

2020 PART C FFY 2018 SPP/APR INDICATOR ANALYSIS BOOKLET

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INDICATOR C1: TIMELY RECEIPT OF SERVICES

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C1: Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.

INTRODUCTION

Indicator 1 reports the percentage of children with IFSPs who receive early intervention services on their IFSPs in a timely manner. The indicator refers to the percentage of children for whom *all services* are timely, not the percentage of services that are timely; if one or more of the services for a child are not delivered within the defined timeline, then the child would not be counted in the percentage of children receiving timely services. Each state defines what constitutes timely services. Indicator 1 is a compliance indicator with a target of 100%.

The analysis of Part C Indicator 1 is based on data from FFY 2018 Annual Performance Reports (APRs) for 55 states. The Office of Special Education Programs (OSEP) determined that one state did not have valid and reliable data for FFY 2018 for this indicator. For the purpose of this report, the term “state” is used for both states and jurisdictions.

DATA SOURCES

States use a variety of data sources in reporting data for this indicator, including state data systems and data from monitoring processes.

METHODOLOGY & MEASUREMENT APPROACHES

Defining Timely Services

States are required to provide the criteria used to determine which infants and toddlers received IFSP services in a timely manner. The data are based on the actual number of days between parental consent or the date specified on the IFSP for the initiation of services and the provision of services. The number of days states use to define timely services varies across states. States are allowed to count delays due to family circumstances as timely, although not all states collect and report delays attributable to family circumstances. The indicator includes services on the initial IFSP as well as new services for subsequent IFSPs.

PERFORMANCE TRENDS

Figure 1 illustrates data for the current year (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Indicator 1. The number of states represented within each ten-percentage point range are shown in the figure. Table 1 provides the detailed data reflected in the figure. Table 2 provides the summary data for Indicator 1, including the national mean, range, and number of states included.

Figure 1

Trends - Six Years of Indicator C1 Data
Percent Receiving Timely Services

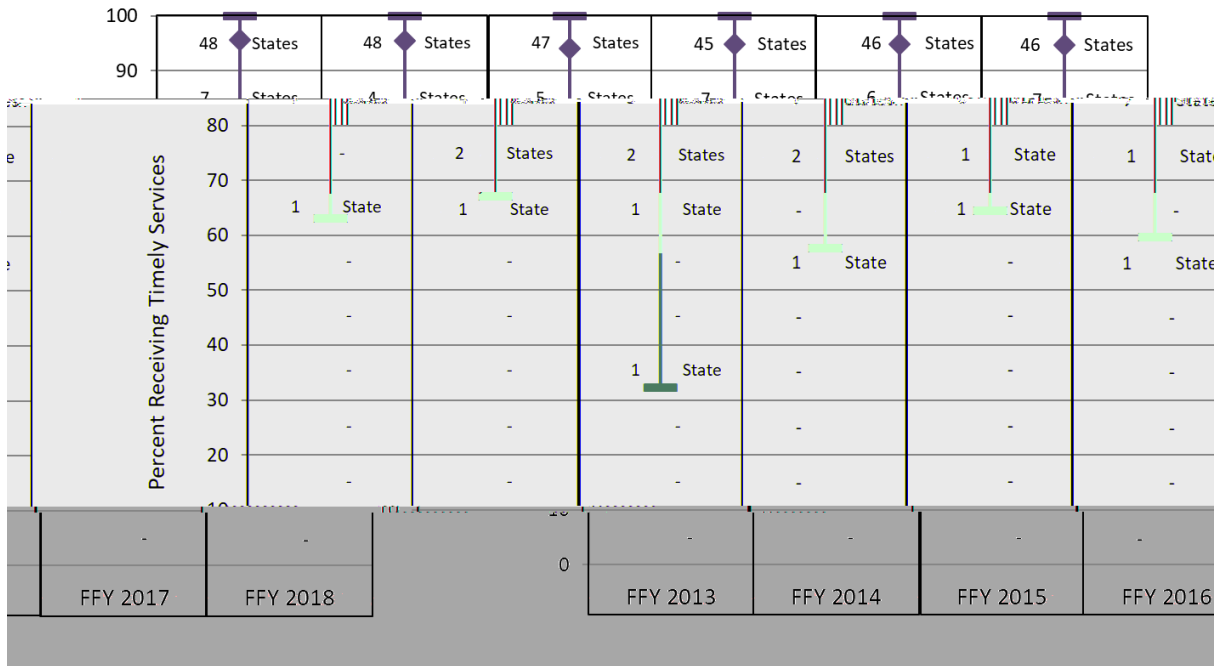


Table 1: Indicator C1 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Receiving Timely Services	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	48	48	47	45	46	46
80% to <90%	7	4	5	7	6	7
70% to <80%	0	2	2	2	1	1
60% to <70%	1	1	1	0	1	0
50% to <60%	0	0	0	1	0	1
40% to <50%	0	0	0	0	0	0
30% to <40%	0	0	1	0	0	0
0% to <30%	0	0	0	0	0	0

Table 2: Indicator C1 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	96	95	94	95	95	95
Highest (%)	100	100	100	100	100	100
Lowest (%)	63	67	32	58	65	60
No Data (n)	0	1	0	1	2	1

INDICATOR C2: SETTINGS

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C2: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in community-based or home settings.

INTRODUCTION

Indicator 2 reports the extent to which early intervention services are provided in natural environments. “Natural environments” are settings that are either home-based or community based. Settings that are not considered natural environments include hospitals, residential schools, and separate programs for children with delays or developmental disabilities. The analysis of Part C Indicator 2 is based on data from FFY 2017 APRs for 56 states. For the purposes of this report, the term “state” is used for both states and jurisdictions.

DATA SOURCES

The data for this indicator are from the 618 IDEA Part C Child Count and Settings 2018-2019 data collection. States report the primary setting of each child’s services for all children enrolled in Part C on a state-designated date between October 1 and December 1, 2018. “Primary setting” is the service setting in which the child receives the largest number of hours of Part C early intervention services. Determination of primary setting is based on the information included on the IFSP in place on the state’s child count date.

PERFORMANCE TRENDS

Figure 1 illustrates data for the current year (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Indicator 2. The number of states represented within each ten-percentage point range are shown in the figure. Table 1 provides the detailed data reflected in the figure. Table 2 provides the summary data for Indicator 2, including the national mean, range, and number of states included.

Figure 1

Trends - Six Years of Indicator C2 Data
Percent receiving services in home and community settings

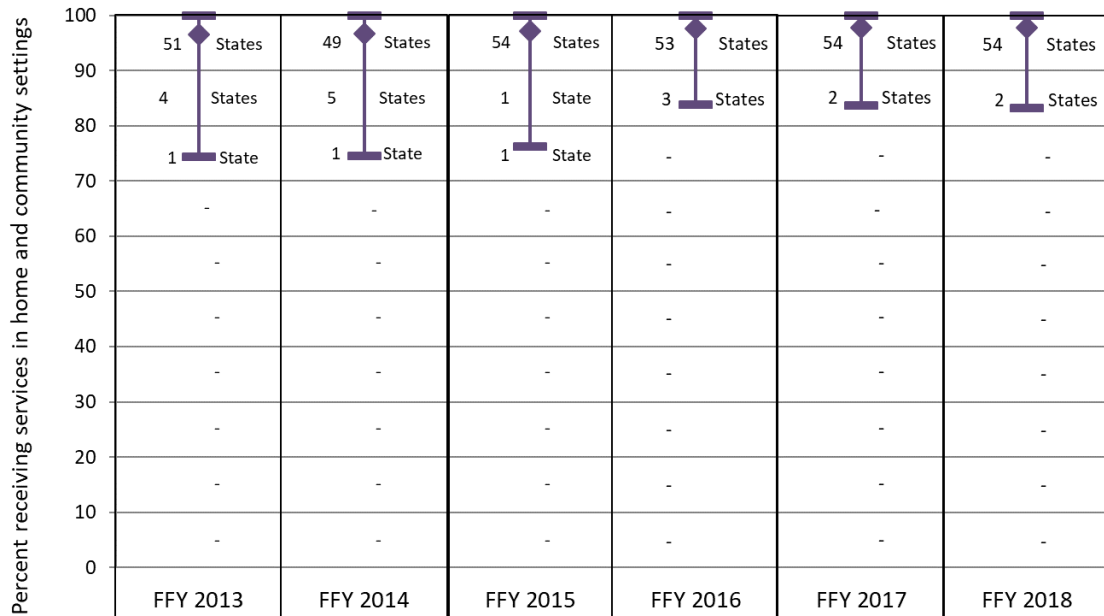


Table 1: Indicator C2 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent in Home and Community Settings	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	51	49	54	53	54	54
80% to <90%	4	5	1	3	2	2
70% to <80%	1	1	1	0	0	0
0% to <70%	0	0	0	0	0	0

Table 2: Indicator C2 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	97	97	97	98	98	98
Highest (%)	100	100	100	100	100	100
Lowest (%)	74	74	76	84	84	83
No Data (n)	0	1	0	0	0	0

INDICATOR C3: INFANT & TODDLER OUTCOMES

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C3: Percent of infants and toddlers with IFSPs who demonstrate improved:

- A. Positive social-emotional skills (including social relationships);
- B. Acquisition and use of knowledge and skills (including early language/communication); and
- C. Use of appropriate behaviors to meet their needs.

INTRODUCTION

Indicator 3 reports the percentage of infants and toddlers with IFSPs who demonstrate improved outcomes during their time in Part C. It was determined by the Office of Special Education Programs (OSEP) that one state's data was not valid and reliable for this indicator. Therefore, this summary is based on information reported by 55 states and jurisdictions in their FFY 2018 Annual Performance Reports (APRs). All states (n=56) are included in the table of measurement approaches. For the purposes of this report, the term "state" is used for both states and jurisdictions. States report data on two summary statements for each of the three outcome areas. The summary statements are calculated based on the number of children in each of five progress categories. The five progress categories are:

- a) Children who did not improve functioning.
- b) Children who improved functioning but not sufficient to move nearer to functioning comparable to same aged peers.
- c) Children who improved functioning to a level nearer to same aged peers but did not reach it.
- d) Children who improved functioning to reach a level comparable to same aged peers.
- e) Children who maintained functioning at a level comparable to same aged peers.

The child outcomes summary statements are:

- Summary Statement 1: Of those children who entered the program below age expectations in each outcome, the percent who substantially increased their rate of growth by the time they turned three years of age or exited the program (progress categories $c+d/a+b+c+d$).
- Summary Statement 2: The percent of children who were functioning within age expectations in each outcome by the time they turned three years of age or exited the program (progress categories $d+e/a+b+c+d+e$).

DATA SOURCES & MEASUREMENT APPROACHES

States continue to use a variety of approaches for measuring child outcomes, as shown in Table 1. Most states use the Child Outcomes Summary (COS) process. The COS

process is a team process for summarizing information from multiple sources about a child's functioning in each of the three outcome areas.

Table 1: Child Outcomes Measurement Approaches

Approach	Count	Percent
COS process	40	71.4%
One tool statewide	8	14.3%
Publisher online system	4	7.1%
Other	4	7.1%
TOTAL	56	100%

PERFORMANCE TRENDS

Figures 1 and 2 illustrate current data (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Summary Statements 1 and 2 for Outcome A (positive social emotional skills). Tables 2 through 5 provide the detailed data and summary data associated with Outcome A.

Figures 3 and 4 illustrate current data (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Summary Statements 1 and 2 for Outcome B (knowledge and skills). Tables 6 through 9 provide the detailed data and summary data associated with Outcome B.

Figures 5 and 6 illustrate current data (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Summary Statements 1 and 2 for Outcome C (appropriate behaviors to meet needs). Tables 10 through 13 provide the detailed data and summary data associated with Outcome C.

Figure 1

Trends - Six Years of Indicator C3A Data
Positive Social-Emotional Skills- Summary Statement 1

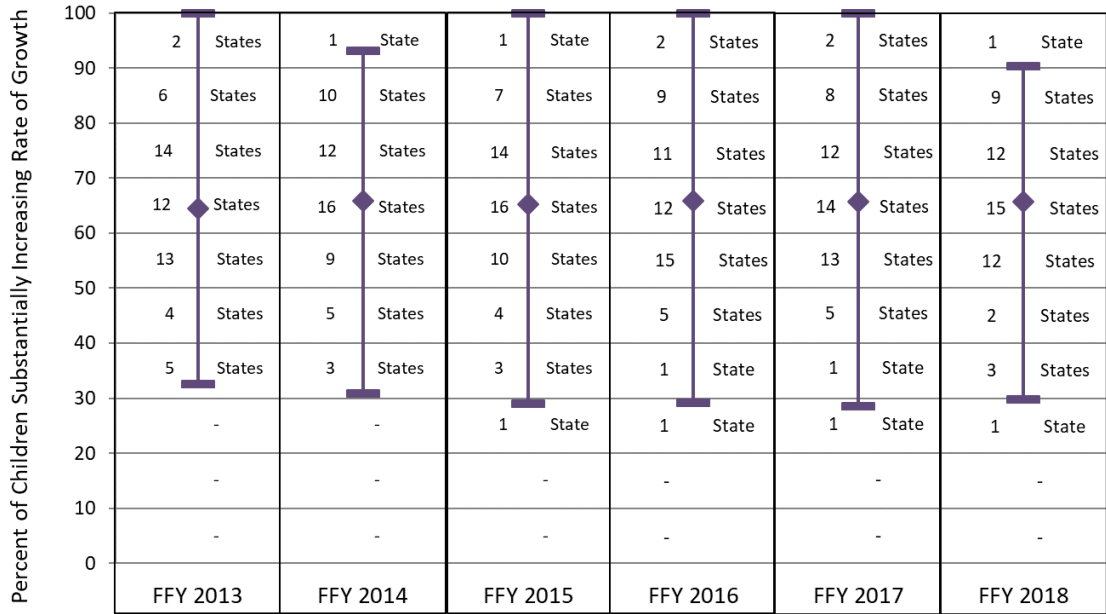


Table 2: Indicator C3 Outcome A (Positive Social-Emotional Skills)
Summary Statement 1 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Increased Rate of Growth; Outcome A	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	2	1	1	2	2	1
80% to <90%	6	10	7	9	8	9
70% to <80%	14	12	14	11	12	12
60% to <70%	12	16	16	12	14	15
50% to <60%	13	9	10	15	13	12
40% to <50%	4	5	4	5	5	2
30% to <40%	5	3	3	1	1	3
20% to <30%	0	0	1	1	1	1
10% to <20%	0	0	0	0	0	0
0% to <10%	0	0	0	0	0	0

Table 3: Indicator C3 Outcome A (Positive Social-Emotional Skills)
Summary Statement 1 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	65	66	65	66	66	66
Highest (%)	100	93	100	100	100	90
Lowest (%)	33	31	29	29	29	30
No Data (n)	0	0	0	0	0	1

Figure 2

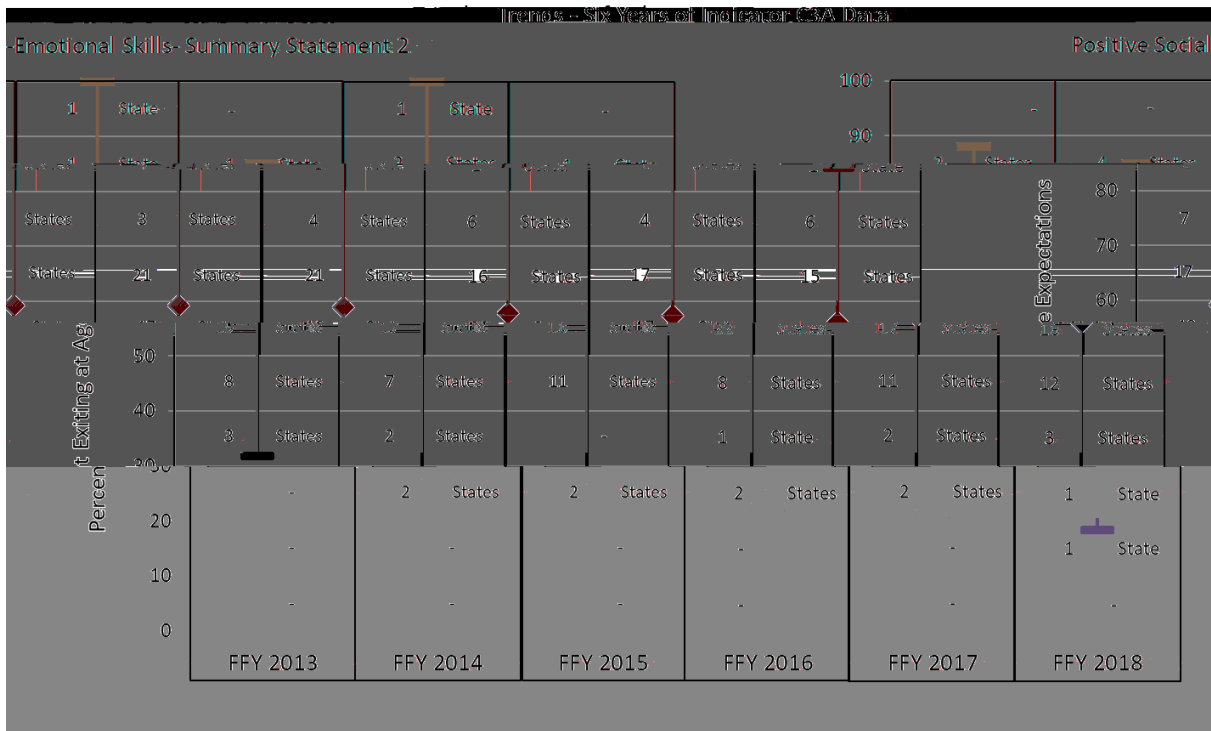


Table 4: Indicator C3 Outcome A (Positive Social-Emotional Skills)
Summary Statement 2 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Exited at Age Expectations: Outcome A	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	0	0	1	0	1	0

Percent Exited at Age Expectations: Outcome A	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
80% to <90%	2	4	1	1	2	1
70% to <80%	7	3	4	6	4	6
60% to <70%	17	21	21	16	17	15
50% to <60%	19	17	16	22	17	16
40% to <50%	8	7	11	8	11	12
30% to <40%	3	2	0	1	2	3
20% to <30%	0	2	2	2	2	1
10% to <20%	0	0	0	0	0	1
0% to <10%	0	0	0	0	0	0

Table 5: Indicator C3 Outcome A (Positive Social-Emotional Skills)
Summary Statement 2 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	59	59	59	58	57	56
Highest (%)	88	85	100	85	100	84
Lowest (%)	32	27	26	23	21	18
No Data (n)	0	0	0	0	0	1

Figure 3

Trends - Six Years of Indicator C3B Data
Acquisition and Use of Knowledge and Skills- Summary Statement 1

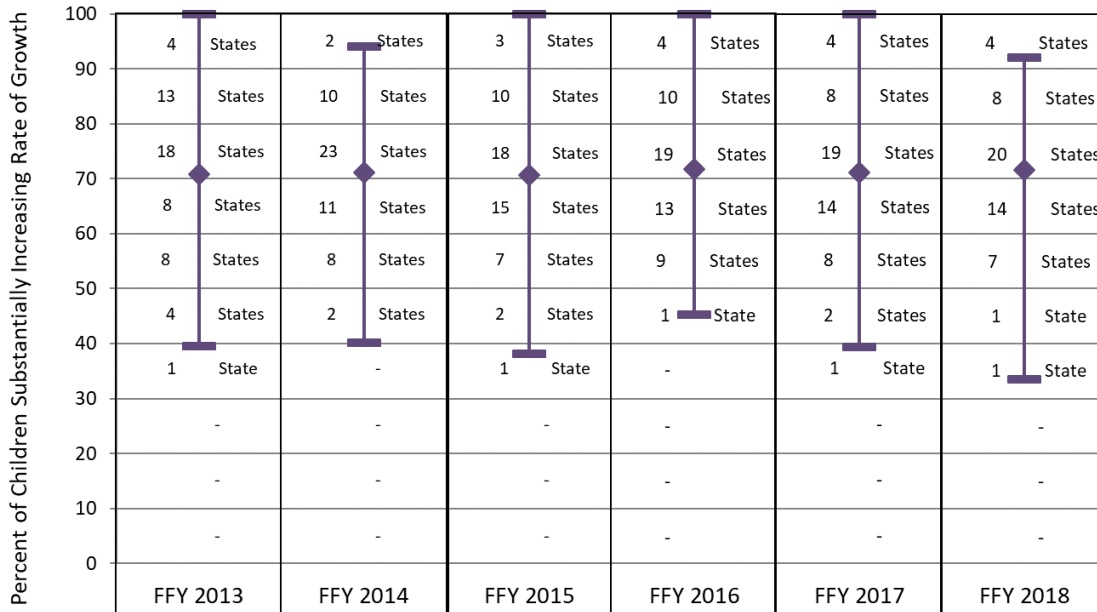


Table 6: Indicator C3 Outcome B (Knowledge and Skills)
Summary Statement 1 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Increased Rate of Growth; Outcome B	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	4	2	3	4	4	4
80% to <90%	13	10	10	10	8	8
70% to <80%	18	23	18	19	19	20
60% to <70%	8	11	15	13	14	14
50% to <60%	8	8	7	9	8	7
40% to <50%	4	2	2	1	2	1
30% to <40%	1	0	1	0	1	1
20% to <30%	0	0	0	0	0	0
10% to <20%	0	0	0	0	0	0

Percent Increased Rate of Growth; Outcome B	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
0% to <10%	0	0	0	0	0	0

Table 7: Indicator C3 Outcome B (Knowledge and Skills)
Summary Statement 1 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	71	71	71	72	71	72
Highest (%)	100	94	100	100	100	92
Lowest (%)	40	40	38	45	39	34
No Data (n)	0	0	0	0	0	1

Figure 4

Trends - Six Years of Indicator C3B Data
Acquisition and Use of Knowledge and Skills- Summary Statement 2

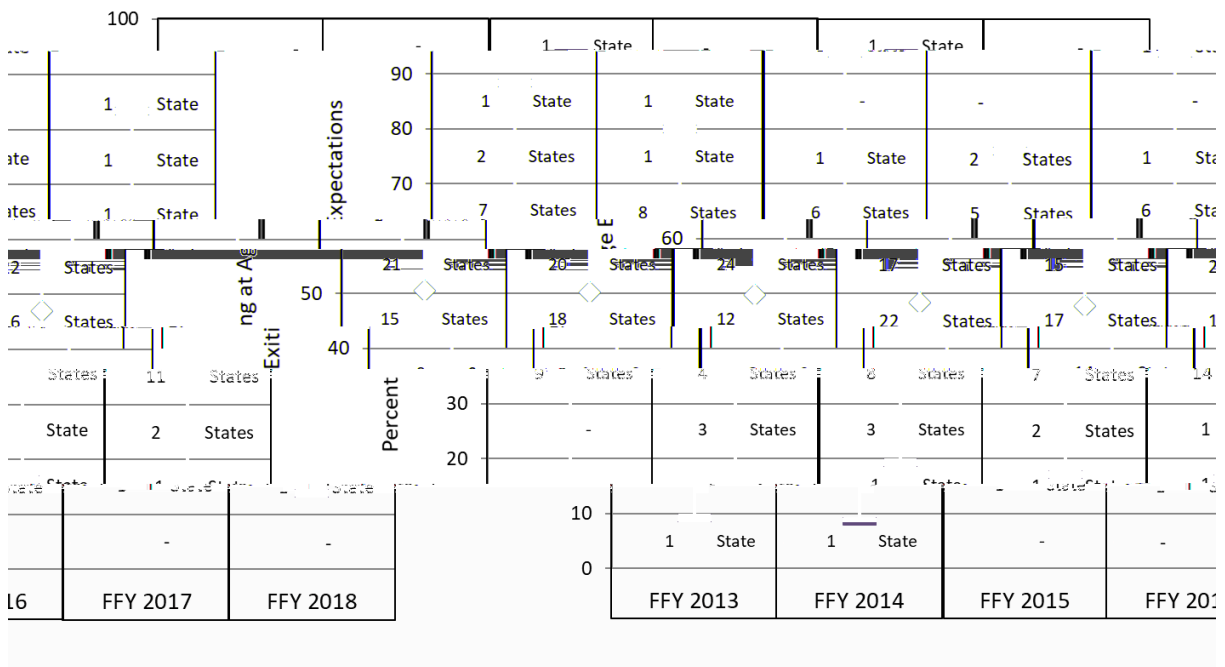


Table 8: Indicator C3 Outcome B (Knowledge and Skills)
Summary Statement 2 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Exited at Age Expectations: Outcome B	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	0	0	1	0	1	0
80% to <90%	1	1	0	0	0	1
70% to <80%	2	1	1	2	1	1
60% to <70%	7	8	6	5	6	1
50% to <60%	21	20	24	17	15	22
40% to <50%	15	18	12	22	17	16
30% to <40%	9	4	8	7	14	11
20% to <30%	0	3	3	2	1	2
10% to <20%	0	0	1	1	1	1
0% to <10%	1	1	0	0	0	0

Table 9: Indicator C3 Outcome B (Knowledge and Skills)
Summary Statement 2 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	51	50	50	48	48	47
Highest (%)	88	80	94	76	94	83
Lowest (%)	9	9	19	17	16	14
No Data (n)	0	0	0	0	0	1

Figure 5

Trends - Six Years of Indicator C3C Data
Use of Appropriate Behaviors to Meet Needs- Summary Statement 1

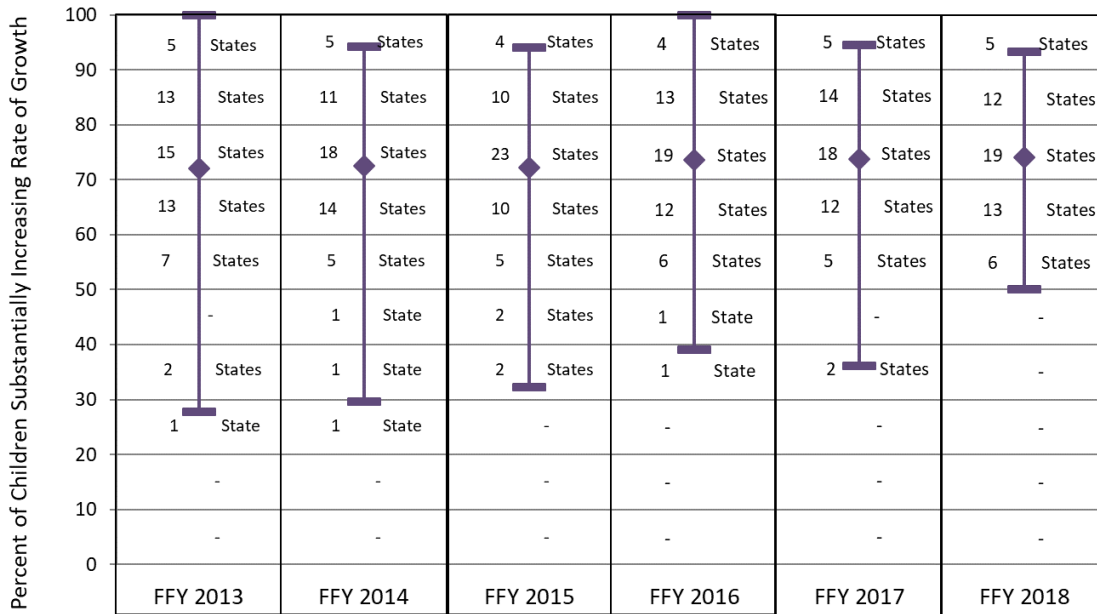


Table 10: Indicator C3 Outcome C (Use of Appropriate Behaviors to Meet Needs)
Summary Statement 1 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Increased Rate of Growth; Outcome C	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	5	5	4	4	5	5
80% to <90%	13	11	10	13	14	12
70% to <80%	15	18	23	19	18	19
60% to <70%	13	14	10	12	12	13
50% to <60%	7	5	5	6	5	6
40% to <50%	0	1	2	1	0	0
30% to <40%	2	1	2	1	2	0
20% to <30%	1	1	0	0	0	0
10% to <20%	0	0	0	0	0	0
0% to <10%	0	0	0	0	0	0

Table 11: Indicator C3 Outcome C (Use of Appropriate Behaviors to Meet Needs)
Summary Statement 1 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	72	73	72	74	74	74
Highest (%)	100	94	94	100	95	93
Lowest (%)	28	30	32	39	36	50
No Data (n)	0	0	0	0	0	1

Figure 6

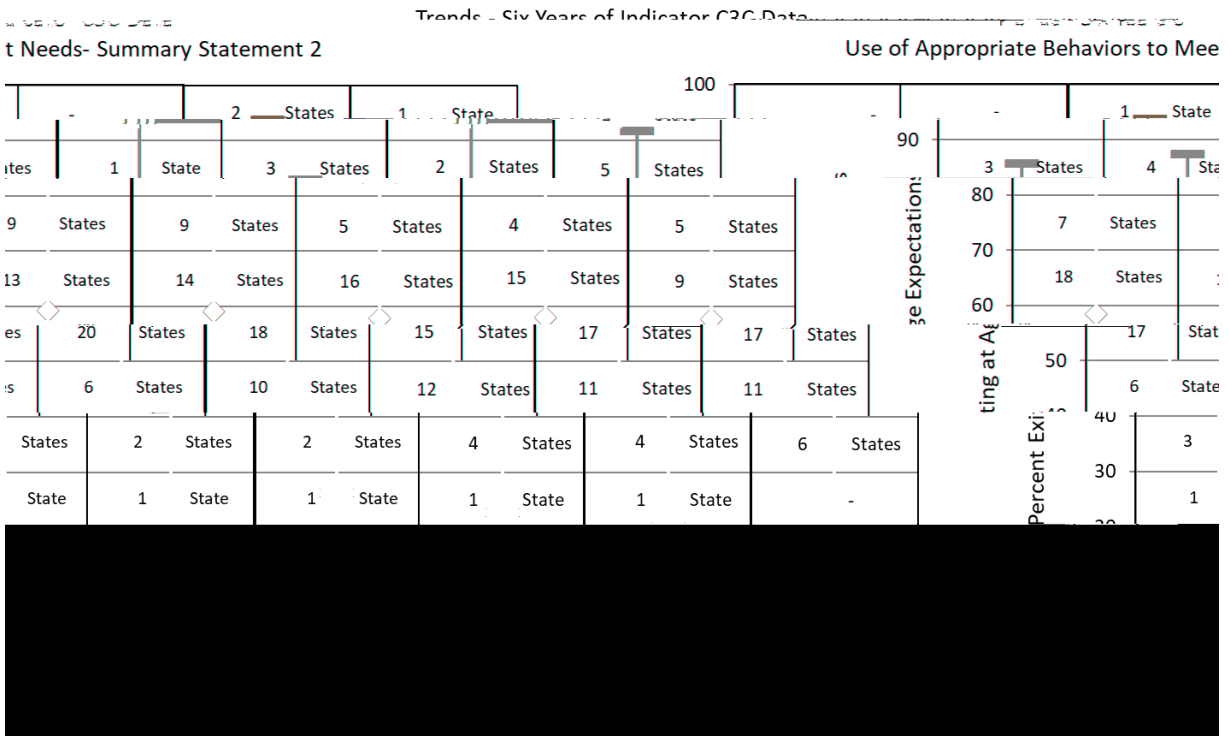


Table 12: Indicator C3 Outcome C (Use of Appropriate Behaviors to Meet Needs)
Summary Statement 2 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Exited at Age Expectations: Outcome C	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	0	0	1	0	2	1

Percent Exited at Age Expectations: Outcome C	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
80% to <90%	3	4	1	3	2	5
70% to <80%	7	9	9	5	4	5
60% to <70%	18	13	14	16	15	9
50% to <60%	17	20	18	15	17	17
40% to <50%	6	6	10	12	11	11
30% to <40%	3	2	2	4	4	6
20% to <30%	1	1	1	1	1	0
10% to <20%	1	1	0	0	0	1
0% to <10%	0	0	0	0	0	0

Table 13: Indicator C3 Outcome C (Use of Appropriate Behaviors to Meet Needs)
Summary Statement 2 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	58	59	59	58	58	58
Highest (%)	86	87	94	83	94	92
Lowest (%)	15	13	26	23	20	17
No Data (n)	0	0	0	0	0	1

INDICATOR C4: FAMILY OUTCOMES

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C4: Percent of families participating in Part C who report that early intervention services have helped the family:

- (A) Know their rights
- (B) Effectively communicate their children's needs
- (C) Help their children develop and learn

INTRODUCTION

Indicator 4 reports the percentage of families participating in Part C who report that early intervention services have helped them in three areas: knowing their rights, effectively communicating their children's needs, and helping their children develop and learn. States and jurisdictions are referred to as "states" for the remainder of this summary. Analysis of Indicator 4 for FFY 2018 is based on APR data from 56 states.

DATA SOURCES AND MEASUREMENT APPROACHES

All states use surveys to collect data for this indicator. States vary in the survey tools used (e.g. ECO Family Outcomes Surveys, NCSEAM survey, or state-developed surveys). Some states tailor their survey by removing questions not required for APR reporting, adding survey questions specific to their state, and/or making wording, formatting, or other changes. States vary in the survey methodologies used to collect data for this indicator, including dissemination and return methods, timing of survey administration, and subgroups of families included. Scoring metrics and indicator thresholds vary among states as well.

PERFORMANCE TRENDS

Figures 1, 2, and 3 illustrate current data (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Indicators 4A, 4B, and 4C, respectively. The number of states represented within each ten-percentage point range are shown in the figures. Tables 1 and 2 provide the detailed data and summary data associated with Indicator 4A; Tables 3 and 4 provide the detailed and summary data associated with Indicator 4B; and Tables 5 and 6 provide the detailed and summary data associated with Indicator 4C.

Figure 1

Trends - Six Years of Indicator C4A Data
Early Intervention Helped the Family Know their Rights

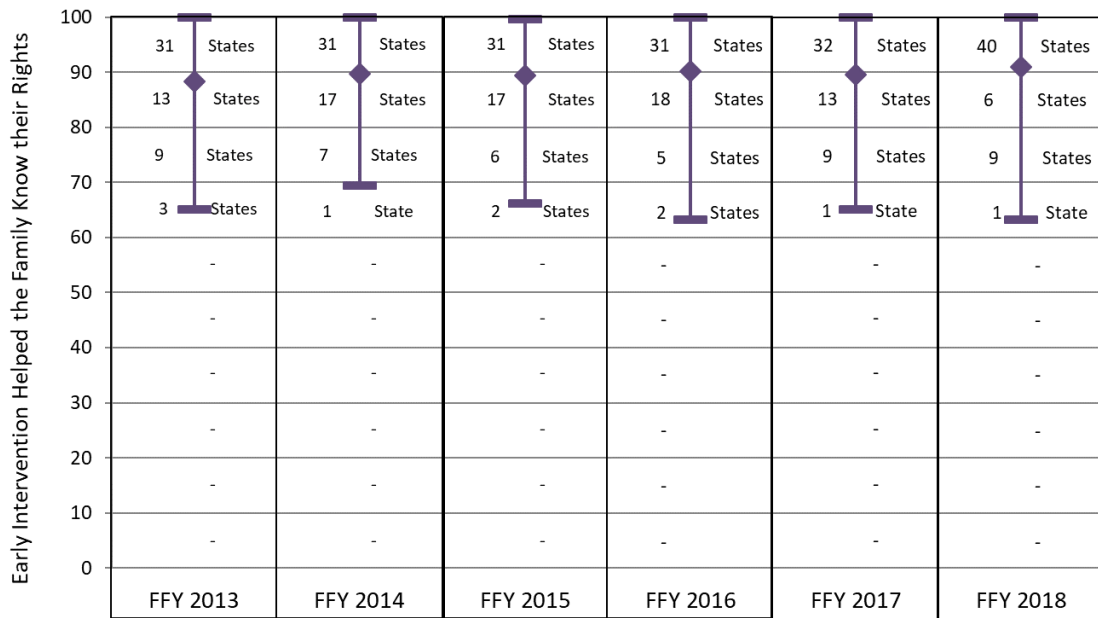


Table 1: Indicator 4A Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

EI Helped the Family Know their Rights	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	31	31	31	31	32	40
80% to <90%	13	17	17	18	13	6
70% to <80%	9	7	6	5	9	9
60% to <70%	3	1	2	2	1	1
0% to <60%	0	0	0	0	0	0

Table 2: Indicator 4A Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	88	90	89	90	90	91
Highest (%)	100	100	100	100	100	100
Lowest (%)	65	69	66	63	65	63

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
No Data (n)	0	0	0	0	1	0

Figure 2

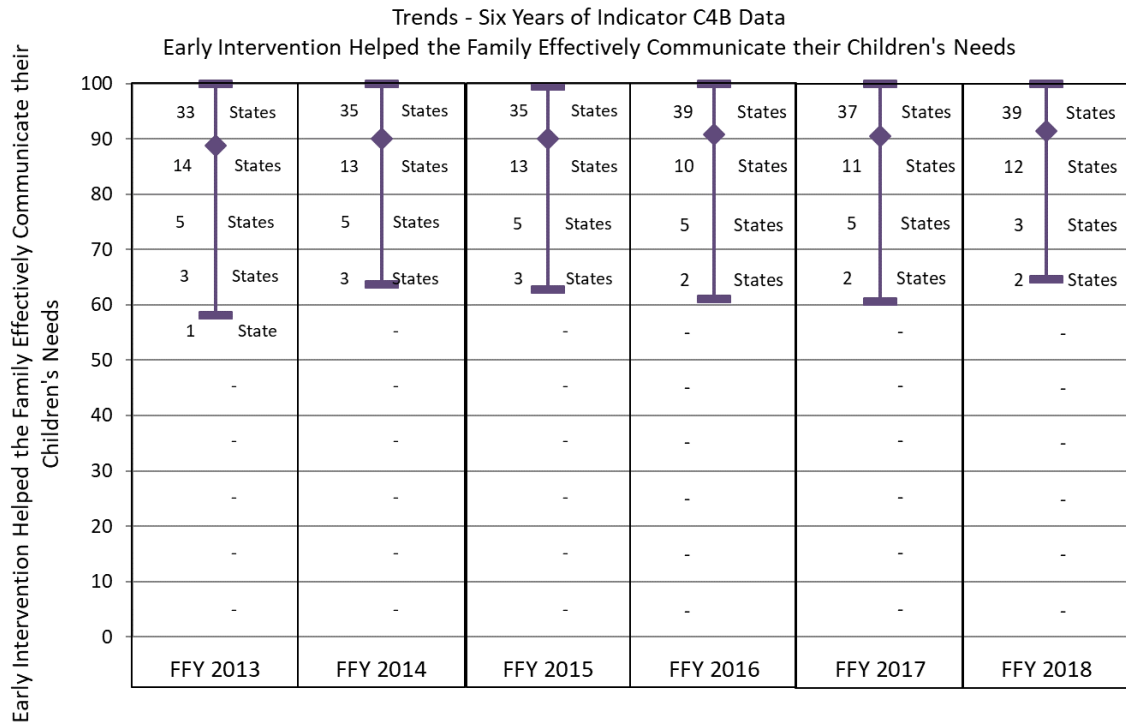


Table 3: Indicator 4B Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

EI Helped the Family Communicate Needs	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	33	35	35	39	37	39
80% to <90%	14	13	13	10	11	12
70% to <80%	5	5	5	5	5	3
60% to <70%	3	3	3	2	2	2
50% to <60%	1	0	0	0	0	0
0% to <50%	0	0	0	0	0	0

Table 4: Indicator 4B Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	89	90	90	91	91	91
Highest (%)	100	100	100	100	100	100
Lowest (%)	58	64	63	61	61	65
No Data (n)	0	0	0	0	1	0

Figure 3

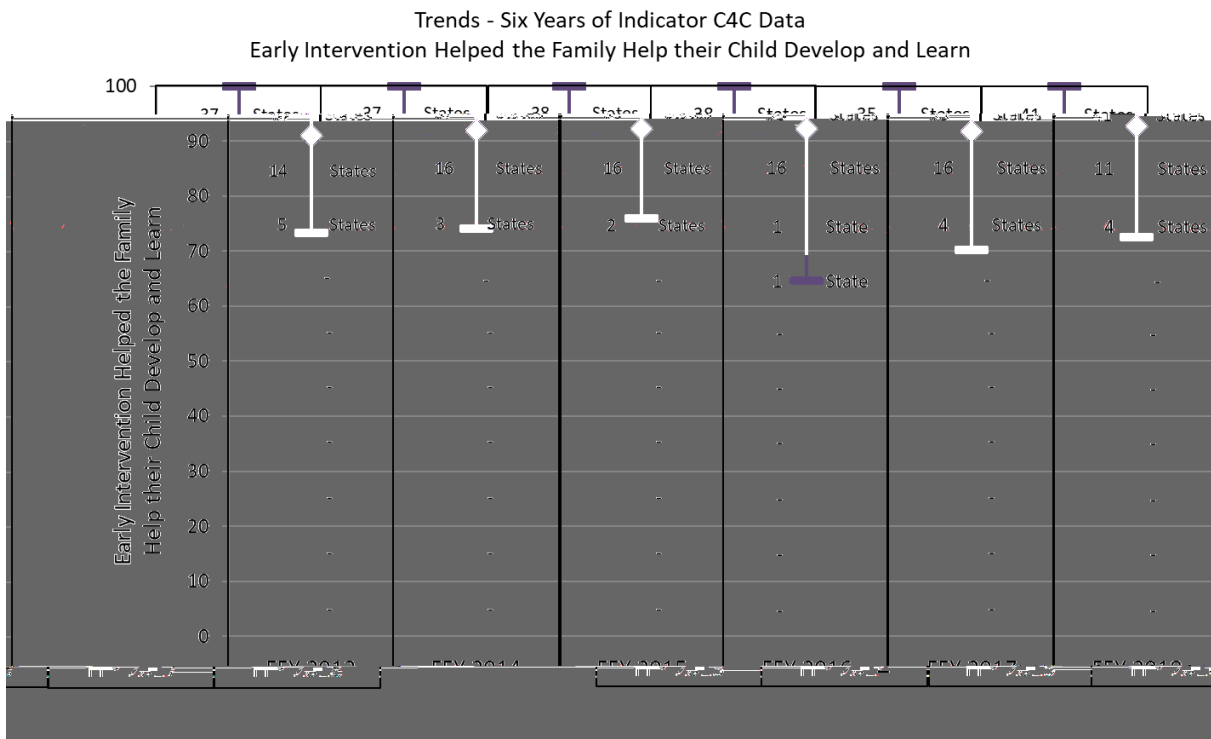


Table 5: Indicator 4C Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

EI Helped the Family Help the Child Develop and Learn	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	37	37	38	38	35	41
80% to <90%	14	16	16	16	16	11

EI Helped the Family Help the Child Develop and Learn	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
70% to <80%	5	3	2	1	4	4
60% to <70%	0	0	0	1	0	0
0% to <60%	0	0	0	0	0	0

Table 6: Indicator 4C Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	91	92	92	92	92	93
Highest (%)	100	100	100	100	100	100
Lowest (%)	73	74	76	65	70	73
No Data (n)	0	0	0	0	1	0

INDICATOR C5: CHILD FIND BIRTH TO ONE

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C5: Percent of infants and toddlers' birth to one with IFSPs compared to national data.

INTRODUCTION

Indicator 5 reports state performance in the identification of eligible infants from birth to age one. This summary of Indicator 5 is based on data from FFY 2018 APRs from 56 states. For the purposes of this report, the term "state" is used for both states and jurisdictions.

DATA SOURCES

For Indicator 5, OSEP provided states with pre-populated data from the Section 618 data collection. Jurisdictions for which U.S. Census data were not available submit population data from an alternate source to calculate their percentage served.

For Part C, the 2018 national percentage of infants and toddlers ages birth to age one receiving early intervention services under IDEA is 1.25%. This is the number to which all states must compare their data. The national mean is calculated using data from 50 states and the District of Columbia and excludes jurisdictions. However, all states and jurisdictions compare their data to the national mean for purposes of reporting on this indicator.

PERFORMANCE TRENDS

Figure 1 illustrates data for the current year (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Indicator 5. The number of states represented within each one-percentage point range are shown in the figure. Table 1 provides the detailed data reflected in the figure. Table 2 provides the summary data for Indicator 5, including the national mean, range, and number of states included.

Figure 1

Trends - Six Years of Indicator C5 Data
Percent of Infants and Toddlers Birth to One with IFSPs

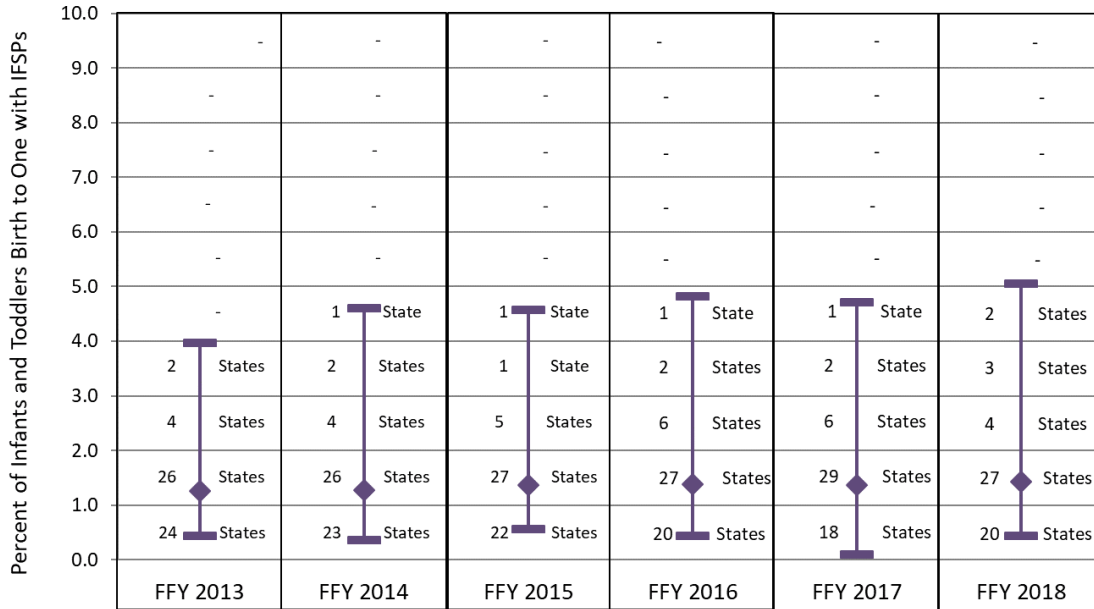


Table 1: Indicator C5 Detail Data
Number of States and Reporting Year (FFY 2013 to FFY 2018)

Percent Served Birth to One	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
9% to 10%	0	0	0	0	0	0
8% to <9%	0	0	0	0	0	0
7% to <8%	0	0	0	0	0	0
6% to <7%	0	0	0	0	0	0
5% to <6%	0	0	0	0	0	0
4% to <5%	0	1	1	1	1	2
3% to <4%	2	2	1	2	2	3
2% to <3%	4	4	5	6	6	4
1% to <2%	26	26	27	27	29	27
0% to <1%	24	23	22	20	18	20

Table 2: Indicator C5 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	1.3	1.3	1.4	1.4	1.4	1.4
Highest (%)	4.0	4.6	4.6	4.8	4.7	5.0
Lowest (%)	0.4	0.4	0.6	0.4	0.1	0.4
No Data (n)	0	0	0	0	0	0

INDICATOR C6: CHILD FIND BIRTH TO THREE

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C6: Percent of infants and toddlers' birth to three with IFSPs compared to national data.

INTRODUCTION

Indicator 6 reports state performance in the identification of eligible infants and toddlers from birth to age three. This summary of Indicator 6 is based on APR data for FFY 2018 from 56 states. For the purposes of this report, the term "state" is used for both states and jurisdictions.

DATA SOURCES

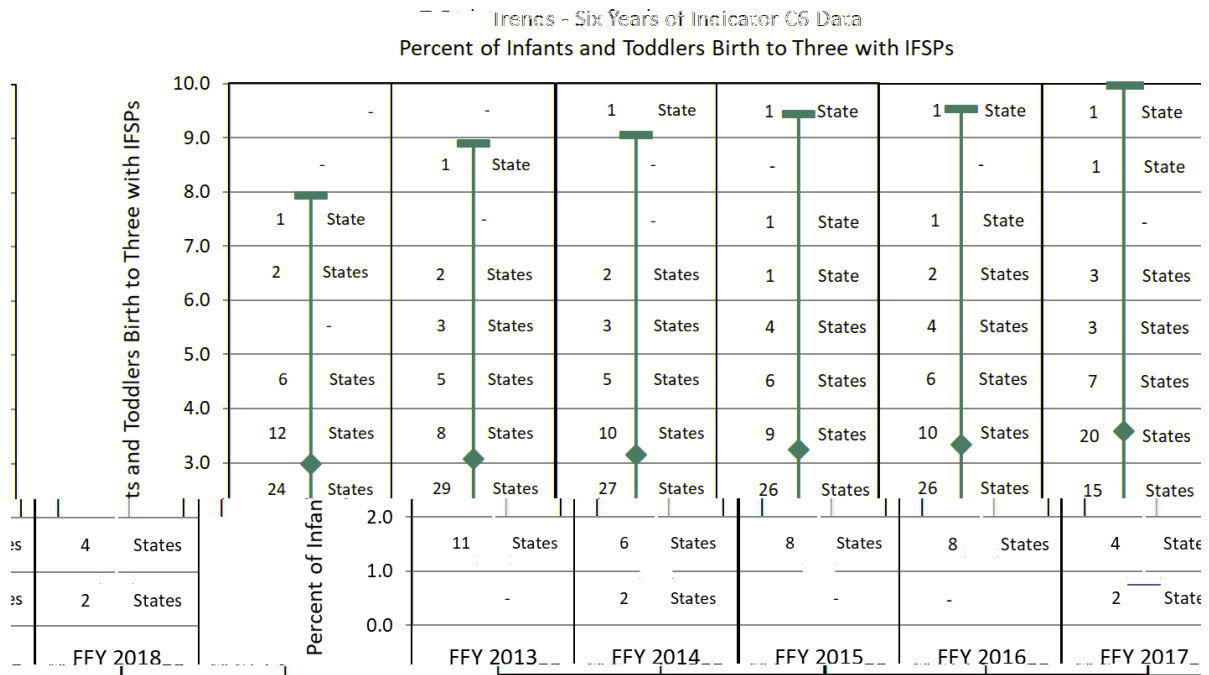
For Indicator 6, OSEP provided states with pre-populated data from the Section 618 data collection. Jurisdictions for which U.S. Census data were not available submit population data from an alternate source for the purpose of calculating their percentage served.

For Part C, the 2018 national percentage of infants and toddlers ages birth to age three receiving early intervention services under IDEA is 3.48%. This is the number to which all states must compare their data. The national mean is calculated using data from 50 states and the District of Columbia and excludes jurisdictions. However, all states and jurisdictions compare their data to the national mean for purposes of reporting on this indicator.

PERFORMANCE TRENDS

Figure 1 illustrates data for the current year (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Indicator 6. The number of states represented within each one-percentage point range are shown in the figure. Table 1 provides the detailed data reflected in the figure. Table 2 provides the summary data for Indicator 6, including the national mean, range, and number of states included.

Figure 1



**Table 1: Indicator C6 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)**

Percent Served Birth to Three	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
10% to <11%	0	0	0	0	0	1
9% to <10%	0	0	1	1	1	0
8% to <9%	0	1	0	0	0	1
7% to <8%	1	0	0	1	1	0
6% to <7%	2	2	2	1	2	3
5% to <6%	0	3	3	4	4	3
4% to <5%	6	5	5	6	6	7
3% to <4%	12	8	10	9	10	20
2% to <3%	24	29	27	26	26	15
1% to <2%	11	6	8	8	4	4
0% to <1%	0	2	0	0	2	2

Table 2: Indicator C6 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	3.0	3.1	3.1	3.2	3.3	3.6
Highest (%)	7.9	8.9	9.0	9.4	9.5	10.1
Lowest (%)	1.2	0.9	1.1	1.3	0.8	0.9
No Data (n)	0	0	0	0	0	0

INDICATOR C7: 45-DAY TIMELINE

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C7: Percentage of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.

INTRODUCTION

Indicator 7 reports on timely evaluation and assessment for infants and toddlers. Part C regulations specify that the initial evaluation and assessments of the child and family, as well as the initial IFSP meeting must be completed within 45 days from the date the lead agency or provider receives the referral. For this indicator, states have the option to identify and count as timely those delays that are the result of exceptional family circumstances. Indicator 7 is a compliance indicator with a target of 100%.

This summary is based on data from Annual Performance Reports (APRs) submitted by 54 states and jurisdictions for FFY 2018. The Office of Special Education Programs (OSEP) determined that two states did not have valid and reliable data for FFY 2018 for this indicator. For the purpose of this report, the term "state" is used for both states and jurisdictions.

For the purpose of this report, the term "state" is used for both states and jurisdictions.

DATA SOURCES

The data for this indicator are gathered from a state's data system and/or local monitoring practices, including sampling files for review, onsite verification visits, or reviews of self-assessment results.

ACTUAL PERFORMANCE

Figure 1 illustrates data for the current year (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Indicator 7. The number of states represented within each ten-percentage point range are shown in the figure. Table 1 provides the detailed data reflected in the figure. Table 2 provides the summary data for Indicator 7, including the national mean, range, and number of states included.

Figure 1

Trends - Six Years of Indicator C7 Data
Percent Meeting 45-day Timeline

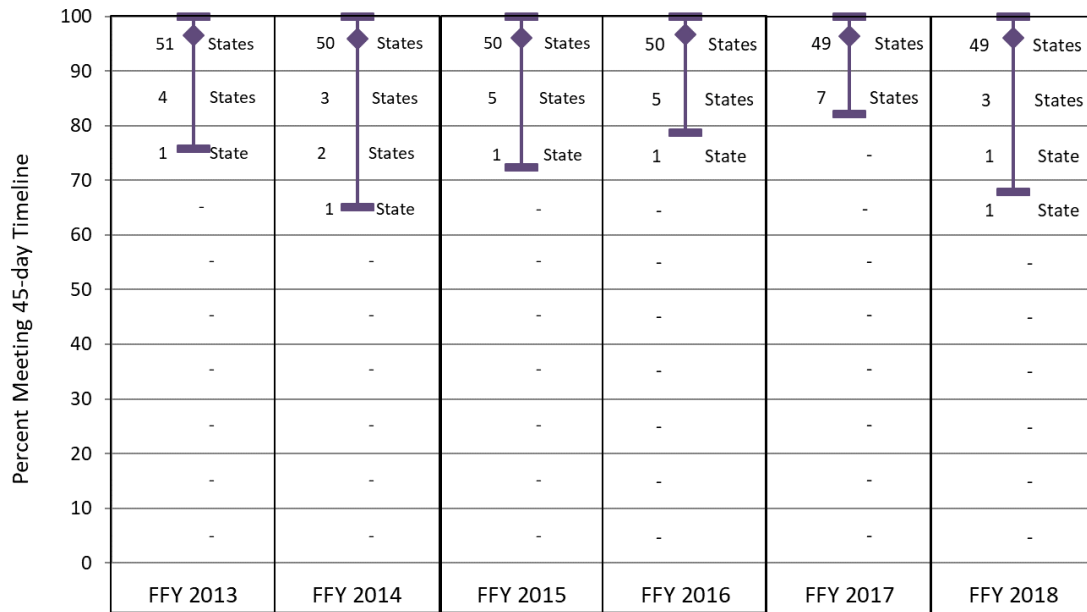


Table 1: Indicator C7 Detail Data
Number of States by Reporting Year (FFY 2013 to FFY 2018)

Percent Meeting 45-day Timeline	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	51	50	50	50	49	49
80% to <90%	4	3	5	5	7	3
70% to <80%	1	2	1	1	0	1
60% to <70%	0	1	0	0	0	1
0% to <60%	0	0	0	0	0	0

Table 2: Indicator C7 Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	97	96	96	97	96	96
Highest (%)	100	100	100	100	100	100
Lowest (%)	76	65	72	79	82	68

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
No Data (n)	0	0	0	0	0	2

INDICATOR C8: EARLY CHILDHOOD TRANSITION

Completed by the Early Childhood Technical Assistance Center (ECTA).

Indicator C8: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and/or other appropriate community services by their third birthday, including: an IFSP with transition steps and services; notification to the State Education Agency (SEA) and the Lead Education Agency (LEA) of residence, if the child is potentially eligible for Part B; and a transition conference, if the child is potentially eligible for Part B.

INTRODUCTION

Indicator 8 reports on the timely transition of children out of Part C. Each of the three sub-indicators of Indicator 8 corresponds to specific Part C regulations. For Indicator 8, states report the percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:

- A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday;
- B. Notified (consistent with any opt-out policy adopted by the State) the State educational agency (SEA) and the local educational agency (LEA) where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and
- C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.

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

Indicator 8 is a compliance indicator with a target of 100% for all three sub-indicators. This analysis of Part C Indicator 8 is based on data from FFY 2018 Annual Performance Reports (APRs) for 56 states and jurisdictions. The Office of Special Education Programs (OSEP) determined that data were not valid and reliable for one state for sub-indicator 8A, one state for sub-indicator 8B, and two states for sub-indicator 8C. For the purposes of this report, the term "state" is used for both states and jurisdictions.

DATA SOURCES/ MEASUREMENT APPROACHES

States use a variety of data sources for reporting on this indicator, including monitoring data (e.g. file review and self-assessment), extracting data from the state's data system, or a combination of approaches. There is variability among states regarding use of census vs. sampling methodologies for reporting on this indicator. A census approach is defined as reporting on all children for the entire reporting period or all children in a

specific time frame (e.g. all children transitioning in one quarter of the calendar year). Most states use census data for all three sub-indicators.

PERFORMANCE TRENDS

Figures 1, 2, and 3 illustrate current data (FFY 2018) and trend data for the last six reporting years (FFY 2013 to FFY 2018) for Indicators 8A, 8B, and 8C, respectively. The number of states represented within each ten-percentage point range are shown in the figures. Tables 1 and 2 provide the detailed data and summary data associated with Indicator 8A; Tables 3 and 4 provide the detailed and summary data associated with Indicator 8B; and Tables 5 and 6 provide the detailed and summary data associated with Indicator 8C.

Figure 1

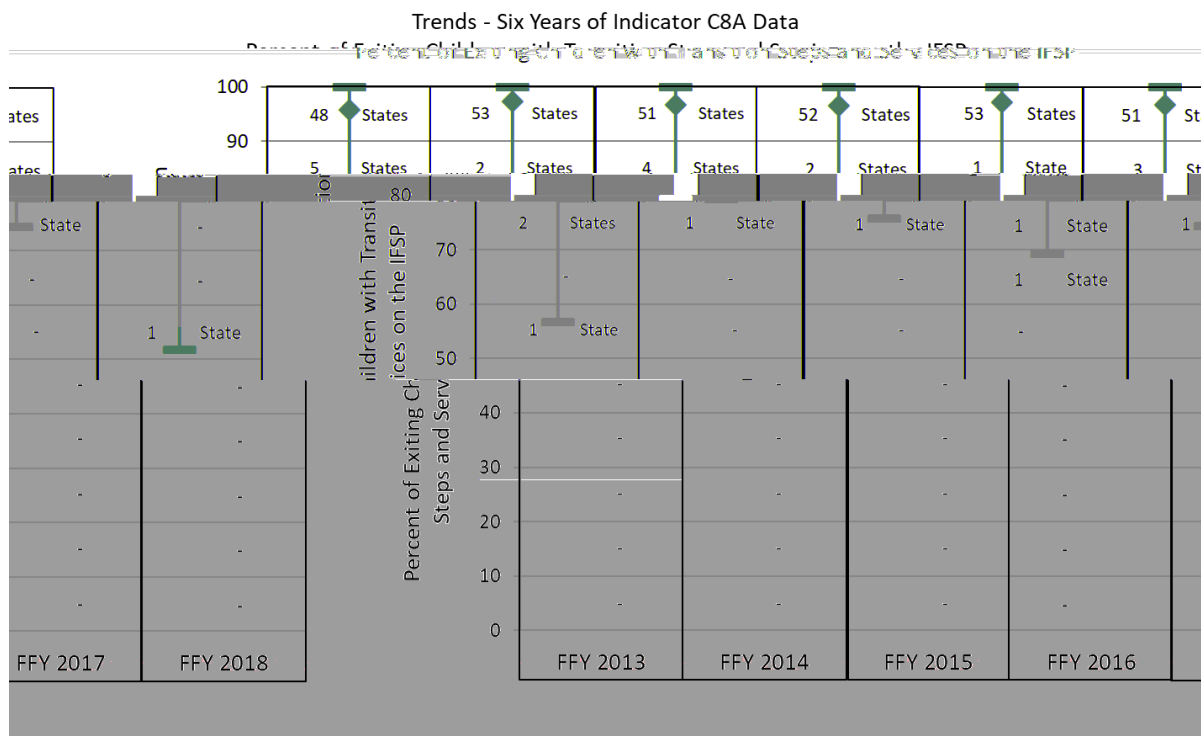


Table 1: Indicator 8A Detail Data
Number of States by Deciles and Reporting Year (FFY 2013 to FFY 2018)

Percent with Transition Steps and Services	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	48	53	51	52	53	51
80% to <90%	5	2	4	2	1	3

Percent with Transition Steps and Services	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
70% to <80%	2	1	1	1	1	0
60% to <70%	0	0	0	1	0	0
50% to <60%	1	0	0	0	0	1
0% to <50%	0	0	0	0	0	0

Table 2: Indicator 8A Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	96	97	97	97	97	97
Highest (%)	100	100	100	100	100	100
Lowest (%)	57	79	76	69	74	52
No Data (n)	0	0	0	0	1	1

Figure 2

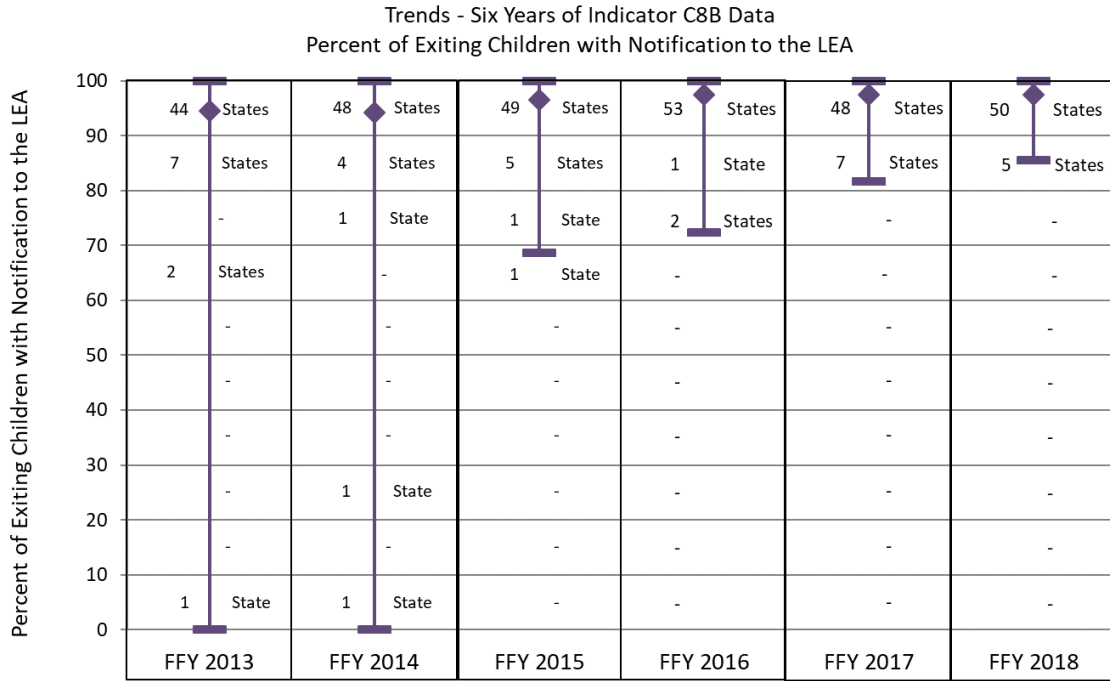


Table 3: Indicator 8B Detail Data
Number of States by Deciles and Reporting Year (FFY 2013 to FFY 2018)

Percent with Notification to the LEA	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	44	48	49	53	48	50
80% to <90%	7	4	5	1	7	5
70% to <80%	0	1	1	2	0	0
60% to <70%	2	0	1	0	0	0
50% to <60%	0	0	0	0	0	0
40% to <50%	0	0	0	0	0	0
30% to <40%	0	0	0	0	0	0
20% to <30%	0	1	0	0	0	0
10% to <20%	0	0	0	0	0	0
0% to <10%	1	1	0	0	0	0

Table 4: Indicator 8B Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	95	94	97	97	98	98
Highest (%)	100	100	100	100	100	100
Lowest (%)	0	0	69	72	82	86
No Data (n)	2	1	0	0	1	1

Figure 3

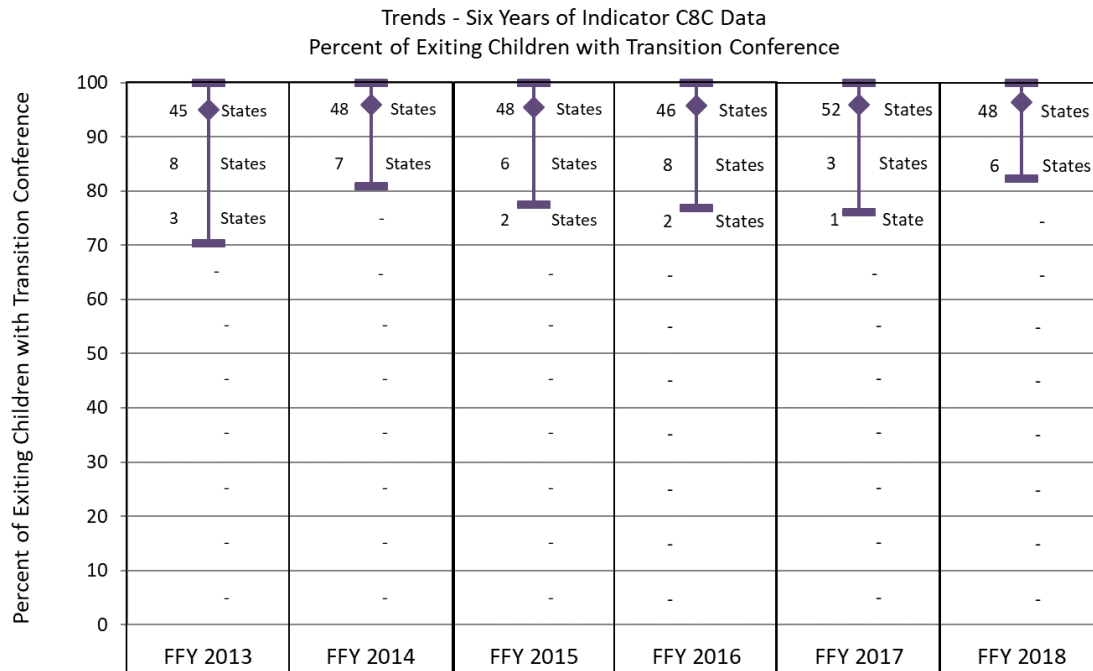


Table 5: Indicator 8C Detail Data
Number of States by Deciles and Reporting Year (FFY 2013 to FFY 2018)

Percent with Transition Conference	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	45	48	48	46	52	48
80% to <90%	8	7	6	8	3	6
70% to <80%	3	0	2	2	1	0

Percent with Transition Conference	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
0% to <70%	0	0	0	0	0	0

Table 6: Indicator 8C Summary Data (FFY 2013 to FFY 2018)

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean (%)	95	96	95	96	96	96
Highest (%)	100	100	100	100	100	100
Lowest (%)	70	81	78	77	76	82
No Data (n)	0	1	0	0	0	2

INDICATORS C9 & C10: DISPUTE RESOLUTION

Completed by the Center for Appropriate Dispute Resolution in Special Education (CADRE).

INTRODUCTION

The IDEA requires states receiving grants under Part C to make available four dispute resolution processes, and to report annually to the U.S. Department of Education Office of Special Education Programs (OSEP) on their performance.¹ The processes include signed written complaints, mediation, due process complaints, and, in states where Part B due process complaint procedures have been adopted, resolution meetings.

The following is a report and summary of States' Federal Fiscal Year (FFY) 2018 Annual Performance Reports (APRs) for Indicators C9 (Resolution Meetings Resulting in Written Settlement Agreements) and C10 (Mediations Resulting in Written Agreements).²

DATA SOURCES AND METHODOLOGY

Data sources for this report include FFY 2018 APRs and Section 618 data, available through the OSEP Collaboration Space. These analyses are specific to state performance on Indicators C9 and C10, and do not present a complete picture of dispute resolution activity.

SUMMARY BY INDICATOR

Indicator C9: Resolution Meetings Resulting in Written Settlement Agreements

Indicator C9 documents the percentage of resolution meetings that result in written settlement agreements. This indicator applies only to states that have adopted Part B due process complaint procedures. States are required to report any activity relating to performance Indicator C9 but are not required to set or meet a performance target if fewer than ten resolution meetings are held in a single year. Due process complaints continue to be a rarely used dispute resolution option in Part C programs, therefore there are minimal occurrences of resolution meetings. Historically, in only one year (2012-13) has national data reflected more than two resolution meetings held during a single reporting year.

Eighteen States reported that they use Part B due process procedures according to their 2018 APR. Nationally, there were two resolution meetings held during 2018-19. One resolution meeting resulted in a written settlement agreement.

Indicator C10: Mediations Resulting in Written Agreements

Indicator C10 is a performance indicator that documents the percentage of mediations resulting in written mediation agreements. As with Indicator C9, states are required to

¹ For the purposes of this report, the terms "States" is used to refer to all 56 Part C grant recipients (i.e., the fifty United States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands).

² The reporting period (July 1, 2018-June 30, 2019) began during FFY 2018.

report any activity relating to Indicator C10, though they are not required to set or meet a performance target if fewer than ten mediations are held in a single year.

The bands in Figure 1 reflect state-reported performance on Indicator C10 over a six-year period. The purple diamonds on each performance band in Figure 1 indicate the mean, or average, rate of agreement across states for that year.³

Figure 1

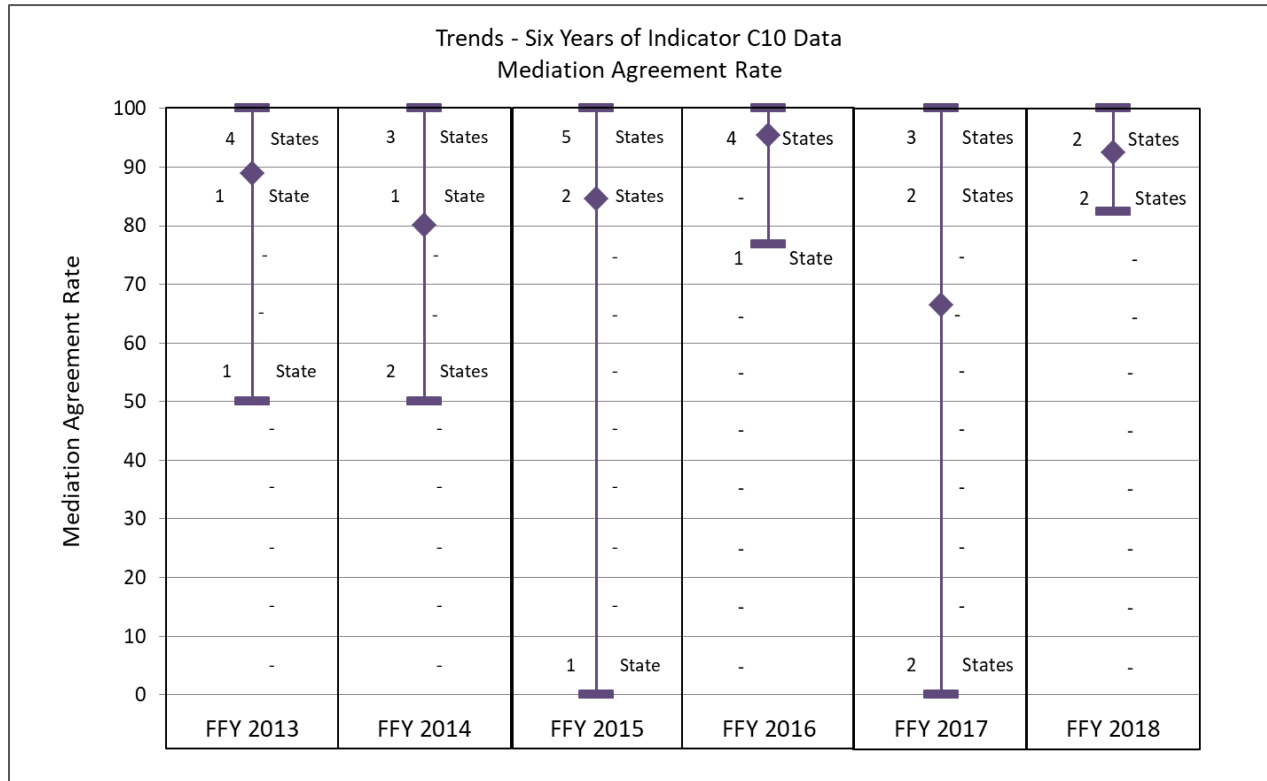


Table 1.1 below provides the summary statistics of the mediation agreement rate data including the mean agreement rate, highest agreement rate, lowest agreement rate and the number of states that reported no activity, for each of the six years.

Table 1.1

Statistic	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
Mean	89	80	85	95	66	92
Highest	100	100	100	100	100	100
Lowest	50	50	0	77	0	82
No Data	50	50	48	51	49	52

³ For this “average of State agreement rates,” all States contribute equally to the calculation regardless of the level of activity.

Nationally in 2018-19, four States held 62 mediation sessions. One State accounted for 51 of the 62 mediation sessions held, or 82% of all mediation sessions held in 2018-19. A total of 47 of the 62 mediation sessions held resulted in agreements. The average mediation agreement rate for the last six years is 84.5%, while this year's average agreement rate is 92%. Due to continued low activity on this indicator nationwide, it is difficult to identify national data trends.

Table 1.2 shows the number of states that reported agreement rates within each range. Of the four States reporting mediation activity in FFY 2018, two States fell within 80% to <90% range and two States fell within the 90% to 100% range.

Table 1.2

Ranges of state-reported mediation agreement rate	FFY 2013	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018
90% to 100%	4	3	5	4	3	2
80% to <90%	1	1	2	0	2	2
70% to <80%	0	0	0	1	0	0
60% to <70%	0	0	0	0	0	0
50% to <60%	1	2	0	0	0	0
10% to <50%	0	0	0	0	0	0
0% to <10%	0	0	1	0	2	0

CONCLUSION

Nationally, the use of mediation sessions and resolution meetings among Part C programs continues to be very low. This may be attributed to both the collaborative, family-centered nature of Part C programs, as well as the short time families are engaged with them, since transition to Part B programs occurs before the child's third birthday. It is recommended that Lead Agencies continue to educate parents about their rights, and the full continuum of dispute resolution options available to them should conflict occur.

INDICATOR C11: STATE SYSTEMIC IMPROVEMENT PLAN, PHASE III – YEAR 4

Completed by the Early Childhood Technical Assistance Center (ECTA) in collaboration with the Center for IDEA Early Childhood Data Systems (DaSy).

Indicator C11: The State's SPP/APR includes a State Systemic Improvement Plan (SSIP) that meets the requirements set forth for this indicator.

INTRODUCTION

In Indicator 11 of the State Performance Plan (SPP) and Annual Performance Report (APR), the Office of Special Education Programs (OSEP) requires states to develop and implement a three-phase State Systemic Improvement Plan (SSIP). The SSIP is a comprehensive multiyear plan for improving results for infants and toddlers with disabilities and their families. Parents of infants and toddlers with disabilities, early intervention service (EIS) programs and providers, the State Interagency Coordinating Council, and other stakeholders are critical partners in improving results for infants and toddlers and their families. States are required to include a broad representation of stakeholders in implementing, evaluating, and revising each phase of the SSIP. In Phase I of the SSIP (federal fiscal year [FFY] 2013), states were required to conduct data analysis and infrastructure analysis, identify their State-identified Measurable Result(s) (SiMR[s]) (e.g., child and/or family outcomes) and broad improvement strategies and develop a Theory of Action (TOA). Each state established baseline data for Indicator 11 expressed as a percentage and aligned with the SiMR(s) for infants and toddlers and their families. Each state also established measurable and rigorous targets, expressed as percentages, for each of the five years from FFY 2014 through FFY 2018. The TOA and broad improvement strategies were based on data analysis, including analysis of the state infrastructure. This information was submitted to OSEP in April 2015.

In Phase II (FFY 2014), states were required to develop a plan based on their TOA that included strategies and activities to improve infrastructure and support early intervention programs and providers in implementing evidence-based practices to improve results for children and families as identified in their SiMR. They were also required to describe how they would evaluate the implementation of their SSIP. States' plans included activities, steps, and resources needed to implement the coherent improvement strategies with attention to the research on implementation, timelines for implementation, and measures to evaluate implementation and impact on the SiMR. This plan was submitted to OSEP in April 2016.

In Phase III – Year 1 (FFY 2015), states began implementation and evaluation of their plans. In their annual reports submitted to OSEP in April 2017, states reported on their progress made during the first year of SSIP implementation, consistent with the evaluation plan developed in Phase II. States were expected to include data and analysis on the extent to which they made progress on and/or met their short-term and long-term objectives for implementing the SSIP and progress on achieving the SiMR(s). In addition, states were required to describe how the data from their evaluation informed

their decisions about continuing SSIP implementation without modifications or provide the rationale for revisions made or revisions to be made. Finally, states were required to describe how stakeholders were included in the decision-making process. In Phase III – Year 2 (FFY 2016), Year 3 (FFY 2017) and Year 4 (FFY 2018) states continued to report on their progress in implementing their SSIPs. These Phase III reports were submitted in 2017, 2018, and 2019.

The data in this report are based on an analysis of the FFY 2018 SSIP reports submitted by 56 states and jurisdictions. Submissions were analyzed by technical assistance providers, and the results were summarized for this report. States and jurisdictions are referred to as “states” in the remainder of this report.

FFY 2018 SiMR DATA

In the FFY 2018 SPP/APR submitted in April 2020, states were required to report that year’s progress data expressed as a percentage and aligned with the SiMR for infants and toddlers with disabilities and their families. The FFY 2018 SiMR progress data were compared with the FFY 2018 measurable and rigorous targets, also expressed as a percentage. FFY 2018 data were also compared with the SiMR progress data reported in FFY 2017.

Child and Family Outcomes Identified in the SiMR

Each state has identified a child and/or family outcome as the focus of its SiMR. Fifty-one of the 56 states that submitted a Phase III - Year 4 SSIP in FFY 2018 selected a single outcome for their SiMR and reported one percentage for their FFY 2018 SiMR data. Five states selected multiple child and/or family outcomes as their SiMR (either all within Part C or a combination of child outcomes across Part C and Part B, Section 619). States that selected multiple outcomes for the focus of their SiMR opted to either combine the data into a single percentage or report more than one percentage (one percentage for each child and/or family outcome included in the SiMR). States’ SiMR measurements and the number of states using each is shown in Figure 1 and can be summarized as follows:

- Half of the states (28 of 56, 50%) continued to focus on greater than expected growth in children’s positive social-emotional skills (C3A-SS1).
- Twenty-five states (45%) focused on other Part C child outcomes.
- Two states (4%) focused on Part B 619 child outcomes in addition to Part C. Both included preschool children’s knowledge and skills (B7B-SS1) and one of these states also included preschool children’s positive social-emotional skills (B7A-SS1).
- One state (2%) identified a child outcomes SiMR that was not equivalent to an APR indicator measurement (labeled as “Other Child” in Figure 1).

While most SiMRs were focused on child outcomes, six states (11%) included at least one family outcome in their SiMR:

- Four states' SiMRs (7%) included measuring early intervention services to determine the extent that it helped families help their child develop and learn (C4C);
- One state's SiMR focused on whether early intervention helped families effectively communicate their children's needs (C4B); and
- In the sixth state, the family focus was not equivalent to an APR indicator (labeled as "Other Family" in Figure 1).

The total count in Figure 1 is greater than 56 because some states reported multiple outcomes for their SiMR.

Figure 1

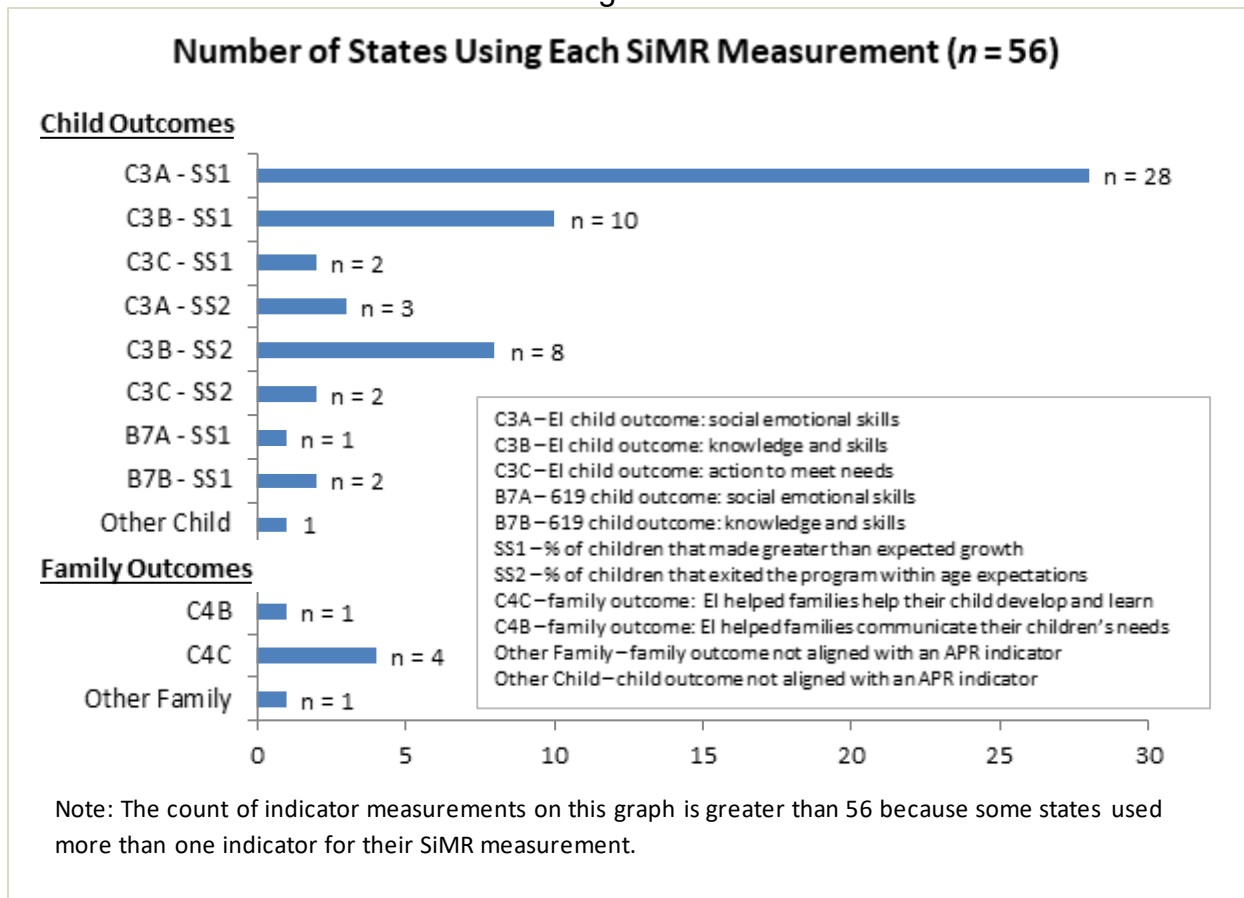


Table of Figure 1: Number of States Using Each SiMR Measurement (n = 56)

Type of Outcome	SiMR Measurement	Measurement Description	Number of States
Child	C3A – SS1	EI child outcome: social emotional skills	28
Child	C3B – SS1	EI child outcome: knowledge and skills	10
Child	C3C – SS1	EI child outcome: action to meet needs	2
Child	C3A – SS2	EI child outcome: social emotional skills	3
Child	C3B – SS2	EI child outcome: knowledge and skills	8
Child	C3C – SS2	EI child outcome: action to meet needs	2

Type of Outcome	SiMR Measurement	Measurement Description	Number of States
Child	B7A – SS1	619 child outcome: social emotional skills	1
Child	B7B – SS1	619 child outcome: knowledge and skills	2
Child	Other	Child outcome not aligned with an APR indicator	1
Family	C4B	family outcome: EI helped families help their child develop and learn	1
Family	C4C	Family outcome: EI helped families communicate their children’s needs	4
Family	Other	Family outcome not aligned with an APR indicator	1

Note: The count of indicator measurements in this table is greater than 56 because some states used more than one indicator in their SiMR measurement.

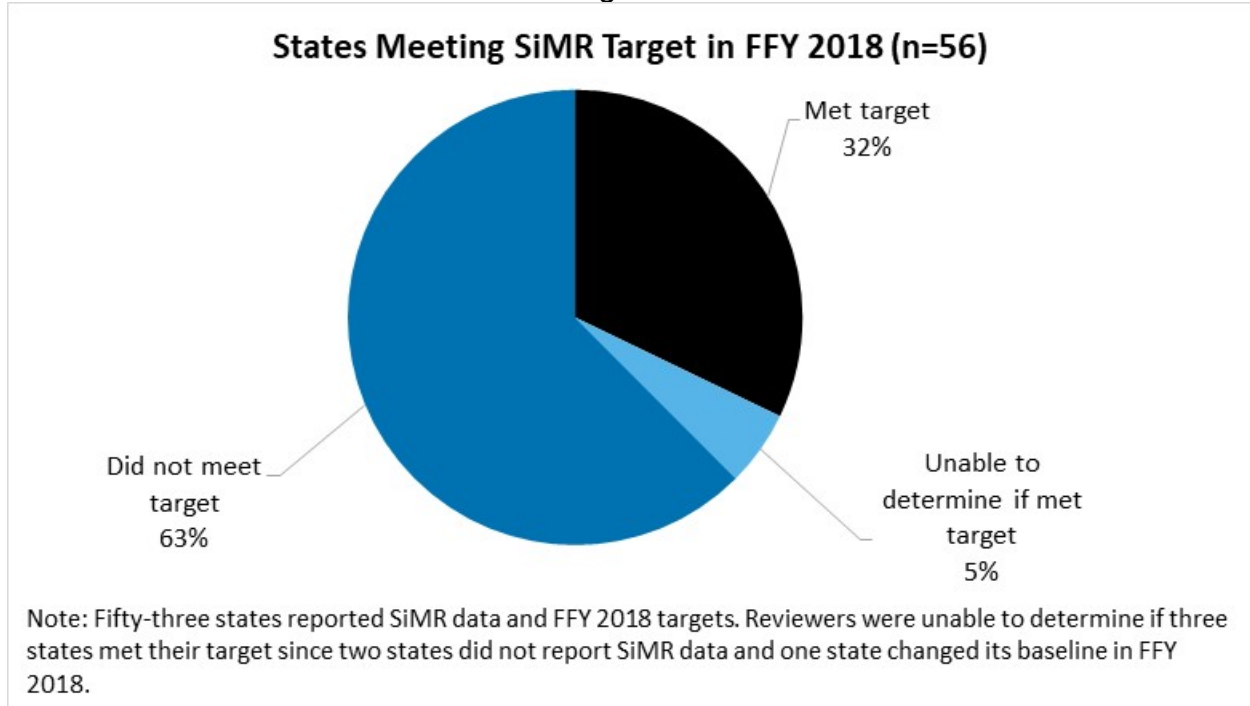
Progress in Meeting SiMR Targets for FFY 2018

States were required to report data collected for the SiMR to determine whether they made progress and whether they met the SiMR target for FFY 2018.

Fifty-four states reported FFY 2018 SiMR data and 55 states included the FFY 2018 SiMR target. One state changed baseline in FFY 2018 and was not required to report an FFY 2018 target. Therefore, reviewers were able to compare 53 states’ SiMR data and targets to determine whether the state met its FFY 2018 target. States were coded as meeting their targets if their actual FFY 2018 data were equal to or more than their FFY 2018 targets for all outcomes associated with the SiMR.

Based on SiMR data comparison, 18 of the 56 states (32%) met their FFY 2018 targets for Indicator 11 as reflected in Figure 2. Thirty-five states (63%) did not meet their FFY 2018 targets. Reviewers were unable to determine if three states (5%) met their target since two states did not report FFY 2018 SiMR data and one state changed its baseline.

Figure 2

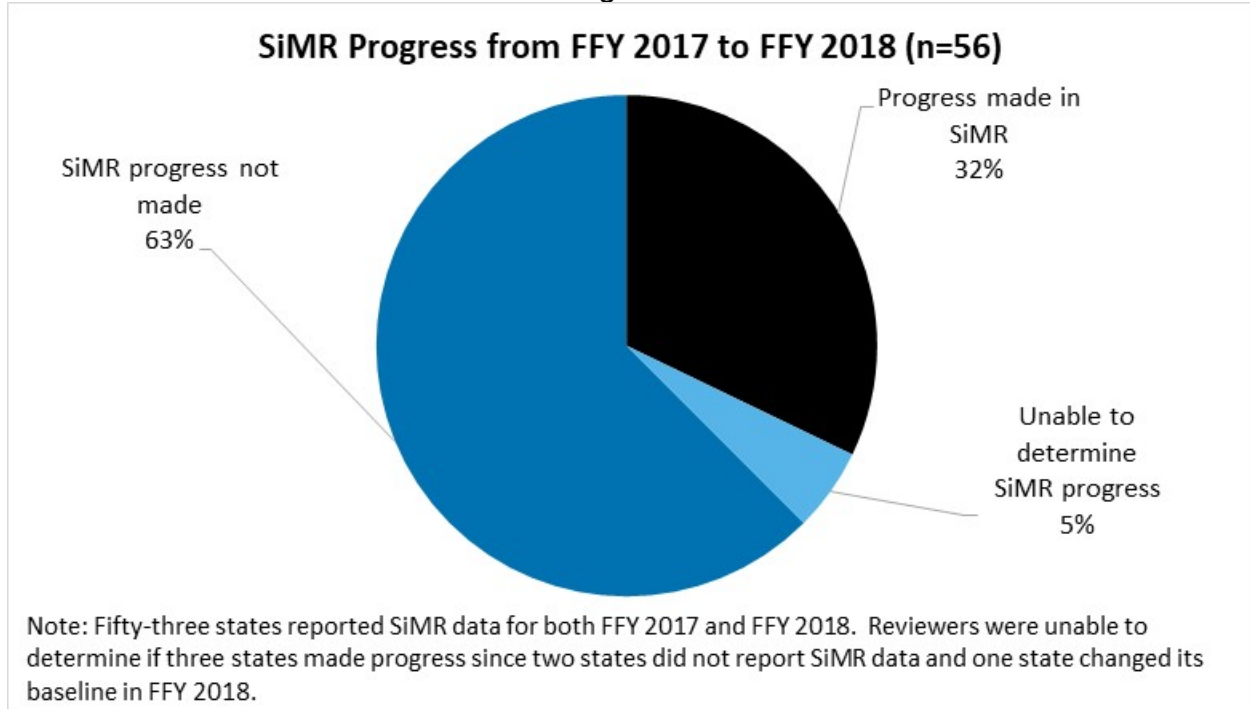


Progress or Slippage in Improving the SiMR

In determining whether states had progressed or slipped in improving their SiMR data (child and/or family outcomes data), reviewers compared the actual SiMR data reported for FFY 2018 and FFY 2017 as available in the FFY 2018 report. No progress meant that actual FFY 2018 SiMR data were less than last year's data. A state was determined to be making progress if its actual FFY 2018 data were greater than the SiMR data reported in FFY 2017 for all outcomes associated with the SiMR (for states with multiple outcomes).

Figure 3 shows SiMR progress since FFY 2017. Of the 56 states' reports, 53 (95%) included the actual SiMR data for FFY 2017 and 2018, enabling reviewers to determine whether progress was made in the SiMR. Eighteen of the 56 states (32%) made progress in the SiMR between FFY 2017 and FFY 2018, as evidenced by their FFY 2018 SiMR data being greater than in FFY 2017. Thirty-five states (63%) did not make progress as evidenced by their FFY 2018 SiMR data being the same or less than in FFY 2017. Reviewers were unable to determine SiMR progress for three states (5%) because two states did not include SiMR data and one state changed its SiMR baseline.

Figure 3



SUMMARY OF CHANGES MADE TO SSIPs

States were required to report on changes they made to their SSIPs including their SiMRs. SiMR baseline and targets, TOAs, improvement plans, and evaluation plans. Analysis of this information indicates that few states made changes to their SiMR, SiMR baseline and targets, or TOA.

Changes to SiMRs

No states made changes to their SiMRs in FFY 2018.

Revisions to SiMR Baseline and Targets

During FFY 2018, states were required to review and revise their SiMR baselines, review and revise their FFY 2018 SiMR targets, and establish SiMR targets for FFY 2019. States reported engaging stakeholders in the review and revision of baseline and targets and in establishing the SiMR target for FFY 2019. Fifty-five states (98%) maintained their current SiMR baseline. One state revised its SiMR baseline because of a change in the data collection method. Fifty-five states (98%) reported SiMR targets for FFY 2018 since one state did not report FFY 2018 targets due to the resetting baseline. None of the states changed their FFY 2018 targets. Forty-nine states (88%) established a new SiMR target for FFY 2019. Seven states did not report a SiMR target for FFY 2019.

Changes to Theories of Action

In Phases I to III of the SSIP, each state included a TOA to illustrate how implementing their coherent set of improvement strategies would increase the state's capacity to support meaningful change in EIS programs and/or help EIS providers achieve improvement in the SiMR. Several states also included a logic model that further defined the relationship of inputs, activities, outputs, and outcomes to help develop their evaluation plan and ensure the evaluation plan aligned with their improvement plan. In Phase III – Year 4 of the SSIP, 4 of 56 states (7%) reported modifications to their previously submitted TOA. Twenty-nine states (52%) reported that they did not change their TOAs. Twenty-three states (41%) did not include information about whether they had changed their TOAs.

PROGRESS IN IMPLEMENTING THE SSIP AND ACHIEVING INTENDED IMPROVEMENTS, OUTPUTS, AND OUTCOMES

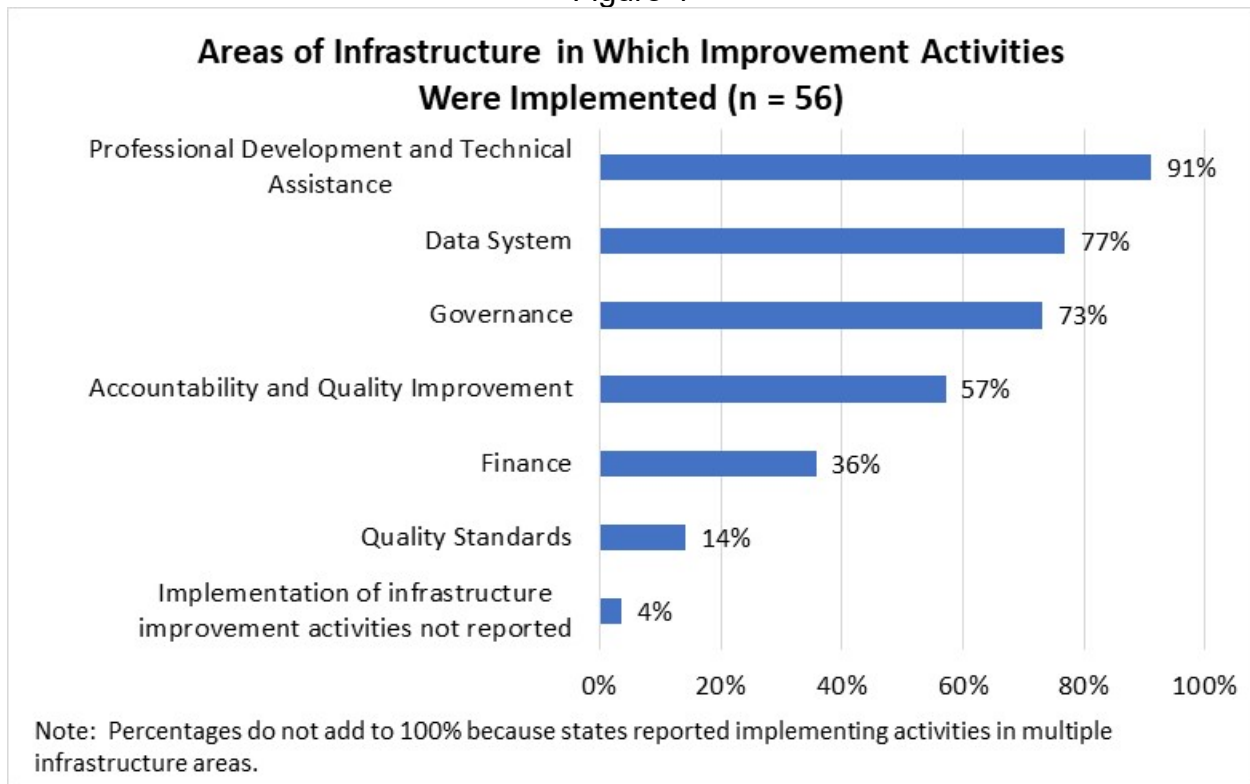
In Phase III – Year 4, states were required to report progress in implementing the SSIP, including activities undertaken to improve infrastructure and provider practices. States also reported on achievement of outputs or outcomes as a result of SSIP implementation.

Infrastructure

Progress Implementing Activities Related to Infrastructure Improvements

Almost all states (54 states, 96%) reported implementing infrastructure improvement activities in the FFY 2018 reporting year. The components of state infrastructure selected for improvement varied across states (Figure 4). Almost all states (51 states, 91%) reported implementing improvement activities related to the Professional Development and Technical Assistance component. Forty-three states (77%) reported implementing activities to improve their Data System, 41 states (73%) implemented activities to improve state or local Governance, and 32 states (57%) worked on improving Accountability and Quality Improvement. Fewer states reported implementing activities to improve Finance (20 states, 36%) and Quality Standards (8 states, 14%). Two states (4%) did not report implementation of infrastructure improvement activities.

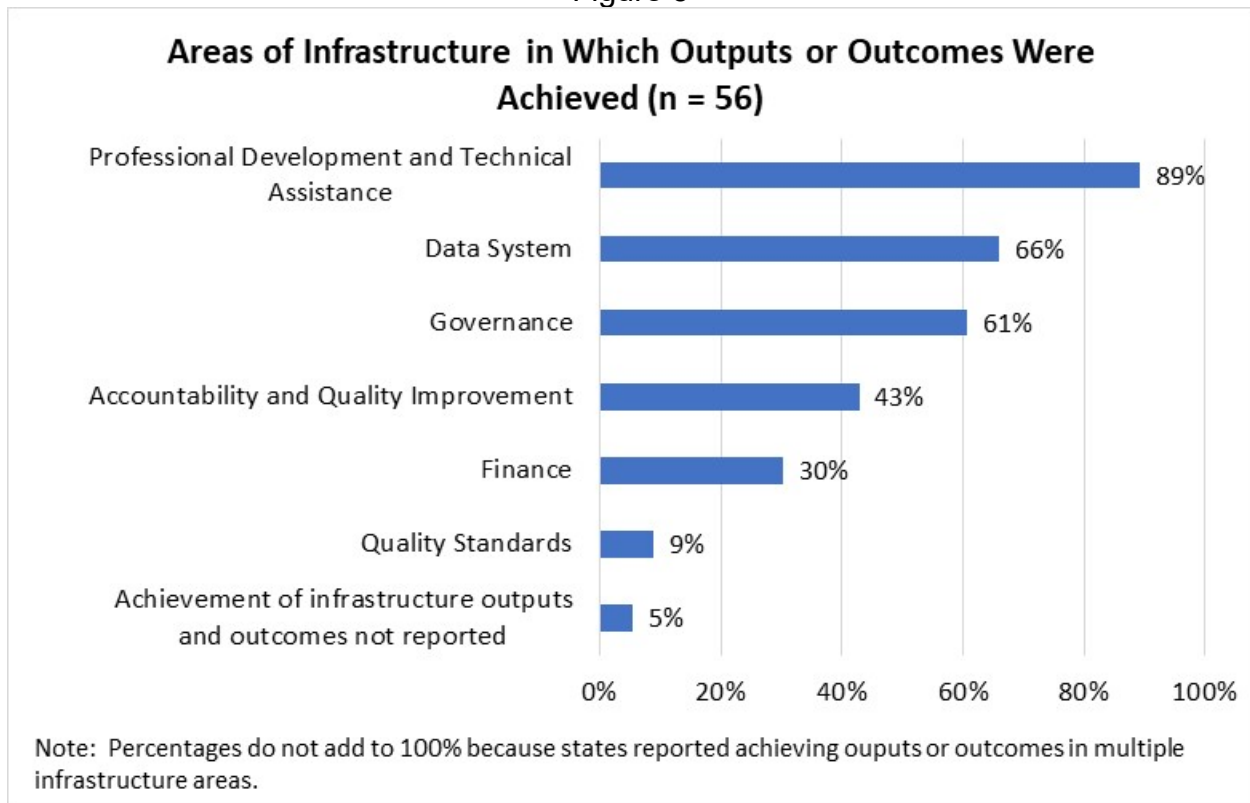
Figure 4



Progress on Achieving Outputs/Outcomes Related to Improving System Infrastructure

In addition to reporting areas of infrastructure in which improvement activities were implemented, states also reported in Phase III – Year 4 on whether outputs or outcomes were achieved in different areas of infrastructure following the implementation of improvement activities (Figure 5). Almost all states (53, 95%) reported achieving outputs or outcomes related to infrastructure. Fifty states (89%) reported that outputs or outcomes were met in the Professional Development component and 37 states (66%) reported achieving outputs or outcomes for the Data Systems component. Thirty-four states (61%) reported that outputs or outcomes were met for the Governance component, 24 (43%) met outputs or outcomes for the Accountability and Quality Improvement component, and 17 (30%) reported achieving outputs or outcomes for the Finance component. Last, five states (9%) reported meeting outputs or outcomes in the Quality Standards component. Three states (5%) did not report achievement of outputs or outcomes.

Figure 5



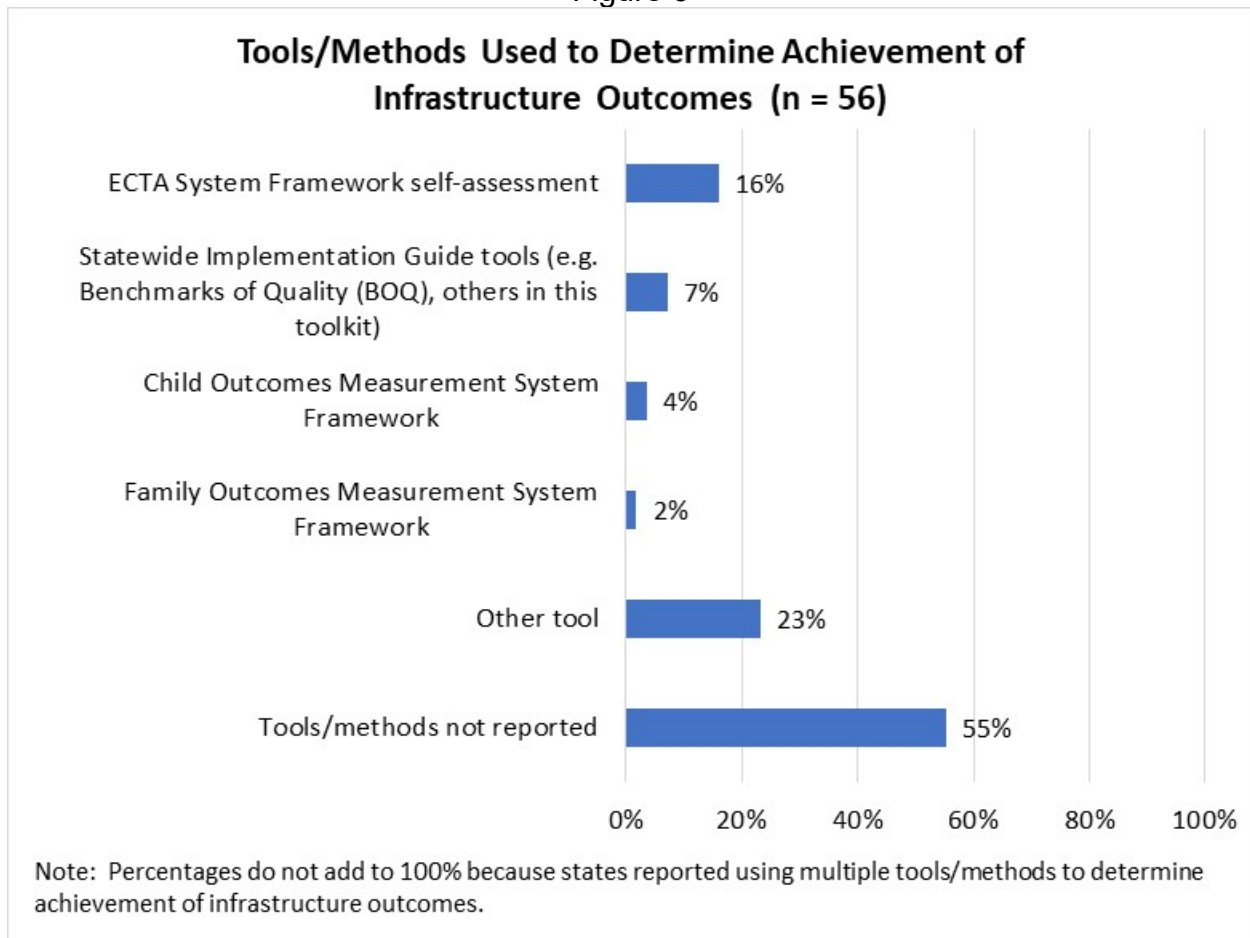
Close to half of the states (25 states, 45%) reported a tool or method for determining achievement of infrastructure outcomes (Figure 6). Nine states (16%) reported that they had used the ECTA System Framework self-assessment and four states (7%) reported they used the Statewide Implementation Guide tools, such as the Benchmarks of Quality. Two states (4%) reported using the Child Outcomes Measurement System Framework and one state (2%) reported use of the Family Outcomes Measurement System Framework.

Thirteen states (23%) reported using other tools and methods to determine whether outcomes were achieved in different areas of infrastructure improvement. These included the following tools and methods:

- State-developed tools (e.g., checklists, surveys, and interview processes).
- The Child Outcomes Summary Team Collaboration Checklist (COS-TC).
- Rush and Shelden’s Checklist for Implementing a Primary-Coach Approach to Teaming.

Several states also reporting reviewing and analyzing data from monitoring, referral forms, and professional development registries. Thirty-one states (55%) did not report a tool or method for determining the achievement of infrastructure outcomes.

Figure 6



Practices

Progress Implementing Evidence-based Practices

States were required to report any activities they had undertaken to support the implementation of evidence-based practices (EBPs). Further, they were required to specify the EBP(s) they selected for implementation for FFY 2018, Phase III – Year 4. Almost all states (54 states, 96%) reported implementation of activities to improve practices. Only one state (2%) reported that they did not implement practice improvement activities. In addition, one state (2%) did not include information about whether they had implemented activities to improve practices.

Common Evidence-based Practices Implemented

States reported on the specific EBPs and model(s) selected for implementation (Figures 7 and 8). Figure 7 reflects the various practices and models selected and shows that 18 states (32%) reported implementing selected Division of Early Childhood (DEC) Recommended Practices, 14 states (25%) reported implementing the Pyramid Model, and 12 states (21%) reported implementing Coaching in Natural Learning

Environments. States also reported implementing the following: Routines-Based Interview (RBI) (9 states, 16%), Family-Guided Routines Based Intervention and Caregiver Coaching (7 states, 13%), and Routines-Based Early Intervention (RBEI) (5 states, 9%). Twenty-one states (38%) reported implementing other EBPs. Other specific practices and models included Promoting First Relationships, Strengthening Families, Incredible Years, and other models for building children’s social-emotional competence. States also reported implementing other primary service provider models, family coaching and family partnership models, and an intervention to support substance-exposed infants and their parents. Three states (5%) did not identify specific EBPs, although they reported implementing activities to improve practices.

Figure 7

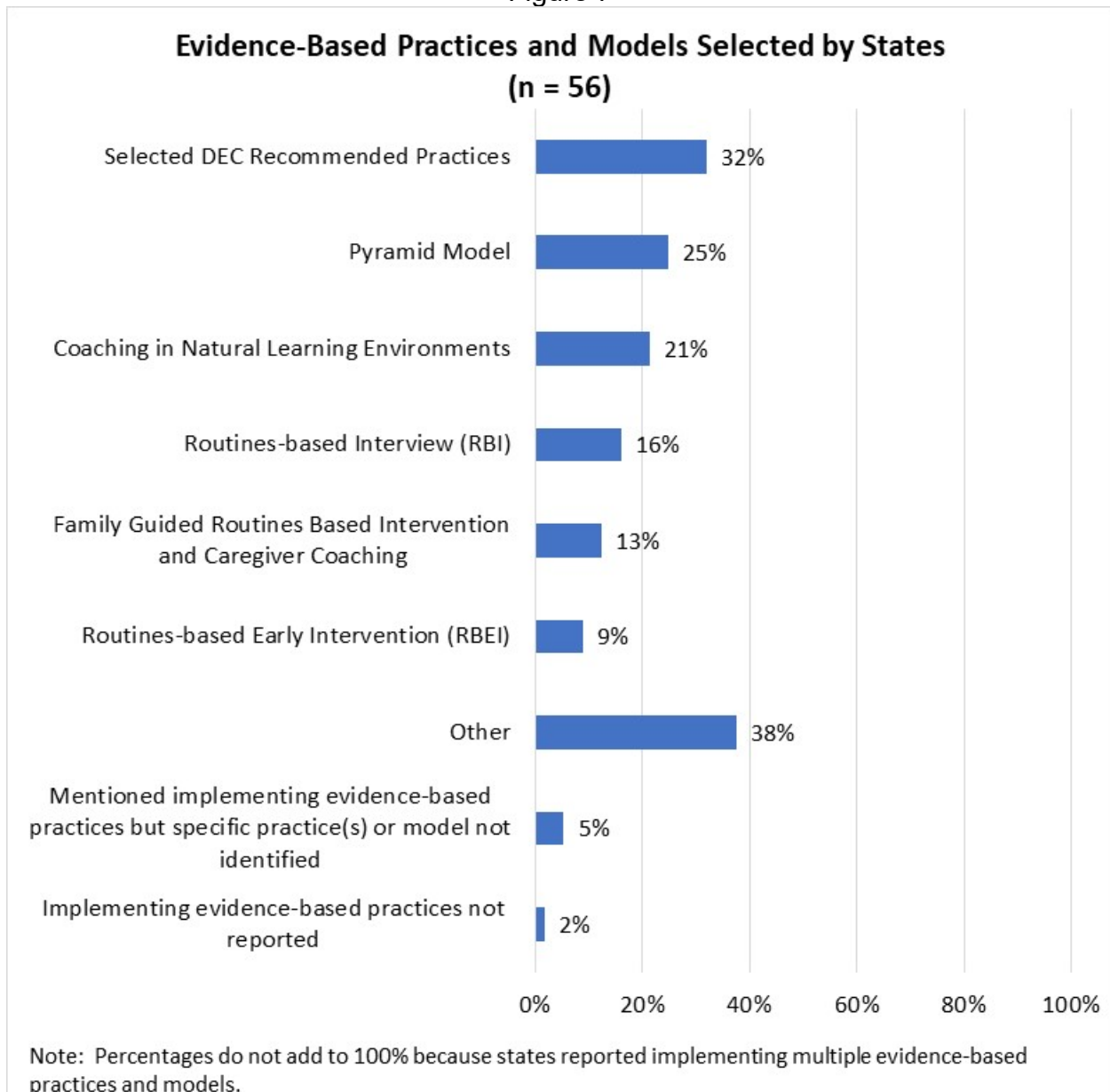
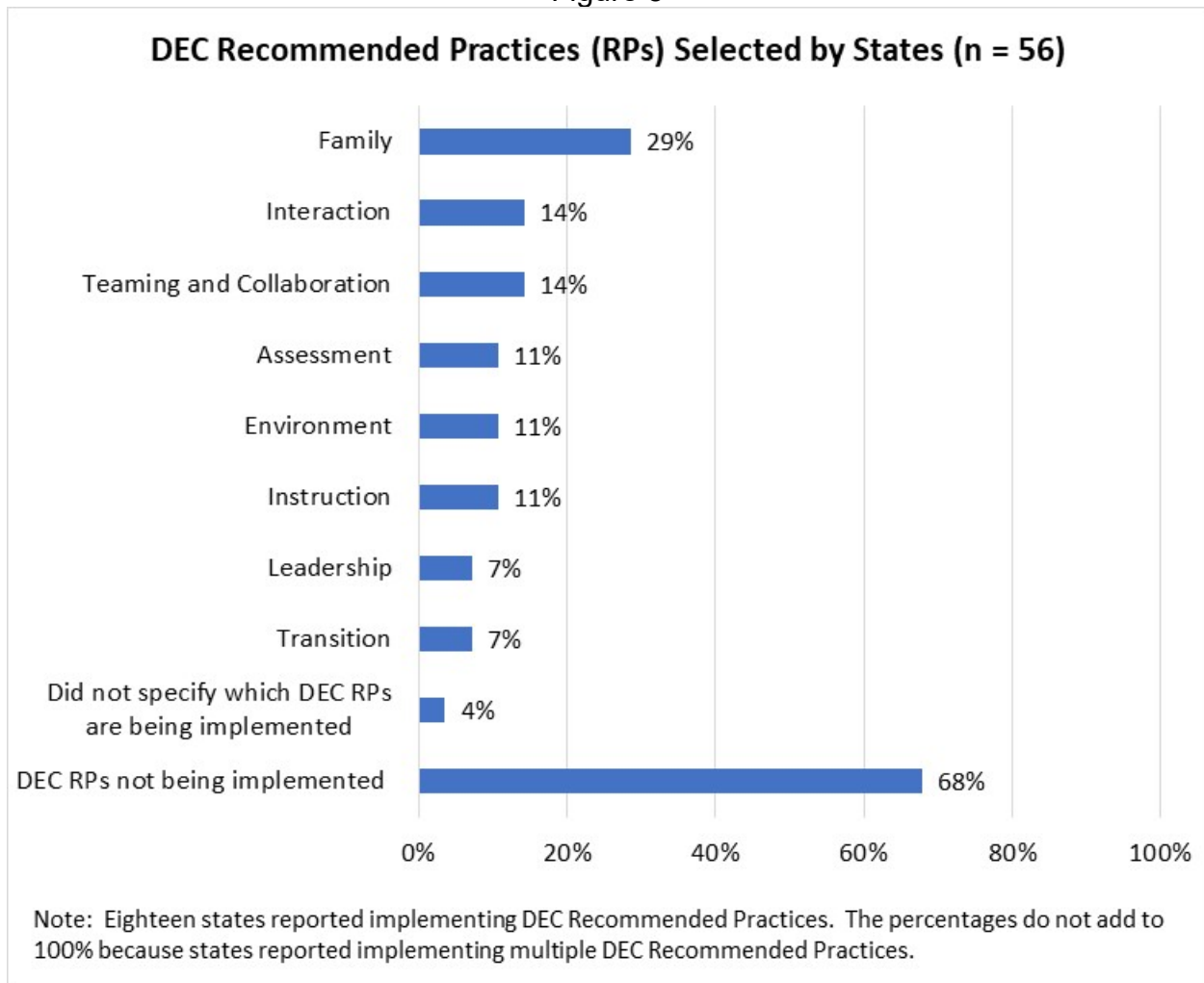


Figure 8 shows further detail about the DEC Recommended Practice (RP) areas states selected as EBPs for implementation. States varied in the number of RPs they selected. Six states (11%) named just one DEC RP area for implementation, six states (11%) named two to three RPs, two (4%) states named four to five RPs, and four (7%) states named seven to eight RPs for implementation.

The specific RPs selected were as follows. Sixteen states (29%) reported selecting family practices for implementation. Eight states (14%) selected interaction practices and eight states (14%) reported selecting teaming and collaboration practices. Six states (11%) reported assessment practices, six states (11%) reported environment practices, and six states (11%) reported instructional practices as areas for implementation. Four states (7%) selected leadership and four states (7%) selected transition. Two states (4%) reported that they are implementing DEC Recommended Practices but did not specify which ones. Thirty-eight states (68%) are implementing other EBPs and are not implementing DEC Recommended Practices.

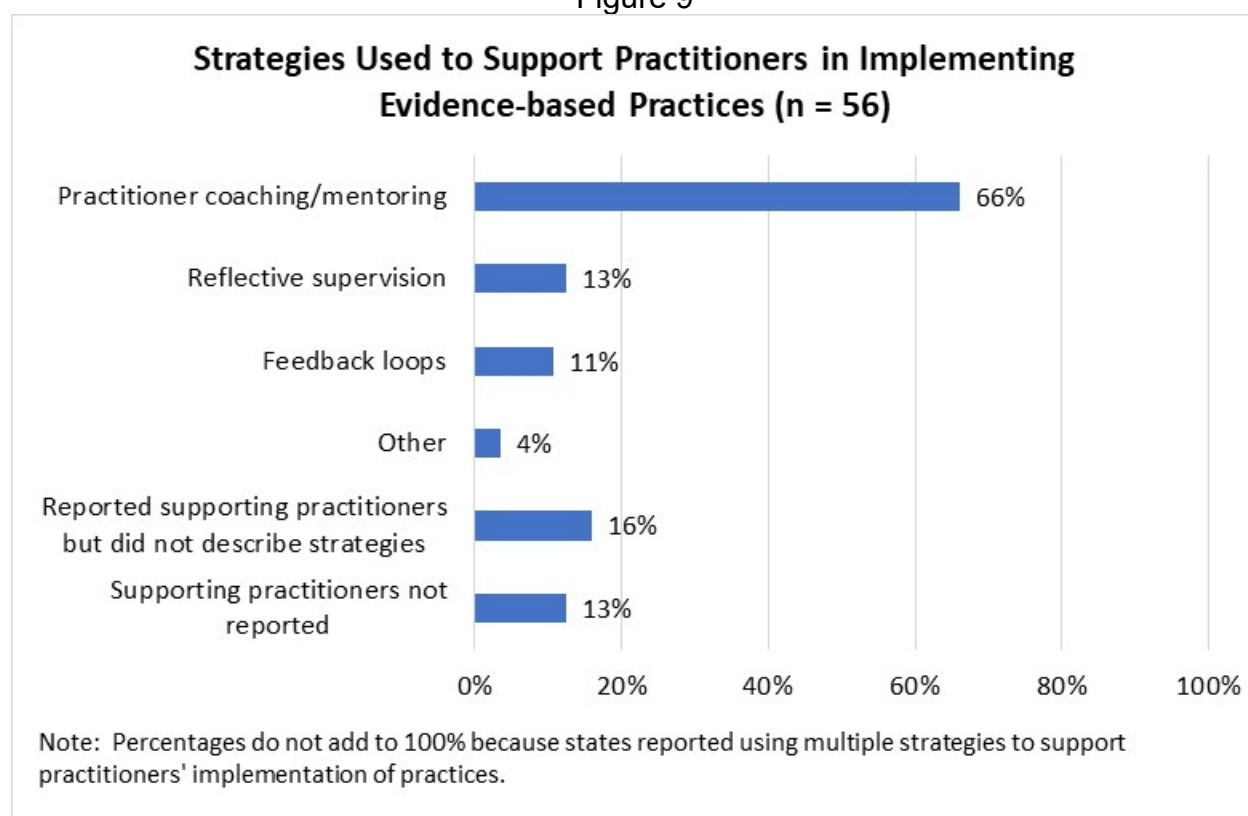
Figure 8



Strategies to Support Practitioners Implementing Evidence-based Practices

Most states (49 states, 87%) reported using strategies to support practitioners in their implementation of EBPs (Figure 9). More than half of states (37 states, 66%) described coaching or mentoring to support practice. Fewer states reported using reflective supervision (7 states, 13%) and feedback loops (6 states, 11%). Two states (4%) reported using other strategies, including supervision with feedback and hands-on training with one-on-one consultation. Nine states (16%) reported that they provided support but did not specify the strategies they used. Seven states (13%) did not provide information about how they are supporting practitioners' use of EBPs.

Figure 9



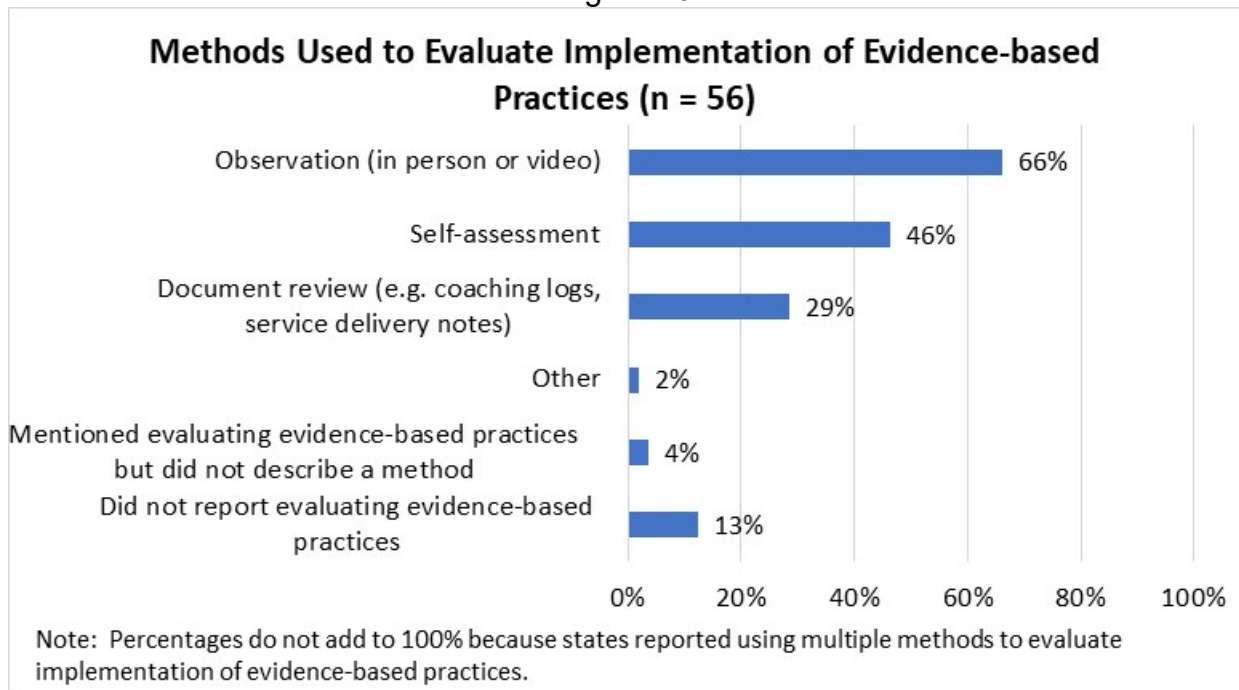
Methods Used to Evaluate Implementation of Evidence-based Practices

Forty-nine states (88%) described methods used in FFY 2018 to evaluate implementation of EBPs. States varied in the number of tools or methods they used to evaluate implementation of EBPs. While 19 states (34%) described one method, 23 states (41%) described two methods and five states (9%) described using three methods.

Figure 10 shows the methods states used to collect data for evaluating the implementation of EBPs. More than half of states (37 states, 66%) described

observation – both in-person and video – to assess practitioners’ implementation of EBPs. Slightly fewer than half of states (26, 46%) reported self-assessment for assessing practice. Sixteen states (29%) reported that they reviewed documents such as coaching logs and service delivery notes. One state (2%) described another method to assess practice: Institute for Healthcare Improvement (IHI) coaching calls. Two states (4%) mentioned evaluating the implementation of EBPs but did not specify a tool or method. Seven states (13%) did not report evaluating EBPs.

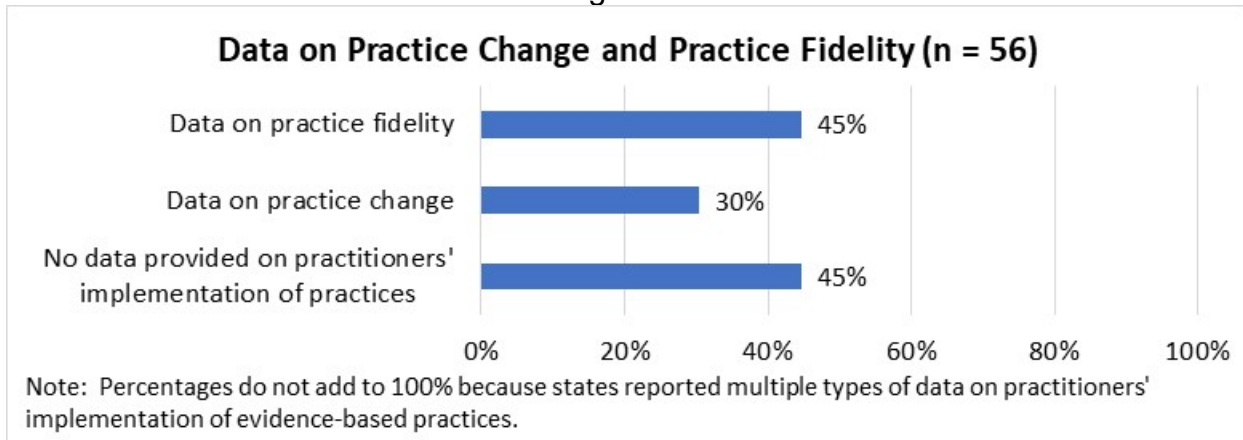
Figure 10



Data on Practice Change and/or Practice Fidelity

Figure 11 shows the types of data states reported on practice change and fidelity. Twenty-five states (45%) included data on practice fidelity, while 17 states (30%) included data on practice change. Twenty-five states (45%) did not report data on implementation of practices.

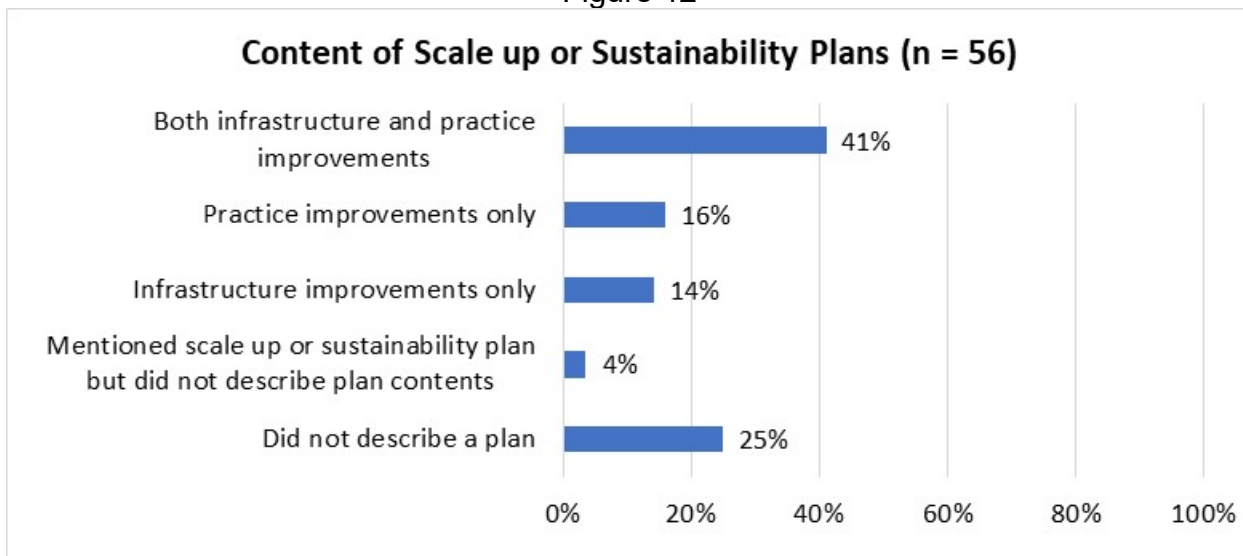
Figure 11



Scale up and Sustainability Plans

Most states (42 states, 75%) described plans for scaling up or sustaining improvements. Figure 12 shows that 23 states' (41%) included information about scaling up or sustaining both infrastructure and practice improvements. Nine states (16%) described plans for scaling up or sustaining only practice improvements, and eight states (14%) described such plans for only infrastructure improvements. Two states (4%) mentioned scale up or sustainability plans but did not specify content. Fourteen states (25%) did not describe scale up or sustainability plans.

Figure 12



Use of Evaluation Data for Mid-Course Corrections

Most states (38 states, 68%) reported that they used evaluation data to make mid-course corrections to their SSIP activities. For example, two states changed their selected EBPs based on piloting and feedback. Another state stopped its work on the

development of a practice profile to go back and clarify existing policies and practices, based on focus group data,

For 12 states (21%) it was unclear how states had used evaluation data to change the course of their SSIP. For example, while such states discussed continuous review of data, they did not always explicitly indicate if this resulted in mid-course corrections. Six states (11%) did not report using evaluation data for mid-course corrections.

STAKEHOLDER ENGAGEMENT

States were expected to engage stakeholders throughout the year in the implementation and evaluation of the SSIP and report on stakeholder involvement in SSIP Phase III – Year 4. For example, stakeholders might support the implementation of activities, review evaluation data, and participate in making decisions about adjustments or additions to existing plans.

Methods to Inform Stakeholders of Ongoing SSIP Implementation and Evaluation

Almost all states (54 states, 96%) included information in their reports about the formats used for informing stakeholders. Figure 13 shows that almost all states (53, 95%) reported that they inform stakeholders via in-person or virtual meetings of workgroups, task forces, committees, etc.

To a lesser extent, states reported informing stakeholders through:

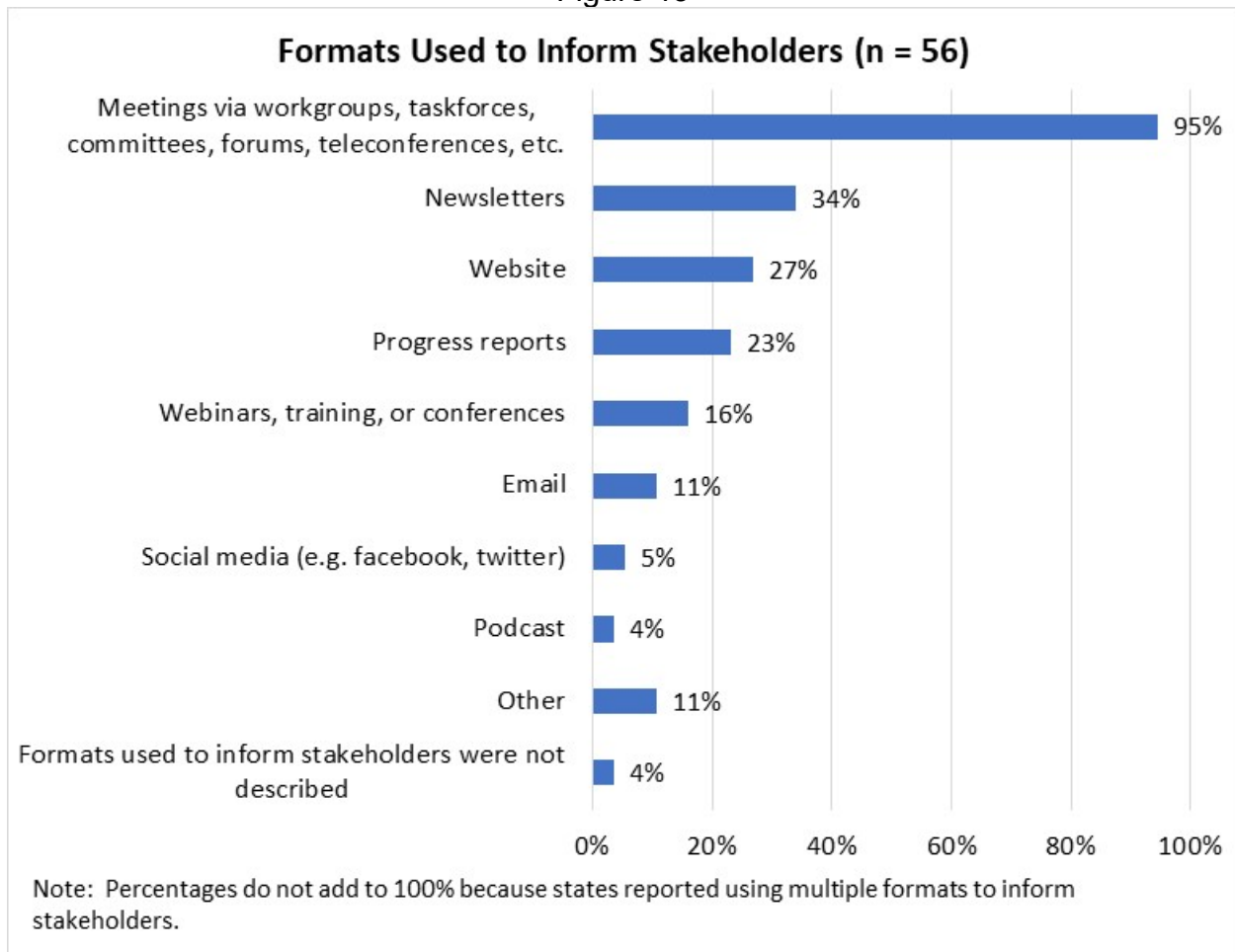
- Newsletters (19 states, 34%),
- Websites (15 states, 27%),
- Progress reports (13 states, 23%),
- Webinars (9 states, 16%),
- Email (6 states, 11%),
- Social media (3 states, 5%), and
- Podcasts (2 states, 4%).

Six states (11%) described other dissemination formats, including:

- A 'collaborative space',
- Testimonials on YouTube,
- Online discussion boards, and
- Listservs.

Two states of the six states (4%) reported stakeholder engagement but did not specify the formats they used to inform stakeholders.

Figure 13



Stakeholder Engagement in SSIP Implementation and Evaluation by Level of Interaction

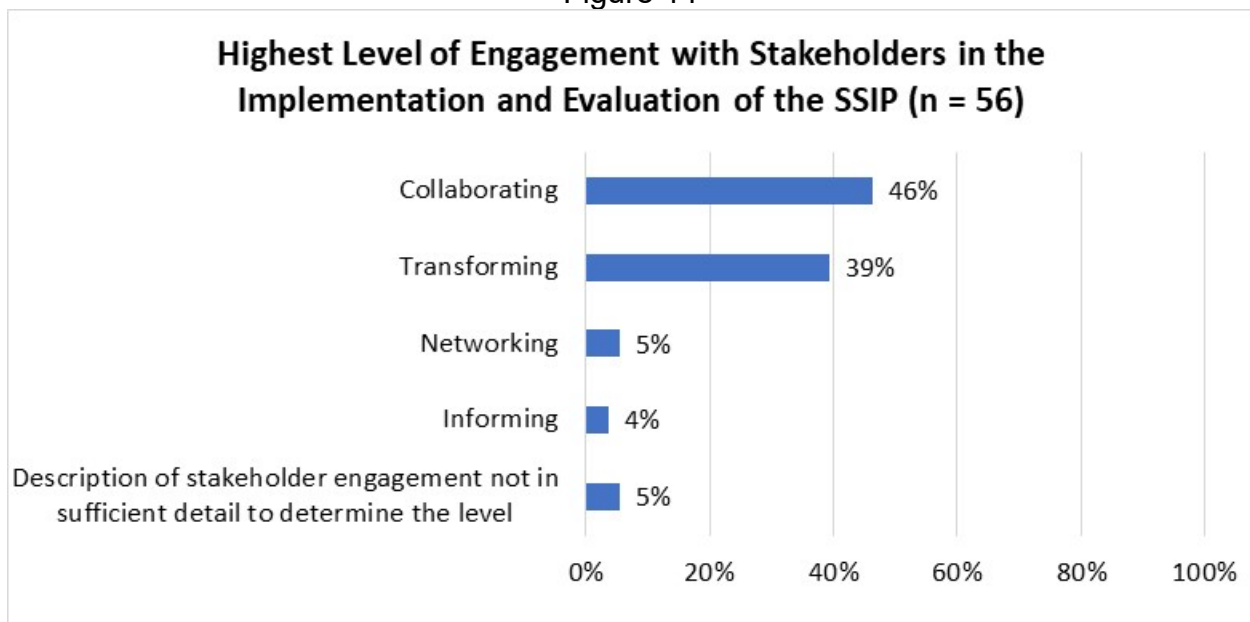
In addition to informing stakeholders about SSIP activities, states were expected to engage stakeholders throughout the year in the implementation and evaluation of the SSIP. Almost all states (53 states, 95%) described how they engaged stakeholders in decision-making to different degrees. Reviewers categorized states' reported stakeholder engagement using the Leading by Convening four degrees of interaction (listed from lowest to highest):

- **Informing:** Sharing or disseminating information with others who care about the issue.
- **Networking:** Asking others what they think about this issue and listening to what they say.
- **Collaborating:** Engaging people in trying to do something of value and working together around the issue.

- **Transforming:** Doing things The Partnership Way (leading by convening, cross-stakeholder engagement, shared leadership, consensus building).

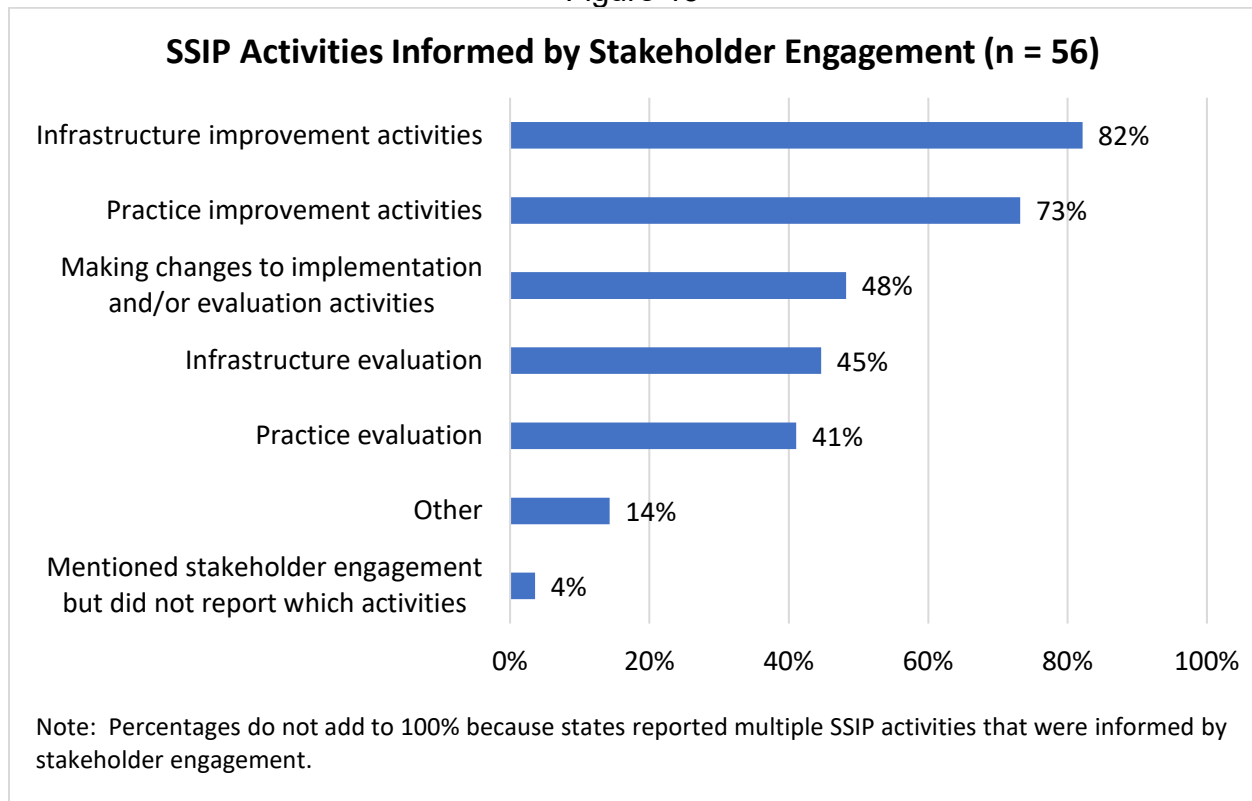
Reviewers selected the highest level of interaction described in the states' SSIP report. Figure 14 shows states' engagement of stakeholders in the implementation of the SSIP by level of interaction. Most states (48 states, 86%) reported that stakeholders participated at the level of Collaborating or Transforming, with 26 states (46%) at the level of Collaborating and 22 states (39%) at the level of Transforming. Fewer states (three states, 5%) reported engaging at a Networking level and two states (4%) reported engaging only at the Informing level. Three states (5%) did not provide enough information to determine the level of stakeholder engagement in the implementation of the SSIP.

Figure 14



Almost all states (54 states, 96%) described the activities in which stakeholders were engaged during SSIP Phase III – Year 4 (Figure 15). Activities included infrastructure and practice improvements, making changes to the SSIP, and infrastructure and practice evaluation. Most states described activities related to infrastructure improvement (46 states, 82%) and practice improvement (41 states, 73%). Slightly less than half of states reported that stakeholders were engaged in making changes to the SSIP (27 states, 48%) and in the evaluation of infrastructure (25 states, 45%) and practices (23 states, 41%). Eight states (14%) described other activities in which stakeholders were engaged, such as target setting for the SiMR and understanding data. Two states (4%) mentioned stakeholder engagement but did not report which activities.

Figure 15



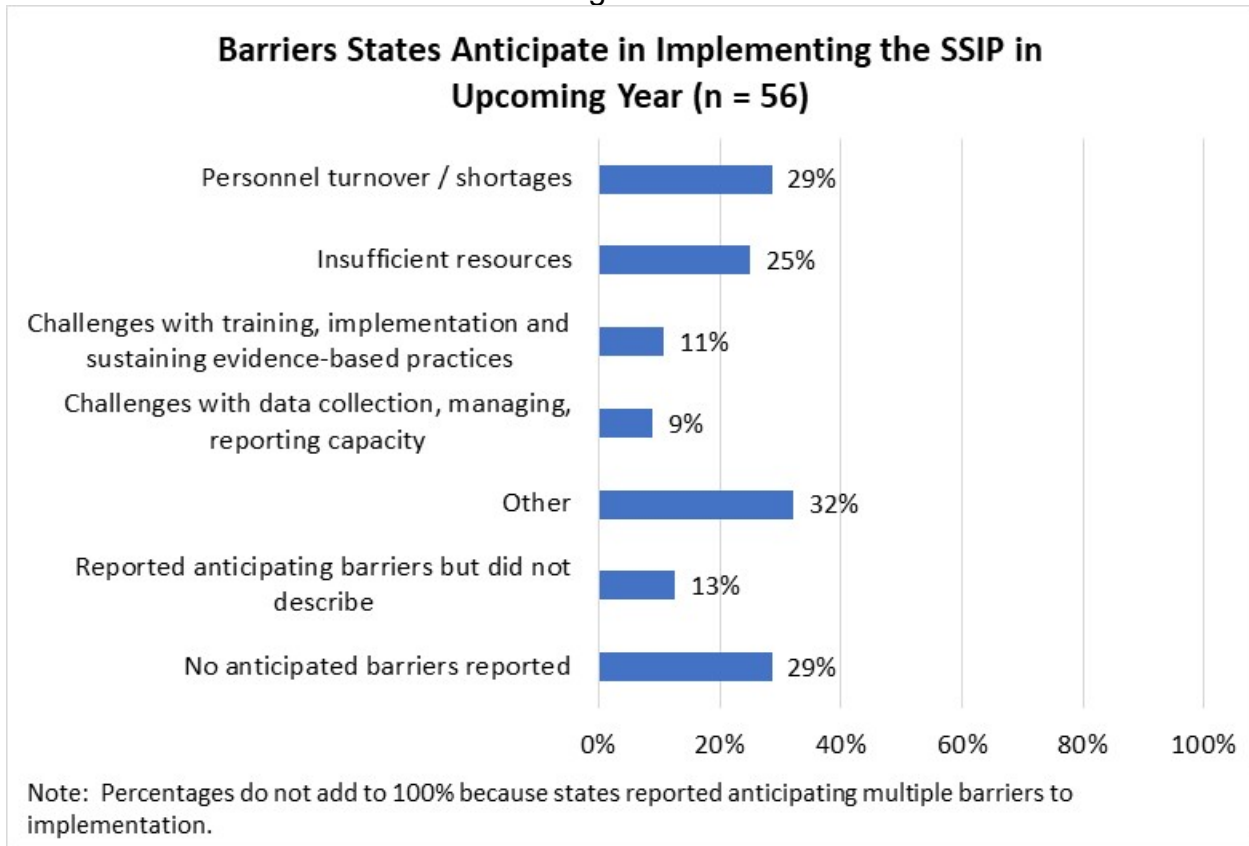
ANTICIPATED BARRIERS AND TECHNICAL ASSISTANCE NEEDS FOR NEXT YEAR

In the FFY 2018 SSIPs, it was common for states to describe implementation and evaluation challenges they had faced in the reporting year. However, for this report, reviewers identified barriers states anticipate facing in the coming year. States also reported the areas in which they anticipated needing technical assistance.

Anticipated Barriers

Forty states (71%) reported in the FFY 2018 SSIP that they anticipate barriers to SSIP implementation in the upcoming year. Figure 16 shows the anticipated barriers for the next year, with the most mentioned were personnel turnover and shortages (16 states, 29%) and insufficient resources (14 states, 25%). To a lesser extent, states reported anticipating challenges with training, implementation, and sustaining EBPs (6 states, 11%) and with data collection, management, and reporting (5 states, 9%). Eighteen states (32%) reported other anticipated barriers. These included communication barriers, staff readiness for change, and possible detrimental effects of COVID-19 pandemic on the SSIP due to the need to shift resources to support the field's conversion of service delivery to telehealth and virtual models. Another seven states (13%) reported anticipated barriers but did not describe them in detail. Sixteen states (29%) did not report anticipated barriers.

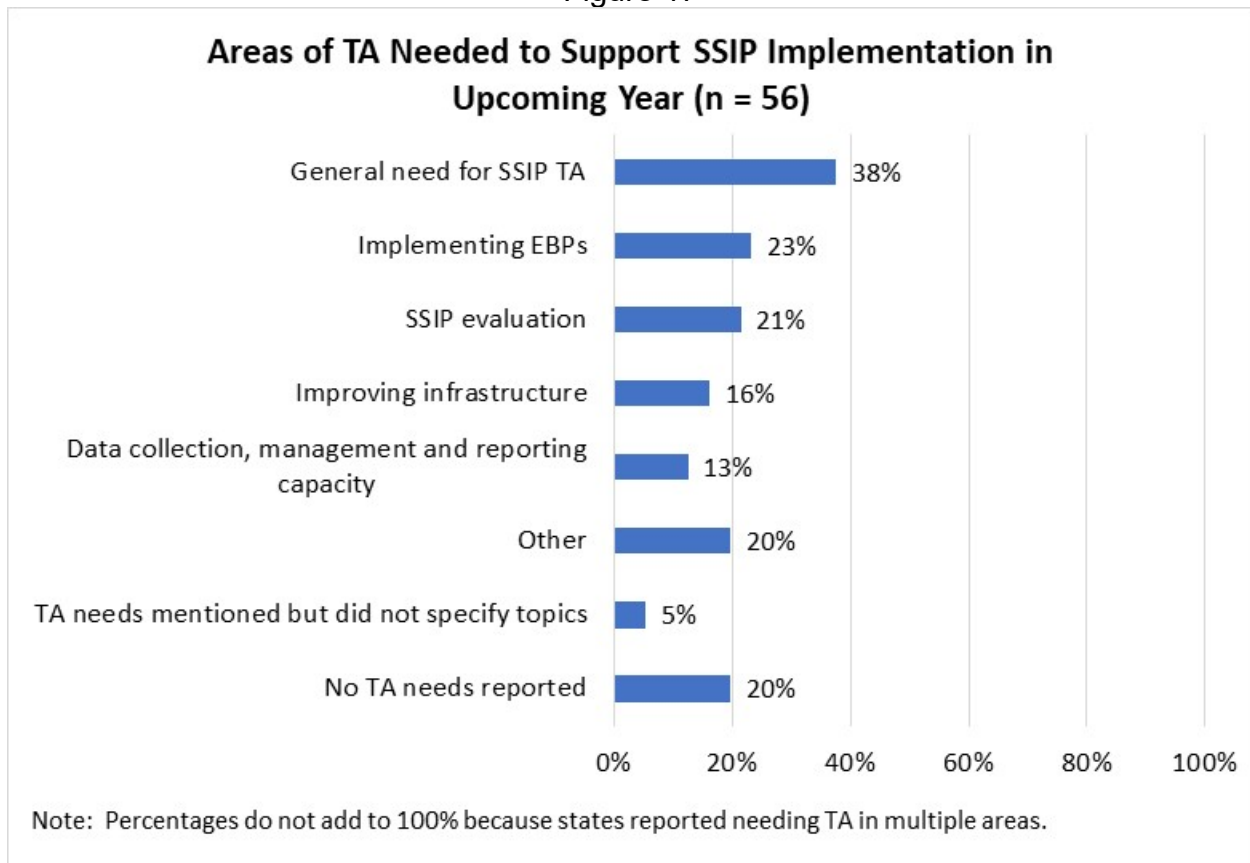
Figure 16



Technical Assistance Needs

Of the 56 SSIP Phase III – Year 4 reports reviewed, 45 states (80%) reported the need for technical assistance to support effective implementation of the SSIP over the next year. Figure 17 shows the specific areas of technical assistance (TA) identified by states. The most common areas of need were for general SSIP TA (21 states, 38%), implementing EBPs (13 states, 23%), and SSIP evaluation (12 states, 21%). Nine states (16%) reported a need for TA to improve infrastructure and seven states (13%) described a need for assistance with data collection, management, and reporting. Eleven states (20%) identified other TA needs, including help with professional development for coaching and mentoring, infant and early childhood mental health, Results-Based Accountability, resetting SiMR targets, and planning for the next iteration of the SSIP. Three states (5%) mentioned that they would need TA but did not specify the topics. Eleven states (20%) did not mention that they would need TA.

Figure 17



CONCLUSION

This analysis was based on a review of states' FFY 2018 Phase III – Year 4 reports and describes state data on the implementation and evaluation of their SSIPs. Specifically, states reported on progress in implementing activities to improve their infrastructure and to support implementation of EBPs, as well as their achievement of infrastructure outputs and outcomes and progress toward the SiMR. A few states reported making changes to their TOA. No states changed their SiMR or targets. Only one state changed its SiMR baseline.

Almost all states reported implementing infrastructure improvement activities, as well as activities to improve practices. Almost all states also reported meeting some outputs or outcomes across the various infrastructure components. Also, close to half of states reported the tool or method they used to determine achievement of infrastructure outcomes. States reported a variety of EBPs and models being implemented, with most states using DEC Recommended Practices, especially in the area of family practices. Most states described strategies for supporting practitioners in their implementation of EBPs: more than half of states identified coaching or mentoring as the strategy they use to support practice implementation. Most states also described methods for evaluating implementation of EBPs, primarily through observation and self-assessment. Almost

half of the reports included practitioner data on the implementation of practices, including both practice change and fidelity data.

Most of the states' reports included information about plans for scaling up or sustaining infrastructure and practice improvements. Most states also reported that they used evaluation data to make mid-course corrections to their SSIP activities. Based on SiMR data comparison, 18 states made progress on improving their SiMR from FFY 2017 and 18 states met their SiMR targets.

Almost all states reported the formats they used for informing stakeholders, most often citing in-person or virtual meetings of workgroups, task forces, committees, etc. Almost all states also reported that they engaged stakeholders at various levels in their SSIP during Phase III. Plans for next year and barriers anticipated for FFY 2019 were also identified in the SSIP. Personnel turnover and shortages and the lack of sufficient resources were identified by most states as barriers to ongoing implementation. Ten states also included effects of the COVID-19 pandemic as an anticipated barrier. Technical assistance needs for ongoing implementation of the SSIP included a general need for SSIP TA and specific needs for assistance implementing EBPs and evaluating the SSIP.