

PENN DATA 2007

Part C to Part B/619

MAWA Transition Resource Guide

PennData website: penndata.hbg.psu.edu

Pennsylvania Department of Education
Bureau of Special Education

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ER = Evaluation Report

ID = Identification

IEP = Individualized Education Program

IFSP = Individualized Family Service Plan

MAWA = Mutually Agreed upon Written Arrangements (a contract signed by a local educational agency to provide preschool special education services)

Data Items for Referrals

No.	Item Name	Data Entry Codes	Explanations / Comments
1	Home District	AUN (9)	FIELD TYPE: Numeric LENGTH: Nine (9) DEFINITION: AUN of the district in which the parent or guardian resides AUTHORITY: BSE Requirement SOURCE: ER and/or IEP will indicate the Home District, cross-referenced with PDE AUN list located at http://edna.ed.state.pa.us/aun_listing.asp USE: Federal Reporting
2	Student ID Number	XXXXXXXXXX (10 or less)	FIELD TYPE: Numeric or alpha/numeric (no special characters) LENGTH: Ten (10) or less DEFINITION: A student ID consists of no more than 10 characters unique to each student with a disability and/or gifted student in the LEA. An ID must be assigned to all students AUTHORITY: BSE Requirement SOURCE: Check with School District/Intermediate Unit USE: Federal Reporting
3	EIRS ID	XXXXXXXXXXXX (12 or less)	FIELD TYPE: Numeric or alpha/numeric (no special characters) LENGTH: Twelve (12) or less DEFINITION: An EIRS ID consists of no more than 12 characters unique to each student with a disability. An ID must be assigned to all students AUTHORITY: PA Code 55, Chapter 4226.32 SOURCE: Check with County/EIRS USE: Federal Reporting
4	Last Name	XXXXXXXXXXXXXXXXXXXXX (Unl)	FIELD TYPE: Text LENGTH: Unlimited DEFINITION: Legal last name of the student. Suffixes may be included with last name, with a space after the last name and no punctuation, e.g., Smith Jr AUTHORITY: BSE Requirement SOURCE: ER and/or IEP USE: Federal Reporting

No.	Item Name	Data Entry Codes	Explanations / Comments
5	First Name	XXXXXXXXXXXXXXXXXXXXX (Unl)	FIELD TYPE: Text LENGTH: Unlimited DEFINITION: Legal first name of the student. Do not include quotes or punctuation AUTHORITY: BSE Requirement SOURCE: ER and/or IEP USE: Federal Reporting
6	Middle Initial	(Blank) No middle initial X (1)	FIELD TYPE: Text LENGTH: One (1) DEFINITION: Legal middle name of the student. Required if the student has a middle name, no punctuation AUTHORITY: BSE Requirement SOURCE: ER and/or IEP USE: Federal Reporting
7	Birth Date	MMDDYYYY (8)	FIELD TYPE: Numeric LENGTH: Eight (8) DEFINITION: Date of birth. Leading zeros must be used where applicable, e.g., 01011988 AUTHORITY: BSE Requirement SOURCE: ER and/or IEP USE: Federal Reporting
8	Date Notification 90 Day Meeting	MMDDYYYY (8) (Blank) No notification received	FIELD TYPE: Numeric LENGTH: Eight (8) DEFINITION: What was the date the MAWA received (from Part C) the referral notice of the 90-day transition meeting? Leading zeros must be used where applicable, e.g., 01011988 AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting Use any method of notification, written or otherwise. DPW requires the local county to hold a transition meeting and to coordinate the scheduling so that both the parent and the MAWA agency may attend.

No.	Item Name	Data Entry Codes	Explanations / Comments
9	Part C-Approved Invitation Format Used	01 Yes 02 No 03 No Notification (Written or Otherwise) Received	<p>FIELD TYPE: Numeric</p> <p>LENGTH: Two (2)</p> <p>DEFINITION: Was the Part C referral notice received in the form of the Part C-approved Invitation format? Yes or No. Leading zeros must be used where applicable.</p> <p>AUTHORITY: BSE Requirement</p> <p>SOURCE: MAWA</p> <p>USE: Federal Reporting</p> <p>The Part C-approved Invitation is a DPW state-promulgated format. DPW requires local counties to use the Invitation and Parent Letter formats. While local counties may add to the Invitation, no component of the state-promulgated format may be deleted. Timely issuance of the Parent Letter and Invitation formats is required as identified in the Local Interagency Agreement.</p>
10	Received IFSP	01 Yes 02 No	<p>FIELD TYPE: Numeric</p> <p>LENGTH: Two (2)</p> <p>DEFINITION: Did the MAWA receive a copy of child's IFSP for consideration prior to or at the transition meeting (on required form)? Yes or No. Leading zeros must be used where applicable.</p> <p>AUTHORITY: BSE Requirement</p> <p>SOURCE: MAWA</p> <p>USE: Federal Reporting and ICC systems issue/correction</p> <p>With parental consent, the local county is required (by 34 CFR 303.344(h) Transition from Part C services) to ensure continuity of services by providing to the MAWA agency "evaluation and assessment information required in 303.322, and copies of IFSPs that have been developed and implemented in accordance with 303.340 through 303.346". Timelines for the transmission of evaluations and IFSPs shall be detailed in the Local Interagency Agreement.</p>

No.	Item Name	Data Entry Codes	Explanations / Comments
11	Transition Meeting Date	MMDDYYYY (8) (Blank) Notice of Transition Meeting Not Received or no meeting held	FIELD TYPE: Numeric LENGTH: Eight (8) DEFINITION: Date transition meeting was held. Leading zeros must be used where applicable, e.g., 01011988 AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting If blank, the MAWA agency received no notice of the meeting or no meeting was held.
12	MAWA Attended	01 Yes 02 No	FIELD TYPE: Numeric LENGTH: Two (2) DEFINITION: Did the MAWA attend the transition meeting? Yes or No. Leading zeros must be used where applicable. AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting If Item 12 is Yes, skip Item 13
13	Reason MAWA Not Attend	01 Notice of Transition Meeting Not Received 02 Parent Withdrawal 03 Parent/Child Moved 04 Child exited 0-3 Program Prior to Transition Meeting; No Longer Eligible for Part C 05 No meeting held	FIELD TYPE: Numeric LENGTH: Two (2) DEFINITION: The MAWA did not attend the transition meeting due to one of the given options. Leading zeros must be used where applicable. AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting <u>02</u> – Parent Withdrawal: Parent withdraws from the transition process. It is DPW's expectation that the meeting would not be held if the parent or the MAWA agency could not attend. If response to Item 13 is Code 04, skip Items 14 – 20.

No.	Item Name	Data Entry Codes	Explanations / Comments
14	Date Received Parent Consent	MMDDYYYY (8)	<p>FIELD TYPE: Numeric LENGTH: Eight (8) DEFINITION: Date MAWA received consent for <i>initial</i> preschool evaluation. Leading zeros must be used where applicable, e.g., 01011988 AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting If blank, answer Item 15 then skip Items 16 – 20. If response is given to Item 14, skip Item 15.</p>
15	Reason Date Received Parent Consent is Blank	01 Parent Withdrawal 02 Parent Choice 03 Parent/Child Moved 04 Child exited 0-3 Program Prior to Transition Meeting; No Longer Eligible for Part C	<p>FIELD TYPE: Numeric LENGTH: Two (2) DEFINITION: The reason why the MAWA did not receive parental consent to evaluate. Leading zeros must be used where applicable. AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting</p>
16	Date ER Issued to Parent	MMDDYYYY (8)	<p>FIELD TYPE: Numeric LENGTH: Eight (8) DEFINITION: Date MAWA issued Evaluation Report to the parent. Leading zeros must be used where applicable, e.g., 01011988 AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting If the date in Item 16 is within 60 calendar days of Item 14, skip Item 17</p>

No.	Item Name	Data Entry Codes	Explanations / Comments
17	Reason ER Not Within 60 Calendar Days of Parent Permission	<p>01 Parent Reason 02 Part B/619 Reason</p> <p>01 — Parent Refusal — Do not use Code 01 02 — Parent Withdrawal 03 — Late Referral 04 — Agency Difficulties 05 — Parent Choice 06 — Parent/Child Unavailable 07 — Parent/Child Moved</p>	<p>FIELD TYPE: Numeric LENGTH: Two (2) DEFINITION: If the Evaluation Report was not issued within 60 calendar days of receipt of parent consent to the initial evaluation, it was due to one of the options. Leading zeros must be used where applicable. AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting Only if an ER is not issued, skip Items 18 – 20.</p> <p>01 – PARENT REASON can include, for example, (a) parent withdrawal – a parent for whom an approved Permission has been received but the parent changed their mind; (b) parent/child unavailable – an approved Permission has been received but, for example, parent/child not available for the assessment, even after having been given multiple choices for scheduling; scheduling difficulties; child ill; parent wants to delay assessment until receipt of their physician’s report or for their child to have a medical procedure</p> <p>02 – PART B/619 REASON – use this Code if the reason is not captured by the other Codes. Late referral from Part C does not affect the timely issuance of an ER since the clock begins ticking upon the MAWA’s receipt of an approved Permission. Some MAWAs have used this Code when, due to fluctuations in staffing, the MAWA was temporarily unable to obtain staff to conduct an assessment (and the MAWA can document attempts to obtain evaluation help by using school age staff, contracting with private providers, offering to pay parents to obtain evaluations, etc). The bottom line is that anything beyond the 60 days is out of compliance as related to MAWA responsibilities only</p> <p>02 — Parent Withdrawal: For example, an approved Permission has been received but the parent changed their mind</p> <p>03 — Late Referral: This Code has been deleted because a referral that is received late does not affect the 60-day time span between the issuance of the Permission and the ER. Don’t confuse Item 16 with Item 19. Item 16 is not about having an IEP developed by age 3, it’s about having an ER issued within 60 days of receipt of the Permission</p>

			<p>04—Agency Difficulties: Use this Code if the reason is not captured by the other Codes. Late referral from Part C does not affect the timely issuance of the ER since the clock begins ticking upon the MAWA’s receipt of an approved Permission. Some MAWAs have used this Code when, due to fluctuations in staffing, the MAWA was temporarily unable to obtain staff to conduct an assessment (and the MAWA can document attempts to obtain evaluation help by using school age staff, contracting with private providers, offering to pay parents to obtain evaluations, etc). The bottom line is that anything beyond the 60 days is out of compliance as related to MAWA responsibilities only</p> <p>05—Parent Choice: Parent did not consent to the initial evaluation This Code will be deleted effective July 1</p> <p>06—Parent/Child Unavailable: An approved Permission has been received but, for example, parent/Child not available for the assessment, even after having been given multiple choices for scheduling; scheduling difficulties; child ill; parent wants to delay assessment until receipt of their physician’s report or for their child to have a medical procedure</p>
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18	Eligibility	01 Yes 02 No	FIELD TYPE: Numeric LENGTH: Two (2) DEFINITION: Was child found eligible? Yes or No. If no, leave Items 19 and 20 blank. Leading zeros must be used where applicable. AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting If response to Item 18 is No, skip Items 19 and 20
19	Date IEP Developed	MMDDYYYY (8)	FIELD TYPE: Numeric LENGTH: Eight (8) DEFINITION: Date initial IEP was developed and implemented . Leading zeros must be used where applicable, e.g., 01011988 AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting Skip Item 20 if a date is given in Item 19 and if the IEP was developed by age 3.

No.	Item Name	Data Entry Codes	Explanations / Comments
20	Reason IEP Not Developed By Age 3	<p>01 Parent Reason 02 Part C Reason 03 Part B/619 Reason</p> <p>01 Parent Refusal Do not use Code 01 02 Parent Withdrawal 03 Late Referral 04 Agency Difficulties 05 Parent Choice 06 Parent Request Use Code 05 07 Parent/Child Moved</p>	<p>FIELD TYPE: Numeric LENGTH: Eight (8) DEFINITION: If the IEP was not developed by age 3, it was due to one of the options. Leading zeros must be used where applicable. AUTHORITY: BSE Requirement SOURCE: MAWA USE: Federal Reporting</p> <p>Item 19 refers to the IEP being developed, not to the IEP being implemented. Therefore, if the IEP was developed by the child's 3rd birthday (regardless of whether the EI Services page of the IEP shows service delivery to be after the date of the 3rd birthday), skip Item 19. Also, if the IEP was developed by the child's 3rd birthday but the parent had not yet signed the NOREP, skip Item 19.</p> <p>Parent/Child availability or Part C staff availability shall not impact on timely development and issuance of the IEP. The law requires the IEP be developed by age 3 [20 U.S.C. 1412(a)(9)]. There comes a point when parent availability can no longer delay timely development and issuance of the IEP by the child's 3rd birthday. Of course, the MAWA must have backed up the transition process so that the preschool agency has not created the emergency situation. And the MAWA must be able to document that multiple attempts [via phone, certified mail, in person, etc – see 34 CFR 300.345, especially 300.345(d)] have been made to schedule the IEP meeting with the parent, including an IEP meeting with the parent participating via phone conference. Clearly, the initial IEP cannot be implemented until the MAWA receives the approved NOREP from the parent but the IEP must be developed and issued by age 3. While it is the initial IEP and no one wants to exclude the parent or begin a relationship on what could be a negative note, the law requires (and OSEP expects) the IEP developed by age 3 even if the parent cannot attend.</p> <p>01 – Parent Reason – can include, for example, parent withdrawal where a parent withdrew from the process perhaps by enrolling their child in a private facility or simply choosing not to move forward with transitioning their child into the MAWA program. This Code could also include a temporary withdrawal or delay due to parent/child illness, parent incarceration where there is no other parent or guardian, parent indecision, or other parent-caused scheduling delays. If the transition meeting and exchange of child/parent information was at least 90 days before the child's 3rd birthday and if the Permission was issued timely but</p>

			<p>not returned until late or the parent delayed the assessment or evaluation process in some way, use this Code</p> <p>02 – Part C Reason – can include, for example, that Part C has referred the child less than 90 days before the child’s 3rd birthday. Note that if at least 90 days before the child’s 3rd birthday, the MAWA receives written confirmation that a child with an IFSP is transitioning (including the child’s name & DOB and the parent’s address & phone number), even if the MAWA does not receive the Part C evaluation of IFSP, the MAWA would need to conduct an evaluation and issue a timely ER</p> <p>03 – Part B/619 Reason – Use this Code if the reason is not captured by the other Codes. One reason MAWAs have given for using this Code is listed below. The bottom line is that any agency difficulty would be a noncompliance.</p> <p>a) MAWA staff absences or inclement weather caused the need to reschedule the IEP meeting – One question for the MAWA to ask is: Did the MAWA begin the process early enough to avoid a last minute crunch?</p> <p>02 – Parent Withdrawal: Parent withdrew from the process perhaps by enrolling their child in a private facility or simply choosing not to move forward with transitioning their child into the MAWA program. This Code could also include a temporary withdrawal or delay due to parent/child illness, parent incarceration and there is no other parent or guardian, parent indecision, or other parent-caused scheduling delays. If the transition meeting and exchange of child/parent information was at least 90 days before the child’s 3rd birthday and if the Permission was issued timely but not returned until late or the parent delayed the assessment or evaluation process in some way, use this Code</p> <p>03 – Late Referral: This Code means that Part C has referred the child less than 90 days before the child’s 3rd birthday. Note that if at least 90 days before the child’s 3rd birthday, the MAWA receives written confirmation that a child with an IFSP is transitioning (including the child’s name & DOB and the parent’s address & phone number), even if the MAWA does not receive the Part C evaluation or IFSP, the MAWA would need to conduct an evaluation and issue a timely ER</p> <p>04 – Agency Difficulties: Use this Code if the reason is not captured by the other Codes. One reason MAWAs have given for using this Code is listed below. The bottom line is that any agency difficulty would be a</p>
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			<p>noncompliance.</p> <p>(a) MAWA staff absences or inclement weather caused the need to reschedule the IEP meeting—One question for the MAWA to ask is: Did the MAWA begin the process early enough to avoid a last minute crunch?</p> <p>Develop your Local Interagency Agreement (LIA) so that each step of the collaborative transition process is spelled out including who would be responsible and the timeline for each step. The LIA should also include local dispute resolution so that if one or more steps in the process were not occurring (such as Part C providing timely notice of the children who will be transitioning or providing the child’s evaluation and IFSP material or not holding a transition meeting or a MAWA not attending the transition meeting), the method of resolving the dispute would be clearly spelled out. [With parental consent, the local county is required, by 34 CFR 303.344(h), to ensure continuity of services by providing to the MAWA agency “evaluation and assessment information required in 303.322, and copies of IFSPs that have been developed and implemented in accordance with 303.340 through 303.346”. Furthermore, DPW requires counties to use the DPW-issued Invitation and Parent Letters regarding the transition meeting. While local counties may add to the Invitation, no component of the state-promulgated formats may be deleted.</p>
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Timeline

Student Data	Last Date to Submit Test Data to PSU via Export File	Last Date to Submit Data to PSU via Export File	File Name
Export file of Transition Database – this will include all 20 data items. Data for July 1, 2007 – September 30, 2007	10/18/2007	11/01/2007	IU**_Transition_MM-DD-YYYYY.txt where ‘**’ is equal to the IU number and MM-DD-YYYYY is equal to the month-day-year in the MMDDYYYY format (i.e., 12-05-2008)
Export file of Transition Database – this will include all 20 data items. Data for July 1, 2007 – December 31, 2007	01/18/2008	02/01/2008	IU**_Transition_MM-DD-YYYYY.txt where ‘**’ is equal to the IU number and MM-DD-YYYYY is equal to the month-day-year in the MMDDYYYY format (i.e., 12-05-2008)
Export file of Transition Database – this will include all 20 data items. Data for July 1, 2007 – March 31, 2008	04/18/2008	05/01/2008	IU**_Transition_MM-DD-YYYYY.txt where ‘**’ is equal to the IU number and MM-DD-YYYYY is equal to the month-day-year in the MMDDYYYY format (i.e., 12-05-2008)
Export file of Transition Database – this will include all 20 data items. Data for July 1, 2007 – June 30, 2008	07/18/2008	08/01/2008	IU**_Transition_MM-DD-YYYYY.txt where ‘**’ is equal to the IU number and MM-DD-YYYYY is equal to the month-day-year in the MMDDYYYY format (i.e., 12-05-2008)

Notes: Files can be sent to PSU in the form of Export files. The file layout will follow the Export Specifications.
Files can also be sent using the Excel template. Contact PennData for an electronic copy of the template.

Export Specifications

Introduction

The Bureau of Special Education Transition Data Collection and Reporting System, managed by the Pennsylvania State Data Center, Penn State Harrisburg, collects student data for students transitioning from DPW. Pennsylvania Intermediate Units supply the individual data specified in this Resource Guide. Export Specifications details the format of the data export files for submission to Penn State.

Corrections and updates of data during reporting phase

PSU will notify any IU of data that needs to be corrected. Error reports will be sent to the IU for corrections to be made. If after submission of data to the PSU and before the deadline for submitting data, an IU may submit a corrected or updated version of their database.

Confidentiality

The PSU team assures that the information received from the IU will be kept confidential.

Intermediate Units data responsibilities

The IU will be responsible for the accuracy of the data that is sent to PSU.

Edit Checks IUs must perform prior to submission

- The file must only have **20 data fields** or items for each record.
- Only **19 commas** per record.
- No extra spaces at the end of each line.
- No quotation marks or special characters are allowed.
- Middle initial must be 1 character only - error example "M." or Thomas."
- Parentheses are not allowed - error example "Smith (Jones)" in last name field.
- Jr., III in name field are allowed with a space after the last name and no punctuation. Example – "Smith Jr"
- Nicknames with quotation marks are not allowed in field with other first name – error example Thomas "TJ".
- Format the date fields as MMDDYYYY, for example – 02011990
- Include leading zeroes for all fields that require leading zeroes.
- Home District of any student must fall within the boundaries of the MAWA reporting the student
- Student Age must be between age 2 and age 3

Export Specifications - Details

The specifications include information for submission of the individual records that need to be submitted to PSU by the IU's.

Note: the Files can also be sent using the Excel template. Contact PennData for an electronic copy of the template.

The export files are to be sent to Pennsylvania State Data Center. They may be sent either via email to **penndata@psu.edu** or mailed to:

Penn Data
Pennsylvania State Data Center
Penn State Harrisburg
777 West Harrisburg Pike
Middletown, PA 17057

General Formatting Information for export file

- All data export files must be in standard ASCII comma-separated variable (CSV) format, sometimes called “comma delimited text.”
- The data files shall consist of rows of integer data separated by commas.
- There must be no blank rows in the file; each line of the file will be treated as a row of data.
- For each blank data value make sure there is a comma to indicate a move to the next data value.
- There must be a total of **19 commas** for each row of data.
- Each line must be terminated by a carriage return and line feed combination.
- Files shall be named as indicated in this document, and must be in a MS-DOS compatible file format.

A sample of the data format is shown below:

117080503,669444,391-136332,Brown,Diana,,08162002,04172005,01,01,04192005,01,05022005,01,09222005,04,01,09222005,04

This file will contain a row of data for each student. The row contains **20** values, each separated by a comma (for a total of **19** commas per row). If there is not a value, a comma will indicate a value of ‘blank’.

Transmission of Files

IU's must submit the files using one of the following:.

1. Electronic Mail

IU's may email the files to the system administrator (**penndata@psu.edu**). The files must be sent to this address as electronic attachments to the email message, not in the body of the message. The files must be encoded using Internet standard MIME format (not Bin Hex or UUEncoded). Files should be named according to the format indicated in this document and zipped into a single file with the naming convention **IU**_Transition_MM-DD-YYYYY.txt** where '**' is equal to the IU number and MM-DD-YYYYY is equal to the month-day-year in the MMDDYYYY format (i.e., 12-05-2005). Files that are not formatted in accordance with this specification will be returned to the sender for correction. The sender must include their name, address, telephone number, email address and **number of records sent** with all correspondence.

2. Floppy Disk or CD-Rom

IU's may place the files on a floppy disk or CD-Rom and mail the disk to the system administrator (at the address listed above). The disk formatting must be MS-DOS compatible (if using a Macintosh, please write the files to a floppy disk using hardware/software that creates an MS-DOS compatible disk). Files should be named according to the format indicated in this document. The Intermediate Unit must mail the disk at a minimum of 5 days prior to the due date of the file.

Student Database

The student database contains one record for each student transitioned or referred. Each record will include exactly **20** data items with each data item separated by a comma (total **19** commas per line).

The PSU encourages IU's to send test files up to 15 days prior to the actual final submission of the quarterly data to help alleviate errors in the final submission.

File Name: **IU**_Transition_MM-DD-YYYYY.txt** where '**' is equal to the IU number and MM-DD-YYYYY is equal to the month-day-year in the MM-DD-YYYY format (i.e., 12-05-2008)

Report: Transition data used to create federal reports, and ad-hoc reports

Number of Rows: Equal to the number of students in the database

Number of Values per Row:20

Details:

File shall consist of rows (the number of rows must equal the number of students in the database) with each row containing **20** data values. A comma must separate each data value; therefore each row must contain **19** commas.

Row(s) = Number of Students

Value 1 – Home District

Value 2 – Student ID Number

Value 3 – EIRS ID

Value 4 – Last Name

Value 5 – First Name

Value 6 – Middle Initial

Value 7 – Birth Date

Value 8 – Date Notification 90 Day Meeting

Value 9 - Part C-Approved Invitation Format Used

Value 10 – Received ISFP

Value 11 – Transition Meeting Date

Value 12 – MAWA Attended

Value 13 – Reason MAWA Not Attend

Value 14 – Date Received Parent Consent

Value 15 – Reason Item 13 is Blank

Value 16 – Date ER Issued to Parent

Value 17 – Reason ER Not By Age 3

Value 18 – Eligibility

Value 19 – Date IEP Developed

Value 20 – Reason IEP Not Developed By Age 3