2016 PART B FFY 2014 SPP/APR INDICATOR ANALYSIS BOOKLET
TABLE OF CONTENTS

INDICATOR 1: GRADUATION RATE

Prepared by the National Technical Assistance Center on Transition (NTACT)

INTRODUCTION

The National Technical Assistance Center on Transition (NTACT) was assigned the task of analyzing and summarizing the data for Part B Indicator 1, Graduation Rate, from the FFY 2014 Annual Performance Reports (APRs) and amended State Performance Plans (SPPs), which were submitted by states to OSEP in the spring of 2016. The text of the indicator is as follows:

> Percent of youth with IEPs graduating from high school with a regular diploma.

This report summarizes NTACT's findings for Indicator 1 across the 50 states, commonwealths, and territories, and the Bureau of Indian Education (BIE), for a total of 60 agencies. For the sake of convenience, in this report the term "states" is inclusive of the 50 states, the commonwealths, the territories, and the BIE.

MEASUREMENT

The Part B Measurement Table indicates that states are to use the, "Same data as used for reporting to the Department under Title I of the Elementary and Secondary Education Act (ESEA). States must report using the adjusted cohort graduation rate required under the ESEA." These data are reported in the Consolidated State Performance Report exiting data**.**

Sampling is not permitted for this indicator, so states must report graduation information for all of their students with disabilities. States were instructed to, "Describe the results of the State's examination of the data for the year before the reporting year (e.g., for the FFY 2014 APR, use data from the 2013-2014 school year), and compare the results to the target." States were also instructed to provide the actual numbers used in the calculation. Additional instructions were to: "Provide a narrative that describes the conditions youth must meet in order to graduate with a regular diploma and, if different, the conditions that youth with IEPs must meet in order to graduate with a regular diploma. If there is a difference, explain why." Finally, states' performance targets were to be the same as their annual graduation rate targets under Title I of the ESEA.

IMPLICATIONS OF THE GRADUATION RATE MEASUREMENT

The four-year adjusted cohort graduation rate defines a "graduate" as someone who receives a regular high school diploma in the standard number of years—specifically, four. Students who do not meet the criteria for graduating with a regular diploma cannot

be included in the numerator of the calculation, but must be included in the denominator. The calculation also excludes students who receive a modified or special diploma, a certificate, or a GED from being counted as graduates. It is adjusted to reflect transfers into and out of the cohort (i.e., out of the school), as well as loss of students to death.

The equation below shows an example of the four-year graduation rate calculation for the cohort entering 9th grade for the first time in the fall of the 2010-11 school year and graduating by the end of the 2013-14 school year.

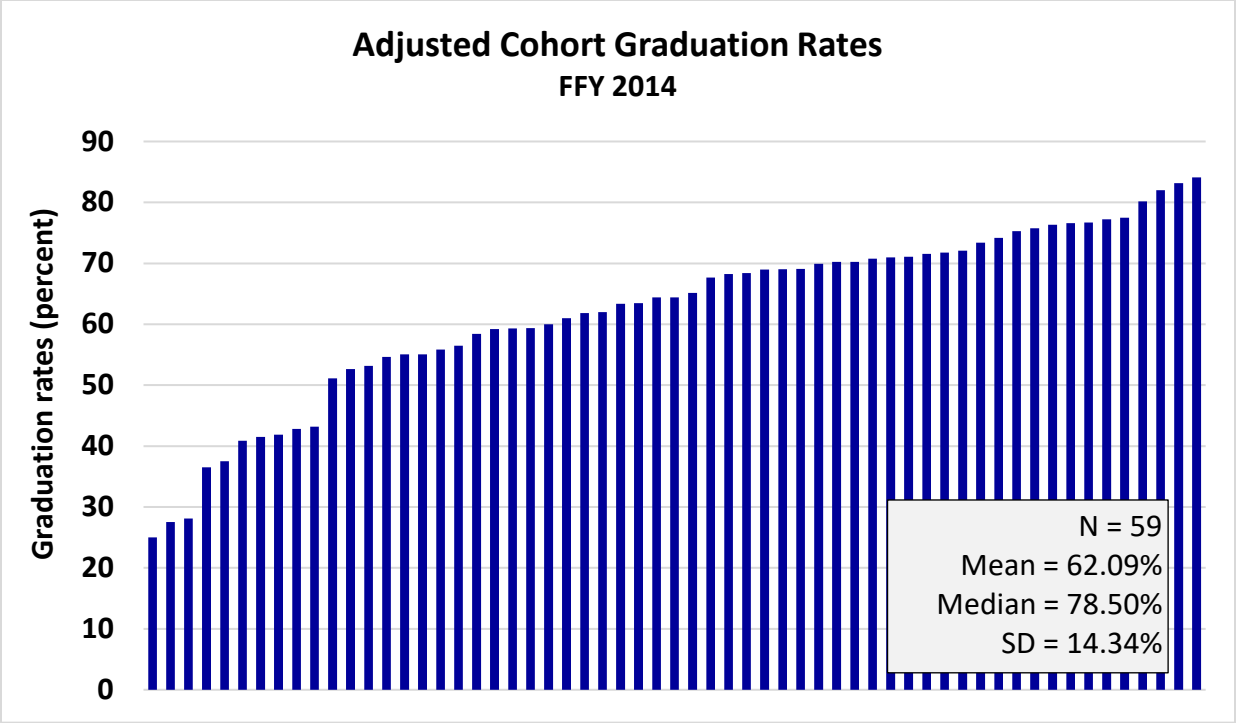
$$\frac{\text{\# of cohort members receiving a regular HS diploma by end of the 2013-14 school year}}{\text{\# of first-time 9th graders in fall 2010 (starting cohort) + transfers in – transfers out – emigrated out – deceased during school years 2010-11 through 2013-14}}$$

States may obtain permission from the U.S. Department of Education to report one or more additional cohorts that span a different number of years (for example, a five-year cohort or a five-year plus a six-year cohort, etc.). Because students with disabilities and students with limited English proficiency face additional obstacles to completing their coursework and examinations within the standard four-year timeframe, the use of such extended cohort rates can help ensure that these students are ultimately counted as graduates, despite their longer stay in school than the traditional four years. It should be noted that states are prohibited from using this provision exclusively for youth with disabilities and youth with limited English proficiency. It is likely that this provision for using extended cohorts will become more important in years to come, as many states have increased their academic credit and course requirements for all students to graduate.

STATES' PERFORMANCE ON THE INDICATOR

Figure 1 shows the adjusted cohort graduation rates for the 59 states that calculated Indicator 1 using this method. Among these states, 58 calculated a 4-year adjusted cohort rate and one calculated a 3-year adjusted cohort rate. These rates ranged between 25.00% and 84.09%, with a mean of 62.09%, a median value of 64.40%, and a standard deviation of 14.34%. One state employed an event rate calculation. Its rate was 93.22%.

Figure 1



COMPARISON TO TARGETS

Figure 2 compares each state's FFY 2014 graduation rate to its graduation target. As may be seen, the targets for improvement ranged from 30.00% to 100.00%. The average state target was 72.84% and the median target was 78.50%. Nineteen states (32%) met or exceeded their target and 41 states (68%) did not meet their target. These results are an improvement from FFY 2013, during which 17 states (28%) met their graduation rate target, and an improvement over FFY 2012 as well, when 9 states (15%) met their target.

Of the states that met or exceeded their FFY 2014 graduation rate target, the mean distance above the target was 5.51%. The median distance above the target was 2.80% and the standard deviation was 7.86%. Of the states that missed their graduation target, the mean distance below the target was –17.53%. The median distance was –16.01% and the standard deviation was 13.79%. Thirteen of the 19 states that met their graduation target for FFY 2014 also met their FFY 2014 dropout rate target.

Figure 3 shows the numbers of states that have met/missed their graduation target across the years since FFY 2006.

Figure 2

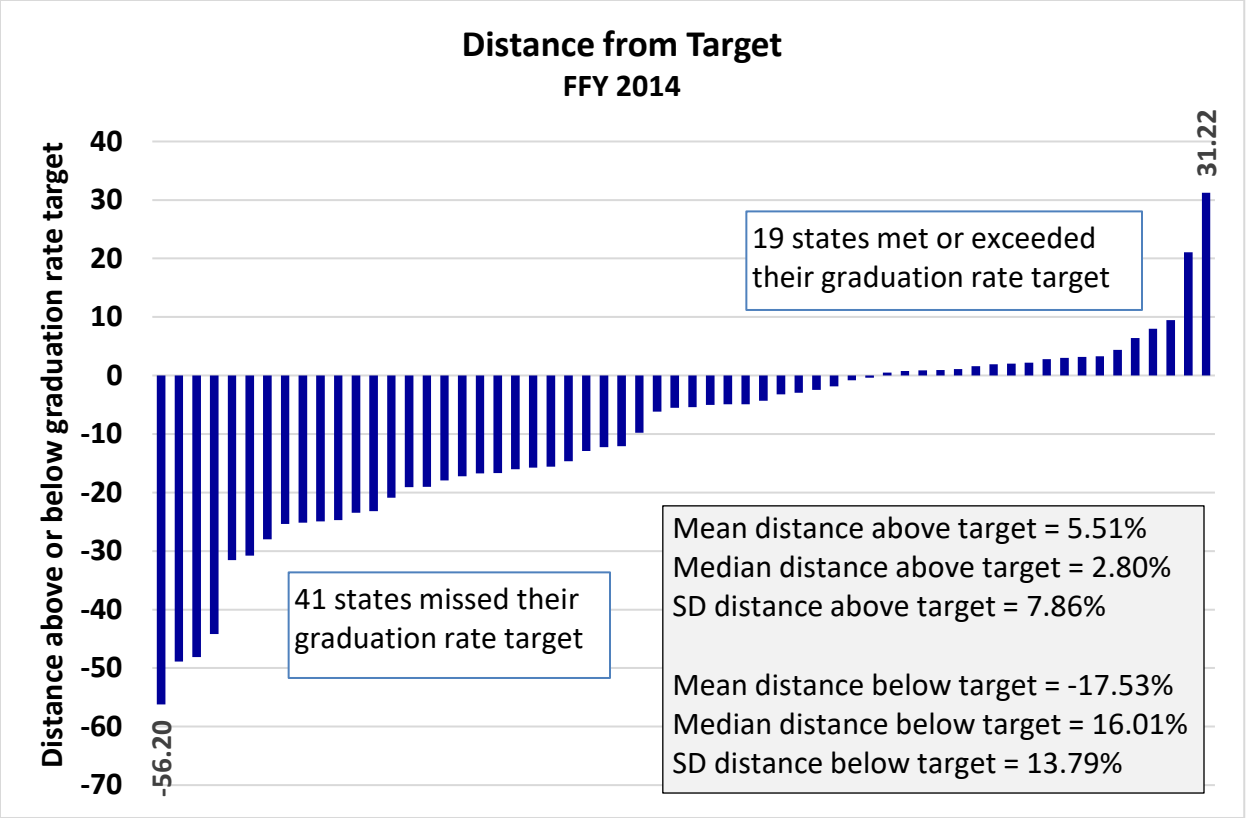
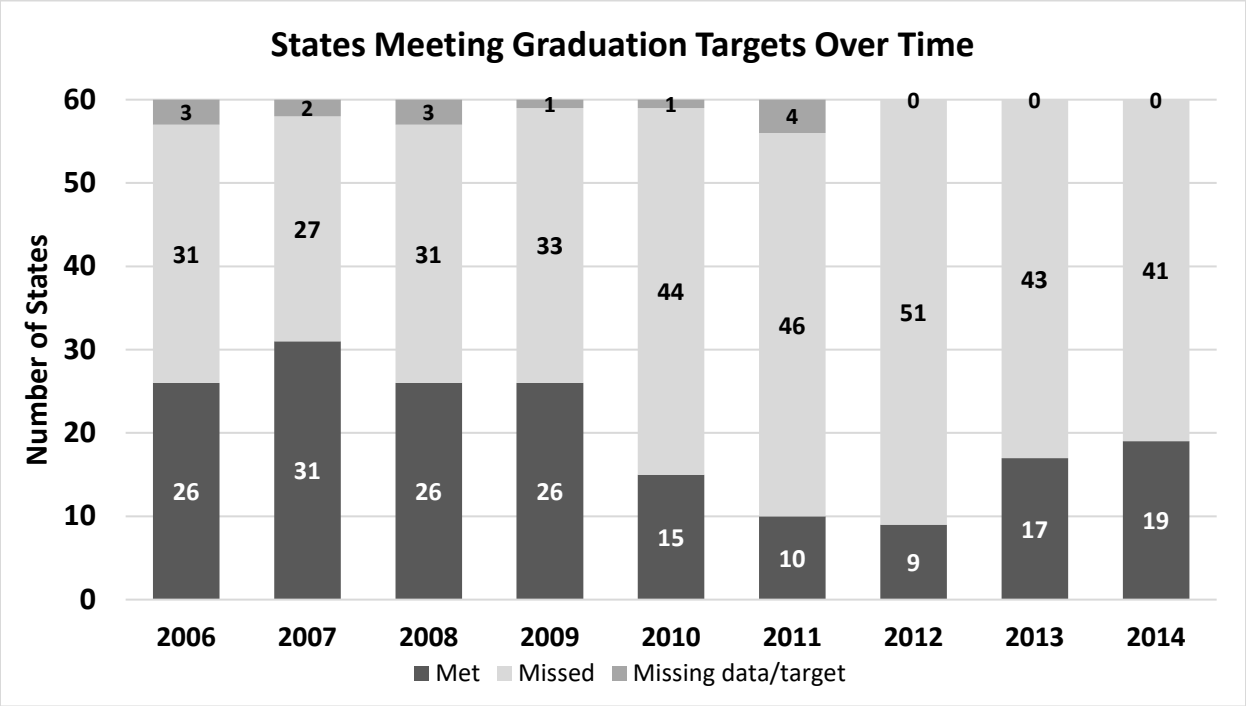


Figure 3

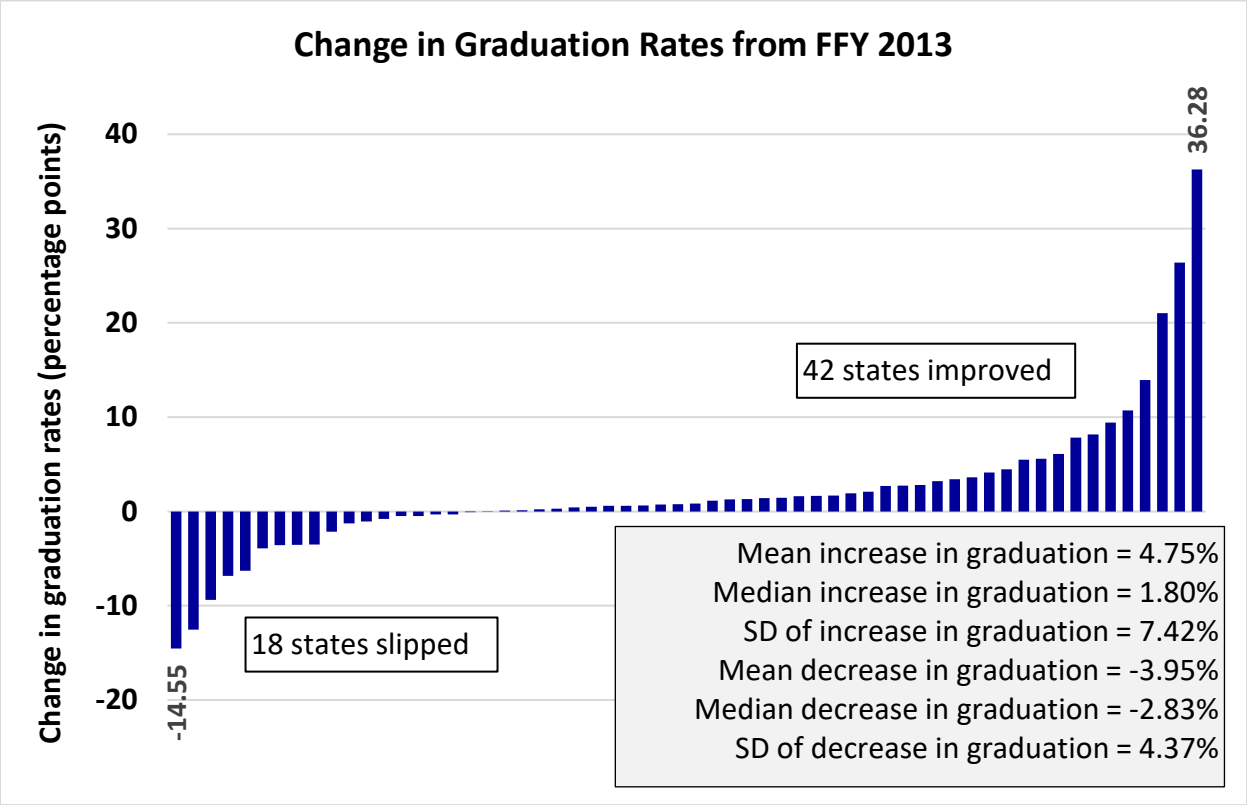


CHANGE IN DATA FROM LAST REPORTING YEAR

Figure 4 shows the change in states' graduation rates from FFY 2013 to FFY 2014. As may be seen, the degree of change this year ranged between –14.55 and 36.28%. Forty-two states (70%) made progress with graduation, improving their rates on average of 4.75%. Their median improvement was 1.80% and their standard deviation was 7.42%. Eighteen states (30%) reported a decrease (slippage) in their graduation rates from FFY 2013. Their mean amount of slippage was -3.95% with a median of -2.83% and a standard deviation of 4.37%.

It should be noted that, in states with very small numbers of students with disabilities, one or two students can have a fairly drastic impact on the state's overall graduation or dropout rate. As a result, rates in these small states tend to fluctuate considerably from year to year.

Figure 4



The majority of states established a baseline graduation rate using the adjusted cohort rate calculation in FFY 2011. Table 1 shows the numbers of states that established baselines in FFYs 2005 – 2013, by year.

Baseline Year	Count	Percentage of All States
2005	4	7%
2006	1	2%
2008	6	10%
2009	5	8%
2010	2	3%
2011	40	67%
2012	1	2%
2013	1	2%

Table 1
Number of States Establishing Baseline, by FFY 2014

Having a uniform method of calculation brings us much closer to being able to make valid comparisons of school-completion outcomes for youth with and without disabilities in this nation, as well as comparisons among the states. Confounding our ability to make valid comparisons, however, remains the considerable variation in graduation requirements across states. Additionally, the dearth of available information about the impact of local, regional and statewide improvement activities hinders our ability to recommend evidence-based practices that will actually improve school-completion outcomes on a statewide scale.

INDICATOR 2: DROPOUT RATE

Prepared by the National Technical Assistance Center on Transition (NTACT)

INTRODUCTION

The National Technical Assistance Center on Transition (NTACT) was assigned the task of analyzing and summarizing the data for Part B Indicator 2, Dropout Rate, from the FFY 2014 Annual Performance Reports (APRs) and amended State Performance Plans (SPPs), which were submitted by states to OSEP in the spring of 2016. The text of the indicator is as follows:

> Percent of youth with IEPs dropping out of high school.

This report summarizes NTACT's findings for Indicator 2 across the 50 states, commonwealths, and territories, and the Bureau of Indian Education (BIE), for a total of 60 agencies. For the sake of convenience, in this report the term "states" is inclusive of the 50 states, the commonwealths, the territories, and the BIE.

MEASUREMENT

The OSEP Part B Measurement Table for this submission offers states two options for calculating the dropout rate. Option 1 indicates that the data source for Indicator B-2 should be the same as used for reporting to the Department under IDEA section 618. States are instructed to, "Use 618 exiting data reported to the Department via EDFacts in file specification C009."

Under the Option 1 Measurement section, the table indicates that, "States must report a percentage using the number of youth with IEPs (ages 14-21) who exited special education due to dropping out in the numerator and the number of all youth with IEPs who left high school (ages 14-21) in the denominator.", and that sampling is not allowed.

Option 2 indicates that states should, "Use the annual event school dropout rate for students leaving a school in a single year determined in accordance with the National Center for Education Statistic's Common Core of Data." Data for this indicator are "lag" data (from the previous school year). States are instructed to describe the results of their examination of the data for the year before the reporting year (e.g., for the FFY 2014 SPP/APR, use data from 2013-2014), and compare the results to the target. Finally, states are instructed to, "Provide a narrative that describes what counts as dropping out for all youth and, if different, what counts as dropping out for youth with IEPs. If there is a difference, explain why."

CALCULATION METHODS

Comparisons of dropout rates among states are still confounded by the existence of multiple methods for calculating dropout rates and the fact that different states employ different calculations to fit their circumstances. The dropout rates reported in the FFY 2014 APRs were calculated using predominately the OSEP exiter calculation (Option 1) or an event rate calculation (Option 2), though several states employed a cohort-based rate calculation for the indicator.

The most frequently reported calculation was the event rate calculation, which provides a basic snapshot of a single year's group of dropouts. Event rates were employed by 35 states (58%) this year. Of these, 22 states (37%) reported an event rate for students enrolled in grades 9-12; six states (10%) reported using data for grades 7-12; six states (10%) reported for youth ages 14-21; and one state (2%) reported an event rate for grades 10-12. Event rate calculations consistently yield the lowest dropout rate of the calculations reported in these APRs. As shown in Figure 1, the mean dropout rate for these 35 states was 4.59%, a slight improvement from last year's mean of 4.89%. The median was 3.73% and the standard deviation was 3.77%.

The next most frequently reported type of calculation for FFY 2014 was Option 1, the OSEP exiter rate, which was employed by 20 states (33%). This calculation yields higher dropout rates than the other methods because it compares the number of youth with disabilities who drop out with all youth with disabilities who exited school by all methods (graduated; received a certificate; aged-out; transferred to regular education; moved, known to be continuing; died; or dropped out), as opposed to comparing the number of dropouts with the population of youth with disabilities who are enrolled in school or who are members of a particular cohort. While the exiter method of calculation tends to yield high dropout rates, it could offer a single, standard measure that would allow comparison of dropout rates across all states, as the §618 exiting data are reported in a standard manner by all states. Figure 2 shows that the mean dropout rate among these 20 states was 18.20%, down from 19.58% in FFY 2013. The median was 18.05% and the standard deviation was 9.68%.

The remaining five states (8%) reported using a cohort-based calculation, which generally results in higher dropout rates than do event-rate calculations, but lower than the exiter method. Cohort-based rates provide a very accurate picture of attrition from school over the course of four or more years. As the name suggests, the cohort method follows a group or cohort of individual students from 9th through 12th grades. Figure 3 shows the distribution of cohort-based dropout rates. The mean rate for this group of states was 13.51%, down a bit from 13.62% in FFY 2013, with a median of 13.05% and a standard deviation of 3.88%.

As noted above, Figures 1 – 3 show states' dropout rates, based on the method of calculation employed for the FFY 2014 APR. Please note that the Y-axis (vertical axis) scales differ among these three figures.

Figure 1

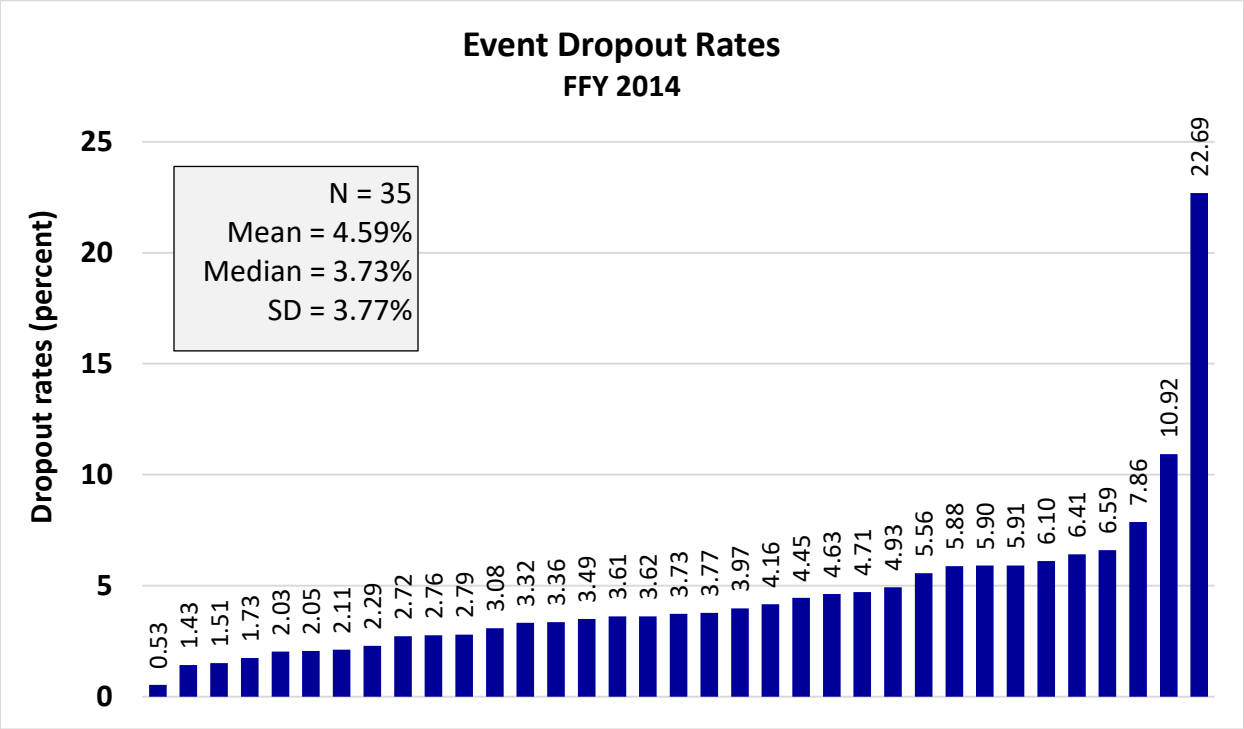


Figure 2

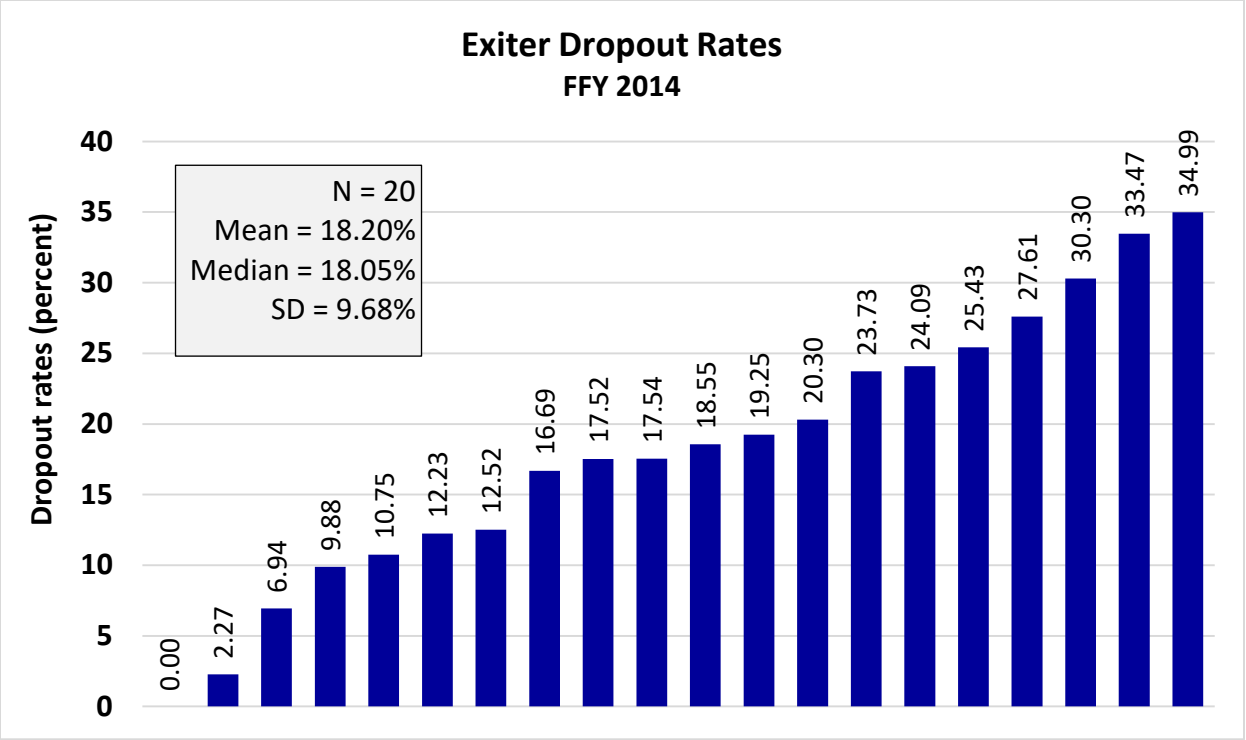
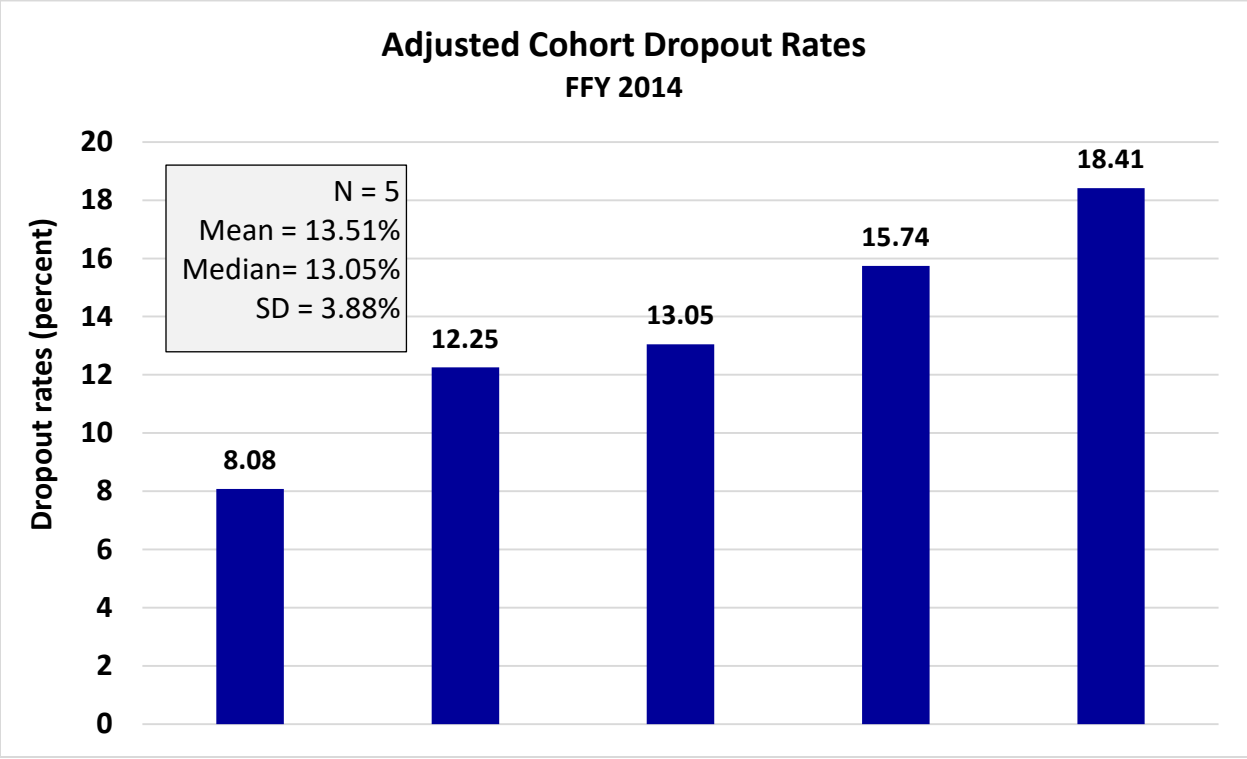


Figure 3



STATES' PERFORMANCE ON THE INDICATOR

Because states are not required to specify dropout-rate targets under ESEA, they have continued using their SPP targets for improvement. In FFY 2014, 38 states (63%) met their SPP performance target for Indicator B-2 and 22 states (37%) missed their target. This is a decrease in the number of states meeting targets from FFY 2013, when 49 states met their target. The decrease may be due, in part, to additional states having adopted the exiter calculation methodology. As the states become accustomed to the new calculation, they may refine their targets accordingly.

Over the years of the SPP, states have generally improved at setting realistic, achievable targets for improvement. Most states' performance was quite close to the target they had set, regardless of whether they met or missed that target. Figure 4 shows each state's distance above or below its reported dropout target in FFY 2014. Note: to meet the target on this indicator, a state's dropout rate must be at or below the target value specified in its SPP.

As shown in Figure 4, there were 44 states within plus or minus two percentage points of their stated target. The mean amount by which states beat their target was –1.88%. The median was –1.09% and the standard deviation was 2.15%. The mean amount by which states missed their dropout target was 2.88%. The median was 0.69% and the standard deviation was 5.68%.

Figure 4

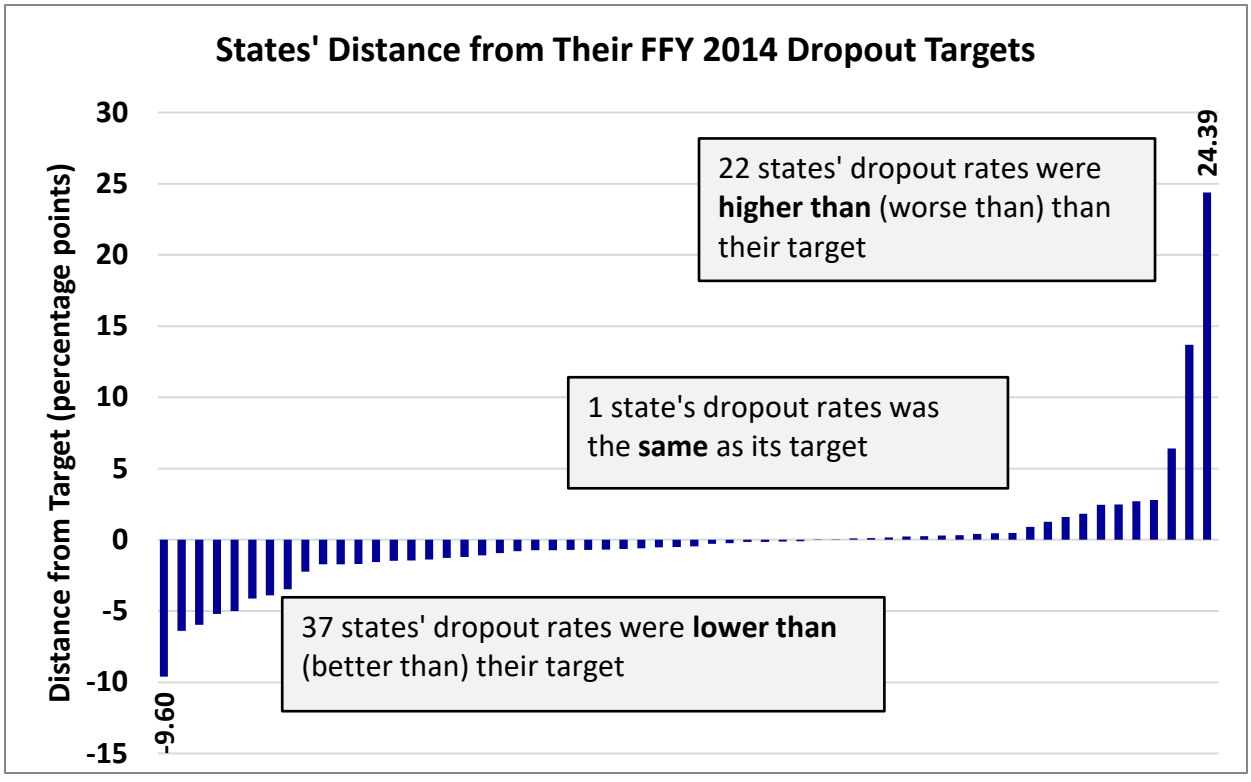


Figure 5 shows the numbers of states that have met/missed their dropout target across the years since FFY 2006.

Figure 5

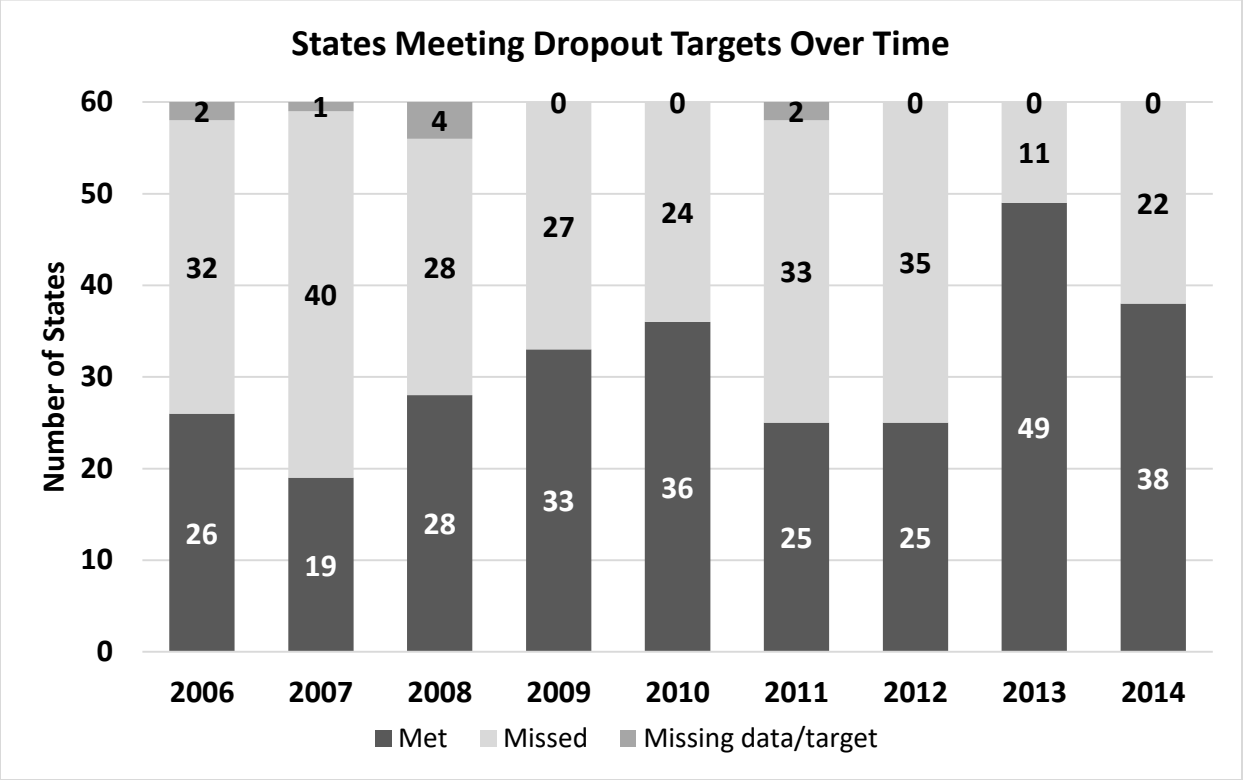
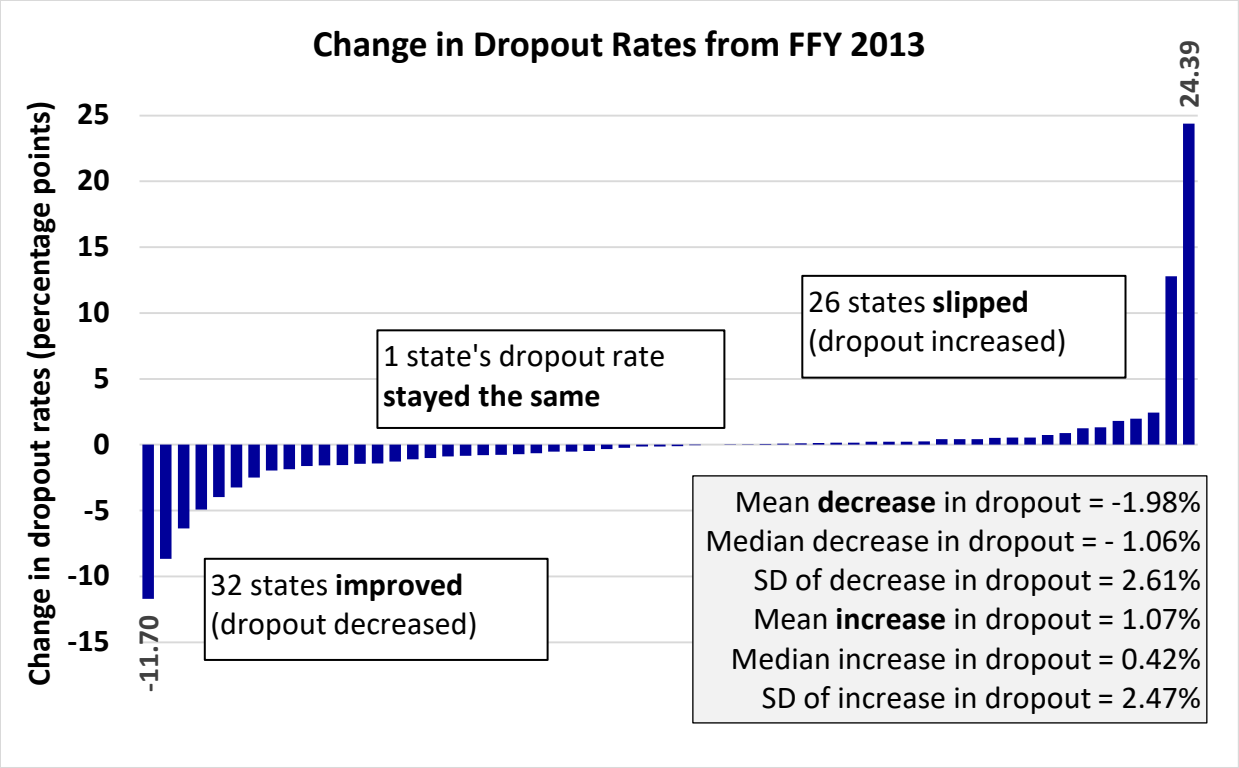


Figure 6 shows the change in states' dropout rates from FFY 2013 to FFY 2014. As may be seen, 32 states (53%) lowered their dropout rate in FFY 2014. This was fewer states than in FFY 2013, when the 36 states made progress. The mean amount of this improvement in FFY 2014 was –1.98%, with a median decrease in dropout of –1.06% and a standard deviation of 2.61%. During this same period, 26 states (43%) experienced slippage and saw their dropout rates increase. The mean amount of increase in these states' dropout rate was 1.07%, with a median value of 0.42% and a standard deviation of 2.47%. In one state (2%), dropout rates remained unchanged from the previous year. Finally, one state (2%) changed its measurement and was therefore not able to report the degree of change from last year.

It should be noted that, in states with very small numbers of students with disabilities, one or two students can have a fairly drastic impact on the state's overall graduation or dropout rate. As a result, rates in these small states tend to fluctuate considerably from year to year.

Figure 6


Change in Dropout Rates from FFY 2013
Change in dropout rates (percentage points)
25
20
15
10
5
0
-5
-10
-15
24.39
-11.70
1 state's dropout rate **stayed the same**
26 states **slipped** (dropout increased)
32 states **improved** (dropout decreased)
Mean **decrease** in dropout = -1.98%
Median decrease in dropout = - 1.06%
SD of decrease in dropout = 2.61%
Mean **increase** in dropout = 1.07%
Median increase in dropout = 0.42%
SD of increase in dropout = 2.47%

INDICATOR 3: ASSESSMENT

Prepared by the National Center on Educational Outcomes (NCEO)

INTRODUCTION

The National Center on Educational Outcomes (NCEO) reviewed the data provided by states for Part B Indicator 3 (Assessment), which includes both participation and performance of students with disabilities in statewide assessments. This indicator also includes a measure of the extent to which districts in a state are meeting the Elementary and Secondary Education Act (ESEA) Adequate Yearly Progress (AYP) or Annual Measureable Objective (AMO) targets for students with disabilities.

Indicator 3 information in this report is based on Annual Performance Report data from 2014-2015 state assessments. States submitted their data in July 2016 using baseline information and targets (unless revised at that time) submitted in their State Performance Plans (SPPs) first presented in 2005.

This report summarizes data and progress toward targets for the Indicator 3 subcomponents of (a) percent of those districts that meet the minimum "n" size for the disability subgroup meeting AYP/AMO targets for the disability subgroup, (b) state assessment participation of students with Individualized Education Programs (IEPs), and (c) state assessment performance based on the proficiency rate for students with IEPs. All information contained in this report is an analysis or summary of state data for a given content area (or overall for AYP/AMO) across grades 3 through 8, and one tested grade in high school. Because states disaggregated data to varying degrees, not all states are represented in all data summaries. For example, some states disaggregated by grade or grade band, or provided only information summed across grades for participation, performance, or both participation and performance. For AYP/AMO, some states provided this information only by content area, which could not be aggregated to an overall AYP/AMO rate.

DATA SOURCES

We obtained data for this report in July 2016 from a spreadsheet compiled by OSEP and placed in the GRADS360 Workgroup website. We entered these data into our working documents and then later verified data using state-submitted APRs. In instances of disagreement between the spreadsheet and the state-submitted APR, we used data from states' APRs for analyses. For the summaries in this report, we used only the data that states reported in their APRs for 2014-2015 assessments.

METHODOLOGY & MEASUREMENT APPROACHES

Three components comprise the data in Part B Indicator 3:

- 3A is the percent of districts with a disability subgroup that meets the state's minimum "n" size that meet the state's AYP/AMO targets for the disability subgroup
- 3B is the participation rate for children with IEPs who participate in the various assessment options (Participation)
- 3C is the proficiency rate for children with IEPs against grade-level and alternate achievement standards (Proficiency)

States provided data disaggregated to the level of these subcomponents, which included for components 3B and 3C the two content areas of Reading or English Language Arts and Mathematics. Some states disaggregated data by specific grade levels tested only, or by grade bands only. Some states provided these content-specific data by both disaggregating by grade and by providing an overall data point. Most states reported only an overall data point for each subcomponent.

PERCENT OF DISTRICTS MEETING STATE'S ADEQUATE YEARLY PROGRESS/ANNUAL MEASURABLE OBJECTIVE TARGETS (COMPONENT 3A)

Component 3A allows states to select either AYP data used for accountability reporting under Title I of ESEA or AMO data used for accountability reporting under Title I of ESEA as a result of ESEA flexibility.

AYP percent is defined for states as:

AYP Percent = [(# of districts with a disability subgroup that meets the State's minimum "n" size that meet the State's AYP targets for the disability subgroup) divided by (total # of districts that have a disability subgroup that meets the State's minimum "n" size)] times 100.

AMO percent is defined for states as:

> *AMO Percent = [(# of districts with a disability subgroup that meets the State's minimum "n" size that meet the State's AMO targets for the disability subgroup) divided by (total # of districts that have a disability subgroup that meets the State's minimum "n" size)] times 100.*

Summary data for this indicator were not calculated because only 10 states reported 2014-2015 AYP or AMO data. This was due, in part, to ESEA Flexibility Waivers allowing States to change from AYP to AMO data. This change resulted in the resetting of targets and data that could not be compared to previous year. Most states not reporting AYP or AMO data simply indicated that these data were not applicable in 2014-2015.

PARTICIPATION OF STUDENTS WITH DISABILITIES IN STATE ASSESSMENTS (COMPONENT 3B)

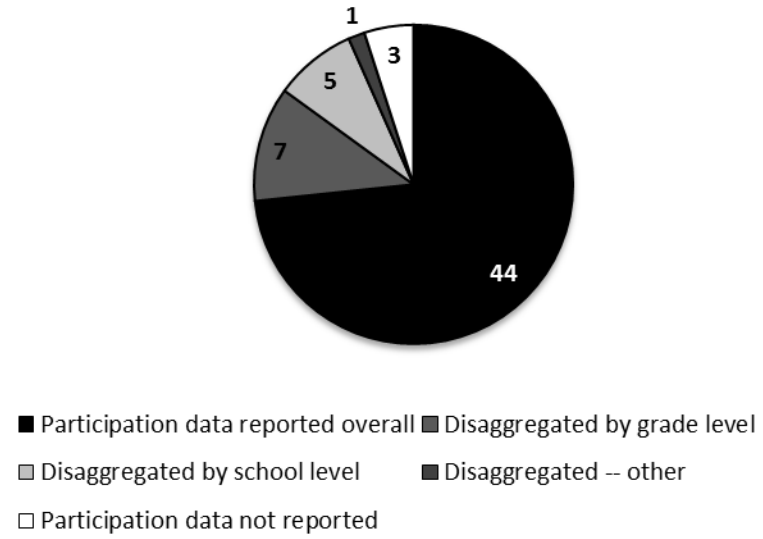
The participation rate for children with IEPs includes children who participated in the regular assessment with no accommodations, in the regular assessment with accommodations, in the alternate assessment based on grade-level achievement standards, and in the alternate assessment based on alternate achievement standards. Component 3B data (participation rates) were calculated by obtaining a single number of assessment participants and dividing by the total number of students with IEPs enrolled, as shown below:

> *Participation rate percent = [(# of children with IEPs participating in the assessment) divided by the (total # of children with IEPs enrolled during the testing window, calculated separately for reading and math)]. The participation rate is based on all children with IEPs, including both children with IEPs enrolled for a full academic year and those not enrolled for a full academic year.*

States also were asked to account for ALL children with IEPs, in all grades assessed, including children not enrolled for a full academic year. In this section, data and text address participation in reading and mathematics assessments separately.

Figure 1 shows the ways in which regular and unique states provided 2014-2015 participation data for reading and mathematics in their APRs. Thirty-five regular states and nine unique state entities (44 total) provided participation data summarized into single points for reading and for mathematics. Thirteen regular states reported participation data in their APRs in a way that the data could not be compared across states; these states did not provide an overall participation rate across all grades for each content area. Specifically, seven of the 13 states provided data disaggregated by grade, with grade-by-grade data points (for each of grades 3 to 8 and one in high school). Five states reported data by school level (elementary, middle school, and high school), with three states reporting a data point for each level, and two states reporting a data point for grades 3-8 and a data point for high school. One state reported data by test type (one data point for general assessment and one data point for alternate assessment). Three states failed to report participation data, including two regular states and one unique state entity.

Figure 1.
Ways in Which Regular and Unique States Provided 2014-2015 Participation Data



Six-Year Trend for Indicator 3B Reading

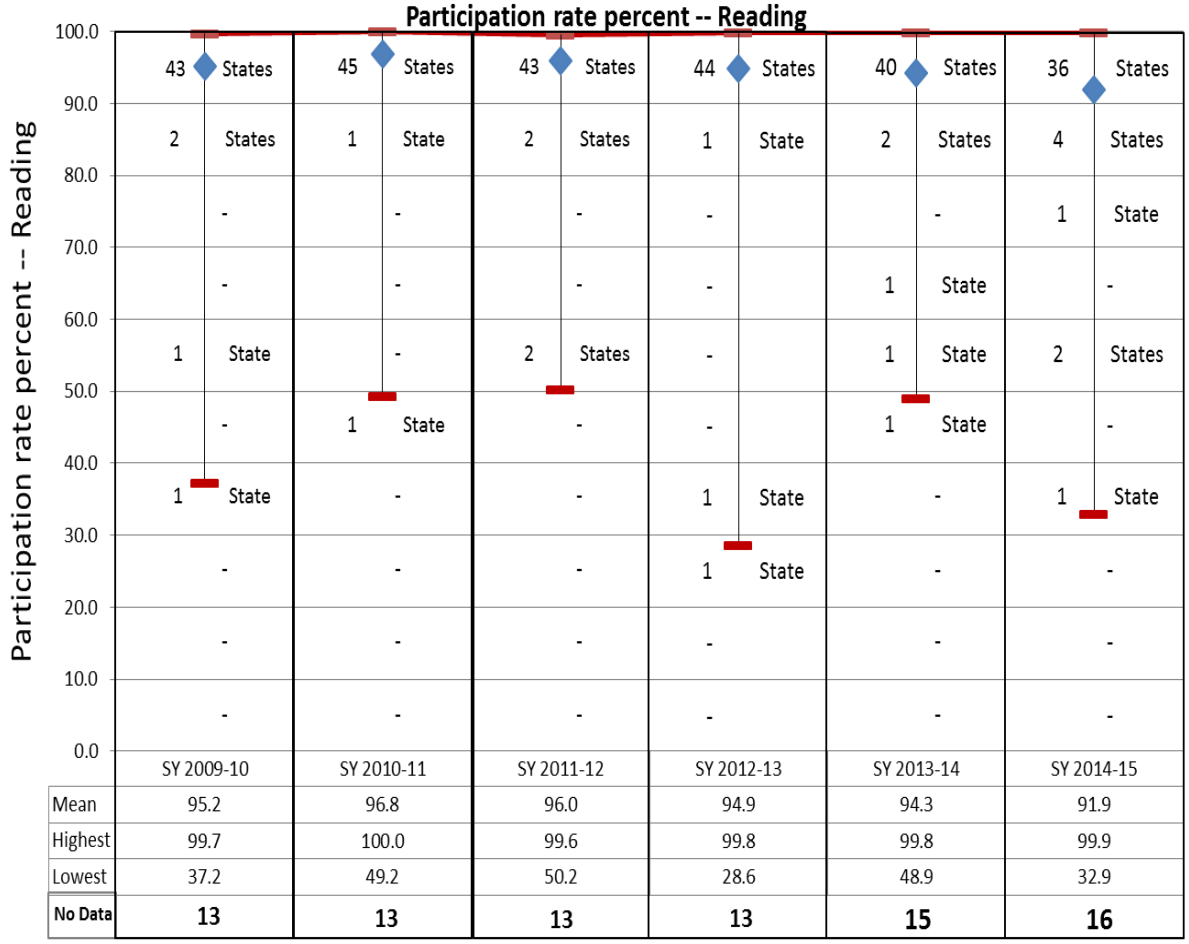
Figure 2 shows the six-year trend for states' participation rates in reading. The number of states reporting sufficient reading data to be included in the report across the years has typically been 47 states -- in four of the six years -- but then slightly decreased to 45 states (in 2013-2014), then to 44 states (in 2014-2015). Of the states that provided the overall reading participation data points, the average participation rate in 2014-2015 was 91.9%, which was the lowest mean across the past six years, from a high of 96.8% in 2010-2011 to a previous low of 94.3%. The average highest reading participation rate (averaging the six rates in Figure 2) was 99.9% and the average lowest participation rate across years was 41.2%. The highest participation rate for any single state was 100.0%, occurring in 2010-2011, and the lowest was 28.6%, occurring in 2012-2013.

Thirty-five regular and nine unique state entities provided data for participation on statewide reading assessments for students with disabilities across the past six years. The average participation rate for 2014-2015 reading assessments across all states (with sufficient data) was 91.9%, which is a decrease from 2013-2014 with 94.3%.

There was a decrease in the number of states reporting participation rates of more than 99.0% in 2014-2015 (only six regular state and no unique states did so); in 2013-2014, seven states and one unique state reported participation rates of more than 99.0%. Twenty-three states and entities reported rates between 95.0% and 99.0% in 2014-

2015, and 25 regular states and three unique states reported rates in that range in 2013-2014. Further, the number of states with participation rates below 90.0% increased from five in 2013-2014 to eight in 2014-2015.

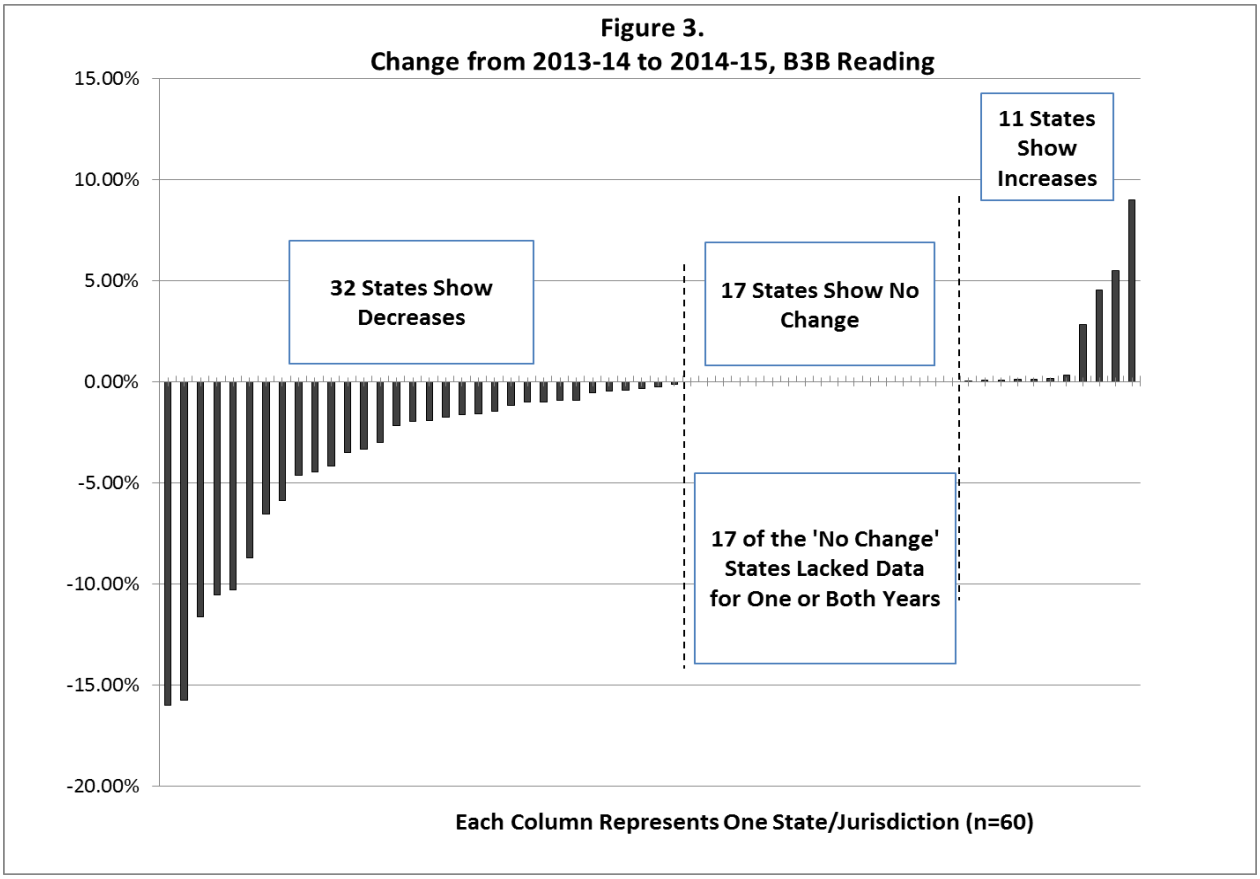
Figure 2.
Trends - Six Years of Indicator B3B Data:
Participation rate percent -- Reading



	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15
Mean	95.2	96.8	96.0	94.9	94.3	91.9
Highest	99.7	100.0	99.6	99.8	99.8	99.9
Lowest	37.2	49.2	50.2	28.6	48.9	32.9
No Data	**13**	**13**	**13**	**13**	**15**	**16**

Year-to-Year Comparison for Indicator 3B Reading

Thirty-four regular states and nine unique state entities (43 total) provided information for 2013-2014 and 2014-2015 that could be used in cross-year data comparisons; 16 regular states and one unique state entity did not report sufficient data. The average increase for the 43 states and entities was 2.07 percentage points. Of the 43 states and entities reporting sufficient data, 11 had an increase in their participation rates, with 4 states having an increase of 1.00 percentage points or more, and of that, two states had an increase of more than 5.00 percentage points. Thirty-two states and entities had a decrease, averaging 4.00 percentage points, the lowest decrease being less than 0.20 percentage points and the highest being 15.99 percentage points. Twenty-four states and entities reported having a change of 1.00 percentage points or more, and of them, only six showed a relatively large decrease ranging from 8.73 percentage points to 15.99 percentage points. Figure 3 shows the comparisons between 2013-2014 and 2014-2015 data.



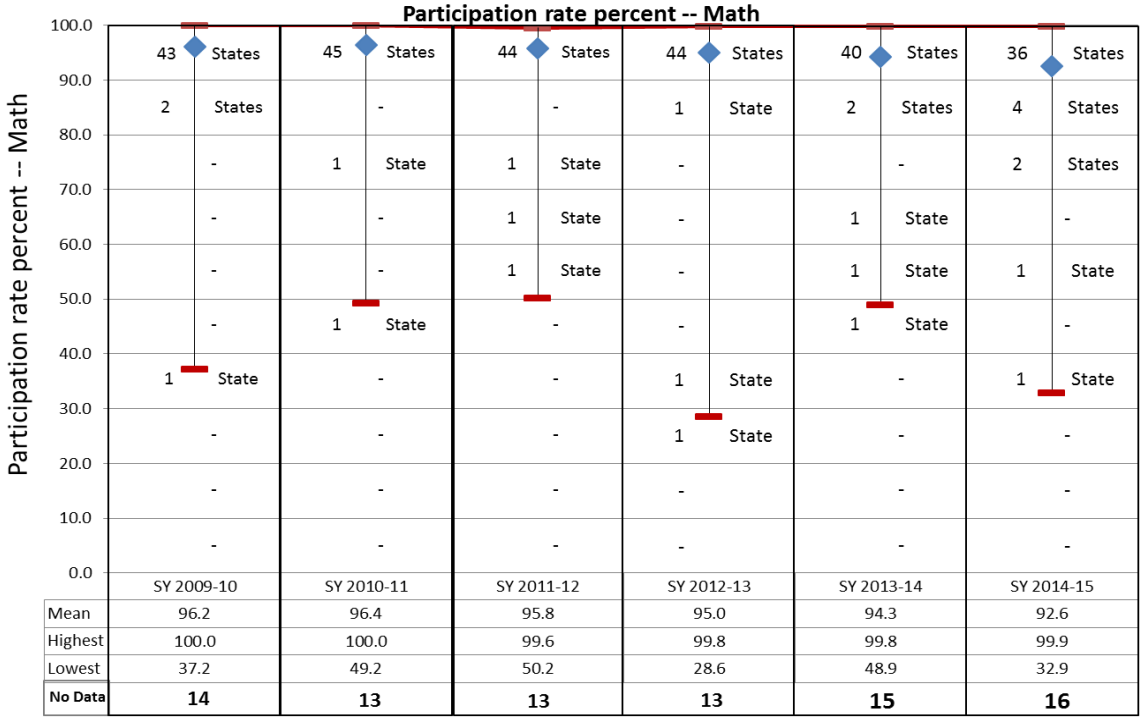
Six-Year Trend for Indicator 3B Mathematics

Figure 4 shows the six-year trend for states' participation rates in mathematics. The number of states reporting sufficient math data to be included in the report across years has typically been 47 states -- in three of the six years -- but then slightly decreased to 45 states (in 2013-2014), then to 44 states (in 2014-2015). This pattern was very similar to that of reading participation during the same years. Of the states that provided the overall math participation data points, the average participation rate in 2014-2015 was 92.6%, which was the lowest mean across the past six years, from a high of 96.4% in 2010-2011 to a previous low of 94.3% in 2013-2014. The average highest reading participation rate (averaging across the six years in Figure 4) was 99.8% and the average lowest math participation rate across years was 41.2%. This average lowest rate for math participation across years was identical to the corresponding average lowest reading participation rate. The highest participation rate for any single state was 100.0%, occurring in both 2009-2010 and 2010-2011, and the lowest was 28.6%, occurring in 2012-2013.

Thirty-four regular states and nine unique state entities provided data for participation on statewide math assessments for students with disabilities across the past six years. The average participation rate for SY 2014-2015 math assessments across all states (with sufficient data) was 92.6%, which is a decrease from SY 2013-2014 with 94.3%.

There was a slight decrease in the number of states reporting participation rates of more than 99.0% in 2014-2015 (only four regular states and no unique states did so); in 2013-2014, five regular states and one unique state reported participation rates of more than 99.0%. Twenty-three states and entities reported rates between 95.0% and 99.0% in 2014-2015, while 27 regular states and three unique states reported rates in that range in 2013-2014. Further, the number of states with participation rates below 90.0% increased from five in 2013-2014 to eight in 2014-2015.

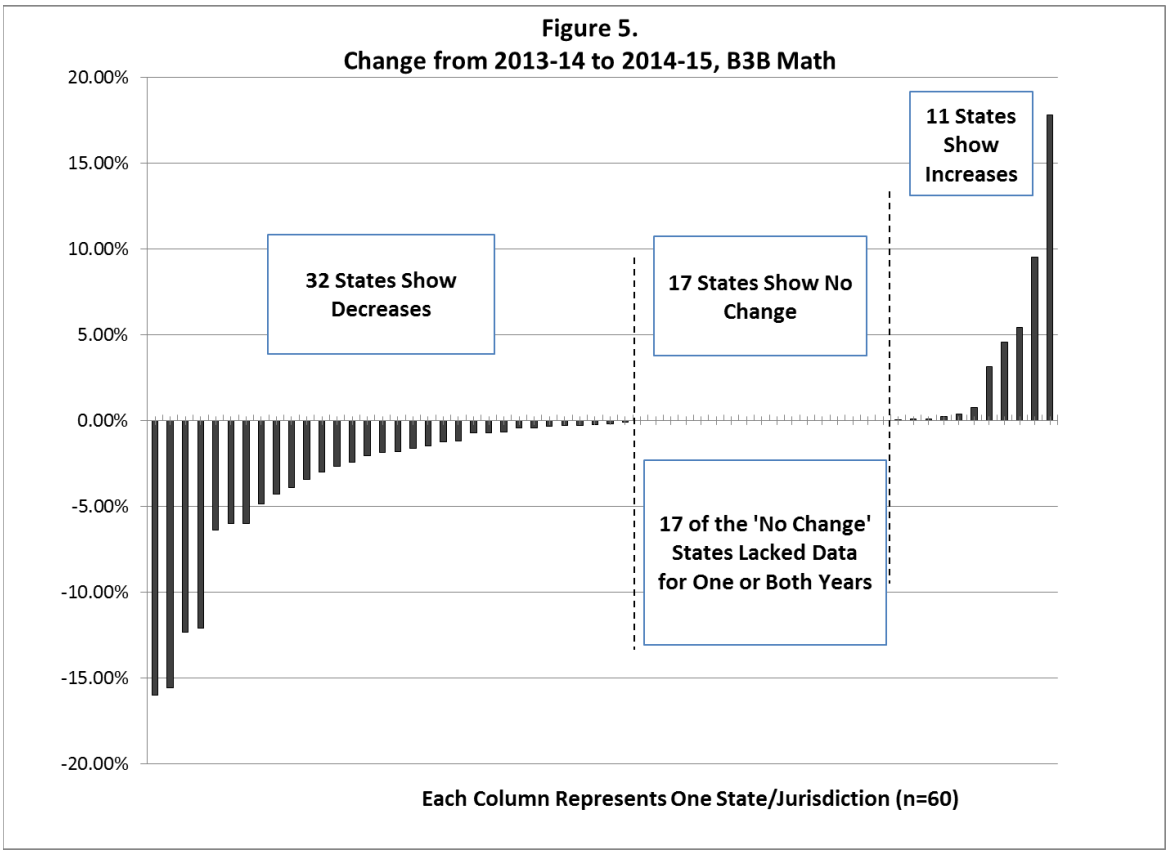
Figure 4.
Trends - Six Years of Indicator B3B Data:
Participation rate percent -- Math



	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15
Mean	96.2	96.4	95.8	95.0	94.3	92.6
Highest	100.0	100.0	99.6	99.8	99.8	99.9
Lowest	37.2	49.2	50.2	28.6	48.9	32.9
No Data	**14**	**13**	**13**	**13**	**15**	**16**

Year-to-Year Comparison for Indicator 3B Mathematics

Thirty-four regular states and nine unique state entities (43 total) provided information for SY 2013-2014 and 2014-2015 that could be used in cross-year data comparisons; 16 regular states and one unique state entity did not report sufficient data. The average increase for the 43 states and entities was 3.83 percentage points. Of the 43 states and entities reporting sufficient data, 11 had an increase in their participation rates, with five states having an increase of 1.00 percentage points or more, and of that, three states had an increase of more than 5.00 percentage points. Thirty-two states and entities had a decrease, averaging 3.59 percentage points, the lowest being less than 0.20 percentage points and the highest being 15.99 percentage points. Twenty-one states and entities reported having a change of 1.00 percentage points or more, and of them, only four showed a relatively large decrease of 12.11 percentage points to 15.99 percentage points. Figure 5 shows the comparisons between 2013-2014 and 2014-2015 data.



PERFORMANCE OF STUDENTS WITH DISABILITIES ON STATE ASSESSMENTS (COMPONENT 3C)

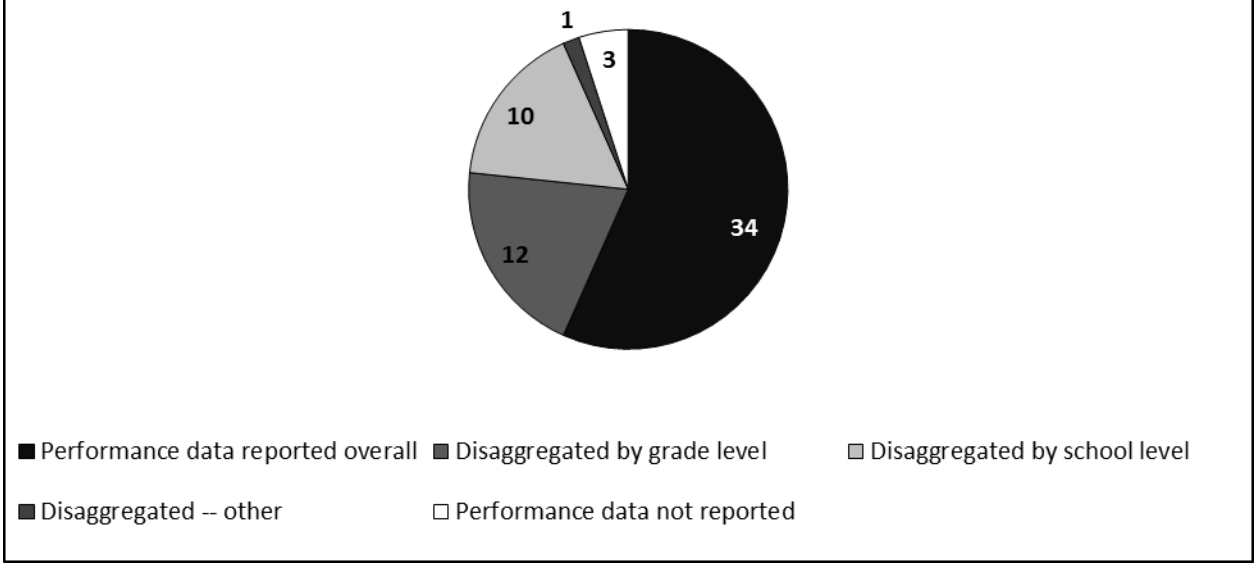
State assessment performance of students with IEPs includes the rates of those children achieving proficiency on the regular assessment with no accommodations, the regular assessment with accommodations, the alternate assessment based on grade-level achievement standards, and the alternate assessment based on alternate achievement standards. Component 3C data (proficiency rates) were calculated by obtaining a single number of assessment participants who are proficient or above as measured by the assessments and dividing by the total number of students with IEPs enrolled in assessed grades, as shown below:

> *Proficiency rate percent = ([(# of children with IEPs enrolled for a full academic year scoring at or above proficient) divided by the (total # of children with IEPs enrolled for a full academic year, calculated separately for reading and math)].*

Twenty-five regular states and nine unique states (34 total) reported 2014-2015 reading assessment proficiency data. The same 25 regular states and nine unique states reported 2014-2015 mathematics assessment proficiency data. Performance data are examined separately for reading and mathematics in this section.

Figure 6 shows the ways in which regular and unique state entities provided 2014-2015 performance data for reading and mathematics in their APRs. Twenty-five regular states and nine unique state entities provided data summarized into single points for mathematics and for reading performance. Twenty-five regular states and one unique state entity reported performance data in their APRs in a way that the data could not be compared across states. Specifically, 12 of the 26 provided data disaggregated by grade, with grade-by-grade data points. Ten states reported data by school level (elementary, middle school, and high school), with five states reporting a data point for each level, and five states reporting a data point for grades 3-8 and a data point for high school. One state reported data by test type (one data point for general assessment and one data point for alternate assessment). Three states failed to report participation data, including two regular states and one unique state entity.

Figure 6.
Ways in Which Regular and Unique States Provided 2014-2015 Performance Data

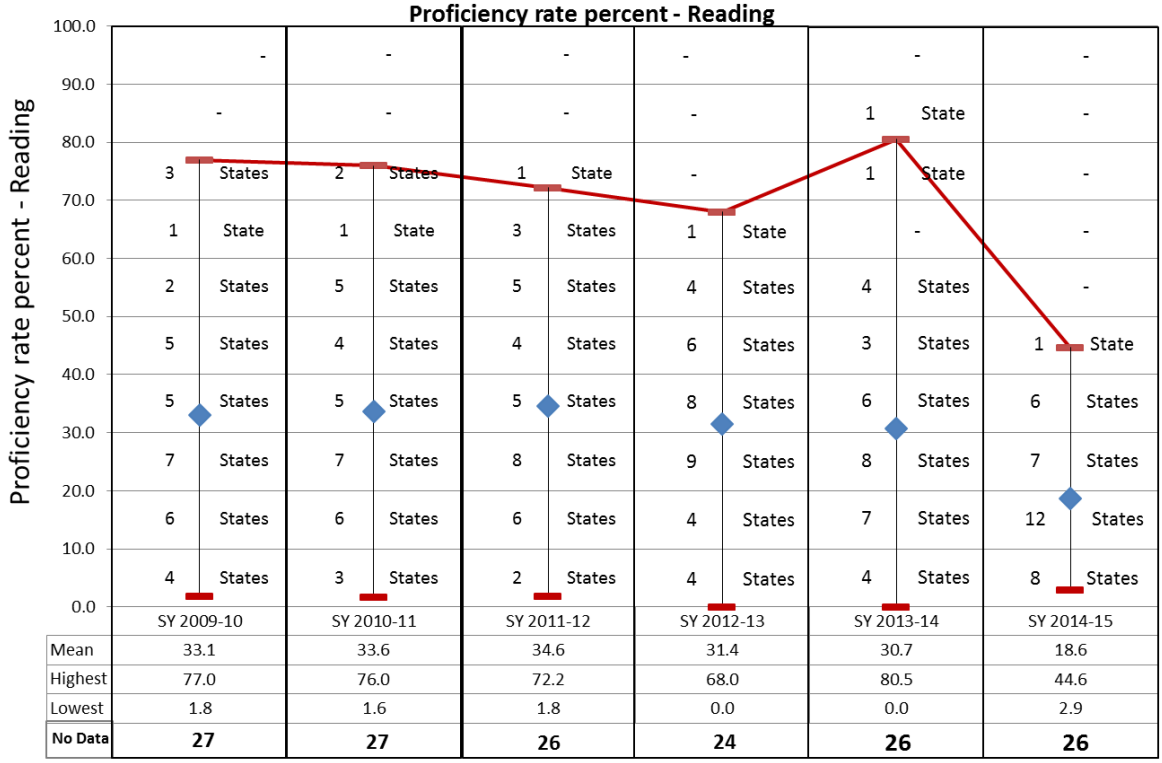


Six-Year Trend for Indicator 3C Reading

Figure 7 shows the six-year trend for states' performance rates in reading in 2009-2010 to 2014-2015. During the six years, between 33 and 36 regular states and state entities reported actual performance data point that averaged across the grade and school levels for reading. Of the 26 states in 2014-2015 not reporting the summary data point, 23 states provided the raw data (by grade or school level) but did not calculate an overall reading performance average. For the states that did provide an overall data point, the average in 2014-2015 was 18.6%, which was the lowest mean in the past six years. The reading performance average had been increasing until 2011-2012, when it

was 34.6%, but has since decreased, with the most marked decrease being between 2013-2014 and 2014-2015. The largest influence on the 2014-2015 reading performance average was that no states had rates above the fifth decile (above 50%). The highest proficiency for any single state had also been declining, from about 77.0% in 2009-2010 to about 68.0% in 2012-2013, until it increased in 2013-2014 to nearly 81.0%. In 2014-2015, the highest reading performance rate was about 45.0%. The lowest proficiency rate has been about one to two percent, until 2012-2013 when it was 0.0%, but then it increased to 2.9% in 2014-2015.

Figure 7.
Trends - Six Years of Indicator B3C Data:
Proficiency rate percent - Reading

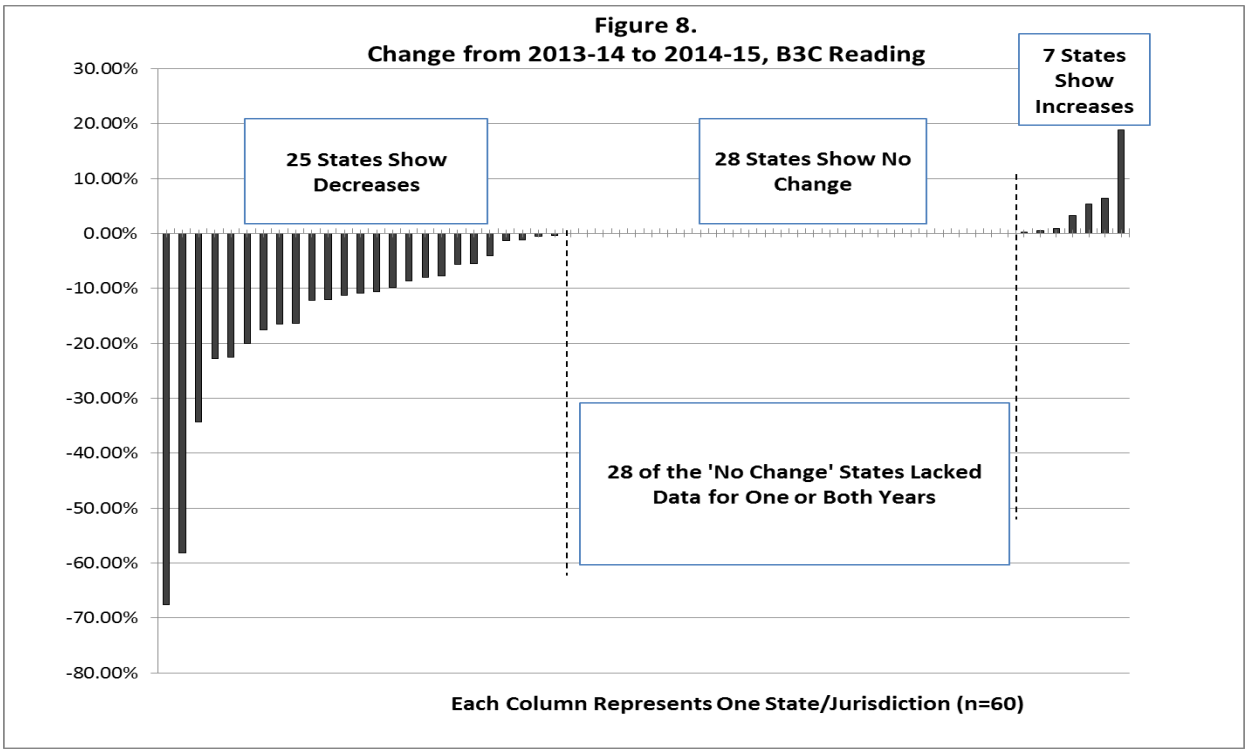


	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15
	-	-	-	-	-	-
	-	-	-	-	1 State	-
	3 States	2 States	1 State	-	1 State	-
	1 State	1 State	3 States	1 State	-	-
	2 States	5 States	5 States	4 States	4 States	-
	5 States	4 States	4 States	6 States	3 States	1 State
	5 States	5 States	5 States	8 States	6 States	6 States
	7 States	7 States	8 States	9 States	8 States	7 States
	6 States	6 States	6 States	4 States	7 States	12 States
	4 States	3 States	2 States	4 States	4 States	8 States
Mean	33.1	33.6	34.6	31.4	30.7	18.6
Highest	77.0	76.0	72.2	68.0	80.5	44.6
Lowest	1.8	1.6	1.8	0.0	0.0	2.9
No Data	**27**	**27**	**26**	**24**	**26**	**26**

Year-to-Year Comparison for Indicator 3C Reading

Twenty-five regular states and nine unique states (34 total) provided data for student proficiency on statewide reading assessments for students with disabilities for 2014-2015. The average proficiency rate for 2014-2015 reading assessments was 18.64%, which is a decrease from SY 2013-2014 when it was 30.67%.

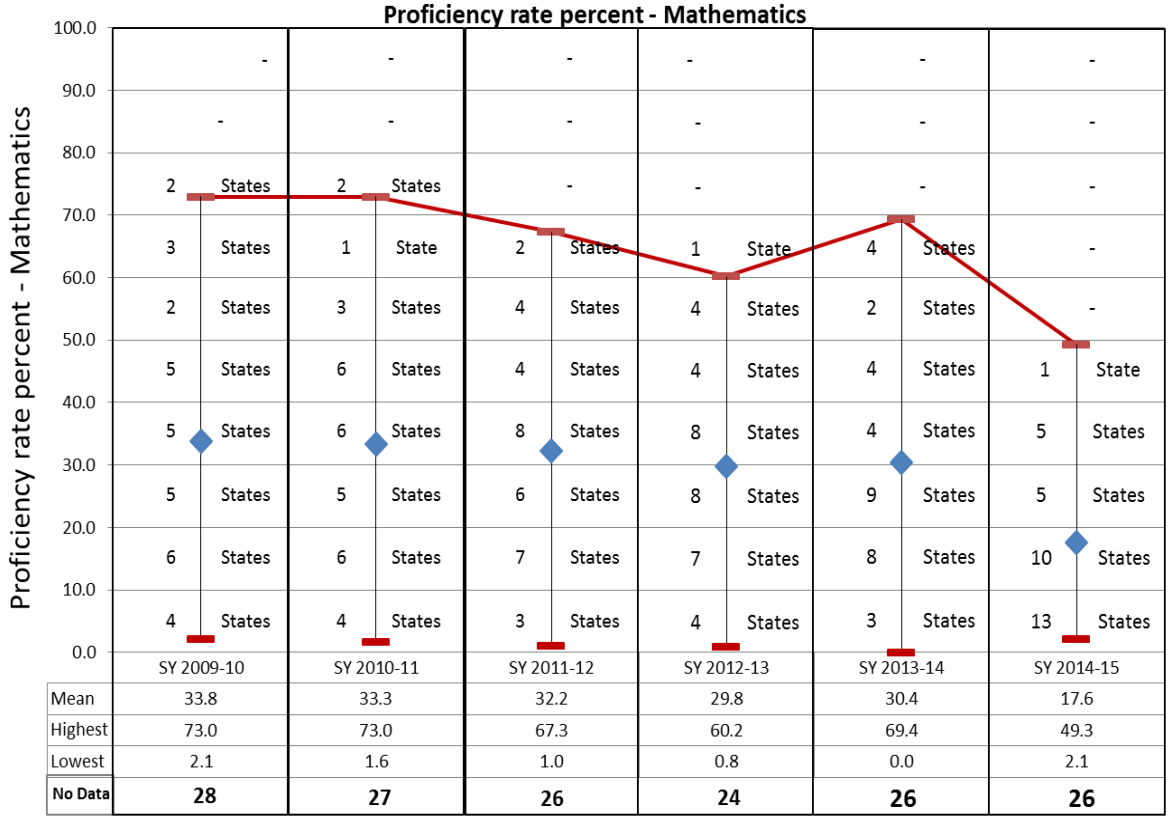
For comparison purposes between the two years, 24 regular states and eight unique state entities (32 total) reported overall information for reading performance in both 2013-2014 and 2014-2015. Only seven of these states showed year-to-year increases, from 2013-2014 to 2014-2015, ranging from 0.24 percentage points to 18.86 percentage points, with an average of 5.09 percentage points increase. Thus, four of those seven states exceeded the previous year's data by less than 4.00 percentage points and the other three states exceeded by 5.44 percentage points to 18.86 percentage points. Year-to-year decreases were experienced by 25 states, ranging from 0.34 percentage points to 67.64 percentage points, with an average of 15.42 percentage points. In other words, about 78.0% of the states providing data for 2014-2015 had data lower than their 2013-2014 data, and five of those 25 states were lower by less than 5.00 percentage points; the other 20 states were lower by 5.44 percentage points to 67.64% percentage points. In sum, nearly four times more states had lower reading proficiency than had higher proficiency in 2014-2015 compared to 2013-2014, and the average decrease was over three times larger than the average increase. Twenty-six regular states and two unique state entities were missing specific data points, making change observations not possible, which was nearly half of all regular states and state entities as a whole. Figure 8 shows the comparisons for 2013-2014 and 2014-2015 reading performance data.



Six-Year Trend for Indicator 3C Mathematics

Figure 9 shows the six-year trend for states' performance rates in math. During the six years, between 32 and 36 regular states and state entities reported an actual performance data point that averaged across the grade levels for math. Of the 26 states in 2014-2015 not reporting the summary data point, 23 states provided the raw data (by grade or school level) but did not calculate an overall mathematics performance average. For the states that did provide an overall data point, the average in 2014-2015 was 17.6%, which was the lowest mean in the past six years by more than ten percent. The highest proficiency rate averaged 65.4% across the six years, ranging between 49.3% and 73.0%, with the highest state's rate in 2014-2015 being 49.3%. The lowest proficiency rate ranged between about 1.0% and 2.0%, until 2013-2014 when it was 0.0%, but then it increased to 2.1% in 2014-2015. About 22 states (64.7% of states reporting data) had math proficiency rates below the average, and only 12 states (35.3% of states reporting data) had rates above the average; this is the largest difference between below average states and above average states during the six years.

Figure 9.
Trends - Six Years of Indicator B3C Data:
Proficiency rate percent - Mathematics



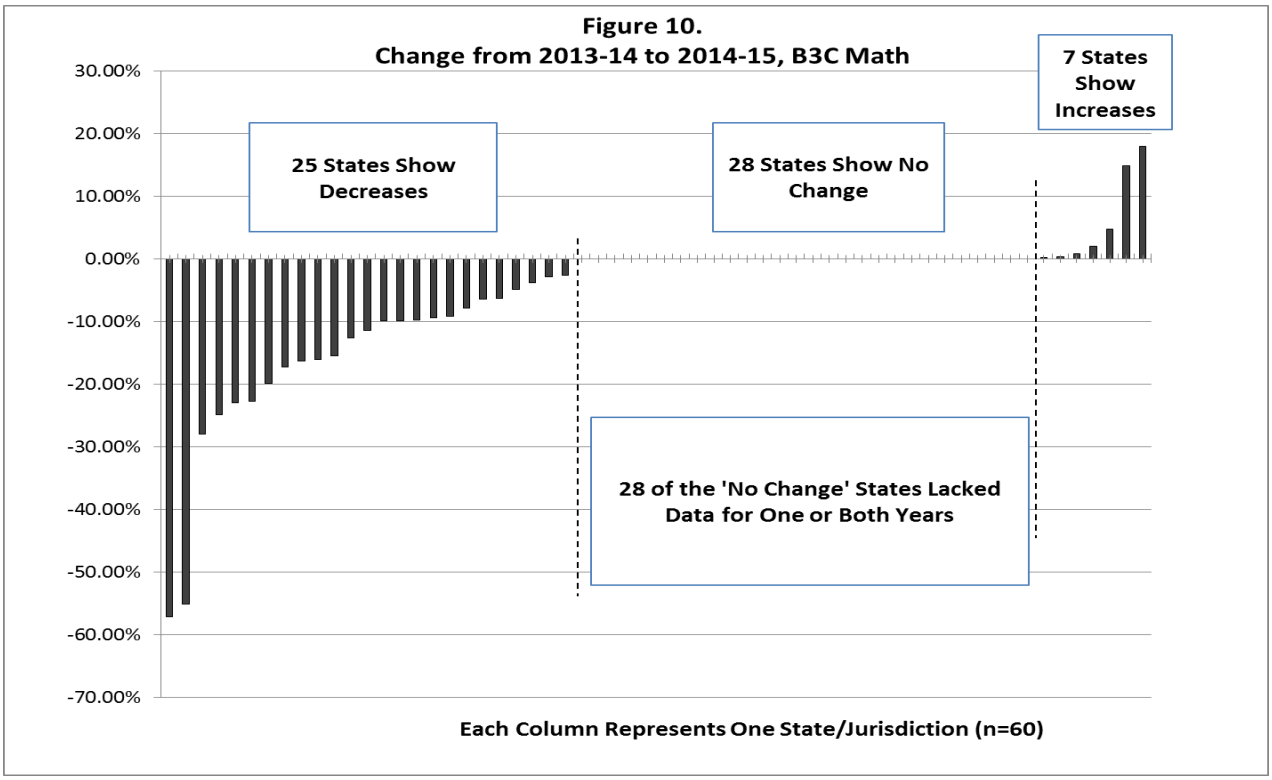
	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15
Mean	33.8	33.3	32.2	29.8	30.4	17.6
Highest	73.0	73.0	67.3	60.2	69.4	49.3
Lowest	2.1	1.6	1.0	0.8	0.0	2.1
No Data	**28**	**27**	**26**	**24**	**26**	**26**

Year-to-Year Comparison for Indicator 3C Mathematics

Twenty-five regular states and nine unique states (34 total) provided data for student proficiency on statewide mathematics assessments for students with disabilities in 2014-2015. The average proficiency rate for 2014-2015 math assessments was 17.56%, which is a decrease from SY 2013-2014 when it was 30.35%.

For comparison purposes between the two years, 24 regular states and eight unique state entities (32 total) reported overall information for math performance in both 2013-2014 and 2014-2015. Only seven of these states showed year-to-year increases, ranging from 0.23 percentage points to 18.01 percentage points, with an average of a 5.89 percentage point increase. Thus, about five of the seven states exceeded the 2013-2014 data by less than 5.00 percentage points; the other two states exceeded by 14.91 percentage points and 18.01 percentage points. Year-to-year decreases were experienced by 25 states, ranging from 2.66 percentage points to 57.20 percentage points, with an average 16.12 percentage point decrease; four of those 25 states were lower by less than 5.00 percentage points, and the other 21 states were lower by 6.36

percentage points to 57.20 percentage points. Nearly four times more states had lower reading proficiency than had higher proficiency in 2014-2015 compared to 2013-2014, and the average decrease was over three times larger than the average increase. Twenty-six regular states and two unique state entities were missing specific data points, making change observations not possible for 28 states, nearly half of all regular states and state entities as a whole. Figure 10 shows the comparisons for 2013-2014 and 2014-2015 math performance data.



CONCLUSION

It is not possible to say anything about states' AYP/AMO data because only 10 states provided this information. Most states indicated that this subcomponent of Indicator 3 was not applicable.

Participation rates continued to be primarily decreasing across six years for both reading and mathematics. The chief difference across six years of data was that there was a progressively lower proportion of states with participation rates above 90%, and a corresponding larger proportion of states below 90%, with these trends accelerating in the last two reporting years. When comparing participation data from 2013-2014 to 2014-2015, about 25 percent of states reporting data for reading and math showed increases, and 75 percent of states reporting data showed decreases. Nearly all of these states showed participation increases or decreases of less than 10 percent, with

less than one quarter of these states having changes (increases or decreases) exceeding five percent. About 28 percent of states lacked participation data for one or both years.

Performance of students with disabilities on state assessments showed comparatively small changes on average across the previous five of six years for both reading and mathematics, but then the states' average dropped by more than 10 percent for 2014-2015. The chief differences across six years of data were at the upper and lower ends of the range. Specifically, the highest scores had been decreasing, then increased in 2013-2014, but then decreased precipitously in 2014-2015. The lowest reading and math proficiency scores changed little in percentage, yet substantially more states had proficiency below 20.0%. The range, between the highest and lowest state's proficiency rate, decreased by between 10 (in math) to more than 25 percentage points (in reading).

When comparing the reading and math performance data from 2013-2014 to 2014-2015, there were quite different proficiency levels from one year to the next. Just over one-fifth of states reporting data showed increases in reading or math proficiency, with the remaining states with data reporting decreases. Nearly all states with year-to-year increases reported increases of less than 10 percentage points. Of the states reporting year-to-year decreases, more of them (about 60%) showed decreases exceeding 10 percentage points. Nearly half of all states lacked data for one or both years.

States explained the performance decreases in their APRs. In total, 23 states had year-to-year decreases in both reading and math proficiency from the 2013-2014 school year to the 2014-2015 school year. Two additional states had decreases in reading only, and two other states had decreases in math only. Of these 27 states, 18 reported that the performance decreases were related to new and more rigorous testing; 13 states reported new general assessments, one state reported new alternate assessments, and four states reported both new general and alternate assessments. One additional state did not explicitly explain its performance decreases, but noted that it had a new assessment for which assessment participation problems were attributed. Two other states reported that their performance decreases were related to the termination of the alternate assessment based on modified achievement standards (AA-MAS) in 2013-2014, and one of these states indicated that all of these students were assigned to take the state general assessment, while the other state reported that these students were assigned to take either the general assessment or the alternate assessment. Three other states reported that performance decreases were attributable to other changes in the testing system. Separately, one state reported that the performance decreases were not due to testing at all, but rather to ongoing opportunity-to-learn challenges that are being addressed in the state's State Identified Measurable Result (SIMR) in the their

State Systemic Improvement Plan. Finally, two states did not provide any information about their performance decreases.

INDICATOR 4: RATES OF SUSPENSION AND EXPULSION

Prepared by *IDEA* Data Center (IDC)

INTRODUCTION

For Indicator B4A, states must report:

- The percent of districts that have a significant discrepancy in the rate of suspensions and expulsions of greater than 10 days in a school year for children with IEPs.

For Indicator B4B, states must report:

- The percent of districts that have: (a) a significant discrepancy, by race or ethnicity, in the rate of suspensions and expulsions of greater than 10 days in a school year for children with IEPs; and (b) policies, procedures, or practices that contribute to the significant discrepancy and do not comply with requirements relating to the development and implementation of IEPs, the use of positive behavioral interventions and supports, and procedural safeguards.

To determine whether a significant discrepancy exists for a district, states must use one of two comparison options. States may either:

1) Compare the rates of suspensions and expulsions of greater than 10 days in a school year for children with IEPs among districts in the state, or
2) Compare the rates of suspensions and expulsions of greater than 10 days in a school year for children with IEPs in each district to the rates for nondisabled children in the same district.

DATA SOURCES

Both B4A and B4B require states to use data collected for reporting under Section 618 (i.e., data reported in ED*Facts* file C006 - Children with Disabilities (IDEA) Suspensions/Expulsions). For FFY 2014 APRs, states were required to analyze discipline data from school year 2013–14. States are permitted to set targets for B4A; B4B, however, is considered a compliance indicator, and targets must be set at 0 percent.

IDC reviewed FFY 2014 APRs from a total of 60 entities, including the 50 states, the District of Columbia, the outlying areas, and the Bureau of Indian Education (BIE). All 60 entities were required to report on B4A; however, only the 50 states, the District of Columbia, and the Virgin Islands were required to report on B4B, resulting in a total of 52 entities. For the remainder of this summary, we refer to all 60 entities as states.

METHODOLOGY AND MEASUREMENT APPROACHES

This section describes the comparison options and methods that states used to determine significant discrepancy and the percentages of districts that states excluded from their analyses as a result of minimum cell size requirements.

Comparison Option Used for Determining Significant Discrepancy

States are required to use one of two comparison options when determining significant discrepancies for B4A and B4B. States can either: (1) compare the rates of suspensions/expulsions for children with disabilities among districts within the state, or (2) compare the rates of suspensions/expulsions for children with disabilities to the rates for children without disabilities within each district. We refer to these as Comparison Option 1 and Comparison Option 2, respectively. Figures 1 and 2 present the number of states that used each option for B4A and B4B, respectively, in 2012–13 and 2013–14.

Figure 1
Number of states that used Comparison Option 1 or Comparison Option 2 to determine significant discrepancy for B4A: 2012–13 and 2013–14

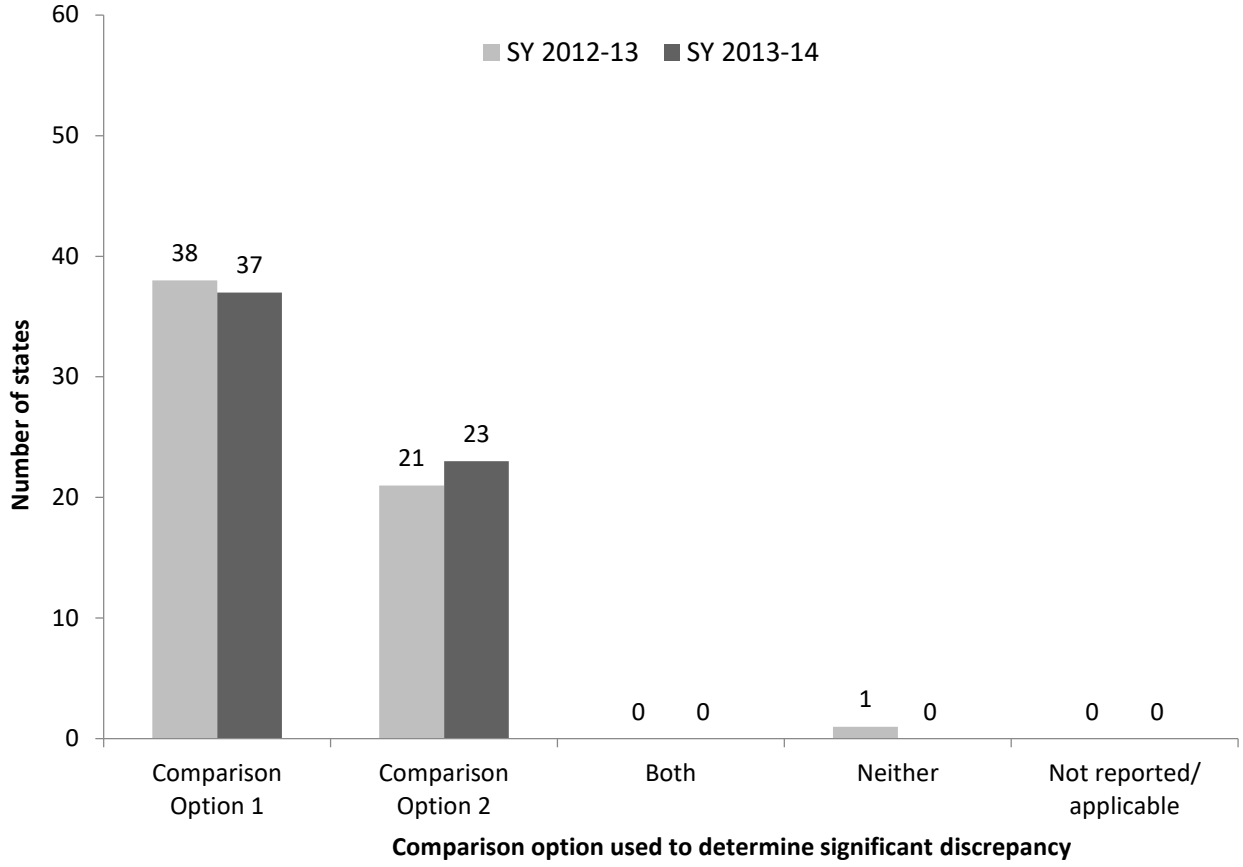
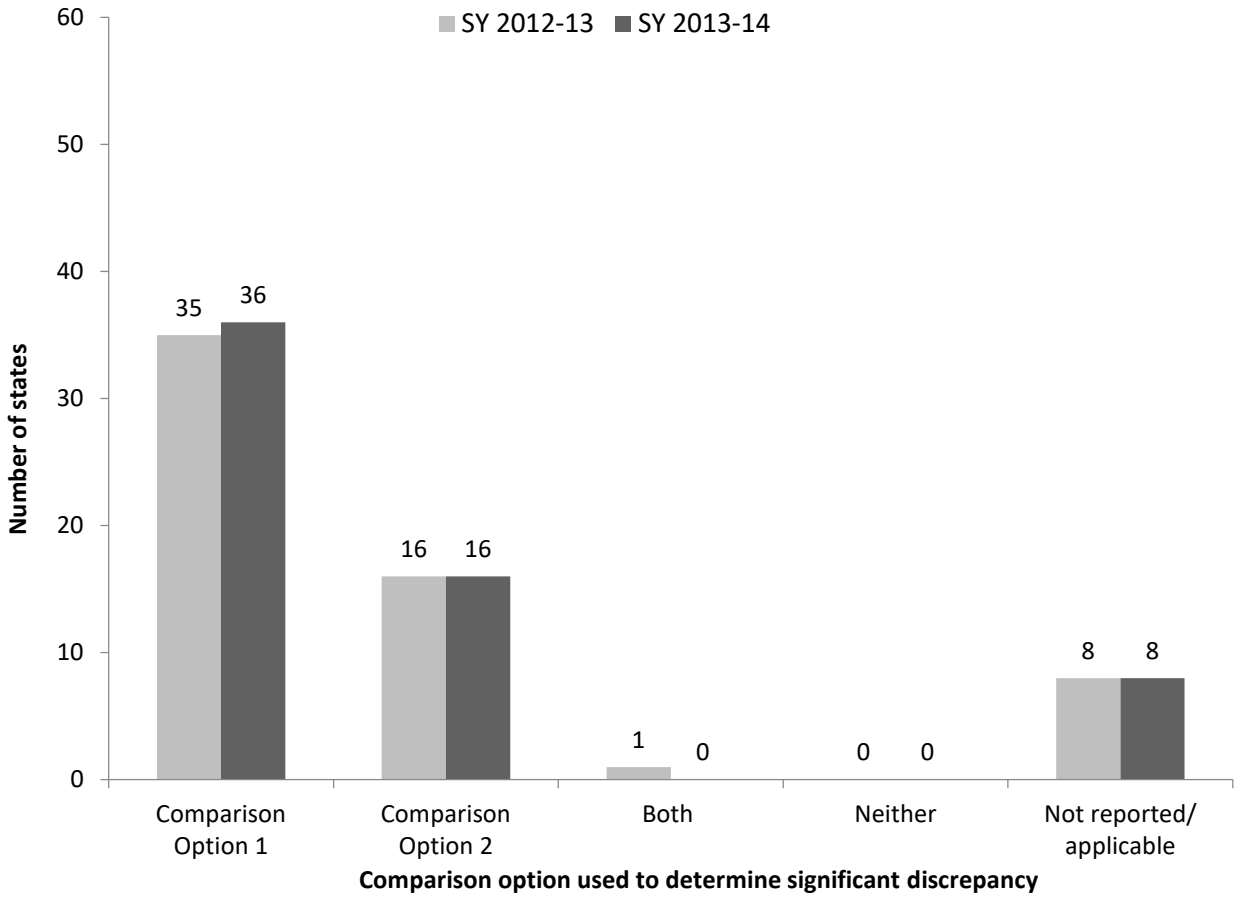


Figure 2
Number of states that used Comparison Option 1 or Comparison Option 2 to determine significant discrepancy for B4B: 2012–13 and 2013–14



Methods Used for Calculating Significant Discrepancy
Within each of these two comparison options, states can use a variety of methods to calculate significant discrepancy. Figures 3 and 4 present the calculation methods used by states for B4A and B4B, respectively, for 2012–13 and 2013–14, where:

Comparison Option 1:

- **Method 1:** The state used the state-level suspension/expulsion rate for children with disabilities to set the bar and then compared the district-level suspension/ expulsion rates for children with disabilities (B4A) or for children with disabilities from each racial/ethnic group (B4B) to the bar.
- **Method 2:** The state used percentiles to set the bar and then compared the district-level suspension/expulsion rates for children with disabilities (B4A) or for children with disabilities from each racial/ethnic group (B4B) to the bar.

- **Method 3:** The state used standard deviations to set the bar and then compared the district-level suspension/expulsion rates for children with disabilities (B4A) or for children with disabilities from each racial/ethnic group (B4B) to the bar.
- **Method 4:** The state used a rate ratio to compare the district-level suspension/ expulsion rates for children with disabilities (B4A) or for children with disabilities from each racial/ethnic group (B4B) to the state-level suspension/expulsion rate.

Comparison Option 2:

- **Method 5:** The state used a rate ratio to compare the district-level suspension/ expulsion rate for children with disabilities (B4A) or children with disabilities from each racial/ethnic group (B4B) to the same district's suspension/expulsion rate for children without disabilities.

- **Method 6:** The state used a rate difference to compare the district-level suspension/expulsion rate for children with disabilities (B4A) or children with disabilities from each racial/ethnic group (B4B) to the same district's suspension/expulsion rate for children without disabilities.

Figure 3
Number of states that used various methods for calculating significant discrepancies for B4A: 2012–13 and 2013–14

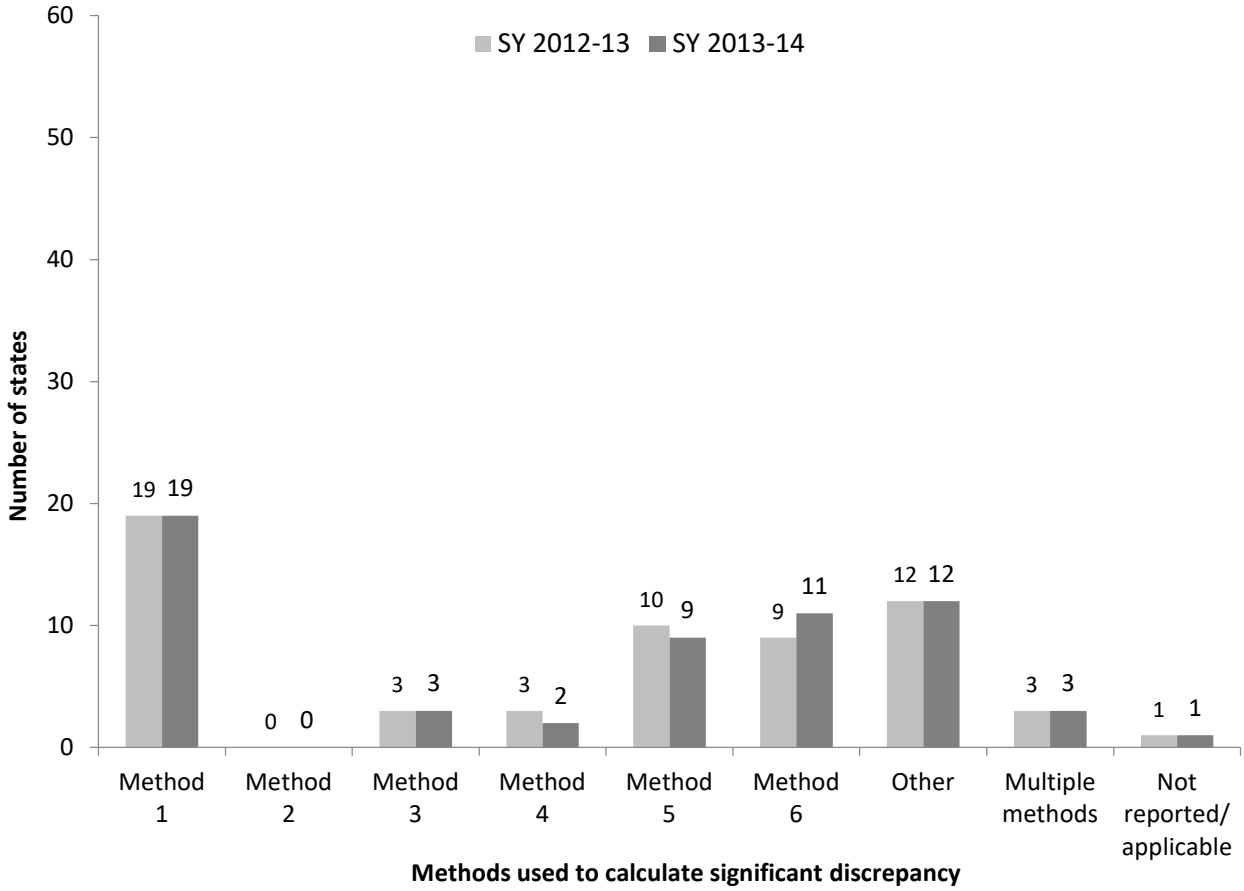
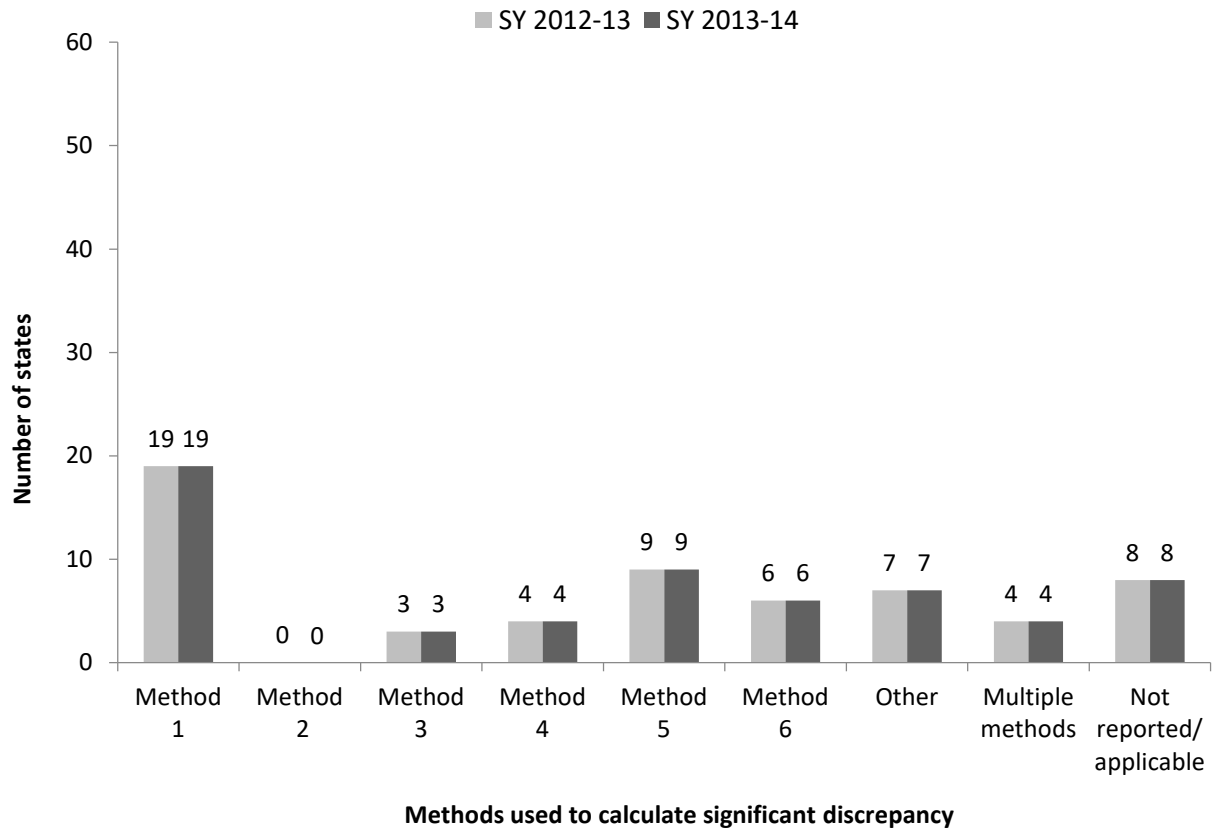


Figure 4

Number of states that used various methods for calculating significant discrepancies for B4B: 2012–3 and 2013–14



Minimum Cell Size Requirements

Overall, 44 of 60 states (73%) used minimum cell size requirements in their calculations of significant discrepancy for B4A and 49 of 52 states (94%) used minimum cell size requirements for B4B. States specified a variety of minimum cell size requirements, ranging from 3 to 76 students for B4A and 1 to 75 for B4B, and defined "cell" in many different ways.

Figures 5 and 6 present the number of states reporting various percentages of districts excluded from state analyses due to minimum cell size requirements for B4A and B4B, respectively, for 2012–13 and 2013–14.

Figure 5
Number of states reporting various percentages of districts excluded from the analyses due to minimum cell size requirements for B4A: 2012–13 and 2013–14

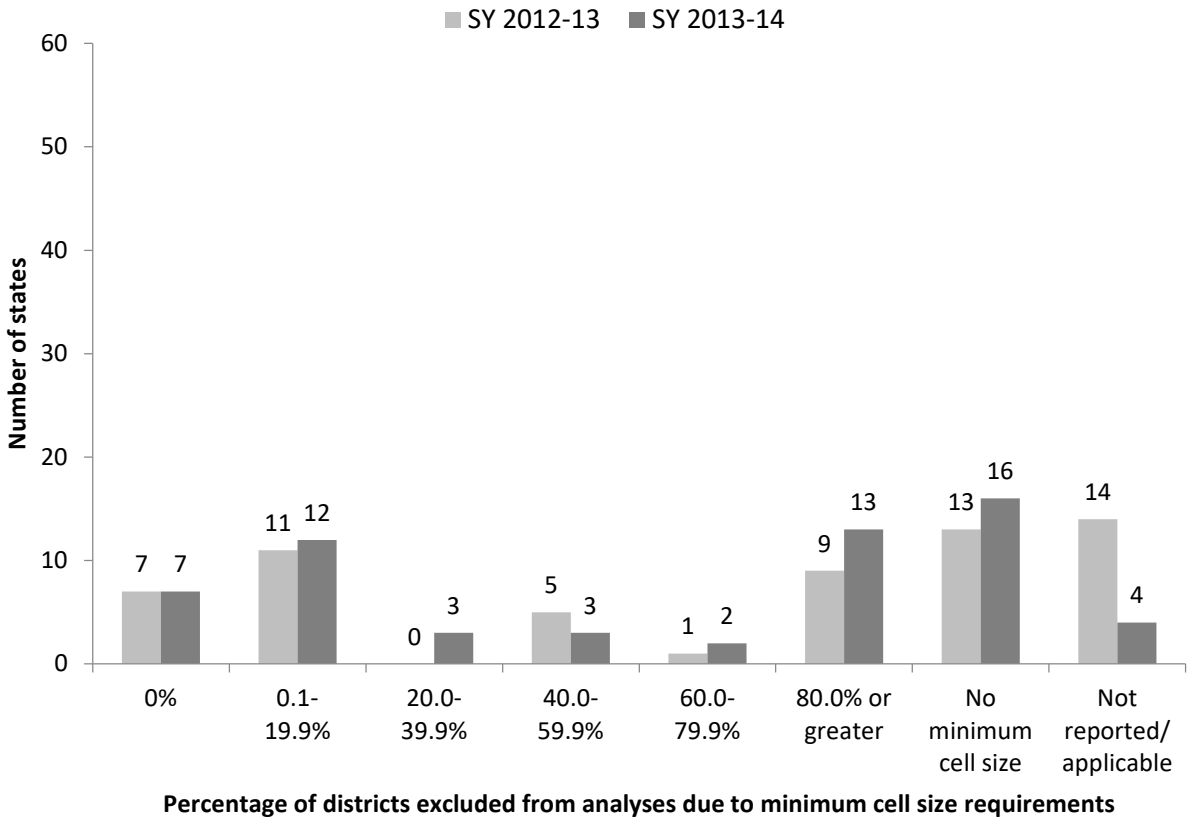
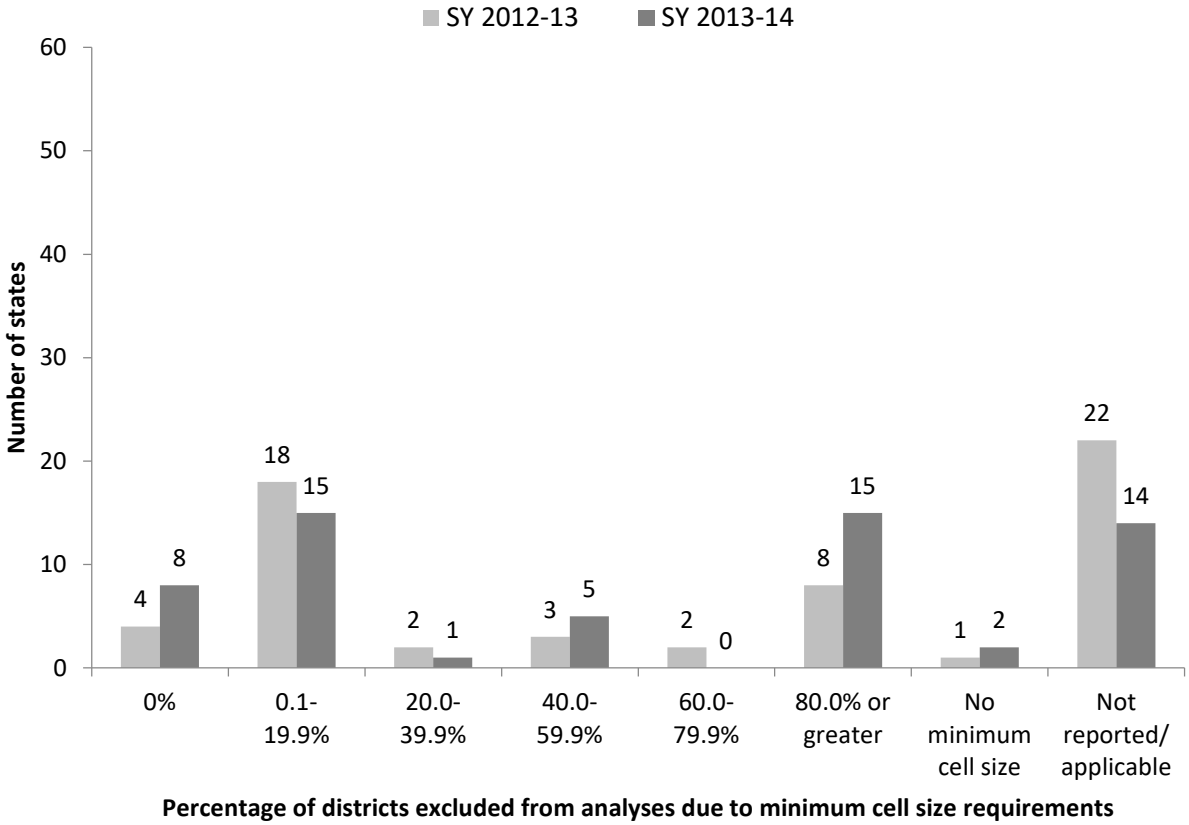


Figure 6
Number of states reporting percentages of districts excluded from the analyses due to minimum cell size requirements for B4B: 2012–13 and 2013–14



ACTUAL PERFORMANCE, COMPARSIONS, AND TRENDS

This section provides actual performance data for B4, as well as change from 2012–13 and 2013–14.

Percentage of Districts With Significant Discrepancy

In their APRs, states reported the number and percentage of districts that were identified with significant discrepancies for B4A and B4B (see Figures 7 and 8, respectively).

Figure 7
Number of states reporting various percentages of districts with significant discrepancies for B4A: 2012–13 and 2013–14

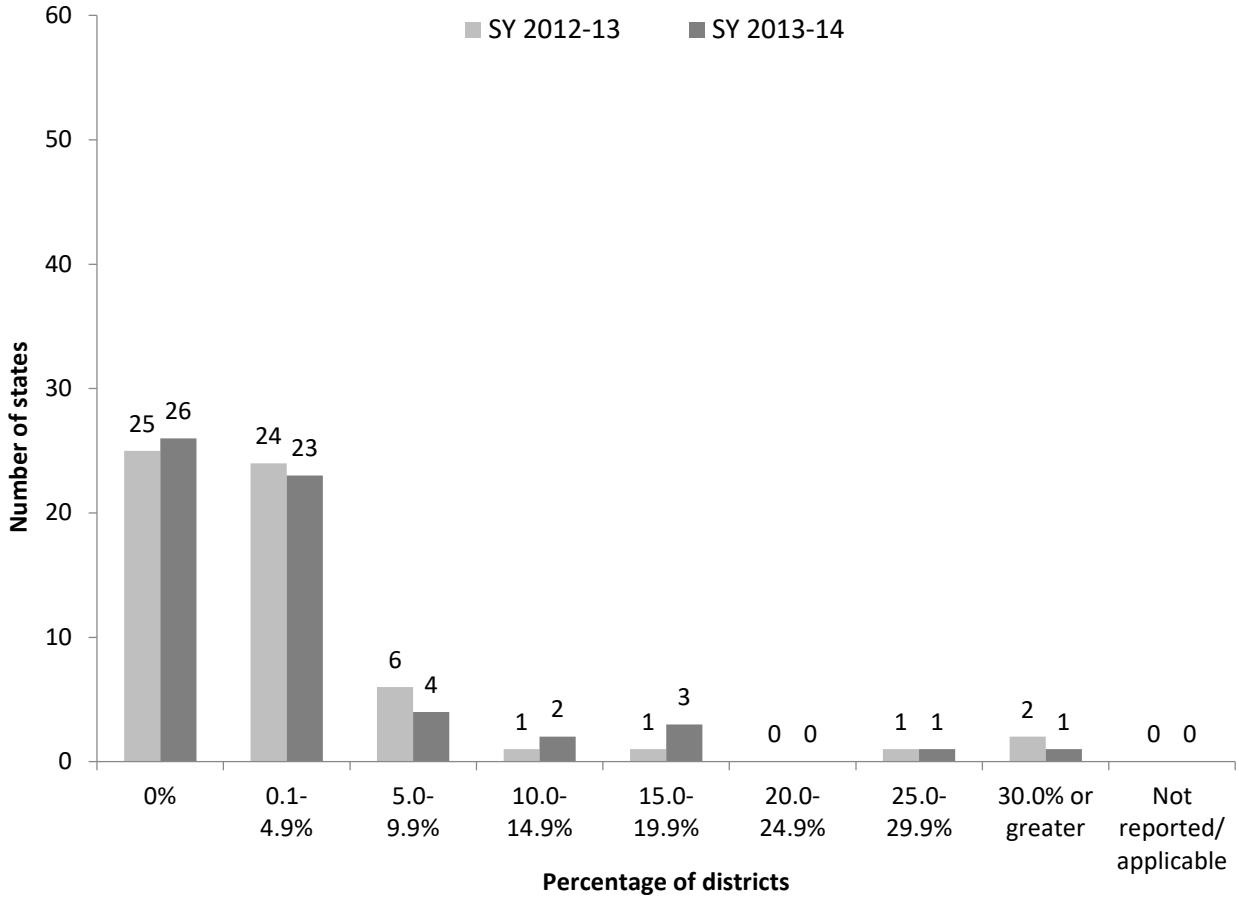
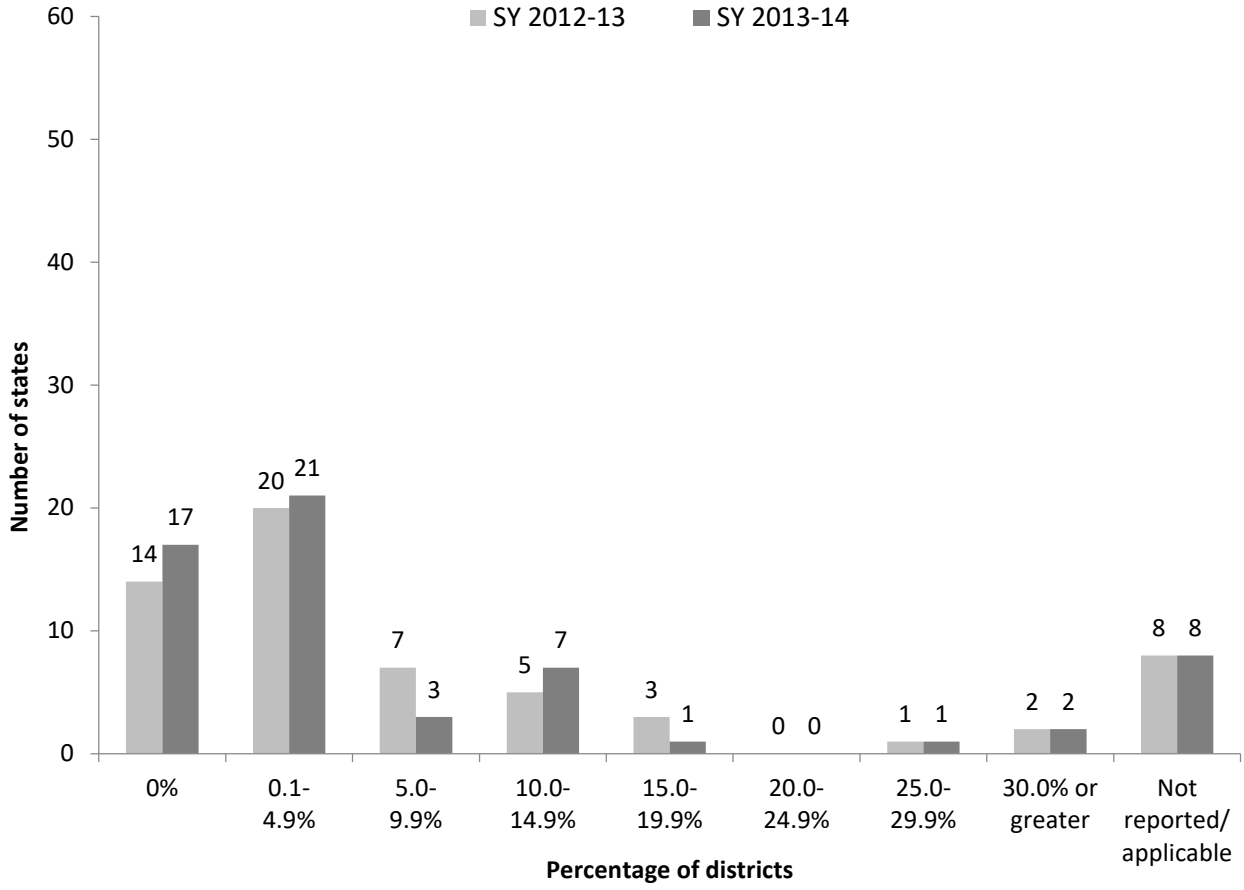
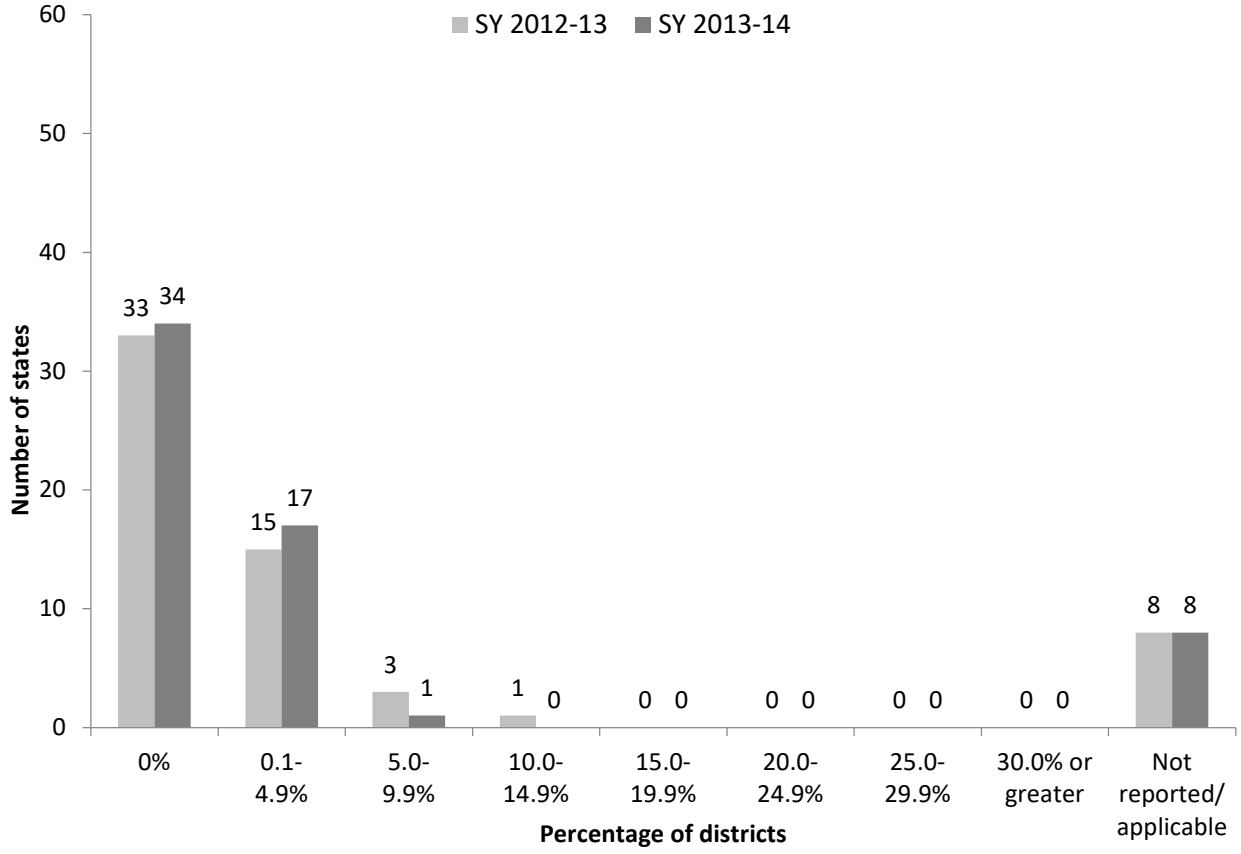


Figure 8
Number of states reporting various percentages of districts with significant discrepancies for B4B: 2012–13 and 2013–14



For B4B, states also reported the number and percentage of districts that were identified with significant discrepancies and had policies, practices, or procedures that contributed to the discrepancy and that did not comply with IDEA requirements (see Figure 9).

Figure 9
Number of states reporting various percentages of districts with significant discrepancies and policies, procedures, or practices that do not comply for B4B: 2012–13 and 2013–14



Description of Change From 2012–13 to 2013–14

When examining change from 2012–13 to 2013–14 in the percentage of districts identified as having a significant discrepancy in the rate of suspensions and expulsions of greater than 10 days in a school year for children with IEPs:

- The number of states meeting their annual target for B4A decreased from 49 in 2012–13 to 43 in 2013–14.
- Sixteen states (27%) reported slippage, and 17 states (28%) reported progress.

When examining change from 2012–13 to 2013–14 in the percentage of districts identified as having a significant discrepancy, by race or ethnicity, in the rate of suspensions and expulsions of greater than 10 days in a school year for children with IEPs and policies, procedures, or practices that contribute to the significant discrepancy:

- The number of states meeting the annual target of 0 percent increased slightly from 33 in 2012–13 to 34 in 2013–14 for B4B.
- Ten states (19%) reported slippage, and 12 states (23%) reported progress.

CONCLUSION

- The majority of states used the same comparison option for both B4A and B4B, with most states using Comparison Option 1, meaning they compared suspension/expulsion rates for children with disabilities among districts. From 2012–13 to 2013–14, two states changed the comparison option they used to measure B4A, and one state changed the comparison option it used to measure B4B.
- For both B4A and B4B, Method 1 (i.e., using the state-level suspension/expulsion rate to set the bar) continued to be the most commonly used methodology for determining significant discrepancy. In both 2012–13 and 2013–14, 19 states used Method 1 for B4A and B4B.
- For B4A, in 2012–13, 15 states excluded 40 percent or more of their districts from analyses. This number increased to 18 states in 2013–14. For B4B, in 2012–13, 13 states excluded 40 percent or more of their districts from analyses. This number increased to 20 states in 2013–14.
- From 2012–13 to 2013–14, the number of the states reporting that they did not identify any districts as having significant discrepancies for B4A increased slightly from 25 to 26 states. The number of states reporting that they identified between 0.1 percent and 4.9 percent of their districts decreased slightly from 24 states in 2012–13 to 23 states in 2013–14.
- For B4B, the number of states reporting zero districts with significant discrepancies and contributing policies, procedures, or practices increased slightly, from 33 states in 2012–13 to 34 states 2013–14.

INDICATOR 5: LEAST RESTRICTIVE ENVIRONMENTS (LRE)

Prepared by Jennifer A. Kurth, Naheed Abdulrahim, Christie Scanlin Dobson, Courtney Wilt and Elizabeth B. Kozleski, University of Kansas

INTRODUCTION

This report presents a review of state improvement activities from the Annual Performance Reports (APR) of 50 states and 10 other administrative units including the District of Columbia, the Bureau of Indian Education, and eight territories. Each of these states, territories, the District of Columbia, and the Bureau of Indian Education, will be referred to as entities throughout this document. Indicator 5 data are composed of three components outlined in the table below.

Table 1: Indicator 5, Part B: Percent of children with IEPs aged 6 through 21
A. Inside the regular classroom 80% or more of the day;
B. Inside the regular classroom less than 40% of the day;
C. In separate schools, residential facilities, or homebound/hospital placements

After an overview of the data from all 60 reporting entities, we present analyses and graphs summarizing findings of components A, B, and C of Part B Indicator 5, and conclude with a set of recommendations for continued success on Indicator 5.

DATA SOURCES AND MEASUREMENT APPROACHES

All 60 entities (50 U.S. states and 10 U.S. administrative units) send digital annual performance reports to the Office of Special Education Programs (OSEP). These data are compiled and organized into digital data tables that are then analyzed by external evaluators, following guidelines provided by OSEP. Once these reports are received, OSEP personnel review the data, interpretation, and any inferences drawn from the data for accuracy. This report covers only those data that were submitted to demonstrate state performance on Indicator 5B.

OVERVIEW OF ACTUAL PERFORMANCE

Progress since the first reporting year (2009-2010) on the three components of Indicator 5B, A, B, and C can be summarized as slight progress on B5A, B, and C (mean changes across all three categories are less than one percentage point in each indicator per year). Progress is measured as the difference from baseline (2009-2010) and the past reporting year (2013-2014) to the current reporting year (2014-2015). As a reminder, B5B and B5C are more restrictive placements. Gains in moving students to less restrictive placements are indicated by a positive number for B5A and negative

numbers for B5B and B5C. Overall, the pace of change has been slow, as seen in Table 2. For example, progress for B5A is an increase of 3.76 percentage points, representing less than one percentage point per year over the monitoring years. Progress for B5B and B5C is substantially less than one percentage point per year over the six years of monitoring. Progress since last year (2013-2014) remained negligible.

Table 2. Progress on 5B Indicators			
Indicator	**A**	**B**	**C**
Percentage Change over Monitoring Years 2009-2010 to 2014-2015	+ 3.76	-1.72	-0.45
Average rate of change over the monitoring years (2009-2010 to 2014-2015)	+0.6	-0.28	-0.1
Percentage Change from 2013-2014 to 2014-2015	+0.7	-0.26	-0.03

Indicator 5B Progress

A review of Table 3 indicates that the mean percentage for B5A is 65.7%, meaning that almost two-thirds of the students with IEPs in the US spend 80% or more of the school day in general education settings. The mean percentage for B5B is 10.81%, which indicates that about 11% of students with IEPs spend less than 40% of a typical school day in general education. A mean of 2.96% for B5C signifies that approximately 3% of students with IEPs in the 60 entities are educated in separate schools or home/hospital settings. While about two-thirds of the entities met their targets for Indicators B5A, B5B, and B5C, states did not necessarily meet targets for all three indicators.

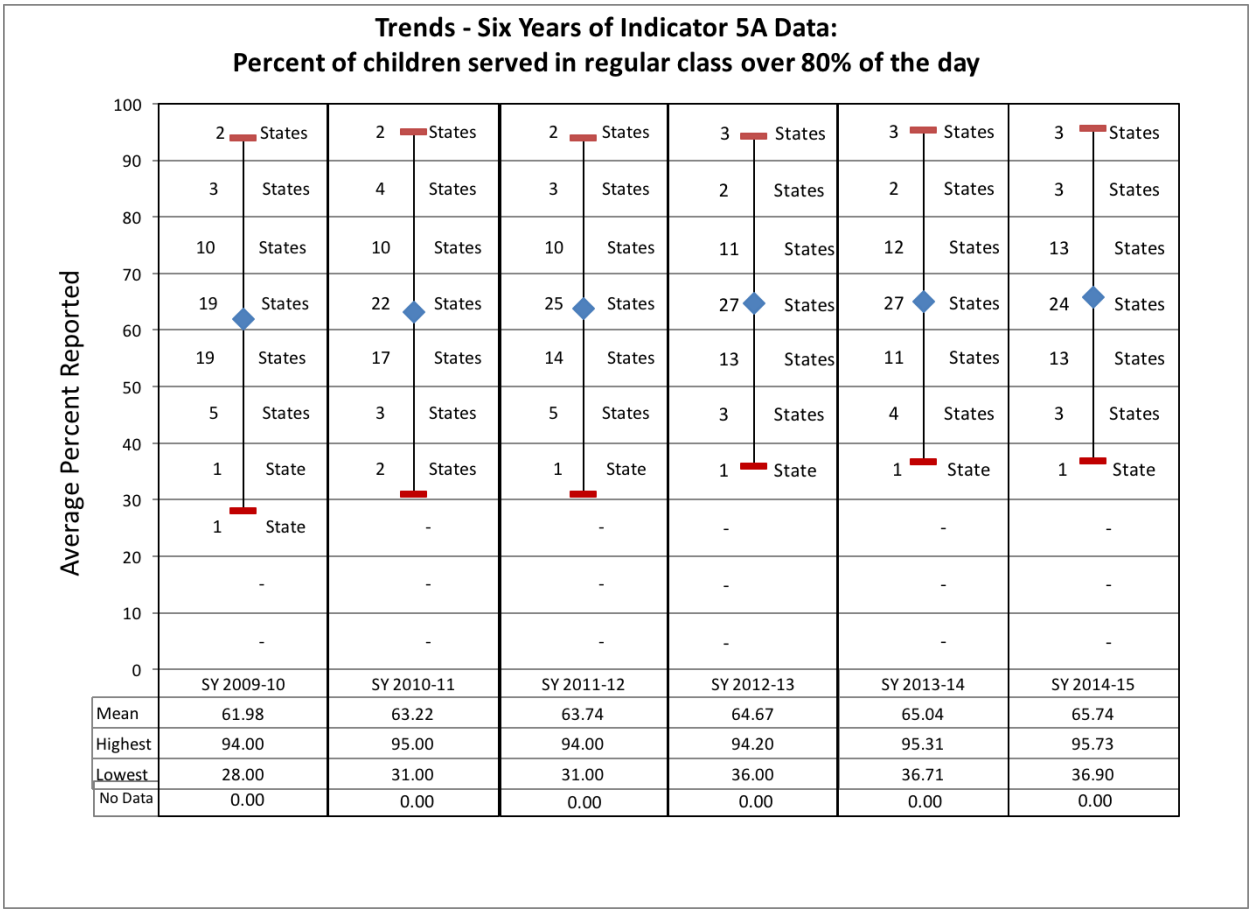
Table 3. Overview of Reported Indicator 5B Data			
Indicator	A	B	C
Mean %	65.7	10.81	2.96
Minimum %	36.9	0.0	0.06
Maximum %	95.7	22.01	11.53
Standard Deviation % *	11.6	4.82	2.22
Entities Meeting Target (n/60)	33	27	32

Category B5A: Inside the Regular Class 80% or more of the day

Six Year Trends in B5A

The six-year trend for Indicator B5A (Figure 1) shows a 0.7 increase in the mean percentage of students with disabilities served in general education settings 80% or more of the school day. The figure depicts the number of states within each percentage band (e.g., 10-20%, 20-30%) for each monitoring year. As seen in Figure 1, the bandwidth has become narrower with the number of states surrounding the mean decreasing. This diminishing variability illustrates that more states are clustered around the mean of 66% in the year 2014-2015 as opposed to the bandwidths in the years 2009-2010 and 2010-2011, when the means were lower and the variability was greater. In the top band (90-100%), there are three entities in 2014-2015, as there were in '13-'14. In 2009-2010, 26 entities fell below the 60% level, while in 2014-2015 17 entities placed below 60% level of placing students in general education 80% or more of the day.

Figure 1

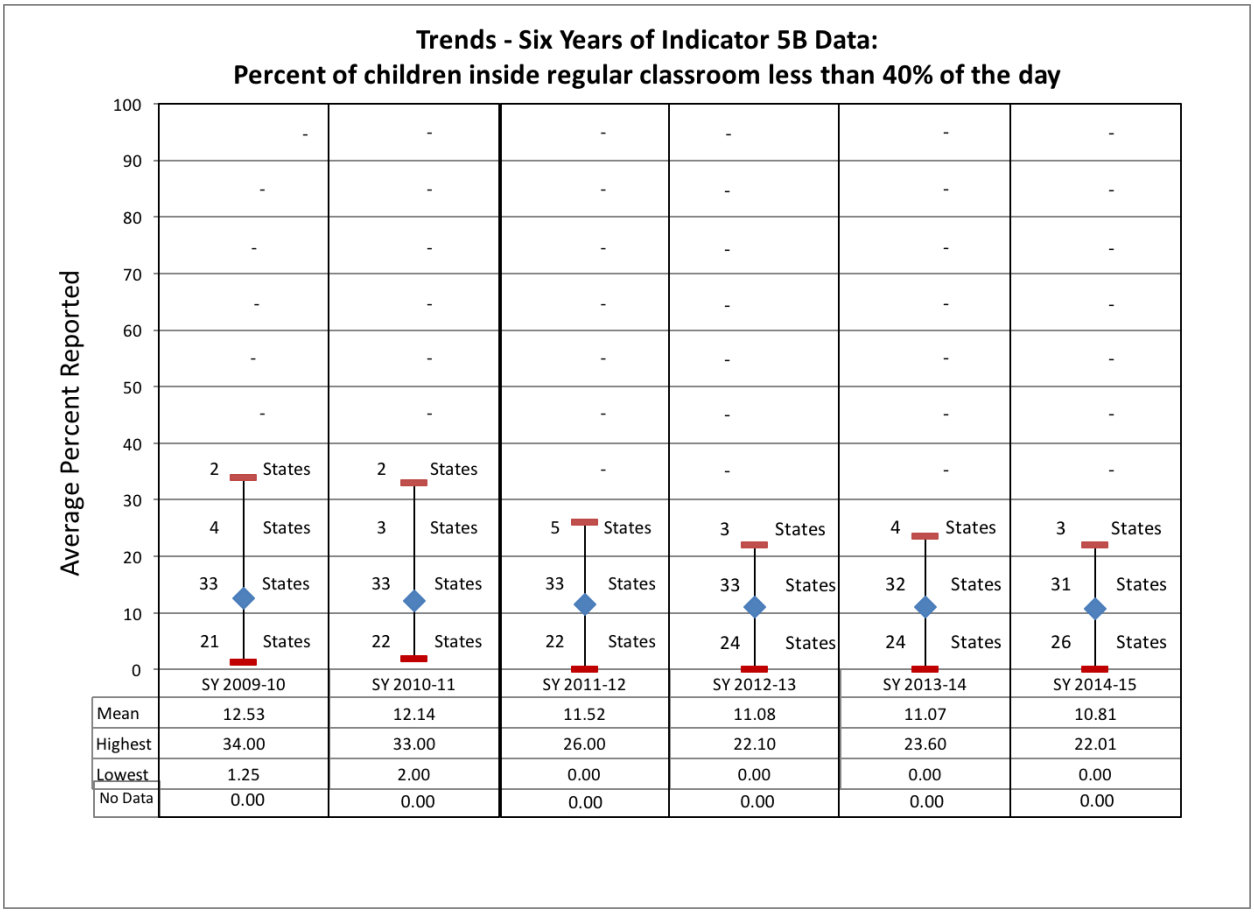


Category B5B: Inside the Regular Class 40% or less of the day

Six Year Trends in B5B

The six-year trend for Indicator B5B (Figure 2) shows very little change in the mean percentage of students with disabilities served in general education settings 40% or less of the school day. The figure depicts the number of states within each percentage band (e.g., 10-20%, 20-30%) for each monitoring year. As seen in Figure 2, the bandwidth has become narrower with states surrounding the mean increasing slightly. This diminishing variability illustrates that more states are clustered around the mean of 10.81% in the year 2014-2015. The highest band in 2014-2015 (20-30%) houses only three entities, whereas in 2009-2010 there were two entities in the 30-40% band. In the lowest band (0-10%), there are 26 entities in 2014-15, as opposed to 21 in 2009-2010. Together, these results indicate no progress in moving students from B5B settings (inside the regular class 40% of the day or less) over the monitoring years. This is particularly important given that 26 entities report their data in the bottom bandwidth (0 to 10%).

Figure 2

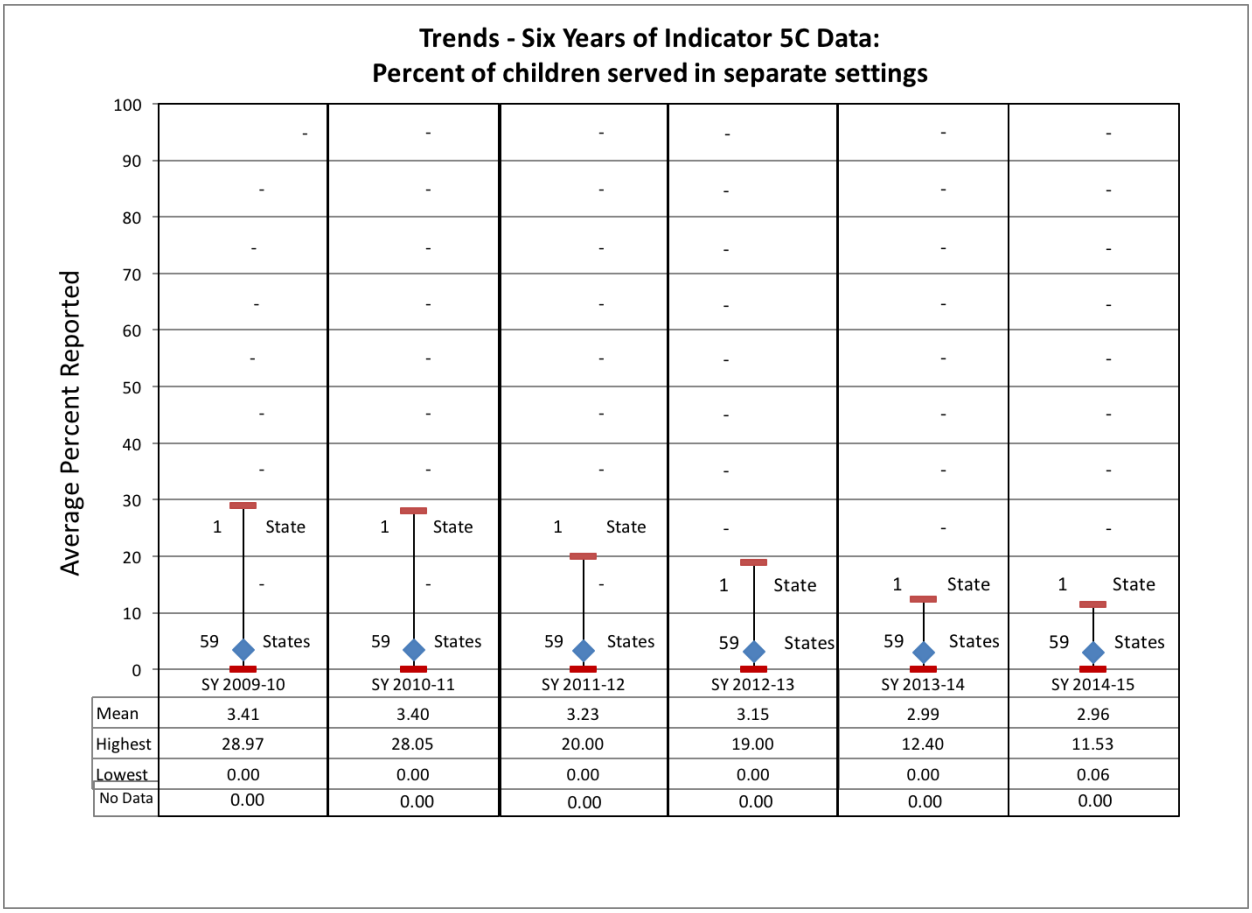


Category B5C: Separate Settings

Six Year Trends in B5C

The six-year trend data for B5C shows very little change in the mean percentage of students with disabilities served in separate settings. As seen in Figure 3, the mean placement in separate settings has decreased by 0.45% since 2009-2010. The variability in placement in separate settings has decreased over the monitoring years. While in 2009-2010, all sixty entities educated between 0-29% of students in separate settings, by the current reporting year (2014-2015), the range is reduced to 0-12% of students educated in these settings. Overall, the trend in separate settings is stable over the last three reporting years.

Figure 3



Conclusion

The six-year trends in LRE placement demonstrate minimal progress over the monitoring years. Most change occurred in B5A, although the mean placement rate was relatively unchanged, more entities are clustered around the mean with less variability in the current reporting year as compared to the previous six years. Significantly less change or no change has occurred around indicators B5B and B5C.

While overall progress has been made, many of the state targets are not particularly ambitious. Sections 616 and 624 of IDEA required each state to develop a State Performance Plan (SPP) that was to include rigorous and measurable performance goals for each year (Ahearn, 2011). The meaning of measurable and rigorous is unclear from IDEA, and it is equally unclear if entity targets are adequately rigorous.

Missing from the analysis is information about students educated in general education settings between 41-79% of the school day. Additional data collection around this group of students would inform stakeholders regarding the impact of this placement,

and how it corresponds with changes in B5A and B5B. The conclusions drawn from this data may be skewed when this population is not included in data collection efforts.

A large number of students continue to be educated in more restrictive placements, and current data collection practices provide little insight into who these students are, or why they are excluded from the general education setting. It would benefit stakeholders to collect additional demographic data about these students, and understand the extent to which placement in less restrictive settings varies for students of different genders, disability categories, race/ethnicity/culture, and English language status. Similarly, data depicting when students are participating in general education activities (e.g., core academics such as literacy and math versus activities such as art or music) would be informative. As well, looking at the state and local administrative unit constraints and affordances in policy, resource allocation, human capital, local financing structures would add insight to the systemic infrastructures that maintain the status quo and/or promote improvements in LRE measures. Finally, the present approach to data collection and analysis omits measures of quality experienced in different educational settings. For instance, these data provide no information about the sustained presence of accommodations that fit the needs of students and the demands of the learning environments, access to high quality learning contexts, and the participation of interdisciplinary teams in the design, delivery, and assessment of individualized services.

INDICATOR 6: Preschool LRE

Prepared by the Early Childhood Technical Assistance Center (ECTA)

PART B INDICATOR 6: Percent of children aged 3 through 5 with IEPs attending a:

A. Regular early childhood program and receiving the majority of special education and related services in the regular early childhood program; and

B. Separate special education class, separate school or residential facility.

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

INTRODUCTION

The Individuals with Disabilities Education Act (IDEA) specifies that in order for a state to be eligible for a grant under Part B, it must have policies and procedures ensuring that:

(i) To the maximum extent appropriate, children with disabilities, including children in public or private institutions or other care facilities, are educated with children who are nondisabled; and

(ii) Special classes, separate schooling, or other removal of children with disabilities from the regular educational environment occurs only if the nature or severity of the disability is such that education in regular classes with the use of supplementary aids and services cannot be achieved satisfactorily.

(34 CFR §§300.114)

The Part B Indicator 6 analysis is based on data from the FFY 2014 Part B Annual Performance Reports (APRs) from 59 states and jurisdictions. For the purpose of this report, all states and territories are referred to collectively as 'states'.

DATA SOURCES AND MEASUREMENT APPROACH

The data for this indicator are from the 618 IDEA Part B Child Count and Educational Environments data collection. This data includes all children with disabilities ages 3 through 5, including five year olds in kindergarten, who receive special education and related services according to an individual education program or services plan on the count date. States vary in their 618 data collection methods.

ACTUAL PERFORMANCE

Figures 1 and 2 illustrate current and historical data on preschool settings for the last four years. Data for this indicator were first reported in FFY 2011. The number of states represented within each ten-percentage point range are shown in the charts, and the tables below the charts show the national mean, range, and number of states included for Indicators 6A and 6B.

Figure 1

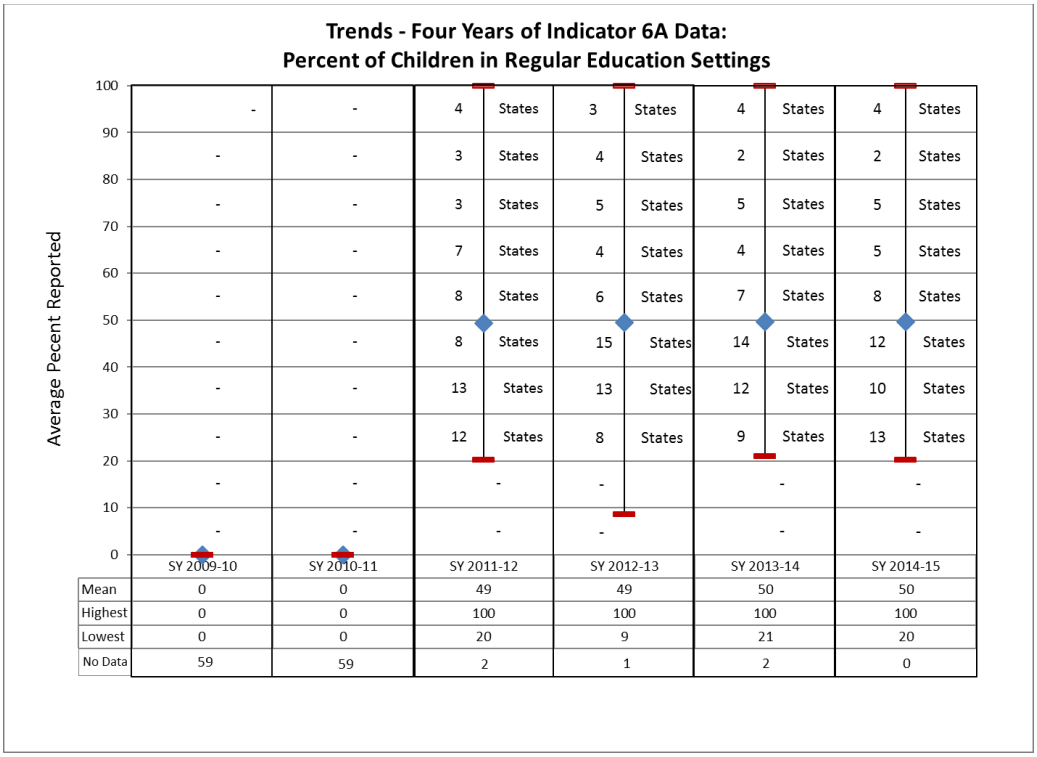
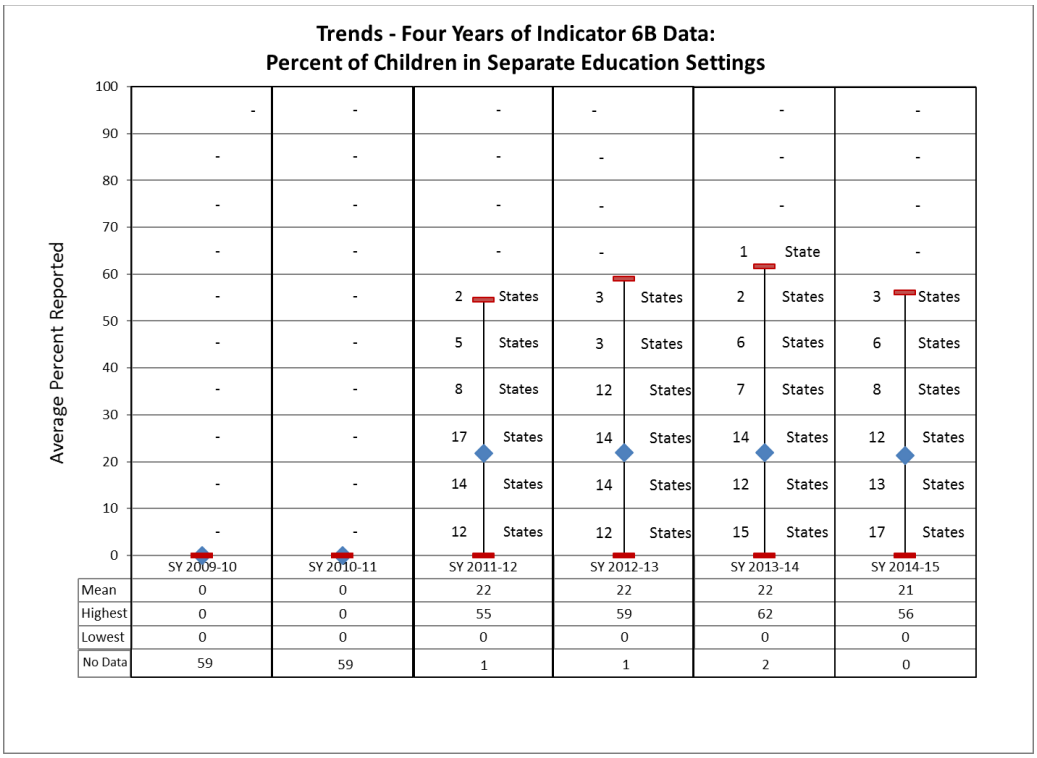


Figure 2



INDICATOR 7: PRESCHOOL OUTCOMES

Prepared by the Early Childhood Technical Assistance Center (ECTA)

Percent of preschool children with IEPs who demonstrate improved:

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

INTRODUCTION

Indicator 7 reports the percentage of preschool children with IEPs who demonstrate improved outcomes during their time in preschool. This summary is based on information reported by 59 states and jurisdictions in their FFY 2014 Annual Performance Reports (APRs). For the purposes of this report, the term 'state' is used for both states and jurisdictions.

States report data on two summary statements for each of the three outcome areas. The summary statements are calculated based on the number of children in each of five progress categories. The 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 six 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 six years of age or exited the program (progress categories d+e/a+b+c+d+e).

DATA SOURCES & MEASUREMENT APPROACHES

States and jurisdictions continue to use a variety of approaches for measuring child outcomes, as shown in Table 1.

Table 1

Child Outcomes Measurement Approaches (N=59)	
Type of Approach	**Number of States (%)**
Child Outcomes Summary (COS) process	42 (71%)
One statewide tool	9 (15%)
Publishers' online analysis	6 (10%)
Other approaches	2 (3%)

PERFORMANCE TRENDS

Figures 1 through 6 illustrate the two summary statements for each of the three outcome areas over the last six reporting years (FFY 2009 to FFY 2014). For each reporting year, the number of states within each ten-percentage point range are shown in the charts, and the tables below each chart show the national mean, range, and number of states included each year.

Figure 1

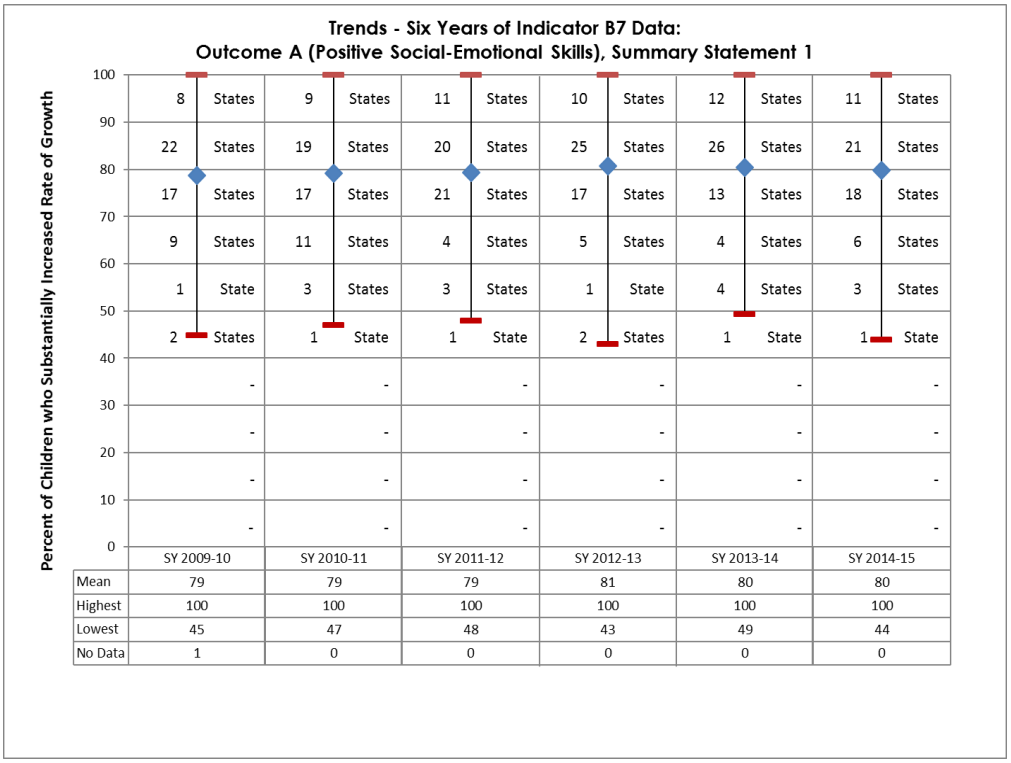
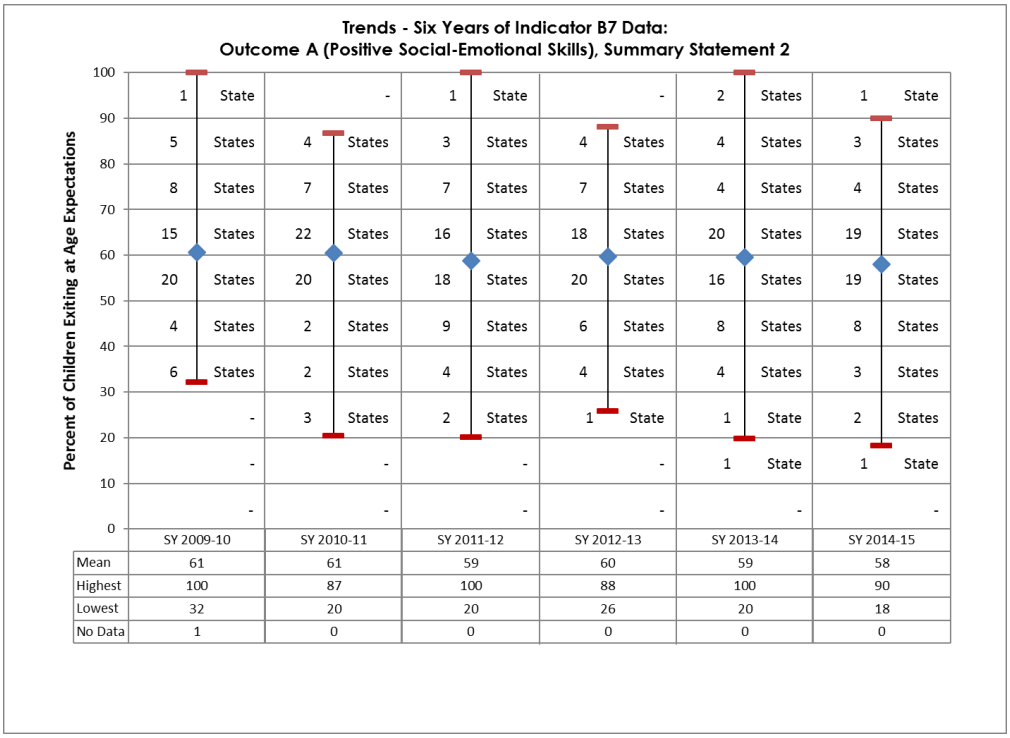
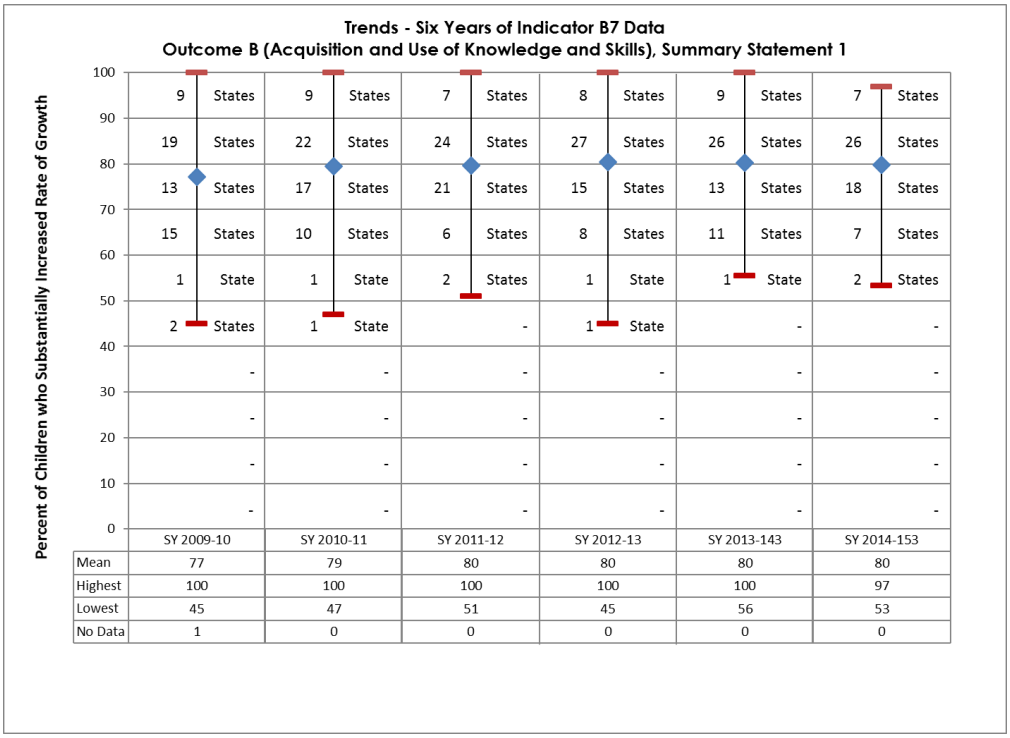


Figure 2



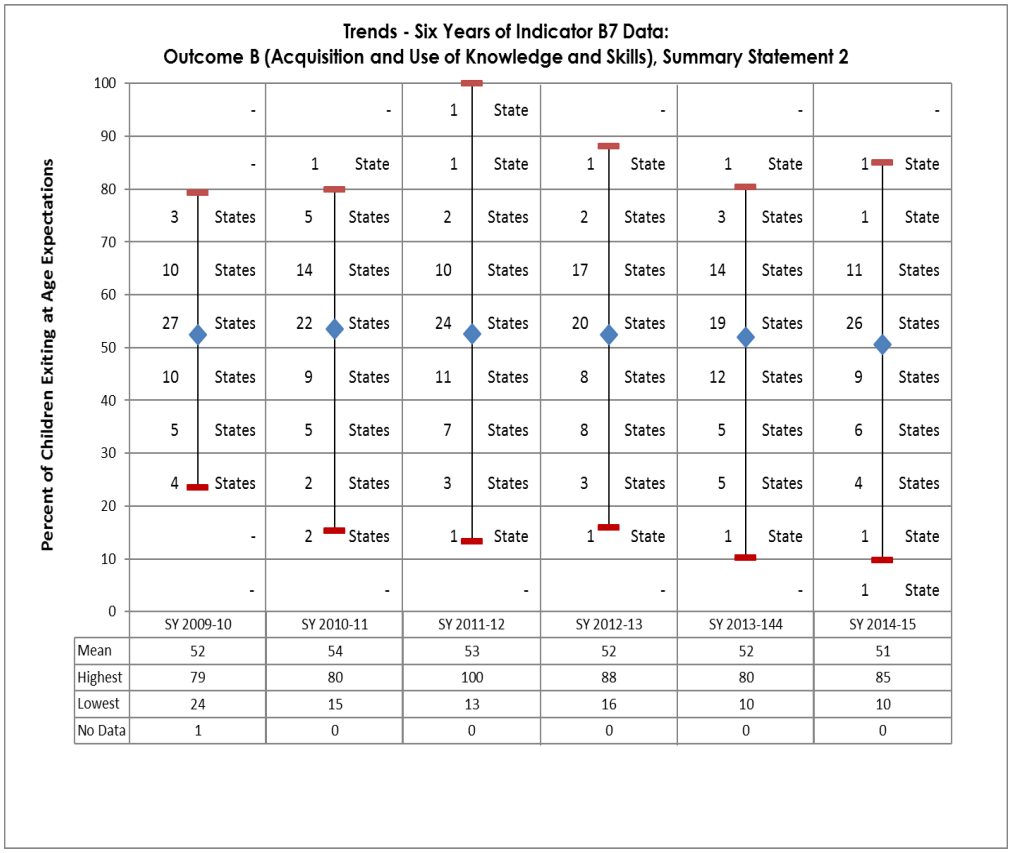
	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15
Mean	61	61	59	60	59	58
Highest	100	87	100	88	100	90
Lowest	32	20	20	26	20	18
No Data	1	0	0	0	0	0

Figure 3



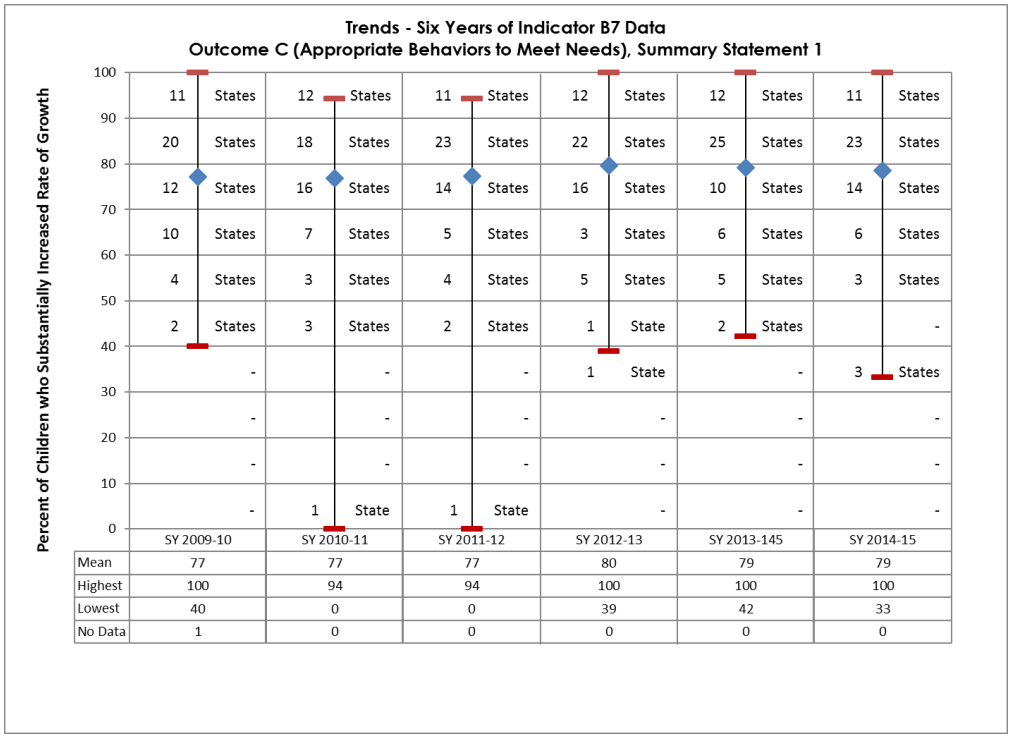
	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-143	SY 2014-153
Mean	77	79	80	80	80	80
Highest	100	100	100	100	100	97
Lowest	45	47	51	45	56	53
No Data	1	0	0	0	0	0

Figure 4



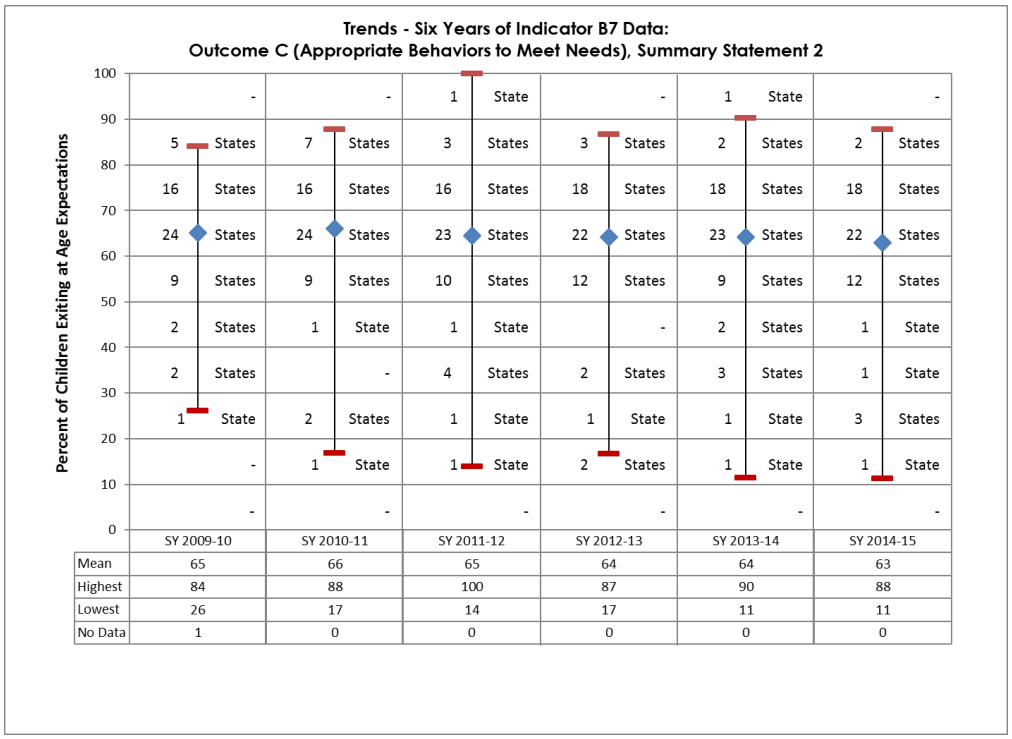
	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-144	SY 2014-15
Mean	52	54	53	52	52	51
Highest	79	80	100	88	80	85
Lowest	24	15	13	16	10	10
No Data	1	0	0	0	0	0

Figure 5



	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-145	SY 2014-15
Mean	77	77	77	80	79	79
Highest	100	94	94	100	100	100
Lowest	40	0	0	39	42	33
No Data	1	0	0	0	0	0

Figure 6



	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15
Mean	65	66	65	64	64	63
Highest	84	88	100	87	90	88
Lowest	26	17	14	17	11	11
No Data	1	0	0	0	0	0

INDICATOR 8: PARENT INVOLVEMENT

Prepared by the Center for Parent Information and Resources @ SPAN
In collaboration with the six (6) Regional Parent Technical Assistance Centers:
Region 1, Statewide Parent Advocacy Network, Inc. (NJ); Region 2, Exceptional Children's Assistance Center (NC); Region 3, Parent to Parent of Georgia; Region 4, Wisconsin FACETS; Region 5, PEAK Parent Center (CO); and Region 6, MATRIX Parent Network (CA)

INTRODUCTION

Indicator 8 requires states to measure and report the "percent of parents with a child receiving special education services who report that schools facilitated parent involvement as a means of improving services and results for children with disabilities.

[20 U.S.C. 1416(a)(3)(A)].

The Center for Parent Information and Resources, along with the six Regional Parent Technical Assistance Centers (RPTACs), analyzed the Annual Performance Reports (APRs) submitted by the 50 states, nine jurisdictions/entities, and District of Columbia (collectively, for a total of 60 state entities). It should be noted that in some of the tables and charts presented herein, the total may equal more than 60. This higher "n" results from the addition of seven entities representing the states that reported separate performance data for parents of preschoolers (ages three to five) and parents of school-age students (6-21 years). In some sections, preschool data are discussed separately, while in other areas, the data are aggregated. Where data are aggregated, percentages are based on a total "n" of 67 and may exceed 100% due to rounding. When the actual number of states is less than 60, numbers of states are provided, not a percentage.

DATA SOURCES

This analysis is based on information on Indicator 8 from states' FFY 2014 APRs and subsequent revisions submitted to the Office of Special Education Programs (OSEP). State Performance Plans (SPPs) and any revisions that were also reviewed in order to clarify and analyze APR data.

METHODOLOGY & MEASUREMENT APPROACHES

In understanding any comparisons of state performance, it is important to note that states use a variety of methodologies and measures to determine their performance on this indicator. As outlined in Table 1 below, during FFY 2014, 43.3% of states used the NCSEAM survey. An additional 11.7% adapted the NCSEAM or ECO surveys, while a large share of states, almost 42%, used state-developed survey instruments. Two states did not provide sufficient data to determine the origin of their survey instruments or the processes for their development. These data do not represent a change from FFY2013. Over the past years, the numbers of states using either adaptations of the

ECO or NCSEAM or fully state-developed instruments have slowly increased , a trend that has minimized the comparability of performance data for this indicator.

TABLE 1: Survey Instruments Used by States

Survey Instrument	FFY 2014	
	# of States	% of States
NCSEAM	26	43.3%
State-Developed	25	41.7%
Adapted NCSEAM or ECO	7	11.6%
Unknown	2	3.3%

In their original State Performance Plans and subsequent revisions and amendments, states outlined their methods for survey distribution. In the FFY2014 APRs, states identified their methods and target populations for distributing surveys, with 51.7% using sampling methods including random samples, stratified random samples, cohorts, and other strategies. The use of the various sampling strategies is based on plans that have been reviewed and approved by OSEP.

TABLE 2: Distribution Methods Used by States

Distribution Methods	FFY 2015	
	# of States	% of States
Census	29	48.3%
Sample	31	51.7%

In collecting and reporting data for Indicator 8, states also have the flexibility to decide how they will handle the process for surveying and collecting data from parents of children and youth in preschool (ages 3-5) and school-aged special education in their states. Of the 60 state entities, 52 reported preschool and school-aged data together. The remaining eight (8) states reported their data separately.

ACTUAL PERFORMANCE AND TRENDS

The following tables and charts summarize trends and compare states' performance on Indicator 8. In reviewing these data, care must be taken when drawing state-to-state judgments, as there is wide variability in the ways that states collect data and report data for this indicator, as outlined above. In addition to the differences in states' selection of survey instruments, there is a range of decisions that states have made related to survey distribution methods; the determination of annual targets and any year-to-year increase in targets; the aggregation or disaggregation of school-age and preschool data; and also the criteria used for defining the positive response(s) reported under this Indicator.

Table 3 outlines the percentage of states that "Met" or "Did Not Meet" established targets for performance on Indicator 8. As shown, 63% of states met or exceeded the targets set for the percent of parents reporting that schools facilitated their involvement in improving their students' results; 35% did not. Data were not submitted by one state. This decrease of nine percentage points represents a significant change from FFY2013, when 74% of states met the targets set. In drawing any conclusion as to this change in results, it is important to note that states set a wide range of targets on this indicator, including rates of increase from year to year. It is also important to note that there was a 17% increase from FFY2013 to FFY2014 in the percentage of states meeting or exceeding their targets.

Table 3: States Meeting Indicator 8 Targets

Target Achievement	% of States	
	FFY 2013	FFY 2014
Met Target	74%	63%
Did Not Meet Target	25%	35%
N/A	1%	2%

Chart 1 (below) depicts a comparison of states' (n=68) Indicator 8 performance data denoting progress or slippage from FFY 2013 to FFY 2014. The data range from a

decrease of 8.1 percentage points to an increase of 25.3 percentage points. The number of states that experienced increases of one or more percentage points totaled 25, while 22 states experienced slippage of one or more percentage points. In addition, there are 17 states where the change – positive or negative – was less than one percentage point. There are four states that are not depicted in Chart 1 because they either: (a) provided no data for FFY2013 or FFY2014, or (b) made a change in the survey and/or criteria for positive response, which means that FFY2014 is considered a baseline year and the year-to-year data are not comparable.

Chart 1: Comparison of States:
Progress or Slippage FFY2013 to FFY2014

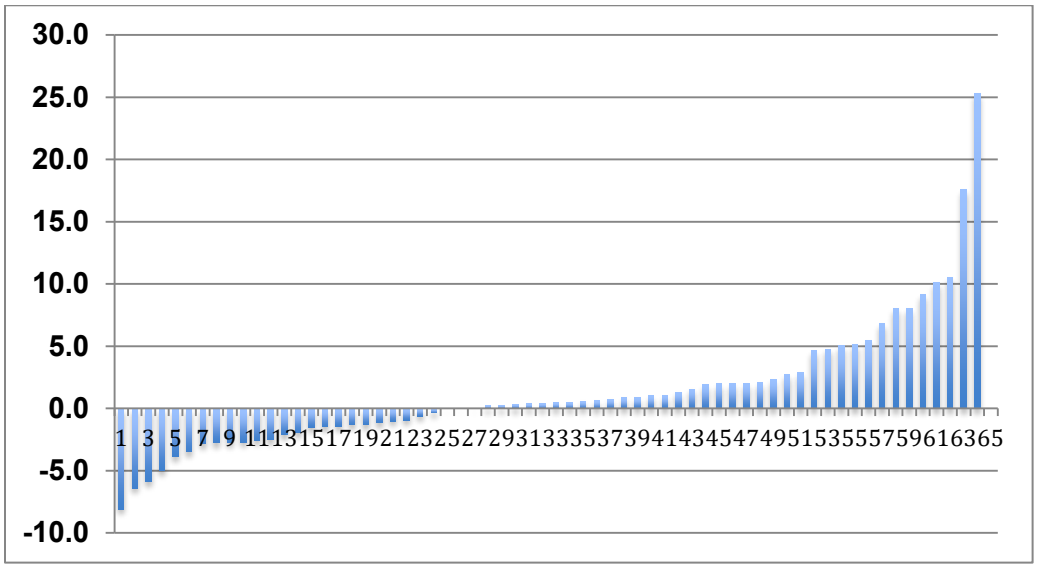


Chart 2 provides Six Year Trend data for Indicator 8. The performance distribution across states has been stable, with both the lowest performance numbers and highest performance numbers holding fairly steady. For FFY 2014, one state reported the high of 99%. This is within the range of the highs of 95-100% across each of the six years. The lowest percentage reported for FFY2014 was 19%, which is a new six year low of 20%. The group's mean has continued to progress modestly each year reaching 73% this year. This is three percentage points higher than last year's 70% mean.

Chart 2: Six-Year Trend Data
FFY 2009 to FFY 2014

	FFY 2009	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014
Mean	66	66	66	68	70	73
Highest	98	96	99	97	99	99
Lowest	20	20	21	20	26	19
No Data	1	0	0	0	1	1

CONCLUSION

As a result of the differences in survey instruments and also in data collection and measurement techniques, states' individual performances on Indicator 8 vary significantly. However, despite the number of states that did not meet targets, given the performance across states as measured by the changes in the mean and also in the numbers of states experiencing improvements in their data, it can be concluded that overall performance on Indicator 8 remained fairly stable, showing a modest increase, from FFY2013 to FFY2014.

ENGAGING PARENT CENTERS AS PARTNERS FOR IMPROVING RESULTS

In addition to analysis of the qualitative data available through OSEP Grads 360, the reviewers drilled down into state APRs to note the improvement strategies and activities that states implement to engage the families of children with disabilities as they address Indicator 8 as well as other indicators. While the Indicator 8 narratives of the majority of states provide details about the collection of and reporting on survey data, a number of states also include information related to impacting parent knowledge and skills and ultimately impacting outcomes for students with disabilities.

Some key strategies outlined relate to collaboration with OSEP-funded Parent Training and Information Centers, thereby leveraging OSEP technical assistance investments in order to improve Indicator 8 results. These strategies include:

- Engaging Parent Centers (PTIs and Community Parent Resource Centers) in developing and presenting parent workshops/trainings/webinars.
- Co-training of parents about how to request current progress monitoring data; understanding data; the parents' role in students' progress toward goals, and how parents and schools can work together to help students achieve goals.
- New training tools developed for joint parent/educator training about a "cooperative team approach" for increasing parent understanding of student progress toward achieving quality goals.
- Using websites of both the SEA and the Parent Center to house co-developed resources and communications.
- Providing office space for PTI staff and utilizing PTI staff to speak to family members who call the SEA with questions.

Other strategies include:

- Alignment of resources, including fiscal and personnel focused on one priority (literacy) across priority areas that have greatest success.

- Collaboration across LEAs, intermediary organizations, and other stakeholder groups in order to conduct outreach not only for survey dissemination, but also for communication about state parent involvement initiatives and activities.
- Identification/development of evidence-based frameworks, strategies, and programs by experts in the field of parent knowledge development and engagement.
- Development of a Family, School, and Community Partnership Fundamentals publication with guidelines and research-based practices to improve engagement of families, schools, and communities in achieving equitable learning opportunities for students.

INDICATORS 9 and10: DISPROPORTIONATE REPRESENTATION DUE TO INAPPROPRIATE IDENTIFICATION

Prepared by *IDEA* Data Center (IDC)

INTRODUCTION

The measurements for these SPP/APR indicators are as follows:

B9. Percent of districts with disproportionate representation of racial and ethnic groups in special education and related services that is the result of inappropriate identification; and

B10. Percent of districts with disproportionate representation of racial and ethnic groups in specific disability categories that is the result of inappropriate identification.

The *IDEA* Data Center (IDC) reviewed the FFY 2014 APRs for the 50 states, the District of Columbia, and the Virgin Islands. The other territories and the Bureau of Indian Education are not required to report on B9 and B10. Throughout the remainder of this section, all are referred to as states, unless otherwise noted. For FFY 2014, all states reported valid and reliable data for B9 and B10.

DATA SOURCES

Data sources include data submitted through the ED*Facts* Submission System-C002 Children with Disabilities (*IDEA*) School Age File[1] and states' analyses to determine if the disproportionate representation of racial/ethnic groups in special education and related services (B9) and in specific disability categories (B10) was the result of inappropriate identification.

METHODOLOGY AND MEASUREMENT APPROACHES

This section describes the various approaches states used to calculate disproportionate representation, including whether states used a single method or multiple methods; definitions of disproportionate representation; and minimum cell size requirements.

Methods Used to Calculate Disproportionate Representation

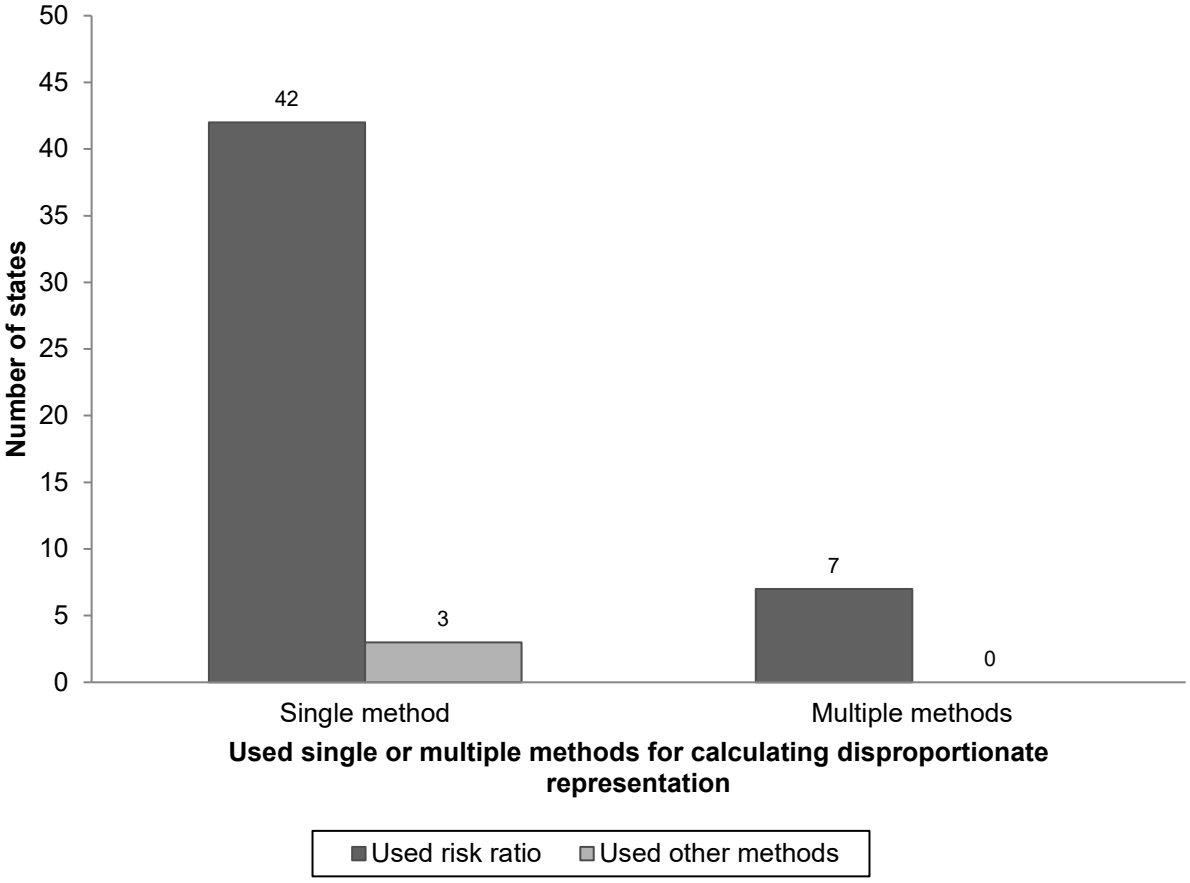
The majority of states (45 states or 87%) used one method to calculate disproportionate representation (see Figure 1). Of the 45 states using one method, 42 states (93%) used one or more forms of the risk ratio (i.e., risk ratio, alternate risk ratio, weighted risk ratio) as their sole method for calculating disproportionate representation. The other three states (7%) used risk or composition as their sole method for calculating disproportionate representation. The remaining states (seven states or 13%) used more than one method to calculate disproportionate representation. All seven of these

[1] Formerly submitted as Table 1 of Information Collection 1820-0043 (Report of Children with Disabilities Receiving Special Education Under Part B of the *Individuals with Disabilities Education Act*, As Amended).

states (100%) used the risk ratio in combination with one or more other methods, such as some form of composition, risk, the E-formula, or expected counts of students.

Figure 1

Number of states that used the risk ratio or other methods to calculate disproportionate representation, by whether the state used single or multiple methods: 2014–15



Definitions of Disproportionate Representation

Most states using the risk ratio defined disproportionate representation with a risk ratio cut-point. That is, the state considered a district to have disproportionate representation only if the risk ratio for one or more racial/ethnic groups was greater than the state's cut-point. The two most commonly used cut-points for disproportionate representation were 3.0 (20 states) and 2.0 (11 states).

The small number of states that calculated disproportionate representation using other methods defined disproportionate representation in different ways. These included percentage-point differences (composition), comparisons to thresholds and statistical

significance (risk), determining upper bounds (E-formula), and differences between expected numbers of students and actual numbers of students (expected numbers).

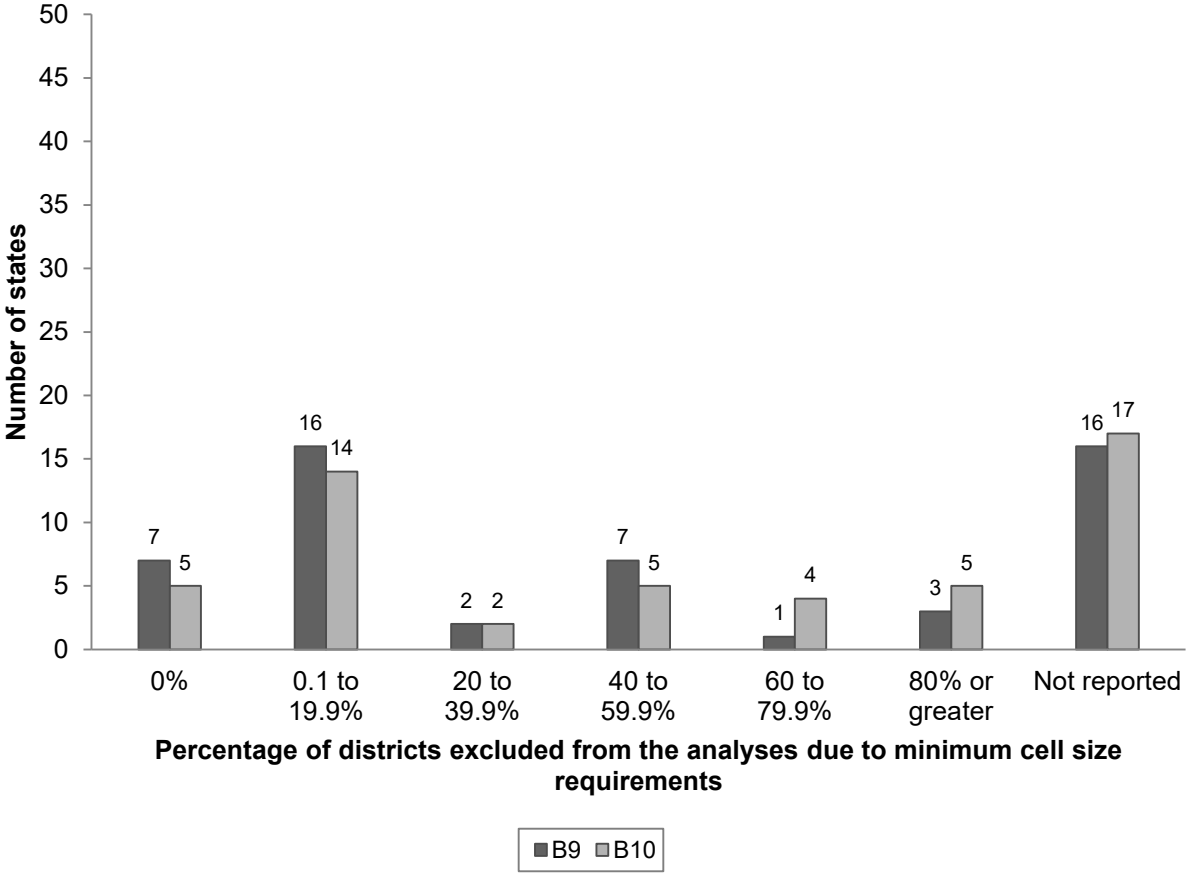
Minimum Cell Size Requirements

Overall, 48 states (92%) used minimum cell size requirements in their calculations of disproportionate representation. States specified a variety of minimum cell size requirements, ranging from 10 to 100 students, and defined "cell" in many different ways.

When determining disproportionate representation, states are required to analyze data for each district, for all racial/ethnic groups in the district, or all racial/ethnic groups in the district that meet the minimum cell size set by the state. Thirty-six states (69%) for B9 and 35 states for B10 (67%) reported on the percentage of districts excluded from the analyses due to minimum cell size requirements. Figure 2 presents this information.

Figure 2

Number of states reporting various percentages of districts excluded from the analyses due to minimum cell size requirements: 2014–15



Note: One state is not required to report on B10.

ACTUAL PERFORMANCE, COMPARISONS, AND TRENDS

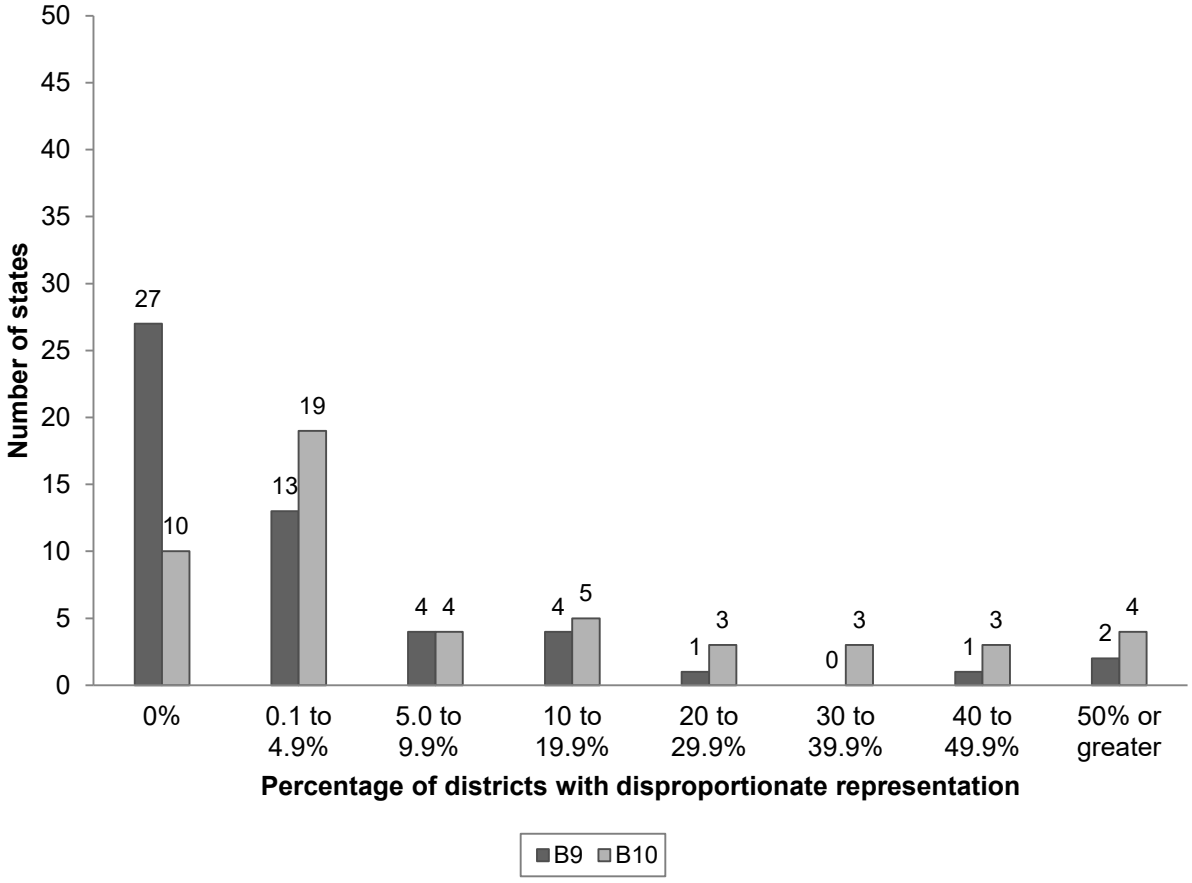
This section provides actual performance data for B9 and B10 for FFY 2014, as well as eight-year trends in the data and change from FFY 2007 to FFY 2014.

Percentage of Districts With Disproportionate Representation

In their APRs, states reported on the number of districts that they identified with disproportionate representation and subsequently targeted for a review of their policies, procedures, and practices. Figure 3 summarizes this information.

Figure 3

Number of states reporting various percentages of districts with disproportionate representation for B9 and B10: 2014–15



Note: One state is not required to report on B10.

Percentage of Districts With Disproportionate Representation That Was the Result of Inappropriate Identification

For both B9 and B10, states reported the percentage of districts that had disproportionate representation that was a result of inappropriate identification (see Figures 4 and 5 for B9 and B10, respectively). For each indicator, data are presented for 2014–15, as well as for the seven previous years.

Figure 4

Number of states reporting various percentages of districts with disproportionate representation that was the result of inappropriate identification for B9: 2007–08 through 2014–15

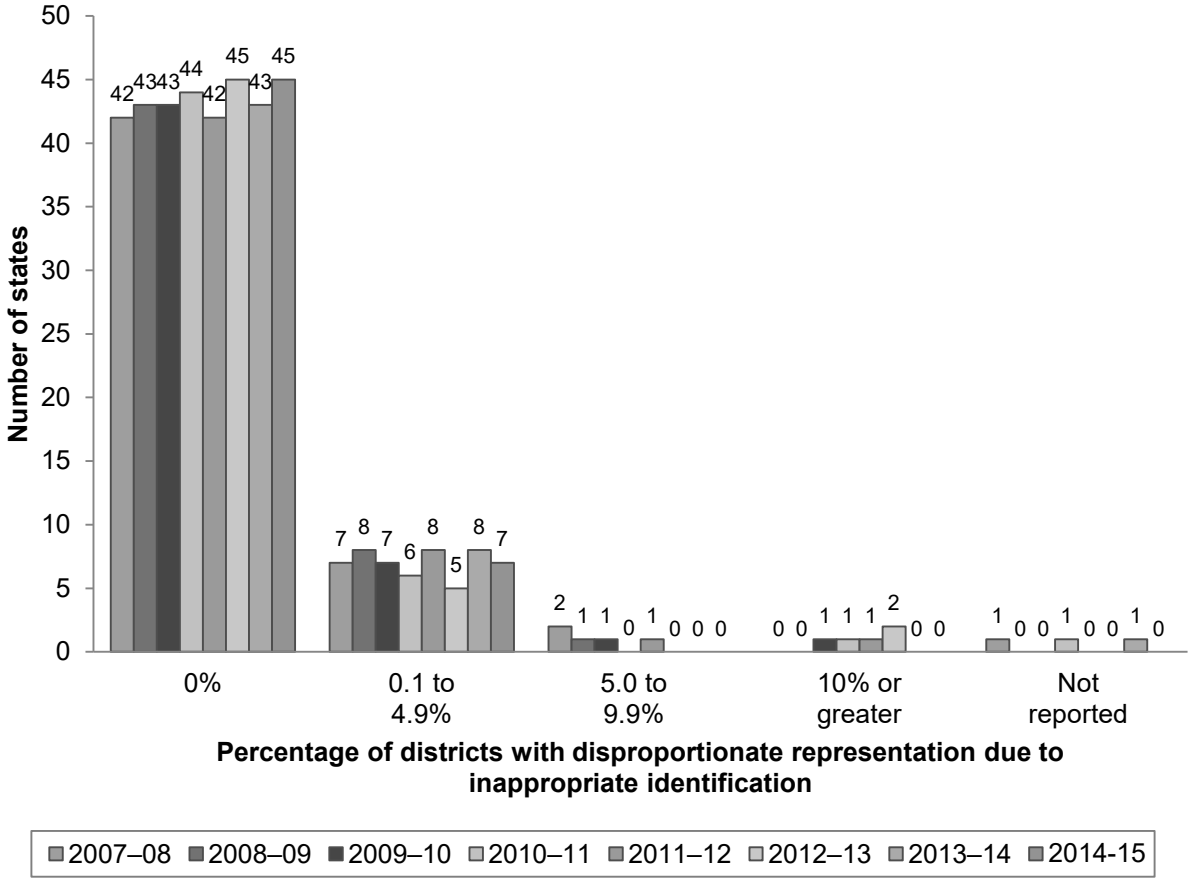
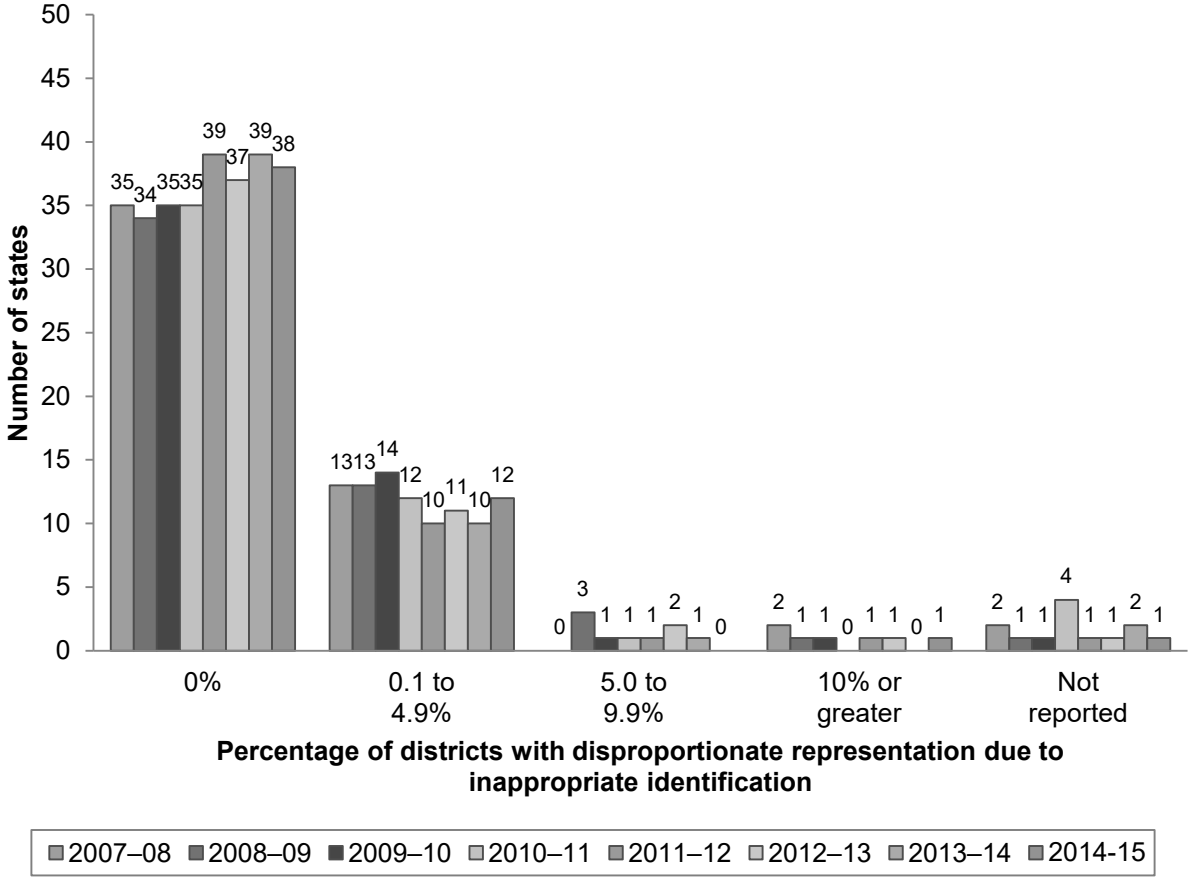


Figure 5

Number of states reporting various percentages of districts with disproportionate representation that was the result of inappropriate identification for B10: 2007–08 through 2014–15



Note: One state is not required to report on B10.

Description of Change From 2013–14 to 2014–15

When examining change from FFY 2013–14 to 2014–15 in the percentage of districts identified as having disproportionate representation due to inappropriate identification, of those states that reported valid and reliable data in both 2013–14 and 2014–15:[2]

- Forty-one states (80%) and 35 states (70%) for B9 and B10, respectively, reported no change in the percentage of districts identified as having disproportionate representation due to inappropriate identification (40 of these states for B9 and 32 of these states for B10 maintained the target of 0% in 2013–14 and 2014–15).
- For B9, three states (6%) reported slippage, and seven states (14%) reported progress.
- For B10, seven states (14%) reported slippage, and eight states (16%) reported progress.

[2] Fifty-one states reported valid and reliable data for B9, and 50 states reported valid and reliable data for B10 for both 2013–14 and 2014–15. One state reported valid and reliable data for B9 and B10 for 2014–15, but not for 2013–14. One state is not required to report on B10.

INDICATOR 11: TIMELY INITIAL EVALUATIONS

Prepared by the National Center for Systemic Improvement

INTRODUCTION

Indicator 11, Timely Initial Evaluations, measures the percent of children evaluated within 60 days of receiving parental consent for initial evaluation or, if the state establishes a timeframe within which the evaluation must be conducted, within the state-established timeline.

MEASUREMENT OF INDICATOR 11 IN PART B SPP/APR MEASUREMENT TABLE:

> Percent of children who were evaluated within 60 days of receiving parental consent for initial evaluation or, if the state establishes a timeframe within which the evaluation must be conducted, within that timeframe.

States[3] are required to account for children for whom parental consent was received but who were not evaluated within the timeline. States must also indicate the range of days for which evaluations occurred beyond the timeline, including any reasons for the delays. Under 34 CFR §300.301(d), the timeframe set for initial evaluation does not apply if: (1) the parent of a child repeatedly fails or refuses to produce the child for the evaluation, or (2) a child enrolls in a school of another public agency after the timeframe for initial evaluations has begun, and prior to a determination by the child's previous public agency as to whether the child is a child with a disability. In the event the state has established a timeframe which provides for exceptions through state regulation or policy, it must describe the cases falling within those exceptions and include this number in the denominator.

Data for reporting on this indicator are to be taken from state monitoring or state data system and based on actual, not an average, number of days. If data are from state monitoring, the state must describe the method used to select LEAs for monitoring. If data are from a state database, the state must include data for the entire reporting year.

DATA SOURCES AND METHODOLOGY

The National Center for Systemic Improvement (NCSI) staff summarized the data from all states based on the data compiled from APRs submitted in February 2016 along with applicable APR clarifications.

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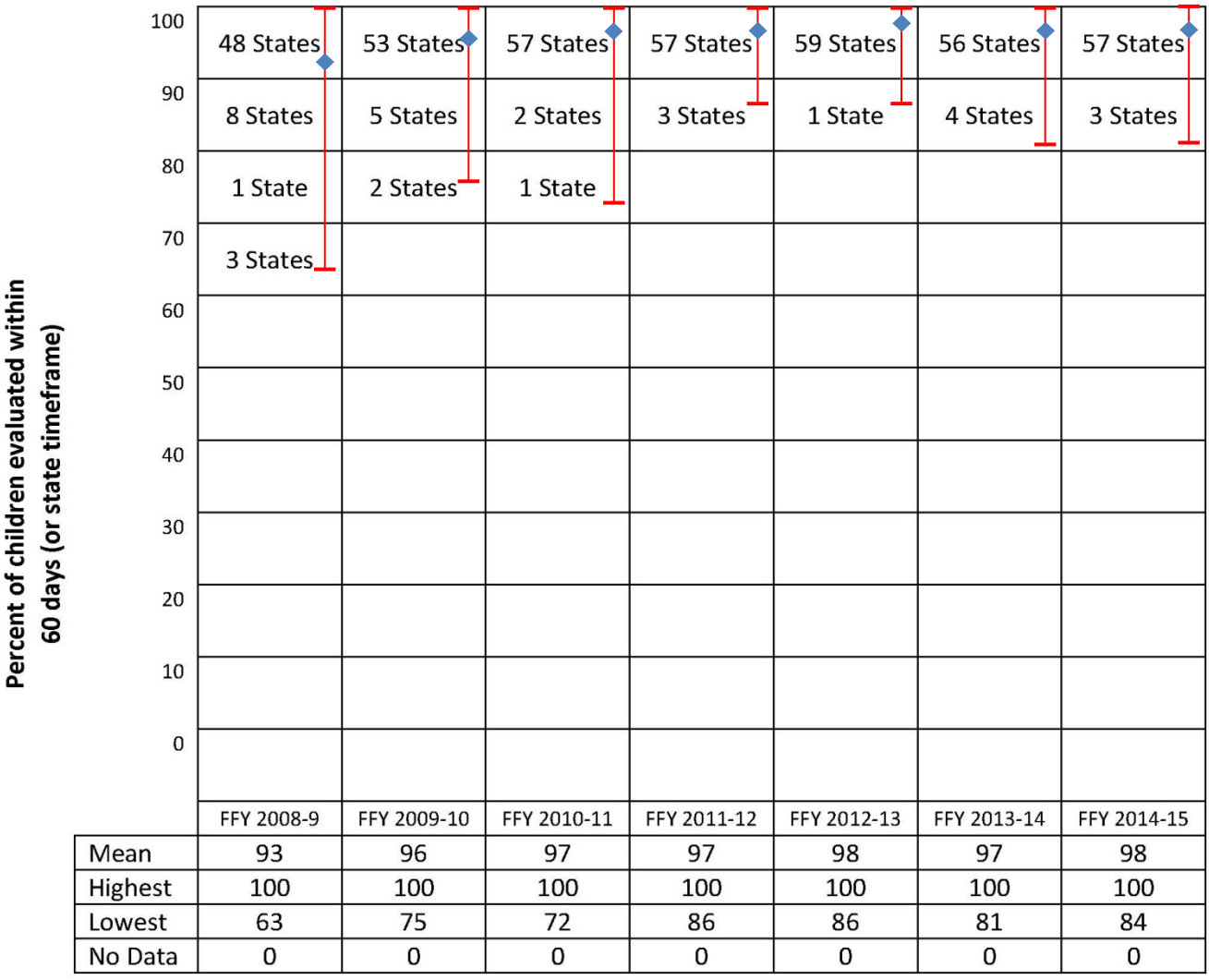
[3] For the purposes of this report, the terms "states" and "states/entities" are used interchangeably to refer to all 60 Part B grant recipients (i.e., the 50 United States, the District of Columbia, the Bureau of Indian Education, Puerto Rico, the Virgin Islands, American Samoa, Guam, the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau).

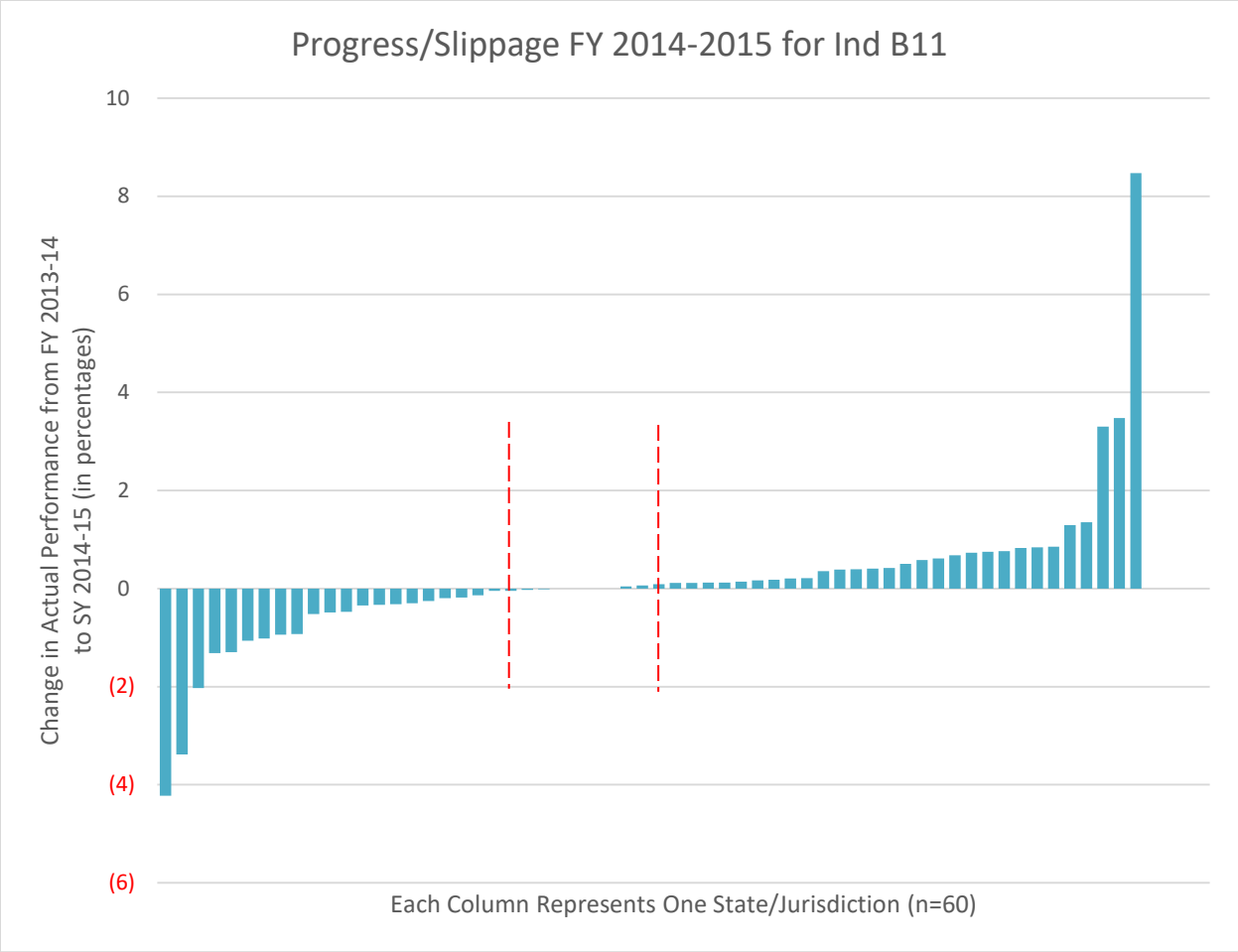
TRENDS: SEVEN YEARS OF B-11 DATA

Figure 1

Trends – Seven Years of Indicator B-11 Data:
Percent of children evaluated within 60 days (or state timeframe)



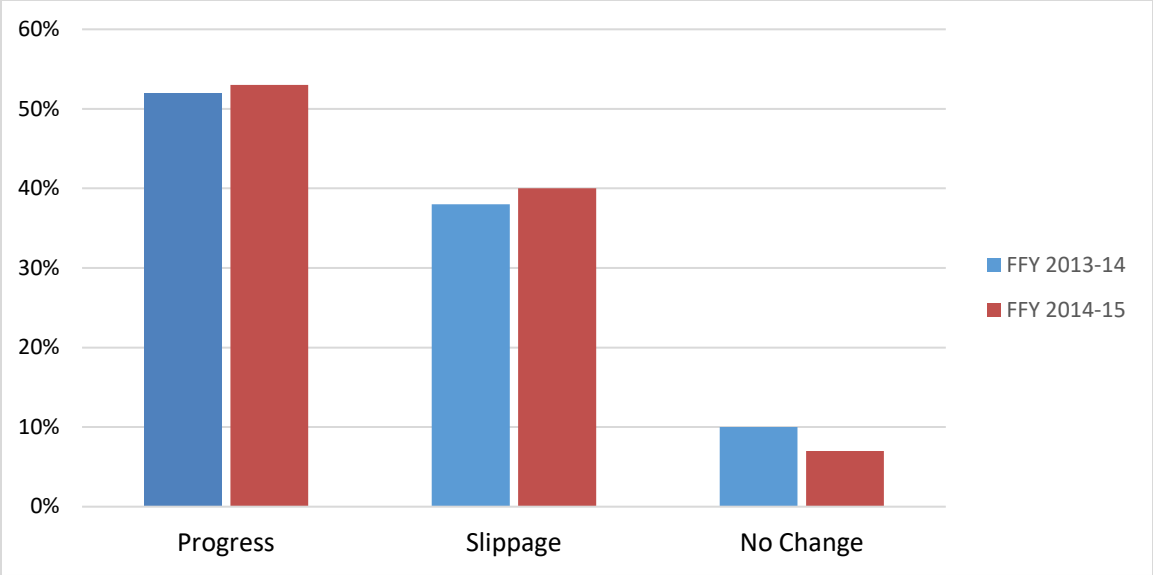
	FFY 2008-9	FFY 2009-10	FFY 2010-11	FFY 2011-12	FFY 2012-13	FFY 2013-14	FFY 2014-15
Mean	93	96	97	97	98	97	98
Highest	100	100	100	100	100	100	100
Lowest	63	75	72	86	86	81	84
No Data	0	0	0	0	0	0	0



With regard to the 24 states (40%) showing slippage, the average percent of slippage was –0.83%, ranging from a "high" of –4.23% to a "low" of -0.02%. Of the four states (7%) showing no change, all four states met the target for FFY 2014-15. For the 32 states (53%) showing progress, the average percent of progress was 0.89%, ranging from a "high" of 8.47% to a "low" of 0.05%.

As shown in Figure 3 below, the data from FFY 2014-15 were also compared to that of FFY 2013-14. In FFY 2013-14, 23 states (38%), showed slippage; six states, or 10%, showed no change, while 31 states (52%) showed progress. The same number of states (5) met the 100% target for this Indicator in FFY 2014-15 as did in FFY 2013-14, while 55 states did not meet the target in each year. When results from FFY 2013-14 and FFY 2014-15 are compared, it is apparent state performance on the indicator has remained relatively stable.

Figure 3



States are also required to report on the range of days for which evaluations occurred beyond the timeline. The FFY 2014-15 data showed that nationally, the range of days beyond the timeline varied from 1 to 389 days.

CONCLUSION

Overall, states have reached and maintained a substantially high level of compliance for Indicator 11, as judged by an overall actual performance mean of 98% with regard to timely initial evaluations. However, states progress in fully meeting the 100% criterion set for this indicator continues to remain a challenge.

INDICATOR 12: EARLY CHILDHOOD TRANSITION

Prepared by the Early Childhood Technical Assistance Center (ECTA)

Percent of children referred by Part C prior to age three and who are found eligible for Part B, and who have an IEP developed and implemented by their third birthday.

INTRODUCTION

The Individuals with Disabilities Education Act (IDEA) specifies that in order for a state to be eligible for a grant under Part B, it must have policies and procedures ensuring that, "Children who participated in early intervention programs assisted under Part C, and who will participate in preschool programs assisted under this part [Part B] experience a smooth and effective transition to those preschool programs in a manner consistent with §637(a)(9). By the third birthday of such a child an individualized education program has been developed and is being implemented for the child" [§ 612(a)(9)].

For the purpose of this report, all states and territories are referred to collectively as 'states'. The Indicator 12 summary is based on FFY 2014 Part B Annual Performance Reports (APRs) from 56 states and jurisdictions. Indicator 12 does not apply to three Pacific jurisdictions nor to the Bureau of Indian Education, as these do not receive Part C funds under the IDEA.

In responding to this indicator, states were required to report actual FFY 2014 performance data and to provide the reasons for delay when IEPs were not developed and implemented by a child's third birthday.

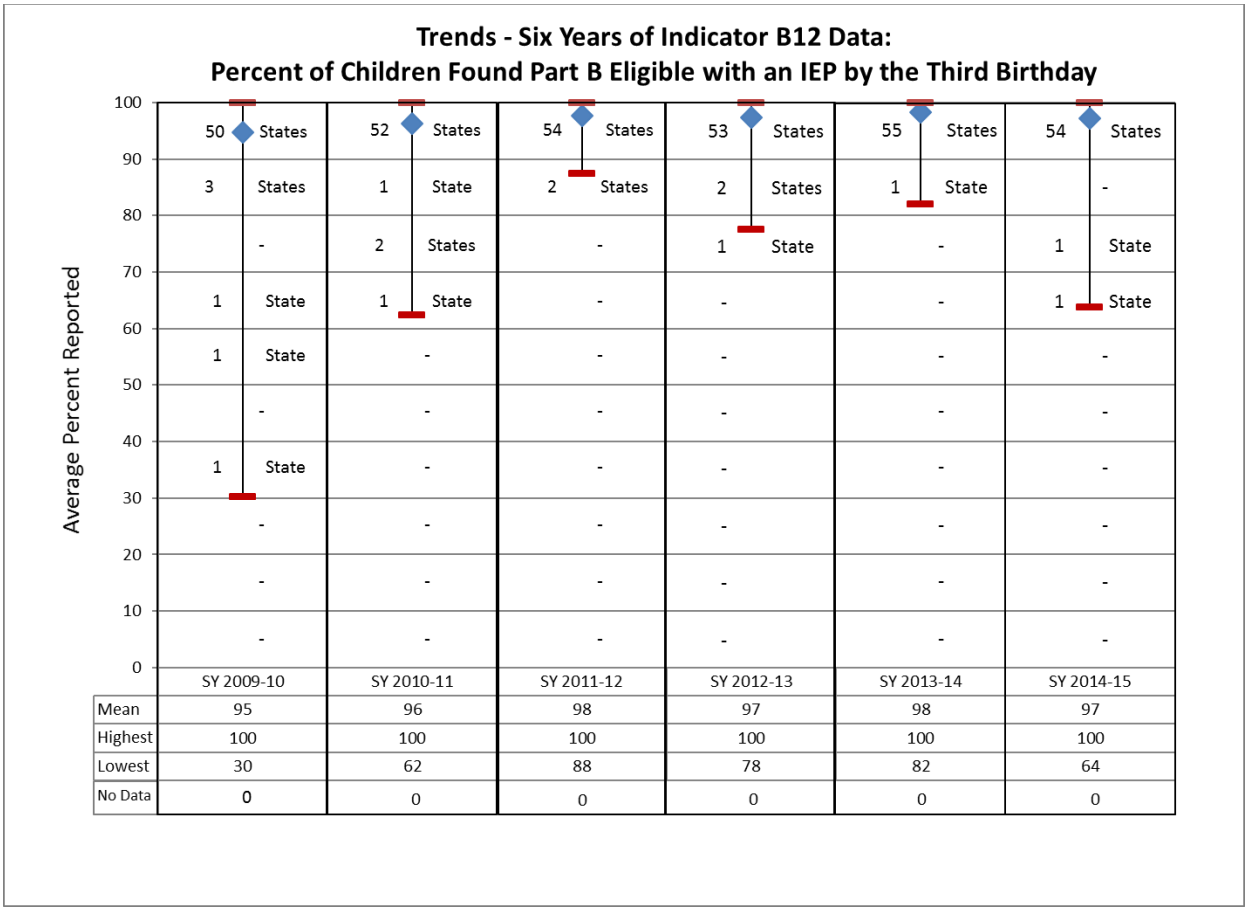
DATA SOURCES AND MEASUREMENT APPROACH

Data sources used to report data for this indicator vary across states. These include state data systems, monitoring, system-wide file reviews, sampling and LEA spreadsheets. A majority of states use the state data system to provide data for this indicator, and many supplement with additional data collection methods or systems to provide the specific data needed to report on this indicator. Some states cross-reference individual child level data supplied directly by Part C with Part B data, ensuring an accounting of each child regardless of the data source used.

PERFORMANCE TRENDS

Figure 1 illustrates current data for timely transition services and trend data over the last six reporting years (FFY 2009 to FFY 2014). 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 included.

Figure 1


Trends - Six Years of Indicator B12 Data:
Percent of Children Found Part B Eligible with an IEP by the Third Birthday
Average Percent Reported
100
90
80
70
60
50
40
30
20
10
0
50 States
3 States
-
1 State
1 State
-
1 State
-
-
-
52 States
1 State
2 States
1 State
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54 States
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54 States
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1 State
1 State
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-
SY 2009-10 | SY 2010-11 | SY 2011-12 | SY 2012-13 | SY 2013-14 | SY 2014-15
Mean: 95 | 96 | 98 | 97 | 98 | 97
Highest: 100 | 100 | 100 | 100 | 100 | 100
Lowest: 30 | 62 | 88 | 78 | 82 | 64
No Data: 0 | 0 | 0 | 0 | 0 | 0

INDICATOR 13: Secondary Transition

Prepared by the National Technical Assistance Center on Transition (NTACT)

The National Technical Assistance Center on Transition (NTACT) was assigned the task of analyzing and summarizing the data provided by states for SPP/APR Part B Indicator 13—Secondary Transition component of the IEP. For the sake of convenience, in this report the term "states" is inclusive of the 50 states, nine territories, and the District of Columbia.

INTRODUCTION

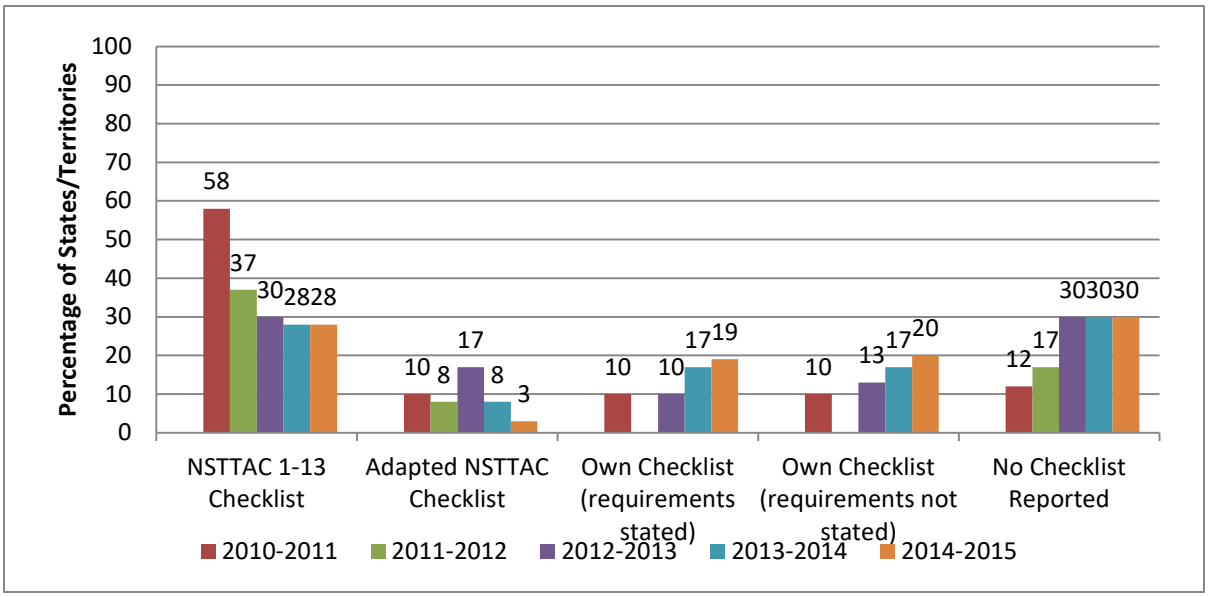
States are required to report data on "Percent of youth with IEPs aged 16 and above with an IEP that includes appropriate measurable postsecondary goals that are annually updated and based upon an age appropriate transition assessment, transition services, including courses of study, that will reasonably enable the student to meet those postsecondary goals, and annual IEP goals related to the student's transition services needs. There also must be evidence that the student was invited to the IEP Team meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority."

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

DATA SOURCES

States used a variety of checklists to measure Indicator 13 including the NSTTAC I-13 Checklist or their own checklist. Fourty-three states (72%) obtained data through state monitoring, while 17 (28%) states obtained data through a state database that includes data for the entire reporting year. Figure 1 illustrates the type of checklists used by states to measure Indicator 13.

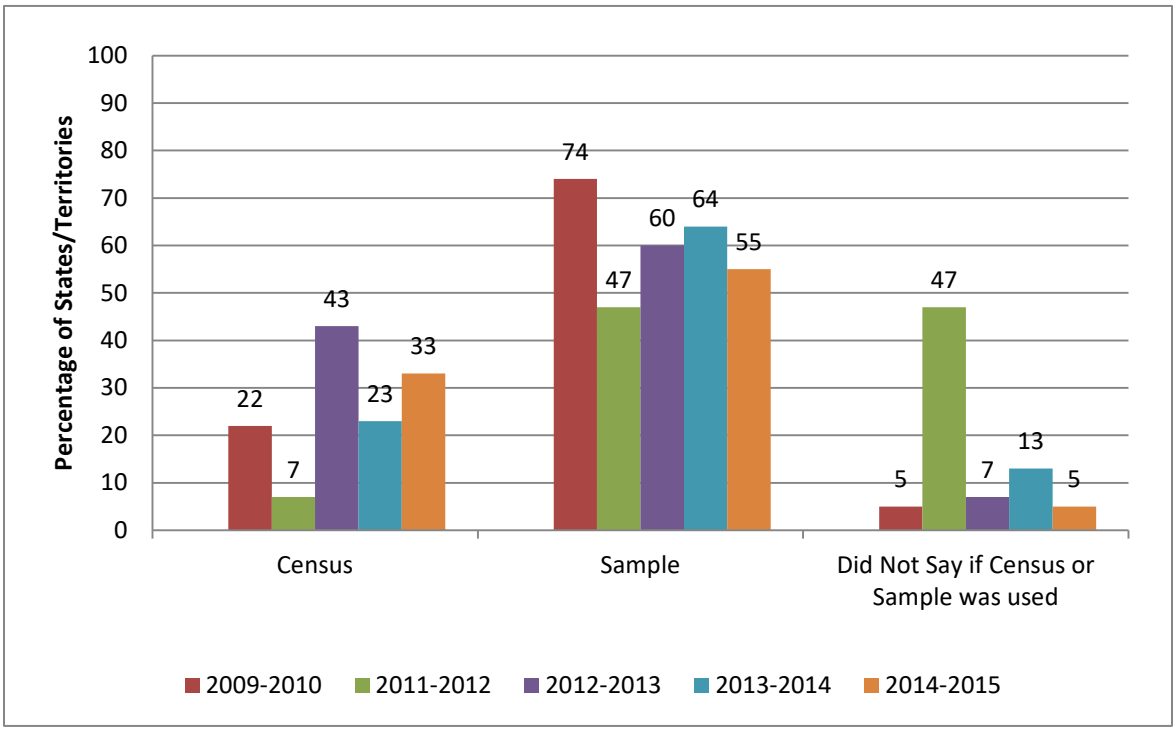
Figure 1. Type of Checklist Used to Collect Indicator B13 Data



MEASUREMENT APPROACHES

Fifty-seven (95%) states reported using either a sample or census method to collect Indicator 13 data. Additionally, 43 (72%) of the states reported that their State Education Agency collected the data used to report Indicator 13 data. Figure 2 summarizes the type of method used to collect data.

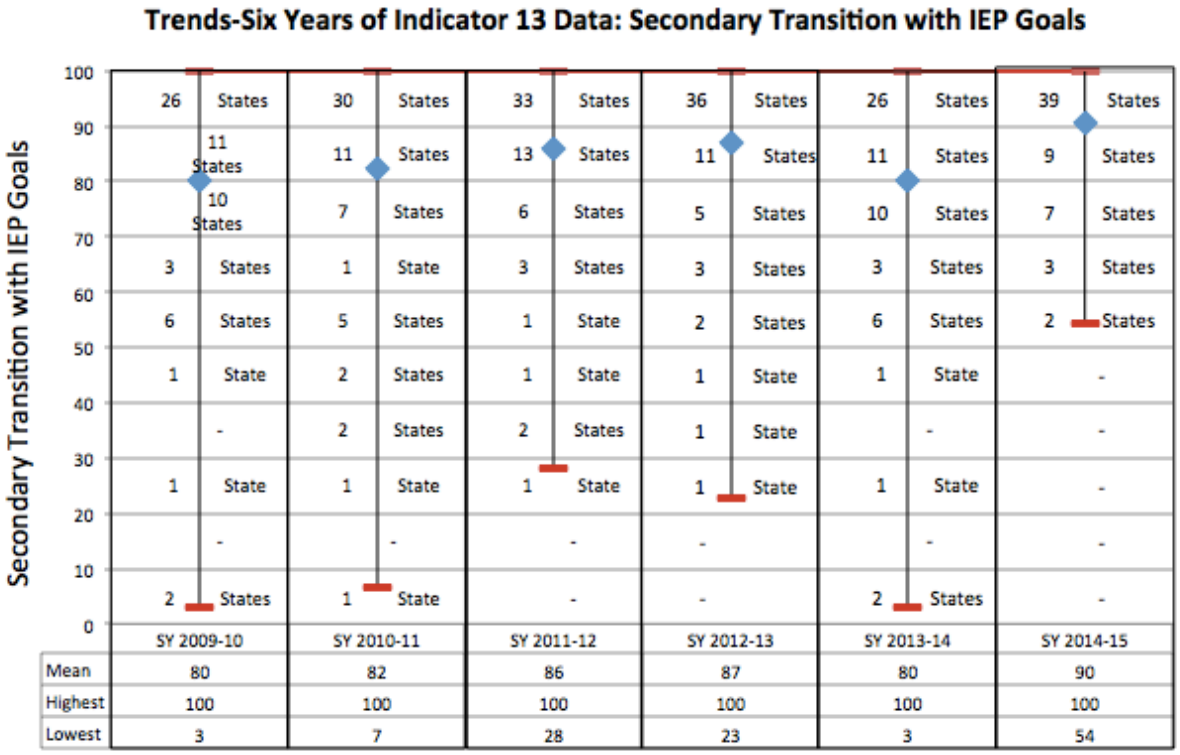
Figure 2. Method Used to Collect Indicator B13 Data



ACTUAL PERFORMANCE

This submission is the fifth after states established a new baseline in 2009-2010. Figure 3 indicates performance ranged from 54% to 100% with a mean of 90%. The median was 96.7%. Overall, the state mean has increased from 80% in FFY 2009-2010 to 90% in FFY 2014-2015.

Figure 3. Six Year Trends of Indicator B13 Data



CONCLUSION

For 2014-2015, four (7%) states reported 100% compliance for Indicator 13. State averages ranged from 54% to 100% with a mean of 90%. Compared to last year, 40 (66.67%) states showed progress with performance ranging from 67% to 100% with a mean of 94%. Overall, the state mean has increased from 80% in FFY 2009-2010 (the new baseline year) to 90% in FFY 2014-2015.

Indicator 14: Post-School Outcomes

Prepared by the National Technical Assistance Center on Transition (NTACT)

INTRODUCTION

This is a summary of states' Federal Fiscal Year 14 (FFY14) submission of Indicator 14.

Indicator 14 requires states to report the "*percent of youth who are no longer in secondary school, had IEPs in effect at the time they left school, and were:*

A. *Enrolled in higher education within one year of leaving high school.*
B. *Enrolled in higher education or competitively employed within one year of leaving high school.*
C. *Enrolled in higher education or in some other postsecondary education or training program; or competitively employed or in some other employment within one year of leaving high school*".

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

These data were reported to the Office of Special Education Programs (OSEP) on February 1, 2016. The National Technical Assistance Center on Transition (NTACT) at the University of Oregon analyzed the APRs submitted by the 50 states, nine jurisdictions/entities, and District of Columbia. Collectively, we refer to these as the 60 states in this report. Percentages are based on a total number of 60 and may exceed 100% due to rounding. When the actual number of states is less than 60, numbers of states are provided, not a percentage.

DATA SOURCES

In responding to the indicator, states could use data from a post-school outcomes survey, conducted with former students or their designee one year after students leave high school, or by using administrative records databases. States uploaded their SPP/APR to the GRADS360 site. The format of the GRADS360 reporting template includes the following reporting prompts:

1. State's historical data from previous years (provided from previous reporting);
2. Targets;
3. Description of Stakeholder Input;
4. FFY 2014 SPP/APR data specific to the number of respondent youth, number of respondent youth in each of the four measurement categories – higher education, competitive employment, some other postsecondary or training program, and other employment. From these numbers, the GRADS360 program calculates the three measures, A, B, and C.
5. Explanation of slippage for each measure (as appropriate);
6. Additional information about this indicator (optional)
7. Actions required in FFY 2013 response

8. OSEP response; and
9. Required actions.

Other information may be requested of the state in the GRADS360 APR submission based on responses given or data entered. For example, if slippage was detected, states may include an Explanation of Slippage.

To analyze Indicator 14, NTACT staff coded all 60 APRs using a structured coding protocol. OSEP staff supplied the spreadsheet of baseline, targets, data, whether targets were met, and the difference between FFY13 and FFY14 data for Indicator 14 measures A, B, and C. Data supplied to the Center by OSEP were used to calculate national median aggregate percentages. In the following section, we describe (a) whether the state used a census or sample, (b) the method used to collect post school outcomes (PSO) data, and (c) states' response rates and representativeness.

Census versus Sample

To address Indicator 14, states had the option of conducting either a *census* of all student leavers with an IEP or a *representative sample* of students with an IEP leaving high school (one year out). When using a sample, the sample had to be representative of each of the LEAs sampled based on disability category, age, race, and gender.

Of the 60 states, 63% (n = 38) of states reported collecting PSO data from a census of all leavers with an IEP and 37% (n = 22) of states reported collecting data from a representative sample of leavers.

METHODOLOGY & MEASUREMENT APPROACHES

Method of Data Collection

The method used to collect PSO data is at the States' discretion. In FFY14, 29 states reported the method used to collect PSO data. Of those states that reported method of data collection, survey methodology continues to be the dominant method used by states (n = 25) to collect PSO data. Four states reported using only administrative databases to collect PSO data.

Response Rate and Representativeness

The response rate for PSO data collection is calculated by dividing the number of youth contacted and who completed the survey by the total number of youth with an IEP who left school in the year, less any youth ineligible for the survey. Ineligible youth are those who returned to school or are deceased. This year, 28% of states (n = 17) reported a response rate or included sufficient information in the APR to calculate the response rate; a decrease in the number states reporting a response rate in FFY13

(n = 22) by 5 states. Unfortunately, 72% of states (n = 43) did not report or include sufficient information to calculate response rate. For FFY14, 43 states either did not

report a response rate or did not include sufficient information to calculate a response rate. FFY14 reported response rates ranged from 14% to 100%; national median response rate was 50.86%, a slight increase over the national average of 49.28% in FFY 2013.

When using survey methods it is important to understand how similar the respondents are to the target population as a measure of confidence that the results reflect all students who left school. In years past, when examining whether the respondent group is representative of the target leaver group, five subgroups were examined: (a) disability category, (b) gender, (c) race/ethnicity, (d) exit status, and (d) age. In 2006, the National Post-School Outcomes Center (NPSO) staff set the guideline of "important difference" at ±3% to determine whether the respondents represented the target leaver group. A ±3% difference between the proportion of youth in the respondent group and the proportion of youth in the target group in each subgroup was sufficient to say the respondent group was not representative of all students who left school in that subgroup. Applying a ±3% difference between the respondent group and the target leavers is consistent with the NPSO Response Calculator approved by OSEP. Although, NTACT did not code for this information in the FFY14 APRs due to insufficient information in the APRs, 18% of states (n = 11) reported using the ±3% criterion to determine representativeness and 6% of states (n = 4) used some other criteria (e.g., chi-square, regression analysis).

FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS

Achieved Data

Achieved data refers to the FFY14 engagement data states collected on youth who were out of school for at least one year. These data are generally collected by states between May and September. To calculate measures A, B, & C, each respondent is counted only once and in the highest applicable category (i.e., 1 through 4 below), with 1 being the highest, 2 second highest, and so forth.

1 = # of respondent leavers enrolled in "*higher education.*"

2 = # of respondent leavers in "*competitive employment*" (and not counted in 1 above).

3 = # of respondent leavers enrolled in "*some other postsecondary education or training*" (and not counted in 1 or 2 above).

4 = # of respondent leavers in "*some other employment*" (and not counted in 1, 2, or 3 above).

Measure percentages are calculated using the formula:

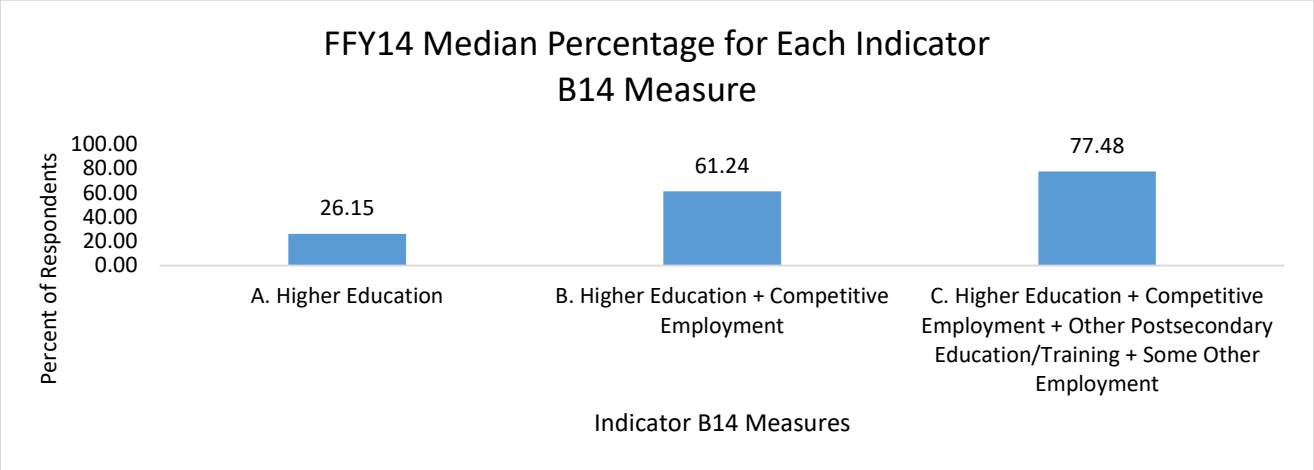
A = 1 divided by total respondents

B = 1 + 2 divided by total respondents

C = 1 + 2 + 3 + 4 divided by total respondents

All 60 states reported data for FFY 2014. Figure 1, *FFY 2014 Median Percentage for Each Measure*, shows the national median aggregate of the percent of youth engaged in each measure A, B, and C. The median percent of youth reported in measure A, enrolled in higher education, was 26.15% (*sd* = 12.47), range 0% to 62.86%. The median percent reported in measure B, enrolled in higher education plus competitively employed, was 61.24%, (*sd* = 14.03), range 0% to 82%. The median percent of youth reported in measure C, enrolled in higher education + competitively employed + some other postsecondary education or training program + in some other employment was 77.48% (*sd* = 11.52), range 36.93 to 100%.

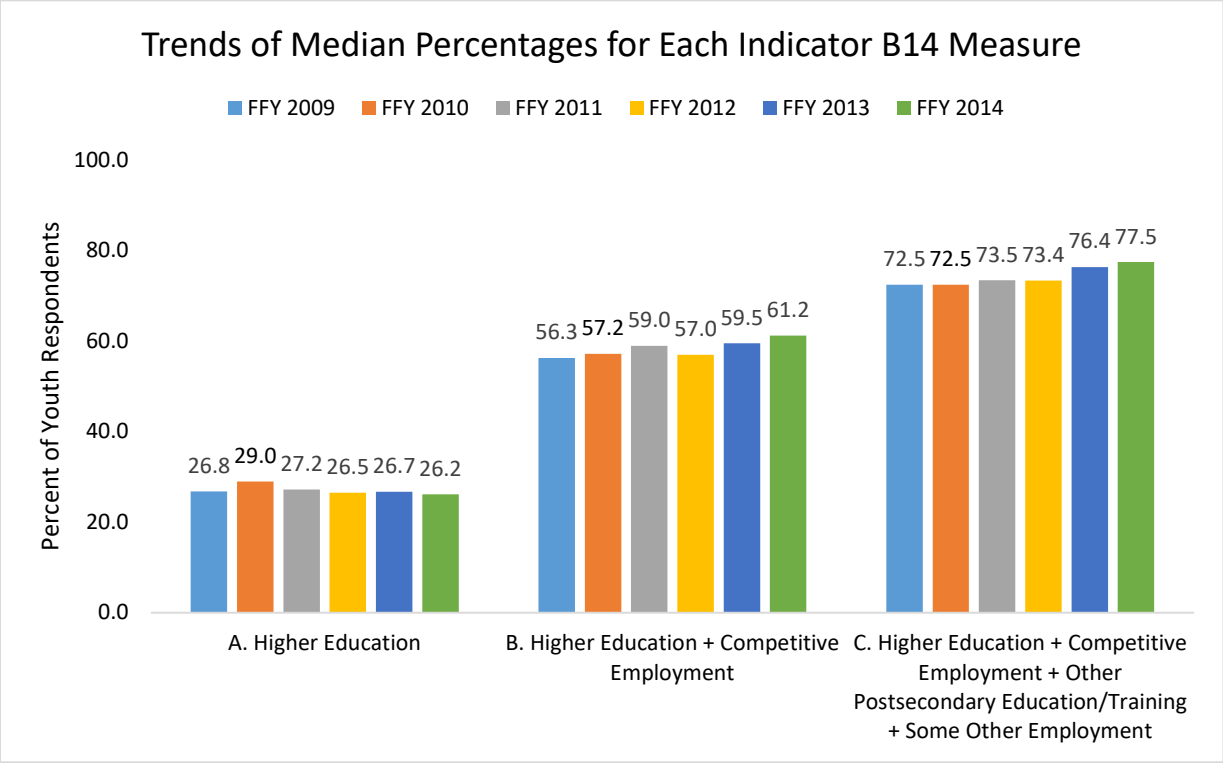
Figure 1. FFY 2014 Median Percentage for Each Indicator B14 Measure



Trends

Figure 2, *Trends of Median Percentages for Each Indicator B14 Measure*, shows the aggregate median percentage for baseline year FFY 2009 through FFY 2014. Across the six years of PSO data, there is fluctuation in measure A, with a slight decrease over baseline. There is a steady increase in the percent of youth engaged in measure B, and an increase in the overall engagement in measure C.

Figure 2. Trends of Median Percentages for Each Indicator B14 Measure



Targets Met

In FFY14, 25 states met the target set for Measure A, a decrease from the 31 states that met Measure A target in FFY13. This year, 34 states met the target set for Measure B, a decrease from 49 states that met Measure B target in FFY13. Finally, 42 states met the target set of Measure C in FFY14, an increase from the 40 states that met Measure C target in FFY13.

Differences between 2014 and 2013

Figure 3 shows the median change in percentages points between 2014 and 2013 for Measure A was .05 (*sd* = 7.34), with the range being -19.05 to 43.11.

Figure 3. B14A Differences between 2014 and 2013 by State

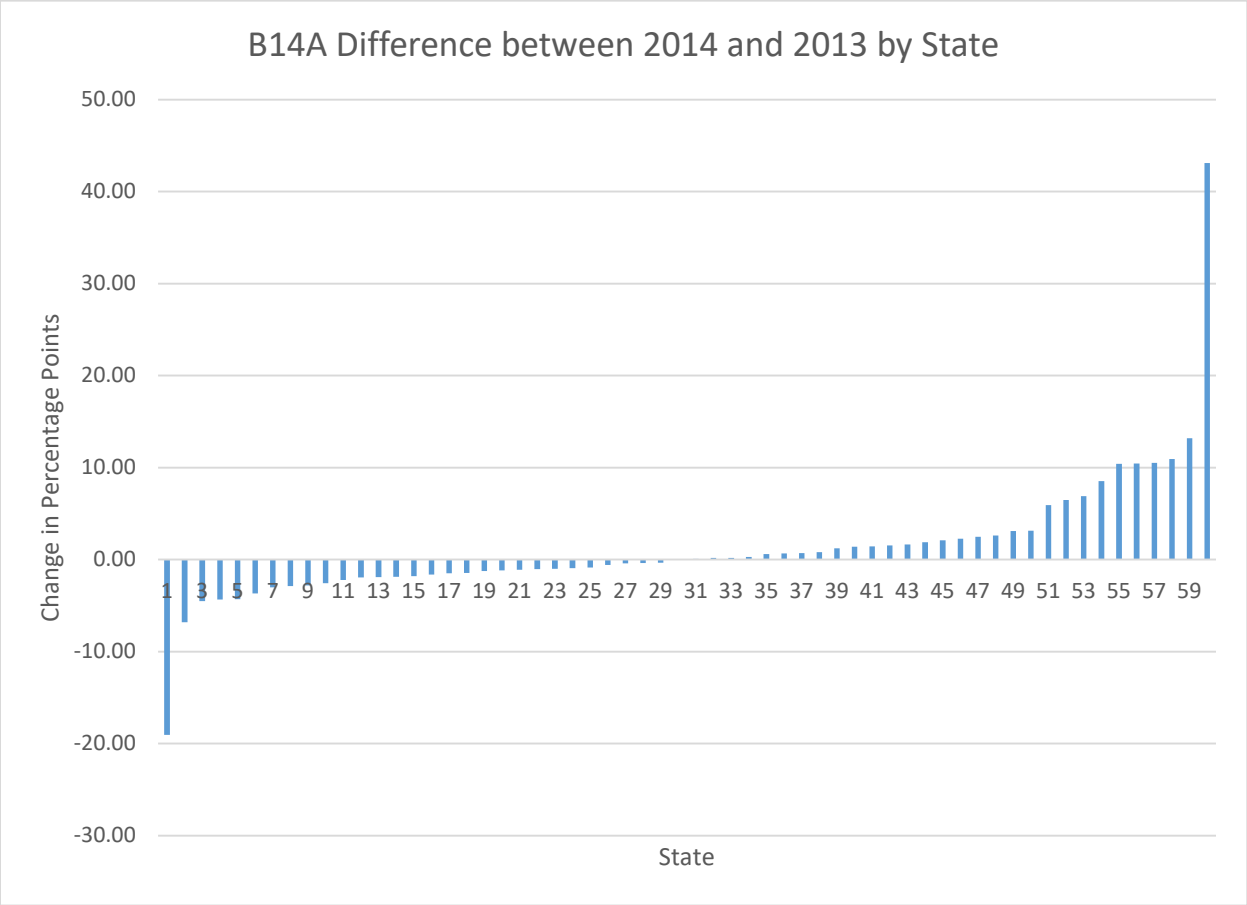


Figure 4 shows the median change in percentages points between 2014 and 2013. For Measure B it was .95 (*sd* = 7.93), with the range being -29.48 to 26.12.

Figure 4. B14B Differences between 2014 and 2013 by State

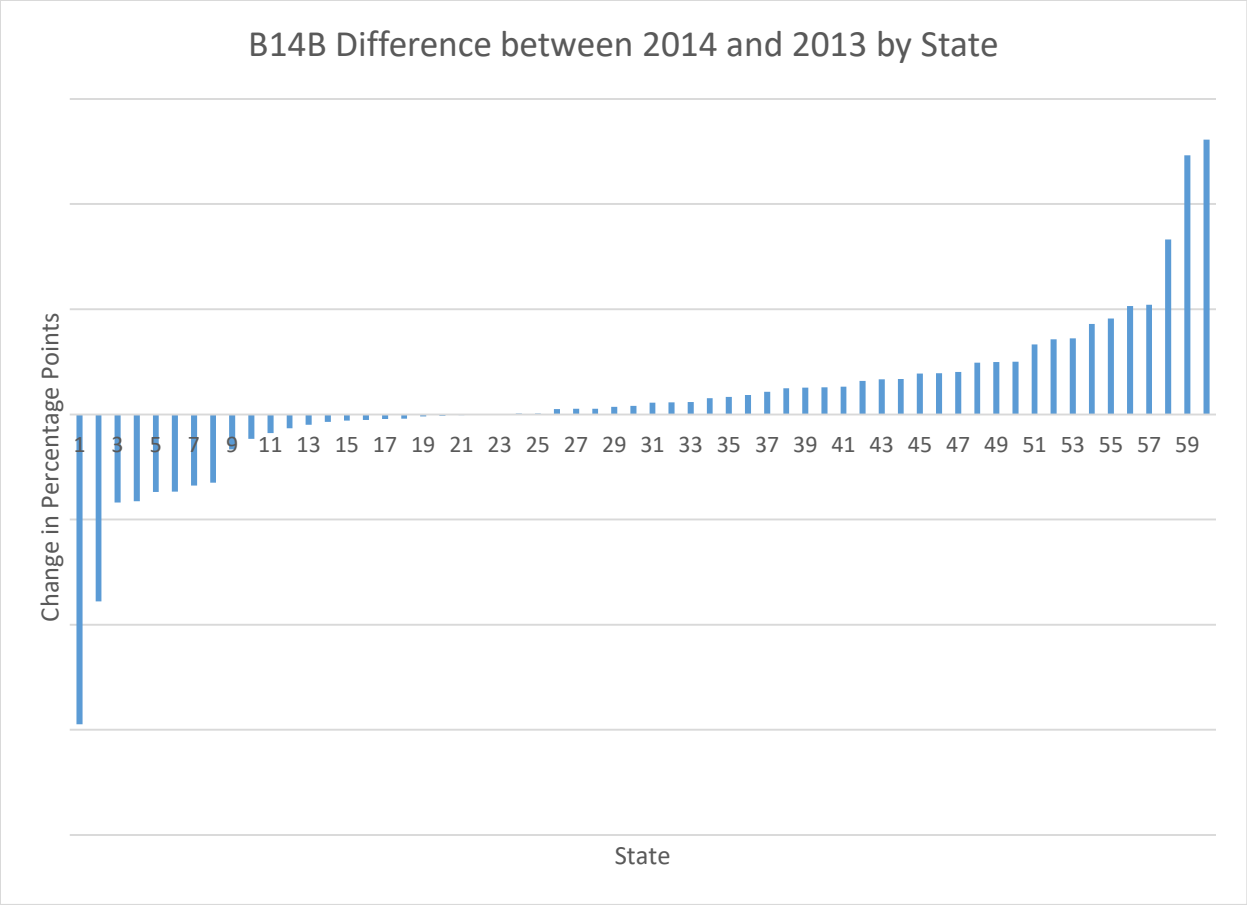
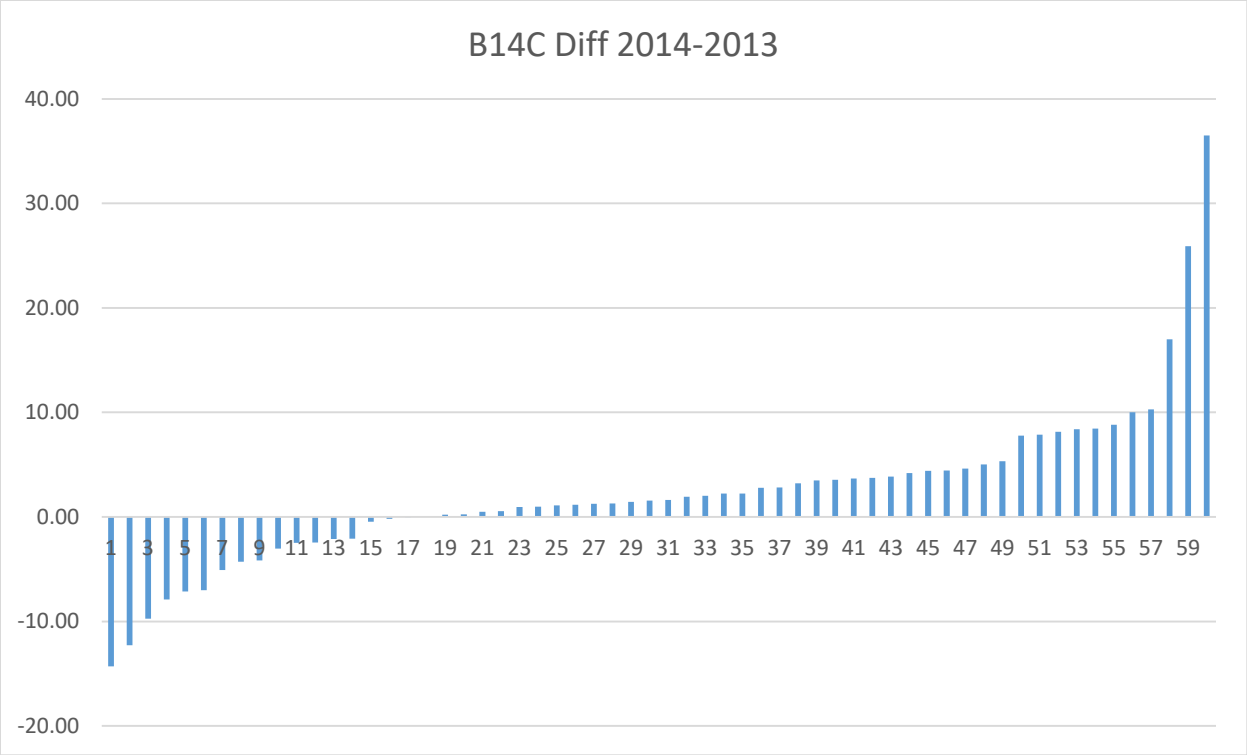


Figure 5 shows the median change in percentages points between 2014 and 2013. For Measure C it was 1.60 (*sd* = 7.74), with the range being -14.29 to 36.48.

Figure 5. B14CDifferences between 2014 and 2013 by State



CONCLUSION

In response to the requirements for Indicator 14, post-school outcomes, states have developed a data collection method for collecting post-school outcomes for former students with disabilities. Most states make a concerted effort to collect reliable and valid data in a practical manner. In order for NTACT staff to verify key data elements such as response rate and representation, states must go beyond the reporting prompts in GRADS360. Unfortunately, most states provide insufficient information to verify their reporting. For example, to verify response rate requires that states report the total number of leavers who exited school in the reporting year; a data element not requested in GRADS360. In FFY14, only 16 states reported a response rate, and only 11 states reported the total number of leavers.

Although the percent of youth enrolled in higher education, as measured by Measure A, has not maintained baseline, the percent of youth reported as competitively employed, as measured by Measure B, and the overall engagement of youth with disabilities one year out of high school, as measured by Measure C, has increased in FFY14 over baseline in FFY 2009. The percent of youth reported in Measure B has increased from 56.3% in FFY09 to 61.2% in FFY14 and in Measure C, the percent of youth engaged

has gone from 72.5% in FFY09 to 77.5% in FFY14. Overall, based on information provided in the states' APR, improvement is headed in the right direction.

INDICATORS 15 & 16: DISPUTE RESOLUTION

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

INTRODUCTION

The IDEA requires states receiving grants under Part B 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.[4] The processes, which include signed written complaints, mediation, due process complaints, and resolution meetings associated with due process, offer formal means for resolving disagreements and issues arising under the IDEA.

The following are brief analyses of states' Federal Fiscal Year (FFY) 2014 Annual Performance Reports (APRs) for Indicators 15 (Resolution Meetings Resulting in Written Settlement Agreements) and 16 (Mediations Resulting in Written Agreements).[5,6]

DATA SOURCES AND METHODOLOGY

Data sources for this report include FFY 2014 APRs and 618 data, available through the GRADS360 OSEP portal. These analyses are specific to state performance on Indicators B15 and B16, and do not present a complete picture of dispute resolution activity.

SUMMARY BY INDICATOR

Indicator 15: Resolution Meetings Resulting in Written Settlement Agreements

Indicator 15 is a performance indicator that documents the percentage of resolution meetings resulting in written settlement agreements. States are required to report any activity relating to Indicator 15; however, they are not required to set a performance target if fewer than 10 resolution meetings were held in a single year.

The performance bands in Figure 1 (below) display states' performance on the percentage of resolution sessions resulting in written settlement agreements across the last six years. Fifty-four (54) states reported Indicator 15 activity in 2014-15; six states/entities reported no activity.

The blue diamonds on each performance band in Figure 1 indicate the mean, or average, rate of agreement across states for that year.[7] The average state rate of performance for Indicator 15 across all states for the last six years is 51.6%.

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[4] For the purposes of this report, the terms "states" and "states/entities" are used interchangeably to refer to all 60 Part B grant recipients (i.e., the Fifty States, the District of Columbia, the Bureau of Indian Education (BIE), Puerto Rico, the Virgin Islands, American Samoa, Guam, the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau).

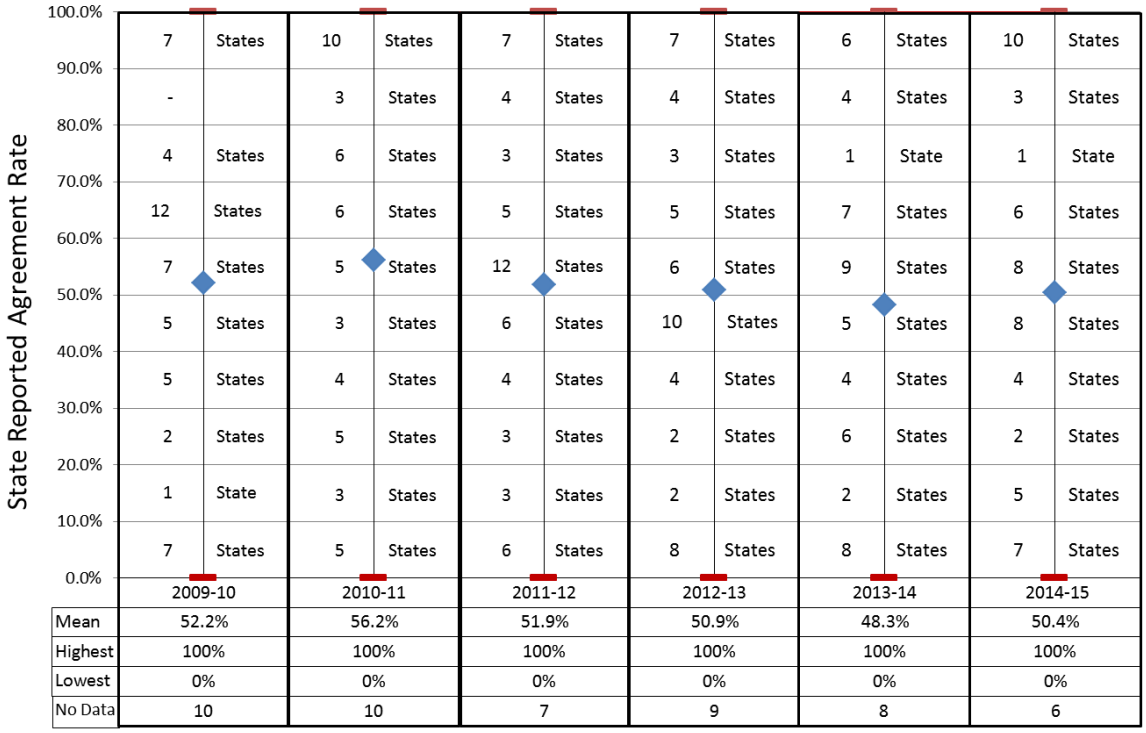
[5] The reporting period (July 1, 2014-June 30, 2015) began during FFY 2014.

[6] These indicators were reported as B18 and B19 in previous years' APRs.

[7] For this "average of state agreement rates", all states contribute equally to the calculation regardless of the level of activity.

Figure 1

Trends - Six Years of Indicator B15 Data: Resolution Session Agreement Rate



	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
	7 States	10 States	7 States	7 States	6 States	10 States
	-	3 States	4 States	4 States	4 States	3 States
	4 States	6 States	3 States	3 States	1 State	1 State
	12 States	6 States	5 States	5 States	7 States	6 States
	7 States	5 States	12 States	6 States	9 States	8 States
	5 States	3 States	6 States	10 States	5 States	8 States
	5 States	4 States	4 States	4 States	4 States	4 States
	2 States	5 States	3 States	2 States	6 States	2 States
	1 State	3 States	3 States	2 States	2 States	5 States
	7 States	5 States	6 States	8 States	8 States	7 States
Mean	52.2%	56.2%	51.9%	50.9%	48.3%	50.4%
Highest	100%	100%	100%	100%	100%	100%
Lowest	0%	0%	0%	0%	0%	0%
No Data	10	10	7	9	8	6

Note: "No data" indicates the number of states/entities reporting no activity or lacking valid/reliable data.

Historically, one state has accounted for nearly two-thirds of all resolution meeting activity each year and that state reported substantial decreases for 2014-15 in due process complaints filed (-19%) and in resolution meetings held (-17%). That state also reported the lowest agreement rate of all states (4.8%).

Of the 54 states reporting resolution meeting activity, 42 had established targets for 2014-15.[8] (A target is required only when a state has ten or more resolution meetings in a single year. Some states not required to set targets did so anyway.) Targets ranged from 6% to 100%, with half of the targets set above 50% and half set targets at or below 50%. Thirteen (13) of the 21 states with "low targets" (50% or below) met their targets, while only nine of the 21 states with more ambitious targets (>50%) met them. However, 14 of these "higher target" states had actual performance exceeding 50%, while five of the 21 "low target" states exceeded 50% in actual performance.

Low targets (low expected performance) and low actual performance may reflect state

[8] Thirteen states set ranges for their targets (e.g., 60% to 70%). CADRE selected the low end of the range for this analysis.

or local systemic and cultural characteristics, (e.g., more frequent convening of resolution meetings than other states; the role of advocates or attorneys). Other characteristics of the resolution process may also impact resolution settlement agreement rates (e.g., the use of third party neutrals, such as resolution meeting facilitators, by some states produces higher rates of agreement).

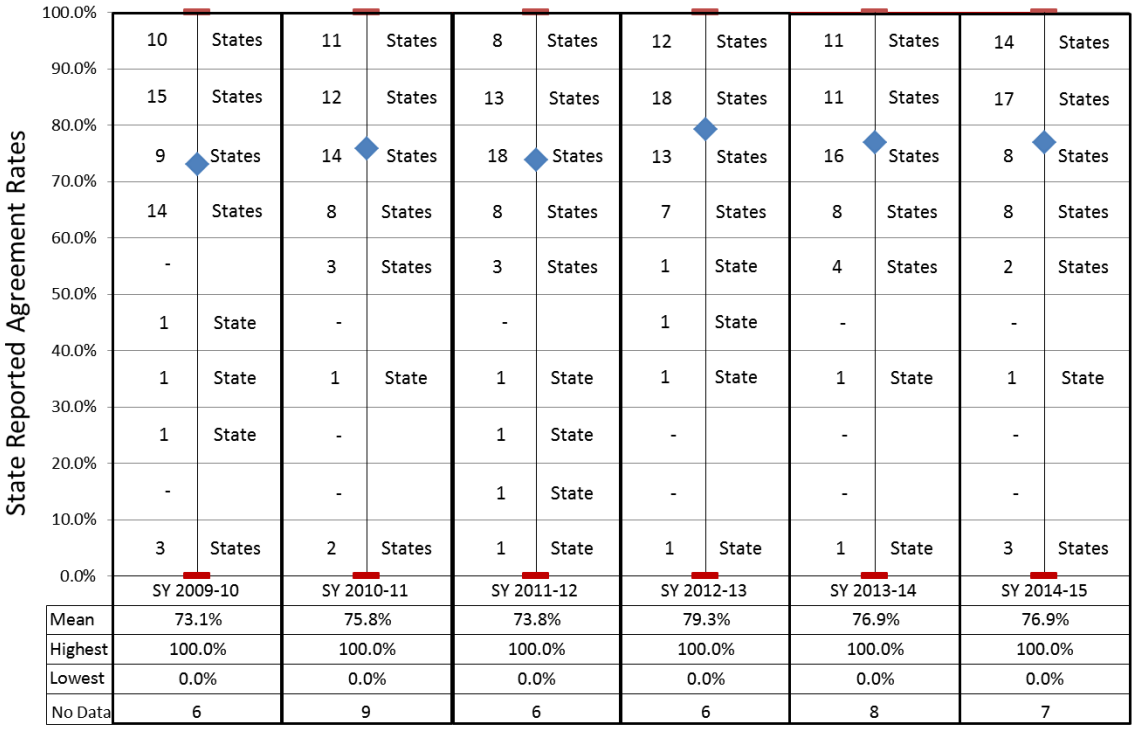
Indicator 16: Mediations Resulting in Written Agreements
Indicator 16 is a performance indicator that documents the percentage of mediations held that result in written agreements. Fifty-three (53) states reported mediation activity in 2014-15. States are required to report all activity relating to Indicator 16, but are not required to set a target if fewer than ten mediations are held in a single year.

A few states account for most mediation activity, with one state reporting over 2,100 mediations held. The state that has the greatest number of resolution meetings (and the lowest agreement rate) makes relatively little use of mediation. The seven entities that reported no mediation activity were all Pacific Island and other outlying jurisdictions.

The performance bands in Figure 2 (below) display states' performance on the percentage of mediations resulting in agreements during the last six years. The average state reported mediation agreement rate for 2014-15 was 76.9%. Performance on this Indicator has been steady over time, with rates averaging 76.0% over the past six years. In 2014-15, 39 states reported that 70% or more of mediations resulted in agreements (49 states were at or above 50%). Nine of those states reported mediation agreement rates of 100%.

Figure 2

Trends - Six Years of Indicator B16 Data: Mediation Agreement Rates



	SY 2009-10	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15
	10 States	11 States	8 States	12 States	11 States	14 States
	15 States	12 States	13 States	18 States	11 States	17 States
	9 States	14 States	18 States	13 States	16 States	8 States
	14 States	8 States	8 States	7 States	8 States	8 States
	-	3 States	3 States	1 State	4 States	2 States
	1 State	-	-	1 State	-	-
	1 State	1 State	1 State	1 State	1 State	1 State
	1 State	-	1 State	-	-	-
	-	-	1 State	-	-	-
	3 States	2 States	1 State	1 State	1 State	3 States
Mean	73.1%	75.8%	73.8%	79.3%	76.9%	76.9%
Highest	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Lowest	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
No Data	6	9	6	6	8	7

Note: "No data" indicates the number of states/entities reporting no activity or lacking valid/reliable data.

Forty-five (45) states set targets for 2014-15[9], including states that were not required to do so and one of those had no activity. (Only two states set targets below 56%) Thirty-five (35) states met their target, while nine states did not meet their target. One state that set a target had no activity. Seven states/entities reported no mediation activity.

The relatively strong performance in mediation agreement rates compared to the weaker rates of agreement in resolution meetings may indicate that third parties (mediators or resolution facilitators) can help parties reach agreement where they have not been able to do so without assistance.

[9] Again, thirteen states set ranges for their targets (e.g., 60% to 70%). CADRE selected the low end of the range for this analysis.

INDICATOR 17: STATE SYSTEMIC IMPROVEMENT PLAN — Phase II

Prepared by the National Center for Systemic Improvement (NCSI) with support from the IDEA Data Center (IDC) and the National Technical Assistance Center on Transition (NTACT).

INTRODUCTION

The State Systemic Improvement Plan (SSIP) is a comprehensive, multiyear plan that outlines a state's strategy for improving results for children with disabilities. It is the expectation of the Office of Special Education Programs (OSEP) that each state plan will focus on results that will drive innovation in the use of evidence-based practices (EBPs) in the delivery of services to children with disabilities. The SSIP is to be developed and implemented in three phases over the five-year life of each state's current State Performance Plan/Annual Performance Report (SPP/APR). Phase I of the SSIP was submitted by states April 1, 2015, and Phase II, which is analyzed here, was due to OSEP by April 1, 2016.

Engaging stakeholders, including parents of children with disabilities, general education partners, state advisory panels, parent training and information centers, and others, is a critical component in improving results for children with disabilities. Consequently, as was true for Phase I, states were expected to engage stakeholders and provide descriptions of their involvement in developing and implementing Phase II of the SSIP.

This report is based on information included in the Phase II SSIP submissions of Part B states, commonwealths, territories, and the Bureau of Indian Education, for a total of 60 agencies. These agencies are all referred to as "states" throughout this report.

MEASUREMENT

As noted in the Measurement Table for Part B Indicator 17 (SSIP), the focus of Phase II is on building states' capacity to support local education agencies (LEAs) with the implementation of EBPs that will lead to measurable improvement in State-identified Measurable Results (SIMRs) for children with disabilities.

The following are the reporting requirements for Indicator 17 (SSIP) as set forth in the FFY 2014 Part B Indicator Measurement Table.

- Baseline data must be established by each state (expressed as a percentage) and aligned with the SIMR.
- Measurable and rigorous targets (expressed as percentages) for the SIMR must be included for each of the five years from FFY 2014 through FFY 2018. The final target must show improvement over the baseline percentage.
- The Phase II plan must include these three components:
    - Infrastructure Development — Improvements that will be made to the state infrastructure to better support LEAs to implement and scale up EBPs to improve the SIMR.
    - Support for LEA Implementation of EBPs — How the state will support LEAs in implementing the EBPs that will result in changes in LEA, school, and provider practices to achieve the SIMR.

- Evaluation — Must include short-term and long-term objectives to measure implementation of the SSIP and its impact on achieving measurable improvement in the SIMR.

REVIEW PROCESS

A review protocol and a writing process were developed to systematically and consistently analyze the Phase II SSIPs submitted by all 60 states. A data collection tool was created, based in large part on the OSEP Phase II Guidance and Review Tool. Teams of two (or more) staff members from NCSI, IDC, and NTACT were formed, and each team was assigned to review approximately five states' Phase II SSIPs. Each reviewer was instructed to individually review the assigned states' SSIPs and complete the data collection tool for each state. Because the questions in the data collection tool were not questions that states were required to answer or necessarily address in their SSIP reports, categories of "could not tell," "did not describe," and "not applicable (N/A)" were created. Answers were coded to those responses when one of the other response options in the data collection tool was not apparent from a review of the SSIP. Also, an "other" category was created to capture information from the SSIPs that was not covered by one of the categories in a question. Each team subsequently met to reconcile all of their responses and resolve any discrepancies in their reviews. Then, one of the team members entered the reconciled review data into a database via Survey Monkey. After review data were entered for all 60 states, a writing team from NCSI analyzed the data from the reviews and prepared this report.

This analysis of all 60 Part B Phase II SSIPs follows OSEP's Phase II Guidance and Review Tool and is divided into sections addressing the components on which states were asked to report. Component 1 is Infrastructure Development, Component 2 is Support for LEA Implementation of EBPs, Component 3 is Evaluation, and a final component is Technical Assistance and Support. The report also includes information about stakeholder engagement in states' SSIP efforts; updates on SIMR baseline and target data; and a summary of revisions to states' SIMRs and Phase I SSIPs. The "n" size for all data, figures, and tables is 60 unless otherwise noted.

SIMR AND PHASE I REVISIONS

In Phase II, states had an opportunity to make revisions to their Phase I SSIP, including revisions to the SIMR. Thirteen states out of 60 (22%) indicated making revisions to the SIMRs reported in Phase I. Of the 13 SIMRs revised, ten (77%) are in the literacy/reading category, two (15%) are math SIMRs, and two (15%) are graduation SIMRs.

Some examples of the rationales that states provided for adjusting their SIMRs included:

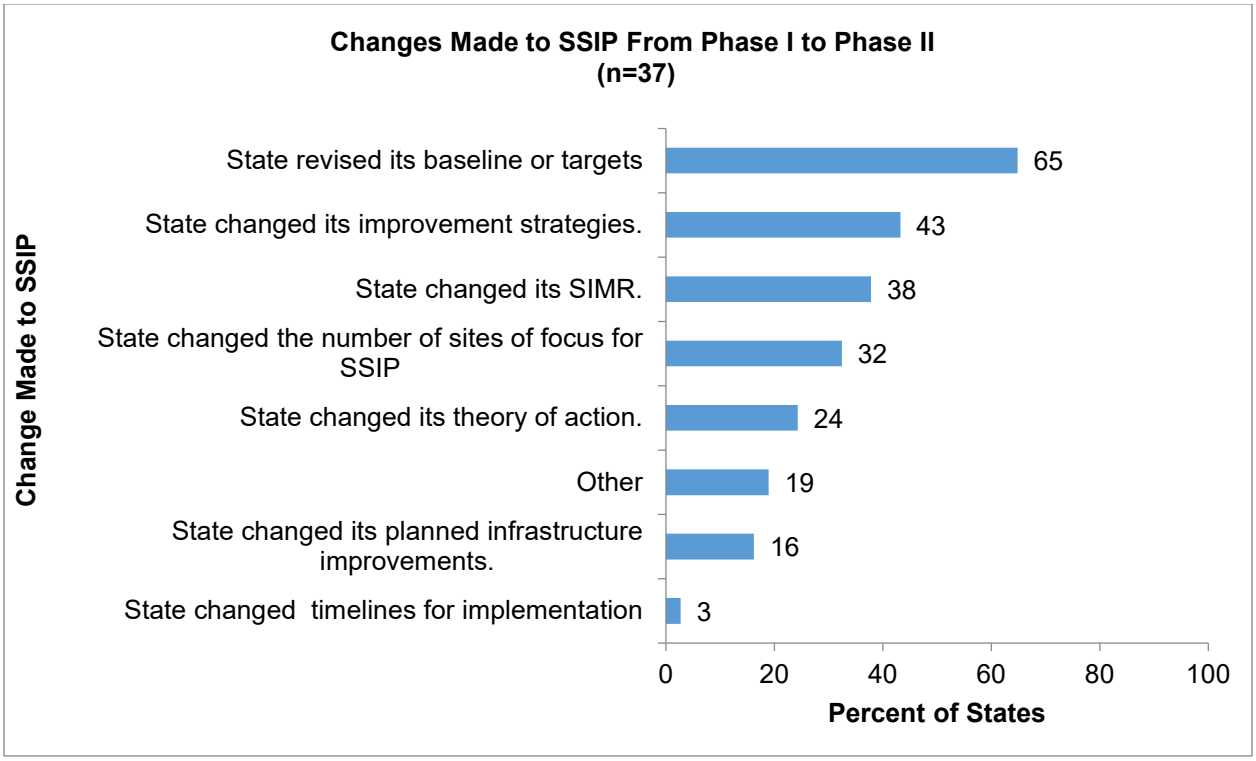
- better alignment of the SIMR with the Elementary and Secondary Education Act (ESEA) Waiver/Every Student Succeeds Act (ESSA);
- changes in measurement of student achievement from Annual Measurable Objective (AMO) to the English Language Arts (ELA) state test;
- recommendations from OSEP and stakeholders to align with sites participating in Part C SSIP;

- combining the State Personnel Development Grant (SPDG) and SSIP; and
- changes in assessment procedures.

In addition, 21 states out of 60 (35%) revised their SIMR baselines and 21 (35%) revised their targets. (It should be noted that not all states that revised their baselines revised their targets, or vice versa, so the same 21 states did not necessarily revise both baselines and targets.) As a result, although 27 states (45%) reported meeting the targets set in Phase I, no conclusions can be drawn about the remainder of the states, due to the numerous changes in baseline data, which make comparisons with the original targets inappropriate.

A total of 37 states (62%) noted revisions to their Phase I reports. While revised baselines or targets were the most commonly noted revisions (24 of 37 states, 65%), a number of states modified planned improvement strategies (16 of 37 states, 43%) or adjusted the number of sites that will be the focus for the SSIP (12 of 37 states, 32%). See Figure 1.

Figure 1



COMPONENT 1: INFRASTRUCTURE DEVELOPMENT

During Phase I, states were asked to analyze a number of their internal infrastructure systems, including professional development (PD), technical assistance (TA), monitoring/accountability, governance, data, fiscal and, quality standards systems. In Phase II, states used these analyses to identify infrastructure improvements that would support LEA implementation and scale-up of EBPs to improve SIMRs.

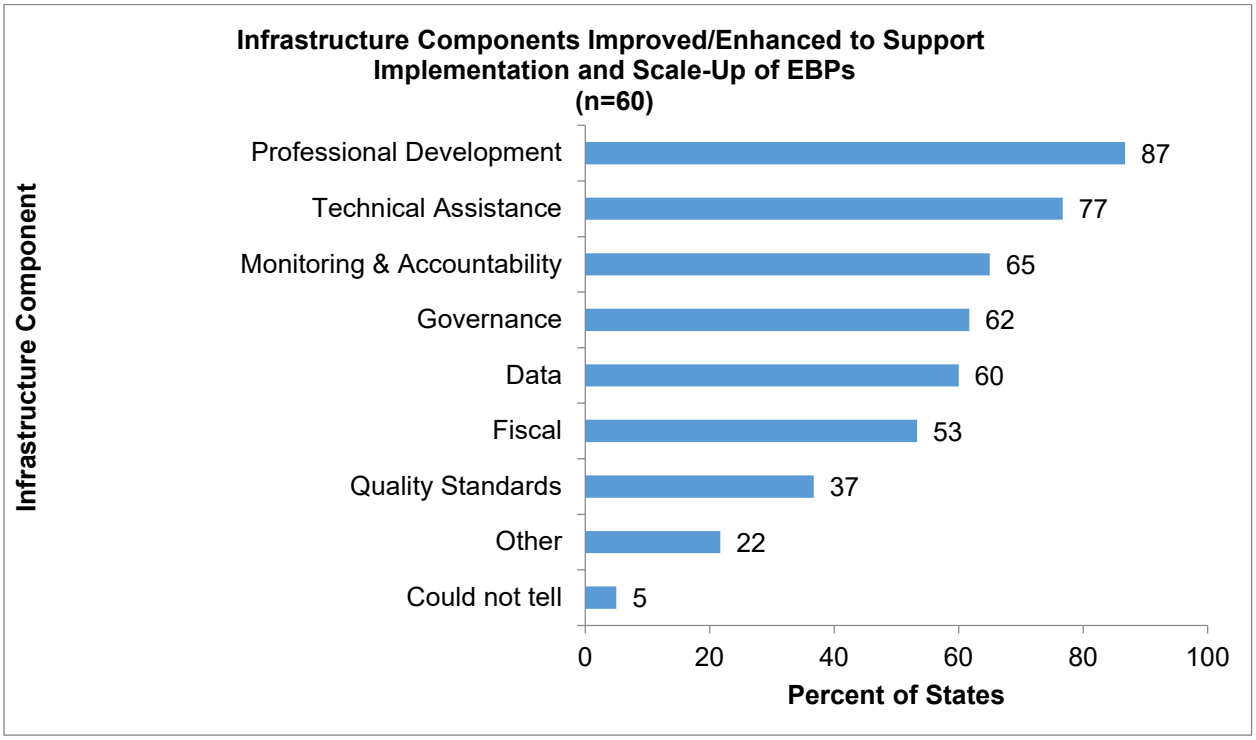
Improvements

States were requested to specify improvements that have been made or will be made to their infrastructure to better support LEAs to implement and scale up EBPs to improve results for children with disabilities. A review of the plans revealed implementation of infrastructure improvements has already begun in at least 39 states (65%). Additionally, 57 states (95%) showed evidence of addressing at least one of the aforementioned areas of infrastructure in their plan, while 49 of the 60 states (82%) were explicit in describing how the infrastructure improvements would enhance their ability to support LEAs to implement and scale up EBPs to address SIMRs. Forty-four states (73%) also included explanations of how infrastructure improvements will help sustain LEAs implementation of improvement activities/strategies.

States noted improvements to be made in all of the aforementioned components of infrastructure. The two most frequently identified areas for improvement were professional development, (52 states, 87%), and technical assistance (46 states, 77%). A smaller number of states (22 states, 37%) planned on making improvements or enhancements to their quality standards. See Figure 2.

In some cases, states also identified additional infrastructure components for improvement. For example, several states specifically identified collaboration, cultural competence, and/or communication as areas for improvement within their infrastructures.

Figure 2



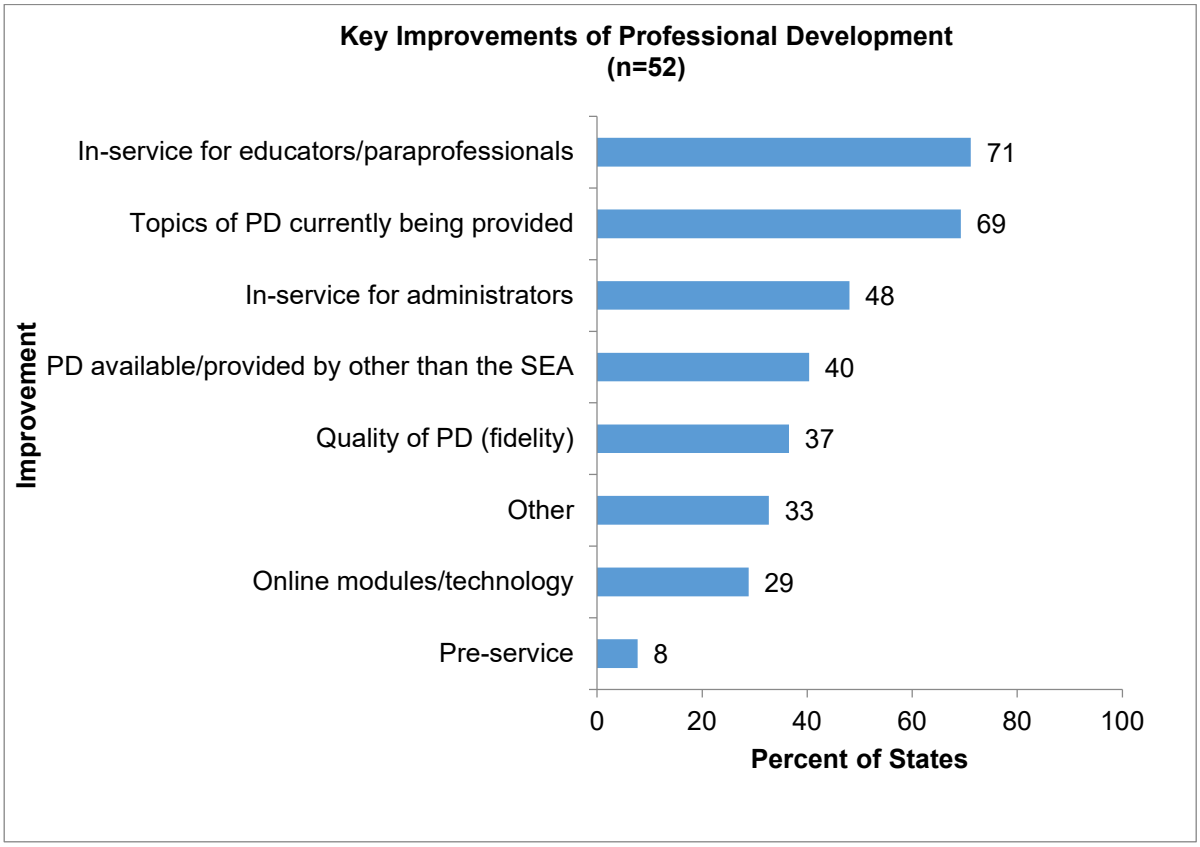
Professional Development

PD was the most frequently identified area of infrastructure improvement by states (52 states, 87%). Thirty-seven of those 52 states (71%) cited in-service offerings for educators/paraprofessionals, and 25 of the states (48%) cited in-service offerings for administrators. Thirty-six of the 52 states (69%) also named as an improvement the current topics of PD being provided. Nineteen states (37%) plan to better support LEAs in the quality or fidelity of the implementation of PD; fifteen states (29%) intend to use online modules/technology; and four states (8%) identified pre-service for teachers as an infrastructure improvement. See Figure 3.

Other planned improvements to states' PD systems included:

- providing parent trainers for families, to address reading interventions at home;
- focusing on mindful coaching;
- bringing together Multi-Tiered Systems of Support (MTSS) with mental health and suicide prevention programs;
- partnering with institutions of higher education to provide training to schools;
- focusing on Universal Design for Learning (UDL); and
- developing coaches and mentors for dual-language instructors.

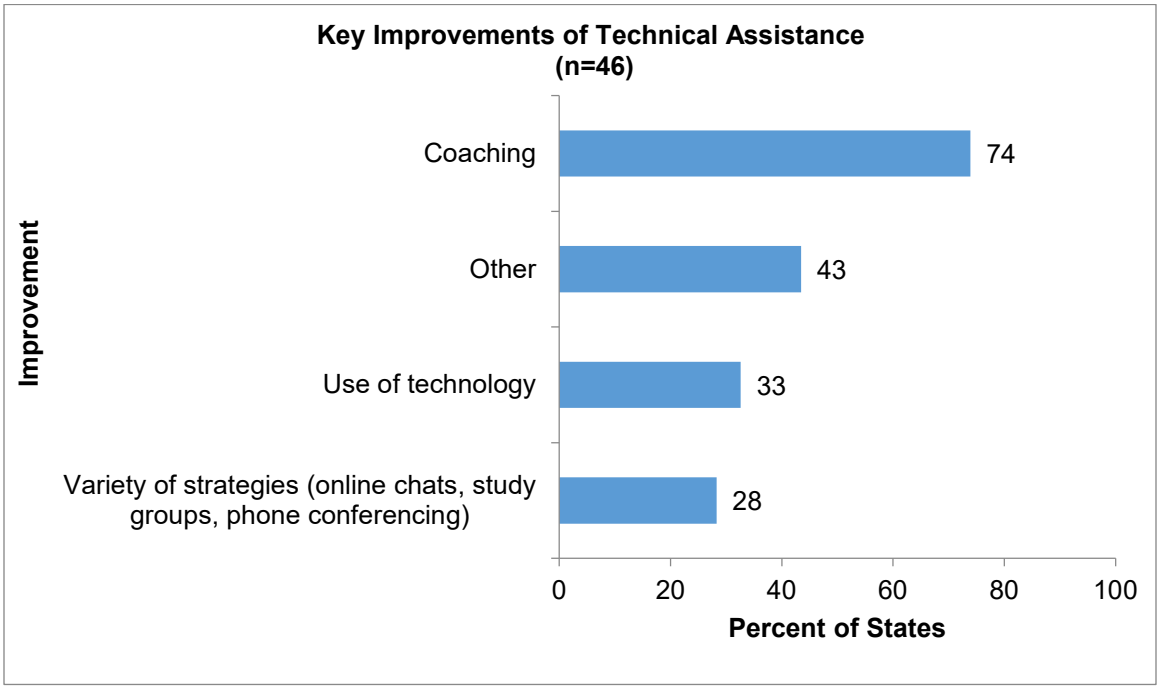
Figure 3



Technical Assistance

Forty-six states (77%) reported improvements to their TA infrastructures. Of those state responses, coaching was identified in 34 (74%) as a key improvement to support LEAs in implementation and scale-up of EBPs to improve results for students with disabilities. Thirteen states (28%) plan to use a variety of strategies, such as online chats, study groups, or phone conferencing, and 15 states (33%) plan to use some type of technology for TA. Other TA improvements reported by states include offering online book groups for promoting EBPs, providing train-the-trainer models, developing a coaching network, and providing teacher mentoring for data-informed decision-making. See Figure 4.

Figure 4



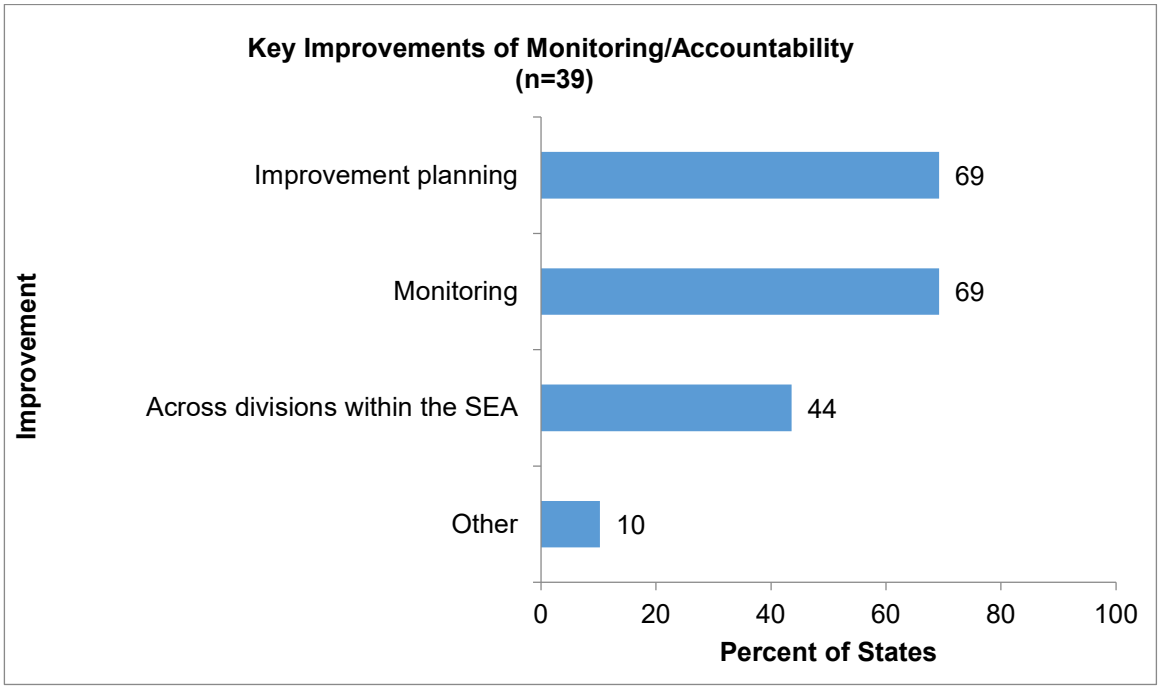
Monitoring and Accountability

Thirty-nine states (65%) indicated improvements related to monitoring and accountability. Of those states, twenty-seven (69%) noted that changes to monitoring systems were planned as part of their infrastructure improvement efforts and 27 of the 39 states (69%) cited enhancements to their improvement planning. Seventeen of these 39 states (44%) expect to make improvements across divisions within the state education agency (SEA), with the intent of supporting LEAs in implementation and scale-up of EBPs. See Figure 5.

Other examples of improvements that states indicated making to their monitoring and accountability systems or practices included:

- requiring all state initiatives to utilize the same improvement plan;
- developing an integrated monitoring system, shifting from a compliance-only system, to a system that includes results for students with disabilities;
- aligning ESSA and IDEA accountability systems; and
- integrating compliance, fiscal, and student performance in the statewide monitoring system.

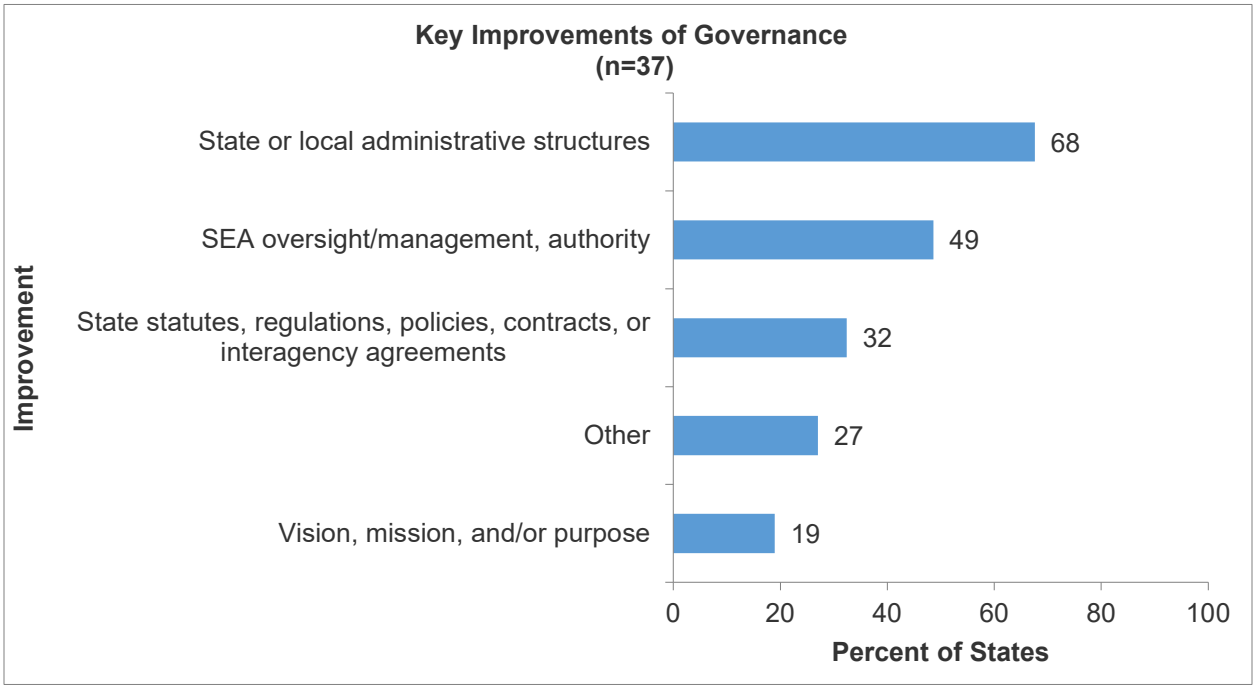
Figure 5



Governance

Thirty-seven states (62%) indicated making improvements in the area of governance. Of those states, the review revealed that the greatest number of states (25 of 37 states, 68%) identified improvements to be made in state or local administrative structures, such as merging special education and elementary and secondary education at the state level, or establishing a new state office on families and community engagement. Eighteen of the 37 states (49%) reported planning to make improvements to the state's oversight/management or authority, and 12 states (32%) planned changes in statutes, regulations, policies, contracts, or interagency agreements. For example, one state noted plans to develop a policy on school climate and positive behavior intervention and support, and another state reviewed interagency agreements to ensure that the current infrastructure supports the implementation of high-quality early literacy instruction. A third state mentioned a revision to state board policy to provide comprehensive supports to students through a multi-tiered system of supports (MTSS). Seven states (19%) plan to improve vision, mission, and/or purpose statements. Additionally, in the "Other" category, one state indicated plans to improve and strengthen relationships with stakeholders. See Figure 6.

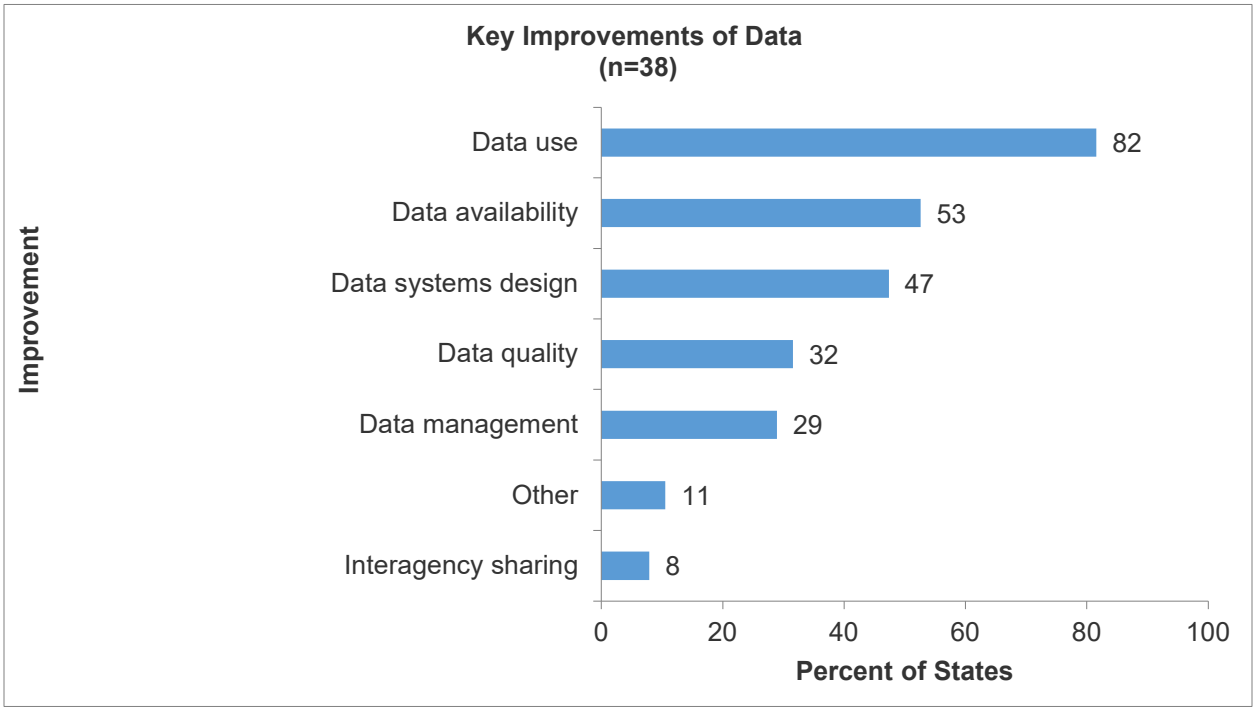
Figure 6



Data

Thirty-eight states (63%) noted improvements in data infrastructure. The review revealed that 31 (82%) of those 38 states intend to improve the use of data to support LEAs. Twenty of 38 states (53%) focused on data availability, 18 states (47%) on data systems design, 12 states (32%) on data quality, and 11 states (29%) on data management. Within these data categories, state plans describe establishing regular meeting times to review early warning system data, to monitor students with disabilities who are off-track for graduation; using EBPs with students with disabilities who are off track for graduation; aligning Part B and Part C data systems into a seamless system; and designing a tracking system to produce reports and improve data accessibility. See Figure 7.

Figure 7

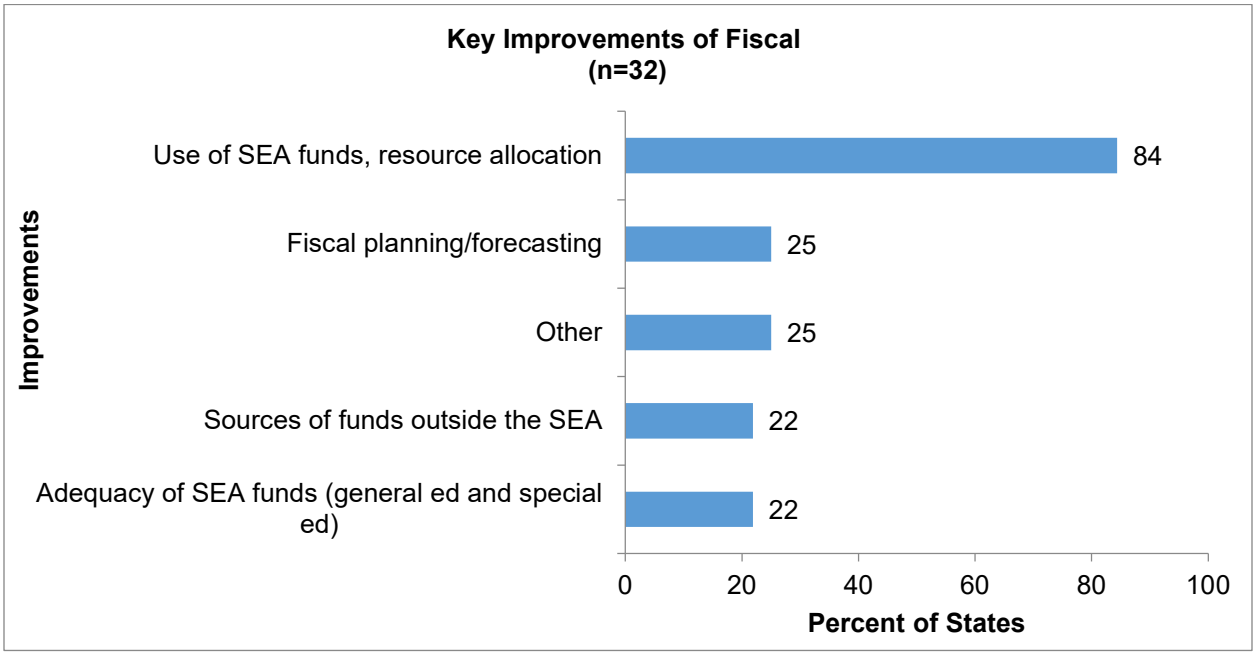


Fiscal

Thirty-two states (53%) noted fiscal improvements. The most frequently cited fiscal improvement, noted by 27 of the 32 states (84%), was the use of SEA funds and resource allocation. Eight of the states (25%) noted strategies related to fiscal planning/forecasting, seven states (22%) noted improvements to address adequacy of general and special education SEA funds, and seven states (22%) noted the use of funds from outside the SEA. See Figure 8.

Some other examples of states' planned fiscal improvements included providing incentives to support SSIP implementation, such as capacity-building grants to districts to support adoption of EBPs or to encourage participation in "book studies," and examining federal funding streams in order to blend and braid these federal funding resources appropriately. In addition, one state mentioned plans to provide technical assistance to LEAs on appropriately allocating and using funds to support EBPs.

Figure 8

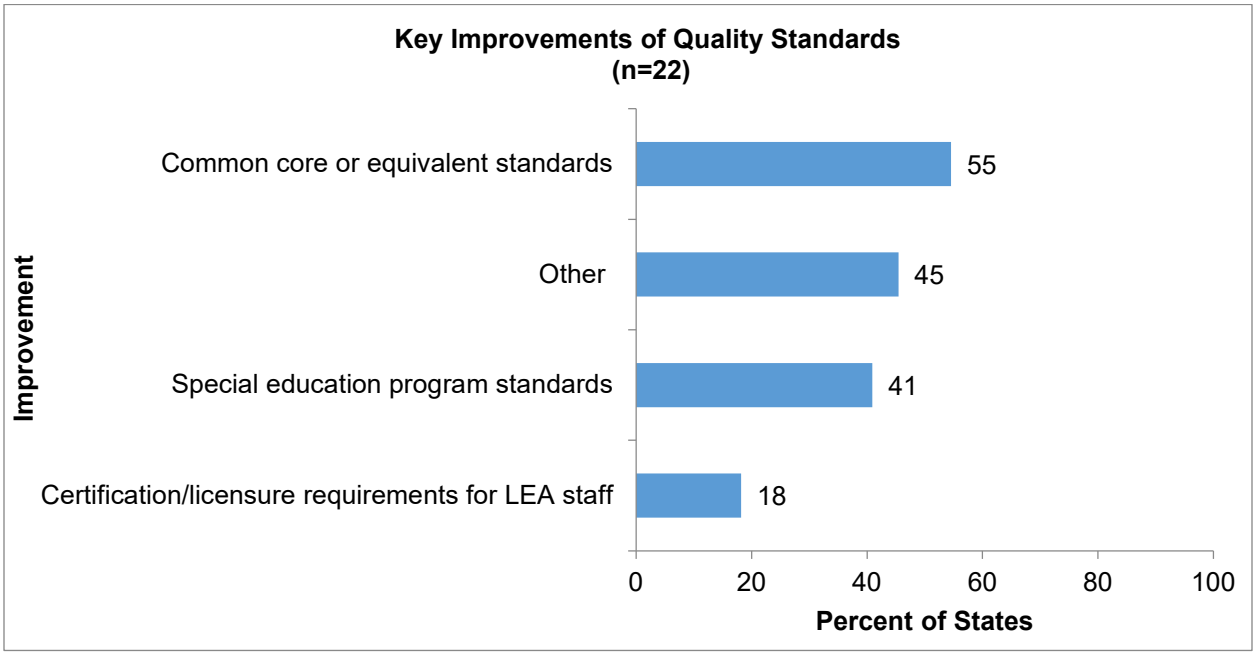


Quality Standards

The quality standards infrastructure element was the least frequently identified element of infrastructure for improvement (22 states, 37%). Twelve of the 22 states (55%) included Common Core or equivalent standards as a key improvement, and nine states (41%) plan on improving their special education program standards. Four states (18%) indicated implementing changes to certification/licensure requirements for LEA staff. See Figure 9.

Other examples of states' planned improvements to quality standards include aligning summer school and after-school programs to core standards, adding reading-specific requirements to continuing education units to maintain educator licensure, and providing online Individualized Education Programs (IEPs) aligned to standards.

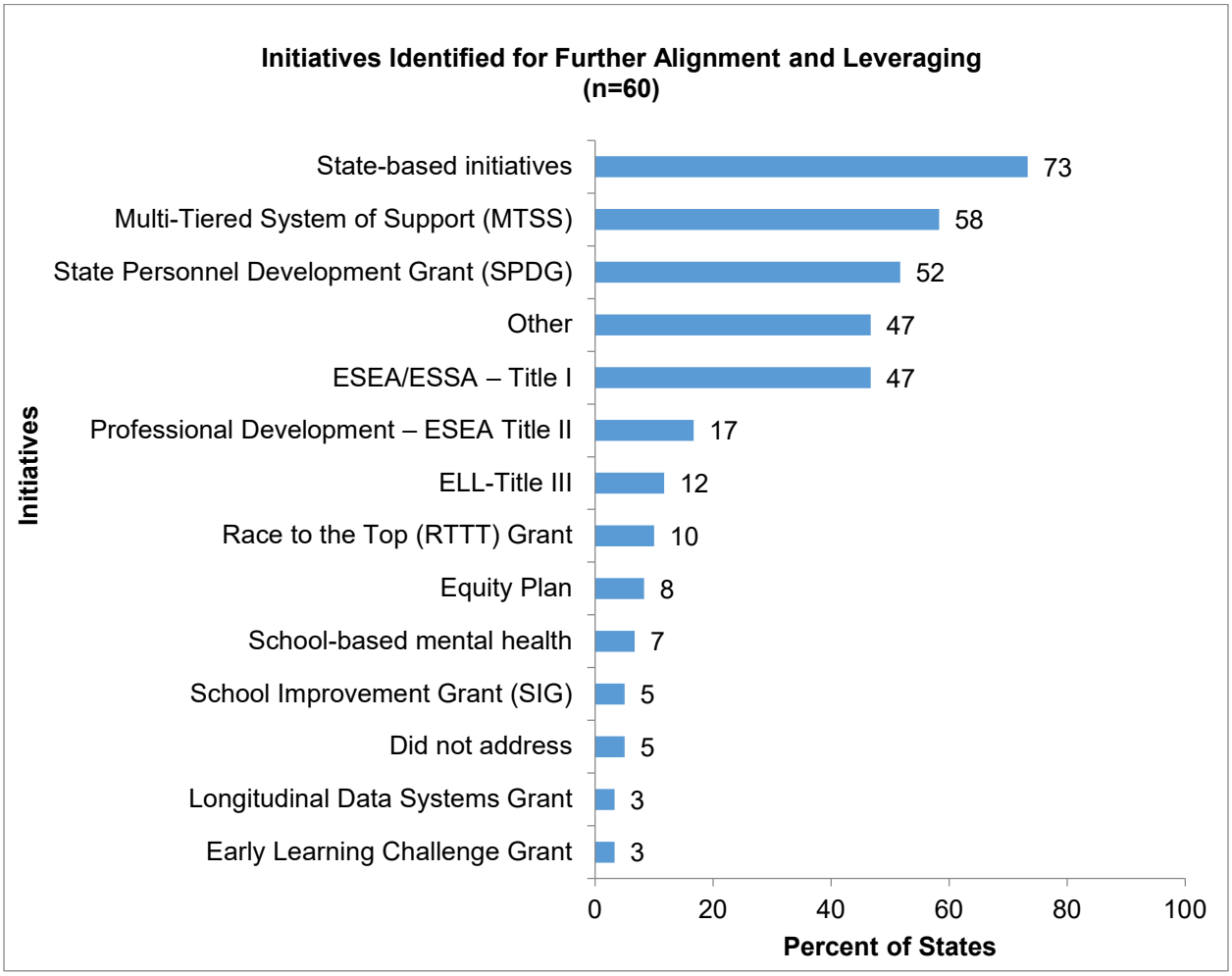
Figure 9



Aligning and Leveraging Improvement Plans and Initiatives

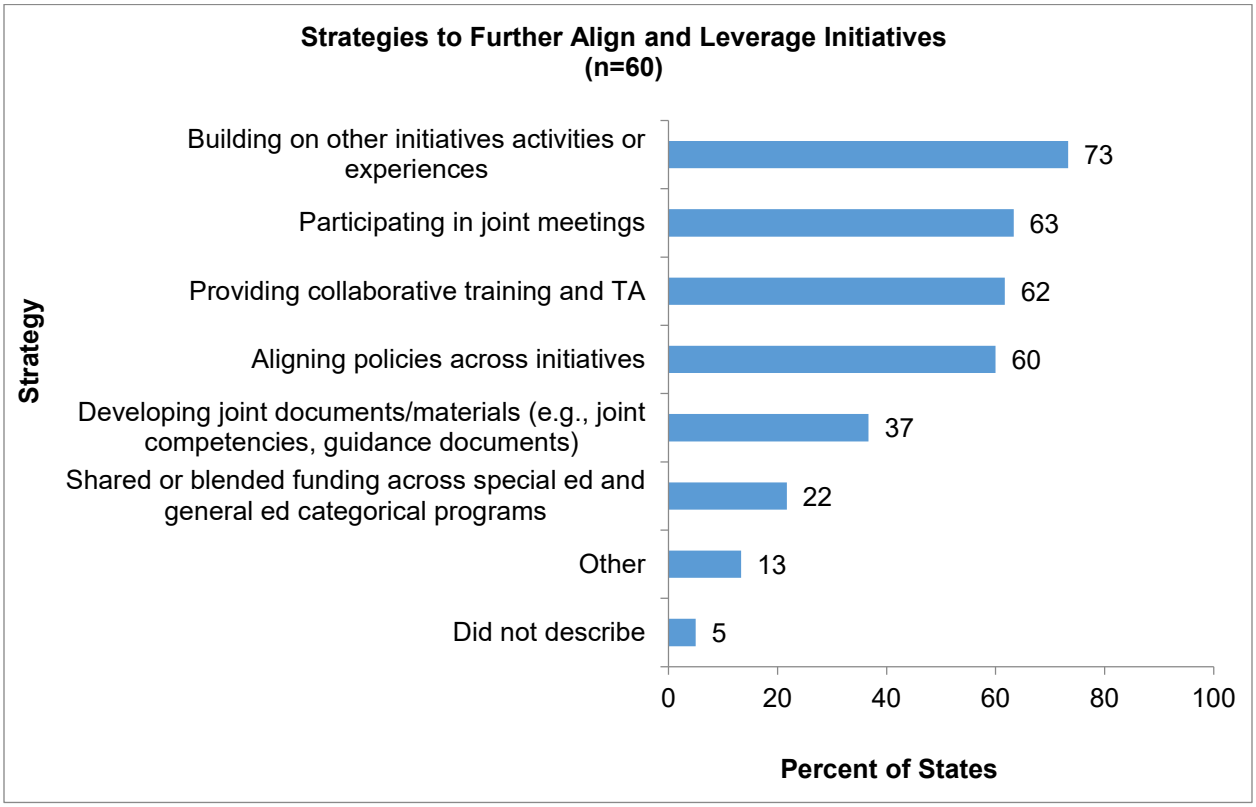
During Phase I, states identified how they would align and leverage initiatives to support their SSIPs. For Phase II, states identified steps that they have taken to further align and leverage their current general and special education improvement plans and initiatives that impact children with disabilities. Forty-four states (73%) are taking steps to further align and leverage their SSIPs with current state-based initiatives. MTSS (35 states, 58%), SPDGs (31 states, 52%), and ESEA/ESSA — Title I (28 states, 47%) were among the most frequently mentioned initiatives. Also mentioned by states were Race to the Top (RTTT) grants (6 states, 10%), Equity Plans (5 states, 8%), school-based mental health initiatives (4 states, 7%), School Improvement Grants (3 states, 5%), and Longitudinal Data System grants (2 states, 3%). See Figure 10.

Figure 10



States identified a variety of strategies to further align and leverage initiatives. Forty-four states (73%) described building on other initiatives' activities or experiences to support their SSIPs. States also named participating in joint meetings (38 states, 63%), providing collaborative training and TA (37 states, 62%), and aligning policies across initiatives (36 states, 60%) as approaches to aligning and leveraging initiatives. See Figure 11.

Figure 11

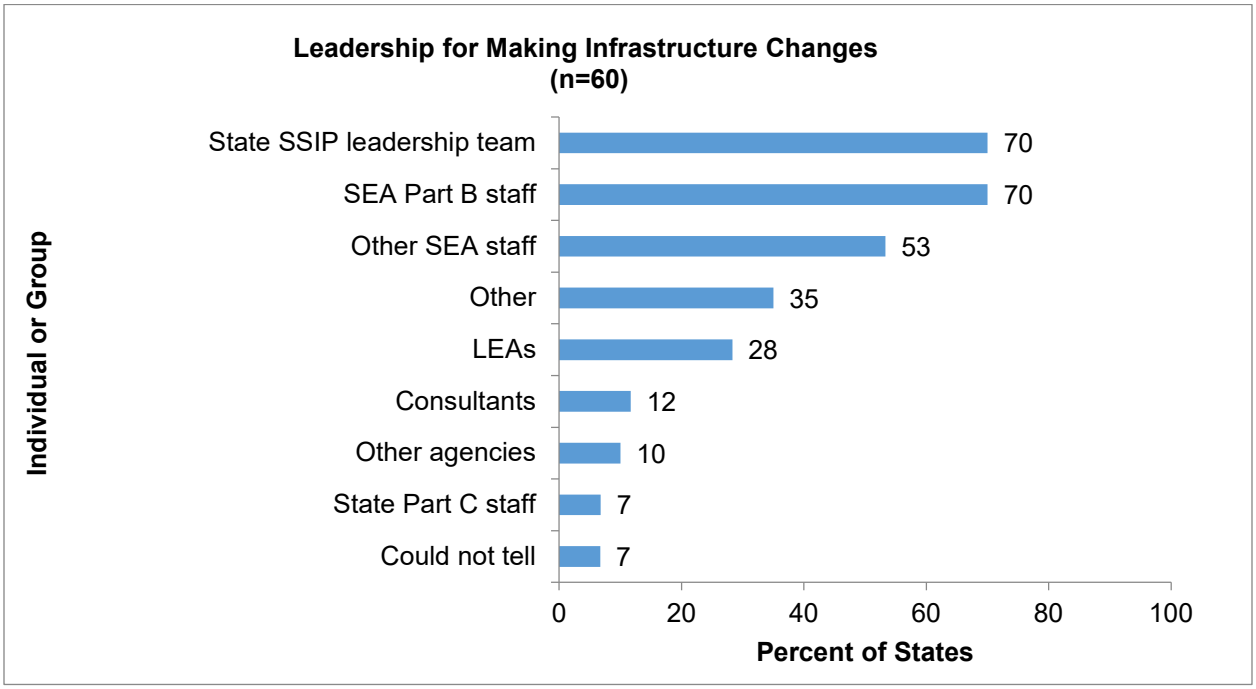


Leadership for Implementing Change

States described who would lead the implementation of planned infrastructure improvements. Many states identified state Part B staff and/or a state SSIP leadership team as being in charge of making infrastructure improvements (42 states, 70%). Forty-two states (70%) also identified a state SSIP leadership team as being in charge of making infrastructure improvements. (It should be noted that not all states that identified state Part B staff as being in charge were the same states identifying a state SSIP leadership team as being in charge, or vice versa, so the same 42 states did not necessarily have both Part B staff and a state leadership team as being in charge.)

Thirty-two states (53%) identified other SEA staff as being in charge of, or on the team in charge of, making infrastructure changes. In these situations a state may have had both Part B and SEA staff in charge or on the team in charge of making infrastructure changes. Various other groups of individuals were also specifically identified, but with less frequency. For example, states named LEA representatives (17 states, 28%), consultants (7 states, 12%), and state Part C staff (4 states, 7%) as also leading infrastructure improvements. See Figure 12.

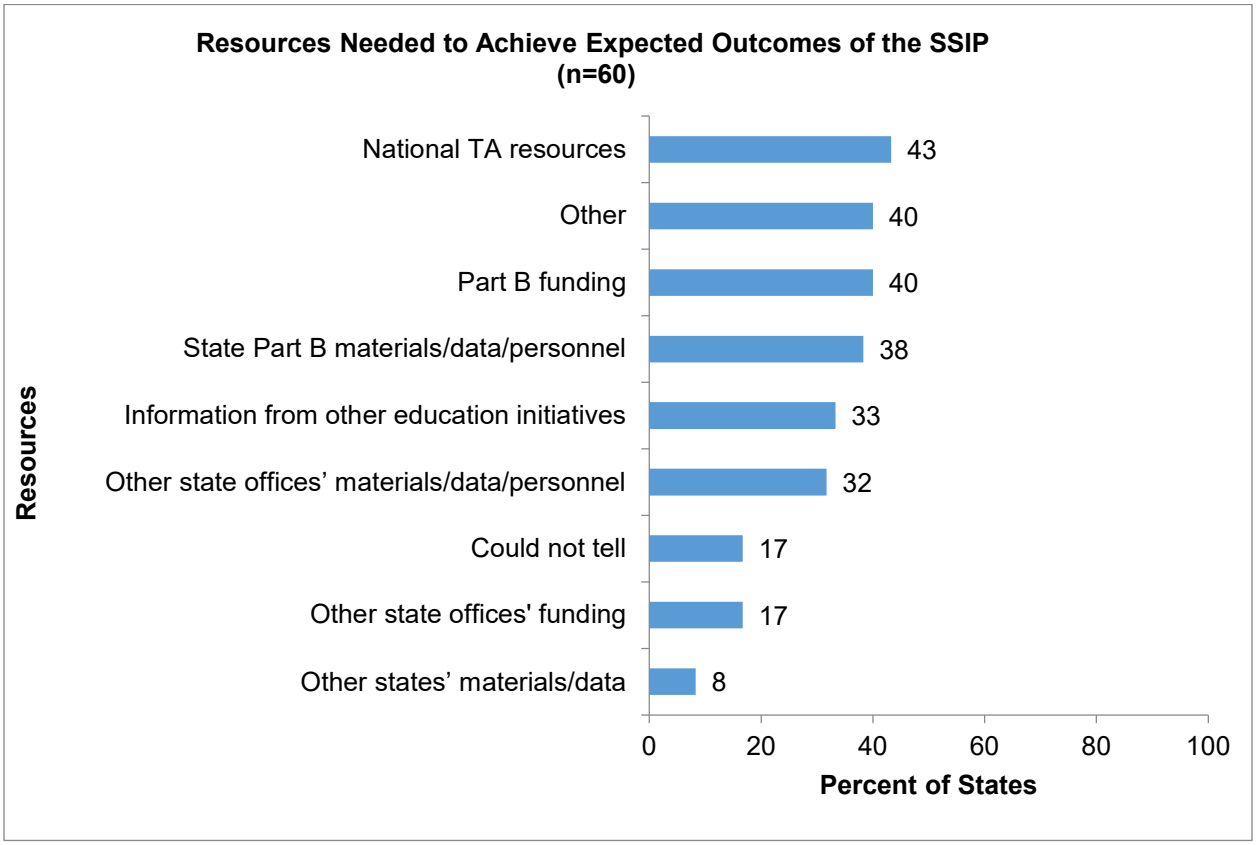
Figure 12



Resources Needed for Change

States were asked to identify resources needed to achieve expected outcomes of the SSIPs. The most frequently cited resource was the assistance of national TA resources (26 states, 43%), followed closely by Part B funding (24 states, 40%). Internal state Part B materials/information/data/personnel were mentioned in 23 states (38%). Information from other education initiatives was mentioned by 20 states (33%), while other state offices' materials/data/personnel were identified in 19 states (32%). Finally, other state offices' funding was mentioned by 10 states (17%) as needed to achieve the SSIP outcomes. See Figure 13.

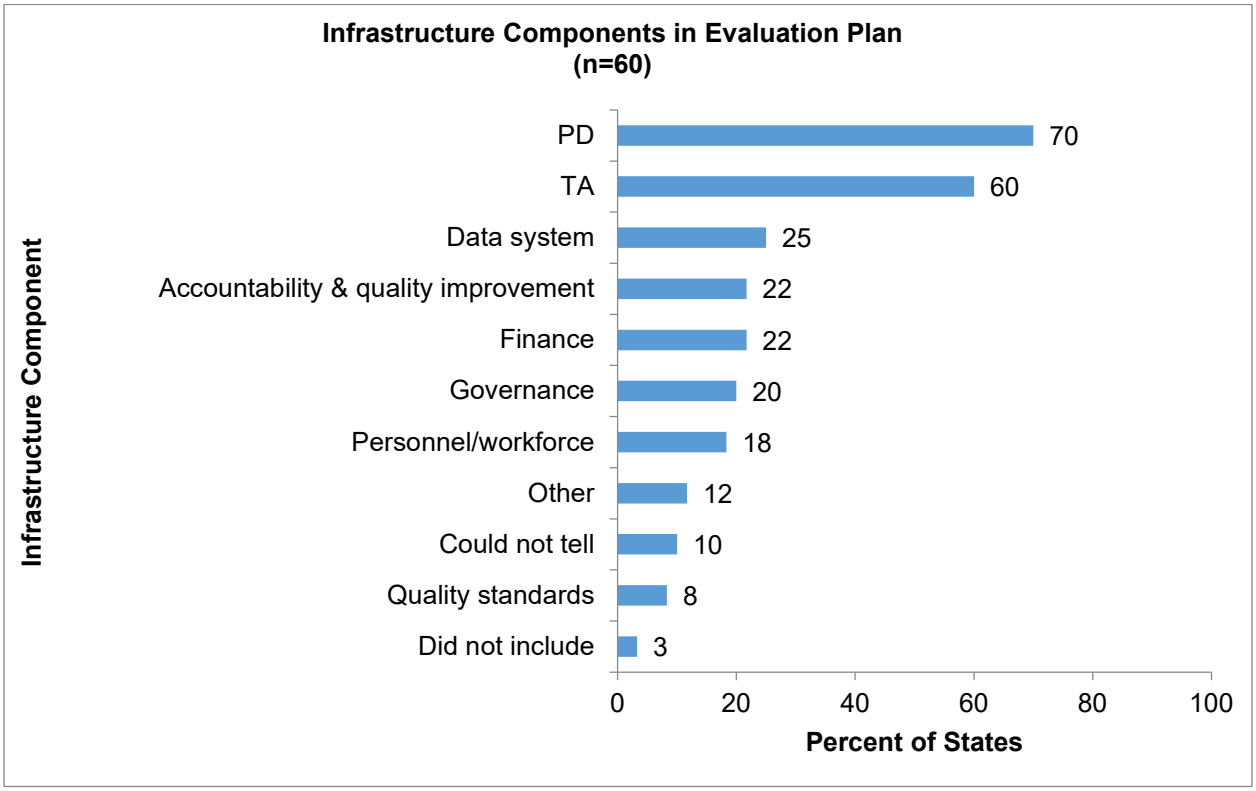
Figure 13



Evaluation of Infrastructure Improvements

Of the seven previously identified components of infrastructure, states most frequently included professional development (42 states, 70%) and TA (36 states, 60%) in their SSIP evaluation plans. The remaining five elements (i.e., data, fiscal, governance, monitoring/accountability, and quality standards) and an additional one, personnel workforce, were addressed in evaluation plans by 25% or less of the states. See Figure 14. For additional information on states' evaluation plans, refer to the Component 3 section of this report.

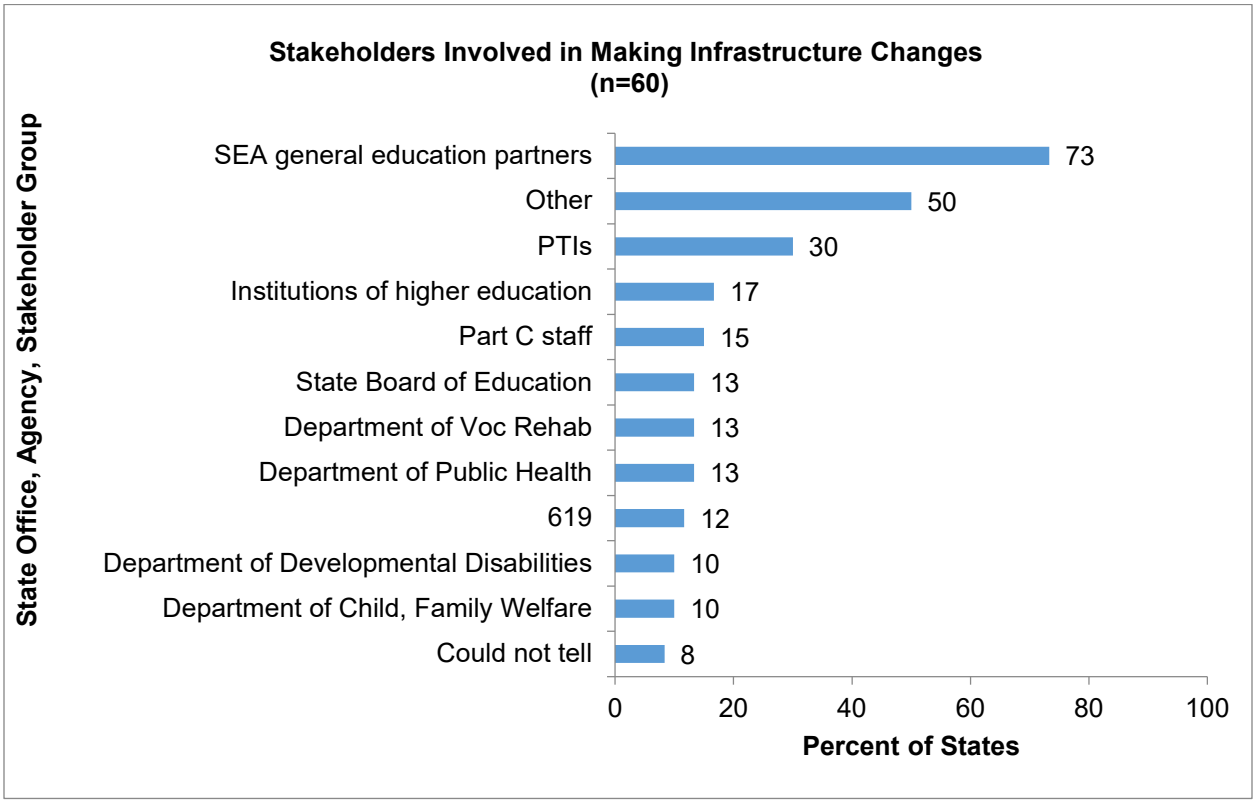
Figure 14



Involvement of Stakeholders

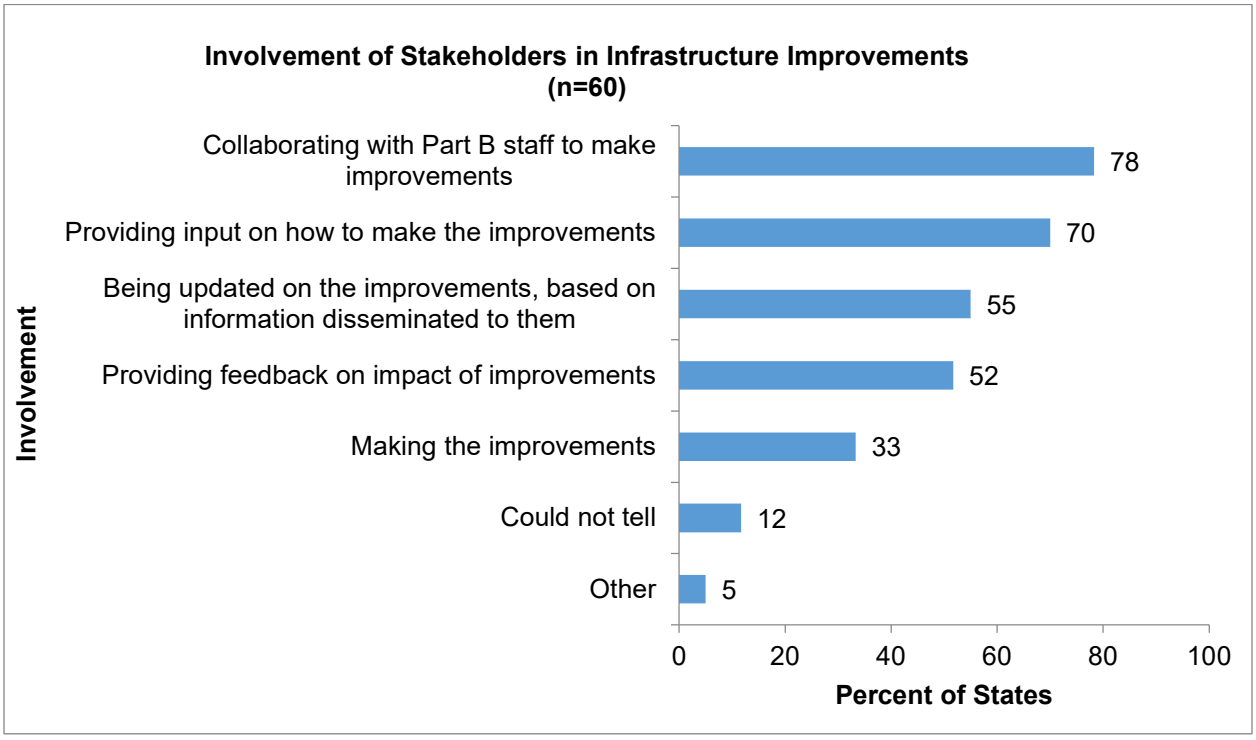
States identified an array of state offices, agencies, and other stakeholders that would be involved in infrastructure improvements. The most frequently cited stakeholders were SEA general education partners (44 states, 73%). The next most often cited stakeholder group involved in infrastructure improvements was Parent Training and Information Centers (PTIs) (18 states, 30%). Ten states (17%) indicated that institutions of higher education would be involved, and nine states (15%) are involving Part C staff. See Figure 15.

Figure 15



In addition to identifying which stakeholders would be involved in infrastructure improvements, states also specified how they would involve these stakeholders in the improvements. Forty-seven states (78%) identified a collaborative partnership between the stakeholders and Part B staff as the primary method of engagement in infrastructure improvement. Forty-two states (70%) noted asking stakeholders to provide input on how to make the changes, and 31 states (52%) mentioned stakeholder providing feedback on the impact of infrastructure improvements. Twenty states (33%) reported plans to involve stakeholders in making the intended improvements. See Figure 16.

Figure 16



COMPONENT 2: SUPPORT FOR LEA IMPLEMENTATION OF EVIDENCE-BASED PRACTICES

In Component 2, states were asked to address how they would support LEAs in implementing, scaling up, and sustaining selected EBPs to improve their SIMRs. States were also asked to describe specific planned improvement activities, as well as how they would address barriers to implementation of those improvement activities. Finally, descriptions of stakeholder involvement as well as approaches to involving multiple offices within the SEA and other state agencies in the work of the SSIP were to be included as part of states' Phase II submissions.

Selection of EBPs

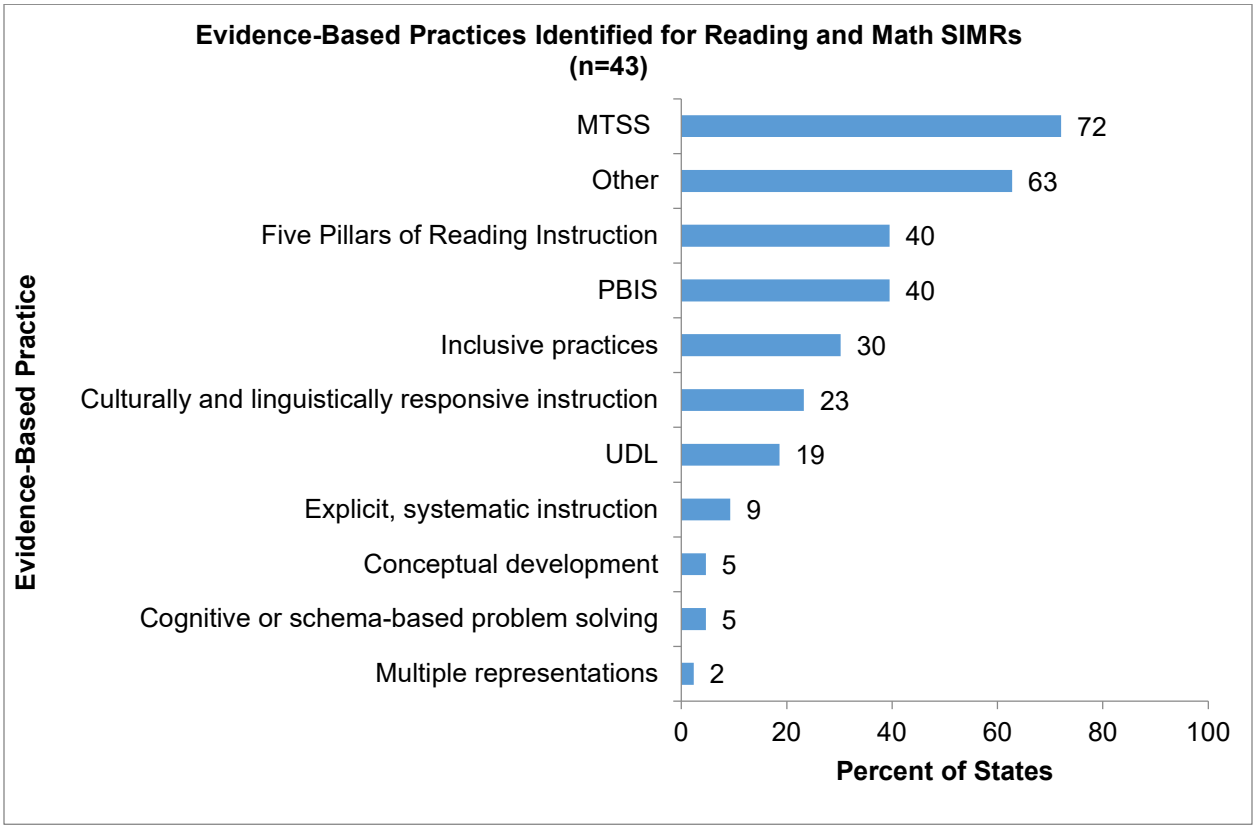
A large majority of states (50 states, 83%) identified which EBPs would be used to support improvement of their SIMRs. A majority of the 43 states with reading/literacy and math SIMRs (31 of the 43 states, 72%) reported that they are using MTSS as an EBP to improve reading outcomes, and both Positive Behavioral Interventions and Supports (PBIS) and the Five Pillars of Reading Instruction that are recommended by the National Reading Panel were identified by 17 of the states (40%). See Figure 17.

Some specific EBPs that were noted for literacy/reading and math SIMRs included:

- Capturing Kids' Hearts;
- "Assess Plan Teach" (APT) approach;
- Orton-Gillingham;

- parent engagement;
- UDL;
- integration of technology; and
- coaching.

Figure 17

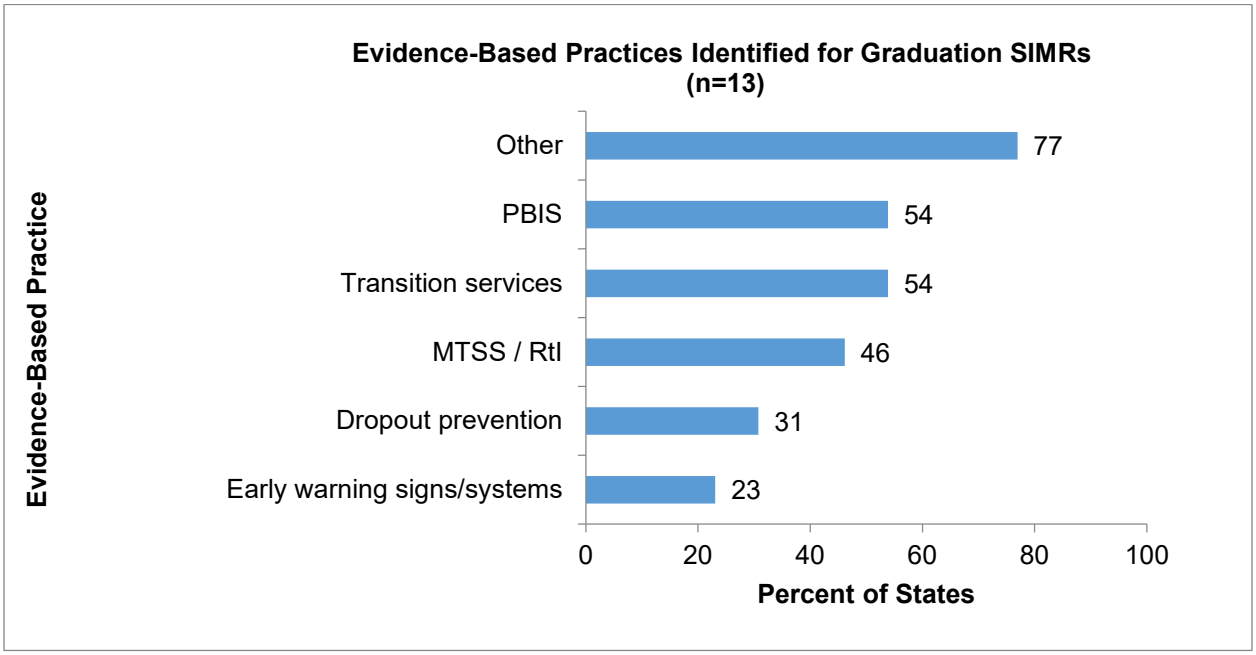


PBIS and transition services were each identified as EBPs for 54% (7 states) of the 13 states with graduation SIMRs. Six states noted the use of MTSS/Response to Intervention (RtI) as an EBP. See Figure 18.

Examples of additional EBPs in the "Other" category for graduation SIMRs included:

- UDL;
- Wrap-Around Planning (WRAP);
- peer-to-peer mentoring; and
- parent involvement.

Figure 18



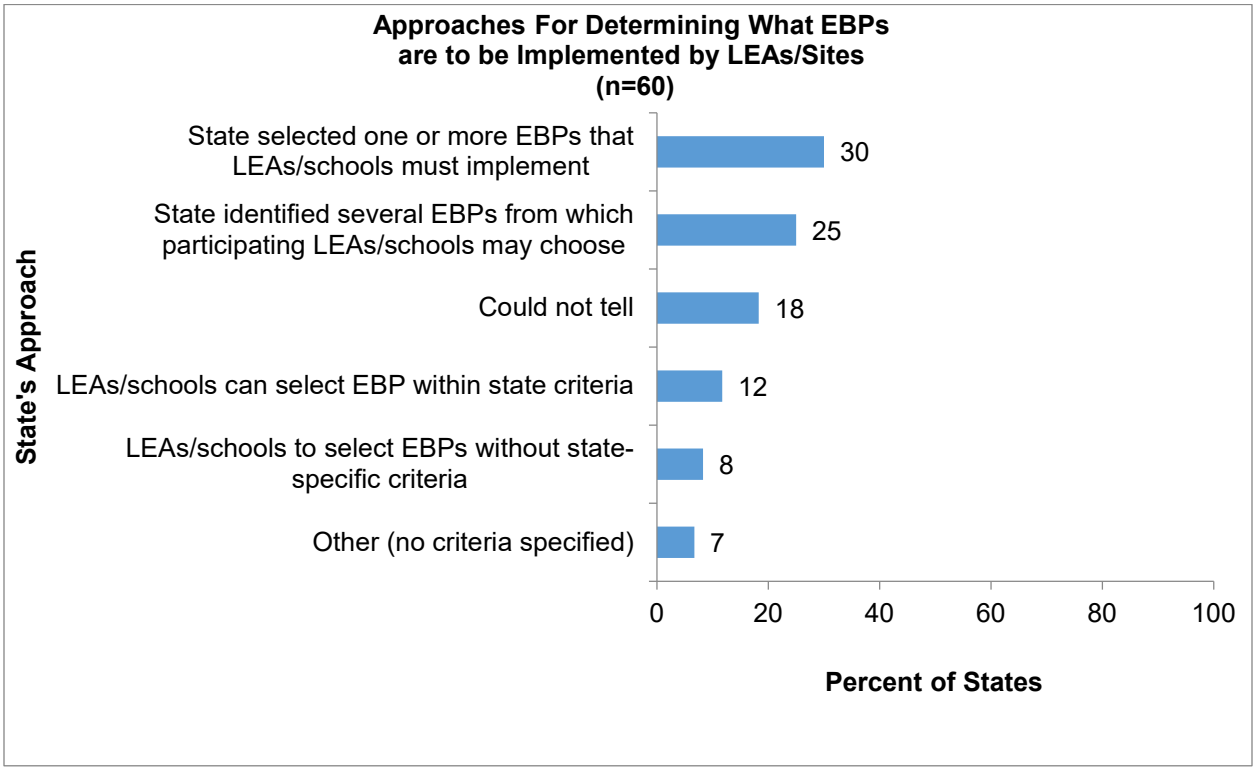
The two states with post-school outcomes SIMRs (100%) are using transition services as an EBP, and one (50%) is using connections with adult service providers as an EBP. Also noted as EBPs were marketing the value of staying in school, data-based decision making, and PBIS.

Of the two states focusing on early childhood outcomes, both (100%) reported using the Center on the Social and Emotional Foundations for Early Learning (CSEFEL) and Technical Assistance Center on Social Emotional Intervention for Young Children (TACSEI) pyramid model; one (25%) indicated using early childhood recommended practices as an EBP; and one (25%) reported using UDL (in the "other" category).

Only ten states out of 60 (17%) indicated that they had not yet identified EBPs, but nine of those states (90%) reported having a plan for selecting them.

States reported a variety of methods for determining which EBPs are to be implemented by LEAs. Eighteen states (30%) indicated selecting one or more EBPs that LEAs or school sites are *required* to implement, and 15 states (25%) identified several EBPs from which LEAs/school sites *may choose* to implement as part of the SSIP. (Italics added for emphasis.) In fewer instances, states indicated that LEAs/schools could choose EBPs based upon state-specified criteria (7 states, 12%) or could select EBPs without any state-specific criteria (4 states, 8%). See Figure 19.

Figure 19

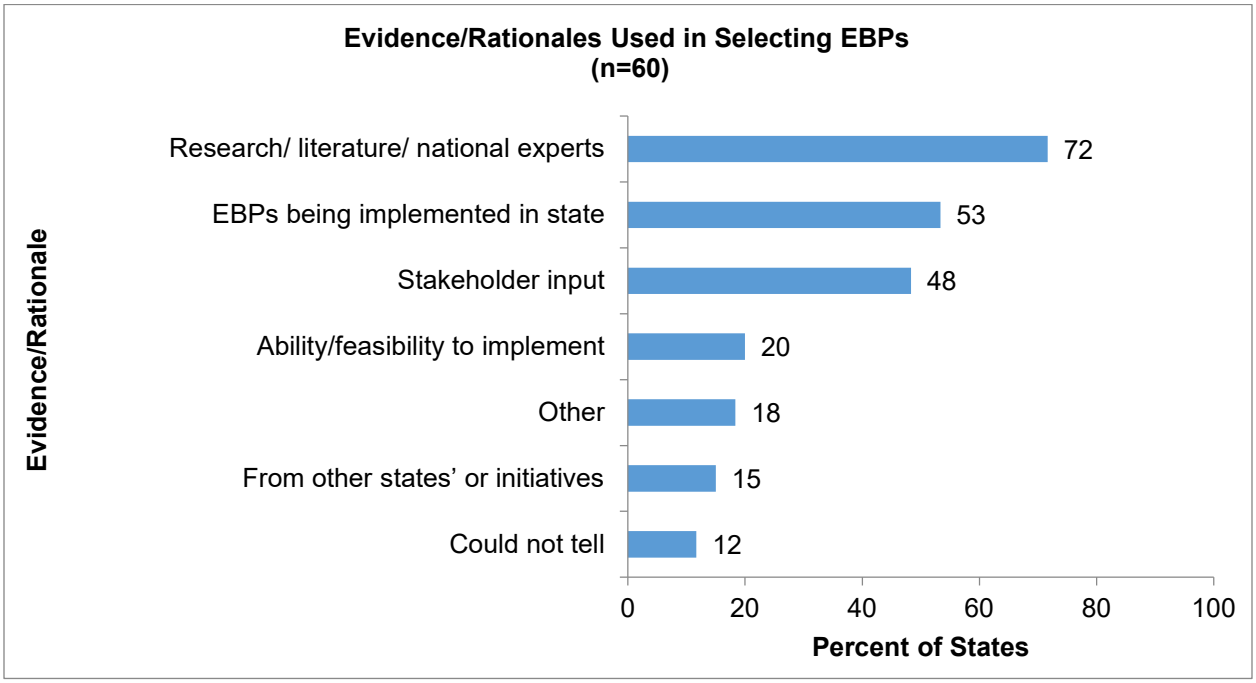


States were asked to describe the evidence/rationales that they used to select the EBPs. Evidence from research, literature, and national experts was the most common response (43 states, 72%). About half of the states (32 states, 53%) also identified EBPs already being implemented within the state as a rationale for these EBPs' selection for the SSIP. Twenty-nine states (48%) cited stakeholder input as undergirding their choice. Only 12 states (20%) reported ability/feasibility to implement the EBP as a rationale for EBP selection. See Figure 20.

Some states referenced EBPs from the following resources:

- What Works Clearinghouse,
- Moving Your Numbers,
- State Implementation & Scaling-up of Evidence-based Practices Center (SISEP) Hexagon Tool, Plan-Do-Study-Act cycles; and
- IDC Success Gaps rubric.

Figure 20

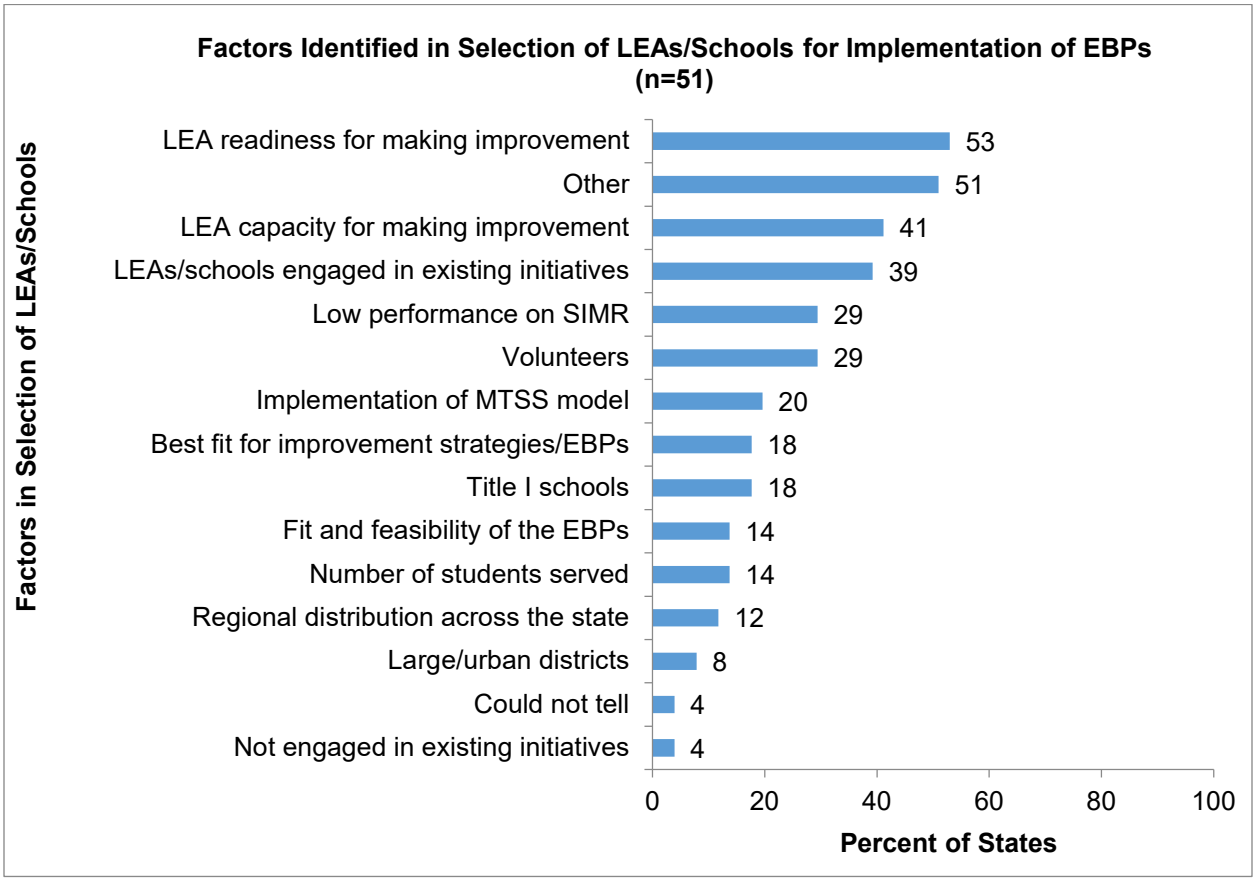


With respect to how the selected EBPs would lead to achieving the SIMR, states provided a range of explanations. Research supporting that the EBP would lead to improvements in the SIMR was the most commonly reported explanation (35 states, 58%). A significant number of states (26 states, 43%) also reported using root-cause analysis as a basis for determining whether the selected EBPs would lead to achieving the SIMR, and a slightly smaller group of states (14 states, 23%) indicated that stakeholders had identified the EBP as a missing practice in the state. Nine states (15%) noted that the EBP addressed a weak area revealed by self-assessments.

Implementation of EBPs and Coherent Improvement Strategies

The majority of states (51 states, 85%) selected particular schools or LEAs to implement the EBPs over the course of the SSIP. As shown in the figure below, states considered a variety of factors in making those selections, and LEA readiness for making improvement was the specific factor most often noted (27 of the 51 states, 53%). The "Other" category was the second most frequently identified factor by reviewers (26 of the 51 states, 51%); responses included additional considerations such as significant disproportionality, alignment of district goals with SSIP goals, sites also participating in Part C SSIP, the presence of migrant subgroups, and gaps between students with disabilities and general education students. See Figure 21.

Figure 21



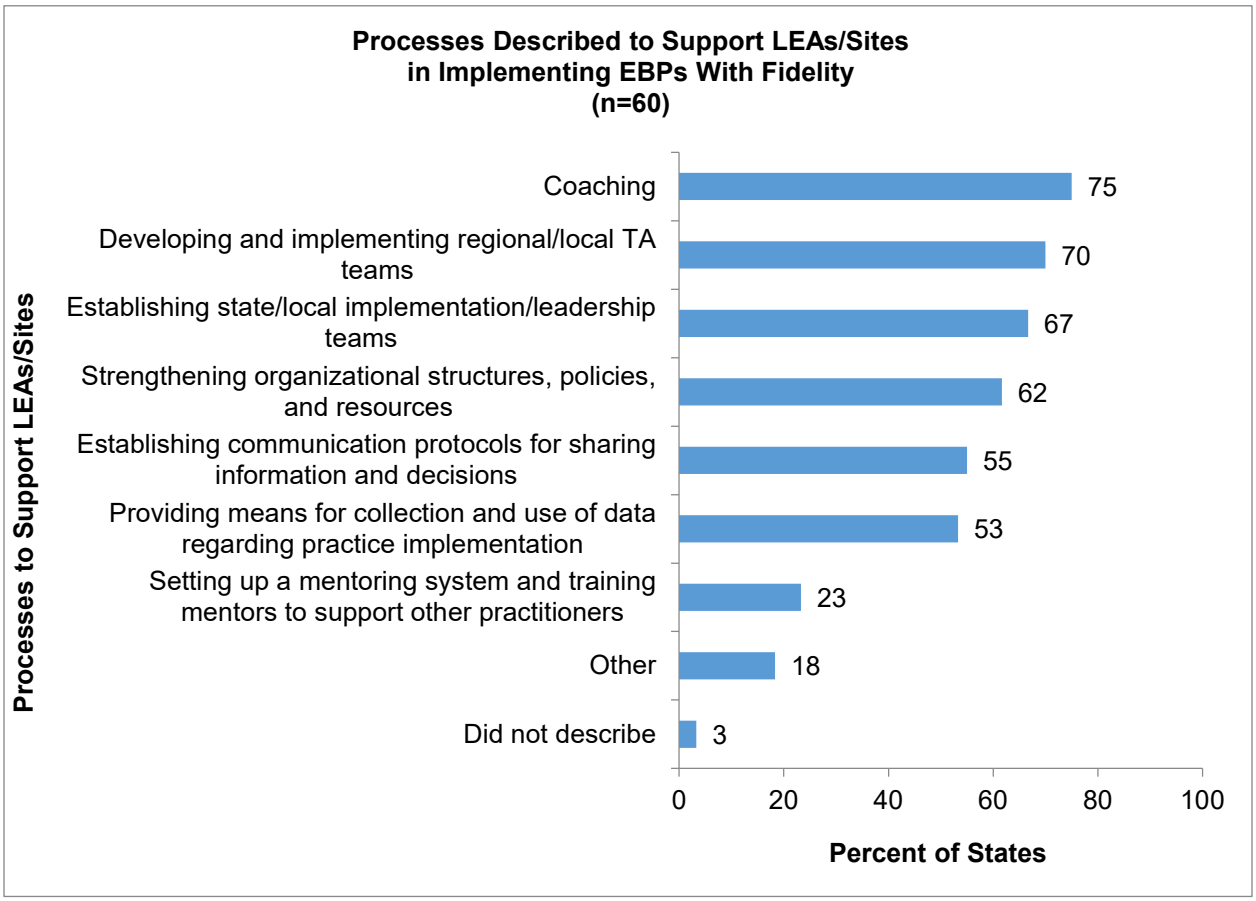
SSIPs were analyzed to determine the numbers of LEAs/schools selected for EBP implementation in each state over the course of the SSIP. Depending on how a state identified the selected locations, the numbers range from one LEA to all LEAs in the state and from five or fewer schools to more than 60 schools. In one state, the sites selected are those participating in the Part C SSIP.

Another topic examined was the use of "implementation drivers" (leadership, competency, or organizational) in influencing change in practices by the LEA, school, or provider. Most states (41 states, 68%) discussed at least one implementation driver needed to effect such change. The same number of states (41 states, 68%) reported on how implementation teams at the district and local levels will ensure that personnel and providers are trained to implement the improvement strategies.

States described an array of processes to be used to support LEAs to ensure fidelity of implementation of the selected EBPs. Coaching (45 states, 75%), developing and implementing regional/local TA teams (42 states, 70%) and establishing state/local-level implementation teams (40 states, 67%) were the most common support processes identified. See Figure 22.

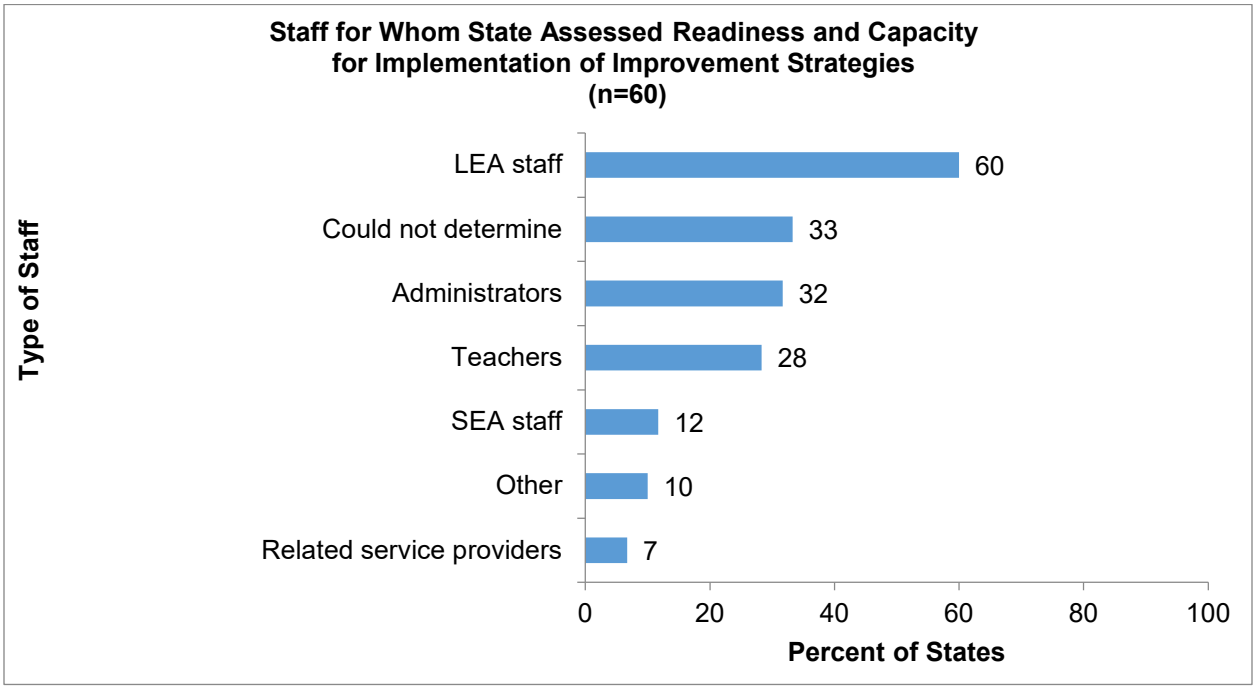
Some specific examples of other implementation processes included developing a fidelity rubric, using self-assessment tools from the School wide Integrated Framework for Transformation (SWIFT) Center and the SPDG coaching rubric, RtI summer institutes, partner districts, and fidelity training.

Figure 22



States also assessed the readiness and capacity for implementation of coherent improvement strategies of different groups of state and local personnel (e.g., administrators, teachers, SEA staff). See Figure 23.

Figure 23

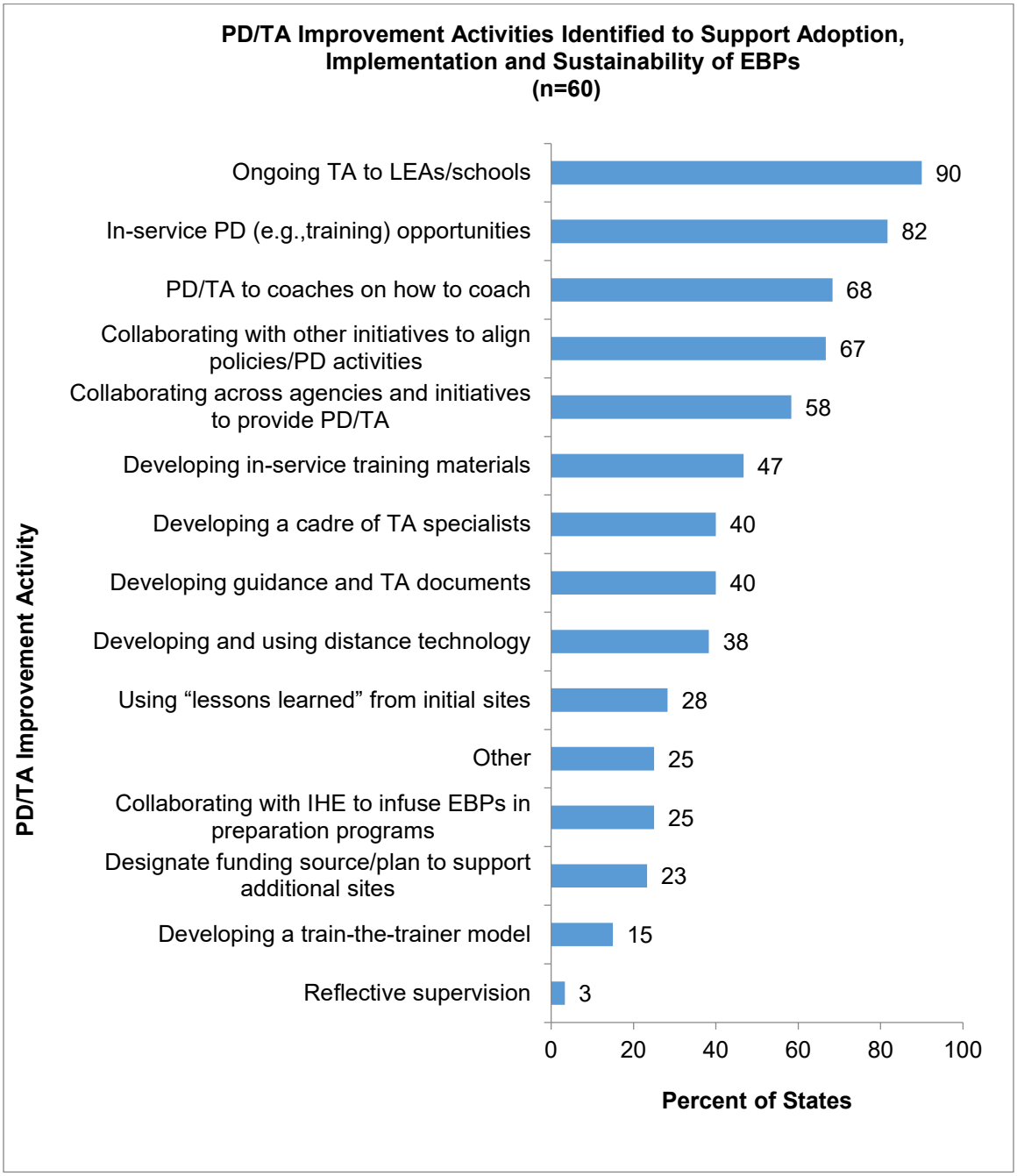


A review of the SSIPs revealed a range of PD and TA improvement activities that states plan to implement to support the adoption, implementation, and sustainability of EBPs. A large number of states (54 states, 90%) noted the provision of ongoing TA to LEAs and schools as an improvement activity, and 49 states (82%) mentioned in-service PD opportunities. Other frequently reported activities were providing PD/TA to coaches (41 states, 68%), and collaborating with other initiatives to align policies and PD activities related to the SIMR (40 states, 67%). Only nine states (15%) indicated that they are developing a train-the-trainer model, and only two states (3%) mentioned reflective supervision as a strategy. Fifteen states (25%) indicated plans to collaborate with institutions of higher education to infuse selected EBPs into teacher preparation programs. See Figure 24.

Specific examples of other PD/TA activities included:

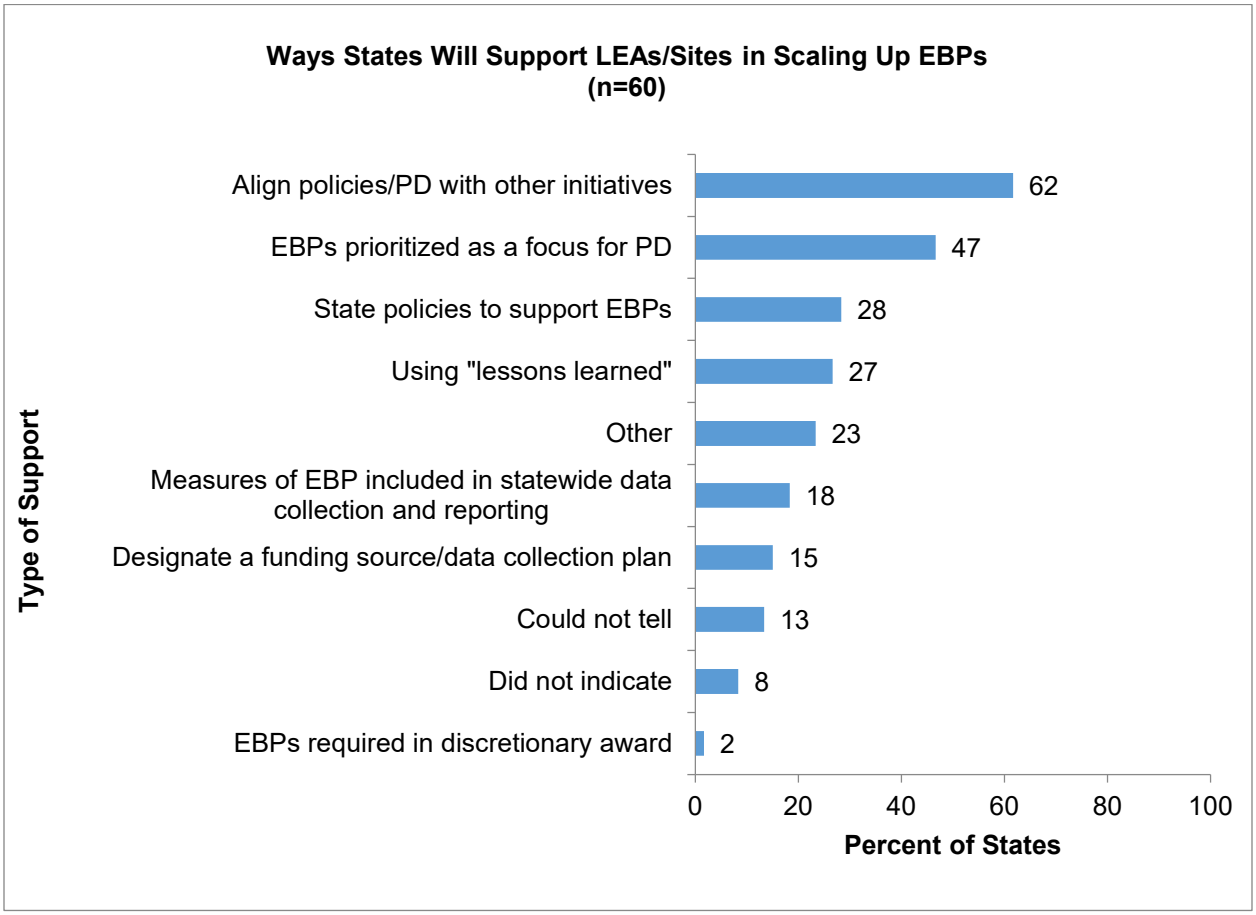
- leadership training;
- PD to increase state staff awareness of benefits and understanding principles of UDL;
- building a cadre of in-state certified Language Essentials for Teachers of Reading and Spelling (LETRS) trainers;
- collaboration with SPDG training modules; and
- cross-training with the SEA.

Figure 24



State support for LEAs in scaling up the EBPs will be provided in a number of ways, as reported in the SSIPs. Collaborating with other initiatives to align policies, PD and other activities related to the SIMR was reported by the most states (37 states, 62%). The prioritization of the EBPs as a focus for the state's PD and TA efforts was the next most often reported activity (28 states, 47%). See Figure 25.

Figure 25

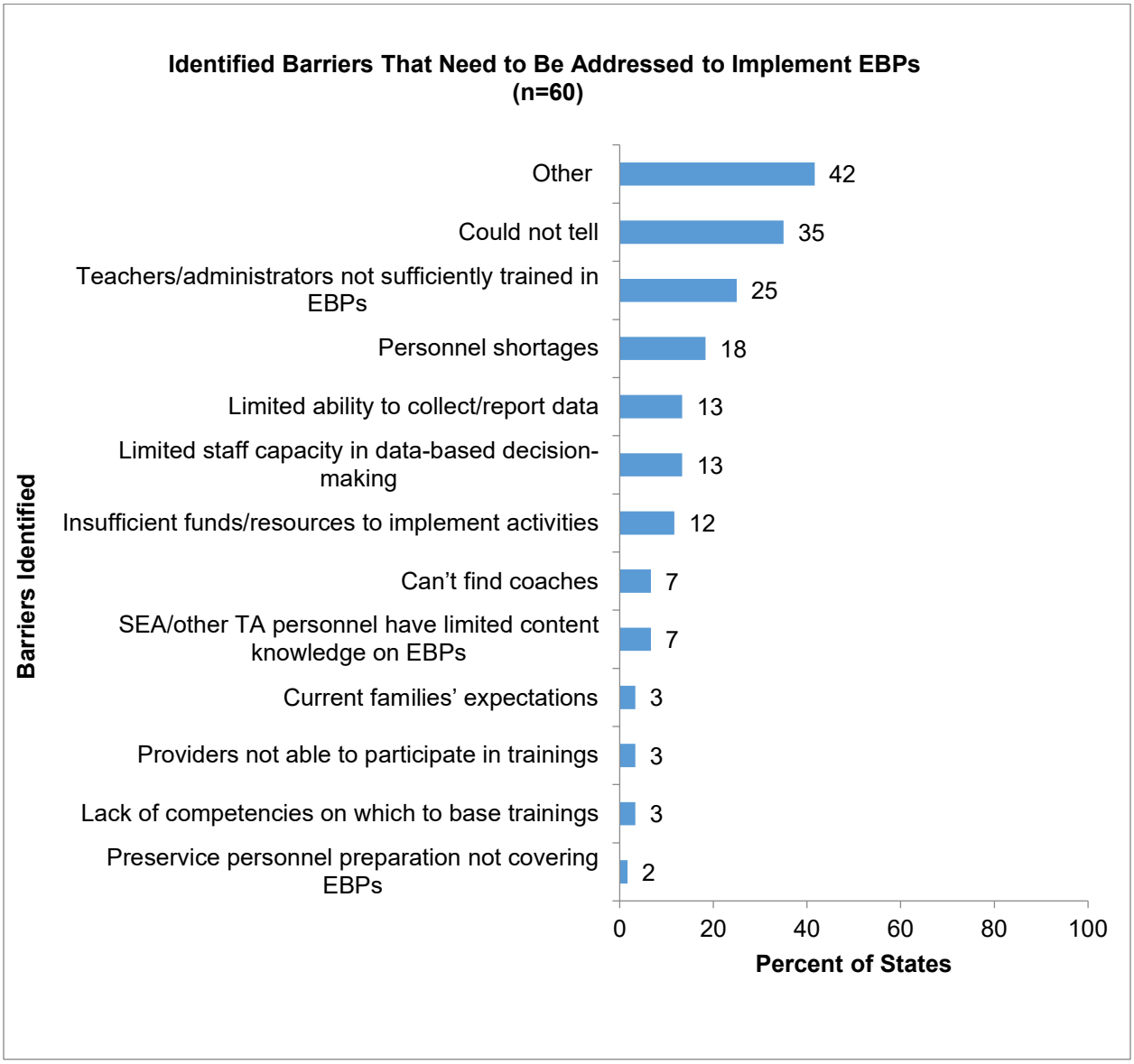


States were also asked to identify barriers that might impede implementation of the selected EBPs. The two most often noted barriers were teachers/administrators not being sufficiently trained in EBPs (15 states, 25%) and personnel shortages (11 states, 18%). See Figure 26.

The list of other barriers noted by states is extensive. Some specific examples include:

- distrust of SEA staff by LEA staff;
- lack of communication;
- lack of quality standards for evaluating practices in math;
- not enough levels of stakeholder involvement;
- problems with disaggregating data at the LEA level;
- lack of resources;
- lack of a systematic approach to collecting and reviewing student data; and
- problems with data use, knowledge, and analysis at the LEA level.

Figure 26



Stakeholder Engagement

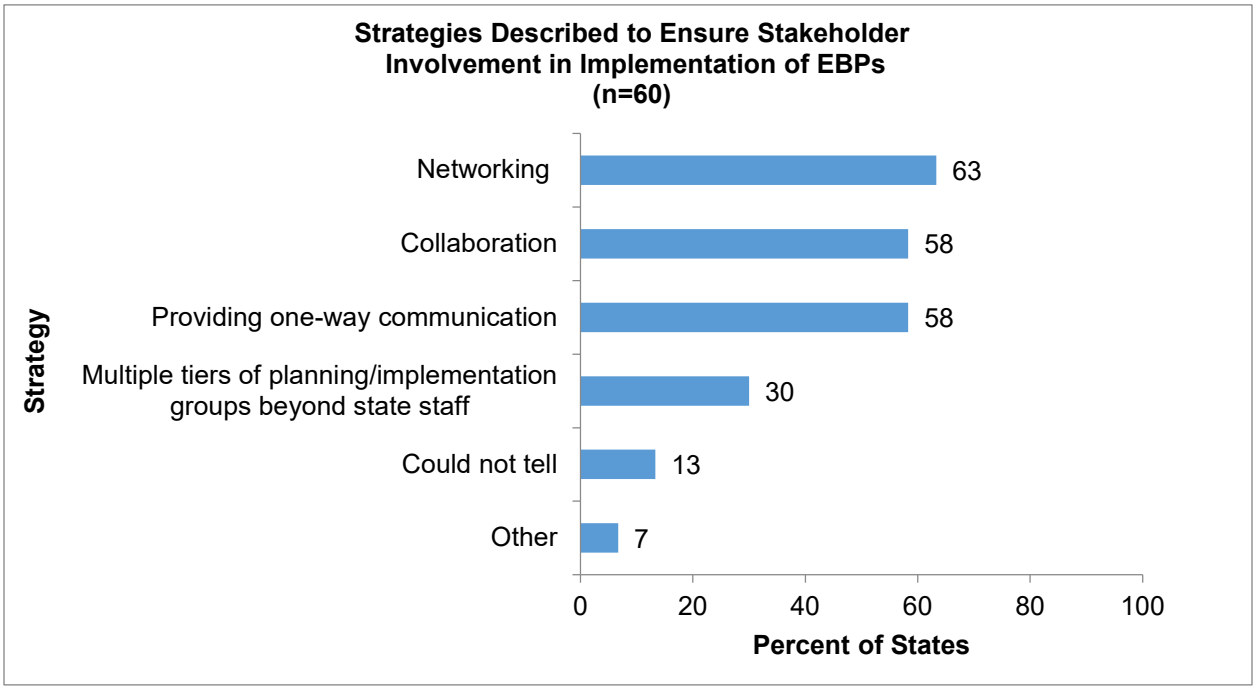
OSEP continues to place strong emphasis on the importance of stakeholder engagement in the SSIP process. As part of the Phase II submission, states were asked to describe their strategies for ensuring that stakeholders were involved in the implementation of EBPs. Reviewers analyzed whether states reported engaging stakeholders in a manner consistent with the levels of authentic engagement found in the IDEA Partnership resource *Leading by Convening: A Blueprint for Authentic Engagement* (Cashman, et al., 2014). Thirty-five states (58%) reported providing one-way communication; 38 states (63%) reported engagement at the networking level (establishing two-way communication; asking others what they think and listening to what they say); and 35 states (58%) reported collaboration with stakeholders through

working together, participating on implementation teams, and data-based decision-making. In addition, 18 states (30%) indicated use of multiple tiers of planning/ implementation groups beyond just state staff. See Figure 27.

Other state-specific examples of stakeholder engagement included:

- multilayered communication plans;
- social-media campaigns;
- Plan-Do-Study- Act action plan;
- early literacy websites; and
- common slide decks across teams.

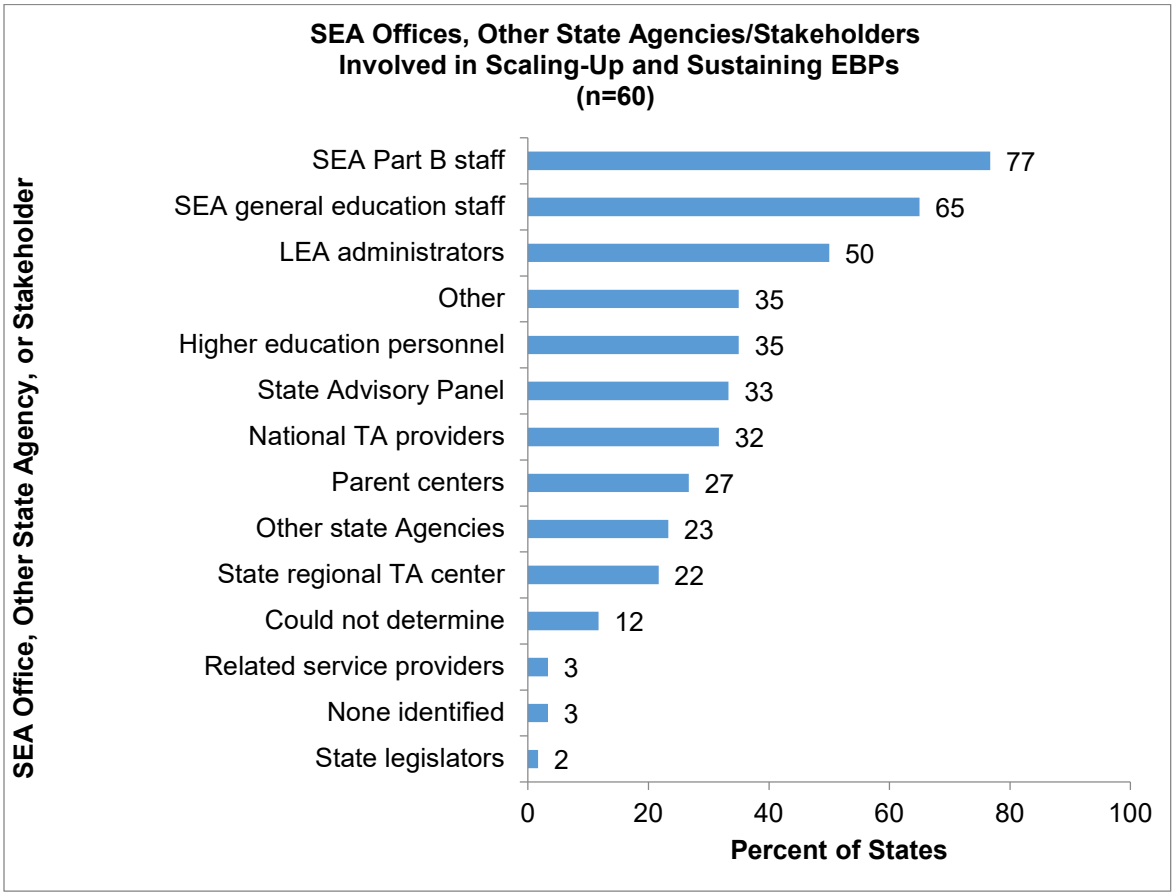
Figure 27



States identified many offices within their SEAs, other state agencies, and other stakeholders who will be involved in scaling up and sustaining implementation of the EBPs once they have been implemented. SEA Part B staff (46 states, 77%), general education staff within the SEA (39 states, 65%) and LEA administrators (30 states, 50%) were noted most often as those who will be involved. Higher education personnel were identified in 21 states (35%). See Figure 28.

One state reported that teacher unions and the Parent/Teacher Association (PTA) would be involved. At least two states indicated that SPDG staff/coaches would also be a part of the process.

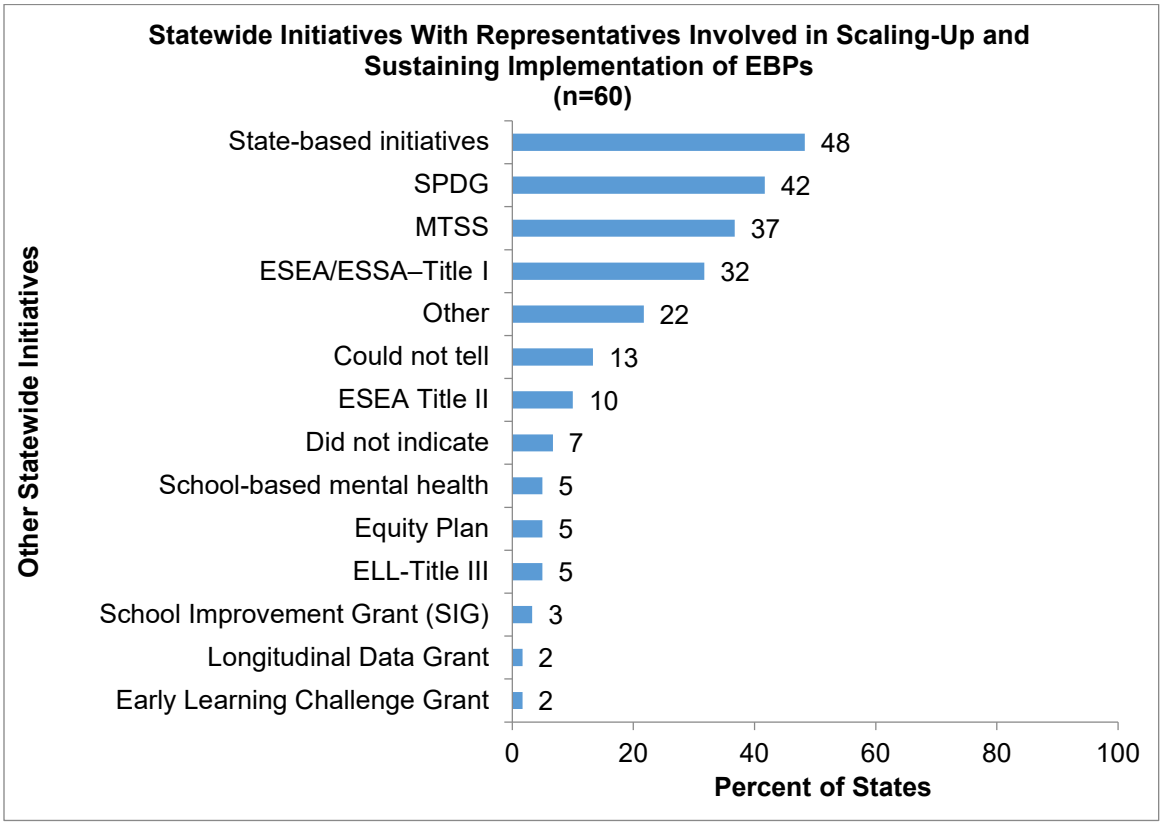
Figure 28



States also described other statewide initiatives whose representatives would be involved in the scaling up and sustaining of EBPs. Initiatives most often cited were state-based initiatives (29 states, 48%), SPDGs (25 states, 42%), MTSS (22 states, 37%) and ESEA/ESSA - Title I (19 states, 32%). Three states (5%) noted coordinating with state Equity Plans as part of their scaling-up and sustainability efforts. See Figure 29.

In addition to those initiatives shown in Figure 29, one state mentioned SWIFT, another state mentioned Part C, and several states mentioned PBIS.

Figure 29

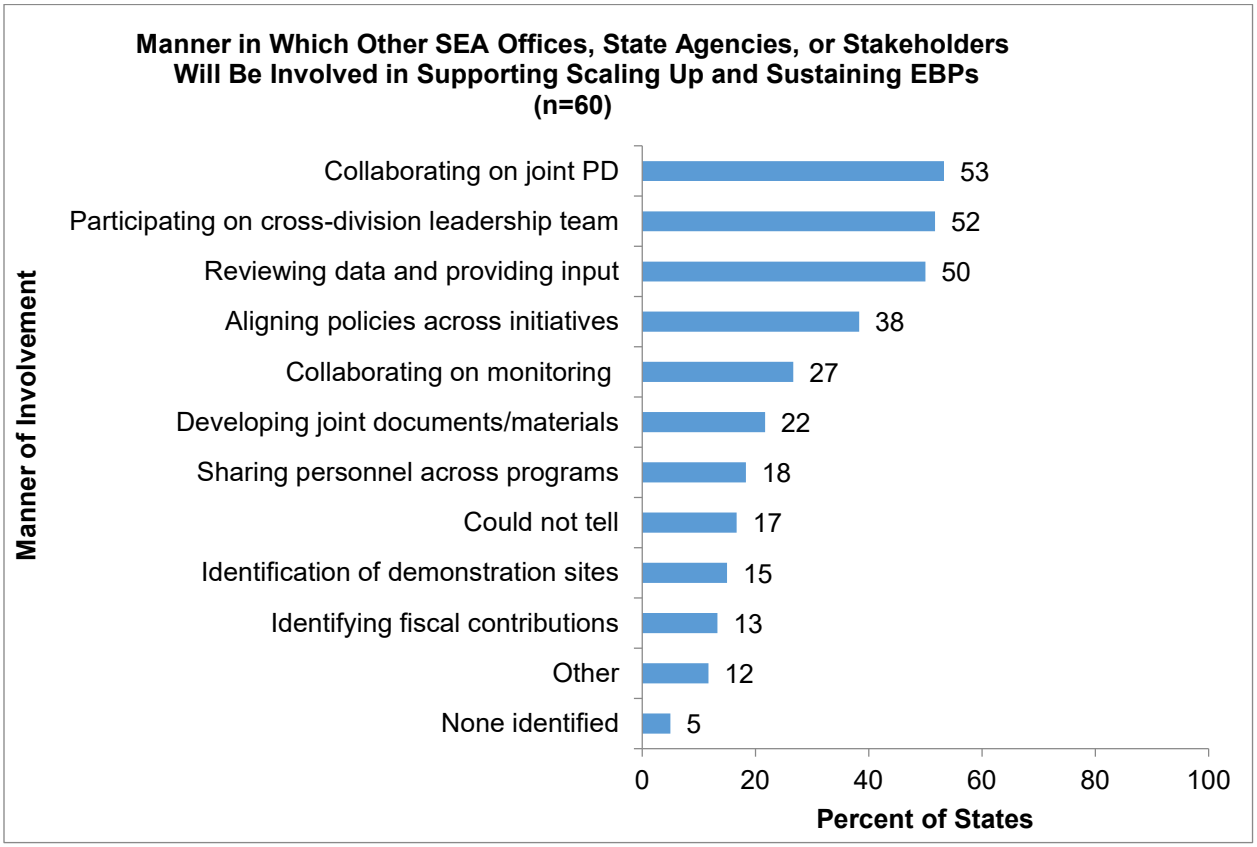


States provided many examples of ways in which other offices within the SEA, other state agencies, initiatives, and stakeholders will be involved in supporting, scaling up, and sustaining the EBPs. See Figure 30.

Use of leadership teams was noted by a number of states. Other specific state examples included:

- providing experiential data and feedback;
- developing a marketing plan;
- developing materials for families;
- connecting with the ESSA roll-out; and
- creating an instructional practice team.

Figure 30



COMPONENT 3: EVALUATION

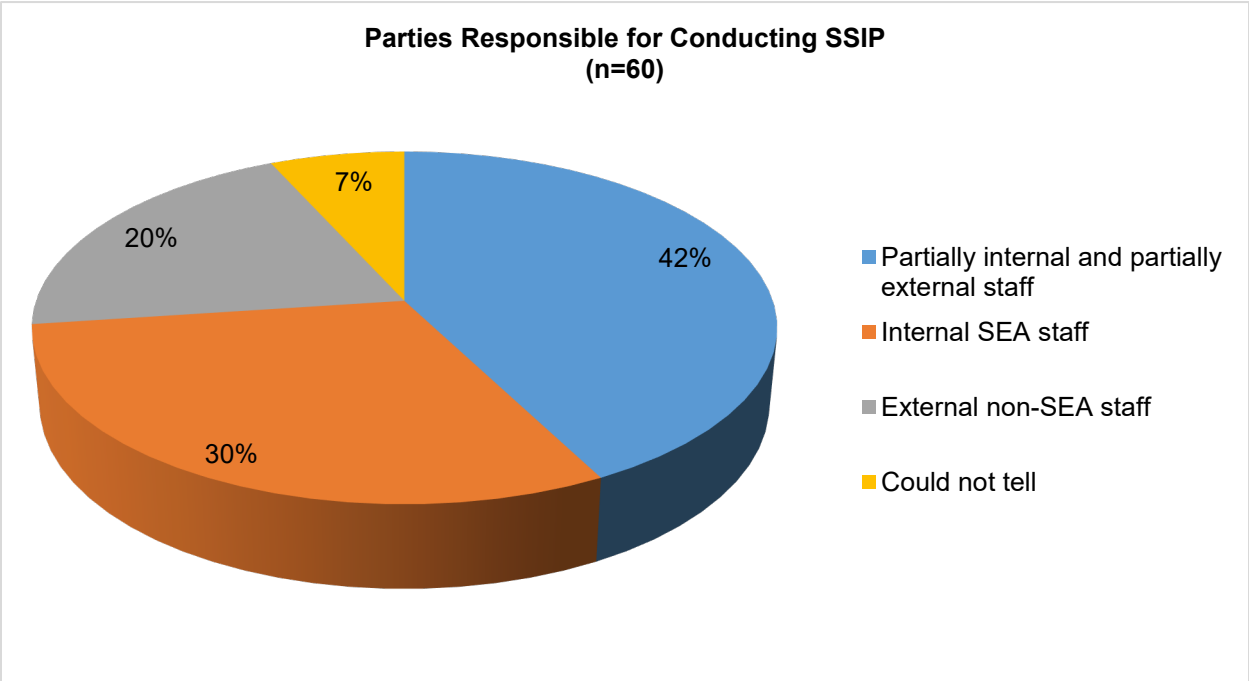
As part of the Phase II submission, states were asked to describe their planned SSIP evaluation activities, including the alignment of their SSIP evaluation to their theory of action (as well as to other components of the SSIP) and the extent to which the evaluation includes short-term and long-term objectives. States were also asked to explain the methods that they would use to collect and analyze data to determine progress toward full implementation of the SSIP and improvements in the SIMR. Stakeholder engagement in the evaluation process was another area that states were asked to address in their Phase II submissions.

Evaluation Roles and Responsibilities

Many states (25 states, 42%) reported that the SSIP evaluation would be conducted by a combination of internal state agency and external non–state agency staff. As an example, one state indicated that an "SSIP core team," composed of internal state staff and an external evaluator, would manage the evaluation of the SSIP. Another state described that an external evaluator would conduct the evaluation with assistance from an evaluator internal to the SEA. One state assigned some specific evaluation tasks to an external evaluator and other tasks to internal SEA staff. Eighteen states (30%) indicated that the evaluation would be conducted by internal SEA staff, while 12 states (20%) indicated that the evaluation would be conducted only by external non-SEA

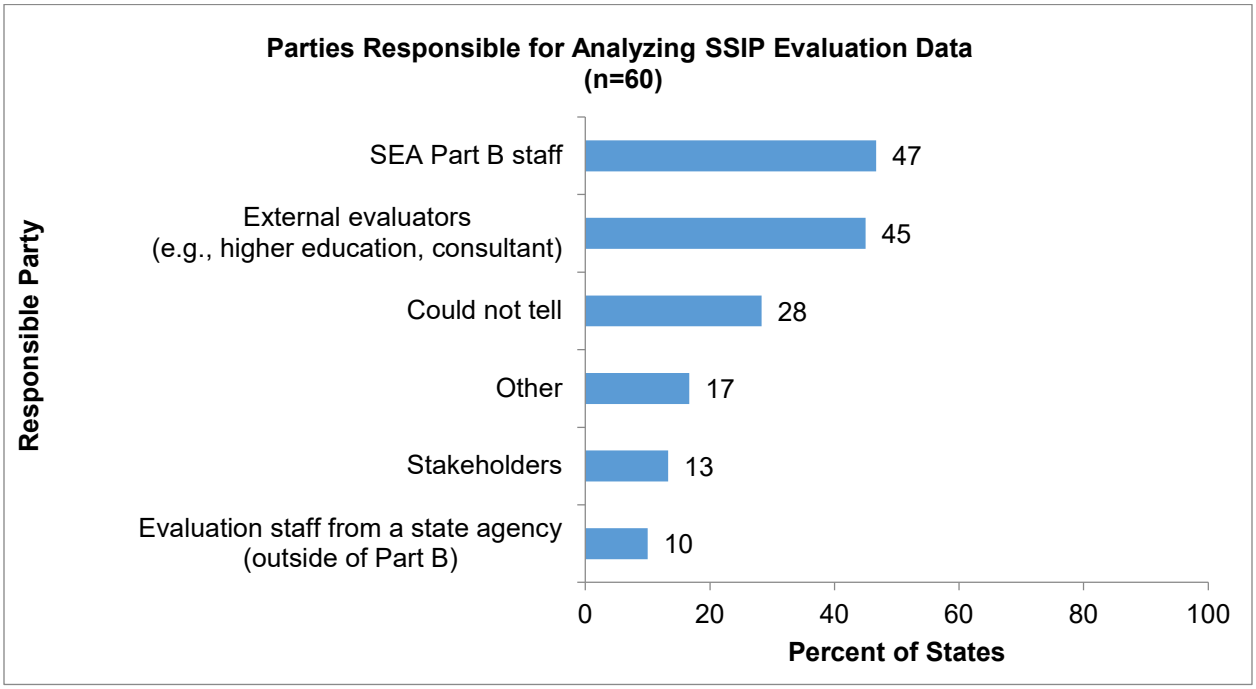
personnel. In five states (7%), it was not clear from the review whether the evaluation would be conducted internally or externally. See Figure 31.

Figure 31



Twenty-eight states (47%) indicated that state Part B staff would have responsibility for the data analysis related to the evaluation and six states (10%) reported that non-Part B SEA staff would also share in this responsibility. Twenty-seven states (45%) reported that external evaluators would have responsibility for the data analysis and eight states (13%) included stakeholders in their explanation of the various parties who would have data-analysis responsibilities. Some of the "Other" parties that states mentioned as responsible for data analysis included LEA teams, statewide TA providers, and vendors providing SSIP interventions. See Figure 32.

Figure 32



Alignment to Theory of Action

Most states (50 states, 83%) included a logic model or elements of a logic model (e.g., inputs, outputs, outcomes) in their evaluation plan, and a majority (also 50 states, 83%) specified how their evaluation is aligned to the theory of action and other SSIP components. More specifically, the review revealed that a majority of states (31 states, 52%) clearly addressed improvement strategies from the theory of action in their evaluation plan, whereas 25 states (42%) addressed them to some degree.

Furthermore, many states reported including elements of infrastructure improvements in their evaluation plan. For example, 42 states (70%) indicated planning to assess professional development improvement efforts, 36 states (60%) indicated that they would be assessing TA improvement efforts, and 15 states (25%) reported planning to assess their data system improvement efforts, as part of their SSIP evaluations.

The review also found that a majority of states (33 states, 55%) clearly addressed outcomes from the theory of action in their evaluation plan, whereas 24 states (40%) addressed them to some degree. In addition, most states (47 states, 78%) indicated that the evaluation tests some part of the theory of action. Forty-seven of 60 states (78%) included evaluation questions as part of the Phase II submission. Following are sample evaluation questions from different states.

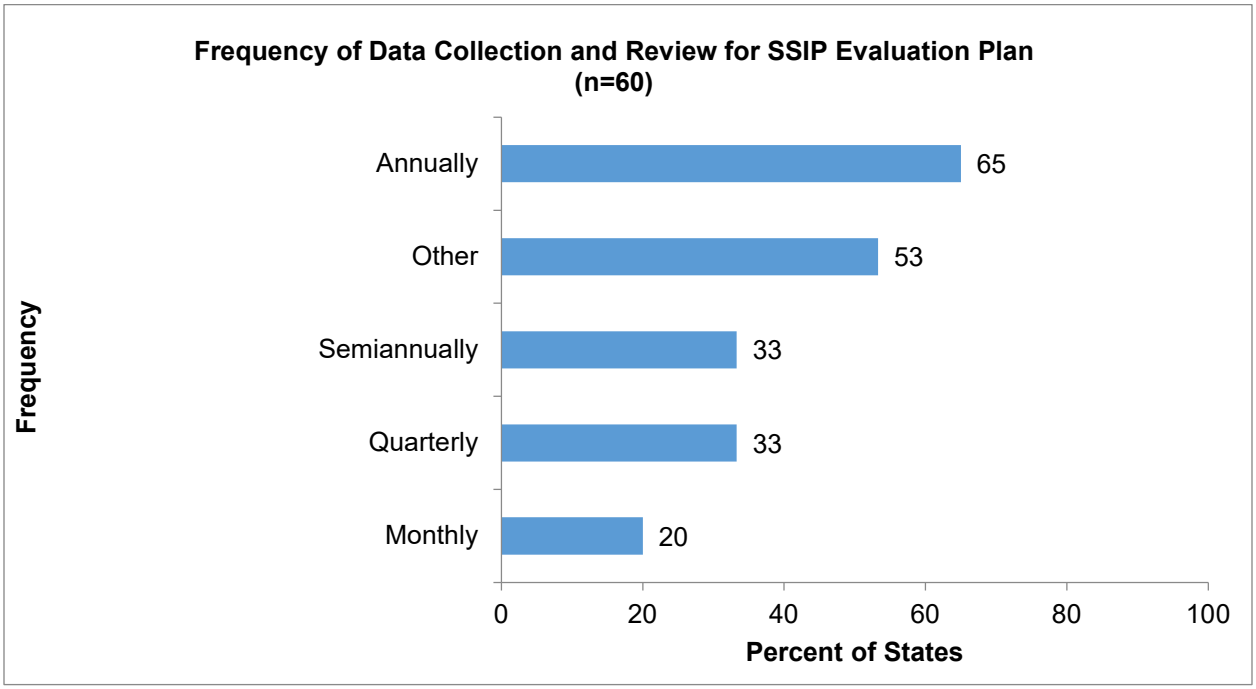
- To what extent are LEAs better able to engage in systematic problem identification and intervention planning using their own data?
- Did we increase communication across divisions, partners, local school systems, and stakeholders?

- To what extent did teachers effectively use literacy strategies grounded in quality text?
- What are overall impacts of reading instruction?

Assessing Implementation

States were asked to evaluate the implementation of planned SSIP improvement activities. A majority of states (56 states, 93%) included implementation objectives (also sometimes characterized as short- or medium-term outcomes) in their evaluation plan. Most states (45 states, 75%) indicated they would collect data at regular intervals on the implementation of improvement strategies. Many states reported several different intervals for data collection. In total, 39 states (65%) plan to collect some data annually, 20 states (33%) plan to collect some data semiannually, and 20 states (33%) plan to collect some data quarterly. Thirty-one states (53%) noted some "other" planned interval for data collection such as ongoing, periodic, and after completion of certain training events. See Figure 33.

Figure 33



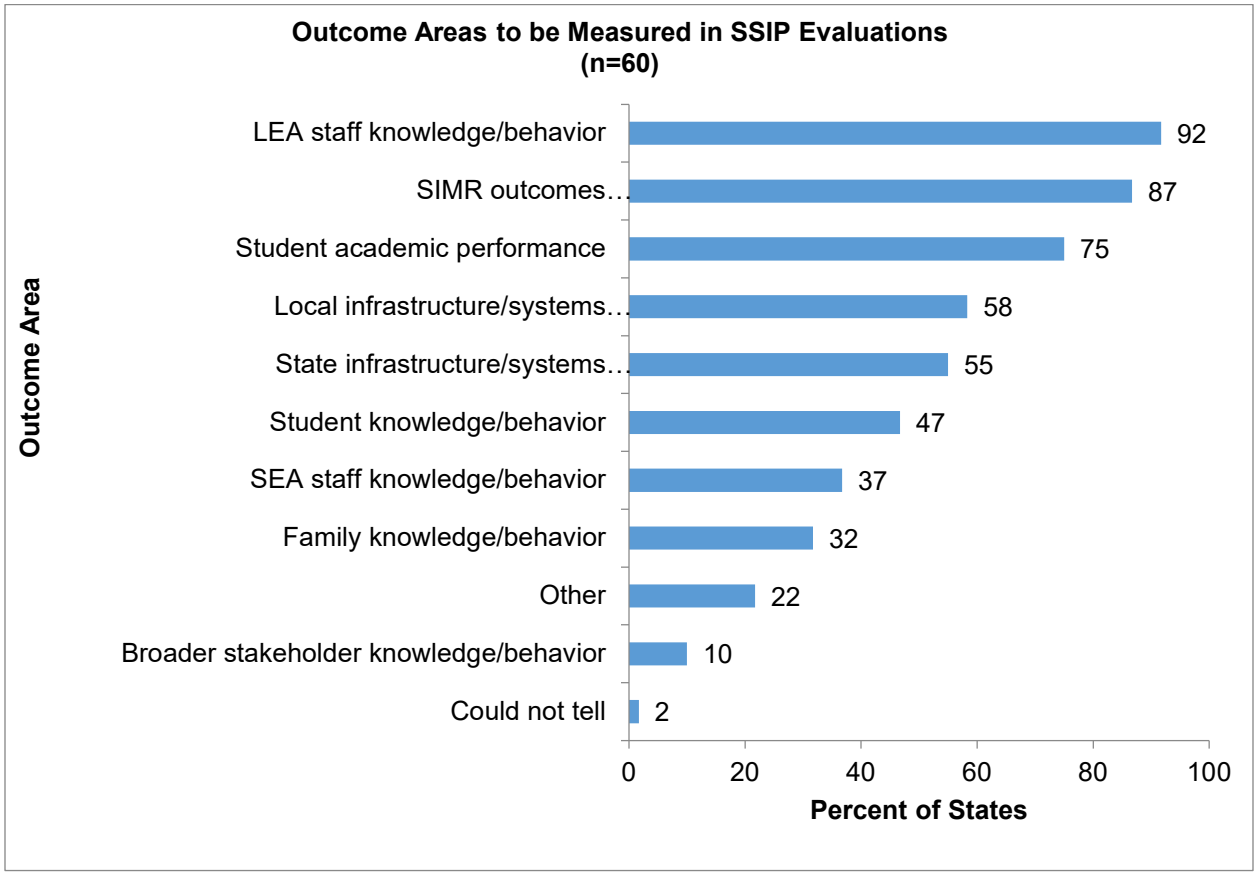
Thirty-nine states (65%) described how they plan to use evaluation data to assess the fidelity of implementation of improvement strategies. Forty states (67%) described implementation benchmarks as short- or medium-term outcomes. For example, one state indicated that it would use implementation rubrics to assess school sites' implementation of RTI. Another state reported intending to conduct "learning walks" at the classroom level to observe educators' implementation of specific literacy practices. A third state reported that it would employ observation protocols to assess the fidelity of coaching support provided to demonstration sites.

Assessing Impact

A large majority of states (58, 97%) included impact or outcomes objectives (sometimes also characterized as long-term outcomes) in their evaluation plans. Forty-four states (73%) described how they plan to use evaluation data to assess progress toward the SIMR. For example, one state explained that it would monitor improvements in students' academic achievement, as well as in attendance rates, as intermediate outcomes toward achieving the SIMR. Another state mentioned augmenting statewide assessment data with assessment data at the local level (including formative and school-based assessments) in order to measure interim progress toward the SIMR.

States reported planning to measure a variety of outcome areas as part of their SSIP evaluations. The most commonly cited outcome, reported by 55 states (92%), was changes in LEA staff knowledge or behavior. The next most frequently cited outcome, reported by 52 states (87%), was SIMR outcomes (progress on the SIMR). Many states also reported planning to measure student academic performance (45 states, 75%), local infrastructure/systems (35 states, 58%), and/or state infrastructure/systems (33 states, 55%). See Figure 34.

Figure 34



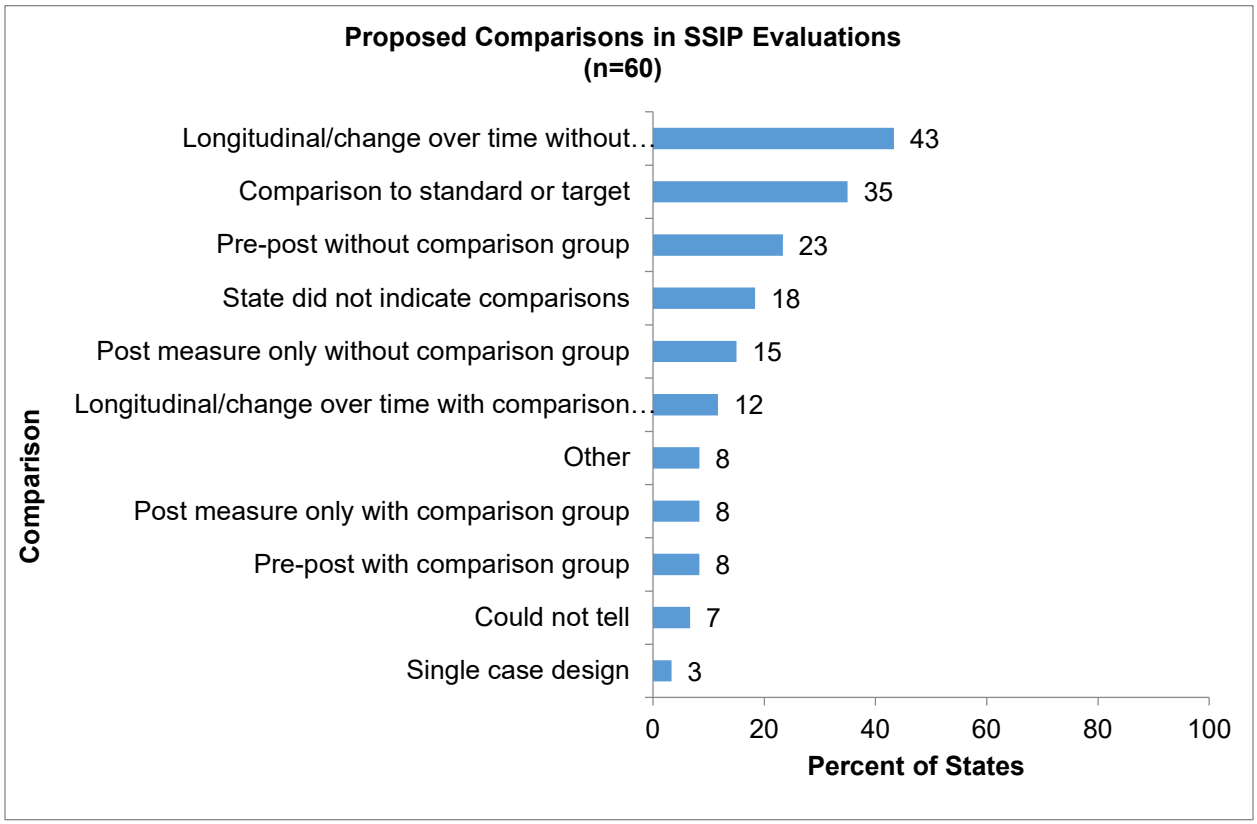
There was wide variation in the total number of outcomes that states reported planning to measure in their SSIP evaluations, ranging from a low of one outcome to a high of 82. The median number of outcomes that states planned to measure was eight.

Forty-two states (70%) did not choose to set performance indicators on outcomes other than the SIMR. However, 14 states (23%) did identify performance indicators and targets for outcomes other than the SIMR. In four states (7%) it was not clear if performance indicators were set on outcomes other than the SIMR. Sample performance indicators included:

- percent of school administrators who report that the SEA has the capacity to support them in implementing the EBP;
- percent of LEAs targeted for the SSIP that engage in the planning process; and
- number/percent of teachers in schools who report increased capacity as a result of working with literacy coaches

States are taking a variety of approaches to monitoring changes in these outcomes over time. The largest number of states (26 states, 43%) indicated they would monitor change over time without a comparison group. Twenty-one states (35%) reported that they would compare outcome data to a standard or target. Fourteen states (24%) noted that they would conduct a pre-post analysis of the data without a comparison group. See Figure 35.

Figure 35



Across both measures of implementation and measures of impact, 38 states (63%) described how they plan to use data from the evaluation to inform modifications to the SSIP. Eleven states (18%) did not describe plans for using data to modify their SSIP,

and in 11 states (18%) it was not clear whether the state planned to use data to modify its SSIP.

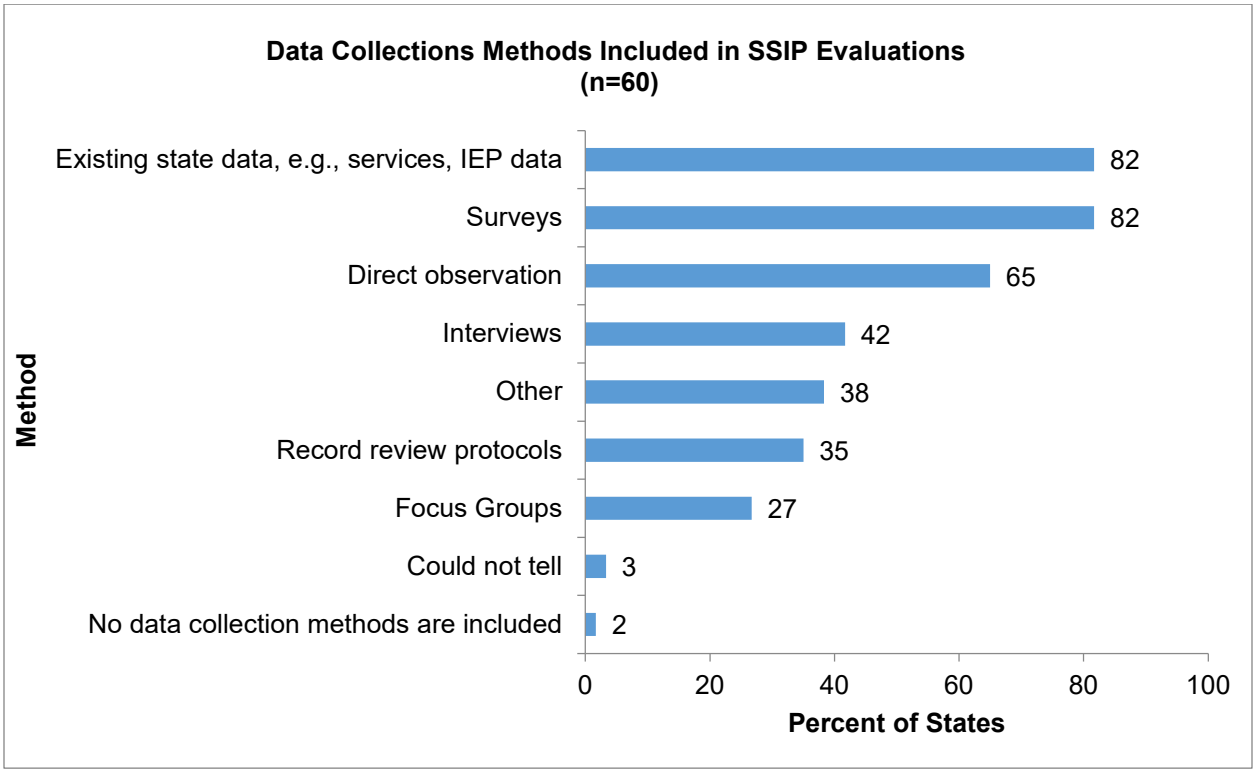
Data Collection Methods

The review found that states plan to use a variety of methods to gather data for evaluation purposes. Such methods include surveys (49 states, 82%), direct observations (39 states, 65%), and interviews (25 states, 42%). Many states (49 states, 82%) also noted that they would utilize existing data to inform their evaluations. Twenty-three states (38%) described plans to gather other types of data and data sources for evaluation purposes, including:

- coaching logs;
- training participation data;
- school climate ratings;
- teacher self-assessments;
- case studies; and
- improvement plans.

See Figure 36.

Figure 36



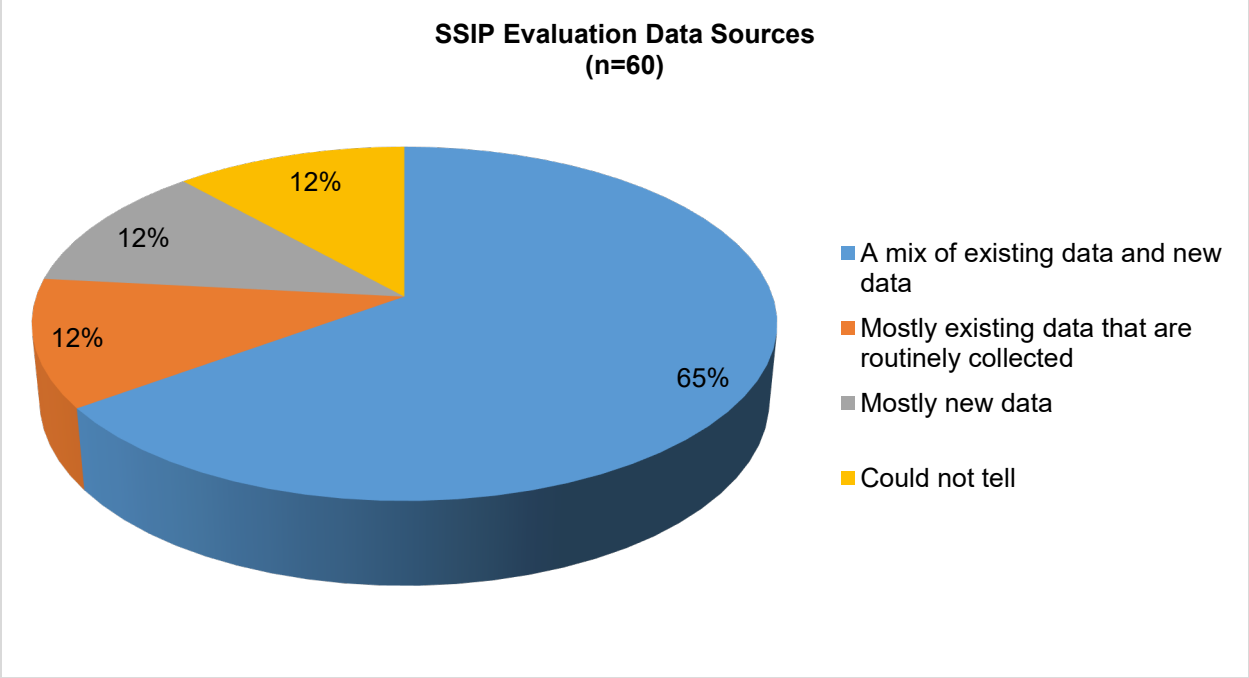
A majority of states (41 states, 68%) reported that they intend to use at least one existing data collection tool for SSIP evaluation purposes. Examples of existing data collection tools that states cited include:

- DIBELS;
- APR indicator data;
- Early Warning Systems;
- Teaching Pyramid Observation Tool (TPOT);
- SISEP State Capacity Assessment;
- AIMSweb;
- Preschool Outcome Measurement System (POMS) data; and
- MTSS implementation data.

However, many states (39 states, 65%) also indicated that they would need at least one new data collection tool or method to support their SSIP evaluations.

A large number of states (39 states, 65%) plan to combine existing data with new data to inform their evaluations. Only seven states (12%) reported that they would rely mostly on new data sources for their evaluations. See Figure 37.

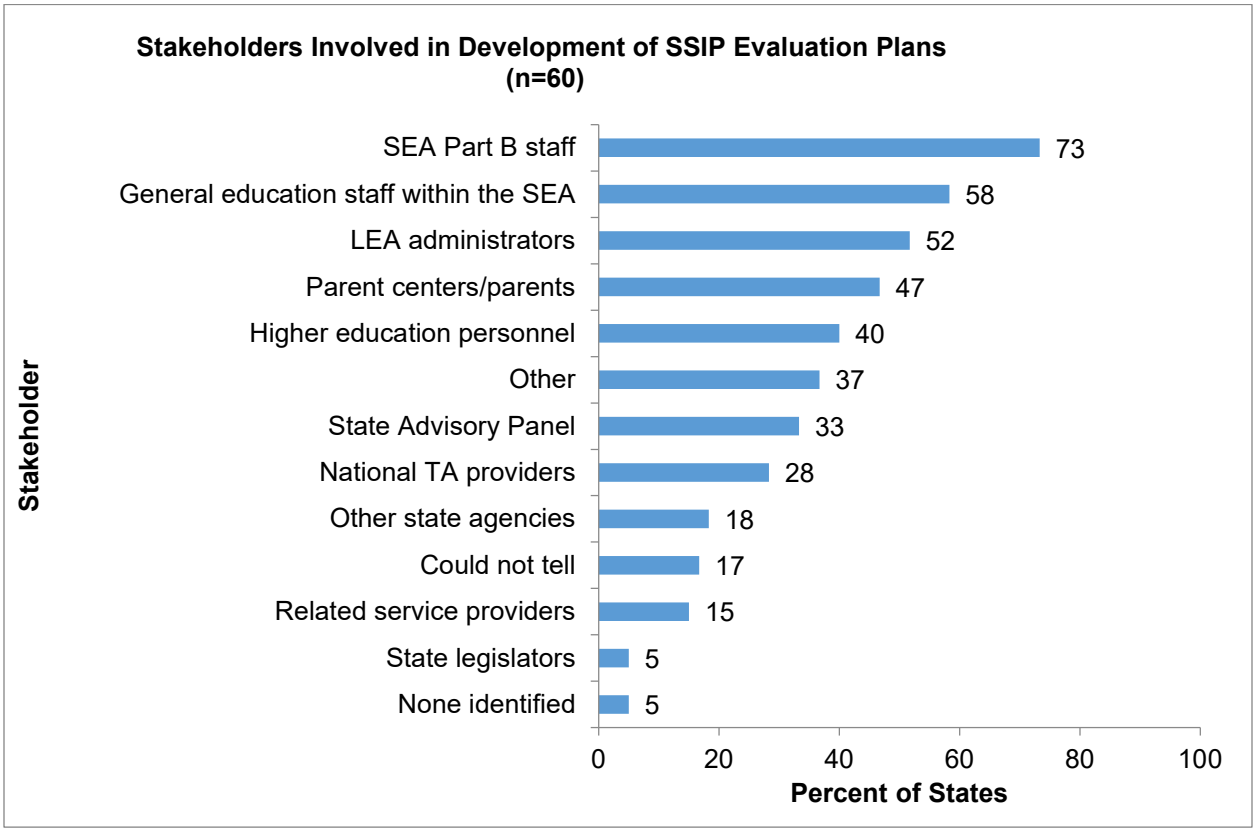
Figure 37



Stakeholder Involvement in the Evaluation

States cited a range of stakeholders involved in the development of their evaluation plans. Stakeholders who were frequently mentioned included Part B SEA staff (44 states, 73%), general education SEA staff (35 states, 58%), LEA administrators (31 states, 52%), parent centers or parents (28 states, 47%), and higher education personnel (24 states, 40%). See Figure 38.

Figure 38

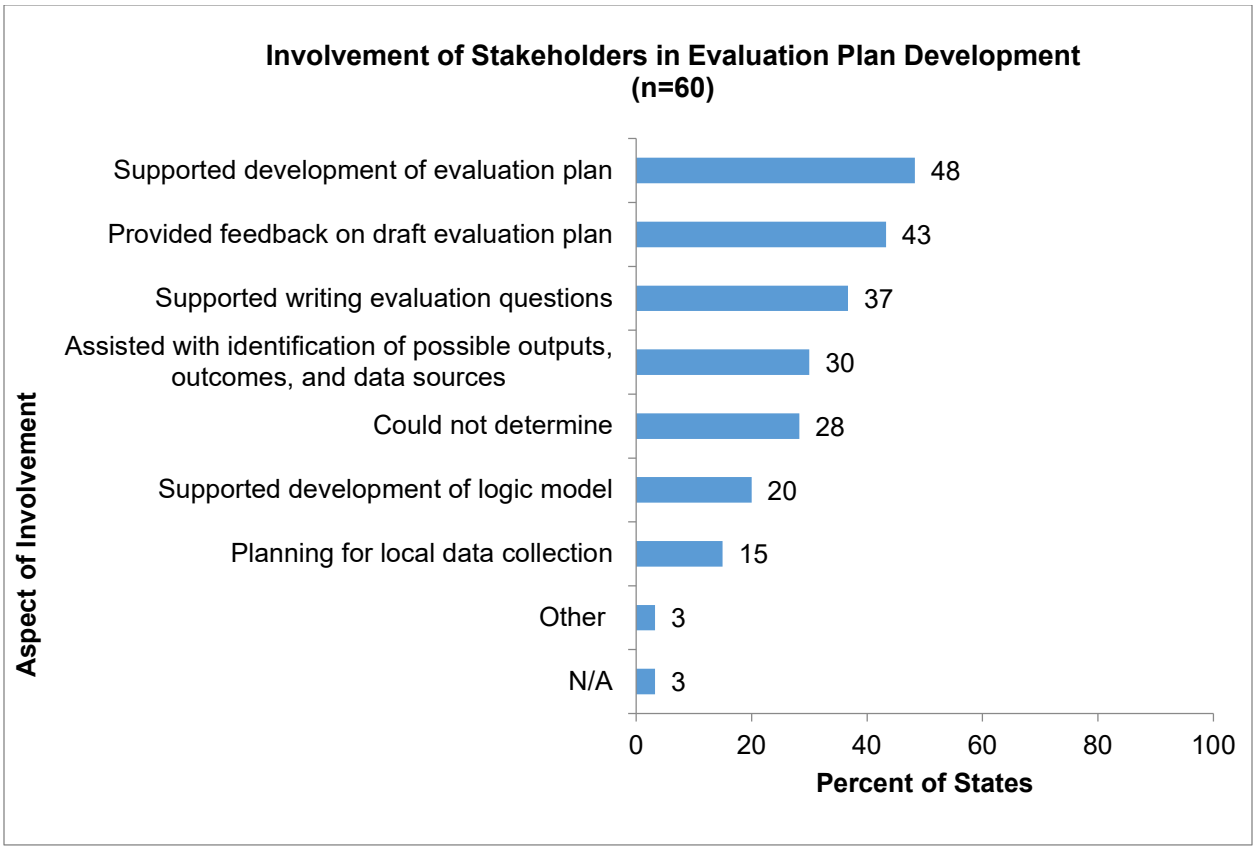


States were split as to whether or not they reported having recruited different stakeholders than from their Phase I efforts to support the Phase II evaluation. Of the 60 states, 29 (48%) reported recruiting new stakeholders, whereas 31 states (52%) did not. Examples of new stakeholders who were recruited by states to inform Phase II evaluation plans include:

- external evaluators;
- individuals with expertise in the selected EBPs;
- LEA representatives from selected pilot sites.

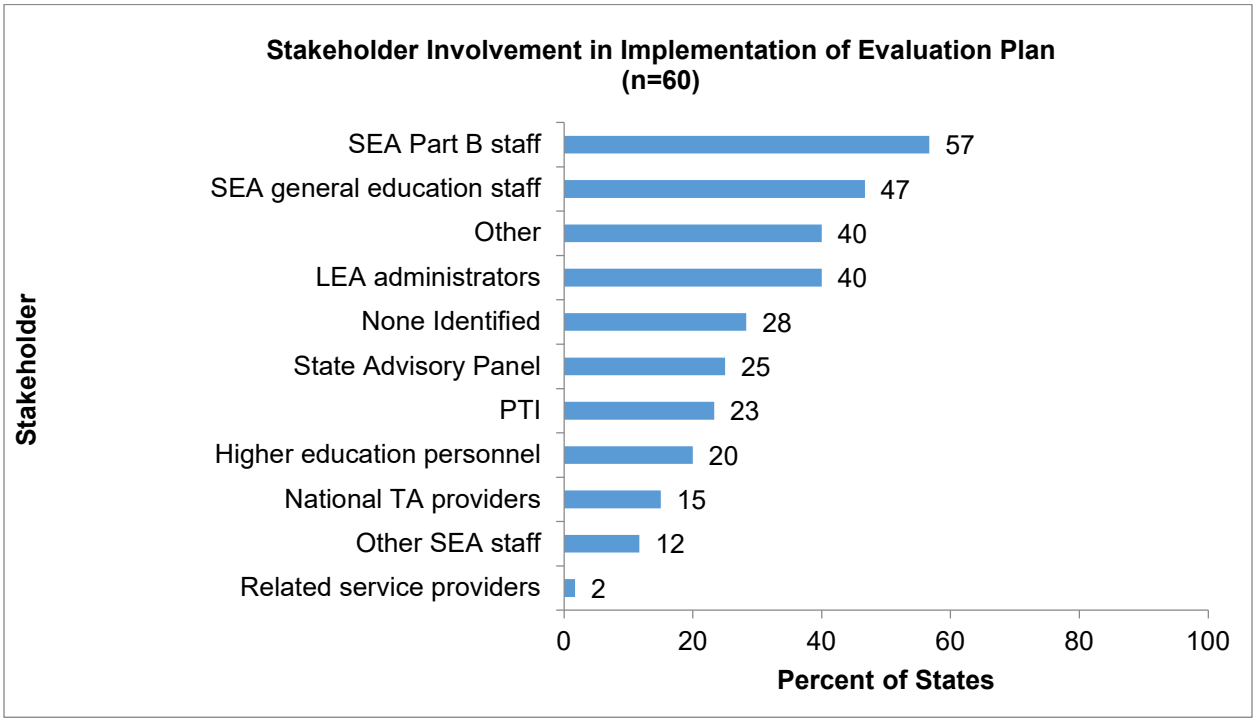
Stakeholders were asked by states to participate in the SSIP evaluation planning in a number of ways. Most commonly, states reported that stakeholders assisted in the development of the evaluation plan (29 states, 48%). States also requested feedback from stakeholders on the draft evaluation plan (26 states, 43%) and turned to stakeholders for support in writing evaluation questions (22 states, 37%). It was less apparent that stakeholders were asked to contribute to planning for local data collection (9 states, 15%). See Figure 39.

Figure 39



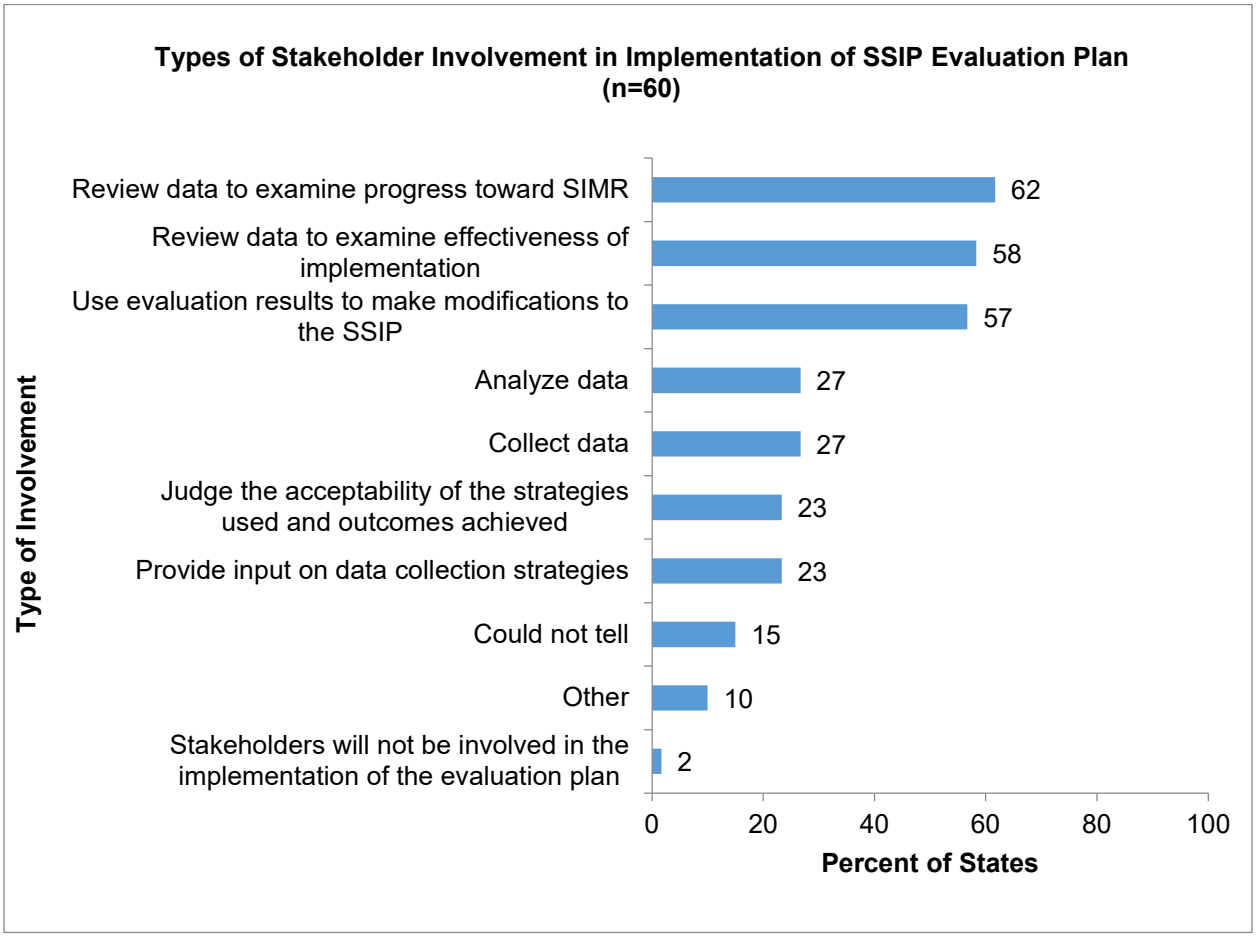
As for stakeholders' roles in the implementation of the evaluation plan, 34 states (57%) reported that Part B SEA staff would play a role in implementing the evaluation plan,12 states (20%) indicated that higher education personnel would be involved, and only 7 states (12%) indicated that staff from other state agencies would be involved. See Figure 40.

Figure 40



The nature of stakeholder involvement in the implementation process also varied. States most commonly indicated that stakeholders would participate in reviewing data to examine progress toward the SIMR (37 states, 62%), assist with analyzing data to examine the effectiveness of implementation (35 states, 58%), and/or inform the use of evaluation results to make modifications to the SSIP (34 states, 57%). See Figure 41.

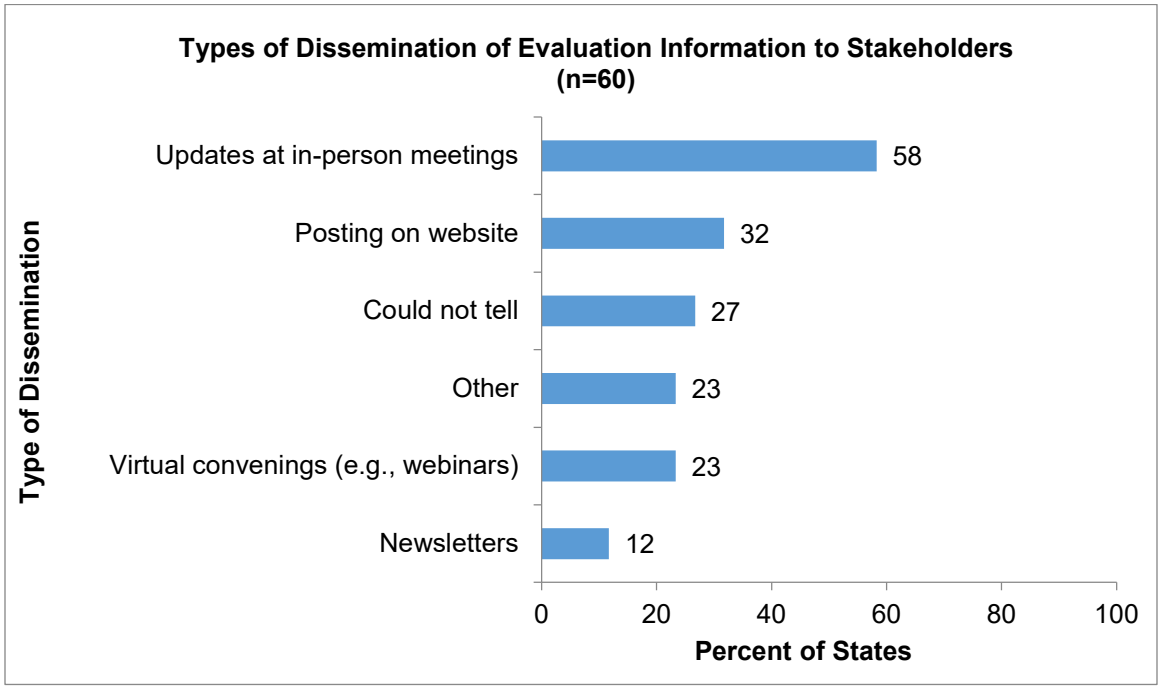
Figure 41



A review revealed that states plan to use a range of approaches to keep stakeholders informed and involved in the future, as the evaluation plan is implemented. Reviewers analyzed whether states reported engaging stakeholders in a manner consistent with the levels of authentic engagement found in the IDEA Partnership resource *Leading by Convening: A Blueprint for Authentic Engagement* (Cashman, et al., 2014). Thirty-two states (53%) reported that they would provide one-way communications to stakeholders to update them on the evaluation; 31 states (52%) reported planning to engage stakeholders at the networking level (establishing two-way communication; asking others what they think and listening to what they say); and 30 states (50%) reported intending to create opportunities for actual collaboration with stakeholders through working together, participating on implementation teams, and data-based decision making.

In terms of strategies for disseminating evaluation information to stakeholders, most states (35 states, 58%) indicated they would provide updates at in-person meetings. Nineteen states (32%) reported that they would post information for stakeholders on their website. Other dissemination methods that were cited included email notices, annual reports, and info graphics. See Figure 42.

Figure 42



The reported frequency of planned dissemination of information about the SSIP evaluation to stakeholders ranged from monthly (ten states, 17%) to annually (six states, 10%), with several states (13 states, 22%) indicating that the frequency of information dissemination would vary depending on the needs of various stakeholder groups or other factors.

PHASE II TECHINICAL ASSISTANCE AND SUPPORT

As a final element of the Phase II report, states were asked to describe areas in which the state would need support to implement an effective SSIP. Areas of need identified by states included:

- infrastructure development,
- support for LEA implementation of EBPs,
- implementation of EBPs,
- evaluation, and
- stakeholder involvement.

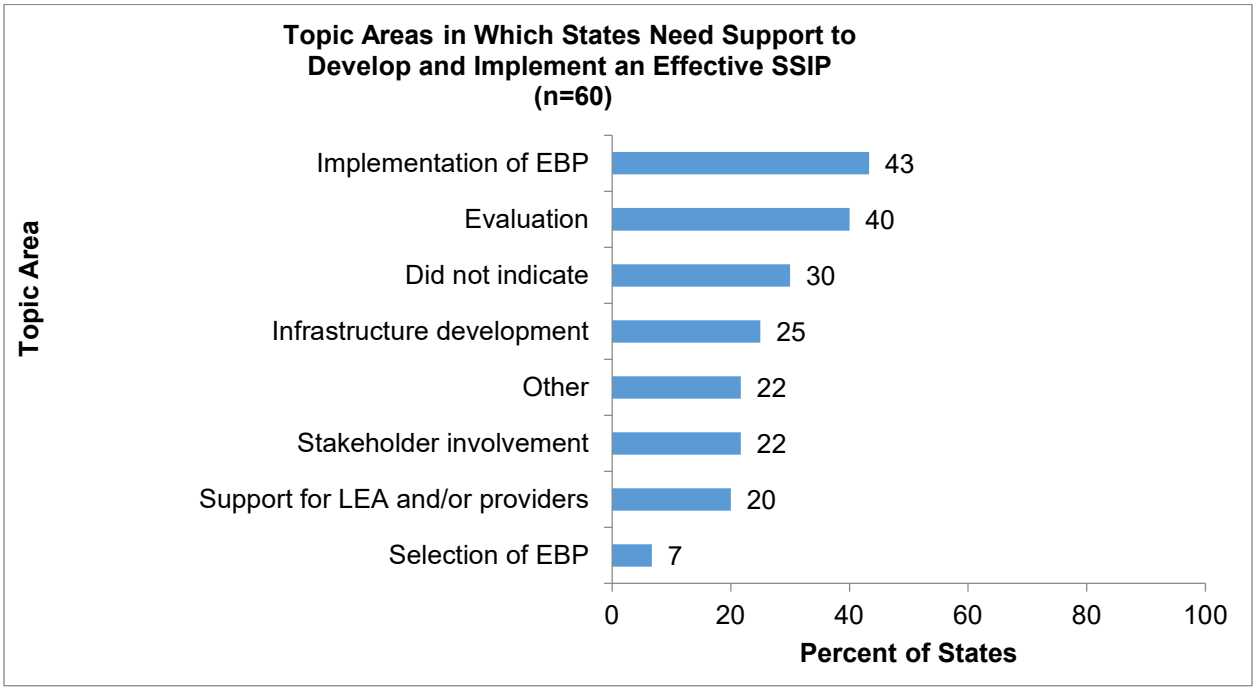
Implementation of EBPs was identified by the most states (26 states, 43%), and evaluation was the next most identified area (24 states, 40%). See Figure 43.

Some examples of specific support states requested included:

- timely and thorough responses from OSEP on technical questions;
- cross-department collaboration;

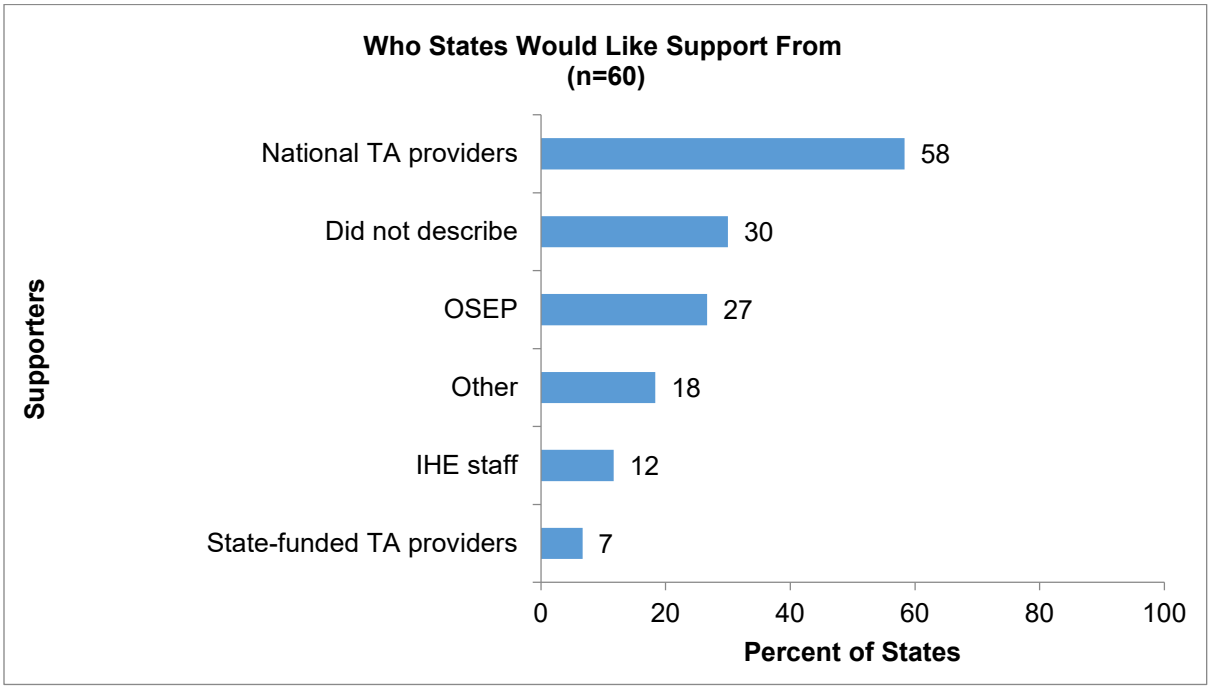
- continued support from the SISEP Center on implementation strategies;
- support in scaling up of EBPs;
- development of a coaching platform; and
- guidance on data collection strategies.

Figure 43



More than half of the states (35 states, 58%) indicated they would like support from national TA providers. TA organizations specifically named by states include NCSI, IDC, NTACT, SISEP, the Center for IDEA Early Childhood Data Systems; the Center for IDEA Fiscal Reporting; the Center for Technical Assistance for Excellence in Special Education; the Center for the Integration of IDEA Data; Collaboration for Effective Educator Development, Accountability and Reform; the Council of Chief State School Officers; the Early Childhood Technical Assistance Center; and the National Implementation Research Network. Almost one-third of states (16 states, 27%) indicated a need for support from OSEP. See Figure 44.

Figure 44



CONCLUSION

This analysis of Phase II SSIPs indicates that states are engaged in extensive infrastructure improvements, planning for the implementation of EBPs and coherent improvement strategies at the LEA/school level, developing and implementing evaluation plans, and engaging stakeholders in their SSIP efforts. States noted a need for support from OSEP, state and national technical assistance centers and providers, and staff from institutions of higher education to support implementation of an effective SSIP.

This was the first year that states reported on progress toward their SIMR targets, and almost half the states met targets (27 states, 45%). For those states that reset baselines and/or targets Phase III submissions will include updated data on progress toward those new targets and will also include discussion on progress of SSIP implementation and continued engagement of stakeholders.

REFERENCES

Cashman, J., Linehan, P., Purcell, L., Rosser, M., Schultz, S., & Skalski, S. (2014). *Leading by convening: A blueprint for authentic engagement*. Alexandria, VA: National Association of State Directors of Special Education.