A	<p>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check the 'N' cell under the 'Yes' column and attach all policies.</p> <p>8. As described in 20 U.S.C. 1435(c) the State has provided its policy, developed and implemented jointly by the lead agency and the State educational agency, under which parents of children with disabilities who are eligible for services under 20 U.S.C. 1419 and who previously received services under Part C, may choose the continuation of early intervention services (which includes an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills) for such children under Part C until such children enter, or are eligible under State law to enter, kindergarten.</p>

<p><i>Check and enter date(s) as applicable. Enclose relevant documents.</i></p>			<p><i>N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE</i></p>
<p><b>Yes</b>  (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.)</p>		<p><b>No</b>  (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, 2011.)</p>	
<b>N</b>	<b>R</b>	<b>OF</b>	<b>State Policies, Procedures, Methods, and Descriptions</b>
			<p>The statewide system ensures that--</p> <p>(A) parents of children with disabilities served pursuant to 20 U.S.C. 1435(c) are provided annual notice that contains--</p> <ul style="list-style-type: none"> <li>(i) a description of the rights of such parents to elect to receive services pursuant to 20 U.S.C. 1435(c) or under Part B; and</li> <li>(ii) an explanation of the differences between services provided pursuant to 20 U.S.C. 1435(c) and services provided under Part B, including-- <ul style="list-style-type: none"> <li>(I) types of services and the locations at which the services are provided;</li> <li>(II) applicable procedural safeguards; and</li> <li>(III) possible costs (including any fees to be charged to families as described in 20 U.S.C. 1432(4)(B)), if any, to parents of infants or toddlers with disabilities;</li> </ul> </li> </ul> <p>(B) services provided pursuant to 20 U.S.C. 1435(c) include an educational component that promotes school readiness and incorporates preliteracy, language, and numeracy skills;</p> <p>(C) the State policy will not affect the right of any child served pursuant to 20 U.S.C. 1435(c) to instead receive a free appropriate public education under Part B;</p> <p>(D) all early intervention services outlined in the child's individualized family service plan under 20 U.S.C. 1436 are continued while any eligibility determination is being made for services under 20 U.S.C. 1435(c);</p> <p>(E) the parents of infants or toddlers with disabilities (as defined</p>

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<p><b>Yes</b>  (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.)</p>		<p><b>No</b>  (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, 2011.)</p>	
<b>N</b>	<b>R</b>	<b>OF</b>	<b>State Policies, Procedures, Methods, and Descriptions</b>
			<p>in 20 U.S.C. 1432(5)(A)) provide informed written consent to the State, before such infants or toddlers reach 3 years of age, as to whether such parents intend to choose the continuation of early intervention services pursuant to 20 U.S.C. 1435(c) for such infants or toddlers;</p> <p>(F) the requirements under 20 U.S.C. 1437(a)(9) shall not apply with respect to a child who is receiving services in accordance with 20 U.S.C. 1435(c) until not less than 90 days (and at the discretion of the parties to the conference, not more than 9 months) before the time the child will no longer receive those services; and</p> <p>(G) there will be a referral for evaluation for early intervention services of a child who 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).</p> <p>The State shall submit to the Secretary, in the State's report under 20 U.S.C. 1437(b)(4)(A), a report on the number and percentage of children with disabilities who are eligible for services under 20 U.S.C. 1419 but whose parents choose for such children to continue to receive early intervention services under IDEA section 635(c).</p> <p>The policy shall include a description of the funds (including an identification as Federal, State, or local funds) that will be used to ensure that the option described 20 U.S.C. 1435(c)(1) is available to eligible children and families who provide the consent described in 20 U.S.C. 1435(c)(2)(E), and which description will identify fees (if any) to be charged to families as described in 20 U.S.C. 1432(4)(B).</p>

<p><i>Check and enter date(s) as applicable. Enclose relevant documents.</i></p>			<p><i>N = 'New' Policy and/or Procedure R = 'Revised' Policy and/or Procedure OF = Policy and/or Procedure is already 'On File' with the USDE</i></p>	
<p><b>Yes</b>  (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.)</p>		<p><b>No</b>  (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, 2011.)</p>		
<b>N</b>	<b>R</b>	<b>OF</b>		<b>State Policies, Procedures, Methods, and Descriptions</b>
				In accordance with 20 U.S.C. 1435(c)(5)(A), when providing services to a child with a disability who is eligible for services under 20 U.S.C. 1419, the State is not required to provide the child with a free appropriate public education under Part B for the period of time in which the child is receiving services under Part C.
		✓		<p>Enter 'NA' in the cells to the left if this statement is not applicable; otherwise check either the 'N' or 'R' cell under the 'Yes' column and attach appropriate written methods. See the Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</p> <p>9. The State has chosen to meet the requirement to establish financial responsibility for early intervention services under 20 U.S.C. 1440(b)(1) through 'appropriate written methods' under 20 U.S.C. 1440(b)(3)(C) other than State statute or regulation or signed interagency agreements.</p>
				<b>Descriptions</b>
			6/30/2011	10. As required by Section 427 of the General Education Provisions Act (GEPA), 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 of IDEA by infants, toddlers, and children with disabilities and their families and other Part C program beneficiaries.
		✓		11. As required in 20 U.S.C. 1437(a)(3)(B), the State has provided a description of early intervention services to be provided to infants and toddlers with disabilities and their families through the statewide early intervention system.

Check and enter date(s) as applicable. Enclose relevant documents.			<i>N = 'New' Policy and/or Procedure</i> <i>R = 'Revised' Policy and/or Procedure</i> <i>OF = Policy and/or Procedure is already 'On File' with the USDE</i>
<b>Yes</b> (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.)		<b>No</b> (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, 2011.)	
<b>N</b>	<b>R</b>	<b>OF</b>	<b>State Policies, Procedures, Methods, and Descriptions</b>
✓			12. As required in 20 U.S.C. 1437(a)(5), the State has provided a description of the uses for which funds will be expended in accordance with Part C. <i>(See Section III. If the State is submitting a completed Section III, check 'N' under the 'Yes' column to the left.)</i>
		✓	13. As required in 20 U.S.C. 1437(a)(7) the State has provided a description of the procedures used to ensure that resources are made available under Part C for all geographic areas within the State.
			6/30/2011 14. As required in 20 U.S.C. 1437(a)(8), the State has provided a description of the policies and procedures used to ensure that, prior to the adoption by the State of any other policy or procedure necessary to meet the requirements of Part C, there are public hearings, adequate notice of the hearings, and an opportunity for comment available to the general public, including individuals with disabilities and parents of infants and toddlers with disabilities.
			6/30/2011 15. As required in 20 U.S.C. 1437(a)(10), the State has provided a description of State efforts to promote collaboration among Early Head Start programs under section 645A of the Head Start Act, early education and child care programs, and services under Part C of IDEA.

## D. 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.)

<i>Check and enter date(s) as applicable</i>		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
✓		1. As applicable, the assurance found in OMB Standard Form 424(B) (Assurances for Non-Construction Programs), relating to legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; flood insurance; environmental standards; wild and scenic river systems; historic preservation; protection of human subjects; animal welfare; lead-based paint; Single Audit Act; and general agreement to comply with all Federal laws, executive orders and regulations is in place.
	6/30/2011	2. The State has adopted a policy that appropriate early intervention services are available to all infants and toddlers with disabilities in the State and their families, including Indian infants and toddlers with disabilities and their families residing on a reservation geographically located in the State, infants and toddlers with disabilities who are homeless children and their families, and infants and toddlers with disabilities who are wards of the State; and has in effect a statewide comprehensive, coordinated, multidisciplinary, interagency system to provide early intervention services, for infants and toddlers with disabilities and their families, that meet the requirements of 20 U.S.C 1401, and 1431 through 1443. <i>See the Optional Technical Assistance Checklist for the full provisions of 1401 and 1432.</i>
	6/30/2011	3. The State has in effect a policy that ensures that appropriate early intervention services based on scientifically based research, to the extent practicable, are available to all infants and toddlers with disabilities and their families, including Indian infants and toddlers

Check and enter date(s) as applicable		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
		with disabilities and their families residing on a reservation geographically located in the State and infants and toddlers with disabilities who are homeless children and their families in accordance with 20 U.S.C. 1435(a)(2).
✓		4. The State has in effect a timely, comprehensive, multidisciplinary evaluation of the functioning of each infant or toddler with a disability in the State, and a family-directed identification of the needs of each family of such an infant or toddler, to assist appropriately in the development of the infant or toddler in accordance with 20 U.S.C. 1435(a)(3).
	6/30/2011	5. For each infant or toddler with a disability in the State, the State has an individualized family service plan in accordance with 20 U.S.C. 1436, including service coordination services in accordance with such service plan. (20 U.S.C. 1435(a)(4)) <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1436.</i>
	6/30/2011	6. The State has a comprehensive child find system, consistent with Part B, including a system for making referrals to service providers that includes timelines and provides for participation by primary referral sources and that ensures rigorous standards for appropriately identifying infants and toddlers with disabilities for services under this part that will reduce the need for future services. (20 U.S.C. 1435(a)(5))
	6/30/2011	7. The State has a public awareness program focusing on early identification of infants and toddlers with disabilities, including the preparation and dissemination by the lead agency designated or established under 20 U.S.C. 1435(a)(10) to all primary referral sources, especially hospitals and physicians, of information to be given to parents, especially to inform parents with premature infants, or infants with other physical risk factors associated with learning or developmental complications, on the availability of early intervention services under this part and of services under 20

<i>Check and enter date(s) as applicable</i>		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
		U.S.C. 1419, and procedures for assisting such sources in disseminating such information to parents of infants and toddlers with disabilities. (20 U.S.C. 1435(a)(6))
✓		8. The State has a central directory that includes information on early intervention services, resources, and experts available in the State and research and demonstration projects being conducted in the State. (20 U.S.C. 1435(a)(7))
	6/30/2011	9. The State has 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 that (A) includes-- (i) implementing innovative strategies and activities for the recruitment and retention of early education service providers; (ii) promoting the preparation of early intervention providers who are fully and appropriately qualified to provide early intervention services under this part; and (iii) training personnel to coordinate transition services for infants and toddlers served under this part from a program providing early intervention services under this part and under Part B (other than 20 U.S.C. 1419), to a preschool program receiving funds under 20 U.S.C. 1419, or another appropriate program; and (B) may include-- (i) training personnel to work in rural and inner-city areas; and

<i>Check and enter date(s) as applicable</i>		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
		(ii) training personnel in the emotional and social development of young children.  (20 U.S.C. 1435(a)(8)(A) and (B))
	6/30/2011	10. The State has policies and procedures relating to the establishment and maintenance of qualifications to ensure that personnel necessary to carry out this part are appropriately and adequately prepared and trained, including the establishment and maintenance of qualifications that are consistent with any State-approved or recognized certification, licensing, registration, or other comparable requirements that apply to the area in which such personnel are providing early intervention services, except that nothing in this part (including this paragraph) shall 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 this part to infants and toddlers with disabilities. (20 U.S.C. 1432 and 1435(a)(9))
✓		11. The State has a single line of responsibility in a lead agency designated or established by the Governor for carrying out -  (A) the general administration and supervision of programs and activities receiving assistance under 20 U.S.C. 1433, and the monitoring of programs and activities used by the State to carry out this part, whether or not such programs or activities are receiving assistance made available under 20 U.S.C. 1433, to ensure that the State complies with this part;  (B) the identification and coordination of all available resources within the State from Federal, State, local, and private sources;  (C) the assignment of financial responsibility in accordance with 20 U.S.C. 1437(a)(2) to the appropriate agencies;  (D) the development of procedures to ensure that services are provided to infants and toddlers with disabilities and their

Check and enter date(s) as applicable		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
		families under this part in a timely manner pending the resolution of any disputes among public agencies or service providers;  (E) the resolution of intra- and interagency disputes; and  (F) the entry into formal interagency agreements 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. <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i>  (20 U.S.C. 1435(a)(10)(A)-(F) and 1440)
✓		12. The State has a policy pertaining to the contracting or making of other arrangements with service providers to provide early intervention services in the State, consistent with the provisions of Part C, including the contents of the application used and the conditions of the contract or other arrangements. (20 U.S.C. 1435(a)(11))
✓		13. The State has a procedure for securing timely reimbursements of funds used under this part in accordance with 20 U.S.C. 1440(a). <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1440.</i> (20 U.S.C. 1435(a)(12) and 1440)
	6/30/2011	14. The State has procedural safeguards with respect to programs under this part, as required by 20 U.S.C. 1439. (20 U.S.C. 1435(a)(13)) <i>See Optional Technical Assistance Checklist for applicable provisions of 20 U.S.C. 1415 and 1439.</i>
	6/30/2011	15. The State has a system for compiling data requested by the Secretary under section 618 that relates to this part. (20 U.S.C. 1418, 1435(a)(14) and 1442)

Check and enter date(s) as applicable		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
	6/30/2011	16. The State has a State interagency coordinating council that meets the requirements of 20 U.S.C. 1441. (20 U.S.C. 1435(a)(15)) <i>See Optional Technical Assistance Checklist for the full provisions of 20 U.S.C. 1441.</i>
	6/30/2011	17. The State has policies and procedures to ensure that, consistent with 20 U.S.C 1436(d)(5): A) to the maximum extent appropriate, early intervention services are provided in natural environments; and B) the provision of early intervention services for any infant or toddler with a disability occurs in a setting other than a natural environment that is most appropriate, as determined by the parent and the individualized family service plan team, only when early intervention cannot be achieved satisfactorily for the infant or toddler in a natural environment. (20 U.S.C. 1435(a)(16))
✓		18. The State ensures that Federal funds made available under 20 U.S.C. 1443 will be expended in accordance with this part. (20 U.S.C. 1437(b)(1) and 1438)
✓		19. The State ensures that it has methods in place to comply with the requirements of 20 U.S.C. 1440. (20 U.S.C. 1437(b)(2)) <i>State's response should be consistent with Certification #3 below.</i>
✓		20. The State ensures that the control of funds provided under 20 U.S.C. 1443, and title to property derived from those funds, will be in a public agency for the uses and purposes provided in this part and that a public agency will administer such funds and property. (20 U.S.C. 1437(b)(3))
✓		21. The State ensures that provisions shall be made for-- (A) making such reports in such form and containing such information as the Secretary may require to carry out the Secretary's functions under this part; and (B) keeping such reports and affording such access to the reports

Check and enter date(s) as applicable		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
		as the Secretary may find necessary to ensure the correctness and verification of those reports and proper disbursement of Federal funds under this part. (20 U.S.C. 1437(b)(4))
✓		22. The State ensures that the Federal funds made available under 20 U.S.C. 1443 to the State--  (A) will not be commingled with State funds; and  (B) 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. (20 U.S.C. 1437(b)(5))
✓		23. The State ensures that fiscal control and fund accounting procedures will be adopted as may be necessary to ensure proper disbursement of, and accounting for, Federal funds paid under 20 U.S.C. 1443 to the State. (20 U.S.C. 1437(b)(6))
	6/30/2011	24. The State ensures that policies and procedures have been adopted to ensure meaningful involvement of underserved groups, including minority, low-income, homeless, and rural families and children with disabilities who are wards of the State, in the planning and implementation of all the requirements of Part C. (20 U.S.C. 1437(b)(7))
✓		25. The State assures that it shall provide other information and assurances as the Secretary may reasonably require by regulation. (20 U.S.C. 1437(b)(8).
		<b>Optional Assurance</b>
✓		<i>Enter 'NA' in the cells to the left if this assurance is not applicable.</i>  26. The State 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

<i>Check and enter date(s) as applicable</i>		<b>Assurances</b> (20 U.S.C. 1434;1435; and 1437(b))
<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>	
		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 20 U.S.C. 1435(a)(9). (20 U.S.C. 1435(b))

## E. Certifications

The State Lead Agency is providing the following certifications:

Yes	
✓	<p>1. The State certifies that ED Form 80-0013, Certification Regarding Lobbying, is on file with the Secretary of Education.</p> <p>With respect to the Certification Regarding Lobbying 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>
✓	<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>
✓	<p>3. The State certifies that the methods or arrangements to establish financial responsibility for early intervention services provided under Part C pursuant to 20 U.S.C. 1440(b) are current as of the date of this Application certification. (20 U.S.C. 1437(a)(2) and 1440). <i>See Item 9 in Section II.A above regarding including, with this Application for the Secretary's review, 'other appropriate written methods' to meet the requirements of 20 U.S.C. 1440(b). State's response under Assurance #19 above should be consistent with its response to this Certification.</i></p>

## F. Statement

I certify that the State of Washington 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 PL 108-446 and all applicable regulations in 34 CFR Part 303. The State will operate its 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 consistent with the requirements of IDEA as found in PL 108-446 and all applicable regulations, 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 IDEA, as amended, as soon as possible, and not later than June 30, 2011. (34 CFR §76.104)

I, the undersigned authorized official of the

Washington State Department of Early Learning,

(Name of State and official name of State lead agency)

am designated under Part C, by the Governor of this State, to submit this application for FFY 2010 funds under Part C of the Individuals with Disabilities Education Act (IDEA).

Printed/Typed Name and Title of Authorized Representative of the State:	
Elizabeth M. Hyde, PhD Director	
Signature: <i>Elizabeth M Hyde</i>	Date: <i>5/5/10</i>

## **G. 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 20 U.S.C. 1432(4)(B) which may include use of public and/or private insurance or family fees, such as a sliding scale. Any family fees are treated as 'program income' for purposes of 34 CFR §80.25 and are not included in the State's determination of State and local expenditures for purposes of 20 U.S.C. 1437(b)(5)(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 7 in Section II.A above.*

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

*(Note: To be completed if Lead Agency is not a State Educational Agency.)*

If the lead agency is not a State educational agency (as well as any outlying areas that have the Department of Interior as its cognizant Federal agency, even if an SEA) check the applicable status below (more than one check mark may be necessary) and enclose appropriate documentation for this Federal Fiscal Year.

The lead agency has a final restricted indirect cost rate or cost allocation plan that has been approved by the State lead agency's cognizant Federal agency and is in effect for this Federal fiscal year (FFY) (ending on June 30, 2010). (Attach a copy of the approved restricted indirect cost rate agreement or cost allocation plan.)

The lead agency has either a provisional or final restricted indirect cost rate or cost allocation plan that expires or expired on \_\_\_\_\_ and the State is in the process of negotiating a new restricted indirect cost rate agreement or cost allocation plan that will be in effect for the period \_\_\_\_\_.<sup>2</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 or cost allocation plan until a new rate or plan is 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. (Attach a copy of the previously approved restricted indirect cost rate agreement or cost allocation plan.)

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.

Other, explanation attached.

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<sup>2</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).

# I. Assurances – Non-Construction Programs

OMB Approval No. 0348-0040


## ASSURANCES — NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Secretary
APPLICANT ORGANIZATION Department of Social and Health Services	DATE SUBMITTED January 23, 1998

## J. Certification Regarding Lobbying (Updated 2005)

### CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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 of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than 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 this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT Washington State Department of Social and Health Services	PR/AWARD NUMBER AND / OR PROJECT NAME Infant Toddler Early Intervention Program
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Robin Arnold-Williams, Secretary	
SIGNATURE <i>Robin Arnold-Williams</i>	DATE <i>5/26/05</i>

ED 80-0013

06/04

## K. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements

### CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-side Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants). The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant or cooperative agreement.

#### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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 of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than 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 this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

#### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.100 --

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

#### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 7th & D Streets, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (e), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance (Street address, city, county, state, zip code)

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Check  if there are workplaces on file that are not identified here.

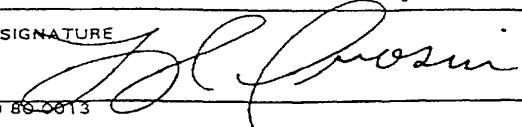
**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service; U.S. Department of Education; 7th & D Streets, S.W.; (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT Washington State Department of Social and Health Services	PR/AWARD NUMBER AND/OR PROJECT NAME Infant Toddler Early Intervention Program
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Lyle Quasim Secretary	
SIGNATURE 	DATE January 23, 1998

ED 88-0813

## **L. Steps to Ensure Equitable Access to Participation for Eligible Participants**

The Department of Early Learning (DEL) serves as the State Lead Agency for the collaborative implementation and monitoring of a comprehensive statewide system of early intervention services for children, birth to three, with disabilities and their families. The federally funded Early Support for Infants and Toddlers (ESIT) program, housed within DEL, has made significant progress toward the vision of a family-centered and community-based approach to supporting children, birth to three, and their families. This has been, and continues to be, through partnerships with other state and local agencies, Tribal Governments, families, service providers, family support networks, and the Washington State Migrant Council. This multi-agency and community-based approach builds on existing formal and informal support networks and resources, which promotes the integration of the child and family within the community.

The Washington State Interagency Coordinating Council (SICC) meets at least quarterly. All SICC meetings are open to the public. The SICC welcomes parents and members of the public to share information and concerns regarding early intervention services for infants and toddlers with disabilities and their families. Input may be provided verbally and/or in writing. Statewide recruitment is also implemented throughout the year to assure community service providers and families are invited to assist as sub-committee and ad hoc committee members. This allows for additional input and assists the members of the SICC. SICC parent members and sub-committee members are provided reimbursement for travel and childcare expenses. Interpreters for the deaf/hard of hearing or non-English speaking citizens, Braille and large print materials, and other auxiliary aids are available by request for SICC meetings. In addition, in January 1997, the SICC and ESIT began facilitating Conversations with Families on the morning of the quarterly SICC meetings, in order to give parents and families another avenue of input to the SICC. At that time, the SICC began rotating meeting sites throughout the state to facilitate parents, service providers, and community members' attendance at both meetings.

IDEA early intervention funds are made available to each geographic area of the state to expand and improve early intervention services. ESIT contracts with a local lead agency, locally designated and supported by a County Interagency Coordinating Council (CICC) within that area. The early intervention funds must be used to enhance existing services and not supplant or duplicate other local, state, or federal funds or resources. The early intervention services contractors are required to work with the SICC and CICC to make use of parental, family, and community input and ensure broad-based services and support are available within the service area. (See Appendix for CICC Statement of Work, which includes a listing of recommended membership for each Council and the Early Intervention Services Statement of Work for how services are provided and coordinated with CICC.)

ESIT activities are to be respectful and value the diversity of all families, providers, and staff. Direct services must be delivered in a family-centered fashion and provided to infants and toddlers with their family's involvement and approval in a culturally appropriate way. Tribal governments are respected as sovereign nations and encouraged to participate in IDEA early

intervention activities as such. Tribal governments were given the opportunity to apply directly with ESIT or subcontract locally with the early intervention services contractors. This arrangement needs to be coordinated locally, with technical assistance provided by ESIT and the DSHS Office of Indian Policy and Support Services. The funding for a county remains the same whether contracts occur directly with ESIT or are subcontracted through local lead agencies. All contracts are noncompetitive. (See Section IV of application regarding contracting for services.)

The Program maintains contracts for:

- County Interagency Coordinating Councils (CICCs), are required and supported in each county or group of counties, to assist in coordination of early intervention services at the community level. The councils focus on making services easier for families to access and building community capacity for early intervention services. CICCs members represent social and health departments/districts/agencies, Tribes, parents, family members, school districts, early intervention service providers, medical providers, mental health providers, higher education personnel, Washington State Migrant Council, service providers of minority and/or special populations, child care providers, and other public and private agencies. (Note: All 39 Washington State counties are included in contracts. Some counties choose to combine with another county or counties.)
- Early Intervention Services: These contracts require local contractors to develop a system in coordination with the local CICC for implement the IDEA early intervention services regulations. Each contractor must develop a plan for implementing these services and develop and implement interagency agreements in their geographic service area, which denotes the obligations of each agency/provider in the system. The early intervention services contracts require Family Resources Coordination in geographic areas throughout the state, to help connect families with appropriate services in their communities. These contracts also facilitate Family Resources Coordination by assisting a child who is eligible and his/her family to receive the rights, procedural safeguards, and services that are authorized under IDEA early intervention. Continuing efforts to include Tribes and migrant organizations are a priority in contracting for early intervention services and CICCs.

The early intervention services contractors, in collaboration with the CICCs, coordinate the development of local early intervention service delivery plans and interagency agreements annually. Local service plan requirements include:

- A description of current early intervention services including identified gaps in services;
  - A description of how services will be coordinated;
  - A description of how Family Resources (service) Coordination will occur; and
  - Documentation of the planning process and the people involved in obtaining consensus and support for the plan, lead agency, and budget.
- Parent Participation: ESIT's goal is to expand and maintain opportunities for parents to be involved in early intervention development and implementation at all levels of government. The Parent Participation Coordinator position was established in 1987 to

assist in achieving this goal. Parent Participation Coordination expands and maintains opportunities for parents to be involved in the development and implementation process at the local, state, and national level. The coordinator's responsibilities include:

- Providing information, technical assistance, and training statewide on family-centered care;
  - Assisting with recruitment and training of SICC and CICC parent representatives;
  - Providing community parent training, to increase awareness of the parent and family's role in the early intervention section of IDEA;
  - Facilitating public awareness and outreach activities; and
  - Providing input to ESIT regarding trends, perceptions, and needs of families.
- Facilitation of additional outreach activities for children and their families who are yet unidentified or unserved.
  - A central directory that uses a statewide toll free number for WithinReach Family Health Hotline to provide resources and service networks for children, both statewide and at the local level. This twenty-four hour directory assistance is available in English and Spanish, with referrals to interpreters for other languages. It connects families to local service coordination and support organizations.
  - Parent participation in statewide conferences relating to early intervention. ESIT provides funding for parent scholarships to the Infant and Early Childhood Conference and the annual Washington Association for the Education of Young Children conferences.
  - Statewide training that involves and values parent perspectives. The Western Washington University contract specifies parent consultants, to assist in IDEA early intervention training related to the delivery of services. In addition, this contractor is developing training options that include "Team Approaches to Evaluation & Assessment" and "Writing Functional IFSPs as a Team". These trainings are delivered to selected teams. Each team must include a parent from the team's local area. The parent will be provided reimbursement for travel and childcare expenses.

## M. Publications

***A Family's Guide to Early Intervention*** – A booklet developed in 1995 to provide parents and families with a more in-depth description of early intervention services and their rights under IDEA. This booklet is available in English, Spanish, Russian, Chinese, Cambodian, Vietnamese, Laotian, and Korean. PDF files can be downloaded from the ESIT website, which is: <http://www.del.wa.gov/publications/esit/Default.aspx>.

The booklets are available to parents and service providers through the local public awareness contact in each geographic service area. The majority of publications are available in English and Spanish print, with PDF downloadable versions in: Russian, Korean, Cambodian, Chinese, Laotian and Vietnamese.

***Please Ask, Babies Can't Wait*** – A generic brochure and poster campaign that allows for adaptation by individual service areas and is a vital part of IDEA Early Intervention public awareness. These materials are available in English and Spanish, and online at the ESIT website (address listed above). Local providers obtain these materials through the local public awareness contact.

***Parent Rights Brochure*** – A document developed in 1995 to provide parents with an easily understood guide to IDEA early intervention services in Washington State. Brochures are available in English, Spanish, Russian, Chinese, Cambodian, Vietnamese, and Laotian. The brochures are available to parents and service providers through the local public awareness contact and are to be handed out as a summary when Family Resources Coordinators (FRCs) and service providers verbally explain the parent's rights.

***Prescreen Chart*** – Developed in 1986, this has been a mainstay of the public awareness program; colorful and popular, the chart is a guide for child development, birth through six. It is available in English, Spanish, and Russian print version. Other languages, available in PDF format, include Cambodian, Chinese, Korean, Laotian, and Vietnamese.

**Transition A Time of Change: Growing Up: What happens as your child approaches three?** – This booklet was developed in 2001 in partnership with the State Interagency Coordinating Council Family Leadership Team. Information on the Part C transition and process out of early intervention at age three was identified as an ongoing important need for parents. This brochure outlines the Part C transition process, as children reach age three and transition into preschool special education and other community services. It is available in English and Spanish hard copy and PDF versions in Russian, Korean, Cambodian, Chinese, Laotian, and Vietnamese. The booklet is distributed to parents and service providers through the local public awareness contact.

**Building Early Intervention Partnerships with Your Child's Doctor: Tips from and for Parents** – This booklet was developed in 2002, in partnership with the State Interagency Coordinating Council Family Leadership Team, as a way of reaching out to the medical community to share the importance of early referral into early intervention. The booklet shares information and tips on how to engage their health care provider in the family's early intervention program. It is intended to assist parents in building partnerships with medical provider. The booklet shares ideas on choosing a doctor, creating a relationship, communication,

changing doctors, getting the most out of an appointment, being an advocate for early intervention and involving the doctor in the early intervention program. This document is available in English and Spanish print version, with PDFs of the other six languages.

**Infants and Toddlers Who Are Deaf or Hard of Hearing** – The brochure was developed in 2005 by the appointed Department of Social and Health Services (DSHS) Advisory Council and the Washington Early Support for Infants and Toddlers (ESIT) program. The Council, the ESIT, and DSHS worked collaboratively to ensure this brochure addresses the needs of infants and toddlers who are deaf or hard of hearing, as mandated by the legislature. The brochure is designed to be shared with the parents of a child who may have hearing loss and/or who is diagnosed with hearing loss by their child’s pediatrician or audiologist. The pamphlet contains information on the variety of early intervention services and treatments available for children who are deaf or hard of hearing, and resources for parent support, counseling, financing, and education related to hearing loss in children. This document is also available in English and Spanish print version, with PDFs in the other six languages. (See note below)

The **Mediation Brochure** explains the who, what, where, when and why process of mediation services available in the state. When parents and providers of early intervention services disagree about any matter relating to the identification, evaluation, or provision of services for an infant or toddler (birth to three) mediation is offered as an option for families under IDEA, Part C. This brochure is available in English, Spanish, and available online in PDF format for Cambodian, Chinese, Korean, Laotian, Russian, and Vietnamese.

**A Citizen's Complaint Brochure** outlines the steps to file a complaint with ESIT. Any person or organization can file a complaint, if they feel an agency or early intervention service provider is violating a requirement, policy or procedure of the state's Part C program. This brochure is printed in English, Spanish, Cambodian, Chinese, Korean, Lao, Russian, and Vietnamese.

**Internet** – During FFY 1994, ESIT went online, with all program staff having Internet email addresses. This was a natural progression to improved access to early intervention information for families and providers in Washington State. ESIT has completed a homepage that links to many of the disability resources on the World Wide Web. ESIT’s home page address is <http://www.del.wa.gov/esit>.

