2017 PART B FFY 2015 SPP/APR INDICATOR ANALYSIS BOOKLET

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

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

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).

INDICATOR 1: GRADUATION RATE
Prepared by the National Technical Assistance Center on Transition (NTACT)

Indicator 1: Percent of youth with IEPs graduating from high school with a regular diploma.

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 2015 Annual Performance Reports (APRs) and amended State Performance Plans (SPPs), which were submitted by states to OSEP in the spring of 2017. 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 2015 APR, use data from the 2014-2015 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 2011-12 school year and graduating by the end of the 2014-15 school year.

$$\frac{\textit{\# of cohort members receiving a regular HS diploma by end of the 2014-15 school year}}{\textit{\# of first-time 9th graders in fall 2011 (starting cohort) + transfers in – transfers out – emigrated out – deceased during school years 2011-12 through 2014-15}}$$

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. States that have implemented extended cohorts have seen significant numbers of youth graduating in those extended 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

States' FFY 2015 adjusted cohort graduation rates ranged between 28.97% and 92.86%, with a mean of 63.93%, a median value of 65.99%, and a standard deviation of 13.09%. Figure 1 shows the adjusted cohort graduation rates for the 59 states that calculated Indicator 1 using this method. Among these states, thirteen reported a 4-year rate and one or more extended cohorts; one state reported only a 3-year adjusted cohort rate. One state employed an event rate calculation. Its rate was 68.85%.

Figure 1

Adjusted Cohort Graduation Rates
FFY 2015

N = 59
Mean = 63.93%
Median = 65.99%
SD = 13.09%

28.97   92.86
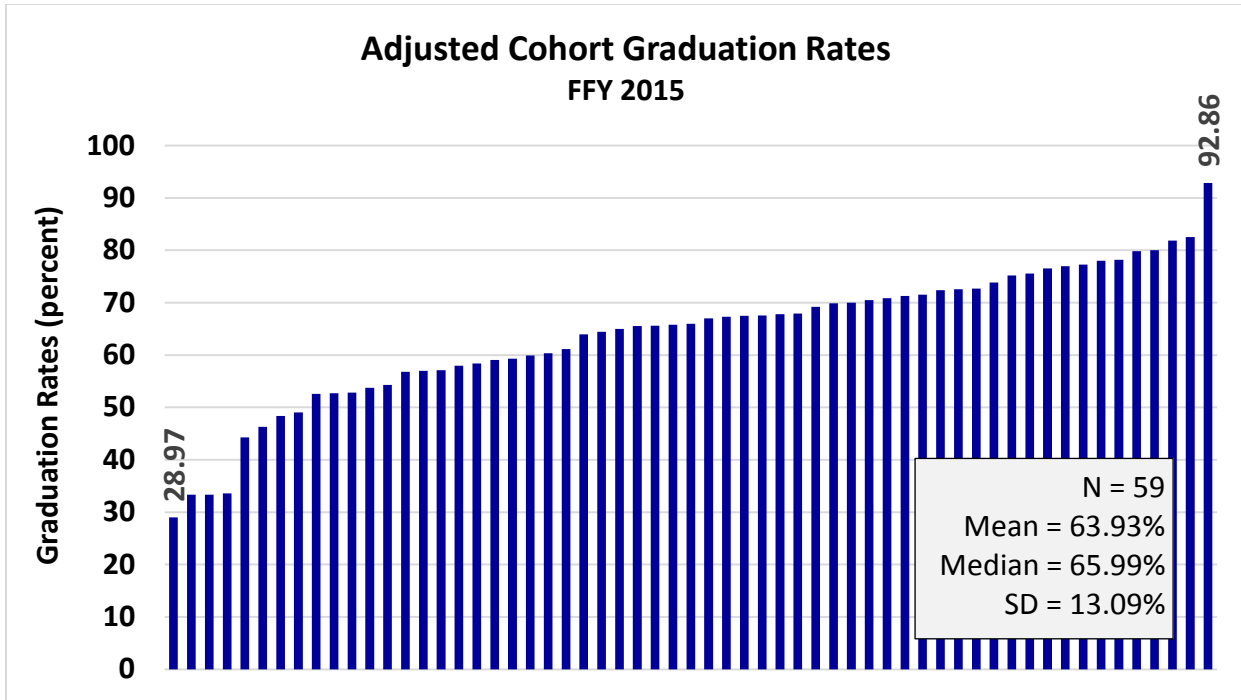
COMPARISON TO TARGETS

As shown in Figure 2, states' FFY 2015 graduation rate targets ranged from 30.00% to 100.00%. The average state target was 74.25% and the median target was 79.80%.

Figure 2

FFY 2015 Graduation Rate Targets

30.00   100.00

Mean target 74.25%
Median target 79.80%
SD 16.00%
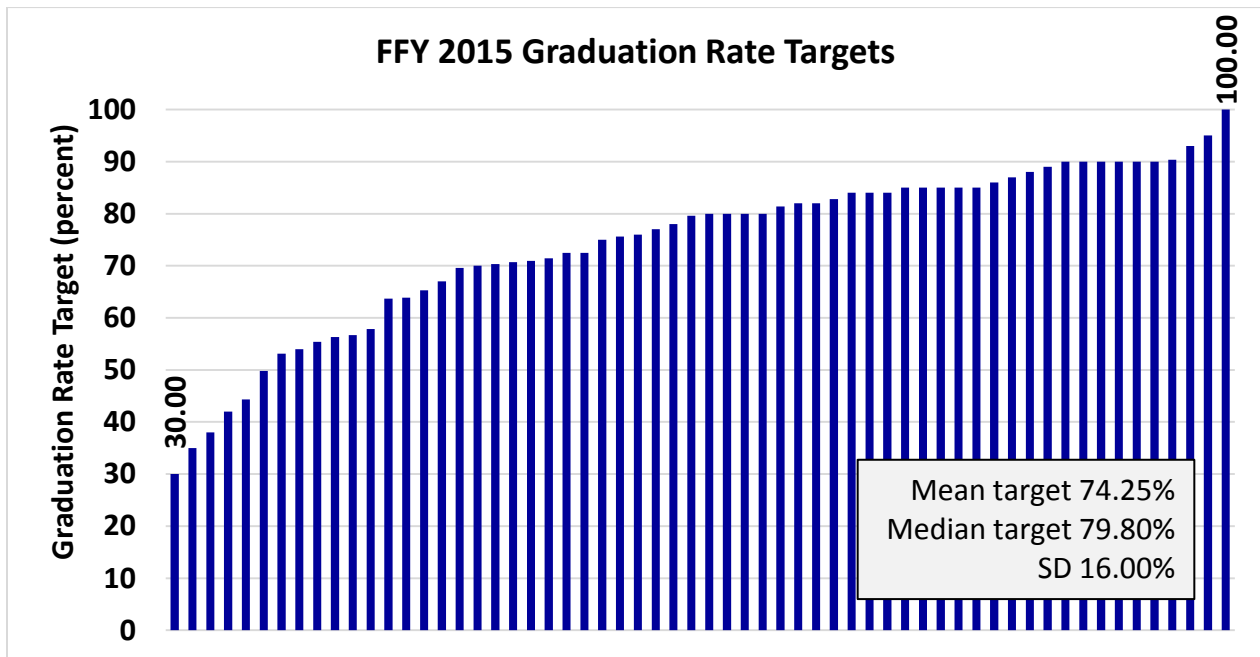
Figure 3 shows the difference between each state's target and its actual graduation rate data. Seventeen states (28%) met or exceeded their target and 43 states (72%) did not meet their target. These results are slightly lower than those from FFY 2014, when 19 states (32%) met their graduation rate target.

Of the states that met or exceeded their FFY 2015 graduation rate target, the mean distance above the target was 4.96%. The median distance above the target was 3.67% and the standard deviation was 4.95%. Of the states that missed their graduation target, the mean distance below the target was –16.25%. The median distance was –15.58% and the standard deviation was 13.18%. Eleven of the 17 states that met their graduation target for FFY 2015 also met their FFY 2015 dropout rate target.

Figure 3
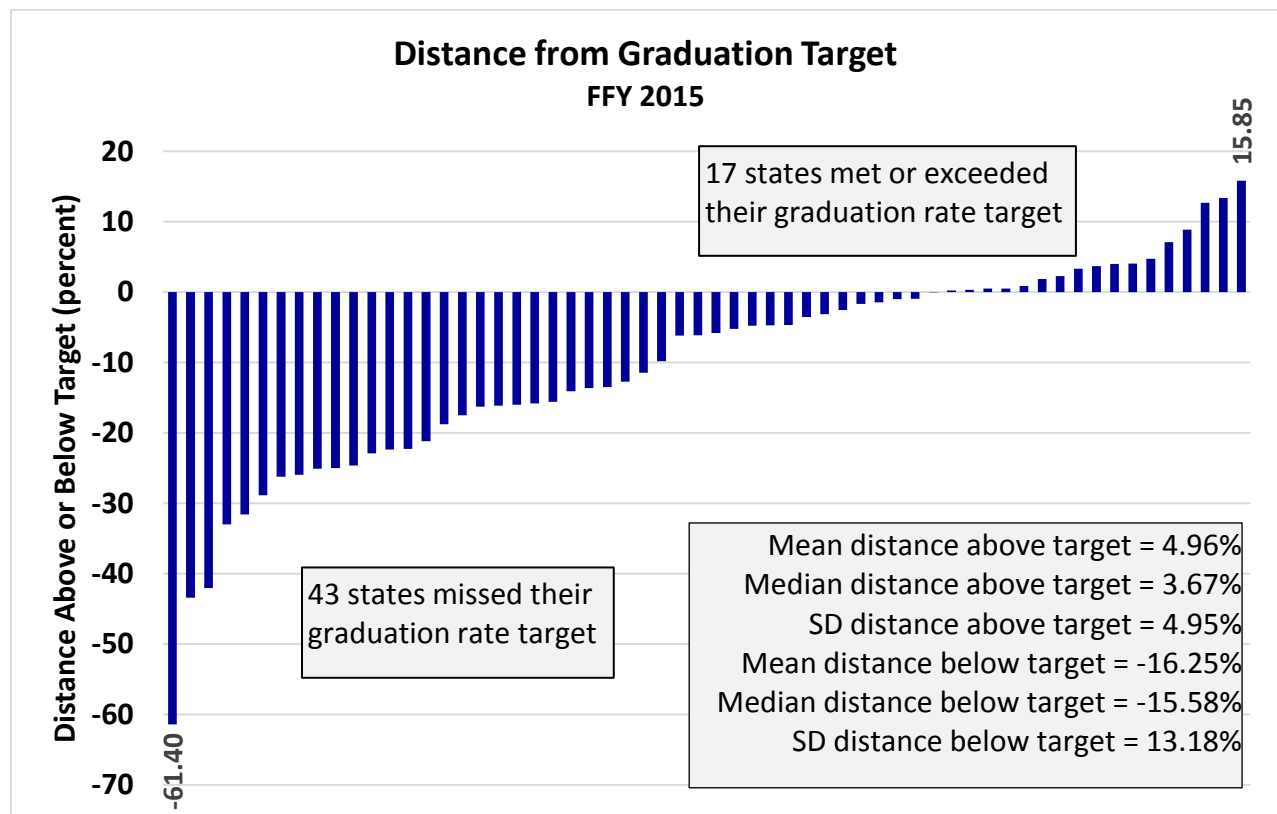
Figure 4 shows the relative numbers of states that met or missed their graduation rate targets over the period from FFY 2006 through FFY 2015. As may be seen, it also indicates the number of states that either changed their graduation rate calculation or were missing data during the period.

Figure 4

States Meeting Graduation Targets Over Time
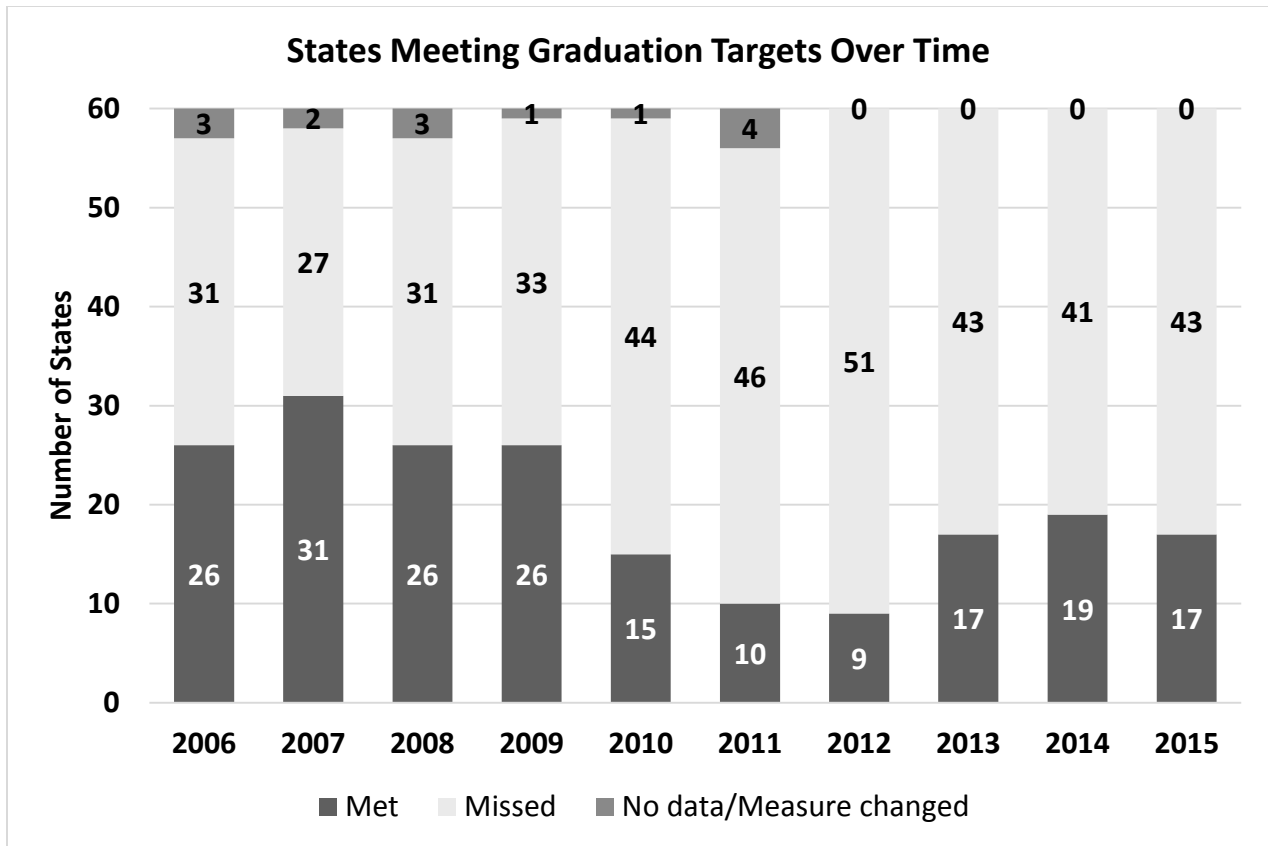
CHANGE IN DATA FROM LAST REPORTING YEAR

Figure 5 shows the change in states' graduation rates from FFY 2014 to FFY 2015. As may be seen, the degree of change this year ranged between –24.37 and 17.83%. Thirty-nine (65%) made progress with graduation, improving their rates on average of 3.83%. Their median improvement was 2.05% and their standard deviation was 4.25%. Twenty-one states (35%) reported a decrease (slippage) in their graduation rates from FFY 2014. Their mean amount of slippage was -3.10% with a median of -1.48% and a standard deviation of 5.21%.

It should be noted that, in states with very small numbers of students with disabilities, one or two students can have a 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 5

**Change in Graduation Rates
from FFY 2014 to FFY 2015**
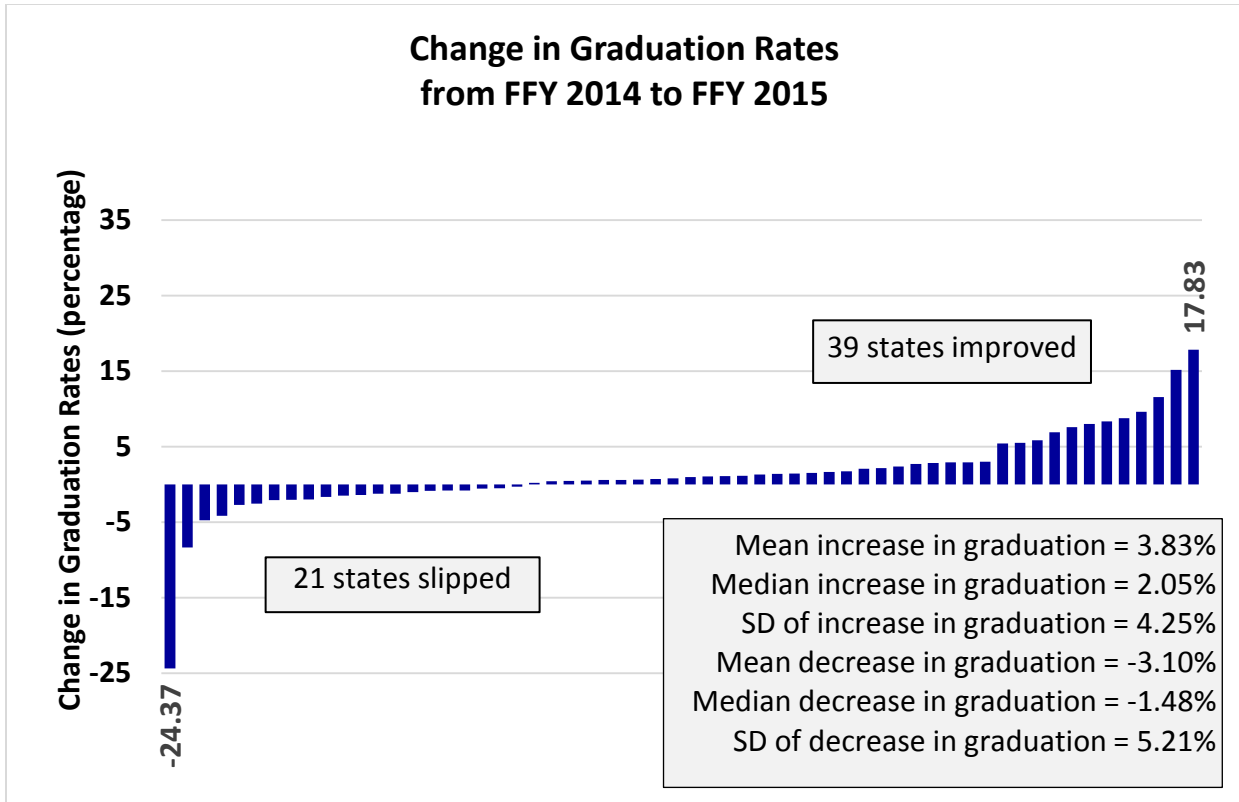
The majority of states established a baseline graduation rate using the adjusted cohort rate calculation in FFY 2011. Table 1 shows the numbers of states that established baselines in FFYs 2005 – 2013, by year.

Baseline Year	Count	Percentage of All States
2005	4	7%
2006	1	2%
2008	6	10%
2009	5	8%
2010	2	3%
2011	39	67%
2012	2	2%
2013	1	2%

Table 1
Number of States Establishing Baseline, by Year

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)

Indicator 2: Percent of youth with IEPs dropping out of high school.

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 2015 Annual Performance Reports (APRs) and amended State Performance Plans (SPPs), which were submitted by states to OSEP in the spring of 2017. 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 2015 SPP/APR, use data from 2014-2015), 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 2015 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 4.77%, slipping slightly from last year's mean of 4.59%. The median was 3.63% and the standard deviation was 3.94%.

The next most frequently reported type of calculation for FFY 2015 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 offers a single, standard measure that allows 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 17.54%, improved from 18.20% in FFY 2014. The median was 18.39% and the standard deviation was 10.03%.

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 16.83%, up a bit from 13.51% in FFY 2014, with a median of 15.52% and a standard deviation of 5.08%.

As noted above, Figures 1 – 3 show states' dropout rates, based on the method of calculation employed for the FFY 2015 APR. Please note that the Y-axis (vertical axis) scales differ among these three figures.

Figure 1

Event Dropout Rates
FFY 2015

N = 35
Mean = 4.77%
Median = 3.63%
SD = 3.94%

Values (left to right): 0.74, 1.22, 1.30, 1.41, 1.94, 1.97, 2.01, 2.24, 2.36, 2.75, 2.75, 3.03, 3.25, 3.30, 3.45, 3.50, 3.58, 3.63, 4.34, 4.42, 4.65, 4.73, 4.98, 5.26, 5.27, 5.36, 5.39, 5.60, 5.79, 6.34, 7.35, 7.46, 8.57, 16.64, 20.33

Dropout Rates (percent)

Figure 2

Exiter Dropout Rates
FFY 2015

Values (left to right): 0.00, 1.79, 5.80, 6.99, 7.60, 9.25, 11.95, 14.46, 16.15, 18.05, 18.72, 19.75, 23.02, 24.12, 25.17, 26.30, 28.03, 29.93, 29.82, 33.92

N = 20
Mean = 17.54%
Median = 18.39%
SD = 10.03%

Figure 3

Adjusted Cohort Dropout Rates
FFY 2015

Values (left to right): 12.03, 12.55, 15.52, 20.26, 23.79

N = 5
Mean = 16.83%
Median = 15.52%
SD = 5.08%

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 2015, 32 states (53%) met their SPP performance target for Indicator B-2; 27 states (45%) missed their target; and one state (2%) changed its measurement of the indicator. This is a decrease in the number of states meeting targets from FFY 2014, when 38 states met their target and from FFY 2013, when 49 met their target. Eleven of the 32 states that met their dropout target for FFY 2015 also met their FFY 2015 graduation rate target.

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 2015. 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 40 states within plus or minus two percentage points of their stated target and 51 within five percentage points. The mean amount by which states beat their target was –2.17%. The median was –1.22% and the standard deviation was 2.38%. The mean amount by which states missed their dropout target was 3.28%. The median was 0.98% and the standard deviation was 6.10%.

Figure 4

States' Distance from Their FFY 2015 Dropout Targets

27 states' dropout rates were **higher than** (worse than) than their target

1 state changed measurement, so a change in rate could not be calculated

32 states' dropout rates were **lower than** (better than) their target

Mean distance **below** target: -2.17
Median distance below target: -1.22
SD distance below target: 2.38
Mean distance **above** target: 3.28
Median distance above target: 0.98
SD distance above target: 6.10

Figure 5 shows the numbers of states that have met or missed their dropout target across the years since FFY 2006. In FFY 2015, one state changed its measurement of the indicator and established a new baseline and targets.

Figure 5

States Meeting Dropout Targets Over Time
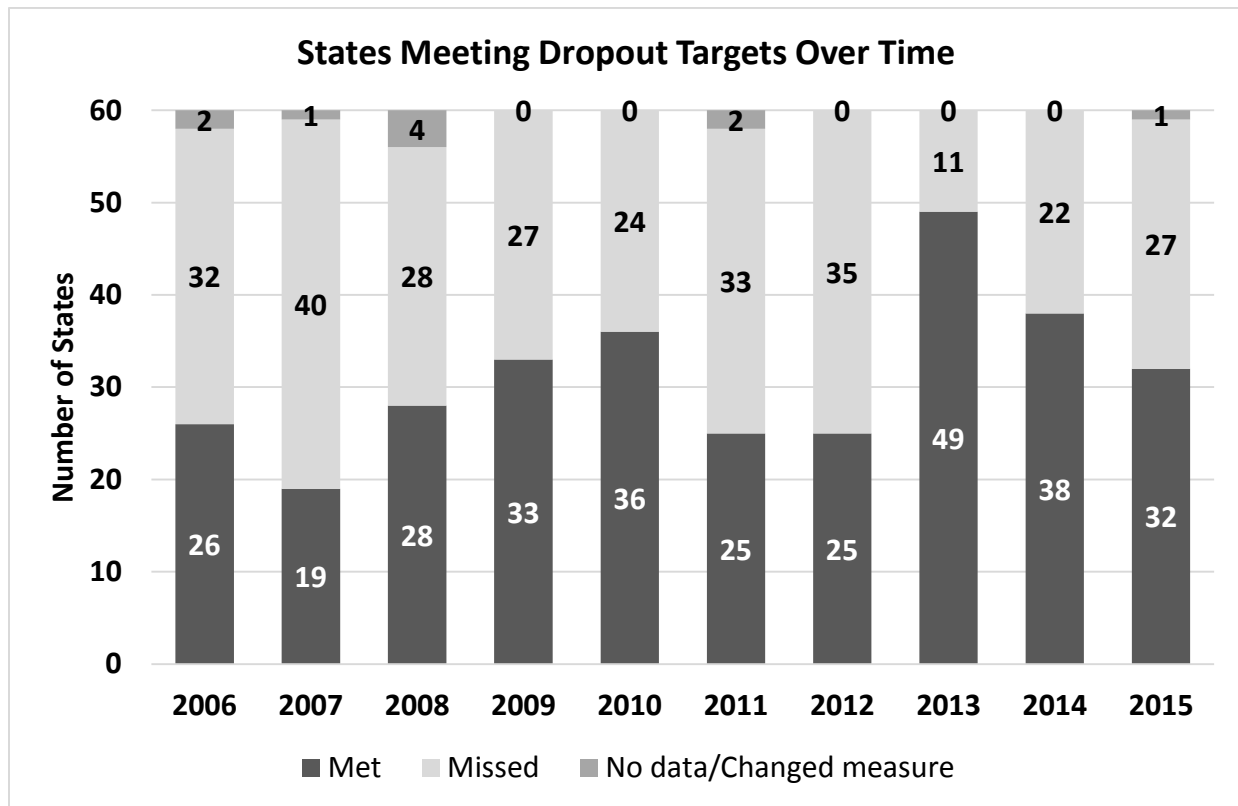
Figure 6 shows the change in states' dropout rates from FFY 2014 to FFY 2015. As may be seen, 35 states (58%) lowered their dropout rate in FFY 2015. This was an improvement over FFY 2014, when 32 states made progress. The mean amount of this improvement in FFY 2015 was –1.17%, with a median decrease in dropout of –0.49% and a standard deviation of 1.65%. During this same period, 20 states (33%) experienced slippage and saw their dropout rates increase. The mean amount of increase in these states' dropout rate was 2.13%, with a median value of 0.77% and a standard deviation of 3.65%. In one state (2%), dropout rates remained unchanged from the previous year. Finally, four states (7%) changed some aspect of the way they measure the indicator and were, 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 2014 to FFY 2015

Change in Dropout Rates (percentage)

4 states changed measurement

1 state's dropout rate **stayed the same**

20 states **slipped** (dropout increased)

15.71

-6.72

35 states **improved** (dropout decreased)

Mean **decrease** in dropout = -1.17%
Median decrease in dropout = - 0.49%
SD of decrease in dropout = 1.65%
Mean **increase** in dropout = 2.13%
Median increase in dropout = 0.77%
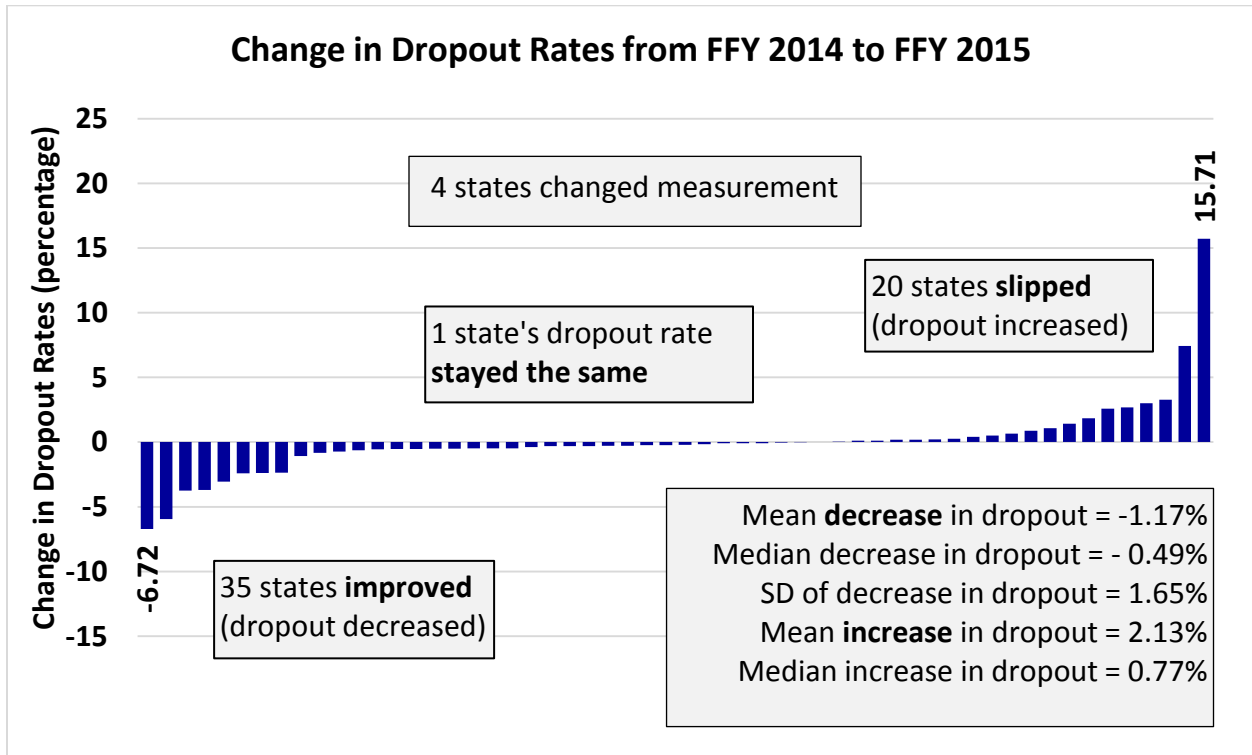
The majority of states established a baseline dropout rate in FFY 2011 using the calculation method of their choosing. Table 1 shows the numbers of states that established baselines in FFYs 2005 – 2015, by year.

Baseline Year	Count	Percentage of All States
2005	9	15%
2006	2	3%
2008	9	15%
2009	2	3%
2011	22	37%
2012	2	3%
2013	11	18%
2015	3	5%

Table 1
Number of States Establishing Baseline, by Year

INDICATOR 3: ASSESSMENT
Prepared by the National Center on Educational Outcomes (NCEO)

Indicator 3: Participation and performance of children with IEPs on Statewide assessments:

  A. Percent of districts with a disability subgroup that meets the State's minimum "n" size that meets the State's AYP/AMO targets for the disability subgroup.
  B. Participation rate for children with IEPs.
  C. Proficiency rate for children with IEPs against grade level, modified and alternate academic achievement standards.

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 has historically included a measure of the extent to which districts in a state were meeting the Elementary and Secondary Education Act (ESEA) Adequate Yearly Progress (AYP) or Annual Measurable Objective (AMO) targets for students with disabilities.

Indicator 3 information in this report is based on Annual Performance Report data from 2015-2016 state assessments. States submitted their data in February 2017 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 (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 across grades 3 through 8, and one tested grade in high school. Because states disaggregated data to varying degrees, rather than providing aggregate data for each subject area, 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.

DATA SOURCES

We obtained data for this report in July and August 2017 from spreadsheets 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

confirmed correct data with OSEP. For the summaries in this report, we used only the data that states reported in their APRs for 2015-2016 assessments.

METHODOLOGY & MEASUREMENT APPROACHES

Two components now comprise the data in Part B Indicator 3:

- 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.

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 2015-2016 participation data for reading and mathematics in their APRs. Thirty-one regular states and ten unique state entities (41 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). Six states reported data by school level (elementary, middle school, and high school), with three states reporting a data point for each level, and three states reporting a data point for grades 3-8 and a data point for high school. Six regular states (and no unique state entities) failed to report participation data.

Figure 1.
Ways in Which Regular and Unique States
Provided 2015-2016 Participation Data

- Participation data reported overall
- Disaggregated by grade level
- Disaggregated by school level
- Participation data not reported
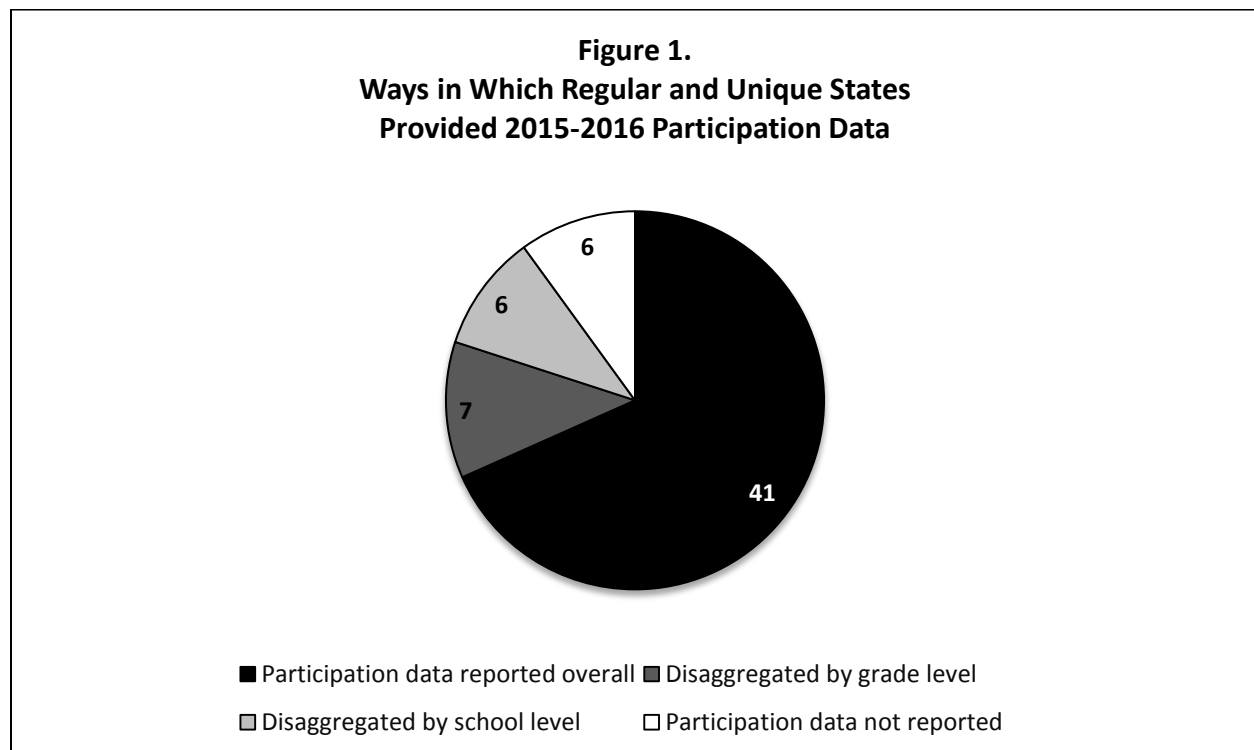
Note. "Participation data not reported" includes states that did not provide data points (n = 3) and states that provided data points yet indicated that they were "not valid and reliable" (n = 3).

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 had been 47 states in the first three years, but has generally decreased since -- to 45 states (in 2013-2014), then up to 46 states (in 2014-2015), then down further to 41 states (in 2015-2016). Of the states that provided the overall reading participation data

points, the average participation rate in 2015-2016 was 93.47%, which was the second-lowest mean across the past six years, from a high of 96.84% in 2010-2011 to a low of 92.11% in 2014-2015. 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 38.5%. The highest participation rate for any single state was 100.0%, occurring in 2010-2011 and again in 2015-2016, and the lowest was 21.4%, occurring in 2015-2016. This means that the widest range (78.6%) between highest and lowest averages occurred in 2015-2016, also the year with the fewest states reporting data.

Thirty-one regular states 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 2015-2016 reading assessments across all states (with sufficient data) was 93.47%, which is an increase from 2014-2015 with 92.11%.

There was no change in the number of states reporting participation rates of more than 90.0% between 2014-2015 and 2015-2016 (38 states in both cases). However, fewer states (1 regular state and 2 unique state entities) reported participation rates of 90.0% and below in 2015-2016 than three of the previous five years, particularly lower than 2014-2015 -- when 8 states reported participation rates of 90.0% and below. Further, because fewer states reported reading assessment participation rates in 2015-2016 than before, a larger proportion of states reporting these data indicated that their reading participation rates were above 90.0% than the proportion of states reporting these rates in most years (except for 2010-2011 and 2012-2013).

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

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	96.84	95.99	94.87	94.34	92.11	93.47
Highest	100.0	99.6	99.8	99.8	99.9	100.0
Lowest	49.2	50.2	28.6	48.9	32.9	21.4
No Data	**13**	**13**	**13**	**15**	**14**	**19**

Year-to-Year Comparison for Indicator 3B Reading

Thirty-one regular states and nine unique state entities (40 total) provided information for 2014-2015 and 2015-2016 that could be used in cross-year data comparisons; 19 regular states and one unique state entity did not report sufficient data. The average reading participation increase for the reporting states and entities was 2.73 percentage points. Of the 40 states and entities reporting sufficient data, 25 had increases in their participation rates, with 12 states having increases of 1.00 percentage points or more, and of those, four states had increases of more than 6 percentage points (more than twice the average increase). Fourteen states and entities had decreases, averaging 2.43 percentage points, the lowest decrease being less than 0.02 percentage points and the highest being 11.57 percentage points. Nine states and entities reported having decreases of 1.00 percentage points or more, and of them, only two showed a relatively large decrease ranging from just under 5 percentage points (but more than twice the average decrease) to 11.57 percentage points. One state had no change in participation rate between the two years. Figure 3 shows the comparisons between 2014-2015 and 2015-2016 data.

Figure 3.
Change from 2014-15 to 2015-16, B3B Reading

14 States Show Decreases

21 States Show No Change

25 States Show Increases

20 of the 'No Change' States Lacked Data for One or Both Years
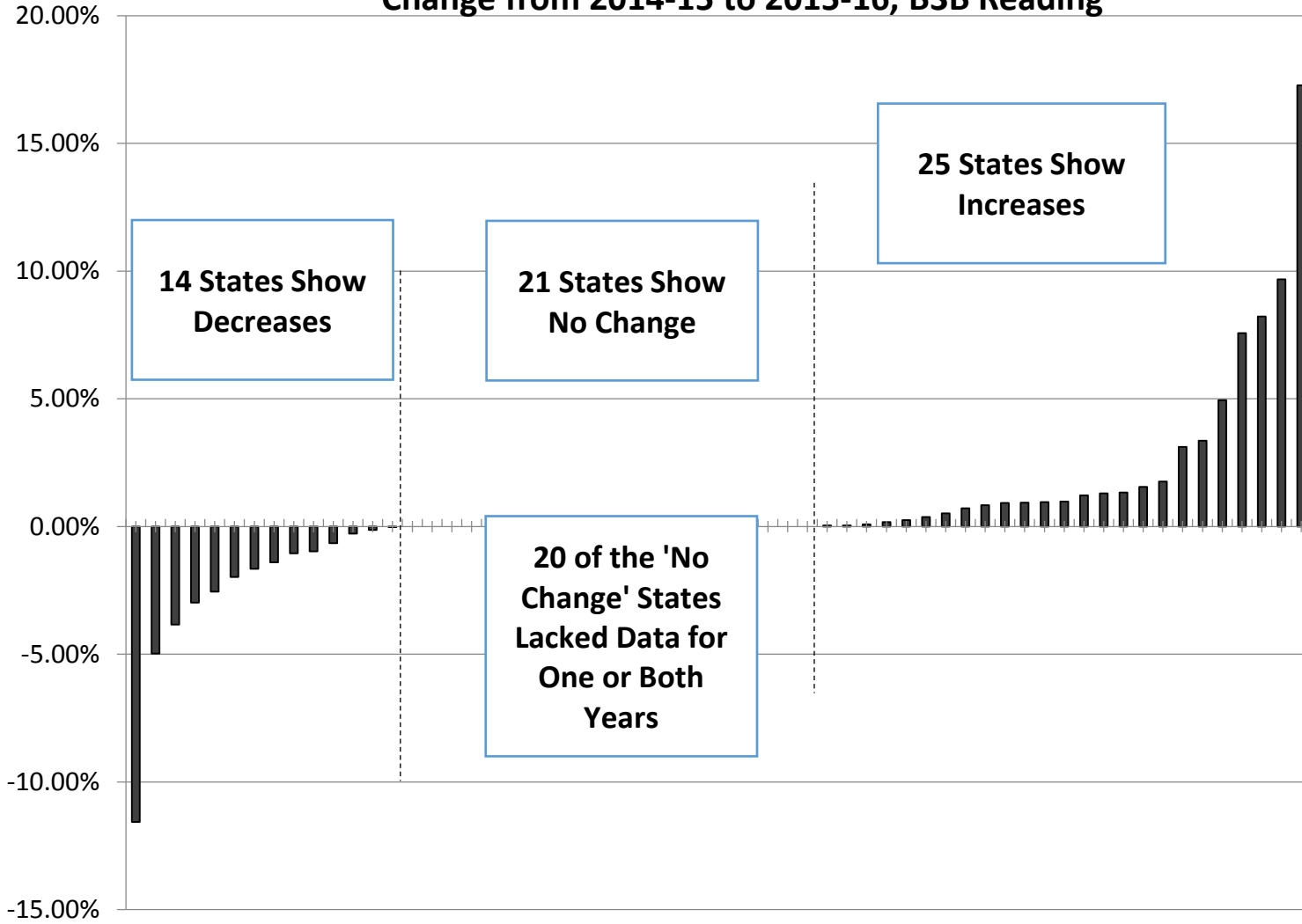
Each Column Represents One State/Jurisdiction (n=60)
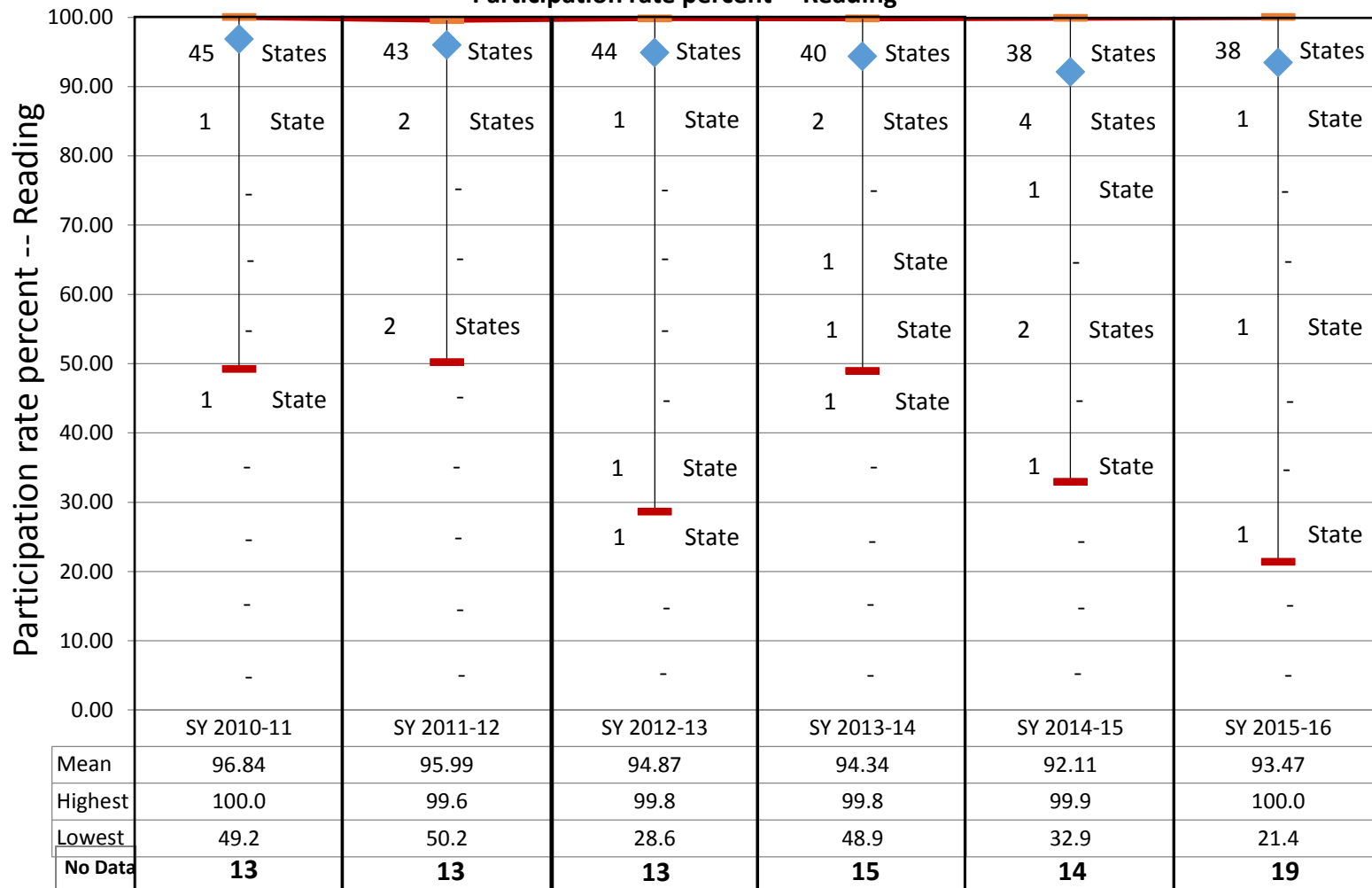
Six-Year Trend for Indicator 3B Mathematics

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 the years had been 47 states in the first three years, but has generally decreased since -- to 45 states (in 2013-2014), but up to 46 states (in 2014-2015), then down further to 41 states (in 2015-2016). This pattern was the same as that of reading participation during the same years. Of the states that provided the overall math participation data points, the average participation rate in 2015-2016 was 93.55%, which was the second-lowest mean across the past six years, from a high of 96.44% in 2010-2011 to a low of 92.76% in 2014-2015. The average highest math participation rate (averaging across the six years in Figure 4) was 99.9% and the average lowest math participation rate across years was 38.5%. 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 2010-2011 and 2015-2016, and the lowest was 21.4%, occurring in 2015-2016.

Thirty-one 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 2015-2016 math assessments across all states (with sufficient data) was 93.55%, which is an increase from 2014-2015 with 92.76%.

There was an increase in the number of states reporting participation rates of more than 99.0% in 2015-2016 (seven regular states and two unique states did so); in 2014-2015, five regular states and no unique states reported participation rates of more than 99.0%. Eighteen states and entities reported rates between 95.0% and 99.0% in 2015-2016, while 25 states and entities reported rates in that range in 2014-2015. Eleven states and entities reported rates between 90.0% and 94.9% in 2015-2016, and eight states and entities did the same in 2014-2015. The resulting trend seems to be that there was a slightly (and generally) more even spread of participation rates across the range of 90.0% to 100% in 2015-2016, especially in comparison to the same range in 2014-2015. The number of states with participation rates below 90.0% decreased from eight in 2014-2015 to three in 2015-2016.

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

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
	45 States	44 States	44 States	40 States	38 States	38 States
	-	-	1 State	2 States	4 States	1 State
	1 State	1 State	-	-	2 States	-
	-	1 State	-	1 State	-	-
	-	1 State	-	1 State	1 State	1 State
	1 State	-	-	1 State	-	-
	-	-	1 State	-	1 State	-
	-	-	1 State	-	-	1 State
	-	-	-	-	-	-
	-	-	-	-	-	-
Mean	96.44	95.80	95.02	94.27	92.76	93.55
Highest	100.0	99.6	99.8	99.8	99.9	100.0
Lowest	49.2	50.2	28.6	48.9	32.9	21.4
No Data	13	13	13	15	14	19

Participation rate percent -- Math
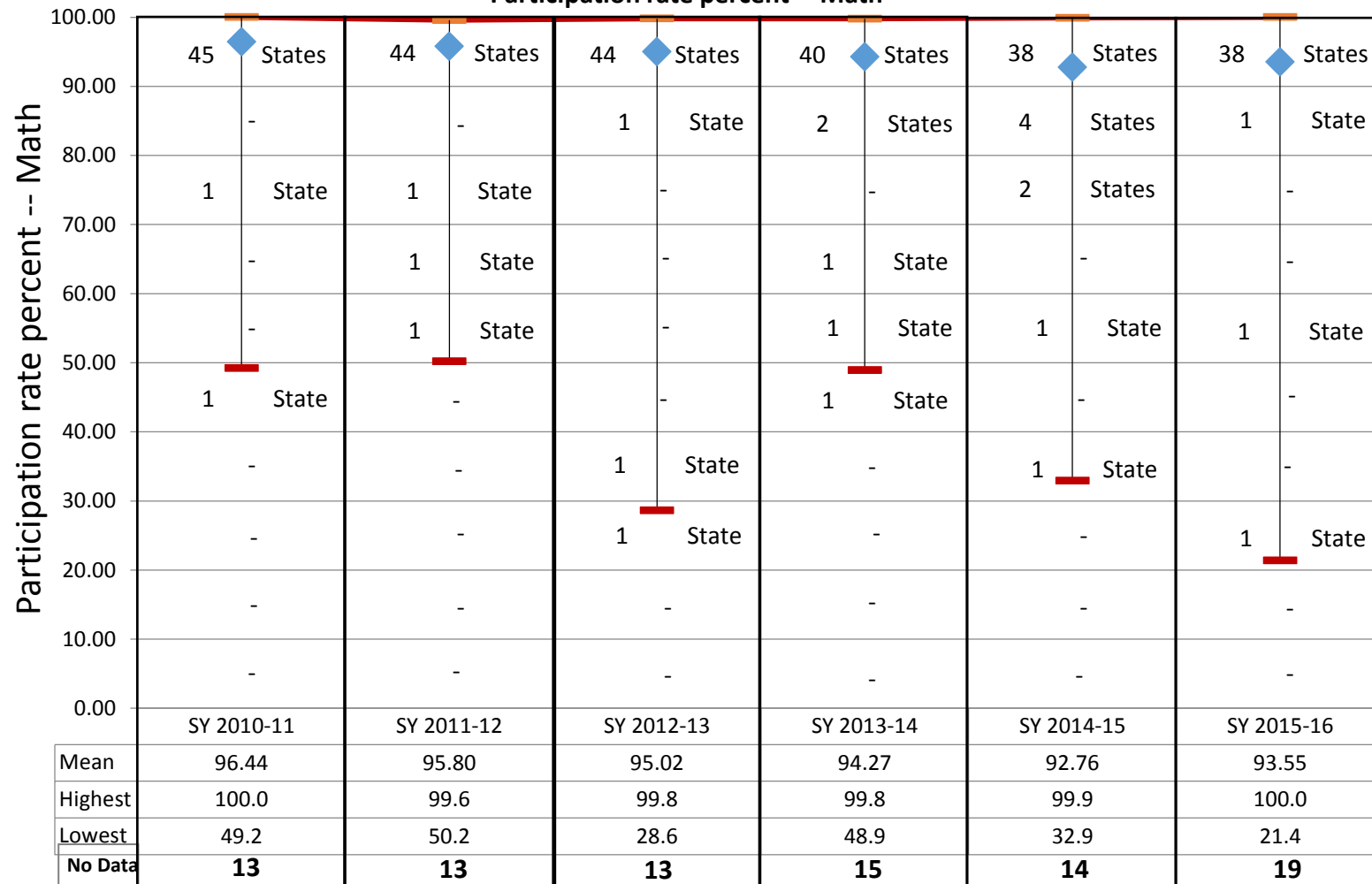
Year-to-Year Comparison for Indicator 3B Mathematics

Thirty-one regular states and nine unique state entities (40 total) provided information for 2014-2015 and 2015-2016 that could be used in cross-year data comparisons; 19 regular states and one unique state entity did not report sufficient data. The average math participation increase for the reporting states and entities was 2.56 percentage points. Of the 40 states and entities reporting sufficient data, 26 had increases in their participation rates, with 15 states having increases of 1.00 percentage points or more, and of those, five states had increases of more than 5.2 percentage points (more than twice the average increase). Fourteen states and entities had decreases, averaging 2.43 percentage points, the lowest decrease being 0.03 percentage points and the highest being 11.57 percentage points. Nine states and entities reported having decreases of 1.00 percentage points or more, and of them, only two showed a relatively large decrease ranging from just under 5 percentage points (but more than twice the average decrease) to 11.57 percentage points. Figure 5 shows the comparisons between 2014-2015 and 2015-2016 data.

Figure 5.
Change from 2014-15 to 2015-16, B3B Mathematics

14 States Show Decreases

20 States Show No Change

26 States Show Increases

20 of the 'No Change' States Lacked Data for One or Both Years
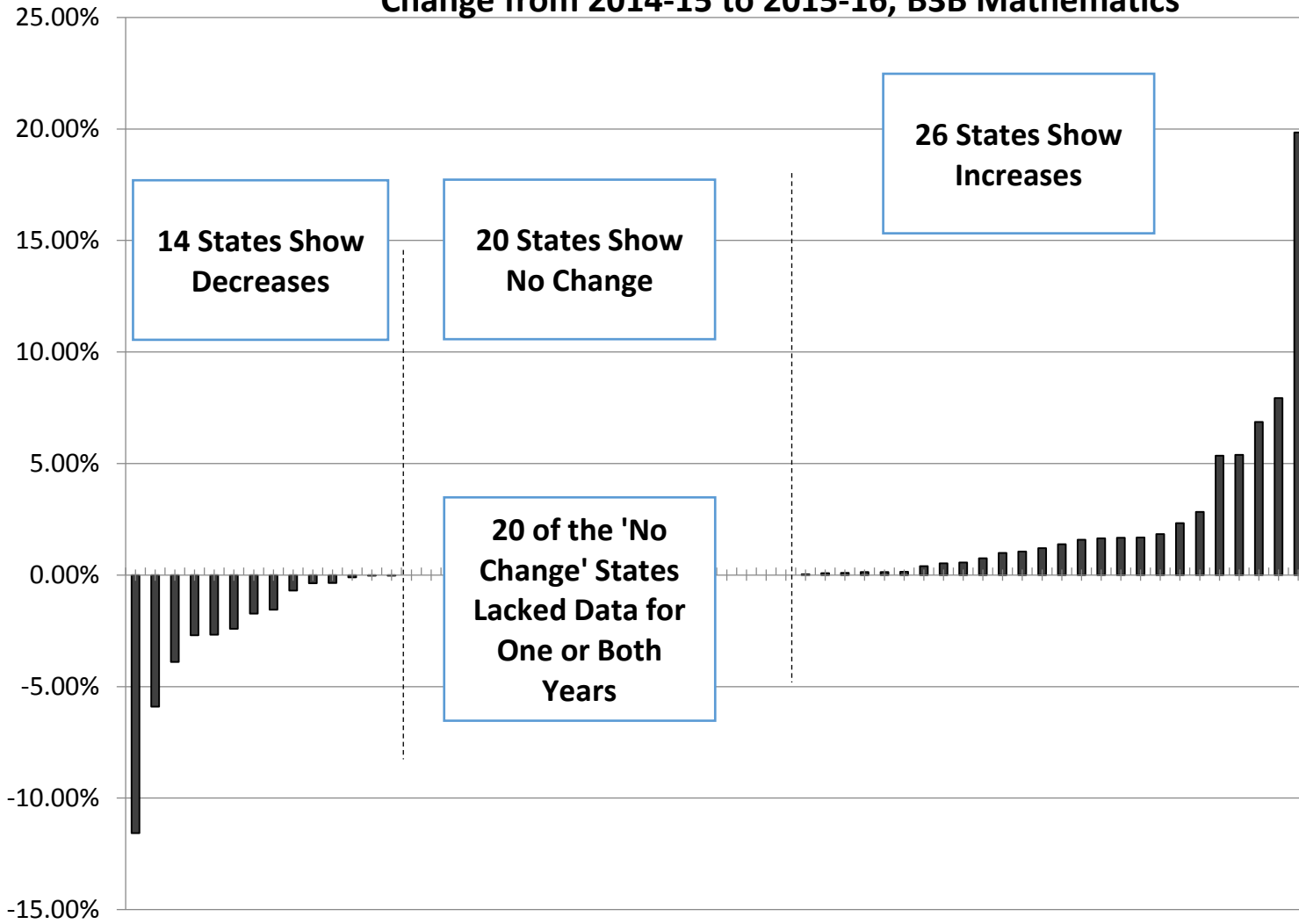
Each Column Represents One State/Jurisdiction (n=60)

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 regular states and ten unique states (30 total) reported 2015-2016 reading assessment proficiency data. The same 20 regular states and ten unique states reported 2015-2016 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 2015-2016 performance data for reading and mathematics in their APRs. Twenty regular states and ten unique state entities provided data summarized into single points for mathematics and for reading performance. Twenty-four regular states reported performance data in their APRs in a way that the data could not be compared across states. Specifically, 12 of the 24 provided data disaggregated by grade, with grade-by-grade data points. Eleven states reported data by school level (elementary, middle school, and high school), with five states reporting a data point for each level, and six states reporting a data point for grades 3-8 and a data point for high school. One state reported data by groups of school district types. Six regular states failed to report participation data.

Figure 6.
Ways in Which Regular and Unique States
Provided 2015-2016 Performance Data
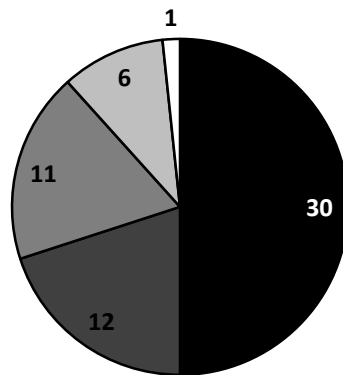
- ■ Performance data reported overall
- ■ Disaggregated by grade level
- ■ Disaggregated by school level
- ■ Performance data not reported
- □ Disaggregated -- other

Note. "Performance data not reported" includes states that did not provide data points (n = 3) and states that provided data points yet indicated that they were "not valid and reliable" (n = 3).

Six-Year Trend for Indicator 3C Reading

Figure 7 shows the six-year trend for states' performance rates in reading in 2010-2011 to 2015-2016. During the six years, between 30 and 36 regular states and state entities each reported an actual performance data point averaging across the grade and school levels for reading. Of the 30 states in 2015-2016 not reporting the summary data point, 23 states provided the raw data (by grade level, school level, or district type) but did not calculate an overall reading performance average. For states that did provide an overall data point, the average in 2015-2016 was 19.0%, which was the second-lowest mean in the past six years. The reading performance average decreased year-to-year in three of the past five years; the exceptions were the modest increases (less than 1 percentage point) in 2011-2012 and again in 2015-2016. By contrast, the most marked mean decrease was 12.34 percentage points between 2013-2014 and 2014-2015. The largest influence on the 2015-2016 reading performance average was that no states had rates above the fifth decile (above 50%); further, only one-fifth of states reporting data had proficiency rates above 30%. The highest proficiency for any single state declined year-to-year in three of the past five years, with two exceptions: a state's reading proficiency was 68.0% in 2012-2013 and a state's reading proficiency was 80.5% in 2013-2014, and the same statistic increased from 44.6% in 2014-2015 to

48.3% in 2015-2016. The lowest proficiency rate has been between zero and nearly three percent, and then it increased to 3.4% in 2015-2016.

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

Proficiency rate percent - Reading (y-axis: 0.00 to 100.00)

Band	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
(~95)	-	-	-	-	-	-
(~85)	-	-	-	1 State	-	-
(~76)	2 States	1 State	-	1 State	-	-
(~65)	1 State	3 States	1 State	-	-	-
(~55)	5 States	5 States	4 States	4 States	-	-
(~45)	4 States	4 States	6 States	3 States	1 State	1 State
(~35)	5 States	5 States	8 States	6 States	6 States	5 States
(~25)	7 States	8 States	9 States	8 States	7 States	8 States
(~15)	6 States	6 States	4 States	7 States	14 States	9 States
(~5)	3 States	2 States	4 States	4 States	8 States	7 States

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	33.62	34.55	31.44	30.67	18.33	19.00
Highest	76.0	72.2	68.0	80.5	44.6	48.3
Lowest	1.6	1.8	0.0	0.0	2.9	3.4
No Data	27	26	24	26	24	30

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Year-to-Year Comparison for Indicator 3C Reading

For comparison purposes between the two years, 20 regular states and nine unique state entities (29 total) reported overall information for reading performance in both 2014-2015 and 2015-2016. Twenty-one of these states showed year-to-year increases, from 2014-2015 to 2015-2016, ranging from 0.03 percentage points to 9.72 percentage points, with an average of 2.17 percentage points increase. Thus, 13 of those 21 states exceeded the previous year's data by 2.00 percentage points or less and the other eight states exceeded by 2.29 percentage points to 9.72 percentage points. Year-to-year decreases were experienced by eight states, ranging from 0.01 percentage points to 14.38 percentage points, with an average of 2.72 percentage points. In other words, a relatively small proportion (just over one-quarter) of the states providing data for 2015-2016 had data lower than their 2014-2015 data, and nearly all of those eight states were lower by less than 2.00 percentage points; only one state was lower by 14.38 percentage points. By contrast, nearly three times more states had higher reading proficiency than had lower proficiency in 2015-2016 compared to 2014-2015, with fairly similar averages (+2.17 and -2.72). Thirty regular states and one unique state entity were missing specific data points, making change observations not possible. Figure 8 shows the comparisons for 2014-2015 and 2015-2016 reading performance data.

Figure 8.
Change from 2014-15 to 2015-16, B3C Reading

8 States Show Decreases

31 States Show No Change

21 States Show Increases

31 of the 'No Change' States Lacked Data for One or Both Years

Each Column Represents One State/Jurisdiction (n=60)

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 30 and 36 regular states and state entities reported an actual performance data point averaging across the grade levels for math. Of the 30 states in 2015-2016 not reporting the summary data point, 23 states provided the raw data (by grade level, school level, or district type) but did not calculate an overall mathematics performance average. For the states that did provide an overall data point, the average across these states in 2015-2016 was 17.1%, which was the lowest mean in the past six years. A few factors strongly influenced this average: 1) only one state had a rate above the fifth decile (above 50%), 2) the mode (or most common) decile was the second decile (10.0-19.9%), and 3) about 19 states (nearly two-thirds of states reporting data) had math proficiency rates below the average, and 11 states (over one-third of states reporting data) had rates above the average. The highest proficiency rate averaged 61.7% across the six years, ranging between 49.3% and 73.0%, with the highest state's rate in 2015-2016 being 50.9%. The lowest proficiency rate has ranged between zero and about 2.0%, and was 1.1% in 2015-2016.

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

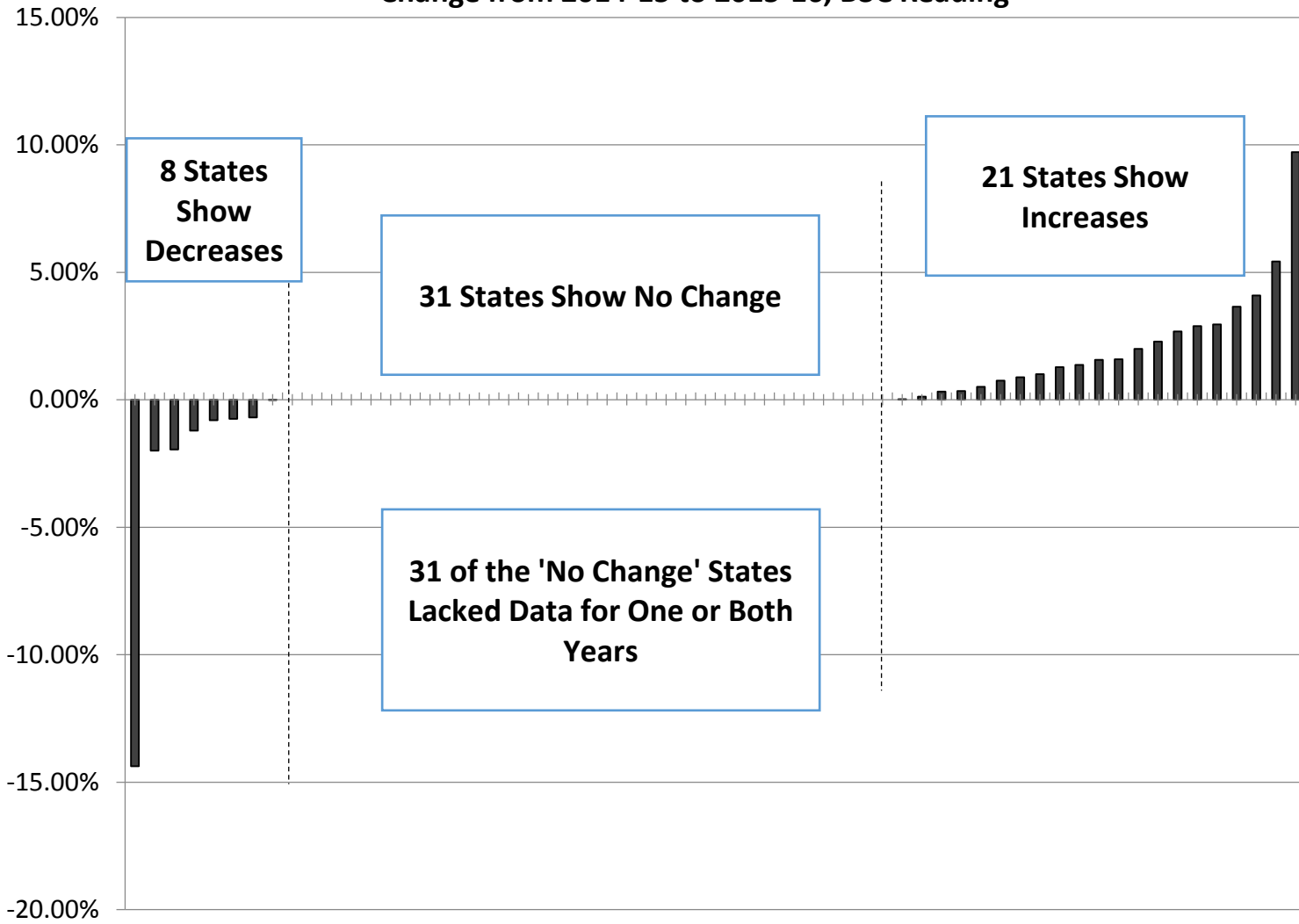|	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	33.30	32.25	29.77	30.35	17.15	17.10
Highest	73.0	67.3	60.2	69.4	49.3	50.9
Lowest	1.6	1.0	0.8	0.0	2.1	1.1
No Data	**27**	**26**	**24**	**26**	**24**	**30**

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Year-to-Year Comparison for Indicator 3C Mathematics

For comparison purposes between the two years, 20 regular states and nine unique state entities (29 total) reported overall information for math performance in both 2014-2015 and 2015-2016. Nineteen of these states showed year-to-year increases, ranging from 0.17 percentage points to 6.95 percentage points, with an average of a 1.97 percentage point increase. Thus, 13 states exceeded the 2015-2016 data by less than 2.00 percentage points; the other six states exceeded by between 2.00 percentage points and 6.95 percentage points. Year-to-year decreases were experienced by nine states, ranging from 0.05 percentage points to 12.43 percentage points, with an average 2.46 percentage point decrease; seven of those nine states were lower by less than 2.00 percentage points, and the other two states were lower by 5.62 percentage points and 12.43 percentage points. One state reported no change in its math proficiency rate. Over twice as many states had higher math proficiency than had lower proficiency in 2015-2016 compared to 2014-2015, and the average decrease was just a little larger than the average increase. Thirty regular states and one unique state entity were missing specific data points, making change observations not possible for 31 states, over 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.

Figure 10.
Change from 2014-15 to 2015-16, B3C Math

9 States Show Decreases

32 States Show No Change

19 States Show Increases

31 of the 'No Change' States Lacked Data for One or Both Years

Each Column Represents One State/Jurisdiction (n=60)
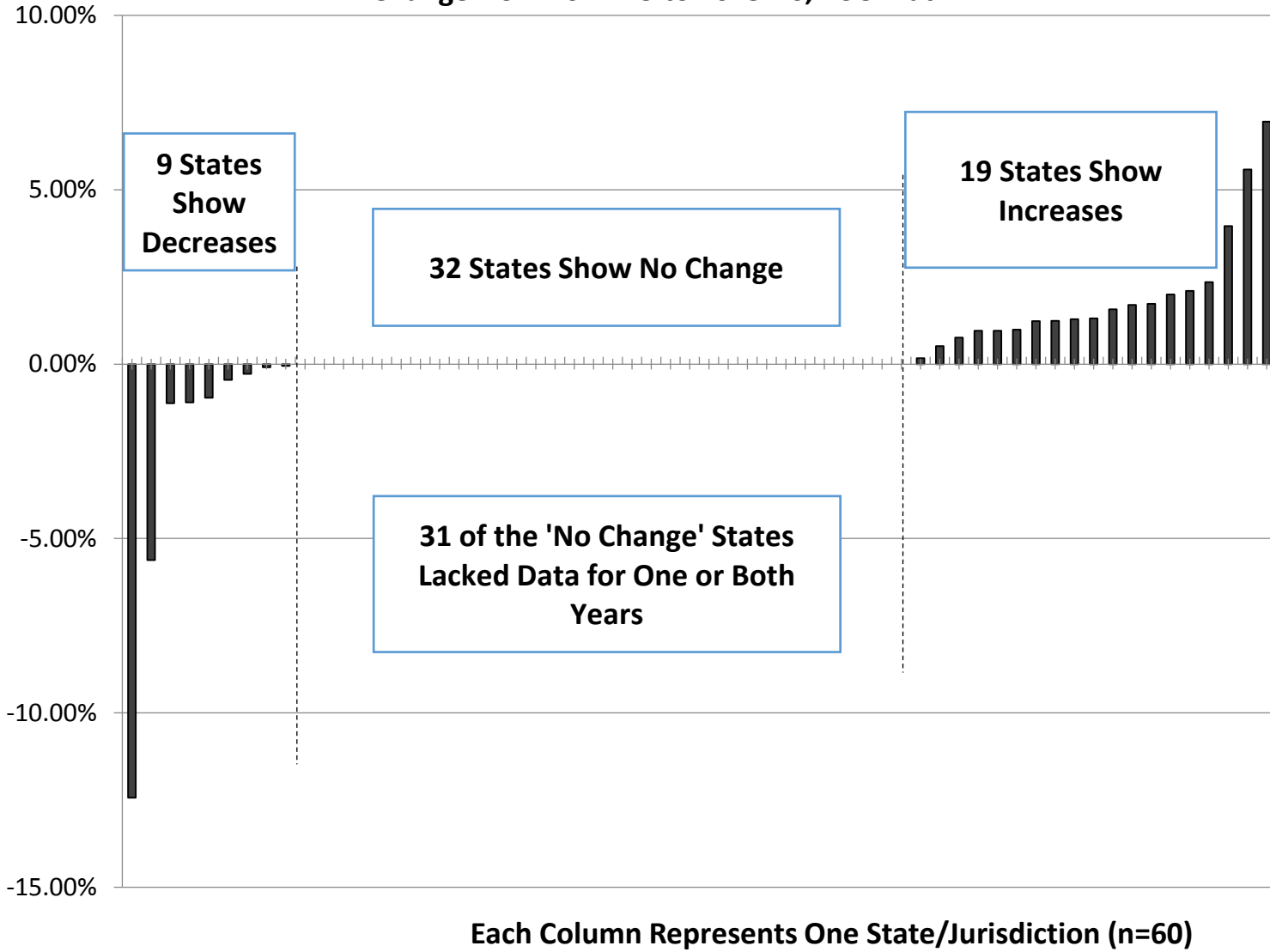
CONCLUSION

Participation rates remained on average the same (in 2015-2016) as the previous year, after an overall decline across the past few years, for both reading and mathematics. A major factor affecting the average participation rates was the fact that fewer states reported data in 2015-2016 than in the five previous years. When comparing participation data from 2014-2015 to 2015-2016, nearly two-thirds of states reporting data for reading and math showed increases, and just over one-third 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-eighth of these states having changes (increases or decreases) exceeding five percent. About one-third of states lacked participation data for one or both years.

States explained the participation decreases in their APRs. In total, 14 states had year-to-year decreases in both reading and math participation from the 2014-2015 school year to the 2015-2016 school year. One additional state had a decrease in math only. Of these 15 states, four states reported that participation decreases were related to implementation of different testing, primarily alternate assessments. Three states reported specific data on increases in incidence in parental "opt-out" actions. One state reported about changes in IEP guidance. One state did not explicitly explain its participation decreases, but noted its efforts to address the concern. Some states offered more than one of these explanations. Seven other states did not provide any information about their participation decreases; these states had decreases of between less than one percent and no more than two percent.

Performance of students with disabilities on state assessments showed relatively small changes on average across four of the previous six years for both reading and mathematics, although the states' average dropped by more than 10 percentage points for 2014-2015. Yet, the states' average increased slightly (less than 1 percentage point) in reading and decreased very slightly (about 0.05 percentage points) in math. A major factor affecting the average performance rates was the fact that fewer states reported data in 2015-2016 than in the five previous years. The range between the highest and lowest state's proficiency rate, which had decreased substantially from 2013-2014 to 2014-2015 in both reading and math, increased somewhat from 2014-2015 to 2015-2016 in both reading and math. This change may have been due to the finding that the states with the highest proficiency rates in reading and math in previous years were also higher in 2015-2016. When comparing the reading and math performance data from 2014-2015 to 2015-2016, the amount of each state's change was relatively small, but the number of states showing positive change was larger than in previous years. Over two-thirds 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 five percentage points. Of the states reporting year-to-year decreases, very few of them showed decreases exceeding five percentage points. About half of all states lacked data for one or both years in reading and math.

States explained the performance decreases in their APRs. In total, six states had year-to-year decreases in both reading and math proficiency from the 2014-2015 school year to the 2015-2016 school year. Two additional states had decreases in reading only and another two states had decreases in math only. Of these eight states, two states reported that the performance decreases were related to new and more rigorous testing. Two states reported other test and testing system changes, including the point that some states had fully implemented (across the remaining grade levels) previously piloted new testing. One state reported changes in instruction and one state reported changes in curriculum. One state reported data system delays. One state reported change in participation across the previous years, which may limit cross-year performance comparisons. Some states offered more than one of these explanations. Three other states did not provide any information about their performance decreases; these states had decreases of between less than one percentage point and no more than one percentage point.

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 2015 APRs, states were required to analyze discipline data from school year 2014–15. 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 2015 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 states' 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 FFY 2014 and FFY 2015.

Figure 1
Number of states that used Comparison Option 1 or Comparison Option 2 to determine significant discrepancy for B4A: FFY 2014 and FFY 2015
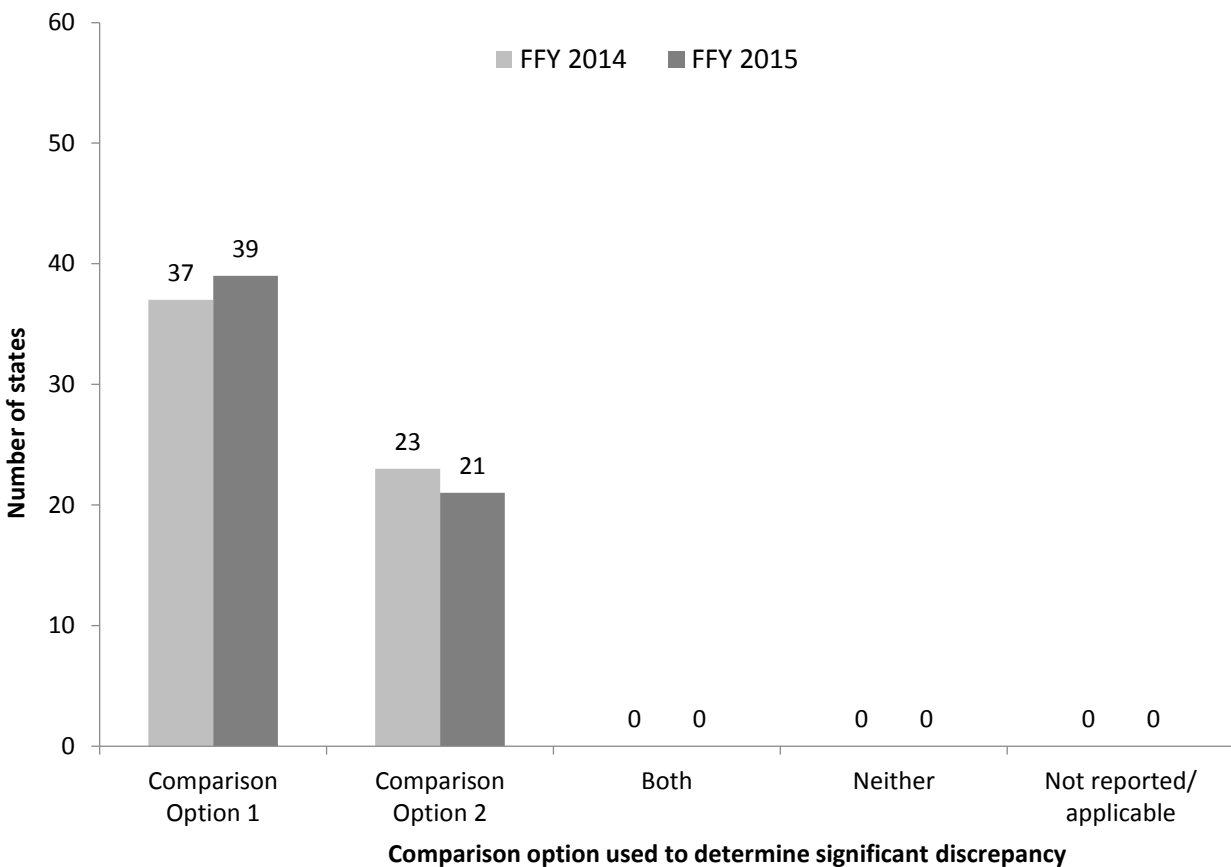
Figure 2
Number of states that used Comparison Option 1 or Comparison Option 2 to determine significant discrepancy for B4B: FFY 2014 and FFY 2015
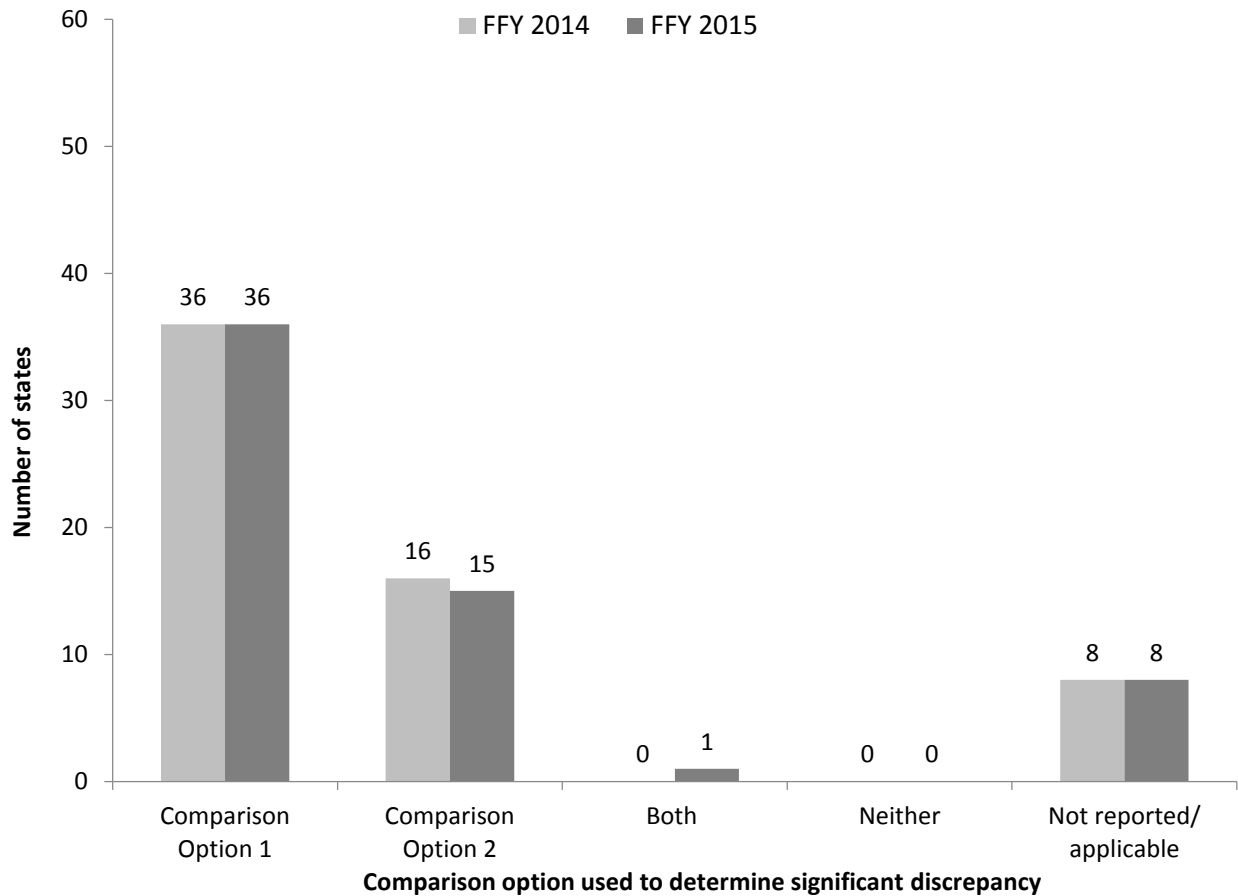
Methods Used for Calculating Significant Discrepancy

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 FFY 2014 and FFY 2015, 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: FFY 2014 and FFY 2015
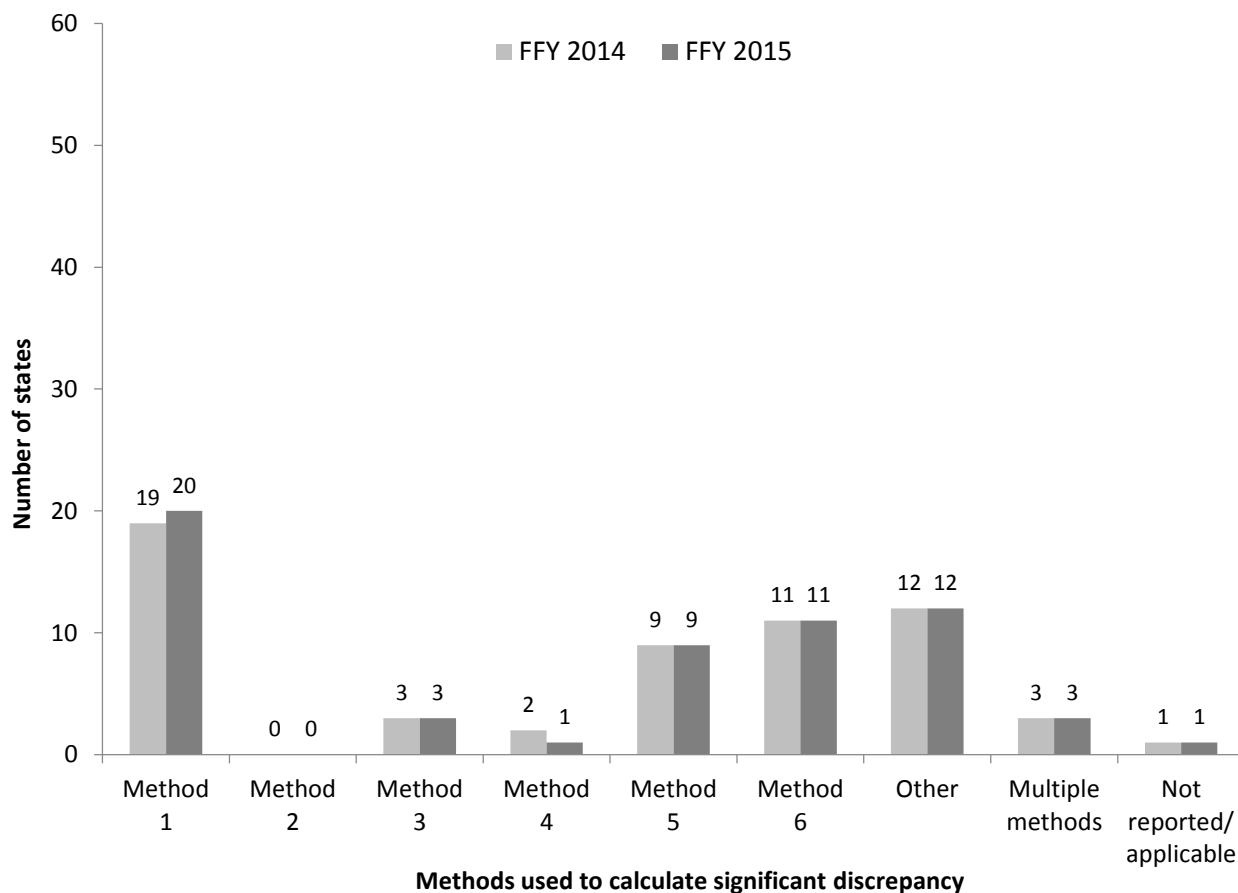
Figure 4

Number of states that used each method for calculating significant discrepancies for B4B: FFY 2014 and FFY 2015
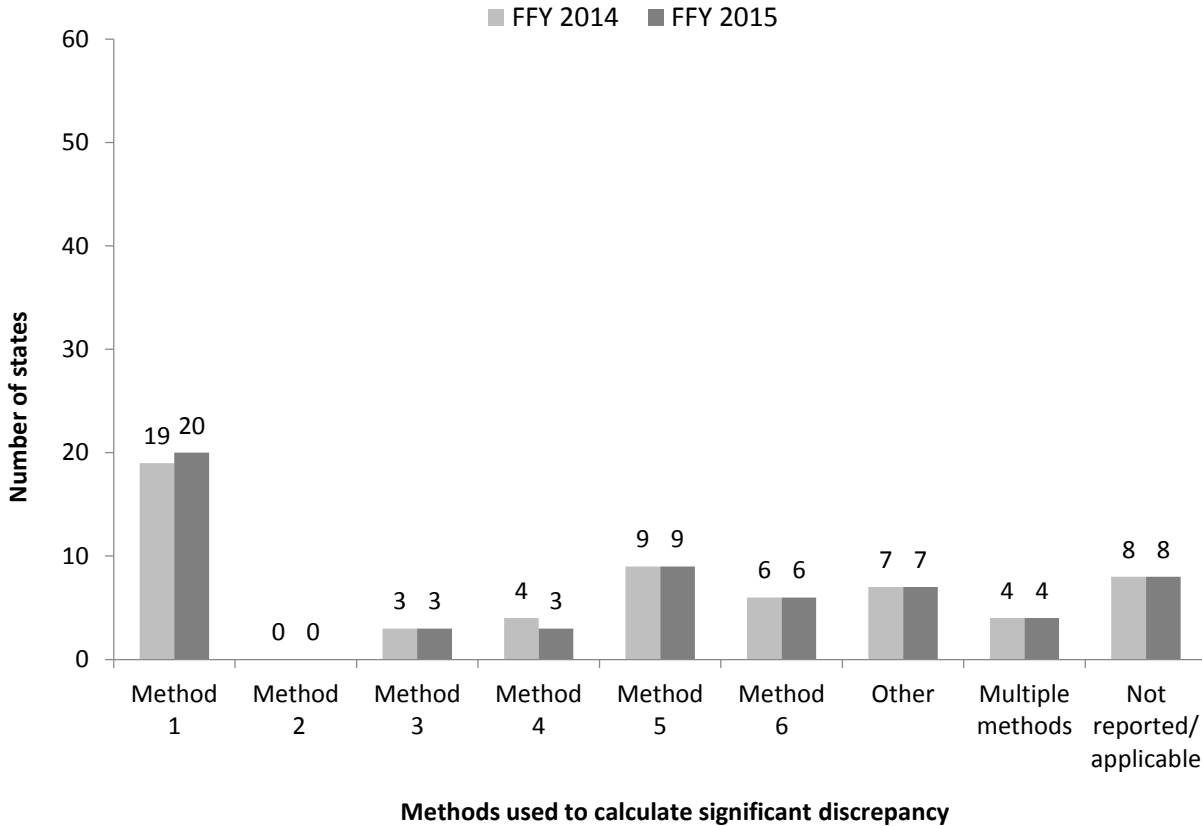
Minimum Cell Size Requirements

Overall, 43 of 60 states (72%) 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 FFY 2014 and FFY 2015.

Figure 5
Number of states reporting various percentages of districts excluded from the analyses due to minimum cell size requirements for B4A: FFY 2014 and FFY 2015

Percentage of districts excluded from analyses due to minimum cell size requirements
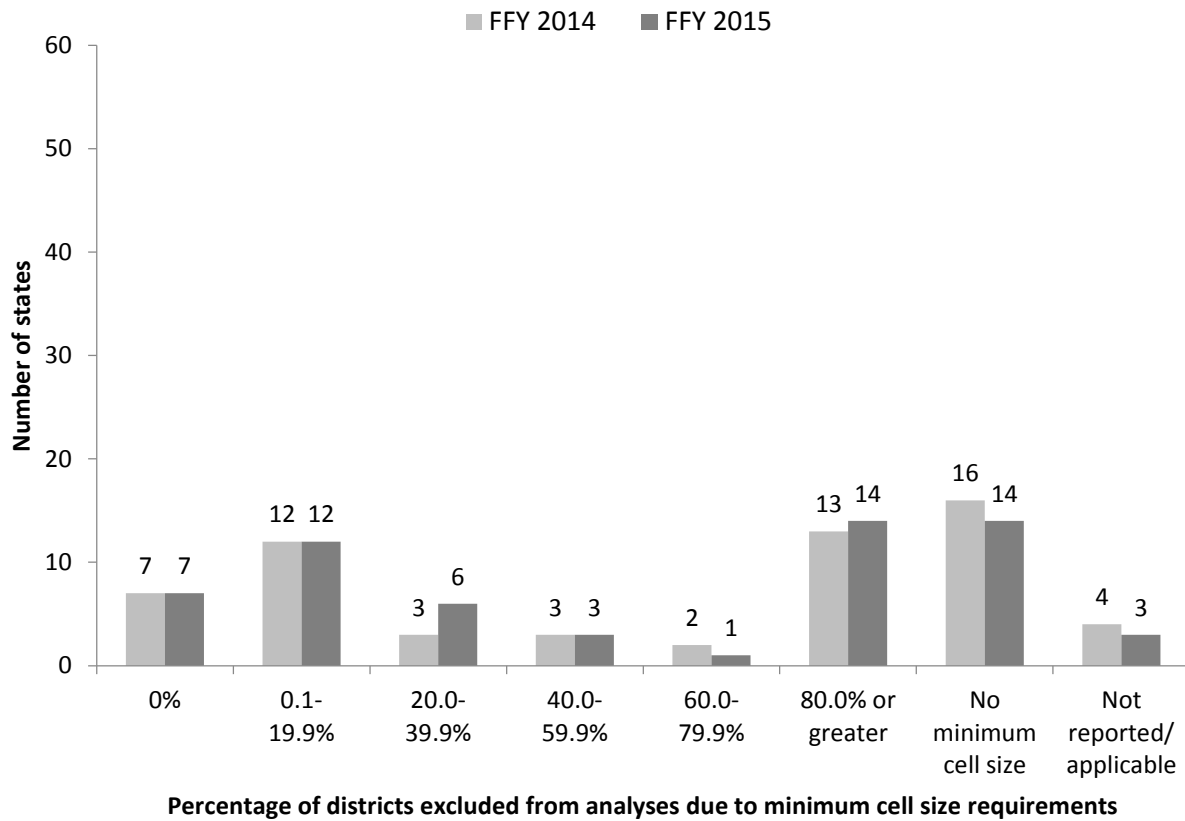
Figure 6
Number of states reporting percentages of districts excluded from the analyses due to minimum cell size requirements for B4B: FFY 2014 and FFY 2015
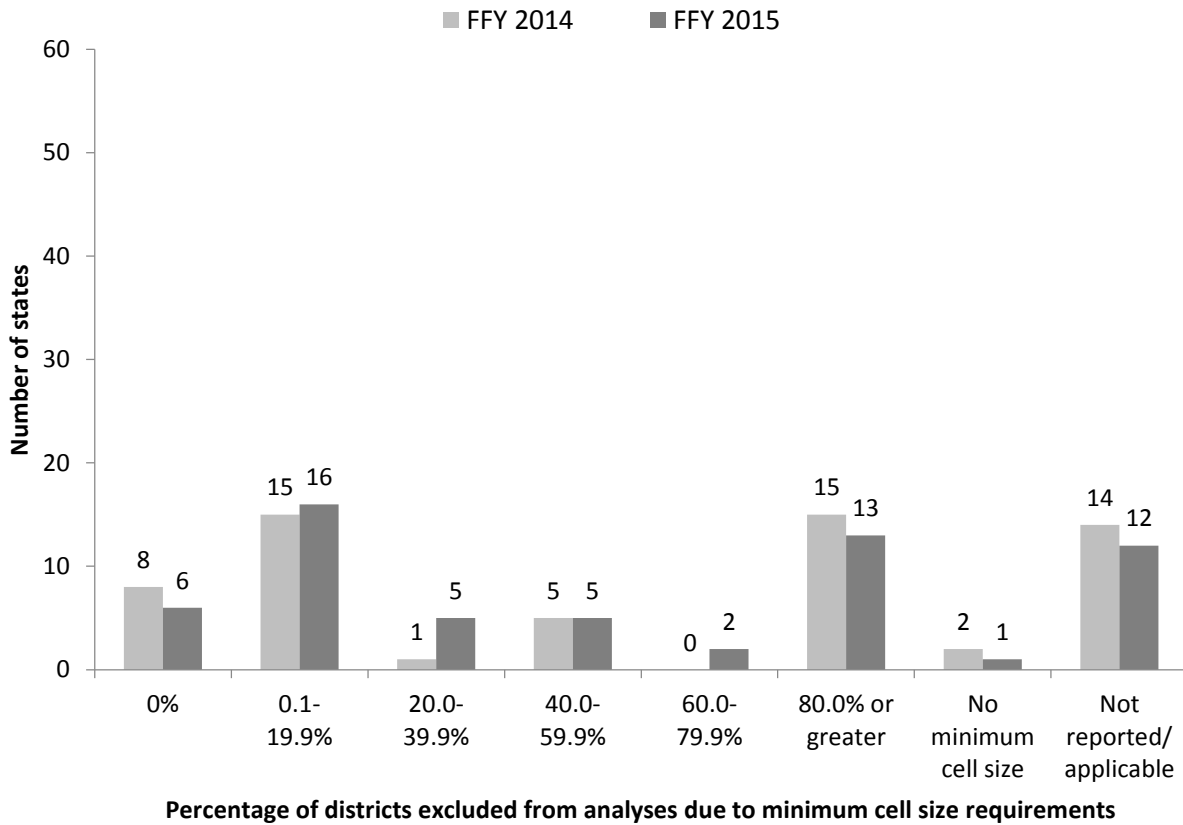
Percentage of districts excluded from analyses due to minimum cell size requirements

ACTUAL PERFORMANCE, COMPARSIONS, AND TRENDS

This section provides actual performance data for B4, as well as change from FFY 2014 and FFY 2015.

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: FFY 2014 and FFY 2015
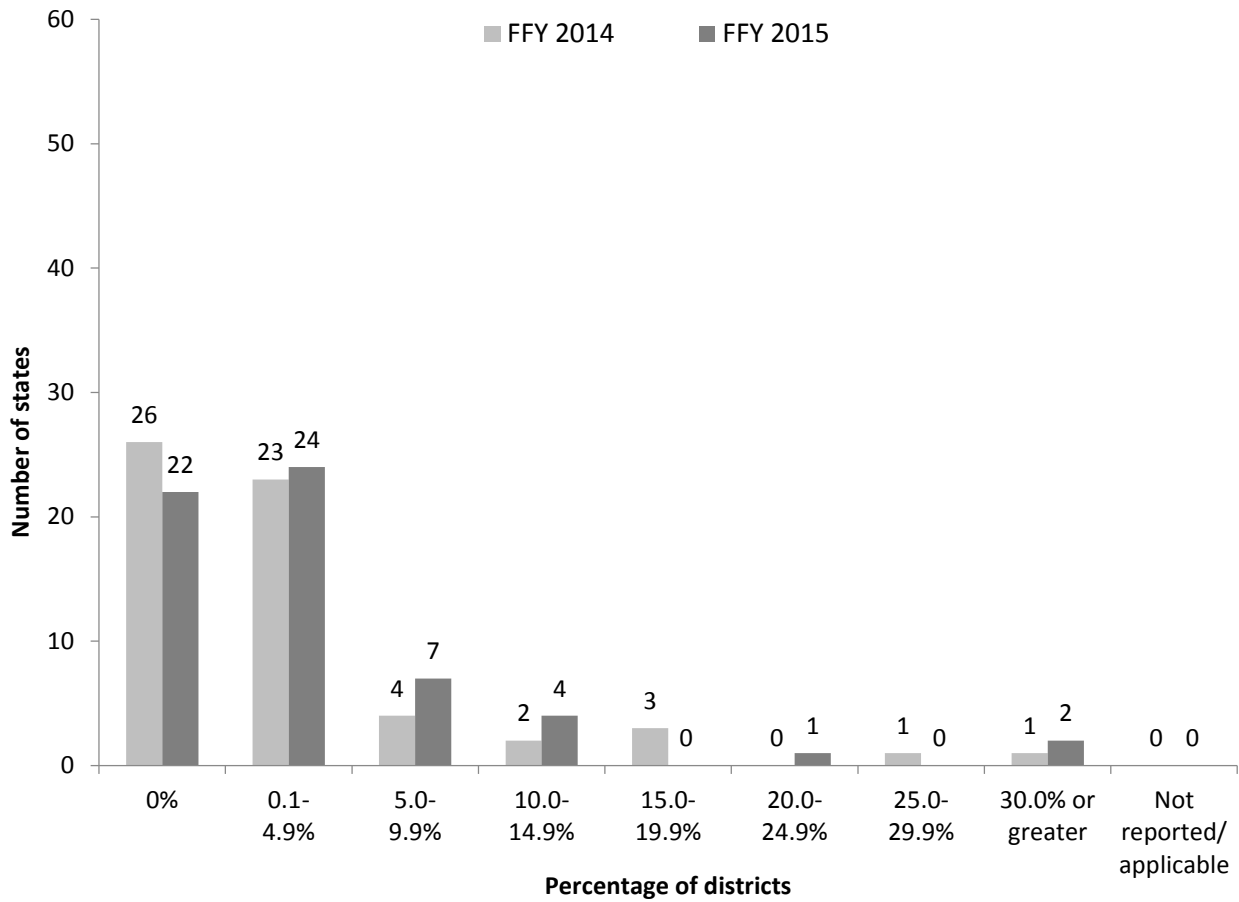
Figure 8
Number of states reporting various percentages of districts with significant discrepancies for B4B: FFY 2014 and FFY 2015
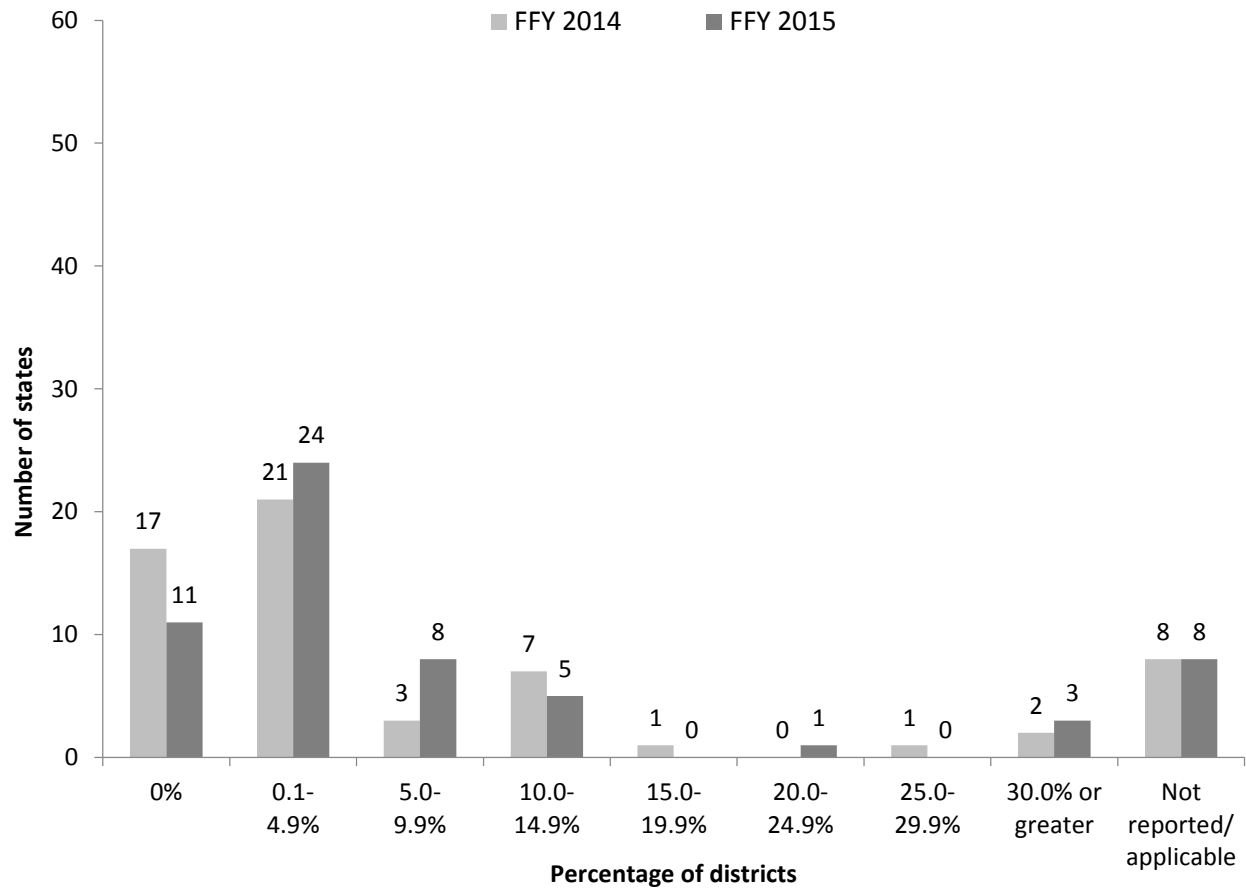
For B4B, states also reported the number and percentage of districts that were identified with significant discrepancies and had policies, practices, or procedures that contributed to the discrepancy and that did not comply with IDEA requirements (see Figure 9).

Figure 9
Number of states reporting various percentages of districts with significant discrepancies and policies, procedures, or practices that do not comply for B4B: FFY 2014 and FFY 2015
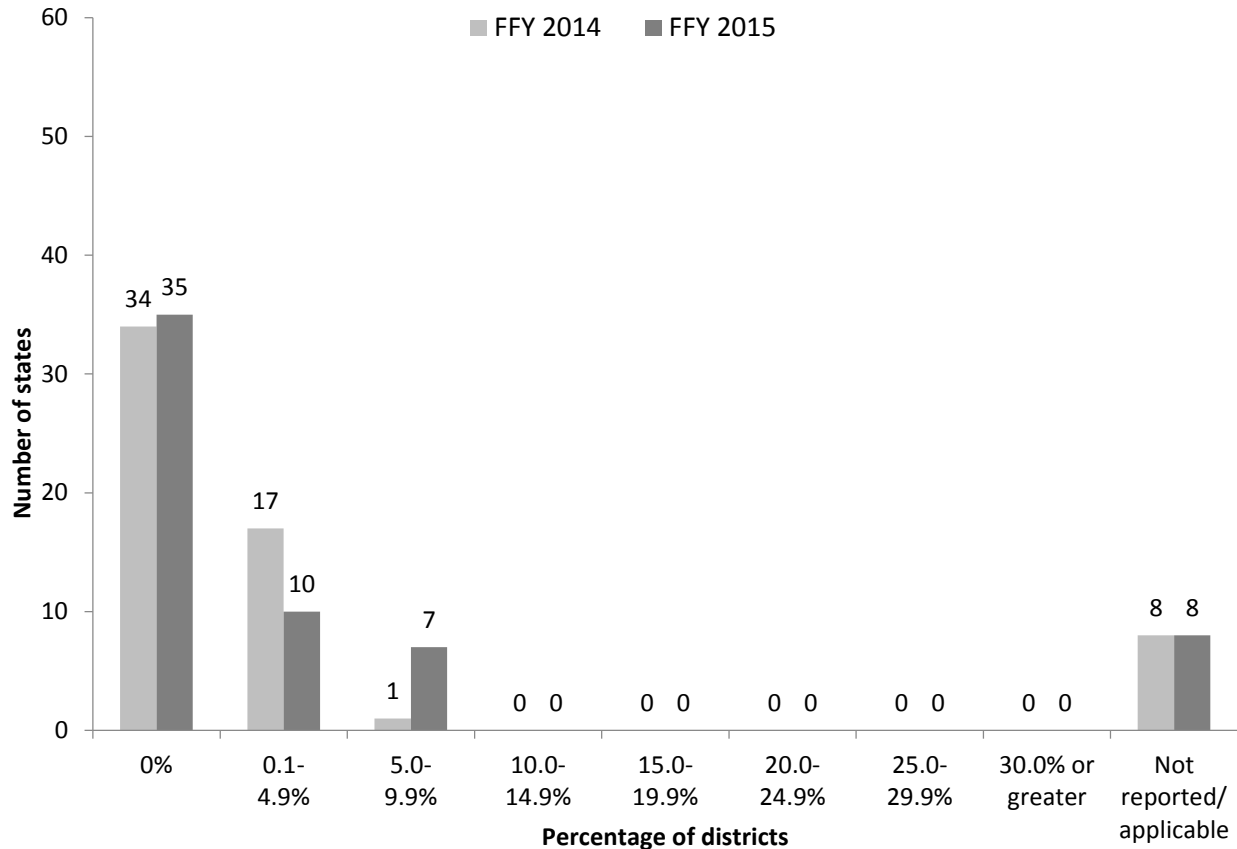
Description of Change from FFY 2014 to FFY 2015

When examining change from FFY 2014 to FFY 2015 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 increased slightly from 43 in FFY 2014 to 44 in FFY 2015.
- Nineteen states (32%) reported an increase in the percentage of districts identified as having a significant discrepancy in B4A, while 17 states (28%) reported a decrease.

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When examining change from FFY 2014 to FFY 2015 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:

- Of the 52 states reporting on this indicator, the number of states meeting the annual target of 0 percent increased slightly from 34 in FFY 2014 to 35 in FFY 2015 for B4B.
- Eleven states (21%) reported an increase in the percentage of districts identified as having a significant discrepancy in B4B, while 9 states (17%) reported a decrease.

CONCLUSION

- A 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 FFY 2014 to FFY 2015, two states changed the comparison option they used to measure B4A, and two states 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 FFY 2014, 19 states used Method 1 for B4A and B4B. In FFY 2015, 20 states used Method 1 for B4A and B4B.
- For B4A, in FFY 2014, 18 states excluded 40 percent or more of their districts from analyses. This number remained the same in FFY 2015 (18 states). For B4B, in FFY 2014, 20 states excluded 40 percent or more of their districts from analyses. This number also remained the same in FFY 2015 (20 states).
- From FFY 2014 to FFY 2015, the number of the states reporting that they did not identify any districts as having significant discrepancies for B4A decreased from 26 to 22 states. The number of states reporting that they identified between 0.1 percent and 4.9 percent of their districts increased slightly from 23 states in FFY 2014 to 24 states in FFY 2015.
- For B4B, the number of states reporting zero districts with significant discrepancies and contributing policies, procedures, or practices increased slightly, from 34 states in FFY 2014 to 35 states FFY 2015.

INDICATOR 5: LEAST RESTRICTIVE ENVIRONMENTS (LRE)

Prepared by the National Center for Systemic Improvement

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, an analysis is presented. The overview of the data includes tables summarizing findings of components A, B, and C of Part B Indicator 5. A conclusion with recommendations is included in this report as well.

Data Sources and Measurement Approaches

All 60 entities (50 U.S. states and 10 U.S. administrative units) send annual performance reports to the Office of Special Education Programs (OSEP), as required by IDEA. These data are compiled and organized into data tables that are then analyzed by external evaluators who adhere to specific guidelines provided by OSEP. Once these reports are received, OSEP personnel review the data, analysis, 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 (2010-2011) on the three components of Indicator 5, Part B demonstrates slight progress. As indicated in the three figures throughout this report, the differences in means are less than one percentage point in each indicator per year. Progress is measured as the difference from baseline (2010-2011) and the past reporting year (2014-2015) to the current reporting year (2015-2016). As a reminder, B5B and B5C reports are more restrictive placements, such as the special class setting or settings outside the regular public school. Therefore, progress in moving students to less restrictive placements are indicated by a positive number for B5A and negative numbers for B5B and B5C. Data reported for 2015-2016 indicates a negative change in the mean from 65.69 for 2014-15 reported data to 65.14 for 2015-16 reported data. This represents a 0.55 slippage. However, with the exception of the one data point just mentioned, the pace of change is slow, as seen in Table 2.

Table 2. Progress on 5B Indicators

Indicator	A	B	C
Percentage Change over Monitoring Years 2010-2011 to 2014-2015	+ 1.92	-1.29	-0.49
Average rate of change over the monitoring years (2010-2011 to 2015-2016)	+0.38	-0.27	-0.10
Percentage Change from 2014-2015 to 2015-2016	-.55	+0.04	-0.14

Indicator 5B Progress

For the current reporting year, 2015-2016, a review of Table 3 indicates that the mean percentage for B5A is 65.14%, meaning that almost two-thirds of the students with IEPs in the United States spend 80% or more of the school day being educated in the general education classroom. The mean percentage for B5B is 10.85%, which indicates that about 11% of students with IEPs spend less than 40% in the general education setting. A mean of 2.91% for B5C signifies that approximately 3% of students with IEPs in the 60 entities are educated in separate schools or home/hospital settings. While 53% to 42% of the entities reported meeting their targets for Indicators B5A, B5B, and B5C, not all the entities reported meeting their targets for all three components. Some entities may have met targets for one component, while others reported meeting two or three components.

Table 3. Overview of Reported Indicator 5B Data			
Indicator	A	B	C
Mean %	65.14	10.85	2.91
Highest %	94.41	21.54	10.04
Lowest %	36.83	0.26	0.00
Entities Meeting Target (n/60)	32	25	24

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 1.92 increase in the mean percentage of students with disabilities are being educated in the 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 variation has become narrower with the number of entities reporting less students in the lower percentage bands. For instance, in 2010-2011, the lowest percentage was 31%, whereas in 2015-2016, the lowest reported percentage was 36.83. This decrease in variability illustrates that more states are clustered around the mean of 65% in the year 2015-2016 as opposed to the bandwidths in the years 2010-2011 and 2011-2012, when the means were lower and the variability was greater. In the top band (90-100%), there is one entity in 2015-2016; yet there were three entities in that band in 2014-2015. In 2010-2011, 22 entities fell below the 60% level, while in

2015-2016 15 entities placed below the 60% level of placing students in general education 80% or more of the day.

Figure 1

Trends - Six Years of Indicator B5a Data: % of IEPs (6-21) in regular classroom >80% of day						
2 States	2 States	3 States	3 States	3 States	1 State
4 States	3 States	2 States	2 States	3 States	4 States
10 States	10 States	11 States	12 States	13 States	12 States
22 States	25 States	27 States	27 States	24 States	27 States
17 States	14 States	13 States	11 States	13 States	11 States
3 States	5 States	3 States	4 States	3 States	4 States
2 States	1 State	1 State	1 State	1 State	1 State
-	-	-	-	-	-
-	-	-	-	-	-
-	-	-	-	-	-
Average of 2010-11	Average of 2011-12	Average of 2012-13	Average of 2013-14	Average of 2014-15	SY 2015-16

	Average of 2010-11	Average of 2011-12	Average of 2012-13	Average of 2013-14	Average of 2014-15	SY 2015-16
Mean	63.22	63.74	64.67	65.04	65.69	65.14
Highest	95.00	94.00	94.20	95.31	95.73	94.41
Lowest	31.00	31.00	36.00	36.71	36.90	36.83
No Data	0.00	0.00	0.00	0.00	0.00	0.00

(Y-axis label: % of IEPs (6-21) in regular classroom >80% of day)

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 10.85% in the year 2015-2016. The highest band in 2014-2015 (20-30%) includes two entities, whereas in 2010-2011 there were 2 entities in the 30-40% band. In the lowest band (0-10%), there are twenty-six entities in 2015-16, as opposed to 22 in 2010-2011. Overall, the data reported indicates no progress for indicator B5B. This is particularly important given that 26 entities report their data in the bottom bandwidth (0 to 10%).

Figure 2

Trends - Six Years of Indicator B5b Data:
% IEPs (6-21) in regular classroom <40% of day

% of IEPs (6-21) in regular classroom >80% of day

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	12.14	11.52	11.08	11.07	10.81	10.85
Highest	33.00	26.00	22.10	23.60	22.01	21.54
Lowest	2.00	0.00	0.00	0.00	0.00	0.26
No Data	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**

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 0.49% since 2010-2011. The variability in placement in separate settings has decreased over the monitoring years. Since 2010-2011, 59 entities have consistent reported serving 3.4% or less of students in separate settings. However, in both the 2010-2011 and 2011-2012, one entity reported serving 28.05% and 20% students, respectively, in the separate setting. However, although the mean has remained relatively stable, there is noted change in the highest percentages reported. The highest percentage reported in 2010-2011 was 28.05% and the highest percentage reported for the 2015-2016 year was 10.04%, the downward slope represents positive progress.

Figure 3

Trends - Six Years of Indicator B5c Data:
% IEPs (6-21) in separate schools, facilities, or homebound/hospital placements

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	3.40	3.23	3.15	3.10	3.05	2.91
Highest	28.05	20.00	19.00	15.00	14.00	10.04
Lowest	0.00	0.00	0.00	0.70	0.70	0.00
No Data	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
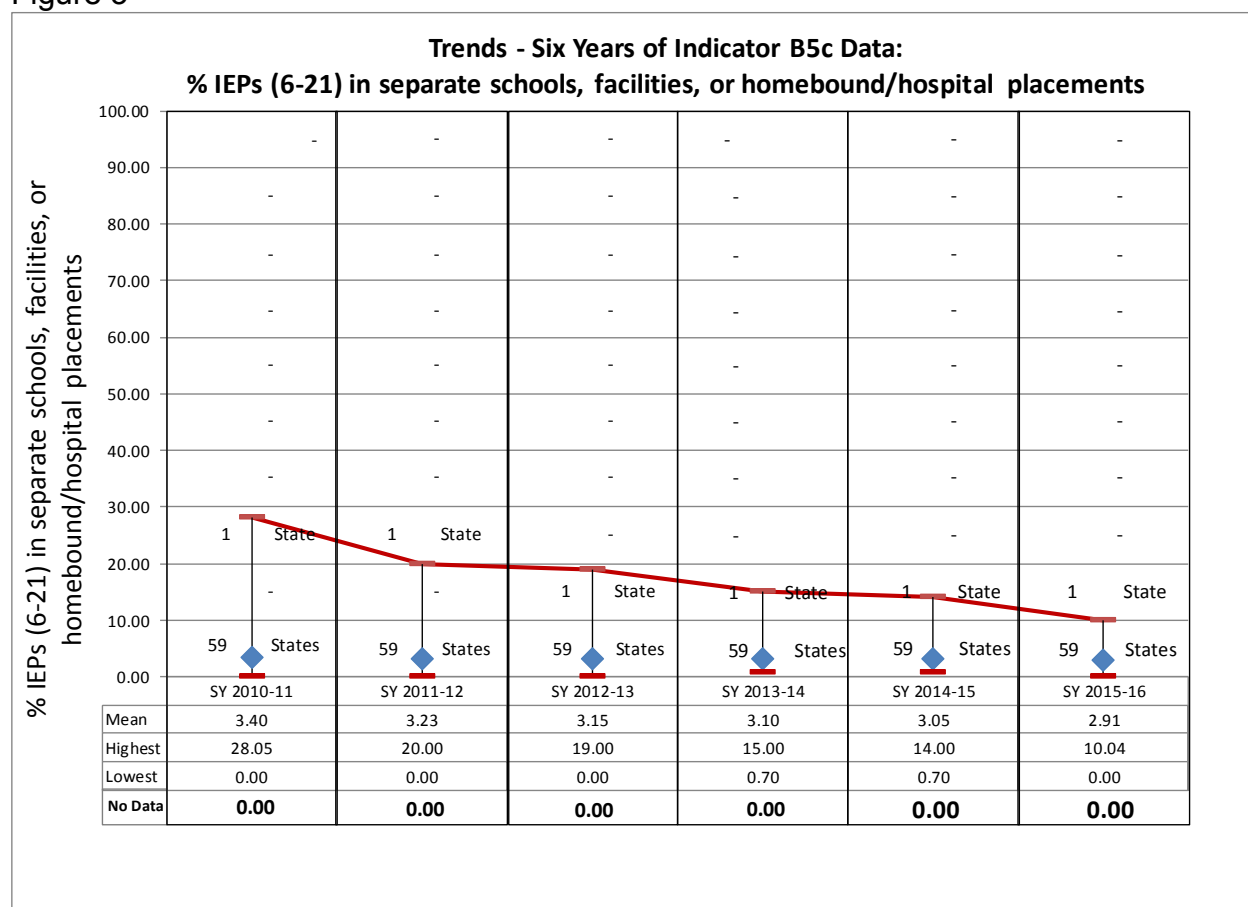
Conclusion

The six-year trends in LRE placement demonstrate some progress over the monitoring years. Data reported over the years for B5C demonstrates the most change over the monitoring years. Very little change or no change has occurred around indicators B5A and B5B. While examining the mean is statistically relevant, it is also important to look at other data such as the number of entities in each percentage band and the trends in the highest and lowest percentages reported from year to year.

While overall progress has been made, many entities continue to report not meeting targets set. While Sections 616 and 624 of IDEA require each state to develop measurable and rigorous performance goals to be included in the State Performance Plan (SPP), it is not clear if the goals set by each state were in fact measurable and rigorous. In addition, IDEA does not provide guidance regarding the definition of measurable or the threshold for rigorous. Absent of that data, interpretation of the existing data should be made with caution.

This analysis provides an overview on reported Indicator 5, Part B as reported by all 60 entities. For all three indicators, a significant percentage of entities, 40% or more, cluster around the mean, indicating a fairly consistent pattern across the United States.

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 2015 Part B Annual Performance Reports (APRs) from 60 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 five 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 state percentages included for Indicators 6A and 6B.

Figure 1

Trends - Five Years of Indicator 6A Data:
Percent of Children in Regular Education Settings

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	0	49	49	50	49	50
Highest	0	100	100	100	100	100
Lowest	0	20	9	21	20	22
No Data	59	2	1	2	1	0

Figure 2

Trends - Five Years of Indicator 6B Data:
Percent of Children in Separate Education Settings

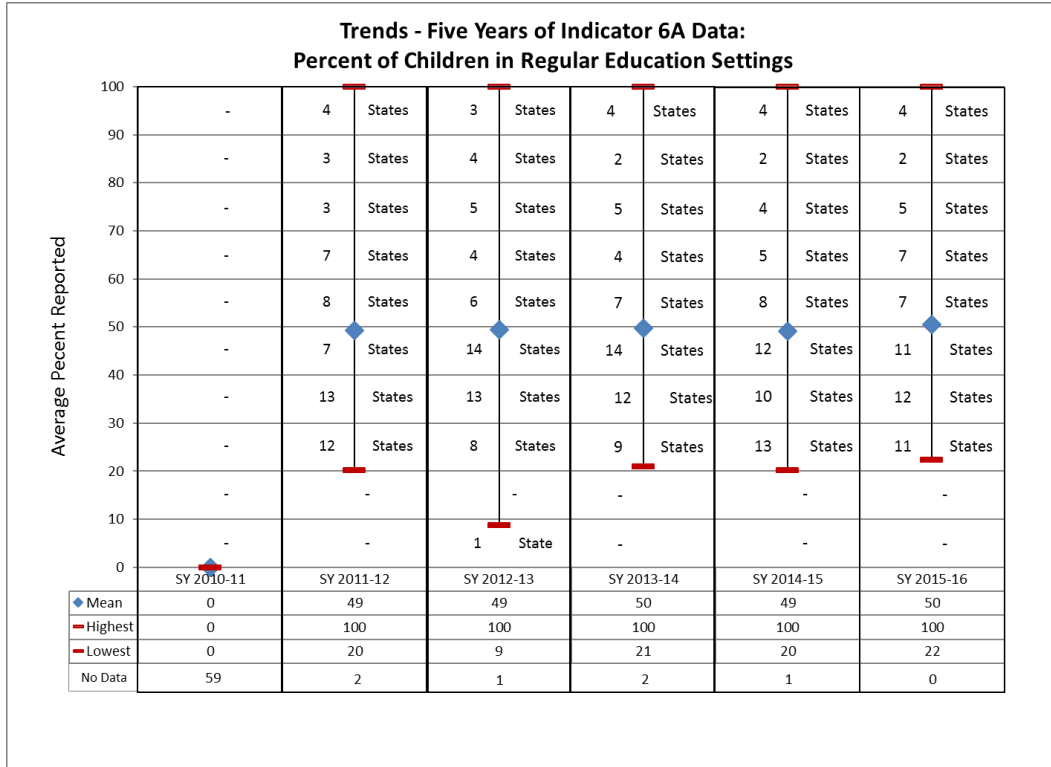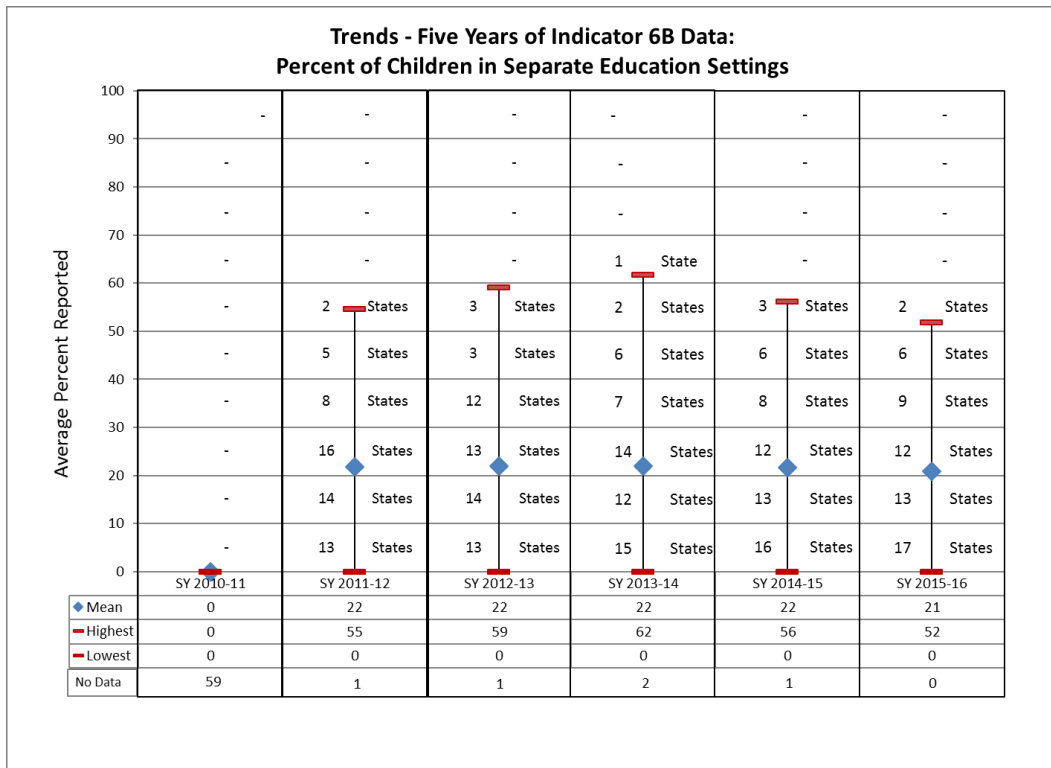|	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	0	22	22	22	22	21
Highest	0	55	59	62	56	52
Lowest	0	0	0	0	0	0
No Data	59	1	1	2	1	0

INDICATOR 7: PRESCHOOL OUTCOMES
Prepared by the Early Childhood Technical Assistance Center (ECTA)

Indicator 7: 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 58 states and jurisdictions in their FFY 2015 Annual Performance Reports (APRs). One state's data were determined by OSEP to be not valid and reliable and are therefore not included in this summary. 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=58)	
Type of Approach	**Number of States (%)**
Child Outcomes Summary (COS) process	42 (72%)
One statewide tool	8 (14%)
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 2010 to FFY 2015). 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.
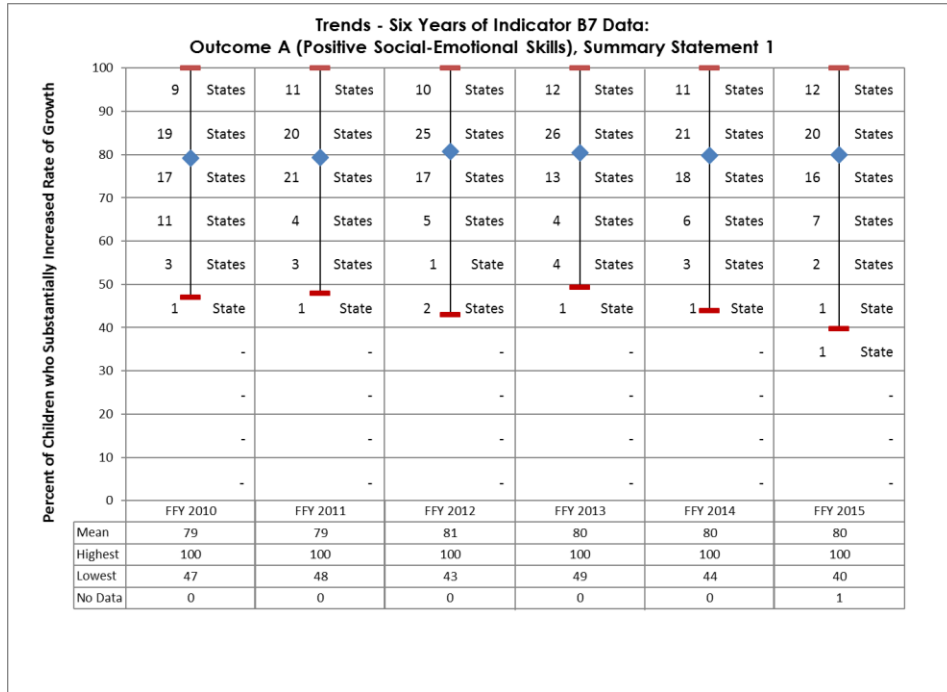
Figure 1

Trends - Six Years of Indicator B7 Data: Outcome A (Positive Social-Emotional Skills), Summary Statement 1

Percent of Children who Substantially Increased Rate of Growth

Range	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
90–100	9 States	11 States	10 States	12 States	11 States	12 States
80–90	19 States	20 States	25 States	26 States	21 States	20 States
70–80	17 States	21 States	17 States	13 States	18 States	16 States
60–70	11 States	4 States	5 States	4 States	6 States	7 States
50–60	3 States	3 States	1 State	4 States	3 States	2 States
40–50	1 State	1 State	2 States	1 State	1 State	1 State
30–40	-	-	-	-	-	1 State
20–30	-	-	-	-	-	-
10–20	-	-	-	-	-	-
0–10	-	-	-	-	-	-

	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
Mean	79	79	81	80	80	80
Highest	100	100	100	100	100	100
Lowest	47	48	43	49	44	40
No Data	0	0	0	0	0	1

Figure 2

Trends - Six Years of Indicator B7 Data: Outcome A (Positive Social-Emotional Skills), Summary Statement 2

Percent of Children Exiting at Age Expectations

Range	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
90–100	-	1 State	-	2 States	1 State	1 State
80–90	4 States	3 States	4 States	4 States	3 States	3 States
70–80	7 States	7 States	7 States	4 States	4 States	6 States
60–70	22 States	16 States	18 States	20 States	19 States	15 States
50–60	20 States	18 States	20 States	16 States	19 States	19 States
40–50	2 States	9 States	6 States	8 States	8 States	10 States
30–40	2 States	4 States	4 States	4 States	3 States	3 States
20–30	3 States	2 States	1 State	1 State	2 States	2 States
10–20	-	-	-	1 State	1 State	-
0–10	-	-	-	-	-	-

	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
Mean	61	59	60	59	58	59
Highest	87	100	88	100	90	92
Lowest	20	20	26	20	18	20
No Data	0	0	0	0	0	1

Figure 3

Trends - Six Years of Indicator B7 Data
Outcome B (Acquisition and Use of Knowledge and Skills), Summary Statement 1

Percent of Children who Substantially Increased Rate of Growth

	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
100	9 States	7 States	8 States	9 States	7 States	10 States
90	22 States	24 States	27 States	26 States	26 States	22 States
80	17 States	21 States	15 States	13 States	18 States	19 States
70	10 States	6 States	8 States	11 States	7 States	7 States
60	1 State	2 States	1 State	1 State	2 States	1 State
50	1 State	-	1 State	-	-	-
40	-	-	-	-	-	-
30	-	-	-	-	-	-
20	-	-	-	-	-	-
10	-	-	-	-	-	-
0						
Mean	79	80	80	80	80	81
Highest	100	100	100	100	97	100
Lowest	47	51	45	56	53	59
No Data	0	0	0	0	0	1

Figure 4

Trends - Six Years of Indicator B7 Data:
Outcome B (Acquisition and Use of Knowledge and Skills), Summary Statement 2

Percent of Children Exiting at Age Expectations

	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
100	-	1 State	-	-	-	1 State
90	1 State	1 State	1 State	1 State	1 State	-
80	5 States	2 States	2 States	3 States	1 State	4 States
70	14 States	10 States	17 States	14 States	11 States	11 States
60	22 States	24 States	20 States	19 States	26 States	23 States
50	9 States	11 States	8 States	12 States	9 States	11 States
40	5 States	7 States	8 States	5 States	6 States	6 States
30	2 States	3 States	3 States	5 States	4 States	1 State
20	2 States	1 State	1 State	1 State	1 State	2 States
10	-	-	-	-	1 State	-
0						
Mean	54	53	52	52	51	53
Highest	80	100	88	80	85	92
Lowest	15	13	16	10	10	11
No Data	0	0	0	0	0	1

Figure 5

Trends - Six Years of Indicator B7 Data
Outcome C (Appropriate Behaviors to Meet Needs), Summary Statement 1

	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
Mean	77	77	80	79	79	79
Highest	94	94	100	100	100	100
Lowest	0	0	39	42	33	34
No Data	0	0	0	0	0	1

Figure 6

Trends - Six Years of Indicator B7 Data:
Outcome C (Appropriate Behaviors to Meet Needs), Summary Statement 2

	FFY 2010	FFY 2011	FFY 2012	FFY 2013	FFY 2014	FFY 2015
Mean	66	65	64	64	63	64
Highest	88	100	87	90	88	96
Lowest	17	14	17	11	11	12
No Data	0	0	0	0	0	1

INDICATOR 8: PARENT INVOLVEMENT

Prepared by the Center for Parent Information and Resources @ SPAN

In collaboration with the National and Regional Parent Technical Assistance Centers:
Native American PTAC, EPICS; The Branch Military PTAC, Washington PAVE; 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)

Indicator 8: 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.

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.

The Center for Parent Information and Resources, along with the National and Regional Parent Technical Assistance Centers (PTACs), 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 eight 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 68 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 2015 APRs and subsequent revisions submitted to the Office of Special Education Programs (OSEP). In addition, 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 Chart 1 below, during FFY 2015, 39% of states used the NCSEAM survey. An additional 5% adapted the NCSEAM or ECO surveys, while a large share of states, 48%, used state-developed survey instruments. Five states did not provide sufficient data to determine the origin of their survey instruments or the processes for their development. These data represent a change from FFY2014, with a six percentage point increase in the number of SEAs using state-developed instruments. Over the past years, the number of states using fully state-developed

instruments has slowly increased, a trend that has minimized the comparability of performance data for this indicator.

Chart 1: Survey Instruments Used by States

Category	Value
Unclear	5
State developed	29
Modified NCSEAM	2
ECO	1
NCSEAM	23

Surveys Used by SEAs
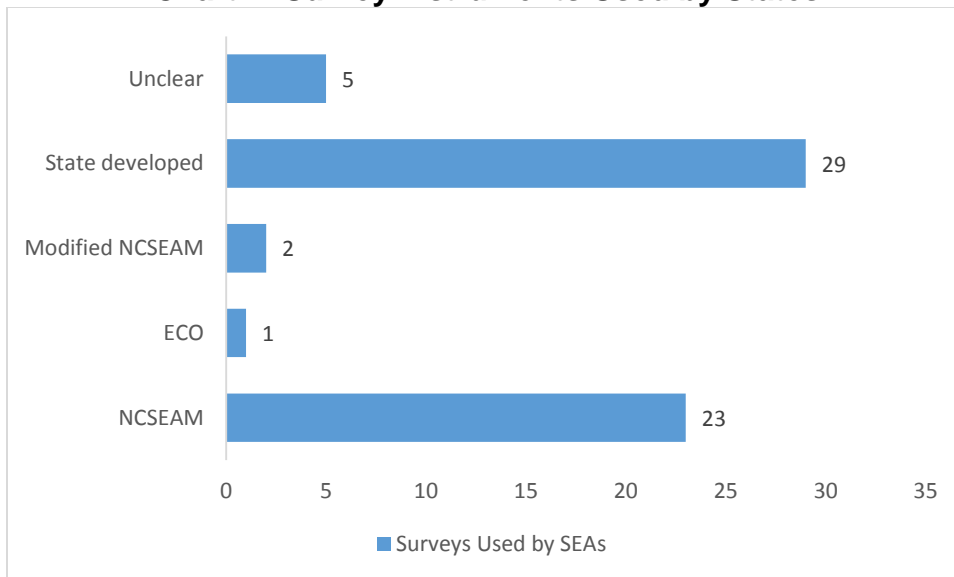
In their original State Performance Plans and subsequent revisions and amendments, states outlined their methods for survey distribution. As outlined in Table 1 below, In the FFY2015 APRs, states identified their methods and target populations for distributing surveys, with 53.3% using sampling methods 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 1: Distribution Methods Used by States

Distribution Methods	FFY 2015	
	# of States	% of States
Census	28	46.7%
Sample	32	53.3%

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 2 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. This does not represent a change from FFY2014. In drawing any conclusion as to these 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.

Table 2: States Meeting Indicator 8 Targets

n = 68	% of States	
Target Achievement	FFY 2014	FFY 2015
Met Target	63%	63.2%
Did Not Meet Target	35%	36.8%
N/A	2%	0%

Table 3 provides Six-Year Trend data for Indicator 8 survey responses from parents of School-Aged children. The overall performance distribution across states showed some improvement For FFY 2015. One state reported the high of 97%. There were 13 other states who also fell within the high range of 90-100%. The lowest percentage reported for FFY2015 was 27%, which is a new six year high for this category and almost 8 points higher than last year's six year low of 19%. The mean has held fairly steady over the last three years.

Table 3: Six-Year Trend Data
Indicator 8: School-Aged
FFY 2010 to FFY 2015

n = 60	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	65	66	68	71	73	74
Highest	96	99	99	99	99	97

Lowest	20	21	20	26	19	27
No Data	0	0	0	2	1	0

For survey respondents with pre-school aged children, Table 4 provides Six-Year Trend data. The overall performance distribution across states showed some improvement For FFY 2015. One state reported the high of 97%. There were 13 other states who also fell within the high range of 90-100%. The lowest percentage reported for FFY2015 was 27%, which is a new six year high for this category and almost 8 points higher than last year's six year low of 19%. The mean has held fairly steady over the last three years.

**Table 4: Six-Year Trend Data
Indicator 8: Pre-School-Aged
FFY 2010 to FFY 2015**

n = 8	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	68	64	71	70	77	77
Highest	86	91	93	100	95	100
Lowest	43	40	42	36	45	47

Table 4 provides Six-Year Trend data for Indicator 8 survey responses from parents of children. The overall performance distribution across states showed no significant improvement For FFY 2015. One state reported the high of 100%. There were 5 of the 8 states fell within the 80-100% ranges. The lowest percentage reported for FFY2015 was 47%, which is a new six year high for this category and slightly higher than last year's six year high of 45%. The mean held fairly steady at 77% for the second consecutive year.

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 very modest increase, from FFY2014 to FFY2015.

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, 85% of states also include information regarding parent engagement activities in collaboration with OSEP-funded Parent Training and Information Centers and/ or Community Parent Resource Centers in their states. These strategies include:

- 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.

- Engaging Parent Centers (PTIs and Community Parent Resource Centers) in developing and presenting parent workshops/trainings/webinars.

- Including Parent Centers in data meetings and evaluation reviews.
- Involving Parent Centers in reviewing and providing feedback on APR reports.
- 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.

- Providing office space for PTI staff and utilizing PTI staff to speak to family members who call the SEA with questions.

Other strategies include:

- 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.

- jointly development of modules for families around supporting their child's education in academics and behavior.

- Co-facilitation of public meetings on state's Results Driven Accountability activities.

- Parent Center participation on state's MTSS workgroup for dissemination and implementing the framework.

INDICATORS B9 and B10: 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 2015 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 2015, 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

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[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 (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 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: 2015–16**
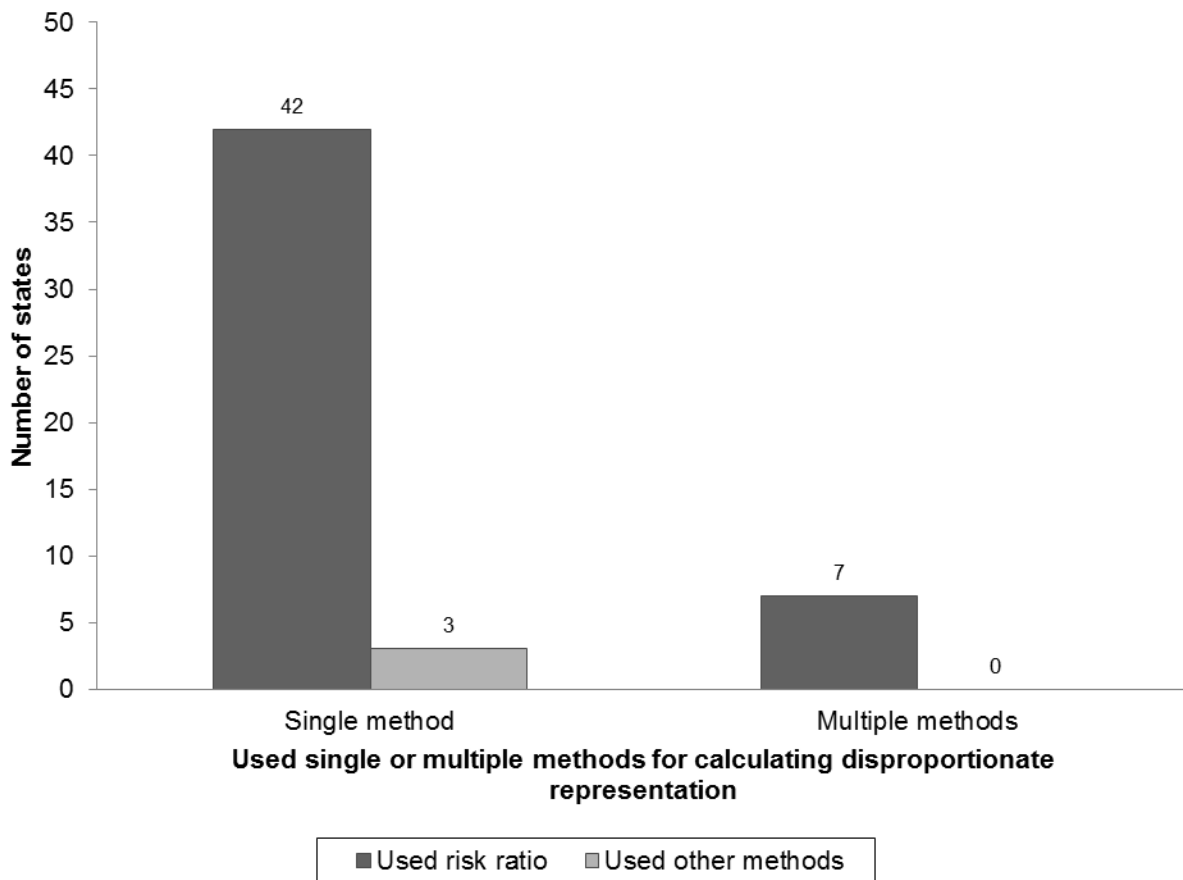
Definitions of Disproportionate Representation

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-nine states (75%) for B9 and 37 states for B10 (71%) 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: 2015–16**
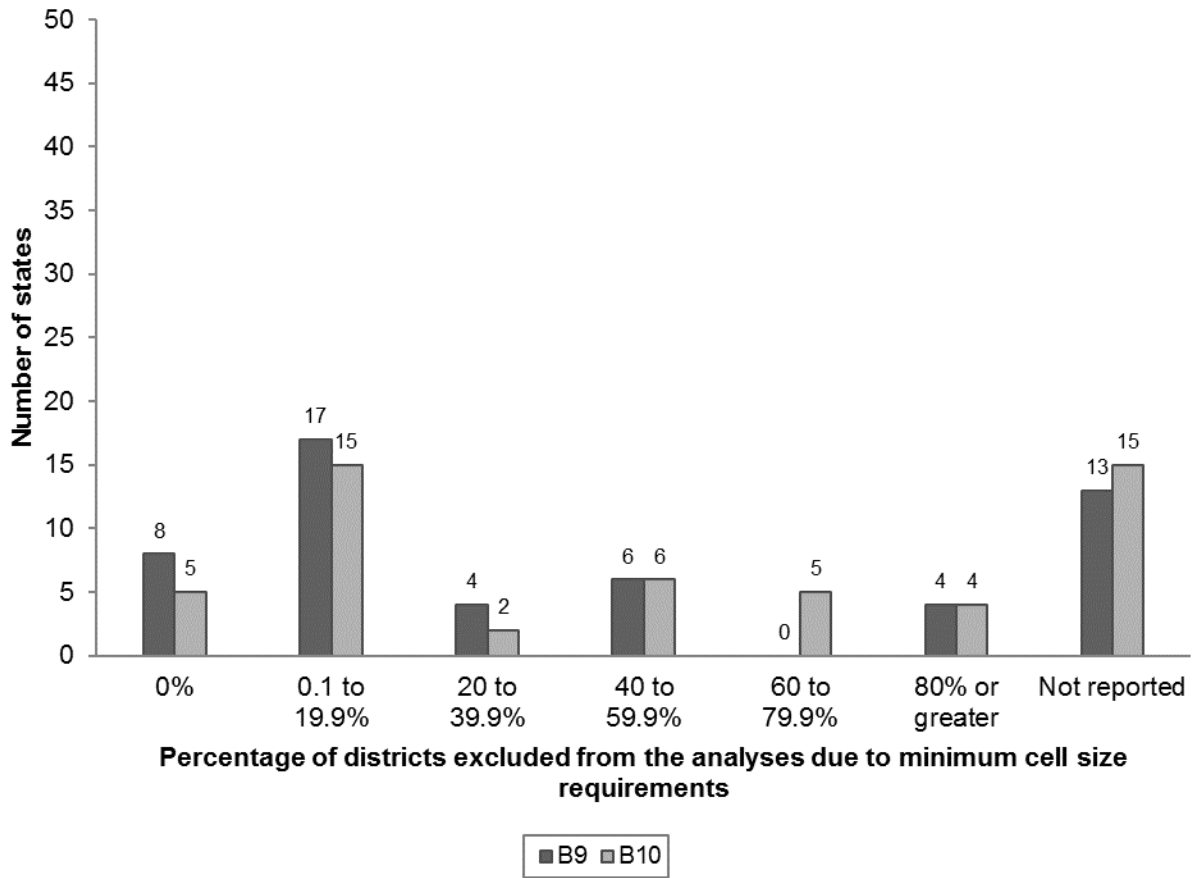
Note: One state is not required to report on B10.

## ACTUAL PERFORMANCE, COMPARISONS, AND TRENDS

This section provides actual performance data for B9 and B10 for FFY 2015, as well as eight-year trends in the data and change from FFY 2008 to FFY 2015.

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: 2015–16**
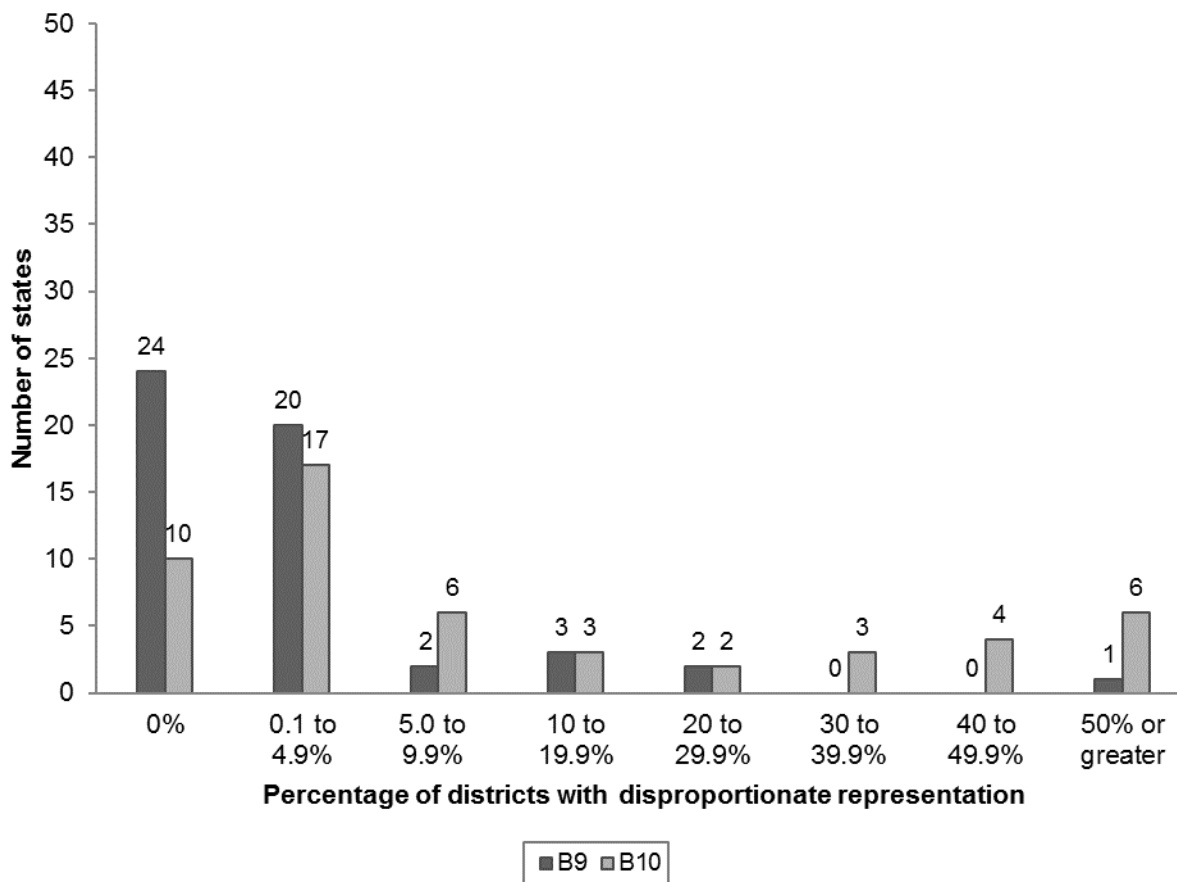
Note: One state is not required to report on B10.

Percentage of Districts With Disproportionate Representation That Was the Result of Inappropriate Identification
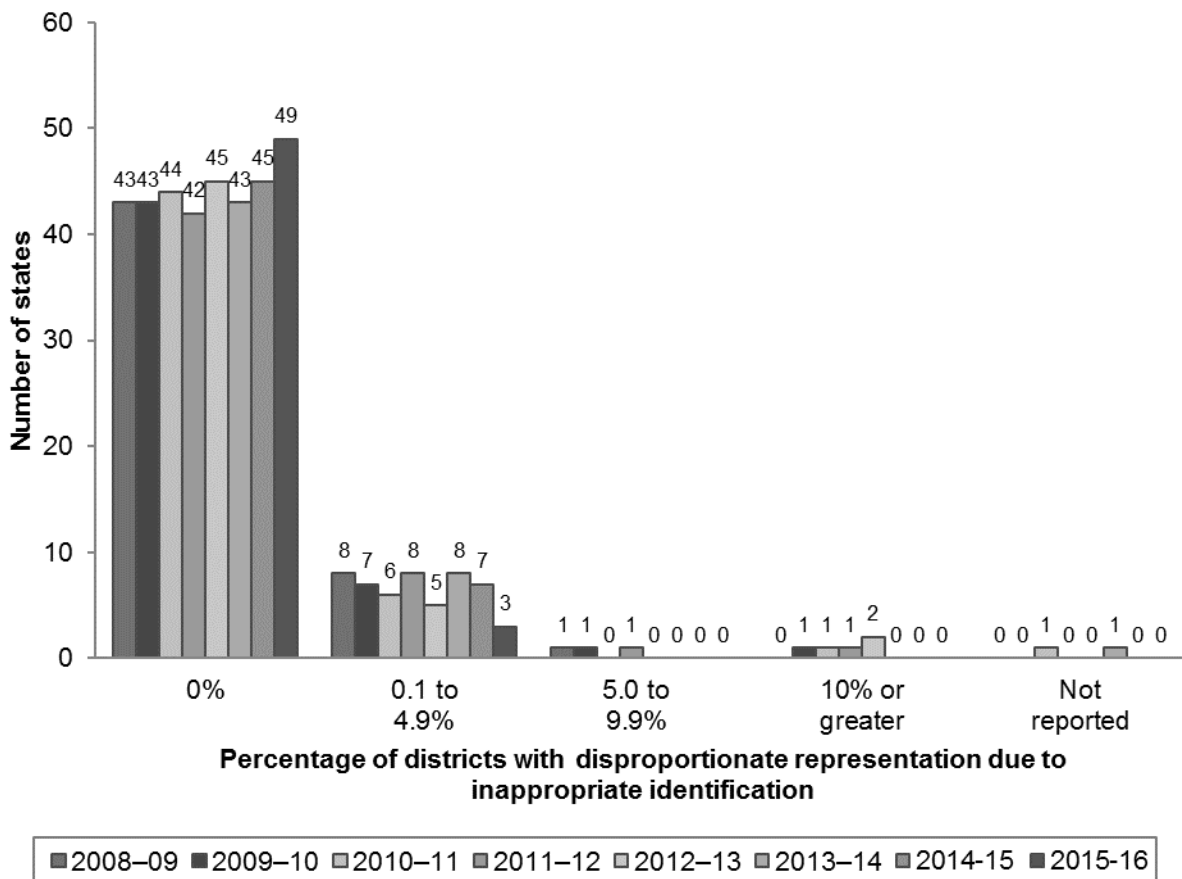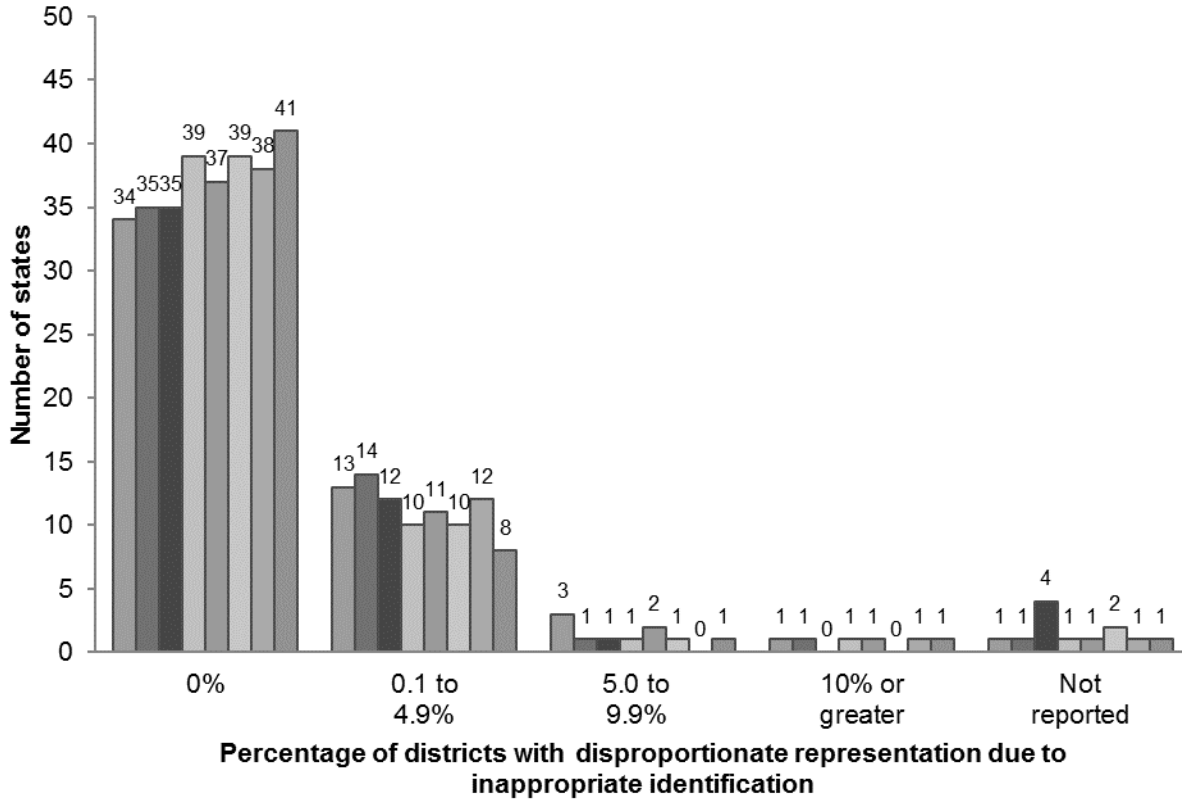
For both B9 and B10, states reported the percentage of districts that had disproportionate representation that was a result of inappropriate identification (see Figures 4 and 5 for B9 and B10, respectively). For each indicator, data are presented for 2015–16, as well as for the seven previous years.

Figure 4

Number of states reporting various percentages of districts with disproportionate representation that was the result of inappropriate identification for B9: 2008–09 through 2015–16

Percentage of districts with disproportionate representation due to inappropriate identification

■2008–09 ■2009–10 □2010–11 ■2011–12 □2012–13 ■2013–14 ■2014-15 ■2015-16

Figure 5

**Number of states reporting various percentages of districts
with disproportionate representation that was the result of inappropriate
identification for B10: 2008–09 through 2015–16**

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

Description of Change From 2014–15 to 2015–16

When examining change from 2014–15 to 2015–16 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 2014–15 and 2015–16:[2]

- Forty-five states (87%) 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 (all 45 of these states for B9 and 34 of these states for B10 maintained the target of 0% in 2014–15 and 2015–16).
- For B9, two states (4%) reported a decrease, and five states (10%) reported an increase.
- For B10, four states (8%) reported a decrease, and eleven states (22%) reported and increase.

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[2] Fifty-two states reported valid and reliable data for B9, and 50 states reported valid and reliable data for B10 for both 2014–15 and 2015–16. One state reported valid and reliable data for B10 for 2015–16, but not for 2014–15. 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 this indicator is defined in the Part B SPP/APR Measurement Table as:

> 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[1] 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.

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[1] 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).

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 2017 along with applicable APR clarifications.

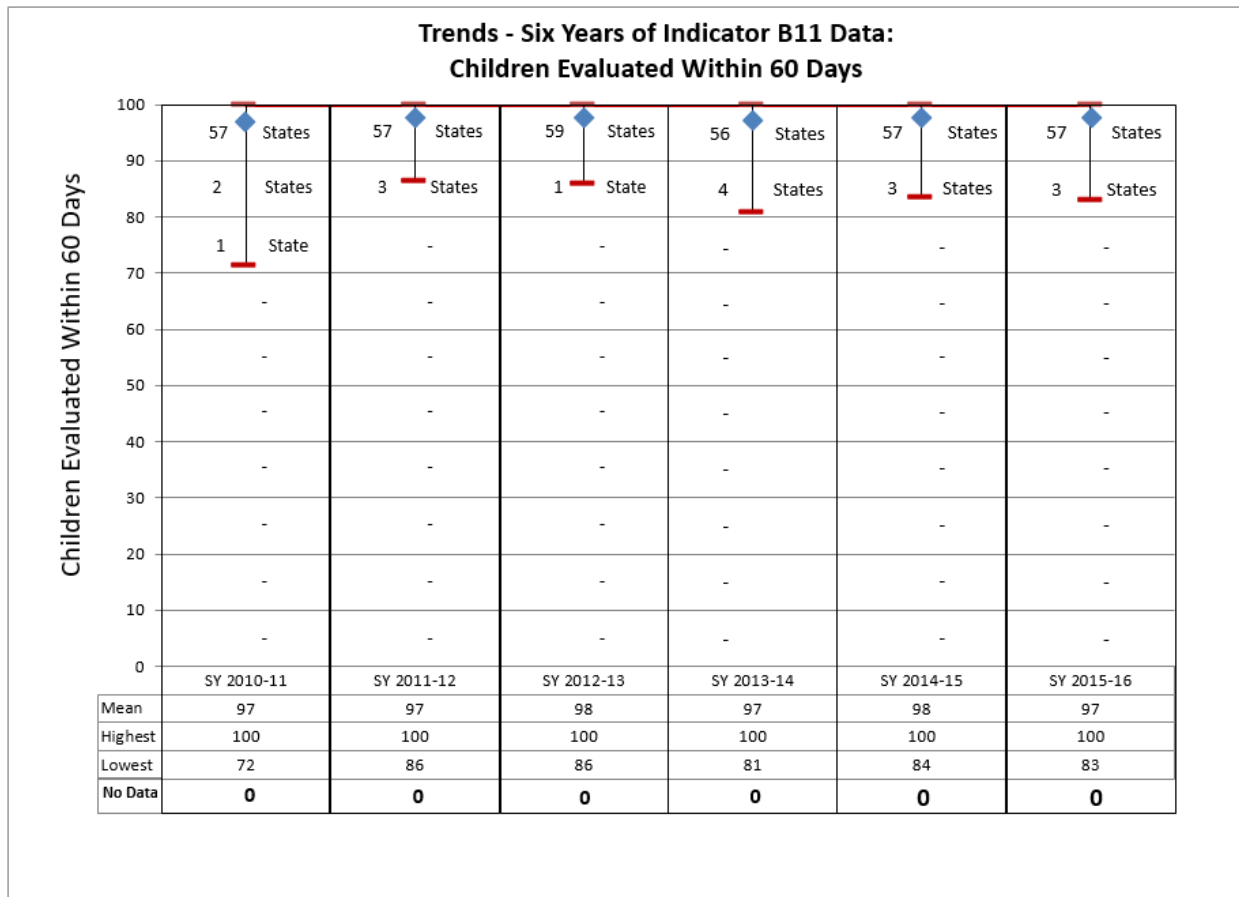## TRENDS: SEVEN YEARS OF B-11 DATA

Figure 1

Trends - Six Years of Indicator B11 Data: Children Evaluated Within 60 Days

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
Mean	97	97	98	97	98	97
Highest	100	100	100	100	100	100
Lowest	72	86	86	81	84	83
No Data	0	0	0	0	0	0

Figure 1 depicts a "high-low" chart which shows the level of change from FFY 2010-11 to FFY 2015-16 regarding the percent of children evaluated within 60 days, or within a state-established timeline. Each red vertical line capped by a small rectangle at each end reflects the range (i.e., highest to lowest percentage). Also, on each vertical line is a blue diamond, representing the mean percentages of actual performance results for each year. In examining differences between the mean percentages, the table demonstrates that the average mean of 97 for FFY 2015-16 is the same as the average mean for FFY 2010-11, with very little variation over time. This indicates that the results for this Indicator have remained relatively stable for the past five years with most states consistently representing a high percentage of timely initial evaluations.

COMPARISON TO PREVIOUS YEAR'S DATA

Figure 2 shows the progress and slippage over the one-year period between FFY 2014-15 and FFY 2015-16 for the 60 states. The table shows that 26 states (43%), showed slippage in the percent of initial evaluations completed in a timely manner. Nine states (15%) showed no change, while 25 states (42%) demonstrated progress.

Figure 2
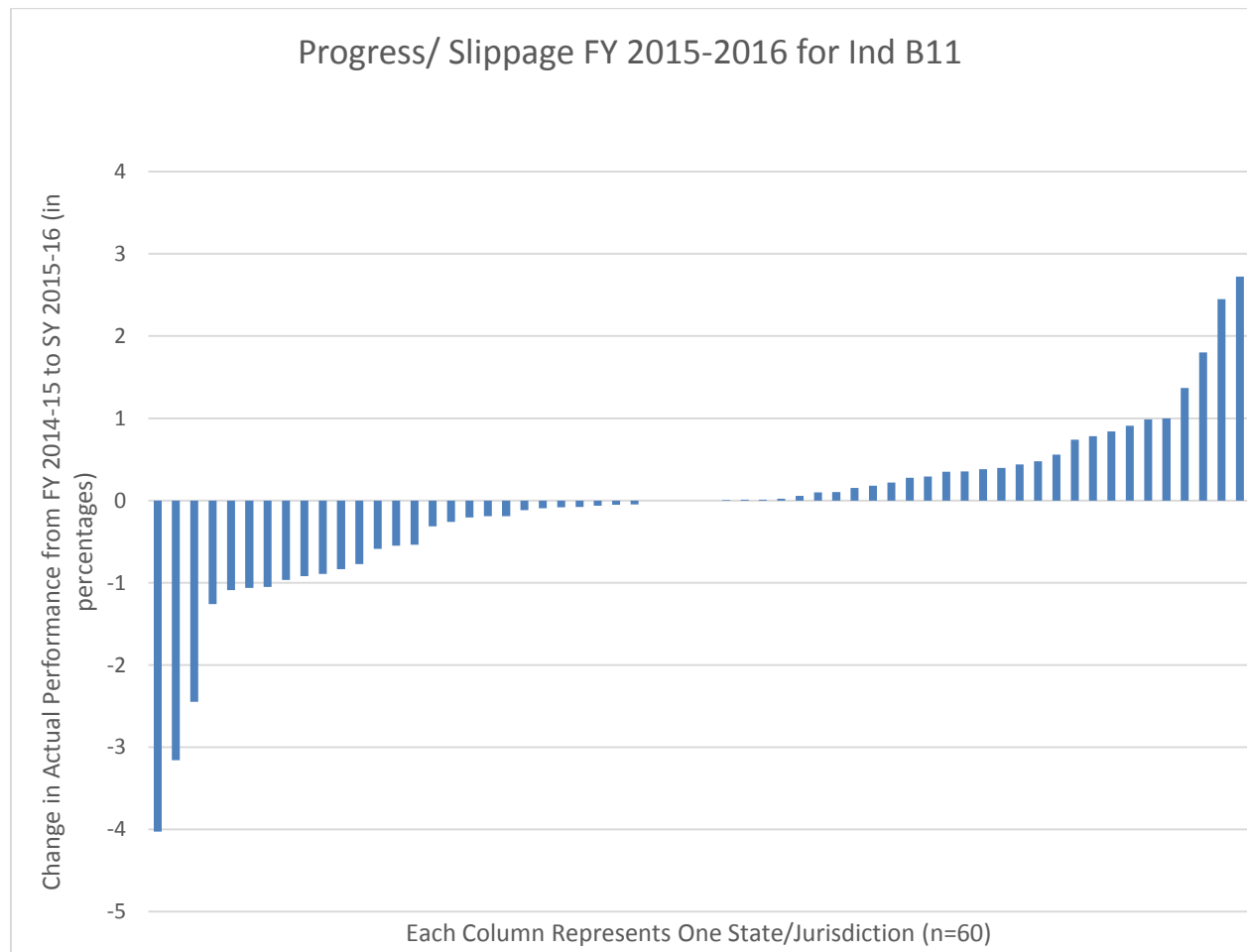
With regard to the 26 states (43%) showing slippage, the average percent of slippage was –0.85%, ranging from a "high" of –4.00% to a "low" of -0.01%. Of the nine states (15%) showing no change, four states met their targets for FFY 2014-15. For the 25 states (42%) showing progress, the average percent of progress was 0.78%, ranging from a "high" of 2.70% to a "low" of 0.01%.

As shown in Figure 3 below, the data from FFY 2015-16 were also compared to that of FFY 2014-15. In FFY 2014-15, twenty-four states (40%), showed slippage; four states

(7%), showed no change; and thirty-two states (53%) showed progress. In FFY 2015-16, twenty-six states (43%) showed slippage; nine states (15%) showed no change; and twenty-five states (42%) showed progress for this Indicator. In FFY 2014-15 five states (8%) met the100% compliance target and in FFY 2015-16, four states (7%) met the 100% compliance target. When results from FFY 2014-15 and FFY 2015-16 are compared, state performance on the indicator has remained relatively stable.

Figure 3
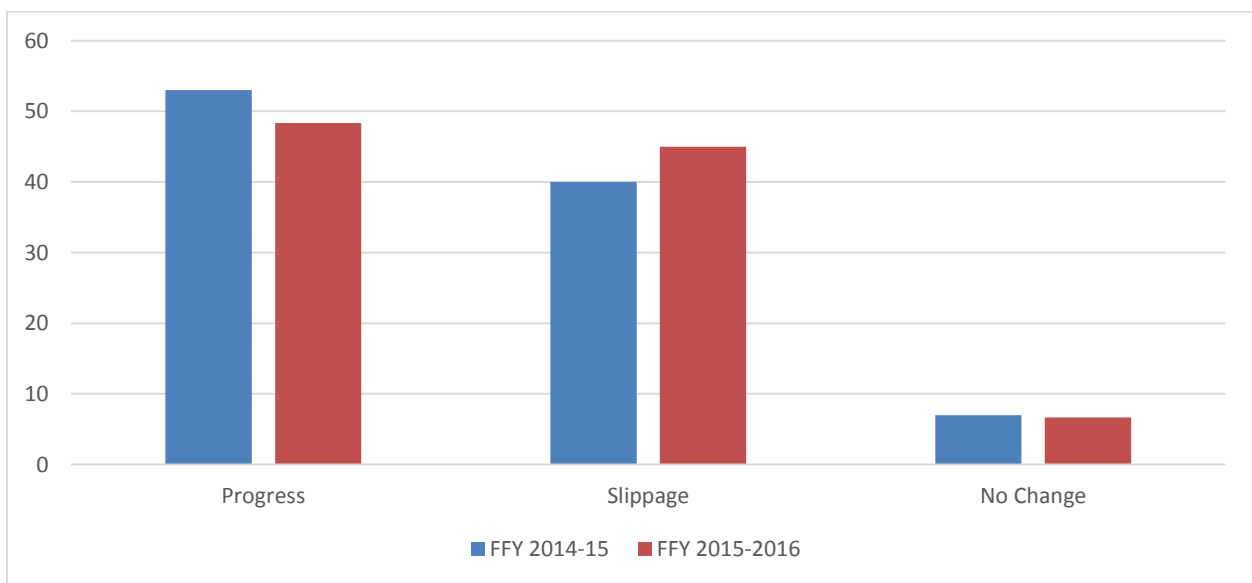
States are also required to report on the range of days for which evaluations occurred beyond the timeline. The FFY 2015-16 data showed that nationally, the range of days beyond the timeline varied from 1 to 522 days.

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 97% regarding 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)

INDICATOR 12: 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 2015 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 2015 performance data and to provide the reasons for delay when IEPs were not developed and implemented by a child's third birthday.
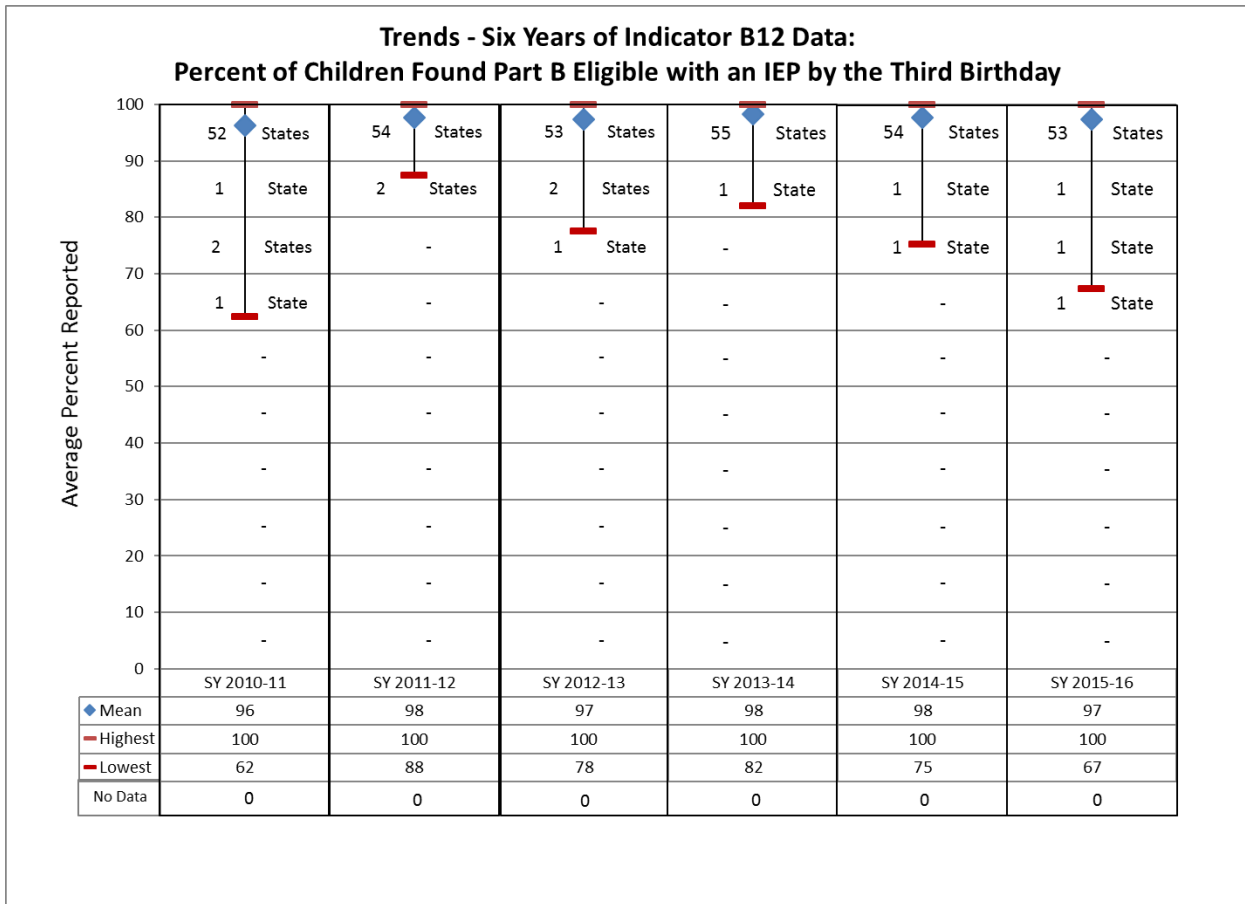
DATA SOURCES AND MEASUREMENT APPROACH

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 2010 to FFY 2015). 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

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
	52 States	54 States	53 States	55 States	54 States	53 States
	1 State	2 States	2 States	1 State	1 State	1 State
	2 States	-	1 State	-	1 State	1 State
	1 State	-	-	-	-	1 State
	-	-	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-
	-	-	-	-	-	-
◆ Mean	96	98	97	98	98	97
━ Highest	100	100	100	100	100	100
━ Lowest	62	88	78	82	75	67
No Data	0	0	0	0	0	0

Average Percent Reported

78

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 NTACT I-13 Checklist or their own checklist. Thirty-nine states (65%) obtained data through state monitoring, while 21 (35%) 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
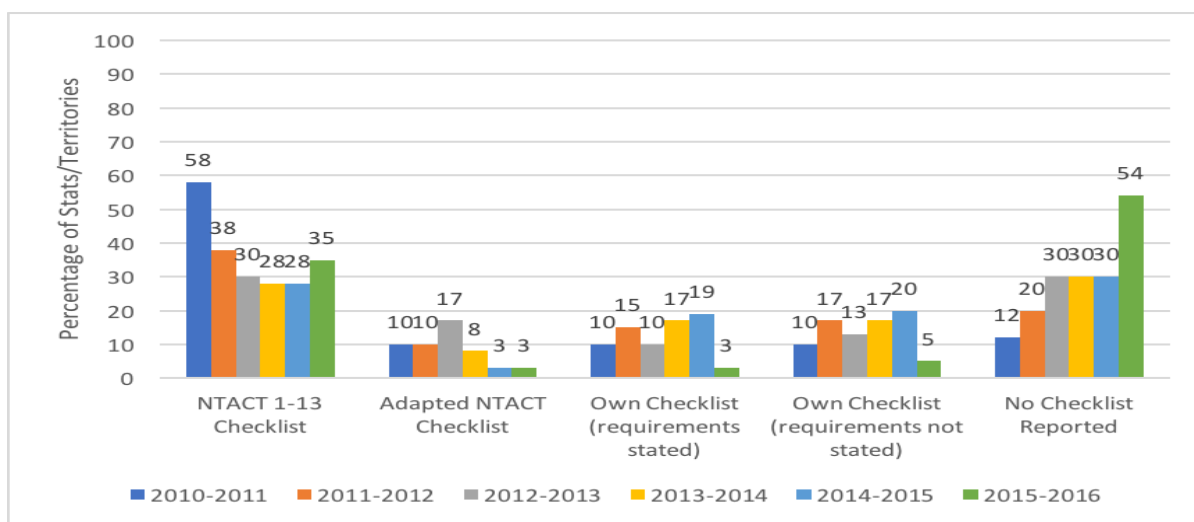
MEASUREMENT APPROACHES

Figure 2 summarizes the proportions of states by the type of method used to collect data from 2010 to 2016. In 2015-2016, 39 (65%) states reported using either a sample or census method to collect Indicator 13 data. Twenty-one (35%) states did not report the method used to report Indicator 13 data. Figure 2 summarizes the type of method used to collect data.
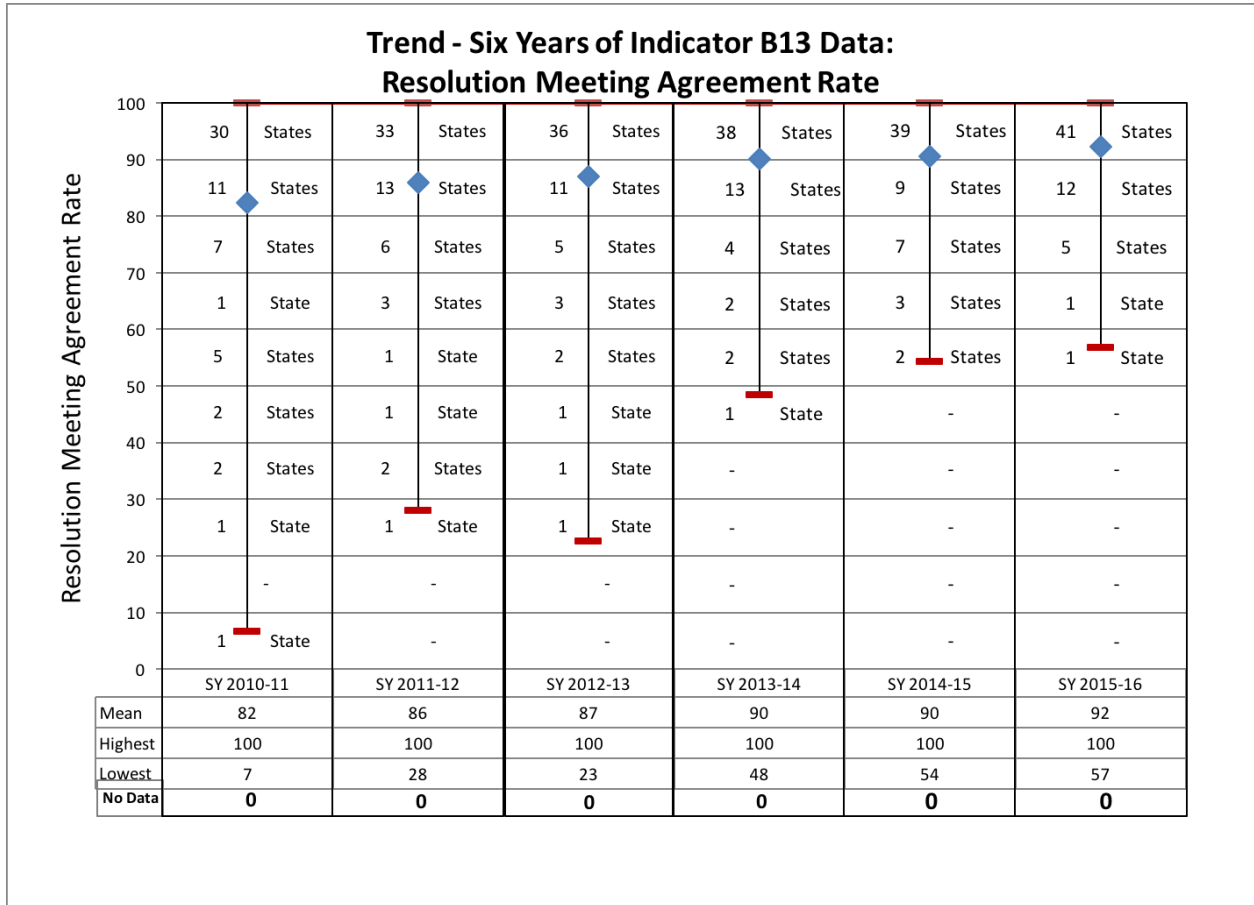
Figure 2. Method Used to Collect Indicator B13 Data
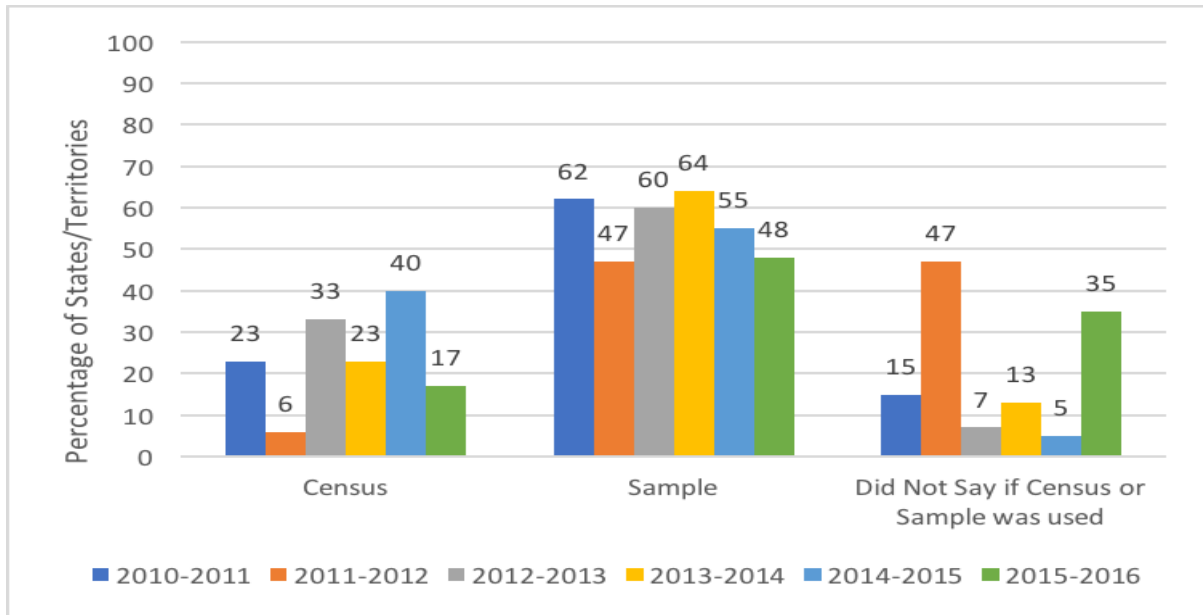
ACTUAL PERFORMANCE

This submission is the sixth after states established a new baseline in 2009-2010. Figure 3 indicates performance ranged from 57% to 100% with a mean of 92% in 2015-2016. The median was 97.4%. Overall, the state six-year mean increased from a baseline of 80% (FFY 2009-2010) to 82% (FFY 2010-2011) to 92% (FFY 2015-2016).

Figure 3. Six Year Trends of Indicator B13 Data

Trend - Six Years of Indicator B13 Data: Resolution Meeting Agreement Rate

Resolution Meeting Agreement Rate

	SY 2010-11	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16
	30 States	33 States	36 States	38 States	39 States	41 States
	11 States	13 States	11 States	13 States	9 States	12 States
	7 States	6 States	5 States	4 States	7 States	5 States
	1 State	3 States	3 States	2 States	3 States	1 State
	5 States	1 State	2 States	2 States	2 States	1 State
	2 States	1 State	1 State	1 State	-	-
	2 States	2 States	1 State	-	-	-
	1 State	1 State	1 State	-	-	-
	-	-	-	-	-	-
	1 State	-	-	-	-	-
Mean	82	86	87	90	90	92
Highest	100	100	100	100	100	100
Lowest	7	28	23	48	54	57
No Data	0	0	0	0	0	0

CONCLUSION

For FFY 2015-2016, 10 (17%) states reported 100% compliance for Indicator 13. Although the average performance across states was 92%, there was wide variation ranging from 57% to 100%. Compared to last year, 36 (60%) states showed progress (either improving or remaining at 100% compliance). Overall, the state mean has steadily increased from 82% in FFY 2010-2011 to 92% in FFY 2015-2016.

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 15 (FFY15) 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 on February 1, 2017. 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.

To analyze Indicator B14, 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 FFY14 and FFY15 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 this report. In the following section, we describe (a) whether the state used a census or sample, (b) the method used to collect PSO data, and (c) states' response rates and representativeness.

Census versus Sample
To address Indicator B14, 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, 67% (n = 40) of states reported collecting Post-School Outcomes (PSO) data from a census of all leavers with an IEP and 33% (n = 20) 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 FFY15, 36 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 to collect PSO data. Only one state 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, 52% of states (n = 31) reported a response rate or included sufficient information in the APR to calculate the response rate. This is a significant increase in the number states reporting a response rate in FFY14 (n = 17). Response rate is one indicator of valid and reliable data for survey methodology, however, 48% of states (n = 29) did not report or include sufficient information to calculate response rate. Nevertheless, FFY15 reported response rates ranged from 4.6 % to 100%. The national median response rate was 55%, an increase over the national average of 50.86% in FFY 2014.

A second indicator of valid and reliable data for survey methods is understanding how similar 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 was 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, NPSO Center 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 FFY15 APRs due to insufficient information in the APRs, 33% of states (n = 20) reported using the ±3% criterion to determine representativeness and 17% of states (n = 10) used some other criteria (e.g., chi-square, proportions test).

FIGURES & EXPLANATIONS: ACTUAL PERFORMANCE & TRENDS

Achieved Data
Achieved data refers to the FFY15 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 FFY15. Percentages are based on a total of 133,681 respondents to the states' post-school outcome data collections. Figure 1, *FFY 2015 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 for FFY15, enrolled in higher education, was 27.43% (*sd* = 11.56), a range of 10.38% to 63.11%. The median percent reported in measure B for FFY15, enrolled in higher education + competitively employed, was 63.03%, (*sd* = 13.15), with a range of 18.62% to 83.37%. The median percent of youth reported in measure C in FFY15, enrolled in higher education + competitively employed + some other postsecondary education or training program + in some other employment was 78.61% (sd = 12.23), with a range of 32.96% to 100%.

Figure 1. FFY2015 Median Percentage for Each Indicator B14 Measure

FFY15 Median Percentage for Indicator B14 Measures A, B, and C

Percent of Respondents

	A: Enrolled in Higher Education	B: Enrolled in Higher Education + Competitively Employed	C: Enrolled in Higher Education + Competitively Employed + Some Other Postsecondary Education or Training + Some Other Employment
Value	27.43	63.03	78.61

Indicator B14 Measures
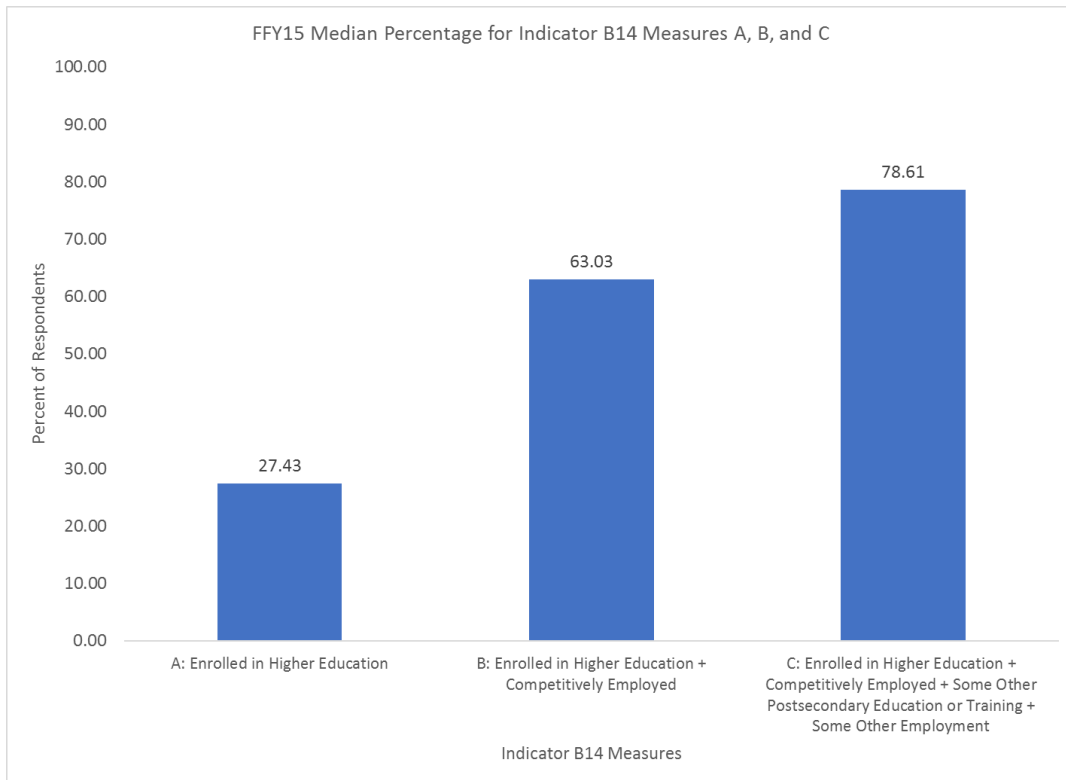
Trends

Figure 2, *Trends of Median Percentages for Each Indicator B14 Measure*, shows the aggregate median percentage for baseline year FFY09 through FFY15. Across the seven years of PSO data, there is fluctuation in measure A, with a slight increase 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

Trends of Median Percentages
for Each Indicator B14 Measure FFY15

■FFY09 ■FFY10 ■FFY11 ■FFY12 ■FFY13 ■FFY14 ■FFY15
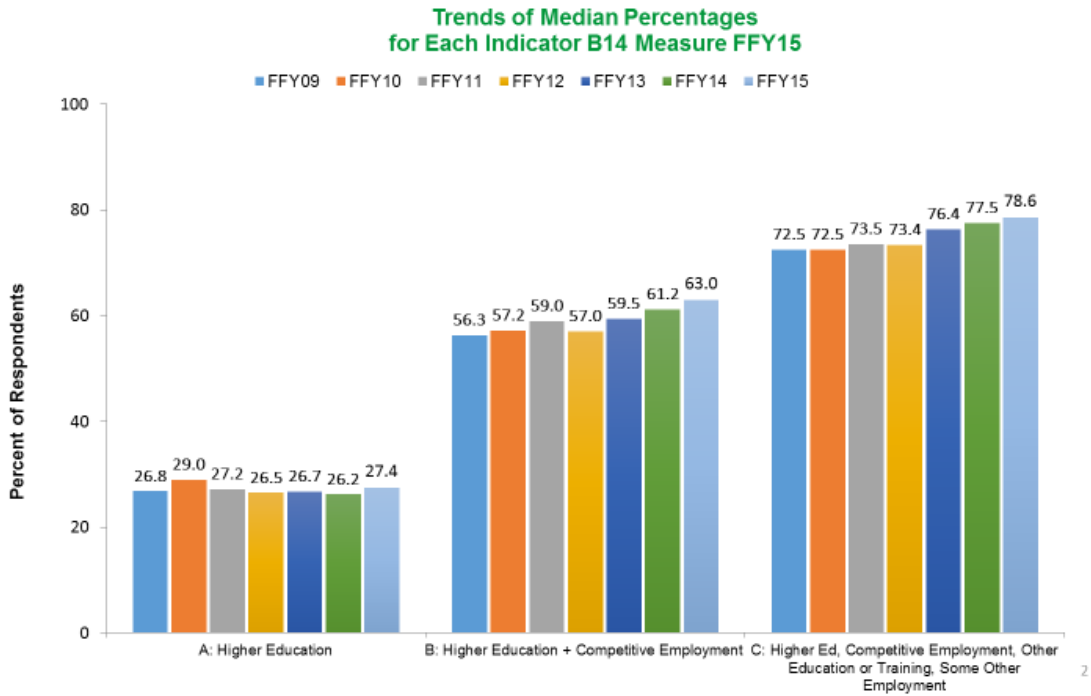
Targets Met

In FFY15, 23 states met their target set for Measure A, a decrease from the 25 states that met Measure A targets in FFY14. This year, 36 states met their target set for Measure B, an increase from 34 states that met Measure B targets in FFY14. Finally, 39 states met their target set for Measure C in FFY15, a decrease from the 42 states that met Measure C targets in FFY14.

Differences between 2015 and 2014

Figure 3 shows the median change in percentages points between 2015 and 2014 by state. The median change for Measure A was .29 (*sd* = 5.56) with a range of -14.55 to 18.18.

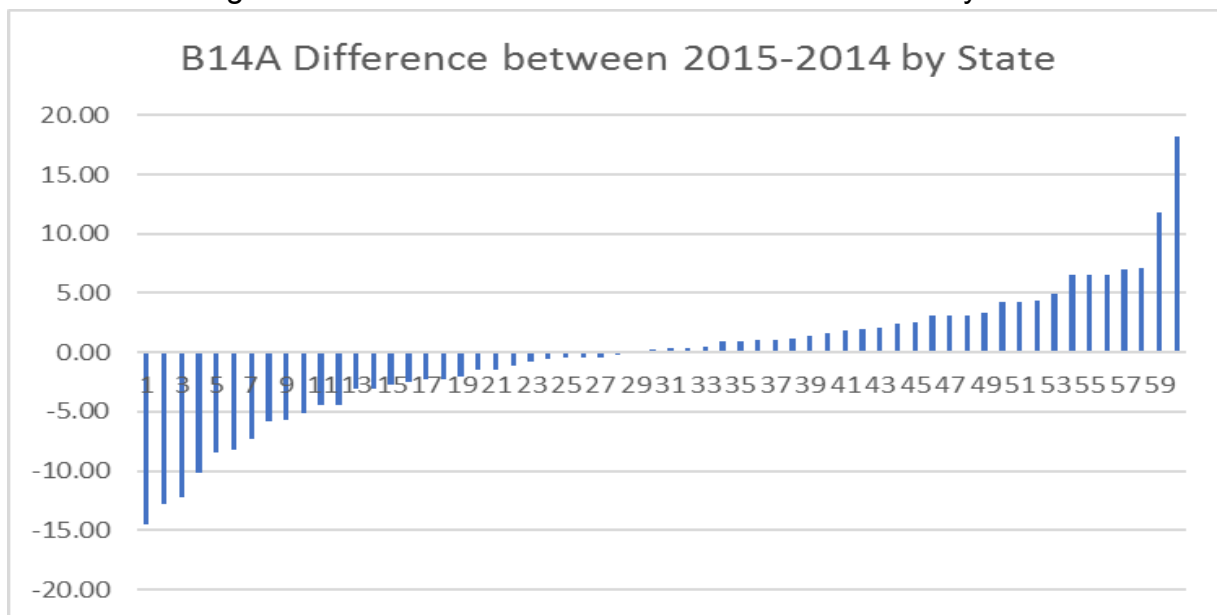Figure 3. B14A Differences between 2015 and 2014 by State

Figure 4 on the following page shows the median change in percentage points between 2015 and 2014. For Measure B the median change was 1.95 (sd = 9.80) with a range of -27.54 to 45.45.
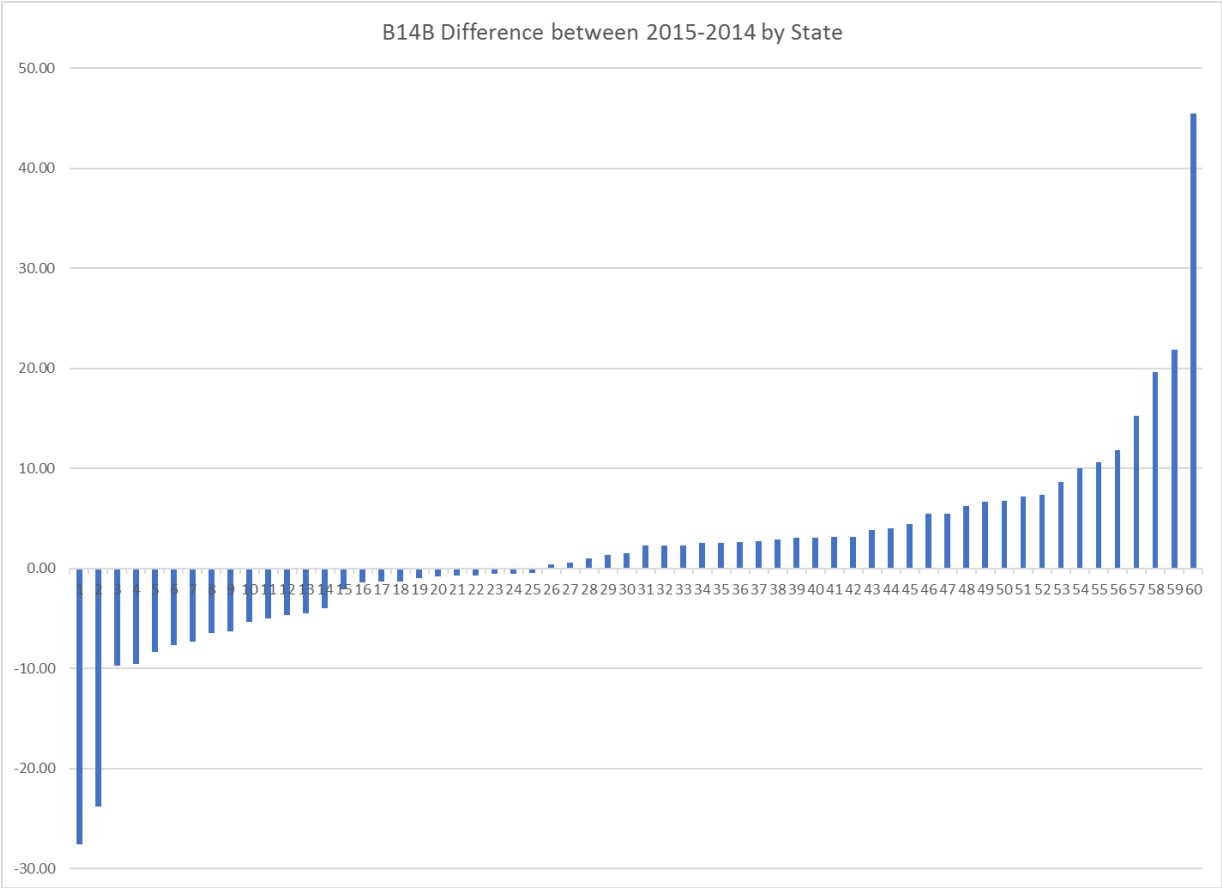
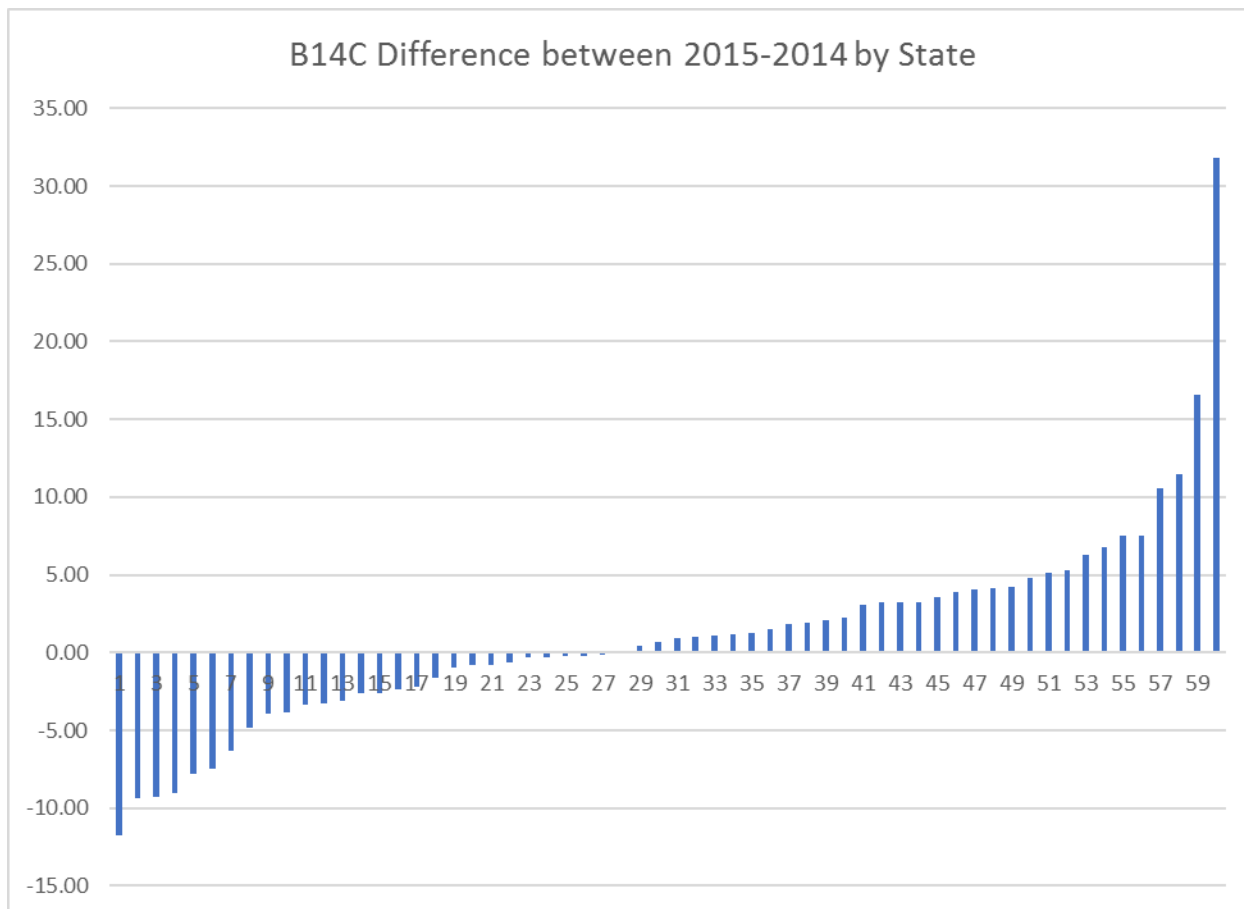Figure 4. B14B Differences between 2015 and 2014 by State

Figure 5 on the following page shows the median change in percentage points between 2015 and 2014. For Measure C the median change was .79 (*sd* = 6.52) with a range of -11.77 to 31.78.

Figure 5. B14C Differences between 2015 and 2014 by State

CONCLUSION

In response to the requirements for Indicator B14, 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. Without the total number of leavers reported, a response rate cannot be calculated, nor can the numbers and percentages reported in each measure be verified to ensure unduplicated counts- a persistent error in years past. In FFY15, it was encouraging to see an increase in the number of states reporting a response rate (n =31). To verify the extent to which respondents are similar to the targeted leaver group, states need to calculate and report the proportion of youth in the target leaver group and respondent group by each demographic category (i.e., disability, gender, method of exit, and race/ethnicity). The NPSO Response Calculator (available from https://transitionta.org/sites/default/files/dataanalysis/NPSO_ResponseCalculator.xls) was created

to facilitate the calculating and reporting of proportions between the two groups on demographic variables and identify where important differences exist between the two groups on those variables.

With FFY15, the percent of youth enrolled in higher education, as measured by Measure A, has again surpassed baseline from FFY09. The percent of youth 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, have continued to increase in FFY15 over baseline in FFY09. Overall, based on information provided in the states' APR, improvement in post-school outcomes is trending in the positive 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.[1] 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) 2015 Annual Performance Reports (APRs) for Indicators B15 (Resolution Meetings Resulting in Written Settlement Agreements) and B16 (Mediations Resulting in Written Agreements).[2,3]

DATA SOURCES AND METHODOLOGY

Data sources for this report include FFY 2015 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 B15: Resolution Meetings Resulting in Written Settlement Agreements

Indicator B15 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 B15; however, they are not required to set a performance target if fewer than ten resolution meetings are 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-two states reported Indicator B15 activity in 2015-16; eight states/entities reported no activity.

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[1] 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).
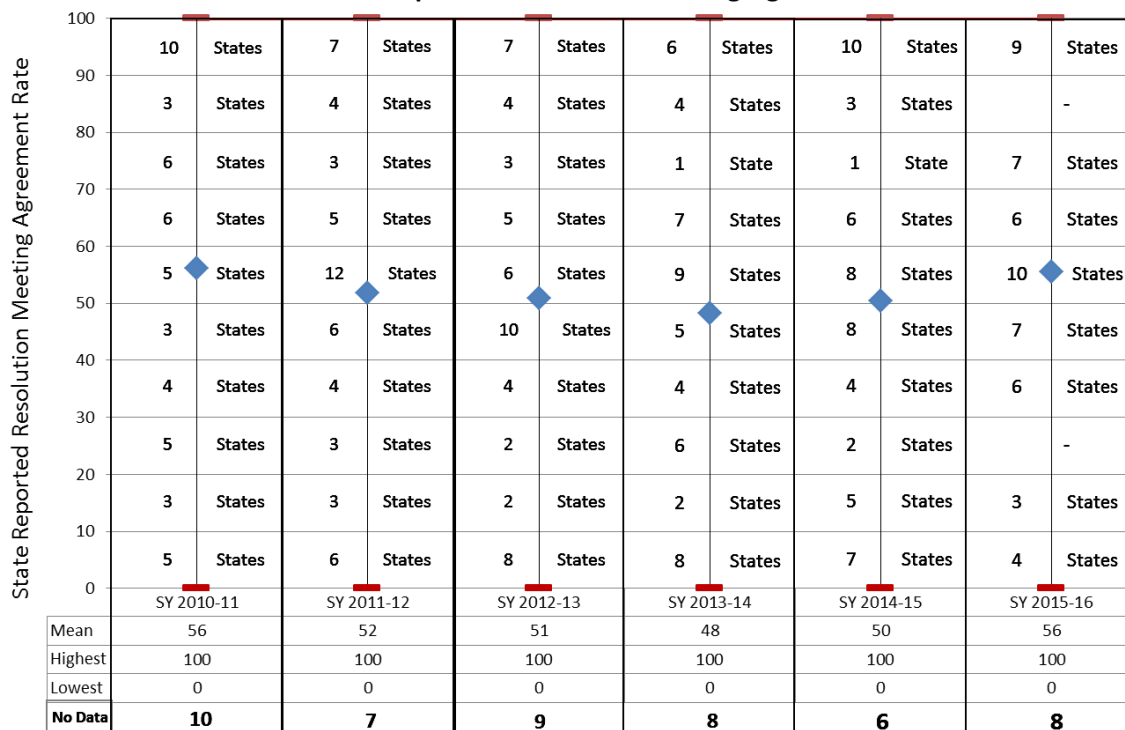
[2] The reporting period (July 1, 2015-June 30, 2016) began during FFY 2015.

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

The blue diamonds on each performance band in Figure 1 indicate the mean, or average, rate of agreement across states for that year.[4] The average state rate of performance for Indicator B15 across all states for the last six years is 52.2%. The average agreement rate for 2015-16 showed an increase at 56%.

Figure 1

Trends - Six Years of Indicator B15 Data:
State Reported Resolution Meeting Agreement Rate

	SY 2010-11		SY 2011-12		SY 2012-13		SY 2013-14		SY 2014-15		SY 2015-16	
90-100	10	States	7	States	7	States	6	States	10	States	9	States
80-90	3	States	4	States	4	States	4	States	3	States		-
70-80	6	States	3	States	3	States	1	State	1	State	7	States
60-70	6	States	5	States	5	States	7	States	6	States	6	States
50-60	5	States	12	States	6	States	9	States	8	States	10	States
40-50	3	States	6	States	10	States	5	States	8	States	7	States
30-40	4	States	4	States	4	States	4	States	4	States	6	States
20-30	5	States	3	States	2	States	6	States	2	States		-
10-20	3	States	3	States	2	States	2	States	5	States	3	States
0-10	5	States	6	States	8	States	8	States	7	States	4	States
Mean	56		52		51		48		50		56	
Highest	100		100		100		100		100		100	
Lowest	0		0		0		0		0		0	
No Data	**10**		**7**		**9**		**8**		**6**		**8**	

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

Of the 52 states reporting resolution meeting activity, 29 had established targets for 2015-16.[5] (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 35% to 90%, with only two states setting targets below 50%. Of the 29 states with established targets, only eight met their targets. However, of the 29 states with established targets, only 10 states performed below 50% agreement rate. This is a significant change from SY2014-15 data, which showed 42 states with set targets and 22 states meeting their target. This change can be attributed to states setting more ambitious targets than in previous years.

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[4] For this "average of state agreement rates", all states contribute equally to the calculation regardless of the level of activity.
[5] Thirteen states set ranges for their targets (e.g., 60% to 70%). CADRE selected the low end of the range for this analysis.
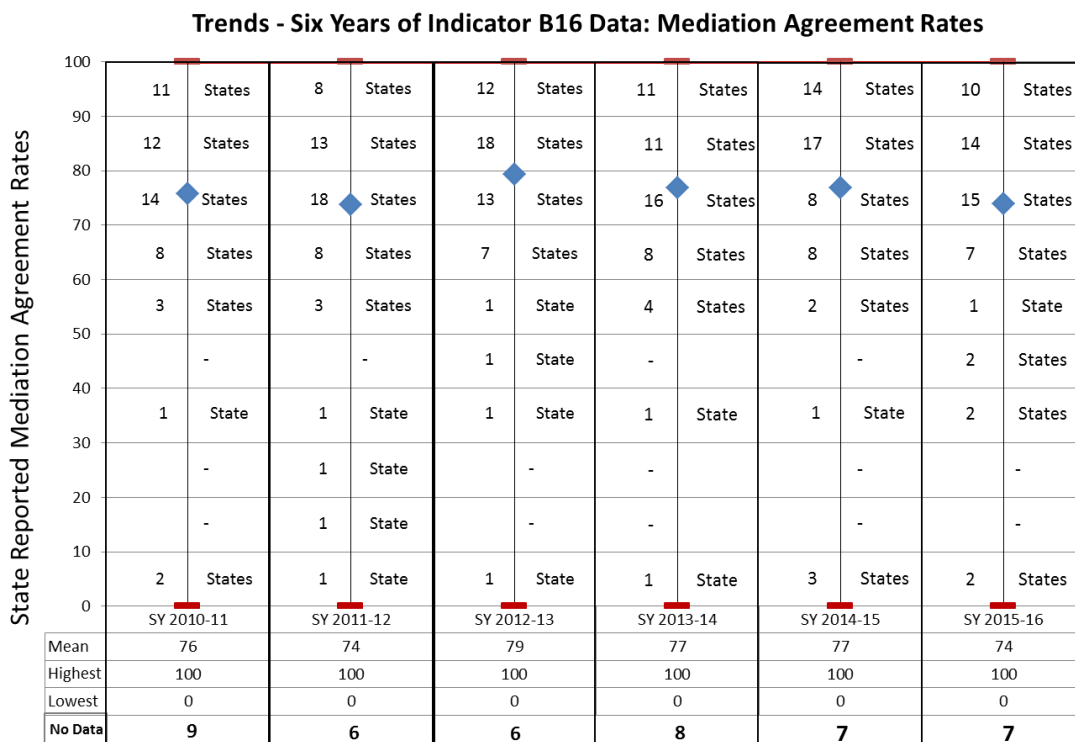
Indicator B16: Mediations Resulting in Written Agreements

Indicator B16 is a performance indicator that documents the percentage of mediations held that result in written agreements. Fifty-three states reported mediation activity in 2015-16. States are required to report all activity relating to Indicator B16, 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 2,200 mediations held. The seven entities that reported no mediation activity are all territories and 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 2015-16 was 74%. Performance on this Indicator has been steady over time, with rates averaging 76.1% over the past six years. In 2015-16, 39 states reported that 70% or more of mediations resulted in agreements. Six of those states reported mediation agreement rates of 100%.

Figure 2

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

State Reported Mediation Agreement Rates

Band	SY 2010-11		SY 2011-12		SY 2012-13		SY 2013-14		SY 2014-15		SY 2015-16	
100	11	States	8	States	12	States	11	States	14	States	10	States
90	12	States	13	States	18	States	11	States	17	States	14	States
80	14	States	18	States	13	States	16	States	8	States	15	States
70	8	States	8	States	7	States	8	States	8	States	7	States
60	3	States	3	States	1	State	4	States	2	States	1	State
50	-		-		1	State	-		-		2	States
40	1	State	1	State	1	State	1	State	1	State	2	States
30	-		1	State	-		-		-		-	
20	-		1	State	-		-		-		-	
0	2	States	1	State	1	State	1	State	3	States	2	States
Mean	76		74		79		77		77		74	
Highest	100		100		100		100		100		100	
Lowest	0		0		0		0		0		0	
No Data	**9**		**6**		**6**		**8**		**7**		**7**	

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

Thirty states set targets for 2015-16 with only two states setting targets below 57%. Sixteen states met their target, while fourteen states did not meet their target. State reported data from 2014-15 indicated 35 states met their target, while 9 states did not

meet their target. While this appears to be a significant change, overall state reported mediation agreement rates have remained consistently high. For 2015-16, only 4 of the 14 states that did not meet their established target reported agreement rates below 60%. Seven states/entities reported no mediation activity.

Conclusion

State reported mediation agreement rates continue to outperform those of resolution meeting agreement rates. While many factors influence state performance in resolution meeting agreement (e.g. numbers reported as "resolved without a hearing" may hide resolutions without a formal agreement), the consistently high performance in mediation agreement rates may indicate that the use of a neutral third party helps educators and families involved in a dispute successfully reach agreement.

INDICATOR 17: STATE SYSTEMIC IMPROVEMENT PLAN — Phase III
Prepared by the National Center for Systemic Improvement (NCSI) with support from the IDEA Data Center (IDC), the National Technical Assistance Center on Transition (NTACT) and the National Center on Educational Outcomes (NCEO).

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 on or before April 1, 2015, Phase II was submitted by states on or before April 4, 2016 and Phase III, which is analyzed here, was due to OSEP by April 3, 2017.

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. Subsequently, as was true for Phases I and II, states were expected to engage stakeholders and provide descriptions of their involvement in developing and implementing Phase III of the SSIP.

This report is based on information included in the Phase III 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), in Phase III each state must assess and report on its progress in implementing the SSIP, consistent with its evaluation described in Phase II.

The following are the reporting requirements for Indicator 17 (SSIP) as set forth in the FFY 2015 Part B Indicator Measurement Table:

- Baseline data must be established by each state (expressed as a percentage) and aligned with the State-identified Measurable Result for Children with Disabilities (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 III report must include the following:
  - Data and analysis on the extent to which the state has made progress toward and/or met the state-established short- and long-term objectives for implementation of the SSIP.
  - Data and analysis on the state's progress in achieving the SIMR.

- If the state intends to continue implementing the SSIP without modifications, the state must describe how the data from the evaluation support this decision.
- A rationale for any revisions that have been made in the SSIP, or revisions the state plans to make, in response to evaluation data, and a description of how stakeholders were included in the decision-making process.

REVIEW PROCESS

A review protocol and a writing process were developed to systematically and consistently analyze the Phase III SSIPs submitted by all 60 Part B states. A data collection tool was created based on OSEP's State Phase III Report Organizational Outline. The review team consisted of 13 individuals from the NCSI, IDC, NTACT and NCEO technical assistance centers as primary coders, who each reviewed up to five state SSIPs and coded them using a data collection tool developed by NCSI. Prior to the reviews, three reliability trainings were held for all individuals who would be involved in scoring or conducting reliability tests, with data collected to determine a reliability rating of at least 80% agreement among reviewers on each of the coded choice questions. To further ensure reliability among reviewers during the data collection phase, two additional reliability checkers were assigned to conduct a review of randomly selected states and items following the individual reviews. Their results were compared to the results of the primary coder to establish an inter-rater reliability of 87% (see Appendix 1). An additional review was conducted to ensure that all reviewer responses were entered accurately into the data collection tool. Following this, an item-by-item review was conducted to ensure that all items had an accurate number of responses.

The data collection tool team created categories of "could not tell," "did not describe," and "not applicable (N/A)" for questions in the data collection tool for items that states were not required to answer or necessarily address in their SSIP reports. 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 response options. After reviews were completed for all 60 states, a writing team from NCSI analyzed the data from the reviews and prepared this report.

This analysis of the Part B Phase III SSIPs follows OSEP's State Phase III Report Organizational Outline and is divided into sections addressing the elements which states were asked to report on. These include: progress in implementing the SSIP, data on implementation and outcomes, data quality issues, progress toward achieving intended improvements, and plans for next year. The report also provides 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 and II SSIPs. The *n* size for all data, figures, and tables is 60 unless otherwise noted.

SIMR AND PHASE II REVISIONS

As states moved into the implementation stages of their SSIPs, some found it necessary or advisable to revise their Phase II plans, including, in some instances, the SIMR. For reference, 35 states have a reading SIMR, 15 have graduation/post-school

outcomes SIMR, seven have a math SIMR, two states have an early childhood outcomes SIMR, and one state has a combined reading and math SIMR.

Eleven states out of 60 (18%) indicated revising the SIMRs reported in Phase I or Phase II. Of the 11 SIMRs revised, nine (82%) are reading SIMRs, one (9%) is a math SIMR, and one (9%) is a reading/math SIMR.
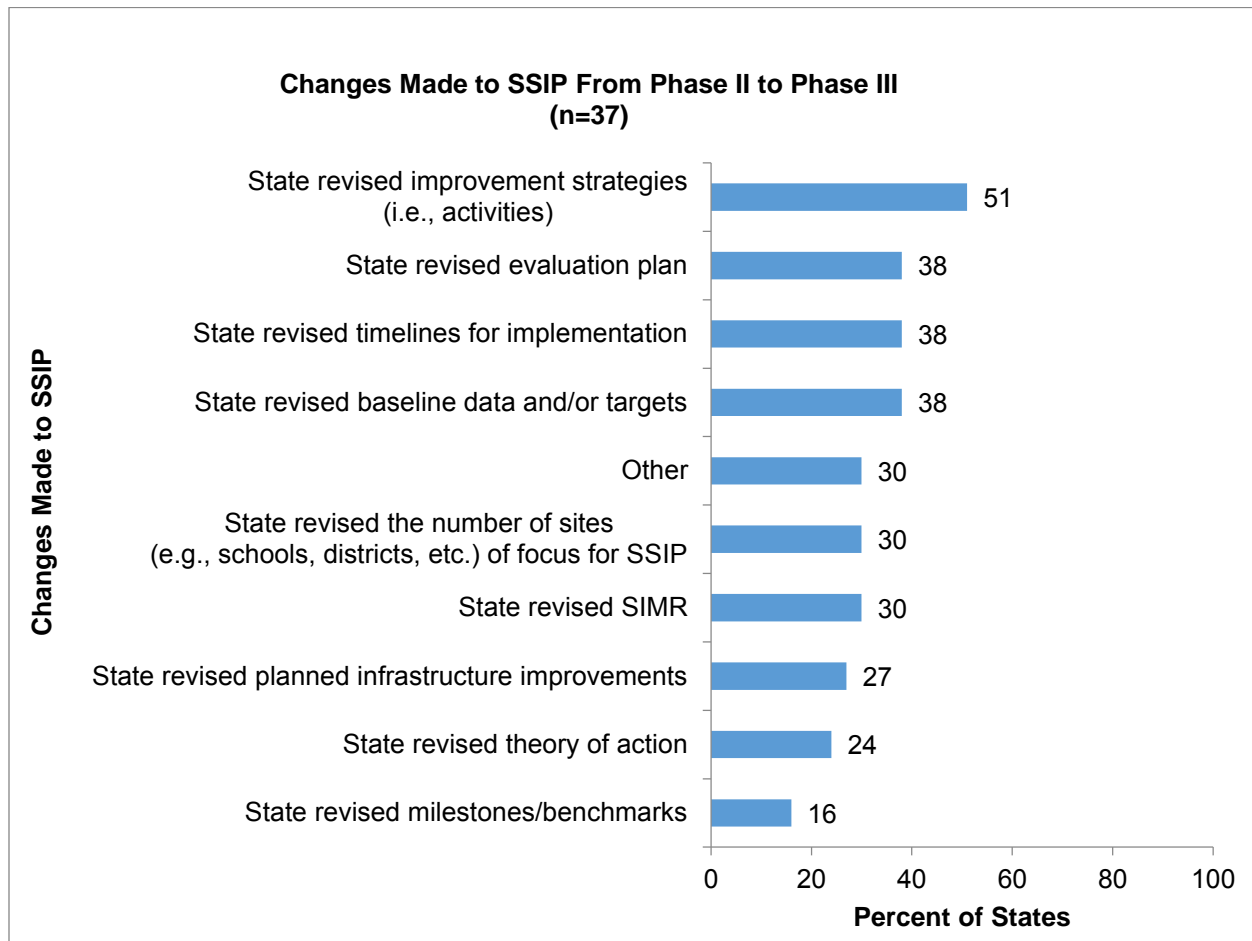
The following are examples of the rationales that states provided for revising their SIMRs:

- broadening the SIMR to include all students with disabilities,
- change in leadership and capacity at SEA and change in state's vision,
- expanding SIMR due to OSEP's recommendation, and
- changes in assessment procedures.

In addition, 16 states (27%) revised their SIMR baselines and 15 (25%) revised their targets. (It should be noted that not all states that revised their baselines revised their targets, or vice versa; therefore, the same 15 states did not necessarily revise both baselines and targets.) As a result, although 29 states (48%) reported meeting targets (progress over last year when 27 states (45%) reported meeting targets), conclusions cannot 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 modifications to their Phase II reports. The most common change involved revisions to improvement strategies (19 of 37 states, 51%). Revised baselines or targets, revised timelines for implementation, and revisions to the evaluation plan were the next most commonly noted modifications (each were noted by 14 of 37 states, 38%). Changes to the SIMR and a revised number of sites of focus for the SSIP were noted by 11 states each (30%). See Figure 1.

Figure 1

Changes Made to SSIP From Phase II to Phase III
(n=37)

Changes Made to SSIP	Percent of States
State revised improvement strategies (i.e., activities)	51
State revised evaluation plan	38
State revised timelines for implementation	38
State revised baseline data and/or targets	38
Other	30
State revised the number of sites (e.g., schools, districts, etc.) of focus for SSIP	30
State revised SIMR	30
State revised planned infrastructure improvements	27
State revised theory of action	24
State revised milestones/benchmarks	16

STAKEHOLDER INVOLVEMENT IN SSIP PHASE III

States were asked to provide a description of how stakeholders had been engaged in Phase III of the SSIP, including their involvement in decision-making regarding revisions, implementation, and evaluation. The following descriptors of stakeholder involvement used in this analysis–*informing, networking, collaborating and transforming*–are based on work from *Leading by Convening* (Cashman, Linehan, Purcell, Rosser, Schultz, & Skalski, 2014) (see Appendix 2). These levels are hierarchical in nature, although, depending on the purpose for the engagement, one level of engagement is not necessarily more valued over another. In addition, states may have engaged stakeholders in the SSIP for a particular purpose at more than one level and thus the numbers in the charts are not equal to the *n* size.

Stakeholder Involvement in Revisions to the SSIP

A review of the SSIPs indicated that of the 37 states (62%) that revised their SSIPs for Phase III, 30 (81%) of these states described ways in which they engaged stakeholders. Over half engaged stakeholders through *networking* (20 states, 67%) in a two-way communication. Almost as frequently, 17 of the 30 states (57%) were identified as
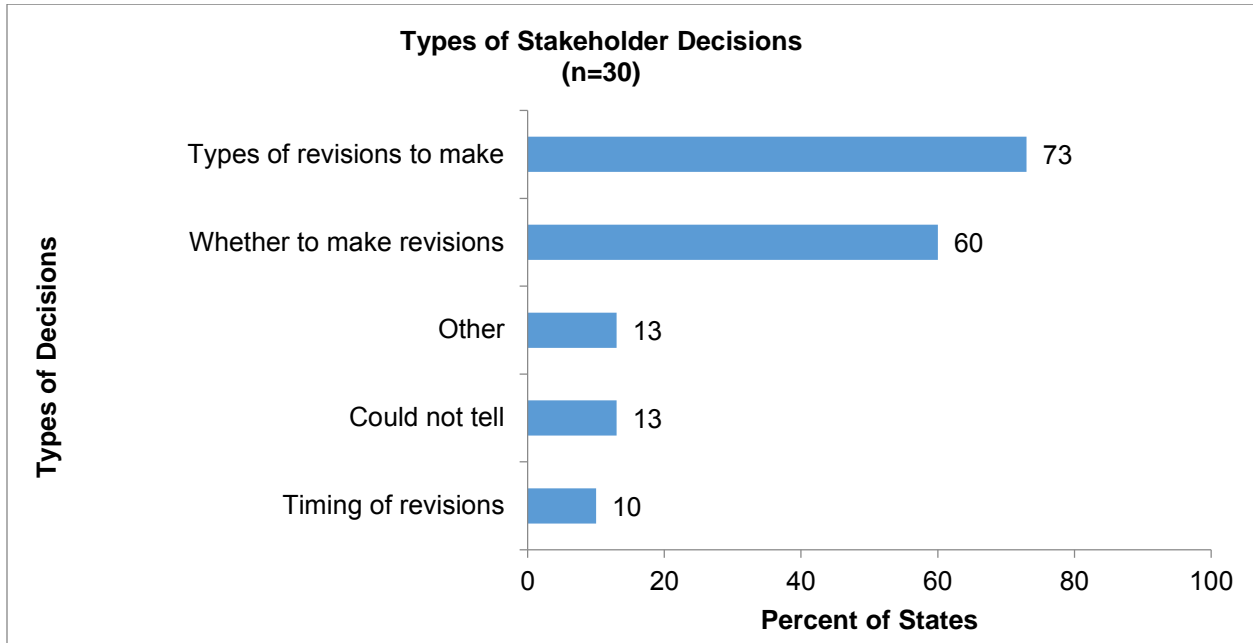
collaborating with their stakeholders, engaging together more deeply over time than through networking. The third most frequent type of engagement that occurred was *informing* or sharing/disseminating information through a one-way communication from the SEA to stakeholders (12 states, 43%). *Transforming* was less frequently identified, with eight states (27%) having engaged stakeholders as equal partners in the decision-making that occurred to revise the SSIP for Phase III. See Figure 2.

Figure 2
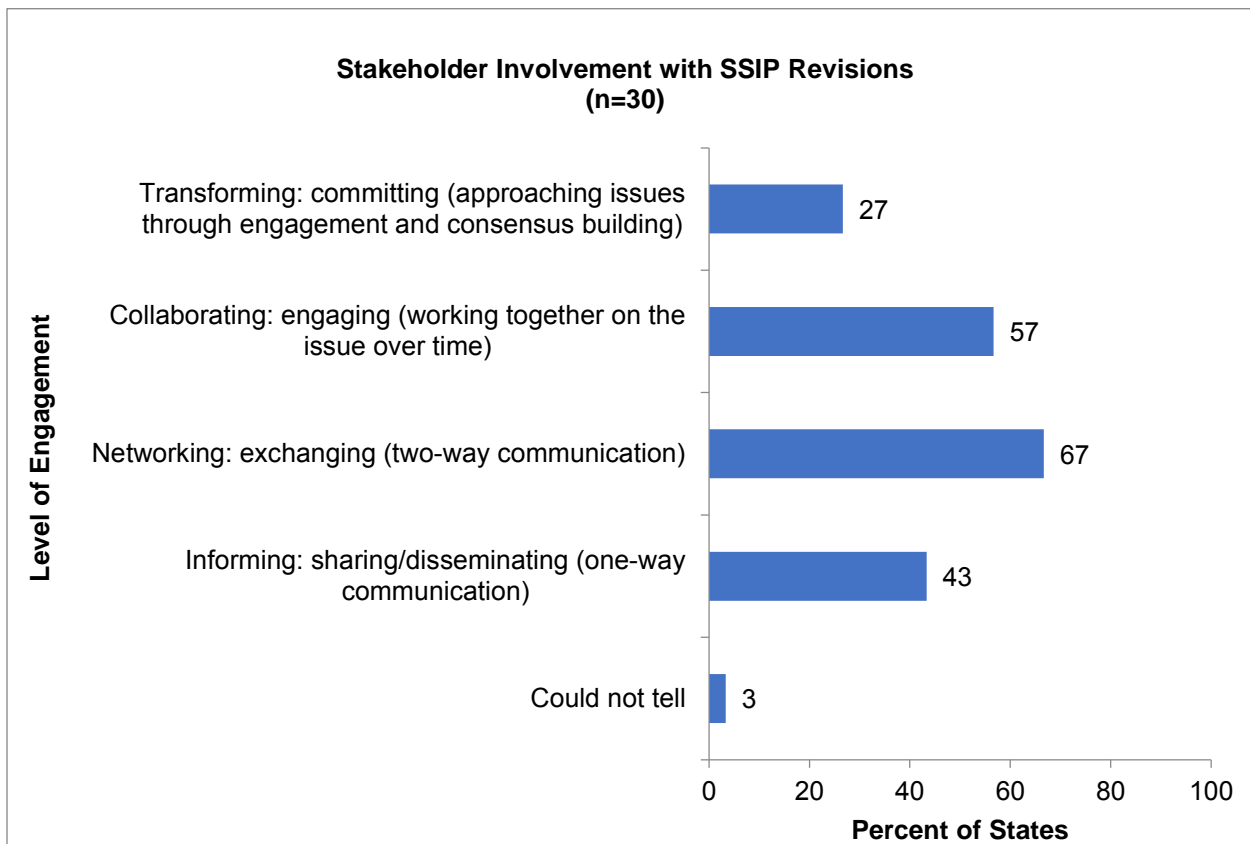
The 30 of 37 states that described stakeholder engagement in the process of making revisions to their SSIPs reported various types of decisions that stakeholders were asked to make. Foremost were decisions on the types of revisions to make in the SSIP (22 states, 73%), followed in frequency by decisions of whether to make revisions (18 states, 60%), and thirdly, decisions regarding the timing of revisions (3 states, 10%). See Figure 3.

Figure 3

Types of Stakeholder Decisions
(n=30)

Types of revisions to make — 73
Whether to make revisions — 60
Other — 13
Could not tell — 13
Timing of revisions — 10

Y-axis: **Types of Decisions**
X-axis: **Percent of States** (0, 20, 40, 60, 80, 100)

Examples of "other" types of decisions states noted included expanding the implementation of the SSIP and developing a new theory of action.
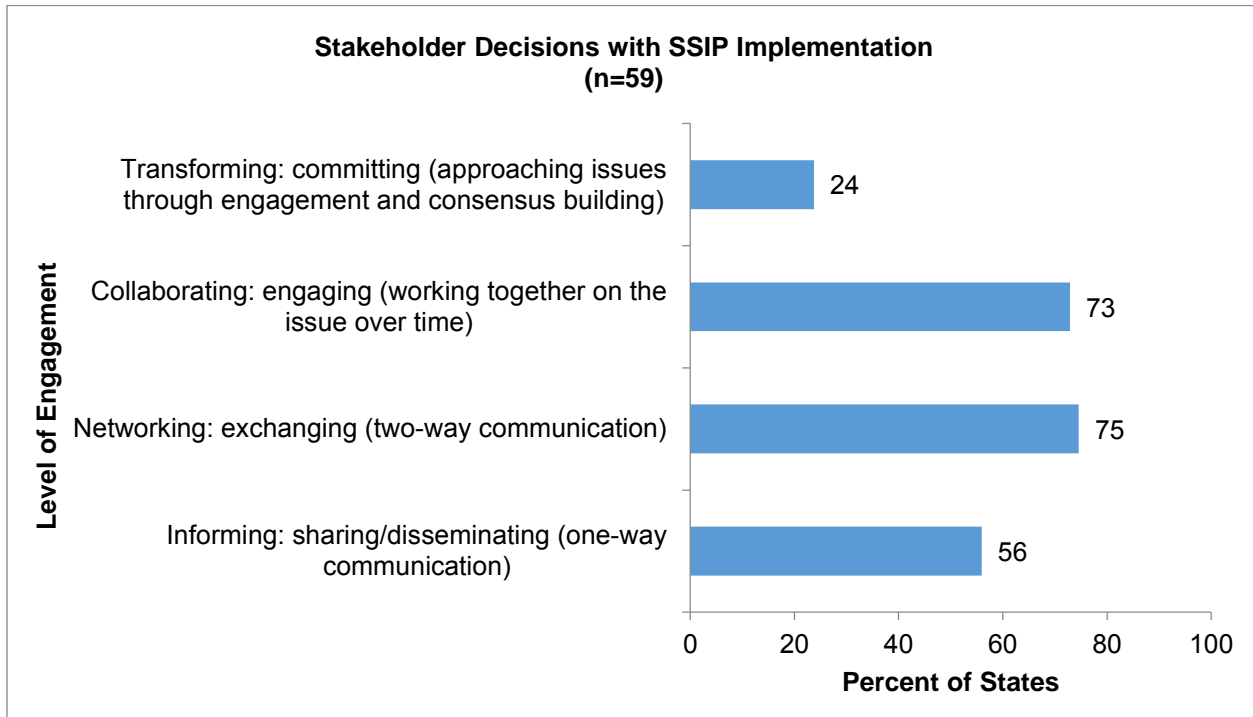
Stakeholder Involvement in SSIP Implementation
The vast majority of states described how stakeholders were informed of the ongoing implementation of the SSIP (58 states, 97%). Providing updates at in-person meetings was the most commonly noted means of disseminating this information to stakeholders (51 states, 88%). Additionally, states shared implementation information through virtual convenings such as webinars (22 states, 38%), postings on websites (17 states, 29%), newsletters (16 states, 28%), and the use of infographics (9 states, 16%). States also reported using other forms of dissemination, such as inviting stakeholders to serve on workgroups, crafting email communications and supplying t-shirts, as well as providing public service announcements. See Figure 4.

Figure 4

Manner of Informing Stakeholders of SSIP Implementation (n=58)
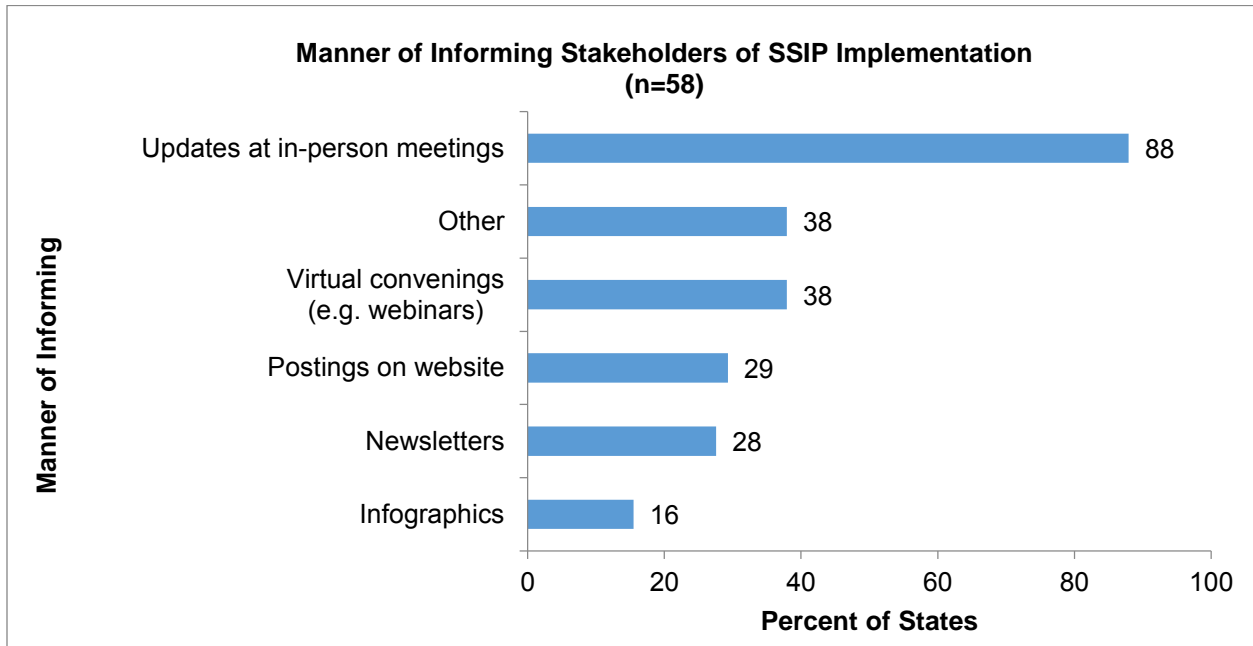
Fifty-nine states (98%) provided a description of stakeholder involvement in decision-making concerning the implementation of the SSIP, and most of those states engaged with stakeholders through *networking* opportunities (44 states out of 59, 75%). *Collaborating* engagements were noted the next most frequent (43 states, 73%), with *informing* (33 states, 56%) and *transforming* engagements (14 states, 24%) also used with stakeholders in decisions regarding implementation. See Figure 5.

Figure 5

States involved stakeholders in decision-making about the implementation of the SSIP in a variety of ways. States solicited information from stakeholders and gathered their responses through verbal (51 states, 86%) and written methods (27 states, 46%). States also reported the use of observational data from stakeholders to inform decision-making (9 states, 15%) and having stakeholders, rather than state staff, gather information to inform decision-making (17 states, 29%). See Figure 6.

Figure 6

Types of Stakeholder Decisions
(n=59)
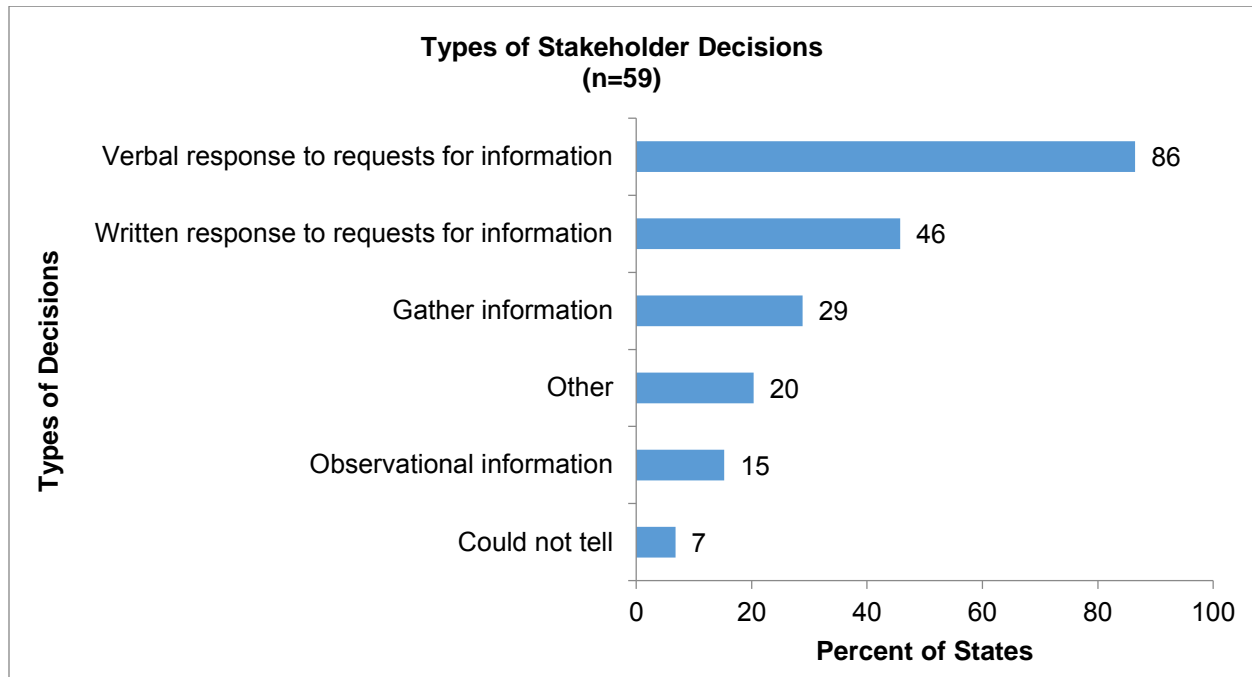
Twelve states (20%) used other means to engage stakeholders, including:

- assigning responsibilities to stakeholders for parts of strategies and for conducting evaluations,
- using the *Leading by Convening* (Cashman, et al., 2014) process to guide work with stakeholders, and
- recognizing stakeholders throughout and in an on-going manner with the feedback loops ingrained in the business practices of the state.

Stakeholder Involvement in Ongoing Evaluation of the SSIP
Fifty-seven states (95%) reported informing stakeholders about the ongoing evaluation of the SSIP. Most of this information was shared through updates at in-person meetings (48 states, 84%). Virtual convenings, such as webinars, were used by 14 states (25%), and website postings and newsletters were utilized by eight states (14%). An array of other means was noted by 21 states (37%), such as having stakeholders collect and report on data, providing written evaluation reports or evaluation memorandums, using routines at the school and complex level to facilitate dialogues with stakeholders, using established feedback loops, and making informal calls. The use of emails and implementation of a communication plan were also mentioned by several states as methods for informing stakeholders about the ongoing evaluation of the SSIP. See Figure 7.

Figure 7

How Stakeholders Were Informed of Ongoing SSIP Evaluation (n=57)
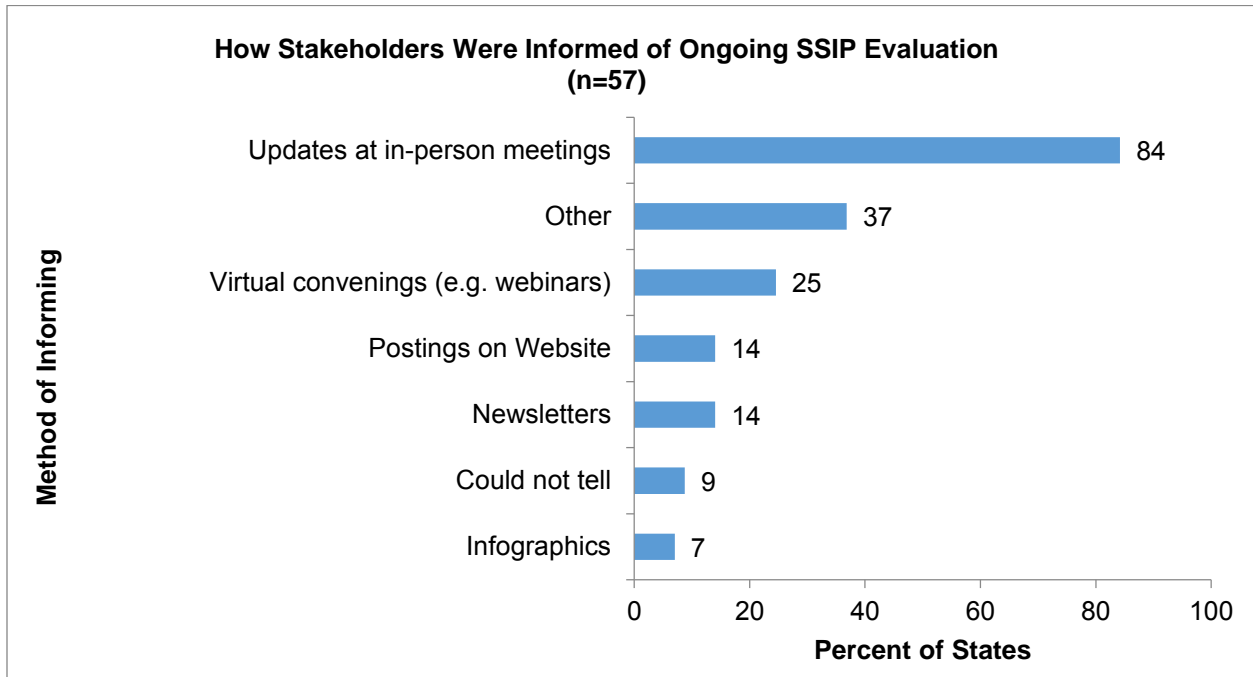
Fifty-six states (93%) reported having stakeholders contribute to the decision-making in the ongoing evaluation of the SSIP. *Networking,* or the use of two-way communication, was most frequently evidenced in states' SSIPs (40 states, 71%). Yet, a majority of states (34 states, 61%) engaged in the deeper level of engagement – *collaboration*. In 28 states (50%) the nature of stakeholder engagement in the SSIP evaluation was characterized as *informing* and in 13 states (23%) as *transforming*. See Figure 8.
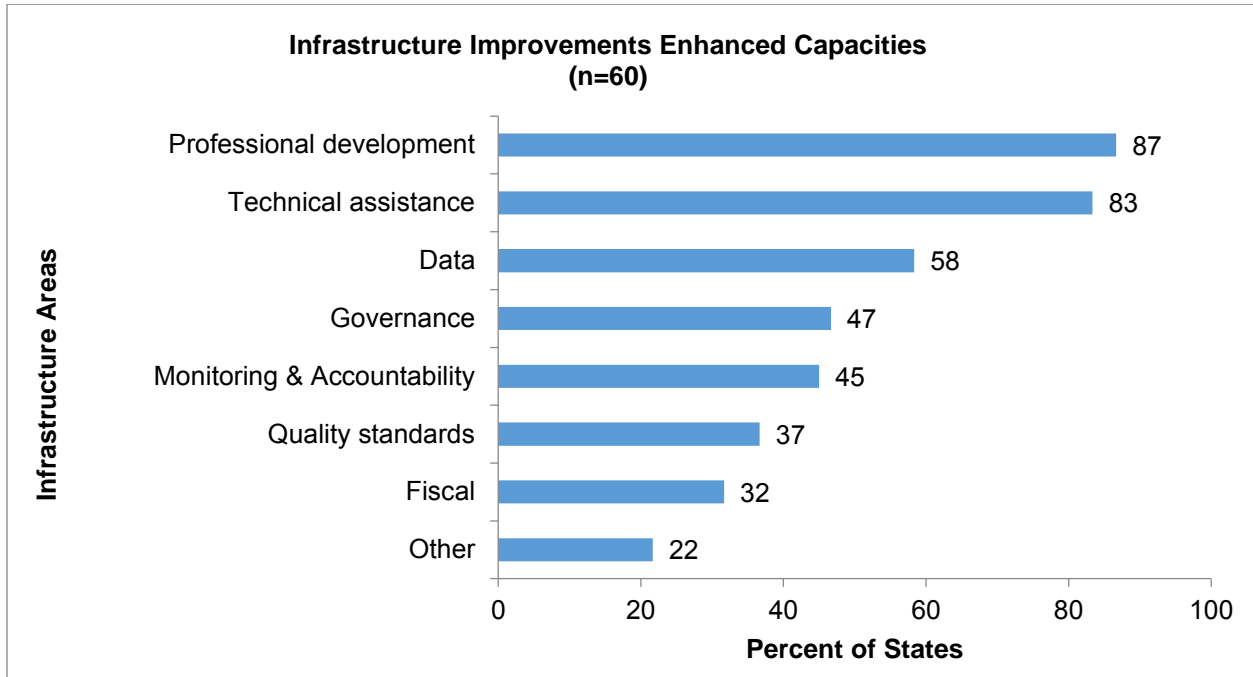
Figure 8

Nature of Stakeholder Involvement
(n=56)
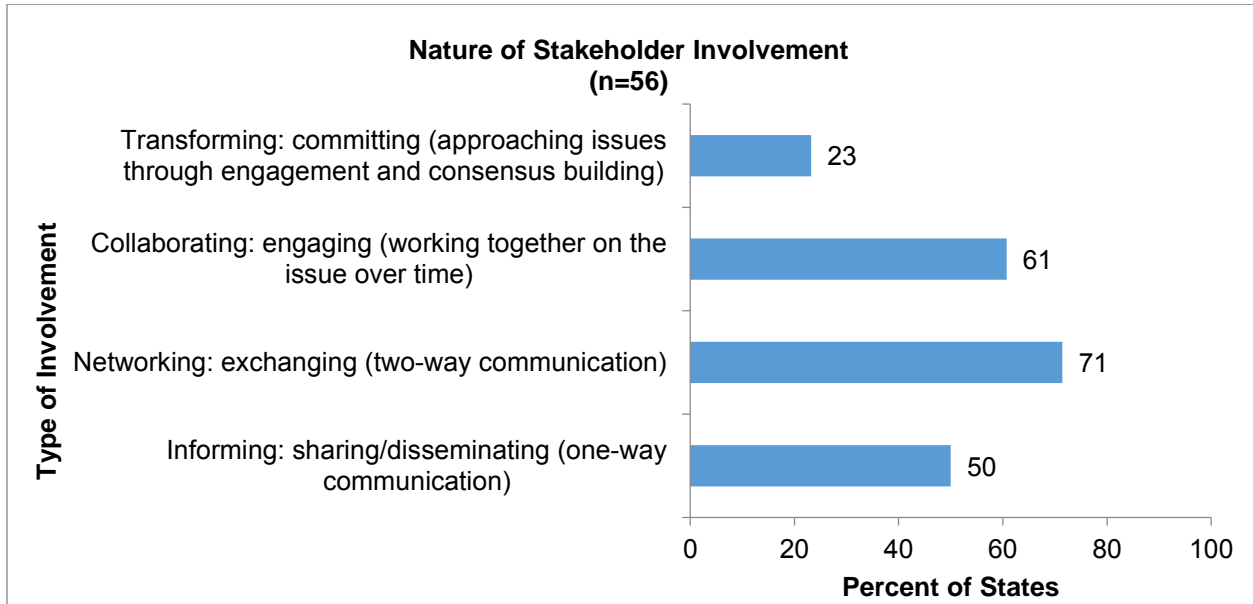
PROGRESS IN IMPLEMENTING THE SSIP

In their Phase III submissions, all states described specific infrastructure improvements that have been implemented to date. During Phase I, states were asked to analyze aspects of their infrastructure, including professional development (PD), technical assistance (TA), monitoring/accountability, governance, data, fiscal, and quality standards systems. In Phase II, states identified infrastructure improvements that would support LEA implementation and scale-up of EBPs to improve SIMRs. In Phase III, the states reported on their progress with implementation of these infrastructure improvements.

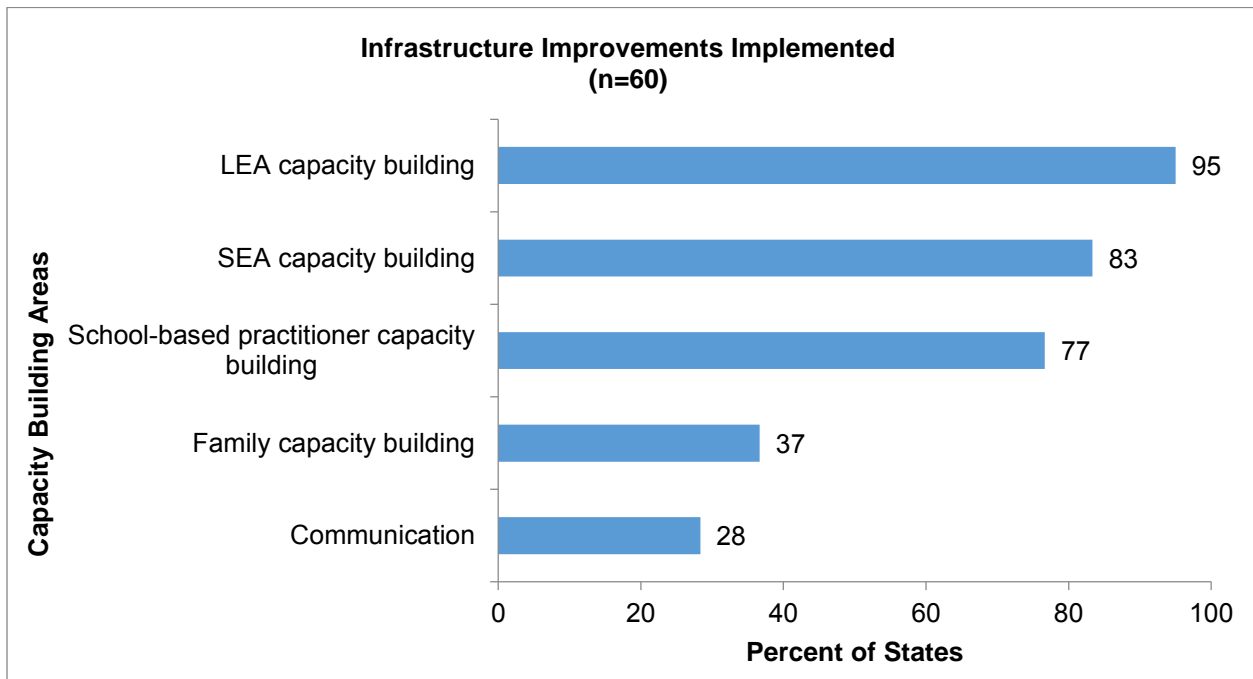**Infrastructure Improvements**

This year's analysis revealed that most state infrastructure improvements were intended to enhance capacity in the areas of professional development (52 states, 87%) and technical assistance (50 states, 83%). More than half of states (35 states, 58%) noted data-related infrastructure improvements. Improvements to monitoring and accountability and governance were addressed by just less than half of the states (27 states, 45% and 28 states, 47%, respectively). Quality standards (22 states, 37%), and fiscal (19 states, 32%) infrastructure improvements were less often reported as being addressed. While 13 states (22%) reported implementing other infrastructure improvements, an analysis of these responses indicated that most were in one of these areas. See Figure 9.

Figure 9

Infrastructure Improvements Enhanced Capacities
(n=60)

Professional development — 87
Technical assistance — 83
Data — 58
Governance — 47
Monitoring & Accountability — 45
Quality standards — 37
Fiscal — 32
Other — 22

Infrastructure Areas (y-axis)
Percent of States (x-axis)

States reported on capacity building efforts for a number of different audiences. Most states (57 states, 95%) reported on improvements designed to enhance the capacity of LEAs, and 50 states (83%) implemented infrastructure improvements aimed at improving the capacity of the SEA. Forty-six states (77%) focused on building the capacity of school-based practitioners and 22 states (37%) addressed families. Seventeen states (28%) reported efforts to build communication capacity. See Figure 10.

Figure 10

Infrastructure Improvements Implemented
(n=60)

Capacity Building Area	Percent of States
LEA capacity building	95
SEA capacity building	83
School-based practitioner capacity building	77
Family capacity building	37
Communication	28

Meeting Milestones

Most states (56 states, 93%) described the extent to which they met intended milestones or benchmarks set in Phase II. For purposes of this analysis, reviewers were provided with the following categories to indicate the extent to which intended milestones were met: most to all (90-100%); many (50-89%); some (20-49%); and few to none (0-19%). Approximately half of the states (30 of 56 states, 54%) described having met most to all their timelines for activities intended to be accomplished by the date of reporting. An additional 14 states (25%) met many of the timelines they had established for themselves. A small number of states (2 states, 4%) reported having met few to none of their timelines. For three states (5%) this information could not be ascertained from a review of their Phase III SSIP. See Figure 11.

Figure 11

Meeting Timelines for Implementation Activities
(n=56)
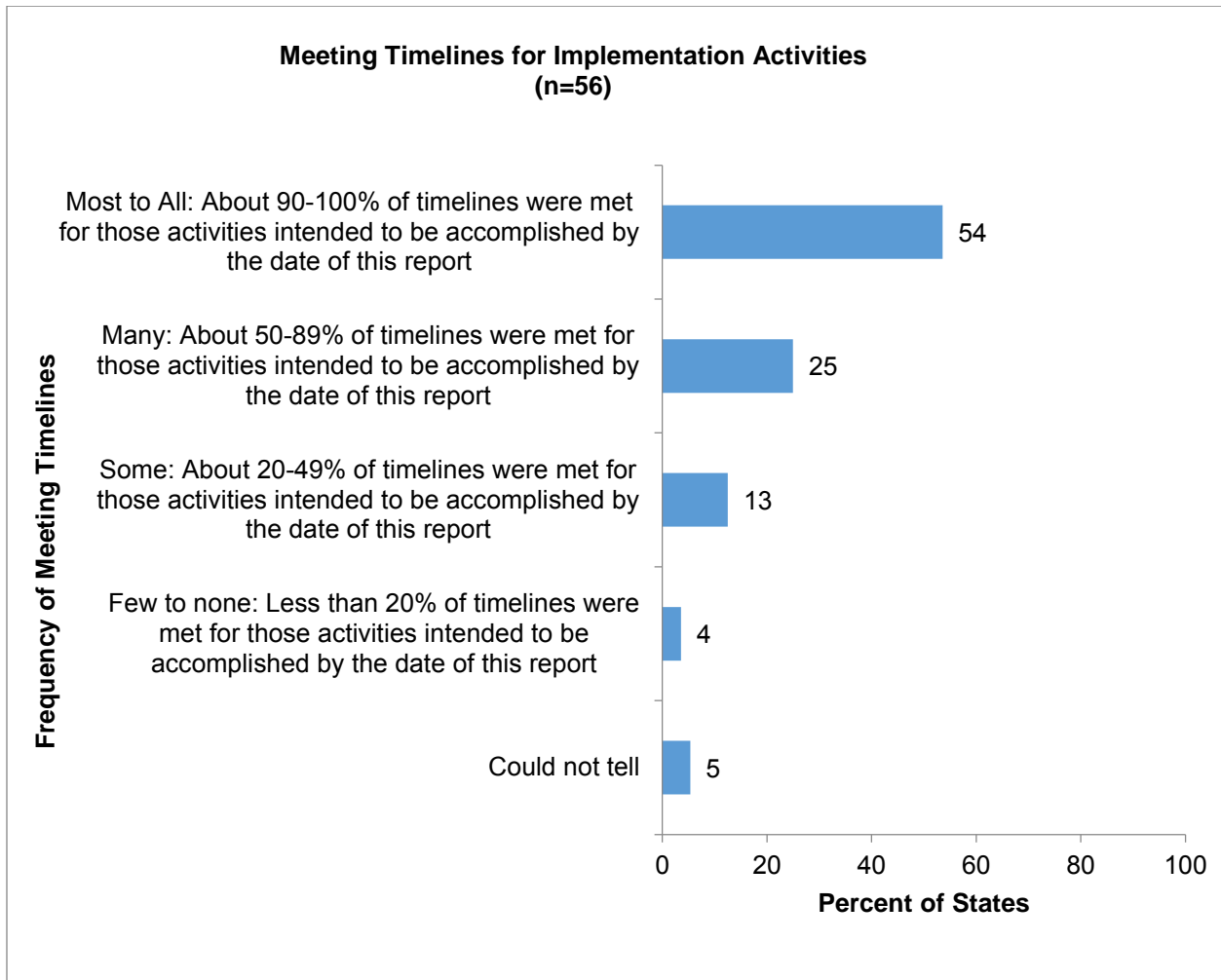
Implementation of Evidence-based Practices

Fifty-six states (93%) reported on their progress in implementing EBPs. While the majority of states (37 states, 66%) had other EBP, the most commonly cited EBP across all SIMRs was a Multi-Tiered System of Support (MTSS) (31 states, 55%). Positive Behavior Intervention and Supports (PBIS) was the next most frequently reported practice by 18 states (32%). The uses of Universal Design for Learning (UDL) and inclusive practices were identified by 12 and 11 states, respectively (21%, 20%). Four states (7%) reported using the Division of Early Childhood recommended practices. The Center for Social and Emotional Foundations for Early Learning (CSEFEL) Pyramid model was used by four states (7%). Also, four other states (7%) identified implementation of an early warning system for school failure, with two states (4%) identifying connections with adult service providers. See Figure 12.

Figure 12

**EBPs Implemented and Used by States in their SSIP
(n=56)**
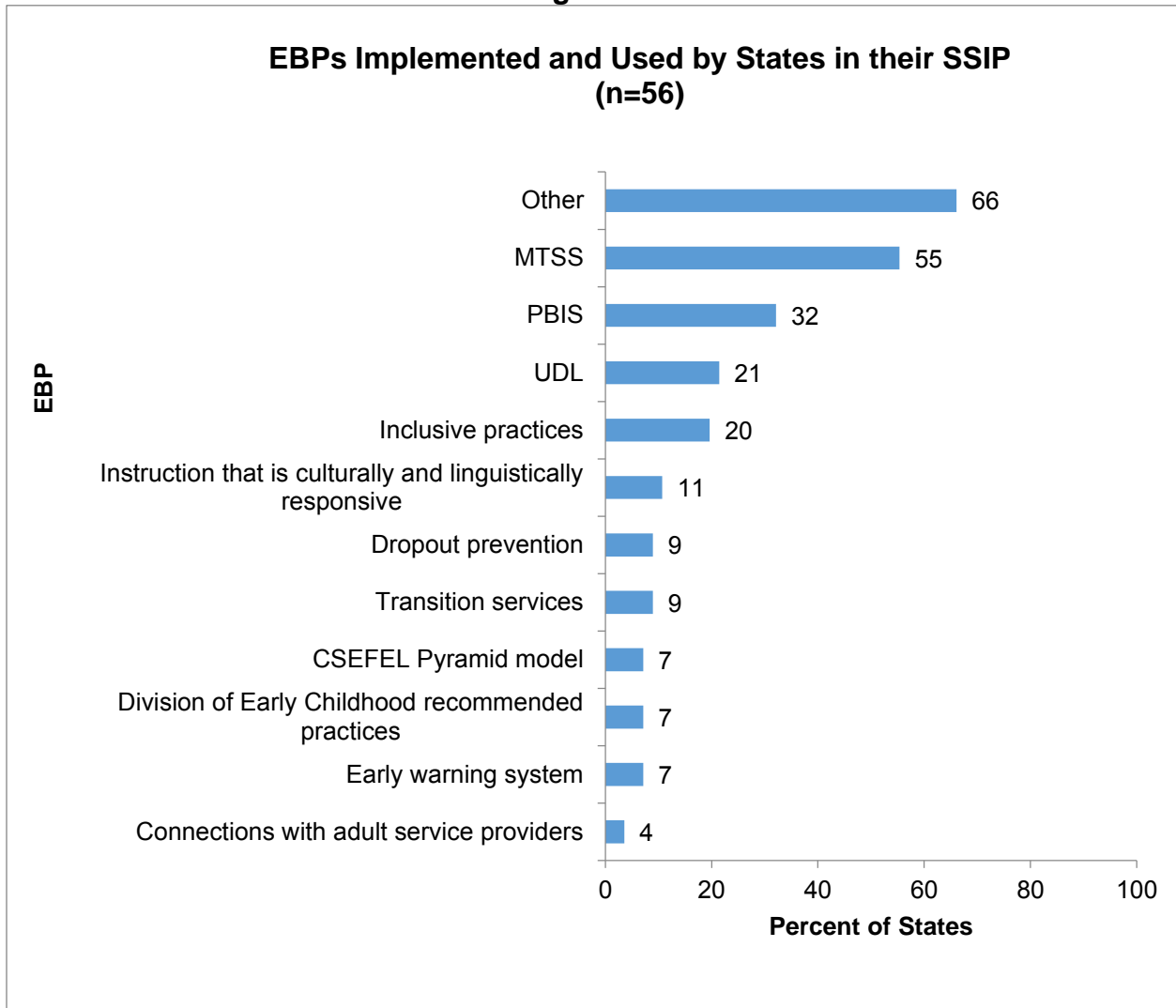
A review of the SSIPs by SIMR revealed that states identified a multiplicity of interventions they identified as EBPs. Both states with Early Childhood Outcomes SIMRs utilized the CSEFEL Pyramid model and one state was identified as using early childhood PBIS.

Of the 15 states with a Graduation/Post School Outcomes SIMR, the following were all reported as EBPs: MTSS (7 states, 47%), PBIS (6 states, 40%), dropout prevention (4 states, 27%), early warning systems (3 states, 20%), transition services (3 states, 20%), inclusive practices (2 states, 13%), UDL (1 state, 7%), connections with adult service providers (1 state, 7%), and CSEFEL Pyramid model (1 state, 7%). See Figure 13.

Figure 13

EBPs Implemented Through the SSIP for Graduation Post School Outcomes SiMR States (n=15)
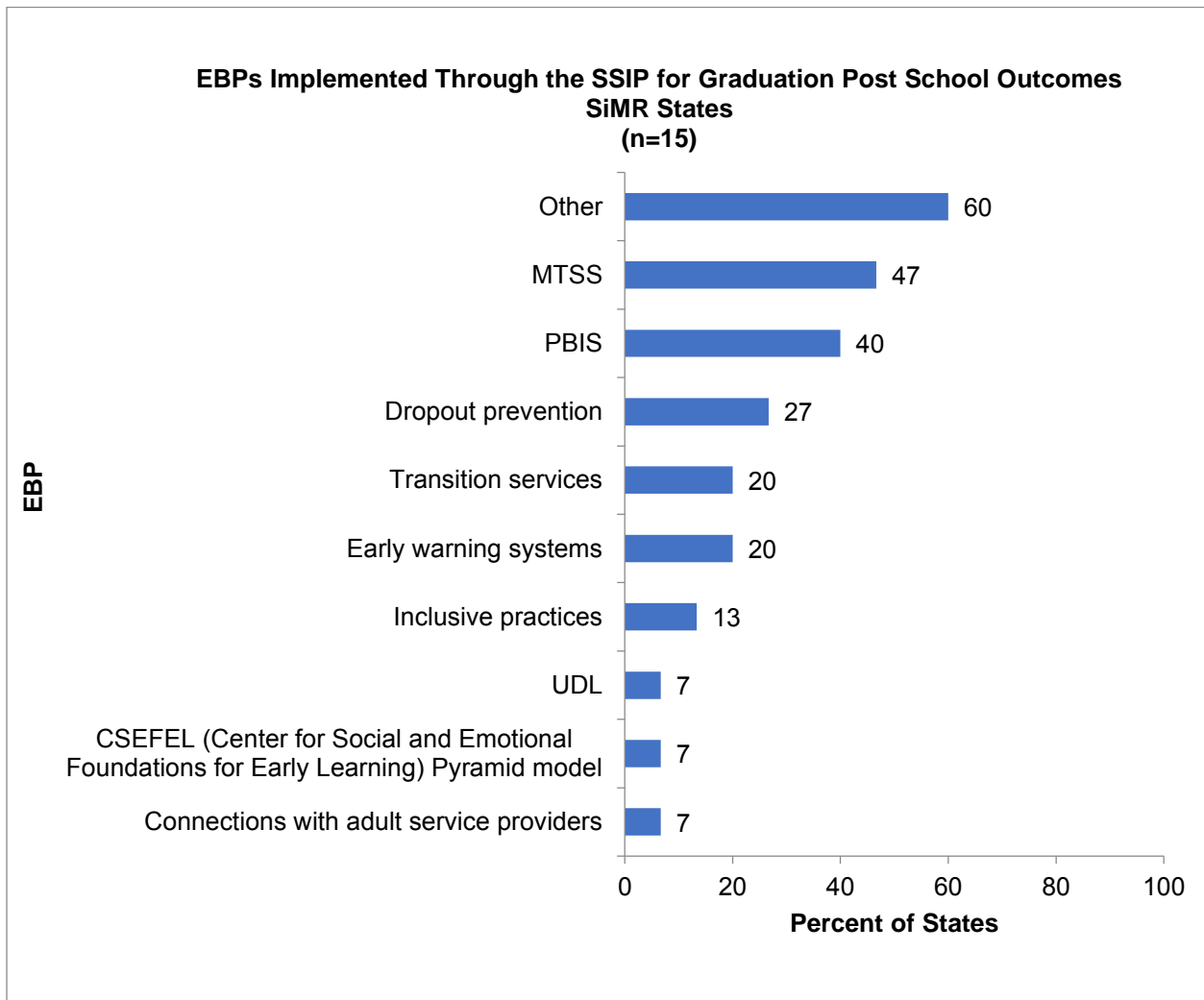
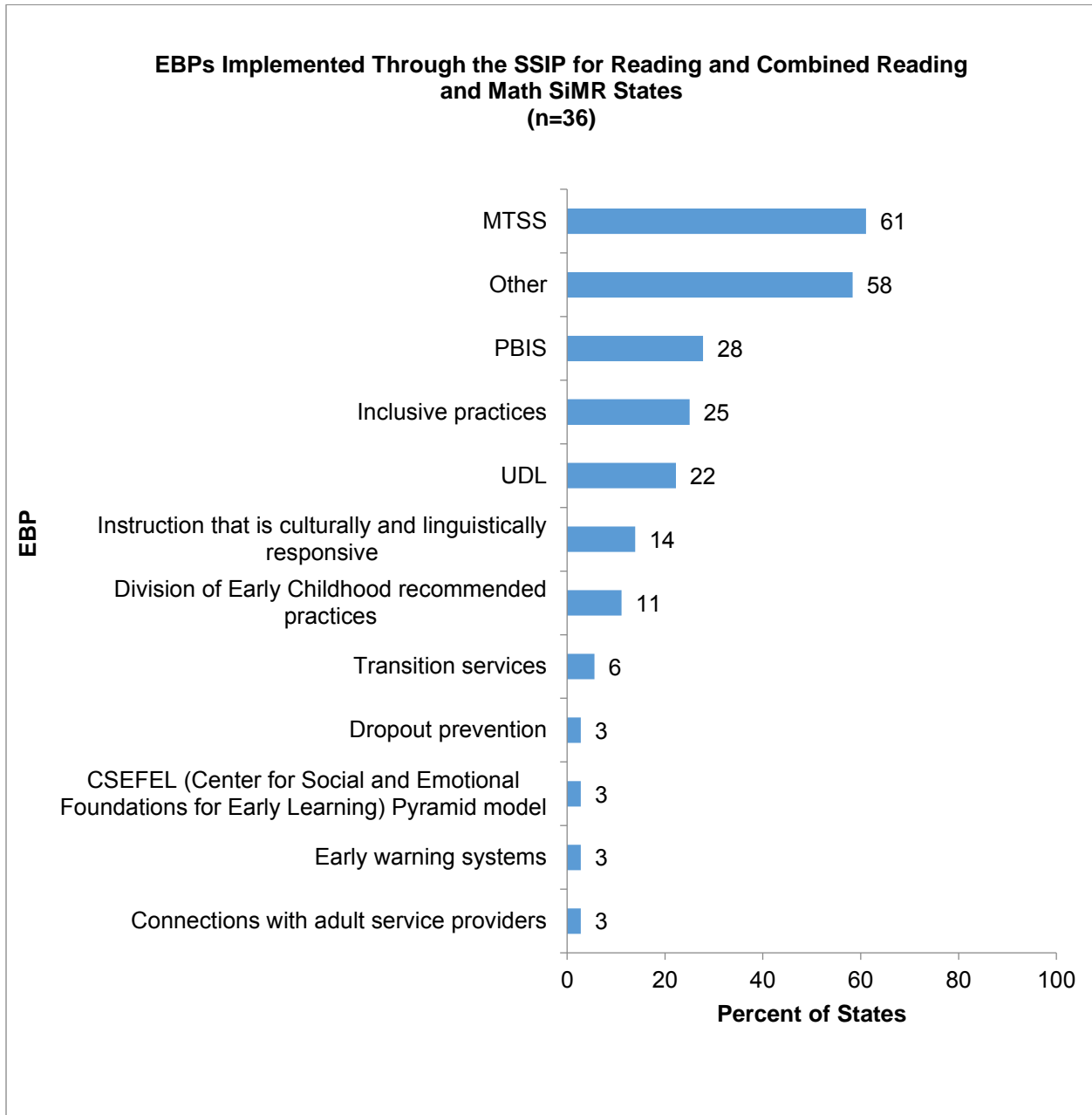Among some of the other interventions that states with this SIMR identified as EBPs were:

- implementation science
- coaching
- co-teaching approaches
- functional behavior assessments (FBA) prior to behavioral intervention plans (BIP)
- Prevent-Teach-Reinforce (PTR)
- math and reading interventions

The 35 states with a reading SIMR and the one state with a combined math and reading SIMR identified MTSS (22 states, 61%) as the most frequently cited EBP. Around a quarter of these states utilized PBIS (10 states, 28%), inclusive practices (9 states, 25%), and UDL (8 states, 22%). Several states also identified instruction that is

culturally and linguistically responsive (5 states, 14%), Division of Early Childhood recommended practices (4 states, 11%), and transition services (2 states, 6%) as EBPs. See Figure 14.

Figure 14

EBPs Implemented Through the SSIP for Reading and Combined Reading and Math SiMR States
(n=36)

EBP	Percent of States
MTSS	61
Other	58
PBIS	28
Inclusive practices	25
UDL	22
Instruction that is culturally and linguistically responsive	14
Division of Early Childhood recommended practices	11
Transition services	6
Dropout prevention	3
CSEFEL (Center for Social and Emotional Foundations for Early Learning) Pyramid model	3
Early warning systems	3
Connections with adult service providers	3

A variety of other EBPs were utilized in states with a reading and a combined reading and math SIMR. See Table 1.

Of the seven states with math SIMRs, UDL (3 states, 43%), MTSS (2 states, 29%), and PBIS (2 states, 29%) were most frequently identified as the EBPs used to address this SIMR. See Figure 15.

Figure 15
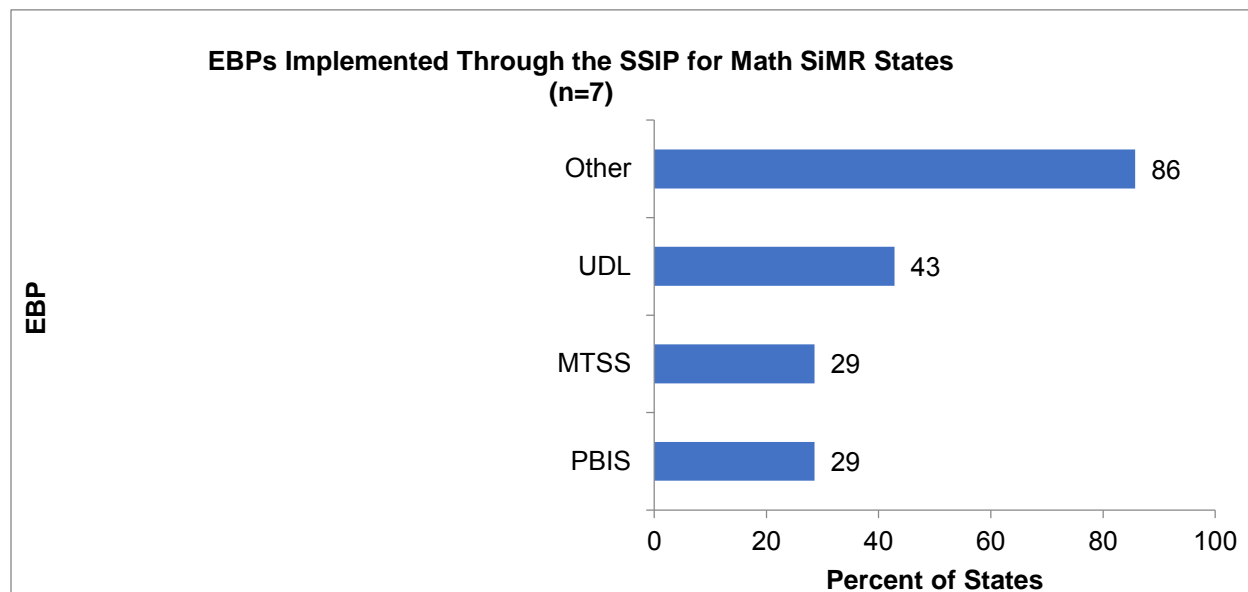
Several other EBPs were utilized in states with a math SIMR. See Table 1.

Table 1

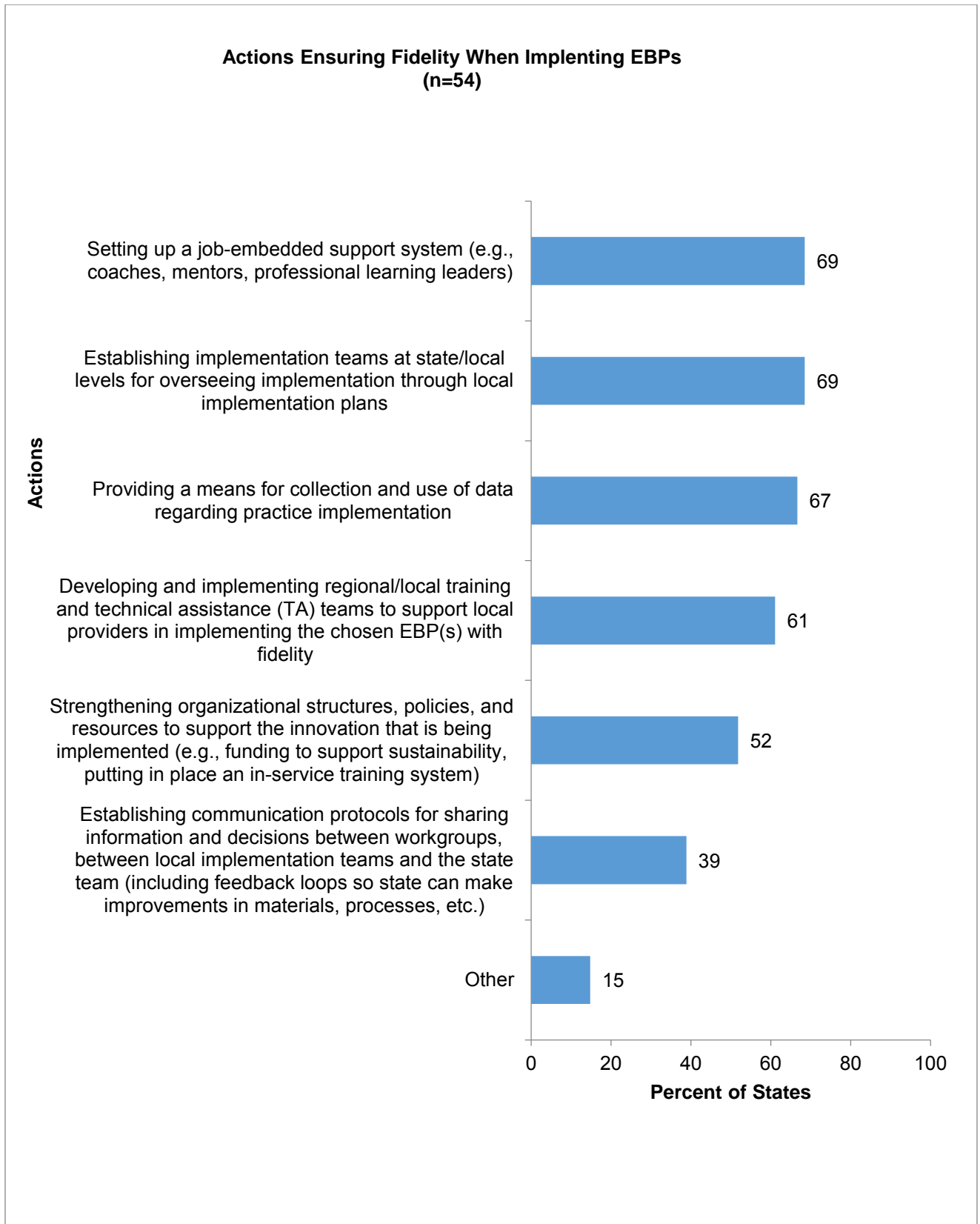| SIMR	Specific Practices Identified by States as Evidence-Based Practices Used in the SSIP Implementation
Graduation/Post School Outcomes	• Implementation science, instructional coaching, co-teaching, co-planning, site visits • Response To Intervention (RTI), student support teams • Moving Your Numbers, Strategic Instruction Model; early warning systems • Read 180, System 44 • Check and Connect • North Carolina State Improvement Practice (NC SIP) • Zones of Regulation, FBA-BIP- Functional Behavior Assessment (FBA) prior to Behavioral Intervention Plan (BIP), PTR- Prevent Teach Reinforce, Social Skills Training, Nurtured Heart • One-teach, one-assist model of collaborative teaching, choral responding, peer instruction, strategies for improving attendance • Transition Practices and Predictors
Early Childhood	• Early Childhood PBIS
Reading	• Foundational skills of literacy • A universal early literacy and reading screening policy • Evidenced-based early literacy and reading curriculum that explicitly

	teaches the essential components of reading
	• Structured Literacy Routine
	• EBPs within context of state's System for Effective Reading Instruction
	• Houghton Mifflin Program, Reading Mastery Program and Classroom Instruction That Works and Curriculum Mapping
	• Evidence-based practices in literacy
	• Explicit instruction; 5 Reading skills; data practices
	• Social and cultural practices
	• Significant disabilities instruction
	• Assistive technology
	• Language Essentials for Teachers of Reading/Spelling (LETRS)
	• Orton-Gillingham
	• Collaborative Culture & Climate (including collaborative team structures)
	• Data-Based Decision-Making (DBDM)
	• Common Formative Assessments (CFA)
	• Instructional Leadership
	• Effective Teaching and Learning Practices (ET/LP)
	• Assess Plan Teach Model
	• Consortium on Reading Excellence
	• Read Well Reading Program
	• Family Involvement
	• EBP in Literacy
	• RTI
	• Instructionally Appropriate IEPs (IAIEP)
	• Data-Based Individualization (DBI). DBI is a systematic method for using data to determine when and how to provide more intensive intervention to students.
Math	• Mathematics Usable Innovations Menu
	• Team Based Cycle of Instruction (TBCI) and Structured Cooperative Learning (SCL). UDL principles are integrated into every step of the TBCI.
	• Culturally responsive teaching EBPs are integrated into structured cooperative learning
	• Concrete-Representational-Abstract (CRA) Assessment strategies of Dr. John Tapper
	• Math Foundations/Math4ME
	• Foundations of Math
	• 8 Math Teaching Practices
	• State defined Differentiated Instruction as EBP

Fidelity of Implementation

Fifty-four states (90%) reported taking steps to ensure fidelity of implementation of EBPs. Thirty-seven of these states (69%) indicated that they established implementation teams at state/local levels for overseeing implementation through local implementation plans, and the same number of states set up a job-embedded support system (e.g., coaches, mentors, professional learning leaders). Almost as frequently, 36 of these states (67%) reported efforts to address fidelity by providing a means for collection and use of data regarding practice implementation. Thirty-three states (61%)

reported the development and implementation of regional/local training and technical assistance (TA) teams to support local providers in implementing the chosen EBPs with fidelity. Also, just over half of the 54 states (28 states, 52%) that took steps to ensure fidelity of implementation of their EBPs were identified as strengthening organizational structures, policies, and resources to support the innovation that is being implemented (e.g., funding to support sustainability, putting in place an in-service training system). For example, 21 of these states (39%) reported establishing communication protocols for sharing information and decisions between workgroups, local implementation teams, and the state team (including feedback loops so the state can make improvements in materials, processes, etc.). In one state, the District Literacy Evaluation Tool (DLET) was cited for this purpose, and other states identified using evaluations to examine fidelity. See Figure 16.

Figure 16

Actions Ensuring Fidelity When Implenting EBPs
(n=54)

Actions	Percent of States
Setting up a job-embedded support system (e.g., coaches, mentors, professional learning leaders)	69
Establishing implementation teams at state/local levels for overseeing implementation through local implementation plans	69
Providing a means for collection and use of data regarding practice implementation	67
Developing and implementing regional/local training and technical assistance (TA) teams to support local providers in implementing the chosen EBP(s) with fidelity	61
Strengthening organizational structures, policies, and resources to support the innovation that is being implemented (e.g., funding to support sustainability, putting in place an in-service training system)	52
Establishing communication protocols for sharing information and decisions between workgroups, between local implementation teams and the state team (including feedback loops so state can make improvements in materials, processes, etc.)	39
Other	15

This analysis of Phase III SSIPs revealed that 58 states (97%) identified strategies to ensure consistency in implementation across sites (i.e., that districts, schools, and/or teachers are implementing the EBPs at the desired frequency and intended dosage.)

DATA ON IMPLEMENTATION AND OUTCOMES
In their Phase III reports, states were asked to describe how they monitored and measured outputs to assess the effectiveness of their SSIP implementation plan, and how they demonstrated progress and/or made necessary modifications to their SSIP.

SSIP Evaluation Measures and Data Sources
The review found strong alignment of state evaluation activities, outputs, and outcomes to the SSIP theories of action. For purposes of this analysis, the descriptions were categorized by the degree of alignment of the activities, outputs, and outcomes to the theory of action: most to all (90-100%); many (50-89%); some (20-49%); and few to none (0-19%). Fifty-six states (93%) aligned "most to all" of their proposed evaluation *activities* to their Theory of Action and 58 states (97%) aligned "most to all" of their proposed evaluation *outputs* to their Theory of Action. Similarly, 58 states (97%) aligned "most to all" of their proposed evaluation *outcomes* with their Theory of Action.

A large majority of states (56 states, 93%) identified data sources for "most to all" of their key evaluation measures (e.g., evaluation questions, activities, or outcomes).

To measure SSIP outcomes, states reported using a variety of data sources, including, for example, existing state data such as assessment results, graduation rate, etc. (50 states, 83%), surveys (48 states, 80%), direct observation (34 states, 57%), interviews (30 states, 50%), and LEA self-assessments (29 states, 48%). Several states also reported using IEPs and student record reviews (18 states, 30%) or focus groups (17 states, 28%). Slightly more than half of states (34 states, 57%) reported using some other data source to report SSIP outcomes. See Figure 17.

Figure 17

Data Sources Used to Assess SSIP Outcomes
(n=60)

Data Sources	Percent of States
Existing state data (e.g. assessment results, grad rate, LRE, etc.)	83
Surveys	80
Other	57
Direct observation	57
Interviews	50
LEA self-assessments (e.g., rubrics)	48
IEPs and student record reviews	30
Focus groups	28
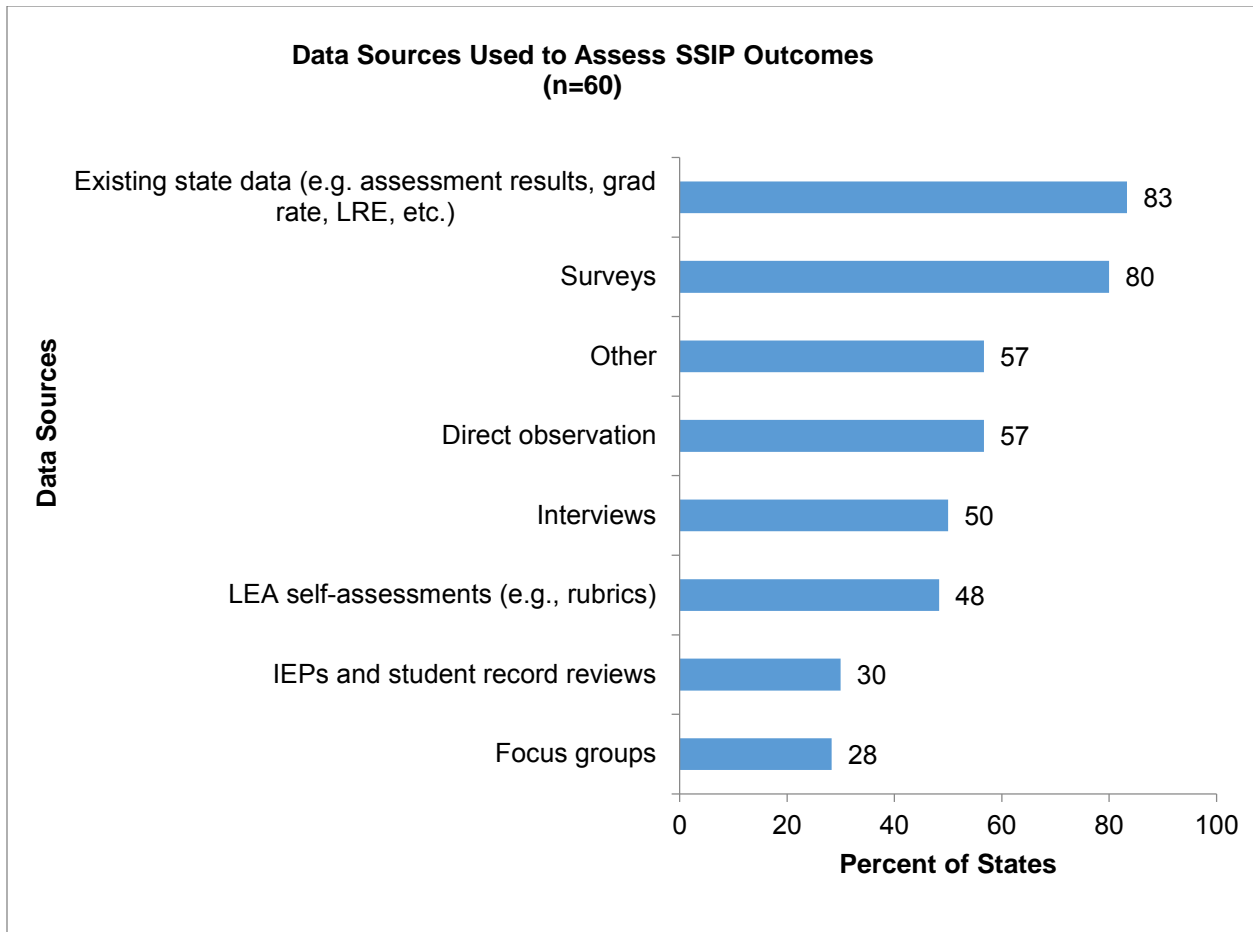
Examples of other data sources include document reviews, coaching logs, pre/post training assessments, student progress reports, sign-in sheets, and screening data.

While states collected a variety of data points to assess progress toward their SSIP outcomes, most states (46 states, 77%) did not report needing to make any revisions to their SSIP outcomes based on data collected.

Roughly half of states (33 states, 55%) mentioned using student academic assessments to track interim SSIP progress. See Figure 18.

Figure 18

States' Use of Academic Assessments to Track Interim SSIP Progress
(n=60)

45%   55%

■ Yes
■ No
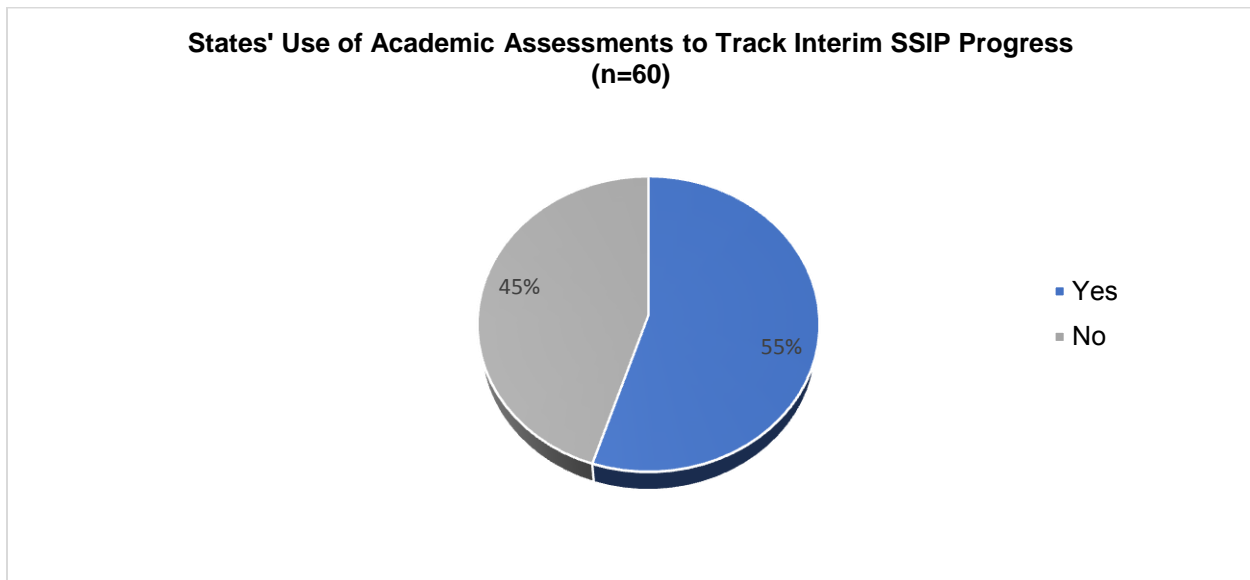
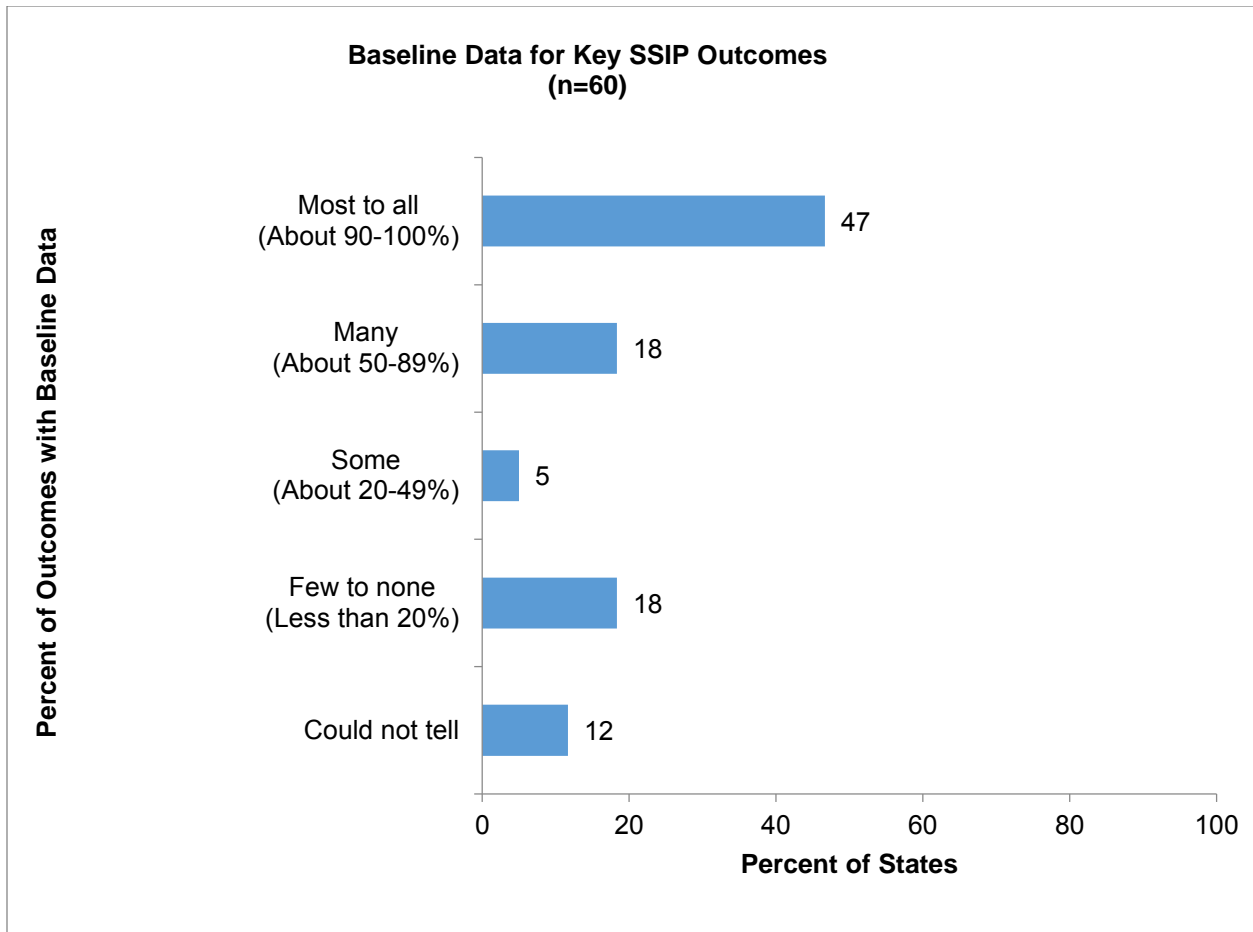Examples of student academic assessments noted by states include:

- DIBELs
- AIMSweb
- NWEA Map Reading
- ACT Aspire
- Fountas and Pinnell
- formative school-based assessments
- screening and benchmark data
- vocabulary tests
- data on student progress toward IEP goals

One state noted that each school participating in the SSIP would determine its own appropriate progress monitoring tool.

There was variation in the number of states that described baseline data for their key SSIP outcomes. For purposes of this analysis, quantitative categories were used to describe the number of outcomes reported having baseline: most to all (90-100%); many (50-89%); some (20-49%); and few to none (0-19%). Twenty-eight states (47%) described baseline data for "most to all" of their key SSIP outcomes and 11 states (18%) described baseline data for "many" outcomes. Three states (5%) described baseline data for "some" of their key SSIP outcomes and 11 states (18%) described baseline data for "few to none" outcomes. For seven states (12%) it was not possible to determine how or if the state described baseline data for key SSIP outcomes. See Figure 19.

Figure 19

Baseline Data for Key SSIP Outcomes
(n=60)

Percent of Outcomes with Baseline Data

- Most to all (About 90-100%): 47
- Many (About 50-89%): 18
- Some (About 20-49%): 5
- Few to none (Less than 20%): 18
- Could not tell: 12

Percent of States

Data Analysis Strategies

States reported using a variety of strategies to analyze SSIP evaluation data. A majority of states (38 states, 63%) are reviewing longitudinal data and changes over time. Thirty-two states (53%) are comparing data to a standard or target, and 22 states (37%) are comparing a pre-assessment result with a post-assessment result. Nine states (15%) reported using other strategies than those listed above, such as naturalistic or quasi-experimental design, cohort comparisons, comparisons across sites participating in the SSIP, and interrupted time series design. States may have reported using more than one strategy, therefore, the totals in the chart below are greater than 60. See Figure 20.

Figure 20
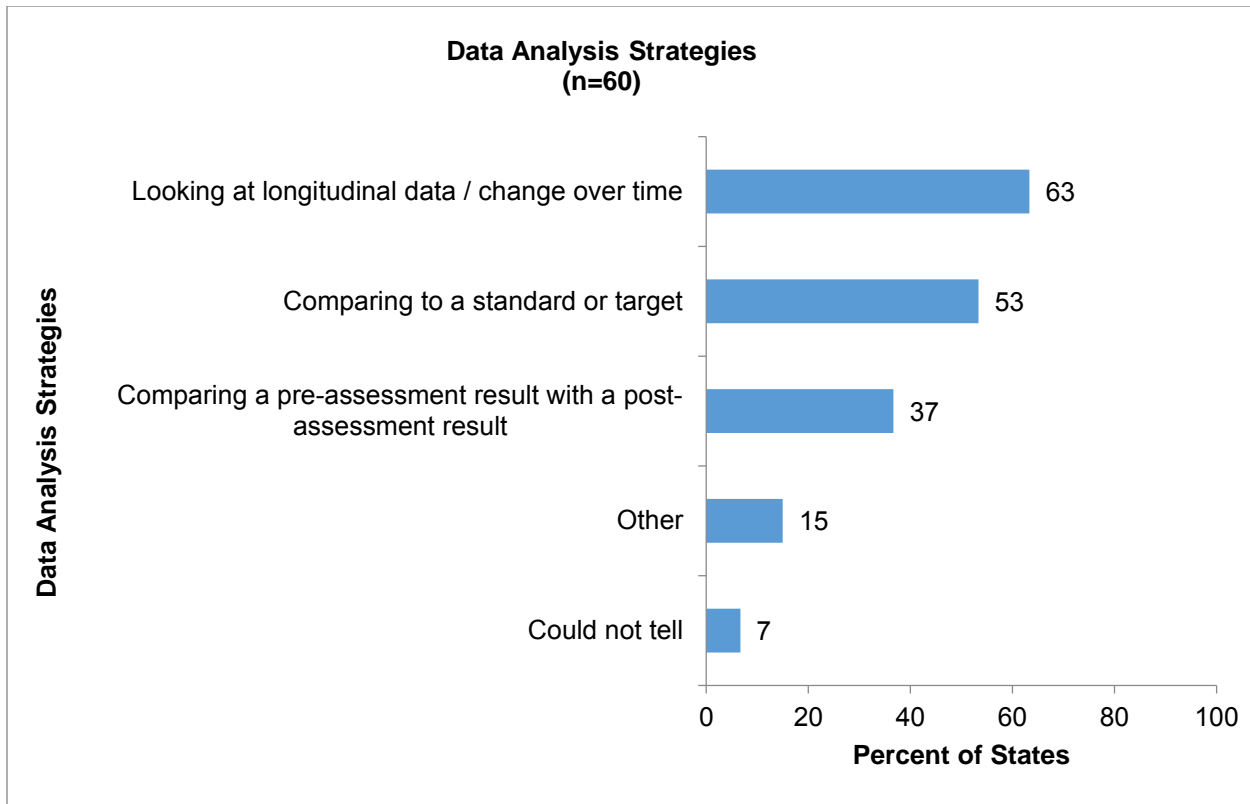
Only a small number of states (8 states, 13%) reported using sampling procedures (e.g., collecting data from a smaller group that represents a larger group) to evaluate their improvement strategies. Similarly, few states (10 states, 17%) conducted analyses that required comparing a treatment group to a control group. In terms of state strategies for storing and monitoring evaluation data, slightly less than half of states (28 states, 47%) described using a data management system (e.g., a data warehouse).

Infrastructure Data

Most states (51 states, 85%) described data they have collected on their infrastructure improvement efforts. Examples of such data include:

- survey data regarding levels of collaboration
- capacity data
- fidelity of implementation data
- student survey data
- professional development and training evaluation data
- coaching contact records
- infrastructure analysis survey data
- interview data
- focus group data

DATA QUALITY WITHIN THE SSIP

Almost three-quarters of states (43 states, 72%) noted data limitations or concerns in their SSIP Phase III report. Thirty-six states (60%) identified current or prior data limitations or concerns, leading up to the date of submission of their report. Seven states (12%) predicted future data limitations or concerns. See Figure 21.

Figure 21

Data Limitations or Concerns
(n=60)

- Yes-current or prior concerns up to the date of the report
- Yes-future concerns
- No

28%
60%
12%
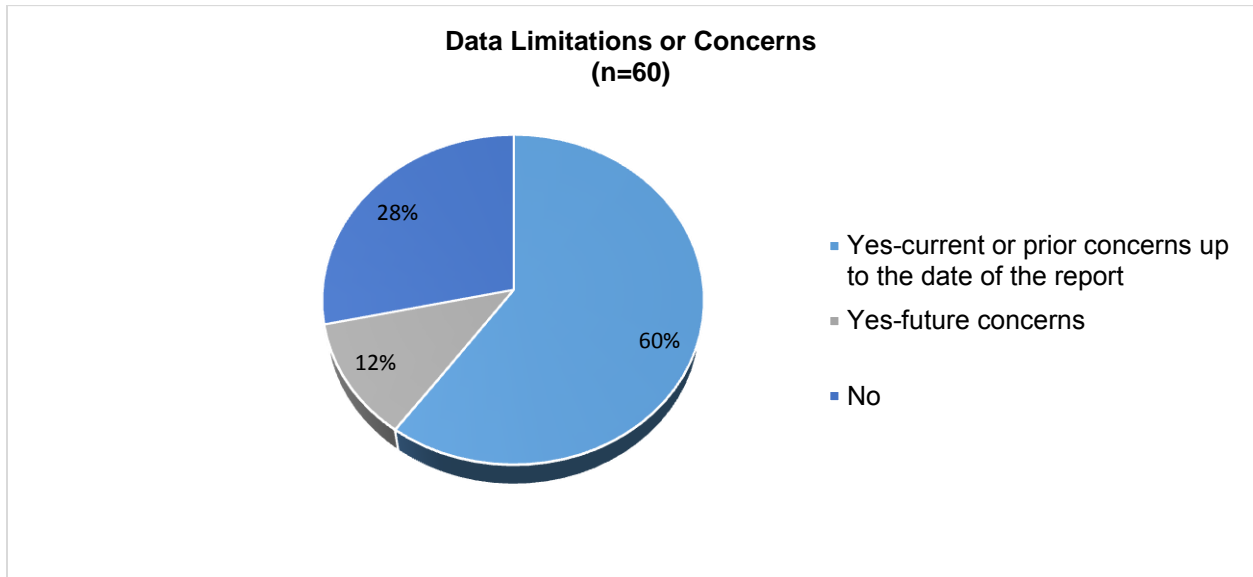
A review of the SSIPs for types of data limitations and concerns revealed that 15 of 43 states (35%) indicated that issues were related to the quality of the data, six of 43 states (14%) indicated that issues were related to the quantity of the data, and 16 of 43 states (37%) indicated that issues were related to both the quality and quantity of the data. Additionally, six of 43 states (14%) listed "other." See Figure 22.

Figure 22

Nature of Data Limitations or Concerns
(n=43)

- The quality of the data
- The quantity of the data
- Both quality and quantity
- Other

35%
14%
14%
37%
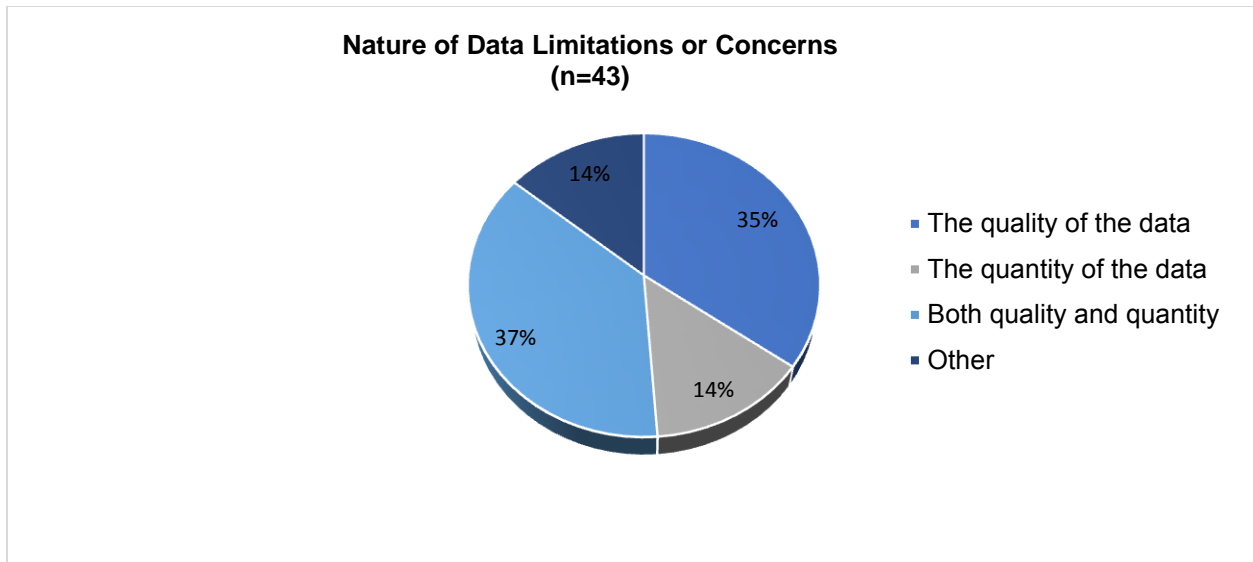
Examples of data limitations and concerns mentioned by states include:

- changes in statewide assessments
- lack of valid and reliable tools for data collection
- lack of baseline data
- data accuracy concerns
- limited availability of data
- technology challenges
- inability to access data at the local level
- the need for more frequent measures of outcome data
- low response rates
- incompleteness of data
- lack of user-friendly data systems

Twenty-eight of the 43 states (65%) with data limitations or concerns reported that those issues or concerns would affect reporting on implementation of their improvement strategies. Twenty-one of 43 states (49%) indicated data issues would affect reporting on achieving progress toward their SIMR. Two of 43 states (5%) had no other data issues that would affect reporting on some other evaluation measure. See Figure 23.
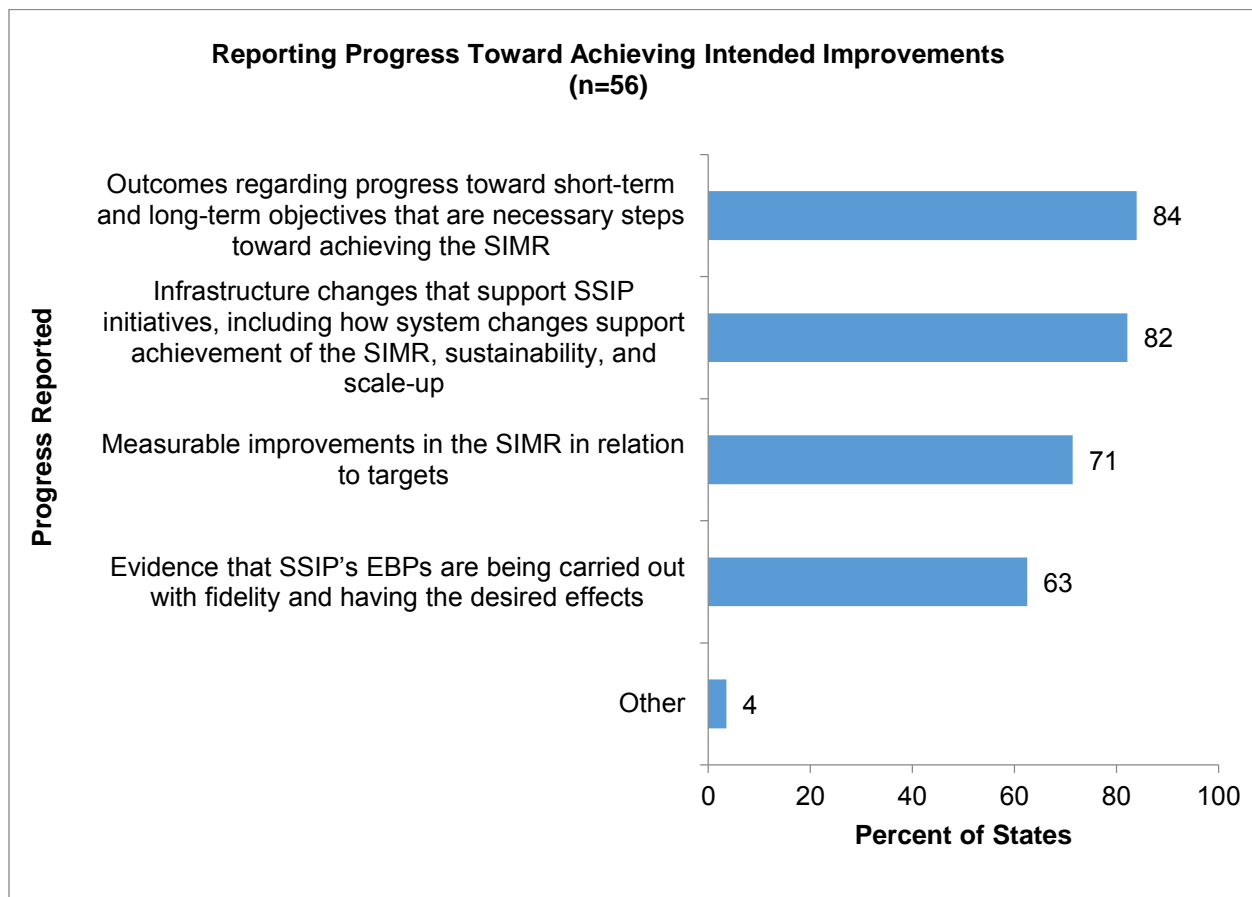
Figure 23
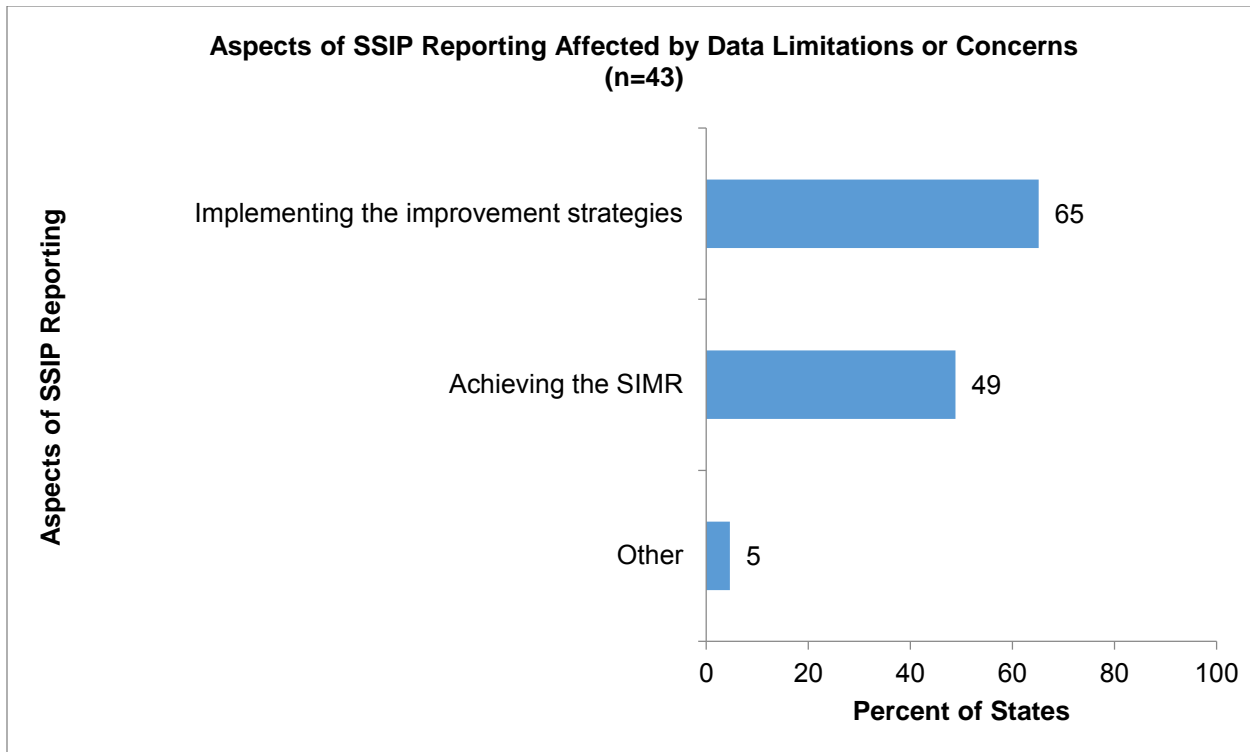
Of the 43 states that reported data quality concerns or limitations, 35 states (81%) reported on specific implications of those data limitations or concerns. Examples of implications include:

- the need to interpret data with caution
- lack of comparability of data over time
- inability to gauge progress
- difficulty attributing progress to specific activities
- the need to adjust timelines

PROGRESS TOWARD ACHIEVING INTENDED IMPROVEMENTS
Fifty-six states (93%) reported on progress toward achieving intended improvements as outlined in the SSIP. The vast majority of these states (47 states, 84%) reported progress toward short- and long-term objectives necessary to achieving the SIMR. Forty-six states (82%) reported on improvements to their state's infrastructure that support achievement of the SIMR, sustainability, and scaling-up. Slightly fewer states (40 states, 71%) reported on measurable improvements in the SIMR in relation to targets. Thirty-five states (63%) reported on evidence that SSIP's EBPs are being implemented with fidelity and having the desired effects. See Figure 24.

Figure 24

Reporting Progress Toward Achieving Intended Improvements
(n=56)

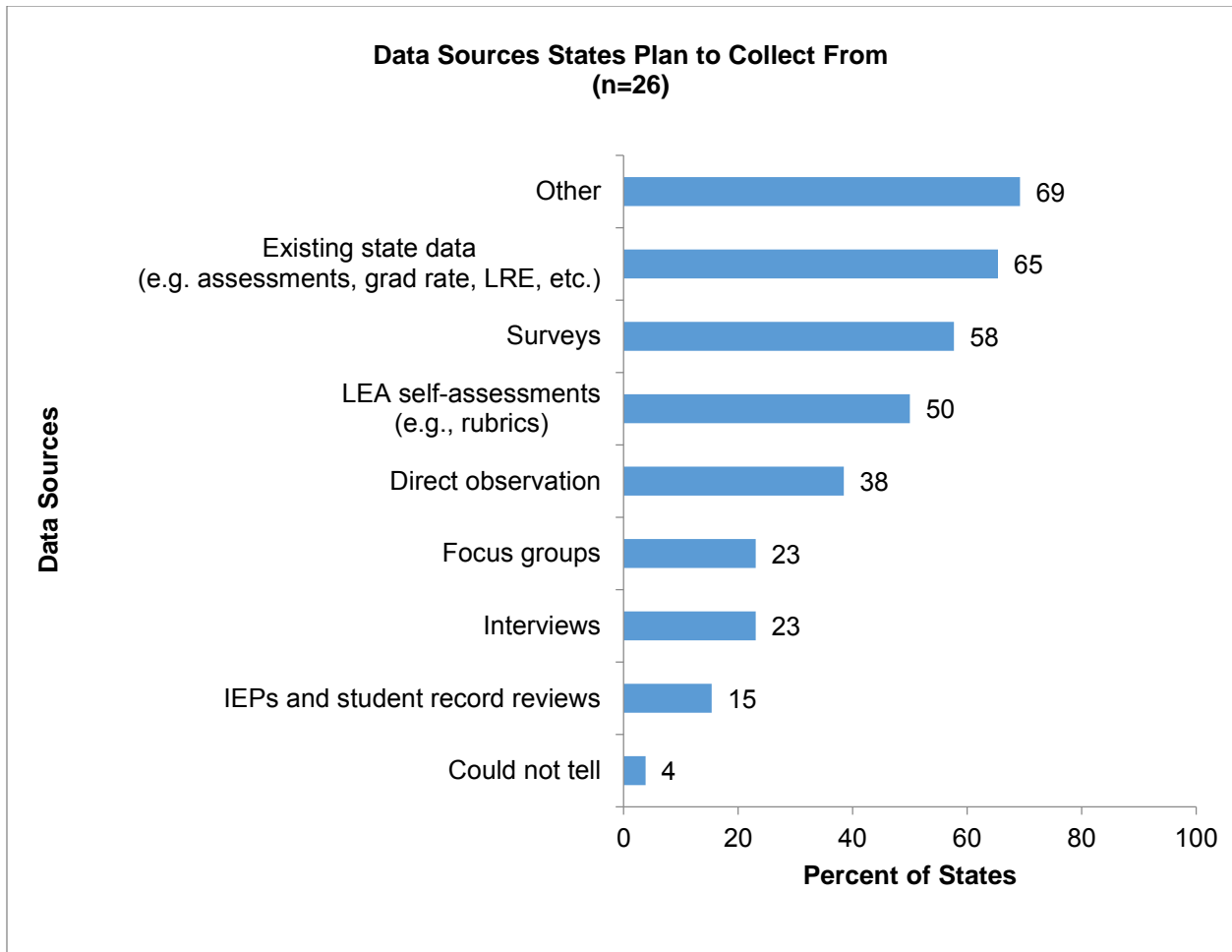| Progress Reported	Percent of States
Outcomes regarding progress toward short-term and long-term objectives that are necessary steps toward achieving the SIMR	84
Infrastructure changes that support SSIP initiatives, including how system changes support achievement of the SIMR, sustainability, and scale-up	82
Measurable improvements in the SIMR in relation to targets	71
Evidence that SSIP's EBPs are being carried out with fidelity and having the desired effects	63
Other	4

PLANS FOR NEXT YEAR

States were asked to report on planned activities for the next year. In addition to specific activities, states reported on timelines for the additional activities, data sources to be used for the activities, anticipated barriers, and steps to overcome the barriers. Forty-one states (68%) reported on activities planned for the second year of Phase III of the SSIP. Of those states, 32 states (78%) reported on timelines for the activities. Below are some examples of the wide-ranging additional activities that were identified by states:

- improve parent and family stakeholder engagement
- develop strategies to effectively and efficiently collect data on activities as an ongoing process
- align the State Personnel Development Grant (SPDG) and the SSIP
- appoint a Literacy Coach Support Coordinator
- establish the MTSS State Leadership team
- offer trainings and expert content coaches
- engage external evaluator for evaluation oversight
- identify second cohort of students with disabilities who are off-track for graduation

- conduct a district-level needs assessment

Twenty-six of the 41 states (63%) that reported on additional activities also identified planned evaluation activities and data collection sources. A wide variety of data sources were noted with existing state data (e.g., assessment results, graduation rate, LRE, etc.) identified by 17 of the 26 states (65%), surveys noted by 15 states (58%), and LEA self-assessments identified by 13 states (50%). See Figure 25.

Figure 25

Data Sources States Plan to Collect From
(n=26)

| Data Source	Percent of States
Other	69
Existing state data (e.g. assessments, grad rate, LRE, etc.)	65
Surveys	58
LEA self-assessments (e.g., rubrics)	50
Direct observation	38
Focus groups	23
Interviews	23
IEPs and student record reviews	15
Could not tell	4

A few examples of the many data sources that states indicated having a plan to collect from include:

- pre- and post-professional development measures
- needs assessments
- coaching logs
- fidelity instruments

Almost three-quarters of states (43 states, 72%) reported on anticipated barriers to implementation of SSIP activities next year. Insufficient funds and/or resources to implement the activities were reported as an anticipated barrier by a third of these states (14 states, 33% of the 43 states). Personnel shortages (11 states, 26%) and lack of system alignment/challenges with communication and collaboration across divisions within the SEA (8 states, 19%) were indicated by several states. See Figure 26.

Figure 26

Reported Anticipated Barriers
(n=43)
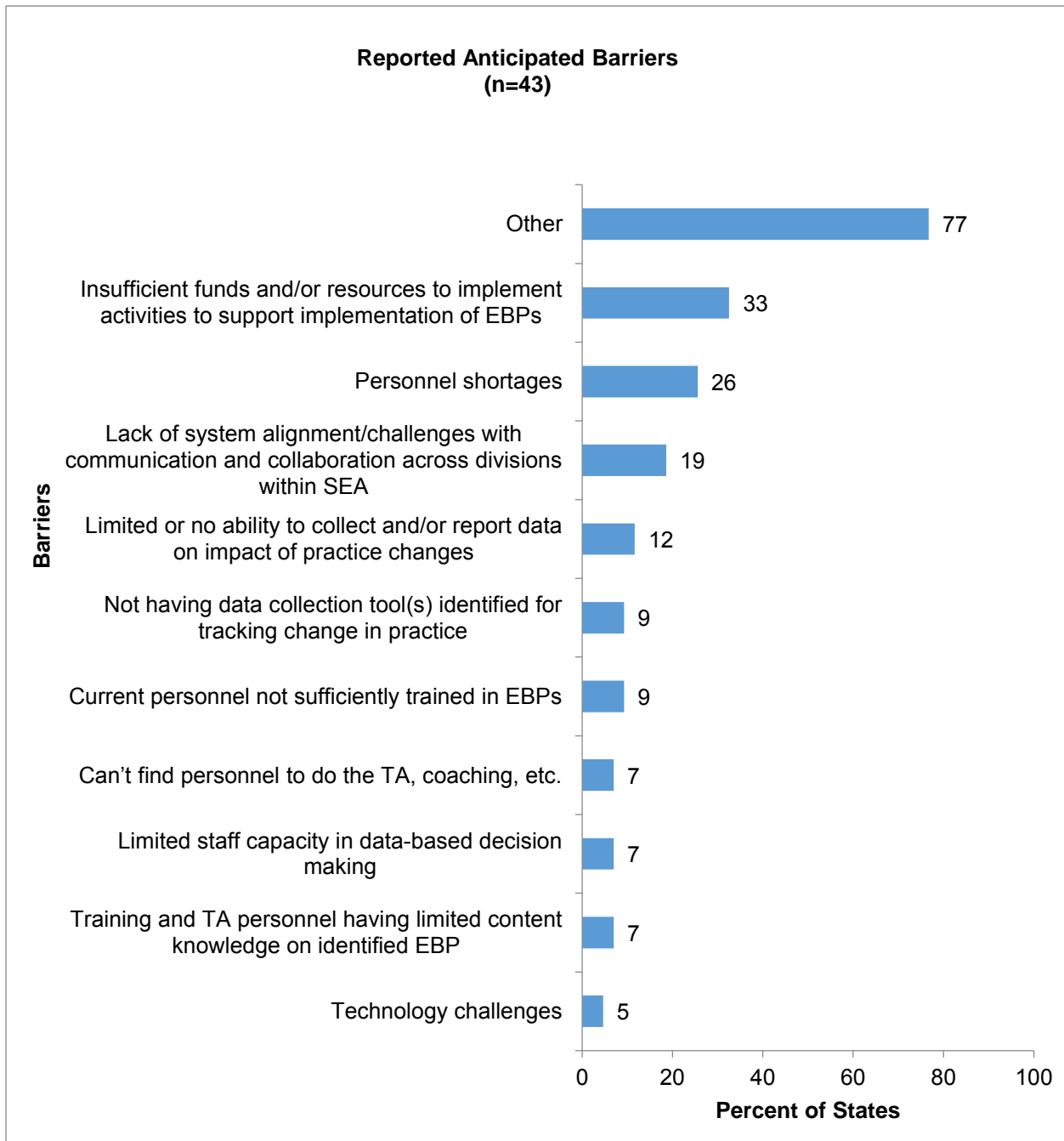
Examples of other barriers identified include:

- transition to ESSA
- staff turnover
- multiple LEA obligations
- insufficient communication protocols
- lengthy approval process for guidelines

Forty-one of the 43 states (95%) that reported on barriers also identified a wide range of steps to address those barriers. Some of the steps reported include:

- braid funding
- change stakeholder involvement to include reorganized staff
- align vertical communications
- develop contract for outside vendors to assist with providing support, guidance, TA, and PD
- develop an off-line data collection tool
- develop resources to implement a framework of multitiered systems of support
- identify a team to complete work and allocate time to complete the task
- continue training with teachers

States were also asked to describe any needs for additional support and/or technical assistance and 43 states (72%) identified such needs. Resources that states most frequently identified they will draw upon include: NCSI (31 states, 72% of 43 states), IDC (24 states, 56%), OSEP (14 states, 33%), SISEP (7 states, 16%), and NTACT (6 states, 14%). See Figure 27.

Figure 27

**Resources States Will Draw Upon**
(n=43)
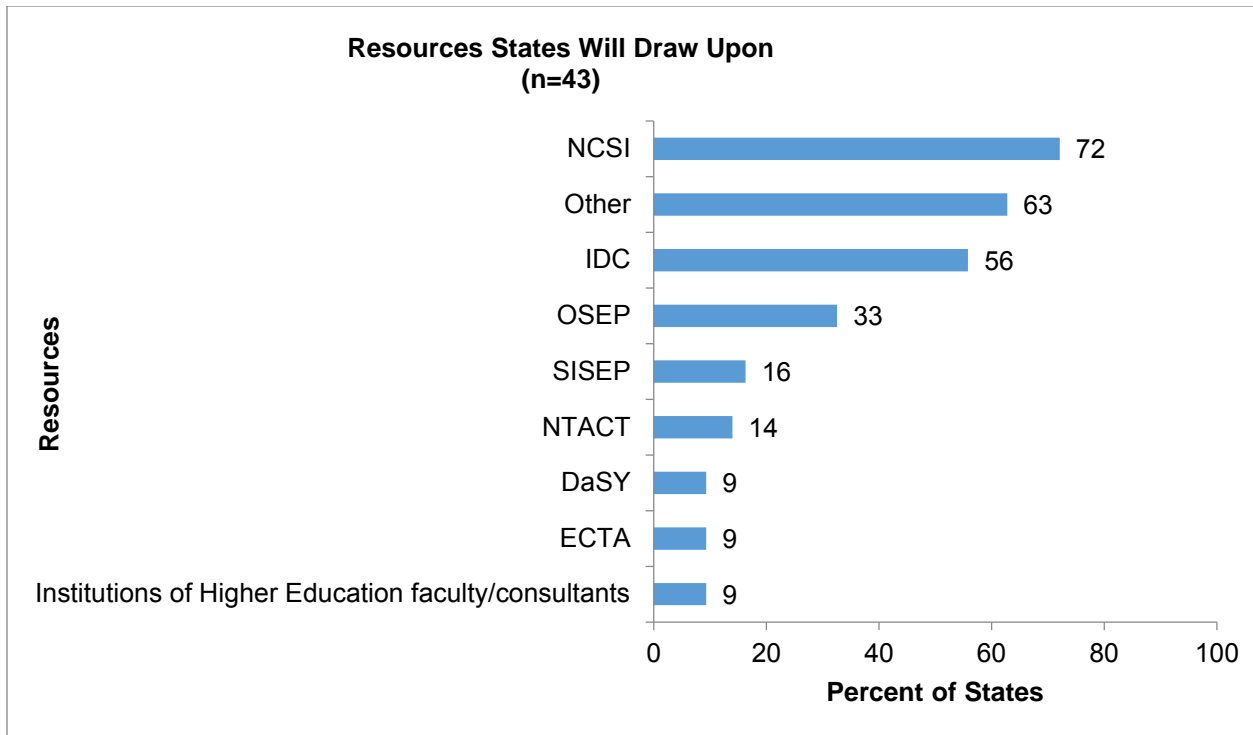
Other reported resources states plan to draw upon include:

- CEEDAR
- Great Lakes Comprehensive Center
- IRIS
- SWIFT
- NASDSE and Peer States

Forty-three states indicated a need for additional supports or technical assistance to assist with their SSIP, with 33 of these 43 states providing a description of the area in which they have the need. Implementation of EBPs was identified by 13 states (39%). Evaluation (11 states, 33%) and infrastructure development (10 states, 30%) were identified by about a third of the states, with stakeholder involvement (9 states, 27%) identified by about one-quarter of the reporting states. See Figure 28.

Figure 28
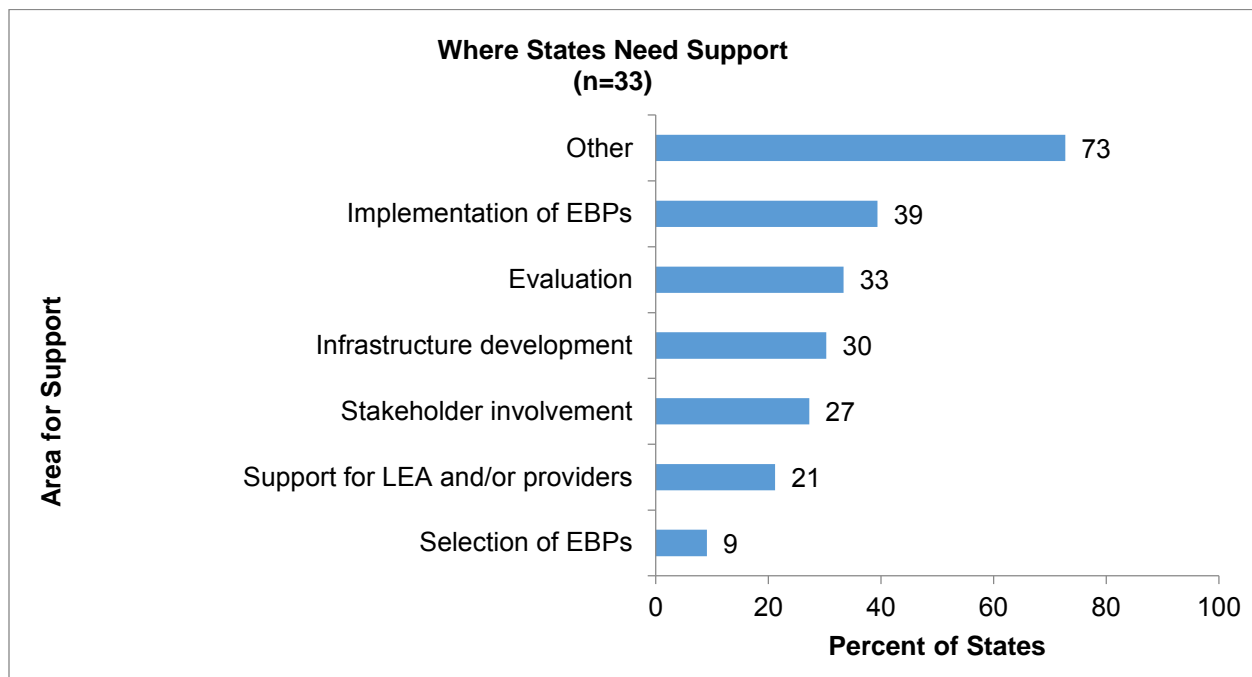
Additional areas where states reported needing support include:

- assistance with quality review process
- survey development
- maintenance of quality data
- developing strategies to "scale-up"

CONCLUSION

This analysis of Phase III SSIPs indicates that states are actively engaging stakeholders in all aspects of the SSIP, including decisions to revise, implement, and evaluate the SSIP. States are engaged in extensive infrastructure improvements, implementation of EBPs, coherent improvement strategies at the LEA/school level, and implementation of evaluation plans. States noted a need for support from national technical assistance centers and providers, OSEP, and staff from institutions of higher education to support continued implementation of an effective SSIP.

This was the second year that states reported on whether they met their SIMR targets, and almost half the states met targets (29 states, 48%). This shows progress from the previous year when 45% of states reported having met targets. For those states that reset baselines and/or targets, next year's Phase III submissions will include updated data on progress toward those new targets, as well as discussion on progress of SSIP implementation and continued engagement of stakeholders.

REFERENCE

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

APPENDIX 1

Title: Inter-rater reliability of raters across twelve randomly selected items in six randomly selected states

State	Item 1	Item 2	Item 3	Item 4	Item 5	Item 6	Item 7	Item 8	Item 9	Item 10	Item 11	Item 12
1	3	3	3	2	2	2	3	3	2	1	3	3
2	3	3	3	2	3	3	2	3	2	2	3	3
3	3	3	3	3	3	3	3	2	2	2	3	3
4	3	3	3	3	2	2	2	3	2	2	2	3
5	3	3	3	2	2	2	3	3	3	3	3	3
6	3	2	3	3	3	3	3	3	2	1	2	3
Total percent inter-rater reliability by Item	100%	94%	100%	83%	72%	83%	89%	94%	72%	61%	89%	100%

Note: Total number of raters for each item = 3. Joint probability of agreement was used to calculate the percent of inter-rater reliability.

Inter-rater reliability was conducted by comparing the results of three unique raters on a random selection of 10% of the states (n=6) out of the total population (N=60) and 15% (n=12) of the items on the data collection review tool (N=80). The inter-rater reliability was 80% or better on nine of the 12 items across the six states and above 90% reliability on five of the items. All three items on which 80% or better inter-rater reliability was not achieved focused on state reporting of data use, concerns and limitations. The lower reliability scores could be a result of ongoing challenges that states face in building their capacity to define measures, identify appropriate data sources, and report on use of data to inform continuous improvement.

APPENDIX 2
The following stakeholder engagement definitions were used by reviewers when scoring the SSIPs.

Informing: sharing/dissemination, in a one-way communication method, from the state to the stakeholders, such as occurs using emails or newsletters. With this type of engagement, a state would be informing stakeholders that revisions were made to the Phase III SSIP. Information would be shared with or disseminated to stakeholders that had an interest in the SSIP. There is no expectation from the state to receive any information in return from stakeholders.

Networking: exchanging information in a two-way communication between the SEA and the stakeholders. With this type of engagement, the state would give out information and stakeholders would give back information to the state about their understanding. Each party is explaining their position, working to understand the other. Communication at this level of engagement is about clarifying what the other party is saying. There is no creation of new knowledge, nor of combining information to create a new idea. In this level of engagement, the state would be asking stakeholders what they think about an issue and listening to what is said. There is no expectation from stakeholders that the state will use the information that is received.

Collaborating: the SEA and stakeholders are engaging with each other, getting together on an issue over time and creating new thoughts. There would be dialogue and discussion occurring. This type of engagement is more likely done in smaller groups. With this type of engagement, the intent is to engage the state and stakeholders in trying to do something of value and working together around the issue.

Transforming: committing to the work, approaching issues through engagement and consensus building, where the SEA and stakeholders are equals, considered partners. Stakeholders may block decisions. At this level, the state is engaged in actively talking with practitioners, such as speaking directly to multiple teachers rather than only engaging with a teacher representative on a committee. This type of engagement leads to creating things that are new and different. The state provides leadership by convening people to come together and address an issue. Perhaps the state and stakeholders are co-presenting information at meetings or conferences, or working in cross-stakeholder groups to accomplish their work. There is usually a sharing of leadership in conducting meetings and building consensus on most or all issues that are tackled jointly. The state and partners are "in it together." The partners have "skin in the game."