

# 2021 PART C FFY 2019 SPP/APR INDICATOR ANALYSIS BOOKLET

## TABLE OF CONTENTS

<b>Indicator 1 – Timely Receipt of Services</b> .....	<b>2</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 2 - Settings</b> .....	<b>5</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 3 – Early Childhood Outcomes</b> .....	<b>8</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 4 – Family Outcomes</b> .....	<b>22</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 5 – Child Find Birth to One</b> .....	<b>29</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 6 – Child Find Birth to Three</b> .....	<b>32</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 7 – 45-Day Timeline</b> .....	<b>35</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 8 – Early Childhood Transition</b> .....	<b>38</b>
<i>Prepared by the Early Childhood Technical Assistance Center (ECTA)</i>	
<b>Indicator 9 &amp; 10 – Dispute Resolution</b> .....	<b>45</b>
<i>Prepared by the Consortium for Appropriate Dispute Resolution in Special Education (CADRE)</i>	
<b>Indicator 11: State Systemic Improvement Plan</b> .....	<b>48</b>
<i>Completed by the Early Childhood Technical Assistance Center (ECTA) in collaboration with the Center for IDEA Early Childhood Data Systems (DaSy)</i>	

## **INDICATOR 1: TIMELY RECEIPT OF SERVICES**

Prepared by ECTA

**Indicator 1:** 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 2019 Annual Performance Reports (APRs) for 53 states. The Office of Special Education Programs (OSEP) determined that three states did not have valid and reliable data for FFY 2019 for this indicator. For the purpose of this report, the term “state” is used for both states and entities.

### **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.

### **FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figure 1a illustrates current data (FFY 2019) and trend data over the last six reporting years (FFY 2014 to FFY 2019) for this indicator. For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and Table 1b shows the national mean, range, and number of states with no data.

**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C1 DATA  
PERCENT RECEIVING TIMELY SERVICES

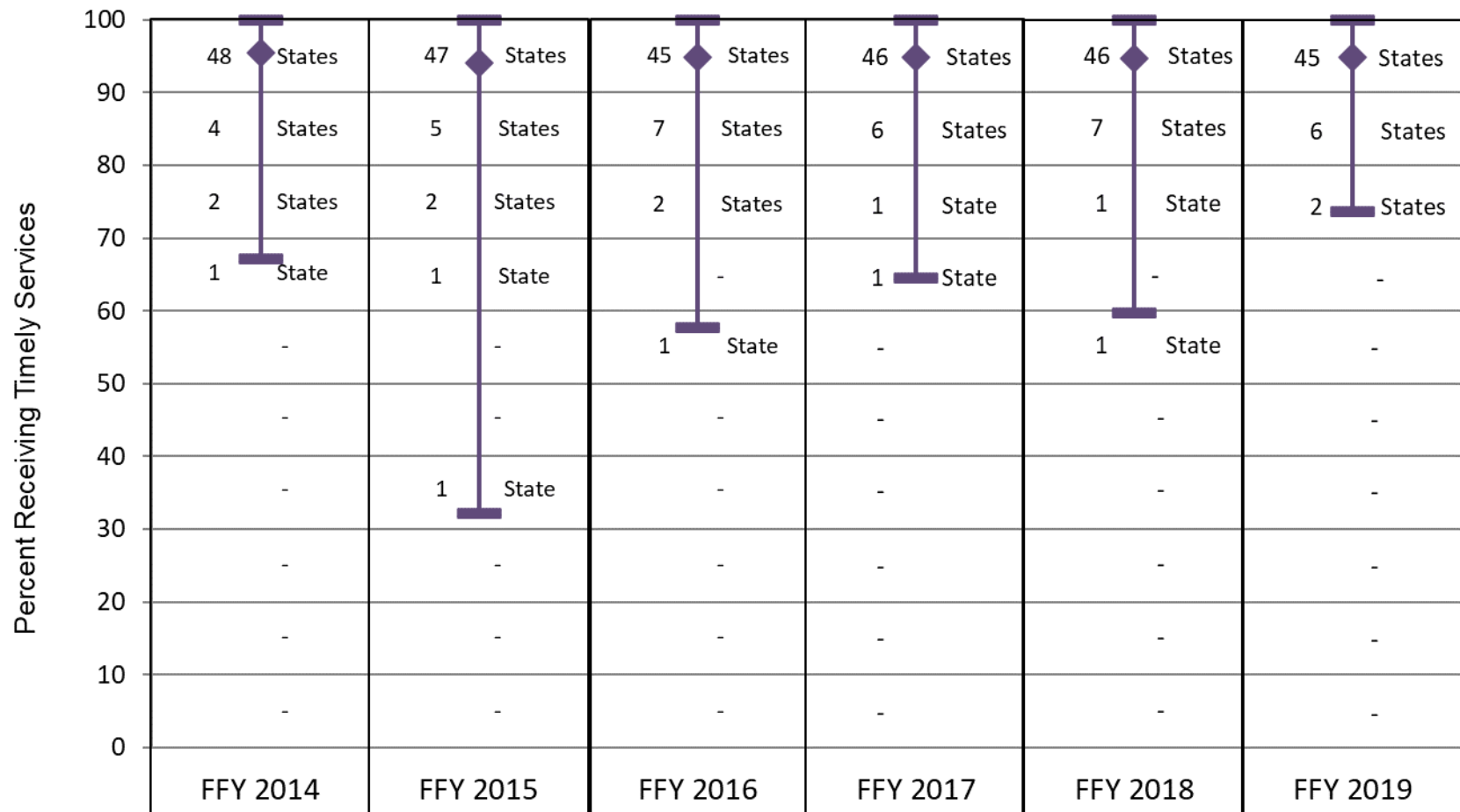


Figure 1a illustrates that national performance for FFY 2019 has improved slightly over the previous six years' performance as the data are more concentrated around the mean. Table 1b further shows that the mean has remained consistent across the years, but FFY 2019 is the highest performing year for the six-year trend analysis with the lowest score being 74%, 42 percentage points higher than the FFY 2016 minimum (32%) and 14 percentage points higher than FFY 2018 (60%). It is noteworthy however that there is no data reported for three states for FFY2019 which is the highest number over the six-year period.

**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C1 Timely Services**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	95	94	95	95	95	95
Highest	100	100	100	100	100	100
Lowest	67	32	58	65	60	74
No Data	1	0	1	2	1	3

## **INDICATOR 2: SETTINGS**

Prepared by ECTA

**Indicator 2:** 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 2019 APRs for 56 states. For the purposes of this report, the term “state” is used for both states and entities.

### **DATA SOURCES**

The data for this indicator are from the Section 618 IDEA Part C Child Count and Settings 2019-2020 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, 2019. “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.

### **FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figure 1a illustrates current data (FFY 2019) and trend data over the last six reporting years, from FFY 2014 to FFY 2019. For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and Table 1b below the chart shows the national mean, range, and number of states with no data.

**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C2 DATA  
 PERCENT RECEIVING SERVICES IN HOME AND COMMUNITY SETTINGS

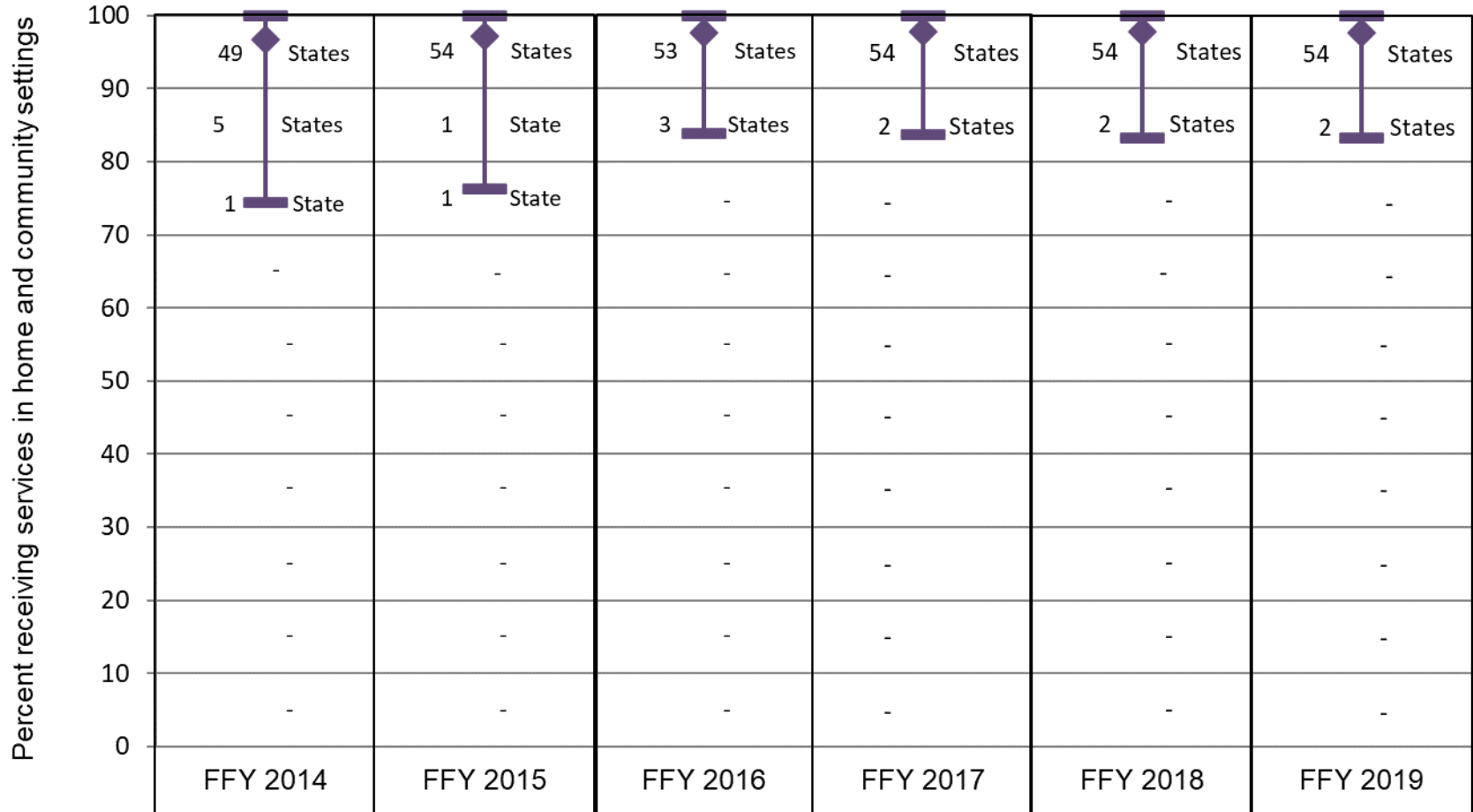


Figure 1a illustrates that national performance for FFY 2019 has been consistent over the past four years which represents a slight improvement over FFY 2014 and FFY 2015 performance. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean being 98% over the past four years (a slight improvement over previous years) and the range minimum being 83% or 84% wherein it was previously reported as 74% and 76% for FFY 2014 and FFY 2015 respectively.

**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C2 Home and Community Settings**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	97	97	98	98	98	98
Highest	100	100	100	100	100	100
Lowest	74	76	84	84	83	83
No Data	1	0	0	0	0	0

## **INDICATOR 3: INFANT & TODDLER OUTCOMES**

Prepared by ECTA

**Indicator 3:** Percent of infants and toddlers with IFSPs who demonstrate improved:

- A. Positive social-emotional skills (including social relationships);
- B. Acquisition and use of knowledge and skills (including early language/communication); 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. This summary is based on information reported by 56 states and entities in their FFY 2019 Annual Performance Reports (APRs). For the purposes of this report, the term “state” is used for both states and entities. 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**  
**State Approaches to Child Outcomes Measurement (FFY 2019)**

<b>Child Outcome Measurement Approach</b>	<b>Count</b>	<b>Percent</b>
COS process	40	71.4%
One tool statewide	8	14.3%
Publisher online system	4	7.1%
Other	4	7.1%
<b>TOTAL</b>	<b>56</b>	<b>100%</b>

Source: <https://ectacenter.org/eco/pages/childoutcomes.asp>

**FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figures 1a through 6a illustrate current data (FFY 2019) and trend data for summary statements one and two for each of the three outcome areas over the last six reporting years (FFY 2014 to FFY 2019). For each reporting year, the number of states within each ten-percentage point range are shown, and the tables below each chart show the national mean, range, and number of states with no data each year.

**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C3A DATA  
 POSITIVE SOCIAL-EMOTIONAL SKILLS-SUMMARY STATEMENT 1

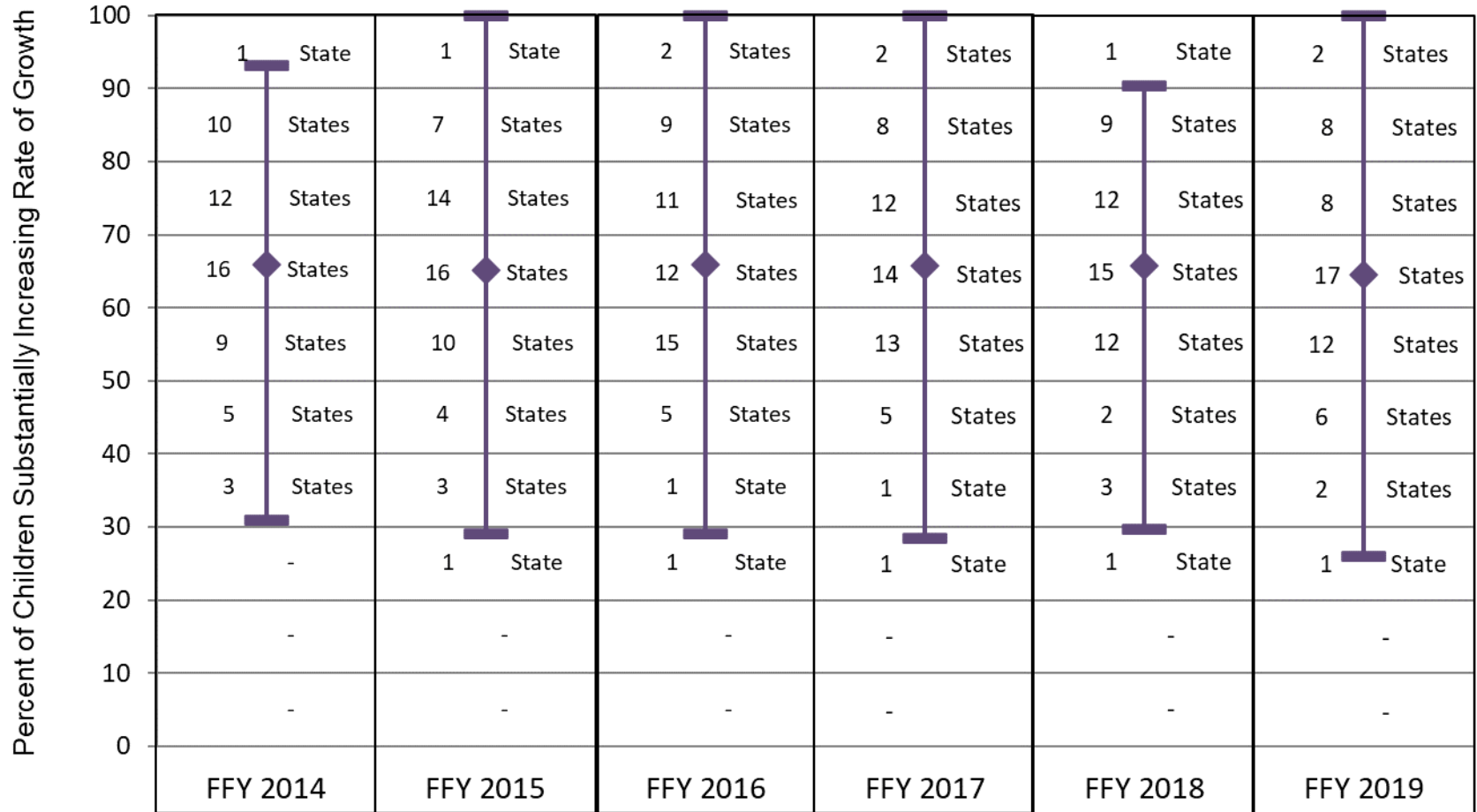


Figure 1a illustrates that national performance for Indicator 3A: Positive Social-Emotional Skills Summary Statement 1 has been consistent over the past six years with marginal slippage in FFY 2019. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean consistently found between 64% and 66% with the range spanning between 60-74 percentage points throughout the period. FFY 2018 is the only period in which one state had no data to report.

**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C3A1 Positive Social-Emotional Skills**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	66	65	66	66	66	64
Highest	93	100	100	100	90	100
Lowest	31	29	29	29	30	26
No Data	0	0	0	0	1	0

**Figure 2a**

TRENDS - SIX YEARS OF INDICATOR C3A DATA  
 POSITIVE SOCIAL-EMOTIONAL SKILLS- SUMMARY STATEMENT 2

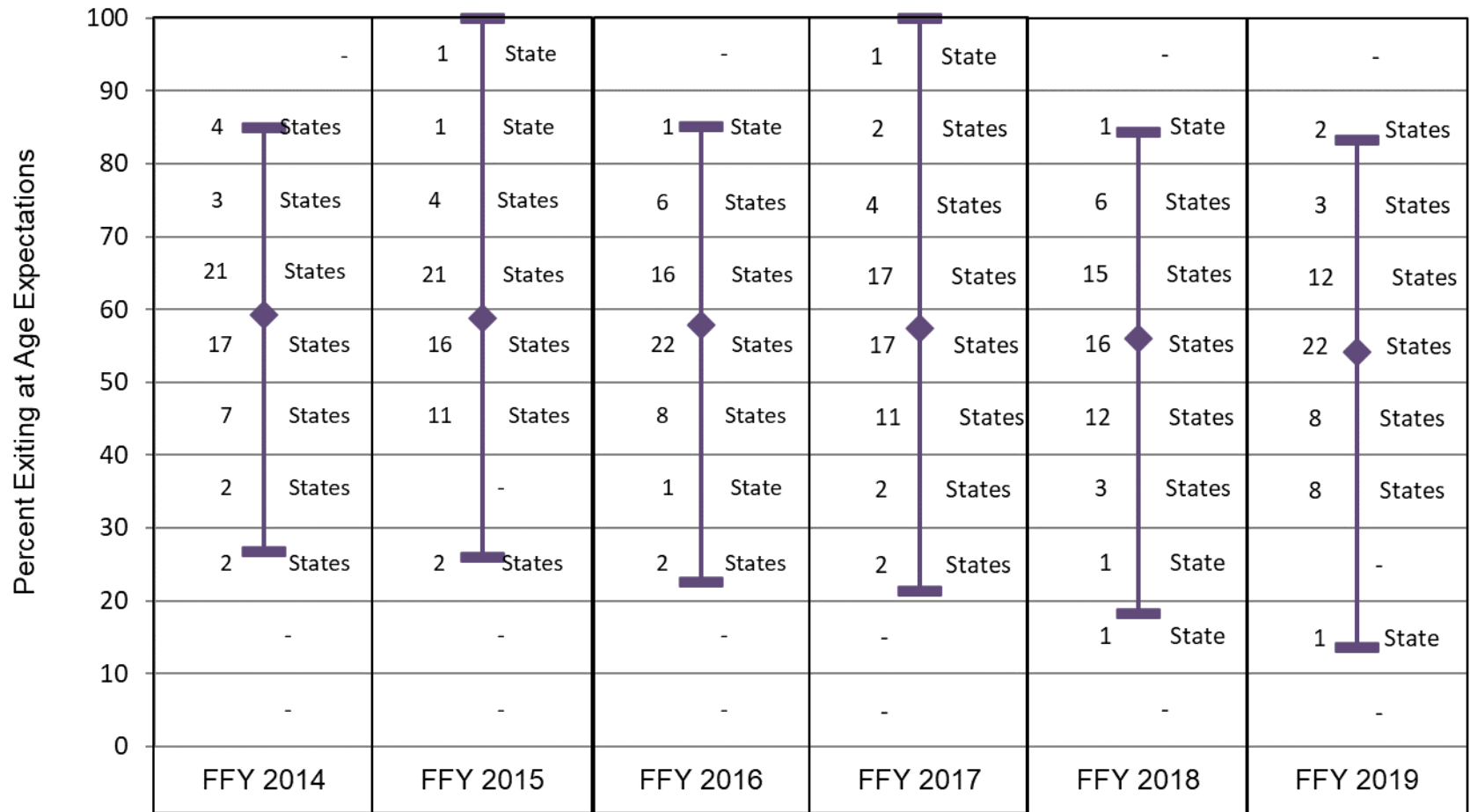


Figure 2a illustrates that national performance for Indicator 3A: Positive Social-Emotional Skills Summary Statement 2 has steadily declined over the past six years. Table 2b illustrates the same trend using data on the mean and the range of scores with the mean gradually falling from a high of 59% to 54% in FFY 2019. Likewise, data for FFY 2019 shows the range spanning between 83% and 14%, which represents the smallest high and low values for the six-year period. It should be noted that during this same period, states were actively engaged in planning and implementing their State Systemic Improvement Plans which have state-identified measurement results (SiMRs) which primarily target improvements in child outcomes measurement. So while the measurement scores have decreased, states are employing better measurement techniques which are indicative of a more accurate picture of child outcomes across the country.

**Table 2b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C3A2 Positive Social-Emotional Skills**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	59	59	58	57	56	54
Highest	85	100	85	100	84	83
Lowest	27	26	23	21	18	14
No Data	0	0	0	0	1	0

**Figure 3a**

TRENDS - SIX YEARS OF INDICATOR C3B DATA  
ACQUISITION AND USE OF KNOWLEDGE AND SKILLS- SUMMARY STATEMENT 1

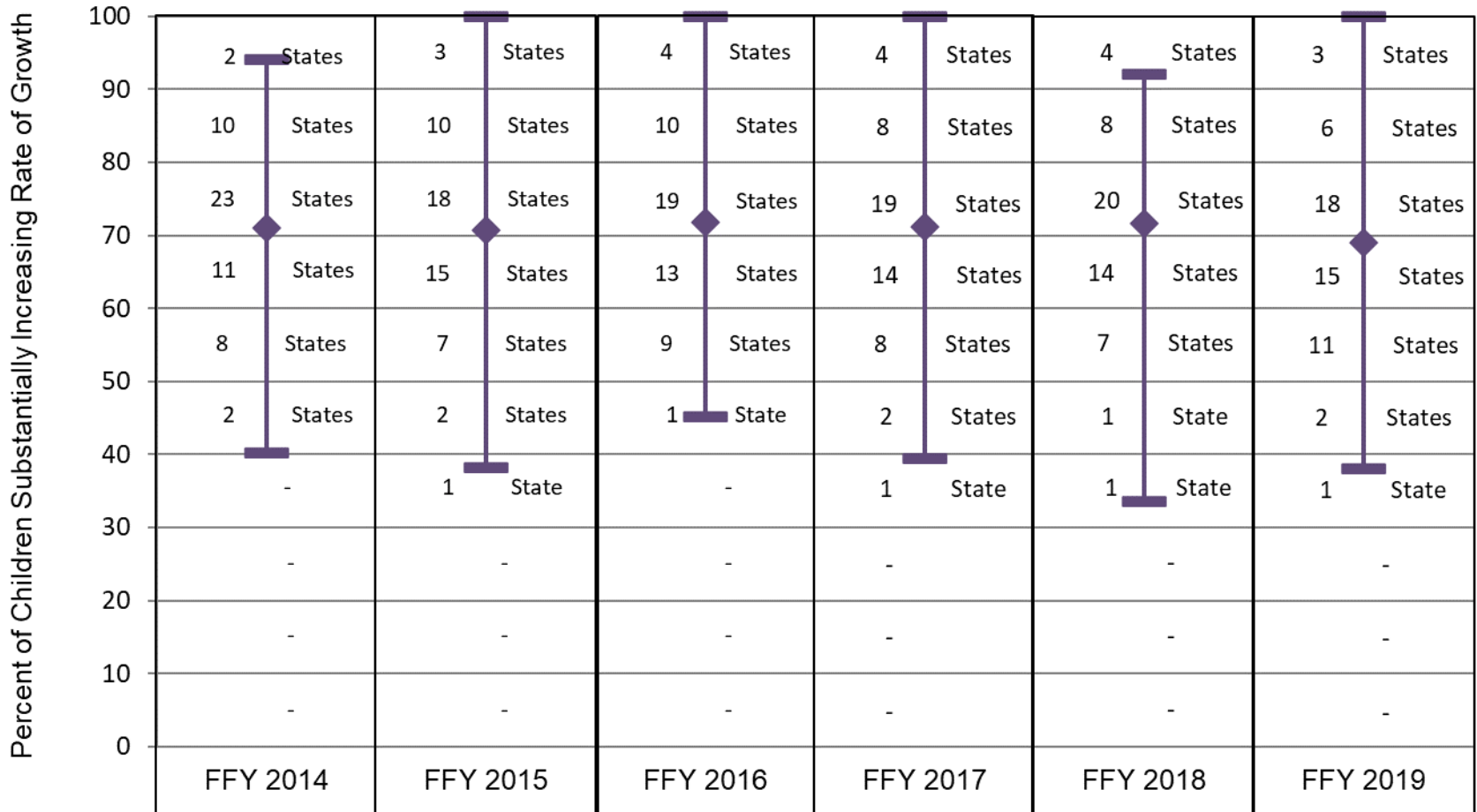


Figure 3a illustrates that national performance for Indicator 3B: Acquisition and Use of Knowledge and Skills Summary Statement 1 has been consistent over the past six years with the range of scores spanning between 55-62 percentage points. Some slippage is noted between FFY 2018 and FFY 2019. Table 3b illustrates the same trend using data on the mean and the range of scores with the mean falling slightly from 72% to 69% in FFY 2019. FFY 2018 is the only period in which one state had no data to report.

**Table 3b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C3B1 Acquisition and Use of Knowledge and Skills**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	71	71	72	71	72	69
Highest	94	100	100	100	92	100
Lowest	40	38	45	39	34	38
No Data	0	0	0	0	1	0

**Figure 4a**

TRENDS - SIX YEARS OF INDICATOR C3B DATA  
ACQUISITION AND USE OF KNOWLEDGE AND SKILLS- SUMMARY STATEMENT 2

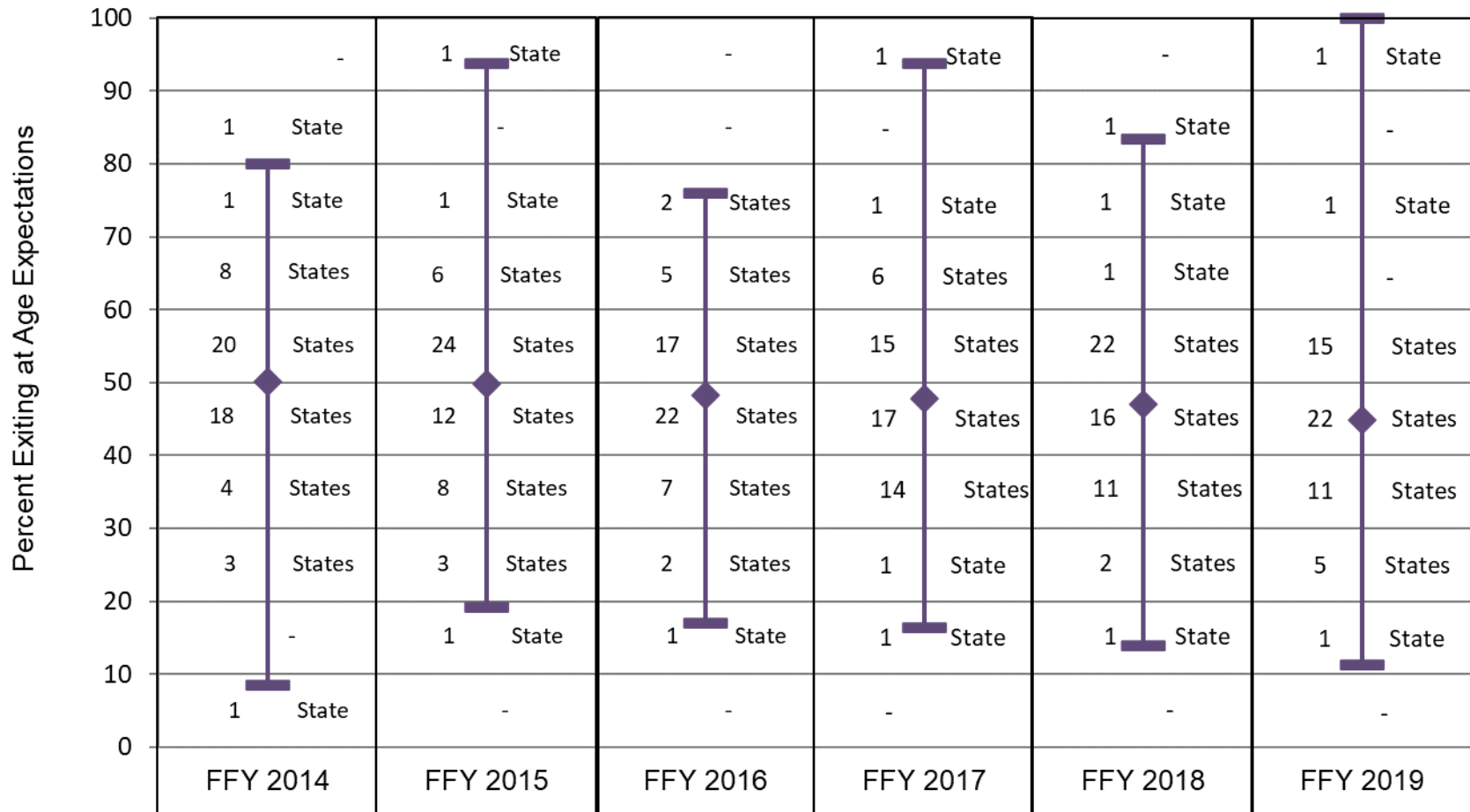




Figure 4a illustrates that national performance for Indicator 3B: Acquisition and Use of Knowledge and Skills Summary Statement 2 has steadily declined over the past six years. Table 4b illustrates the same trend using data on the mean and the range of scores with the mean gradually falling from a high of 50% to 45% in FFY 2019 and the range span widening to between 100% and 11%. FFY 2018 is the only period in which one state had no data to report. As noted above, this is a period in which states were actively engaged in planning and implementing their State Systemic Improvement Plans which have state-identified measurement results (SiMRs) which primarily target improvements in child outcomes measurement. So while the measurement scores have decreased, states are employing better measurement techniques which are indicative of a more accurate picture of child outcomes across the country.

**Table 4b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C3B2 Acquisition and Use of Knowledge and Skills**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	50	50	48	48	47	45
Highest	80	94	76	94	83	100
Lowest	9	19	17	16	14	11
No Data	0	0	0	0	1	0

**Figure 5a**

TRENDS - SIX YEARS OF INDICATOR C3C DATA  
 USE OF APPROPRIATE BEHAVIORS TO MEET NEEDS- SUMMARY STATEMENT 1

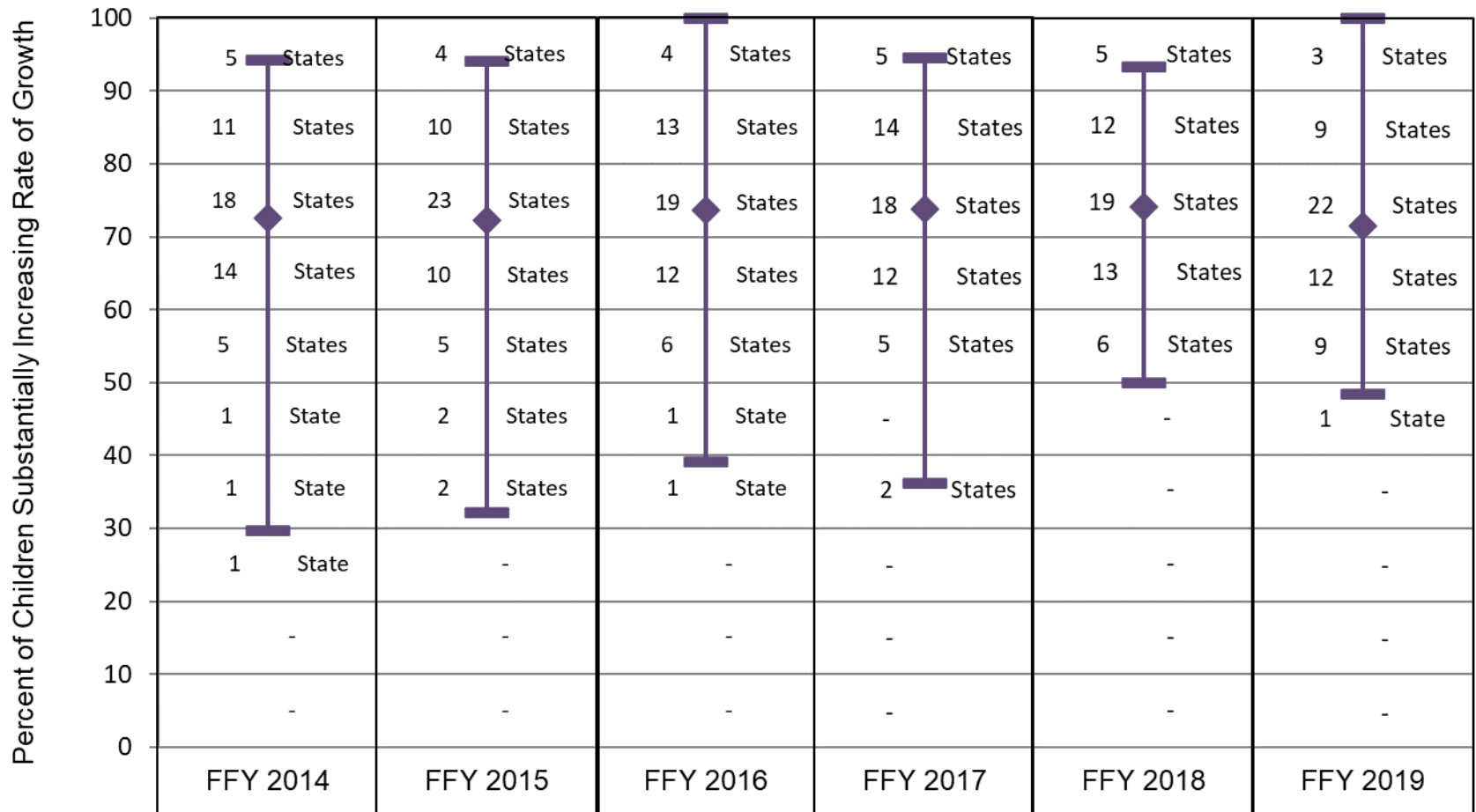


Figure 5a illustrates that national performance for Indicator 3C: Use of Appropriate Behaviors to Meet their Needs Summary Statement 1 has been consistent over the past six years with some slippage in FFY 2019. The wide span of the range narrowed from previous years in FFY 2018 but returned to the previous spread of about 50+ percentage points in FFY 2019. Table 5b illustrates the same trend using data on the mean and the range of scores with the mean falling slightly from 74% to 72% in FFY 2019. FFY 2018 is the only period in which one state had no data to report.

**Table 5b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C3C1 Use of Appropriate Behaviors to Meet Their Needs**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	73	72	74	74	74	72
Highest	94	94	100	95	93	100
Lowest	30	32	39	36	50	48
No Data	0	0	0	0	1	0

**Figure 6a**

TRENDS - SIX YEARS OF INDICATOR C3C DATA  
 USE OF APPROPRIATE BEHAVIORS TO MEET NEEDS- SUMMARY STATEMENT 2

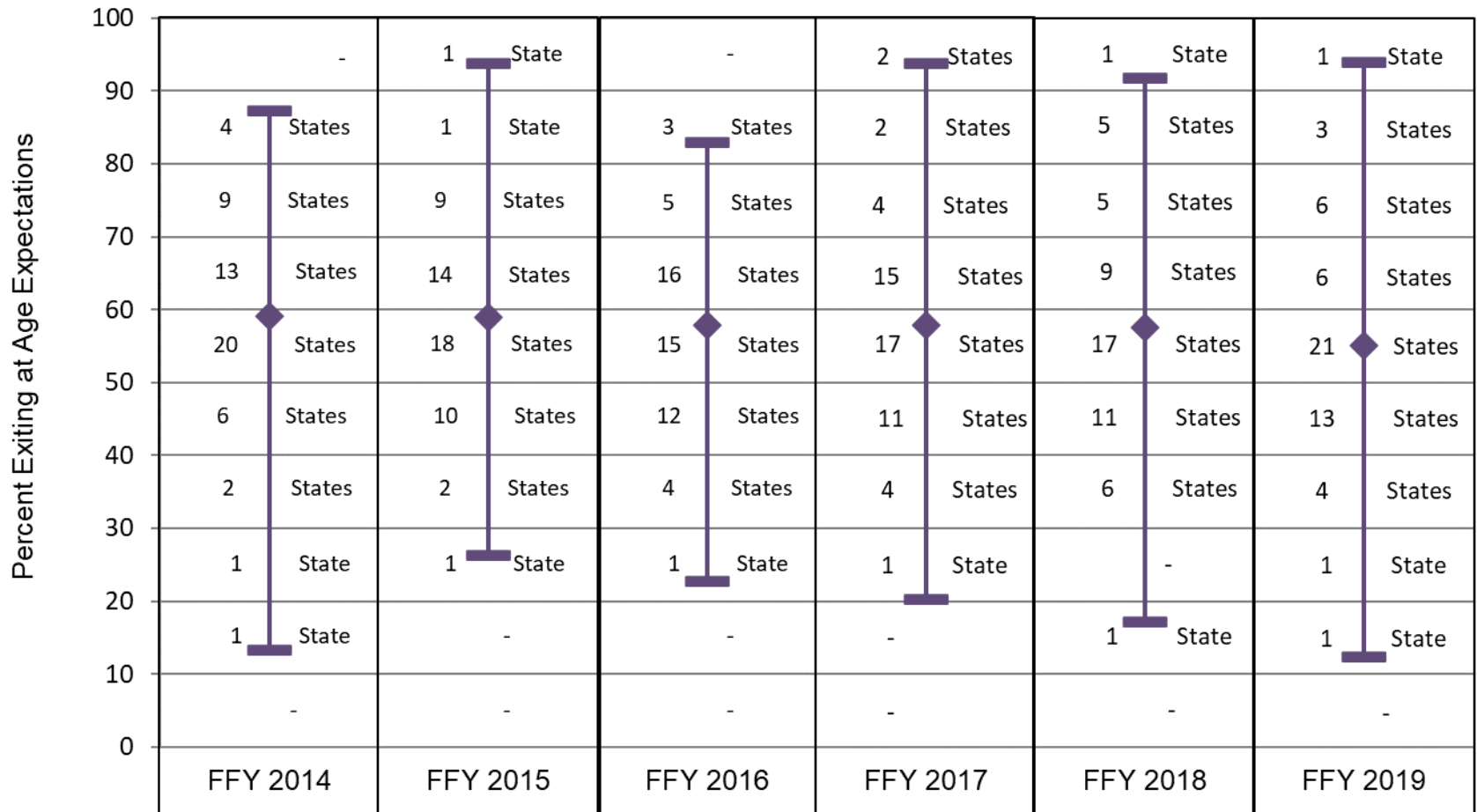


Figure 6a illustrates that national performance for Indicator 3C: Use of Appropriate Behaviors to Meet their Needs Summary Statement 2 has gradually declined over the past six years. Table 6b illustrates the same trend using data on the mean and the range of scores with the mean falling from a high of 59% to 55% in FFY 2019 and the range span widening to between 94% and 12%. FFY 2018 is the only period in which one state had no data to report. Again it is noteworthy that during this same period, states were actively engaged in planning and implementing their State Systemic Improvement Plans which have state-identified measurement results (SiMRs) which primarily target improvements in child outcomes measurement. So while the measurement scores have decreased, states are employing better measurement techniques which are indicative of a more accurate picture of child outcomes across the country.

**Table 6b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C3C2 Use of Appropriate Behaviors to Meet Their Needs**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	59	59	58	58	58	55
Highest	87	94	83	94	92	94
Lowest	13	26	23	20	17	12
No Data	0	0	0	0	1	0

## **INDICATOR 4: FAMILY OUTCOMES**

Prepared by ECTA

**Indicator 4:** Percent of families participating in Part C who report that early intervention services have helped the family:

- (A) Know their rights
- (B) Effectively communicate their children's needs
- (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 entities are referred to as “states” for the remainder of this summary. Analysis of Indicator 4 for FFY 2019 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.

### **FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figures 1a through 3a show the current data (FFY 2019) and trend data over the last six reporting years (FFY 2014 to FFY 2019) for each of the three family outcome sub-indicators. For each reporting year, the number of states represented within each ten-percentage point range is shown in each chart, and the tables below the charts show the national means, ranges, and number of states with no data.

**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C4A DATA  
 PERCENT - EARLY INTERVENTION HELPED THE FAMILY KNOW THEIR RIGHTS

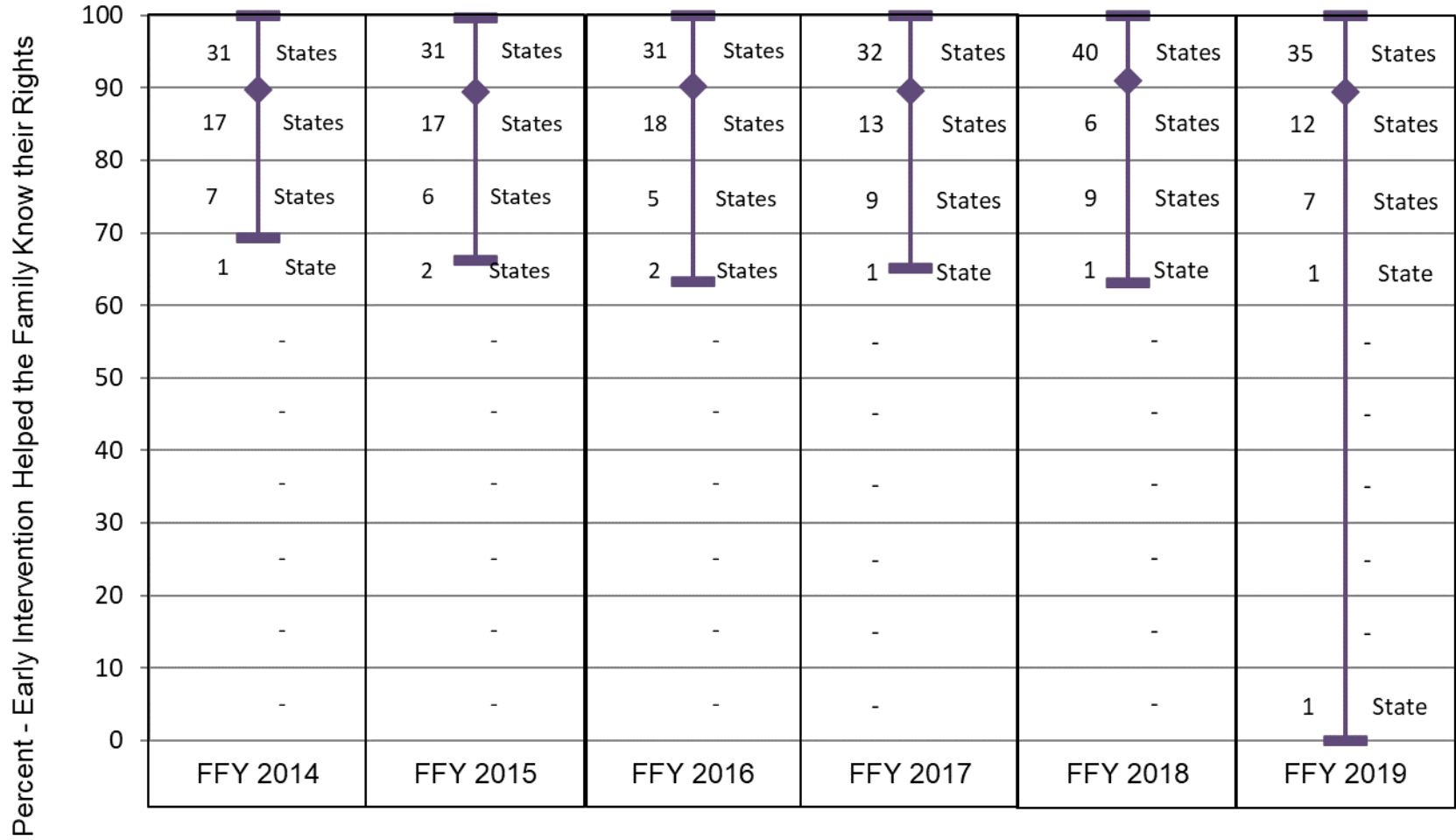


Figure 1a illustrates that national performance on this indicator has been consistent throughout the six-year period apart from FFY 2019 when the results for one state skewed the range and the mean downwards. Table 1b shows the same trend using data on the mean and the range of scores with the mean holding between 89% and 91% throughout the period and the lowest score dropping from 63% (FFY 2016, FFY 2018) to 0% (FFY 2019). FFY 2017 was the only year wherein one state had no data.

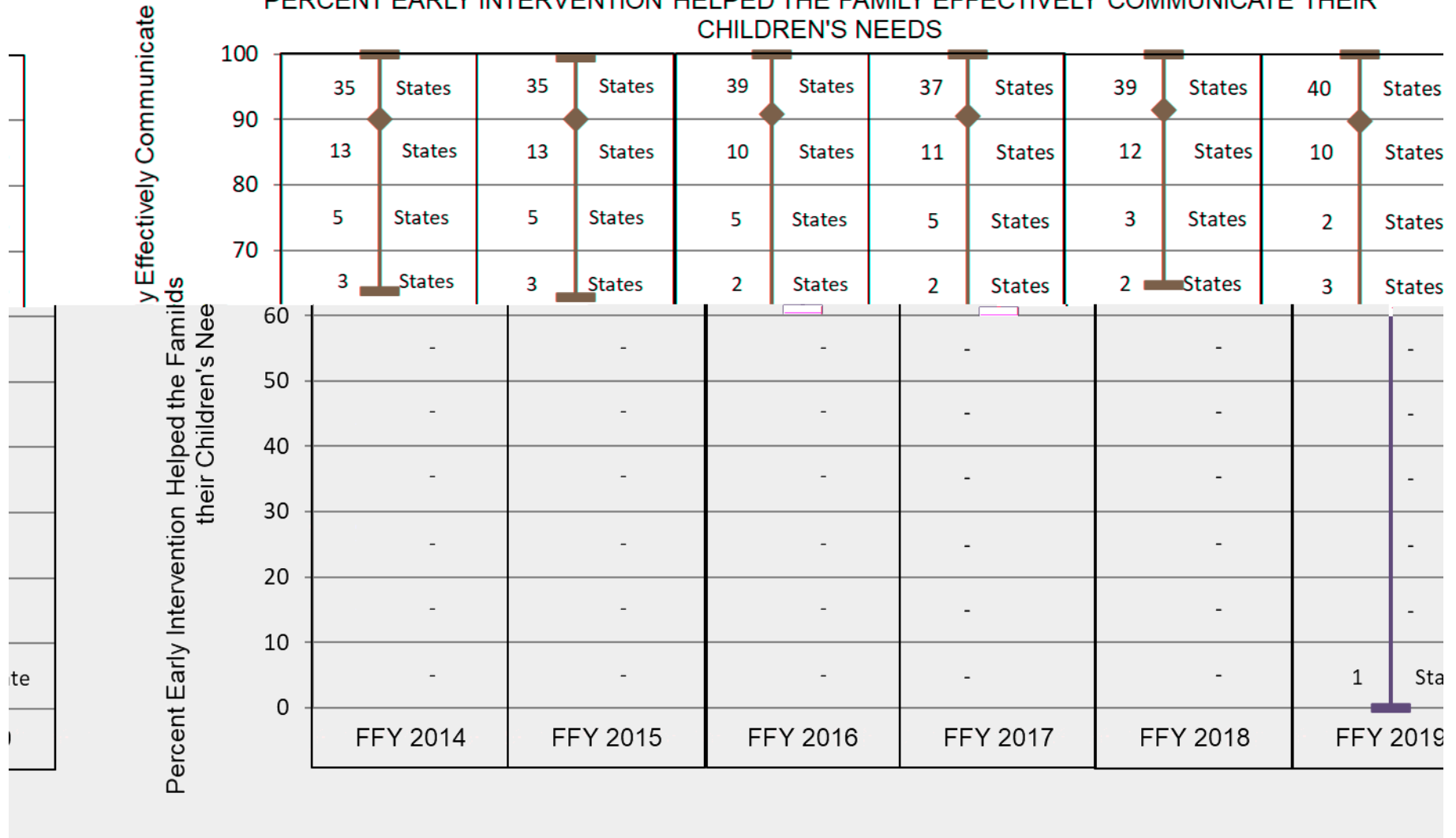
**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C4A Know Their Rights**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	90	89	90	90	91	89
Highest	100	100	100	100	100	100
Lowest	69	66	63	65	63	0
No Data	0	0	0	1	0	0



Figure 2a

TRENDS IN EARLY INTERVENTION CATEGORIES  
 PERCENT EARLY INTERVENTION HELPED THE FAMILY EFFECTIVELY COMMUNICATE THEIR CHILDREN'S NEEDS



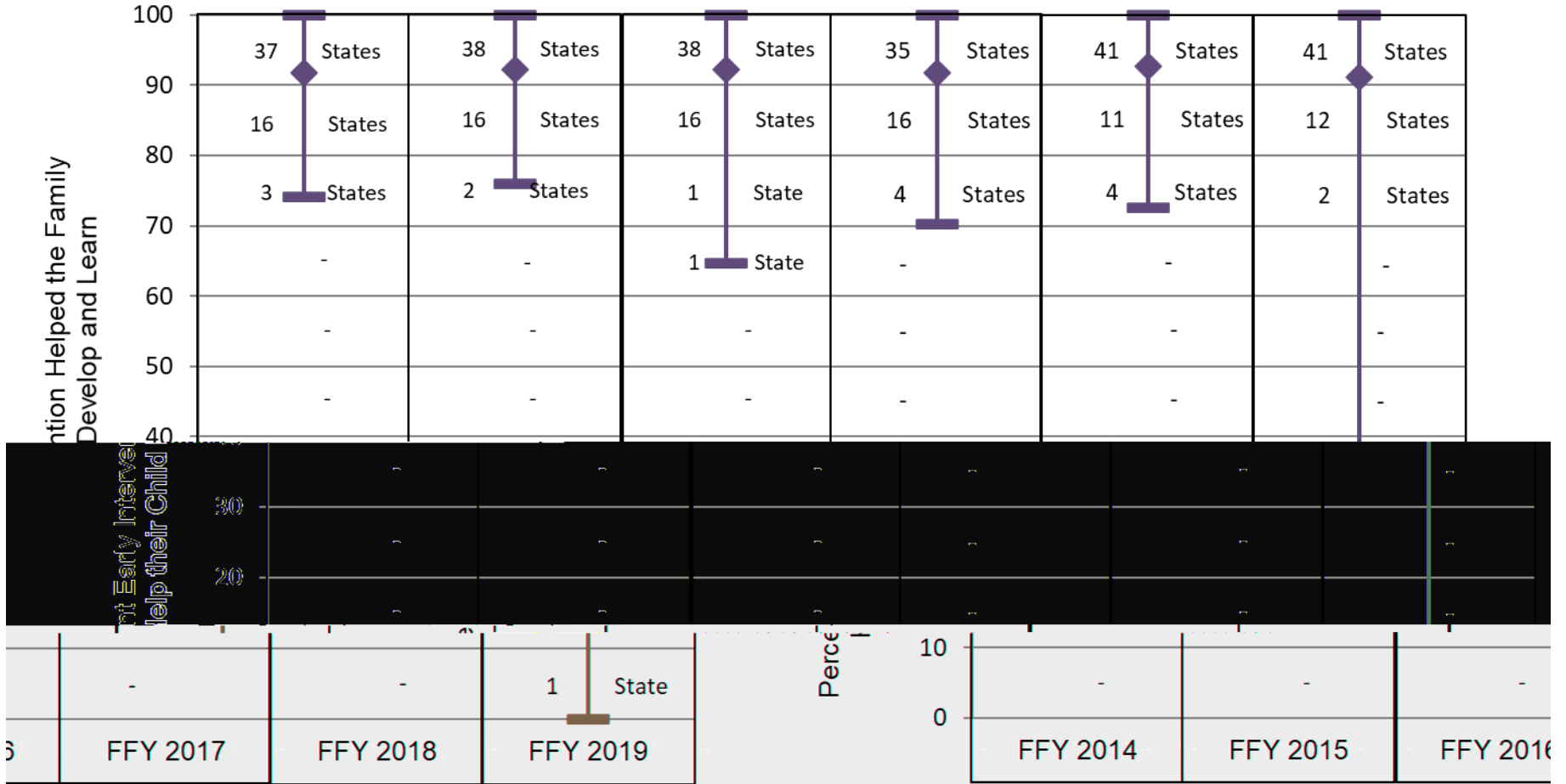
Like Figure 1a above, Figure 2a illustrates that national performance on this indicator has been consistent throughout the six-year period apart from FFY 2019 when the results for one state skewed the range and the mean downwards. Table 1b shows the same trend using data on the mean and the range of scores with the mean holding between 90% and 91% throughout the period and the lowest score dropping from 61% (FFY 2016, FFY 2017) to 0% (FFY 2019). FFY 2017 was the only year wherein one state had no data.

**Table 2b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C4B Effectively Communicate Their Children's Needs**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	90	90	91	91	91	90
Highest	100	100	100	100	100	100
Lowest	64	63	61	61	65	0
No Data	0	0	0	1	0	0

**Figure 3a**

TRENDS - SIX YEARS OF INDICATOR C4C DATA  
 EARLY INTERVENTION HELPED THE FAMILY HELP THEIR CHILD DEVELOP AND LEARN



Again, Figure 3a illustrates that national performance on this indicator has been consistent throughout the six-year period apart from FFY 2019 when the results for one state skewed the range and the mean downwards. Table 3b shows the same trend using data on the mean and the range of scores with the mean holding between 91% and 93% throughout the period and the lowest score dropping from 65% (FFY 2016) to 0% (FFY 2019). FFY 2017 was the only year wherein one state had no data.

**Table 3b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C4C Help Their Children Develop and Learn**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	92	92	92	92	93	91
Highest	100	100	100	100	100	100
Lowest	74	76	65	70	73	0
No Data	0	0	0	1	0	0

## **INDICATOR 5: CHILD FIND BIRTH TO ONE**

Prepared by ECTA

**Indicator 5:** 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 2019 APRs from 56 states. For the purposes of this report, the term “state” is used for both states and entities.

### **DATA SOURCES**

For Indicator 5, OSEP provided states with pre-populated data from the Section 618 data collection (U.S. Department of Education, EDFacts Metadata and Process System, IDEA Part C Child Count and Settings Survey, 2019). Data were extracted as of July 8, 2020.

The Section 618 data are calculated using data from the “Annual Report of Children Served” tables (<https://www2.ed.gov/programs/osepidea/618-data/static-tables/index.html>) as well as data from the U.S. Bureau of the Census (<http://www.census.gov/popest>). Entities 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 2019 national percentage of infants and toddlers ages birth to age one receiving early intervention services under IDEA is 1.37%. 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.

### **FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figure 1a illustrates current data (FFY 2019) for child find birth to one and trend data over the last six reporting years (FFY 2014 to FFY 2019). For each reporting year, the number of states represented within each one-percentage point range is shown in the chart. The table below the chart shows the national mean, range, and number of states with no data.

**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C5 DATA  
 PERCENT OF INFANTS AND TODDLERS BIRTH TO ONE WITH IFSPS

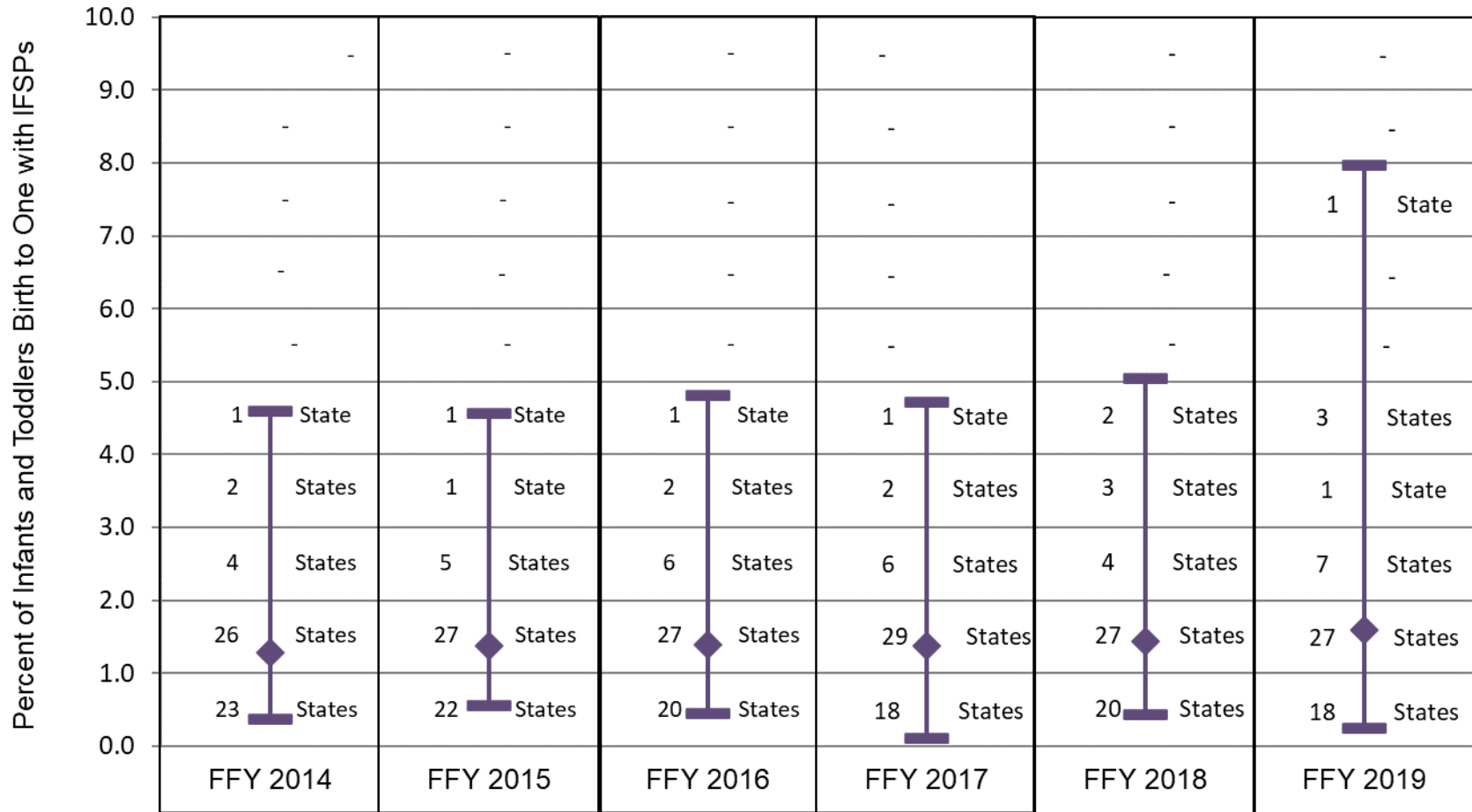


Figure 1a illustrates that national performance for FFY 2019 has been consistent over the past six years with the exception of one outlier which saw an unusually significant increase in the percentage of children served between FFY 2018 and FFY 2019. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean being 1.4% between FFY 2015 and FFY 2018. FFY 2019 is listed at 1.6% largely due to the skewing effect of one state's data.

**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator 5 Infants and Toddlers Birth to One with IFSPs**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	1.3	1.4	1.4	1.4	1.4	1.6
Highest	4.6	4.6	4.8	4.7	5.0	8.0
Lowest	0.4	0.6	0.4	0.1	0.4	0.2
No Data	0.0	0.0	0.0	0.0	0.0	0.0

## **INDICATOR 6: CHILD FIND BIRTH TO THREE**

Prepared by ECTA

**Indicator 6:** 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 2019 from 56 states. For the purposes of this report, the term “state” is used for both states and entities.

### **DATA SOURCES**

For Indicator 6, OSEP provided states with pre-populated data from the Section 618 data collection (U.S. Department of Education, EDFacts Metadata and Process System, IDEA Part C Child Count and Settings Survey, 2019). Data were extracted as of July 8, 2020.

The Section 618 data are calculated using data from the “Annual Report of Children Served” tables (<https://www2.ed.gov/programs/osepidea/618-data/static-tables/index.html>) as well as data from the U.S. Bureau of the Census (<http://www.census.gov/popest>). Entities 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 2019 national percentage of infants and toddlers ages birth to age three receiving early intervention services under IDEA is 3.7%. 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 entities. However, all states and entities compare their data to the national mean for purposes of reporting on this indicator.

### **FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figure 1a illustrates current data (FFY 2019) for child find and trend data over the last six reporting years (FFY 2014 to FFY 2019). For each reporting year, the number of states represented within each one-percentage point range is shown in the chart; the table below the chart shows the mean, range, and number of states with no data.



**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C6 DATA  
 PERCENT OF INFANTS AND TODDLERS BIRTH TO THREE WITH IFSPS

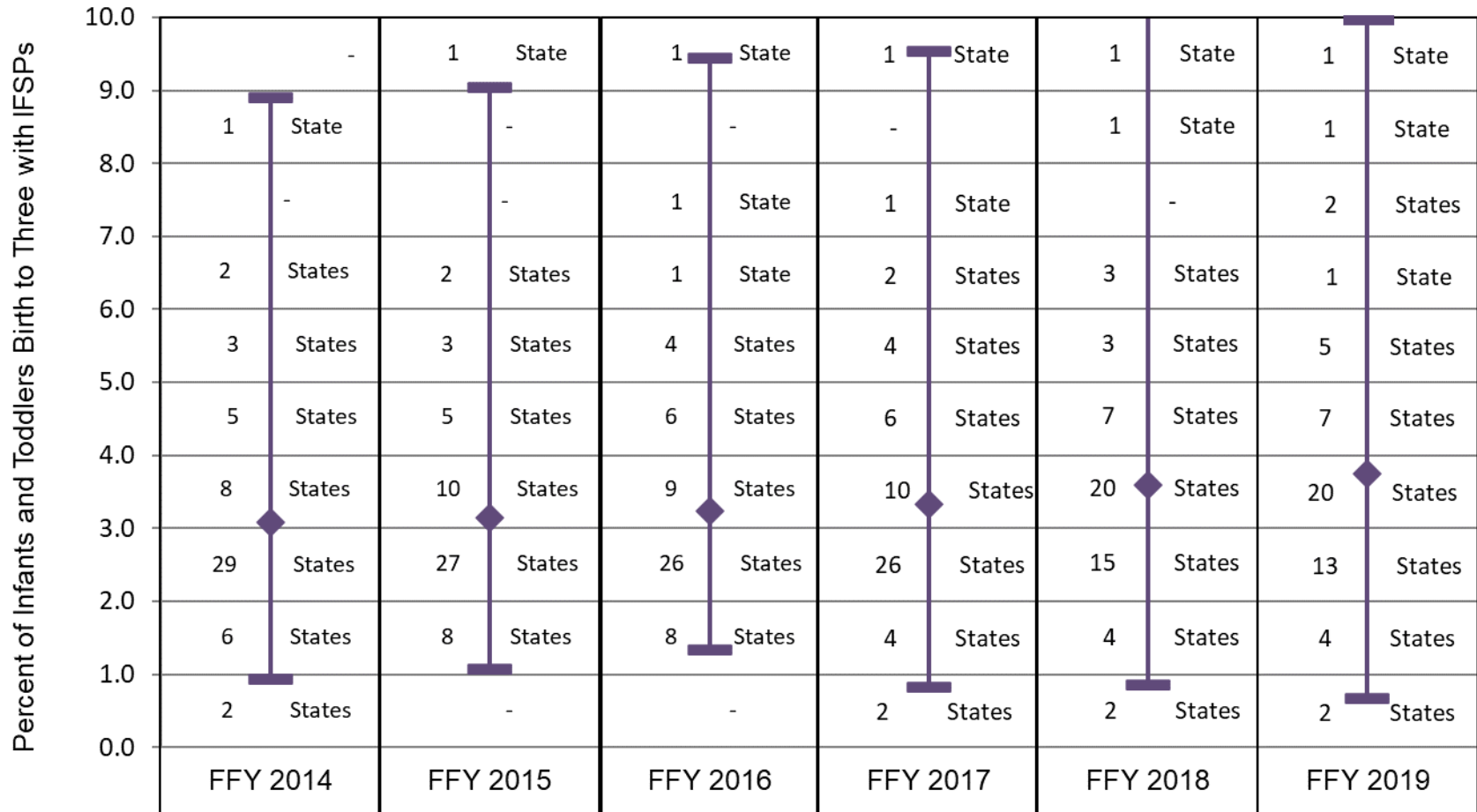


Figure 1a illustrates that over the six-year trend, national performance on this indicator has increased incrementally throughout the period. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean increasing from 3.1% to 3.7% between FFY 2014 and FFY 2019 respectively.

**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C6 Infants and Toddlers Birth to Three with IFSPs**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	3.1	3.1	3.2	3.3	3.6	3.7
Highest	8.9	9.0	9.4	9.5	10.1	10.6
Lowest	0.9	1.1	1.3	0.8	0.9	0.7
No Data	0	0	0	0	0	0

## **INDICATOR 7: 45-DAY TIMELINE**

Prepared by ECTA

**Indicator 7:** 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 56 states and entities for FFY 2019. For the purpose of this report, the term “state” is used for both states and entities.

### **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.

### **FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figure 1a illustrates current data (FFY 2019) and trend data over the last six reporting years, from FFY 2014 to FFY 2019. For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and the table below the chart shows the national mean, range, and number of states with no data.

**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C7 DATA  
PERCENT MEETING 45-DAY TIMELINE

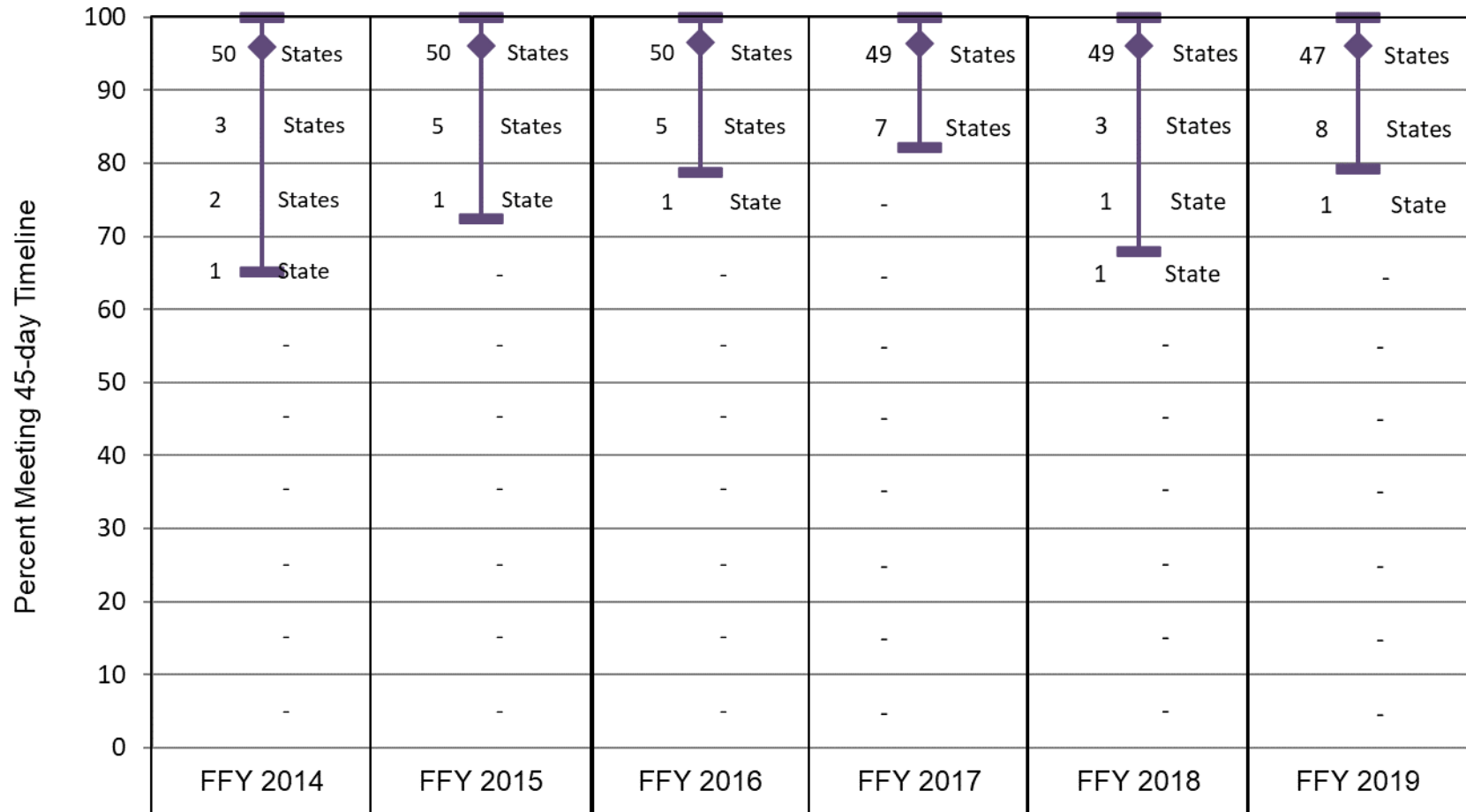


Figure 1a illustrates that national performance on this indicator has been consistent throughout the six-year period with low scores (below 70%) reported in FFY 2014 and FFY 2018. Table 1b shows the same trend using data on the mean and the range of scores with the mean holding at 96%, except for FFY 2016 when 97% was reported. The lowest percentage was reported in FFY 2014 at 65%. FFY 2018 was the only year wherein two states reported having no data.

**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C7 45 Day Timeline**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	96	96	97	96	96	96
Highest	100	100	100	100	100	100
Lowest	65	72	79	82	68	79
No Data	0	0	0	0	2	0

## **INDICATOR 8: EARLY CHILDHOOD TRANSITION**

Prepared by ECTA

**Indicator 8:** 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 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 2019 Annual Performance Reports (APRs) for 56 states and entities. For the purposes of this report, the term “state” is used for both states and entities.

### **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). A majority of states use census data for all three sub-indicators.

### **FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS**

Figures 1a, 2a, and 3a illustrate the current data (FFY 2019) and trend data for each of the three transition sub-indicators over the last six reporting years (FFY 2014 to FFY 2019). For each reporting year, the number of states represented within each ten-

percentage point range is shown in each chart. Tables 1b, 2b and 3b below the graphs show the national mean, range, and number of states with no data.

**Figure 1a**

TRENDS - SIX YEARS OF INDICATOR C8A DATA  
 PERCENT OF EXITING CHILDREN WITH TRANSITION STEPS AND SERVICES ON THE IFSP

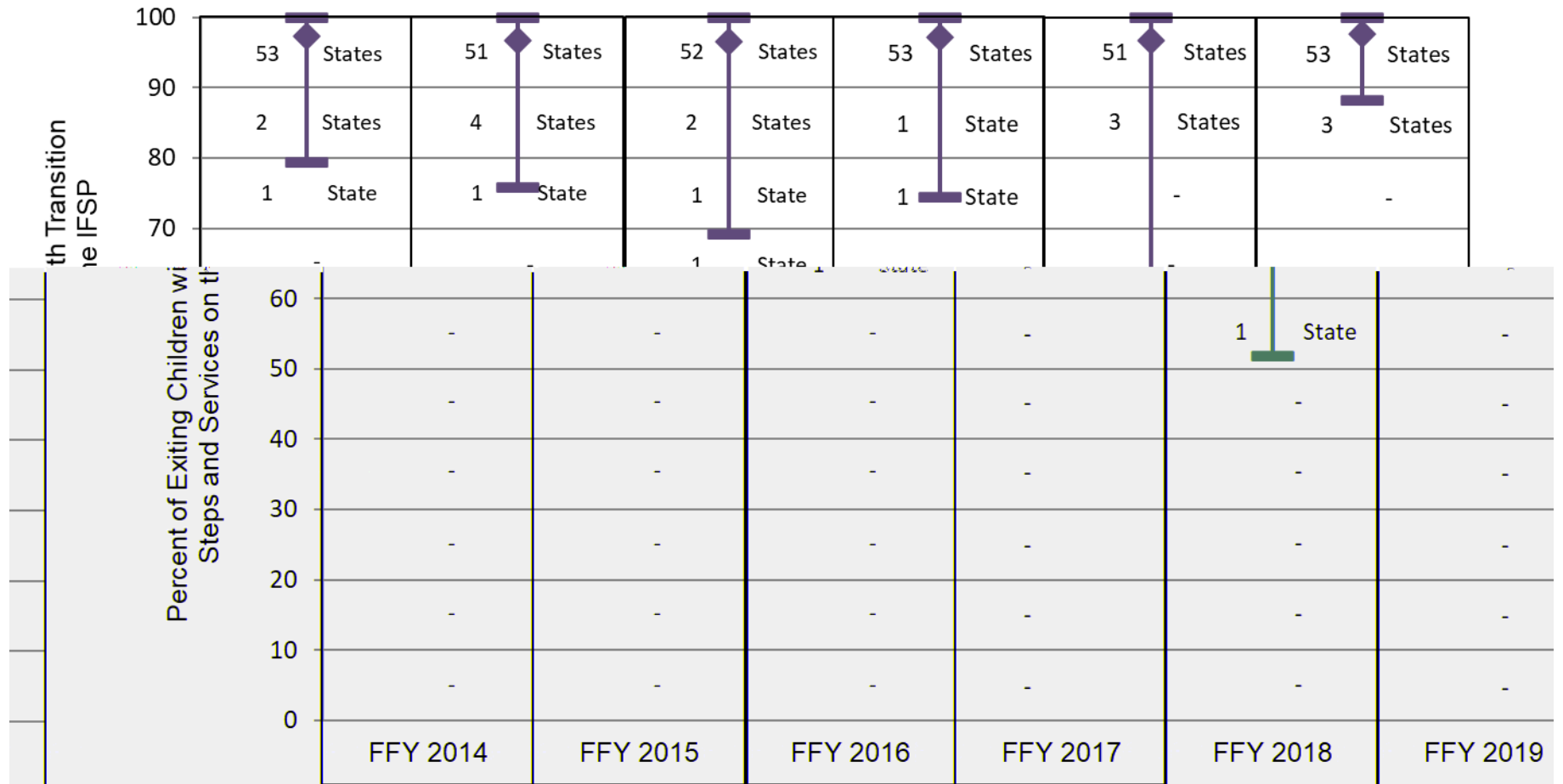


Figure 1a illustrates that national performance for Indicator 8A has been consistent over the past six years with no significant outliers reported in FFY 2019 as compared to previous years. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean increasing slightly in FFY 2019 with the lowest score reported being 88% which represents an improvement over prior years.

**Table 1b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C8A Timely Transition Planning Including IFSP with Transition Steps and Services**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	97	97	97	97	97	98
Highest	100	100	100	100	100	100
Lowest	79	76	69	74	52	88
No Data	0	0	0	1	1	0



**Figure 2a**

TRENDS - SIX YEARS OF INDICATOR C8B DATA  
 PERCENT OF EXITING CHILDREN WITH NOTIFICATION TO THE LEA

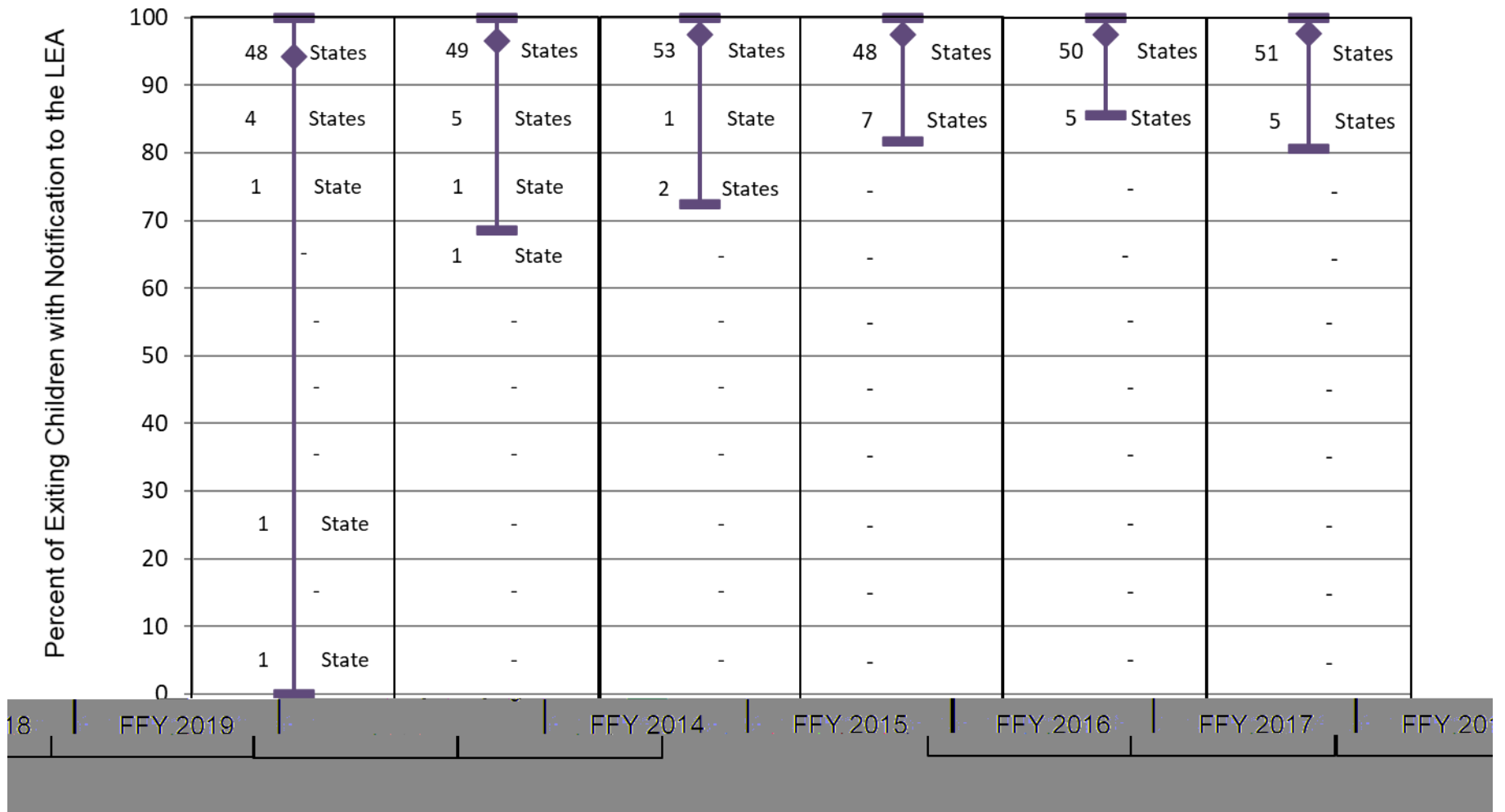


Figure 2a illustrates that national performance for Indicator 8B has been consistent over the past six years with the exception of FFY 2014 wherein outliers skewed the data downwards. Table 2b illustrates the same trend using data on the mean and the range of scores with the mean holding at 97% or 98% between FFY 2015 to FFY 2019.

**Table 2b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C8B Timely Transition Planning Including LEA Notification**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	94	97	97	98	98	98
Highest	100	100	100	100	100	100
Lowest	0	69	72	82	86	81
No Data	1	0	0	1	1	0

**Figure 3a**

TRENDS - SIX YEARS OF INDICATOR C8C DATA  
 PERCENT OF EXITING CHILDREN WITH TRANSITION CONFERENCE

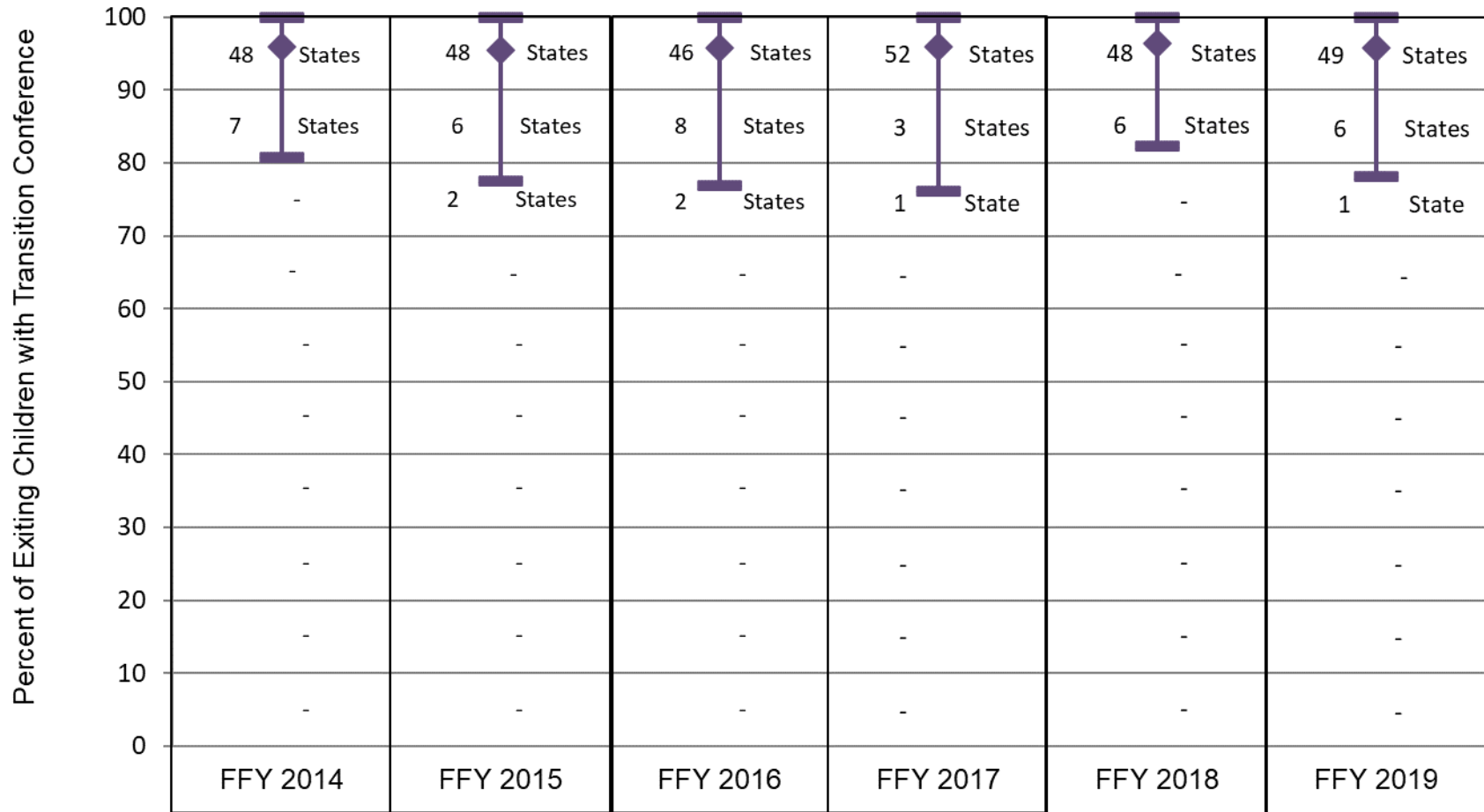


Figure 3a illustrates that national performance for Indicator 8B has been very consistent over the past six years in mean and range of scores. Table 3b further illustrates this point using actual figures. FFY 2014 and FFY 2018 reported no data for one and two states respectively.

**Table 3b**  
**Trends - Mean, Highest, Lowest and # of States with No Data (%)**  
**Indicator C8C Timely Transition Planning, Including Transition Conference**

<b>Statistic</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
Mean	96	95	96	96	96	96
Highest	100	100	100	100	100	100
Lowest	81	78	77	76	82	78
No Data	1	0	0	0	2	0

## **INDICATORS C9 & C10: DISPUTE RESOLUTION**

**Prepared 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.<sup>1</sup> 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 brief summary of States' Federal Fiscal Year (FFY) 2019 Annual Performance Reports (APRs) for Indicators C9 (Resolution Meetings Resulting in Written Settlement Agreements) and C10 (Mediations Resulting in Written Agreements).<sup>2</sup>

### **DATA SOURCES AND METHODOLOGY**

Data sources for this report include FFY 2019 APRs and Section 618 data, available through the Engage OSEP webpage. 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 (2008-09) has national data reflected more than two resolution meetings held during a single reporting year.

Seventeen States reported that they use Part B due process procedures according to their 2019 APR. Nationally, there were zero resolution meetings held during 2019-20.

#### **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 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.

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<sup>1</sup> 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).

<sup>2</sup> The reporting period (July 1, 2019-June 30, 2020) began during FFY 2019.

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.<sup>3</sup>

**Figure 1**  
**Trends - Six Years of Indicator C10 Data**  
**Mediations resulting in written agreements.**

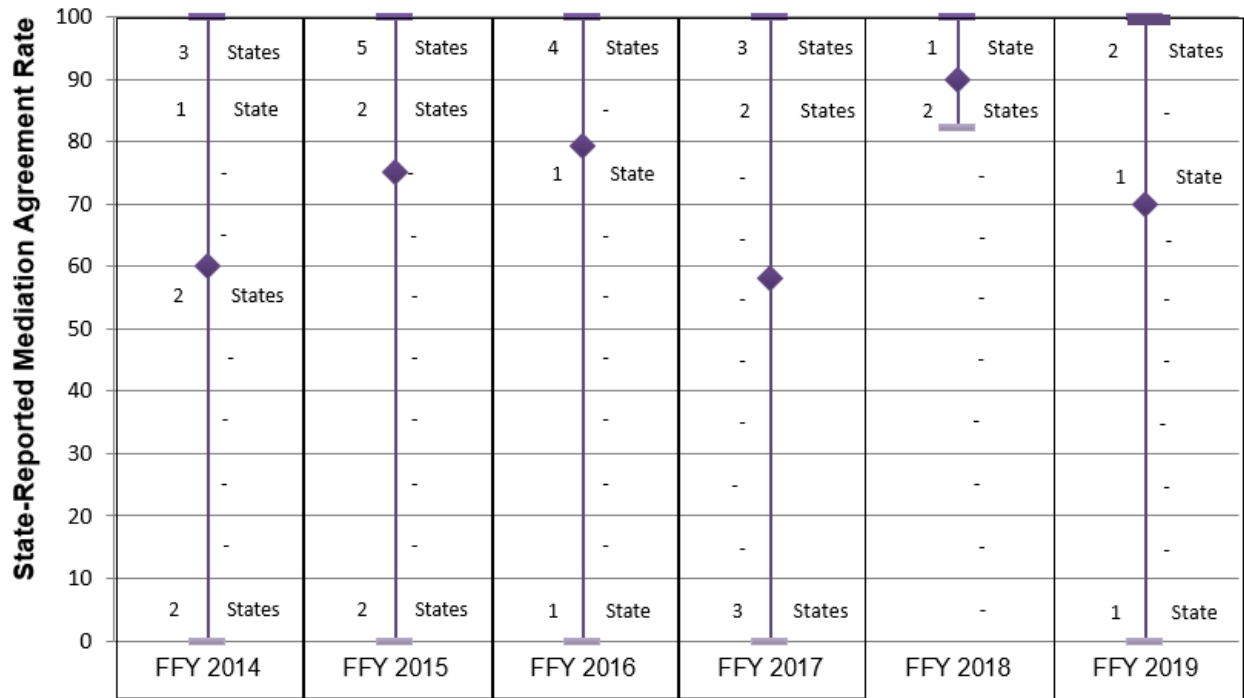


Table 1.1 below provides the summary statistics of the mediation agreement rate data including the mean agreement rate, highest agreement rate, lowest agreement rate and the number of states that reported no activity, for each of the six years.

**Table 1.1**

Statistic	FFY 2014	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019
Mean	60.1	75.2	79.5	58.1	90.0	69.9
Highest	100.0	100.0	100.0	100.0	100.0	100.0
Lowest	0.0	0.0	0.0	0.0	82.4	0.0
No Data	48	47	50	48	53	52

Nationally, in 2019-20, four States held 50 mediation sessions. One State accounted for 34 of the 50 mediation sessions held, or 68% of all mediation sessions held in 2019-20. A total of 40 of the 50 mediation sessions held resulted in agreements. The average mediation agreement rate for the last six years is 72%, while this year's

<sup>3</sup> For this "average of state agreement rates," all states contribute equally to the calculation regardless of the level of activity.

average agreement rate is 70%. 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 2019, two States fell within 90% to <100% range, one State fell within the 70% to <80% range, and one State reported a 0% agreement rate.

**Table 1.2**

<b>Ranges of state-reported mediation agreement rate</b>	<b>FFY 2014</b>	<b>FFY 2015</b>	<b>FFY 2016</b>	<b>FFY 2017</b>	<b>FFY 2018</b>	<b>FFY 2019</b>
<b>90% to 100%</b>	3	5	4	3	1	2
<b>80% to &lt;90%</b>	1	2	0	2	2	0
<b>70% to &lt;80%</b>	0	0	1	0	0	1
<b>60% to &lt;70%</b>	0	0	0	0	0	0
<b>50% to &lt;60%</b>	2	0	0	0	0	0
<b>40% to &lt;50%</b>	0	0	0	0	0	0
<b>30% to &lt;40%</b>	0	0	0	0	0	0
<b>20% to &lt;30%</b>	0	0	0	0	0	0
<b>10% to &lt;20%</b>	0	0	0	0	0	0
<b>0% to &lt;10%</b>	2	2	1	3	0	1

**CONCLUSION**

Nationally, the use of mediation 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.

## **INDICATOR C11: STATE SYSTEMIC IMPROVEMENT PLAN, PHASE III – YEAR 5**

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 and entities (hereafter referred to as 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. States submitted this information 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 (EI) programs and providers in implementing evidence-based practices (EBPs) 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. States submitted their plans 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), Year 4 (FFY 2018), and Year 5 (FFY2019), states continued to report on their progress in implementing their SSIPs. States submitted these Phase III reports in 2017, 2018, 2019, and 2020.

The data in this report are based on an analysis of the FFY 2019 SSIP reports submitted by 56 states and entities. Technical assistance (TA) providers analyzed the submissions and the results were summarized for this report. States and entities are referred to as “states” in the remainder of this report.

### **FFY 2019 SiMR DATA**

In the FFY 2019 SPP/APR submitted in April 2021, 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 2019 SiMR progress data were compared with the FFY 2019 measurable and rigorous targets, also expressed as a percentage. FFY 2019 data were also compared with the SiMR progress data reported in FFY 2019.

#### ***Child and Family Outcomes Identified in the SiMR***

Each state has identified at least one child and/or family outcome as the focus of its SiMR. Fifty-two of the 56 states that submitted a Phase III - Year 5 SSIP in FFY 2019 selected a single outcome for their SiMR and reported a percentage for their FFY 2019 SiMR data. Four 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 is summarized as follows:

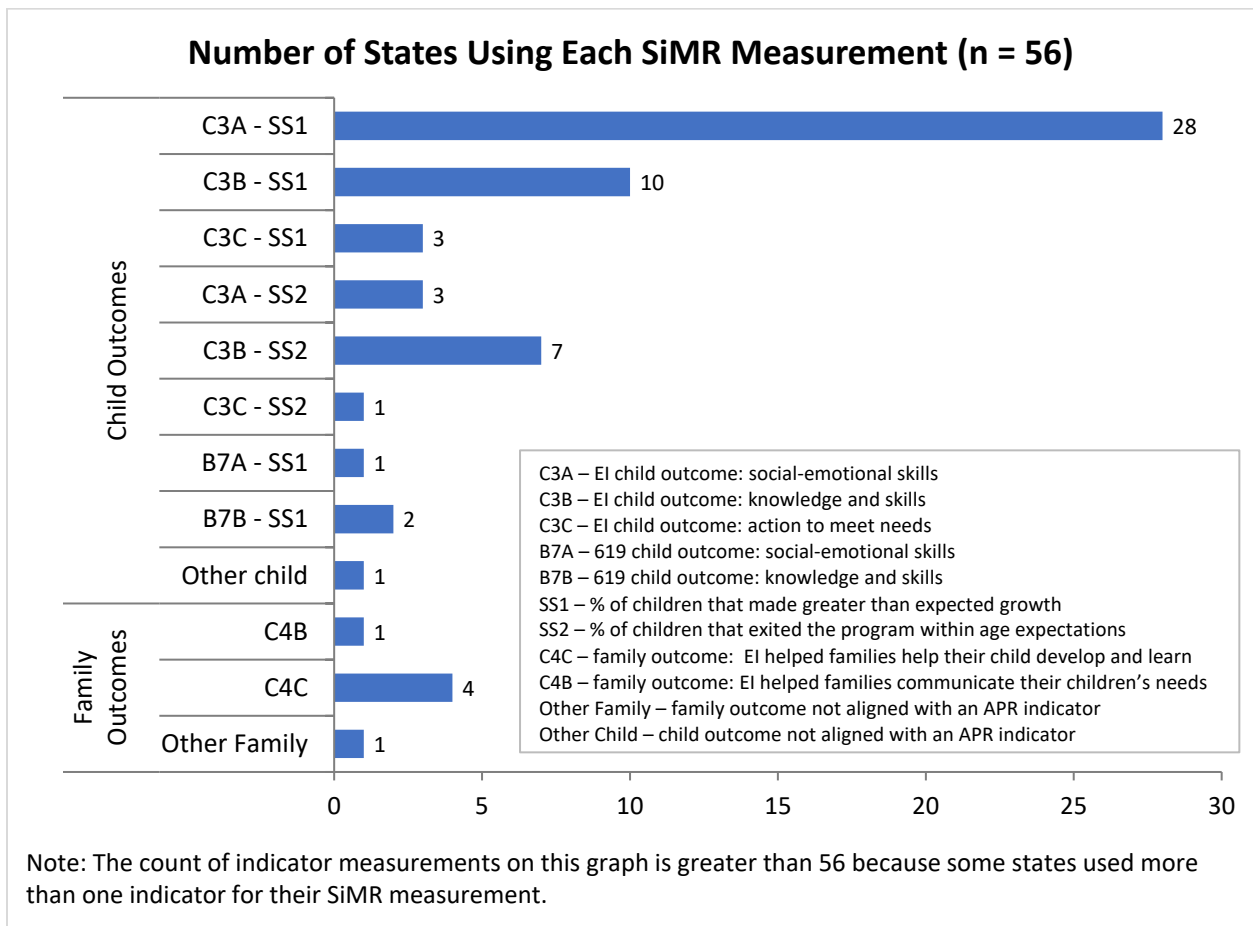
- Slightly more than half of the states (28 of 56, 50%) focused on greater than expected growth in children’s positive social-emotional skills (C3A-SS1).
- Twenty-five states (45%) focused on other Part C child outcomes.
- Two states (4%) focused on Part B 619 child outcomes in addition to Part C. Both 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 EIS 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).
- 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: % of children that made greater than expected growth in social-emotional skills	28
Child	C3B – SS1	EI child outcome: % of children that made greater than expected growth in knowledge and skills	10
Child	C3C – SS1	EI child outcome: % of children that made greater than expected growth in action to meet needs	3
Child	C3A – SS2	EI child outcome: % of children that exited the program within age expectations in social-emotional skills	3
Child	C3B – SS2	EI child outcome: % of children that exited the program within age expectations in knowledge and skills	7
Child	C3C – SS2	EI child outcome: % of children that exited the program within age expectations in action to meet needs	1
Child	B7A – SS1	619 child outcome: % of children that made greater than expected growth in social-emotional skills	1
Child	B7B – SS1	619 child outcome: % of children that made greater than expected growth in knowledge and skills	2
Child	Other	Child outcome not aligned with an APR indicator	1
Family	C4B	Family outcome: % of families that reported EI helped families help their child develop and learn	1
Family	C4C	Family outcome: % of families that reported EI helped families communicate their children's needs	4
Family	Other	Family outcome not aligned with an APR indicator	1

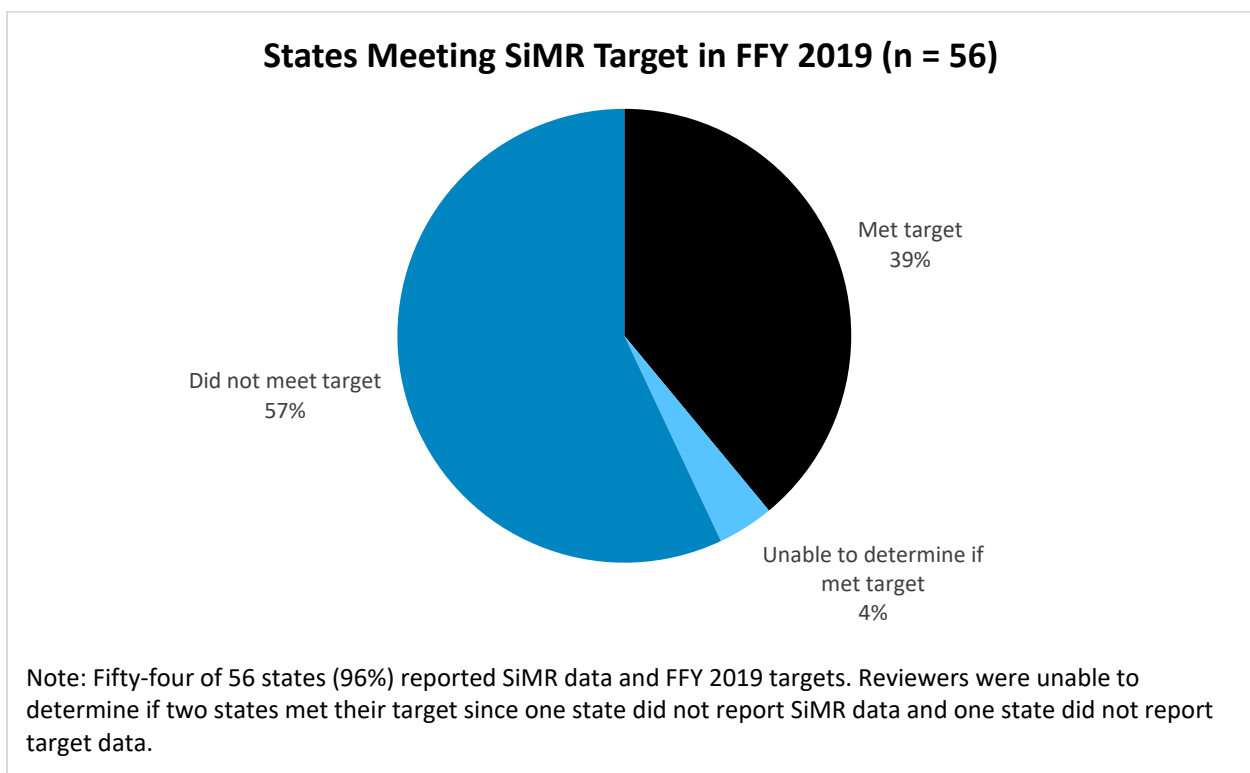
Note: The count of indicator measurements in this table is greater than 56 because some states used more than one indicator in their SiMR measurement.

## ***Progress in Meeting SiMR Targets for FFY 2019***

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 2019. Fifty-five states reported FFY 2019 SiMR data and 55 states included the FFY 2019 SiMR target. Since two states did not provide either SiMR or target data, reviewers were only able to compare SiMR data and targets for 54 states (96%) to determine whether the state met its FFY 2019 target. States were coded as meeting their targets if their actual FFY 2019 data were equal to or more than their FFY 2019 targets for all outcomes associated with the SiMR.

Based on SiMR data comparison, 22 of the 56 states (39%) met their FFY 2019 targets for Indicator 11 as reflected in Figure 2. Thirty-two states (57%) did not meet their FFY 2019 targets. Reviewers were unable to determine if two states (4%) met their target since one state did not report its FFY 2019 SiMR data and one state did not report its FFY 2019 target data.

**Figure 2**



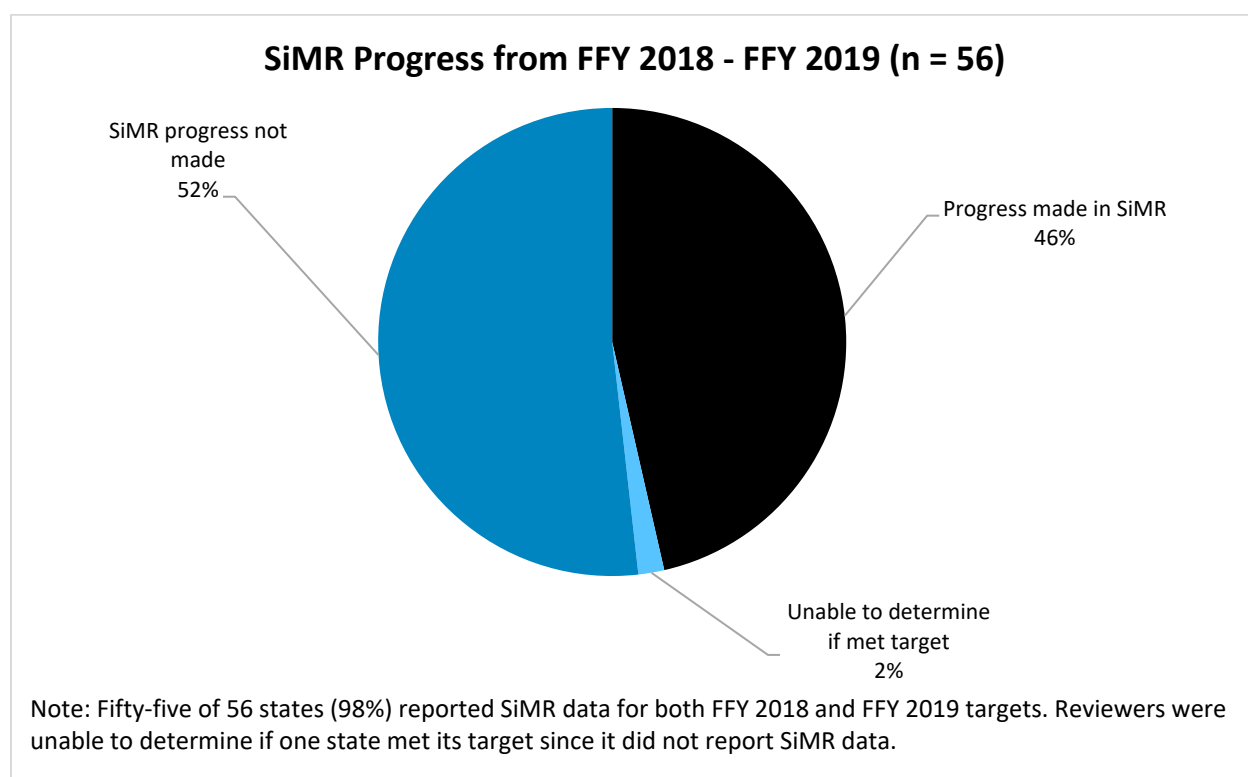
## ***Progress or Slippage in Improving the SiMR***

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 2019 and FFY 2018 as available in the FFY 2019 report. No progress meant that actual FFY 2019 SiMR data were less than last year's data. A state was determined to be making progress if its actual FFY 2019 data were greater than the

SiMR data reported in FFY 2018 for all outcomes associated with the SiMR (for states with multiple outcomes).

Figure 3 shows SiMR progress since FFY 2018. Fifty-five states (98%) included the actual SiMR data for FFY 2018 and 2019, enabling reviewers to determine whether progress was made in the SiMR. Twenty-five of the 56 states (46%) made progress in the SiMR between FFY 2018 and FFY 2019, as evidenced by their FFY 2019 SiMR data being greater than in FFY 2018. Twenty-nine states (52%) did not make progress as evidenced by their FFY 2019 SiMR data being the same or less than in FFY 2018. Reviewers were unable to determine if one state (2%) made progress since that state did not report its FFY 2019 SiMR data.

**Figure 3**



## **SUMMARY OF CHANGES**

States were required to report on changes they made to their SSIPs including their SiMRs, SiMR targets, and TOAs. Analysis of this information indicates that no states made changes to their SiMRs, a couple made changes to their SiMR targets, and ten modified their TOAs. Reports did not include enough information to determine the total number of states that changed their SiMR baseline.

### ***Changes to SiMRs***

No states made changes to their SiMRs in FFY 2019.

### ***Revisions to SiMR Targets***

Fifty-five of 56 states reported targets for FFY 2019. Two (4%) of all 56 states reported changing their targets due to stakeholder review.

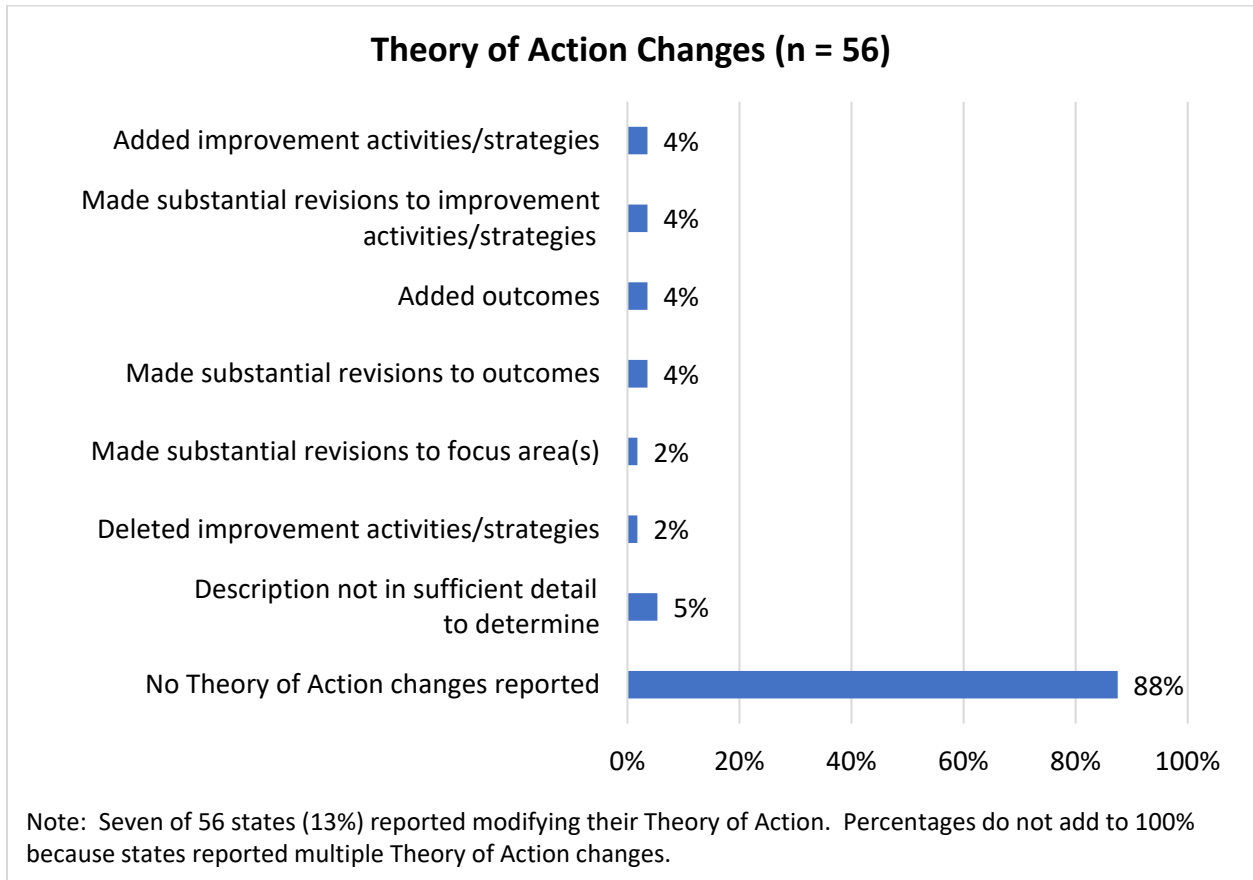
### ***Changes to Theories of Action***

In Phases I to III of the SSIP, each state included a TOA to illustrate how implementing its 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. Numerous states also developed 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 5 of the SSIP, seven of 56 states (13%) reported modifications to their previously submitted TOA. Forty-nine states (88%) reported that they did not change their TOAs, as shown in Figure 4.

Seven of 56 states (13%) modified their TOAs. Two states (4%) added improvement activities/strategies, two (4%) made substantial revisions to improvement activities/strategies, two (4%) added outcomes, two (4%) made substantial revisions to outcomes, one (2%) made substantial revisions to focus area(s), and one (2%) deleted improvement activities/strategies. Three states (5%) did not include information about what changes they made to their TOAs.

**Figure 4**



## **DATA QUALITY CONCERNS**

States reported concerns about data quality for the SSIP – including concerns unrelated to COVID-19 and those related to COVID-19. States further described steps to mitigate the impact of COVID-19 on data collection.

### ***Data Quality Issues Unrelated to COVID***

Twenty-three (41%) states described data quality issues that were not related to COVID-19, as shown in Figure 5. These included validity (12 states, 21%), data completeness (11 states, 20%), and reliability (eight states, 14%) issues. Two states (4%) described other data quality issues, including representativeness by race and ethnicity. One state (2%) did not provide enough information to determine the issue, and 33 states (59%) did not report data quality issues unrelated to COVID-19.

**Figure 5**

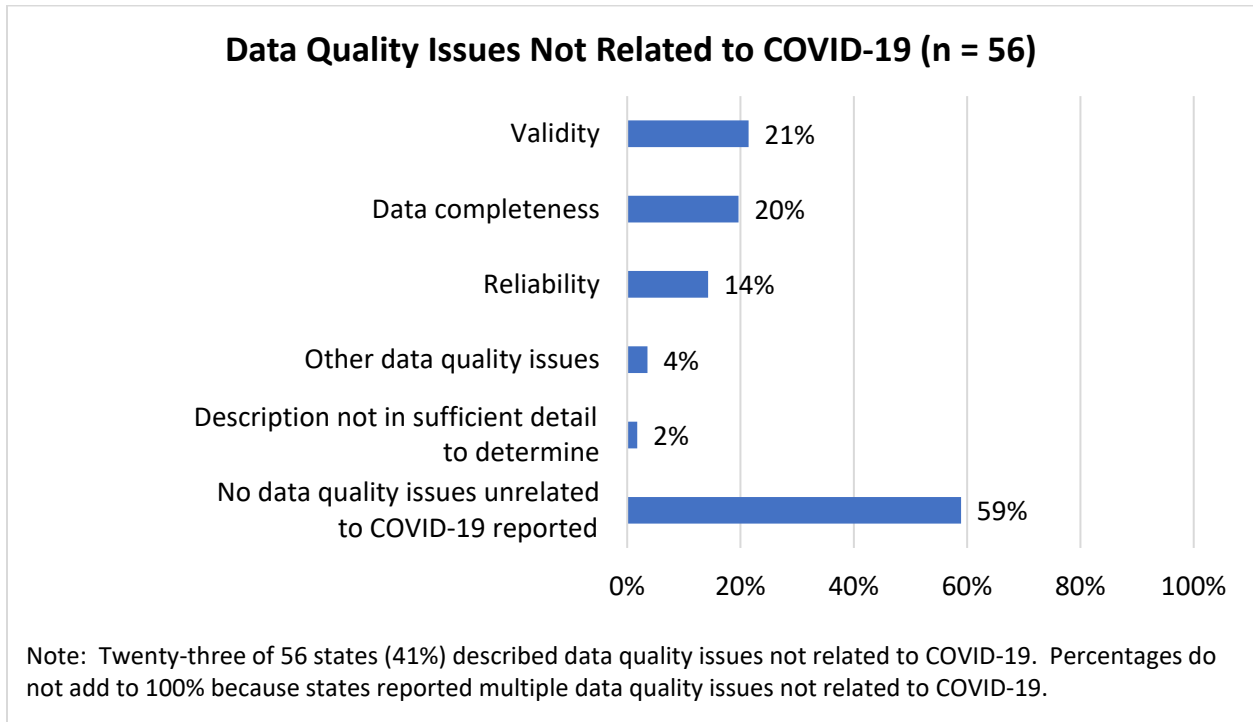
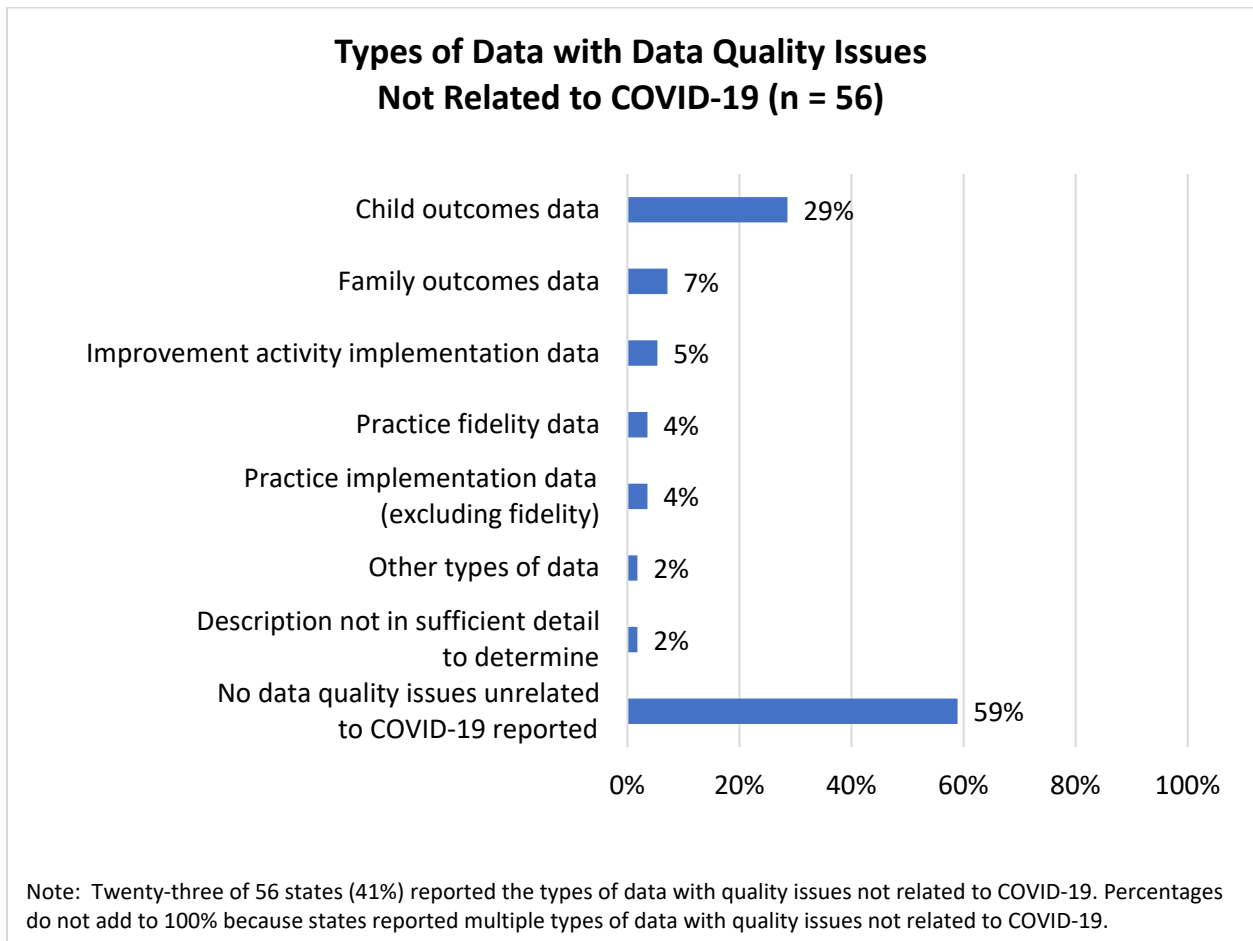


Figure 6 shows the types of data with data quality issues unrelated to COVID-19. Twenty-three states (41%) provided information about the types of data with quality issues, including child outcomes data (16 states, 29%), family outcomes data (four states, 7%), improvement activity implementation data (three states, 5%), practice fidelity data (two states, 4%), and practice implementation data that do not include practice fidelity data (two states, 4%). One state (2%) described other types of data with quality issues unrelated to COVID-19, including service provider contact logs and performance data, such as timely receipt of services, child find, 45-day timeline, and transition). One state (2%) did not provide enough information to determine the issue, and 33 states (59%) did not report data quality issues unrelated to COVID-19.

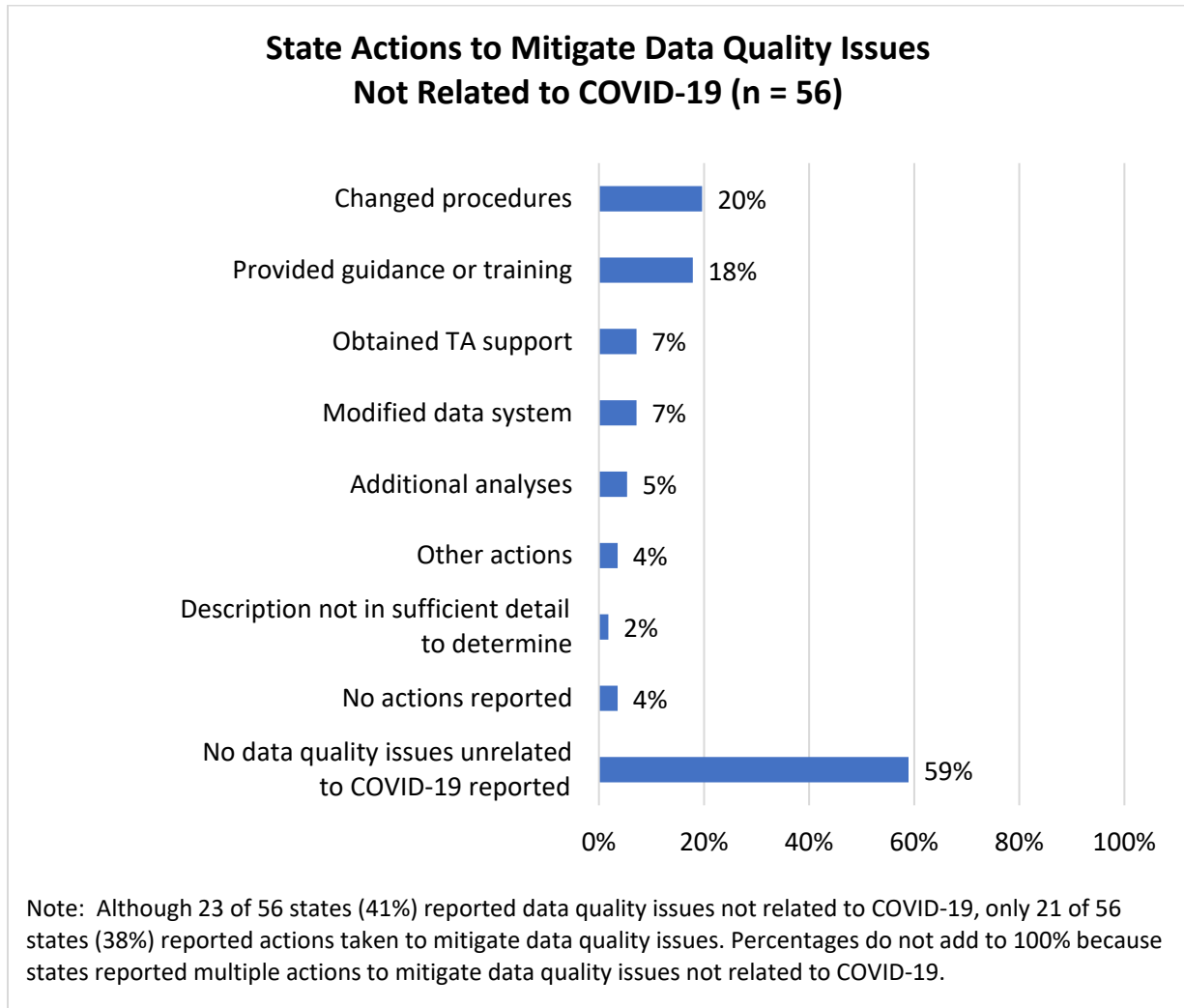


**Figure 6**



Twenty-one states (38%) reported the actions they took to mitigate data quality issues unrelated to COVID-19, as shown in Figure 7. Eleven states (20%) reported that they changed data collection procedures and ten (18%) reported that they provided guidance or training on data collection. Fewer states reported that they obtained TA support for data collection (four states, 7%), modified their data system (four states, 7%), or conducted additional data analyses (three states, 5%). Two (4%) states described other actions taken to mitigate data quality issues, including a practice change stakeholder workgroup on assessment to improve data completeness. One state (2%) did not provide enough information to identify the actions taken, two states (4%) that reported data quality issues did not report actions taken, and 33 (59%) did not report data quality issues unrelated to COVID-19.

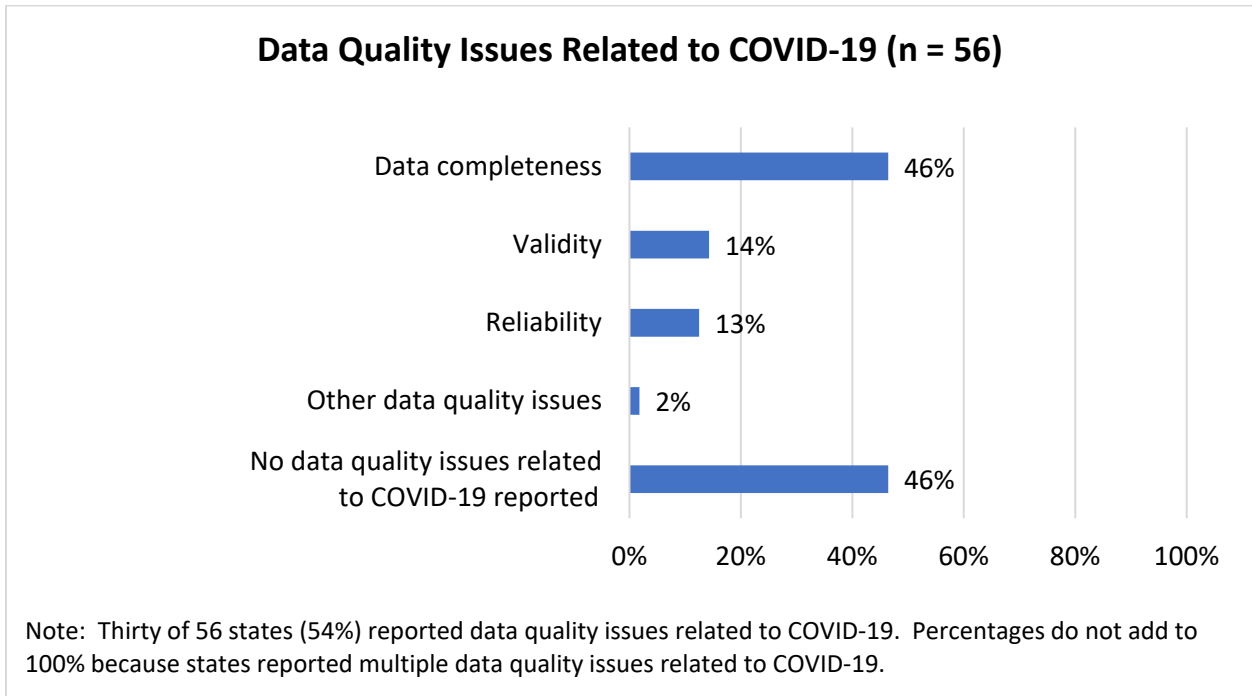
**Figure 7**



***Data Quality Issues Related to COVID-19***

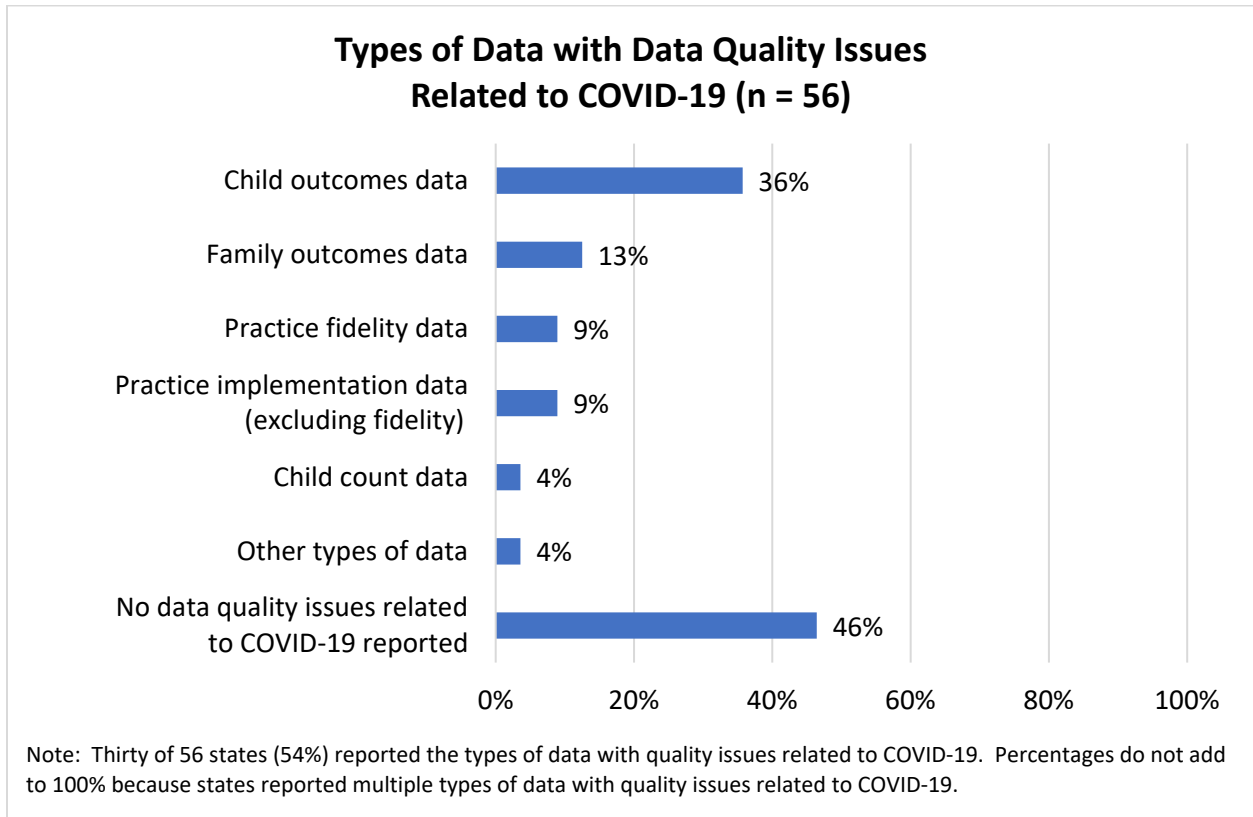
Figure 8 shows the data quality issues states reported that were related to COVID-19. Thirty states (54%) reported such issues, including data completeness (26 states, 46%) and to a lesser extent data validity (eight states, 14%) and reliability (seven states, 13%). One state (2%) described an additional data quality concern related to COVID-19 related to timely collection of data, and 26 states (46%) did not report data quality issues related to COVID-19.

**Figure 8**



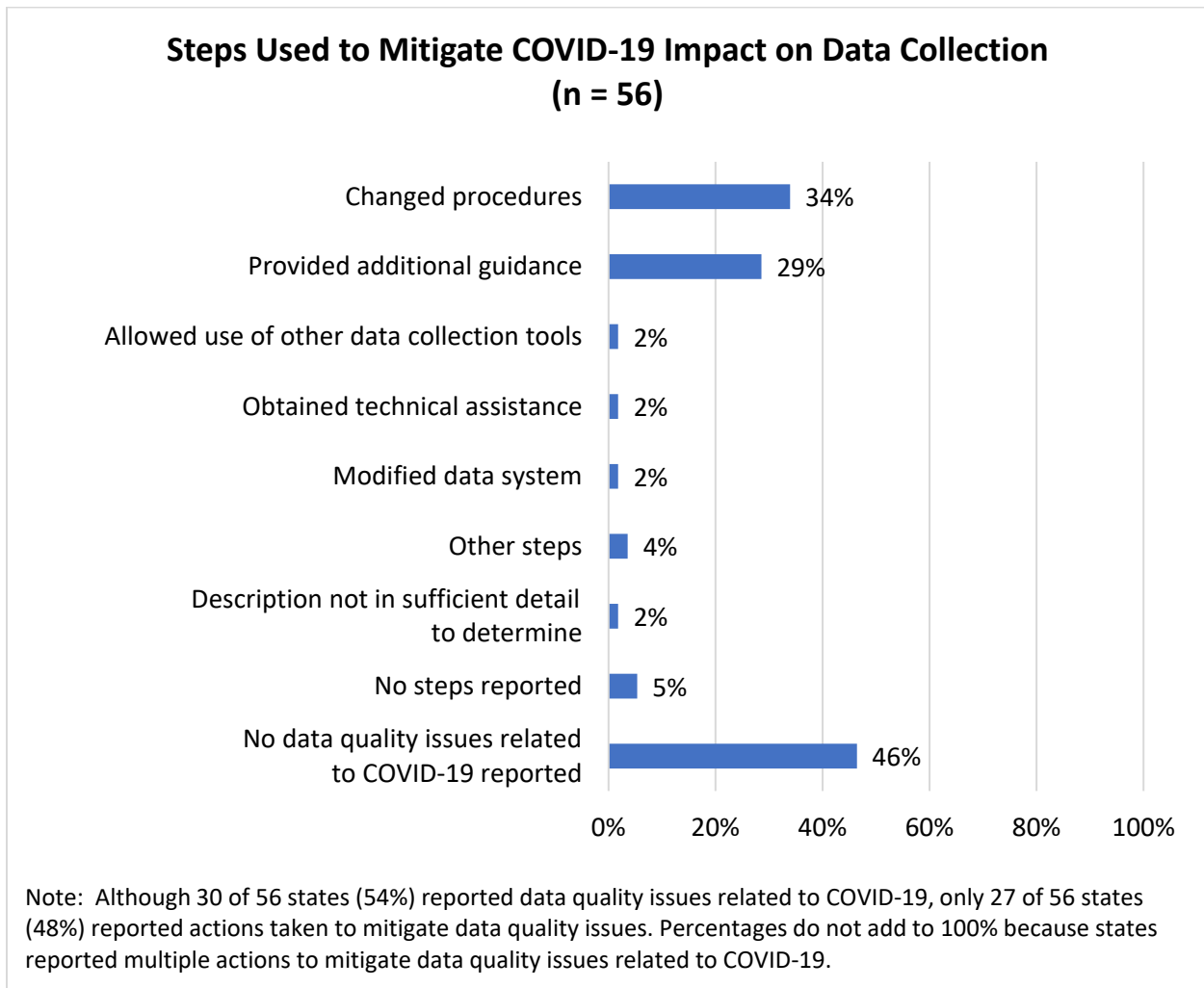
These thirty states (54%) went on to describe multiple types of data with data quality issues related to COVID-19, as shown in Figure 9. These included child outcomes data (20 states, 36%) and to a lesser extent family outcomes data (seven states, 13%), practice fidelity data (five states, 9%), practice implementation data excluding fidelity data (five states, 9%) and child count data (two states, 4%). Two (4%) states described other types of data affected by COVID-19, including IFSP completion and scoring using a state-developed IFSP quality rating scale. Twenty-six states (46%) did not report data quality issues related to COVID-19.

**Figure 9**



Twenty-seven states (48%) reported the actions they took to mitigate data quality issues related to COVID-19, as shown in Figure 10. Nineteen states (34%) reported that they changed procedures and 16 states (29%) provided additional guidance. Fewer states reported that they allowed the use of other data collection tools (one state, 2%), obtained TA (one state, 2%), or modified their data system (one state, 2%). Two states (4%) described other steps, such as virtual stakeholder engagement and the hiring of a project manager. One state (2%) did not include enough information to identify the action taken, and three states (5%) that had reported data quality issues did not report actions taken. Twenty-six states (46%) did not report data quality issues related to COVID-19.

Figure 10



## IMPLEMENTATION, ANALYSIS, AND EVALUATION

In FFY 2019, states were required to report progress in implementing the SSIP, including activities undertaken to improve infrastructure and provider practices. States also reported on the achievement of outputs or outcomes as a result of SSIP implementation.

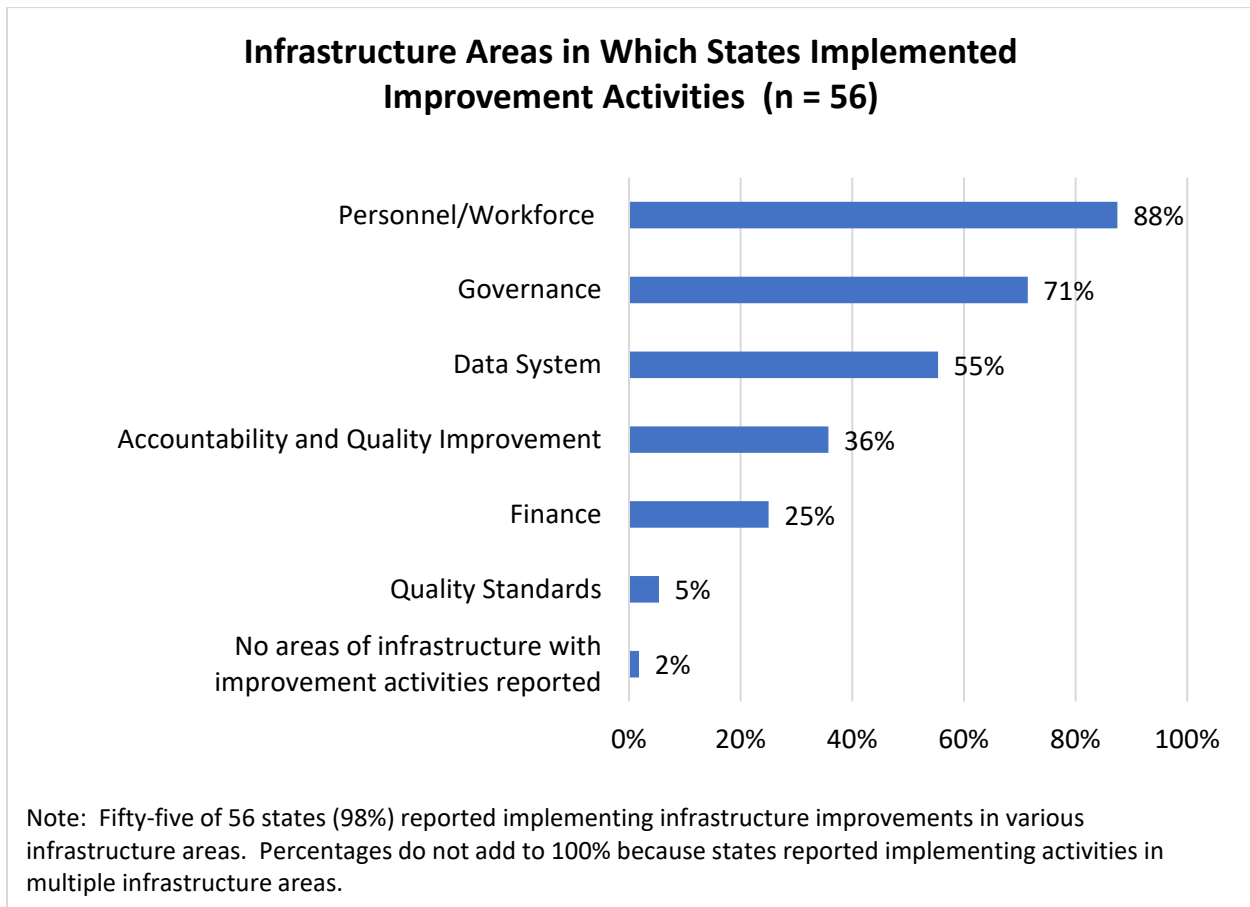
### **Infrastructure**

#### *Areas of Infrastructure Where Improvement Activities Have Been Implemented*

Almost every state (55 states, 98%) reported implementing infrastructure improvement activities in the FFY 2019 reporting year. The components of state infrastructure selected for improvement varied across states (Figure 11). Almost all states (49 states, 88%) reported implementing improvement activities related to Personnel and Workforce (previously referred to as Professional Development and Technical Assistance). Forty states (71%) reported implementing activities to improve state or local Governance, 31

states (55%) implemented activities to improve their Data System, and 20 states (36%) worked on improving Accountability and Quality Improvement. Fewer states reported implementing activities to improve Finance (14 states, 25%) and Quality Standards (three states, 5%). One state (2%) did not report implementation of infrastructure improvement activities.

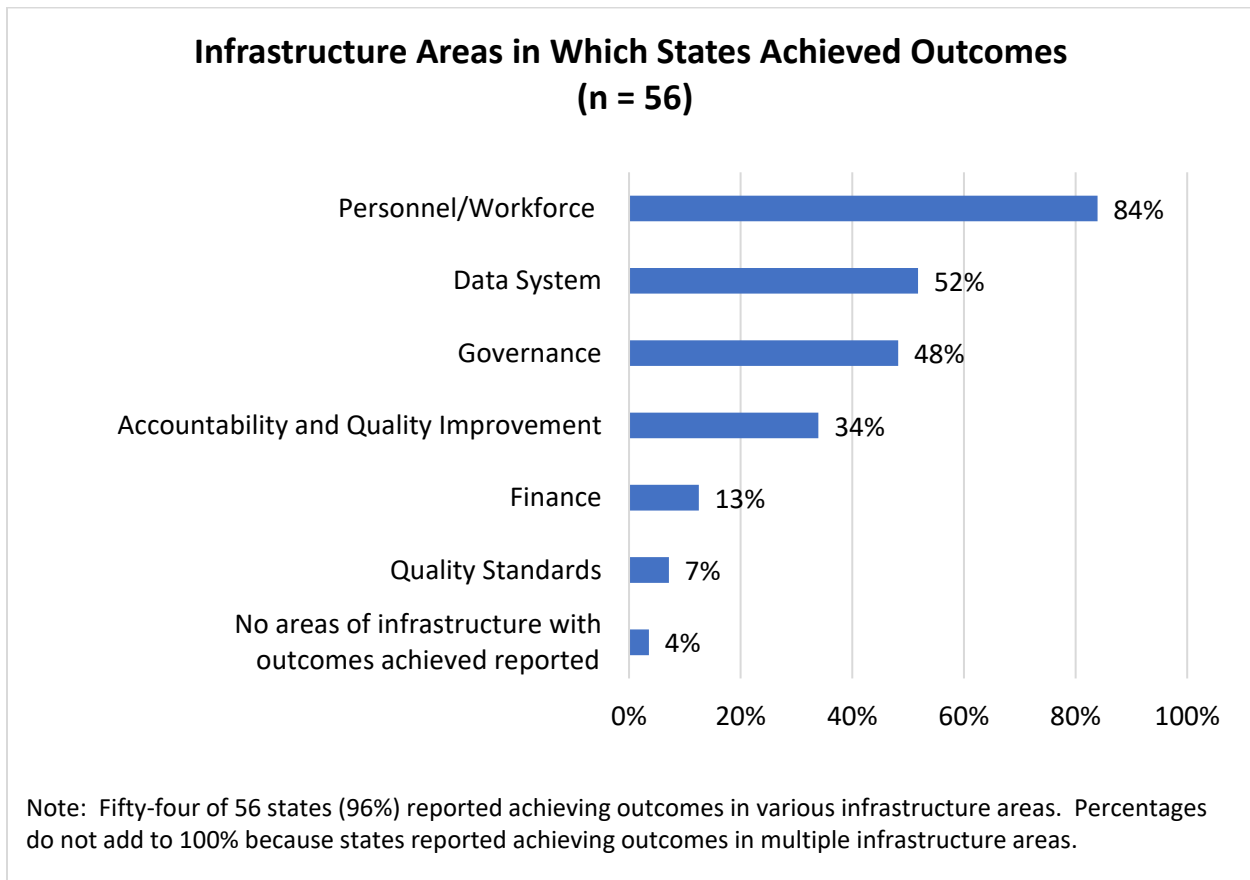
**Figure 11**



### *Areas of Infrastructure Where Outcomes Have Been Achieved*

In addition to reporting areas of infrastructure in which improvement activities were implemented, states also reported in Phase III – Year 5 on whether outcomes were achieved in different areas of infrastructure following the implementation of improvement activities (Figure 12). Almost all states (54, 96%) reported achieving outcomes related to infrastructure. Forty-seven states (84%) reported that outcomes were met in the Personnel/Workforce component and 29 states (52%) reported achieving outcomes for the Data Systems component. Twenty-seven states (48%) reported that outcomes were met for the Governance component, 19 (34%) met outcomes for the Accountability and Quality Improvement component, and seven (13%) reported achieving outcomes for the Finance component. Lastly, four states (7%) reported meeting outcomes in the Quality Standards component. Two states (4%) did not report achieving outcomes.

**Figure 12**



### *Tools/Methods Used to Evaluate Infrastructure Outcomes*

More than half of the states (38 states, 68) reported using a tool or method for determining the achievement of infrastructure outcomes (Figure 13). Six states (11%) reported that they had used Statewide Implementation Guide tools, such as the Benchmarks of Quality, and six states (11%) reported they used a family survey. Five states (9%) reported using the ECTA System Framework Self-Assessment and four states (7%) reported use of provider surveys. Three states (5%) reported the use of the Child Outcomes Measurement System Framework, one state (2%) reported the use of the Family Outcomes Measurement System Framework, one state (2%) reported the use of the Inclusion Framework, and one state (2%) reported the use of the Child Find Self-Assessment. Thirteen (23%) states reported that they used other state data to determine the achievement of infrastructure outcomes.

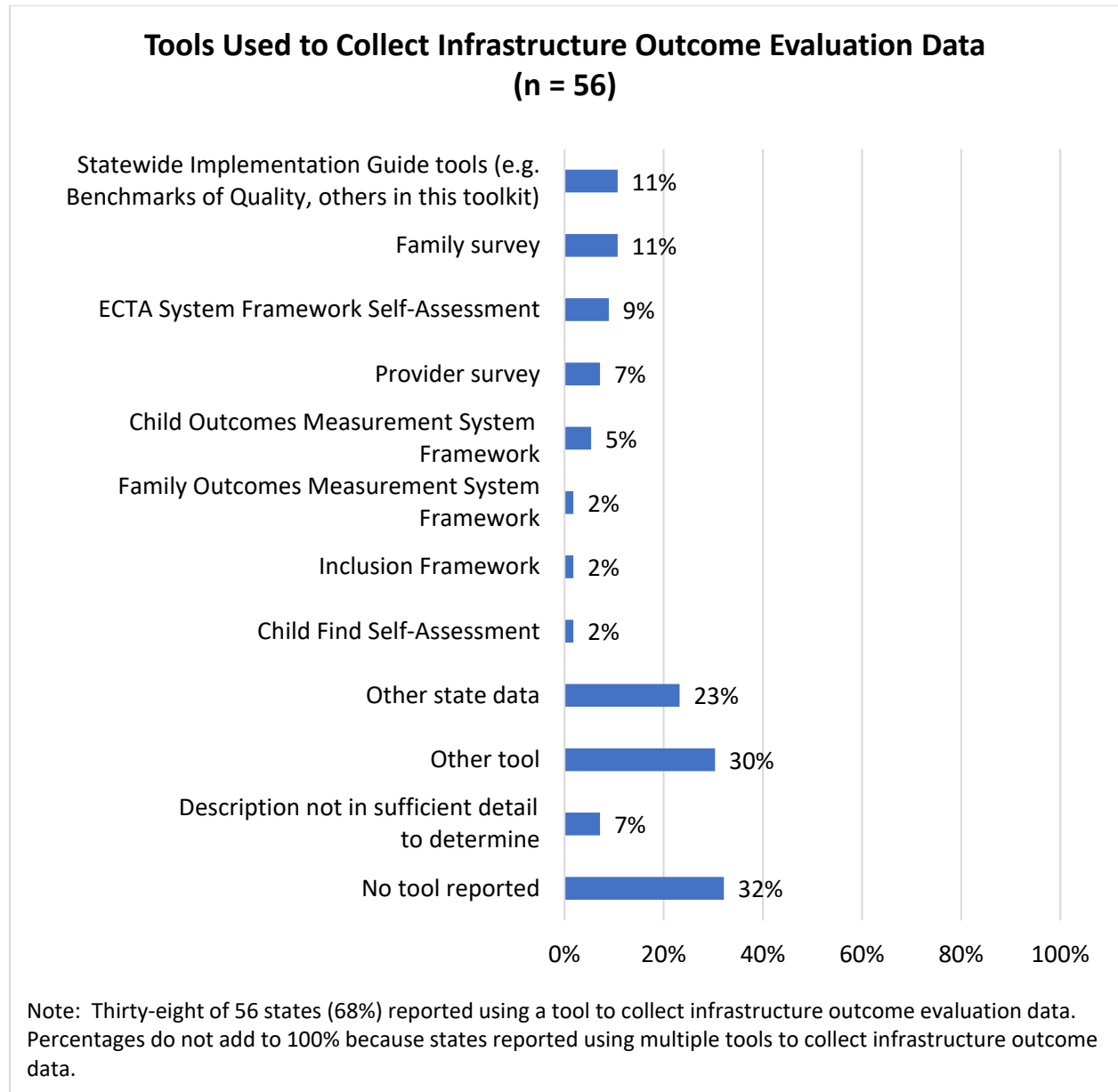
Seventeen states (30%) reported using other tools and methods to determine whether outcomes were achieved in different areas of infrastructure improvement. These included the following tools and methods:

- Surveys of program staff, providers, families, and other stakeholders about teletherapy, EBPs, knowledge of Part C

- Review of family survey data to determine whether evaluators used approved tools
- Evaluation of master coaches' activities based on stakeholder feedback
- Analysis of the number of resources downloaded from program websites.

Eighteen states (32%) did not report a tool or method for determining the achievement of infrastructure outcomes.

**Figure 13**

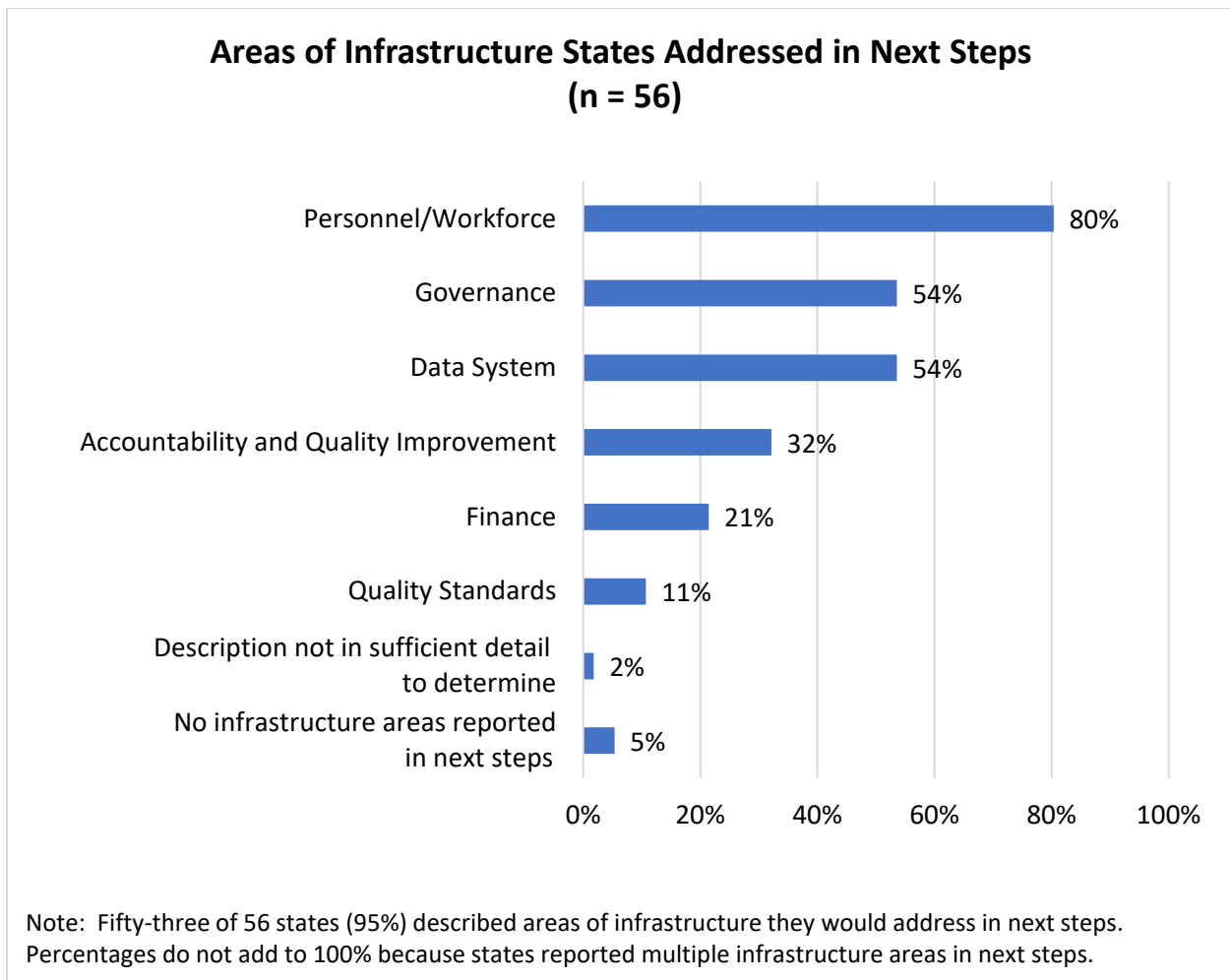




### Areas of Infrastructure Identified for Next Steps

Almost all states (53, 95%) included areas of infrastructure in their next steps. Figure 14 shows that 45 states (80%) reported next steps to include Personnel/Workforce, 30 (54%) included Governance, and 30 (54%) included Data Systems. Some states described next steps that addressed Accountability and Quality Improvement (18, 32%), Finance (12, 21%) and Quality Standards (6, 11%). One state (2%) did not provide enough information to determine the area of infrastructure, and three states (5%) did not include infrastructure areas in their next steps.

**Figure 14**



### Practices

States were required to report activities they had undertaken to support the implementation of EBPs. Further, they were required to specify newly selected EBPs and EBPs they continued to implement in FFY 2019. A few states (ten states, 18%) reported the selection of new EBPs, while most states (51 states, 91%) reported the continued implementation of previously selected EBPs.

### *New Evidence-based Practices (EBPs) Implemented*

Ten states (18%) reported on the specific EBPs and models they had newly selected for implementation (Figures 15 and 16). Figure 15 reflects the various EBPs and models selected and shows that three states (5%) reported the selection of the Early Start Denver Model and two states (4%) reported the selection of specific Division of Early Childhood (DEC) Recommended Practices (RPs). States also reported the selection of the following new EBPs: Routines-Based Early Intervention (RBEI) (one state, 2%), Pyramid Model (one state, 2%), and Family-Guided Routines Based Intervention and Caregiver Coaching (one state, 2%). Three states (5%) reported the selection of other new EBPs, including:

- Strengthening Families' Protective Factors framework
- Parents as Teachers
- Learning Experiences: An Alternative Program for Preschoolers and Parents (LEAP).

One (2%) did not provide enough information to determine which new EBPs or models they had selected for implementation. Most states (46, 82%) did not report that they had selected new EBPs.

**Figure 15**

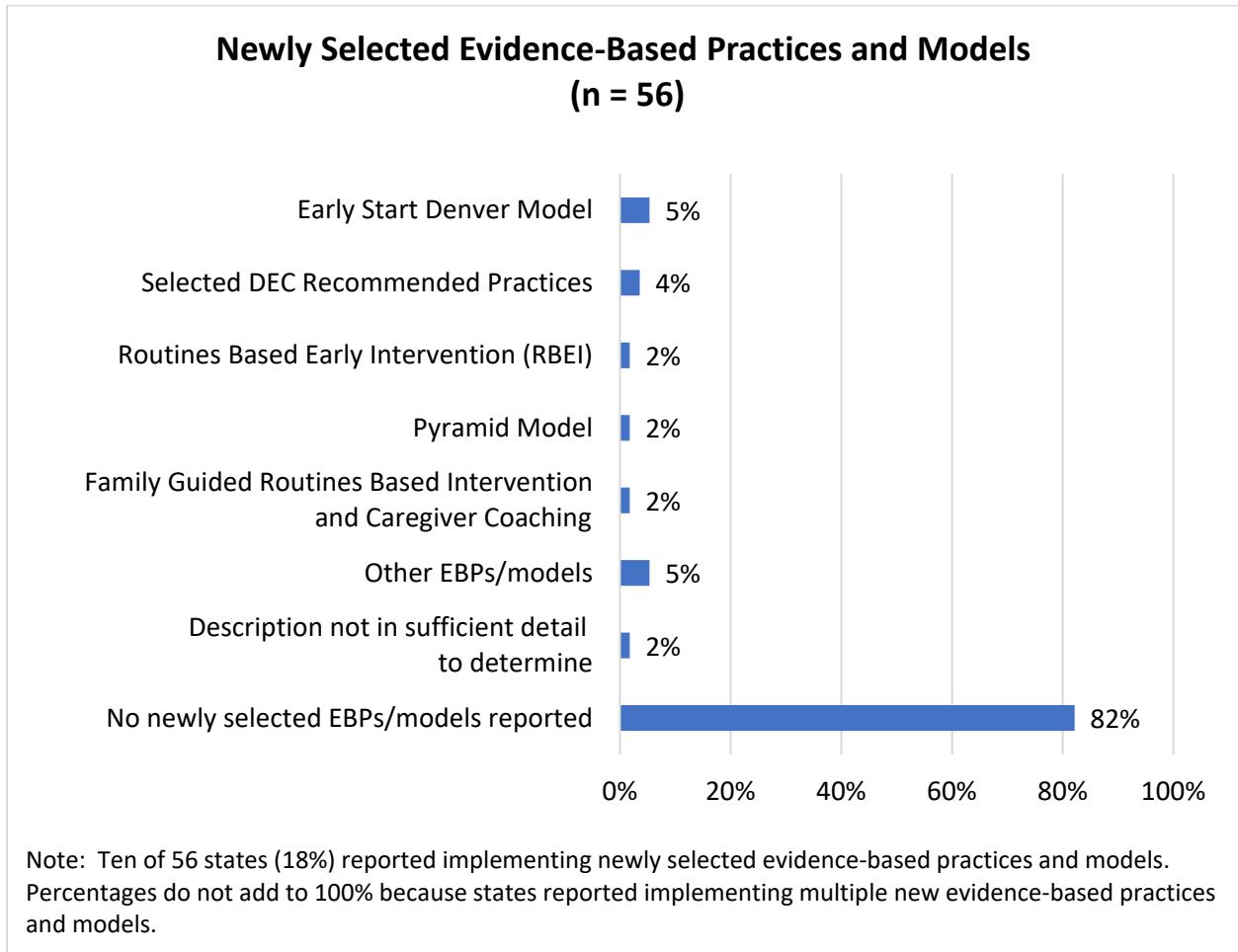
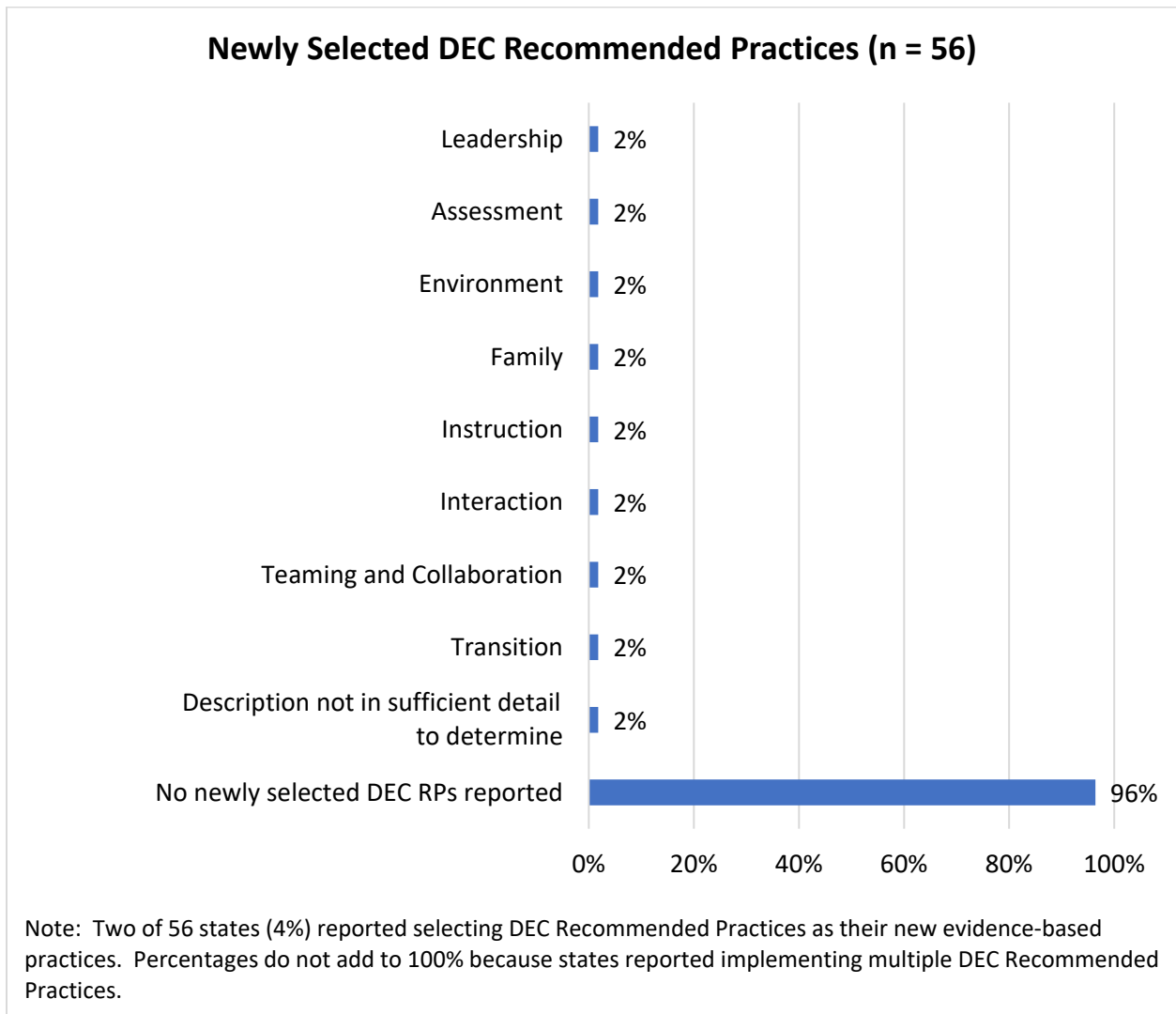


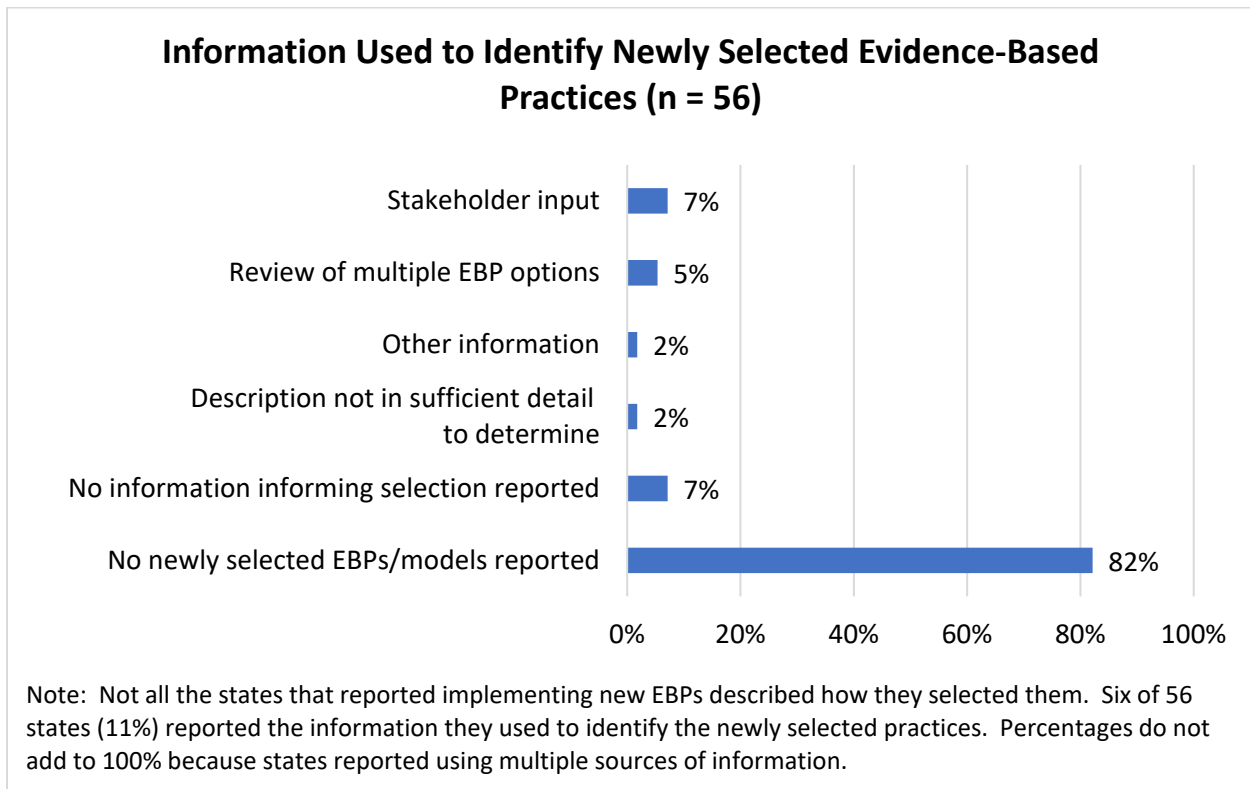
Figure 16 shows further detail about the DEC RP areas states selected as new EBPs for implementation. One state (2%) identified all DEC RPs as newly selected EBPs, while the other did not specify which RPs were newly selected.

**Figure 16**



Not all states that reported implementing new EBPs described how they selected them. Figure 17 shows that only six of 56 states (11%) provided this description. Four states (7%) used stakeholder input, and three states (5%) reviewed multiple EBP options. One state (2%) reported the use of TA from federally funded centers and higher education. One state (2%) did not provide enough information to determine how they selected new EBPs. Four states (7%) that reported selecting new EBPs did not describe the information on which they based their selection.

Figure 17



### *Ongoing Evidence-based Practices (EBPs) Implemented*

Fifty-one states (91%) reported on the specific EBPs and models they continued to implement in FFY 2019 (Figures 18 and 19). Figure 18 reflects the various practices and models selected and shows that 16 states (29%) reported implementing selected DEC RPs and 14 states (25%) reported implementing the Routines-Based Interview (RBI). Twelve states (21%) reported implementing Coaching in Natural Learning Environments, and 12 states (21%) reported implementing the Pyramid Model. States also reported implementing the following EBPs: Family-Guided Routines Based Intervention and Caregiver Coaching (seven states, 13%). Routines-Based Early Intervention (RBEI) (four states, 7%), and the Early Start Denver Model (two states, 4%). Ten states (18%) reported implementing other EBPs, including:

- Help Me Connect/Help me Grow
- Getting Ready
- Promoting First Relationships.

Two states (4%) did not provide enough information to determine which EBPs or models the states were continuing to implement, and five states (9%) did not report specific EBPs or models being implemented.

**Figure 18**

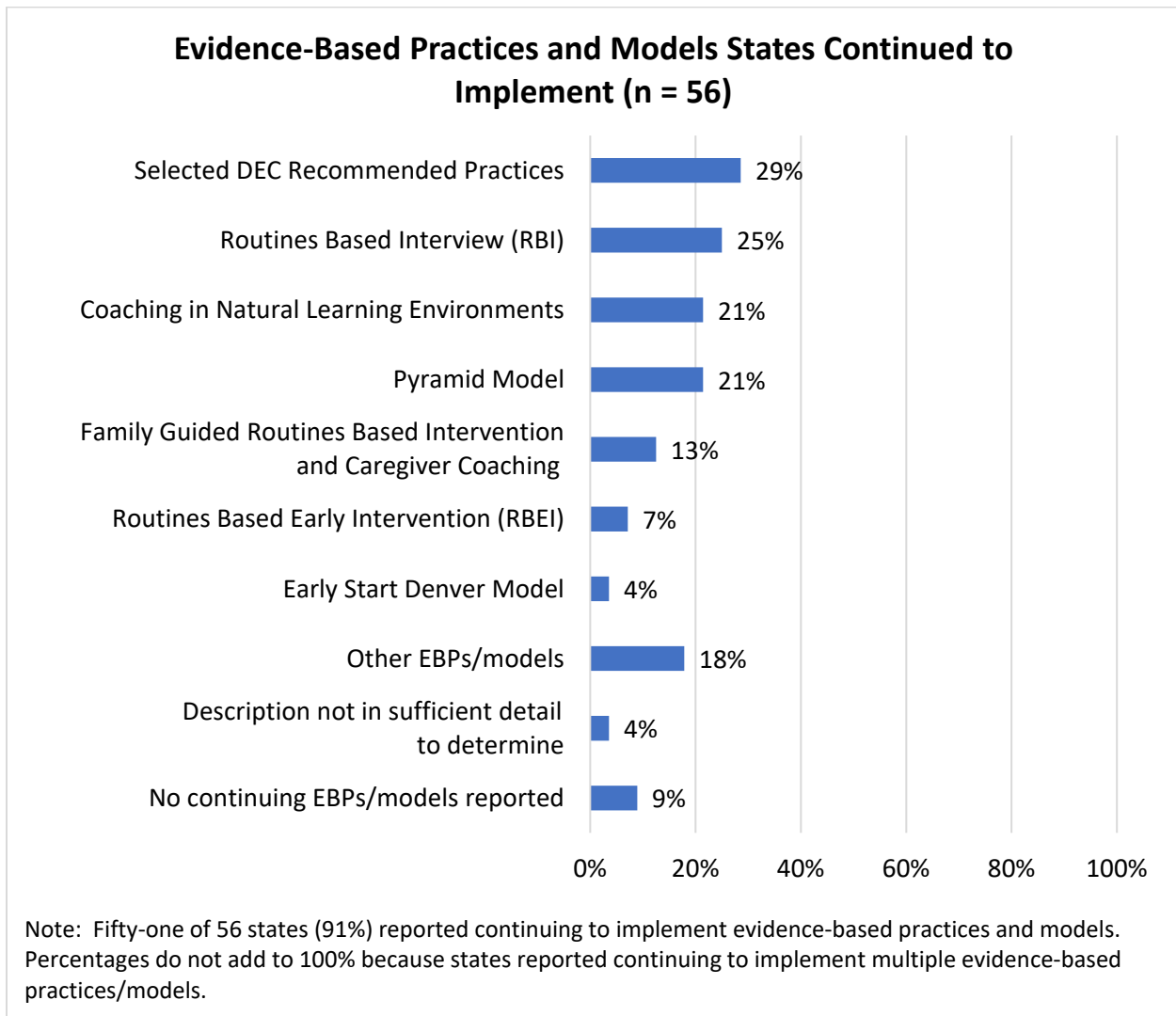
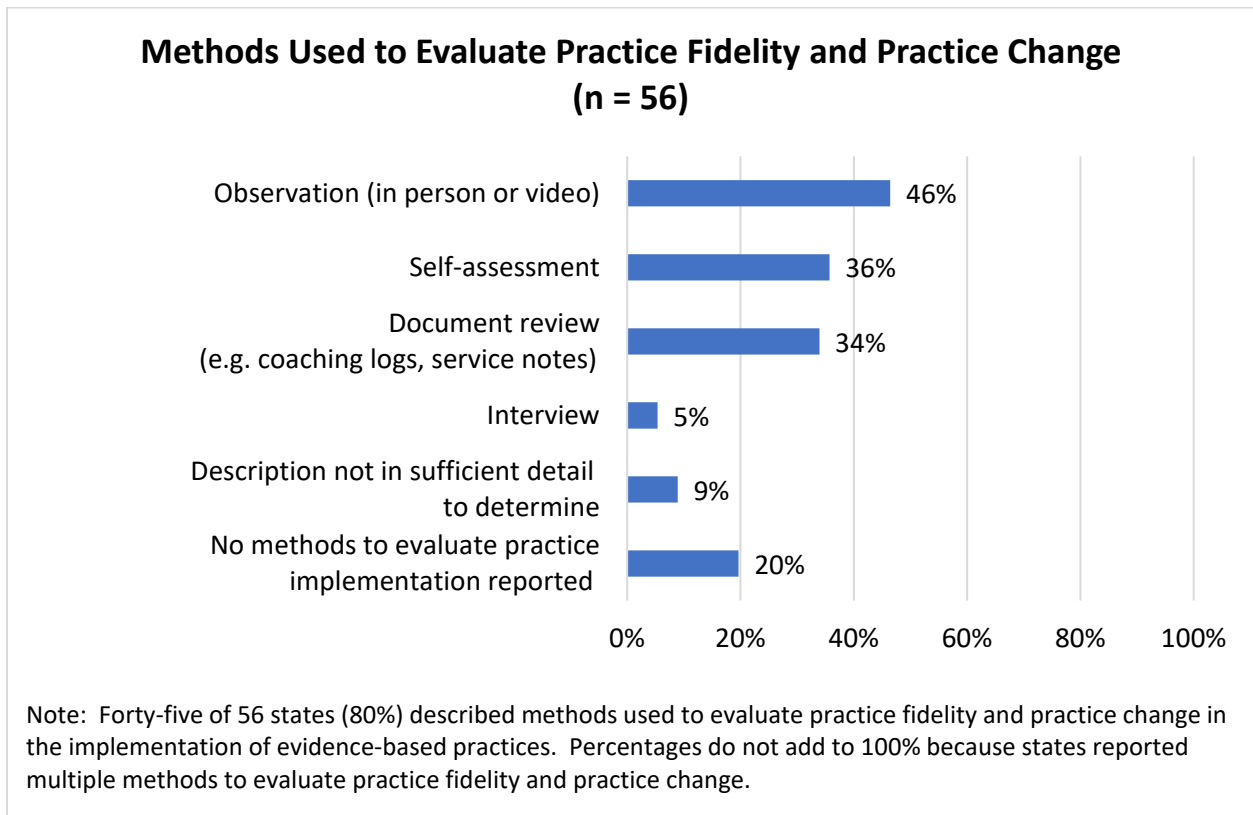


Figure 19 shows further detail about the DEC RP areas that the 16 states (29%) continued to implement. Ten states (18%) reported implementing Family practices. Six states (11%) reported implementing Instruction and six states (11%) reported implementing Teaming and Collaboration practices. Four states (7%) reported implementing Environment practices, four states (7%) reported implementing Interaction, and three states (5%) reported implementing Assessment practices. Two states (4%) implemented Leadership, and two states (4%) implemented Transition. Five states (9%) reported that they are implementing DEC RPs but did not specify which ones. Forty states (71%) did not report on the continued implementation of DEC RPs.



**Figure 20**

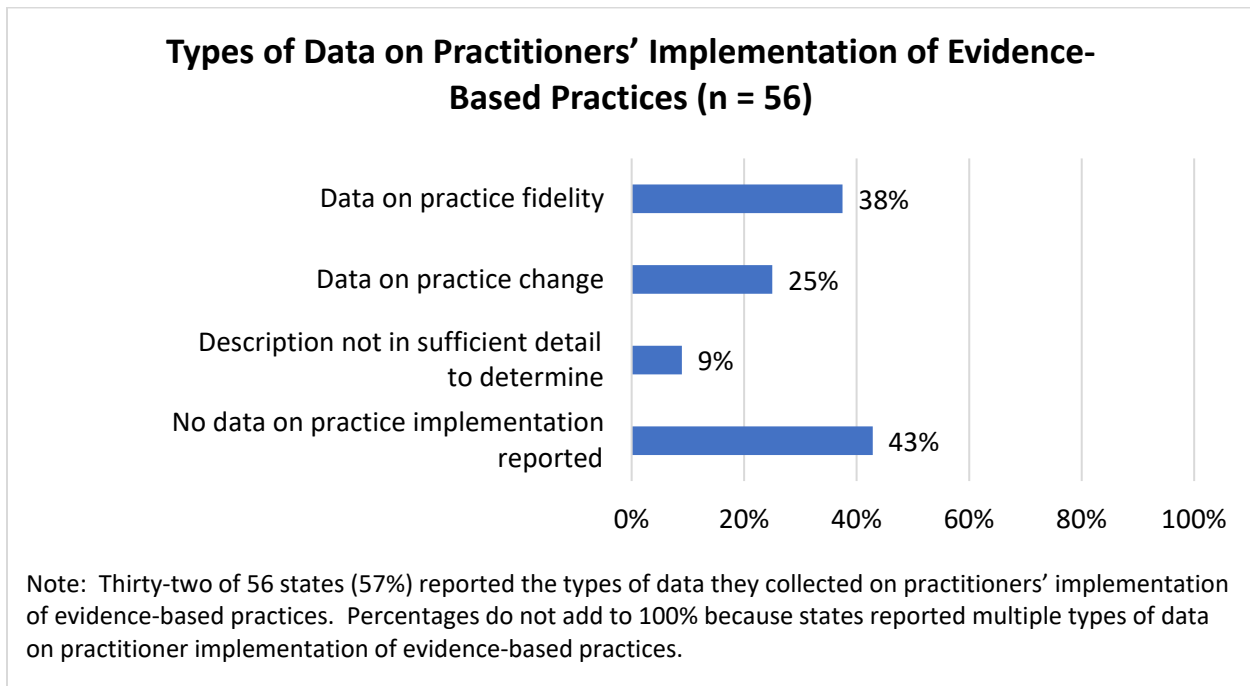


*Data on Practice Change and/or Practice Fidelity*

Figure 21 shows the types of data that 32 states (57%) reported on practitioners' implementation of EBPs. Twenty-one states (38%) included data on practice fidelity, while 14 states (25%) included data on practice change. Five states (9%) did not provide enough information to determine types of data, and 24 states (43%) did not report data on implementation of practices.



**Figure 21**

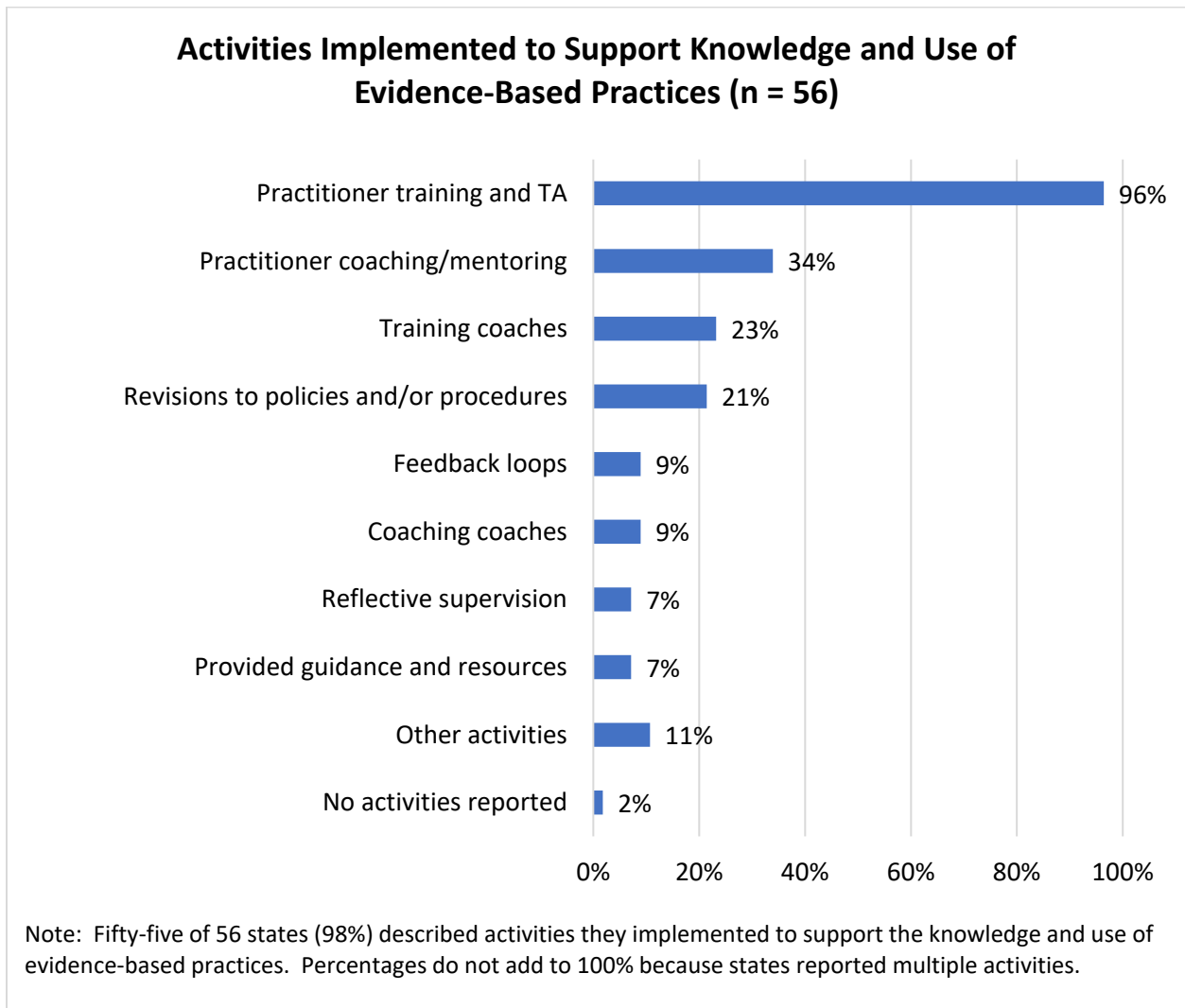


### *Activities to Support Practitioner Use of Evidence-based Practices (EBPs)*

As shown in Figure 22, almost all states (55 states, 98%) described activities they implemented to support the knowledge and use of EBPs. Fifty-four states (96%) described training and TA for practitioners, 19 states (34%) described practitioner coaching and mentoring, 13 states (23%) described training coaches, and 12 states (21%) reported that they revised policies and procedures. Additional activities included: feedback loops (five states, 9%), coaching coaches (five states, 9%), reflective supervision (four states, 7%), and the provision of guidance and resources (four states, 7%). Six states (11%) described other activities to support EBP implementation, such as:

- Identification of relationship-based competencies and training
- Release of Provider Perspectives Podcast Series
- Development of a list of partner agencies to better inform families of the support they can receive from partner agencies
- Individual site-based TA.

Figure 22



## 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 FFY 2019.

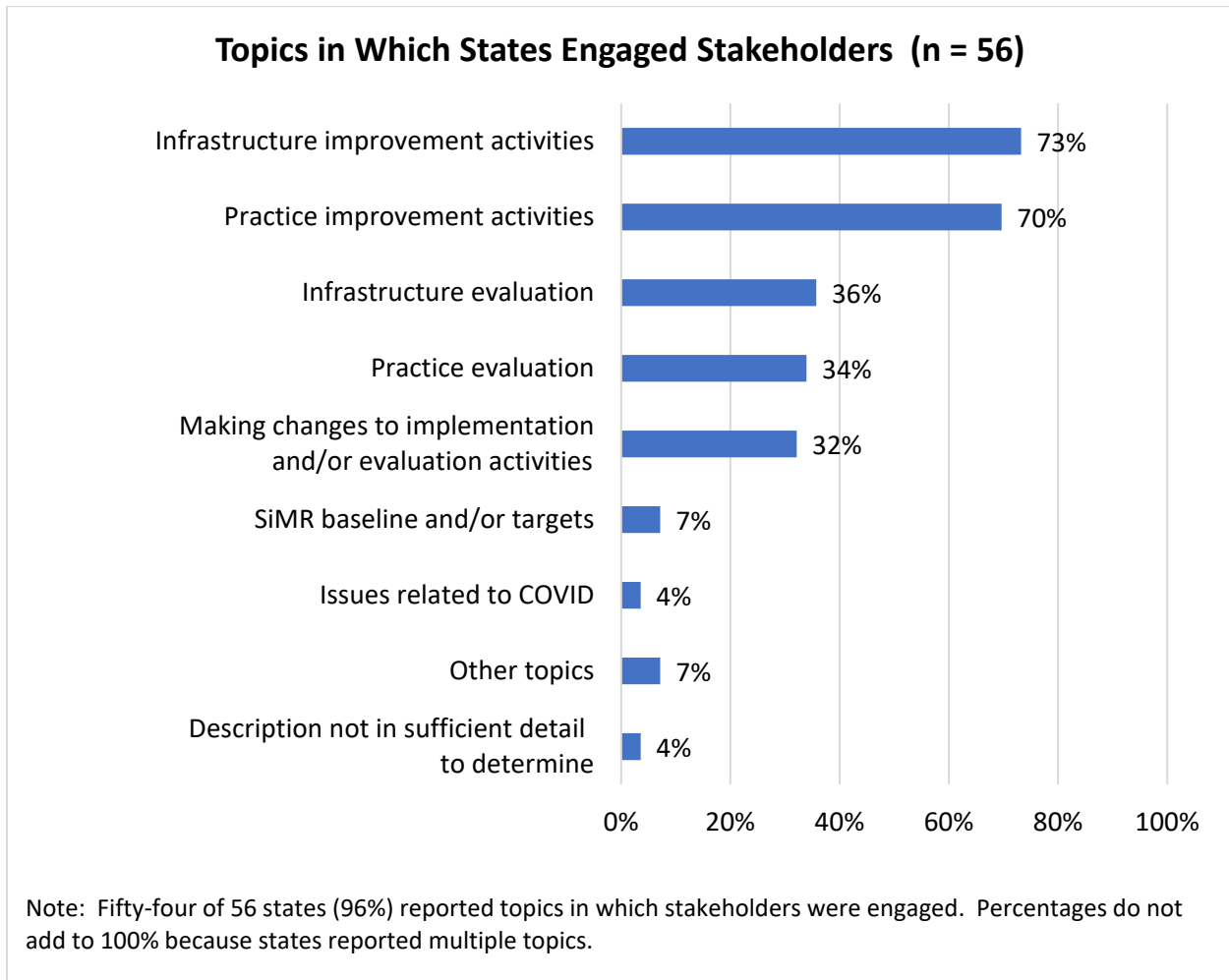
### *Topics in Which States Engaged Stakeholders*

Figure 23 shows the topics in which stakeholders were engaged as reported by 54 states (96%). Forty-one states (73%) reported engaging stakeholders in infrastructure improvement activities, and 39 states (70%) reported engaging stakeholders in practice improvement activities. States further reported that they engaged stakeholders in infrastructure evaluation (20 states, 36%) and practice evaluation (19 states, 34%). In addition, 18 states (32%) reported that stakeholders helped make changes to implementation and/or evaluation activities, four states (7%) reviewed SiMR baseline and targets, and two states (4%) reported that they engaged stakeholders in issues

related to COVID. Four states (7%) reported other topics in which they engaged stakeholders, such as:

- Budget management
- Transition, inclusion, and child find
- SSIP sustainability activities
- A parent survey to measure the impact of tele-intervention.

**Figure 23**

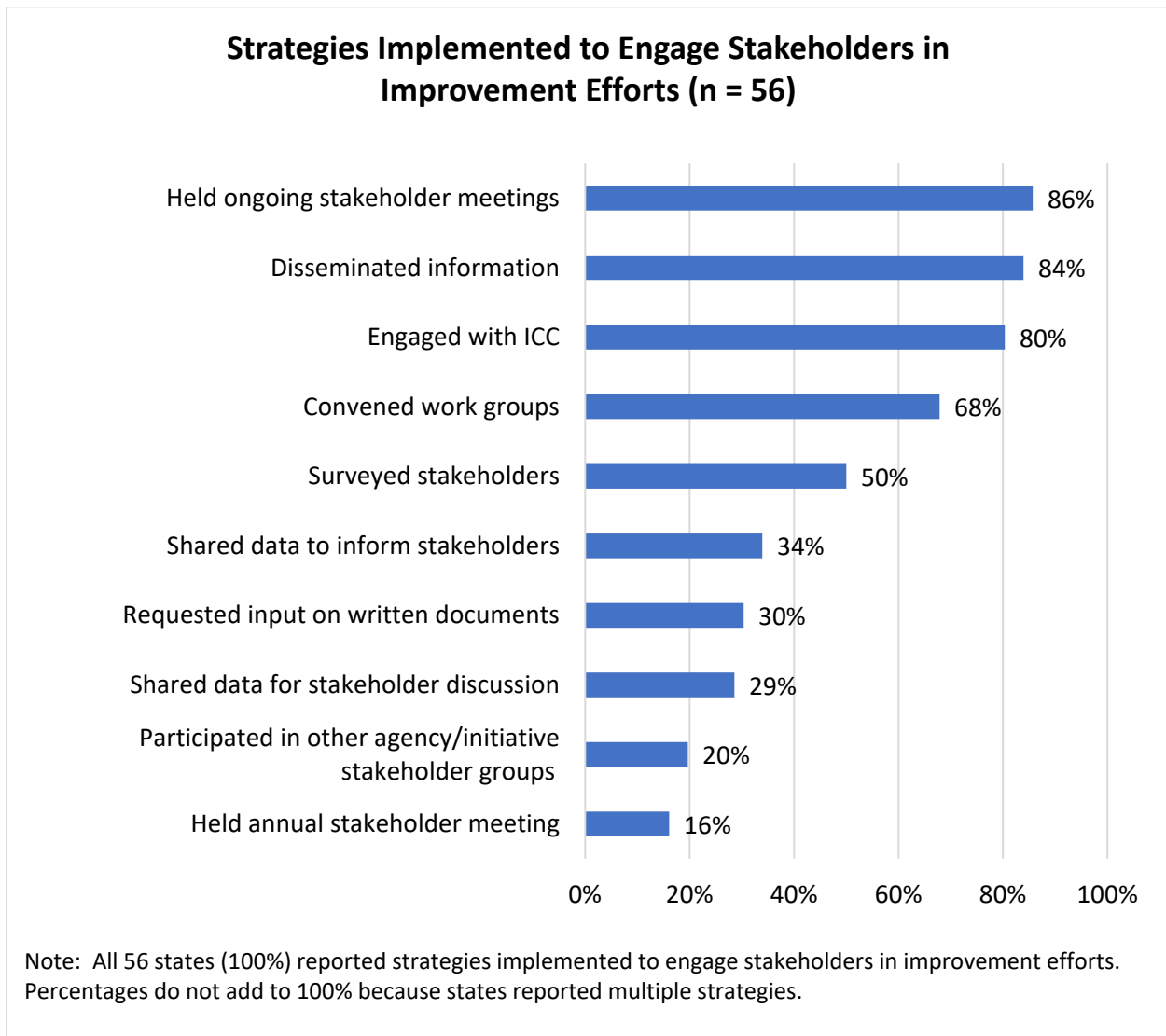


### ***Strategies Used to Engage Stakeholders***

All states (56 states, 100%) included information in their reports about the strategies they used for engaging stakeholders. Figure 24 shows that most states (48 states, 86%) reported that they held ongoing stakeholder meetings, 47 states (84%) disseminated information, and 45 states (80%) engaged with their state Interagency Coordinating Councils (ICCs). Thirty-eight states (68%) convened work groups, 28 states (50%), surveyed stakeholders, and 19 states (34%) reported that they shared data to inform stakeholders. Seventeen states (30%) reported requesting input on

written documents and 16 (29%) reported that they shared data for stakeholder discussion. In addition, 11 states (20%) reported that they engaged stakeholders by participating in the stakeholder groups of other agencies or initiatives. Nine states (16%) reported that they held annual stakeholder meetings.

**Figure 24**



***How Stakeholders Weighed in on SSIP Implementation and Evaluation***

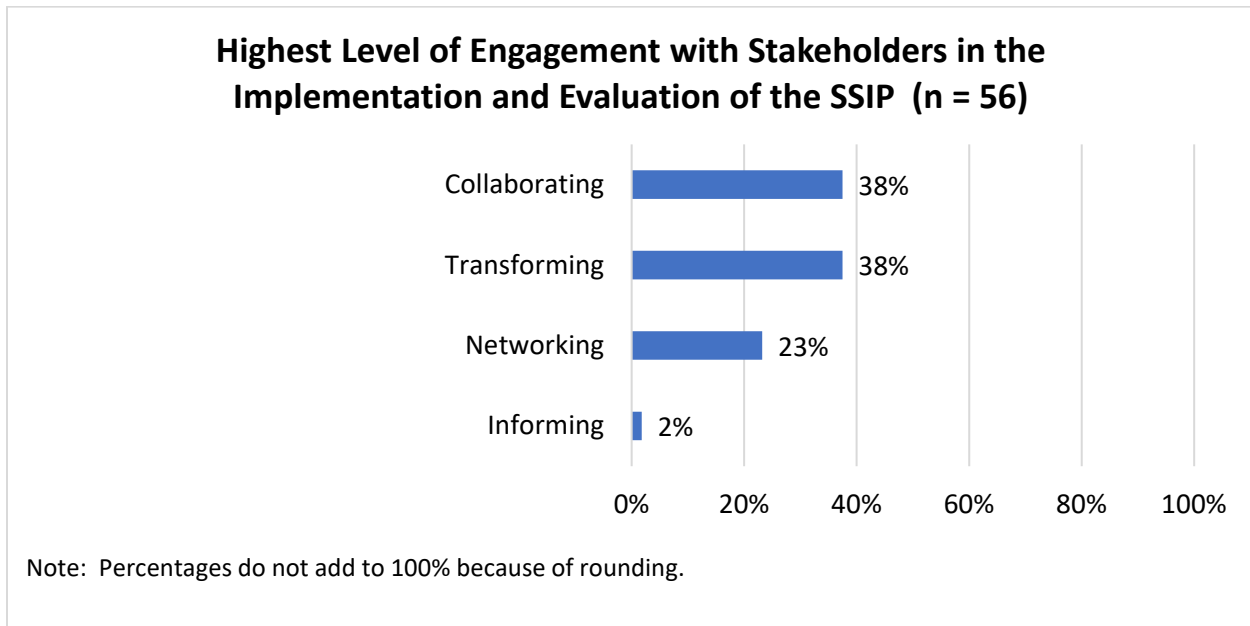
All states (56 states, 100%) described how they engaged stakeholders in decision-making on the SSIP in FFY 2019. Reviewers categorized states’ reported stakeholder engagement using the Leading by Convening four levels of interaction (listed from lowest to highest):

- **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 used these definitions to select the highest level of interaction described in the states' SSIP reports. Figure 25 shows states' engagement of stakeholders in the implementation of the SSIP by level of interaction. Most states (42, 75%) described stakeholder participation at the level of Collaborating or Transforming, with 21 states (38%) at the level of Collaborating and 21 states (38%) at the level of Transforming. Thirteen states (23%) described engaging at a Networking level and one state (2%) as engaging only at the Informing level.

**Figure 25**



### ***Topics on Which Stakeholders Shared Concerns***

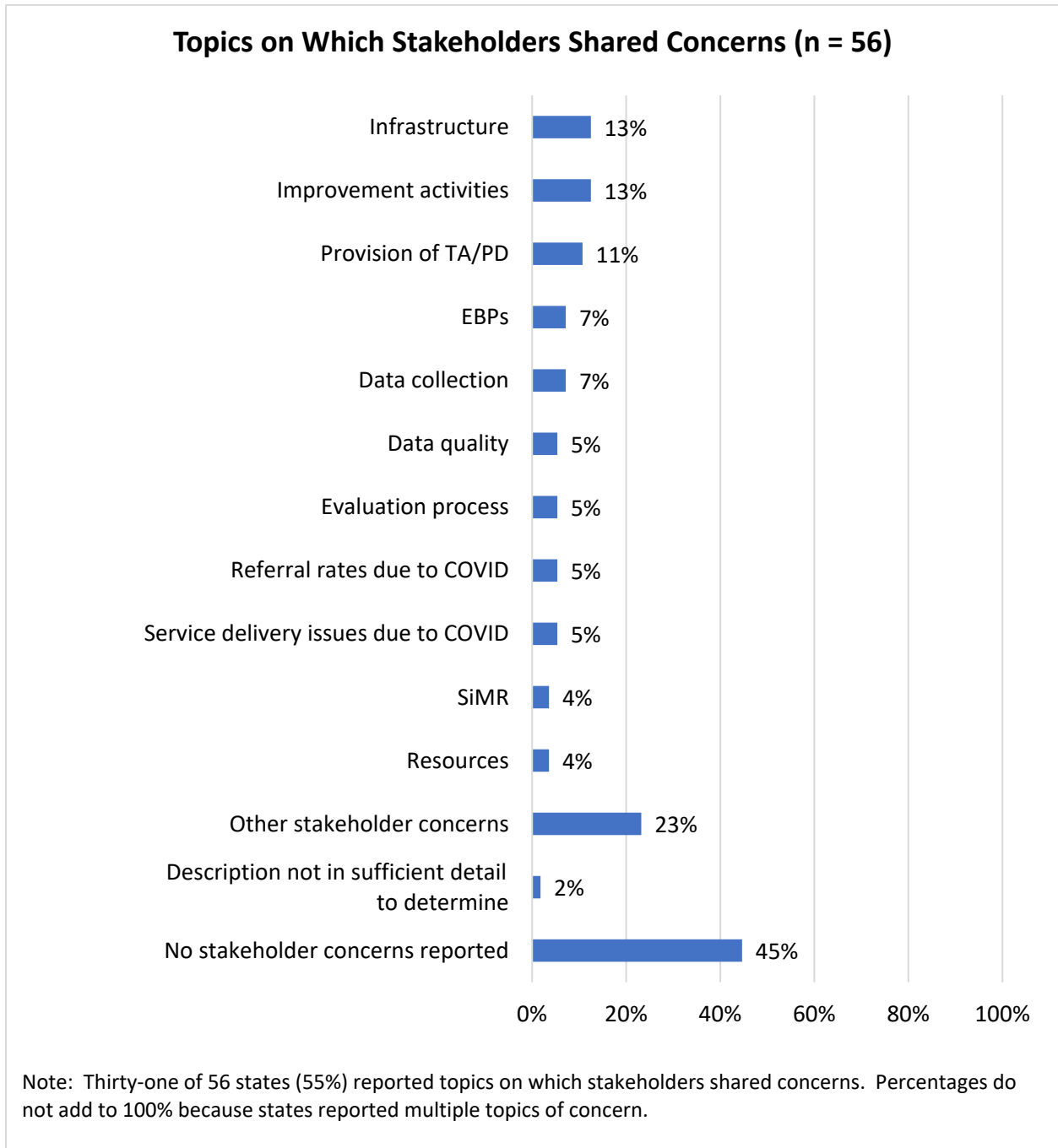
States were asked to describe the concerns stakeholders shared in their work with SSIP activities. As shown in Figure 26, 31 states (55%) reported stakeholder concerns. Topics included concerns in the areas of infrastructure (seven states, 13%), improvement activities (seven states, 13%), provision of TA and professional development (six states, 11%), and use of EBPs (four states, 7%). In addition, states reported stakeholder concerns about data collection (four states, 7%) and data quality (three states, 5%). Other areas of concern were about the evaluation process (three states, 5%), referral rates due to COVID-19 (three states, 5%), and service delivery issues due to COVID-19 (three states, 5%). States also reported concerns about the SiMR (two states, 4%) and inadequate resources (two states, 4%). Thirteen states (23%) described other stakeholder concerns including:

- Practitioner workload and turnover
- Ongoing impact of the COVID-19 pandemic
- Family outcomes survey response rate.

One state (2%) did not provide enough information to identify the topic of concern.

Twenty-five states (45%) did not report stakeholder concerns.

**Figure 26**



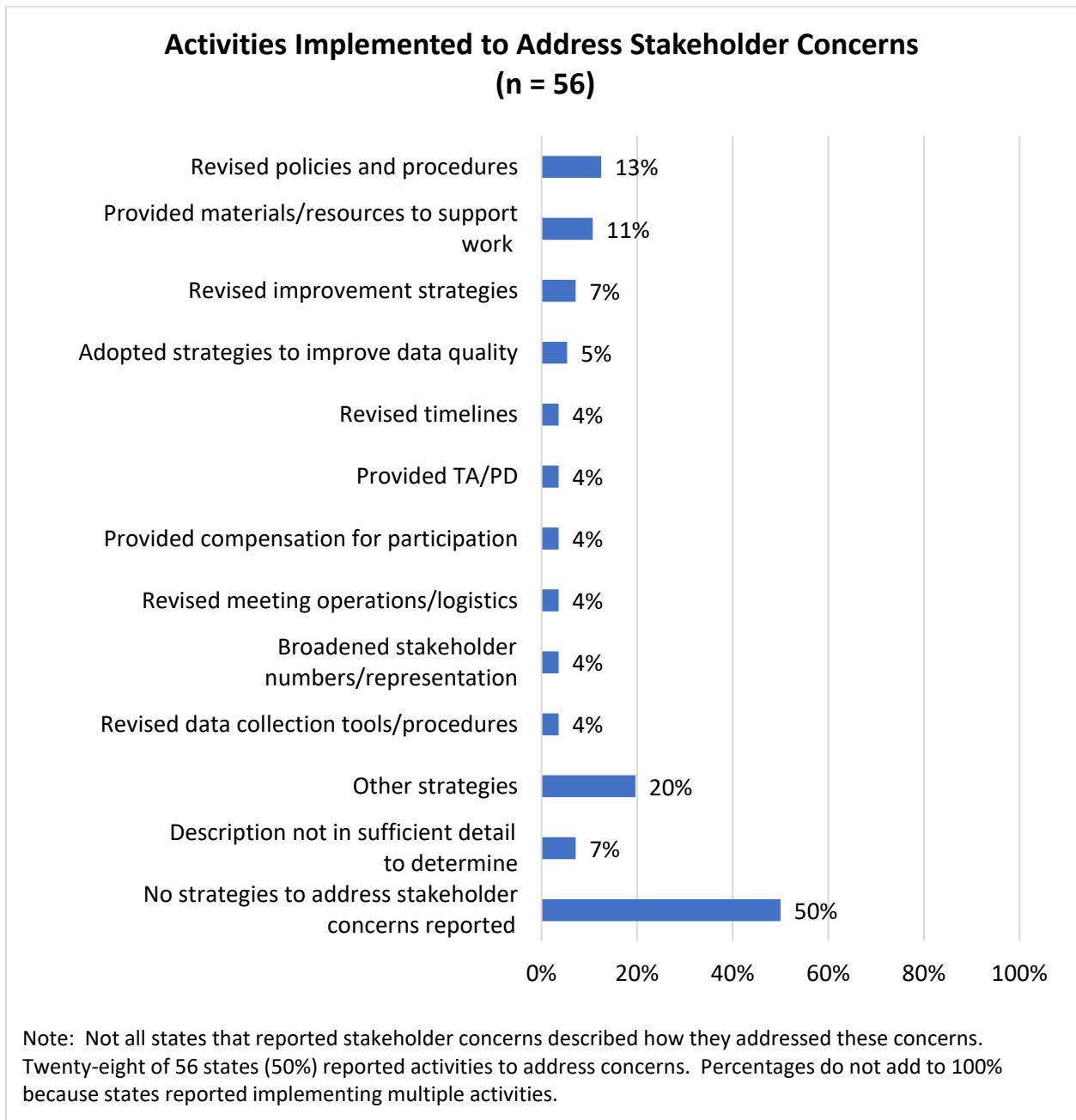
### ***How States Addressed Concerns Expressed by Stakeholders***

As shown in Figure 27, 28 states (50%) went on to describe the activities they implemented to address their stakeholders' concerns. Seven (13%) reported that they revised policies and procedures, six (11%) reported they provided materials and resources to support the SSIP work, and four (7%) reported that they revised improvement strategies. In addition, three states (5%) reported adopting strategies to improve data quality, two (4%) revised timelines, and two (4%) provided TA and professional development (PD). States also described compensation for participation in stakeholder groups (two states, 4%), revised meeting operations and logistics (two states, 4%), broadened stakeholder numbers and representation (two states, 4%), and revised data collection tools and procedures (two states, 4%). Eleven states (20%) reported that they took other actions to address stakeholder concerns, including that they:

- Held town hall meetings about child find with Parent Training and Information (PTI) stakeholders, medical home referral sources, and sister state agencies
- Used developmental tools conducive to telehealth platforms
- Determined methods to return to in-person services via two ad-hoc stakeholder groups focused on 1) safety and 2) compliance with IDEA. Individuals associated with hospital and medical organizations comprised the 'safety' group who followed the CDC protocols and vetted methods through the Department of Health, Office of Communicable Disease.

Four states (7%) did not provide enough information to identify activities, and 28 states (50%) did not describe activities to address stakeholder concerns. Twenty-five of these 28 states did not describe stakeholder concerns, as noted in Figure 26, and therefore did not identify actions taken to address stakeholder concerns.

**Figure 27**



## **CONCLUSION**

This analysis was based on a review of states' FFY 2019 Phase III – Year 5 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 the implementation of EBPs, as well as their achievement of infrastructure outputs and outcomes and progress toward the SiMR.



No states made changes to their SiMR, a few made changes to their SiMR targets, and seven modified their TOAs. Reports did not include sufficient detail for reviewers to determine the total number of states that changed baseline.

A little more than half of states described issues with data quality – both unrelated and related to COVID-19. However, a few more states reported data quality issues related to COVID-19 than those that reported data quality issues unrelated to COVID-19. A little less than half of states named the types of data affected, and about half of states reported actions they took to mitigate issues.

Almost every state reported implementing infrastructure improvement activities and achieving outcomes, particularly in the areas of Personnel and Workforce, Governance, and Data Systems. Also, more than half of states reported the tool or method they used to determine the achievement of infrastructure outcomes. Almost all included areas of infrastructure to address in their discussions of next steps.

States reported a variety of newly selected evidence-based practices (EBPs) and models as well as those they continued to implement. Only a few selected new EBPs, including the Early Start Denver Model and DEC Recommended Practices (RPs). About a quarter of states reported information they used, such as stakeholder input, to select new EBPs for implementation. Almost all states named the EBPs they continued to implement, such as DEC RPs, the Routines-Based Interview (RBI), and Coaching in Natural Learning Environments.

Almost all states described methods for evaluating implementation of EBPs, primarily through observation, self-assessment, and review of documents such as coaching logs and service delivery notes. Almost all states described activities they implemented to support the knowledge and use of EBPs, including training and TA, practitioner coaching and mentoring, the training of coaches, and the revision of policies and procedures. Almost half of states reported that they collect practitioner data on the implementation of EBPs, including both practice change and fidelity data.

Most states reported engaging stakeholders on the topics of infrastructure and practice improvement activities. They also described strategies for engaging stakeholders, such as through ongoing meetings, disseminating information, and their state ICCs. Reviewers concluded that most engaged stakeholders were at the level of Collaborating or Transforming, based on definitions from Leading by Convening. A little more than half of states reported the concerns stakeholders expressed, including concerns about infrastructure, improvement activities, TA and professional development, and the use of EBPs. A little more than half of states also described the actions they took to address stakeholder concerns. These included the revision of policies and procedures, provision of materials and resources to support the SSIP work, and the revision of improvement strategies.