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INDICATOR 1: TIMELY RECEIPT OF SERVICES
Completed by NECTAC

Indicator 1: Percent of infants and toddlers with IFSPs who receive the early intervention services on their IFSPs in a timely manner.

INTRODUCTION
Indicator 1, Timely Receipt of Services, is a compliance indicator with a target of 100% with each State determining (defining) what constitutes timely services. The indicator refers to the percentage of children whose services are timely, not the percentage of services. For example, if the IFSP specifies that a child will receive three different services, all must be delivered within the defined timelines in order for this to be considered timely. If one or more of the services for a child are not delivered within the defined timeline, then the child would not be counted in the percentages of those receiving timely services.

In responding to this indicator, States could use data from monitoring or the State data system. In either case, the data is based on actual number of days, not an average number, between parental consent, or the date specified on the IFSP for the initiation of services, and the provision of services. The analysis of Indicator 1 is based on a review of FFY 2008 Annual Performance Reports (APRs) for 56 States and jurisdictions. For the purpose of this report, the term "State" is used for both States and jurisdictions.

In responding to Indicator 1, States were asked to provide the criteria used to determine which infants and toddlers received IFSP services in a timely manner and which did not. States were also asked to account for the untimely receipt of services for infants and toddlers, (e.g. when the States' criteria were not met, what were the causes for delay).

States were allowed to count as timely those delays due to family circumstances. However, not all States collect and report delays attributable to family circumstances.

DEFINING TIMELY SERVICES
Of the 56 States and jurisdictions in this analysis, most States defined timeliness of services as "within 30 days" from parent consent (as shown in Table 1). The "timely services" definitions ranged from a low "within 10 days" to a maximum of "within 45 days" from parent consent for services. States with variable timeframes may allow a specified number of days from consent, a date specified on the IFSP, or other timelines based on the frequency of service. States with stricter definitions continued to mention the implications that shorter timeframes have on the ability of the State to reach the 100% compliance target for this indicator.

For the four States whose requirements were shorter than 30 days, all showed progress (from 2 to 12 percentage points) and provided services to 84% - 94% of children in a timely manner.

Table 1: **Number of States and Definition of Timeliness**

Definition	Number of States FFY 2007	Number of States FFY 2008
30 days	33	40
Less than 30 days	5	4
More than 30 days	3	3
Date specified on IFSP	8	7
Variable	7	2

ACTUAL PERFORMANCE FOR FFY 2008
As reported in their FFY 2008 APR reports, seven States met the target of providing timely services to 100% of infants and toddlers with IFSPs compared to three States at baseline. More than half of the States provided services to at least 95% of the children in a timely manner in accordance with their States' definition. Most notably, the number of States meeting the requirement for at least 90% of children has more than doubled (from 18 to 41) since FFY 2004. Figure 1 illustrates actual performance for States for FFY 2008. On average, around 92% of the children in the nation received the services listed on their IFSPs in a timely manner.

Figure 1

FFY 2008 Actual Performance
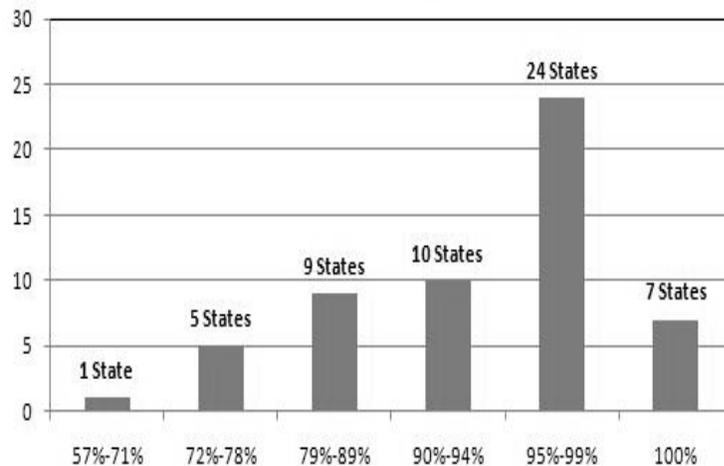
COMPARISON OF PERFORMANCE OVER TIME
Figure 2 shows trend data for Timely Services. States have shown remarkable progress towards making services timely for all children in their systems. As displayed in Figure 2, 41 of 56 States reported that they are able to serve at least 90% of their children in a timely manner (an increase of ten States from FFY 2007) while only one

State is serving less than 60% of children as compared to seven States in FFY 2005. In addition, this year all States reported that they were able to provide more valid and reliable data for this indicator.

FIGURE 2
Trends - Four Years of Indicator C1 Data

Indicator C1	2005-2006	2006-2007	2007-2008	2008-2009
	24 States	31 States	31 States	41 States
	11 States	12 States	14 States	9 States
	8 States	6 States	8 States	5 States
	4 States	4 States	-	-
	4 States	1 State	2 States	1 State
	1 State	1 State	-	-
	1 State	-	-	-
	-	-	-	-
	1 State	-	-	-
	-	-	-	-
Mean	82	87	89	92
Highest	100	100	100	100
Lowest	19	48	51	57
No Data	2	1	1	0
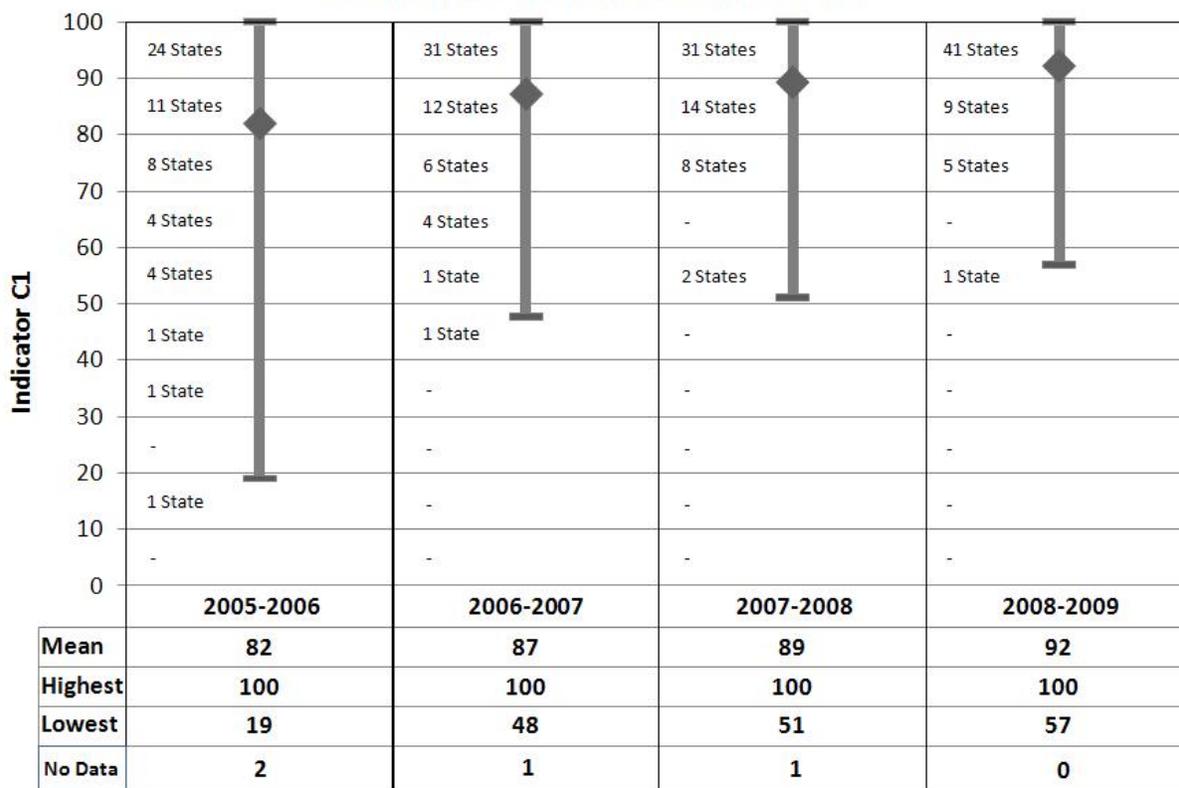
PROGRESS AND SLIPPAGE
In FFY 2008, the national average for percentage of children who receive services on their IFSPs in a timely manner was 92% compared to 82% of children who received services in FFY 2004. This is a ten percent increase in compliance in FFY 2008.

Summarizing progress made since the last year, 40 States made progress in providing services in a timely manner. Six States showed no change but were substantially in compliance serving between 98% and 100% children in a timely manner.

Additionally, there was less slippage for this indicator in FFY 2008. For the States that showed slippage in their performance, the mean slippage was 2.56% compared to 7.65% for FFY 2007. Data reported by one State was not accepted by OSEP in FFY 2007. Therefore the actual data reported for FFY 2008 was reflected as progress. This State was not included in Figure 3 because there was not a value from FFY 2007 for comparison.

Figure 3

C1 Progress/Slippage from 2007-08 to 2008-09
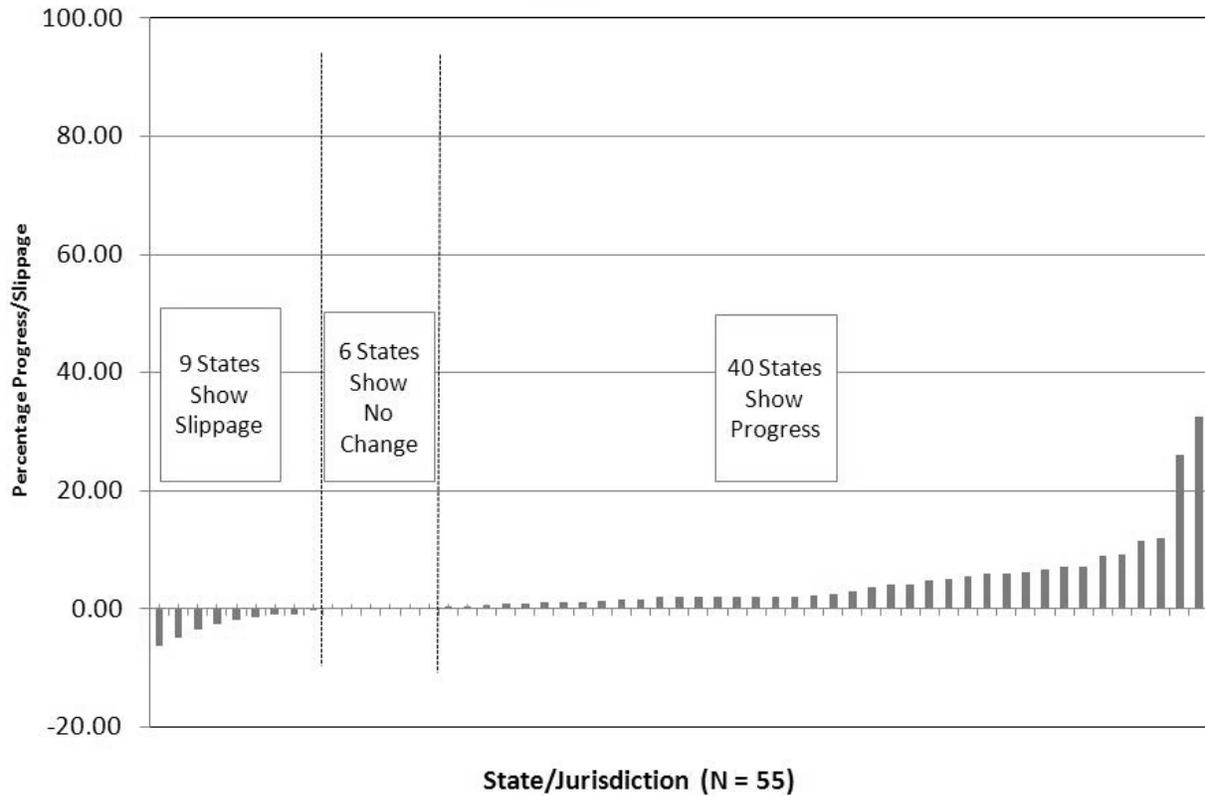
Explanation of Progress

While the figure on the previous page shows incremental progression in meeting timely services, it is interesting to review States progress in more substantial percentages. Measuring progress or slippage by full percentage points shows similar but more accurate progress and slippage. Figure 4 was created by counting only States that either slipped or progressed by at least one full percentage point. The numbers also confirm steady progress towards 100% of children receiving timely services for all States. It is important to remember, as pointed out above, that States reflecting no change were already providing services to a high percentage of their children in a timely manner.

Figure 4

C1 Progress/Slippage from FFY 07-08 to 08-09

Slippage
14%
(N=8 States)

No Change
22%
(N=12 States)

Progress
64%
(N=36 States)
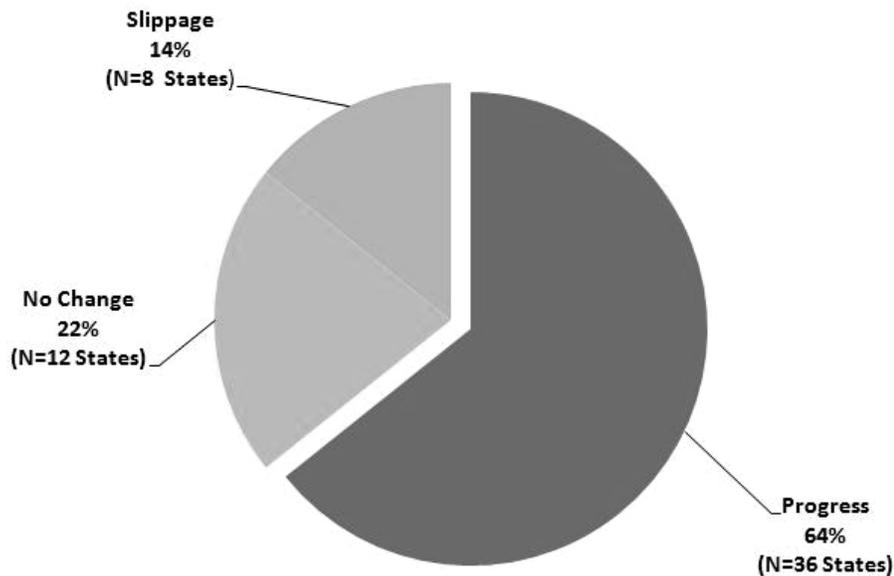
Overwhelmingly, States attributed progress in timely services to **improvements in data collection and monitoring systems.** Data system improvements included modifications to existing systems to provide prompts and reminders that timelines are approaching, new fields to capture reasons for delay, or "flags" for identification of noncompliance. In addition to updates to existing systems, many States reported allocating extensive financial and human resources to design and develop new data management systems. Where specified, these systems are web-based for ease of use by State administrators, but also are being designed to enable local administrators and providers to self monitor and self correct.

Improvements in monitoring included local self assessments and self or peer review processes that support investigation and tracking at the local level. Some States indicated that they implemented focused monitoring to provide increased oversight for this indicator. States have increasingly been able to help local programs identify the reasons for the delays and to develop strategies to improve timelines.

New models of delivering services to children and their families are also being explored by a significant number of States. States used such terms as trans-disciplinary team based model, primary service provider (PSP), coaching, and use of therapy assistants to describe major changes to service delivery.

Finally, States are continuing efforts to **recruit more providers and/or staff.** For additional strategies refer to the section on Improvement Activities.

Explanation of Slippage
States that did not meet the 100% target for timely services were asked to account for the untimely receipt of services to infants and toddlers, (e.g. the system causes for delay and delays due to exceptional family circumstances where the delay was documented in the child's record). Most States provided information about why services to children were not provided in a timely manner.

The most frequently cited reason for slippage or lack of progress in providing services in a timely manner *continued* to be **personnel shortages.** Particularly acute was the lack of therapists in rural areas of the State. Staff vacancies, inability to pay competitive salaries, and heavy caseloads were cited as major issues in all areas of the country; however some States were devising methods to increase funding.

Additional reasons for lack of progress were **procedural or funding issues** including delays in billing and insurance authorization or the inability to pay or reimburse mileage for the long distances that providers need to travel to reach some families. Because of these constraints, States reported it was difficult to find providers willing to provide services in natural environments.

In contrast to previous years, the States did **not** report issues with **inadequate data**. There were few instances of lack of documentation in a child's record regarding the cause of delay and the actual start date of services. Also, States' updates and refinements to data systems make them better able to capture the causes for delay.

Although many States did not reach the required 100% compliance target, the trajectory from baseline to performance reported in FFY 2008 shows sustained progress in meeting the target for timely services (see Figure 5).

Figure 5: Change from Baseline to FFY 2008-09 Actual Performance

C-1 Timeliness of Services
Change from Baseline to FFY 08-09 Actual Performance

Legend:
- ◆ 2008-2009 C1 Data
- — 2005-2006 Baseline

States (N=56)
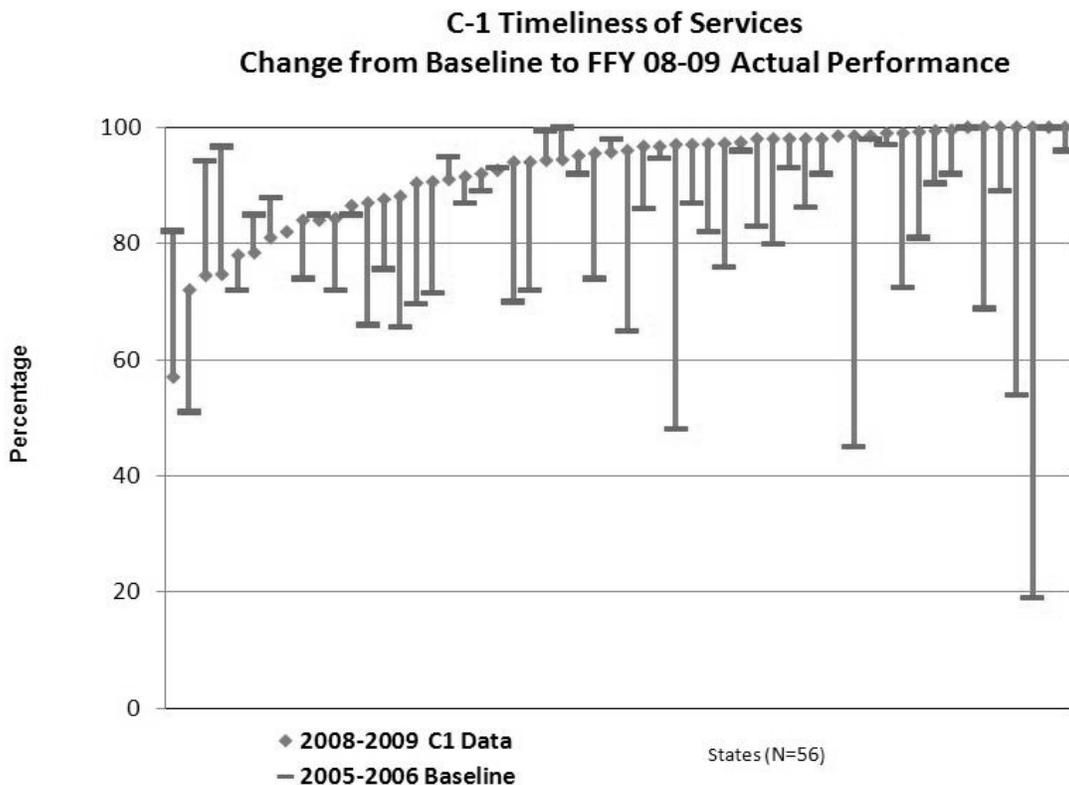
FEATURED IMPROVEMENT ACTIVITIES

Improvement activities, timelines, and resources for Indicator 1 were reviewed in order to determine the types of improvement activities used by States.

Improvements in systems administration and monitoring: States continued to expend energy towards rigorous monitoring including requiring corrective action plans or improvement plans for programs that were out of compliance with the State's definition of timely services. States assisted local programs to examine the causes for delays and developed strategies to eliminate barriers to timely services. For continued noncompliance, sanctions were applied. Some notable improvement strategies included:

- Technical Assistance (TA) and Provider Appraisal Review teams – use of peer program assistance to support documentation and chart organization
- Evaluation of focused monitoring system- external consultant to review process and provide feedback, including review of priority areas and protocols
- Development and use of local monitoring tools and activities– concepts of self assessments/self audits, self-reviews; local APR and tracking tools; and involving direct service staff in quality assurance activities

- Use of Federal TA Support– TA to integrate or strengthen general supervision system activities, review SPR/APR calendar and other TA websites, focused monitoring, and identifying barriers to meeting targets
- Frequent reporting requirements

Reviewing or redesigning models of service delivery was a frequently mentioned activity aimed at addressing continued personnel shortages, especially in rural areas. States are taking steps to shift away from discipline specific to a more integrated approach to providing services in a timely manner; and are engaging national experts to provide training about services in the natural environment. Specific approaches included:
- Primary service provider
- Trans-disciplinary or team based model
- Team with primary provider
- Distance service delivery through technology including SKYPE, webcams, mobile broad band card
- Consultation
- Use of American Recovery and Reinvestment Act (ARRA) funds to implement new models

Improved data collection and reporting continued for many States. States modified data systems, tools, and procedures to better identify local compliance and to assist programs in collecting data and in tracking. Activities addressed documentation of reasons for delays and capturing the start dates of all services. Plans to improve data collection included:
- Develop comprehensive data systems to capture, analyze, and report performance data
- Make modifications to existing data systems - add new fields to capture reasons for delays, make new administrative reports, track and generate reminders, edit checks to aid staff in scheduling
- Design a data quality project to correct and address noncompliance
- Using ARRA funds to modify existing or develop new systems

Strategies for increasing personnel recruitment and use were major activities for many States. Personnel shortages were cited frequently as a reason for delay in providing services in a timely manner. There were a number of efforts to recruit and retain providers. Some States were able to secure funds to hire additional providers (especially therapists), contract with new vendors, and increase provider rates in order to pay more competitive salaries. Strategies included:
- Using staff hired by the State to cover rural areas and other areas of critical shortage
- Hiring retired county school personnel within a structure that allows them to work part time
- Realigning service coordinator positions to increase pay rate by 10%
- Special rates for therapists

- Using ARRA funds for training

CONCLUSION

States have made consistent progress towards meeting the requirements of providing services to children in a timely manner, are using multiple strategies, and enlisting the support of Office of Special Education Programs (OSEP) TA providers to assist them in their efforts. While there is still a lot of emphasis on corrective action, there are also many more efforts aimed at addressing key barriers to providing timely services. With continued support and oversight, there is every reason for States to continue to progress towards the 100% target for providing services to all infants and toddlers with IFSPs in a timely manner.

INDICATOR 2: SETTINGS
Completed by NECTAC

Indicator 2: Percent of infants and toddlers with IFSPs who primarily receive early intervention services in the home or community-based settings.

INTRODUCTION
This summary of Indicator 2 is based on a review of APRs for FFY 2008 of 56 States. For the purposes of this report, the term "State" is used for both States and territories.

Indicator 2 documents State performance regarding the extent to which early intervention services for eligible children are being provided in "natural environments." OSEP instructed States to use the Section 618 settings data tables as their data source for calculations of performance. Several States included data from additional sources, such as local program data, parent surveys, chart reviews, and quarterly monitoring data.

For this analysis, all data have been carried out to one decimal place as submitted by States.

STATE CRITERIA FOR DEFINING NATURAL ENVIRONMENTS (FFY 2008)

Data Sources
The 618 data tables used for this collection period were revised in 2006. There are three reporting categories: "home", "community- based", and "other". In the revised Section 618 tables, "home" and "community-based" are the settings that correspond with children served in the "natural environment". Instructions for the revised tables use the "other" category to code settings such as provider locations, hospitals, residential schools, and programs for children with delays or developmental disabilities as the "non-natural environment". The instructions for the FFY 2008 APR were revised to match the settings descriptions in the 2006 Section 618 data tables.

COMPARISON OF SERVICES IN NATURAL ENVIRONMENTS FFY 2005, 2006, 2007, AND 2008:
For FFY 2008 reporting period, 33 States were at or above 95% for services provided in the natural environment. Fourteen additional States reported services in the natural environment between 90% and 94%. Six States moved from the 80% - 90% range reported last year into the 90-100% range for this year. For the FFY 2008 reporting period, a total of 47 States were at or above 90% of services provided in home or community settings.

Figure 1: Change from Baseline to FFY 2008 Actual Data

C-2   Change from Baseline to FFY 08-09 Actual Performance
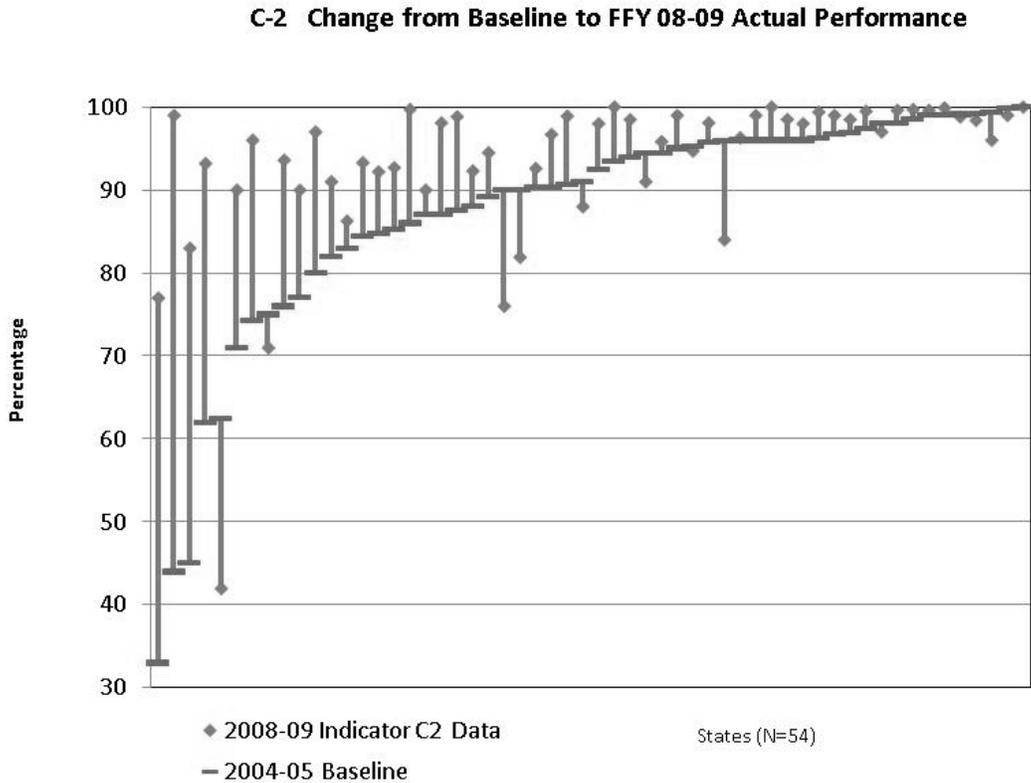
Figure 1 compares baseline to FFY 2008 actual data showing that a large number of States (n=34) set their baseline above 90%. Of the 34 States, 25 were at or above 95%. All but two States continue to be in this high range with little significant progress or slippage. Of the States below a 90% baseline, 18 have made progress over the four reporting years with eight States making significant progress in improving the percentage of children served in the natural environment. Seven States are below 95% and are experiencing slippage from baseline to FFY 2008 actual data. There were five States with the most significant slippage that will be discussed under "Explanation of Slippage".

Figure 2: Four Year Trend Data

Trends - Four Years of Indicator C2 Data

|	2005-2006	2006-2007	2007-2008	2008-2009
Mean	89.95	91.72	92.18	93.40
Highest	100.00	100.00	100.00	100.00
Lowest	48.00	52.72	46.00	42.00
No Data	0	0	0	0
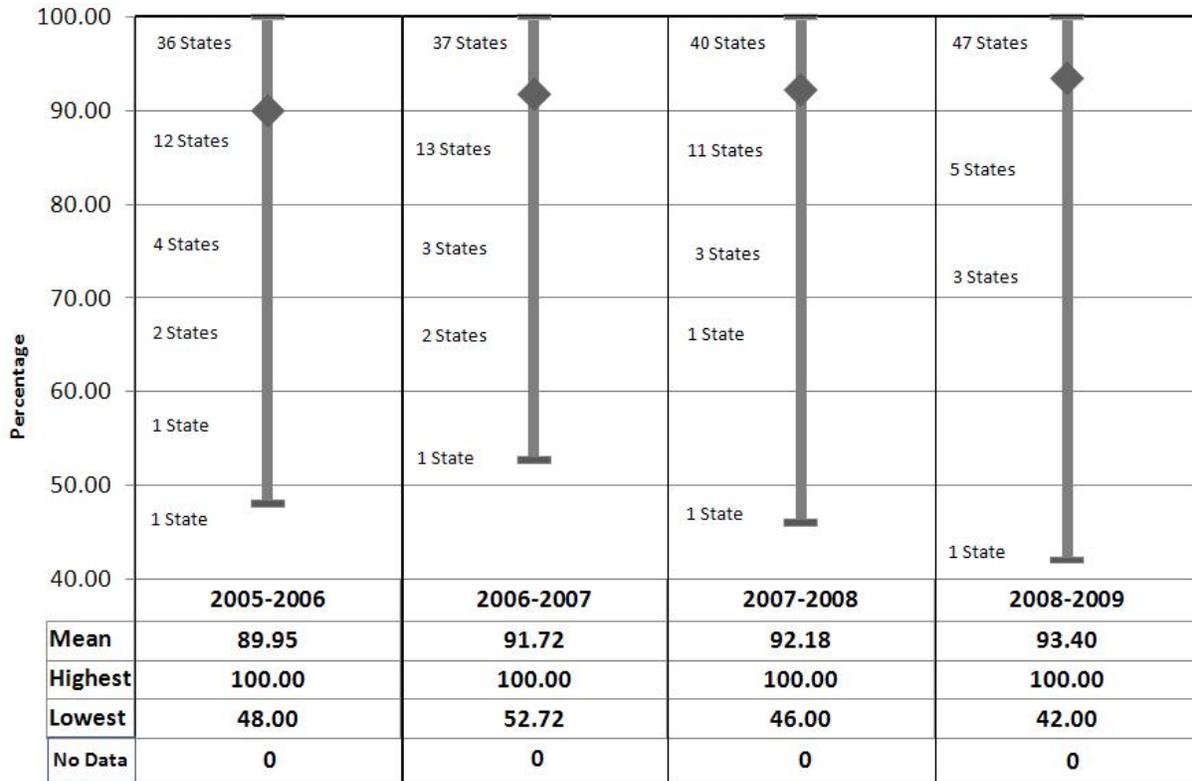
Figure 2 compares trend data over the four reporting periods showing little change in range or mean. The mean of actual performance over time shows a small but steady increase at and above 90%. This small percentage of change appears to be due to the high number of States whose original baseline was above 90% and continue to remain within the 90-100% range. There has been some upward movement of States previously reporting within the 80% - 90% range into the 90-100% range for this year. One State originally reported in mid-range for baseline (60% - 70%) has now fallen to 42%. This is a four percentage point drop from their FFY 2007 percentage. While there are currently a large number of States (n=47) reporting over 90% of services provided in the natural environment, four States fell at or below 80% reporting actual data at 77%, 76%, 71%, and 42% respectively in FFY 2008.

As previously stated, Indicator 2 is a performance indicator. States individualize services to meet the specific needs of each child. There is not an expectation that 100% of all services must be provided in the natural environment. There may be variation each year that reflects the needs of eligible children in each State. However, three States reported in FFY 2008 that all children received 100% of services in the home or community settings categories.

EXPLANATION OF PROGRESS AND SLIPPAGE

Figure 3: Progress and Slippage

C2 Progress/Slippage from 2007-08 to 2008-09
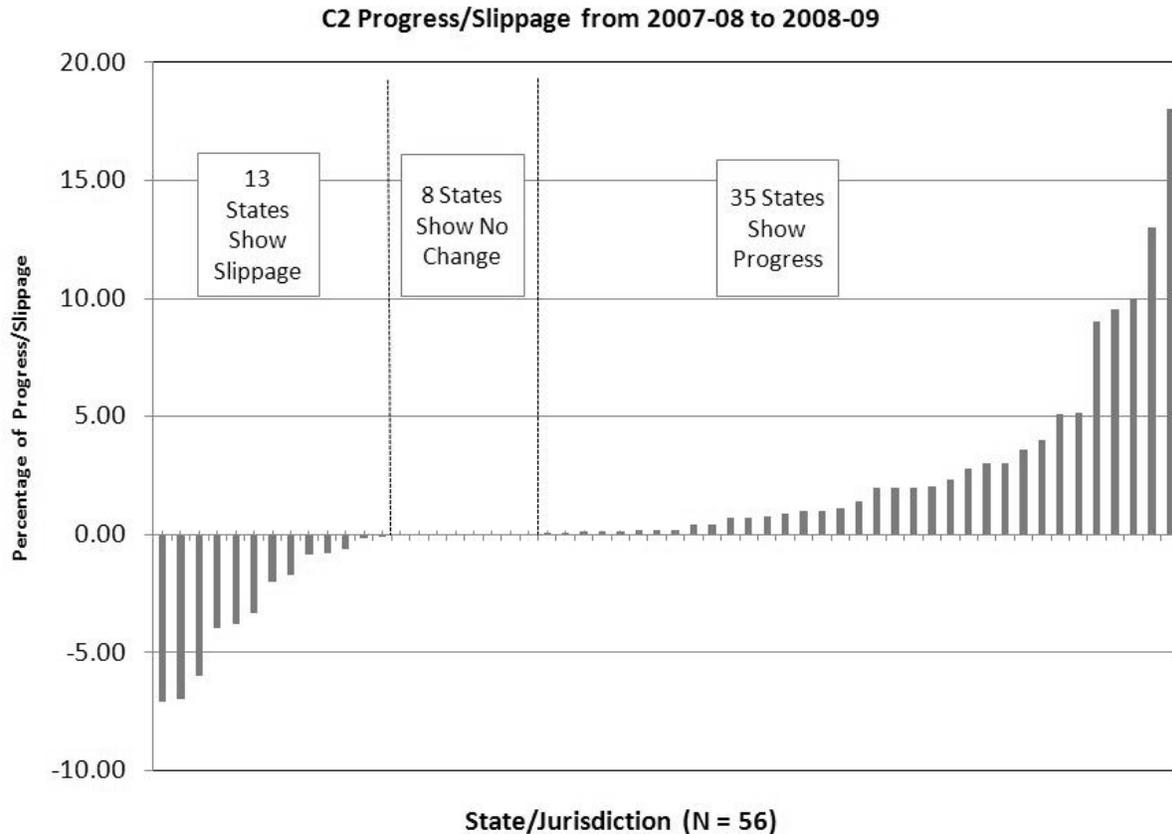
Explanation of Progress

For this analysis, OSEP defined progress as any percentage point increase from the reported FFY 2007 actual percentages of children served in the natural environment. When using this definition, 35 States demonstrated progress. Of the 35 States, fifteen States made incremental progress between .01% and 1%, seven States made progress between 1% - 2%, five States made progress between 2.3% - 3.6%, three States made progress between 4% - 5.1%, four States made progress between 9% - 13%, and one State reported an 18% increase in progress. The State making the most progress of 18% is a small State serving a small number of children.

Table 1: States Experiencing the Most Significant Progress in FFY 2008

Baseline	FFY 05	FFY 06	FFY 07	FFY 08	Progress reported in FFY 08
44	60%	60%	81%	99%	18%
90	86%	84%	63%	76%	13%
74	81%	89%	86%	96%	10%
76	85%	88%	84%	94%	9.5%
45	48%	62%	74%	83%	9%

Of the five States making the most progress for FFY 2008, two States moved from very low baselines and made steady progress over the subsequent three reporting periods. The States now report in the 80th and 90th percentiles respectively. Another State that began with a baseline in the 90th percentile fell to 63% in FFY 2007, reporting that data had been incorrectly gathered in previous years. This State made a 13% gain from FFY 2007 to FFY 2008, but did not meet their target. Two States with baselines in the 70th percentile demonstrated steady gains and are now above 94%.

Explanations for progress from these States include working with the Data Accountability Center (DAC), National Early Childhood Technical Assistance Center (NECTAC), and their Regional Resource Center (RRC) to improve data collection and resolve previous data problems, requiring local programs that did not meet the State target to develop corrective action plans, and providing TA to local programs that did not meet State targets. Two of the five States reporting the most progress gave no explanation for the progress.

Other States reporting progress in FFY 2008 attributed long-term activities such as monitoring, training, and targeted TA to improve performance and better data collection as contributing factors. Two States mentioned providing financial incentives to local programs that reached or exceeded the State's target as well as penalizing those programs that did not reach or exceed the State target.

Explanation of Slippage
For this analysis, OSEP defined slippage as any percentage point decrease in FFY 2008 from FFY 2007 of children served in the natural environment. There were 13 States with slippage. Five of the 13 States reported slippage of less than 1%. Three States reported slippage between 1% - 3%. Five States reported slippage between 3.8% - 7.1%. Eight of the 13 States experiencing slippage remained in the overall range of 95-100%.

Table 2: **States Experiencing the Most Slippage from FFY 2007 to FFY 2008**

Baseline	FFY 05	FFY 06	FFY 07	FFY 08	Slippage
90%	55%	96%	89%	81.9%	-7.1%
91%	87.4%	89.5%	95%	89.5%	-7.0%
82%	97%	97%	97%	91%	-6.0%
70%	62.9%	52.7%	46%	42%	-4.0%
99.4%	99.8%	99.8%	99.8%	96%	-3.8%

Table 2 illustrates trend data for five States reporting the most slippage for FFY 2008 and that fell below their baselines. The State with the lowest percent of children served in natural environments experienced slippage for each reporting year and is well below their baseline. This State reported that the slippage is due to their need to use center-based treatment programs that do not provide services in natural environments. The State also reported that there are no other options in many rural areas for children to receive services. Two States reported similar issues and reported that slippage was due to the need for specialized services and limitations on where those services can be provided for Medicaid eligible children. Lack of service providers providing services in natural environments was also cited by the States experiencing slippage. One State reported the slippage was due to increased numbers of homeless families as a result of the economic down turn and an increased number of clinic programs focusing on services for children with autism. However, this State reported that 96% of all services provided were in the natural environment.

No Change
Eight States reported no change (0%) from FFY 2007 to FFY 2008.

IDENTIFIED ISSUES
Thirteen States specified one or more issues in implementing services in natural environments. These included personnel shortages of therapy providers, personnel not willing to drive long distances or work in family homes, poor quality of services, treatment centers delivering the only available services in some rural areas, financial /budget challenges to reimburse providers in natural environments, increasing numbers of medically fragile children, and increasing numbers of children with autism and children with complex needs. Three States specifically addressed one or more improvement activities targeted at an identified issue in this year's APR.

IMPROVEMENT ACTIVITIES
New this reporting period is the mention of the use of ARRA funds to support improvement activities. Fifteen States added new improvement activities supported with ARRA funds. Five States reported targeting provider recruitment/retention or addressed provider shortages in the State. Two States mentioned using ARRA funds to fill State budget gaps in order to keep service providers. Other States are using funds for a variety of training and technical assistance activities to support services in natural environments. Examples of specific activities include the following:
- Developing guidelines and training materials to serve children with autism

- Expanding pre-service and in-service training around topics related to best practices of service delivery by providing funding to three universities to develop training materials
- Contracting with outside entity to evaluate entire system to improve services in natural environments and service delivery
- Contracting with national experts to do a system capacity study
- Supporting six Special Quest teams to improve community collaboration
- Supporting eight TA positions across the State to do training and ongoing support for the Routine Based Interview (RBI) and Embedded Interventions
- Developing three pilots to use the Primary Service Provider Coaching model
- Funding a full time position in each Local Education Agency to focus on provider recruitment

Many of the improvement activities listed crossed Indicators 1 (timely services) and 7 (45-day timeline). Generally, States continued to report collecting the "right" data for monitoring compliance and performance. States are providing training and TA to service coordinators and services providers. They are creating on-line training materials. There are activities focusing on enhancing or redesigning their system of services to support best practices, improve performance and compliance, and correction of identified non-compliance. There are also activities related to reimbursement rate increases, increased Medicaid rate structures, and financial incentives provided to contracted private therapy providers.

Many of these broadly described activities are "on-going" in nature indicating that systemic change is a long-term process. Fourteen States mentioned that they are in the process of changing their service delivery system using words such as primary service provider, coaching, transdisciplinary team, and Routine Based Interview to describe their system change efforts.

Below are some examples of "featured improvement activities" that States described to address a particular issue for this indicator:
- ✓ The Special Quest State team is serving as the committee to provide oversight and advisement on CSPD activities to address inclusion and natural environments

- ✓ Created a new State level committee combining the Expanding Opportunities Partners and Early Intervention called "Building Capacity in Natural Environments" which will have a 0-5 focus in expanding community inclusive settings. This group will be making a "Tool Kit" to support quality inclusive practices

- ✓ Have been working with the TA Community of Practice (CoP) Part C Settings service delivery approaches workgroup looking to improve Statewide services. All materials posted from this workgroup have been distributed across the State

- ✓ Developed a CD-"Training Tools" for service coordinators which was distributed to all local programs for consistent training Statewide of service coordinators

- ✓ Provided training to teams and expanded the Coaching Model pilots to go Statewide by 2012. Strengthened contract language to include the emphasis on routine based interventions in natural environments and the role of the provider in using coaching practices

- ✓ Moving towards a transdisciplinary primary provider model and attempting to make Medicaid reimbursement changes to support these best practices

- ✓ All State level training now contains content on functional outcomes that are addressed in the natural environment within the context of daily routines

- ✓ Requiring more rigorous improvement plan strategies of local programs to write appropriate justification statements on the IFSP

- ✓ Working with a national project to build Statewide capacity to enhance a focus on supporting social and emotional development in natural environments

- ✓ Completed a therapy rate change which has gotten more contracted providers interested in early intervention. Have begun a new pilot project to help streamline Medicaid and insurance paperwork burden

USE OF COLLABORATIVE PROJECTS, INITIATIVES, AND TA CENTERS
OSEP funded TA training centers and projects specifically mentioned in this year's improvement activities included the Community of Practice - Service Delivery Models, and assistance from Mid-South Regional Resource Center (MSRRC), Western Regional Resource Center (WRRC), NECTAC, and DAC. Personnel from eleven States attended the session on "Service Delivery Approaches" at the December 2009 OSEP National Early Childhood Meeting in Washington DC and have continued to participate in ongoing discussions through conference calls sponsored by the CoP and NECTAC. Within improvement activities for this indicator there are other collaborative initiatives and partners mentioned including Expanding Opportunities, Special Quest, WestEd, State (UCEDD's), State universities, private consultants from previously funded OSEP projects, and initiatives with State level early care and education councils and committees.

INDICATOR 3: INFANT & TODDLER OUTCOMES
Prepared by ECO

Indicator 3: Percent of infants and toddlers with IFSPs who demonstrate improved:
   A. Positive social-emotional skills (including social relationships);
   B. Acquisition and use of knowledge and skills (including early language/communication); and
   C. Use of appropriate behaviors to meet their needs.

INTRODUCTION
This summary is based on information reported by 56 States and jurisdictions in their revised State Performance Plans (SPPs) and/or APRs submitted February 2010. Only information specifically reported in the SPPs/APRs was included in the analysis. Therefore, it is possible that a State or jurisdiction may be conducting an activity or using a data source or assessment that is not included in this summary. In some cases, States did not repeat some of the details about their approach that they reported in last year's SPP/APR. In those cases, we assumed the information from last year's report was still accurate. States and jurisdictions will be called 'States' for the remainder of this report.

MEASUREMENT APPROACHES
States provided a description of the approach they are taking to measure child outcomes, as presented in Table 1. Of the 56 States reporting, 41 (73%) are using the ECO Child Outcomes Summary Form (COSF). One of those States reported they are switching to the publishers' online analysis for all programs in FFY 2009. Seven States (13%) are using one assessment tool statewide. Of those, four are using the Battelle Developmental Inventory (BDI)/ Battelle Developmental Inventory, Second Edition (BDI-2), two are using the Assessment, Planning, and Evaluation System (AEPS), and one is using the Oregon. Three States (5%) are using publishers' online analysis and reporting systems. States using the publishers' online system reported using one or more of these formal assessments: Ounce, High Scope, Creative Curriculum, or AEPS. One State reported they are switching to the COSF in FFY 2009 and will no longer use the AEPS. Finally, five States (9%) developed other approaches to measuring child outcomes: a chart by chart physical extraction by the lead agency to compare the ratio of functional age to chronological age at entrance and exit; a State-developed platform that translates scores from four approved assessment tools to the State Early Learning Guidelines/Early Learning Standards and OSEP categories; a State developed methodology calculating percent delay based on assessment scores entered into a database by providers; a State developed process for calculating developmental age compared to chronological age; and a State-developed summary tool. Approaches remained the same as last year except that two States implementing their own unique approaches to measuring outcomes reported plans to switch to a new approach based on a review of their current system and stakeholder input. One State has indicated they will likely switch to one Statewide tool (BDI) and the second State has formed a taskforce to review the methodology and make recommendations. Those recommendations will be reported in July 2010 and may lead to a change in approach.

Table 1: Types of Approaches to Measuring Child Outcomes (N=56 States)		
	# and % of States	
Type of Approach	**Current**	**Future**
7-point COSF	41 (73%)	41 (73%)
One statewide tool	7 (13%)	8 (14%)
Publishers' online analysis	3 (5%)	3 (5%)
Other	5 (9%)	3 (5%)
Not known		1 (2%)

*Percentages do not always add up to 100% due to rounding

ASSESSMENT TOOLS
Most States listed formal assessment instruments that are used as part of their approach to measuring child outcomes. The most commonly reported assessment tools were: Hawaii Early Learning Profile (HELP), AEPS, BDI or BDI-2, Carolina Curriculum, Early Learning Accomplishment Profile (ELAP), Developmental Assessment of Young Children (DAYC), Bayley Scales of Infant and Toddler Development, Infant-Toddler Developmental Assessment (IDA), Brigance Inventory of Early Development, High/Scope Child Observation Record (COR), Ages & Stages Questionnaires (ASQ), and the Creative Curriculum Developmental Continuum. The most frequently reported tools remained the same as last year, with minor changes in the number of States reporting each tool. See Figure 1 below for most frequently reported assessment instruments.

Figure 1
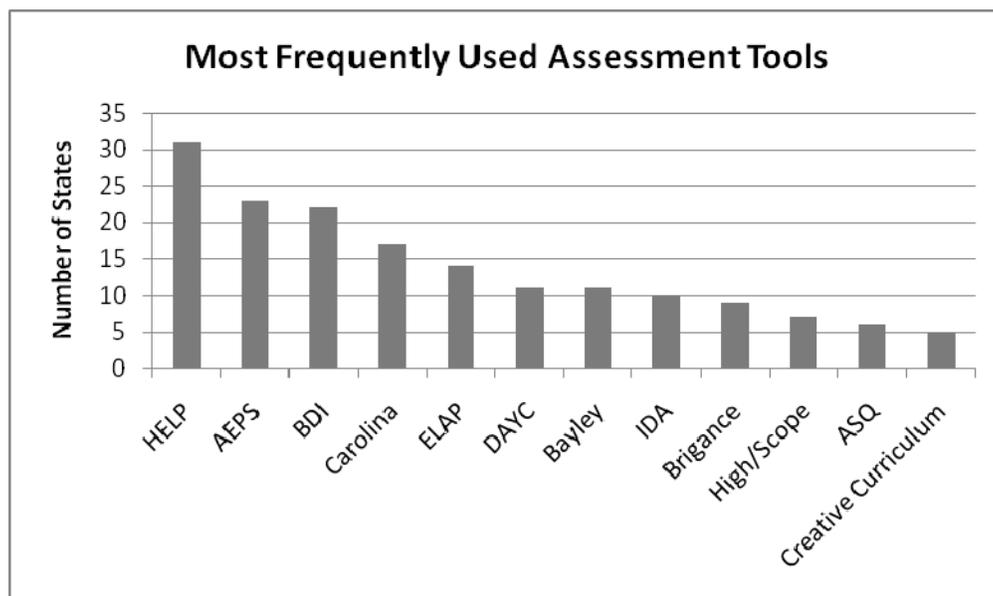
Two thirds of all States (68%) reported they have a list of approved tools for selection by programs, a slight increase from last year's 66%. By definition, States using one Statewide tool provided only one formal assessment option. Those States reported

using the BDI or BDI-2, AEPS, or the Oregon. States using the publishers' online system reported using one or more of these formal assessments: Ounce, High Scope, Creative Curriculum, or AEPS. Of the 41 States using the COSF, 23 States (56%) reported having a list of approved tools with the most commonly mentioned assessments being the HELP, AEPS, BDI or BDI-2, and Carolina Curriculum.

In addition to formal assessment instruments, many States reported other key data sources in the child outcomes measurement process, including parent/family input (56%), professional observation (57%), and clinical opinion (16%). For States using one Statewide tool or publishers' online or other formal assessments, it is important to note that some of the instruments include parent input, professional observation, and/or clinical opinion as part of the assessment. It is also important to note that some States reported a more general use of 'all data sources available' or 'a variety of data sources' but did not specifically mention parent input, professional observation, or clinical opinion.

POPULATION INCLUDED
Most States (52) are implementing their outcomes measurement systems Statewide, compared to 47 States at this time last year. One State reported they are still completing their phase-in process, but will be implementing their system Statewide by July 2010. Three others have opted to use a sampling plan, although one of those States reported they will only sample for one additional year.

Seven States have set policies related to the minimum age a child must be before entry data are collected, delaying the entry data collection until the child reaches 4-6 months of age.

DEFINITIONS OF NEAR ENTRY AND NEAR EXIT
State definitions of 'near entry' and 'near exit' data collection were the same as FFY 2007 except for minor clarifications and a few additional States providing definitions. Of the 56 States reporting, 51(91%) provided a State definition of 'near entry.' As noted in the FFY 2007 summary, definitions varied in terms of timelines starting from different points – intake, referral, eligibility, assessment, initial IFSP, services, or enrollment (e.g. within 45 days of referral, within 30 days of eligibility, at initial assessment, as part of intake, prior to initial IFSP, within 45 days of initial IFSP, within 6 weeks of entry, or within 60 days of beginning services). The most common reference point was relative to the initial IFSP, though there was still much variation. The earliest point or the nearest to entry defined by a State was 'as part of intake' and 'with eligibility determination.' The latest point defined by a State was within 6 months of enrollment.

Of the 56 States reporting, 51 (91%) provided a State definition of 'near exit.' Definitions of 'near exit' varied as well, with some States' definitions in reference to a particular event (e.g. at the exit conference or at evaluation closest to exit) while other States' definitions were within a certain number of days or months from exit or the end of Part C services (e.g. within 60 days of exit, within 30 days of last service date).

CRITERIA FOR COMPARABLE TO SAME AGE PEERS

As noted last year, the criteria States set for functioning at the level of "same age peers" depended upon measurement approach. For States using the COSF process, a rating of 6-7 on the 7-point rating scale indicated that a child's functioning met age expectations. States using one tool statewide or publishers' online assessments applied developer or publisher-determined standard scores, developmental quotients, or age-based benchmarks and cut-off scores. States using publisher online systems were working with publishers to determine cut-off scores for age expectations, as well as for scores corresponding to each of the five progress categories. Only two States clearly adjusted their criteria. One State determined that a standard score on the BDI of 78 (rather than 80) was comparable to same age. A second State adjusted their criteria that distinguish categories 'b' and 'c' so that children with any item gain and overall score of less than the 50th percentile (rather than 40th) are counted in 'b' and children with an exit score greater than the 50th percentile (rather than 40th) but less than 80th are counted in category "c."

PROGRESS DATA FOR FFY 2008

All 56 States and jurisdictions provided progress data for children exiting in the reporting period. The number of children included in State data ranged from eleven to 7,998 children. Nearly one third (29%) of States reported progress data for at least 100 but not more than 499 children. Thirty-four (60%) reported progress data for 500 or more children. Very few States (less than half as many as last year, which was half again as much as 2007) still have less than 100 children in their data. Some States provided explanations about the small number of children related primarily to the phase-in process and/or the fact that some children for whom entry data were collected have not exited the program yet. It is also important to note that five of the six States with the smallest number of children in their progress data are jurisdictions with overall smaller populations. The table below summarizes the numbers of children included in progress data reported across States:

Table 2: Total Number of Children States Included in Progress Data		
# of children reported	# of States FFY 2007	# of States FFY 2008
99 or less	13	6
100-499	25	16
500-999	6	13
1000-1999	9	11
2000+	3	10
	Range = 5-6452	Range = 11-7998
Note: N's for all 3 outcomes did not always match		

Analysis of the progress data reported in FFY 2008 (presented in Figure 2) is based on the percentages States reported in each of the five progress categories for each of the three outcome areas: (a) percentage of children who did not improve functioning, (b) percentage of children who made progress but not sufficient to reach a level nearer to their same age peers, (c) percentage of children who made progress sufficient to reach

a level nearer to their same age peers, (d) percentage of children who made progress sufficient to reach a level comparable to their same age peers, and (e) percentage of children who maintained a level comparable to their same age peers.

For all the progress categories, there was a wide range of percentages reported by States. At this time, data are not necessarily representative of the children served as States are still in the early stages of implementing their outcomes measurement systems. This analysis has been designed using the State as the unit of analysis (averages across States) to provide a general view of the data patterns and allow a State to compare themselves to the national average. In the future, when State systems have representative data and reliability and validity assurances are in place, the unit of analysis may be the child (rather than State) for a national report on the progress of children in the Part C program.

Figure 2
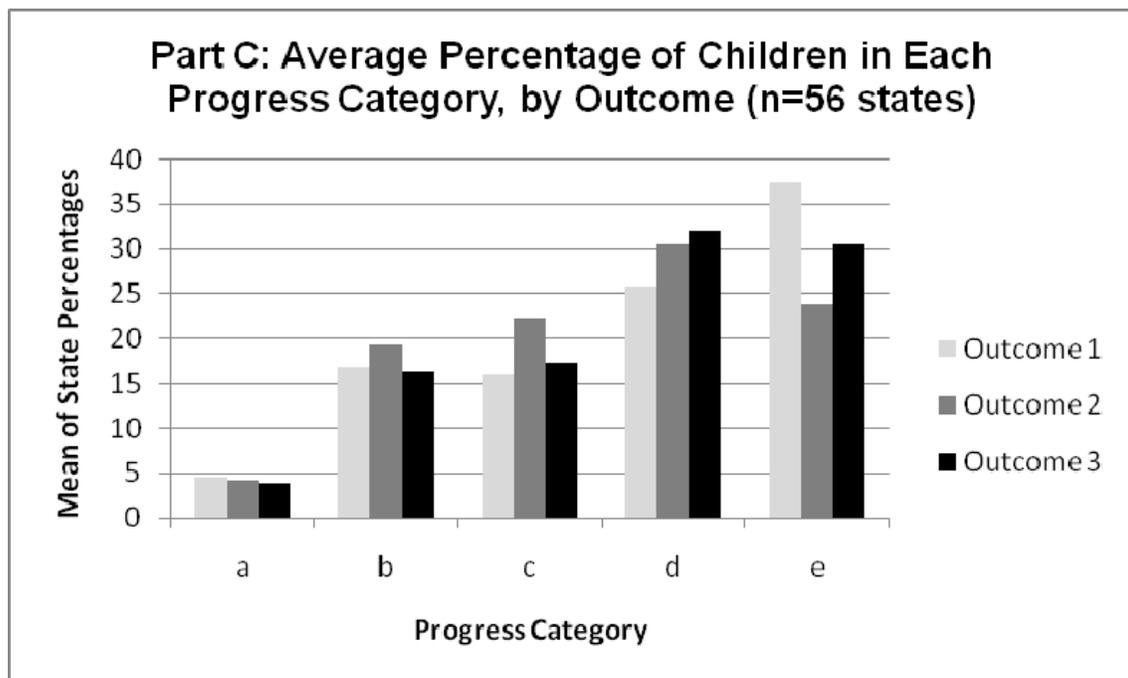
The overall patterns for FFY 2008 data are very similar to FFY 2007 patterns as well as the previous year FFY 2006. By far the lowest percentages have been in category 'a' and percentages generally increased in categories 'b' through 'e.' For Outcomes 1 and 3, the average of State percentages of children in categories 'b' and 'c' were very similar. Likewise, the average percentages for Outcome 3 categories 'd' and 'e' were only slightly different. This year, Outcome 2 again had a pattern where percentages in category 'd' are notably higher than category 'e.' While Outcome 3 had a lower percentage in 'e' than 'd,' the difference was only slight. Table 3 below shows a comparison of data reported this year with data reported last year in the five progress categories, per outcome area.

Table 3: Progress data reported this year (FFY 2008) compared with last year (FFY 2007) in percentages of children per category a-e

		% 'a'	% 'b'	% 'c'	% 'd'	% 'e'
Outcome 1	**FFY 08**	5	17	16	26	37
	FFY 07	6	17	16	24	38
Outcome 2	**FFY 08**	4	19	22	31	24
	FFY 07	6	19	21	30	25
Outcome 3	**FFY 08**	4	16	17	32	31
	FFY 07	4	17	17	29	33

Progress category 'a' – percentage of children who did not improve functioning

For progress category 'a', the average of State percentages were between 4% and 5%, with Outcome 1 slightly higher than Outcome 2 which in turn was just slightly higher than Outcome 3. The percentage of children in category 'a' varied widely across States. Compared to last year, there was a decrease in overall means for category 'a' in all three outcome areas, most notably for Outcome 2 where the average percentage decreased by almost two percentage points. As reported last year, this trend may be attributed to States that provided additional training to local programs to clarify data collection and reporting procedures with regard to the definition of "progress."

Progress category 'b' – percentage of children who made progress but not sufficient to reach a level nearer to their same age peers

The average of State percentages of children in category 'b' was three and one-half to four and one-half times those in 'a', with a range of 16% to 19% across the three outcome areas. Similar to last year's data, the average for Outcome 2 was slightly higher than for Outcomes 1 and 3.

Progress category 'c' – percentage of children who made progress sufficient to reach a level nearer to their same age peers

The average of State percentages of children in category 'c' was very similar to 'b, and ranged from 16% to 22% across the three outcome areas. Like last year, the average for Outcome 2 was higher than that for Outcomes 1 and 3 – on average, States reported more children 'closing the gap' for Outcome 2 than Outcomes 1 and 3.

Progress category 'd' – percentage of children who made progress sufficient to reach a level comparable to their same age peers

The average of State percentages for category 'd' was significantly higher than 'c' (which was true last year as well) and ranged from 26% to 32% across the three outcome areas. The average for Outcomes 2 and 3 were notably higher than that for Outcome 1 – on average, States reported more children 'closed the gap' for Outcomes 2 and 3 than for Outcome 1. This year, the average for Outcome 3 is slightly higher

than for Outcome 2, a switch from last year (although in both years the averages for the two outcomes were very similar).

Progress category 'e' – percentage of children who maintained a level comparable to their same age peers

The average of State percentages for category 'e' varied widely, with the average percentage of Outcome 2 being 24% while Outcomes 1 and 3 were considerably higher at 37% and 31% respectively. This pattern was similar last year. Across the outcomes, States reported that a lower percentage of children maintained age appropriate functioning in Outcome 2. A few States commented on their high percentages in category 'e' and reported they are investigating possible explanations. Primarily, States using the online publisher analysis or one tool statewide reported concerns about translating assessment data to the OSEP categories.

An analysis comparing across States grouped by percentage of children served had some interesting results. As illustrated in Figures 3, Outcome 1 showed an increase in percentage reported in 'e' as the percentage of children served increased. The patterns for Outcomes 2 and 3 were similar – the percentage in 'e' tended to be higher as the percentage of children served increased (although not always).

Figure 3
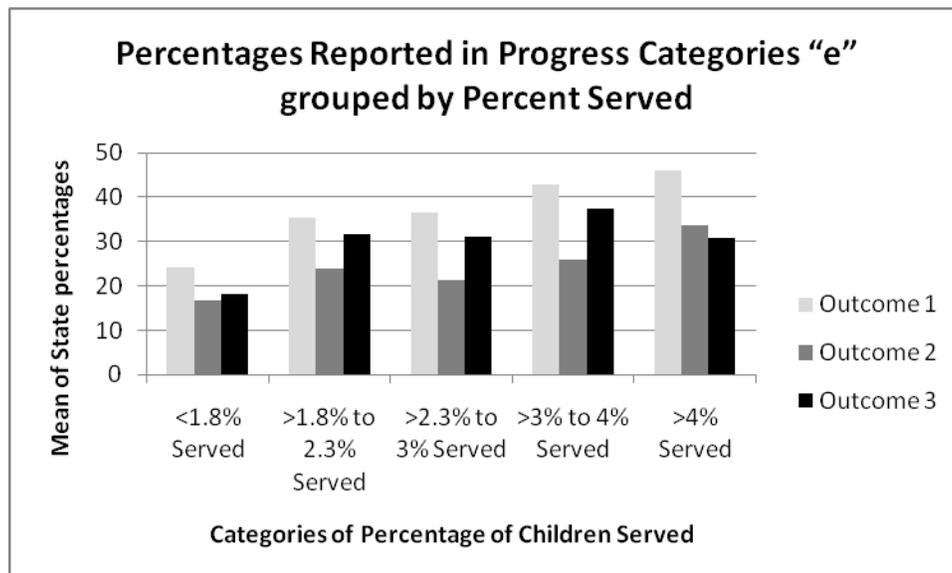
BASELINE DATA

In SPPs submitted February 2010, States established baselines and set targets for the first time for the child outcomes indicator. Baselines and targets are not set on the five progress categories for each outcome area, but instead are set on two 'summary statements' per outcome. Summary Statement 1 combines data from progress categories 'c' and 'd' to reflect the percentage of children who made greater than expected progress. Summary Statement 2 combines data from progress categories 'd'

and 'e' to reflect the percentage of children who left the preschool program functioning at age level.

The APR measurement table describes the summary statements, and the formulas for calculating them, as follows:

Summary Statement 1:
Of those infants and toddlers who entered or exited early intervention below age expectations in each Outcome, the percent who substantially increased their rate of growth by the time they turned 3 years of age or exited the program (c+d/a+b+c+d) times 100.

Summary Statement 2:
The percent of infants and toddlers who were functioning within age expectations in each Outcome by the time they turned 3 years of age or exited the program (d+e/a+b+c+d+e) times 100.

Baseline data reported for Summary Statement 1 showed that across States an average of 63% of children substantially increased their rate of growth in Outcome 1. Outcomes 2 and 3 were notably higher, with Outcome 3 slightly higher than Outcome 2. On average, fewer children increased their rate of growth in Outcome 1.

Table 4: Baseline Data FFY2008 – Summary Statement 1 (children who substantially increased their rate of growth), by Outcome	
	Average of percents reported by States
Outcome 1	63%
Outcome 2	68%
Outcome 3	69%

Baseline data reported for Summary Statement 2 showed that across States an average of 63% of children were functioning within age expectations by the time they exited the program in Outcome 1 and only slightly lower (62%) for Outcome 3. The average percentage for Outcome 2 was notably lower at 54%. On average, fewer children exited at age expectations in Outcome 2.

Table 5: Baseline Data FFY08—Summary Statement 2 (children who were functioning within age expectations by the time they exited the program), by Outcome	
	Average of percents reported by States
Outcome 1	63%
Outcome 2	54%
Outcome 3	62%

An analysis comparing across States grouped by percentage of children served had some interesting results. As illustrated in the figure below, Outcome 1 showed an

increase in percentage reported in Summary Statement 2 as the percentage of children served increased. The patterns for Outcomes 2 and 3 were similar although not as clear as Outcome 1.

Figure 4

Percentages Reported in Summary Statement 2 grouped by Percent Served
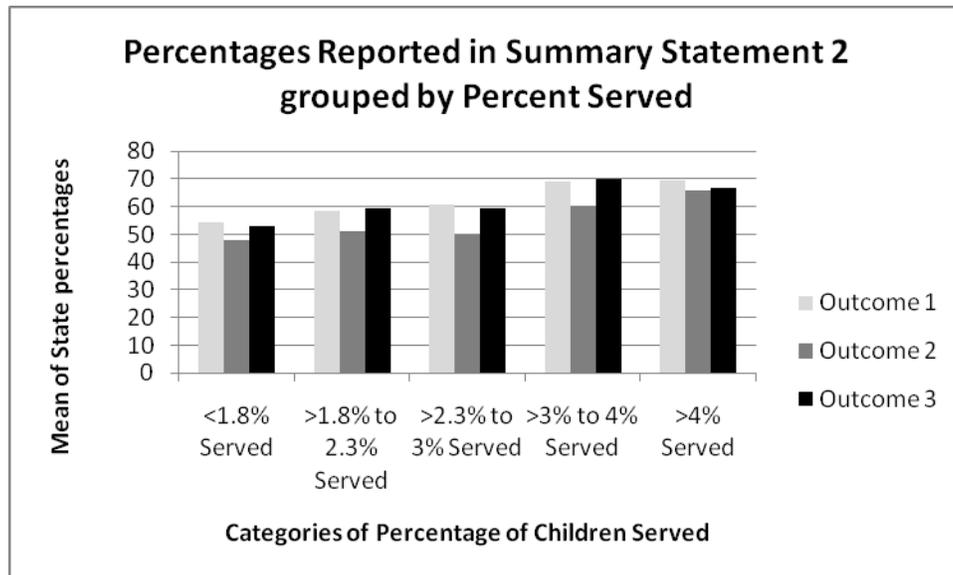
TARGETS
All 56 States and jurisdictions set targets for FFY 2009 and FFY 2010 -- the final two years of this six year SPP reporting period. Because this is just the third year States have reported progress data, and outcomes measurement systems are in early stages of implementation, States were not expected to set particularly high targets for the next fiscal year. Per OSEP guidance, States were permitted to set FFY 2009 targets that were the same as, or lower than, baseline. Targets for FFY 2010, however, were expected to be higher than the baseline summary statements established this year. Figures 5 and 6 below present State reported baseline data, target data for FFY 2009, and the target data for FFY 2010 for each summary statement, per outcome area. Each bar represents the State average.

Figure 5

Summary Statement 1: Percent of children who increased their rate of growth while in Part C

Figure 6

Summary Statement 2: Percent of children who exited Part C at age expectations
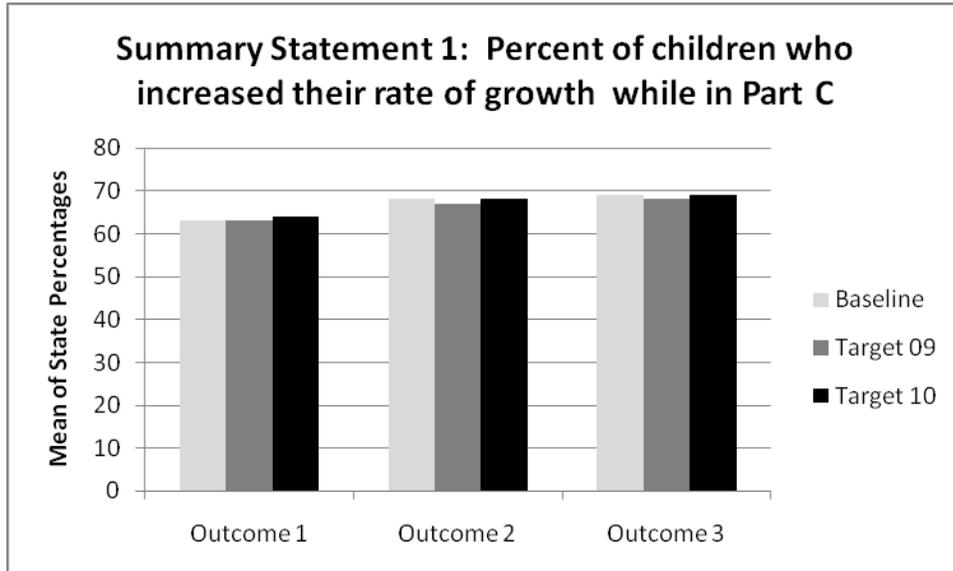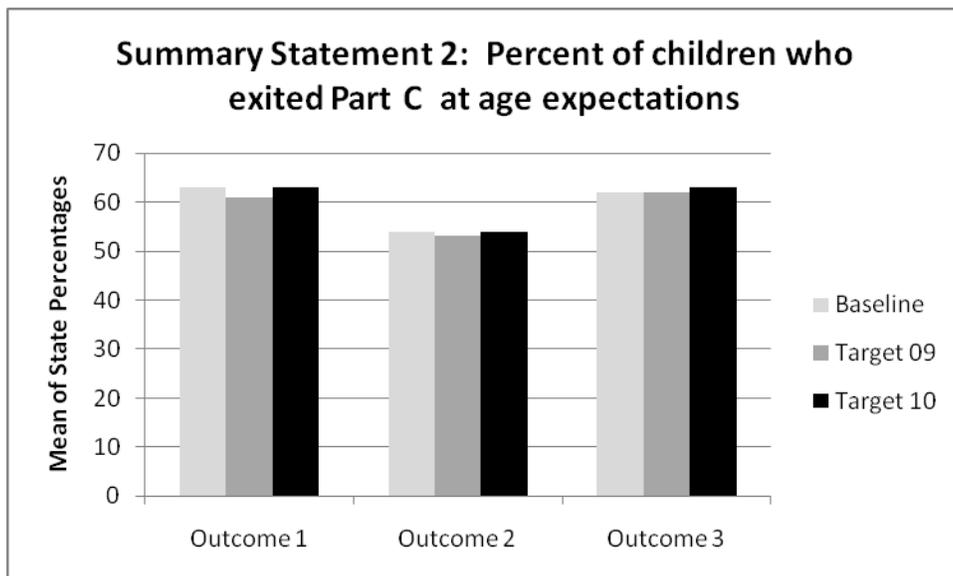
FFY 2009 Targets

As permitted, approximately two thirds of all States set FFY 2009 targets at or below baseline for both summary statements. For Summary Statement 1, 22 States set targets equal to baseline for Outcomes 1 and 3, and 21 States set targets equal to baseline for Outcome 2. One fourth or more of States set targets below baseline. Of the States that set targets below baseline, four to five States set targets less than -5 lower than baseline. States that set their targets higher than baseline were relatively

conservative—most set targets .01 to 1 percentage point higher than baseline. Only three States set targets greater than one percentage point higher than baseline. Figures 7 through 9 below present the targeted change from baseline to FFY 2009 for Summary Statement 1 for all States. Each bar represents a State and the data are sorted from lowest to highest percentage change targeted.

Figure 7

Predicted Change for FFY09
Summary Statement 1, Outcome 1

Figure 8

Predicted Change for FFY09
Summary Statement 1, Outcome 2
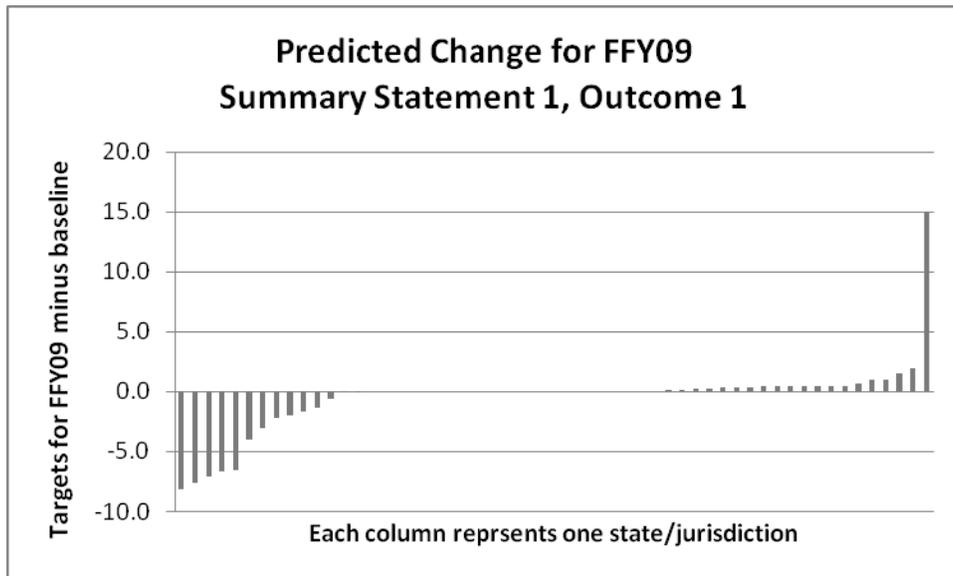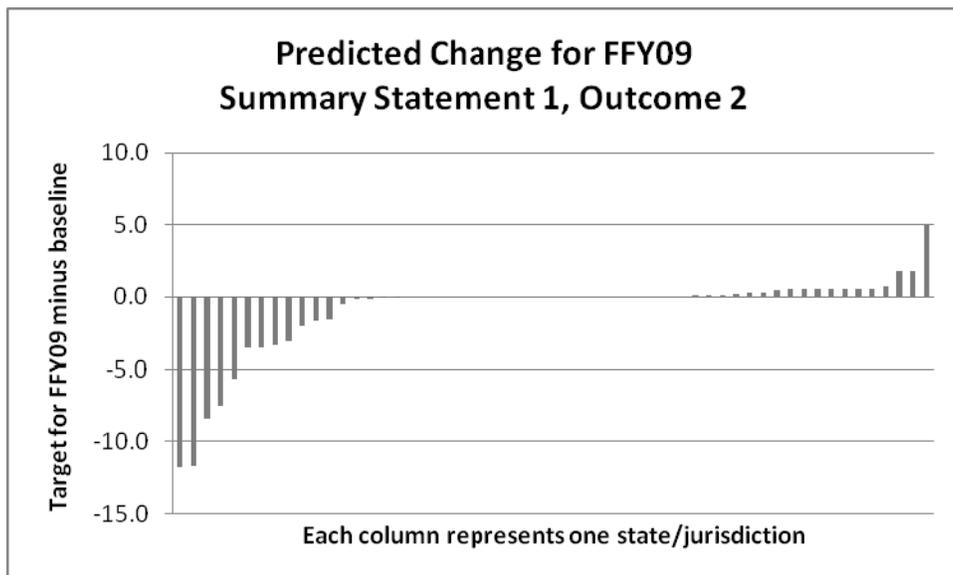
Figure 9
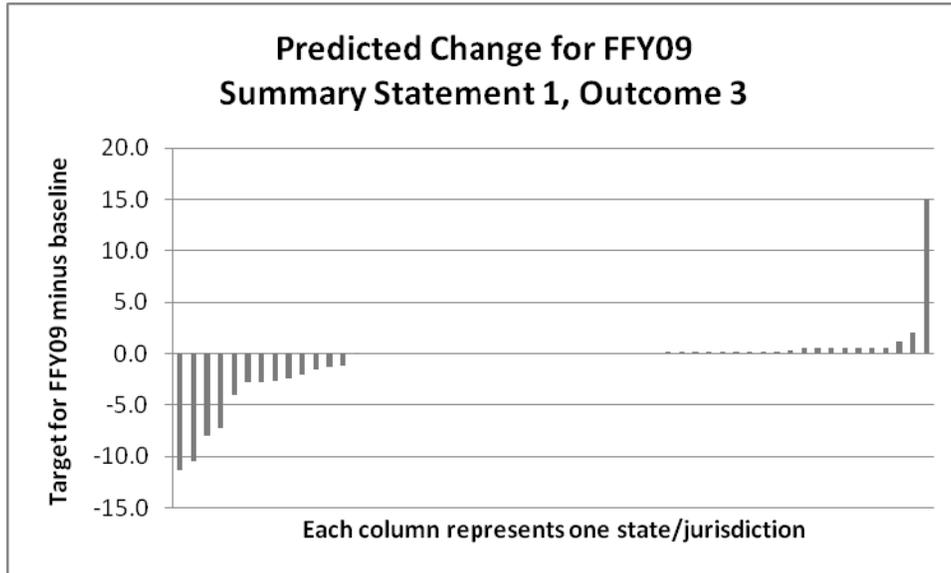
The pattern is similar for Summary Statement 2, where 21 States set targets equal to baseline for Outcomes 1 and 3, and 19 States set targets equal to baseline for Outcome 2. More than one fourth of States set targets below baseline. Of the States that set targets below baseline, three to five States set targets less than -5 lower than baseline. States that set their targets higher than baseline were relatively conservative—most set targets .01 to 1 percentage point higher than baseline. Only two to three States set targets greater than 1 percentage point higher than baseline.

Figures 10 through 12 below present the targeted change from baseline to FFY 2009 for Summary Statement 2 for all States. Each bar represents a State and the data are sorted from lowest to highest percentage change targeted.

Figure 10

Targeted Change for FFY09
Summary Statement 2, Outcome 1

Target for FFY09 minus baseline

Each column represents one state/jurisdiction

Figure 11

Targeted Change for FFY09
Summary Statement 2, Outcome 2

Targets for FFY09 minus baseline

Each column represents one state/jurisdiction

Figure 12

Targeted Change for FFY09
Summary Statement 2, Outcome 3
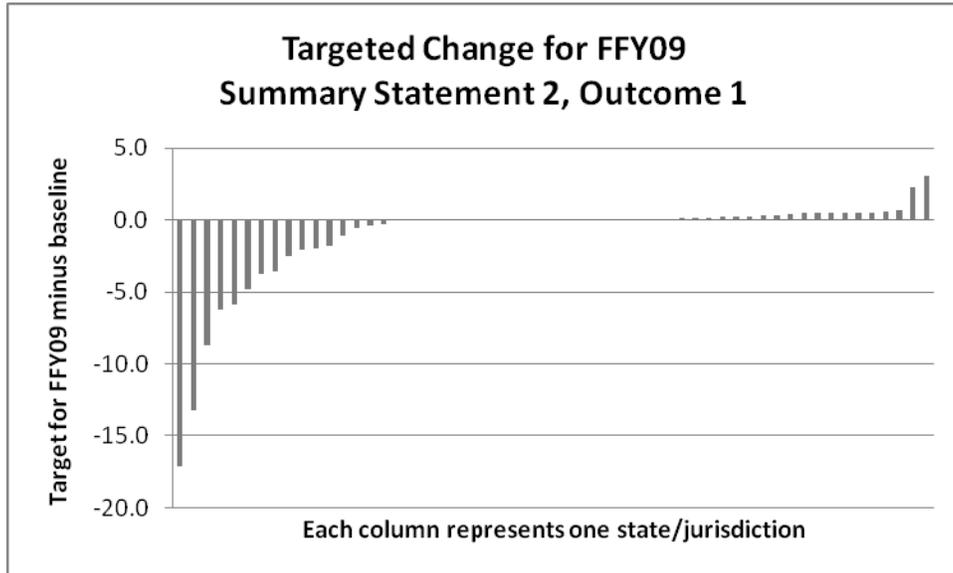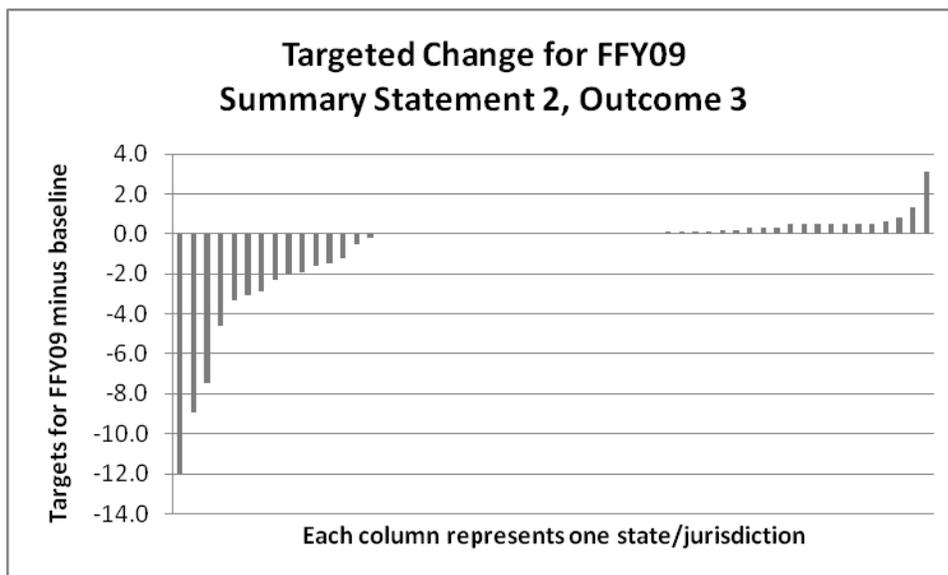
FFY 2010 Targets
States were instructed to set summary statement targets for FFY 2010 higher than the baselines established with the FFY 2008 data. For Summary Statement 1, most States set targets greater than baseline but equal to or less than 1% -- 34 States for Outcome 1 and 40 States for Outcomes 2 and 3. For all three outcomes, many States set targets greater than baseline but less than or equal to .5% higher than baseline – 20%, 23%, and 27% respectively. More States (15) set targets greater than 1% higher than baseline for Outcome 1, while fewer (ten) set targets more than 1% higher than baseline for Outcomes 2 and 3.

The patterns were similar for Summary Statement 2, where most States set targets greater than baseline but equal to or less than 1% -- 37 States for Outcomes 1 and 2 and 38 States for Outcome 3. For all three outcomes, many States set targets greater than baseline but less than or equal to .5% higher than baseline – 22%, 23%, and 24% respectively. Unlike Summary Statement 1, approximately the same number of States set targets greater than 1% higher than baseline for all three outcomes – 11 States for Outcome 1 and 12 States for Outcomes 2 and 3.

Many States provided a rationale for setting conservative targets. Some States were conservative in their target setting in anticipation of changes to their outcomes measurement system including new procedures for local programs, adjustments to how assessment data translates to the OSEP categories, and (for a few) a change in their overall approach. A number of States reported that their data were not yet representative of their program as they did not yet have a full cohort of children in the data. Also, some States were concerned about data quality issues including a high percentage of children in category 'b' or 'e,' unstable trend data, or general knowledge that programs were not always following established procedures. Those States typically

described plans for further investigating issues and providing training or other follow up, as appropriate. Finally, a few States reported a change in their eligibility criteria which could potentially decrease rather than increase percentages in Summary Statements 1 and 2.

IMPROVEMENT ACTIVITIES
Looking across improvement activities for all 56 States and jurisdictions, most activities related to one of four areas: (1) conducting professional development activities; (2) clarifying or developing policies, procedures, or guidance; (3) improving the data system for capturing and analyzing data; and (4) implementing quality assurance procedures to increase the quality of the data. A number of States have begun to report improvement activities for this indicator that go beyond improving the data collection and reporting system and directly relate to improving outcomes for children.

By far the most common type of improvement activity described in State SPP/APRs relates to conducting professional development activities to ensure administrators and providers have the competencies for implementing the Outcomes Measurement System. Increasingly, States are using technology to enhance professional development – developing online training modules, videos to illustrate skills, and webinars. Additionally, some States are integrating the orientation and training on outcomes data collection into the overall orientation and training for Part C for new staff.

Some featured improvement activities related to professional development for improving the data collection system:
- Develop and disseminate YouTube training module on the child outcomes
- Develop and implement electronic training module for independent study
- Training on integrating COSF process into existing IFSP process
- Develop a training video to add to the online training; use real families and providers to demonstrate key areas of the outcomes process
- Incorporating outcomes training into the foundational training for service coordinators
- Regional agencies have orientation and initial training program that includes training on child outcomes data collection and reporting

A second, increasingly more common, type of improvement activity described in State SPP/APRs relates to quality assurance. Many States are increasing their focus on data quality, and implementing strategies such as reviewing individual assessment or COSF data, conducting extensive data analysis and pattern checking, supporting local programs in conducting data reviews, and building the child outcomes data into monitoring procedures.

Some featured improvement activities related to increasing data quality:
- Incorporate child outcomes into overall monitoring process
- Sharing data reports with local programs for their review and input around quality of the data

- Web based 'data verification page' shared with providers so local programs can check for quality
- Self assessment process for providers to check for quality
- Train staff in procedures for reviewing completed COSFs to identify need for additional training/TA
- Support local programs to review and clean their data prior to submission
- Support local system evaluation and development of improvement activities
- Conduct COSF implementation survey to determine degree to which procedures are followed with fidelity; use results to guide TA
- Support pattern-checking as a means for local leaders to validate the quality of their data
- Create tickler system to alert programs when child outcomes data is due; monthly communication to report electronic data input inadequacies
- Conduct QA spot checks on random samples of COSFs and identify areas of concern
- Follow up with local systems identified as consistent 'outliers' in their baseline data

As mentioned above, a number of States have begun to report improvement activities for this indicator that go beyond improving the data collection and reporting system and directly relate to improving outcomes for children. A few featured examples of improvement activities include:
- Study issues that prevent good outcomes for Hispanic children and families
- Create regional Centers of Excellence; establish training cadres in each center to support RBI, and embedded intervention
- Partner with Technical Assistance Center for Social Emotional Intervention (TACSEI) to build capacity to enhance social emotional development of young children

Some other featured improvement activities include:
- Educate the public on early results on child outcomes measurement
- Work with family members to develop PR materials and scripts for staff to use when discussing outcomes data collection
- Implement recommendations regarding appropriate tools for both eligibility and child outcomes process
- Partner with other States that use the BDI as approach to measuring child outcomes to evaluate data decisions, results, patterns, trends, and implementation strategies
- Develop COSF and parent support materials translated into Spanish
- Create a Child Outcomes Resource Manual for use by local programs
- Collaborate across EI and Early Care and Education to provide an avenue for EI practitioners to learn more about typical child development and also facilitate closer working relationships

New to this year's APR report is the inclusion of ARRA funds to support new improvement activities for this indicator. At least four States have planned specific improvement activities around the use of ARRA funds. Three of the four activities reported in State APRs related to data systems – the purchase of a web based data system, the development of a new database, and the adaptation of an existing data system to incorporate additional analysis needed for the child outcomes indicator. One State reported use of ARRA money to support training for professionals related to collection and reporting of child outcomes data.

INDICATOR 4: FAMILY OUTCOMES
Prepared by ECO

Indicator 4: Percent of families participating in Part C who report that early intervention services have helped the family:
>   (a) Know their rights;
>   (b) Effectively communicate their children's needs, and
>   (c) Help their children develop and learn**.**

INTRODUCTION
The following data are based on information reported by 56 States and jurisdictions in their February 2010 APRs for FFY 2008. States and jurisdictions will be called "States" for the remainder of this report. In cases where methods data were not reported this year, existing data from last year's report were used. If a State is conducting an activity or using a data source that was not reported this year or last year, this information is not included in this summary. Although information on survey tools is available for all States, not all States submitted data for all other variables. Analyses where sample sizes differ are noted.

Family Survey Tools
Of the 56 States, 25 used the NCSEAM Family Survey (45%) and 25 used the ECO Family Survey (45%) to collect data for this indicator. Six States (11%) used data from State-developed surveys. In some cases, a State tailored the NCSEAM or ECO survey by removing questions not required for reporting, adding survey questions specific to their State, and making wording and formatting changes.

COMPARISON OF BASELINE, TARGET, AND ACTUAL PERFORMANCE DATA
The analyses provided below include the baseline, target, and actual data for FFY 2008.

Baseline Data
States' baseline data, presented below, represent the percent of families who reported that early intervention helped their families in each of the sub-indicator areas. In most cases the baseline data are from FFY 2005, although a few States submitted baseline data or revised baseline data after FFY 2005. State-reported baseline data are shown in the table below. For Indicator 4A and 4C, baseline data are based on 55 States; for Indicator 4B data are based on 54 States.

Table 1: Baseline Data

Sub-Indicator	a. Know their rights	b. Communicate children's needs	c. Help children develop and learn
Mean	79.8% of families	79.8% of families	85.8% of families
Range	45.3% - 99.9%	51.0% - 99.9%	53.3% - 98.2%

Targets for FFY 2008
The targets for FFY 2008 for each of the sub-indicators are reported in Table 2 below. All 56 States reported target data.

Table 2: Target Data

Sub-Indicator	a. Know their rights	b. Communicate children's needs	c. Help children develop and learn
Mean	82.6% of families	81.9% of families	87.0% of families
Range	48.3% - 100%	43.5% - 100%	56.3% - 100%

Actual Target Data for FFY 2008
Table 3 presents the percent of families reporting that early intervention helped them know their rights, communicate their children's needs, and help their children develop and learn. All 56 States reported actual target data for FFY 2008.

Table 3: Actual Data for FFY 2008

Sub-Indicator	a. Know their rights	b. Communicate children's needs	c. Help children develop and learn
Mean	84.3% of families	85.2% of families	89.5% of families
Range	48.0% - 99.0%	53.0% - 100%	55.8% - 100%

The mean percentages for all three sub-indicators increased from last year: Indicator 4A (families know their rights) went from 81% to 84%; Indicator 4B (families communicate their children's needs) went from 83% to 85%; and Indicator 4C (families help their child develop and learn) went from 88% to 90%.

Figure 1 compares the average percent for baseline, target, and actual data for FFY 2008 (percent of families reporting agreement for each of the sub-indicators). A comparison of the mean target and actual data shows that on average, States exceeded their targets for FFY 2008 and improved performance from their FFY 2005 baseline data.

Figure 1: Comparison of Average Percent Reported for Baseline, Target, and Actual FFY 2008 Data for Each Outcome
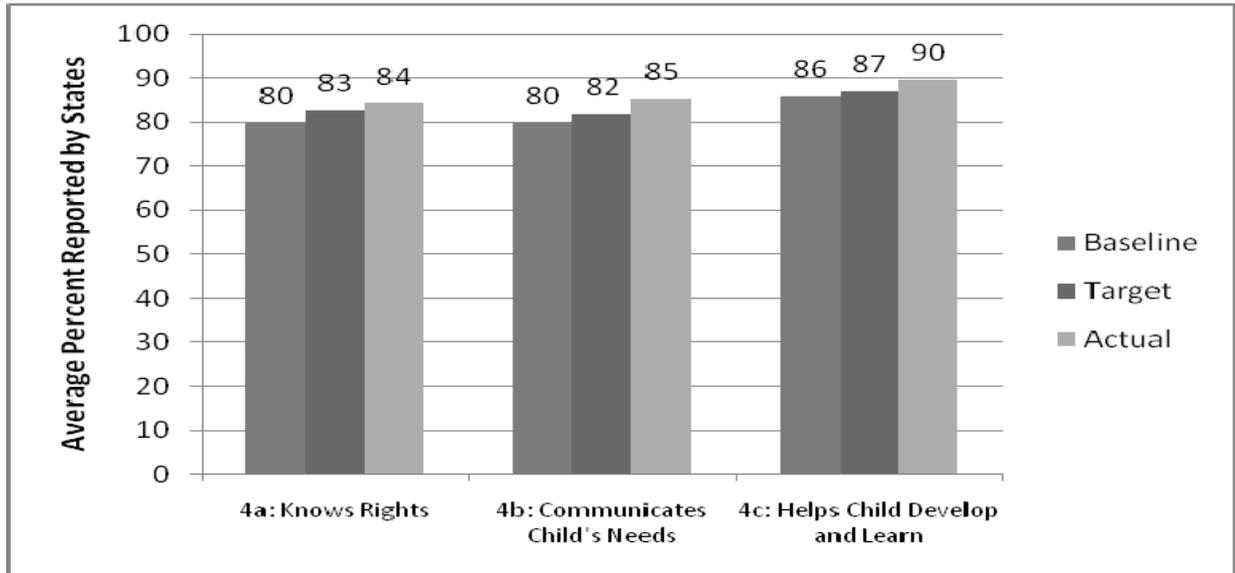
Trend Data: From Baseline to Current

Figures 2, 3, and 4 show the trajectories of Indicator 4 data from baseline to current for the three sub-indicators. Each bar represents an individual State's trajectory from baseline to current. Among all three sub-indicators, the majority of States have had a positive trajectory from baseline to FFY 2008. The percentage of States that have improved or stayed the same from baseline to current is 75% for Indicator 4A, 73% for Indicator 4B, and 77% for Indicator 4C.

For Indicator 4A, ten States (18%) reported increases greater than 10 percentage points from baseline to current, while four States (7%) fell greater than 10 points from baseline to current. For Indicator 4B, thirteen States (23%) reported increases greater than 10 percentage points from baseline to current, while three States (5%) fell greater than 10 points from baseline. For Indicator 4C, five States (9%) reported increases greater than 10 percentage points, while two States (4%) fell greater than 10 points from baseline.

Figure 2: Trajectory from Baseline to Current for Indicator 4A

Trajectory from Baseline to Current
Indicator 4A: Family Knows their Rights
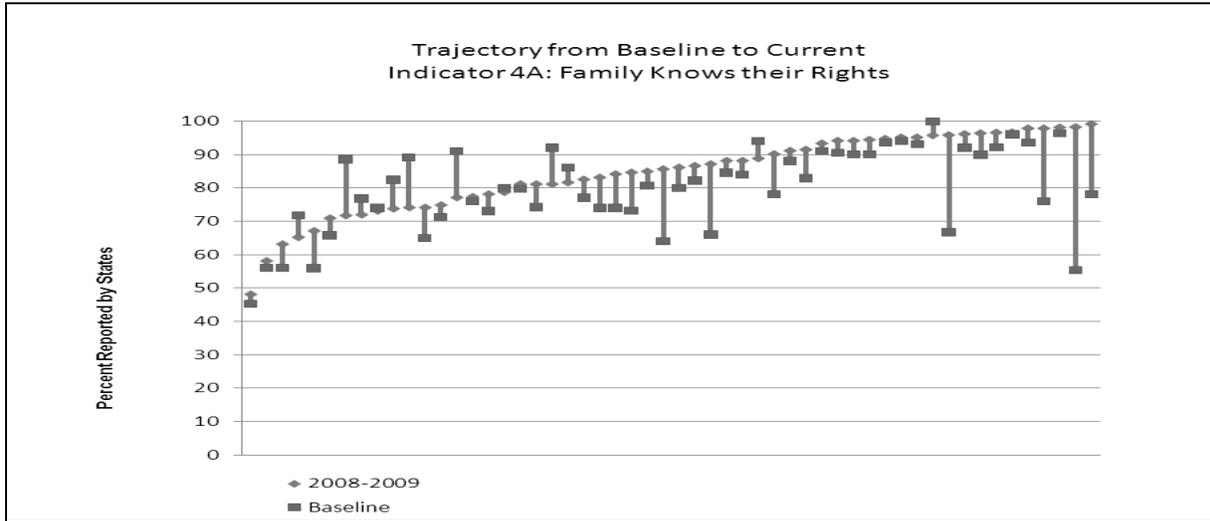
Figure 3: Trajectory from Baseline to Current for Indicator 4B

Trajectory from Baseline to Current
Indicator 4B: Family Communicates Child's Needs
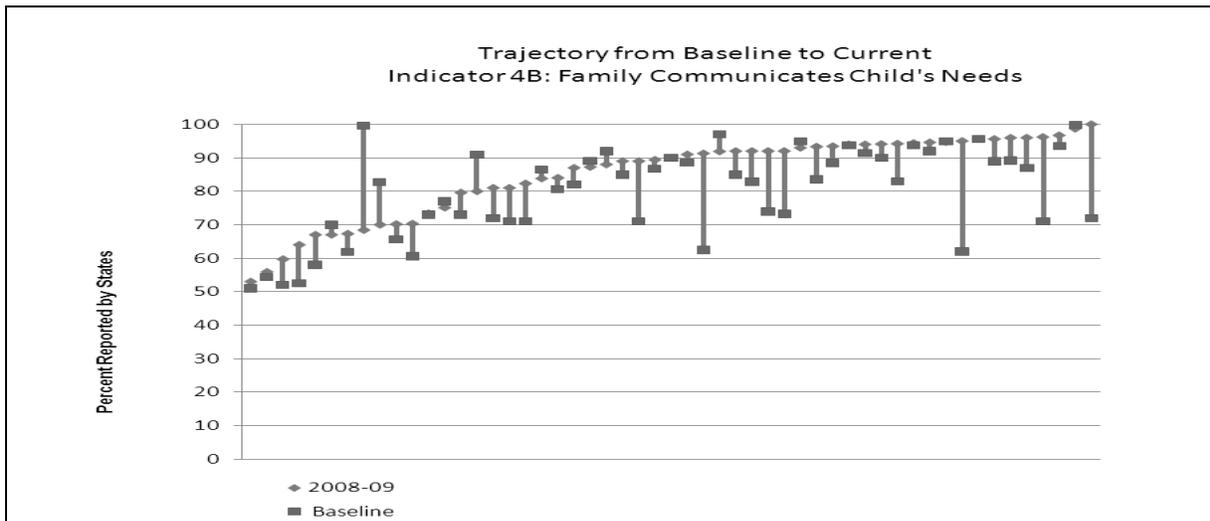
Figure 4: Trajectory from Baseline to Current for Indicator 4C

Trajectory from Baseline to Current
Indicator 4C: Family Helps Child' Develop and Learn

◆ 2008-09
■ Baseline
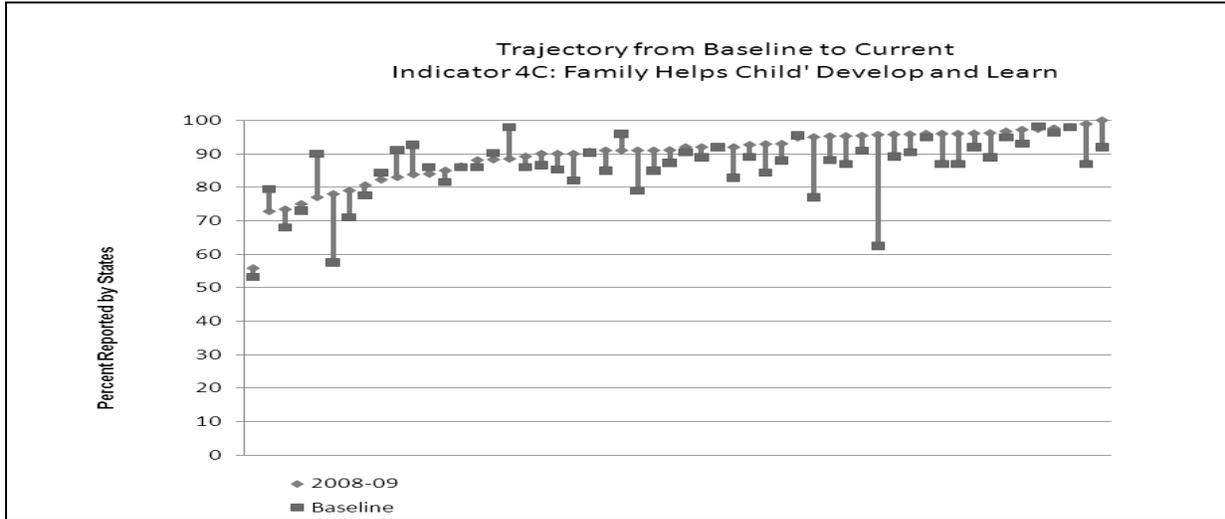
FFY 2008 ACTUAL PERFORMANCE DATA

Figure 5 shows current FFY 2008 data broken down by survey type. Overall, States using the ECO survey for reporting on this indicator reported slightly higher scores than for the NCSEAM and State survey measures. States using their own survey tool reported the most consistent mean family outcome scores across the three sub-indicators.

Figure 5: Average Percent of Families Reporting Outcome Agreement by Survey Type

■ 4A: Helped families know rights   ■ 4B: Helped families communicate child's needs   ■ 4C: Helped child develop and learn
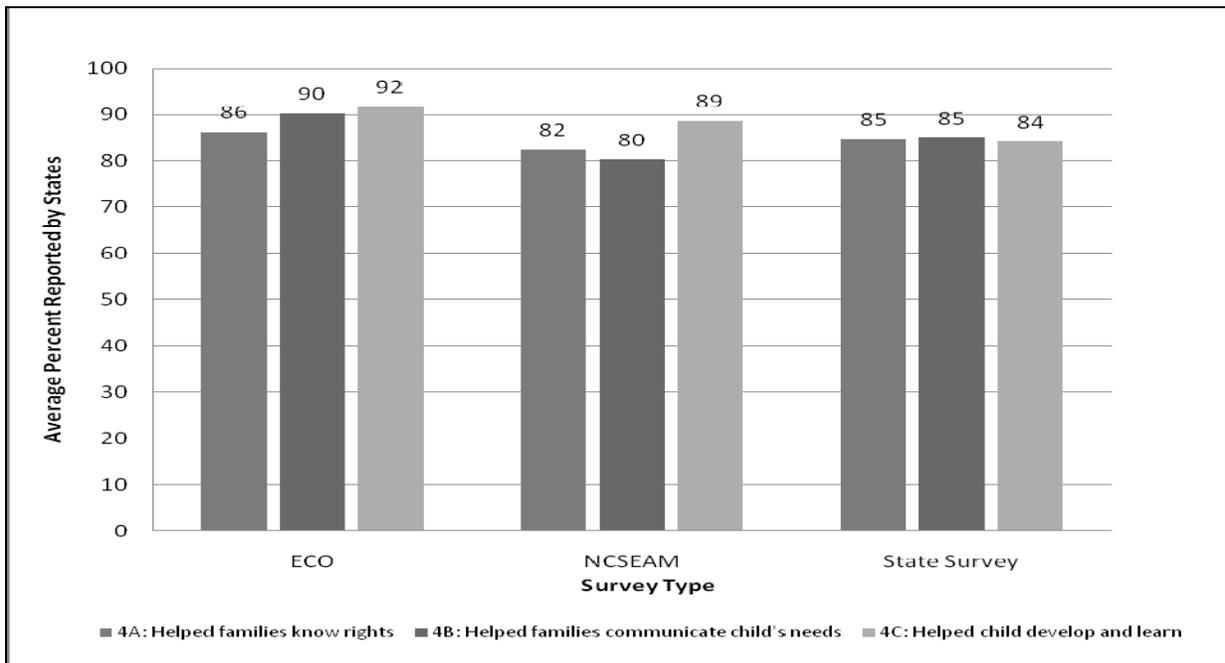
Criteria for Positive Response
States used a range of criteria to determine whether a family had achieved each of the three family outcomes reported in this indicator. Of the 25 States using the ECO Family Survey items for this indicator, the majority (18 States) reported using the scoring standard recommended by ECO- family agreement of "5" (good) and above on the 7-point scale. Two States adapted the ECO scoring scale and used criteria of "agree" or higher, and five States did not report their scoring criteria.

Among the 25 States using the NCSEAM survey, 16 States reported using the Rasch analysis developed by NCSEAM (NCSEAM standard) to indicate a positive response. Seven States reported using modified methods of analysis, including ratings based on level of agreement with items or percentage points awarded based on the level of agreement. Two States using the NCSEAM survey did not report their criteria for a positive response.

The six States that used a State-developed survey also varied in their criteria for a positive response. Two used criteria of "agree" or higher; one used "strongly agree" or higher; and one reported using agreement of 4 or more on a 5-point scale. Two States using State-developed surveys did not report their criteria for scoring. Figure 6 displays the FFY 2008 data of States using various criteria for positive response.

Figure 6: FFY 2008 Data by Criteria for Positive Response
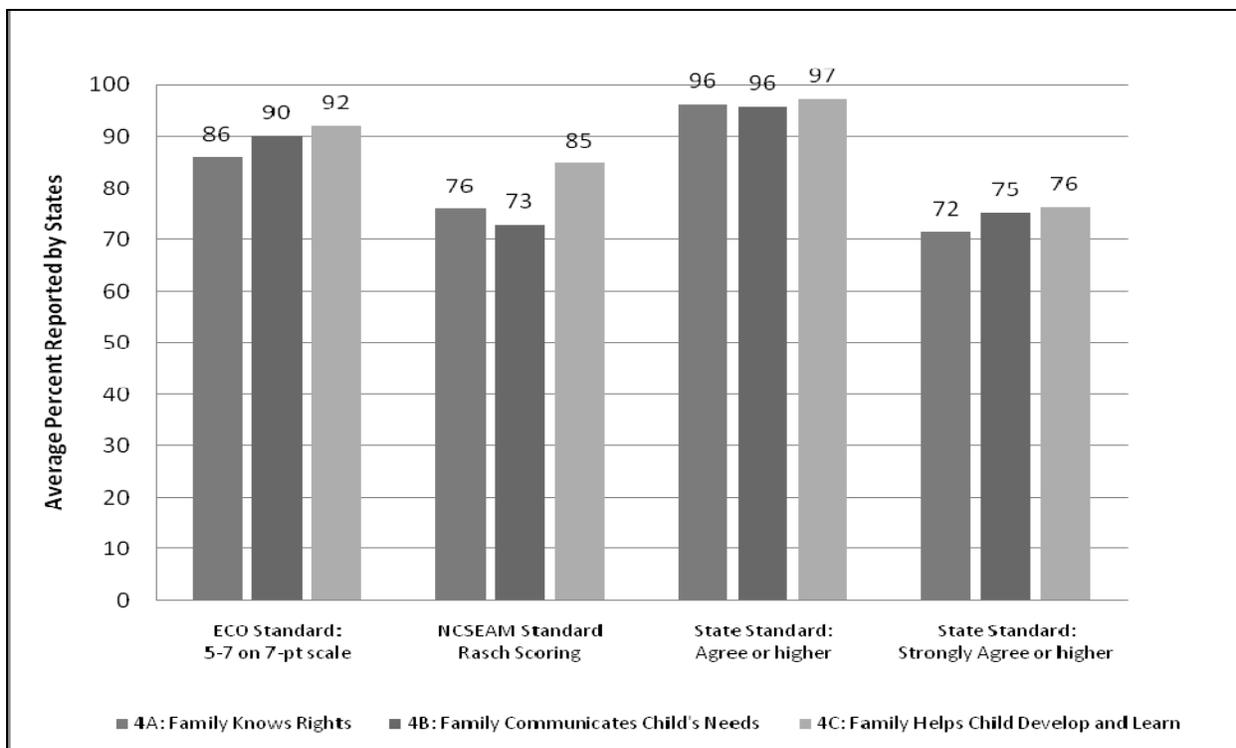
Figure 6 shows some variability in the performance measures depending on scoring criteria. The figure shows the average performance for the standard ECO scoring system (5 and above on a 7-point scale) to be higher than the average performance for those using the NCSEAM standard scoring (Rasch analysis). The other two categories of scoring criteria (agree and higher or strongly agree and higher) are used by States using ECO, NCSEAM, or State-developed surveys. While results differ among some tools and scoring criteria, these results are not necessarily due to lower State performance but potentially due to the measurement process itself.

Progress and Slippage
When comparing actual performance data from FFY 2008 to last year (FFY 2007), the majority of States showed progress for each of the three family outcome measures. Progress and slippage data are shown in Table 4 and Figures 7, 8, and 9. Table 4 compares the percentage of States showing progress for each of the sub-indicators for the last two reporting years. For all three sub-indicators, a higher proportion of States made progress and a lower proportion slipped in FFY 2008 compared to FFY 2007.

Table 4: Progress and Slippage for FFY 2008 and FFY 2007

	FFY 2008 (n=55)			FFY 2007 (n=53)		
	Progress	Slippage	No change	Progress	Slippage	No change
4A	71%	24%	5%	55%	40%	6%
4B	64%	36%	0%	47%	47%	6%
4C	71%	27%	2%	45%	42%	13%

Figures 7, 8, and 9 represent progress and slippage of actual performance data from FFY 2007 to FFY 2008 on the three sub-indicators. All three figures below are based on 55 States: one State did not have data for FFY 2007, so progress and/or slippage were unable to be determined. Each column represents one State.

Figure 7: Progress and Slippage for Indicator 4A

4A: EI has Helped the Family Know Their Rights

13 States Show Slippage

3 States Show No Change

39 States Show Progress

Indicator 4A, 2008-09 minus 2007-08

Each Column Represents One State
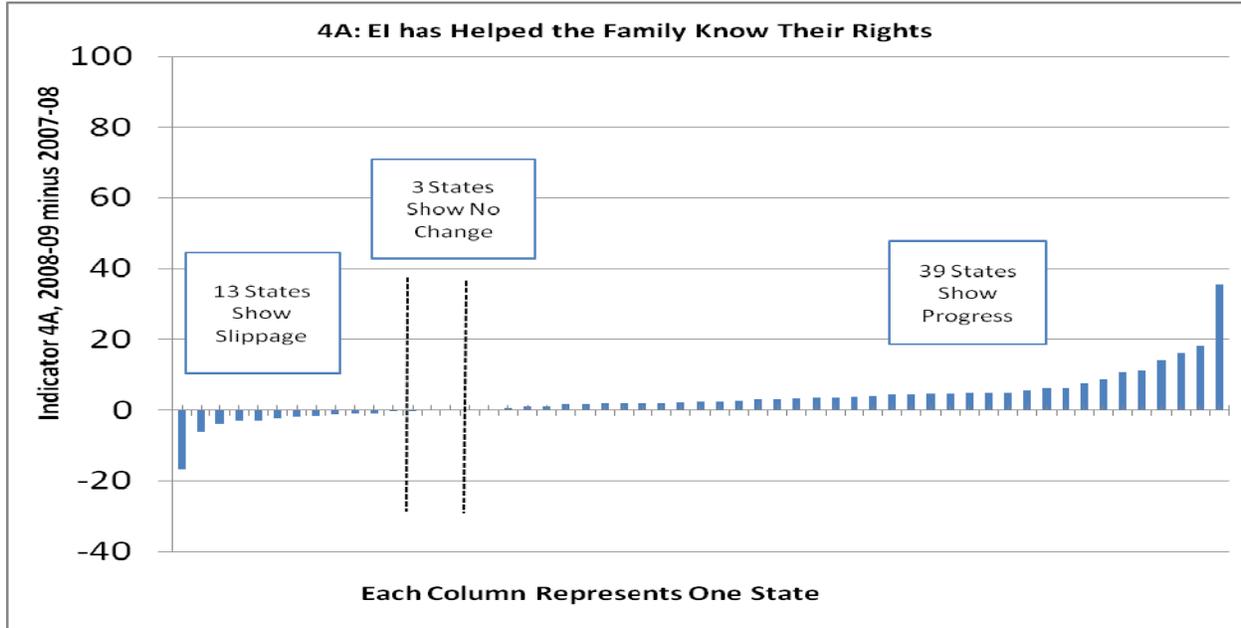
Figure 8: Progress and Slippage for Indicator 4B

4B: EI has Helped Family Communicate Child's Needs

20 States Show Slippage

35 States Show Progress

Indicator 4A, 2008-09 minus 2007-08

Each Column Represents One State
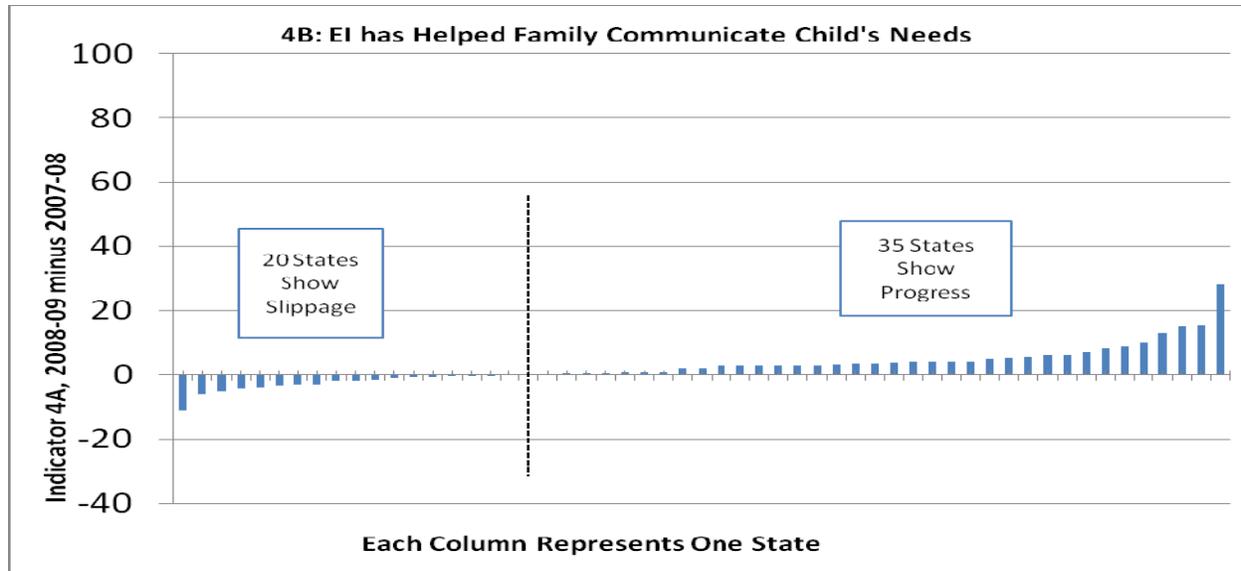
Figure 9: Progress and Slippage for Indicator 4C
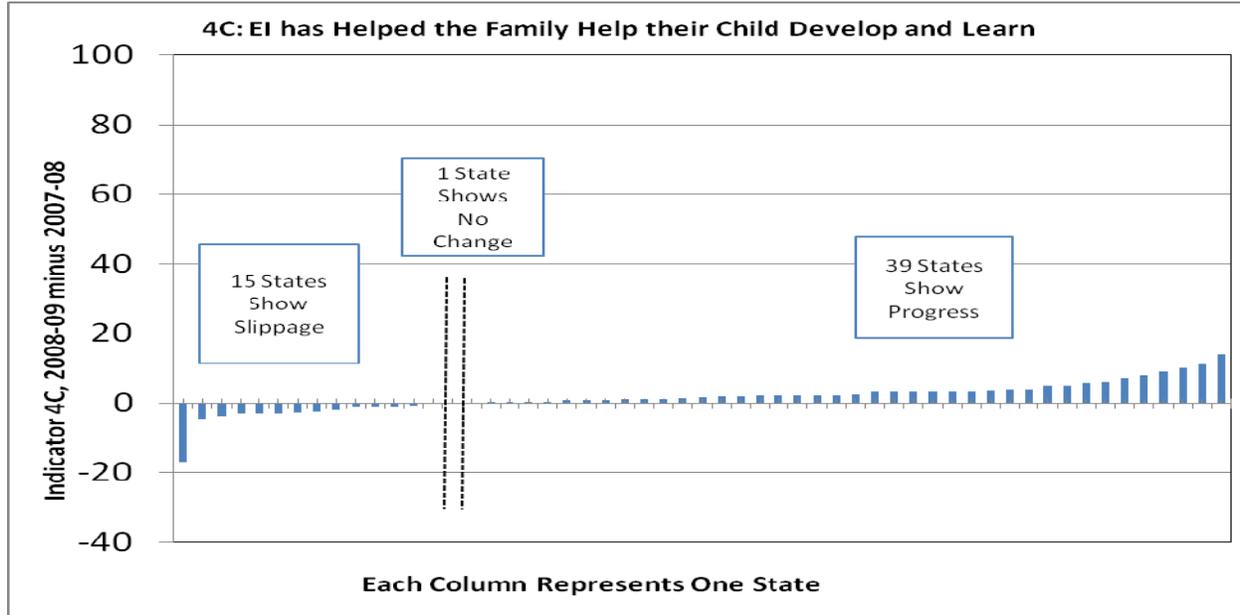
Explanation of Progress and Slippage
The majority of States (n = 32) specified reasons for progress or slippage. However, States differ in the ways in which they report progress and slippage. Some compare actual to target data, some compare actual data from FFY 2008 with FFY 2007, and some describe progress or slippage made in specific areas such as response rates.

Among States that reported reasons for progress and/or slippage, the most frequently mentioned explanations related to survey administration and data collection issues (13 States). These included making changes to survey formats, changing distribution or return methods, and errors or delays in the data collection process. Ten States mentioned that ongoing training and policies supported their progress. Five States reported that families were generally satisfied and results were consistently high, or that changes in the data were due to random fluctuations in the data. Three States reported slippage due to funding cutbacks or threats of losing funding in FFY 2008.

FURTHER DETAIL ABOUT APPROACHES AND METHODS
Additional information describing the various approaches and methods States used in conducting family outcome measurement was analyzed from review of the FFY 2008 APR for Indicator 4. This includes information about population, response rates, and representativeness.

Population Included in Survey

Forty-four States (79%) reported using a census approach, and eleven States (20%) reported using a sampling approach when surveying families. One State used both census and sampling for different subgroups of families. The mean and range of the number of responses by the two primary distribution methods are summarized in the table below.

Table 5: State Data Collection Approaches

	States (n)	Mean Surveys Returned (n)	Range
Census	44	841	23- 3,648
Sample	11	515	57- 1,646

Further details about the specific family populations and timing used are presented in Table 6. The majority of States surveyed all families in the program regardless of length of time in services (n=33). An additional 21 States only surveyed families with a minimum amount of time in services. Of these, most (19 of 21) specified families had six or more months of services, one used criteria of 9 months or more, and one 12 months or more.

With regard to timing, the majority of States surveyed families at a designated point in time or during a specific time period (n=37 States). The other main approach was timing the survey administration with child participation variables (n=17 States). States, for example, might survey families at exit or transition, at IFSP meetings, or a combination of those. Two States are not represented in Table 6 because they had unique combinations. One surveyed all currently enrolled families *and* those who had exited within previous three months of survey, and the other State surveyed all families on an ongoing basis.

Table 6: Survey Timing and Family Population

Timing	Family Population		Total
	All families	Families with ≥6 months*	
Point in time (or time period)	**25**	**12**	**37**
Based on child participation	**8**	**9**	**17**
-at exit	*(3)*	*(6)*	
-at IFSP meeting(s)	*(3)*	*(2)*	
-IFSP and/or exit	*(2)*	*(1)*	
Total	**33**	**21**	**54**

*One State used ≥9 months, and one State used ≥12 months

Response Rates

The average of States' response rates was 33%, based on fifty States (six States did not report their response rate). Response rates ranged from 5.8% to 100%. The response rates for the family surveys are summarized in Figure 10 by population, survey tool, distribution strategy, and return strategy. Response rates were comparable

for States using the ECO survey (35%), State-developed surveys (33%), and the NCSEAM survey (32%). Mean response rates were the same for census versus sampling approaches. Analysis of the method of survey distribution reveals that hand delivering surveys yielded a mean response rate of 45%, followed by using multiple methods (37%), and mailed survey distribution (24%). Return rates varied based on the methods used for returning surveys as well. The mean response rate for in-person return was 75%, followed by multiple return methods (36%), and mail-only return (27%).

Note: Although four States reported using an in-person return strategy, the 75% return rate is based on the two of those States that reported return rates.

Figure 10: Variables Related to Response Rates
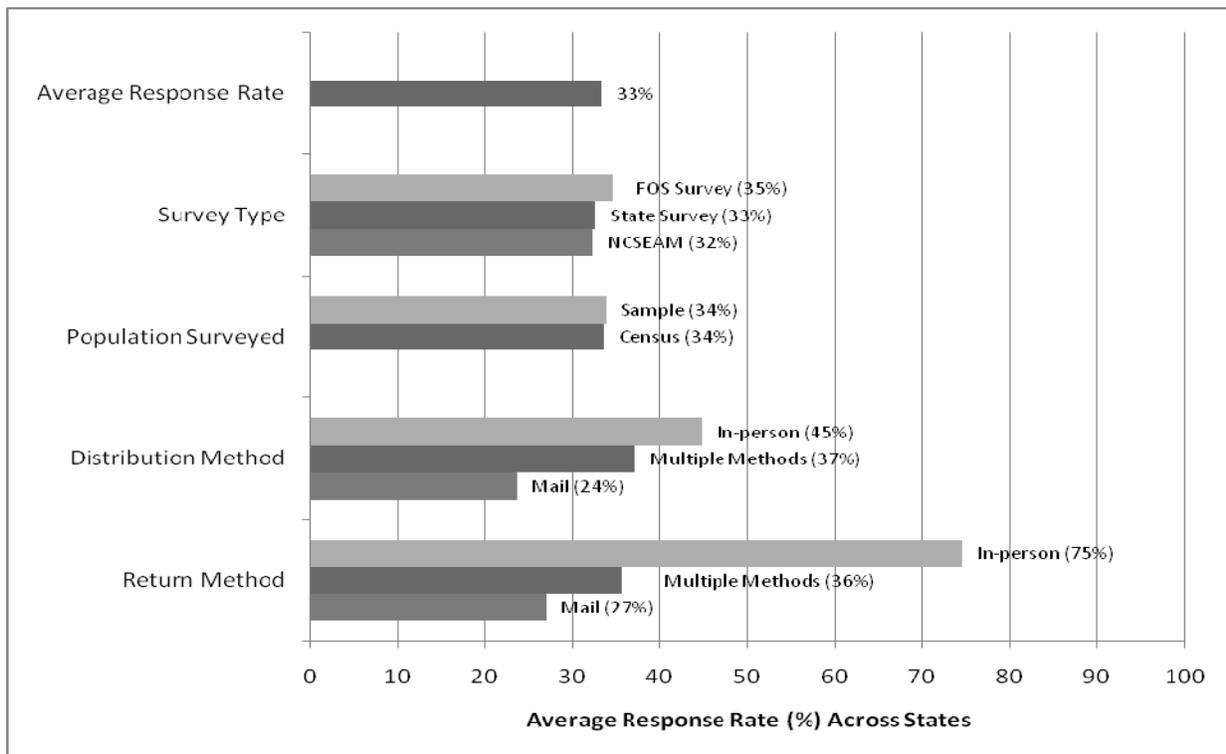
The majority of States (38 States, 68%) reported providing some form(s) of assistance to families in completing the surveys. States reported providing written translated surveys in a number of different languages, interpreters (e.g. through parent organizations), or other forms of assistance. Options for Spanish-speaking families such as survey translations or interpreters were specifically mentioned by 34 States (61%). Seven States (13%) mentioned providing alternate formats or other assistance (e.g. Braille, audio, assistance with reading or comprehension).

Note: Both the NCSEAM and the ECO Family Surveys have Spanish translations.

Representative Data
A total of 46 States (89%) reported on the criteria they used to determine whether or not their family survey data were representative of the population they serve. Table 7 shows the frequency with which the different criteria were reported by States. This is a duplicative count of categories used (e.g. States may have used more than one criterion to determine representativeness). Ten States did not report their criteria.

A majority of States (n=41) reported using race/ethnicity categories to evaluate representativeness. Frequently cited criteria included geographic region (e.g. urban/ rural, county, district, etc.), age of the child (current or at entry/ referral), and gender of the child. Other criteria reported included type of disability or eligibility category, length of time in services, program size, income, and funding/administration.

Table 7: Criteria Used to Evaluate Representativeness

Criteria	States (n)	% of States (n=56)
Race/ ethnicity	41	73%
Geography (district, county, region)	28	50%
Child's age (at survey, at referral)	15	27%
Gender	12	21%
Disability/ eligibility category	5	9%
Length of time in services	5	9%
Program size	5	9%
Income (SES; receipt of Medicaid)	4	7%
Funding stream/ Program administration	4	7%
Parent education	1	2%
Primary language	1	2%
Number in early intervention in the family	1	2%
Having Service Coordinator	1	2%

In determining whether data were representative, thirty-nine States (70%) reported a source of data used for comparison. These data sources included: Part C population/ Section 618 data (31 States), program population data (three States), and survey target population (three States). Two States reported using State data but did not specify the source. Seventeen States did not report to what they were comparing their State data.

States differed on their conclusions regarding the representativeness of their data. Forty-four States reported on whether their data were representative (79%). A total of 28 States (34%) reported their data were representative. Of these, 20 States provided data comparisons to illustrate that their data were representative, and eight States reported their data were representative but did not report comparisons or provide data. Ten States reported varied results regarding representativeness, i.e. data were representative on some criteria but not others, or for some subgroups but not others. Six States concluded that their data were not representative of their State. The remaining twelve States did not report on the representativeness of their data. In some of these cases, States provided comparisons of the data (e.g. by race/ethnicity) but did not interpret the results regarding representativeness.

IMPROVEMENT ACTIVITIES

The following section provides examples of improvement activities reported by States. Major categories included data collection, analysis of family outcomes, partnering with family organizations, ongoing training and TA, parent training, and local reporting. Specific examples from States are provided for each of these sections.

Data Collection

A number of States reported improvement activities related to data collection. Several States mentioned efforts to improve response rates, such as convening workgroups, brainstorming with programs, and evaluation of survey implementation (e.g. distribution and return). Other highlights include:

- Revised survey tool and methodology to address under-represented AI/Native families from last year; data from this year's revision found Native families to be represented
- Develop a two-tiered incentive process (district and family levels) to improve response rates
- Added on-line /web-based survey tool to improve response rate and streamline analysis
- Based on a pilot comparison of methodologies last year, this year used in-person return methodology and increased return rate by 9%
- Compared response rates of hand-delivered (35.9%) with mailed (19.9%) surveys
- Pilot project gathered feedback on survey process from families to address follow-up with minority families
- Follow-up survey used to improve response rates by race/ethnicity and region
- Added hand-delivery for returned surveys and pre-emptive encouragement calls for a subset of under-represented groups
- Developed 4 survey announcements in Span-Eng for newsletters, postcards, and flyers
- Developed activities to increase response rate for Spanish speaking families, including working with service coordinators and outreach to Hispanic community

Analysis of Family Outcomes

Some States provided additional analyses of the family outcomes data, examining performance on the three sub-indicators by subgroups (race/ethnicity, age at referral, time in services, district/ program, etc). States also reported additional data and analyses on variables beyond the three sub-indicators for Indicator 4 and reported using data to target program development and training needs. Selected highlights include:

- Compared outcomes data by subgroups of race/ethnicity, child age, length of time in services, and if family had a service coordinator. Families with a service coordinator reported significantly higher outcomes than those without one
- Using the additional NCSEAM scale (FCSS) to examine association between family-centered aspects of service delivery and family outcomes
- Collected qualitative information from surveys and using this to develop improvement activities
- Investigate attributes of high-performing local programs to share statewide

- Using NCSEAM recommendations to target improvement activities. Based on results, developed a plan to target improving access to services in the community and developed a visual resource for families on this topic
- Targeted improvements based on item results; planned guidance for local programs to develop improvement activities
- Share results by county to inform training and TA needs and local improvement activity development

Partnering with Parent and Family Organizations
Many States have ongoing partnerships with parent training or family organizations. These partnerships are utilized in a number of ways, including providing assistance in completing surveys, helping develop family resources, assisting with survey administration and publicity, and partnering around family training and outreach, among others. Additional examples include:
- Partnered with Family Network on brochure about family rights; collaborate with Parent Training Information Center (PTI) to provide TA to regions identified with less favorable survey responses
- Use results to develop topics for parent newsletter and parent trainings in collaboration with PTIs
- Team with Parent Educator Connection to support families around family participation in Individualized Family Service Plan (IFSP) process
- Partner with PTI to provide parents with information on EI services, training on mediation and dispute resolution, IFSP partner matches/ IFSP participation, support groups, and annual conference
- Collaborate with PTI Center to provide training to parents on rights and advocacy resources and provide rights information in family-friendly language
- Dialogue between Family Involvement Project and State Interagency Coordinating Council (ICC) to discuss what it means to engage in family-centered practice and determine if there is a need for additional TA

Ongoing Training and Technical Assistance
States mentioned improvement activities related to training and technical assistance around the family outcomes survey process as well as improving family-centered services and family outcomes. Specific examples:
- Teamed with local university to develop online module on using assessment data to inform family-centered IFSP outcomes
- Developed and implemented competency-based training for service coordinators, completed by 97% of service coordinators
- Create two online modules on understanding rights: one for families and one for service coordinators
- Implementing web-based certification training for early intervention providers
- Training on family-centered practices for 4 pilot sites
- Provide online training modules to staff on IFSPs, evaluation and assessment, teaming, and family-centered services

Improving Outcomes by Providing Information and Trainings to Families
A number of States reported improvement activities related to providing information to families. Examples from States include:
- Posting materials on parent webpage including child development resources, family rights, and survey information
- Created new parent website with program information
- Provided family leadership training
- Conducted parents as presenters workshop and training
- Parent training modules (DVD/online/webinars, etc) on topics of IFSP, rights, and parent leadership
- Family-developed training materials provided for families on the State's early intervention system
- Provided funding to local programs for family involvement activities
- Offered seminar for parents on rights, involvement in service decisions, and advocacy

Integration with IFSP Process and Broader Outcomes Systems
Some examples were:
- Developed new IFSP document that emphasizes family directed assessment. The aim is to have the IFSP better reflect goals of families and lead to better outcomes
- Included the five family outcomes on the IFSP form. Service coordinators are encouraged to refer families to those as triggers to identify needs that could be developed into IFSP outcomes
- Incorporate family outcomes into IFSP process and routine conversations with parents
- Continue to embed child and family outcomes into Foundation for Early Learning framework and the evolving Infant and toddler Early Learning Guidelines

Local Reporting
Several States mentioned improvement activities related to providing data to the local programs or districts. This included providing response rate data as well as actual family outcome data. Specific examples include:
- Monitored response rates via monthly reporting to local programs on which families are missing data
- Calculate and disseminate response rates for administrative units; improvement activities required if response rates are <50%
- Distributed local data to programs; developed and trained local programs to use their local data

INDICATOR 5: CHILD FIND BIRTH TO ONE
Completed by NECTAC

Indicator 5: Percent of infants and toddlers birth to one with IFSPs compared to national data.

INTRODUCTION
The summary of the analysis of Indicator 5 is based on a review of APRs for FFY 2008 of 56 States. For the purposes of this report, the term "State" is used for both States and jurisdictions.

Indicator 5 is intended to show a State's performance in the identification of eligible infants during their first year of life. Together with Indicator 6, a State reports performance in early identification of eligible children. Indicator 5 is considered a performance indicator. The measurement specifies that States must use data collected and reported under Section 618 (Annual Report of Children Served) regarding the number of infants, birth to age one, who were identified and served on December 1, 2008, and to calculate the percentage of the State's birth to one population for which that number represents.

PERFORMANCE OF STATES IN RELATIONSHIP TO NATIONAL PERCENTAGE, TARGET AND ACTUAL DATA

For Indicator 5, OSEP provided States with Table C-13 "The percent of infants and toddlers receiving early intervention services under IDEA, Part C, by age and state: Fall 2008". The national percentage (based on 50 states and DC) of children birth to one receiving early intervention was 1.04%. This figure is a slight increase over the 2007 percentage of 1.01%.

For FFY 2008, actual performance data for Indicator 5 (n = 56 States) shows that 25 States reported data above the national percentage of 1.04%. The remaining 31 States reported that their percentage of children served is below the national percentage. States are no longer required to report their data based upon eligibility categories of "narrow", "moderate", or "broad" as in previous reporting periods; therefore, this information is not included in this report.

Progress and Slippage from FFY 2007 to FFY 2008
The data comparing States' actual performance in FFY 2008 on Indicator 5 to actual performance in FFY 2007 were analyzed using the data provided by OSEP. These data define progress as any percentage increase above 0% and slippage as any percentage decrease below 0%. Zero percent was used to indicate no change from the previous year's data.

The analysis depicted in Figure 1 revealed that 23 States showed progress, 29 States reported slippage and four States reported no change in performance.

Figure 1:

C5 Progress/Slippage from 2007-08 to 2008-09
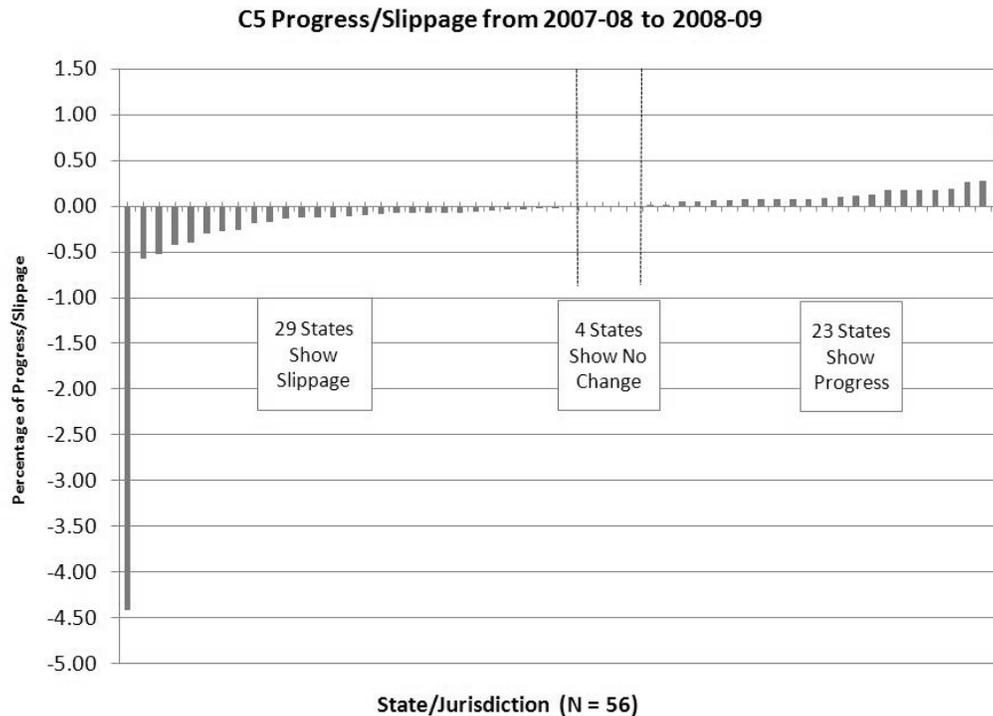
Explanation of Progress for FFY 2008

The percentage of progress for the 23 States demonstrating improvement from last year ranged from 0.01% to 0.92%. Thirteen States showed progress under 0.10%. Seven States showed progress between .0.1% and 0.2%. Three States were between .25% but less than 1%. The most frequently mentioned explanation for progress was focused efforts on outreach and coordinated child find efforts with hospitals, the medical community, newborn hearing screening programs, and child abuse and protection treatment act (CAPTA) programs. One attributed its' progress to adding back into their eligiblity definition several conditions that were removed in 2003. Another State attributed its' progress to their comprehensive improvement activities implemented over the last few years.

Explanation of Slippage in FFY 2008

The percentage of slippage for 29 States in this category ranged from .01% to 4.41%. Thirteen States fell under 0.1%. Eight States fell between 0.1 and 0.2%. Seven States fell between .25% and 0.5%. One State with significant slippage reported a 4.41% decrease when comparing this year's actual data compared to FFY 2007. This State attributed the slippage to a change in eligibility this year to a 30% delay or a 1.5 standard deviation in one or more areas of development. They also reported that they are collecting data on October 1 instead of December 1, resulting in child-find data for two fewer months than in previous years. Turnover and vacant postions in the agencies responsible for child-find, state budget shortages, less funding available for public awareness activities, decreases in the number of referrals, and narrowing of eligibility

due to fiscal reasons were also cited by other States as reasons for slippage in FFY 2008. Four States reported no change (0%) from their FFY 2007 actual data to FFY 2008 actual data.

Reported Success in Meeting Performance Targets
Table 1 illustrates the number of States that successfully met their targeted percent of infants, birth to one, with IFSPs in FFY's 2008, 2007, and 2006.

Table 1: **Number of States Meeting Targets for Three Reporting Years**

FFY	Number of States Met Target	Number of States that Did Not Meet Target	Total Number of States Reporting Each Year
2008	18	38	56
2007	24	32	56
2006	26	28	54

Of the eighteen States that met their FFY 2008 targets, 11 demonstrated progress from last year and seven showed slippage. Of the 38 States that did not meet their FFY 2008 targets, 12 States' demonstrated progress and 22 States experienced slippage from last year's actual performance data. Four States showed no change and did not meet their FFY 2008 projected target.

Figure 2

C5 Change from Baseline to FFY 08-09 Actual Performance
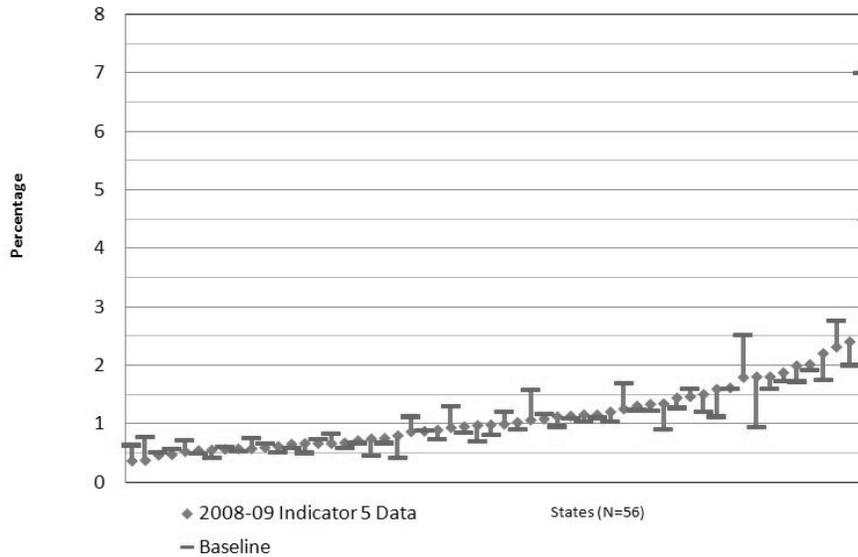
Twenty-one States showed a decrease from baseline to actual FFY 2008 performance in the percentage of infants and toddlers birth to one with IFSPs. One State showed a substantial decrease of 2.52%. This State, which previously included their State environmental at-risk program under Part C, no longer funds this program due to State budget shortfalls. Even with the decrease, they still serve 4.48% of infants and toddlers, well above the national average and mean and are the highest reporting State for numbers of children served for FFY 2008. Thirteen States had moderate declines, four States had incremental declines, and the remaining had declines so small they were considered not significant.

Thirty-eight States showed an increase from baseline to actual FFY 2008 data. Eleven States showed moderate increases. Sixteen States showed incremental increases and the remaining States had increases too small to be considered significant.

Figure 3: Four Year Trends

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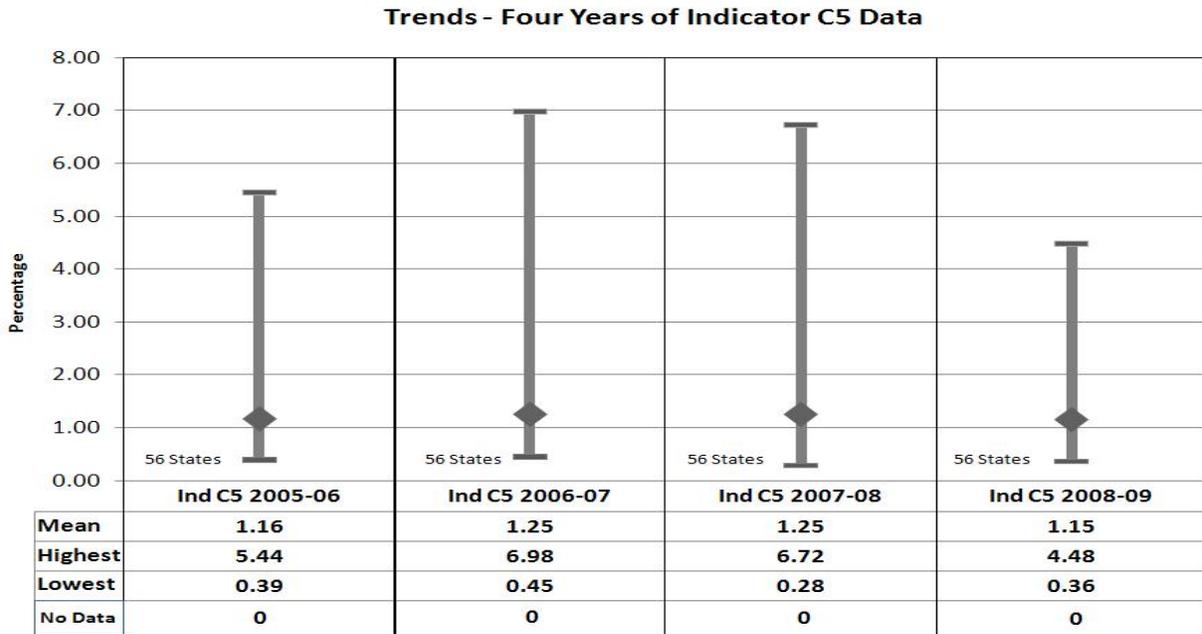
Trends – Four Years of Indicator C5 Data

	Ind C5 2005-06	Ind C5 2006-07	Ind C5 2007-08	Ind C5 2008-09
Mean	1.16	1.25	1.25	1.15
Highest	5.44	6.98	6.72	4.48
Lowest	0.39	0.45	0.28	0.36
No Data	0	0	0	0

Data for calculating the mean in Figure 3 are based upon 56 States and, therefore, are different from the national average that States compared themselves against, which is calculated on 50 States and DC. When looking at a four year trend, there has been little significant change in the mean for actual data. There was a 0.09% increase from FFY 2005 to FFY 2006. No change in FFY 2007 and a 0.10% decrease in the current reporting year. What is clear in the analysis, and illustrated in Figures 2 and 3, is that the amount of change from FFY 2005 to FFY 2008 is quite small for most States. However, 68% of the States showed performance in FFY 2008 that was above their baseline.

Several themes and issues emerged as States explained their progress and/or slippage on Indicator 5 over the last four years. A number of States attributed their progress to an increased or continued aggressive focus on this indicator at all levels of the program – State, regional, and local. States highlighted the coordination of their child find/public awareness activities, including partnering with other State agencies. For example, they discussed ways in which they had strengthened collaborative relationships to increase the referrals of potentially eligible infants through working with the ABCD grants, CAPTA, newborn hearing screening, Autism Awareness, "First Signs", and other State-funded home visiting programs. Several States reported that previous changes in eligibility criteria had resulted in an increased number of infants identified and served by Part C. One State, whose eligibility criteria had changed, attributed its' progress to educating referral sources and providers so that they understood the change in eligibility.

States also attributed progress to changes in the State's data system. One State reported that a change in the system for processing vital events and records helped the State identify additional risk conditions. Others noted that their data systems now allowed them to capture information about referral sources, so that they could target individuals or programs with low referral rates. A few States drew linkages across APR indicators. For example, one State noted that a change in its service delivery system led not only to more timely services but also freed personnel to provide initial eligibility evaluations.

Some States noted that slippage in one or two large local programs within the State had a negative effect upon the State's overall performance. While a few States attributed progress to a change in eligibility criteria, others noted that such a change had a negative impact upon the number of children served. A few States reported that a change in the instrument(s) used to establish eligibility had led to a decrease in the numbers of infants identified as eligible. Another reported that as medical care improved, medically fragile infants became healthy more quickly, so that they and their families had less need of immediate referral to Part C.

Individual State budget shortfalls have had an impact on the Part C program's ability to identify and serve infants and toddlers either directly or indirectly. Nine States identified this as an issue affecting their performance on this indicator as compared to one State in last year's report. Issues identified around fiscal implications include personnel shortages due to hiring freezes, State required furloughs, Part C funds that were redirected to service delivery and away from public awareness materials and activities, and the need to tighten eligibility in an attempt to identify and serve fewer children. The use of ARRA funds to fill some of these financial challenges is described in the Improvement Activities section of this report.

Some States whose data showed either slippage or no change reported that although their program served more infants than in the previous year, the rate of increase did not keep pace with the overall growth in the State's population. In contrast, another State reported a decrease in the State's birth rate. Several States expressed concern that the US Census figures used for this indicator were not truly reflective of their State's population.

IMPROVEMENT ACTIVITIES

Use of ARRA Funds
New to this year's APR report is the inclusion of ARRA funds to support new improvement activities for this indicator. Seven States mentioned specific activities involving the use of ARRA funds:
- For a marketing campaign to develop public awareness activities and materials targeted to physicians
- To help local communities include children into the state EI system from military EI services due to base closures

- To support the development of a public relations campaign designed to provide information on the EI program and what it can do for young children birth-5
- To pay for statewide child find activities
- To ensure Statewide implementation of developmental screening, information, and referral
- For service provision and child find
- For State and local infrastructure projects which may include child find and public relations activities

Featured Improvement Activities for FFY 2008

Most improvement activities reported by States are multi-year or ongoing efforts to address system wide issues to improve the percentages of children served. Activities in general address data improvement, public awareness activities, training, building partnerships with the medical communities, collaboration with primary referral sources, refining screening and evaluation practices, and defining eligibility criteria. The following are some specific improvement activity examples:

- ✓ Establishing new linkages at the State level with the Nurse Family Partnership national home visiting program, the State Academy of Pediatrics, and with the Autism "First Signs" workgroup. Redesigning our website for easier access by families
- ✓ Developing a comprehensive statewide screening system with website and tool kit under the Statewide Screening Collaborative. This collaborative coordinates initiatives and programs to establish a well coordinated system for health, development, and mental health screening of children 0-5
- ✓ Analyzing data for each improvement activity to measure its effectiveness in order to make changes
- ✓ Working with TRACE and the ABCD project, we have trained an additional 180 family practitioners in the use of the standardized developmental screening tools they can use at well child visits
- ✓ Providing outreach visits and presentations for staff at homeless and domestic violence shelters on the benefits of early intervention and developmental milestones
- ✓ Convening a State workgroup consisting of National, State, and local experts to review best practices related to evaluation and assessment of children birth to age 1. A product will be a resource list of which tools should be used
- ✓ Developing an E-store of promotional products and PR materials for local systems to purchase and use. Have created Twitter and "Face Book" accounts
- ✓ Working with Bright Futures Project (Georgetown University) to create a professional development plan for doctors and general health care professionals to better understand early intervention and the use of developmental screening tools as part of well child check-ups
- ✓ Requiring regions to annually submit a Public awareness plan which includes a review of their local referral data and sources
- ✓ Working closely with major NICU's in the state to complete an IFSP's prior to discharge

✓ Developing kits for new parents which include developmental checklists and information which are available on the State website for local program and parents to print and use
✓ Translating public awareness brochures into Mandarin, Chinese, Vietnamese, Tagalog, Korean, Japanese, and Spanish to reach the state's diverse populations

INDICATOR 6: CHILD FIND BIRTH TO THREE
Prepared by NECTAC

Indicator 6: Percent of infants and toddlers birth to 3 with IFSPs compared to national data.

INTRODUCTION
This summary of the analysis of Indicator 6 is based on a review of APRs for FFY 2008 of 56 States. For the purposes of this report, the term "State" is used for both States and jurisdictions.

Indicator 6 is intended to show a State's performance in the identification of eligible infants and toddlers birth through age two. Together with Indicator 5, a State reports performance in early identification of eligible children. Indicator 6 is considered a performance indicator. The measurement specifies that States must use data collected and reported under Section 618 (Annual Report of Children Served) regarding the number of children birth through age two who were identified and served on December 1, 2008, and to calculate the percentage of the State's birth through age two population for which that number represents.

PERFORMANCE OF STATES IN RELATIONSHIP TO NATIONAL PERCENTAGE, TARGET, AND ACTUAL DATA
For Indicator 6, OSEP provided States with Table C-13 "The percent of infants and toddlers receiving early intervention services under IDEA, Part C, by age and state: Fall 2008". The national percentage (based on 50 States and DC) of children birth through age two receiving early intervention was 2.66%. This figure is an increase over the 2007 percentage of 2.48%.

For FFY 2008, actual performance data for Indicator 6 (n = 56 States) shows that 25 States reported data above the national percentage of 2.66%. The remaining 31 States reported that their percentage of children served is below the national percentage. States are no longer required to report their data based upon eligibility categories of "narrow", "moderate", or "broad" as in previous reporting periods; therefore, this information is not included in this report.

Progress and Slippage from FFY 2007 to FFY 2008
The data comparing States' actual performance in FFY 2008 on Indicator 6 to actual performance in FFY 2007 were analyzed using the data provided by OSEP. These data define progress as any percentage increase above 0% and slippage as any percentage decrease from 0%. Zero percent was used to indicate no change from the previous year's data.

The analysis depicted in Figure 1 revealed that 40 States showed progress and 16 States reported slippage. No State reported no change (0%) in performance this year as compared to last year's actual data.

Figure 1

Figure caption / chart title: C6 Progress/Slippage from 2007-08 to 2008-09

(Chart details: y-axis labeled "Percentage of Progress/Slippage" ranging from -1.50 to 3.00; x-axis labeled "State/Jurisdiction (N= 56)". Text boxes: "16 States Show Slippage" and "40 States Show Progress")
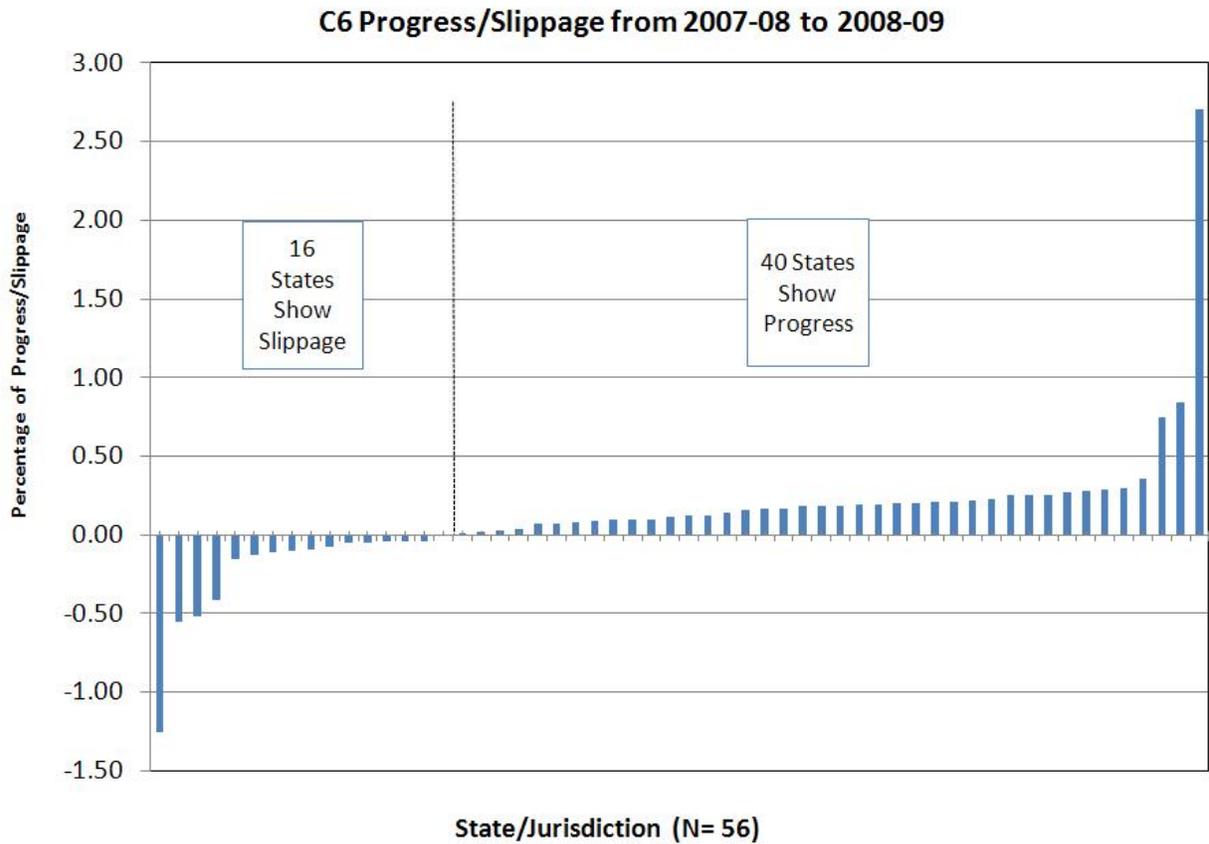
Explanation of Progress for FFY 2008

The percentage of progress for the 40 States demonstrating improvement from last year ranged from 0.01% to 2.7%. Eight States showed progress under 0.10%. Seventeen States were between 0.1% and 0.2%. Twelve States were between 0.25% but less than 0.5%. The final three States demonstarted progress at 0.75%, 0.84%, and 2.7% respectively. The State with the most significant increase did not report any explanation for their progress from last year.

For the States that reported explanations for progress, the themes and activities were similar to those for Indicator 5. A number of States attributed their progress to an increased or continued aggressive focus on this indicator at all levels of the program – State, regional, and local. States highlighted the coordination of their child find/public awareness activities, including partnering with other State agencies. States discussed ways, for example, in which they had strengthened collaborative relationships to increase the referrals of potentially eligible infants and toddlers through working with the ABCD grants, CAPTA, newborn hearing screening, Autism Awareness: "First Signs", and other State- funded home visiting programs. Several States reported that previous

changes in eligibility criteria had resulted in increased numbers of infants identified and served by Part C.

States also attributed progress to changes in State data systems. One State reported that a change in the system for processing vital events and records helped the State identify additional risk conditions. Others noted that their data systems now allowed them to capture information about referral sources, so that they could target individuals or programs with low referral rates. A few States drew linkages across APR indicators. One State, for example, noted that a change in its service delivery system led not only to more timely services but also freed personnel to provide initial eligibility evaluations.

Explanation of Slippage in FFY 2008
The percentage of slippage for 16 States in this category ranged from .01% to 1.25%. Eight States reported slippage less than 0.10%. Four States reported in the range of 0.10% to 0.15% and three States reported in the range of 0.41% to 0.55%. One State reported slippage of 1.25%. This State attributed the slippage to the States' on-going fiscal crisis. This State did, however, meet its target, stating that inspite of the budget crisis, they still continued aggressive interagency child find efforts.

Several other States experiencing slippage also cited the economic downturn and reduced State fiscal resources impacting public awarness and child find activities. Individual State budget shortfalls have had an impact on the ability of State Part C programs to identify and serve infants and toddlers either directly or indirectly. Nine States identified this as an issue affecting their performance on this indicator as compared to one State in last year's report. Issues identified around fiscal implications include not being able to fill positions due to hiring freezes, State required furloughs, Part C funds needing to be re-directed toward service delivery and away from public awareness materials/activities, and the need to tighten eligibility in an attempt to identify and serve fewer children. The use of ARRA funds to fill some of these fiscal gaps is described in the Improvement Activities section of this report.

Some States reported that although their program served more infants and toddlers than in the previous year, the rate of increase did not keep pace with the overall growth in the State's population. In contrast, another State attributed its slippage to a decrease in the State's overall population. Several States expressed concern that the U.S. Census data used for this indicator were not truly reflective of their State's population. One State reported that the slippage may be due to new policies requiring eligibility to be based on both standard deviation scores and a percentage of delay. Some States noted that slippage in one or two large local programs within the State had a negative effect upon the State's overall performance.

Those States that experienced slippage focused on evaluating their system of child find at the State and regional/local levels, identifying programs and activities that were successful, as well as those that were not successful. Local programs that met or exceeded the State's target for this indicator were encouraged to share their successful strategies with other programs. Local programs that did not meet the State target were

encouraged or required to develop local plans for identifying additional infants and toddlers.

Reported Successes in Meeting Performance Targets

Table 1 reports the number of States that successfully met their targeted percent of infants and toddlers birth to three with IFSPs in FFY 2008, 2007, and 2006.

Table 1: **Number of States Meeting Targets for Three Reporting Years**

FFY	Number of States that Met Target	Number of States that Did Not Meet Target	Total Number of States Reporting Each Year
2008-09	31	25	56
2007-08	24	32	56
2006-07	26	28	54

More States met their projected target in FFY 2008 than in previous years and demonstrated progress. Of the 31 States that met their targets, 24 States demonstrated progress from last year and seven States showed slippage. Of the 25 States that did not meet their FFY 2008 targets, 16 States demonstrated progress and nine States experienced slippage from the previous year's actual performance data.

Figure 2

C6 Change from Baseline to FFY 08-09 Actual Performance
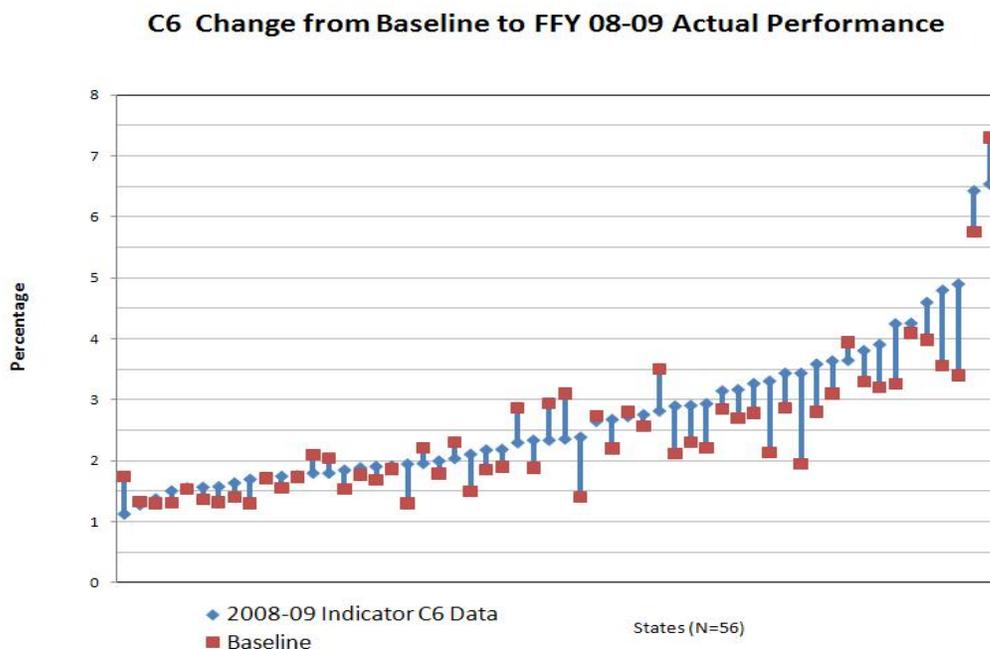
Fourteen States showed a decrease from baseline to actual FFY 2008 performance in the percentage of infants and toddlers birth through age two with IFSPs. Six States had

moderate declines, five States had incremental declines, and the remaining three States had declines so small they were considered not significant.

Forty-two States showed an increase from baseline to actual FFY 2008 data. Four States showed increases above 1%. Eighteen States demonstrated moderate increases. Fifteen States showed incremental increases and the remaining five States had increases so small they were not significant.

Figure 3

Trends - Four Years of Indicator C6 Data
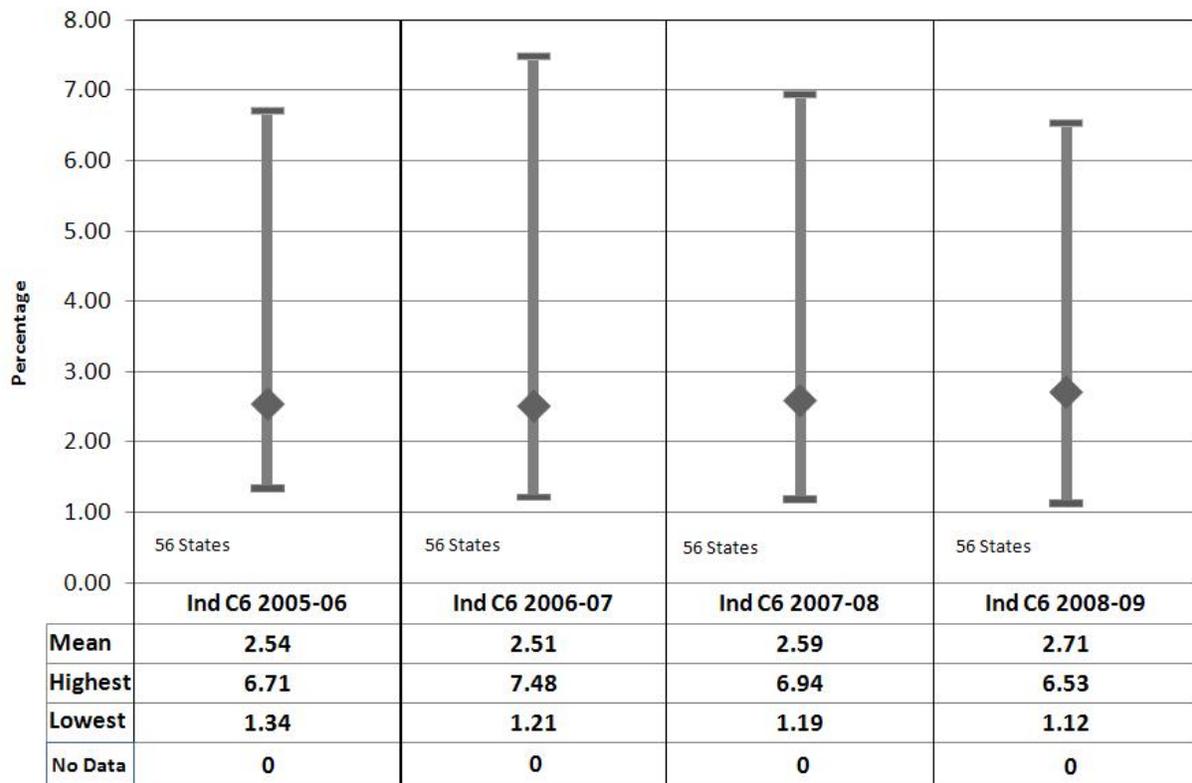
	Ind C6 2005-06	Ind C6 2006-07	Ind C6 2007-08	Ind C6 2008-09
Mean	2.54	2.51	2.59	2.71
Highest	6.71	7.48	6.94	6.53
Lowest	1.34	1.21	1.19	1.12
No Data	0	0	0	0

Data for calculating the mean in Figure 3 are based upon 56 States and, therefore, are different from the national average that States compared themselves against, which is calculated on 50 States and DC. There has been little significant change in the four years of actual data for the mean. There was a 0.03% decrease from FFY 2005 to FFY 2006. There was a 0.08% increase in FFY 2007. There was a 0.12% increase for this reporting period.

What is clear in the analysis, and illustrated in Figures 2 and 3, is that the amount of change from FFY 2005 (baseline) to FFY 2008 is small for most States. There has been an overall increase of 0.17% in the numbers of children with IFSP's age birth through age two over the last four years.

IMPROVEMENT ACTIVITIES

Use of ARRA Funds
New to this year's APR report is the inclusion of use of ARRA funds to support new improvement activities for this indicator. Seven States mentioned specific activities including using funds:
- For a marketing campaign to develop public awareness activities and materials targeted to physicians and other health care providers
- To help local communities include children into the State EI system from military EI services due to base closures
- To support the development of a public relations campaign designed to provide information on the EI program and what it can do for young children birth-5
- To pay for and expand statewide child find activities
- To ensure statewide implementation of developmental screening, information, and referral
- To assist local programs in paying for direct services in order to keep pace with the steady annual increases in the number of children served
- For State and local infrastructure projects which may include child find and public relations activities
- To purchase of ASQ kits for all local programs

Featured Improvement Activities for Indicator 6 in FFY 2008
Most improvement activities reported upon are multi-year or ongoing efforts to address system wide issues in order to improve the percentages of children served birth to age three. Activities in general address data improvement, public awareness activities, training, building partnerships with the medical communities, collaborating with primary referral sources, refining screening and evaluation practices, and defining eligibility criteria. Below are some specific improvement activity examples reported on in Indicator 6:
- ✓ Adopting the "Universal Referral Form" from the TRACE center for use across the State

- ✓ Established a user friendly web-based data system that allows counties to monitor their own progress and slippage on this (and other) indicator(s)

- ✓ Testing the newly established comprehensive screening system for the State

- ✓ Analyzing and verifying regional data to implement regional activities to improve child count. Regions have shared with one-another successful strategies used to improve child find numbers

- ✓ Requiring regions to submit annually a public awareness plan which includes a review of their local referral data and sources

- ✓ Providing incentive funding to the top 12 performing offices each quarter for the highest numbers of referrals and best performance in reducing the number of families that leave/or cannot be contacted during intake or before the IFSP meeting

- ✓ Providing TA on a number of clarification issues such as "high probability of developmental delay", "informed clinical opinion", and State definition of "atypical development" throughout the State

- ✓ Providing TA to both Allied Health and Medical students on early identification and family-centered care

- ✓ Hiring bi-lingual service coordinators and additional bilingual staff in regional offices and contracted with a "language line" service for more immediate access to interpreters when families call

- ✓ Piloting a fax-back referral form for use by physicians across the State

- ✓ Developing a statewide training for physicians on use of developmental screening, diagnosed conditions, and referral to early intervention

INDICATOR 7: 45-DAY TIMELINE
Prepared by NECTAC

Indicator 7: Percentage of eligible infants and toddlers with IFSPs for whom an evaluation and assessment and an initial IFSP meeting were conducted within Part C's 45-day timeline.

INTRODUCTION
Indicator 7 is a compliance indicator with a performance target of 100%. Part C regulations specify that, "Within 45 days after it receives a referral, the public agency shall: complete the evaluation and assessment activities in §303.322; and hold an IFSP meeting in accordance with §303.342 [§303.321(e)(2)]".

This summary of Indicator 7 is based on a review of APRs for FFY 2008 of 56 States. For the purpose of this report, the term "State" is used for States and territories. Each analysis in this report is based on the number of States with the necessary data available. Therefore, the number of States for each calculation is noted. States used data from their local monitoring system that included sampling files for review and/or data from the State's data systems that included information on all children within a specified time period.

IMPROVEMENT IN ACTUAL PERFORMANCE FROM FFY 2005 TO FFY 2008
Figure 1 (based on 54 States in FFY 2005 and 56 States in all other years) illustrates continuous national improvement over four years, from 86% to 88% to 92% to 94%. Additionally there was a smaller range in the reported data, with a spread from 70% to 100%, and more States performing at higher percentages.

Figure 1

Trends - Four Years of Indicator C7 Data

	2005-2006	2006-2007	2007-2008	2008-2009
Mean	86	88	92	94
Highest	100	100	100	100
Lowest	39	17	63	70
No Data	2	0	0	0
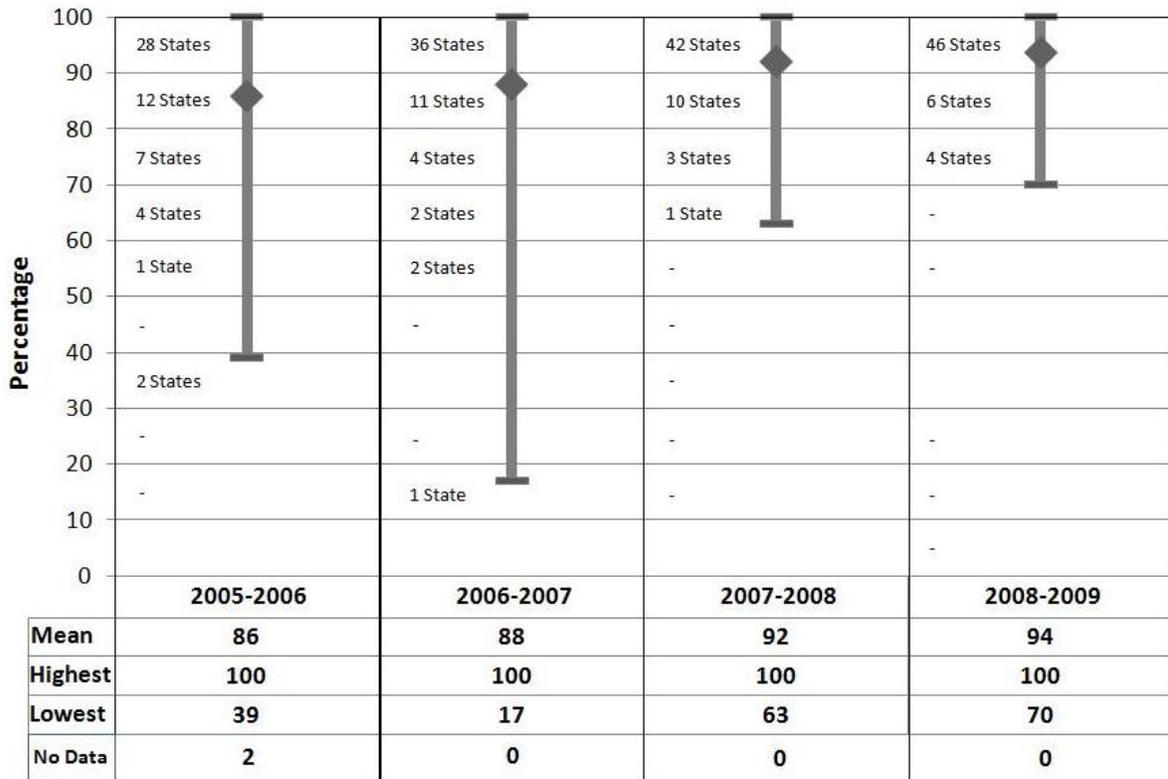
INDIVIDUAL STATES' TRAJECTORY FROM BASELINE TO FFY 2008

Figure 2 illustrates States' (N= 55 States that reported baseline and FFY 2008 data) trajectories from baseline performance in FFY 2005 to performance in the most current reporting period, FFY 2008. Each line represents one State's percent compliance from baseline to FFY 2008.

Figure 2

C-7 Change from Baseline to FFY 08-09 Actual Performance
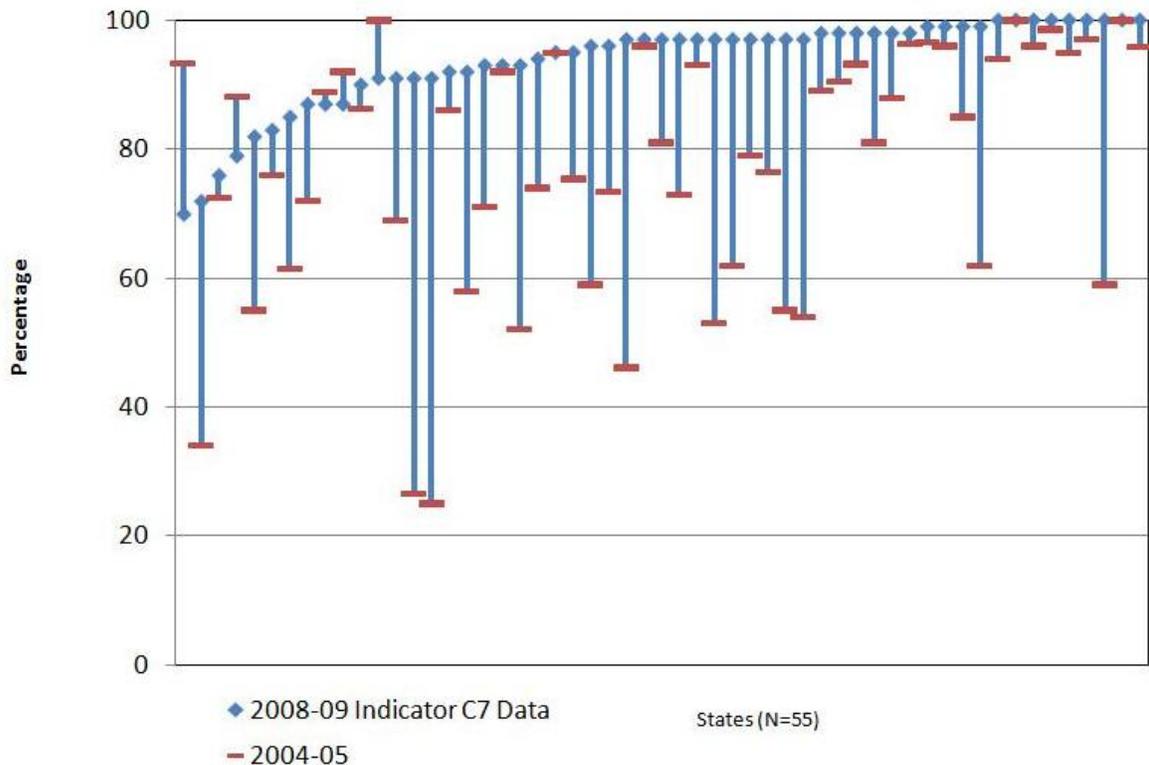
Most States (n=50) showed improvement or maintenance of good performance from baseline. Of particular interest are the following observations:

- Ten States with short trajectory lines, seen on the top right of the chart, represent States that have been strong performers over time, with high baselines and high performance in FFY 2008 (at or above 95%): AL, IL, IN, KS, NH, MP, SC, SD, TX, and WY
- Two of the highest performing States (at 100% and 99%) improved 41 and 37 points respectively since baseline: AS and WA
- Of the five States whose current performance is below baseline, their FFY 2008 performance was 70%, 79%, 87%, 87%, and 91%. Performance ranged from a drop as little as 2 percentage points to one State reporting a drop of 23 percentage points
- The longer a vertical line, the greater the progress from baseline. Twenty-one States gained 20 or more percentage points from baseline to FFY 2008. Of the 20 States with substantial progress, 12 were high achieving States (≥95%): AS, HI, MO, NM, ND, NC, KY, VI, VT, WV, WA, and WI. Nineteen were above 90% in FFY 2008
- The two States that reported the lowest baseline performance demonstrated the greatest improvement by FFY 2008 (from 25% to 91% and 26%-91% or 65 and 66 points, respectively)

- Although States trajectories have varied, the overall data supports the national trend toward improvement on this indicator previously noted

PROGRESS OR SLIPPAGE FFY 2007 TO FFY 2008
Figure 3 portrays data on relative progress and slippage in percentage points for each of 56 States from FFY 2007 to FFY 2008. For this analysis, progress and slippage was defined as having increased or decreased even less than one percentage point. Thirty-four States showed progress and 16 States showed slippage. Although only six States showed no change, five of the States showing slippage and seven showing progress actually changed less the 1%, resulting in **18 States with little or no change.**

Figure 3
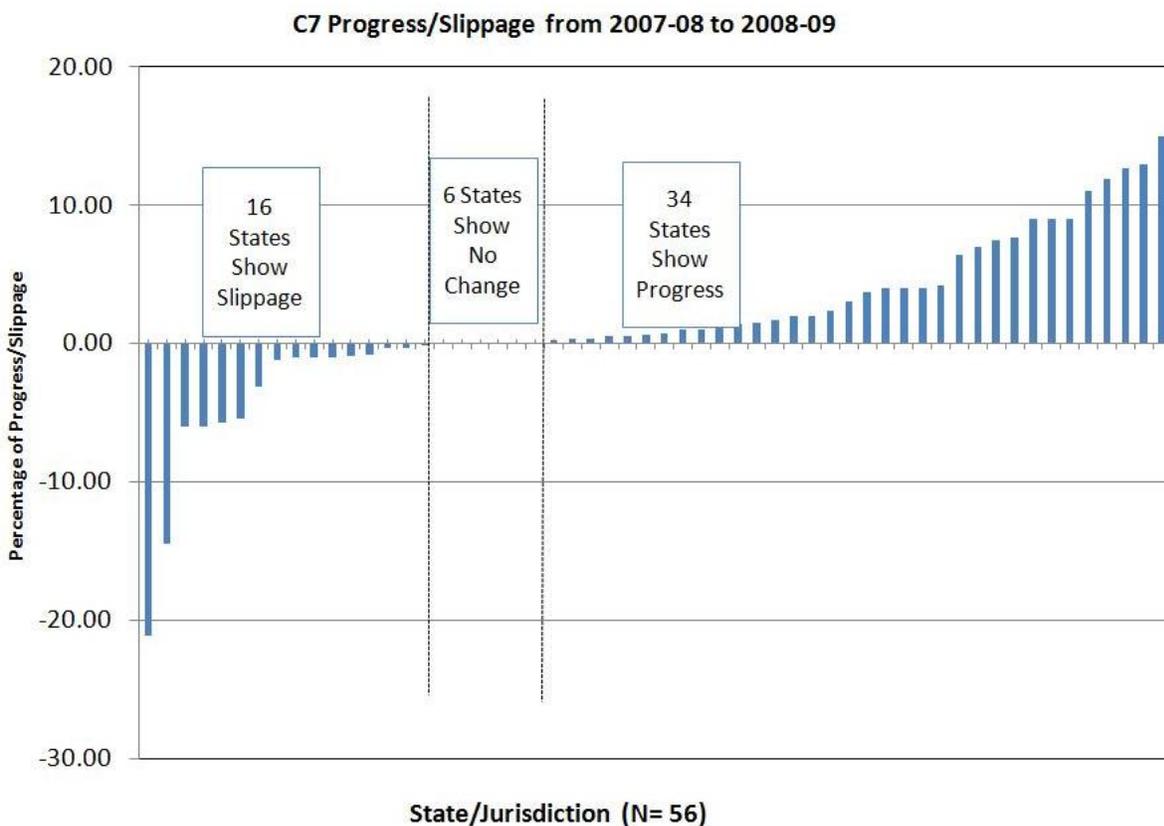
Further analysis revealed the following:
- Thirty-four States reported from > one to 15 percentage points of progress. Of those 34 States, 23 reported performance at or above 95%
- The six States that reported "no change" were high performers, all at or above 94%.
- Thirteen States also reported slippage ranging from a drop of 1% to 21%. Only six States had more than five points slippage and two had substantial slippage (14 and 21 points). Six of these States were high performers (at or above 95%)

- The range in slippage was substantially greater than last year's data (from > 1% to 12% from FFY 2006 to FFY 2007 compared to >1% to 21% from FFY 2007 to FFY 2008
- The range in progress was considerably less than last year (from >1% to 56% from FFY 2006 to FFY 2007 and >1% to 15% from FFY 2007 to FFY 2008). Since most States have improved performance over the years, the smaller range is understandable in that they have less room to improve in the higher performance range

EXPLANATION OF PROGRESS

Most States attributed progress to continuously tracking timelines and reporting on instances of delay and reasons for delay, demonstrating that a sustained focus on performance on this indicator by both State and regional or local programs can improve performance. There were 12 States who made over 20 percentage points of improvement since baseline and reported performance at or above 95%. All except one have a data system which tracks data on timelines for all children, often with "tickler" or reminder systems for upcoming deadlines. Additionally, the two States with the most improvement from baseline (25% and 26%) also used their data systems at the State and regional/local levels to track timelines on every child and held regular reporting and problem-solving meetings with locals. These States are both at 91%; one continues to progress (with later data above 91%) and the other slipped three points from FFY 2007 due to a severe fiscal crisis, hiring freeze, and increasing referrals.

States frequently reported regular (quarterly, monthly, even weekly) reviews and reports at the child level, real time access to data for regional or local programs, and corrective action plans (CAPs) for any findings of noncompliance. Some States required reports on any instances of delay and the reason or cause of delay. Most reported that delays were investigated to form the basis of CAPs and targeted TA.

This theme is reiterated by the ten States which are consistently high performers (≥95%) from baseline to FFY 2008. All but one has a Statewide data system which monitors all children and tracks timelines from referrals. The State without a data system also maintained a continuous focus on timelines requiring self assessments and CAPs for any noncompliance, as well as assigning State liaisons to local programs to monitor timely corrections and provide TA. Many high performing States mentioned that they require reports on every instance of delay.

Another theme for these and other States making improvements was targeting a set of improvement activities to address multiple causes of non-compliance, which cumulatively were successful. Examples of promising improvement activities reported by States are discussed below.

EXPLANATION OF SLIPPAGE

The most dramatic new challenge effecting FFY 2008 performance is the severe fiscal crisis impacting the country. States reported mandatory budget cuts and enforced furloughs. Hiring freezes exacerbated the personnel shortages already impeding

performance on this indicator for many States. Reduced staffing impacted both State staff and their capacity to monitor local performance and provide TA and the availability of service providers to evaluate, assess, and engage families in a timely IFSP meeting. Moreover, many of the recruitment and retention strategies used in past years were not possible in this fiscal climate, (e.g., increasing provider rates, adding reimbursement of travel costs, providing higher education opportunities).

Other challenges to performance on this indicator, also described in past APRs, include: personnel issues, inefficiencies in the IFSP process and/or service delivery models, increased numbers of referrals, and interagency issues, such as: high referral rates from CAPTA and difficulty in getting medical records or consents for children in foster care. Severe weather was mentioned by a few States with large rural remote areas. Unlike past years' reports, there were few reports on lack of awareness or misunderstanding of requirements on this indicator. The following summarizes key challenges that States continue to address:

Personnel Issues
- Shortages of therapists and a discrepancy in pay scales between the early intervention programs and hospitals or clinics that pay higher salaries
- Shortages of developmental specialists or service coordinators especially by States that rely on these personnel to coordinate the process and/or act as primary service providers
- Difficulty in finding interpreters caused delays
- Having too few evaluators and /or difficulty scheduling evaluators
- Loss of private providers due to decreased Medicaid reimbursement rates or slowdowns in billing and reimbursement
- Staff turnover, state hiring freezes, furloughs, or reduced hours

Inefficient Process or Procedures
- Scheduling delays, including difficulties contacting families and scheduling evaluation/assessments and IFSP meetings
- Communication challenges, such as: sharing of information in a timely manner, delays from point of entry, insufficient referral information, and delays in receiving evaluation or medical reports
- Delays in coordination with other agencies, such as: difficulties in getting information and/or parental consent for increasing numbers of children referred from Child Protective Services (CPS), slower intake of children in foster care due to delays in assigning a surrogate parent
- Requirements for prior authorizations for services slowing evaluation/assessments as well as timely services
- Inefficient service model (e.g., having multiple providers scheduling evaluation/assessments and writing reports separately; private providers (a vendor system) and inadequate or no funding for "team-time" or the IFSP meeting)

DELAYS ATTRIBUTABLE TO EXCEPTIONAL FAMILY CIRCUMSTANCES

Although States were not required to report the number or percent of children with delays attributable to family circumstances, 48 States reported a range from less than one percent to 55% with a mean of 16%. Family reasons for delay include illness, family holidays, missed appointments, other scheduling conflicts, and extreme weather conditions or a natural disaster where the length of the delay is directly proportional to the duration and severity of the disruption.

Figure 4 shows the percent of all children with delays due to exceptional family circumstances from least (.1%) to highest (55%) in the lower portion of each State's bar. The top portion of the bar shows each State's percent of children with no delays in meeting the 45 day timeline. Both sections together illustrate each State's compliance with the 100% target.

Figure 4

Compliance with 45 Day Timeline by State
Showing Percent of Timely Services and Percent Delayed Due to Family Circumstances

■ Timely Services ■ Family Circumstances   States (N=48)
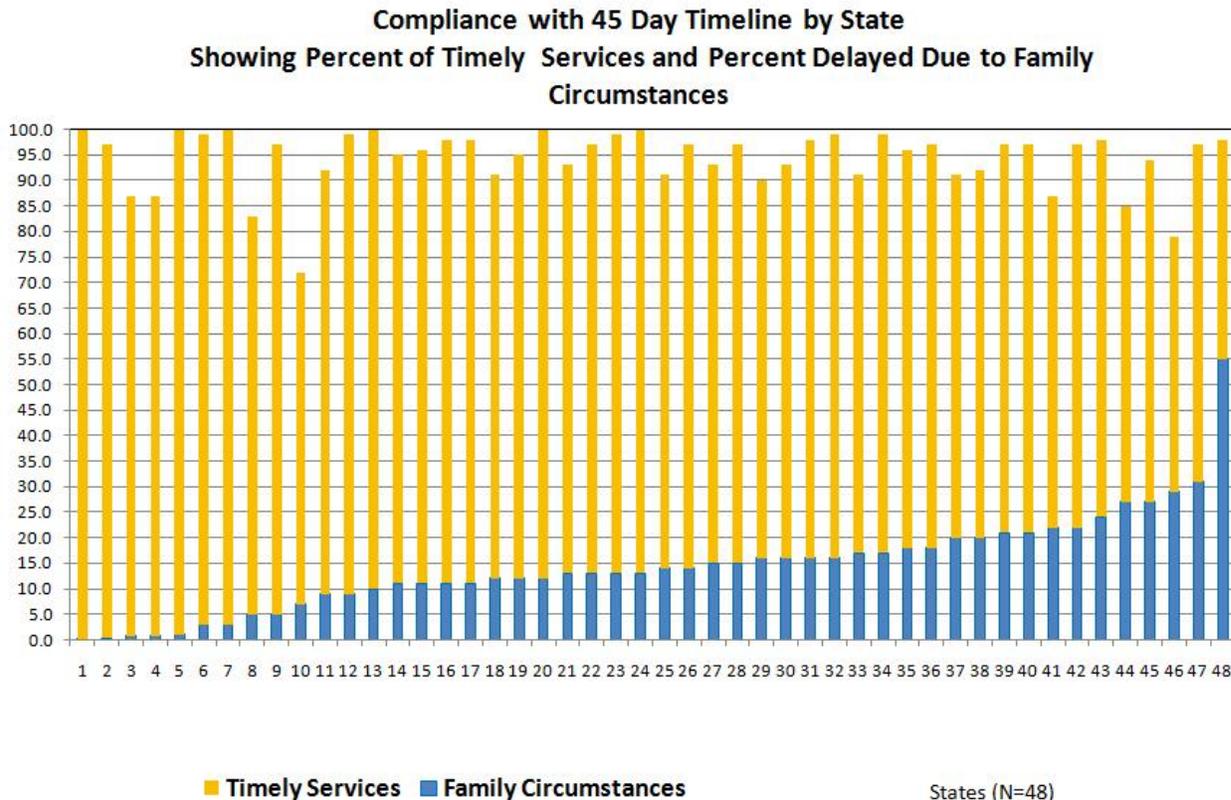
A large majority of States (37 of 48) reported that delays of 20% or less due to family circumstances: 11 States between less than 1% and 9% and 22 States between 10%-19%. Ten States reported between 20%-30% while two States reported that above 30% of delays were due to family circumstances. The outlier at 55% was an island territory, with a large proportion of children from an Intensive Care Unit where infant health issues were family reasons for delays.

One State had an interesting procedure to validate and reduce delays coded as due to family circumstances. The State sampled case notes for 25% of delays, determined what percent of those were either not acceptable as "family reasons" or had no justification. The overall data was then adjusted by the estimated inaccuracy.

IMPROVEMENT ACTIVITIES
Not all States reported the same severity of fiscal impacts. Despite increasing numbers of referrals and funding cuts, the majority of States (n=40) either made progress or maintained performance. States reported an array of successful improvement activities that were targeted to root causes of delays. Examples are highlighted below:

Continuous Monitoring and Review of Data
As discussed above, a continuous focus on local performance on this indicator and tracking and reporting on timelines at the child level was common among strong performers. Additionally, States maintaining an up-to-date awareness of performance were also able to help local programs explore the causes of delays and devise an array of improvement activities to address programmatic and systemic issues. Examples are provided below:

- Review of local performance through focused monitoring, review of data on timelines, use of a web-based data system and training locals to generate reports on their performance, use of self- assessment systems, or requiring documentation of each instance of non-compliance
- States used "tickler" systems, timeline "alerts", a flowchart with timelines for the IFSP process, and notices to providers to keep local awareness of this indicator high
- In States with State data systems, performance reports were made regularly (quarterly, monthly, or even weekly to areas with CAPs) to regional administrative units (Single Points of Entry) program managers, supervisors, service coordinators, and even service providers
- Other States required local performance reports quarterly, monthly, weekly, or in some cases on all instances of noncompliance
- Some States made ongoing public reports. For example, local performance was reported to Local Interagency Councils (LICCs), the ICC, and/or posted on the State website
- Some States tied fiscal rewards and sanctions to performance on timelines. For example, one State has higher evaluation reimbursement rates for teams completing evaluation and assessments within 14 days
- Verification and requiring corrective action plans tied to specific causes of noncompliance were reported. For example, in one State, managers monitored to see if any delay is specific to individual staff, referral agencies, or geographic area to ensure corrections are targeted to causes. Another State required a corrective action plan and written documentation of every instance of non-compliance
- States also reported using monitoring information to target technical assistance and training to specific programs to help them correct specific causes of delay

Training and TA (T&TA) Activities
States provided TA to both examine root causes of noncompliance and to remediate them. States also provided statewide TA to improve the efficiency and effectiveness of provider practice or the service delivery approach and ongoing orientation emphasizing timelines for all new providers. Examples of activities are listed below:

- Targeted TA addressed concerns in CAPs. In some high performing States, each finding of noncompliance triggered a CAP and/or TA to problem-solve and correct concerns
- Strategies included targeting TA to concerns revealed by data. Regional administrative structures worked closely with local programs, teams, and/or providers to continually review performance in order to plan and implement improvement strategies. Additionally, peer mentoring programs for program directors and sharing successful improvement strategies across regions
- Local/regional administrative units also were involved in regular reviews of team and/or provider progress and targeted TA to improve performance
- T & TA on evidence-based evaluation/assessment procedures, including functional assessment of the whole child to replace discipline specific assessments and separate reports
- Use of Routines-Based Interviews to develop functional outcomes and interventions
- Joint training on authentic assessments for C & 619
- Instituting a more efficient IFSP process, including pilots of a one day process to conduct assessments and the initial IFSP meeting
- Training on new IFSP forms and guidance with efficient procedures and data elements that were easier to track and document
- T & TA in order to change service delivery model to a primary service provider or transdiciplinary team model to increase efficiency and extend the reach of available personnel

Increase Personnel and Efficient Use of Personnel
Many States reported comprehensive activities to increase the numbers of qualified personnel and fill vacancies more efficiently. Several States mentioned creating ICC taskforces, studying recruitment and retention needs statewide, and planning multiple improvement activities to bring more providers into the system and deploy them efficiently to meet timelines. Specific activities reported this year included the following:

- Increasing the number of evaluators through additional contracts with private providers; adding evening and weekend options; configuring evaluation teams and backup teams; reducing the number of evaluators who see each child; and creating a competency-based EI Certificate to allow more providers to perform evaluations
- Collaborating with Institutes of Higher Education (IHE) to create student practicums and recruitment plans; programs for paraprofessional therapists and links with four year and graduate programs to create career paths; tuition awards, or reimbursements.
- Creating an EI Specialist or Developmental Specialist personnel category and state certification

- Increasing therapy services through the use of SLP, OT, and PT assistants; extensive recruitment efforts including direct mailings to all licensed therapists and changing to a primary provider model to extend the number of families each therapist can see
- Contracting with other resources (e.g., their University Center for Excellence, school districts, hospitals) to offer evaluations and/or services as a supplement to areas with personnel shortages
- Revising policies and procedures to expedite the process for hiring staff or building staff minimums and enrollment procedures into program contracts
- Using ARRA funds to increase service coordinators and evaluators
- Making all service coordinators State staff (vs. private contractors) to increase control over procedures and timelines
- Evaluating how staff are deployed from intake through initiation of services to increase efficiencies (e.g., revising caseloads based on travel routes; developing a workgroup to monitor and improve scheduling and service delivery; and using electronic scheduling to efficiently fill appointments and cancellations)
- Using distance service technologies, such as telehealth for speech therapy or use of computer camera and videoconferencing during home sessions so that specialists could participate remotely

Clarify/Revise Policy and Procedure
States most often reported revision of policies and procedures to improve efficiency, streamline procedures, and improve oversight and quality assurance. Less frequently reported were activities to clarify policy and procedure unless the state had changed policy or procedure (e.g., requiring data on reasons for delay or revising State standards which were stricter than 45 day timelines). Example activities included:
- Changes in intake and streamlining evaluation/ assessment procedures to better meet timelines and improve quality
- Revise IFSP forms and guidance to improve data collection, tracking, timelines, and statewide consistency
- Streamlining prior authorization process and service coordinator enrollment
- Using billing contractor to streamline authorizations and reimbursements or payments

Other Improvement Strategies
States reported a variety of other activities, such as improved interagency collaboration for screening, referral, and information exchanges, restructuring service delivery structures to improve efficiency, building TA infrastructure, and using distance service delivery options.

Summary
Despite the severe fiscal crisis suffered across the country, States continue to improve performance on Indicator 7, assuring that evaluations and assessments and initial IFSP meetings are conducted within 45 days of referral to the Part C program. States have committed consistent time and resources to maintaining or improving performance. Financial barriers seem to be varied across States, as some are still able to invest in

personnel, infrastructure, and training to enhance quality of services, as well as improve compliance. Even States reporting fiscal constraints were able to use a number of creative low-cost and cost saving strategies to improve efficiency and performance.

INDICATOR 8: EARLY CHILDHOOD TRANSITION
Completed by NECTAC

Indicator 8: Percent of all children exiting Part C who received timely transition planning to support the child's transition to preschool and other appropriate community services by their third birthday including:
> (a) IFSPs with transition steps and services;
> (b) Notification to LEA, if child potentially eligible for Part B; and
> (c) Transition conference, if child potentially eligible for Part B.

INTRODUCTION
Indicator 8 is a compliance indicator with a performance target of 100%. Each of the three sub-indicators of Indicator 8 correspond to specific Part C regulations:

- **Sub-indicator (A)** *IFSPs with transition steps and services:*
  Part C regulations specify that "The IFSP must include the steps to be taken to support the transition of the child, in accordance with §303.148" [§303.344(h)].
- **Sub-indicator (B)** *Notification to LEA, if child potentially eligible for Part B:*
  Part C regulations specify that the Lead Agency will "Notify the local education agency for the area in which the child resides that the child will shortly reach the age of eligibility for preschool services under Part B" [§303.148(b)(1)].
- **Sub-indicator (C)** *Transition conference, if child potentially eligible for Part B:*
  Part C regulations specify that "In the case of child who may be eligible for preschool services under Part B of the Act, with the approval of the family of the child, [the lead agency will] convene a conference among the lead agency, the family, and the local educational agency" [§303.148(b) (2)(i)].

This analysis of Indicator 8 is based on a review of FFY 2008 APRs for 56 States and jurisdictions. For the purpose of this report, all States and territories are referred to collectively as "States". All 56 States reported data for all three sub-indicators demonstrating improvement in data reporting capacity compared to previous reporting periods.

DATA SOURCES AND COLLECTION
The data sources for each sub-indicator in the FFY 2008 APR were recorded in order to identify and track trends for data collection methods used by States. Table 1 illustrates data sources for the last three reporting periods.

Table 1: Types of Data Sources Reported for Actual Performance

Data Sources	C8A IFSP Steps & Services			C8B Notification to the LEA			C8C Transition Conference		
FFY	**2006**	**2007**	**2008**	**2006**	**2008**	**2008**	**2006**	**2007**	**2008**
Monitoring/File Review	33	29	23	22	18	13	23	24	18
Monitoring/ File Review and or Self-Assessment/	NA	10	6	NA	5	5	NA	5	4
Monitoring and Data System	14	5	5	9	3	7	16	6	10
Data System	4	4	15	20	19	25	15	10	17
Other	0	4	2	1	3	2	0	4	2
Not given, unclear	3	4	5	2	8	4	0	7	5
Total States	54	56	56	54	56	56	54	56	56

While the majority of States (n=29) continue to use monitoring processes for determining the inclusion of transition steps and services on the IFSP (8A), the use of monitoring processes as a primary data source is decreasing for all sub-indicators. An increase in the number of States using data systems is evident across all three sub-indicators. The most commonly reported data collection source for notification to the LEA (8B) and timely transition conference (8C) are State data systems. A few States did not report their data sources or the method used for collecting data was not clearly described. Five States tracked individual children as they transitioned from Part C to Part B with a unique child identifier. Another State reports activities are underway to develop this capacity.

Although States are increasing their use of electronic data systems, many States continue to rely on monitoring mechanisms for reporting purposes, with variation in processes, practices, and category descriptions. While many States continue to describe cyclical program monitoring, an increasing number of States are reviewing documentation to provide performance data for all children. A few States described a process of self-assessment as part of the monitoring process but only four States used a self-assessment process for all three sub-indicators. One State combined the use of self-assessment within their data system.

The number of files reported to determine State performance varied. Some States monitored or reviewed a percentage of files or data sets of either State or locally gathered data, while other States provided documentation for all children in a particular category of transition, evidenced by States' use of electronic transfer of data.

COMPARISON OF BASELINE, ACTUAL PERFORMANCE, AND TREND DATA

Actual Performance

Figure 1 shows the percentage of States at full compliance or with high performance for all three sub-indicators. Sub-indicator 8B, Notification to the LEA, had the highest percentage of full compliance at 55%. The highest overall performance for FY 2008 was also sub-indicator 8B at 82%. Sub-indicator 8C, Transition Conference, had the lowest percentage for full compliance at 25%. Sub-indicator 8A, IFSPs with Transition Steps and Services, had the highest level of high performance at 41%, suggesting that some of these States may be achieving full compliance next year.

**Figure 1: Actual Performance by Sub-Indicator for FFY 2008**
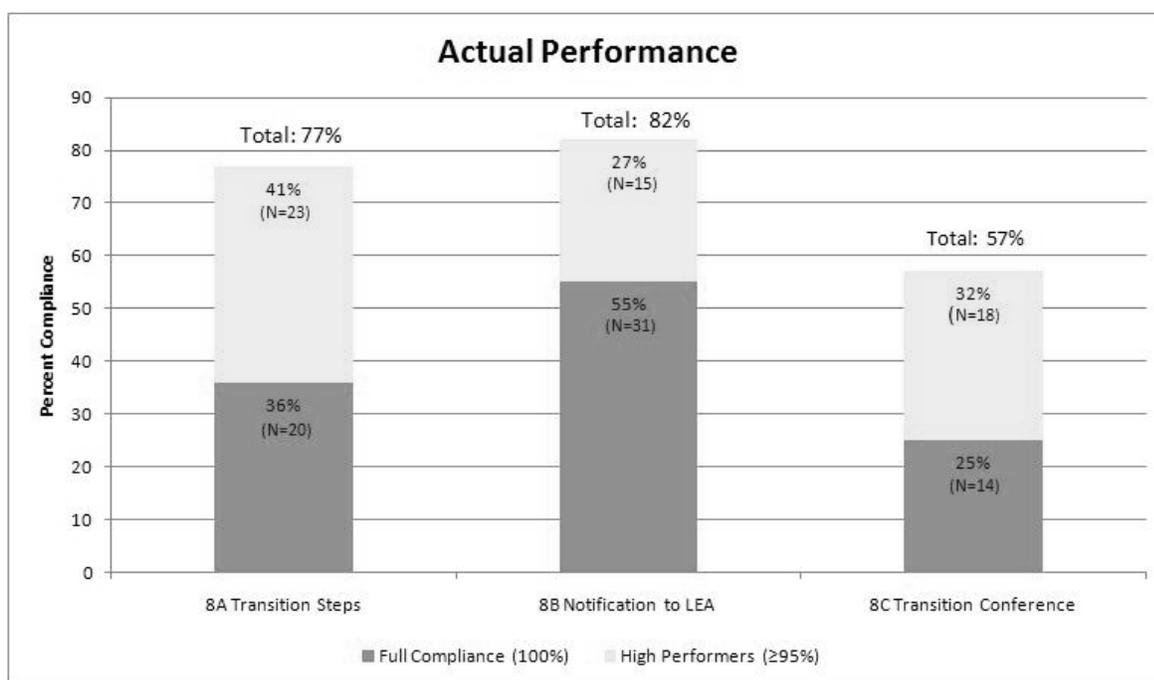
States continue to make progress on all sub-indicators of early childhood transition with seven States reporting 100% complicance on all three sub-indicators. An additional 11 States were at or above 95% across all sub-indicators. Table 2 shows the distribution of State performance across the three sub-indicators for FFY 2007 and FFY 2008.

Table 2: Distribution of Actual Performance for FFY 2007 and FFY 2008 (N=56)

Actual Performance	Number of States					
	C8A Transition Steps		C8B Notification to LEA		C8C Transition Conference	
	2007	2008	2007	2008	2007	2008
100%	19	20	32	31	13	14
95-99%	20	23	13	15	18	18
90-94%	6	9	5	4	7	11
80-89%	8	2	3	5	9	8
70-79%	1	1	3	0	3	1
60-69%	0	0	0	1	4	2
50-59%	2	0	0	0	2	2
40-49%	0	1	0	0	0	0

8A - IFSPs with Transition Steps and Services: Forty-three States (77%) reported transition steps on the IFSP at full compliance or at or above 95%, with only two States reporting performance below 80%. The number of States demonstrating substantial and full compliance increased from FFY 2007 to FFY 2008 for this indicator.

8B - Notification to LEA: Of the three sub-indicators, significantly more States (N=31) were in full compliance for 8B than for either of the other two sub-indicators. This performance trend is consistent with the last three reporting periods. Forty-six States (82%) reported notification to the LEA at compliance or at or above 95%. Only one State reported performance below 80%. Fourteen States (25%) reported the use of an OSEP-approved opt out policy, representing an increase from FFY 2007. Two States also reported having a policy under development or in for OSEP review/approval.

8C - Transition Conference: Thirty-two States (57%) achieved full compliance or were high performers (≥ 95%) for timely transition conferences. Fourteen of the 32 States demonstrated full compliance. State performance for sub-indicator 8C was lower than sub-indicators 8A or 8B, which is consistent with prior reporting periods. Five States reported compliance below 80%, with two of the five States reporting performance below 60 %.

Comparison of Baseline to Actual Performance
Figures 2, 3, and 4 illustrate the trajectory from baseline (FFY 2005) to FFY 2008 performance for each State on each of the three sub-indicators. Most States demonstrated performance improvement with some States showing dramatic improvement from baseline on all three sub-indicators.

In Figure 2, the majority of States (N=46) demonstrate positive performance on 8A (IFSP with Transition Steps), including six States who maintained full compliance

reported at baseline. Ten States, most with high baseline performance, demonstrate a negative trend in FFY 2008. However, for five of the ten States, the slippage was minor and high performance was maintained (≥ 95%).

Figure 2:   IFSPs with Transition Steps

C8A Change from Baseline to FFY 08-09 Actual Performance
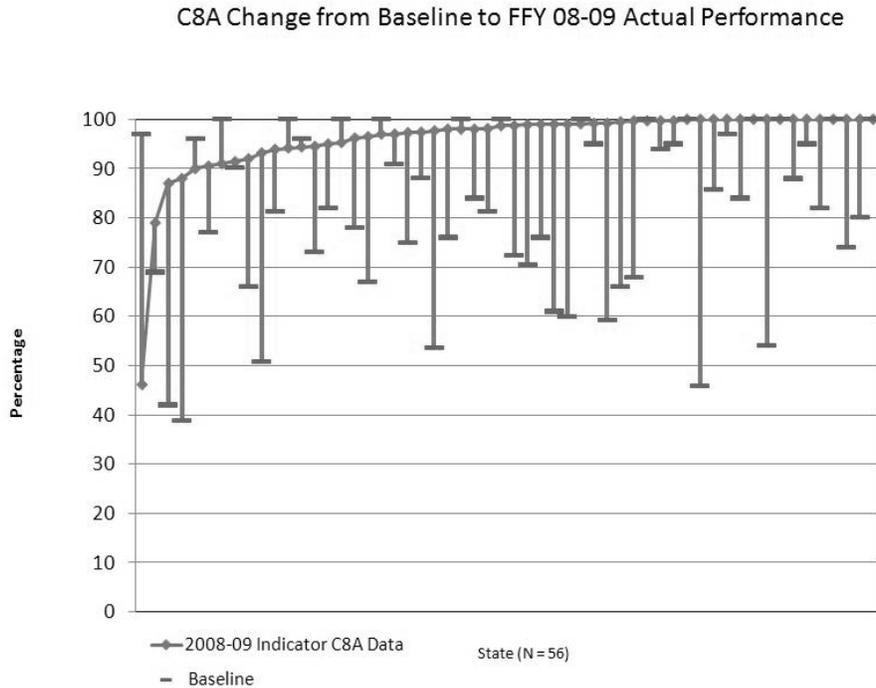
Somewhat different trends are seen in Figure 3, reflecting change from baseline to actual performance during this reporting period for 8B (Notification to the LEA). Similar to the change in performance seen in 8A (IFSPs with Transition Steps and Services), the majority of States (N=47) moved in a positive direction including the 16 States who maintained full compliance reported at baseline. Performance for 8B has always been reported in the high range as seen in the 16 States that maintained a high baseline of 100%. Seven States with high baseline performance reported lower actual performance in FFY 2008. Unlike the States demonstrating performance below baseline in Figure 2 for 8A, none of the States with slippage from baseline on 8B are high performers (≥95%).

Figure 3: Notification to LEA

C8B Change from Baseline to FFY 08-09 Actual Performance
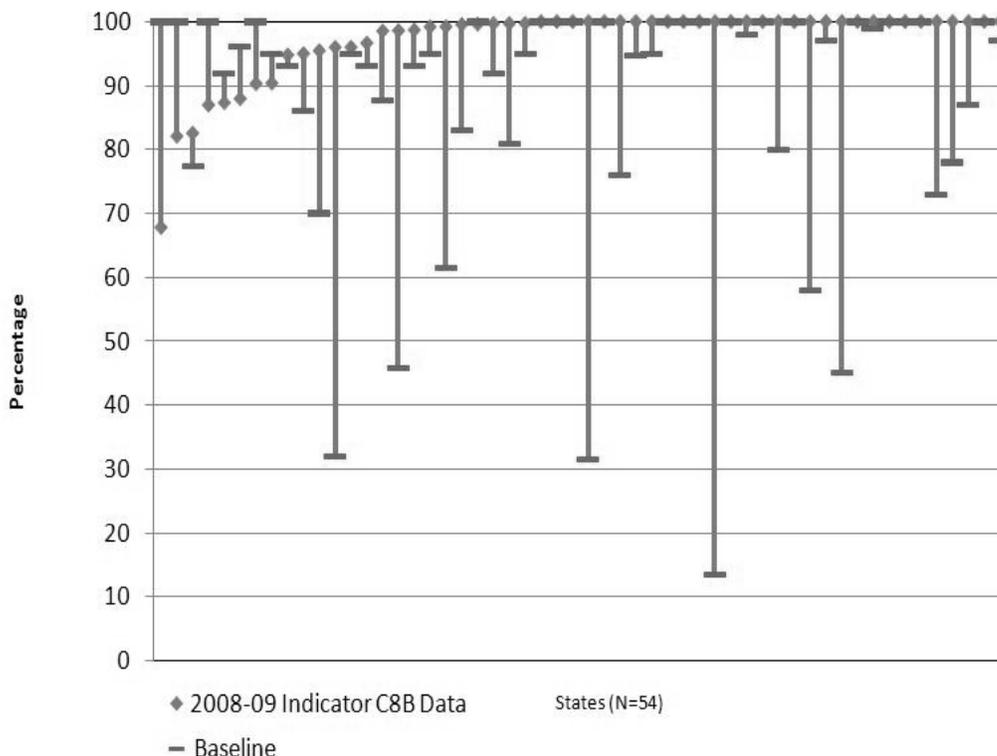
The majority of States (N=45) demonstrate a positive trajectory for conducting timely transition conferences as depicted in Figure 4, reflecting a similar trend as the other sub-indicators. Most States reporting the same performance as baseline were performing at 100%. Six of the ten States demonstrating a lower performance than baseline report actual performance above 90%.

Figure 4: Transition Conference

C8C Change from Baseline to FFY 08-09 Actual Performance
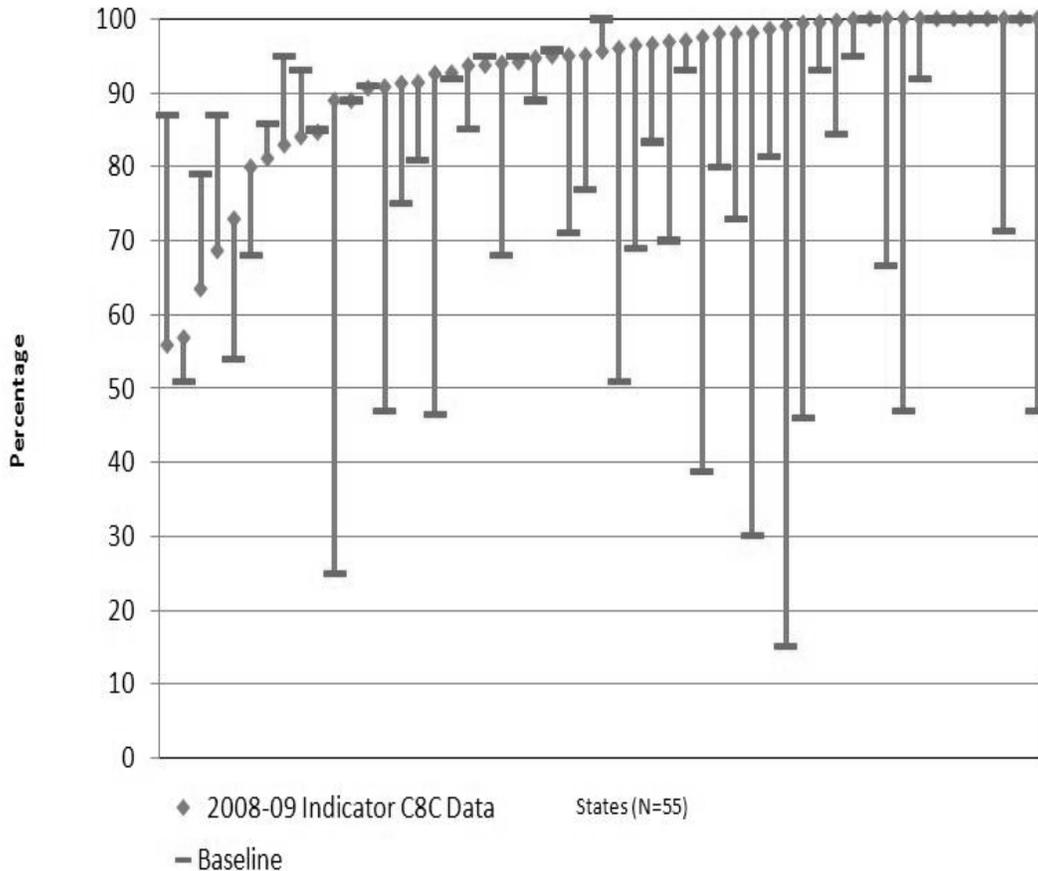
Actual Performance Trends
Figures 5, 6, and 7 depict trend data for the three sub-indicators of actual performance from FFY 2005 to FFY 2008. Generally the performance trends are positive with increasing numbers of States reporting performance of 80% to 100% on all sub-indicators.

Figure 5 shows State performance on sub-indicator 8A (Transition Steps on the IFSP) has increased from a mean of 88% in FFY 2005 to 96% in FFY 2008 reflecting an increase of 8% over the four reporting periods. It should be noted that States have increased their reporting capacity as evidenced by all States submitting data for the last two reporting periods. In FFY 2008, only two States reported performance below 80% with the majority of States performing at 90% or higher reflecting a positive performance trend over time.

Figure 5

Trend Data for Sub-Indicator C8A from FFY 05-06 to 08-09

	2005-2006	2006-2007	2007-2008	2008-2009
Mean	88	91	94	96
Highest	100	100	100	100
Lowest	54	50	55	46
No Data	4	0	0	0
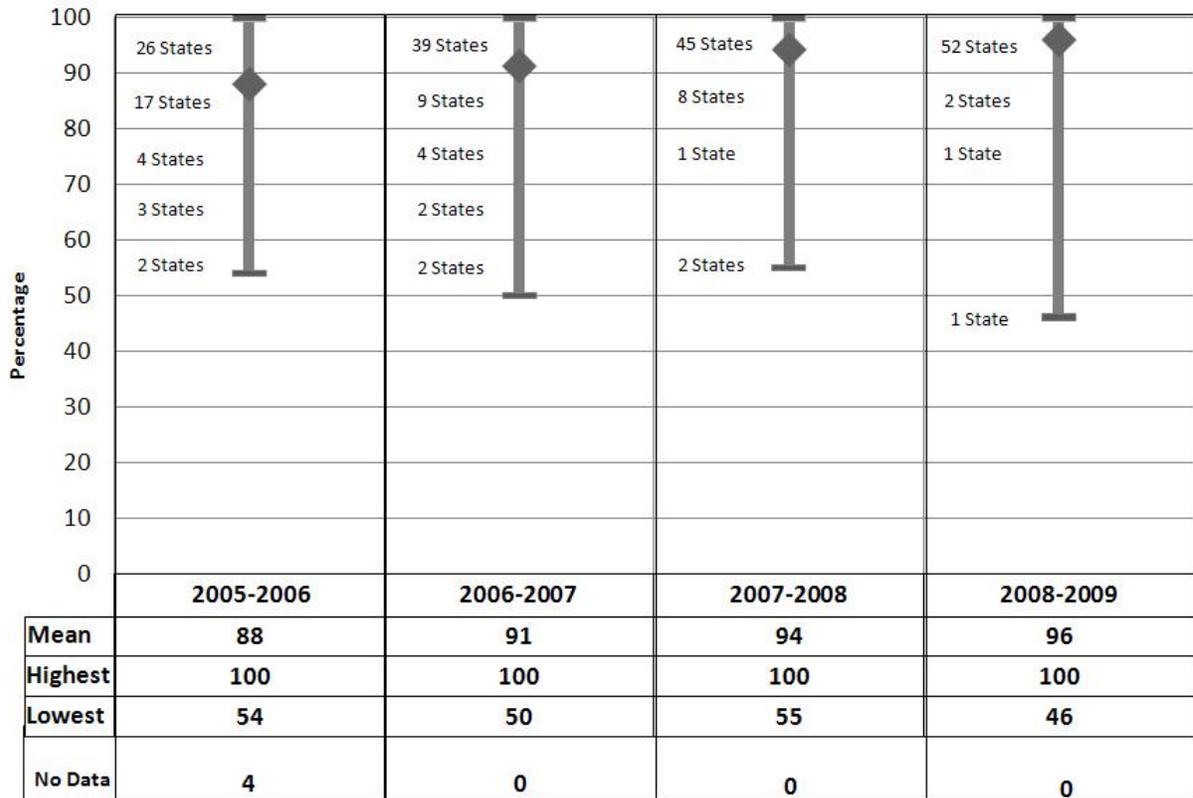
Figure 6 illustrates improved State performance on sub-indicator 8B (Notification to the LEA) over time but with a smaller change in mean performance from 94% in FFY 2005 to 97% in FFY 2008. The mean for 8B increased in performance of 3% in the four reporting years which is reflective of higher performance from earlier reporting periods as compared to 8A and 8C. The lowest performance improved over time with a slight decrease from FFY 2007 to this reporting period. The lowest performance in 8B continues to be higher than the lowest State performance range for the other two indicators with the exception of one State reporting performance below 80%.

Figure 6

Trend Data for Sub-Indicator C8B from FFY 05-06 to 08-09

	2005-2006	2006-2007	2007-2008	2008-2009
Mean	94	96	97	97
Highest	100	100	100	100
Lowest	64	67	72	68
No Data	1	0	0	0
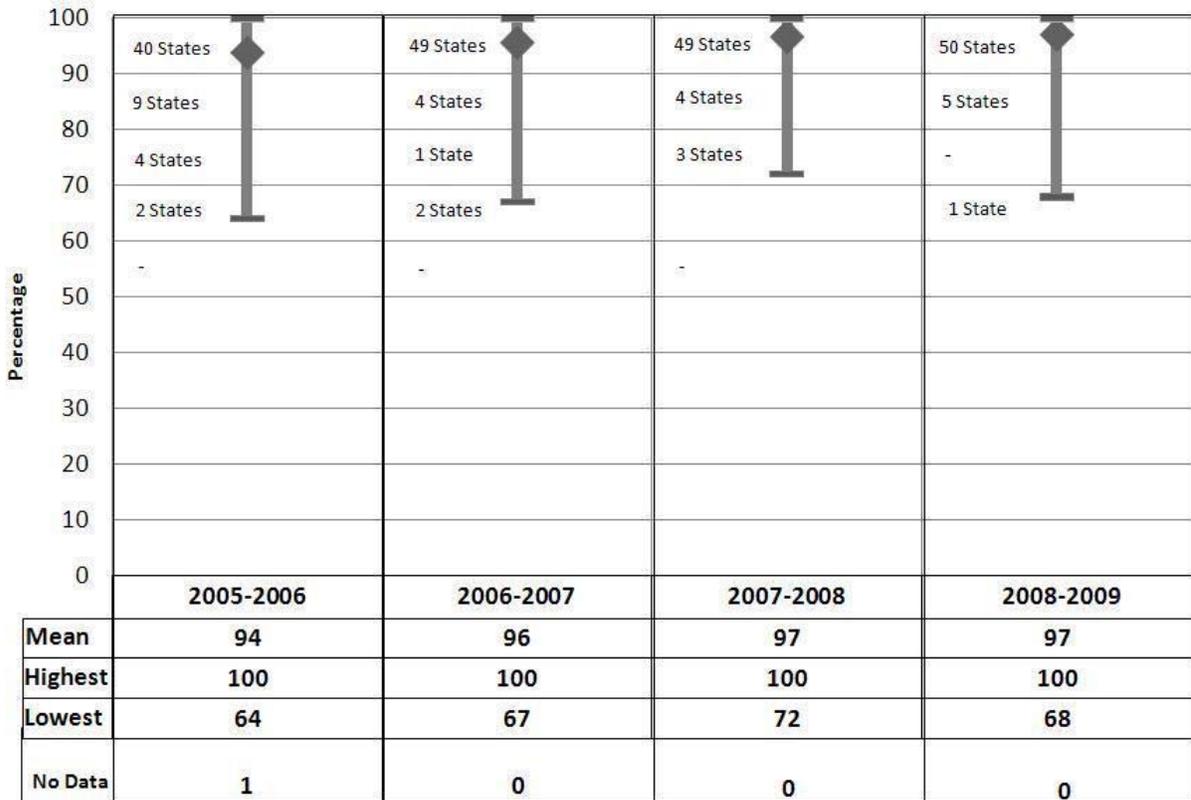
Figure 7 illustrates that the State performance on sub-indicator 8C (Transition Conference) has improved over time with a nine percent increase in mean performance from 83% in FFY 2005 to 92% in FFY 2008. The range of the lowest State performance increased markedly from 30% in FFY 2005 to 56% in FFY 2008 reflecting a percentage improvement of 26 percent indicating steady improvement in national performance on conducting timely transition conferences. Only five States reported performance under 80%.

Figure 7

Trend Data for Sub-Indicator C8C from FFY 05-06 to 08-09

	2005-2006	2006-2007	2007-2008	2008-2009
Mean	83	88	91	92
Highest	100	100	100	100
Lowest	30	44	55	56
No Data	2	1	0	0
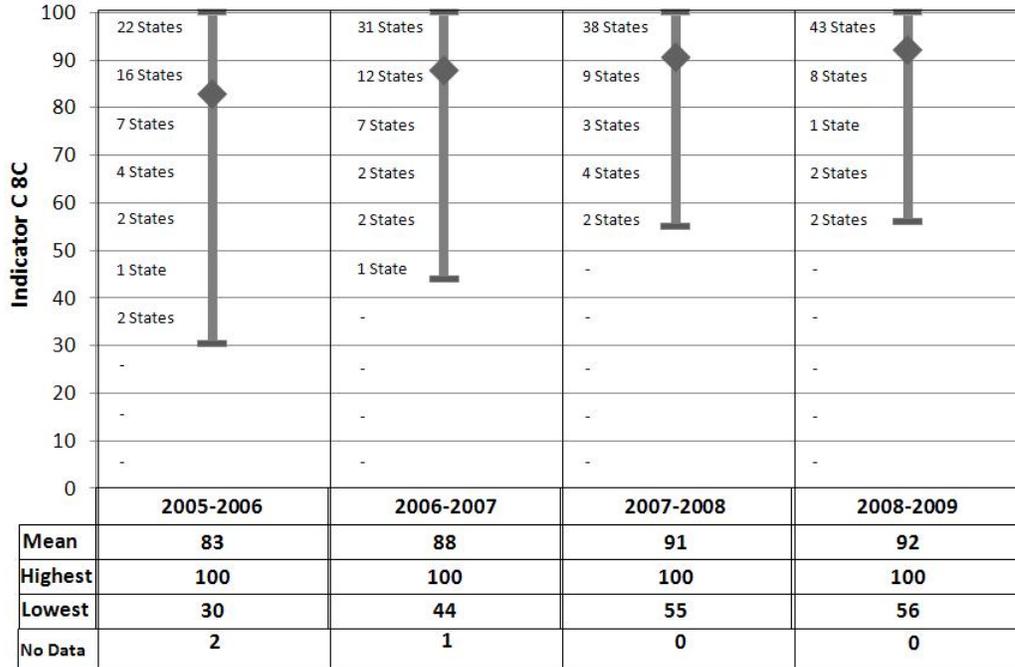
PROGRESS AND SLIPPAGE

Overall, States made progress on each of the sub-indicators. A comparison of progress and slippage data from the previous reporting period (FFY 2007) to the current reporting period (FFY 2008) indicates fewer States made progress in each sub-indicator. More States demonstrated slippage as shown in Table 3. The category described as no change appears more stable with less variability as compared to progress and slippage.

Table 3: Comparison of Performance Across Sub-Indicators for FFY 2007 to FFY 2008

Sub-indicator	Actual Performance by Reporting Period					
	FFY 2007			FFY 2008		
	Progress	No Change	Slippage	Progress	No Change	Slippage
8A – Transition Steps and Services	31	13	12	29	10	17
8B – Notification to the LEA	22	25	9	15	26	15
8C- Transition conference	34	9	13	20	10	20

Figures 8, 9, and 10 illustrate progress and slippage of actual performance for FFY 2008 as compared to FFY 2007.

<u>8A - IFSPs with Transition Steps and Services</u>
More States reported progress in documenting transition steps and services on IFSPs than for the other sub-indicators. The majority of States (N=29) demonstrated progress with five States improving by 13 to 39 percentage points. Of those five States, four reported performance of 92% or higher. Seventeen States demonstrated slippage. In most instances, the slippage was less than 10 percentage points with many States continuing to demonstrate performance above 90%. Eight of the 10 States that showed no change remained at 100% performance. The other two States maintained high performances of 98% and 99% respectively. The State demonstrating the greatest slippage of over 50% reported a significantly reduced number of files reviewed and the impact of summer birthdays as factors.

Figure 8

C8A - Progress/Slippage from 2007-08 to 2008-09
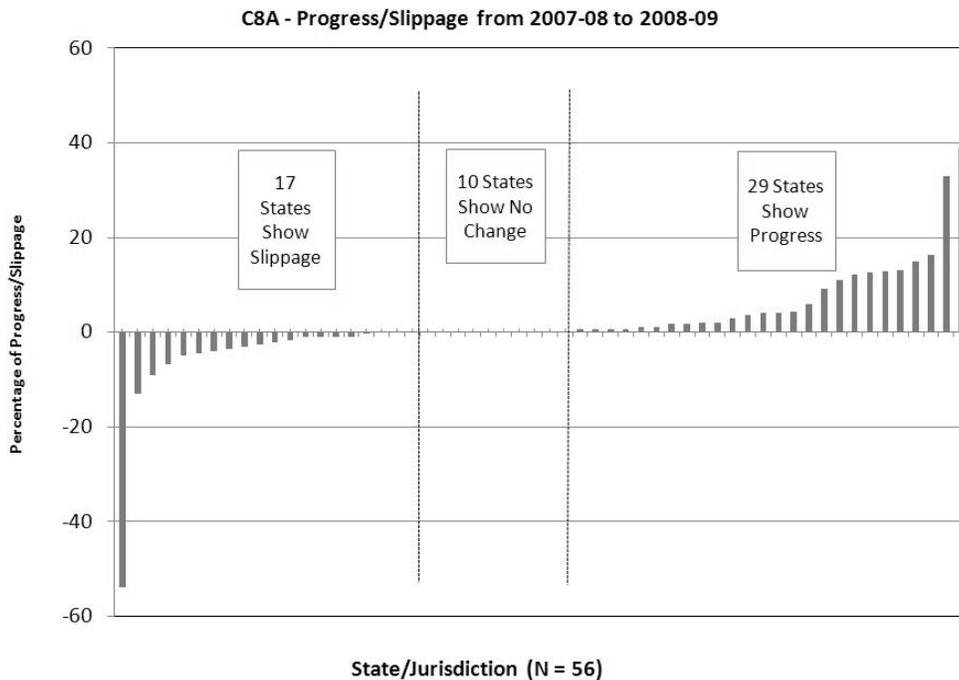
<u>8B - Notification to LEA</u>
For sub-indicator 8B, 15 States made progress. Three of the 15 States increased performances by 11% to 27%. Of the five States demonstrating the most progress, two came into full compliance and one was at or above 95%. Fifteen States demonstrated slippage, however, nine of the 15 States reported performance of 95% or higher. Only two States reported slippage of ten percentage points or greater. All of the 26 States that reported no change maintained their performance rating of 100% from the previous year. This sub-indicator continues to show the highest performance with the most number of States demonstrating full compliance.

Figure 9

C8B - Progress/Slippage from 2007-08 to 2008-09
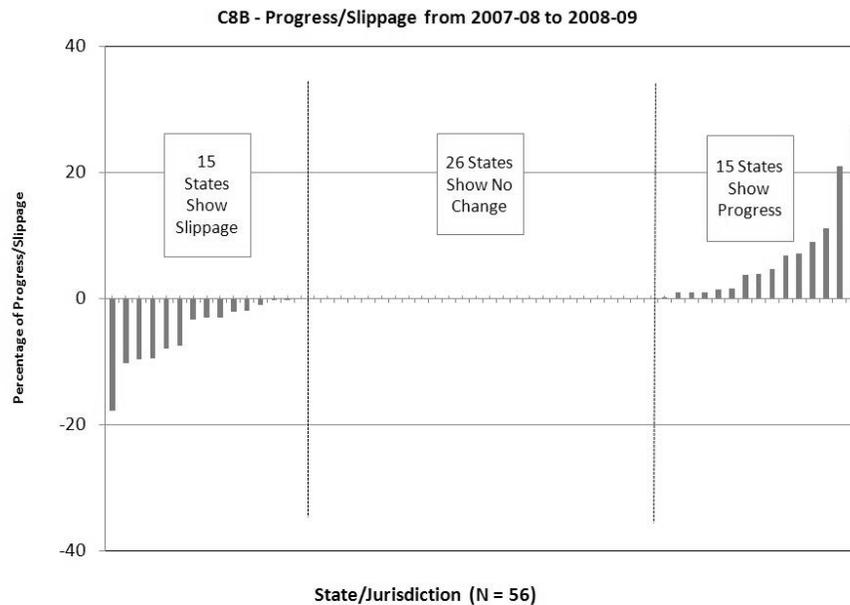
8C - Transition Conference

For sub-indicator 8C, 26 States reported progress. Seventeen of the 26 States that demonstrated progress reported performances of 95% to 100%. Seven States making the most progress improved performance by 11 to 36 percentage points, with three States achieving substantial or full compliance. This sub-indicator had the highest slippage compared to 8A and 8B with the data representing an increase from the prior reporting period. Fifteen of the 20 States demonstrating slippage reported performances of 90% or higher. Seven of the 10 States reporting no change maintained 100% compliance from the previous year.

Figure 10

C8C - Progress/Slippage from 2007-08 to 2008-09
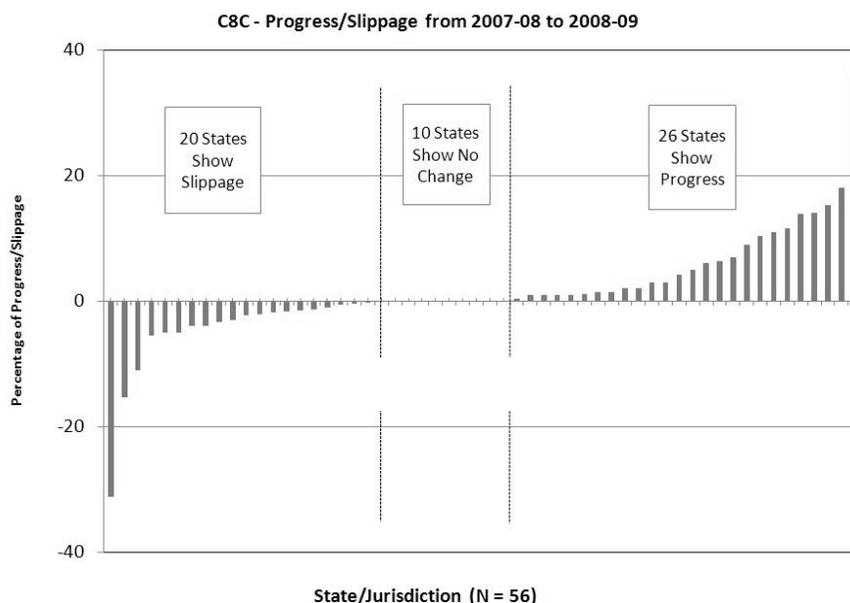
Explanation of Progress and Slippage
Explanation of progress or slippage was addressed by a few States in general terms across all sub-indicators. Specific explanations were not always clear. More States attributed progress and slippage to particular factors even if the reasons were applicable for more than one sub-indicator. In some cases, States described multiple reasons for progress or slippage within the explanation.

Within the three sub-indicators, States described issues and strategies that are specific and relevant to the particular requirements showing logical variation in improvement strategies. For example, in sub-indicator 8A which focuses on the presence of transition steps and services in the IFSP, many States described activities related to the content and use of the IFSP form. For sub-indicator 8B, most States discussed refinements for collecting and sharing child notification data with Part B or the clarification of opt-out policies. For the transition conference (8C), States described strategies and issues affecting timeliness such as local collaboration, staff shortages/turnover, and late referrals.

States that relied on cyclical monitoring as a method of data gathering mentioned the impact of a small number of programs in creating slippage. It should be noted that many of the States reporting slippage still demonstrate high performance.

8A - IFSPs with Transition Steps and Services
Fifteen States reported activities for which progress was attributed. Themes emerged related to the positive impact of specific types of training and TA, clarifying requirements for documenting transition steps and services on the IFSP, and modifying the IFSP form to include sections designed to address transition outcomes, steps, and services. A few

States described changes to data systems that ensured the documentation of completed transition steps and services. One State described how focused monitoring efforts examined not only the presence but also the quality of transition outcomes. Seventeen States reported using Statewide IFSP forms and transition sections, and two States described the use of statewide electronic IFSPs.

Twelve States demonstrating slippage reported factors influencing performance. The factors reported included: specific programs requiring policy clarification and TA, incorrect or missing documentation of transition steps and services on IFSPs, and personnel shortages.

8B - Notification to LEA
Thirteen States reported activities for which progress or maintenance was attributed. Clear themes emerged relating to improvements in data systems, data management, and interagency communication. States described effective data sharing procedures, improvements in accuracy of data entry, the development of prompts to alert staff, and increased frequency of notification reports. Other strategies mentioned included development of guidance materials, promoting local collaboration, and targeted training for service coordinators and data managers. A few States targeted training and TA to personnel to clarify the use of new or existing opt-out policies.

Seven States demonstrating slippage reported factors related to data capacity issues and the need to clarify notification requirements with new staff or specific programs. One State reported that improved data accuracy and increased stringency of measurement approach created slippage. Two States were allowing parents to opt-out of notification without an OSEP approved policy and the correction of their data negatively impacted performance.

8C- Transition Conference
Eighteen States demonstrating progress for this sub-indicator reported activities that led to progress. Themes emerged related to utilization of targeted monitoring activities, a Statewide focus on the transition conference requirement, improved data system capacity to alert staff of impending conference dates, linking training and TA to policy clarification and monitoring processes, and focusing on strategies such as MOUs to improve collaboration and coordination with LEAs. Many of the States used training, TA, and monitoring resources to work with programs on compliance issues.

Fifteen States demonstrating slippage reported factors such as improper or missing documentation, late referrals, staff vacancies, staff turnover, LEA staff not attending conferences, and changes in State interpretation of exceptional family circumstances.

FEATURED IMPROVEMENT ACTIVITIES
This section is organized by examples of activities within general categories of improvement activities. Special featured activities are described.

Technical Assistance, Training, and Professional Development
Training and technical assistance, often occurring collaboratively with Part B and other stakeholders, was the improvement activity most often cited by States. Training and technical assistance opportunities were provided at Statewide meetings and conferences, as part of the monitoring process, at regularly scheduled or required trainings, in conjunction with new policies or procedures, and at the request of local administration. A few States updated or created training modules. Other special featured activities included:
- Requiring Service Coordinators to complete an online training on transition
- Requiring Service Coordinators to complete training on a new Part C Procedure Manual which included transition requirements and policies
- Transition Mentors in Early Intervention Programs that meet routinely with staff to review timelines, requirements, and recommended practices

Systems Administration and Monitoring
Many States described the monitoring process and subsequent development and implementation of corrective practices to address issues of noncompliance. As a result of monitoring procedures, many local systems adopted processes of self-monitoring most often in the form of regularly scheduled review of data. Other featured activities included:
- All service providers required to have Quality Assurance Improvement Plans in addition to the State monitoring processes
- The addition of at least one parent on monitoring teams for on-site visits
- A new State-level task force to analyze strengths and barriers of transition practices
- Regional staff were required to determine program compliance before entering data into database

Collaboration and Coordination
Collaborative activities and coordination across programs were often mentioned. States reported a variety of collaborative activities with Part B, families, and other community stakeholders including the formulation of policies, clarification and understanding of transition processes, and development or revision of guidance documents. Such documents included the development and dissemination of family information in the form of packets, booklets, and brochures as well as the creation and dissemination of MOAs. Other featured activities included:
- Providing a transition brochure to all families during intake and when their children reach age two
- Using a checklist developed by the Statewide transition project for annual monitoring and evaluation of interagency agreements and all early intervention programs and developing interagency agreements with LEAs
- Developing and implementing regional action plans for improving practices between Part C programs and LEAs
- Studying the feasibility of joint assessment of children at the local level and considering the use of forms to meet the needs of each program

Data Collection and Reporting
States reported a variety of activities to develop, refine, or maintain data collection and reporting capacity. Activities included electronic transfer of notification information (sub-indicator 8B) and the addition of "ticklers" or prompts for upcoming date-sensitive and child-specific requirements for transition. A few States reported the development and use of unique child identifiers and the inclusion of transition requirements in electronic IFSPs. Other featured activities included:

- A family survey routinely used to collect data on transition experiences
- A special project surveying families to determine quality indicators for transition and to assess transition practices
- A child transition tracking form used by personnel in both the Part C and Part B programs
- High performing programs receiving incentive funding quarterly based on monthly reporting of data

Policies and Procedures
Many States reported the completion of improvement activities related to clarification, revision, or development of policies and procedures, or the creation of materials to communicate policy and procedures to both families and providers. Some States reported on opt-out policy clarification and approval status. States also reported revisions, updates, and creation of new policies, handbooks, toolkits, IFSP formats, and training modules. Other featured activities included:

- A new direct referral process to LEAs for children referred to Part C after 34 months
- A new Part B policy requiring an LEA to respond within 10 days of a referral

Many of the States achieving and maintaining high performance described similar types of activities. It is interesting to note that some practices in the areas of monitoring, data collection, and technical assistance have become routine and standard practice. Other States continue to refine or adopt new improvement activities as a result of data findings and stakeholder input.

INDICATOR C9: TIMELY CORRECTION OF NONCOMPLIANCE
[THIS VERSION HAS BEEN ALTERED FROM THE PRINT VERSION HANDED OUT 08/10]
Prepared by DAC

INTRODUCTION

Indicator C9 is used to determine whether the state's "general supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification." This indicator is measured as the "Percent of noncompliance corrected within one year of identification." The required target for this indicator is 100%.

The instructions for the APR indicate that states are required to provide:

- Detailed information about the correction of noncompliance, including any revisions to general supervision procedures, technical assistance provided and/or any enforcement actions taken;
- Information on the extent to which noncompliance was subsequently corrected (more than one year after identification); and
- Information on the nature of any continuing noncompliance, improvement activities completed and any enforcement actions taken.

States are required to describe the process for selecting local programs for monitoring. Additionally, states must describe the results of the calculations and compare them to the 100% target and include all findings of noncompliance regardless of the specific level of noncompliance. Monitoring data collected through all components of the general supervision system must be included and disaggregated by indicator/indicator cluster and other areas of noncompliance.

Overall, DAC reviewed 56 APRs for this summary. These included the 50 states, the District of Columbia, and other jurisdictions eligible for and participating in the Part C program. In this summary, the term "state" will be used for any of these 56 entities. In some instances, there are fewer than 56 responses, and this is noted in the narrative.

Actual (2008-09) Target Data As Compared to 100 Percent Target

Of the 56 states reviewed, two states provided no data. Of the remaining 54 states:

- Twenty-three states (43%) met the 100% target for 2008-09;
- Fifteen states (28%) reported performance between 90 to 99%;
- Five states (9%) reported performance between 80 and 89%;
- Three states (6%) reported performance between 70 and 79%; and
- Eight states (15%) reported performance less than 70%.

Progress and Slippage

Based on the C9 data reported in the APR, OSEP is able to determine whether each state has shown progress or slippage from the previous year. Included in this report are three visuals that reflect the progress states have made in meeting the 100 percent requirement.

Figure 1 is provided to demonstrate the progress in the number of states that have made gains in meeting the 100% requirement over the last several years. From 2005-06 to 2008-09, the mean of state's C9 performance has increased from 77 to 89.

Figure 1.   Four-year trend comparison

|	Ind C9 2005-06	Ind C9 2006-07	Ind C9 2007-08	Ind C9 2008-09
Mean	77	81	87	89
Highest	100	100	100	100
Lowest	1	28	0	14
No Data	9	3	2	5
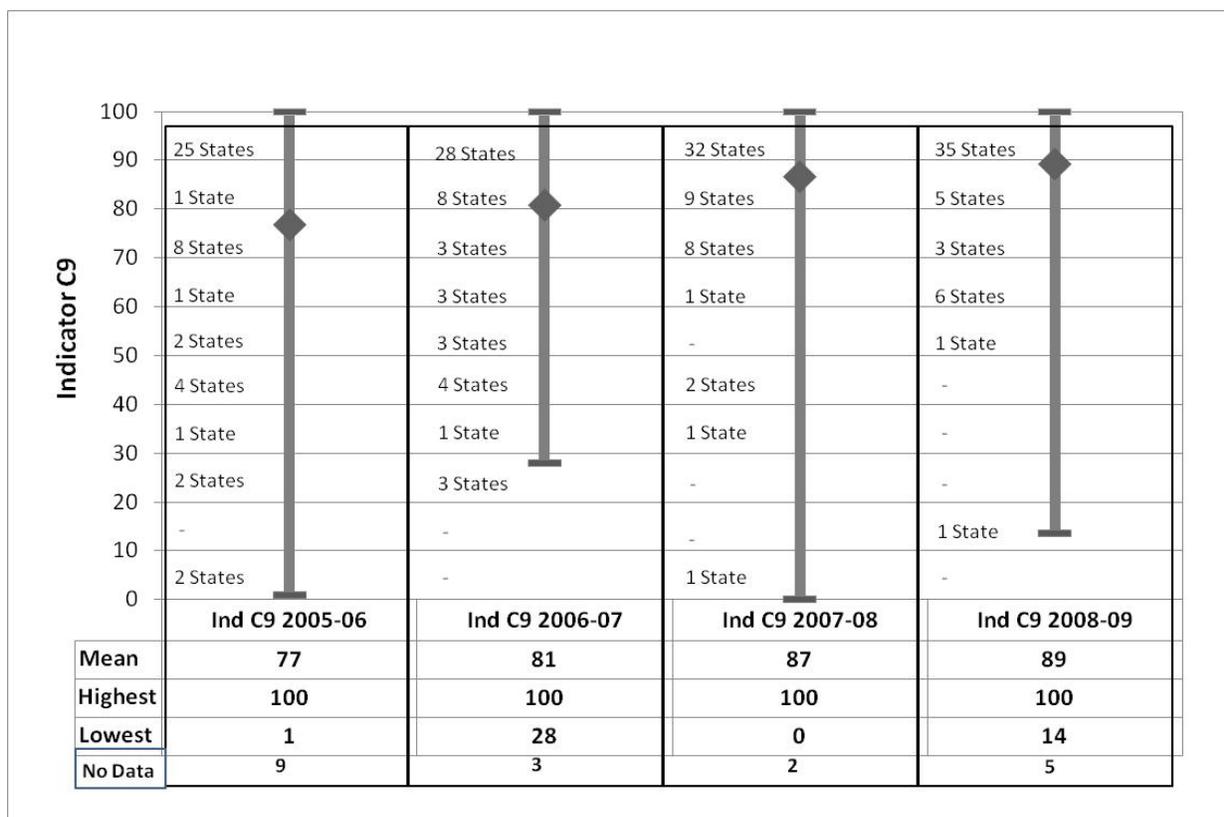
Figure 2 below depicts the number of states that showed progress in C9 performance, those states that had no change, and those that showed slippage from FFY 2007 to FFY 2008. Fourteen states had no change in their performance in C9 from FFY 2007. Twenty states had slippage from their FFY 2007 performance, while 22 states reported progress from FFY 2007 to FFY 2008.

Figure 2.   Comparison of progress and slippage

Each Column Represents One State/Jurisdiction (*N*=56)
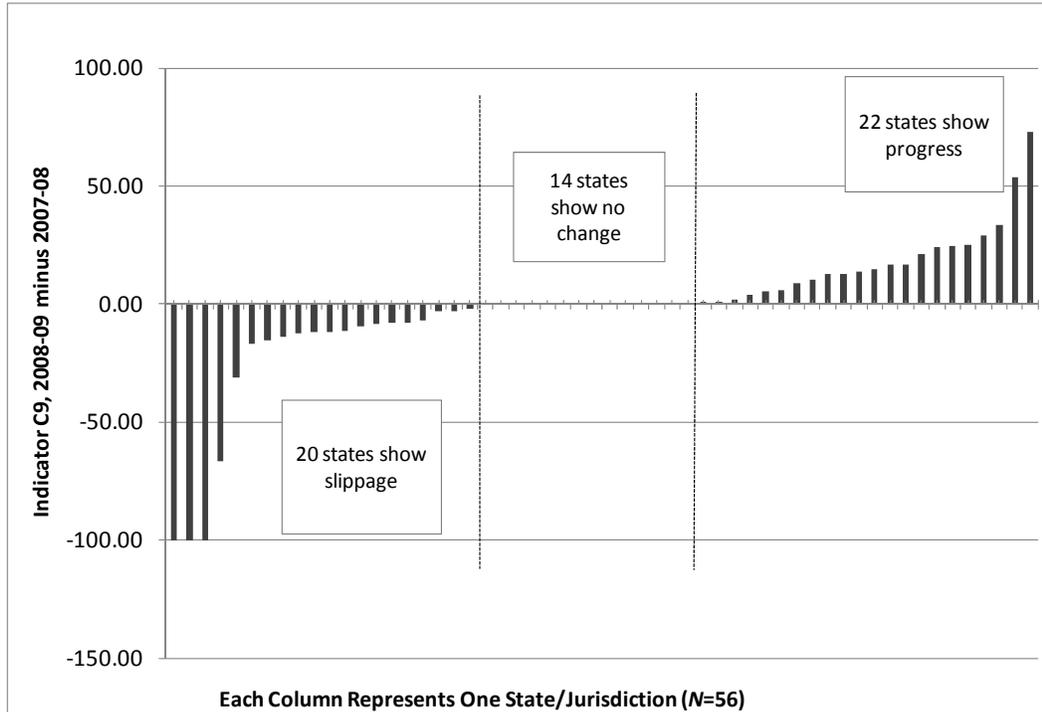
States are asked to describe in each APR the reasons for slippage and progress. DAC analyzed these responses for this summary. It is important to note that this analysis reports on progress or slippage from the standpoint of each state's description. There was a great deal of variability in how states reported under this required category. In fact, many states did not use the terms "progress" or "slippage" at all. However, many states did provide narrative under this category that could be characterized as a description of progress or slippage. In those instances, this analysis summarizes those descriptions.

Fourteen states reported no change in C9 performance in FFY 2008. DAC completed an analysis of the 42 states that reported progress or slippage from FFY 2007 to FFY 2008. Of these 42 states, 8 states did not describe reasons for progress or slippage.

In general, the descriptions of progress were related to:

* Revisions to the state general supervision system, including revisions to the schedule and timing of monitoring activities as well as the process for issuing findings and verifying correction;
* Revisions to the corrective action process, including requiring more frequent progress data from locals, new corrective action plan (CAP) formats and increasing state response to progress data; and
* Development and implementation of new or enhanced enforcement systems.

Descriptions of reasons for slippage included:

- Time and resources spent on revisions to general supervision system, resulting in less time for correction activities;
- Fewer findings issued, resulting in each finding not corrected having greater impact on percentage of correction;
- Findings from monitoring in FFY 2006 and FFY 2007 were issued in FFY 2007, resulting in significantly more findings needing verification of correction within a 12-month period; and
- Discussions of specific local programs that had not timely corrected, which affected state performance and the steps taken to ensure correction of this noncompliance, although late.

Methods Used To Collect Monitoring Data

DAC reviewed all 56 state APRs to identify the methods states used to collect monitoring data. Of the 56 APRs reviewed, only three states did not provide any description of the methods used for the collection of monitoring data.

Almost all states reported more than one activity to collect monitoring data, and most states seemed to be describing their complete monitoring system.

The figure below describes the extent to which states reported use of specific monitoring methods. The most frequently reported methods used were onsite monitoring and review of the state database. Seventy-five percent of states reported using onsite monitoring, while over 73% of states reported using the state's database to collect monitoring data. The next most frequently reported method, at 55%, was self-assessment. Over 30% of states reported other monitoring activities. These included use of family survey data, child outcome data and fiscal audits.

Figure 3. Methods used to monitor
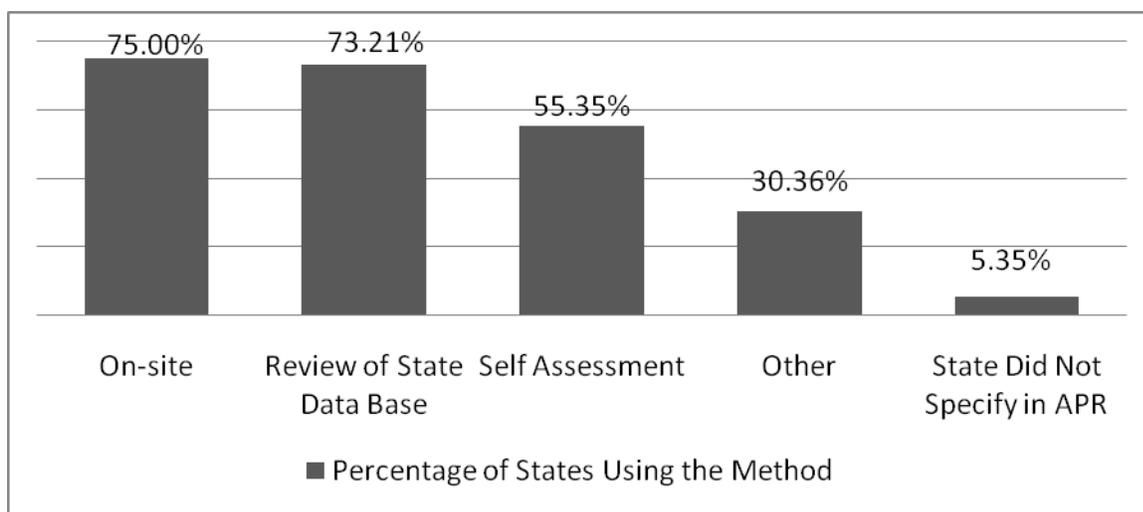
Verifying Correction of Noncompliance

Due to the increased importance being placed on verifying the correction of noncompliance, DAC reviewed all 56 APRs to see if states reported on the process used to verify correction. From FFY 2006 to FFY 2008, there has been a significant increase in the number of states reporting how correction of noncompliance was verified. In FFY 2008, 51 states (91%) reported one or more methods for verifying correction as compared to FFY 2006, in which only 24 states (43%) reported verification of correction methods.

Figure 4 below describes methods states reported to verify the correction of noncompliance. The most frequently reported methods were review of the state database and onsite monitoring. Nearly 70% of states reported using the state's database to verify correction, while over 66% of states reported using onsite monitoring to verify correction. The next most frequently reported method, at 48%, was a state's review of local data submitted. In addition, about 5% of states reported reviewing locally completed child record review forms or local statements of conclusion that correction had occurred. Nearly 4% of states described other activities used to verify correction, including verification of service claims against authorized services included in the individualized family service plan.

Figure 4. Methods used to verify correction

69.64%	State Reviewed Data Base
66.07%	On-site State Review
48.21%	State Reviewed Local Correction Data Submitted
8.92%	Not Specified in APR
5.35%	State Reviewed Local Conclusion
3.57%	Other

■ Percentage of states using the method
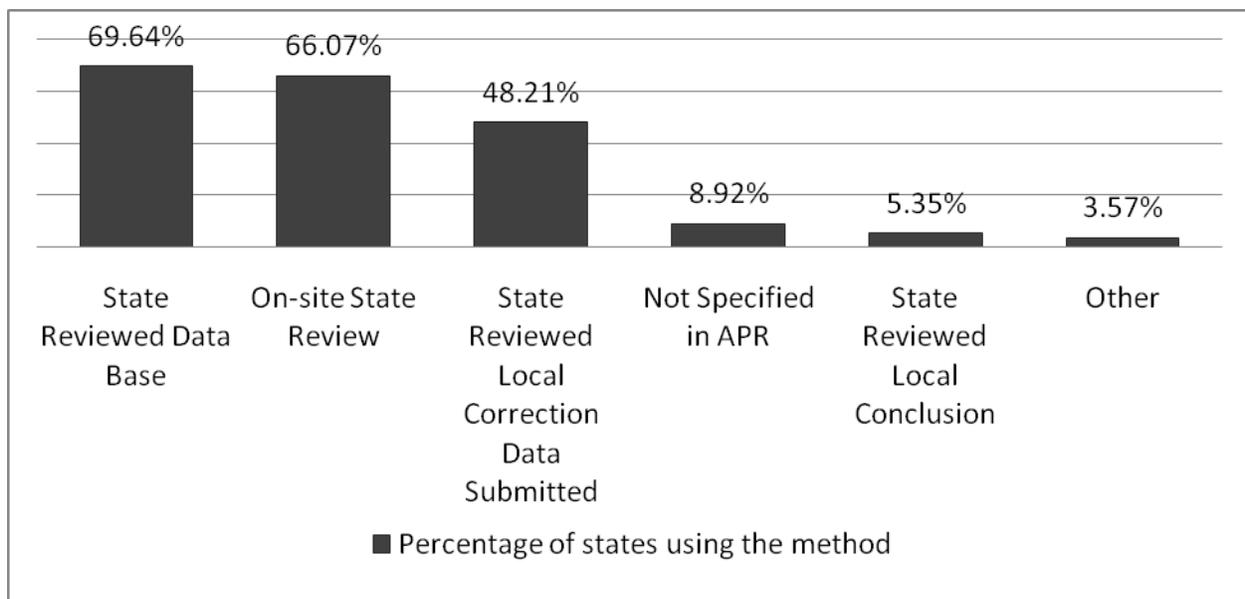
Improvement Activities

DAC reviewed the improvement activities reported by all 56 states for this indicator. For this review, DAC selected improvement activities that appeared to be making a difference or having a particular effect. Ongoing or routine activities, while important,

were not selected for this review, and as a result, only improvement activities from 50 states are included. In some instances, states identified promising practices that may be helpful to other states. In these instances, the state name is provided so states can be contacted for additional information.

It should be noted that states did not always characterize actions or steps taken as improvement activities, but any state descriptions that seemed to reference meaningful actions or steps toward improvement are included in this analysis.

Examples of activities coded as improving systems administration and monitoring that seem to be making a difference include:

- Reviewed and made revisions to the state monitoring system to more efficiently and effectively use onsite review, database review and self-assessment;
- Revised procedures for correction of noncompliance, including more frequent review of correction data, revisions to CAP format and use of required evidence of change;
- Developed tracking systems for correction of noncompliance; and
- Developed and implemented revised enforcement procedures.

Activities coded as improving data collection and reporting that seem to be making a difference include:

- Development of an online tracking system to ensure timely correction of noncompliance;
- Development and/or revision of data systems to facilitate review of data for identification and correction of noncompliance;
- Enhancement of data reporting capability; and
- Addition of fields to database, including drop-down menus for tracking of reasons for delay.

Other activities that seem to be making a difference include:

- Addition of positions for general supervision or reassignment of staff responsibilities to facilitate correction of noncompliance;
- Evaluation of general supervision system either through an external evaluator or through a stakeholder group appointed by lead agency;
- Revision of contracts and/or state rules to include sanctions; and
- Mandated targeted technical assistance to facilitate correction of noncompliance.

A number of states reported activities that appear to be promising, including:

- Colorado reassigned state staff to allow for a state person to be assigned to each program to provide technical assistance during the period of correction of noncompliance. The state also created a state position called Plan of Correction Coordinator to track timely correction of noncompliance. In addition, the state

revised data queries to allow local programs to track correction of noncompliance.

- Connecticut revised its focused monitoring process based on an external review and asked stakeholders to select priorities and develop new protocols for child and family outcomes.
- Massachusetts developed an online CAP tracking data system to manage identification and verification of timely correction of noncompliance.
- Michigan implemented a new database monitoring activity in which local programs receive data reports on local performance; findings are issued as needed; CAPs are implemented; and the data system notification requests specific child data to be submitted for verification of correction. In addition, the state completed and implemented a database tracking system for management of the findings, CAPs, quarterly reports, progress tracking, verification of corrective actions, determinations and sanctions.
- New Mexico instituted a local APR process that requires local programs to submit annual data on indicators, to develop and implement CAPs in response to local low performance or slippage and to receive mandated targeted technical assistance.
- Utah developed and implemented an electronic tracking calendar with notices for CAP due dates to facilitate timely correction of noncompliance.

Conclusions

Overall, DAC reviewed 56 APRs for this summary. This included the 50 states, the District of Columbia, and other jurisdictions eligible for and participating in the Part C Program. In 2008-09, progress continued to be made by states in timely correction of noncompliance.

There remains tremendous variability in how states address progress or slippage in the APRs. Of the 42 states that had progress or slippage, 34 states provided some description of the reasons for change in the FFY 2008 performance report.

In this APR cycle, states continued to report on the use of monitoring methods. These methods included use of onsite monitoring visits, review of state data systems and use of self-assessment. Comparing states' reporting of monitoring methods from FFY 2007 to FFY 2008, the use of onsite monitoring decreased by about 5%, and the review of states' databases increased by about 5%. The use of self-assessment increased by about 7%.

In the last several years, states have significantly increased the reporting of methods for verification of noncompliance. In FFY 2008, 51 states (91%) reported one or more methods for verifying correction of identified noncompliance as compared to only 24 (43%) states in FFY 2006. These methods included review of state databases, onsite visits, state review of correction data submitted by a local provider (e.g., child record, revised procedures) and state review of the conclusion of correction submitted by a local provider (e.g., local report). Comparing states' reporting of most frequent

verification methods from FFY 2007 to FFY 2008, the review of states' databases increased by about 9%, and the use of onsite monitoring decreased by about 8%. The use of state review of local correction data submitted increased by about 14%.

Fifty states reported improvement activities that appear to be making a difference in performance. Regarding these improvement activities, most state-reported activities focused on "improving systems administration and monitoring" and "improving data collection and reporting." Examples of promising improvement activities are reported by individual states to allow others to request additional information. Some of these included development of online tracking systems for correction of noncompliance, use of local APR process and realignment or changes in staffing to facilitate timely correction.

INDICATORS 10, 11, 12 AND 13: DISPUTE RESOLUTION UNDER PART C
Prepared by CADRE

INTRODUCTION
The Individuals with Disabilities Education Improvement Act (IDEA 04) requires that States, in order to be eligible for a grant under Part C, must provide three dispute resolution options to assist parents and schools to resolve disputes: written state complaints; mediation; and due process complaints (hearings). IDEA 04 expanded the use of mediation to allow parties to resolve disputes involving any matter under IDEA. In addition, IDEA 04 added a new "resolution process" whenever a due process complaint is filed following Part B due process procedures, to afford parents and schools a more informal setting in which to reach a settlement and avoid the cost and stress of a fully adjudicated hearing. These additions to the statute reflect the Congressional preference expressed at 20 U.S.C. 1401(c)(8) for the early identification and resolution of disputes: "Parents and schools should be given expanded opportunities to resolve their disagreements in positive and constructive approaches." In addition to these required procedures, many States offer informal "early dispute resolution" processes intended to diffuse and resolve disagreements before they reach a level requiring a formal process.

States are also required to report annually to OSEP on their compliance with and performance in key areas of the law. This document is a summary and analysis of the FFY 2008 APRs for the dispute resolution indicators under Part C. These include:

- **Indicator 10**: Percent of signed written complaints with reports issued that were resolved within 60-day timeline or a timeline extended for exceptional circumstances with respect to a particular complaint.
- **Indicator 11**: Percent of fully adjudicated due process hearing requests that were fully adjudicated within the applicable timeline.
- **Indicator 12**: Percent of hearing requests that went to resolution sessions that were resolved through resolution session settlement agreements (applicable if Part B due process procedures are adopted).
- **Indicator 13**: Percent of mediations held that resulted in mediation agreements.

This summary addresses State performance on the required dispute resolution processes, as well as any information provided by the States on early resolution options. CADRE'S approach to technical assistance and improvement is systemic – focusing on all dispute resolution areas and emphasizing early resolution and conflict management processes. That orientation is reflected in this combined report on the four indicators.

DATA SOURCES FOR THIS REPORT
The main document sources for this report are the FFY 2008 (2008-09) APRs submitted to OSEP on February 1, 2010, and clarifications submitted by 56 States/entities as of

April, 2010. For comparison purposes, this report also draws on past APRs, specifically on indicator performance and other State data from prior years.

Beginning with FFY 2002, States reported dispute resolution activity to OSEP, first as "Attachment 1" to their APRs and later as "Table 4" in these reports. CADRE has maintained, since the beginning of this data collection, a National Longitudinal Dispute Resolution Database. IDEA 04 required, as of FFY 2006, that this data collection be managed under the "Section 618" data collection provisions of the statute. For the past three years, the required data have been reported to the Westat/Data Accountability Center (DAC). CADRE receives dispute resolution data from the DAC after it has been verified for publication in OSEP's Annual Report to Congress. Complete Table 4 data are no longer included in the APRs, so available information in the current APR documents, except for the indicators, cannot be used to display current analyses of change over time. Some CADRE longitudinal data are referred to in portions of this report in order to demonstrate change over time in State compliance and performance on these indicators through FFY 2008. Otherwise, the data used in this report are drawn from: State APRs; OSEP summaries of the indicators related to the US Department of Education Determination Letters on State Implementation of IDEA (June 2010); and other CADRE records regarding States dispute resolution systems.

SUMMARY OF COMPLIANCE AND PERFORMANCE IN DISPUTE RESOLUTION
State Part C programs have a very different history and experience with dispute resolution than Part B programs under IDEA. While the requirements for dispute resolution are largely the same, the rate of Part C formal dispute resolution activity is infrequent in most States.

Part C Dispute Resolution Activity FFY 2003 to the Present
Fifty-six (56) States and entities submitted Part C APRs in 2010. Most Part C programs reported little or no dispute resolution activity. The number of States reporting some activity for 2008 was highest for written State complaints (28 States reported at least one complaint report completed). The use of mediation has grown consistently across the past four years (16 States held at least one).

Table 1: States Reporting Data by Indicator – Four Years

	(Baseline) FFY 2004	FFY 2006	FFY 2007	FFY 2008
Indicator 10	27	30	26	28
Indicator 11	4	5	6	4
Indicator 12*	0	0	0	2
Indicator 13	4	7	11	16

*Indicator 12 applies only in States adopting Part B due process complaint procedures in FFY 2008). Fully adjudicated due process hearings occur in only a few States (four States in FFY 2008), although some additional States indicated they had received due

process complaints, but resolved them without a hearing. Table 1 displays the number of States reporting dispute resolution activity across four years.

In order to calculate an indicator value, a State must complete a complaint report, hold a fully adjudicated hearing, conduct a resolution meeting, or hold a mediation. Since State written complaint filings, due process complaints, and mediation requests do not necessarily result in a complaint report, hearing, or mediation held, the indicator activity reported above does not quite match data from prior years on the number of States with activity reported in data submitted with prior APRs (Attachment 1 or Table 4 submitted with the APR). Table 2 below shows the number of States reporting any activity for five years prior to the FFY 2008 APR submission.

Table 2: Number of States Reporting Any Dispute Resolution Activity in Prior Years

	Complaints Filed	Reports Issued	Mediations Held	Mediation Agreements	Hearing Requests	Hearings Held
2003-04	23	22	13	9	9	3
2004-05	33	22	12	12	13	5
2005-06	29	25	10	10	10	4
2006-07	29	25	10	10	12	5
2007-08	29	27	10	10	10	6
2008-09*	≥30	28	16	14	≥5	4

* Calculation based on APR reporting for FFY 2008-09

Across these six years, 36 States have reported at least one Part C complaint filing, with other activity present in far fewer States. While 13 States reported at least one fully adjudicated hearing between FFY 2003 and FFY 2007, eight States held only one hearing over this four year period. One State accounts for 79% of all Part C hearing requests and 66% of all Part C hearings held over the same five years. With the exception of complaints filed, in any given year most States have no dispute resolution activity. Comparing Table 1 and Table 2, however, it appears that State Part C dispute resolution activities remain relatively stable and that mediation use is gradually increasing. Table 3 (below) summarizes the numbers of reported dispute resolution events under Part C for the years FFY 2003 through FFY 2007.

Table 3: Summary of All Reported Dispute Resolution Events Per Year

	Complaints Filed	Reports Issued	Mediations Held	Mediation Agreements	Hearing Requests	Hearings Held
2003-04	180	138	51	32	186	13
2004-05	173	108	57	37	200	24
2005-06	176	123	70	69	135	17
2006-07	169	120	78	76	112	15
2007-08	195	151	83	77	111	18
Total	**893**	**640**	**339**	**291**	**744**	**87**

While the requirements for dispute resolution are otherwise the same as those for Part B, the Part C due process requirements vary depending on whether the State has adopted Part C or Part B due process timeline requirements. While most States use the same agent to conduct due process hearings (e.g., a State Office of Administrative Hearings may operate both the Part B and Part C due process system), it is a State option to follow one of three due process timeline options. These are summarized in Table 4 which shows the number of States adopting each timeline option for the two most recent years of consistent Section 618 data reporting (source: www.ideadata.org, State dispute resolution files):

Table 4: States Reporting Adoption of Part C or Part B Due Process Timelines

Due Process Timeline Adopted	FFY 2006-07	FFY 2007-08
Part C, 30 day timeline	42 States	42 States
Part B, 30 day timeline	5 States	3 States
Part B, 45 day timeline	8 States	11 States

In the FFY 2008 OSEP summary of indicator report for Indicator 10 States were clearly identified as operating under Part B procedures; 36 States clearly identified as having adopted Part C 30 day procedures; 9 remaining States' procedures were undetermined and one State adopted Part B procedures as of July 2009. In the FFY 2007 Section 618 data submitted to the DAC, 14 States indicated they had adopted Part B procedures. Using both sources (FFY 2007 Section 618 data and APRs for FFY 2008), 17 States indicated that they had adopted Part B procedures for one or both years. Two of the States reporting that they used Part B procedures in FFY 2008 reported four resolution sessions held, with all but one resulting in a written settlement agreement. These appear to be the first written settlement agreements reported for the Part C program.

COMPLIANCE AND PERFORMANCE INDICATOR CHANGE OVER TIME

State Written Complaints

Very few States have more than ten dispute resolution events of any type in any year. While OSEP summarizes *compliance data* for Indicators 10 and 11, they have not used dispute resolution indicators to make *compliance determinations* of "needs assistance" for Part C programs because no States have reached ten or more complaints or hearings adjudicated for Indicators 10 or 11, which is required to consider these indicators in determinations. Chart 1 is a display of the States that have had activity over the past four years. The top band on this display shows the number of States with Indicator 10 values between 90% and 100% for each year, with the number of States at other "10%" band ranges indicated. All of the States shown in the 90% to 100% band had Indicator 10 values of 100%.

Chart 1: Indicator 10 Four Year Trends

Trends - Four Years of Indicator C10, Complaints within Timeline

	Ind C10, 2005-06	Ind C10, 2006-07	Ind C10, 2007-08	Ind C10, 2008-09
Mean	94	99	96	95
Highest	100	100	100	100
Lowest	0	82	20	0
No Data	27	26	30	28
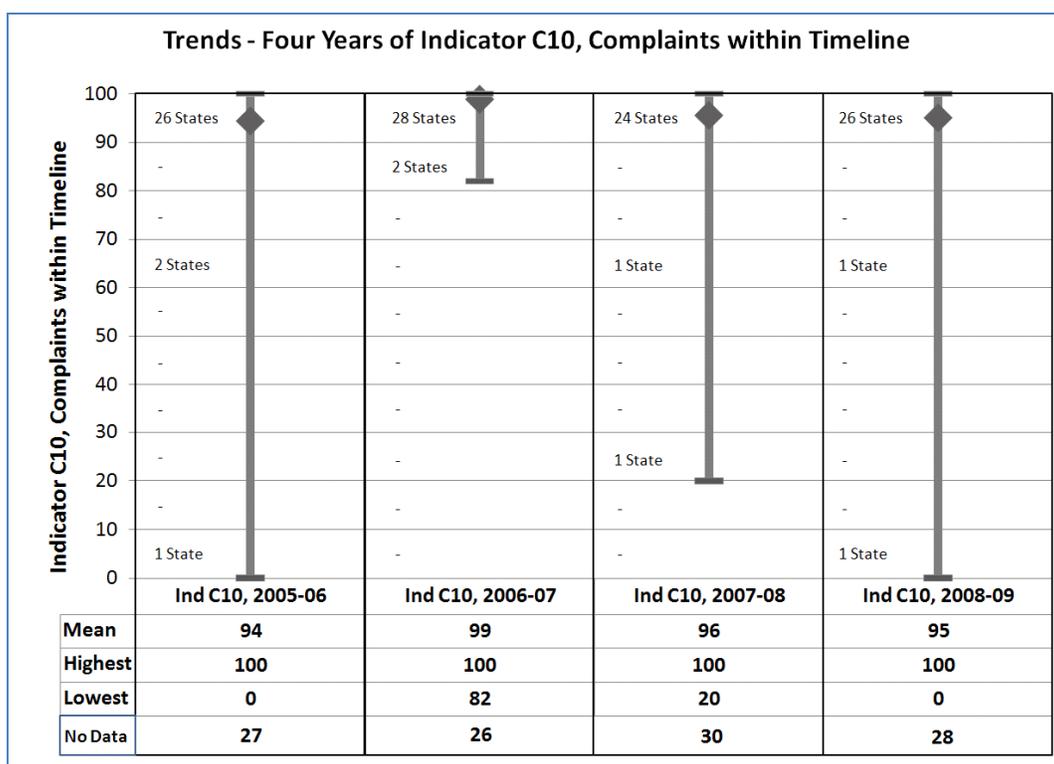
Most States seem to have achieved compliance for written State complaints when they have activity. The relative numbers of those States achieving and those failing to achieve has not changed much over the years for either indicator. States not achieving substantial compliance tend to be the larger States and among those with the most overall dispute resolution activity. A small State, in any given year, that goes from having no activity to having several complaints filed, may have a difficult time putting in place a structure that meets timelines. It is hard to maintain a formal "dispute resolution system" of required processes for events that happen only once every few years.

Due Process Complaints (& Hearings)

Table 5 displays the number of States achieving or falling short of achieving compliance with hearings timelines based on APR data from FFY 2005 through FFY 2008. Both larger, more active States and smaller States with rare activity have had difficulty achieving compliance. Many Part C programs operate their due process systems through the same entity that manages their State's Part B due process activity. Problems endemic to those systems may be exacerbated by misunderstood differences in requirements for the Part C timelines.

Table 5: Number of States Achieving and Not Achieving Indicator 11 Compliance

	2005-06	2006-07	2007-08	2008-09
Indicator C11 = 100%	2	5	5	2
Indicator C11 <95%	2	0	1	2
No Hearing Activity	52	51	50	52

Resolution Meeting Activity

Indicator 12 applies only to those States that adopt Part B due process complaint timelines (about 20% to 25% of all States). As noted earlier, almost no resolution meeting activity has occurred in the Part C program. In FFY 2008, four resolution meetings in two States resulted in three written settlement agreements. Where States have adopted Part B due process timelines, the resolution meeting may be a functional way to resolve the issues raised without the expense and stress of a fully adjudicated hearing.

Mediation

Chart 2 displays the range of mediation agreement rates present in States that reported engaging in mediation during the past four years. Two large States held 75% of all mediations nationally from FFY 2003 through FFY 2007. Both States have very high mediation agreement rates, averaging over 90% for all mediations held in these five years. Nationally, due process related mediations under Part C constitute 70% of all mediations held, unlike in the Part B program where due process mediations are the smaller proportion of mediations held. Part B due process related mediation agreement rates are also much lower: 65% on average across the same five years and 57% for all Part B due process related mediations held during the first three years of full implementation of the resolution meeting process (FFY 2005 through FFY 2007).

Chart 2: Indicator 13 Four Year Trends

	Ind C13, 2005-06	Ind C13, 2006-07	Ind C13, 2007-08	Ind C13, 2008-09
Mean	84	92	77	77
Highest	100	100	100	100
Lowest	55	50	0	0
No Data	55	49	45	0
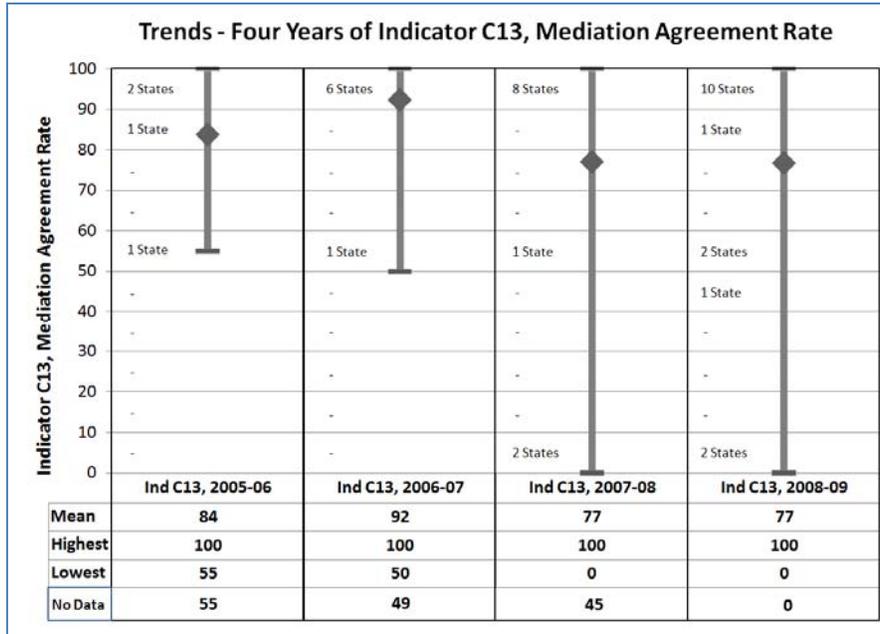
Mediation would seem a natural process for formal dispute resolution in Part C programs. While a few States have seen some due process hearing activity, differences in the Part C and Part B programs may encourage more collaborative conflict resolution approaches in Part C. This seems to be reflected in the mediation results achieved by States where that dispute resolution process has been used.

PROMISING AREAS FOR IMPROVEMENT ACTIVITY FOCUS:

What Makes A Capable Part C Dispute Resolution Systems
CADRE believes that any fully capable dispute resolution system must have in place activities related to each of these "improvement strategy" areas:
- A. Data collection and reporting
- B. Systems administration and monitoring
- C. Systems and infrastructures of technical assistance and support
- D. Delivery of technical assistance/training/professional development
- E. Clear policies and procedures
- F. Program development
- G. Collaboration/Coordination
- H. Evaluation
- I. Increase/Adjust FTE
- J. Public Awareness/Outreach
- K. Support of upstream or early resolution processes
- L. Stakeholder engagement

Unique Features of Effective Part C Dispute Resolution Programs
CADRE believes that States that report favorable outcomes in Part C dispute resolution attend to these more unique features of their systems:

Mediation as a Promising Primary Mode of Dispute Resolution: Most Part C programs with mediation activity have quite high mediation agreement rates. A far larger portion of mediation requests actually lead to mediations held than do due process hearing requests.   The success of active States in resolving due process complaints through mediation suggests that mediation could be the primary means used to address contentious disputes.

Data Collection and Tracking of Complaints and Due Process Timelines: Because the timelines and requirements differ between Part C and Part B, it is critical that the Lead Agency maintain tracking for Part C complaints and due process that reflect these differences. The data should be reviewed to regularly monitor the progress of both written complaint and due process complaint timelines.

Upstream and Informal Dispute Resolution Procedures: As a complement to the collaborative promise of mediation, many States require each provider to offer an informal local dispute resolution process. In addition, some States have rapid response "concern" systems at the State level that quickly respond to family expressed concerns (e.g., within 48 hours). Response to a family concern may lead to an IFSP meeting (in some cases, facilitated) or to a meeting with a local program director to address the concern. These "upstream" processes cannot be a condition of access to any formal dispute resolution option, but it is hard to overstate the value of a quick response to an expressed family concern. Many Part C programs do that well.

Training and TA: Because of differences in the program requirements, it is critical that all participants, especially complaint investigators and hearing officers, understand the unique characteristics of the Part C program. Training for Part C dispute resolution practitioners must ensure separate focus on:
* Part C program regulations and the statute, as they pertain to what is required, differences in eligibility, at risk issues, IFSP, service provision, setting, etc.
* Differences in the timeline requirements of Part C and Part B due process procedures and the particular timelines applicable to that State.

Outreach and Public Awareness: Parent guides that provide parent rights and access to all dispute resolution options should be available in multiple formats (electronic/on-line, print, full, and condensed versions) and multiple languages (Spanish and other languages as appropriate to parent target audiences). Emphasis on mediation and upstream local dispute resolution options is appropriate in these guides and as adjunct material to procedural safeguards notices.

Evaluation of Parent Rights Notice: A number of States use follow-up surveys or forms of attestation by parents (e.g., at IFSP meetings) to ensure that they fully understand their rights and, particularly, access to dispute resolution options.

Collaboration with Parent Organizations: PTIs are charged with encouraging the use of mediation to resolve disputes between families and providers. Engagement of PTIs in co-training, outreach, and stakeholder groups for Part C programs can help highlight the value of early and effective dispute resolution.

CONCLUSIONS AND RECOMMENDATION

It is not surprising that there is less dispute resolution activity in Part C than in Part B. The IFSP process is inherently friendlier than the IEP process. Families and providers often have a closer relationship, reinforced through family-based in-home services. Families are in the Part C program for a maximum of three years. These conditions, as long as families do not suffer the frustrations of waiting lists, etc., are unlikely to lead to levels of concern sufficient to stimulate a formal dispute resolution procedure.

INDICATOR 14: TIMELY AND ACCURATE DATA
Prepared by DAC

Indicator 14: State-reported data, including 618 data, State performance plan, and annual performance reports, are:
- (a) Submitted on or before due dates (February 1 for child count, including race and ethnicity, and settings; November 1 for exiting and dispute resolution; and February 1 for the APR); and
- (b) Accurate (describe mechanisms for ensuring error-free, consistent, valid and reliable data and evidence that these standards are met).

INTRODUCTION
Indicator 14 measures the timeliness and accuracy of State-reported data (Section 618 and SPP/APR Section 616). The data source for this indicator is State-selected and includes data from the State data system as well as technical assistance and monitoring systems.

OSEP has developed a rubric to measure the timeliness and accuracy of Sections 616 and 618 data submitted by States. Use of this rubric was mandatory for FFY 2008 APR submissions.

The Data Accountability Center (DAC) reviewed a total of 56 FFY 2008 APRs. These included the 50 States, District of Columbia, and other jurisdictions eligible for and participating in the Part C program. (For purposes of this discussion, all of these will be referred to as States, unless otherwise noted.) Analysis of the actual target data as reported by States indicates:
- Forty-seven (84%) States reported that their data were 100% accurate;
- Eight States (10%) reported accuracy between 90 and 99%;
- One State (2%) reported accuracy between 80 and 89%.

The remainder of this analysis focused on three elements: (1) States' descriptions of progress and/or slippage; (2) descriptions of how States ensured timely and accurate data; and (3) States' improvement activities.

PROGRESS AND/OR SLIPPAGE
The majority of States (39 States or 70%) reported that they had maintained compliance. Ten States (18%) reported progress while seven States (13%) reported slippage (see Figure 1).

Figure 1: Progress and slippage from FFY 2007 to FFY 2008
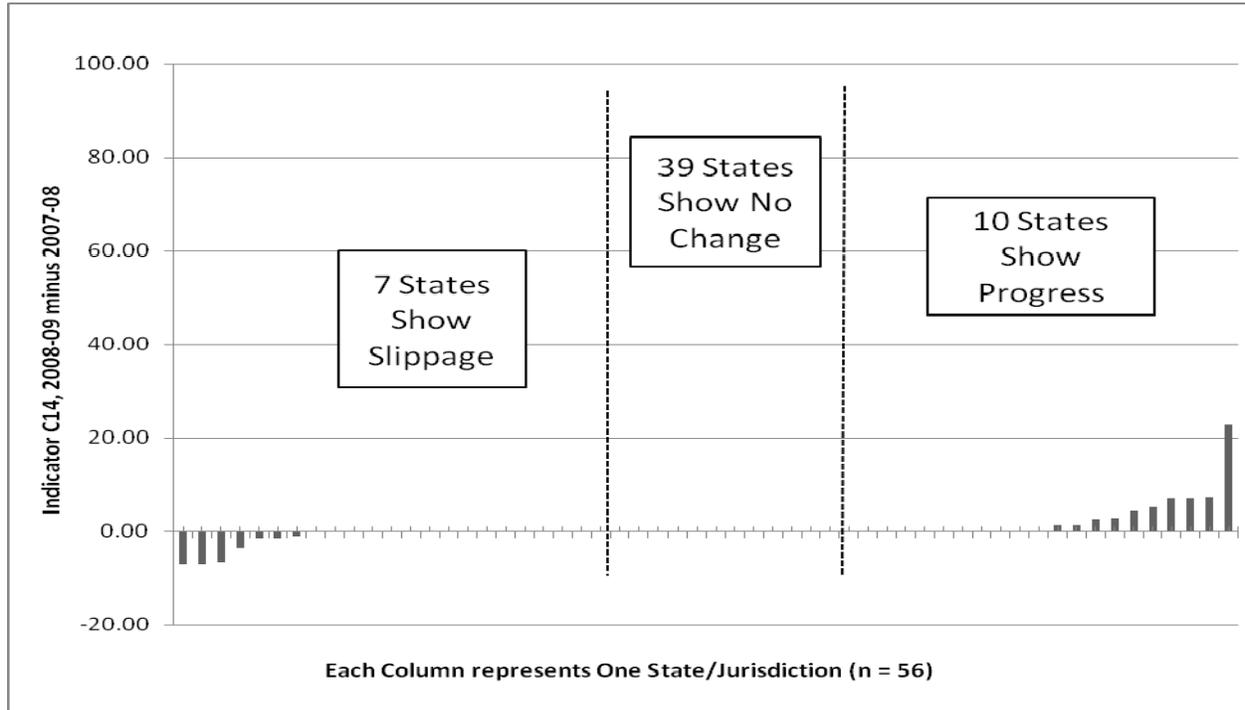
States attributed progress to a variety of factors, including (listed from highest to lowest frequency):
- Increasing knowledge of the OSEP requirements:
  - understanding the response time for data notes;
  - submitting the tables on time and accurately.
- Providing technical assistance to local districts.

States attributed slippage to:
- Mistakes in the Section 618 data; and/or
- Errors in the calculations in the Section 616 data.

DESCRIPTION OF METHODS OF ENSURING TIMELY AND ACCURATE DATA
The majority of States, 44 (79%), provided some description of how they ensured that their data were timely and accurate. Many States relied on their data systems to provide timely and accurate data. Fifteen of these States (27%) had built-in edit checks and validations to ensure that the data were valid. Twenty-one (38%) States also relied on training and technical assistance to help ensure timely and accurate data. Some States also used on-site monitoring, manual comparisons of data, and internal and external workgroups.

IMPROVEMENT ACTIVITIES
One of the requirements of this indicator is the implementation of improvement activities that will increase compliance. Among the 56 States and territories, 18 States (32%) did not report improvement activities in their FFY 2008 APR. Updating or establishing new

data systems was the most widely reported activity, while program development and conducting external/internal evaluations were the least reported. The most frequent improvement activities were providing technical assistance or training or professional development (43%), and improving data collection and/or reporting (36%).

Many States indicated that technical assistance or training led them to meet the target or make progress. Thirty States (54%) reported that they held monthly or quarterly trainings to inform providers of required data collection elements. Eleven States (20%) used another tool for training. This tool was either updating or creating a manual for providers. Another improvement activity that most States used was improving the data collection or reporting practices, including using their database to help with the technical assistance being provided. Seventeen States (30%) were creating or revising reports that providers could access on a monthly or quarterly basis.

TECHNICAL ASSISTANCE PROVIDED TO STATES
DAC reviewed TA logs and records to determine the number of States receiving specific levels of technical assistance from DAC in FFY 2008. The levels of technical assistance listed below are defined by DAC and are not precisely aligned to those in the OSEP draft Conceptual Model. The percentages of States that received technical assistance from DAC related to this indicator are reflected using the following three codes:
  A. National/regional technical assistance – 100%;
  B. Individual State technical assistance – 71%; and
  C. Customized technical assistance – 25%.

DAC provides national technical assistance support to all States through the annual data meeting and www.IDEAdata.org. Individual technical assistance was provided primarily through email and telephone contact based on individual State requests. DAC also provides customized technical assistance to several States specifically related to this indicator.

Ten States (18%) also reported receiving technical assistance from their RRC, which helped them make progress or meet the target. Three States (5%) reported receiving technical assistance from NECTAC or DAC, which helped them make progress or meet the target.

OBSERVATIONS AND CONCLUSIONS

It is important to note that there was improvement from baseline to FFY 2008 (see Figure 2 below). Comparing performance of the last three years, it can be noted that the mean percentage reported in FFY 2006 was 97, with the lowest being 82%. In FFY 2007, the mean percentage reported increased to 98, with the lowest being 77%. For FFY 2008 the mean percentage reported was 99, with the lowest being 86%. Additionally, and perhaps more importantly, most States reported improved data collection methods. This was clear from the number of States that had either updated or implemented a new data system.

Figure 2:   Four-year trend chart

Indicator C14

	Ind C14 2005-06	Ind C14 2006-07	Ind C14 2007-08	Ind C14 2008-09
(90-100)	43 States	50 States	56 States	56 States
(80-90)	5 States	7 States	-	1 State
(70-80)	-	-	1 State	-
(60-70)	-	-	-	-
(50-60)	3 States	-	-	-
(40-50)	-	-	-	-
(30-40)	-	-	-	-
(20-30)	-	-	-	-
(10-20)	-	-	-	-
(0-10)	-	-	-	-
Mean	95	97	98	99
Highest	100	100	100	100
Lowest	50	82	77	86
No Data	6	0	0	0

Also noteworthy are some of the difficulties that came up while trying to analyze these data. Some States did not attribute their progress or slippage to a cause or provide much description about how their programs ensure timely and accurate data. Many States did not specify which activities they considered improvement activities in this SPP/APR. In addition, many States did not specify whether their activities for ensuring quality data were used for Section 618 and/or Section 616 data.

Even though it seems that States are starting to grasp the concept of collecting valid and reliable data, there continue to be States that are not describing the ways that they ensure valid and reliable data. The percentage of States that did describe ways of

ensuring accurate data increased from 20% to 78% between FFY 2006 and FFY 2008. Interestingly though, the number of States that reported improvement activities dropped from 94% in FFY 2007 to only 68% in FFY 2008.