

2022 PART C FFY 2020 SPP/APR INDICATOR ANALYSIS BOOKLET

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

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 2020 Annual Performance Reports (APRs) for 56 states. 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 2020) and trend data over the last six reporting years (FFY 2015 to FFY 2020) for this indicator. For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and Figure 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**

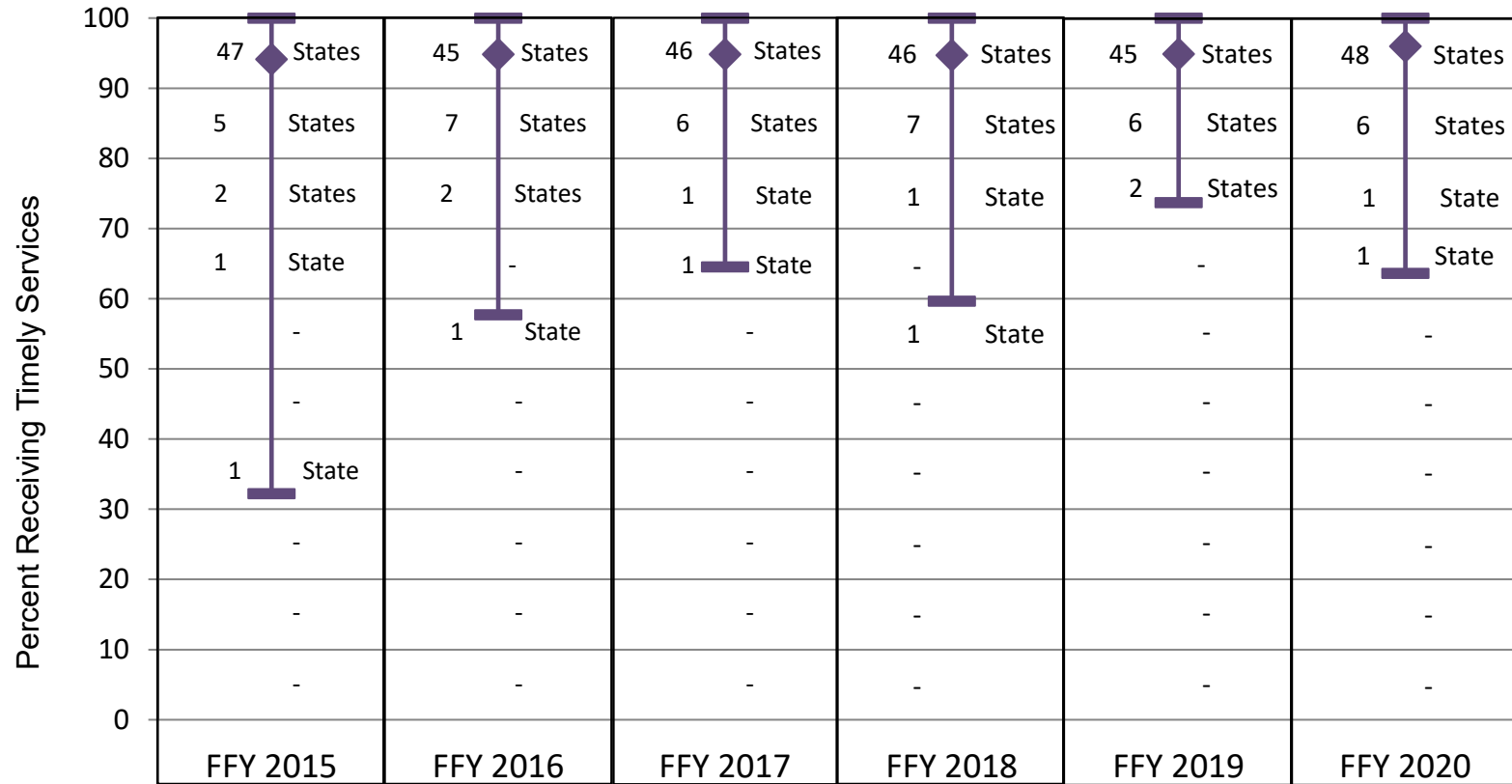


Figure 1a illustrates that national performance for this indicator has been rather consistent over the past six years with the greatest variation being in the range of mean percentages. Table 1b further shows the same trend in that the mean has remained consistent across the years, with FFY 2020 data increasing to 96% from the previous 95% which held steady between FFY 2016-2019. Also, all 56 states reported data on this indicator for FFY 2020. This extent of data completeness was last observed in FFY 2015.

Table 1b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C1 TIMELY SERVICES

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	94	95	95	95	95	96
Highest	100	100	100	100	100	100
Lowest	32	58	65	60	74	64
No Data	0	1	2	1	3	0

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

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 2020 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 2020-2021 data collection. States report a snapshot count of the primary setting of each child’s services for all children enrolled in Part C on a state-designated date in the fall of 2020. “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 2020) and trend data over the last six reporting years, from FFY 2015 to FFY 2020. For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and Figure 1b below the chart shows the national mean, range, and number of states with no data.

Figure 1a illustrates that national performance has been consistent over the past six years with 98% of children receiving services in the home or a community setting each year except FFY 2015 when 97% was reported. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean being consistent and the range minimum varying between 76% and 84% with 79% reported as the lowest figure for FFY 2020.

Table 1b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C2 HOME AND COMMUNITY SETTINGS

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	97	98	98	98	98	98
Highest	100	100	100	100	100	100
Lowest	76	84	84	83	83	79
No Data	0	0	0	0	0	0

INDICATOR 3: EARLY CHILDHOOD 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.
(20 U.S.C. 1416(a)(3)(A) and 1442)

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 2020 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 2020)

Child Outcome Measurement Approach	Count	Percent
COS process	40	71.4%
One tool statewide	9	16.1%
Publisher online system	4	7.1%
Other	3	5.4%
TOTAL	56	100%

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

FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS

Figures 1a through 6b illustrate current data (FFY 2020) and trend data for summary statements one and two for each of the three outcome areas over the last six reporting years (FFY 2015 to FFY 2020). For each reporting year, the number of states within each ten-percentage point range are shown as charts, 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

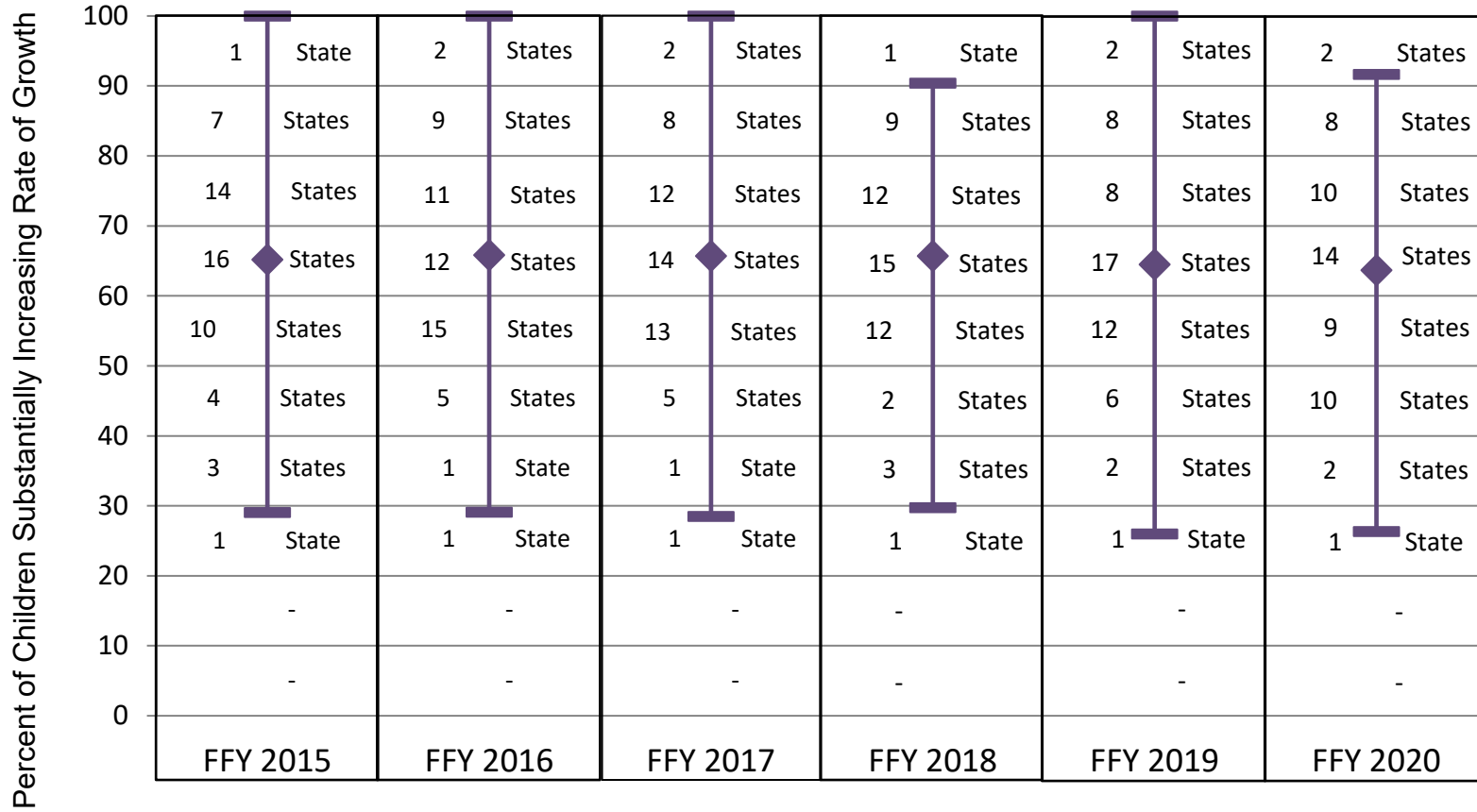


Figure 1a illustrates that national performance for Indicator 3A: Positive Social-Emotional Skills Summary Statement 1 has been consistent over the past six years with marginal slippage between FFY 2018 and FFY 2019. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean consistently found between 64% and 66% with the range spanning between 60-74 percentage points throughout the period. It is noted that the highest percentage reported for FFY 2020 is 92%.

Table 1b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C3A1 POSITIVE SOCIAL-EMOTIONAL SKILLS

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	65	66	66	66	64	64
Highest	100	100	100	90	100	92
Lowest	29	29	29	30	26	26
No Data	0	0	0	1	0	0

Figure 2a

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

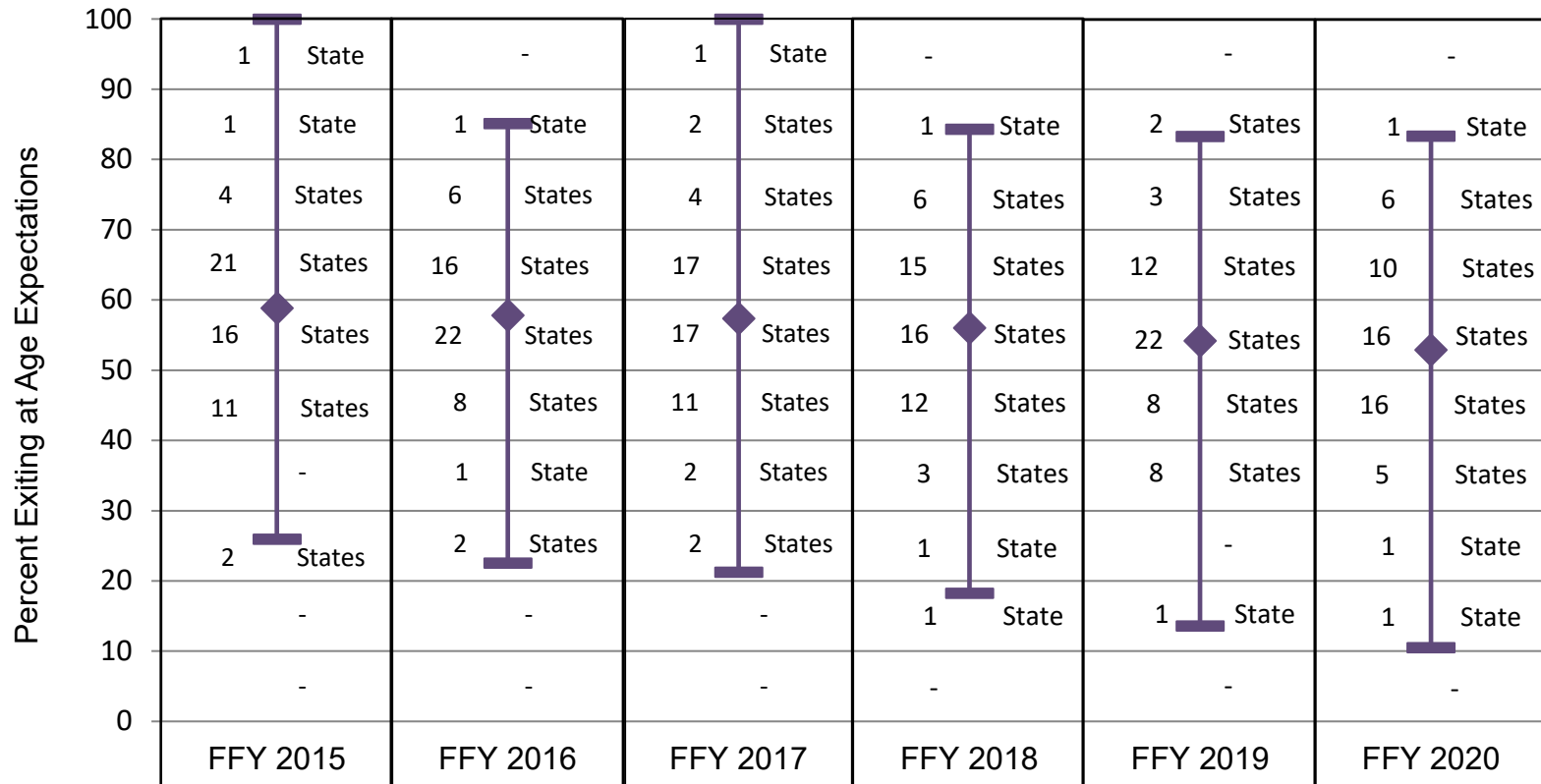


Figure 2a illustrates that national performance for Indicator 3A: Positive Social-Emotional Skills Summary Statement 2 has gradually declined over the past six years. Table 2b illustrates the same trend using data on the mean and the range of scores with the mean gradually falling from a high of 59% to 53% in FFY 2020. Likewise, data for FFY 2020 shows the range spanning between 83% and 11%, which represents the smallest high and low values for the six-year period. It should be noted that during this six-year 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

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	59	58	57	56	54	53
Highest	100	85	100	84	83	83
Lowest	26	23	21	18	14	11
No Data	0	0	0	1	0	0

Figure 3a

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

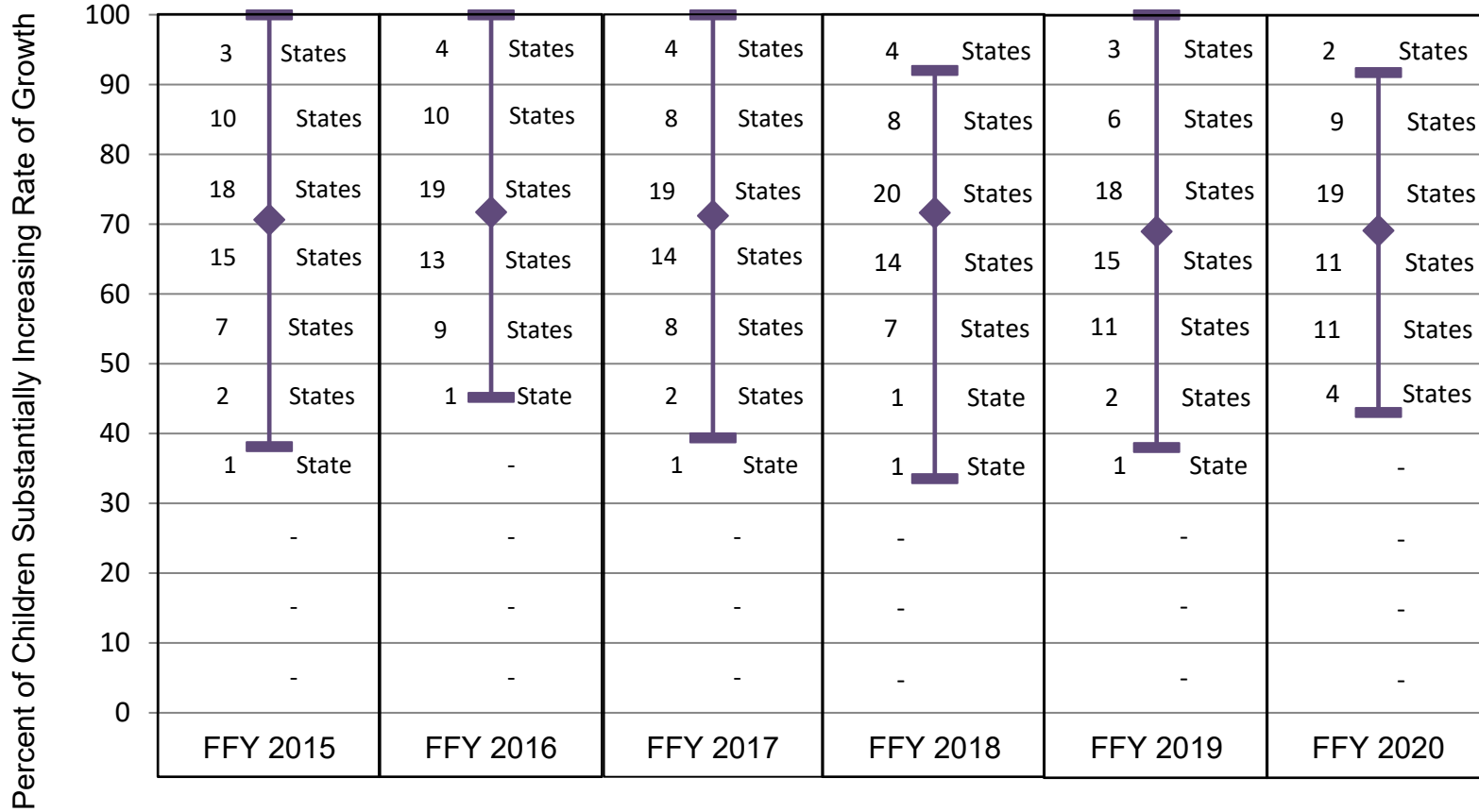


Figure 3a illustrates that national performance for Indicator 3B: Acquisition and Use of Knowledge and Skills Summary Statement 1 has been consistent over the past six years with the mean hovering around 70% and the range of scores spanning between 49-62 percentage points. Some slippage is noted between FFY 2018 and FFY 2019. Table 3b illustrates the same trend using data on the mean and the range of scores with the mean for FFY 2020 holding steady at 69% after falling from 72% in FFY 2018. 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

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	71	72	71	72	69	69
Highest	100	100	100	92	100	92
Lowest	38	45	39	34	38	43
No Data	0	0	0	1	0	0

Figure 4a

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

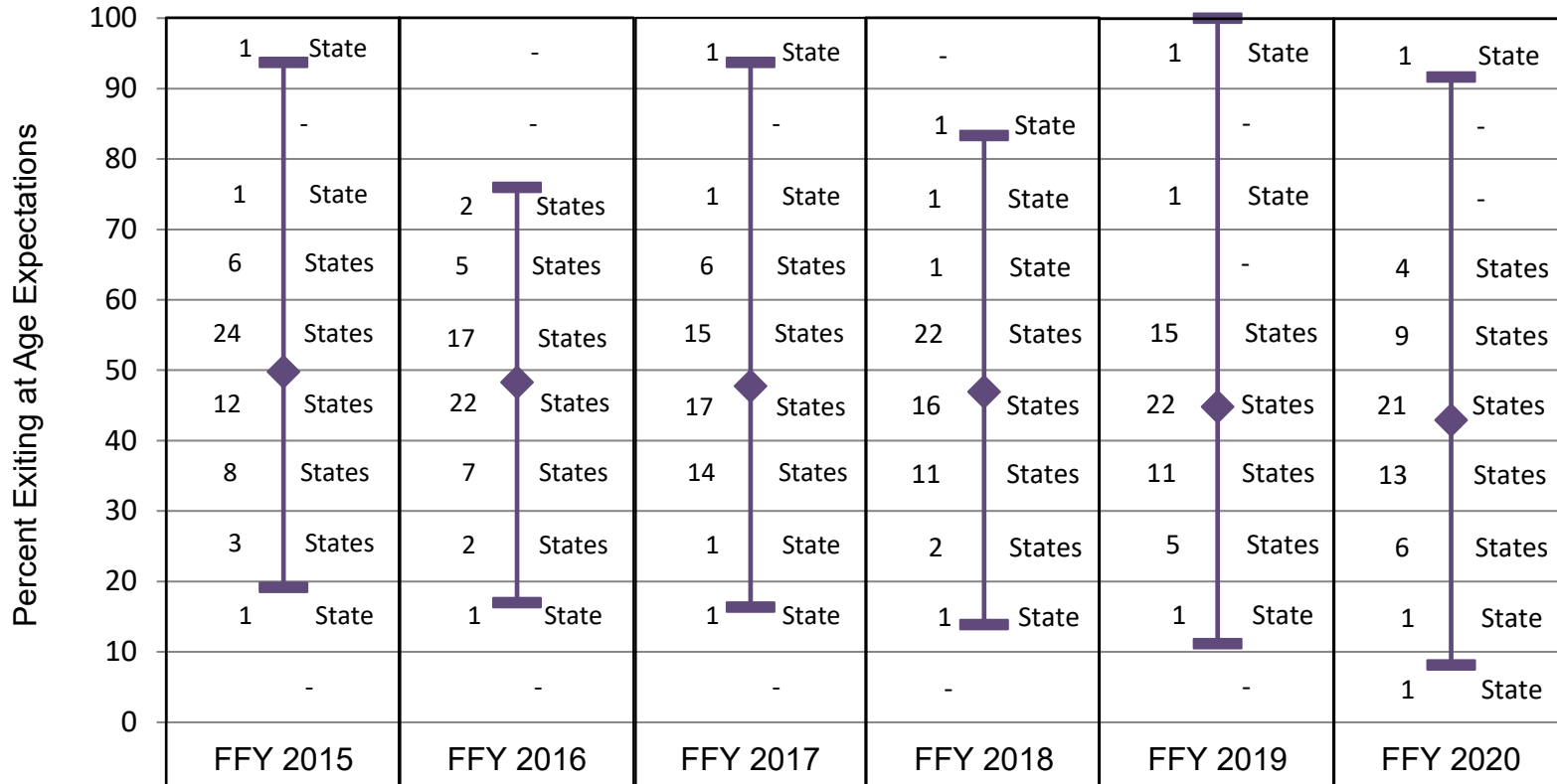


Figure 4a illustrates that national performance for Indicator 3B: Acquisition and Use of Knowledge and Skills Summary Statement 2 has steadily declined over the past six years. Table 4b illustrates the same trend using data on the mean and the range of scores with the mean gradually falling from a high of 50% in FFY 2015 to 43% in FFY 2020. FFY 2018 is the only year 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

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	50	48	48	47	45	43
Highest	94	76	94	83	100	92
Lowest	19	17	16	14	11	8
No Data	0	0	0	1	0	0

Figure 5a

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

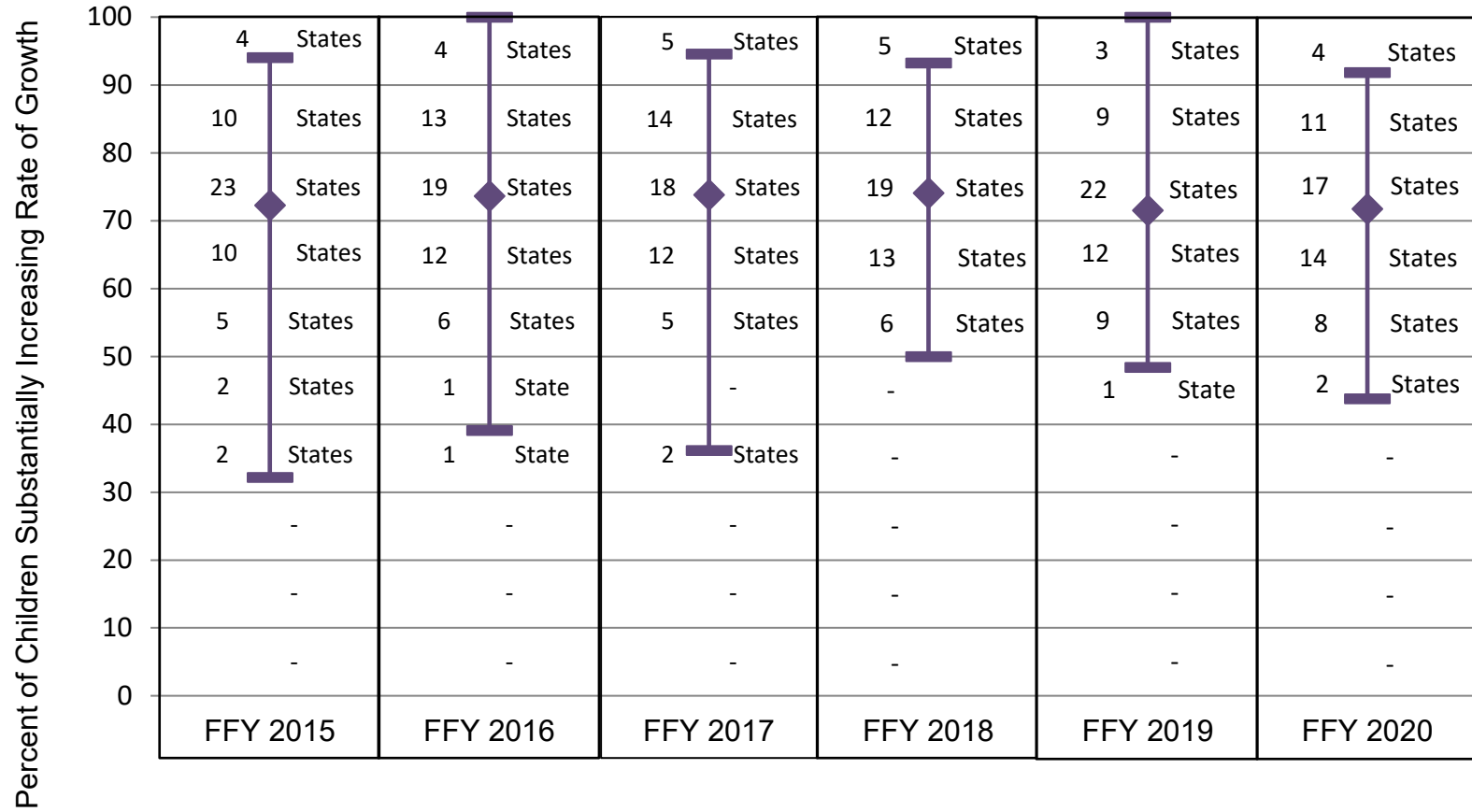


Figure 5a illustrates that national performance for Indicator 3C: Use of Appropriate Behaviors to Meet their Needs Summary Statement 1 has been consistent over the past six years with some slippage in FFY 2019. Table 5b illustrates the same trend using data on the mean and the range of scores with the mean falling slightly from 74% to 72% in FFY 2019 and holding steady for FFY 2020. FFY 2018 is the only year 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

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	72	74	74	74	72	72
Highest	94	100	95	93	100	92
Lowest	32	39	36	50	48	44
No Data	0	0	0	1	0	0

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 53% in FFY 2020. It is noted that in FFY 2020, 85% was the highest figure reported across all states and 9% was the lowest. 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

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	59	58	58	58	55	53
Highest	94	83	94	92	94	85
Lowest	26	23	20	17	12	9
No Data	0	0	0	1	0	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
- (20 U.S.C. 1416(a)(3)(A) and 1442)

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 2020 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 3b show the current data (FFY 2020) and trend data over the last six reporting years (FFY 2015 to FFY 2020) 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**

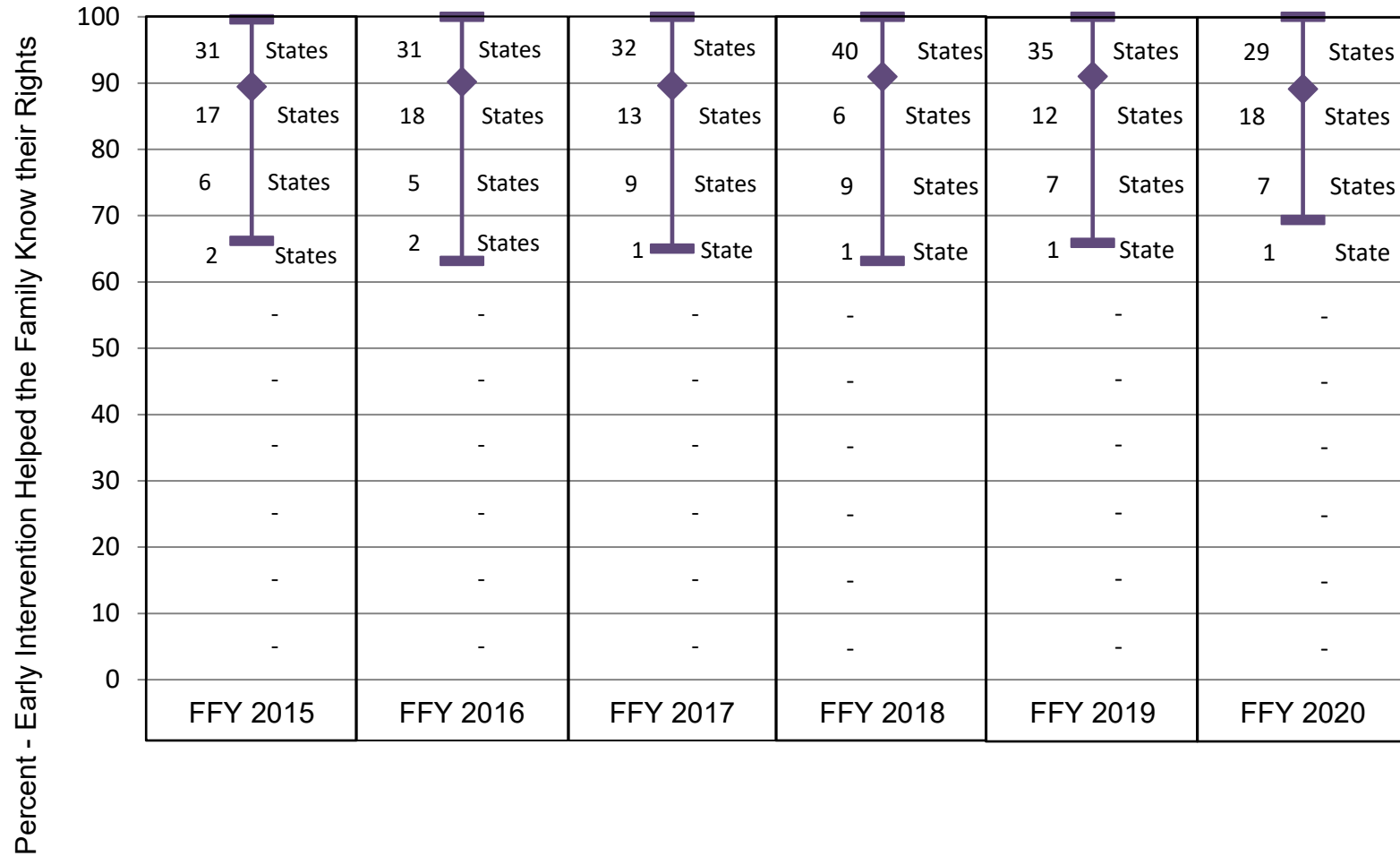


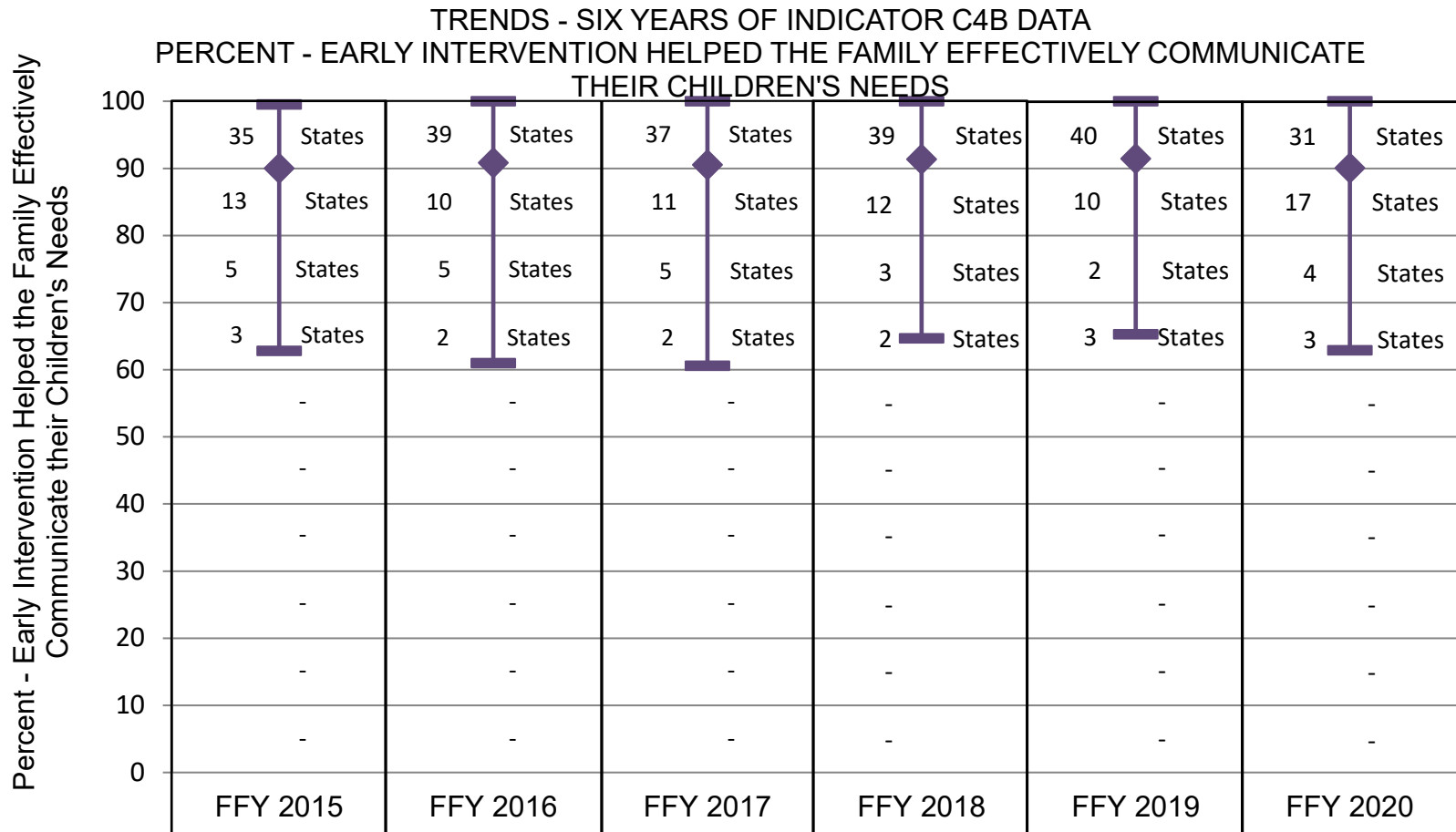
Figure 1a illustrates that national performance on this indicator has been fairly consistent throughout the six-year period. Table 1b shows the same trend using data on the mean and the range of scores with the mean consistently reported between 89% and 91% throughout the period). FFY 2020 data indicates that one state had no data to report for this indicator.

Table 1b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C4A KNOW THEIR RIGHTS

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	89	90	90	91	91	89
Highest	100	100	100	100	100	100
Lowest	66	63	65	63	66	69
No Data	0	0	1	0	1	1

Figure 2a



Like Figure 1a above, Figure 2a illustrates that national performance on this indicator has been consistent throughout the six-year period apart from FFY. Table 2b shows the same trend using data on the mean and the range of scores with the mean holding between 90% and 91%. FFY 2020 data indicates that one state had no data to report for this indicator.

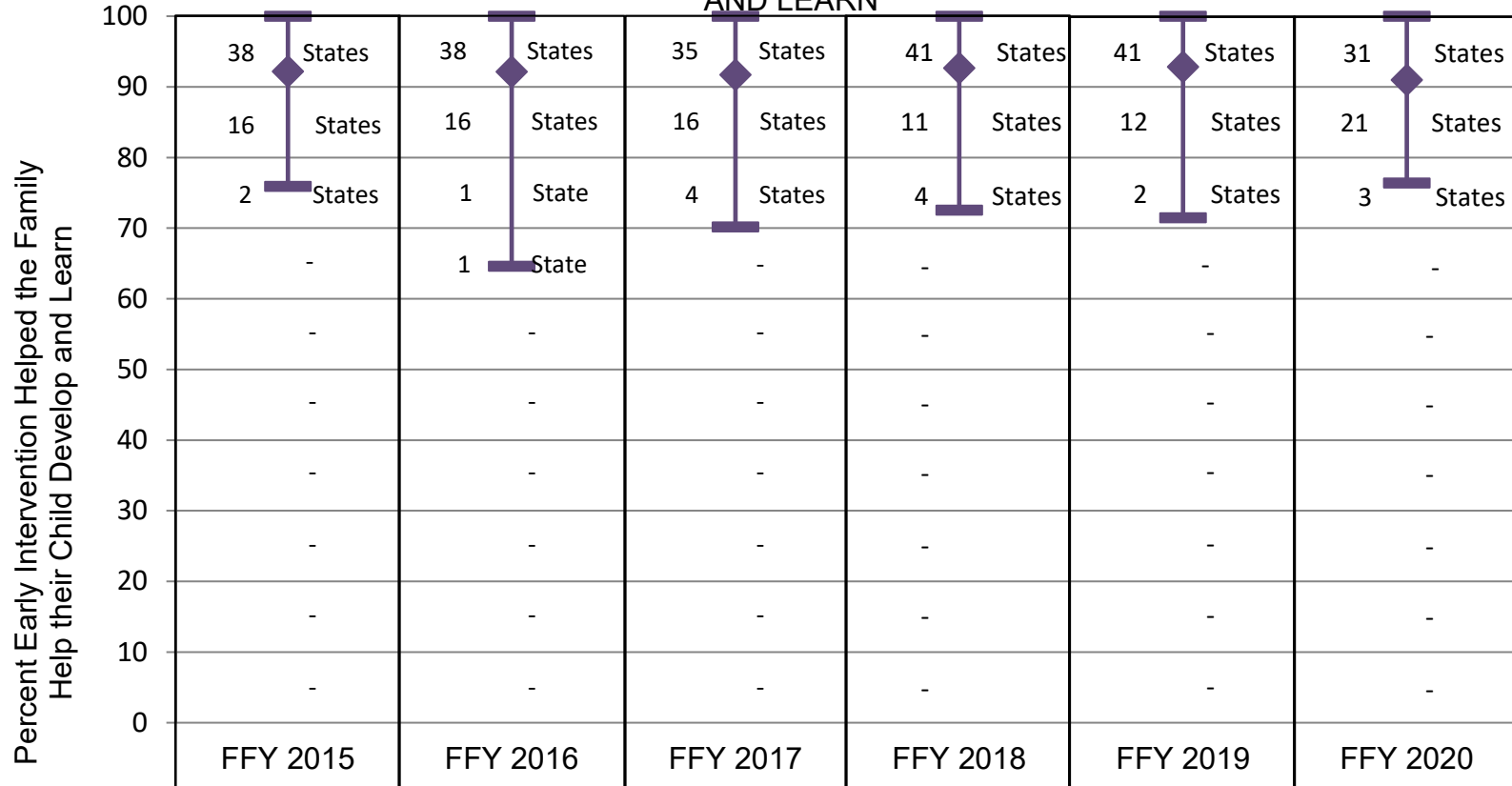
Table 2b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C4B EFFECTIVELY COMMUNICATE THEIR CHILDREN'S NEEDS

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	90	91	91	91	91	90
Highest	100	100	100	100	100	100
Lowest	63	61	61	65	65	63
No Data	0	0	1	0	1	1

Figure 3a

TRENDS - SIX YEARS OF INDICATOR C4C DATA
 PERCENT - 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. 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, though it is noteworthy that 91% reported for FFY 2019 and FFY 2020 is the lowest mean reported in the trendline. FFY 2020 data indicates that one state had no data to report for this indicator.

Table 3b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C4C HELP THEIR CHILDREN DEVELOP AND LEARN

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	92	92	92	93	93	91
Highest	100	100	100	100	100	100
Lowest	76	65	70	73	72	76
No Data	0	0	1	0	1	1

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

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 2020 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, 2020). Data were extracted as of July 7, 2021.

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.

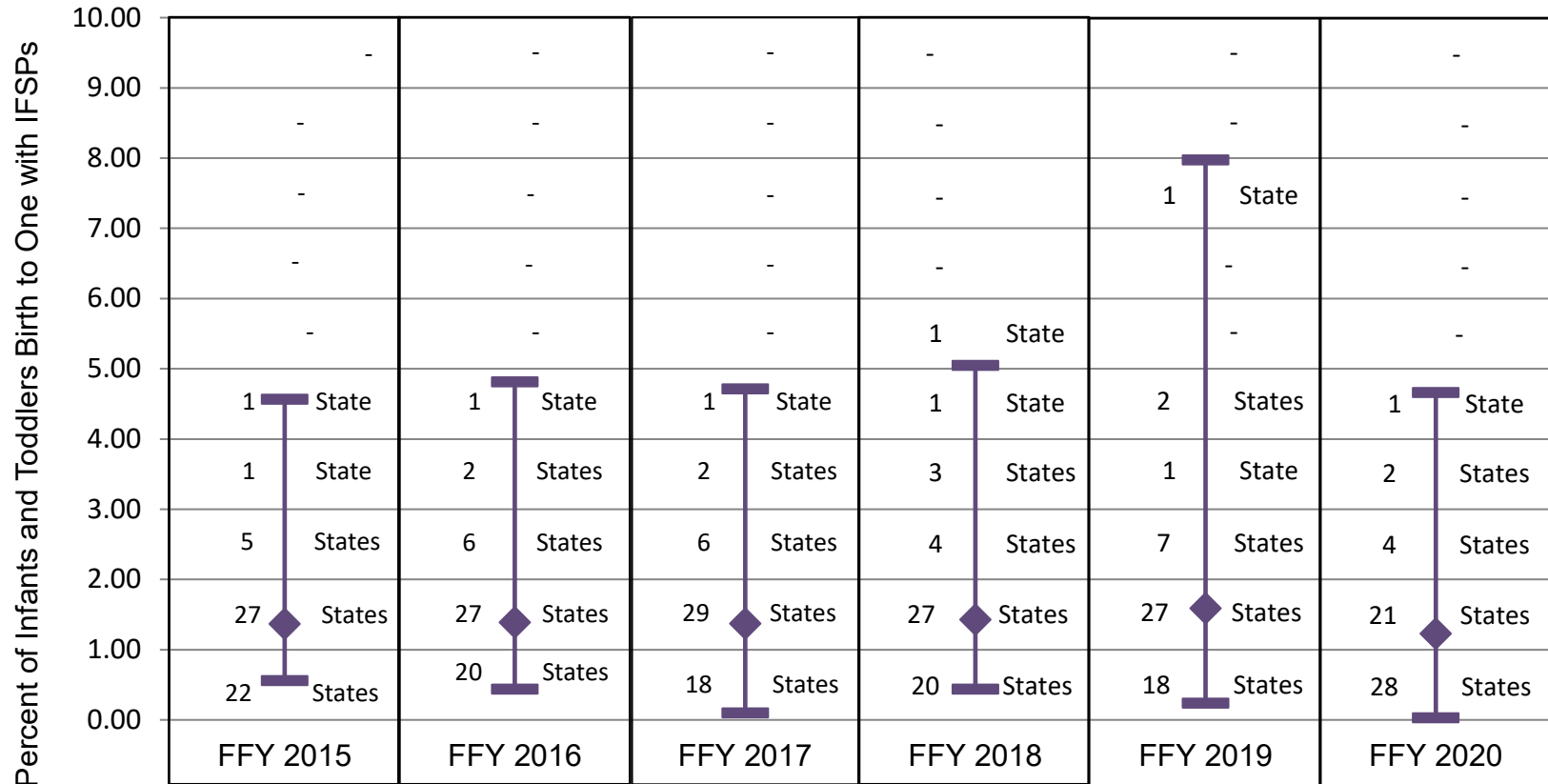
For Part C, the FFY 2020 national percentage of infants and toddlers ages birth to age one receiving early intervention services under IDEA is 1.14%. This is the number to which all states must compare their data. The national mean is calculated using data from 50 states and the District of Columbia 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 1 illustrates current data (FFY 2020) for child find birth to one and trend data over the last six reporting years (FFY 2015 to FFY 2020). 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



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

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 2020 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, 2020). Data were extracted as of July 7, 2021.

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 FFY 2020 national percentage of infants and toddlers ages birth to age three receiving early intervention services under IDEA is 3.2%. 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 1 illustrates current data (FFY 2020) for child find and trend data over the last six reporting years (FFY 2015 to FFY 2020). 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

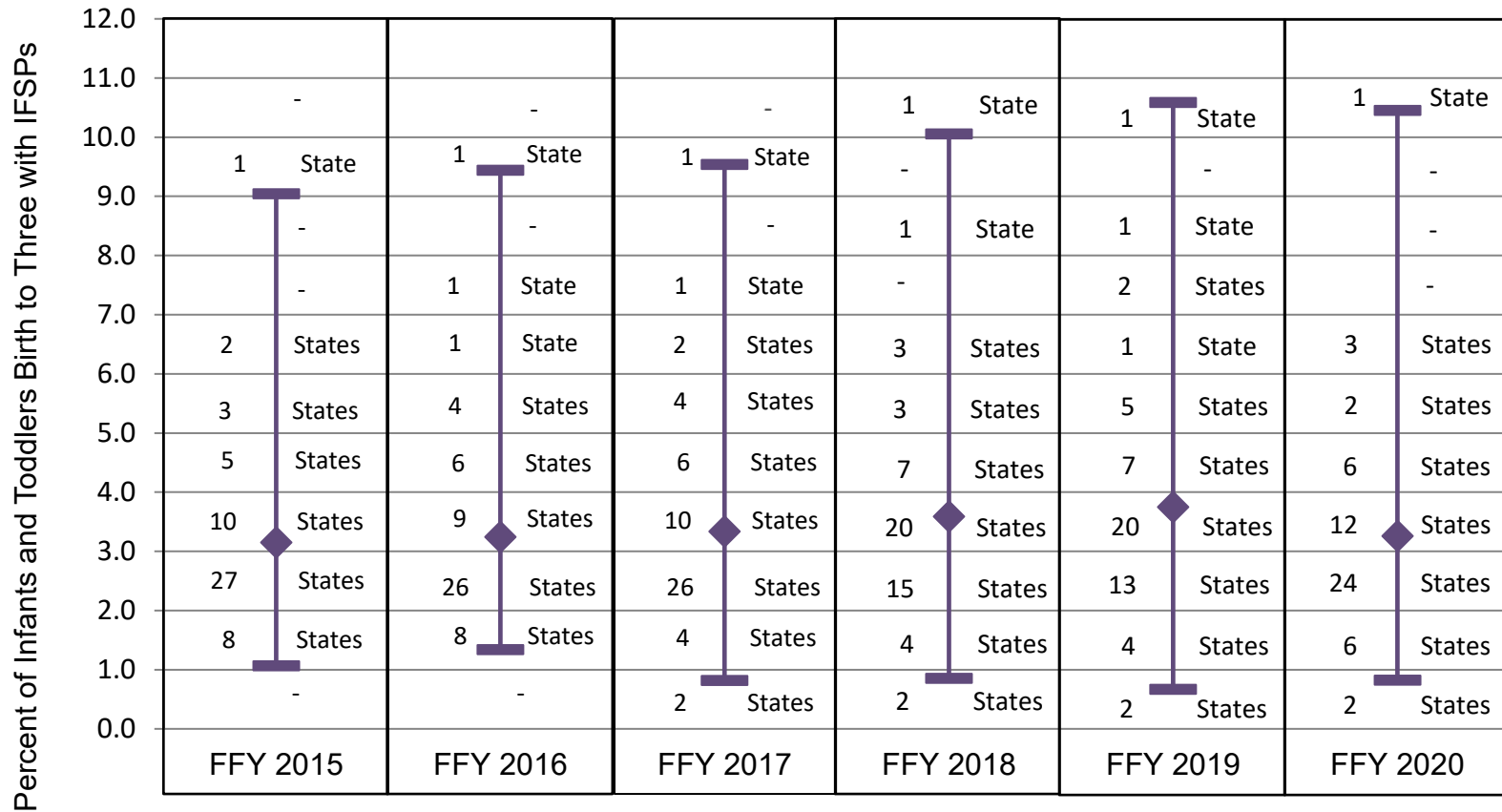


Figure 1a illustrates that over the six-year trend, national performance on this indicator increased incrementally over the period before falling in FFY 2020. Table 1b illustrates the same trend using data on the mean and the range of scores with the mean increasing from 3.1% to 3.7% between FFY 2015 and FFY 2019 before falling to 3.3% in FFY 2020.

Table 1b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C6 INFANTS AND TODDLERS BIRTH TO THREE WITH IFSPS

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	3.1	3.2	3.3	3.6	3.7	3.3
Highest	9.0	9.4	9.5	10.1	10.6	10.5
Lowest	1.1	1.3	0.8	0.9	0.7	0.8
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 initial evaluation and initial assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline. (20 U.S.C. 1416(a)(3)(B) and 1442)

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 2020. 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 1 illustrates current data (FFY 2020) and trend data over the last six reporting years, from FFY 2015 to FFY 2020. 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

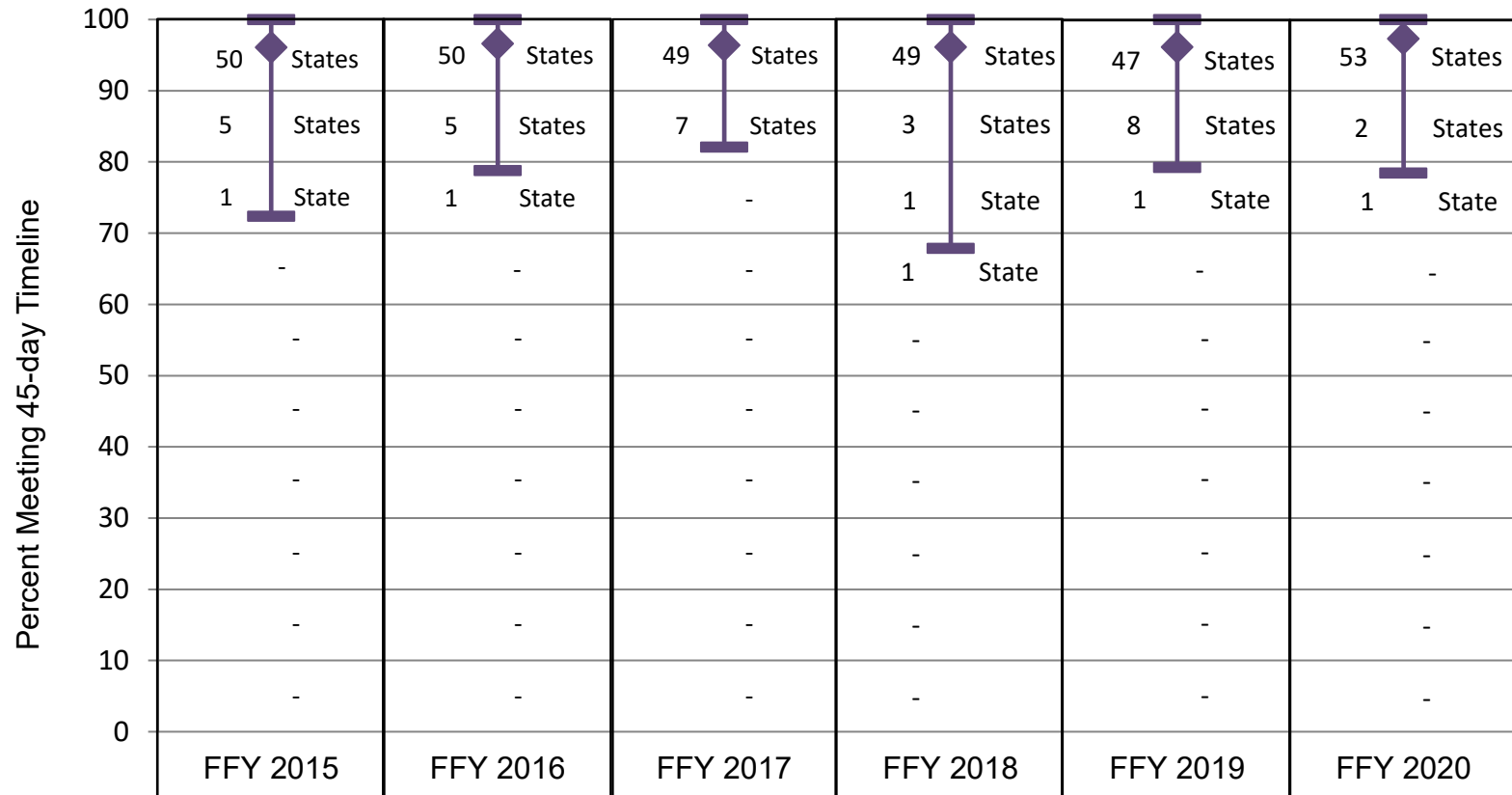


Figure 1a illustrates that national performance on this indicator has been consistent throughout the six-year period with a low percentage (below 70%) reported only in FFY 2018. Table 1b shows the same trend using data on the mean and the range of scores with the mean holding at 96%, except for FFY 2016 and FFY 2020 when 97% was reported. The lowest percentage was reported in FFY 2018 at 68%. 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

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	96	97	96	96	96	97
Highest	100	100	100	100	100	100
Lowest	72	79	82	68	79	78
No Data	0	0	0	2	0	0

INDICATOR 8: EARLY CHILDHOOD TRANSITION

Prepared by ECTA

Indicator 8: Percent of toddlers with disabilities 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 2020 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 2020) and trend data for each of the three transition sub-indicators over the last six reporting years (FFY 2015 to FFY 2020). 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 charts show the national mean, range, and number of states with no data.

Figure 1a

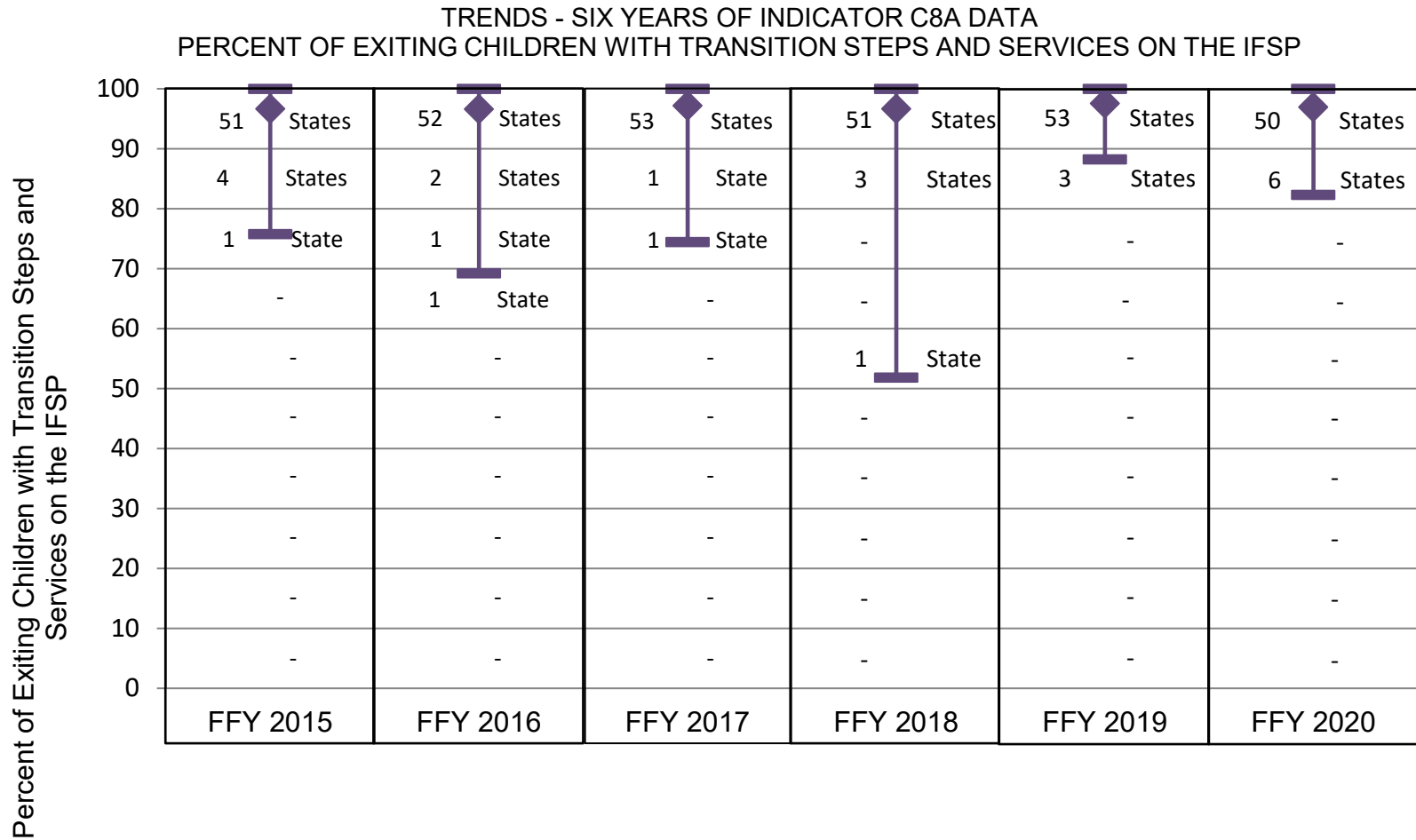


Figure 1a illustrates that national performance for Indicator 8A has been consistent over the past six years with no significant outliers reported in FFY 2020 as compared to FFY 2018 when there was one. Table 1b illustrates the same trend using data on the mean and the range of scores.

Table 1b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
 INDICATOR C8A TIMELY TRANSITION PLANNING INCLUDING IFSP WITH
 TRANSITION STEPS AND SERVICES

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	97	97	97	97	98	97
Highest	100	100	100	100	100	100
Lowest	76	69	74	52	88	82
No Data	0	0	1	1	0	0

Figure 2a

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

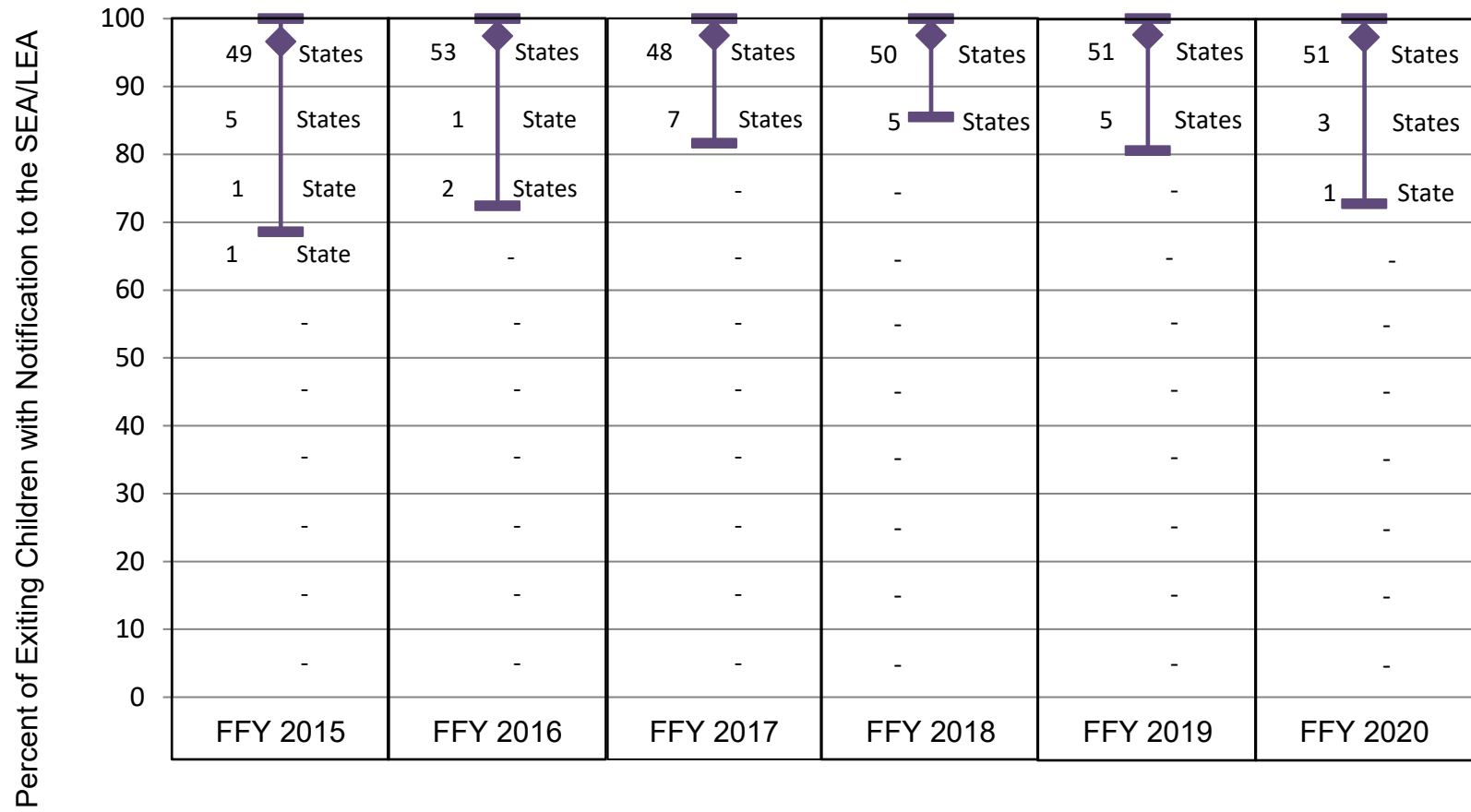


Figure 2a illustrates that national performance for Indicator 8B has been very consistent over the past six years. Table 2b illustrates the same trend using data on the mean and the range of scores with the mean holding between 97% and 98% for the entire FFY 2015 to FFY 2020 period.

Table 2b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C8B TIMELY TRANSITION PLANNING INCLUDING LEA NOTIFICATION

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	97	97	98	98	98	97
Highest	100	100	100	100	100	100
Lowest	69	72	82	86	81	73
No Data	0	0	1	1	0	1

Figure 3a

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

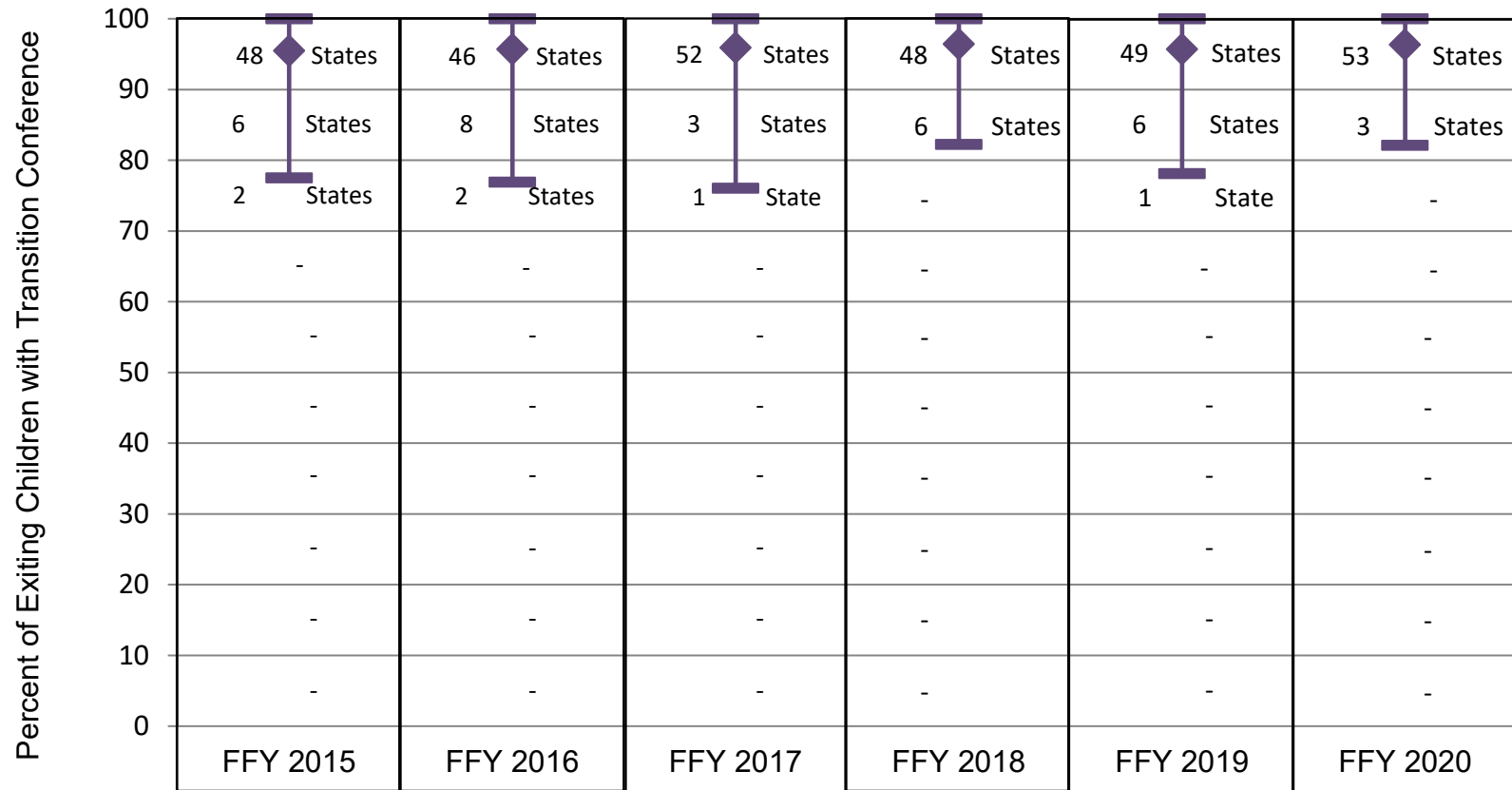


Figure 3a illustrates that national performance for Indicator 8C has been very consistent over the past six years in mean and range of scores. Table 3b further illustrates this point using actual figures showing a consistent mean of between 95% and 96% throughout the period. Across all six years, the variance between high and low figures has not exceeded 24 percentage points.

Table 3b

TRENDS - MEAN, HIGHEST, LOWEST AND # OF STATES WITH NO DATA (%)
INDICATOR C8C TIMELY TRANSITION PLANNING, INCLUDING TRANSITION
CONFERENCE

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	95	96	96	96	96	96
Highest	100	100	100	100	100	100
Lowest	78	77	76	82	78	82
No Data	0	0	0	2	0	0

INDICATORS 9 & 10: 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.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 brief summary of States' Federal Fiscal Year (FFY) 2020 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 2020 APRs and Section 618 data, available through the *sites.ed.gov/idea* 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 FFY 2020 APR. Nationally, there were zero resolution meetings held during FFY 2020.

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, 2020-June 30, 2021) began during FFY 2020.

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
Trends - Six Years Of Indicator C10 Data
Mediations Resulting In Written Agreements

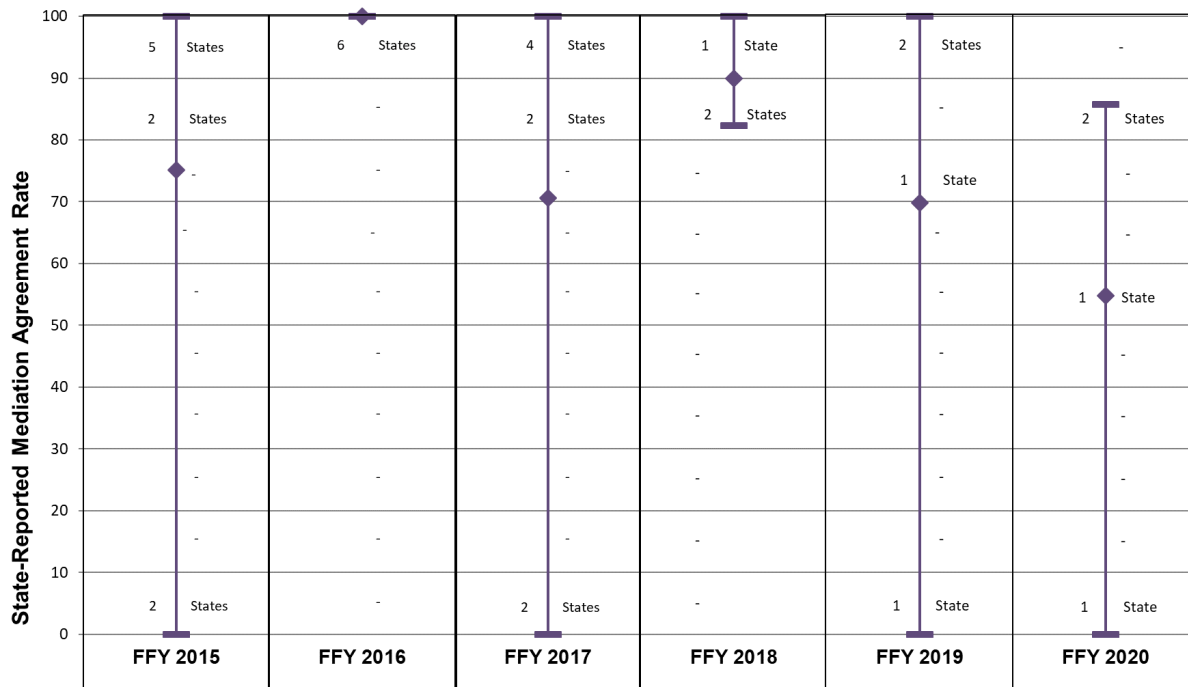


Table 1.1 below provides the summary statistics of the mediation agreement rate data including the mean agreement rate, highest agreement rate, lowest agreement rate and the number of states that reported no activity, for each of the six years.

Table 1.1

Statistic	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
Mean	75.2	100	70.6	90.0	69.9	54.8
Highest	100	100	100	100	100	85.7
Lowest	0	100	0	82.4	0	0
No Data	47	50	48	53	52	52

In FFY 2020, four states held 46 mediation sessions, with 37 resulting in agreements.

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

Zero of the mediations held were related to due process complaints. One state accounted for 36 of the 50 mediations held, or 72% of all mediations in 2020-21. The average mediation agreement rate for the last six years is 74.6%, while this year's average agreement rate is 80.4%. 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 2020, two states fell within 80% to <90% range, one state fell within the 50% to <60% range, and one state reported a 0% agreement rate.

Table 1.2

Ranges of state-reported mediation agreement rate	FFY 2015	FFY 2016	FFY 2017	FFY 2018	FFY 2019	FFY 2020
90% to 100%	5	6	3	1	2	0
80% to <90%	2	0	2	2	0	2
70% to <80%	0	0	0	0	1	0
60% to <70%	0	0	0	0	0	0
50% to <60%	0	0	0	0	0	1
40% to <50%	0	0	0	0	0	0
30% to <40%	0	0	0	0	0	0
20% to <30%	0	0	0	0	0	0
10% to <20%	0	0	0	0	0	0
0% to <10%	2	0	3	0	1	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 on the child's third birthday.

INDICATOR 11: STATE SYSTEMIC IMPROVEMENT PLAN

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 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 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 federal fiscal year (FFY) 2013, Phase I of the SSIP was initiated. States were required to conduct data analysis and infrastructure analysis, identify their State-identified Measurable Result(s) (SiMR[s]) (i.e., child and/or family outcomes) and broad improvement strategies and develop a Theory of Action (TOA). The TOA and broad improvement strategies were based on data analysis, including analysis of the state infrastructure. 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. 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. States 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. States continued to report on their progress in implementing and evaluating the SSIP each subsequent year.

The data in this report are based on an analysis of the FFY 2020 SSIP reports submitted by 56 states and entities. States and entities are referred to as “states” in the remainder of this report. Technical assistance (TA) providers analyzed the submissions, and the results were summarized for this report.

FFY 2020 SiMR DATA

In the FFY 2020 SPP/APR submitted in February 2022, states were required to report progress data expressed as a percentage and aligned with the SiMR for infants and toddlers with disabilities and their families. The FFY 2020 SiMR progress data were compared with the FFY 2020 measurable and rigorous targets, also expressed as a percentage.

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-two of the 56 states that submitted an SSIP in FFY 2020 selected a single outcome for their SiMR and reported one percentage for their FFY 2020 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 are shown in Figure 1 and can be summarized as follows:

- Just over half of the states (29, 52%) focused on greater than expected growth in children’s positive social-emotional skills (C3A-SS1);
- Twenty-two states (39%) 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); and
- One state (2%) identified a child outcome SiMR that was not equivalent to an APR indicator measurement (labeled as “Other Child” in Figure 1).

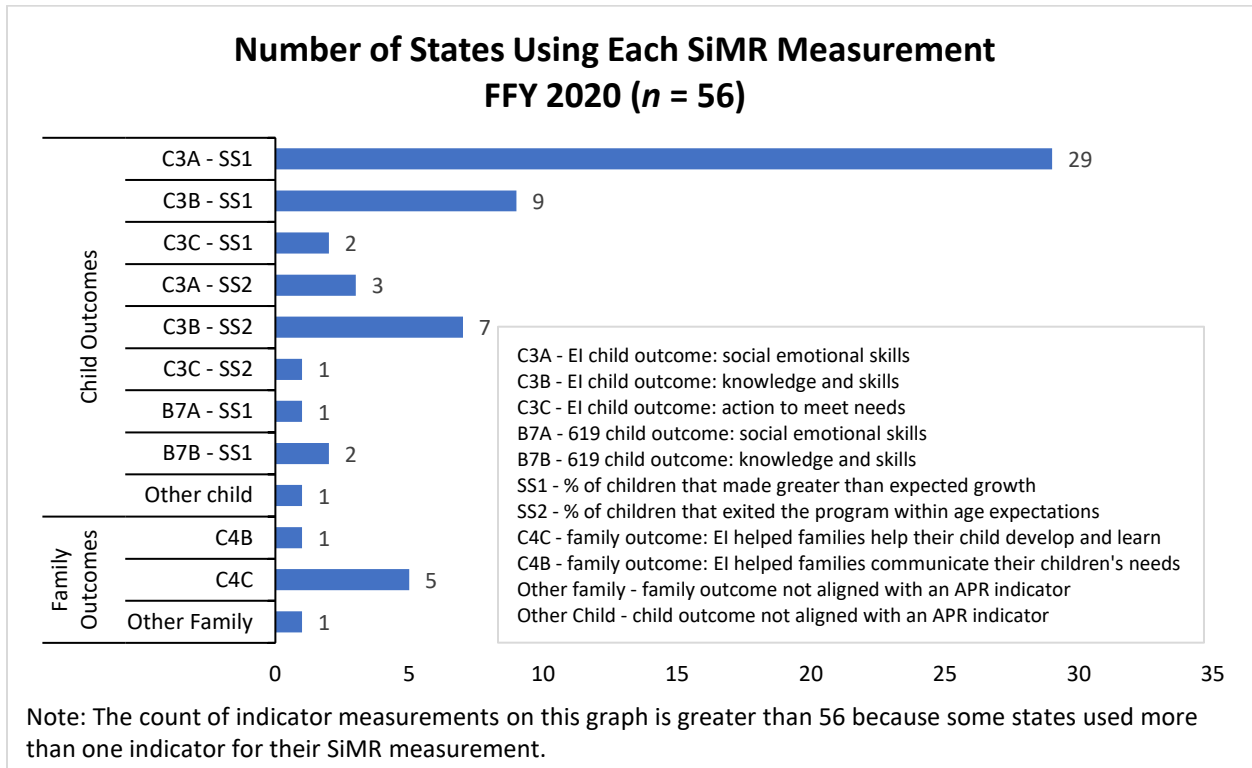
While most SiMRs were focused on child outcomes, seven states (13%) included at least one family outcome in their SiMR:

- Five states’ SiMRs (9%) included parent reports of the extent to which early intervention helped families help their child develop and learn (C4C);

- One state’s SiMR focused on parent reports of the extent to which 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 1
Number of States Using Each SiMR Measurement in Table Format
FFY 2020 (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	29
Child	C3B – SS1	EI child outcome: % of children that made greater than expected growth in knowledge and skills	9

Type of Outcome	SiMR Measurement	Measurement Description	Number of States
Child	C3C – SS1	EI child outcome: % of children that made greater than expected growth in action to meet needs	2
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	Section 619 child outcome: % of children that made greater than expected growth in social-emotional skills	1
Child	B7B – SS1	Section 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	5
Family	Other	Family outcome not aligned with an APR indicator	1

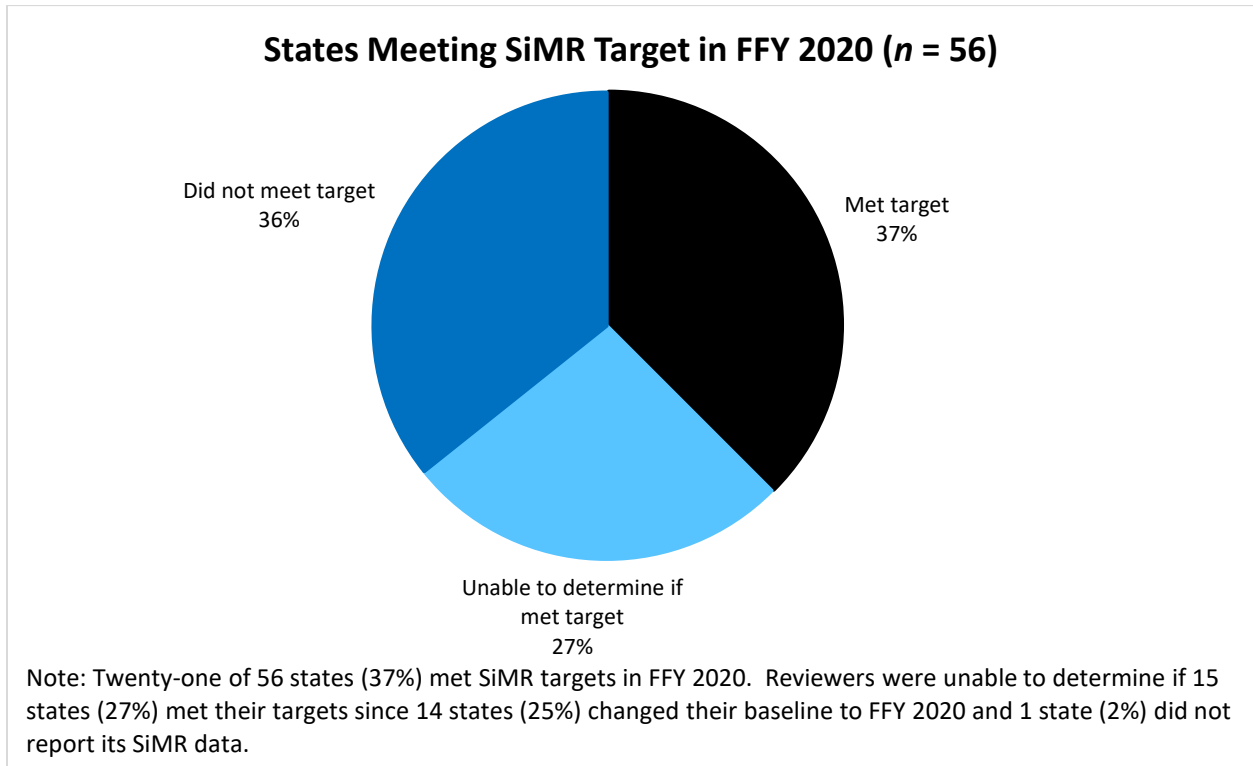
Note: The count of indicator measurements in this table is greater than 56 because some states used more than one indicator in their SiMR measurement.

Progress in Meeting SiMR Targets for FFY 2020

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 2020. Targets are considered met if the actual FFY 2020 performance is at or above the FFY 2020 target percentage. Fifty-five states reported FFY 2020 SiMR performance data, and 56 states reported the FFY 2020 SiMR target. To determine if a state met its target, reviewers needed both the performance data and the target data. Therefore, reviewers were able to examine the status of 55 states' SiMR performance data and targets for FFY 2020.

Twenty-one of 56 states (37%) met or exceeded their FFY 2020 targets for Indicator 11 as reflected in Figure 2. Twenty states (36%) did not meet their FFY 2020 targets. Target status for 15 states (27%) could not be determined since 14 states (25%) changed their baseline to FFY 2020 and one state (2%) did not report its FFY 2020 SiMR data.

Figure 2



SUMMARY OF CHANGES

States were required to report on changes they made to their SSIPs including their SiMRs, SiMR targets, TOAs, evaluation plans, and improvement activities.

Changes to SiMRs

Eight of 56 states (14%) reported changes to their SiMRs in FFY 2020. As reflected in Figure 3 below, two states (4%) reported changing their SiMR focus from EI child outcome: knowledge and skills (C3B) to EI child outcome: social-emotional skills (C3A). Three states (5%) reported expanding the population included in the SiMR as follows:

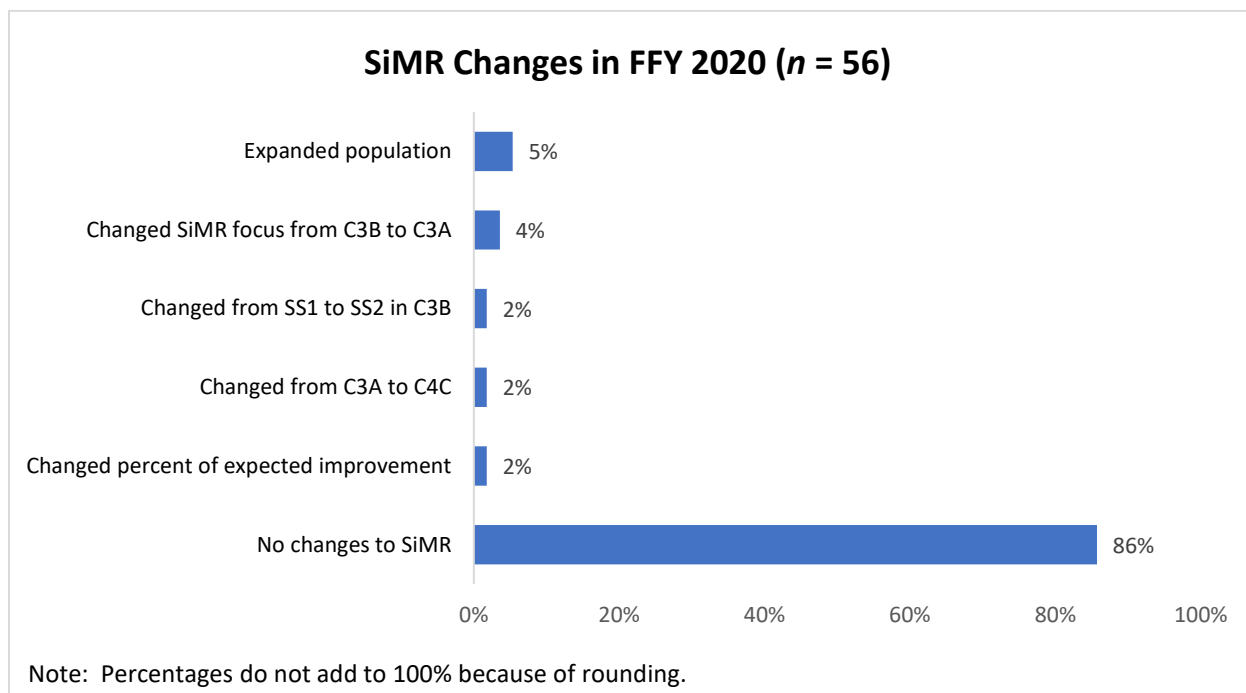
- One state expanded its SiMR from a subset based on child characteristics to all children;
- Another expanded measurement to include statewide rather than pilot-site data; and
- The other state expanded its SiMR data collection to include all children rather than subgroups defined by race and socioeconomic status.

Additionally, one state (2%) changed from EI child outcome: knowledge and skills (C3B) Summary Statement 1 (increase growth) to Summary Statement 2 (functioning within age expectations). Another state (2%) reported changing the focus of its SiMR from EI child outcome: social-emotional skills (C3A) to family outcome: family helps their child develop and learn (C4C). Finally, one state (2%) did not change the focus of the SiMR but changed the percentage of progress expected to see in its pilot sites over the next five years.

States reported data sources and how they analyzed the data to decide to change their SiMRs, such as the following examples:

- One state found fluctuations when they compared race and ethnicity in the 2010 Census data to the 2020 Census. With stakeholders, they determined the need for flexibility and shifted their SiMR focus from two population subgroups to the total population. A new state data system will be used to disaggregate data to continue to track results in various population subgroups;
- Another state, in reviewing its child outcomes data, found that progress for social-emotional development was consistently lower than the other two child outcome areas. They went on to analyze IFSPs and found that outcomes focused on social-emotional development met fewer criteria for high-quality IFSP outcomes than other types of IFSP outcomes. Based on these findings, the state and stakeholders decided to shift the SiMR focus from EI child outcome: knowledge and skills (C3B) to EI child outcome: social-emotional skills (C3A); and
- An additional state used *A System Framework for Building High-Quality Early Intervention and Preschool Special Education Programs* (ECTA, 2015) to identify strengths and needs and addressed those strengths and needs in a family coaching implementation plan. Doing so led them to decide with stakeholders that they should target family coaching as the universal approach for service delivery in their state. Through team discussions, they further concluded that family outcome: family helps their child develop and learn (C4C) is a better measure of their service delivery model than EI child outcome: social-emotional skills (C3A).

Figure 3



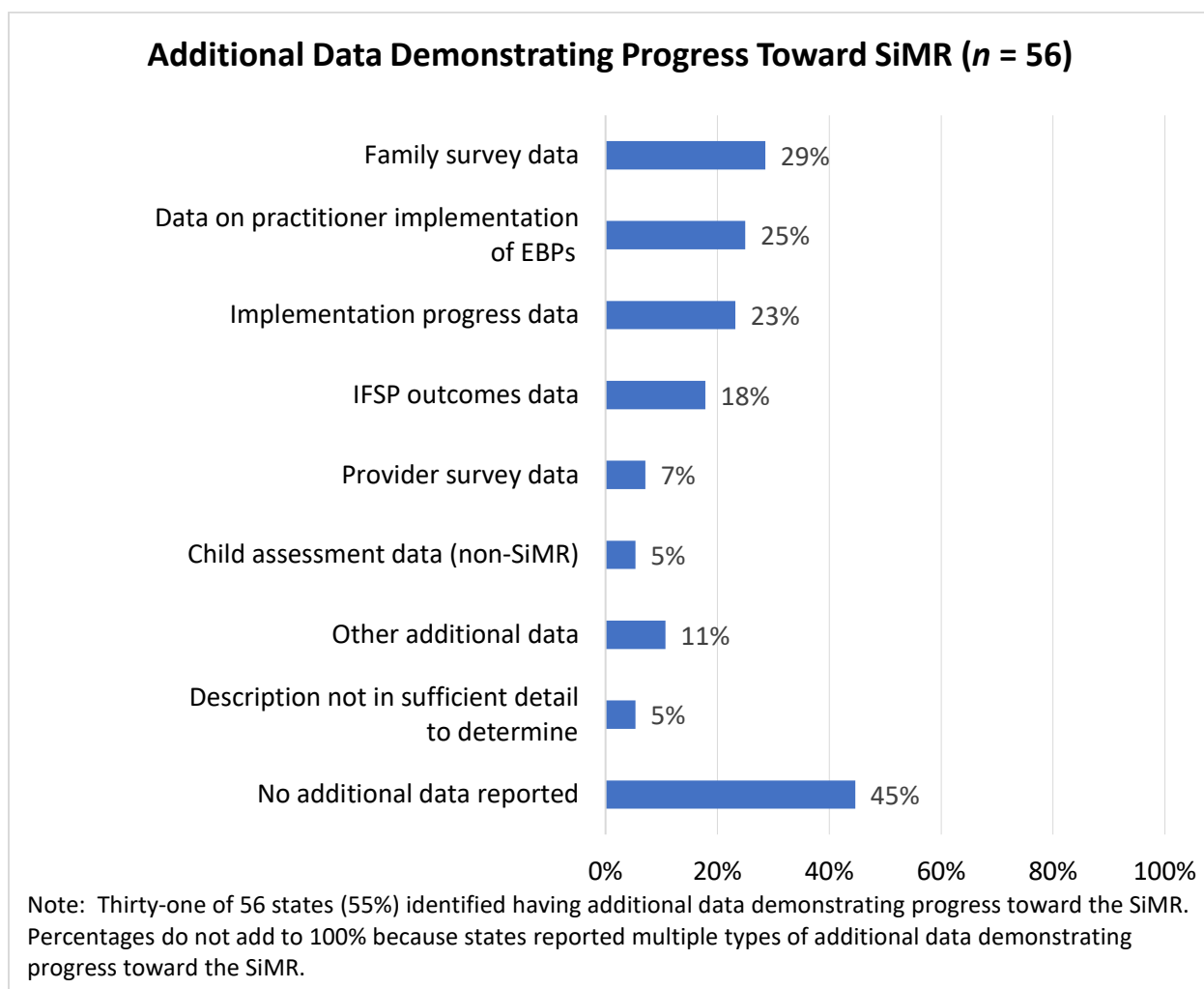
Revisions to SiMR Baseline and Targets

For the FFY 2020 SSIP submission, states were required to identify targets for FFY 2020 through FFY 2025. All 56 states reported FFY 2020 through 2025 targets. In setting new targets, states also were able to review and reset the SiMR baseline as deemed appropriate. Reviewers were unable to determine how many states reset their baseline.

Additional Data Demonstrating Progress Toward the SiMR

Thirty-one states (55%) reported having additional data to demonstrate progress toward their SiMR. As shown in Figure 4, 16 states (29%) reported family survey data, 14 states (25%) reported data on practitioner implementation of evidence-based practices (EBPs), 13 states (23%) reported implementation progress data, and ten states (18%) reported IFSP outcomes data to demonstrate progress toward the SiMR. Four states (7%) described additional data from provider surveys and three states (5%) described non-SiMR child assessment data. Six states (11%) described other types of additional data, such as needs assessment data, and geographic and demographic data. Three states (5%) described having additional data demonstrating progress toward the SiMR but did not describe them in enough detail to determine the additional data used.

Figure 4



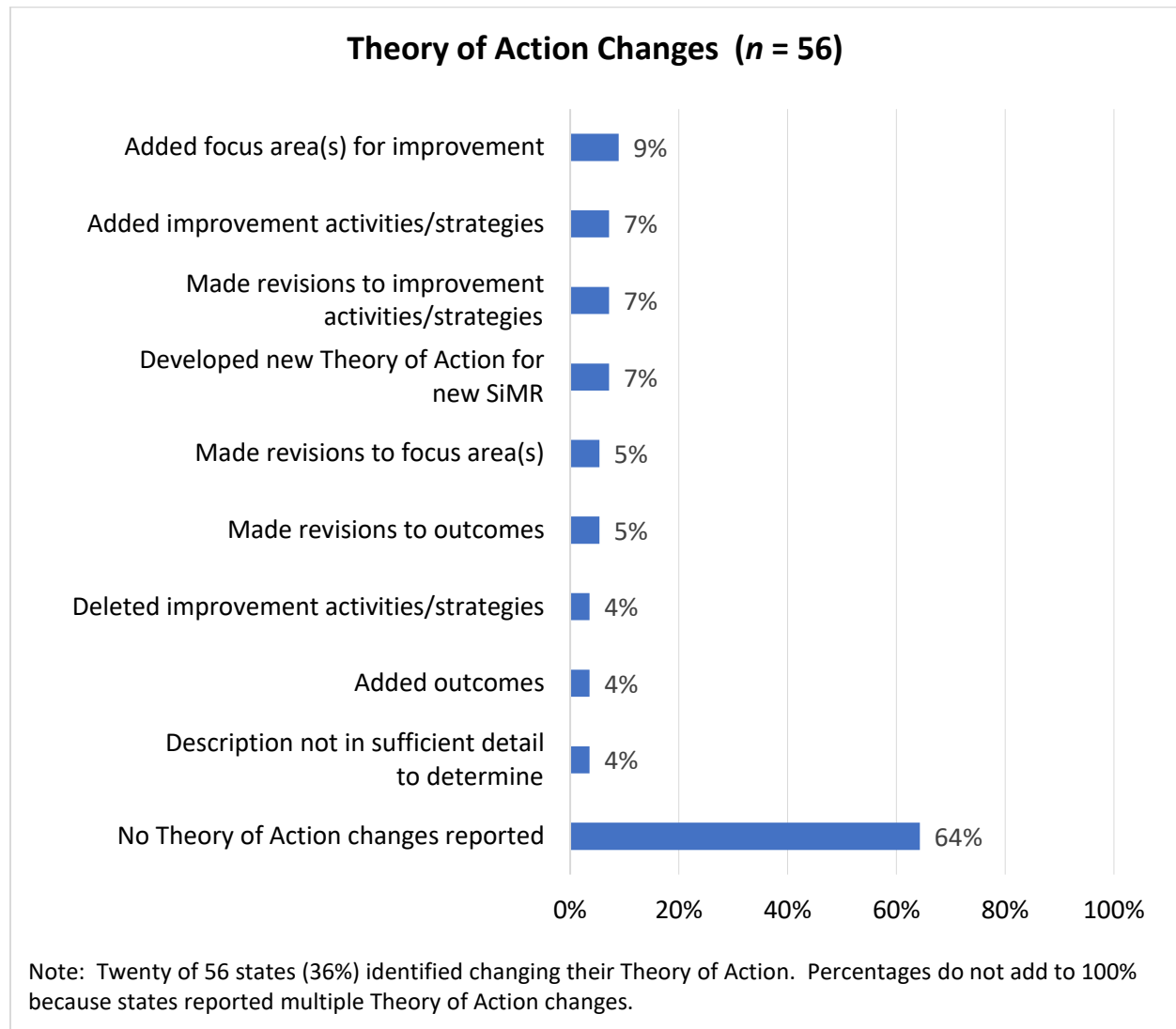
Changes to Theories of Action

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 early intervention programs and/or help early intervention 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 FFY 2020, 20 states (36%) reported modifications to their previously submitted TOA. As shown in Figure 5, five states (9%) added focus areas for improvement, four states (7%) added improvement activities/strategies, and four states (7%) revised improvement activities/strategies. Four states (7%) developed a new TOA for their new SiMR. Three states (5%) revised focus areas, three (5%) revised outcomes, two (4%) deleted improvement activities/strategies, and two (4%) added outcomes. Two states

(4%) reported changing their TOAs but did not provide a detailed description of those changes. Thirty-six states (64%) reported that they did not change their TOAs.

Figure 5

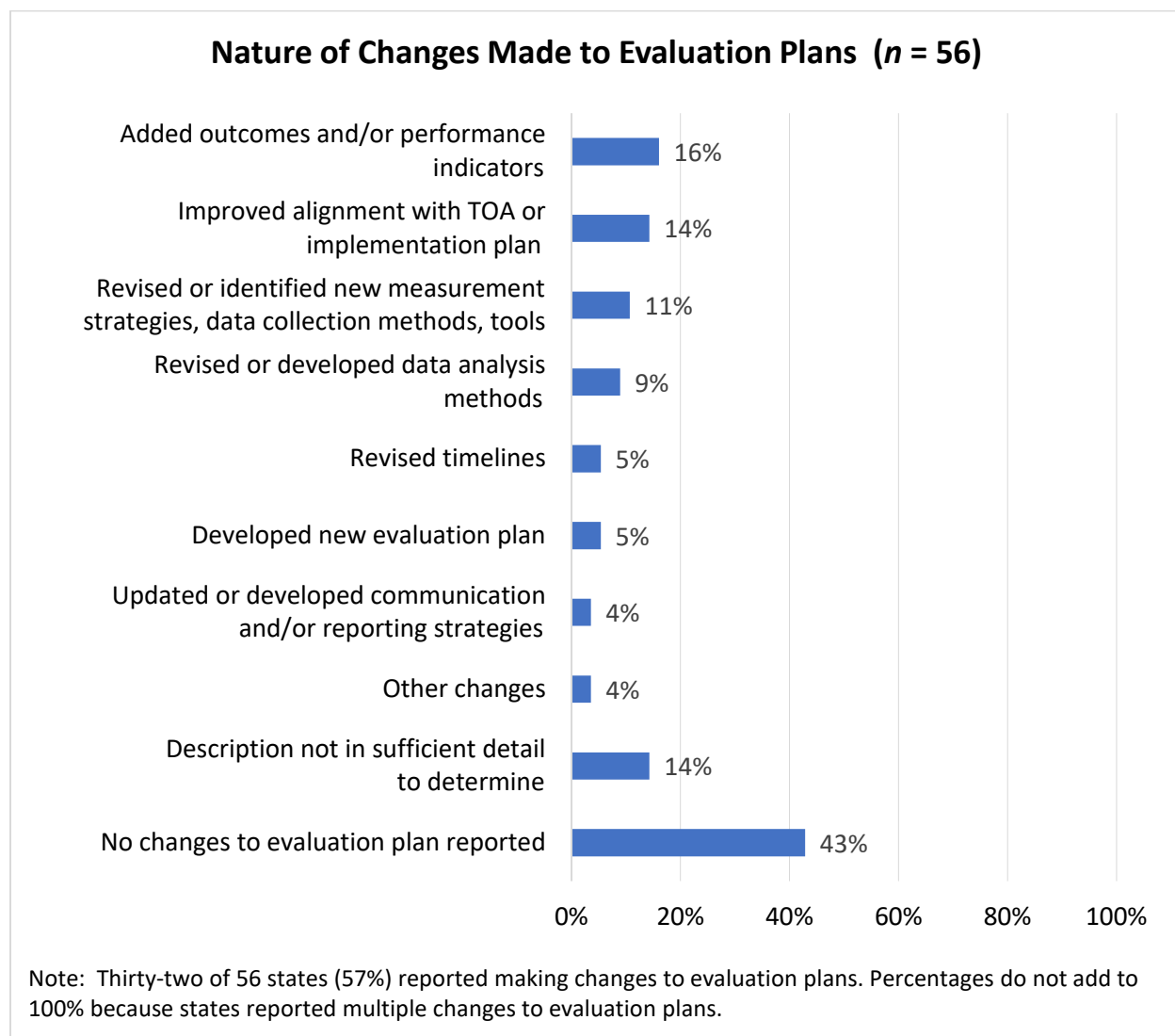


Changes to Evaluation Plans

Thirty-two states (57%) reported making changes to evaluation plans in FFY 2020. Details about the nature of those changes are presented in Figure 6. Nine states (16%) added outcomes and/or performance indicators and eight states (14%) aligned their evaluation plan with their TOA or implementation plan. Six states (11%) revised or identified new measurement strategies and data collection methods, five states (9%) revised or developed data analysis methods, and three states (5%) revised timelines. Three states (5%) developed new evaluation plans to align with their new SiMR, two states (4%) updated or developed communication and/or reporting strategies, and two states (4%) described other changes, such as reducing or eliminating the amount of data they collected. Eight states (14%) provided insufficient detail to determine the

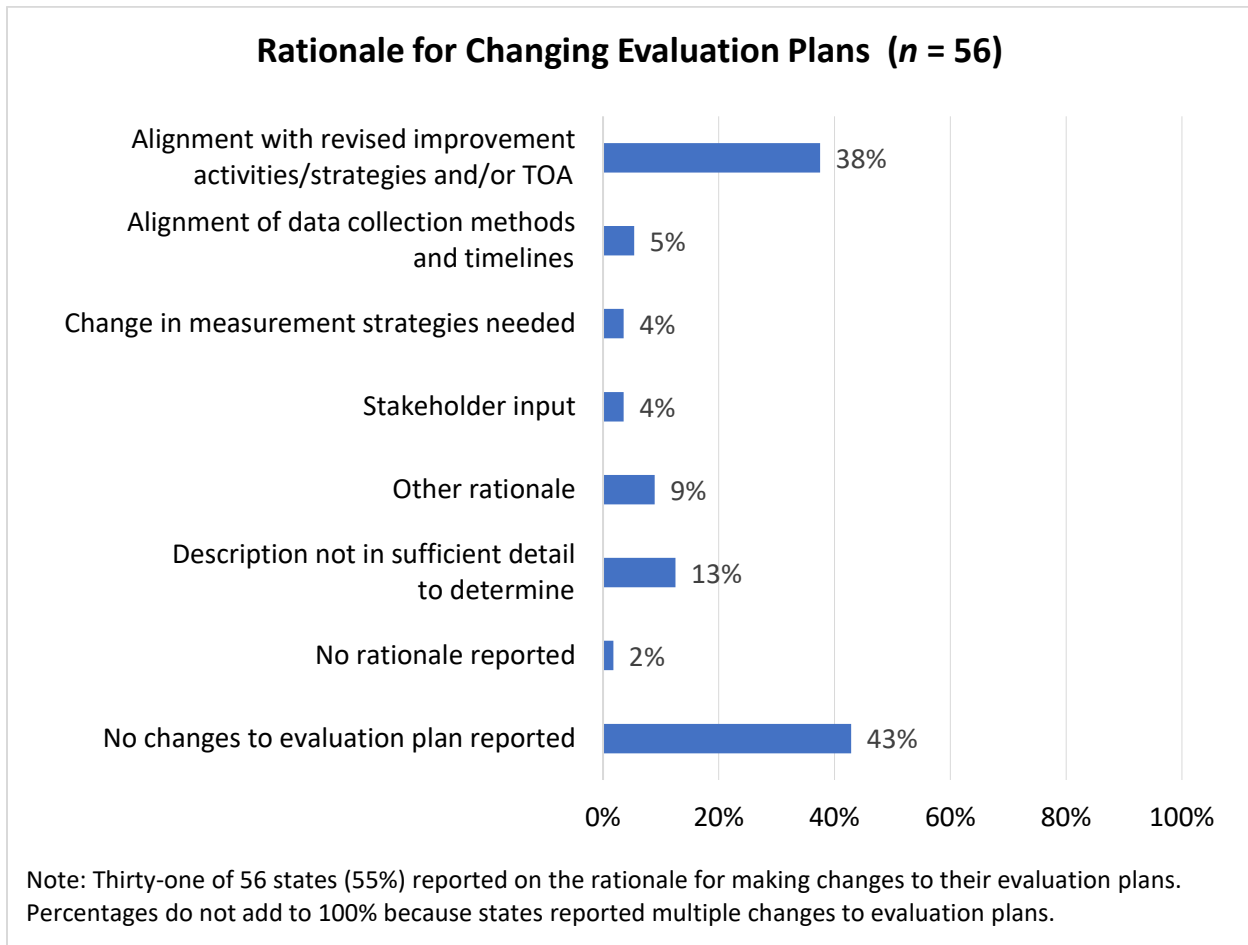
changes to their evaluation plans. Twenty-four states (43%) reported that they did not change their evaluation plans.

Figure 6



Thirty-one states (55%) provided a rationale for their changes. As shown in Figure 7, 21 (38%) changed their evaluation plans to align them with revised improvement activities/strategies and/or TOA. To a lesser extent, states reported that they changed their evaluation plans to improve alignment with data collection methods and timelines (three states, 5%), to make needed changes in measurement strategies (two states, 4%), and to address stakeholder input (two states, 4%). Five states (9%) gave another rationale for changing their evaluation plans, such as to better communicate with stakeholders and reduce the burden on providers. Seven states (13%) provided insufficient detail to determine the rationale for changes, and one state (2%) that changed its evaluation plan did not provide a rationale. Twenty-four states (43%) reported not changing evaluation plans.

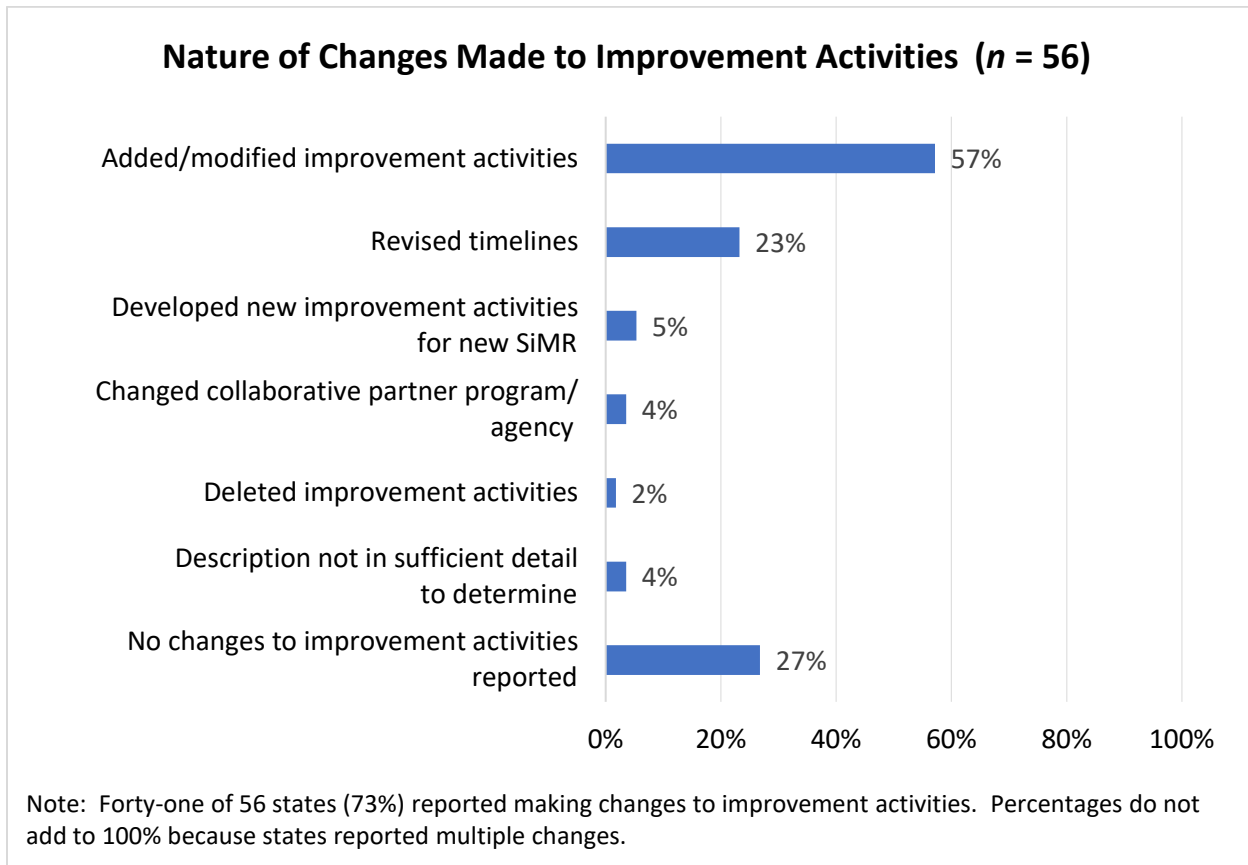
Figure 7



Changes to Improvement Activities/Strategies

Forty-one states (73%) reported making changes to improvement activities. Details about the nature of those changes are presented in Figure 8. Thirty-two states (57%) added or modified improvement activities and 13 (23%) revised timelines. Fewer states developed new improvement activities to align with their new SiMR (three states, 5%), changed collaborative partner program/agency (two states, 4%), and deleted improvement activities (one state, 2%). Two states (4%) provided insufficient detail to determine changes to their improvement activities. Fifteen states (27%) did not report making changes to improvement activities.

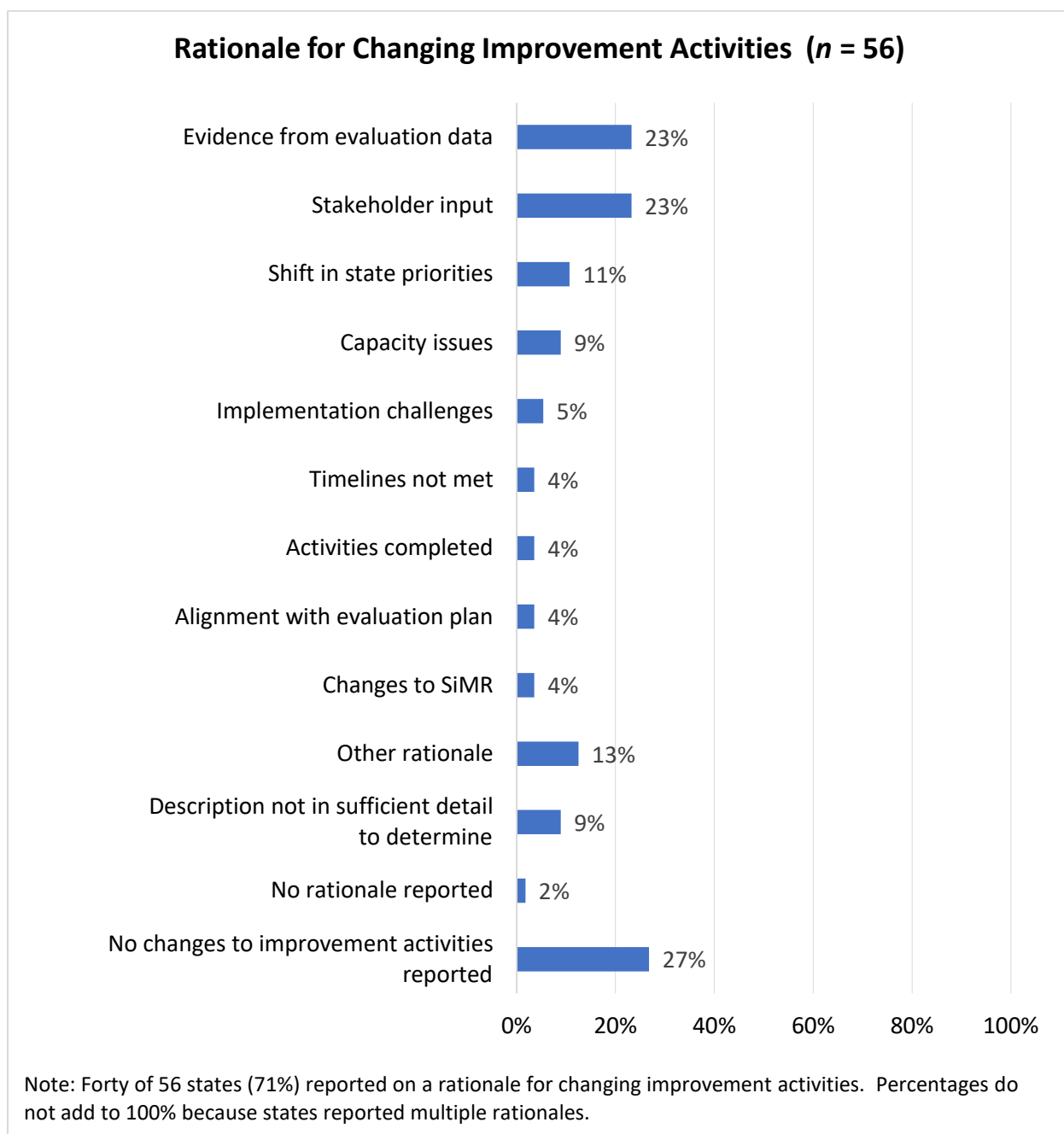
Figure 8



Forty states (71%) provided a rationale for changes to improvement activities. As shown in Figure 9, 13 states (23%) cited evidence from evaluation data as their rationale for making changes and 13 states (23%) reported that they were responding to stakeholder input. Fewer states reported rationales that included shifts in state priorities (6 states, 11%), capacity issues (five states, 9%), and implementation challenges (three states, 5%). Finally, each of the following rationales was reported by two states: timelines not met (4%), activities completed (4%), alignment with their evaluation plan (4%), and changes to their SiMR (4%).

Seven states (13%) gave other rationales, such as changing improvement activities to simplify their monitoring process and to address barriers to implementing a coaching/mentoring system. One state (2%) that changed its improvement activities did not report a rationale. Fifteen states (27%) did not report making changes to their improvement activities.

Figure 9



DATA QUALITY CONCERNS

States reported concerns about data quality for the SSIP. The data quality concerns are summarized below by concerns unrelated to COVID-19 and those related to COVID-19. In addition, many states reported taking actions to mitigate data quality issues including the impact of COVID-19 on data collection.

Data Quality Issues Unrelated to COVID-19

Eighteen states (32%) described data quality issues that were not related to COVID-19. As shown in Figure 10, data quality issues included reliability (6 states, 11%), data completeness (five states, 9%), and validity (five states, 9%). One state (2%) described another data quality issue: lack of representativeness in the family outcomes survey data. Four states (7%) described data quality concerns but did not provide enough information to determine the issue, and 38 states (68%) did not report data quality issues unrelated to COVID-19.

Figure 10

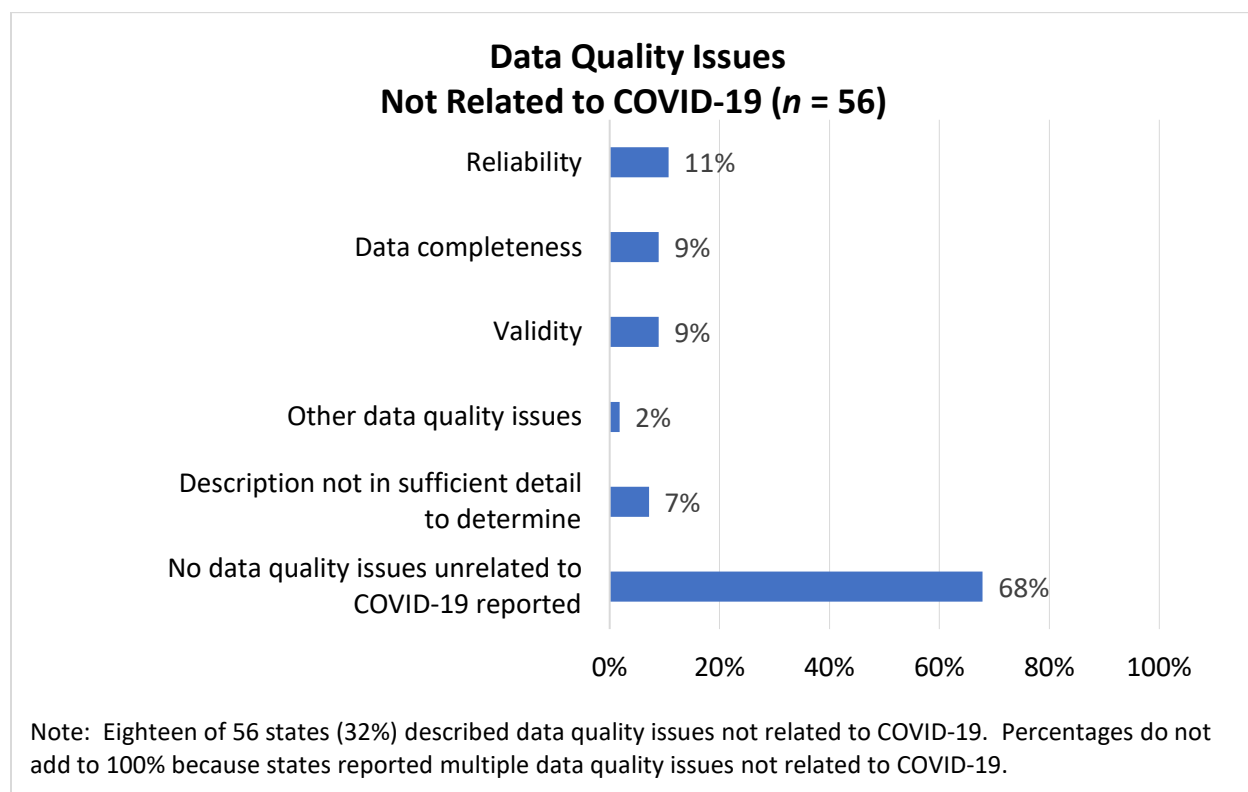
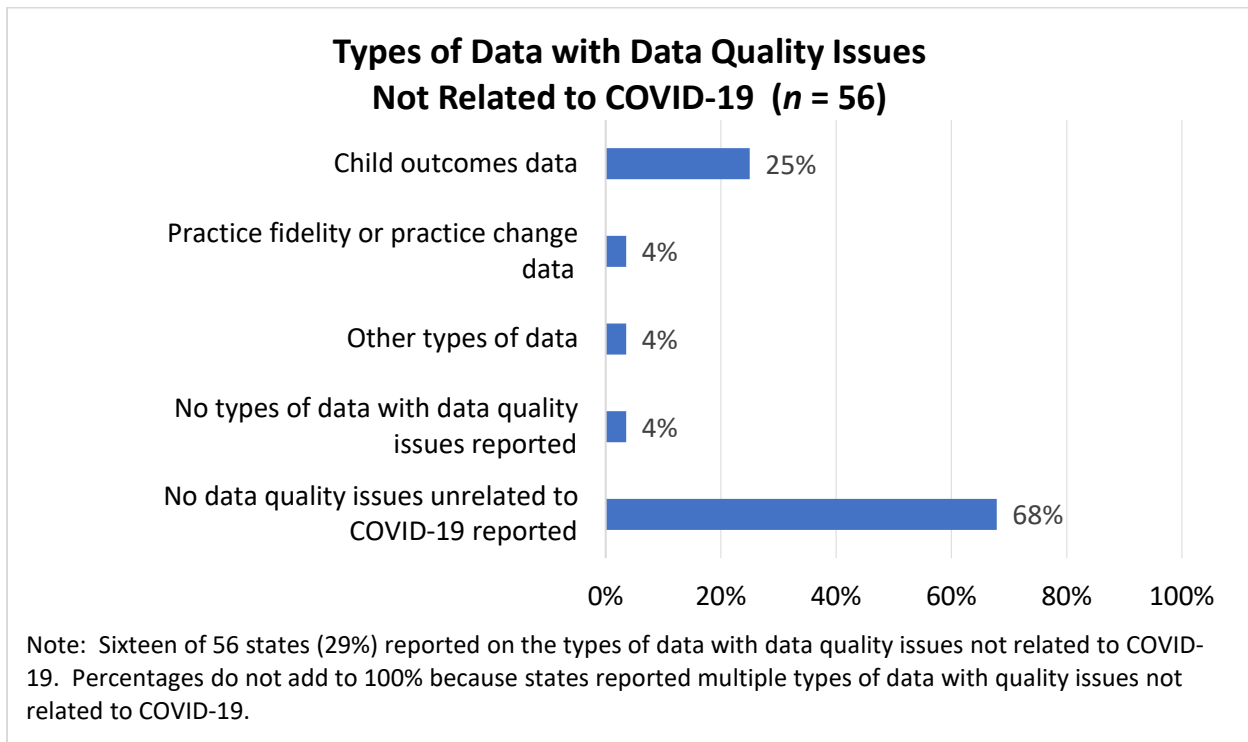


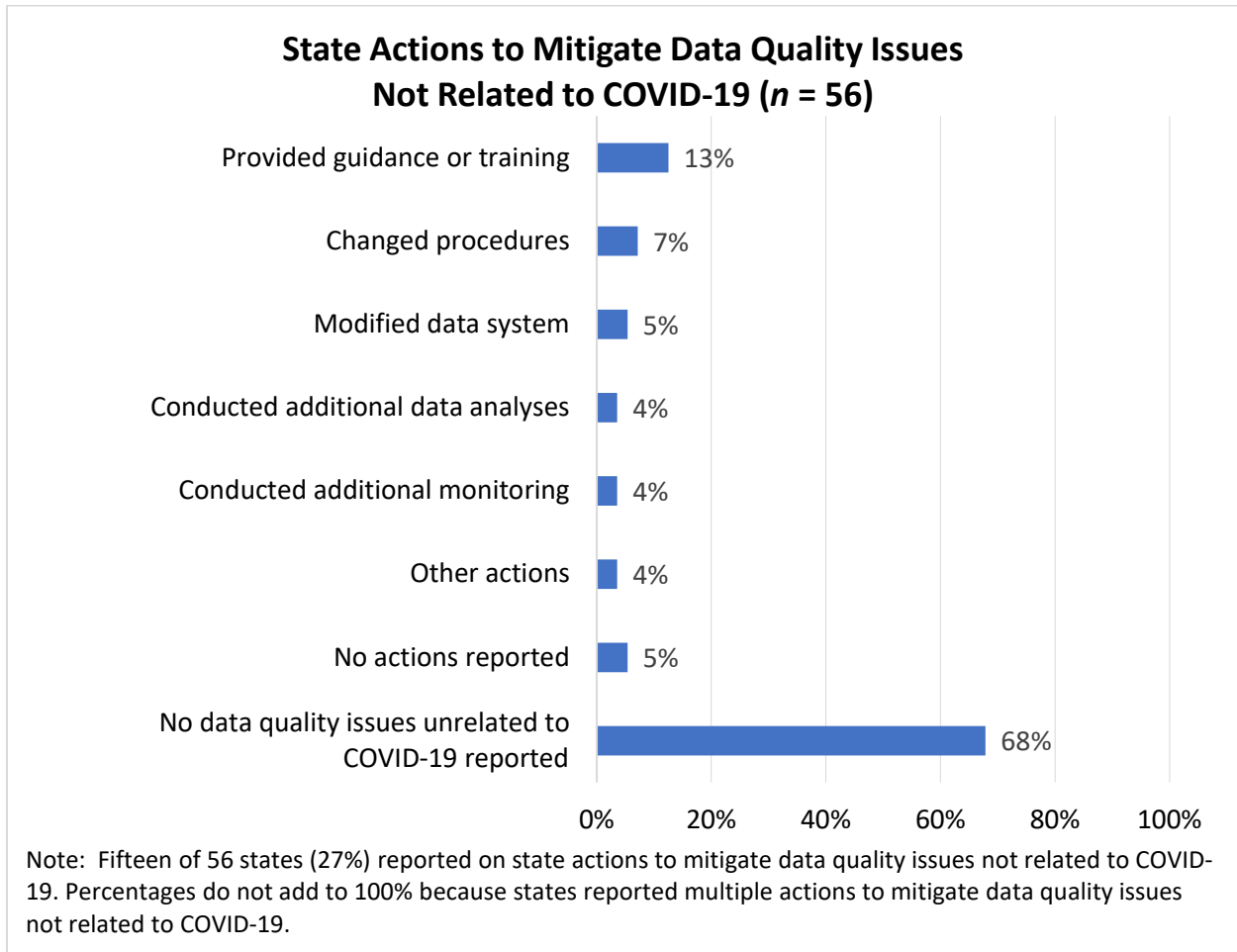
Figure 11 shows the types of data with data quality issues unrelated to COVID-19. Sixteen states (29%) reported on the types of data impacted, including child outcomes data (14 states, 25%) and practice fidelity or practice change data (two states, 4%). Two states (4%) reported other types of data with data quality issues not related to COVID-19, including practice implementation data (excluding fidelity) and family outcomes data. Two states (4%) that reported data quality issues unrelated to COVID-19 did not report the types of data impacted. Thirty-eight states (68%) did not report data quality issues unrelated to COVID-19.

Figure 11



Fifteen states (27%) reported on state actions to mitigate data quality issues not related to COVID-19. An additional two states (4%) identified having non-COVID-related data quality issues but did not report on actions taken to mitigate these issues. Figure 12 shows that seven states (13%) reported that they provided guidance or training, and four states (7%) changed data collection procedures. Fewer states reported that they modified their data system (three states, 5%), conducted additional data analyses (two states, 4%), and conducted additional monitoring (two states, 4%). Two states (4%) described other actions taken to mitigate data quality issues, including the reallocation of resources and obtaining TA support. Another two states (5%) did not report actions taken to mitigate data quality issues not related to COVID-19. Thirty-eight states (68%) did not report data quality issues unrelated to COVID-19.

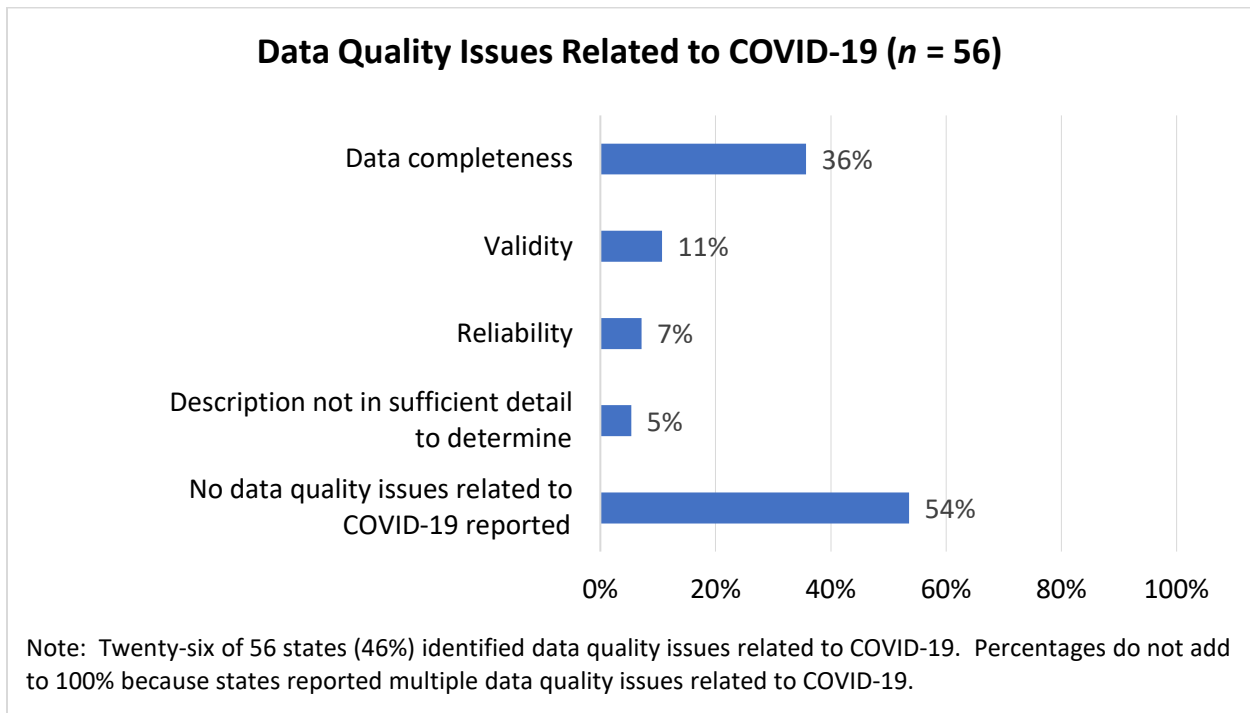
Figure 12



Data Quality Issues Related to COVID-19

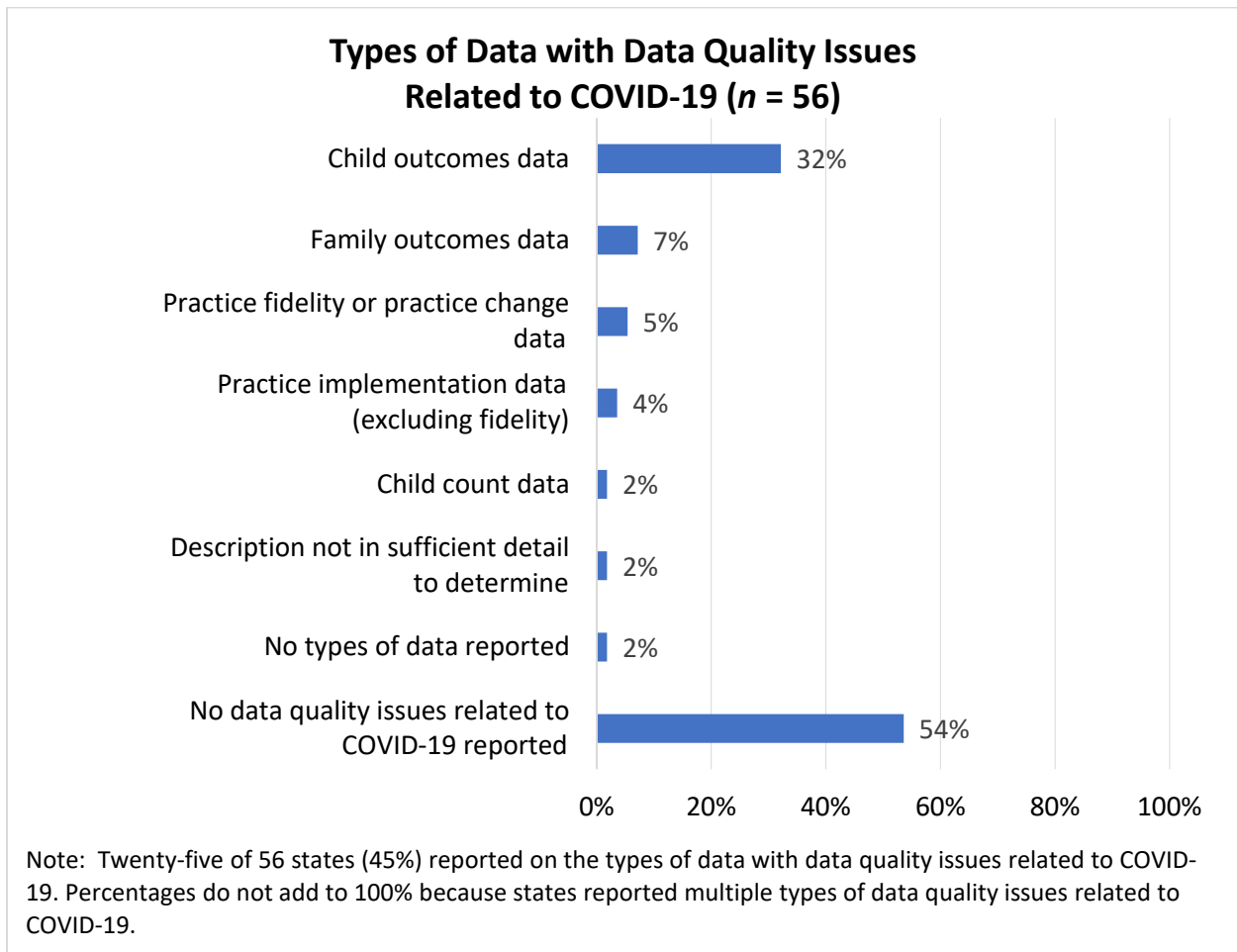
Figure 13 shows the data quality issues states reported that were related to COVID-19. Twenty-six states (46%) reported issues including data completeness (20 states, 36%) and to a lesser extent data validity (6 states, 11%) and reliability (four states, 7%). Three states (5%) reported having data quality concerns related to COVID-19 but provided insufficient detail to determine what data quality concerns were. Thirty states (54%) did not report having data quality issues related to COVID-19.

Figure 13



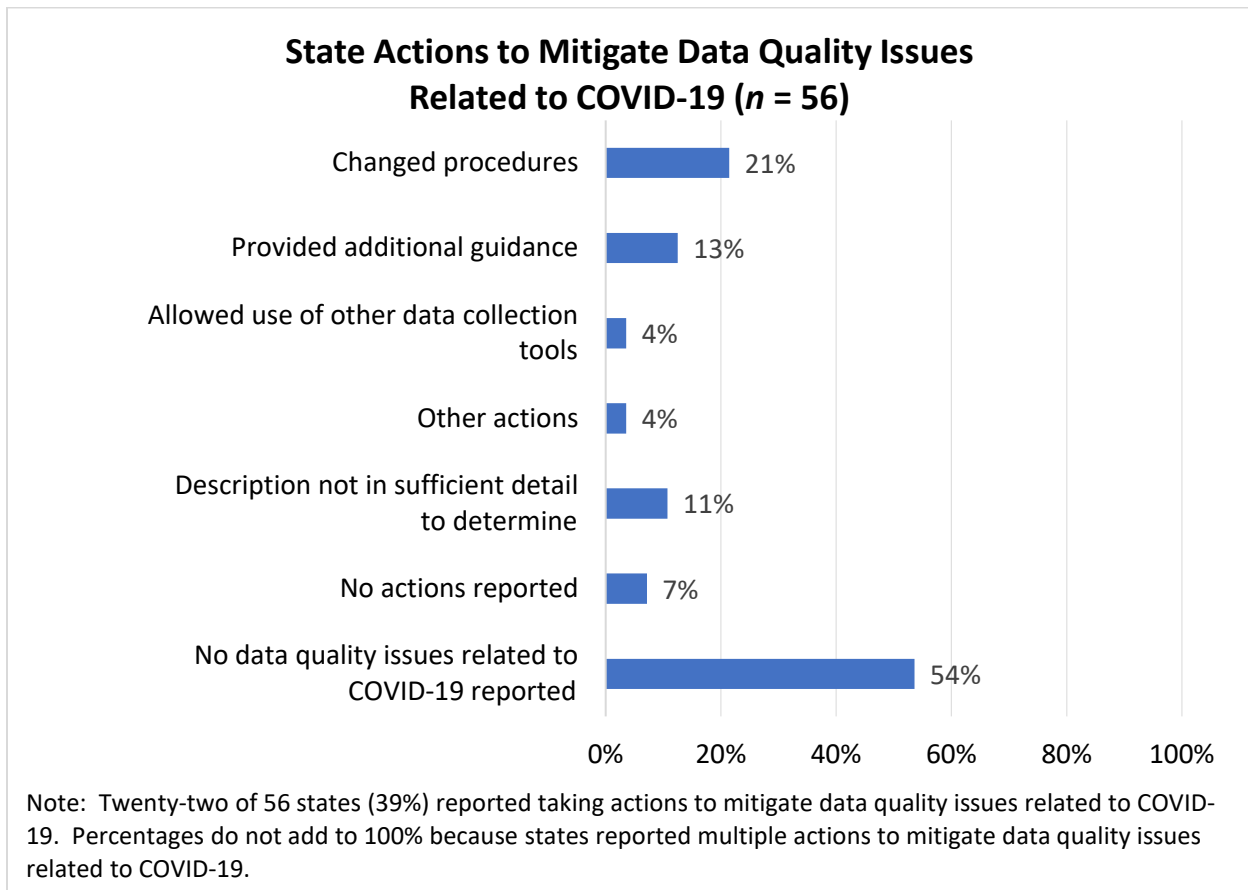
Twenty-five states (45%) reported on the types of data impacted by COVID-19. As shown in Figure 14, the types of data with data quality issues included child outcomes data (18 states, 32%) and to a lesser extent family outcomes data (four states, 7%), practice fidelity or practice change data (three states, 5%), practice implementation data excluding fidelity (two states, 4%) and child count data (one state, 2%). One state (2%) provided insufficient detail and another state (2%) did not report the type of data impacted by COVID-19. Thirty states (54%) did not report having data quality issues related to COVID-19.

Figure 14



Twenty-two states (39%) reported taking action to mitigate data quality issues related to COVID-19. Figure 15 shows that 12 states (21%) reported changing procedures and seven states (13%) provided additional guidance. Fewer states reported that they allowed the use of other data collection tools (two states, 4%). Two states (4%) described other steps, such as obtaining technical assistance and modifying their data system. Six states (11%) did not include enough information to identify the specific actions, and three states (7%) did not report the actions used to mitigate data quality issues related to COVID-19. Thirty states (54%) did not report data quality issues related to COVID-19.

Figure 15



IMPLEMENTATION, ANALYSIS, AND EVALUATION

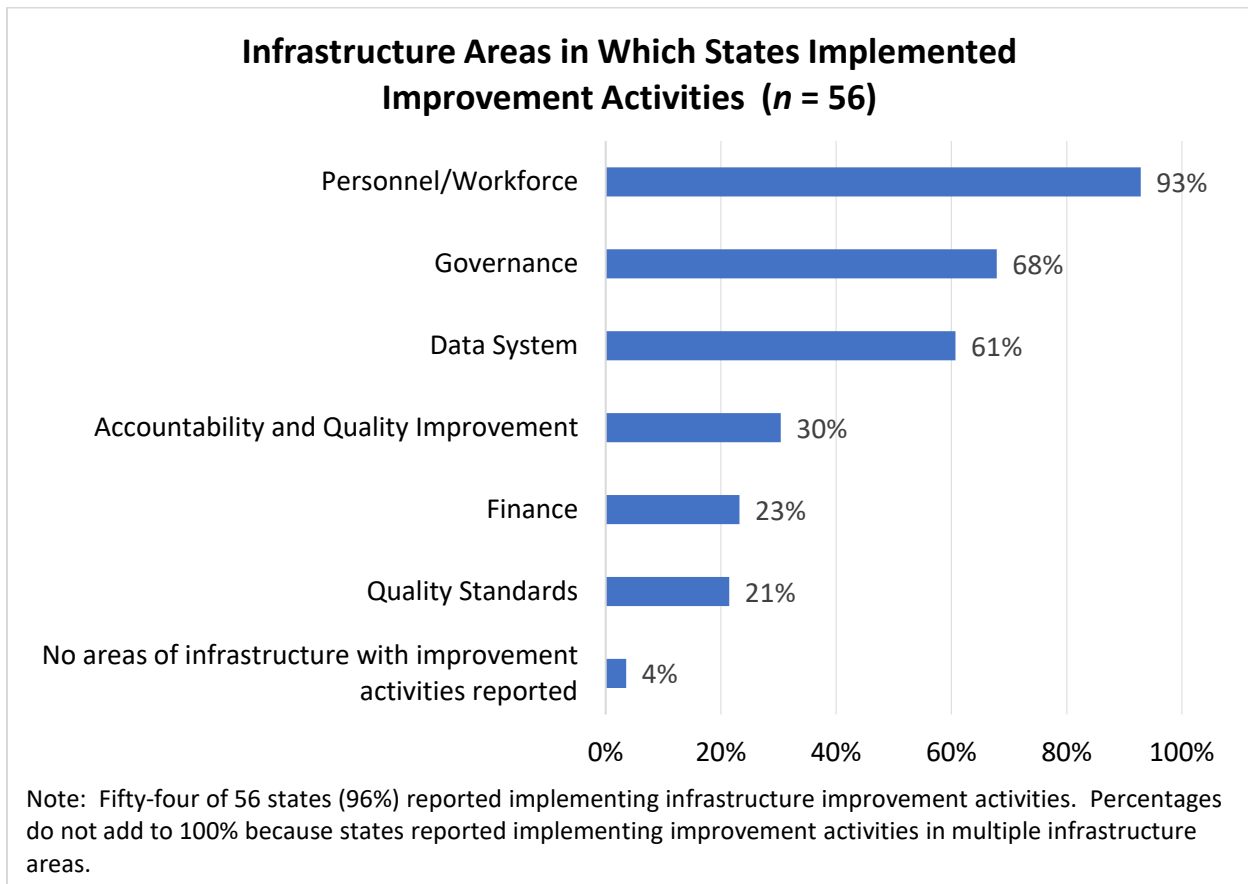
In FFY 2020, states were required to report progress in implementing the SSIP, including activities undertaken to improve infrastructure and provider practices. States also reported on the achievement of outputs or outcomes as a result of SSIP implementation.

Infrastructure

Areas of Infrastructure Where Improvement Activities Have Been Implemented

Almost all states (54, 96%) reported implementing infrastructure improvement activities in the FFY 2020 reporting year. The components of state infrastructure selected for improvement varied across states (Figure 16). Almost all states (52, 93%) reported implementing improvement activities related to Personnel/Workforce. Thirty-eight states (58%) reported implementing activities to improve state or local Governance, 34 states (61%) implemented activities to improve their Data System, and 17 states (30%) worked on improving Accountability and Quality Improvement. Fewer states reported implementing activities to improve Finance (13 states, 23%) and Quality Standards (12 states, 21%). Two states (4%) did not report on areas of infrastructure where improvement activities were implemented in FFY 2020.

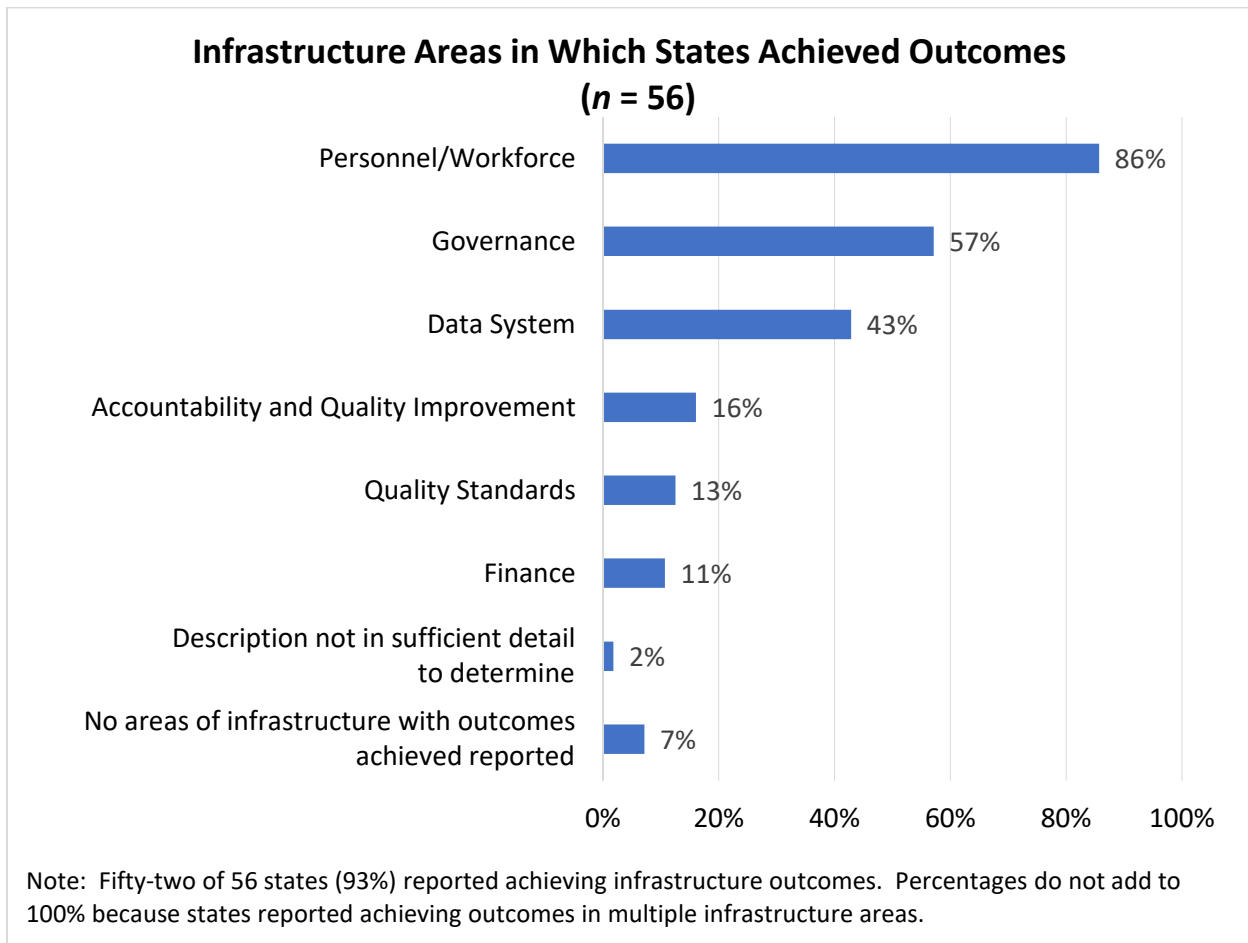
Figure 16



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 FFY 2020 whether outcomes were achieved in different areas of infrastructure following the implementation of improvement activities (Figure 17). Almost all states (52, 93%) reported achieving outcomes related to infrastructure. Forty-eight states (86%) reported that outcomes were met in the Personnel/Workforce component and 32 states (57%) reported achieving outcomes for the Governance component. Twenty-four states (43%) reported that outcomes were met for the Data System component, nine (16%) met outcomes for the Accountability and Quality Improvement component, and seven (13%) reported achieving outcomes for the Quality Standards component. Lastly, six states (11%) reported meeting outcomes in the Finance component. One state provided insufficient information to determine areas of infrastructure where outcomes were achieved in FFY 2020, and three states (7%) did not report on infrastructure outcomes achieved.

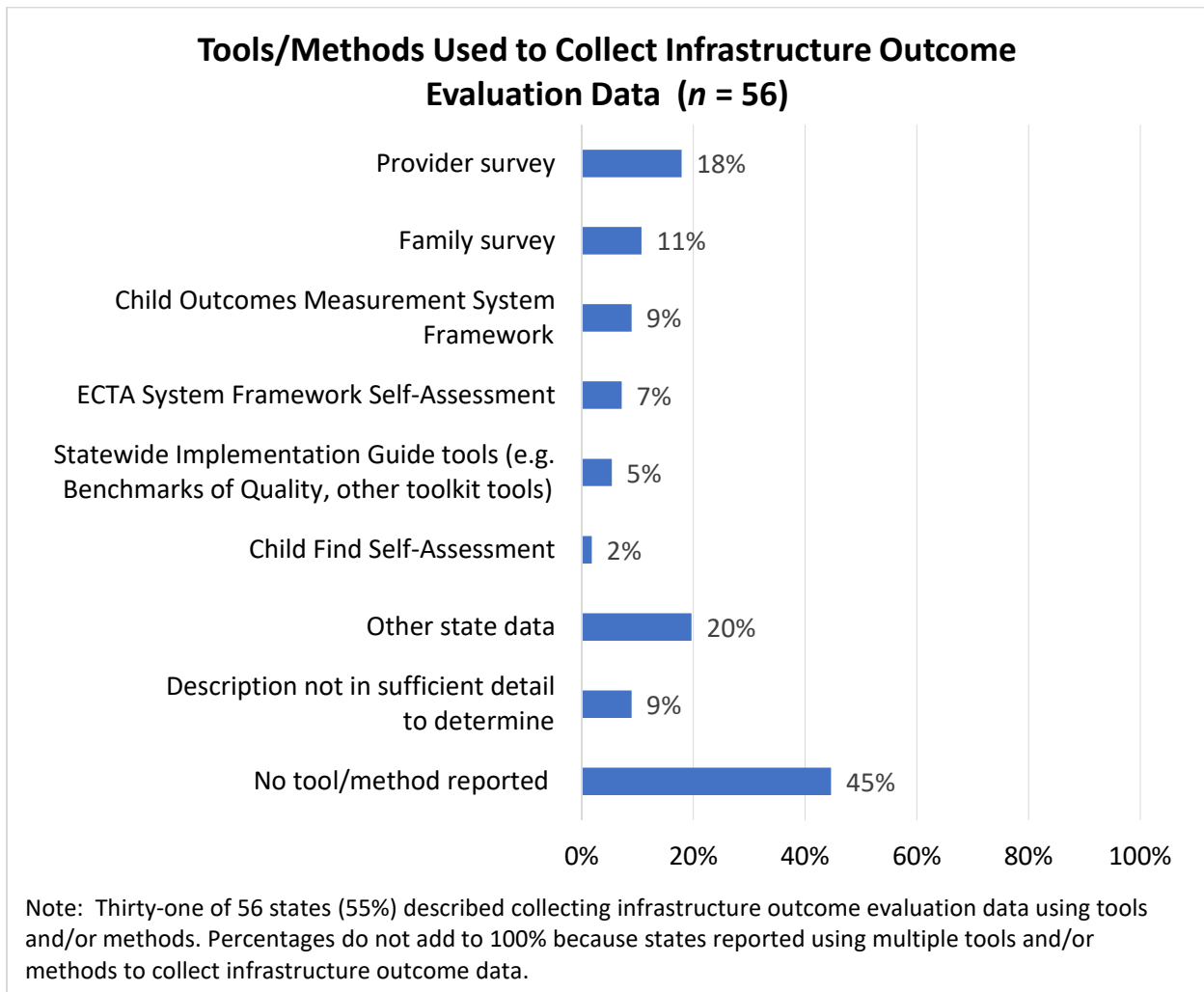
Figure 17



Tools/Methods Used to Evaluate Infrastructure Outcomes

About half of the states (31, 55%) reported using a tool or method for determining the achievement of infrastructure outcomes. As shown in Figure 18, ten states (18%) reported using provider surveys, and six states (11%) reported using a family survey. Five states (9%) reported using the Child Outcomes Measurement System Framework and four states (7%) reported using the ECTA System Framework Self-Assessment. Three states (5%) reported the use of Statewide Implementation Guide tools, such as the Benchmarks of Quality, and one state (2%) reported the use of the Child Find Self-Assessment. Eleven states (20%) reported that they used other state data to determine the achievement of infrastructure outcomes. Five states (9%) reported using tools/methods to evaluate infrastructure outcomes but did not describe this in detail. Twenty-five states (45%) did not describe tools or methods to evaluate infrastructure outcomes.

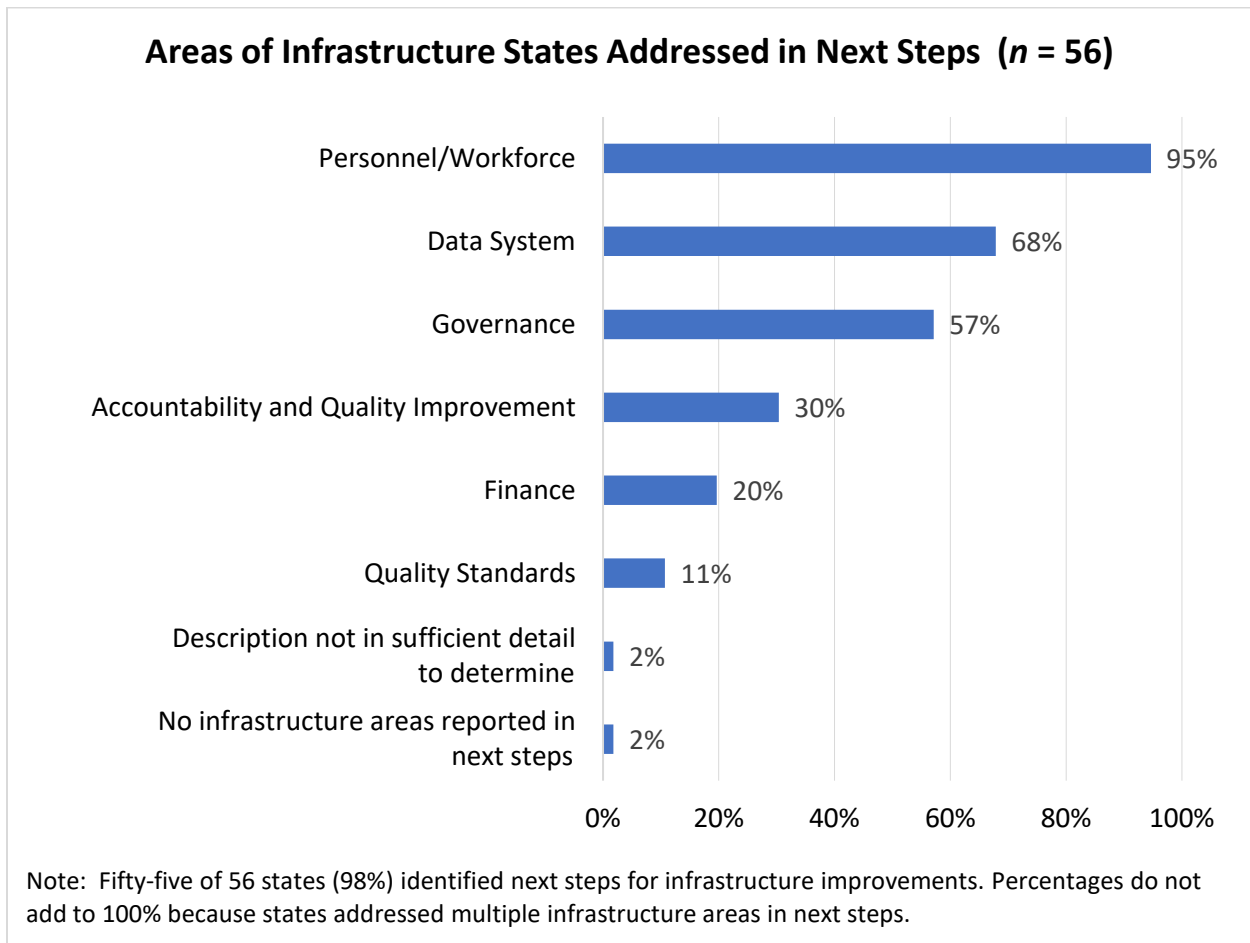
Figure 18



Areas of Infrastructure Identified for Next Steps

Almost all states (55, 98%) included areas of infrastructure in their next steps. Figure 19 shows that 53 states (95%) included next steps related to Personnel/Workforce, 38 (68%) related to Data Systems, and 32 (57%) related to Governance. Some states described next steps that addressed Accountability and Quality Improvement (17 states, 30%), Finance (11 states, 20%), and Quality Standards (6 states, 11%). One state (2%) described next steps for infrastructure improvement but did not provide enough information to determine which areas of infrastructure these activities would address. Another state (2%) did not describe areas of infrastructure in next steps.

Figure 19



Practices

States were required to identify the EBPs they were implementing in FFY 2020. Most states (51, 91%) identified EBPs as shown in Figure 20, including the DEC Recommended Practices (15 states, 27%), Coaching in Natural Learning Environments (14 states, 25%), the Pyramid Model (11 states, 20%), Family Guided Routines Based Intervention and Caregiver Coaching (8 states, 14%), Routines Based Early Intervention (-five states, 9%), and the Early Start Denver Model (four states, 7%). Twenty-one states (38%) reported implementing other EBPs/models, such as Touchpoints, Triple P Positive Parenting, and Promoting First Relationships.

Figure 20

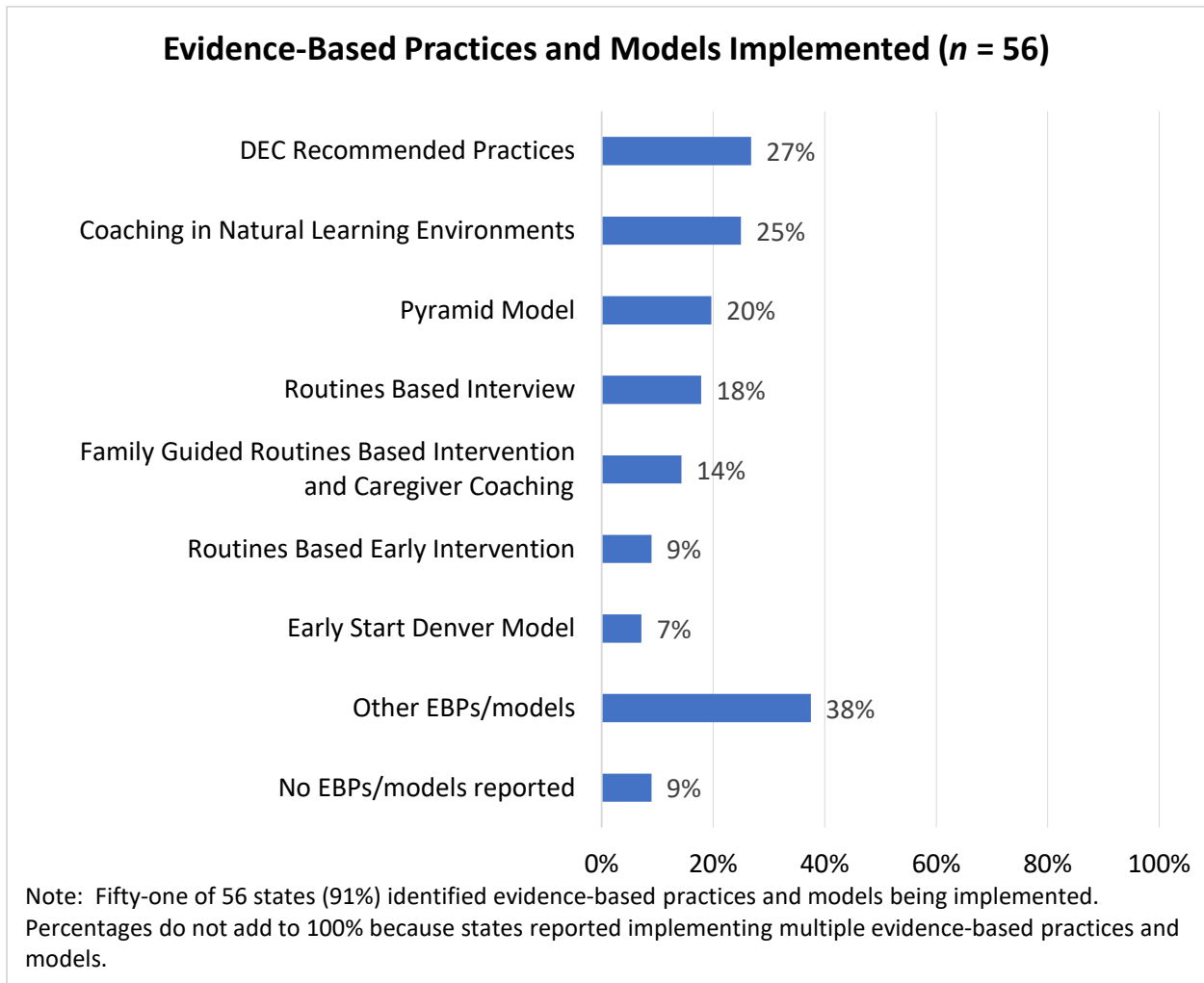
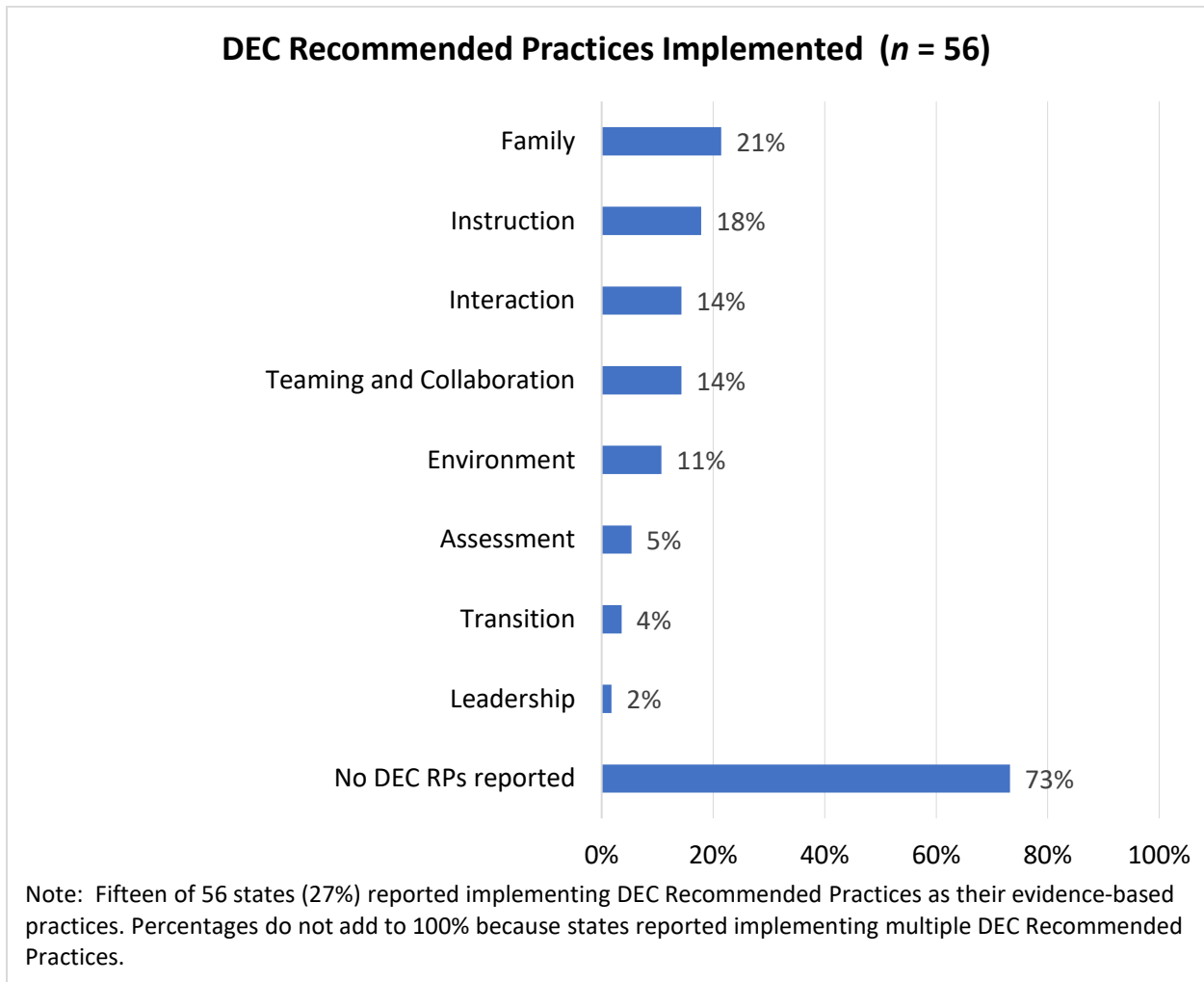


Figure 21 shows further detail about the areas of DEC RPs states reported implementing. These included Family (12 states, 21%), Instruction (10 states, 18%), Interaction (8 states, 14%), Teaming and collaboration (8 states, 14%), Environment (6 states, 11%), Assessment (three states, 5%), Transition (two states, 4%), and Leadership (one state, 2%). Forty-one states (73%) did not report implementing DEC RPs as their selected EBP.

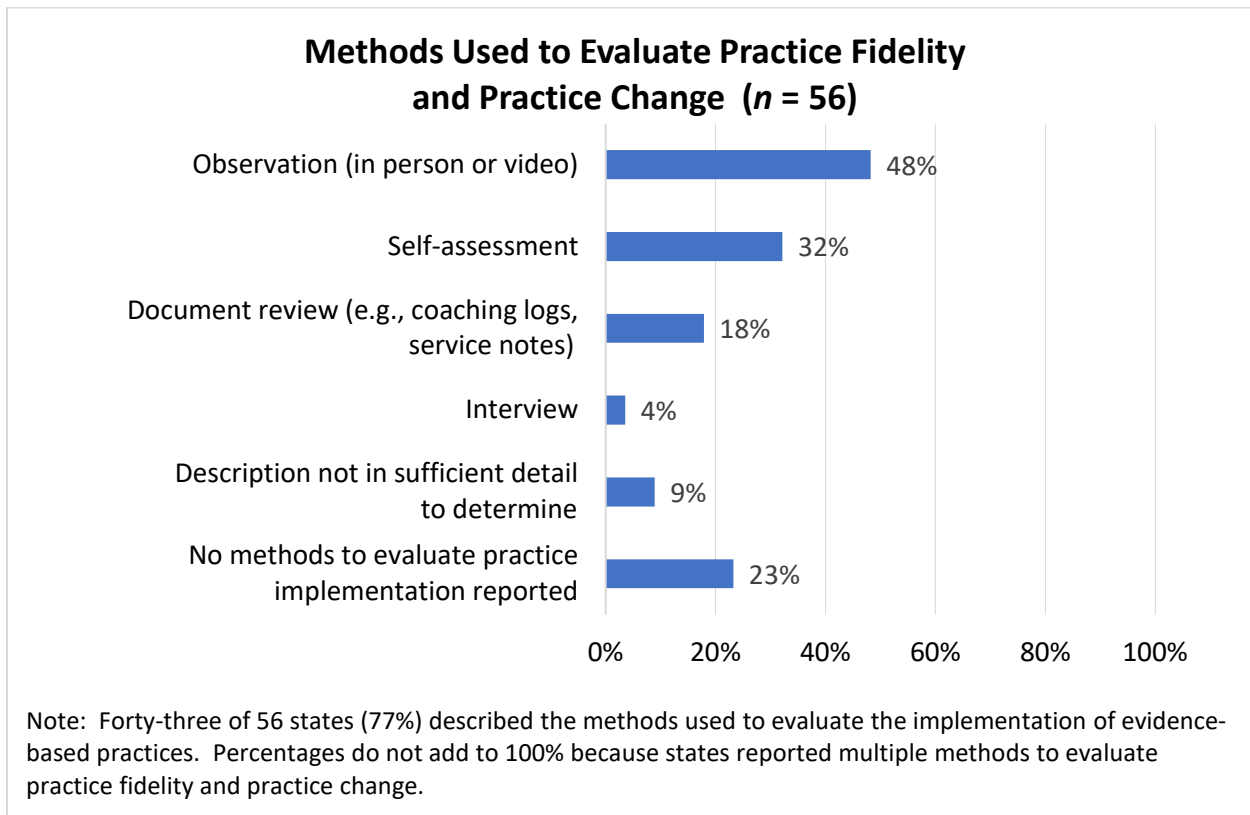
Figure 21



Methods Used to Evaluate Implementation of EBPs

Forty-three states (77%) described methods used in FFY 2020 to evaluate practice fidelity and practice change in the implementation of EBPs. Figure 22 shows that almost half of the states (27, 48%) described observation – in-person or video – to assess practitioners’ implementation of EBPs. Eighteen states (32%) reported the use of self-assessment for assessing practice. Ten states (18%) reported reviewing documents such as coaching logs and service delivery notes, and two states (4%) reported - collecting information through interviews. Five states (9%) mentioned methods used to evaluate the implementation of EBPs but did not describe this in detail. Other states (13, 23%) did not report methods used to evaluate practice implementation.

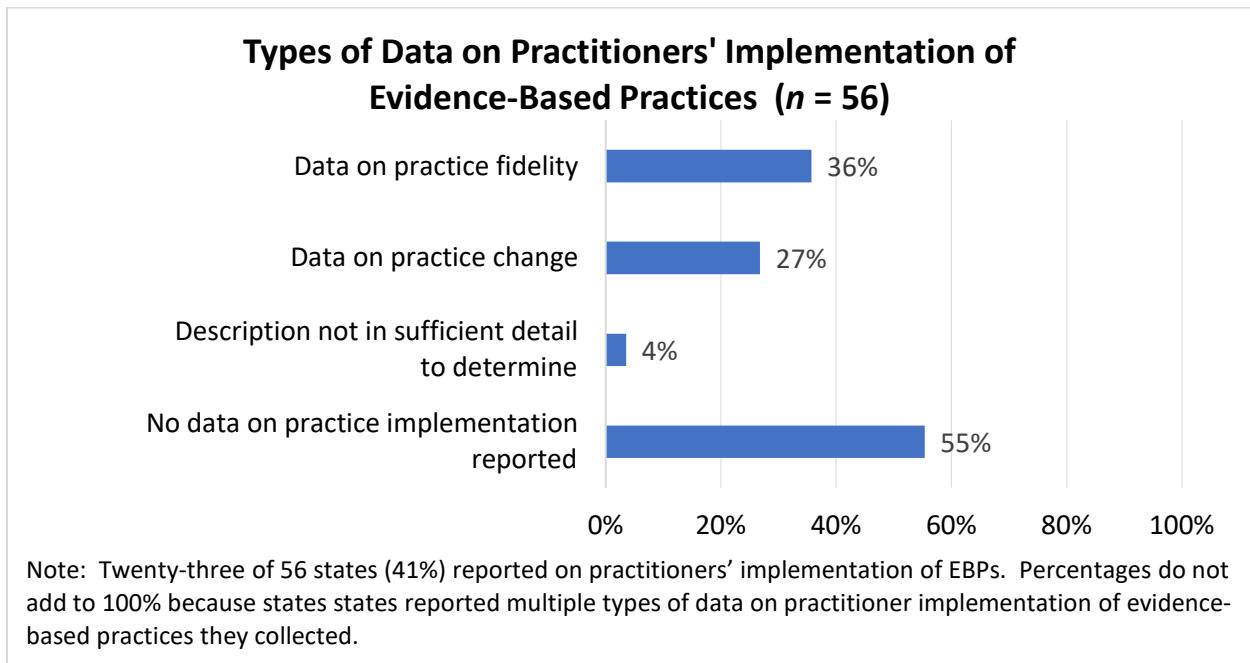
Figure 22



Data on Practice Change and/or Practice Fidelity

Twenty-three states (41%) reported on practitioners' implementation of EBPs. As shown in Figure 23, 20 states (36%) included data on practice fidelity, while 15 states (27%) included data on practice change. Two states (4%) did not provide enough information to determine the types of data they were collecting to measure practitioners' implementation of EBPs.

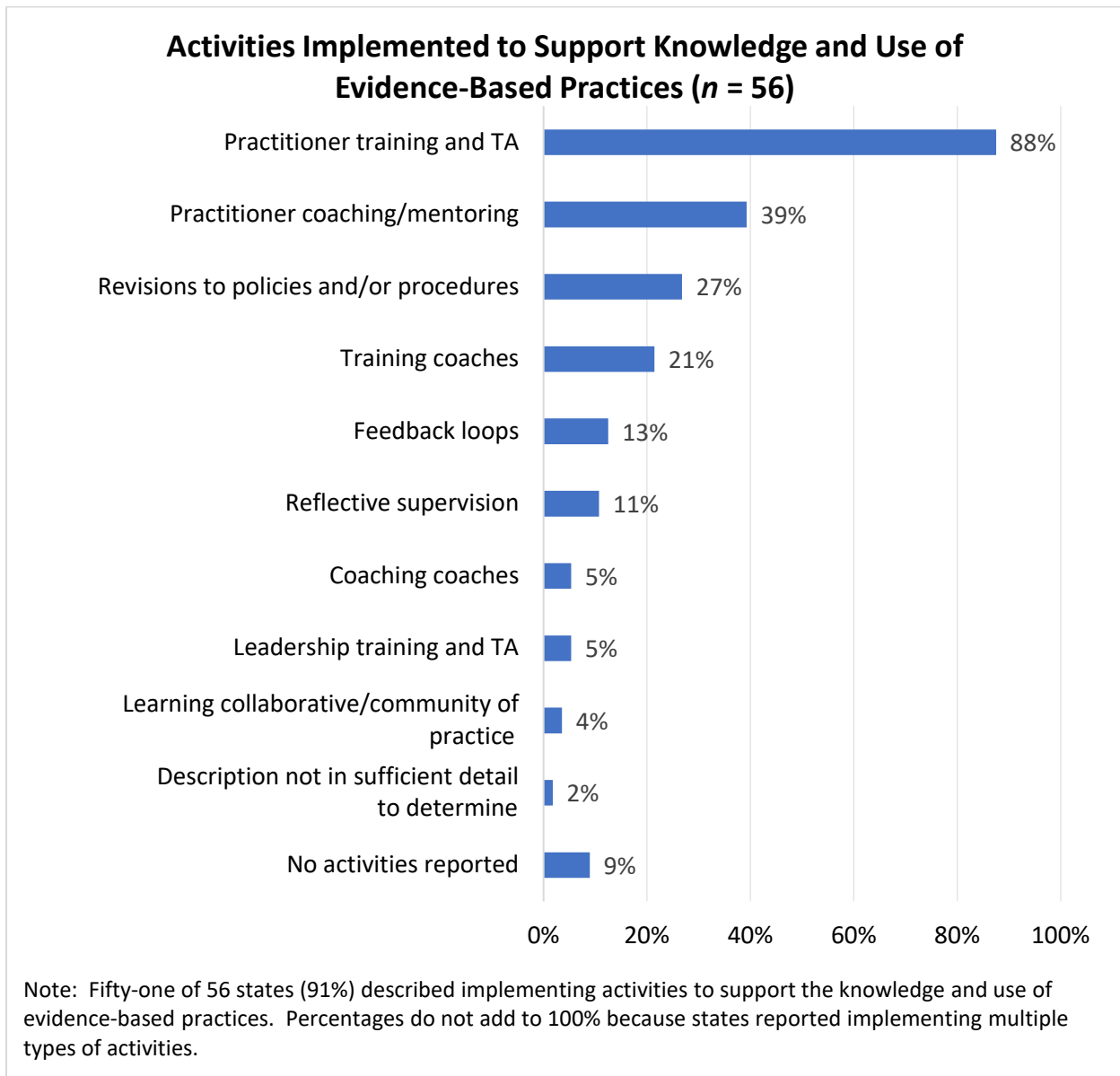
Figure 23



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

As shown in Figure 24, most states (51, 91%) described activities they implemented to support the knowledge and use of EBPs. Forty-nine states (88%) described providing training and TA for practitioners, 22 states (39%) described providing practitioner coaching and mentoring, 15 states (27%) described revising policies and procedures, and 12 states (21%) reported training coaches. Additional activities included: using feedback loops (7 states, 13%), providing reflective supervision (6 states, 11%), coaching coaches (three states, 5%), providing leadership training and TA (three states, 5%), and learning collaboratives/communities of practice (two states, 4%). One state (2%) provided insufficient detail to determine the specific activities used to support practitioners' use of EBPs, and five states (9%) did not report activities implemented to support practice implementation.

Figure 24



STAKEHOLDER ENGAGEMENT

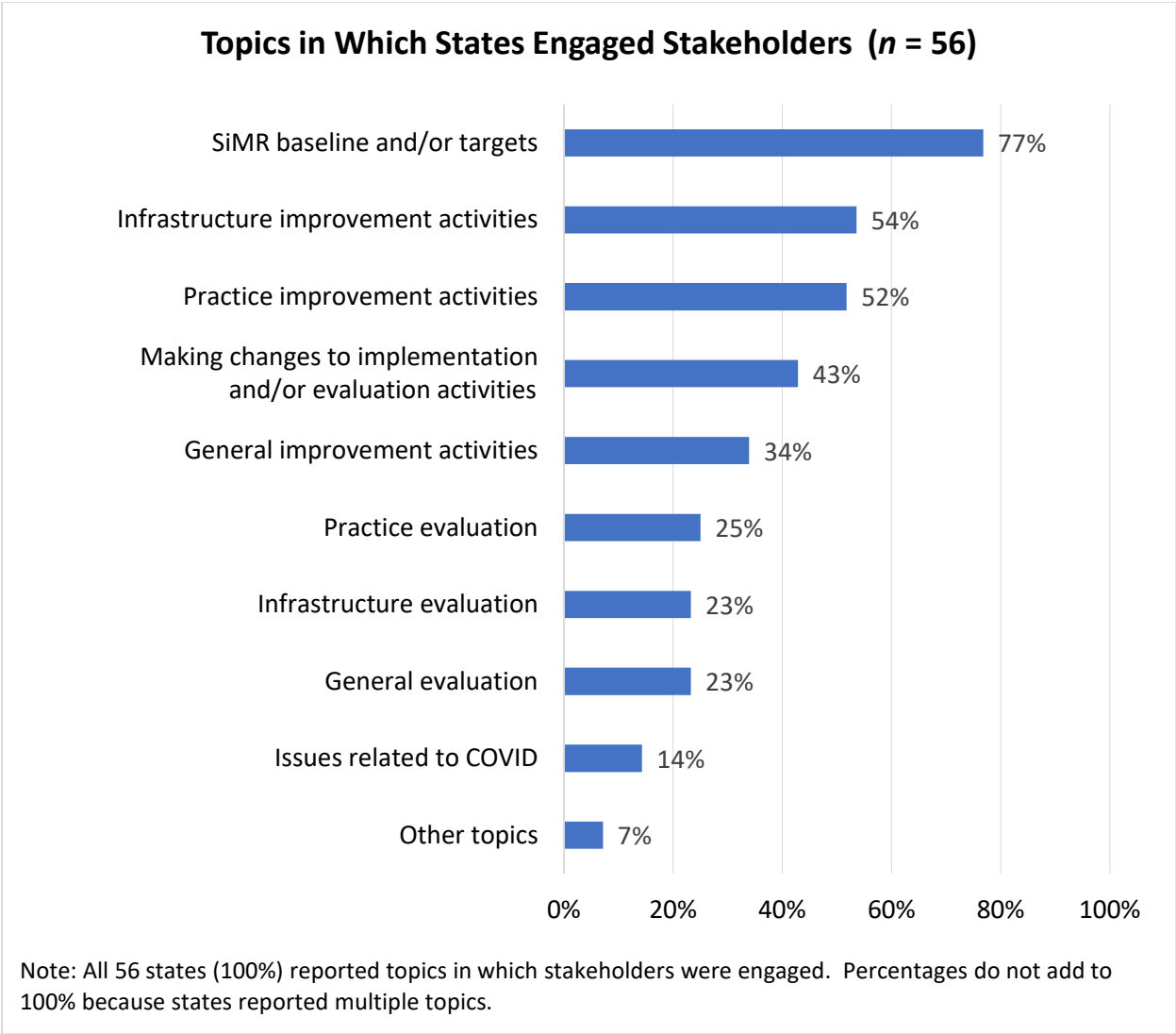
States were expected to engage stakeholders throughout the year in the implementation and evaluation of the SSIP and report on stakeholder involvement in FFY 2020. States reported on topics and strategies used to engage stakeholders, concerns shared by stakeholders, and the actions taken to address expressed concerns.

Topics in Which States Engaged Stakeholders

Figure 25 shows the topics in which stakeholders were engaged as reported by all 56 states (100%). Forty-three states (77%) reported engaging stakeholders in setting SiMR

baseline and/or targets and 30 states (54%) reported engaging stakeholders in infrastructure improvement activities. States also reported that they engaged stakeholders in activities related to practice improvement (29 states, 52%), making changes to implementation and/or evaluation activities (24 states, 43%), and general improvement (19 states, 34%). States further reported that they engaged stakeholders in the evaluation of practices (14 states, 25%), evaluation of infrastructure improvements (13 states, 23%), and general evaluation (13 states, 23%). Eight states (14%) reported that they engaged stakeholders in issues related to COVID-19. Four states (7%) reported other topics in which they engaged stakeholders, such as developing strategies to increase family engagement in service delivery and making changes to policies and procedures.

Figure 25



Strategies Used to Engage Stakeholders

All states (56, 100%) included information in their reports about the strategies they used for engaging stakeholders. Figure 26 shows that most states (49, 88%) reported that they engaged with their state Interagency Coordinating Councils (ICCs) and 44 states (79%) reported that they held ongoing stakeholder meetings.

Many states reported they:

- Shared data for stakeholder discussion (41 states, 73%), and
- Disseminated information (36 states, 64%).

About half of the states:

- Shared data to inform stakeholders (30 states, 54%),
- Convened work groups (28 states, 50%), and
- Surveyed stakeholders (24 states, 43%).

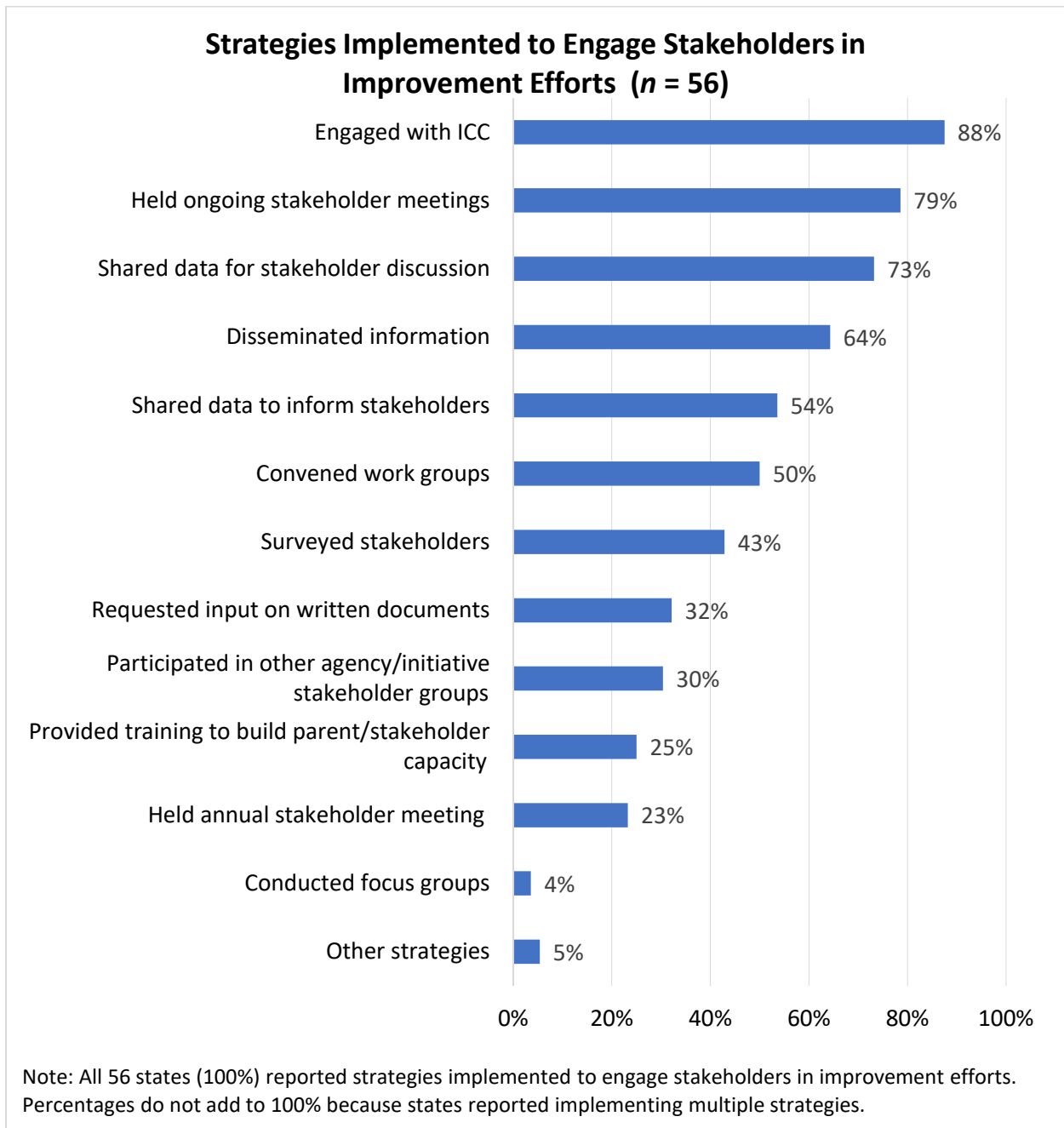
To a lesser extent, states reported:

- Requesting input on written documents (18 states, 32%),
- Engaging stakeholders by participating in the stakeholder groups of other agencies or initiatives (17 states, 30%),
- Providing training to build parent/stakeholder capacity (14 states, 25%), and
- Holding annual stakeholder meetings (13 states, 23%).

A few states reported:

- Conducting focus groups (two states, 4%), and
- Other strategies to engage stakeholders, such as posting recordings of virtual meetings and making 'office hours' available with leadership (three states, 5%).

Figure 26



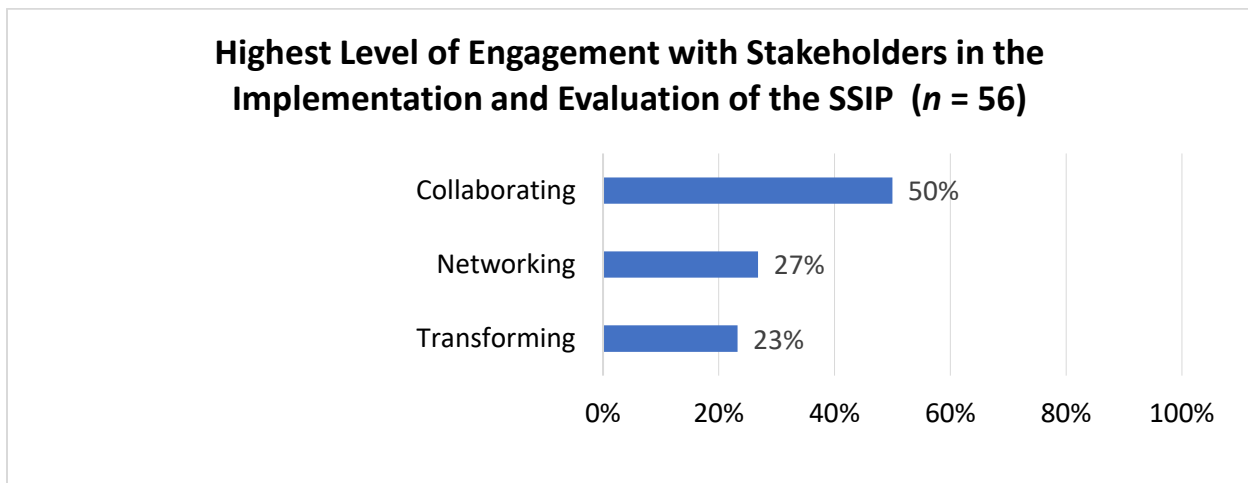
How Stakeholders Weighed in on SSIP Implementation and Evaluation

All states (56, 100%) described how they engaged stakeholders in decision-making on the SSIP in FFY 2020. Reviewers categorized states' reported stakeholder engagement activities 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; and
- **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 27 shows states' engagement of stakeholders in the implementation of the SSIP by level of interaction. Half of the states (28, 50%) described stakeholder participation at the level of Collaborating. Fifteen states (27%) described engaging at a Networking level and 13 states (23%) at a Transforming level.

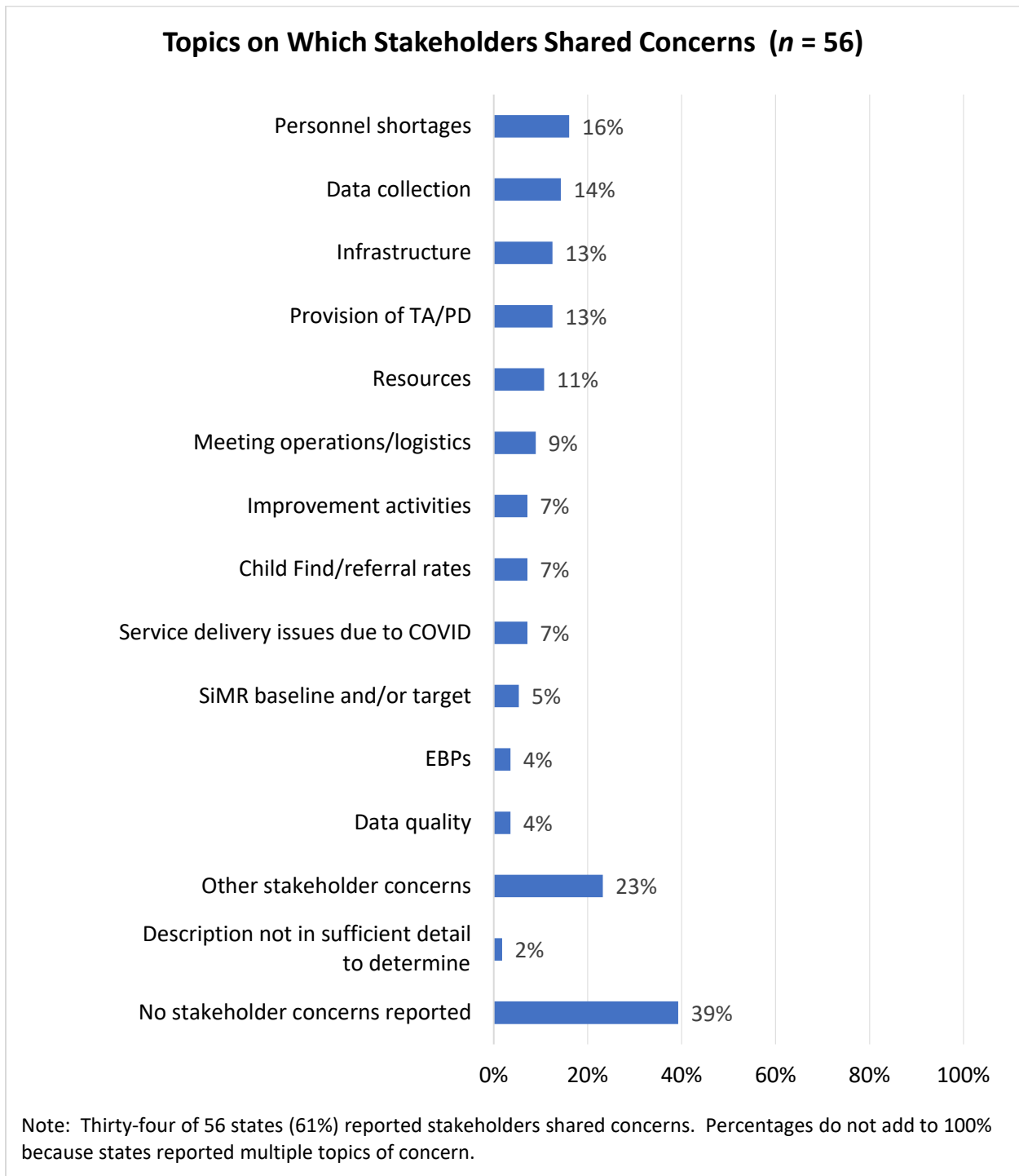
Figure 27



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 28, 34 states (61%) reported stakeholder concerns on topics including personnel shortages (9 states, 16%), data collection (8 states, 14%), infrastructure (7 states, 13%), and provision of TA and professional development (7 states, 13%). In addition, states reported stakeholder concerns about inadequate resources (6 states, 11%) and meeting operations/logistics (five states, 9%). Other areas of concern were improvement activities, Child Find/referral rates, and service delivery issues due to COVID-19 as reported by four states (7%) for each concern. States also reported concerns about the SiMR baseline and/or target (three states, 5%), EBPs (two states, 4%), and data quality (two states, 4%). Thirteen states (23%) described other stakeholder concerns, including the terminology being used, data not routinely being shared, and staff and family stressors as a result of COVID-19. One state (2%) described stakeholders as having concerns but did not provide enough information to identify the topic of concern. Twenty-two states (39%) did not report stakeholder concerns.

Figure 28



How States Addressed Concerns Expressed by Stakeholders

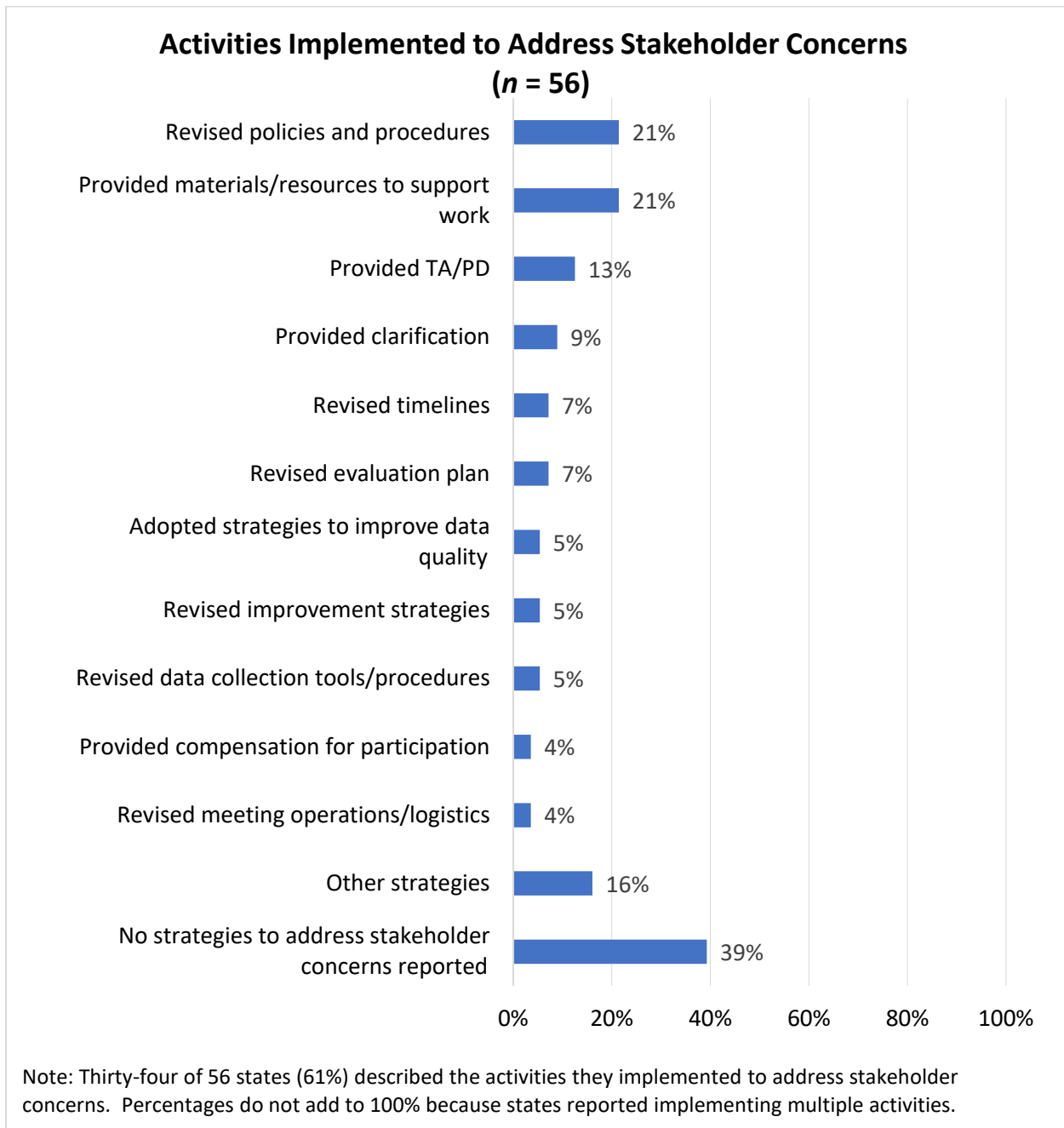
All 34 states (61%) that reported stakeholder concerns went on to describe the activities implemented to address those concerns. As shown in Figure 29, 12 (21%) reported that they revised policies and procedures, 12 (21%) reported they provided materials and

resources to support the SSIP work, and seven (13%) reported that they provided TA and professional development. Additional activities included:

- Providing clarification or guidance to address the issue (five states,9%);
- Revising timelines (four states,7%);
- Revised evaluation plans (four states, 7%);
- Adopting strategies to improve data quality (three states, 5%);
- Revising improvement strategies (three states, 5%); and
- Revising data collection tools/procedures (three states, 5%).

Two states (4%) reported that they provided compensation for participation in stakeholder groups and two states (4%) reported that they revised meeting operations and logistics. Nine states (16%) reported that they took other actions to address stakeholder concerns, including approving a public awareness campaign and providing interpreter services. Twenty-two states (39%) did not describe strategies to address stakeholder concerns.

Figure 29

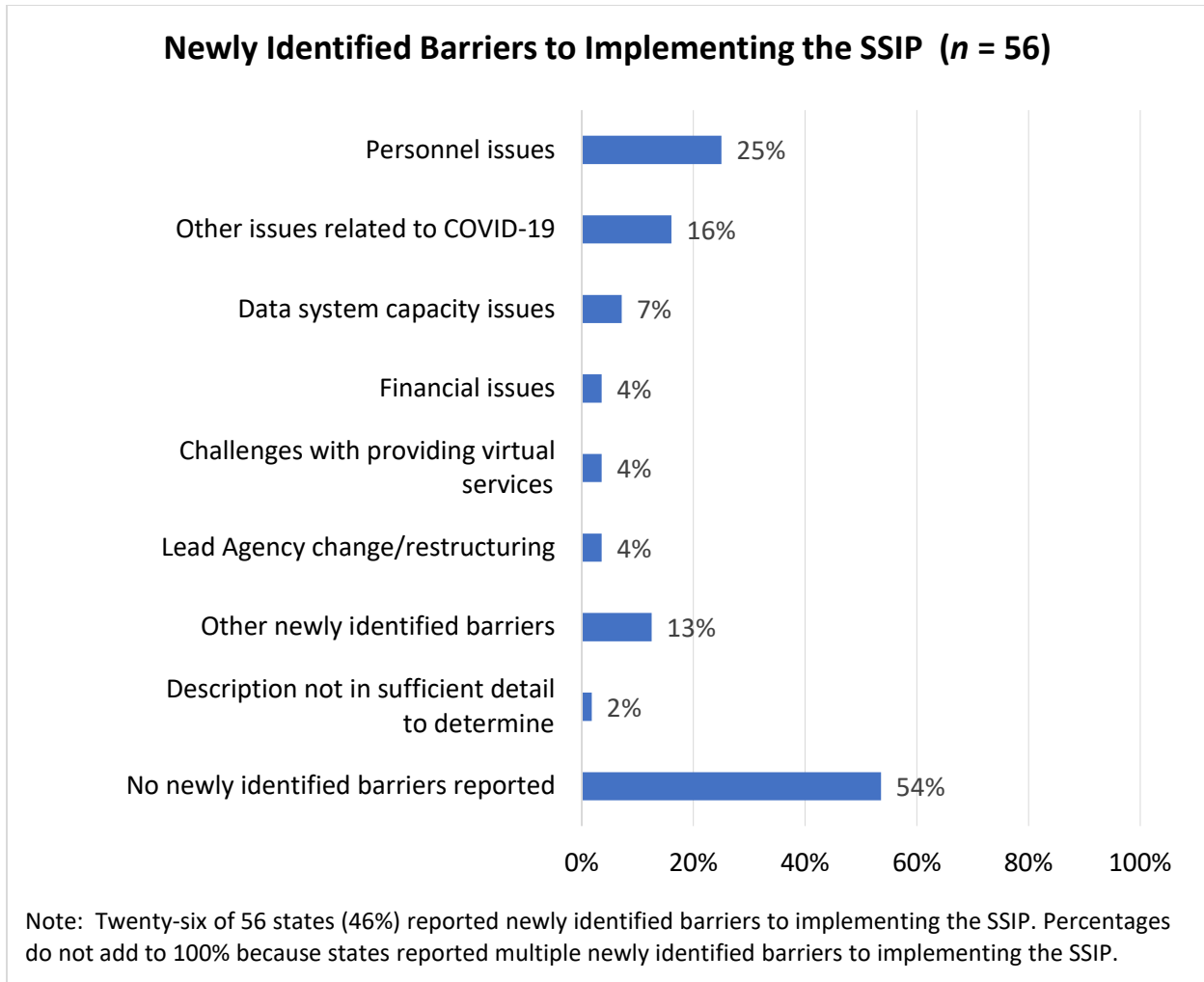


NEWLY IDENTIFIED BARRIERS TO IMPLEMENTING THE SSIP

Close to half of all states (26, 46%) identified new barriers to implementing their SSIPs in FFY 2020. As shown in Figure 30, states with the most commonly identified barriers were related to personnel (14 states, 25%) and issues related to COVID-19 (9 states, 16%). In addition, states described data system capacity issues (four states, 7%), financial issues (two states, 4%), challenges with providing virtual services (two states, 4%), and Part C Lead Agency changes/restructuring (two states, 4%). Seven states

(13%) described other barriers, such as reimbursement structures and the need for ICC training on interpreting data. One state (2%) described having newly identified barriers but did not provide details, and 30 states (54%) did not include newly identified barriers in their reports.

Figure 30



CONCLUSION

This analysis was based on a review of all states' FFY 2020 SSIP reports and describes the data states reported on their implementation and evaluation. 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. They also described stakeholder engagement in their SSIP activities and identified new implementation barriers.

Eight states made changes to their SiMR and all 56 states reported 2020-2025 SiMR targets. Twenty states modified their TOAs, 32 changed their evaluation plans, and 41

changed improvement activities. Reports did not include sufficient detail for reviewers to determine the total number of states that changed the baseline for the SiMR.

Most states described concerns with data quality – both unrelated and related to COVID-19. However, more states reported data quality concerns related to COVID-19 than those that reported data quality issues unrelated to COVID-19. For those states that reported data quality concerns, almost all named the types of data affected, and reported on the actions they took to mitigate these 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, about half of the states reported the tool or method they used to determine the achievement of infrastructure outcomes. Almost all included areas of infrastructure they would address in their next steps.

Almost all states reported the EBPs they were implementing. Practices most frequently used included DEC RPs, Coaching in Natural Learning Environments, and the Pyramid Model.

More than half of 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, and the revision of policies and procedures. Almost half of the states reported that they collect practitioner data on the implementation of EBPs, including both practice change and fidelity data.

Almost half of the states reported having newly identified barriers to implementing their SSIPs in FFY 2020. Some of the key barriers related to personnel, issues related to COVID-19, and data system capacity issues.

All states reported engaging stakeholders in the implementation of their SSIP. Topics in which stakeholders were engaged included setting SiMR baseline and/or targets and infrastructure and practice improvement activities. States also described strategies for engaging stakeholders, such as through their state ICCs, ongoing stakeholder meetings, and sharing data for discussion. Reviewers concluded that half of the states engaged stakeholders at the level of Collaborating with fewer at the level of Networking and Transforming, based on definitions from Leading by Convening. A little more than half of the states reported the concerns stakeholders expressed, including concerns about personnel shortages, data collection, infrastructure, and the provision of TA and professional development. All states that reported stakeholder concerns also described the actions they took to address stakeholder concerns. These actions included the revision of policies and procedures, provision of materials and resources to support the SSIP work, and provision of TA and PD.