

2017 PART C FFY 2015 SPP/APR INDICATOR ANALYSIS BOOKLET

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INDICATOR 1: TIMELY RECEIPT OF SERVICES

Completed by ECTA

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

INTRODUCTION

Indicator 1, Timely Receipt of Services, is a compliance indicator with a target of 100%. Each state defines what constitutes timely services. The indicator refers to the percentage of children for whom *all services* are timely, not the percentage of services that are timely; if one or more of the services for a child are not delivered within the defined timeline, then the child would not be counted in the percentage of children receiving timely services.

The analysis of Part C Indicator 1 is based on data from FFY 2015 Annual Performance Reports (APRs) for 56 states. For the purpose of this report, the term “state” is used for both states and jurisdictions.

DATA SOURCES

In responding to this indicator, states could use data from monitoring or the state data system.

METHODOLOGY & MEASUREMENT APPROACHES

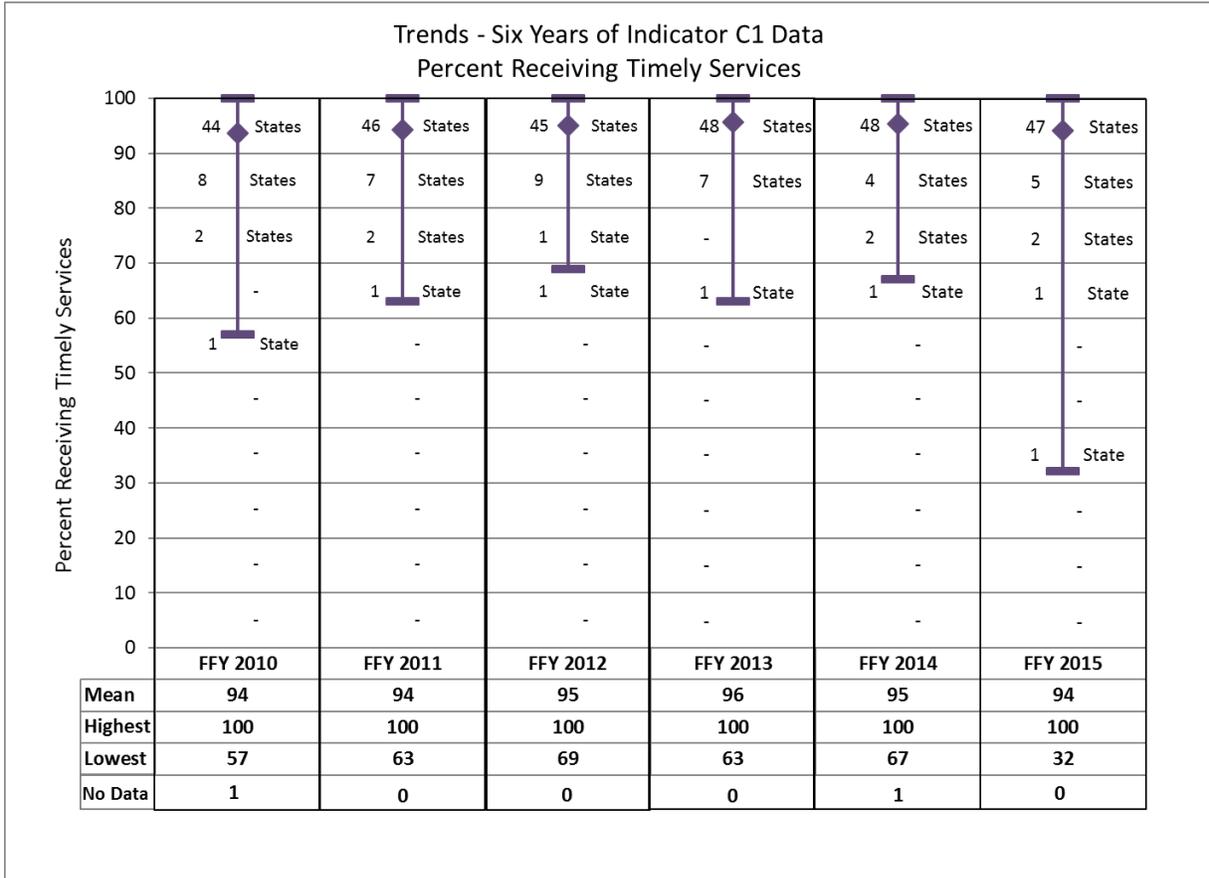
Defining Timely Services

States are required to provide the criteria used to determine which infants and toddlers received IFSP services in a timely manner. The data are based on the actual number of days between parental consent or the date specified on the IFSP for the initiation of services and the provision of services. The number of days states use to define timely services varies across states. States are also allowed to count delays due to family circumstances as timely, although not all states collect and report delays attributable to family circumstances.

PERFORMANCE TRENDS

Figure 1 illustrates current data for Indicator 1 and trend data over the last six reporting years, from FFY 2010 to FFY 2015. For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and the table below the chart shows the national mean, range, and number of states included.

Figure 1



INDICATOR 2: SETTINGS

Completed by ECTA

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

INTRODUCTION

Indicator 2 documents the extent to which early intervention services are provided in natural environments. “Natural environments” are settings that are either home-based or community-based. Settings that are not considered natural environments include hospitals, residential schools, and separate programs for children with delays or developmental disabilities. This summary of Indicator 2 is based on data from FFY 2015 APRs for 56 states. For the purposes of this report, the term “state” is used for both states and territories.

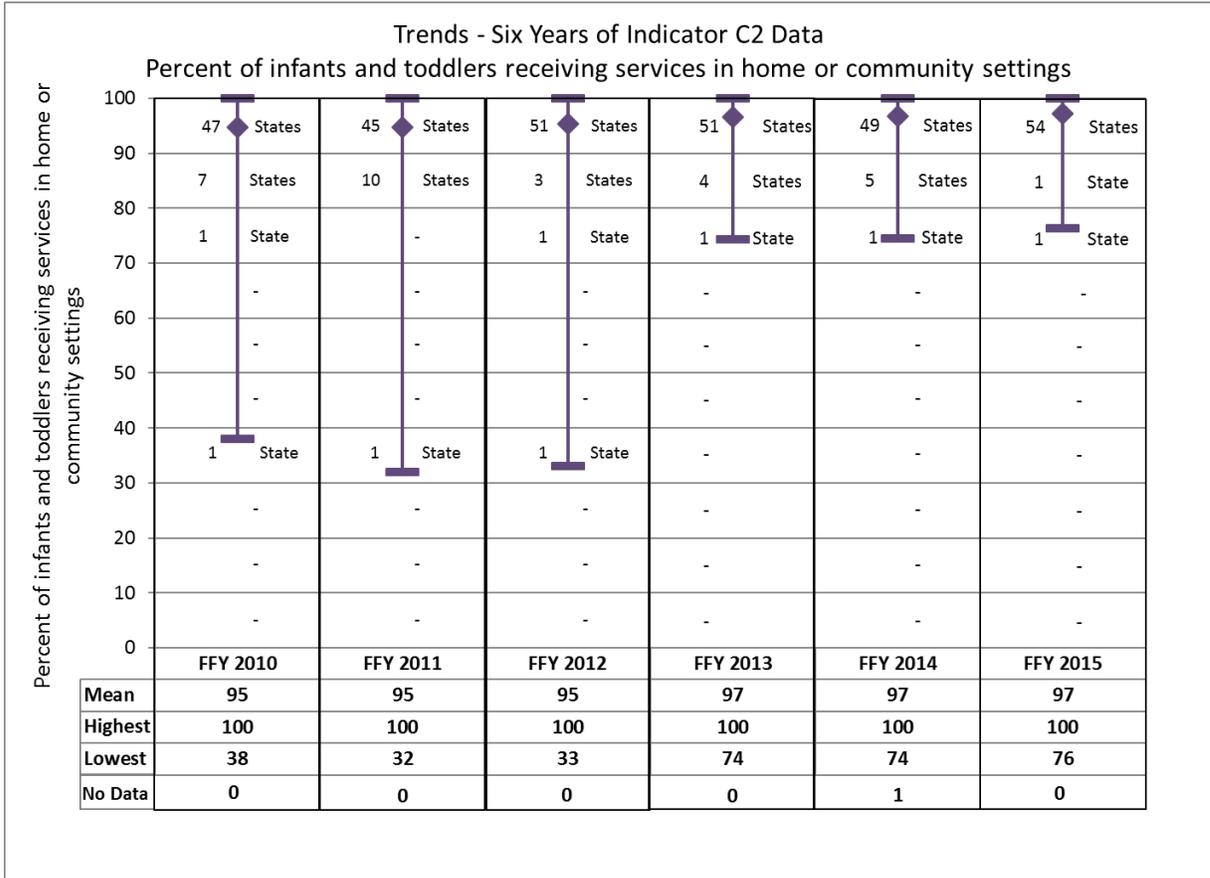
DATA SOURCES

The data for this indicator are from the 618 IDEA Part C Child Count and Settings data collection. In this data collection, states report the primary setting of the child’s services for all children enrolled in Part C on a state-designated date, between October 1 and December 1, 2015. “Primary setting” is the service setting in which the child receives the largest number of hours of Part C early intervention services. Determination of primary setting should be based on the information included on the IFSP in place on the Child Count date.

PERFORMANCE TRENDS

Figure 1 illustrates current data for settings and trend data over the last six reporting years, from FFY 2010 to FFY 2015. For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and the table below the chart shows the national mean, range, and number of states included.

Figure 1



INDICATOR 3: INFANT & TODDLER OUTCOMES

Prepared by ECTA

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

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

INTRODUCTION

Indicator 3 reports the percentage of infants and toddlers with IFSPs who demonstrate improved outcomes during their time in Part C. This summary is based on information reported by 56 states and jurisdictions in their FFY 2015 Annual Performance Reports (APRs). For the purposes of this report, the term 'state' is used for both states and jurisdictions. For this indicator, states report data on two summary statements for each of the three outcome areas. The summary statements are calculated based on the number of children in each of five progress categories. The child outcomes summary statements are:

- Summary Statement 1: Of those children who entered the program below age expectations in each outcome, the percent who substantially increased their rate of growth by the time they turned three years of age or exited the program (progress categories $c+d/a+b+c+d$).
- Summary Statement 2: The percent of children who were functioning within age expectations in each outcome by the time they turned three years of age or exited the program (progress categories $d+e/a+b+c+d+e$).

DATA SOURCES & MEASUREMENT APPROACHES

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

Table 1

Child Outcomes Measurement Approaches (N=56)	
Type of Approach	Number of States (%)
Child Outcomes Summary (COS) process	42 (75%)
One statewide tool	8 (14%)
Publishers' online analysis	3 (5%)
Other approaches	3 (5%)

PERFORMANCE TRENDS

Figures 1 through 6 illustrate trends for the two summary statements for each of the three outcome areas over the last six reporting years (FFY 2010 to FFY 2015). For each reporting year, the number of states within each ten-percentage point range are shown

in the charts, and the tables below each chart show the national mean, range, and number of states included each year.

Figure 1

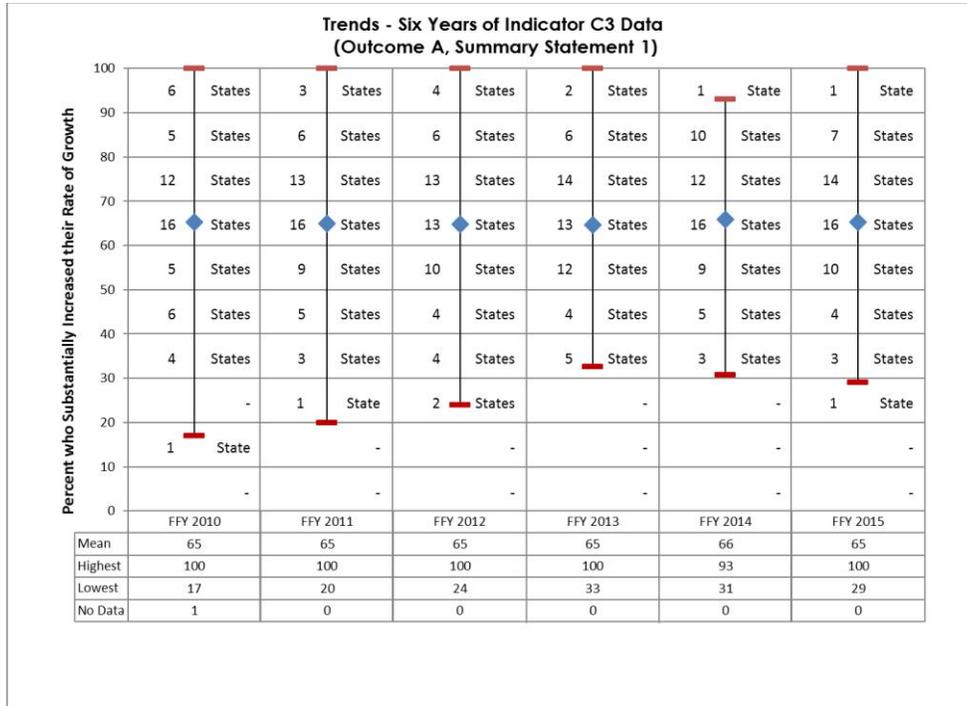


Figure 2

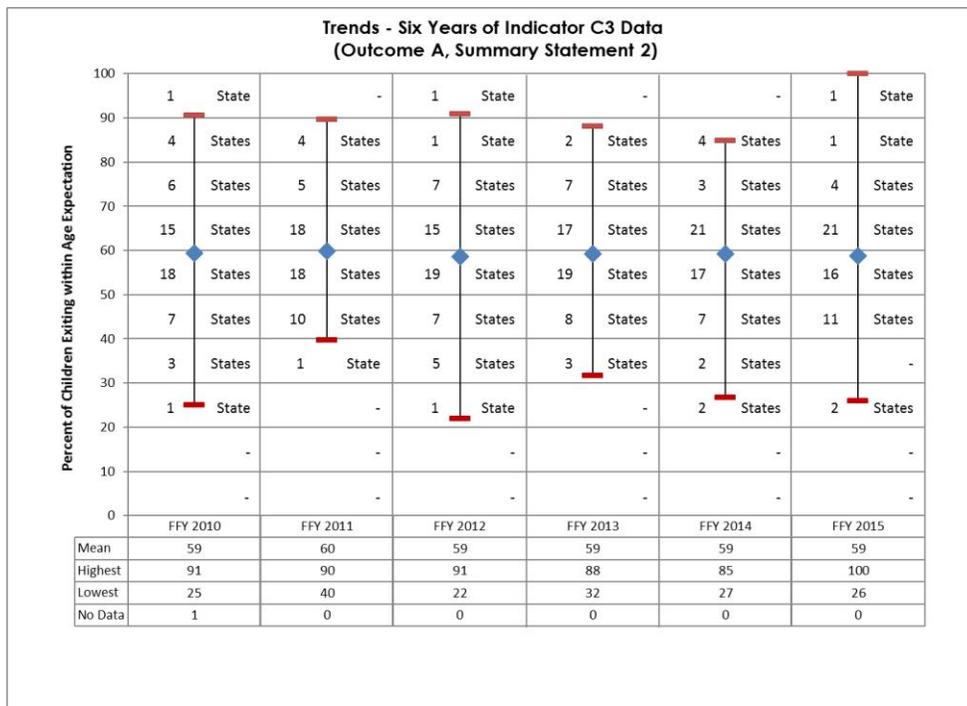


Figure 3

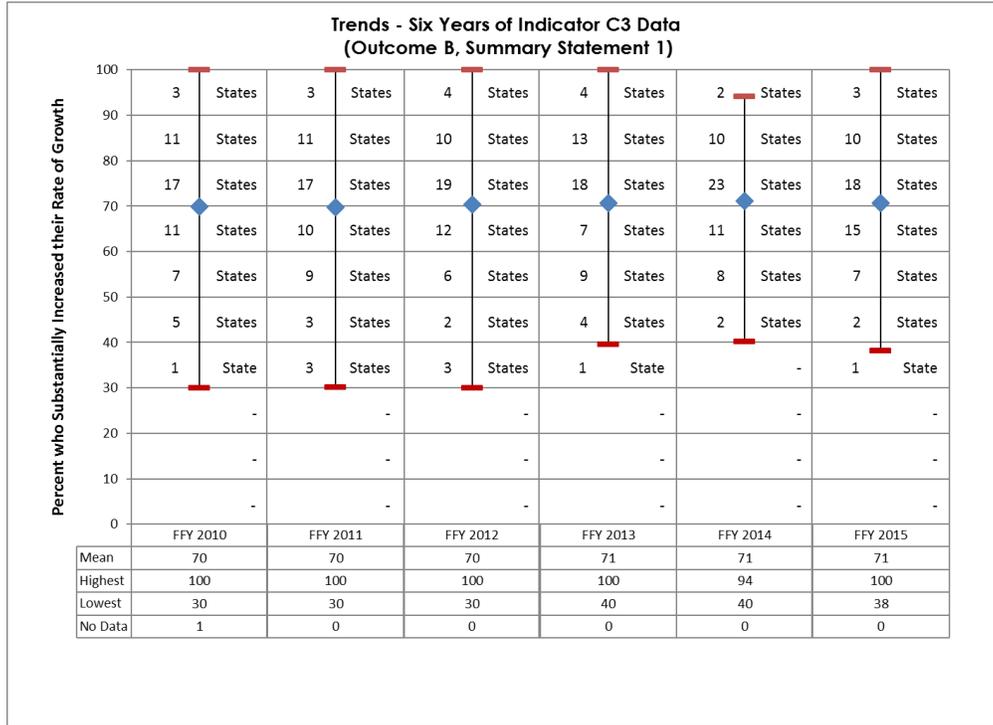


Figure 4

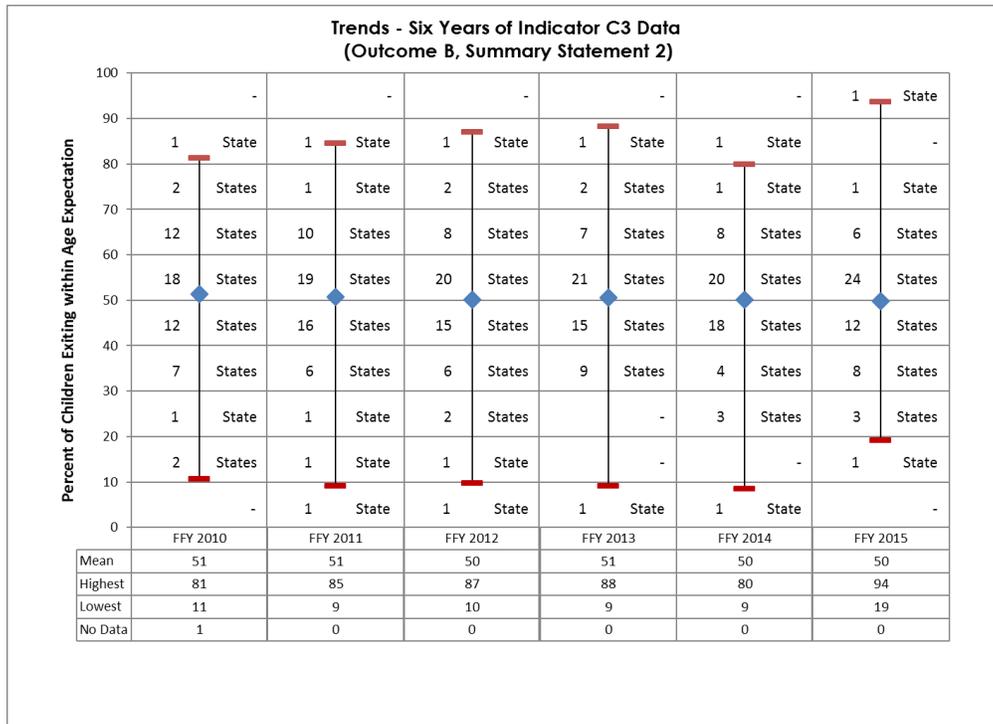


Figure 5

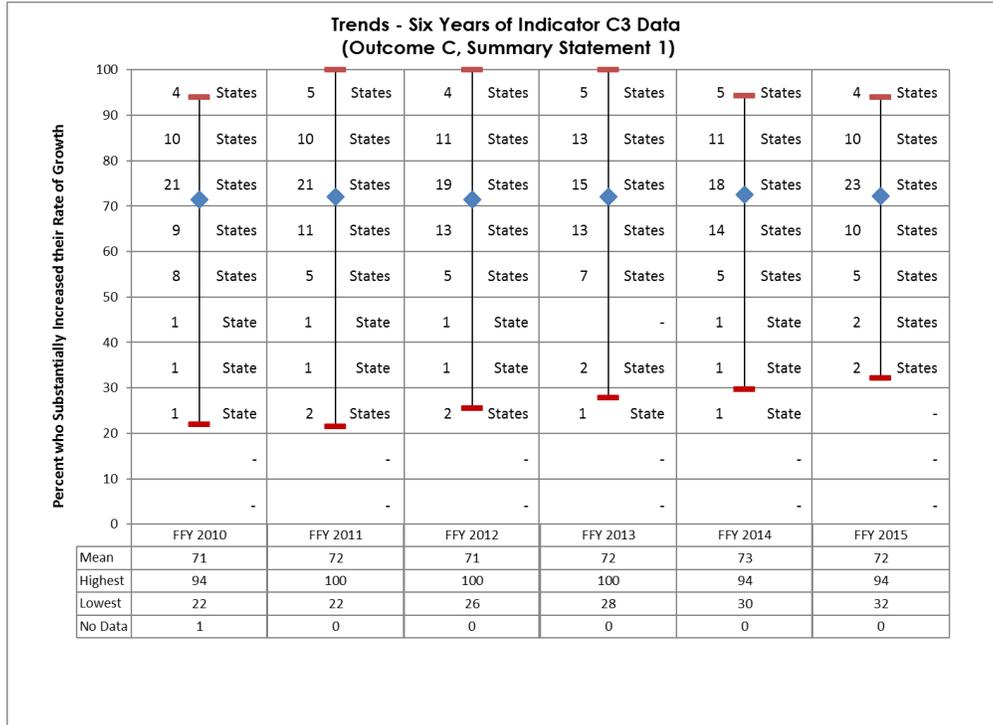
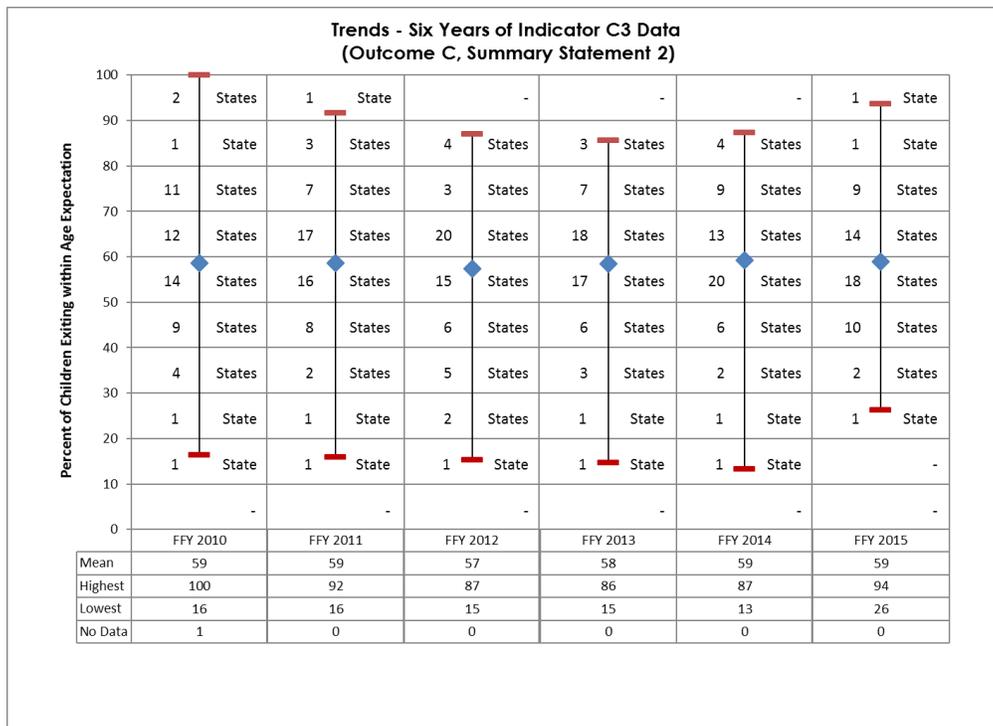


Figure 6



INDICATOR 4: FAMILY OUTCOMES

Completed by ECTA

Indicator 4: The 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

Indicator C4 is a performance indicator, with states allowed to set performance targets each year. The data used for this report reflect information reported by 56 states and jurisdictions in their FFY 2015 APRs. States and jurisdictions are referred to as “states” for the remainder of this summary.

DATA SOURCES AND MEASUREMENT APPROACHES

All states use survey methodology to report on this indicator. In cases where a state did not report which survey was used and did not report a change to survey type for FFY 2015, the survey type reported in previous years was used.

States reported using four main survey approaches to collect data for this indicator. Of the 56 states, 18 used the NCSEAM Family Survey (32%), 17 states (30%) used the revised ECO Family Outcomes Survey (2011), 12 (21%) used a state-developed survey, and nine used the original (2006) ECO Family Outcomes Survey (16%). Some states tailored their surveys by removing questions not required for APR reporting, adding survey questions specific to their state, and/or making wording and formatting changes. Scoring metrics and indicator thresholds varied among states as well.

Forty-three states (77% of states) reported a response rate. Among these 43 states, the average was 37%, with response rates ranging from 9.2% to 100%.

PERFORMANCE TRENDS

Figures 1, 2, and 3 show the current data for each of the three family outcome sub-indicators and trend data over the last six reporting years (FFY 2010 to FFY 2015). For each reporting year, the number of states represented within each ten-percentage point range is shown in each chart, and the tables below the charts show the national means, ranges, and number of states included.

Figure 1



Figure 2

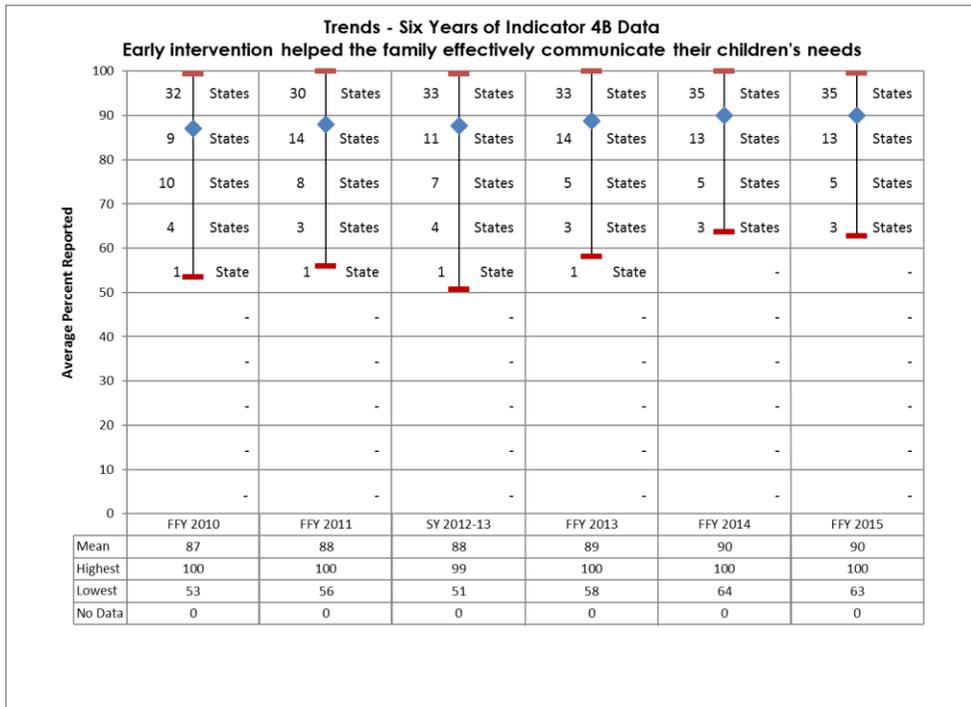
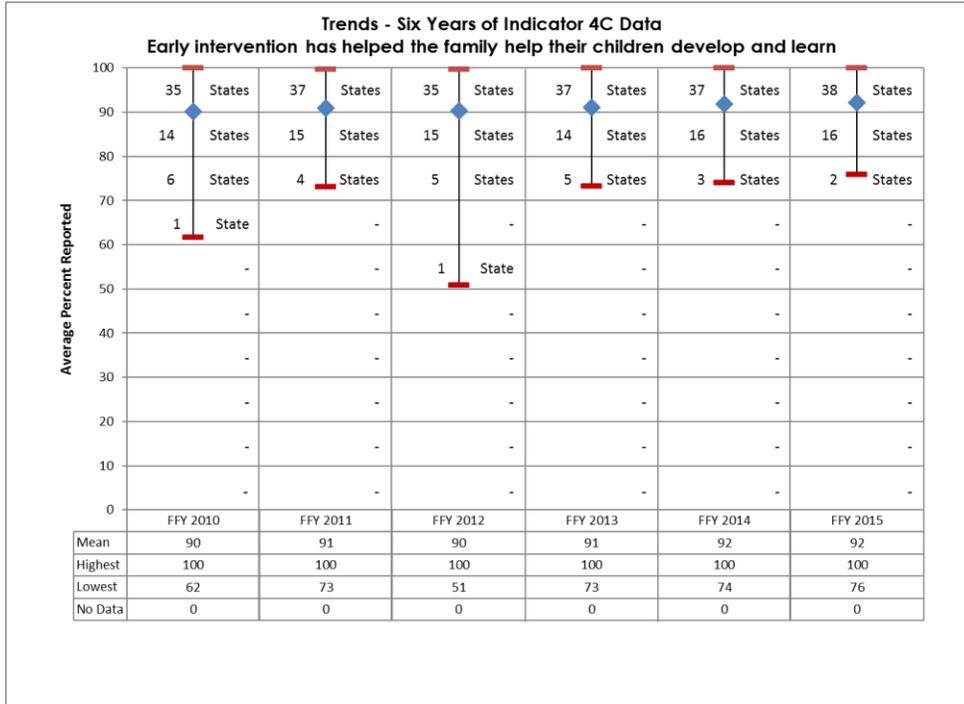


Figure 3



INDICATOR 5: CHILD FIND (BIRTH TO ONE)

Prepared by ECTA

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

INTRODUCTION

Indicator 5 reports state performance in the identification of eligible infants during their first year of life. The summary of the analysis of Indicator 5 is based on data from FFY 2015 APRs from 56 states. For the purposes of this report, the term “state” is used for both states and jurisdictions.

DATA SOURCES

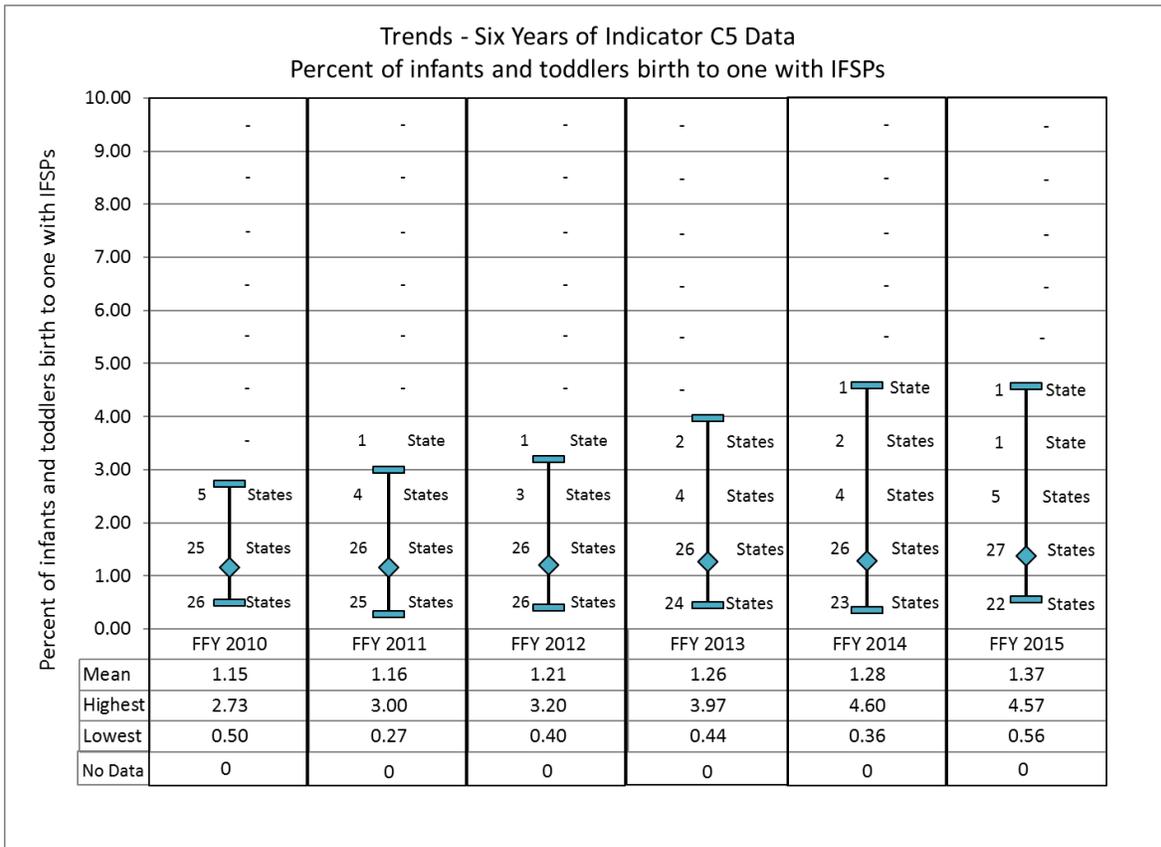
States must use data collected and reported under Section 618 (Annual Report of Children Served) on the number of infants, birth to age one, who were identified and served on a state-determined date (generally December 1), and to calculate the percentage of the state’s birth to one population that number represents. For Indicator 5, OSEP provided states with pre-populated data from the Section 618 Child Count data, and comparison data from the U.S. Bureau of the Census “2015 State Population Estimates by Age, Sex, Race, and Hispanic Origin” (<http://www.census.gov/popest>). These two numbers are used to calculate the percentage of children served. For jurisdictions for which US Census data were not available, states may submit population data from an alternate source for the purpose of calculating the percentage served.

The Part C Early Intervention Numbers and Percentages: Indicator C5 & C6 data file (<https://osep.grads360.org/#communities/pdc/documents/9795>) reports the national percentage of infants and toddlers ages birth to age one receiving early intervention services under IDEA, using data from 50 states and the District of Columbia. For Part C, the 2015 national percentage is 1.20%. This is the number to which all states must compare their data. Although jurisdictions and territories are not included in the 618 Child Count mean, they also compare their data to this mean.

PERFORMANCE TRENDS

Figure 1 illustrates current data for child find and trend data over the last six reporting years. For each reporting year, the number of states represented within each one-percentage point range is shown in the chart; the table below the chart shows the mean, range, and number of states included. The mean shown in the chart below for FFY 2015 (1.37%) includes all 56 states, counting each state equally regardless of population. This average (1.37%) therefore differs slightly from the national mean calculated from the 618 Child Count data for FFY 2015 (1.20%) explained above.

Figure 1



INDICATOR 6: CHILD FIND (BIRTH TO THREE)

Prepared by ECTA

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

INTRODUCTION

Indicator 6 reports state performance in the identification of eligible infants and toddlers from birth to age three. This summary of the analysis of Indicator 6 is based on APR data for FFY 2015 from 56 states. For the purposes of this report, the term “state” is used for both states and jurisdictions.

DATA SOURCES

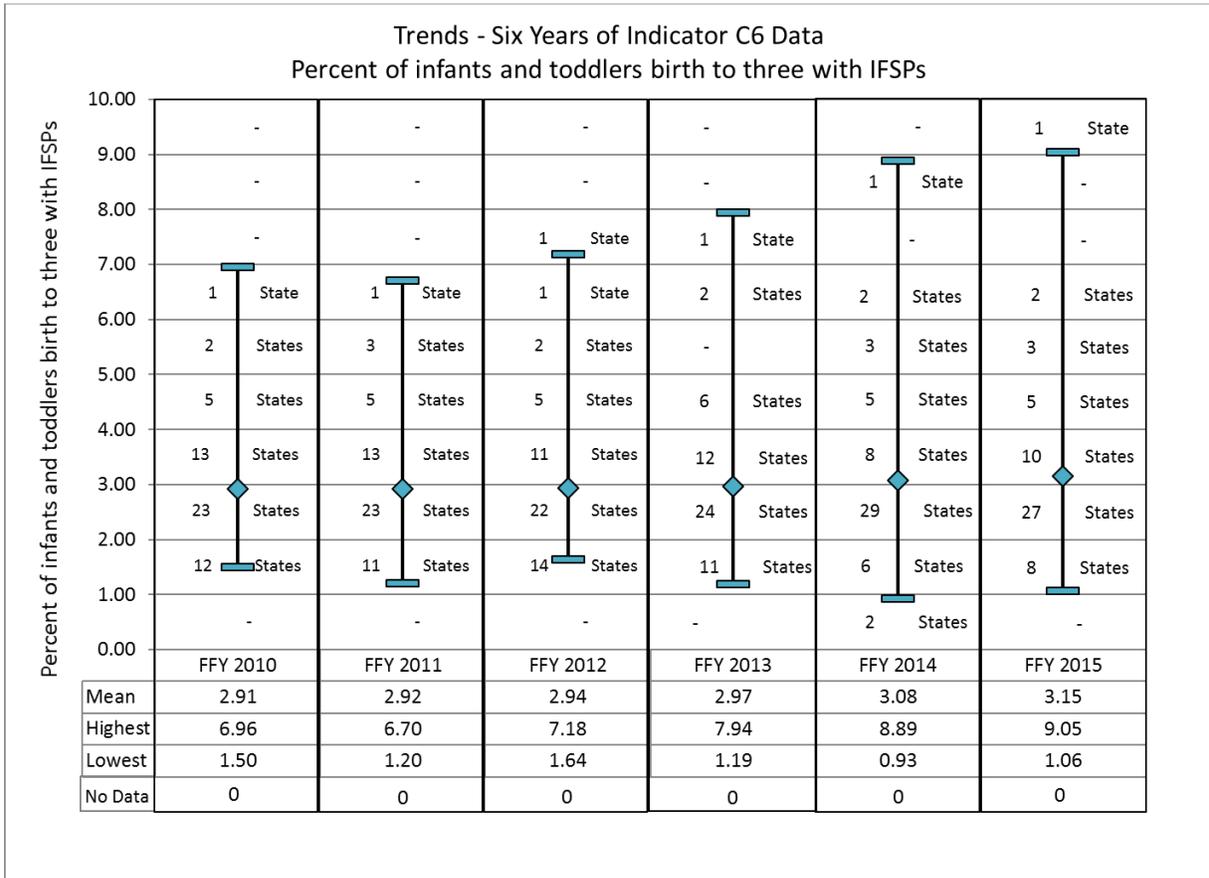
States must use data collected and reported under Section 618 (Annual Report of Children Served) on the number of infants and toddlers, birth to age three, who were identified and served on a state-determined date (generally December 1), and to calculate the percentage of the state’s birth to one population that number represents. For Indicator 6, OSEP provided states with pre-populated data from the Section 618 Child Count data, and comparison data from the U.S. Bureau of the Census “2015 State Population Estimates by Age, Sex, Race, and Hispanic Origin” (<http://www.census.gov/popest>). These two numbers are used to calculate the percentage of children served. For jurisdictions for which US Census data were not available, states may submit population data from an alternate source for the purpose of calculating the percentage served.

The Part C Early Intervention Numbers and Percentages: Indicator C5 & C6 data file (<https://osep.grads360.org/#communities/pdc/documents/9795>) reports the national percentage of infants and toddlers ages birth through 2 receiving early intervention services under IDEA, Part C is 3.00% (based on 50 states and the District of Columbia). This is the number to which all states, including jurisdictions and territories, must compare their data.

PERFORMANCE TRENDS

Figure 1 illustrates current data for child find and trend data over the last six reporting years. For each reporting year, the number of states represented within each one-percentage point range is shown in the chart; the table below the chart shows the mean, range, and number of states included. The mean shown in the charts below for FFY 2015 (3.15%) includes all 56 states (i.e. including jurisdictions and territories), and therefore differs slightly from the Part C Child Count and Settings Table C1 national mean for FFY 2015 (3.00%).

Figure 1



INDICATOR 7: 45-DAY TIMELINE

Prepared by ECTA

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

INTRODUCTION

Indicator 7 is a compliance indicator with a performance target of 100%. Part C regulations specify that the initial evaluation and initial assessments of the child and family, as well as the initial IFSP meeting must be completed within 45 days from the date the lead agency or provider receives the referral. For this indicator, states have the option to identify and count as timely those delays that are the result of exceptional family circumstances.

This summary is based on data from Annual Performance Reports (APRs) submitted by 56 states and jurisdictions for FFY 2015. For the remainder of the summary, the term "state" is used to refer to both states and jurisdictions.

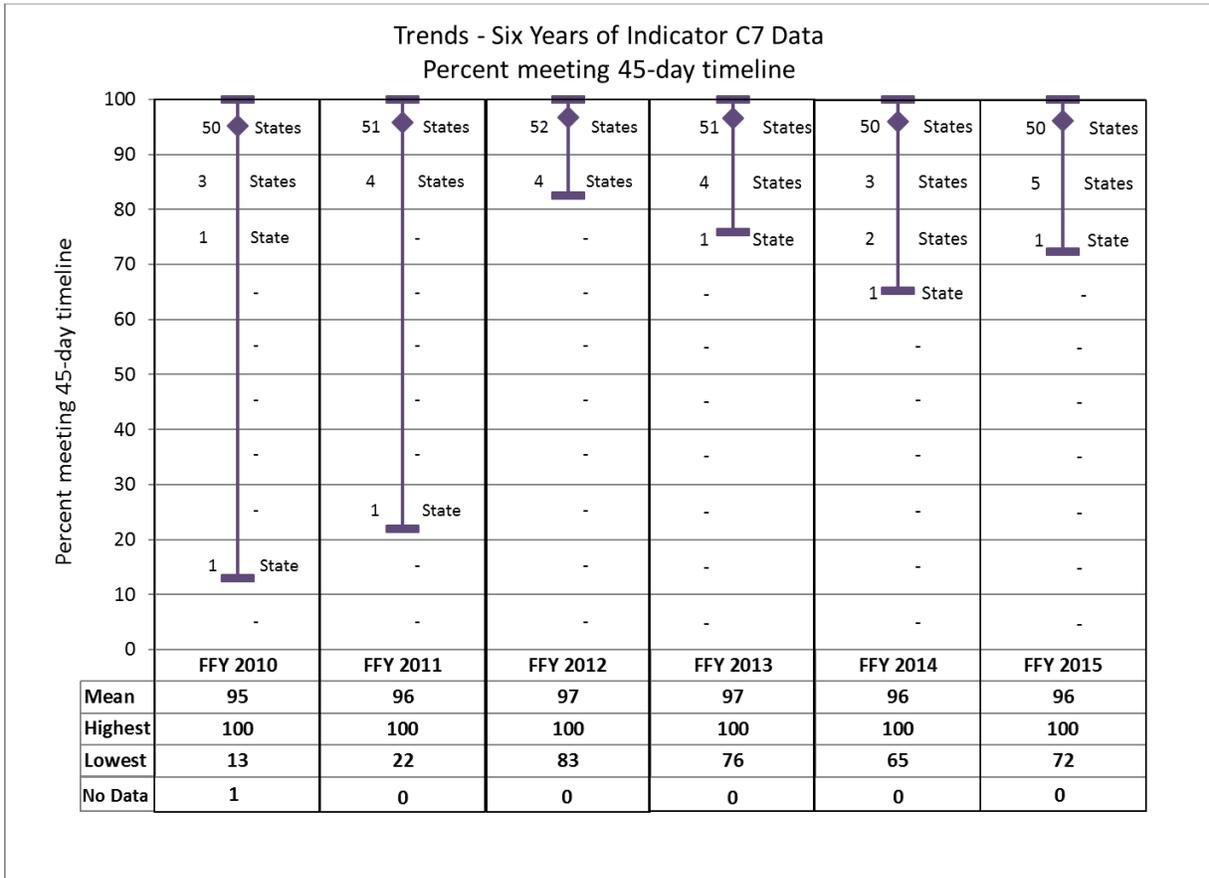
DATA SOURCES

Data for reporting on this indicator may be gathered from a state's data system and/or local monitoring practices, including sampling files for review, onsite verification visits, or reviews of self-assessment results.

ACTUAL PERFORMANCE

Figure 1 illustrates current data for Indicator 7 and trend data over the last six reporting years (FFY 2010 through FFY 2015). For each reporting year, the number of states represented within each ten-percentage point range is shown in the chart, and the table below the chart shows the national mean, range, and number of states included.

Figure 1



INDICATOR 8: EARLY CHILDHOOD TRANSITION

Completed by ECTA

Indicator 8: The percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:

- A. Developed an IFSP with transition steps and services at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddlers third birthday;
- B. Notified (consistent with any opt-out policy adopted by the State) the State education agency (SEA) and the lead education agency (LEA) where the toddler resides at least 90 days prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services; and
- C. Conducted the transition conference held with the approval of the family at least 90 days, and at the discretion of all parties, not more than nine months, prior to the toddler's third birthday for toddlers potentially eligible for Part B preschool services.

INTRODUCTION

Indicator 8 is a compliance indicator with a performance target of 100%. Each of the three sub-indicators of Indicator 8 corresponds to specific Part C regulations. This analysis of Part C Indicator 8 is based on data from FFY 2015 Annual Performance Reports (APRs) for 56 states and jurisdictions. For the purposes of this report, the term "state" is used for both states and jurisdictions. One state had data determined by OSEP to be not valid and reliable for Indicator 8B.

DATA SOURCES/ MEASUREMENT APPROACHES

States use a variety of data sources for reporting on this indicator, including monitoring data (e.g. file review and self-assessment), the state's data system, or combinations of these approaches. There is also variability among states regarding use of census vs. sampling methodologies for reporting on this indicator. A census approach is defined as reporting on all children for the entire reporting period or all children in a specific time frame (e.g. all children transitioning in one quarter of the calendar year). A majority of states use census data for all three sub-indicators.

PERFORMANCE TRENDS

Figures 1, 2, and 3 illustrate the current data for each of the three transition sub-indicators and trend data over the last six reporting years. For each reporting year, the number of states represented within each ten-percentage point range is shown in each chart. The tables below the charts show the national mean, range, and number of states included.

Figure 1

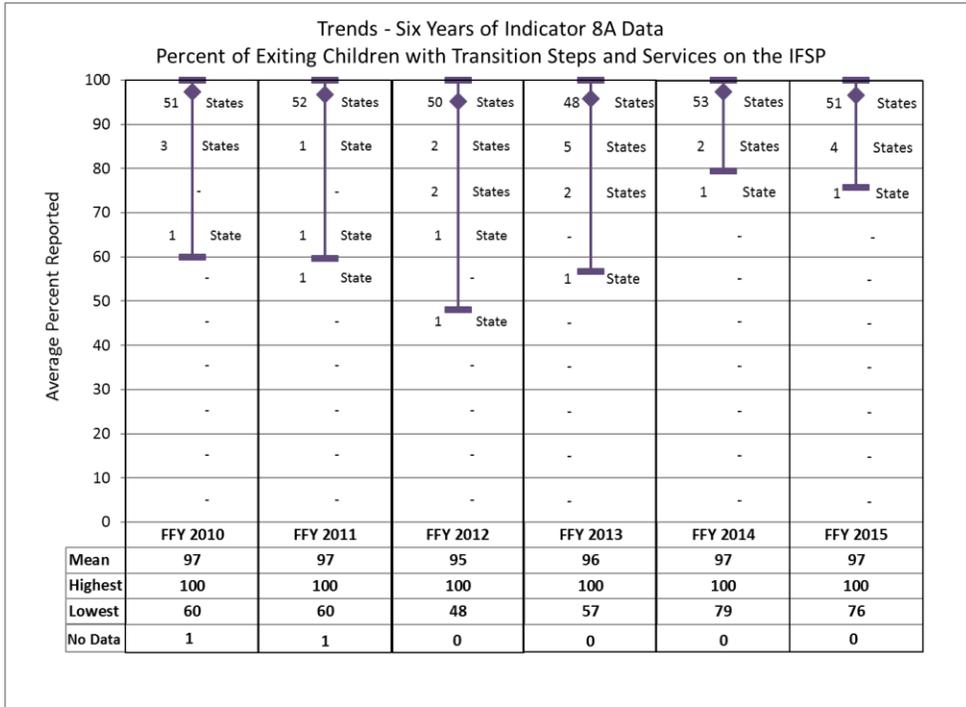


Figure 2

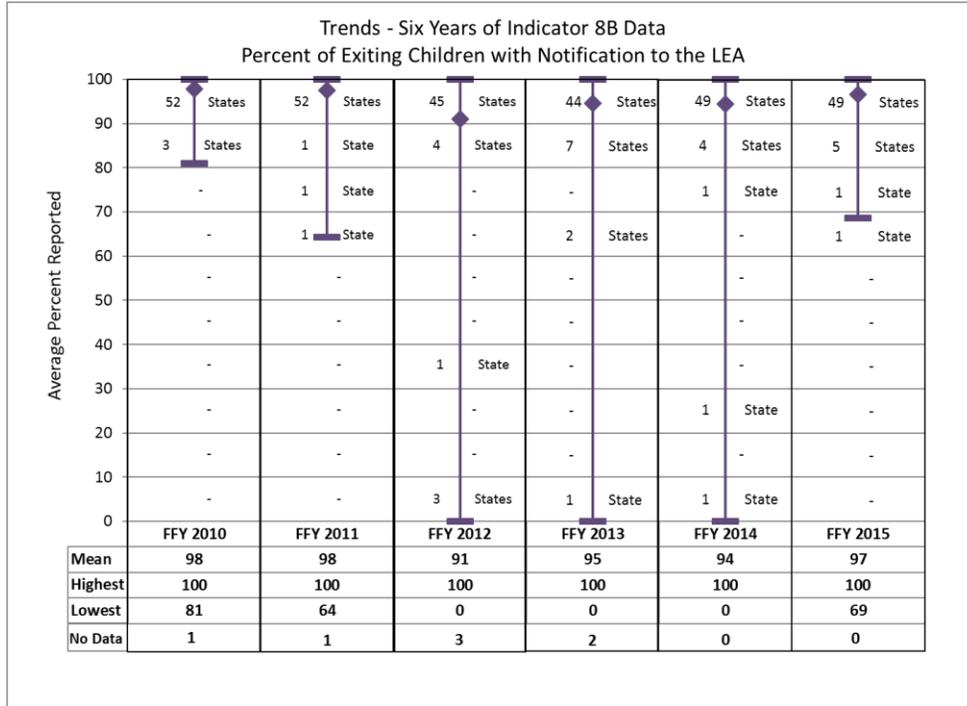
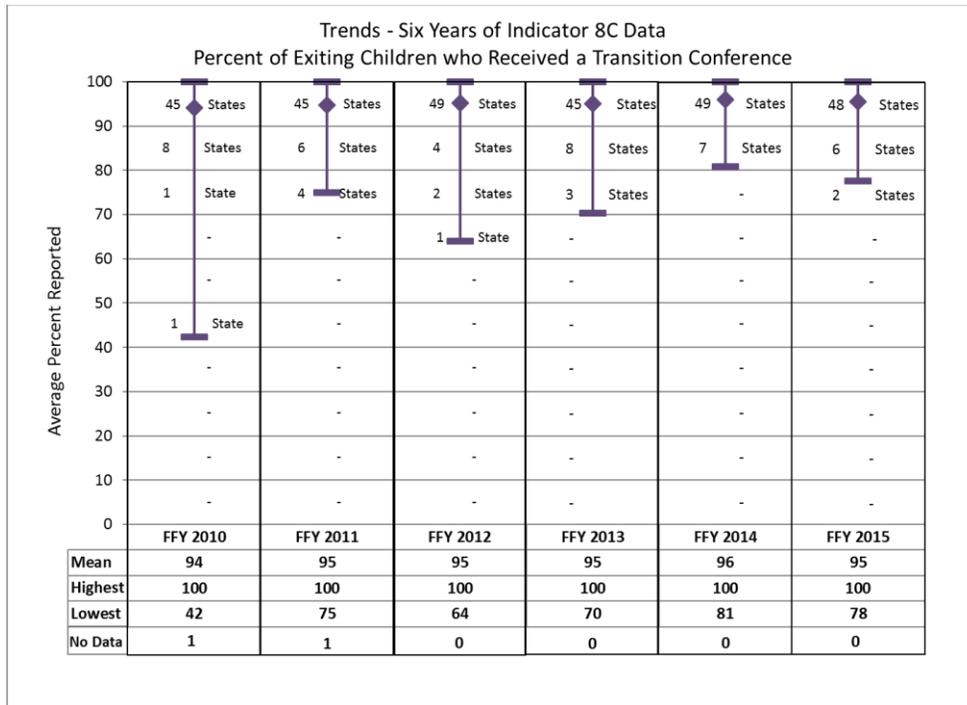


Figure 3



INDICATORS C9 & C10: DISPUTE RESOLUTION

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

INDICATOR 9: RESOLUTION SESSIONS

Indicator 9: 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 10: MEDIATION

Indicator 10: Percent of mediations held that resulted in mediation agreements.

INTRODUCTION

The IDEA requires States receiving grants under Part C to make available four dispute resolution processes, and to report annually to the U.S. Department of Education Office of Special Education Programs (OSEP) on their performance.¹ The processes include signed written complaints, mediation, due process complaints, and, in states where Part B due process complaint procedures have been adopted, resolution meetings.

The following is a report and brief summary of States' Federal Fiscal Year (FFY) 2015 Annual Performance Reports (APRs) for Indicators C9 (Resolution Meetings Resulting in Written Settlement Agreements) and C10 (Mediations Resulting in Written Agreements).^{2,3}

DATA SOURCES AND METHODOLOGY

Data sources for this report include FFY 2015 APRs and Section 618 data, currently available through the GRADS360 OSEP portal. These analyses are specific to State performance on Indicators C9 and C10, and do not present a complete picture of dispute resolution activity.

SUMMARY BY INDICATOR

Indicator C9: Resolution Meetings Resulting in Written Settlement Agreements

Indicator C9 documents the percentage of resolution meetings that result in written

¹ For the purposes of this report, the terms "States" is used to refer to all 56 Part C grant recipients (i.e., the Fifty States, the District of Columbia, Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands).

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

³ These indicators were reported as C12 and C13 in previous years' APRs.

settlement agreements. This indicator applies only to States that have adopted Part B due process complaint procedures. States are required to report any activity relating to performance Indicator C9 but are not required to set or meet a performance target if fewer than 10 resolution meetings are held in a single year. Because due process complaints continue to be a seldom used dispute resolution option in Part C programs, resolution meetings rarely occur. Historically, in only one reporting year (2012-13) has national data reflected more than two resolution meetings held.

Twenty states reported that they use Part B due process procedures according to their 2015 APR. Nationally, only one resolution meeting was held leading to a successful written settlement agreement.

Indicator C10: Mediations Resulting in Written Agreements

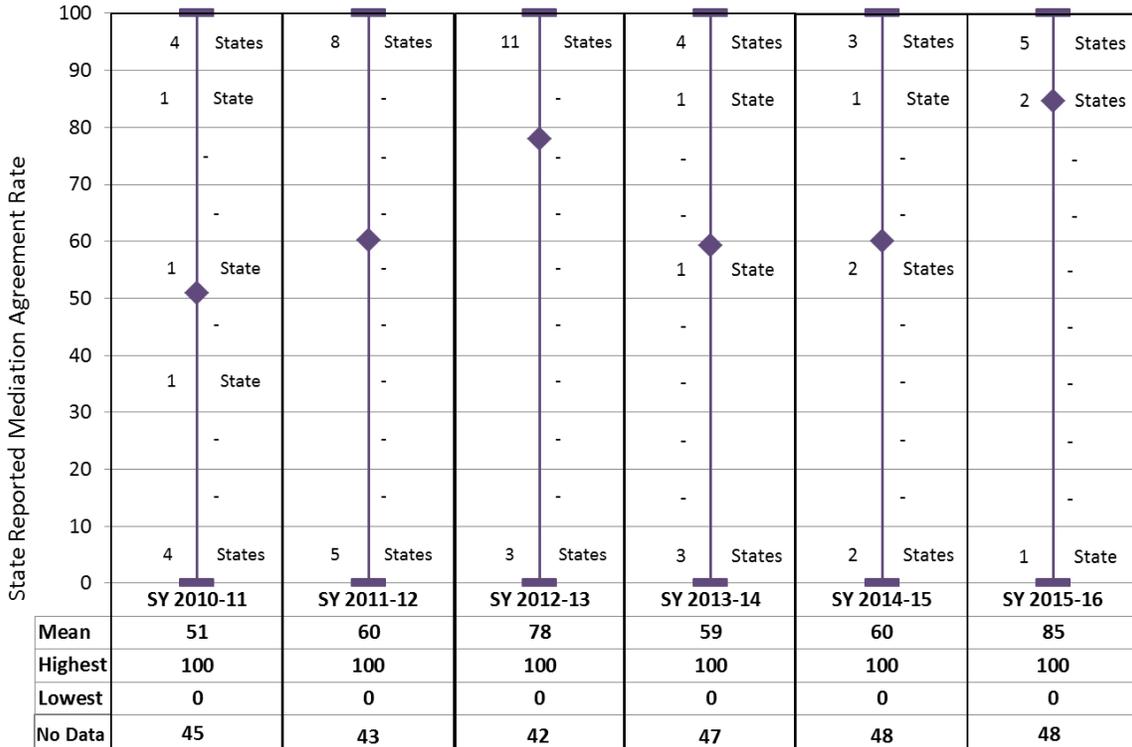
Indicator C10 is a performance indicator that documents the percentage of mediations resulting in written mediation agreements. As with Indicator C9, states are required to report any activity relating to Indicator C10, though they are not required to set or meet a performance target if fewer than ten mediations are held in a single year.

The bands in Figure 1 reflect state performance on Indicator C10 over a six year period. The blue diamonds on each performance band in Figure 1 indicate the mean, or average, rate of agreement across states for that year.⁴

Figure 1

⁴ For this “average of state agreement rates”, all states contribute equally to the calculation regardless of the level of activity.

Trends - Six Years of Indicator C10 Data
State Reported Mediation Agreement Rate



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

Nationally in 2015-16, eight states held a total of 57 mediation sessions which is a reduction of 34.5% as compared to 2014-15 national data. Two large population states accounted for 50 (one state held 41 and one state held 9) of the 57 mediation sessions held, or 87% of all mediation sessions held nationally in 2015-16. Fifty of the fifty-seven mediation sessions held in 2015-16 resulted in agreements – yielding a national agreement rate of 88%. This contrasts with the average state reported mediation agreement rate of 85% because in this calculation all states are counted equally regardless of level of activity.

CONCLUSION

Nationally, the use of mediation sessions and resolution meetings among Part C programs continues to be very low. This may be the result of the collaborative, family-centered nature of Part C programs and the short time of service as transition to Part B programs occurs before the child’s third birthday. It is recommended that Lead Agencies continue to educate parents about their rights, and the full continuum of dispute resolution options available to them should conflict occur.

INDICATOR 11: STATE SYSTEMIC IMPROVEMENT PLAN, PHASE III

This report was prepared by the Early Childhood Technical Assistance Center (ECTA) in collaboration with the Center for IDEA Early Childhood Data Systems (DaSy), the National Center for Systemic Improvement (NCSI), and the IDEA Data Center (IDC).

Indicator 11: The State's SPP/APR includes a State Systemic Improvement Plan (SSIP) that meets the requirements set forth for this indicator.

INTRODUCTION

In Indicator 11 of the State Performance Plan and Annual Performance Report (APR), the Office of Special Education Programs (OSEP) requires states to develop and implement a three-phase State Systemic Improvement Plan (SSIP). The SSIP is a comprehensive, ambitious yet achievable, multiyear plan for improving results for infants and toddlers with disabilities and their families.

Parents of infants and toddlers with disabilities, early intervention service (EIS) programs and providers, the State Interagency Coordinating Council, and other stakeholders are critical partners in improving results for infants and toddlers and their families. States are required to include broad representation of stakeholders in implementing, evaluating, and revising each phase of the SSIP.

In Phase I of the SSIP [federal fiscal year (FFY) 2013], each state established baseline data for Indicator 11. Baseline data were expressed as a percentage and aligned with the State Identified Measurable Result(s) [SIMR(s)] for infants and toddlers and their families. Each state also established measurable and rigorous targets, expressed as percentages, for each of the five years from FFY 2014 through FFY 2018. These data were submitted to OSEP in April 2015.

In Phase II (FFY 2014), each state developed and submitted a plan to build state capacity to support EIS programs and/or EIS providers to implement evidence-based practices (EBPs) that would lead to measurable improvement in the SIMR. States developed a plan that included activities, steps, and resources needed to implement the coherent improvement strategies, with attention to the research on implementation, timelines for implementation, and measures to evaluate implementation and impact on the SIMR. This plan was submitted to OSEP in April 2016.

In Phase III - Year 1 (FFY 2015), states began implementation and evaluation of their plans. In their annual reports due to OSEP in April 2017, states were required to report on their progress made during the first year of SSIP implementation, consistent with the evaluation plan developed in Phase II. States were expected to include data and analysis on the extent to which they made progress on and/or met their short-term and long-term objectives for implementing the SSIP and progress on achieving the SIMR(s). In addition, states were required to describe how the data from their evaluation informed

their decisions about continuing SSIP implementation without modifications or instead providing rationale for revisions made or revisions to be made. Finally, states were required to describe how stakeholders were included in the decision-making process.

The data in this report are based on an analysis of the FFY 2015 SSIP reports submitted by 55 of 56 states and jurisdictions. (One state had not yet submitted its SSIP report at the time of this analysis.) Submissions were analyzed by technical assistance providers, and the results were summarized for this report. States and jurisdictions are referred to as “states” in the remainder of this report.

FFY 2015 SIMR DATA

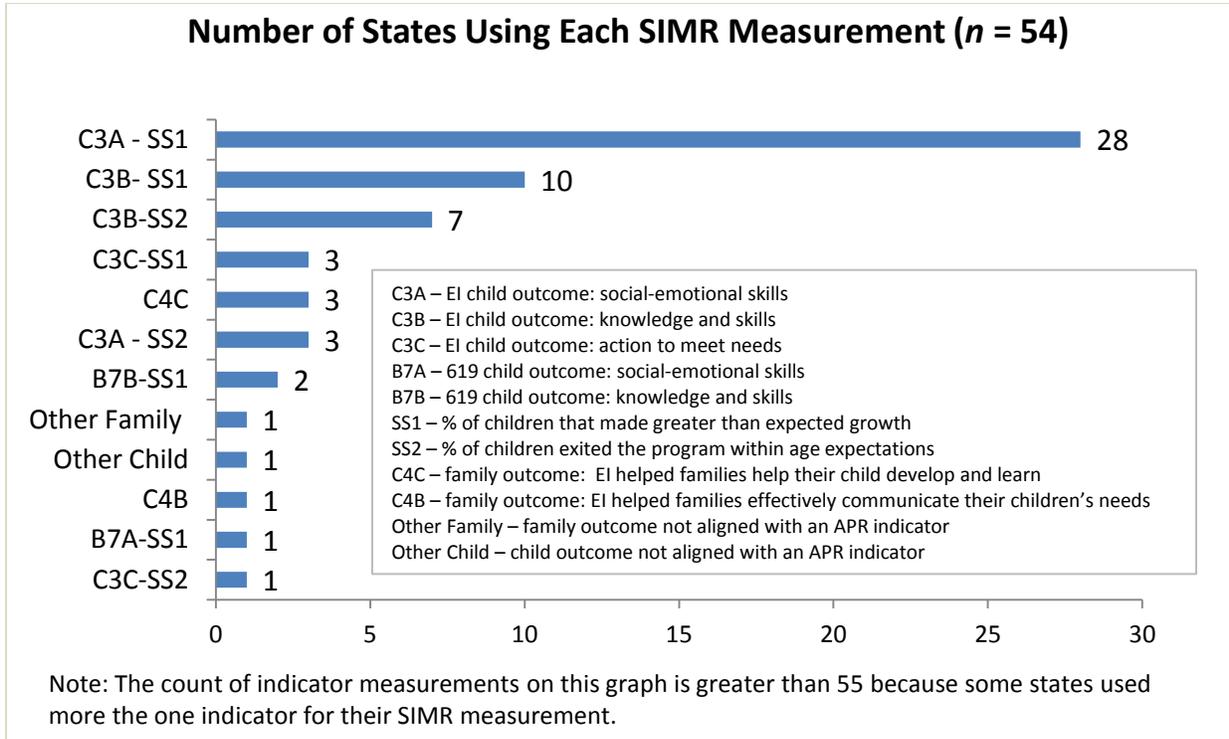
In the FFY 2015 SPP/APR, states were required to report that year’s progress data, expressed as a percentage and aligned with the SIMR for infants and toddlers with disabilities and their families. The FFY 2015 progress data were compared with the FFY 2015 measurable and rigorous targets, also expressed as a percentage. FFY 2015 data were also compared with the SIMR progress data reported in FFY 2014 (see “Progress Toward Achieving Intended Improvements”).

Child and Family Outcomes Identified in the SIMRs

Each state has identified a child and/or family outcome as the focus of its SIMR. Forty-nine of the 55 states that submitted an SSIP in FFY 2015 selected a single outcome for their SIMR and reported one percentage for their FFY 2015 SIMR data. Five states selected multiple child and/or family outcomes as their SIMR (either all within Part C or a combination of child outcomes across Part C and Part B Section 619). For one state, it was not clear whether the focus of the SIMR was a single outcome or multiple outcomes. States that selected multiple outcomes for the focus of their SIMR opted to either combine the data into a single percentage or report more than one percentage (one percentage for each child and/or family outcome included in the SIMR).

More than half of the states (28 of 55, 51%) continued to focus on greater than expected growth in children’s positive social-emotional skills (C3A-SS1) (Figure 1). Two states included Part B 619 child outcomes in their measurement: both included preschool children’s knowledge and skills (B7B) and one of these states also included preschool children’s positive social-emotional skills (B7A). Two states identified SIMRs that were not equivalent to an APR indicator measurement (labeled as “Other Family and Other Child” in Figure 1). While most SIMRs were focused on child outcomes, five states (9%) included at least one family outcome in their SIMR. Three states’ SIMRs included measuring early intervention to determine the extent that it helped families help their child develop and learn (C4C). One state’s SIMR focused on whether early intervention helped families effectively communicate their children’s needs (C4B). In the fifth state, the family focus was not equivalent to an APR indicator. The numbers in Figure 1 do not add to 55 because some states reported multiple outcomes for their SIMR.

Figure 1

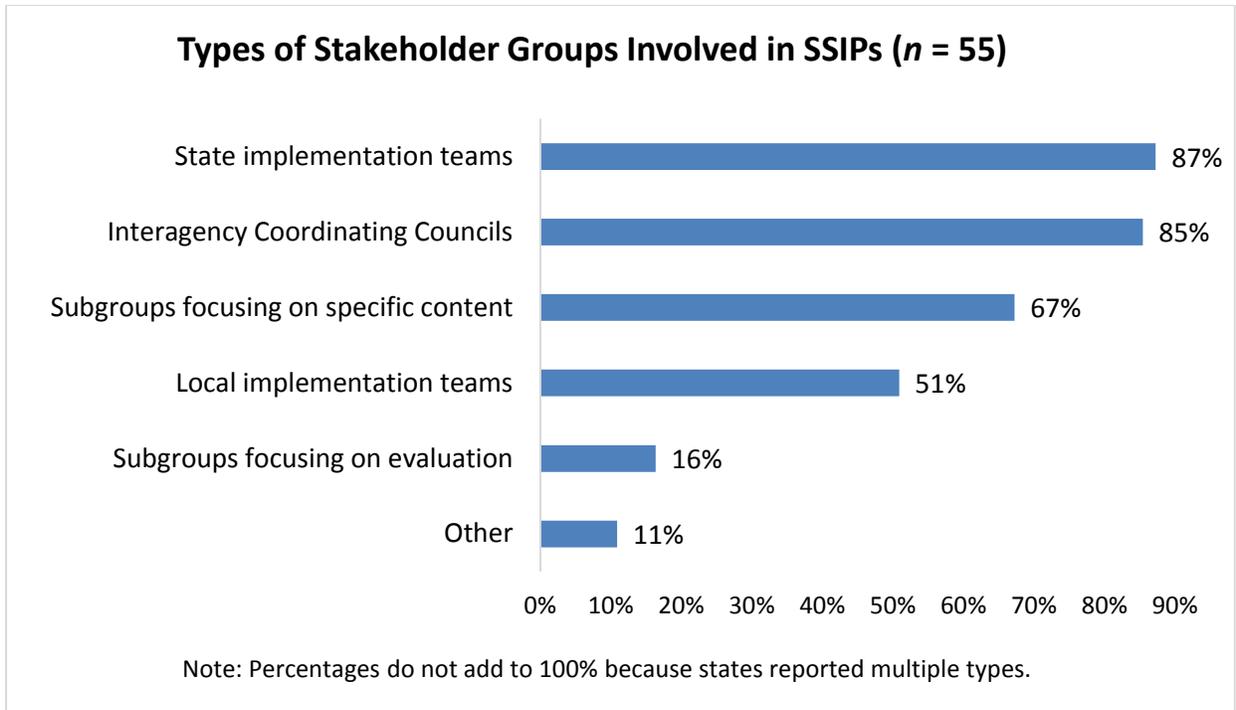


STAKEHOLDER ENGAGEMENT

States were expected to engage stakeholders throughout the year in the implementation of the SSIP as well as in the evaluation and report on this involvement in SSIP Phase III. For example, stakeholders might support the implementation of activities, review evaluation data, and make decisions about adjustments or additions to existing plans. In addition to the broad data on stakeholder involvement, the specific roles stakeholders played in implementation and evaluation are described in later sections of this report.

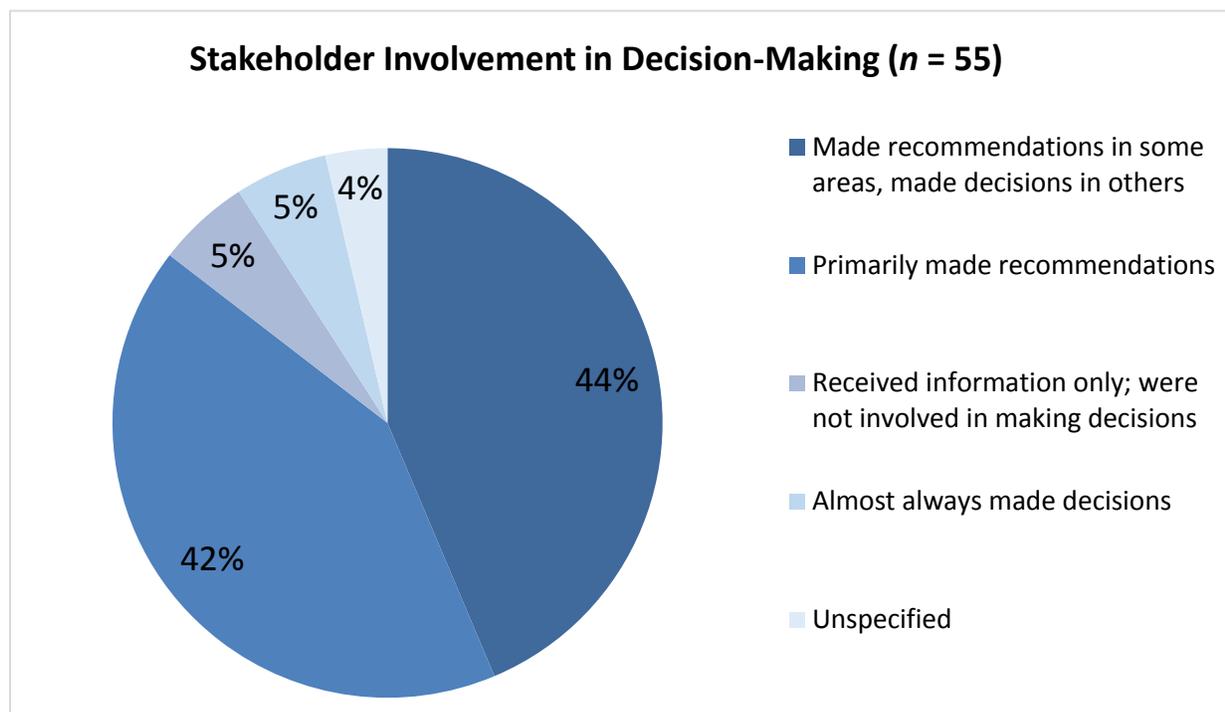
The stakeholder groups most commonly involved in SSIP Phase III were state implementation teams (87%), State Interagency Coordinating Councils (85%), subgroups focusing on specific content (67%), and local implementation teams (51%) (Figure 2). A small number of states (16%) had subgroups focused specifically on evaluation of the SSIP. Other reported stakeholder groups included special education advisory committees, provider groups, parent groups, and a family advisory committee.

Figure 2



States engaged stakeholders in decision-making to differing degrees (Figure 3). The majority of states reported that stakeholders either primarily made recommendations (42%) or made recommendations in some areas and made decisions in others (44%). A small number of states (5%) reported that stakeholders were only recipients of information and did not provide input. Another small group of states (5%) reported that stakeholders almost always made decisions.

Figure 3



States reported a broad variety of examples of the types of decisions stakeholders made:

- Selected EBPs.
- Determined training timelines and developed training competencies.
- Developed practice guides.
- Identified specific processes and procedures for implementing EBPs.
- Developed criteria for and chose pilot sites.
- Identified outcome measures for use in both SSIP evaluation activities and child evaluation and assessment.
- Participated in hiring staff to implement EBPs.
- Influenced decision to focus on families and culturally appropriate implementation of practices.
- Developed online and web-based communication strategies for families to respond and engage and not just be informed.

SUMMARY OF CHANGES MADE TO SSIP PHASE II PLANS

In Phase III, states were required to report on how the data from their evaluation shaped their decisions about continuing SSIP implementation without modifications or instead providing a rationale for revisions made or revisions to be made. They were also required to describe how stakeholders were included in the decision-making process.

Accordingly, each state described the changes made to its SSIPs, including the theory of action, logic model, improvement plan, and/or evaluation plan.

Changes Made to SIMRs

Fifty-four of the 55 states (98%) that submitted a SSIP report did not make changes to their SIMRs in FFY 2015. One state did not include its SIMR in its report, nor did it mention whether any changes were made.

Revisions to SIMR Baseline and Targets

States were required to review their baseline and targets for FFY 2015 through FFY 2018. On the basis of stakeholder input and justification, states were able to revise their baseline and targets.

Nine states reported in Phase III they had revised their SIMR baseline data since the FFY 2014 SSIP report. In seven of these nine states, the new baseline was lower than the baseline reported in FFY 2014. In one state, the new baseline was higher than that reported in FFY 2014. One state that revised its baseline had a clustered SIMR with four baselines; two of the baselines were lower, and two were higher.

Eight states provided rationales for the revisions to the baseline:

- Five states revised it because of improved data quality.
- One state revised it because of a new data collection process.
- One state revised it to include data only from the demonstration sites.
- One state revised it to include data from an additional region not in the FFY 2014 baseline data.

One state did not provide a rationale for changing its baseline.

Of the 55 states that submitted an SSIP in FFY 2015, 50 states reported targets in both FFY 2014 and FFY 2015 (four states did not report targets in FFY 2015, and one state did not report targets in FFY 2014). Ten of the 50 states (20%) had revised their targets since the FFY 2014 report. In half these states the revised FFY 2015 targets were lower than FFY 2014 targets, and in the other half of states they were higher. The states provided the following rationales for these revisions:

- Seven states revised the targets to align with their revised baselines.
- Two states revised the targets to better reflect expected progress.
- One revised the targets because of issues with data quality.

Changes to Theories of Action and Logic Models

In Phase I of the SSIP, states were required to develop a graphic illustration of the rationale of how implementing their coherent set of improvement strategies would increase the state's capacity to lead meaningful change in EIS programs and/or EIS providers and achieve improvement in the SIMR (a theory of action). During Phase II, a number of states chose to develop a logic model that further defined the relationship of inputs, activities, outputs, and outcomes to help develop their evaluation plan and ensure the evaluation plan aligned with their improvement plan.

In Phase III of the SSIP, eight states (15%) reported modifications to the previously submitted theory of action and 12 states (22%) reported changes to the logic model. Most of the eight states (63%) made changes that elaborated on, or clarified existing activities in their theories of action, whereas two states (25%) reported deleting improvement activities or reducing the number of outcomes in the theory of action (Figure 4). Similarly, changes to logic models were principally modifying activities (58%) and outputs (50%) (Figure 5). States reported that initial data collection and evaluation activities led to adjusted expectations for future implementation.

Figure 4

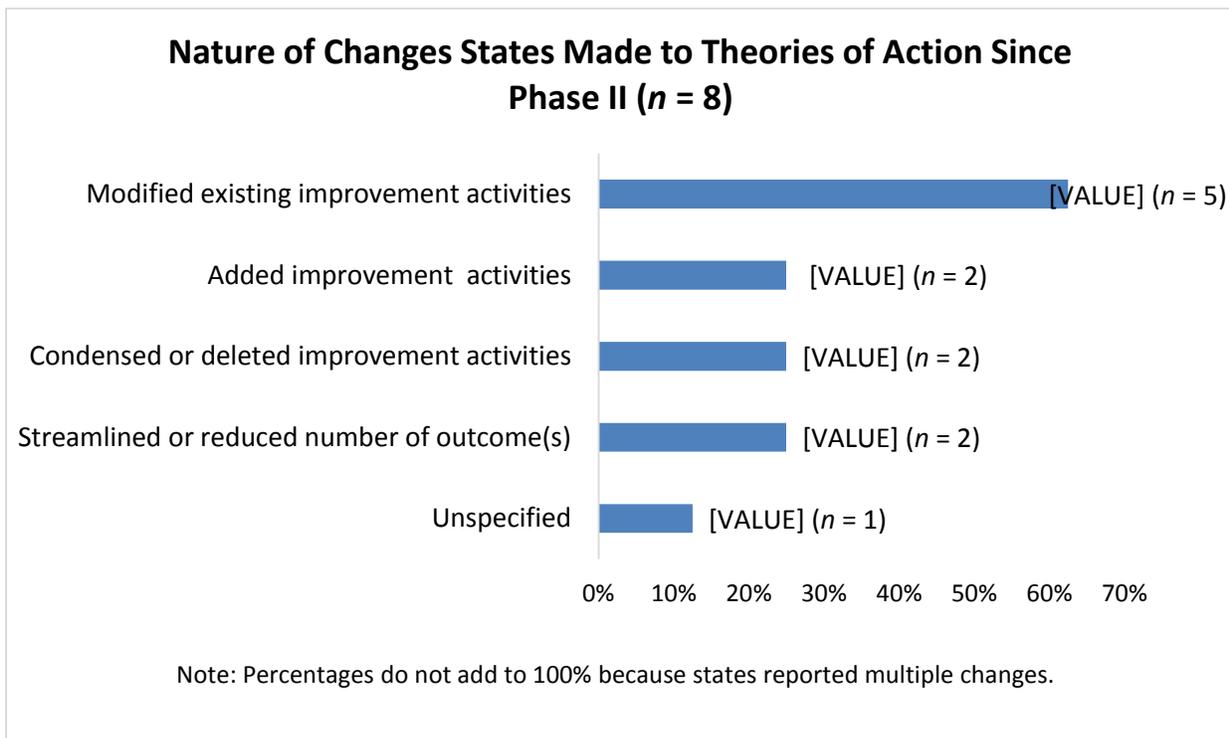
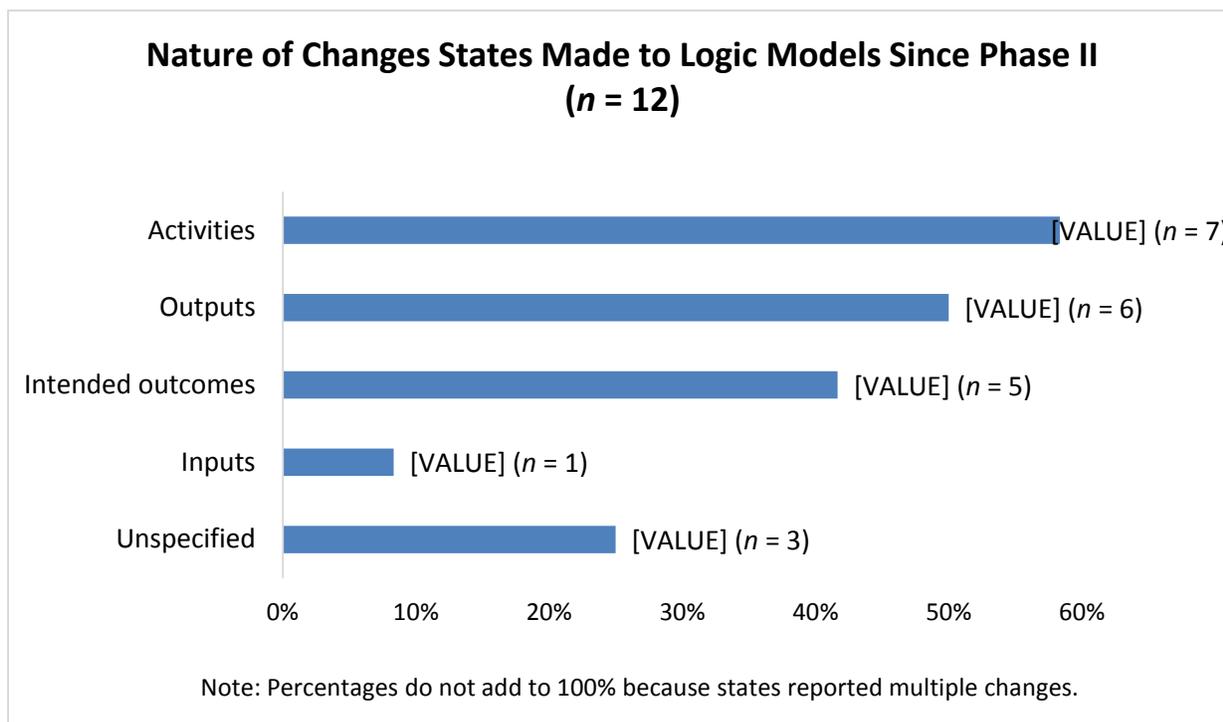


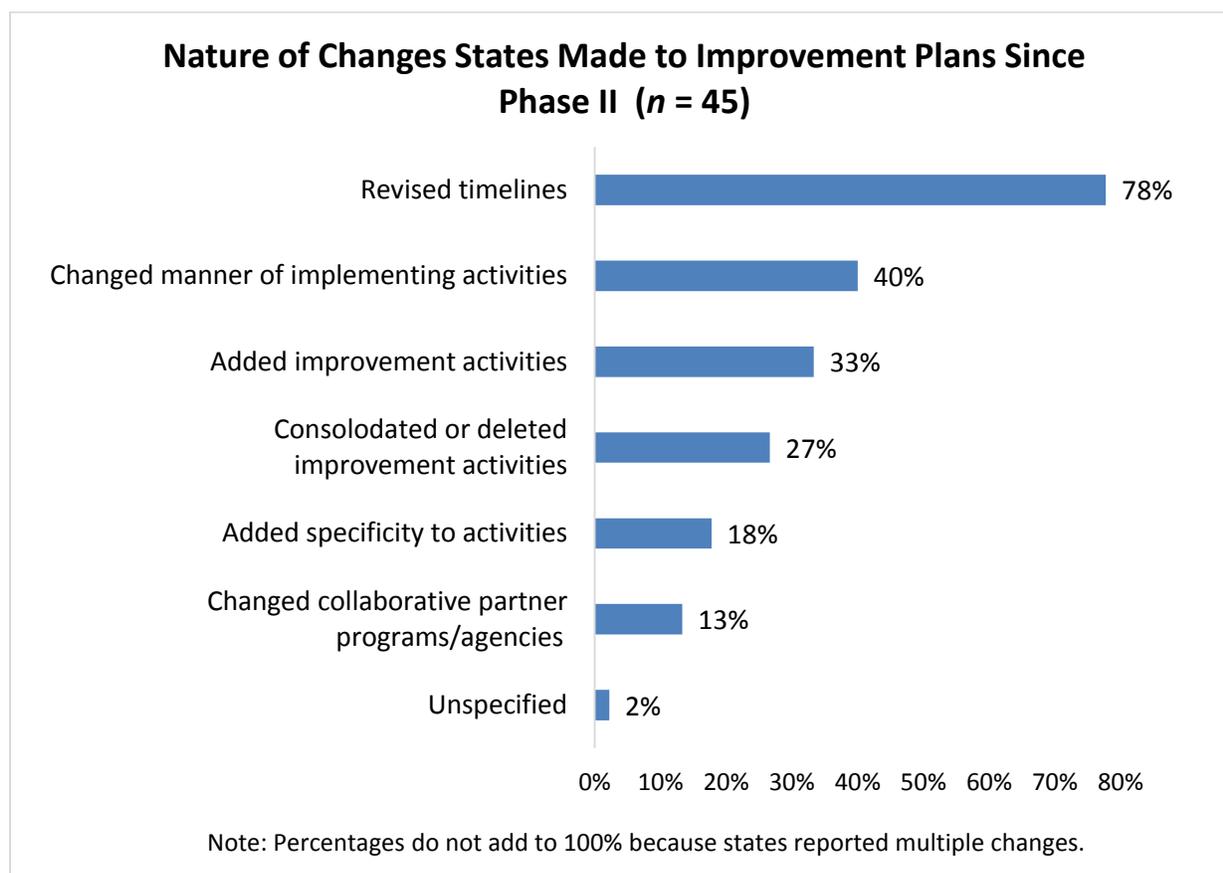
Figure 5



Changes to Improvement Plans

Whereas only a small number of states reported changes to their theories of action and logic models, 45 states (82%) reported changing their improvement plan since Phase II. The SSIP improvement plan, intended to lead to better results in the SIMR for infant and toddlers with disabilities and their families, contains specific activities and steps the state will take to enhance results. Most states (78%) that made changes revised timelines for the activities in the plan based on the first year of implementation (Figure 6). Eighteen states (40%) changed the manner of implementing activities, and 15 (33%) added improvement activities. Fewer states consolidated or deleted improvement activities (27%), added specificity to activities (18%), and/or changed collaborative partners (13%).

Figure 6

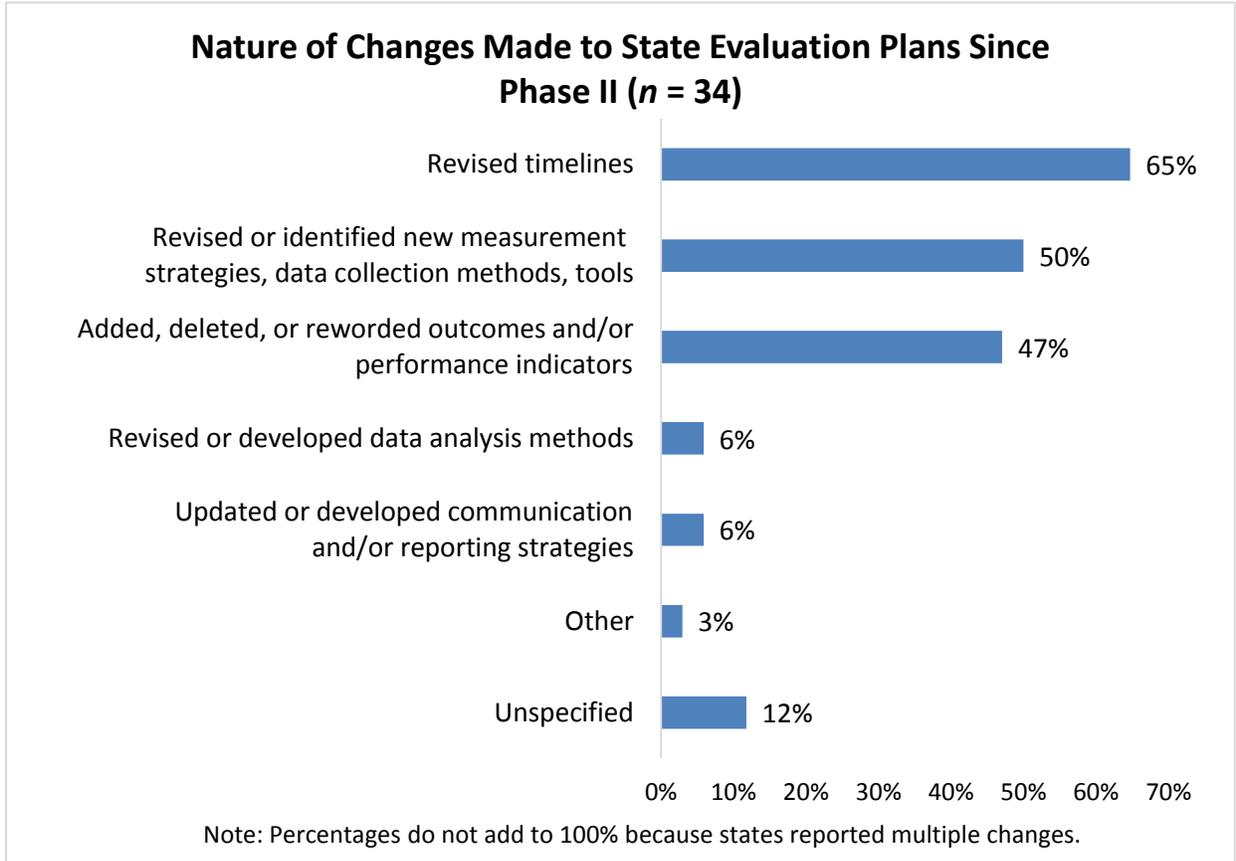


Changes to Evaluation Plans

In Phase II, states were required to report on how they would evaluate their SSIP, including the methods to be used to collect and analyze data related to measuring implementation and outcomes. The evaluation plan was expected to specify how the state would use the evaluation results to determine the effectiveness of the implementation of the SSIP and the progress on achieving intended improvements. In addition, the evaluation results would inform potential modifications to the SSIP, including modifications to the evaluation plan.

In Phase III, 34 states (62%) reported revising their SSIP evaluation plan. States made different types of changes to their evaluation plans (Figure 7). Twenty-two of those 34 states (65%) revised timelines for evaluations, and 17 states (50%) revised or identified new measurement strategies, data collection methods, or tools. Sixteen states (47%) added, deleted, or reworded outcomes and/or performance indicators. Four states (12%) reported that they made changes to their evaluation plans but did not specify the nature of the changes.

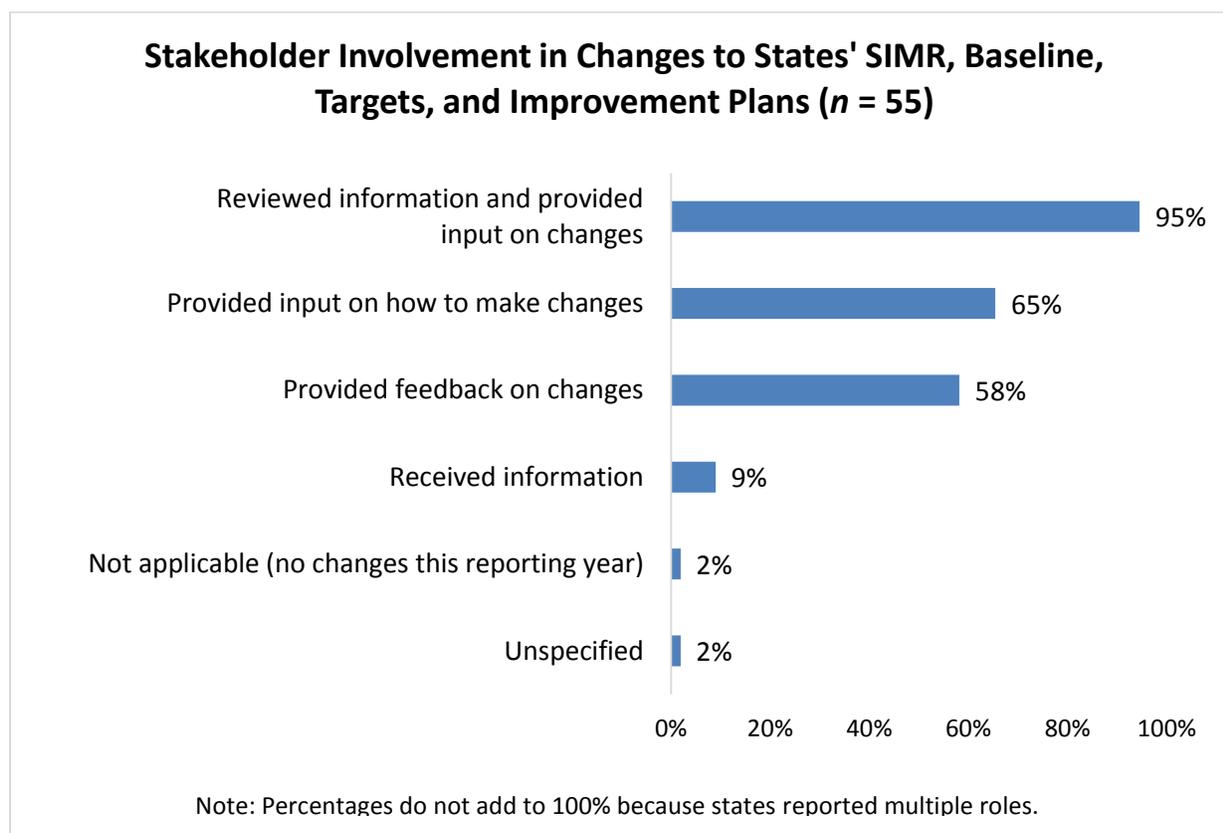
Figure 7



Stakeholder Engagement in Changes

States that made changes to their SSIP were required to involve stakeholders in the decision-making process. The type of stakeholder engagement varied across states (Figure 8). Fifty-two of the 55 states (95%) reported that stakeholders reviewed information and provided input on needed changes, and 36 states (65%) reported that stakeholders provided input on how to make the changes. Five states (9%) reported that stakeholders received information but did not otherwise describe the stakeholders' role.

Figure 8



PROGRESS IN IMPLEMENTING THE SSIP

In Phase III, states were required to report progress in implementing the SSIP and were encouraged to include the following information:

- A description of the extent to which the state carried out its planned activities with fidelity—what was accomplished, what milestones were met, and whether the intended timeline was followed.
- The intended outputs accomplished as a result of the implementation activities.

In developing their plan, states had been encouraged to use concepts of implementation science in adopting and implementing their selected evidence-based practices. Effective implementation of EBPs occurs over time and follows five implementation stages: exploration, installation, initial implementation, full implementation, and expansion and scale-up.

Use of Implementation Stages in Implementing Evidence-Based Practices

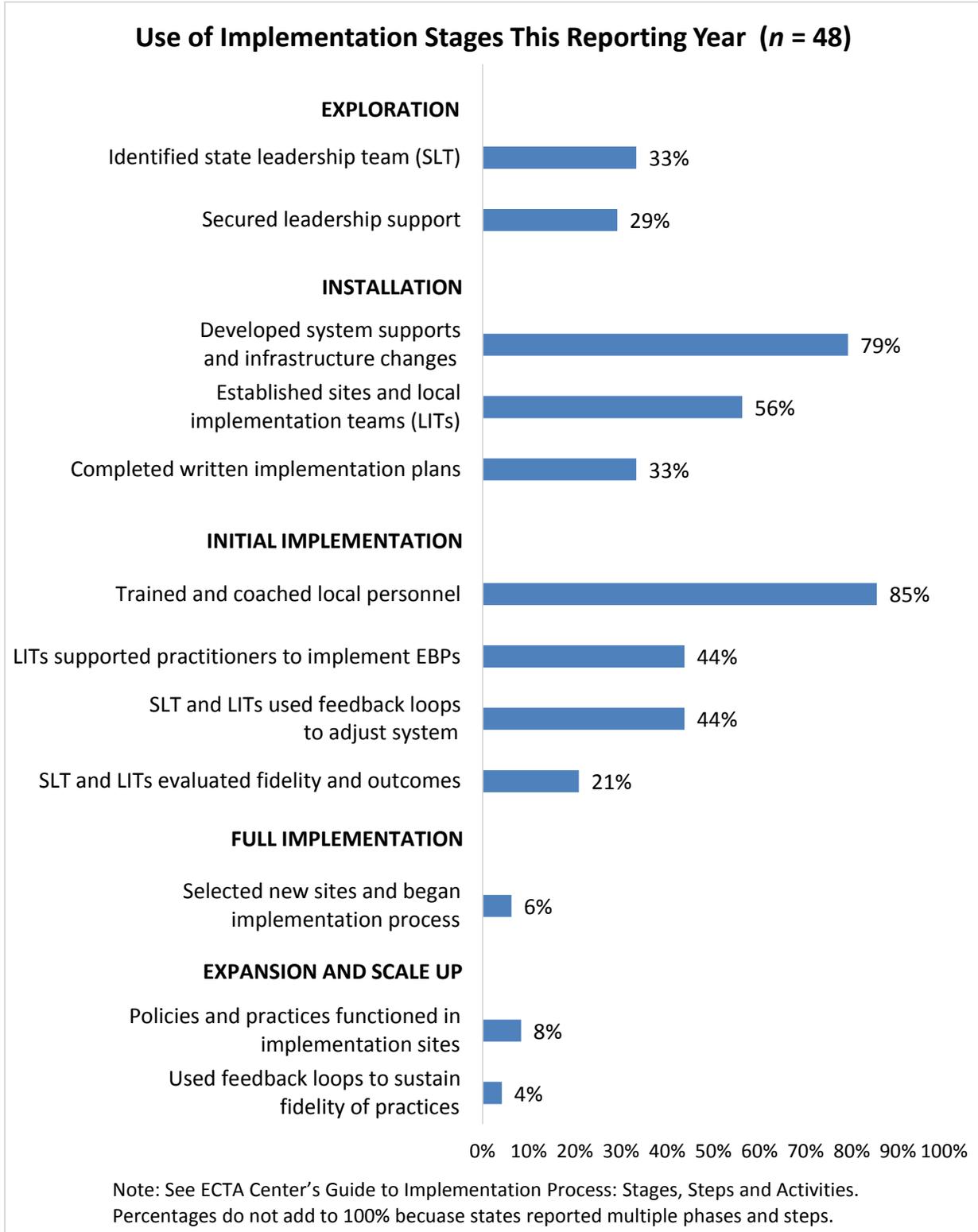
Forty-eight states (87%) reported activities reflective of the implementation stages (Figure 9). Some states reported activities in the exploration stage including 16 states that identified the state leadership team (33%) and 14 states (29%) that secured agency and cross-agency leadership support. More states reported activities in the installation

stage; 38 (79%) implemented infrastructure changes, 27 (56%) established implementation sites and teams, and 16 (33%) completed written implementation plans.

Most states reported activities and steps in the initial implementation stage. Forty-one states (85%) reported that they trained and coached local personnel, and 21 states (44%) reported that state leadership teams and local implementation teams used feedback loops to adjust system supports and that local implementation teams supported practitioners in implementing EBPs. Ten states (21%) reported that the state leadership team and local implementation team had evaluated fidelity of implementation and emerging outcomes.

Very few states reported activities in the full implementation and expansion and scale-up stages. Four states (8%) reported that policies and practices were functioning in implementation sites, and two states (4%) reported that they used feedback loops to sustain fidelity of practices and system functioning. Three states (6%) reported that they selected new sites and began implementation in those sites.

Figure 9

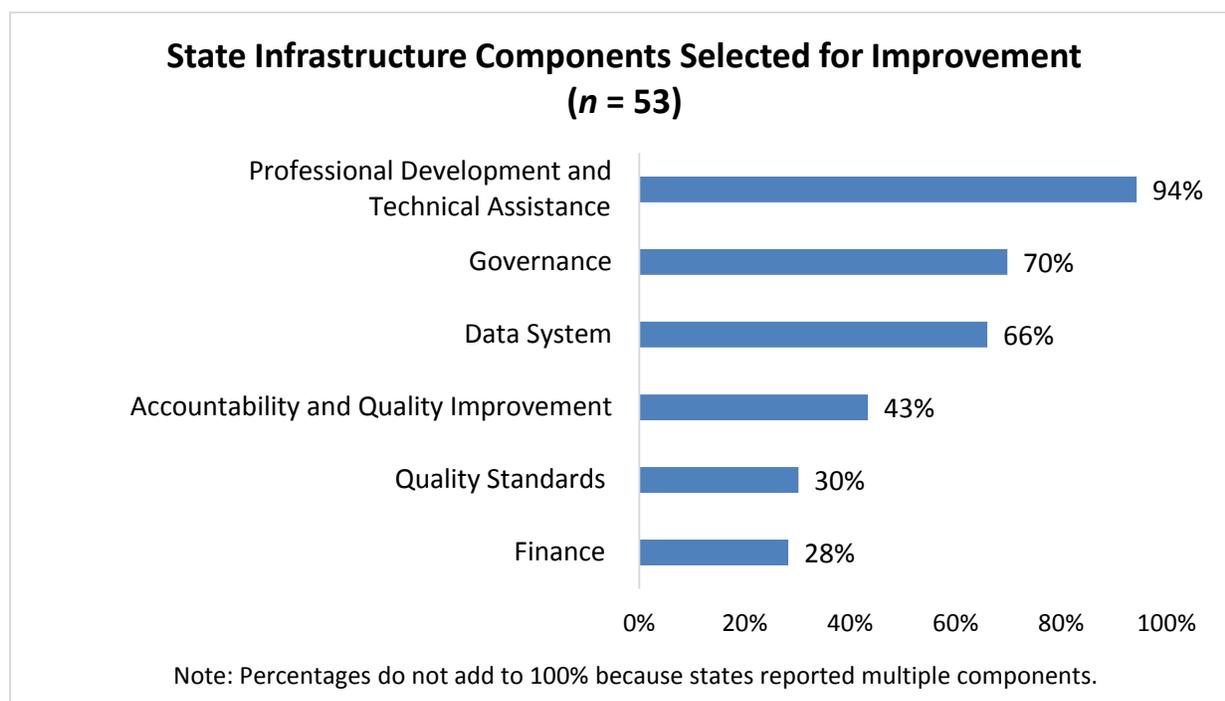


Progress Implementing Activities Related to Infrastructure Improvements

Fifty-three of the 55 states reported in Phase III that they implemented infrastructure improvement activities in the FFY 2015 reporting year. One state did not report implementing infrastructure improvement activities, and for one state reviewers could not tell from the information provided whether infrastructure activities were implemented.

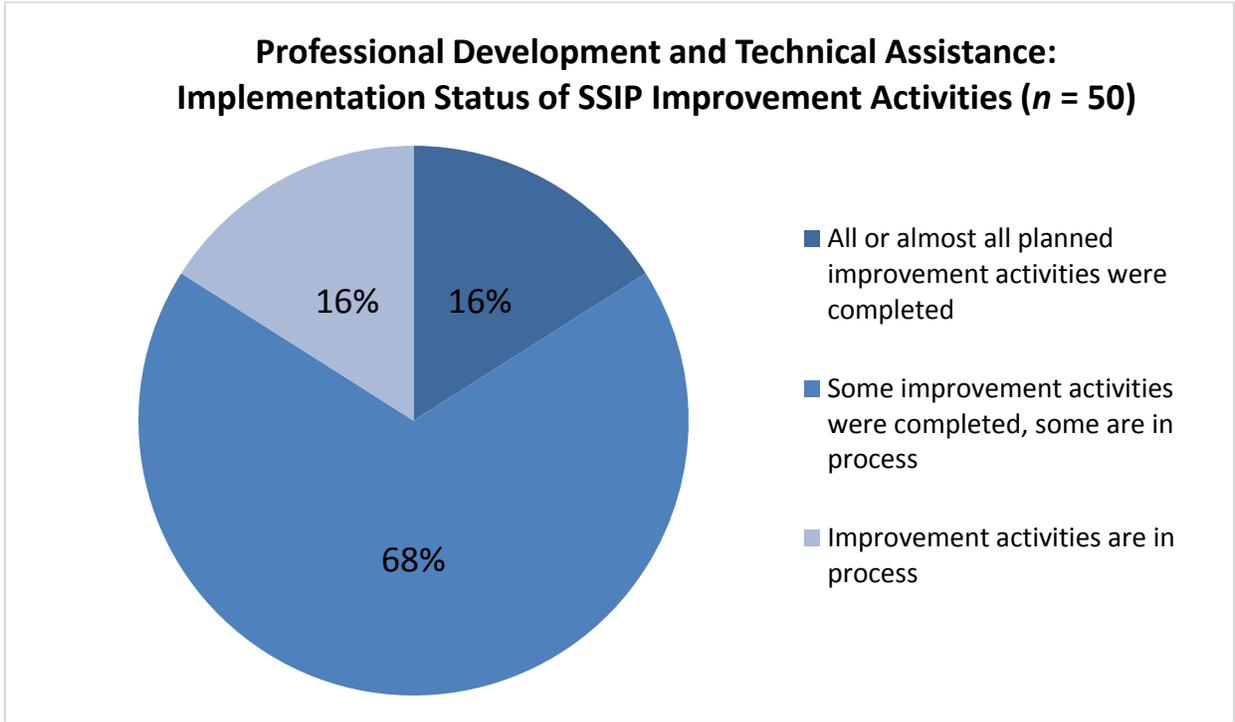
The components of state infrastructure selected for improvement varied across states (Figure 10). Most states (94%) improved the Professional Development and Technical Assistance, state or local Governance (70%), and Data System (66%) components of the infrastructure. To a lesser extent, infrastructure improvements focused on the Accountability and Quality Improvement (43%), Quality Standards (30%), and Finance (28%) components.

Figure 10



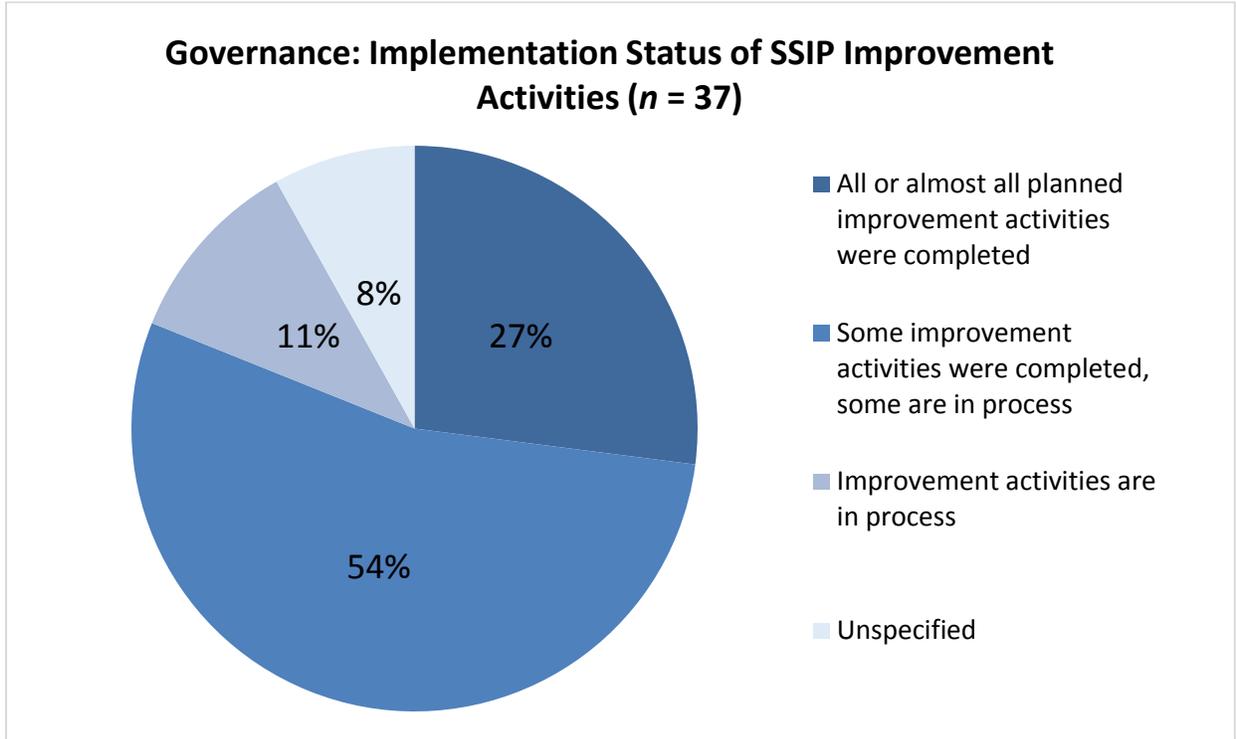
For the Professional Development and Technical Assistance component of the infrastructure, 50 states reported implementing activities (Figure 11). Eight states (16%) had fully implemented all or almost all planned improvement activities in FFY 2015. Thirty-four states (68%) had fully implemented some activities with others in process, and in eight states (16%) activities were all still in process.

Figure 11



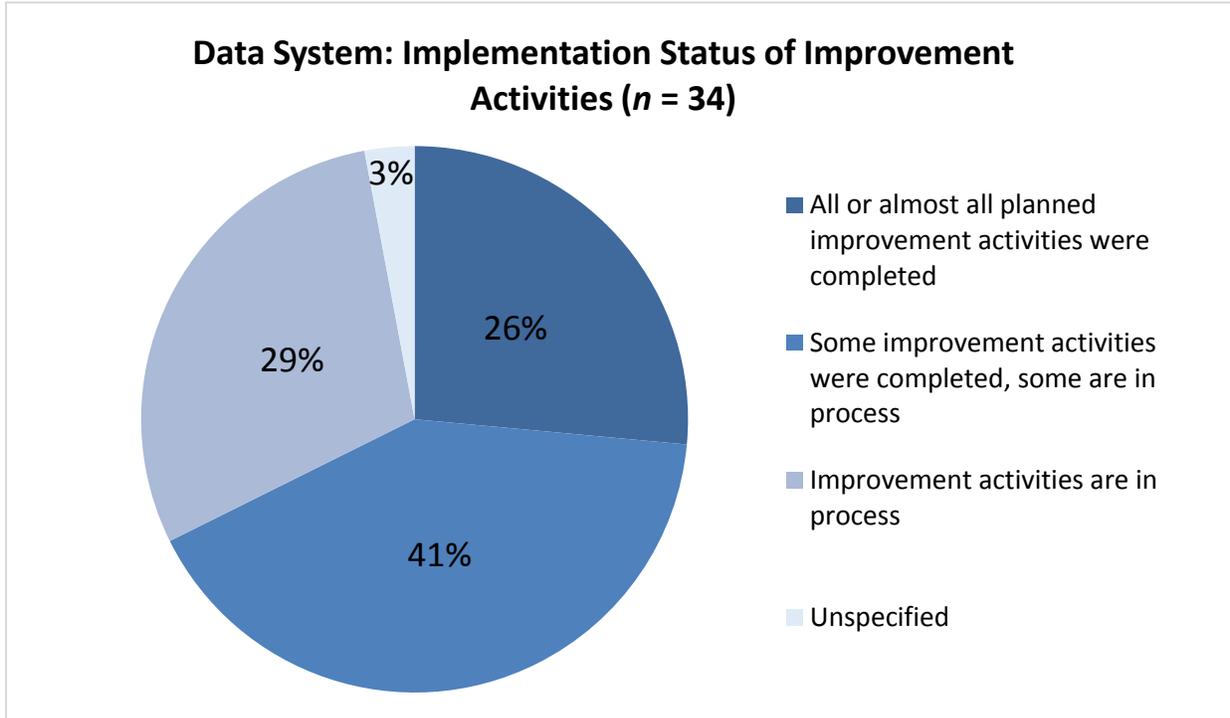
For the Governance component of the infrastructure, 37 states reported implementing activities (Figure 12). Ten states (27%) had completed all or almost all planned improvement activities in FFY 2015. Twenty states (54%) had completed some activities with others in process. In four states (11%), activities were all still in process. Reviewers could not determine the implementation status in three states (8%).

Figure 12



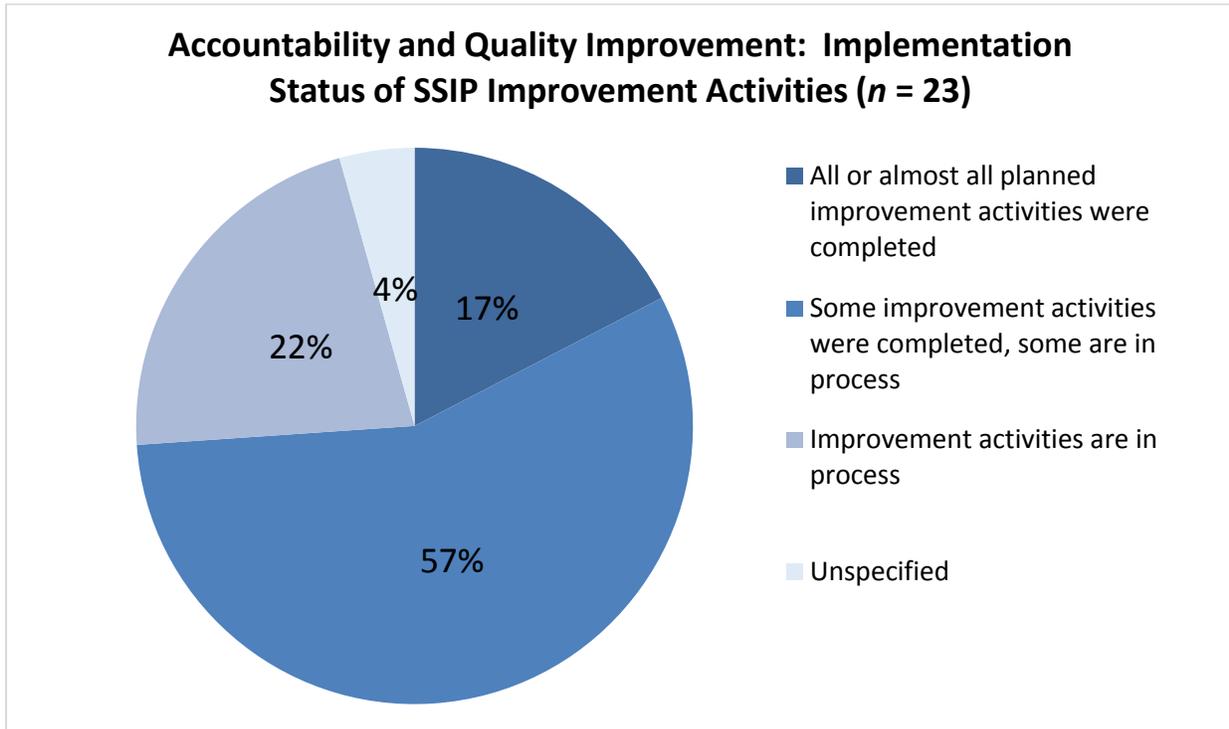
For the Data System component, 34 states reported implementing activities (Figure 13). Nine states (26%) had completed all or almost all planned improvement activities in FFY 2015. Fourteen states (41%) had completed some activities with others in process, and in ten states (29%) activities were all still in process. Reviewers could not determine the implementation status in one state.

Figure 13



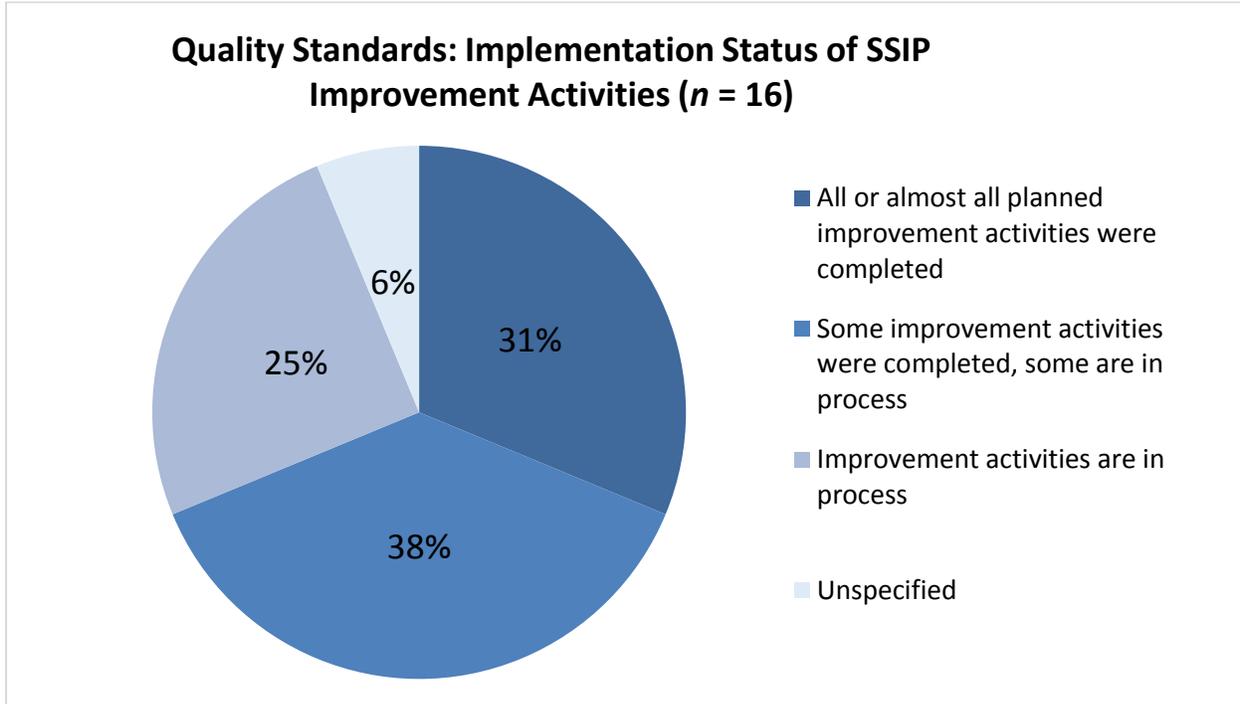
For the Accountability and Quality Improvement component of the infrastructure, 23 states reported implementing activities (Figure 14). Four states (17%) had completed all or almost all planned improvement activities in FFY 2015. Thirteen states (57%) had completed some activities with others in process, and in five states (22%) activities were all still in process. Reviewers could not determine the implementation status in one state.

Figure 14



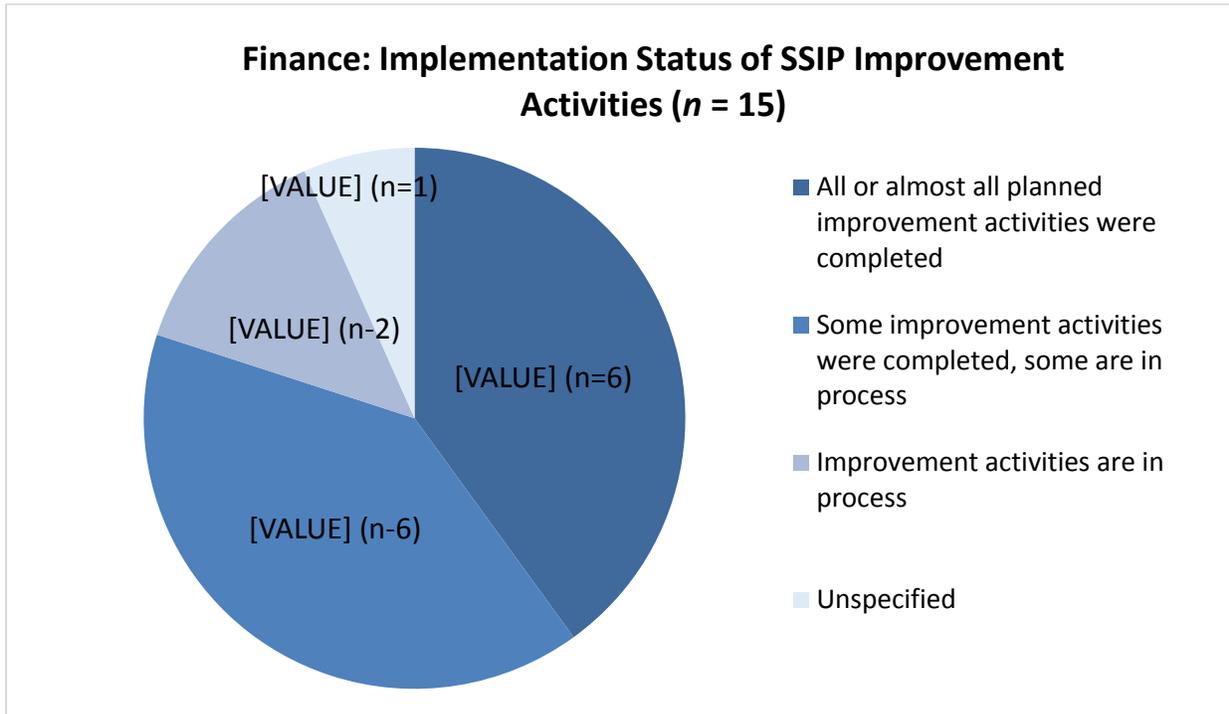
For the Quality Standards component of the infrastructure, 16 states reported implementing activities (Figure 15). Five states (31%) had completed all or almost all planned improvement activities in FFY 2015. Six states (38%) had completed some activities with others in process. In four states (25%), activities were all still in process. Reviewers could not determine the implementation status in one state.

Figure 15



For the Finance component of the infrastructure, 15 states reported implementing activities (Figure 16). Six states (40%) had completed all or almost all planned improvement activities in FFY 2015. Another six states (40%) had completed some activities with others in process. In two states (13%), activities were all still in process. Reviewers could not determine the implementation status in one state.

Figure 16

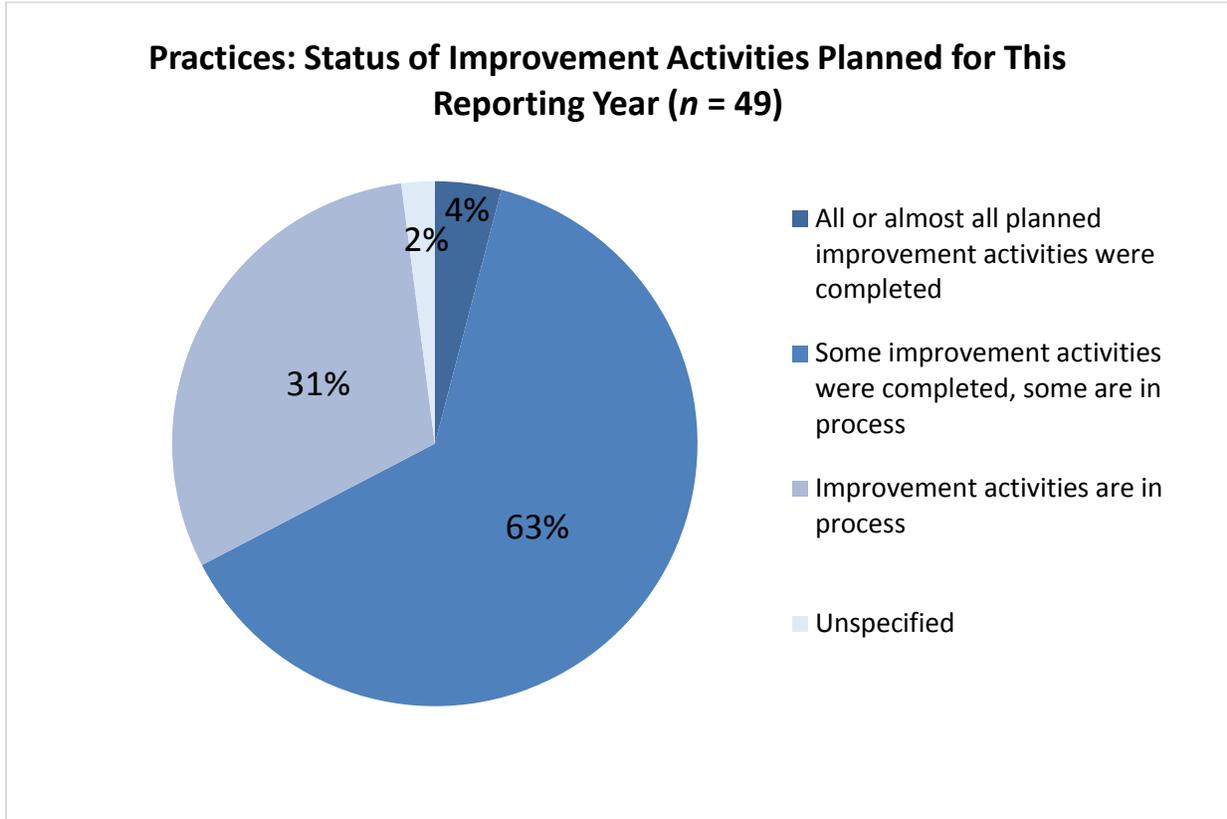


Progress Implementing Evidence-Based Practices

States were expected to report on SSIP activities that supported the implementation of EBPs. Because states were in various stages of implementation and evaluation of practices, the Phase III analysis identified work that states had completed as well as work they had planned for the upcoming year.

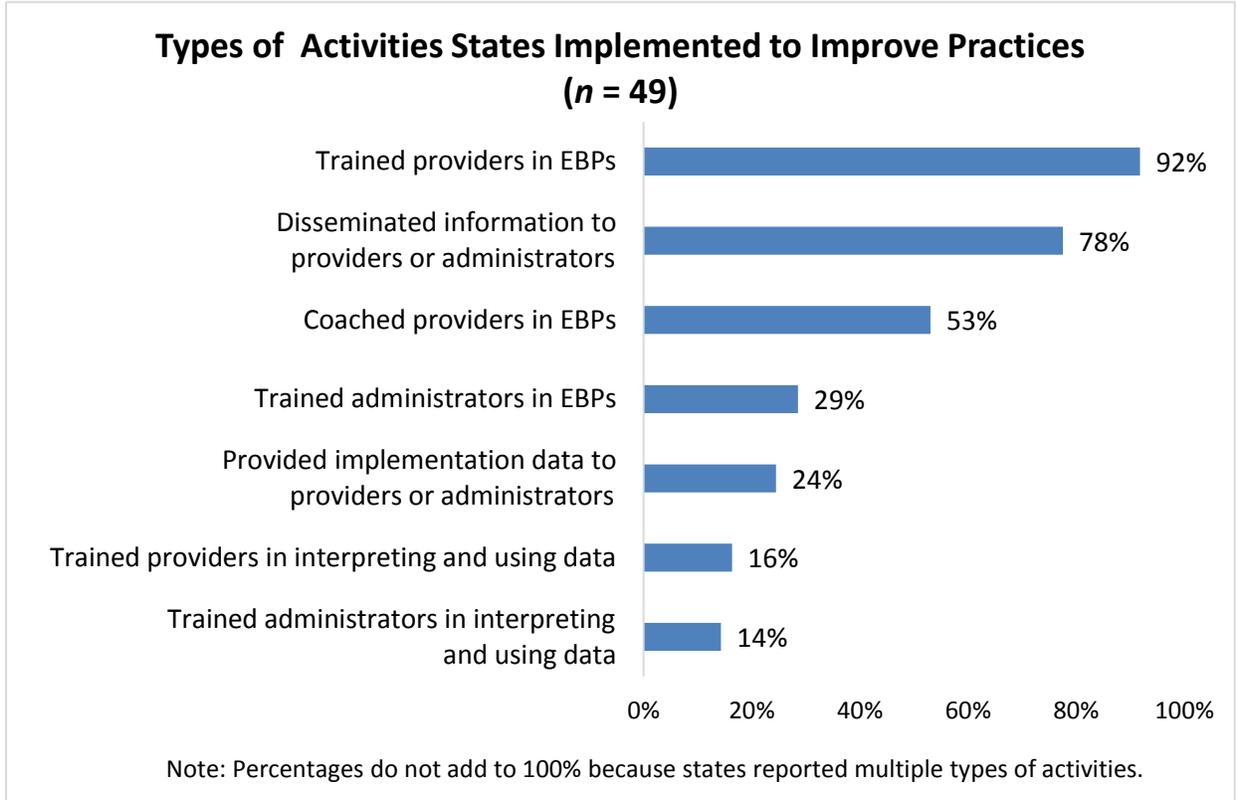
Forty-nine states (89%) reported implementing activities to improve practices (Figure 17). Two states (4%) had completed all or almost all planned improvement activities in FFY 2015. Thirty-one states (63%) had completed some activities with others in process. In 15 states (31%), activities were all still in process. Reviewers could not determine the implementation status in one state.

Figure 17



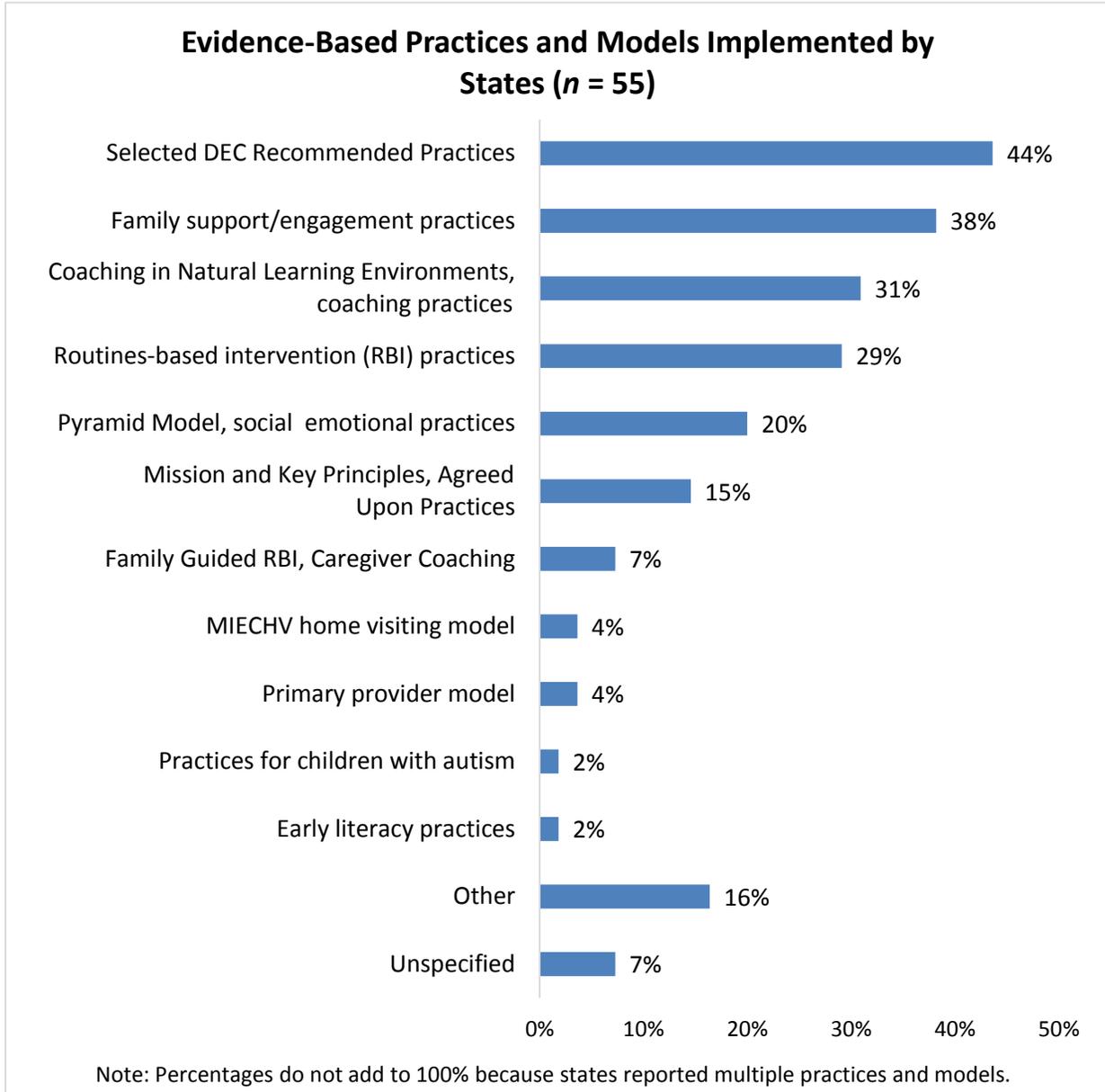
Several figures below provide detail on the types of activities to improve practices, the practices and models being used, and the specific evidence-based practices that states identified implementing. To improve practices (Figure 18), most states trained providers in EBPs (92%), disseminated information to providers or administrators (78%), and coached providers in implementing EBPs (53%). States also trained administrators in EBPs (29%), provided data to providers or administrators on fidelity of implementation (24%), and trained providers (16%) and administrators (14%) in interpreting and using data.

Figure 18



States also reported on the specific EBPs and models that they implemented (Figure 19). The most common selected were DEC Recommended Practices (44%), family support and engagement practices (38%), primary coach approach/coaching practices (31%) and routines-based intervention practices (29%). Less frequently identified EBPs and models were Pyramid Model/social-emotional practices (20%); Mission and Key Principles, Agreed Upon Practices (15%), Family Guided RBI/Caregiver Coaching (7%); MIECHV (Maternal, Infant, and Early Childhood Home Visiting Program) home visiting model (4%); primary provider model (4%); practices for children with autism (2%); and early literacy practices (2%). Nine states (16%) reported various other practices not shown in Figure 19, including specific early childhood curricula and frameworks such as Promoting First Relationships, Help Me Grow, Natural Learning Activities, and Collaborative Problem Solving.

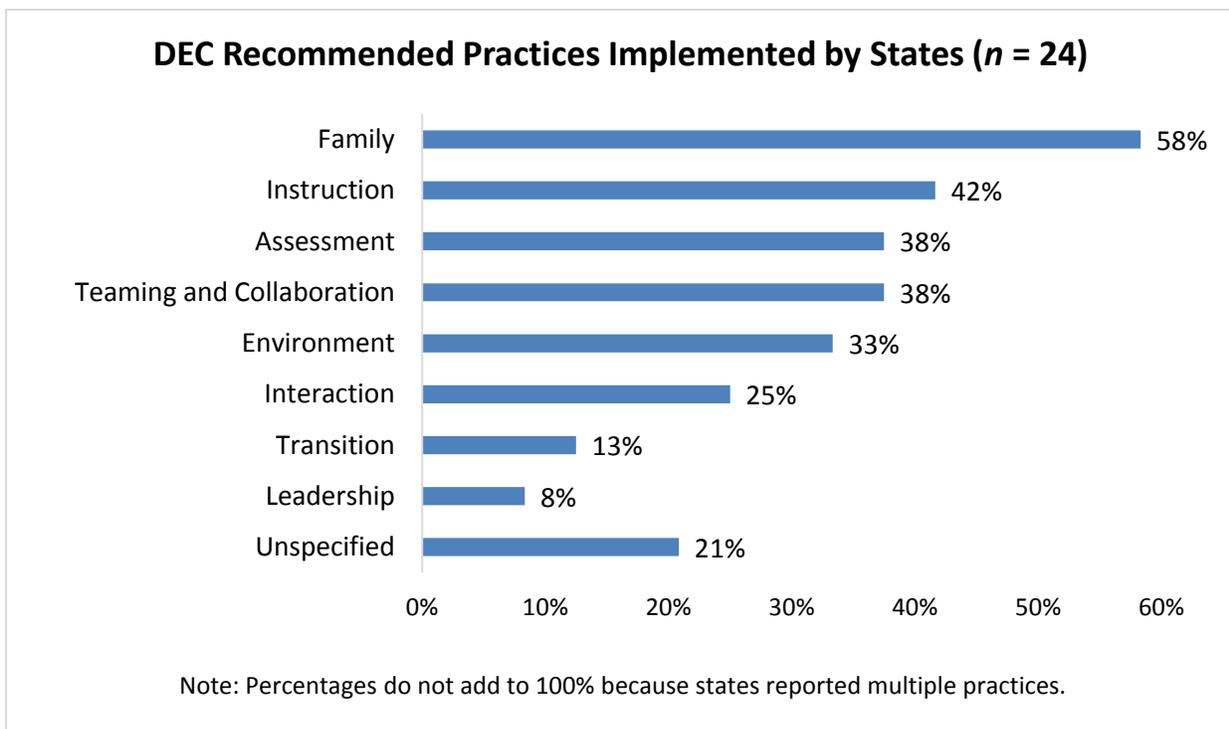
Figure 19



The DEC is “an international membership organization for those who work with or on behalf of young children with disabilities and other special needs and their families”. Its Recommended Practices were developed “to provide guidance to practitioners and families about the most effective ways to improve the learning outcomes and promote the development of young children, birth through age five, who have or are at-risk for developmental delays or disabilities.” The purpose is to “help bridge the gap between research and practice by highlighting those practices that have been shown to result in better outcomes for young children with disabilities, their families, and the personnel who serve them” (<http://www.dec-spед.org/dec-recommended-practices>).

The DEC Recommended Practices are organized in eight topic areas, and SSIP Phase III reviewers categorized states' implementation into those areas for those states that reported implementing them (24 states). The most implemented practices were related to the following topic areas: Family (58% of states reported implementing), Instruction (42%), Assessment (38%), Teaming and Collaboration (38%), and Environment (33%). Interaction practices (25%), Transition practices (13%) and Leadership practices (8%) were less frequently identified as being used by states.

Figure 20

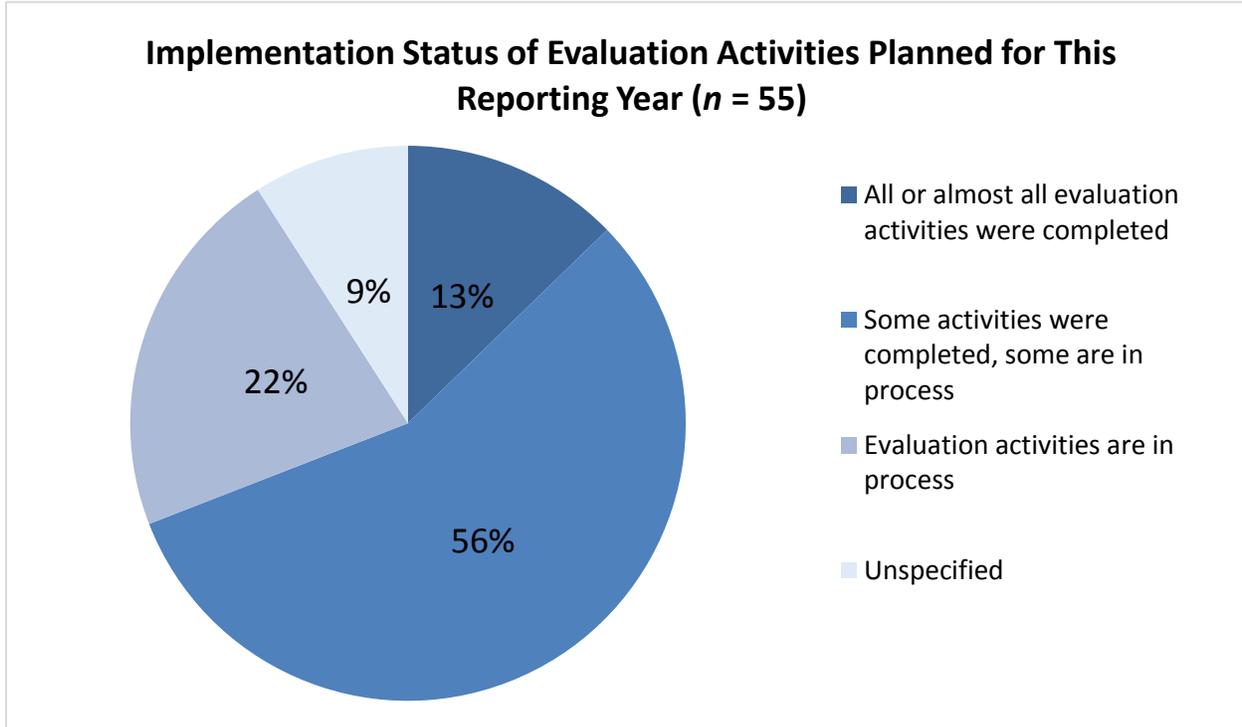


Progress Implementing Evaluation Activities

In Phase III, states reported for the first time on their implementation of evaluation activities to measure progress on their improvement activities and achievement of intended outcomes including the SIMR. Additional information on the data collected through the evaluation activities is reported under “Data on Implementation and Outcomes.”

Fifty-five states reported implementing activities in their evaluation plans (Figure 21). Seven states (13%) completed all or almost all planned evaluation activities in FFY 2015. Thirty-one states (56%) completed some activities with others in process. In 12 states (22%), activities were all still in process. Reviewers could not determine the evaluation activity status in five states (9%).

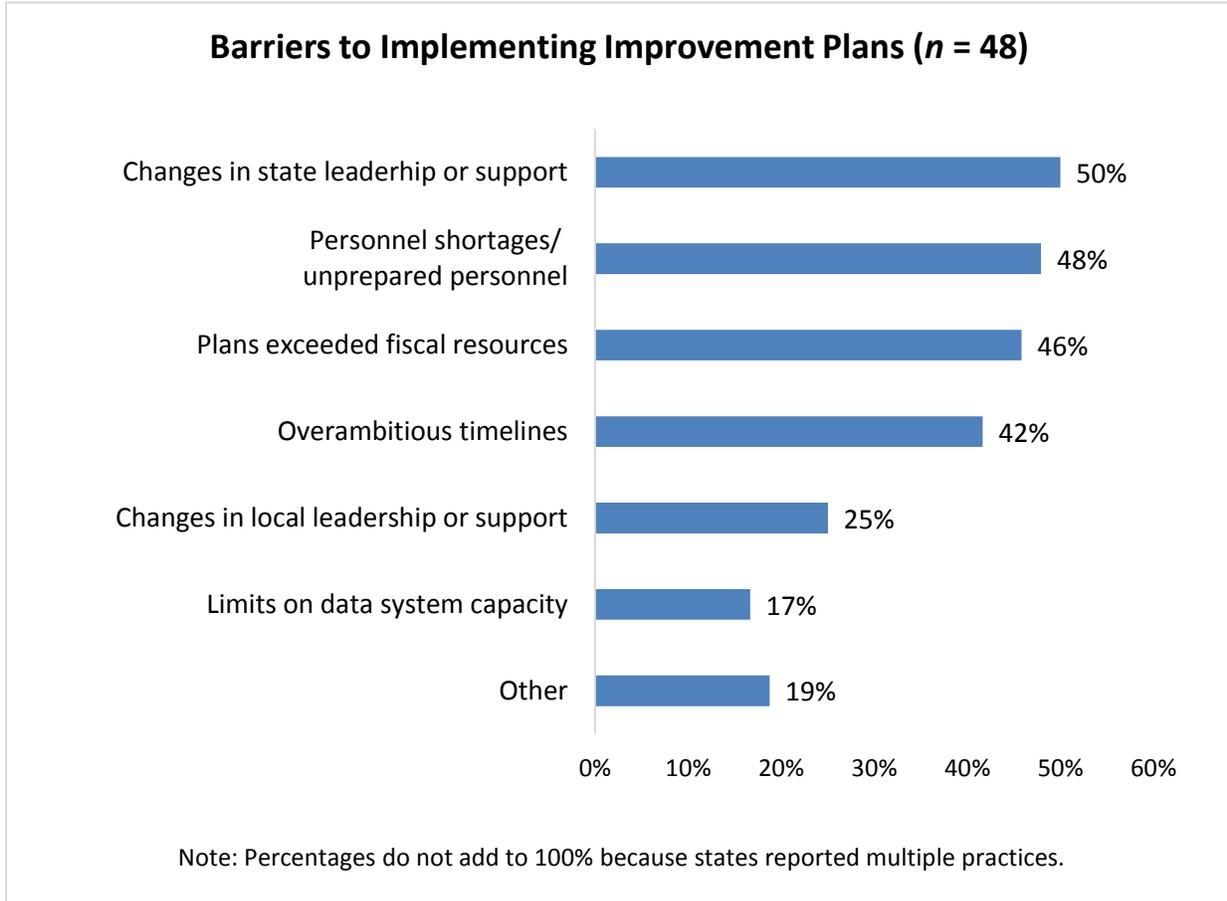
Figure 21



Barriers to Implementation

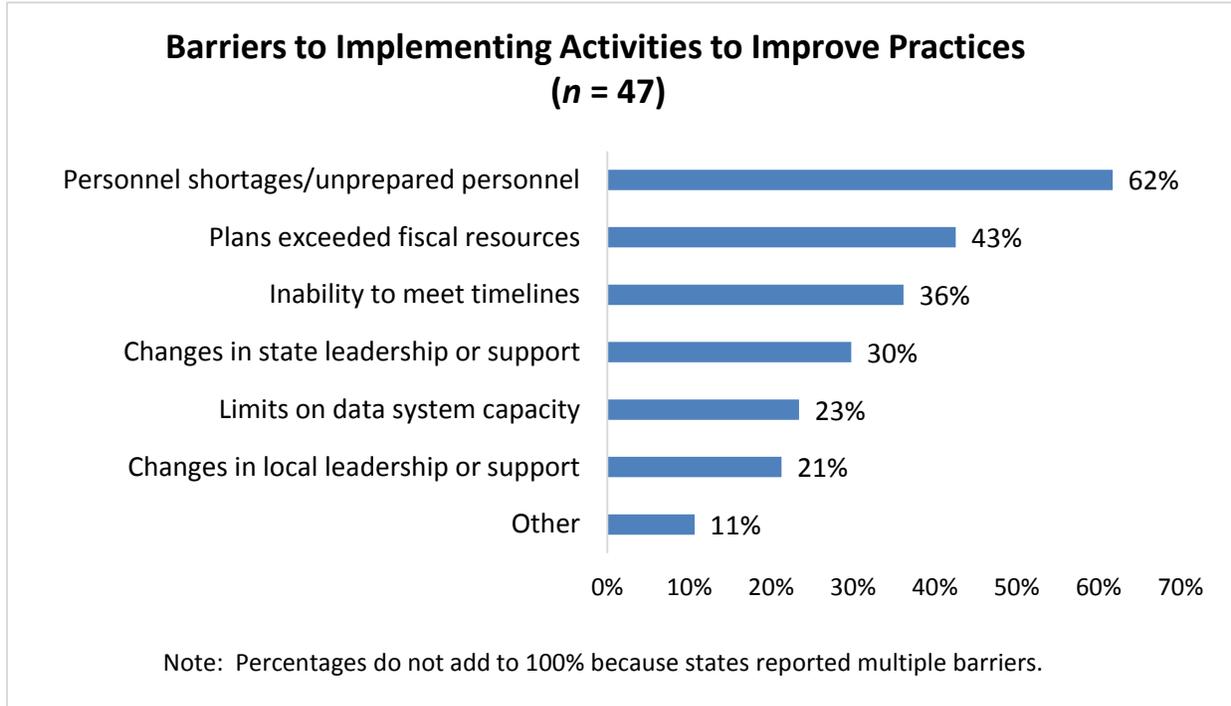
In FFY 2015, 48 states (87%) reported barriers to implementing their improvement plans (Figure 22). The most common barriers were changes in state leadership or support (50%), personnel shortages or unprepared personnel (48%), plans that exceeded fiscal resources (46%), and overambitious timelines that the state was unable to meet (42%). Additional barriers reported include changes in leadership or support at the local level (25%) and limits on data system capacity (17%). Several states reported other (19%) barriers, including individual state contextual barriers (such as geographic or cultural barriers) and the need for reorganization or coordination of activities, which may have been due to one of the other barriers.

Figure 22



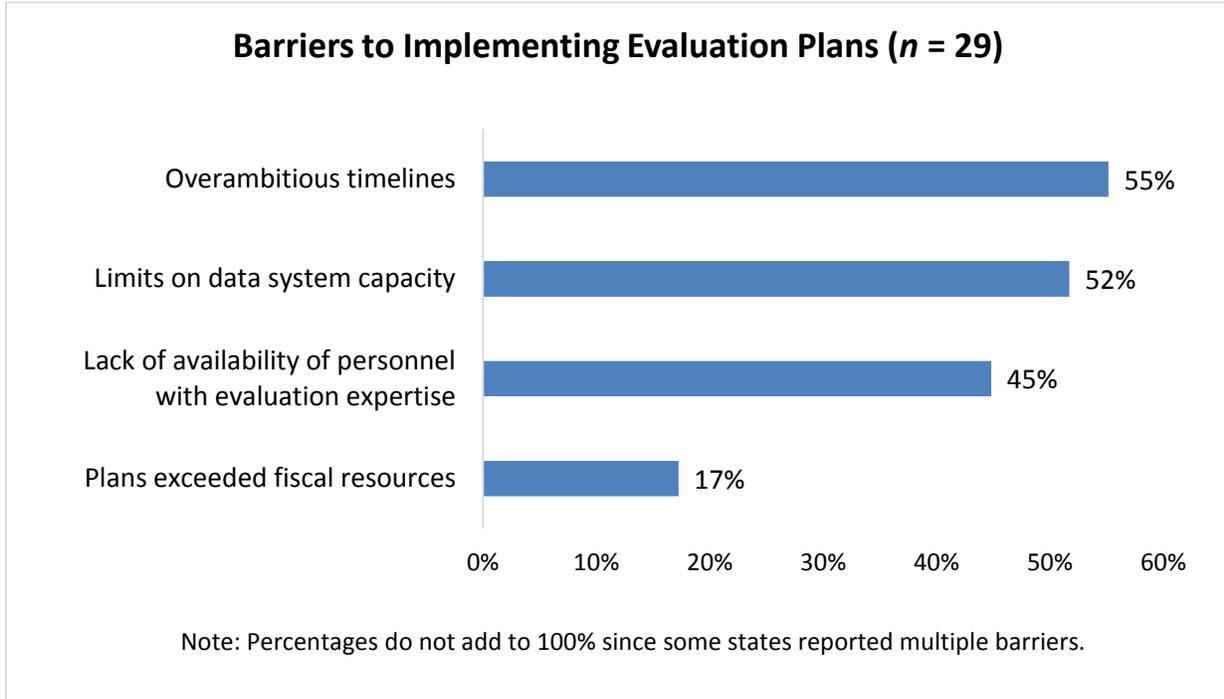
Forty-seven states reported on barriers to implementing activities to improve practices (Figure 23). The most common barriers were personnel shortages or unprepared personnel (62%), lack of fiscal resources to implement plans (43%), and overambitious timelines that the state was unable to meet (36%). Additional barriers reported included changes in state leadership or support (30%), limits on data system capacity (23%), and changes in leadership or support at the local level (21%). Other reasons (11%) primarily included individual state contextual barriers (such as geographic or cultural barriers).

Figure 23



States also reported barriers to implementing evaluation plans. Twenty-nine states (53%) reported barriers (Figure 24). The barriers were very similar to the barriers to implementing practice improvement plans, including overambitious timelines (55%), limits on data system capacity (52%), lack of personnel with evaluation expertise (45%), and plans that exceeded available fiscal resources (17%).

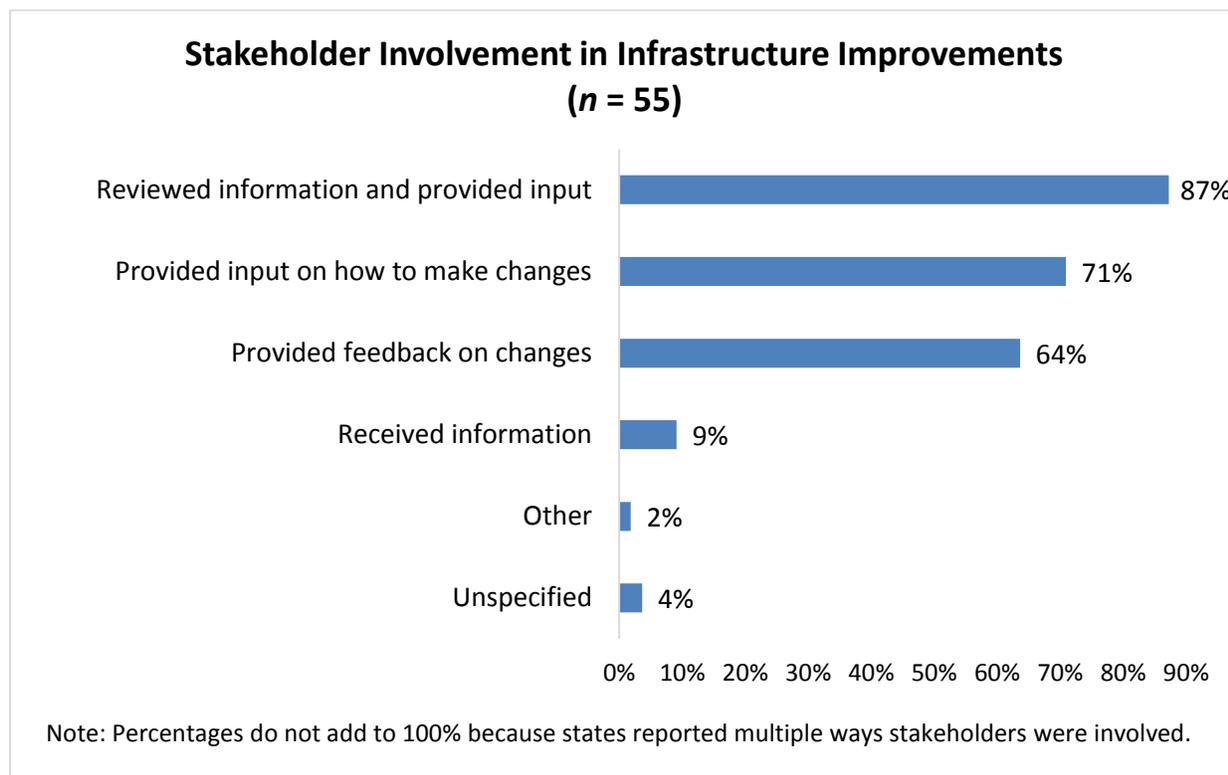
Figure 24



Stakeholder Engagement and Decision-Making in Implementation Activities

Regarding stakeholder engagement and decision-making in implementation of activities to improve the infrastructure, 48 states (87%) reported that stakeholders reviewed information and provided input on changes (Figure 25). Thirty-nine states (71%) reported that stakeholders provided input on how to make changes, and 35 states (64%) reported that stakeholders provided feedback on changes the state proposed. Five states (9%) reported that stakeholders reviewed information but otherwise did not identify how stakeholders were involved in decision-making. One state reported other ways of involving stakeholders, and two states did not provide details on how stakeholders were involved.

Figure 25



DATA ON IMPLEMENTATION AND OUTCOMES

States were required to report data that reflected whether or not they achieved the intended outputs and outcomes for FFY 2015 as related to the infrastructure and practices. States were also required to report on how stakeholders were engaged in reviewing this evaluation data and their involvement in decision-making.

Data on Progress in Infrastructure Improvements

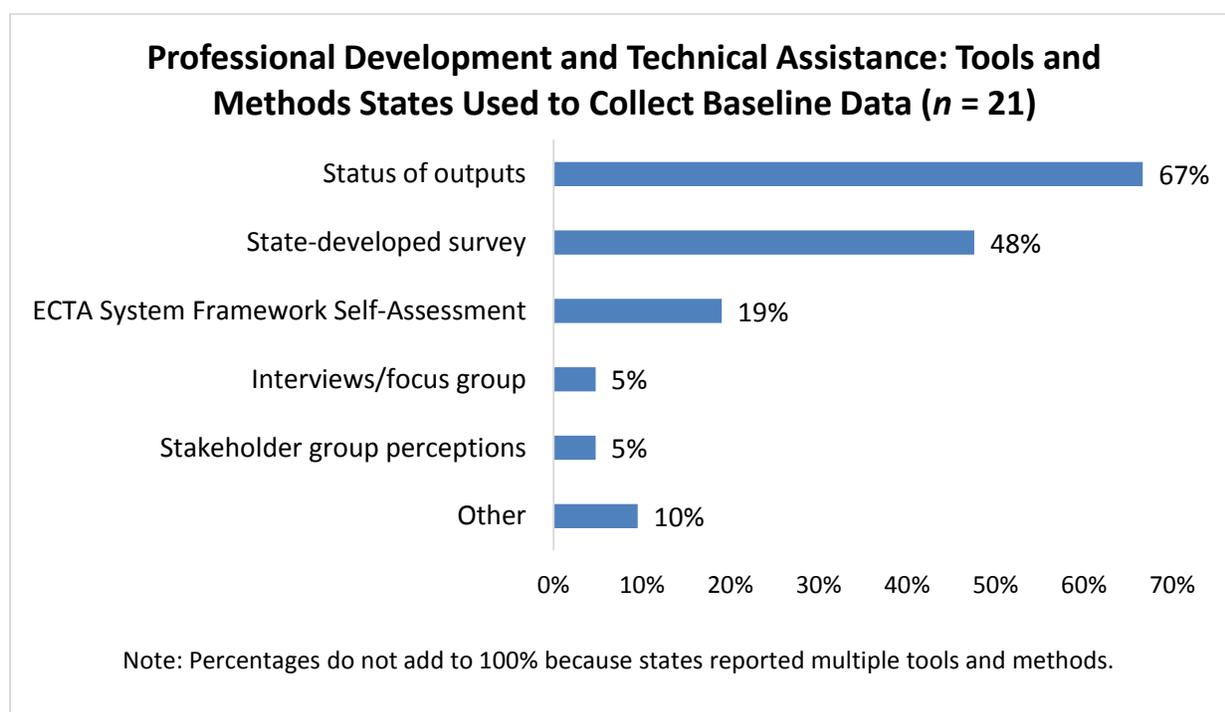
Fifty-three of 55 states (96%) reported implementing infrastructure improvement activities in the FFY 2015 reporting year. Reviewers categorized state-reported progress in six infrastructure components, and the percentage of states reporting progress on each component was as follows:

- Professional Development and Technical Assistance – 94%.
- Governance – 70%.
- Data System – 66%.
- Accountability and Quality Improvement– 43%.
- Quality Standards – 30%.
- Finance – 28%.

Professional Development and Technical Assistance

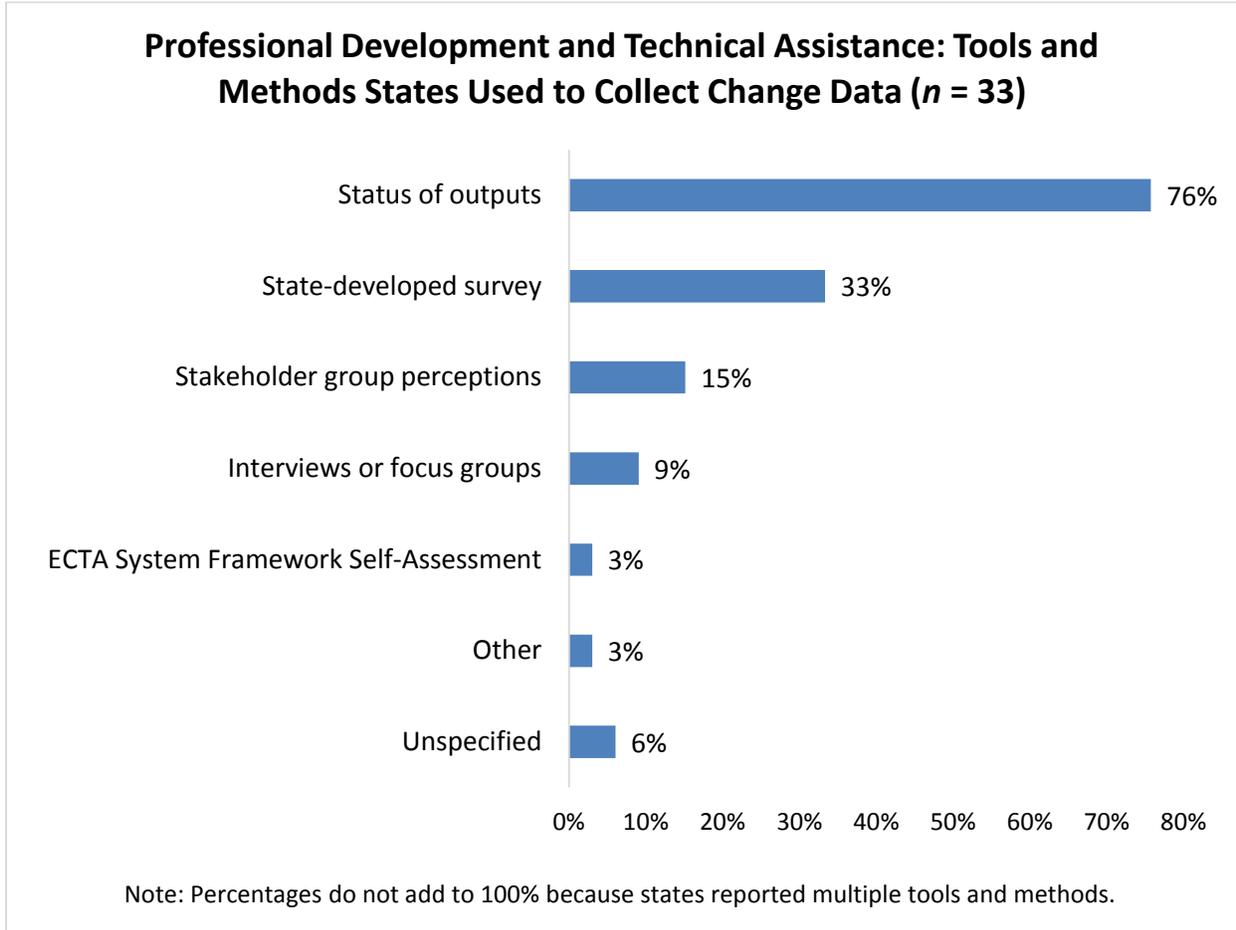
- Fifty of the 53 states (94%) reported implementing improvement activities related to professional development and technical assistance infrastructure improvements.
- Twenty-one of 50 states (42%) reported collecting pre-implementation baseline data to document the beginning status of the Professional Development and Technical Assistance component (Figure 26). Of the variety of tools and methods available to collect baseline data, most states used the status of outputs (67%), state-developed surveys (48%), and the ECTA System Framework Self-Assessment (19%).

Figure 26



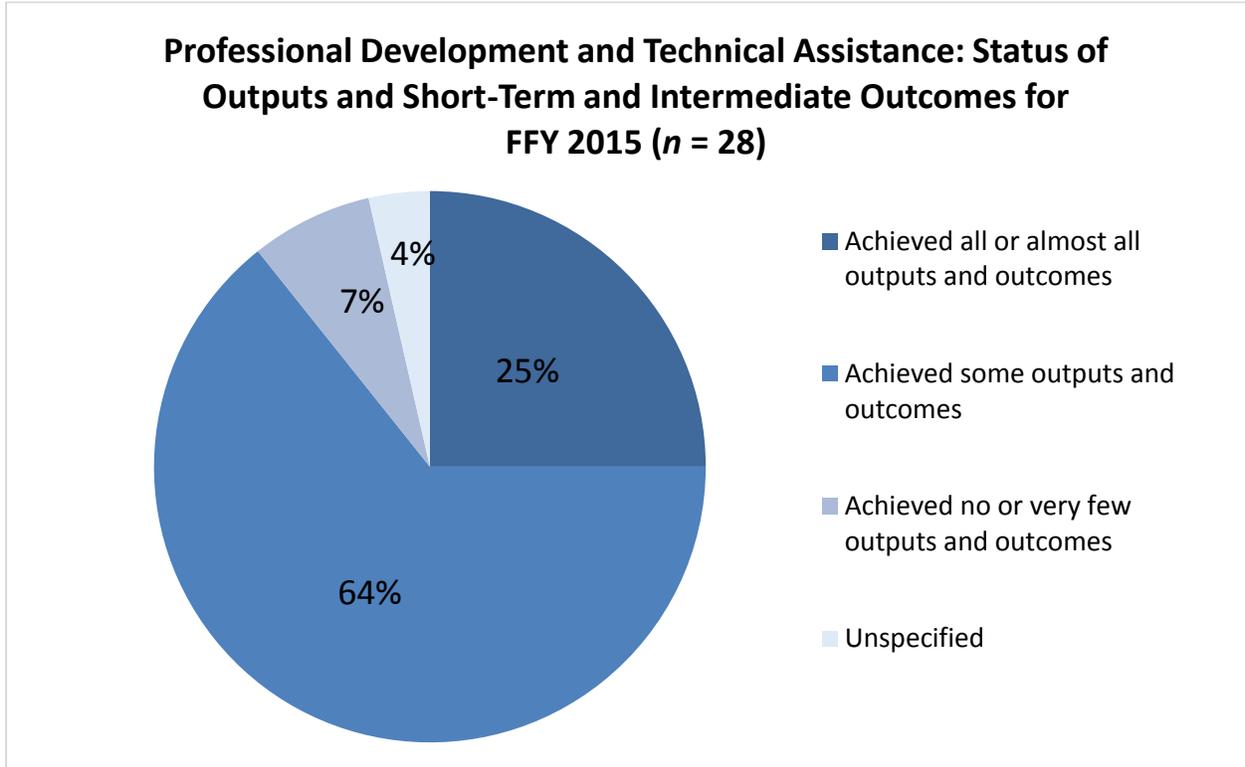
- Thirty-three of 50 states (66%) reported collecting data to obtain evidence on whether the Professional Development and Technical Assistance component was changing or had changed (Figure 27). To collect evidence of change, most states used the status of outputs (76%), state-developed surveys (33%), and stakeholder group perceptions as documented in stakeholder meeting minutes or notes from a stakeholder group process activity (15%). Only two states (9%) reported using interviews or focus groups, and one state reported using the ECTA System Framework Self-Assessment to measure professional development and technical assistance improvements.

Figure 27



- Twenty-eight of the 33 states (85%) provided evidence of progress during the reporting year on the Professional Development and Technical Assessment infrastructure component (Figure 28). Seven states (25%) achieved all or almost all of the planned outputs and outcomes for the FFY 2015 reporting year, and 18 states (64%) achieved some of the planned outputs and outcomes. Two states (7%) achieved none or few of the planned outputs and outcomes related to professional development and technical assistance.

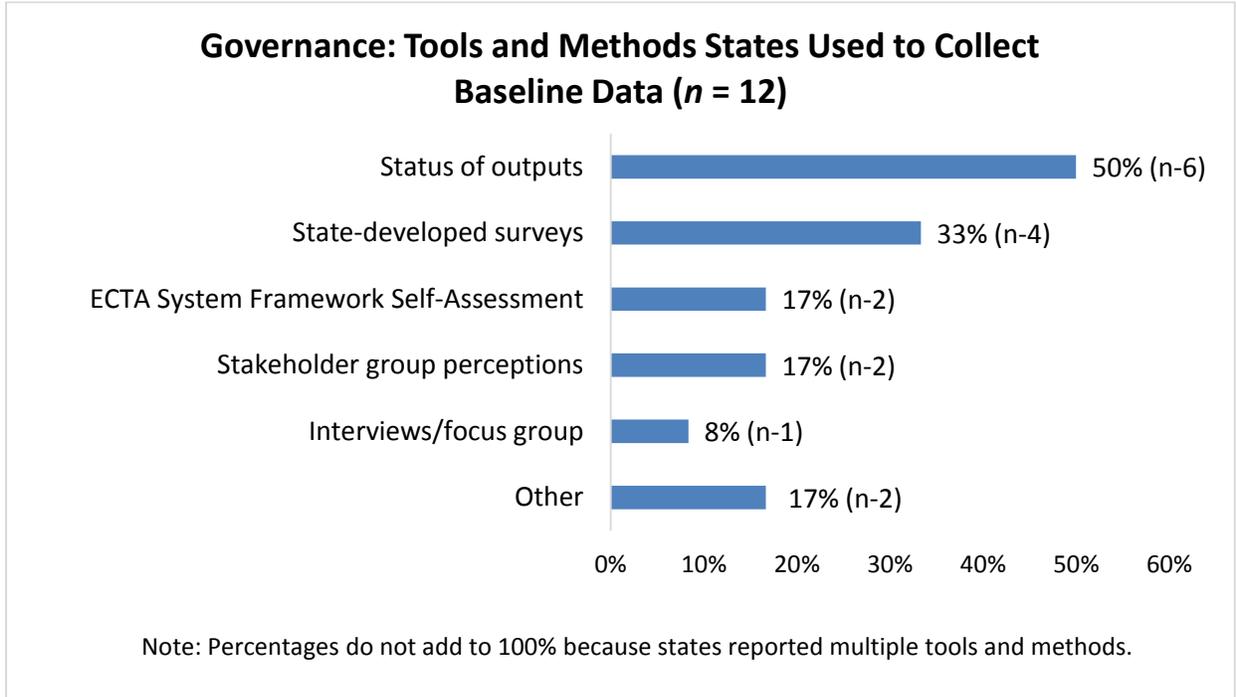
Figure 28



Governance

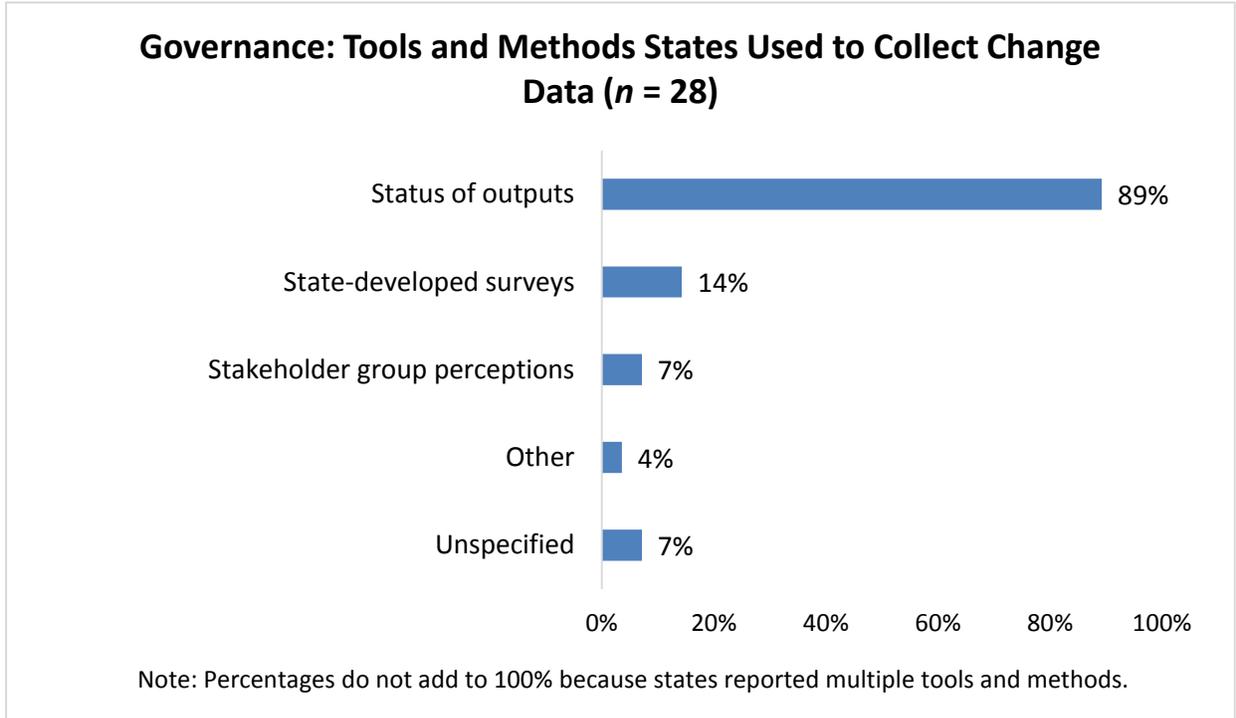
- Thirty-seven of the 53 states (70%) reported implementing improvement strategies related to governance.
- Twelve of 37 states (32%) reported collecting baseline data to document the beginning status of the state or local Governance area of the infrastructure (Figure 29). Of the variety of tools and methods available to collect baseline data, most states used the status of outputs (50%), state-developed surveys (33%), the ECTA System Framework Self-Assessment (17%), and stakeholder group perceptions (17%). One state used interviews/focus groups to evaluate its governance improvements.

Figure 29



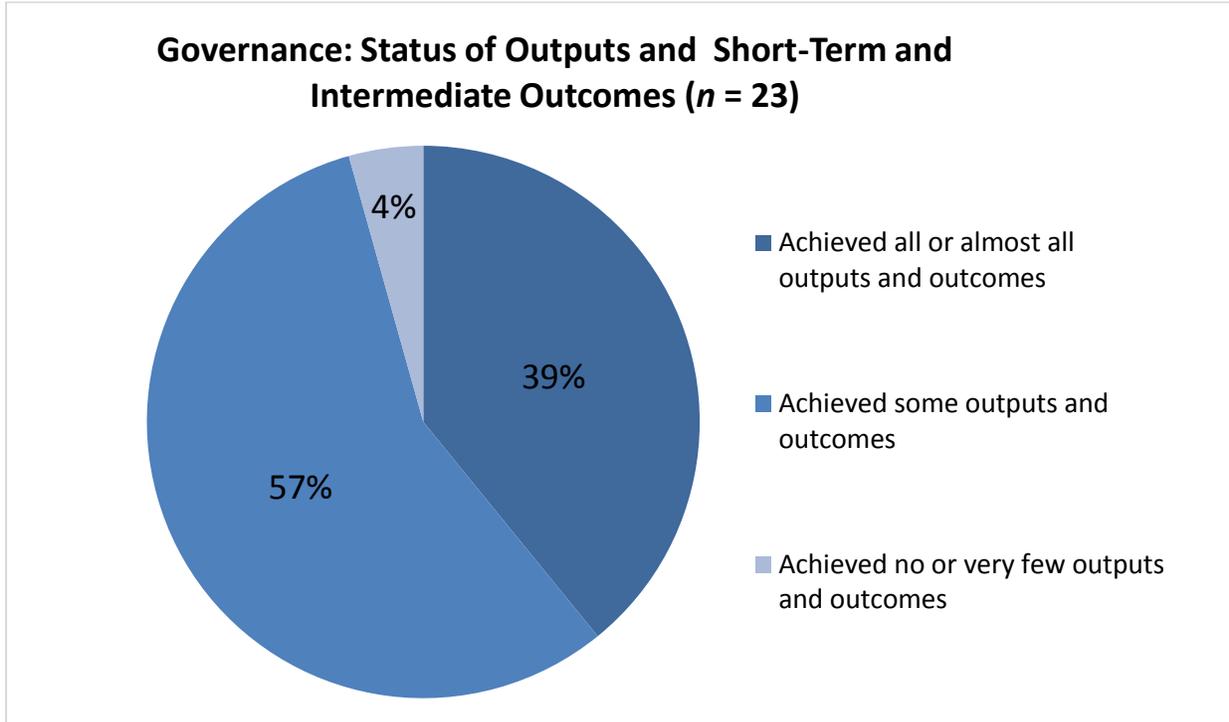
- Twenty-eight of the 37 states (77%) collected data to provide evidence on whether the Governance area of the infrastructure was changing or had changed (Figure 30). To collect evidence of change, most of these states (89%) reported on accomplished outputs. Fewer states reported using state-developed surveys (14%) and stakeholder group perceptions (7%) to measure improvements in governance. One state (4%) reported that it used extant referral, caseload, and evaluation data from a regular state and local data collection.

Figure 30



- Twenty-three of 28 states (82%) provided evidence of progress during the reporting year on governance (Figure 31). Nine states of these states (39%) achieved all or almost all of the planned outputs and outcomes for the FFY 2015 reporting year, and 13 states (57%) achieved some of the planned outputs and outcomes.

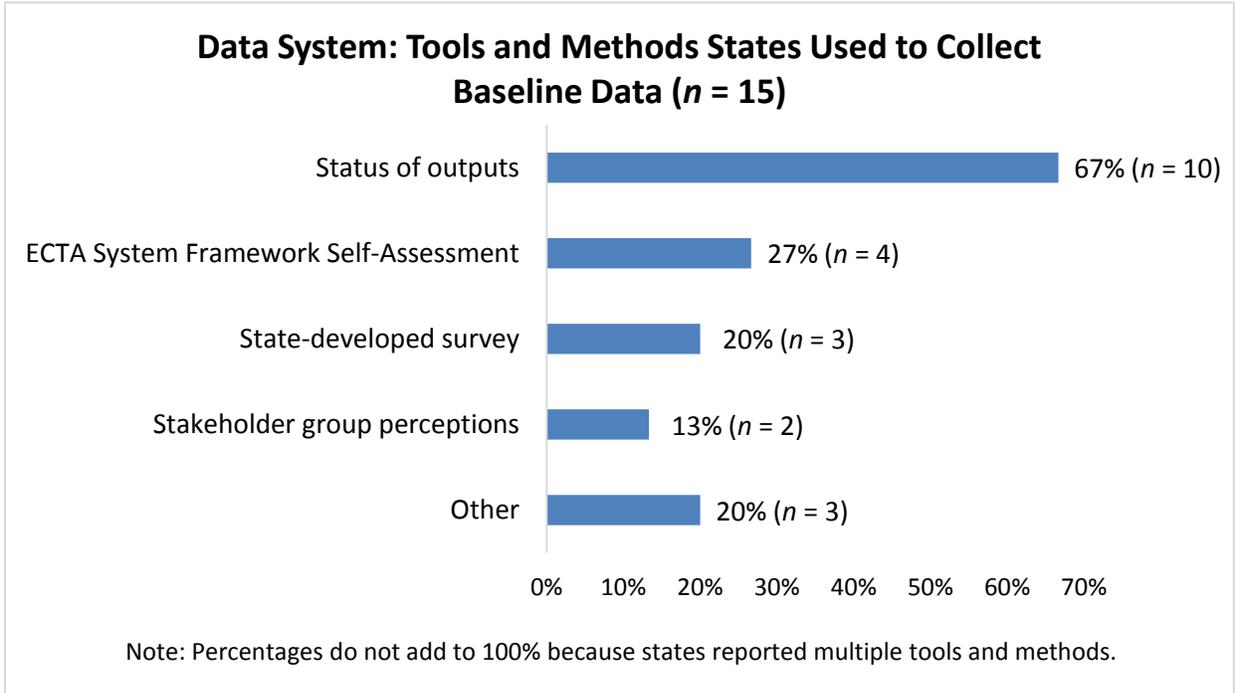
Figure 31



Data System

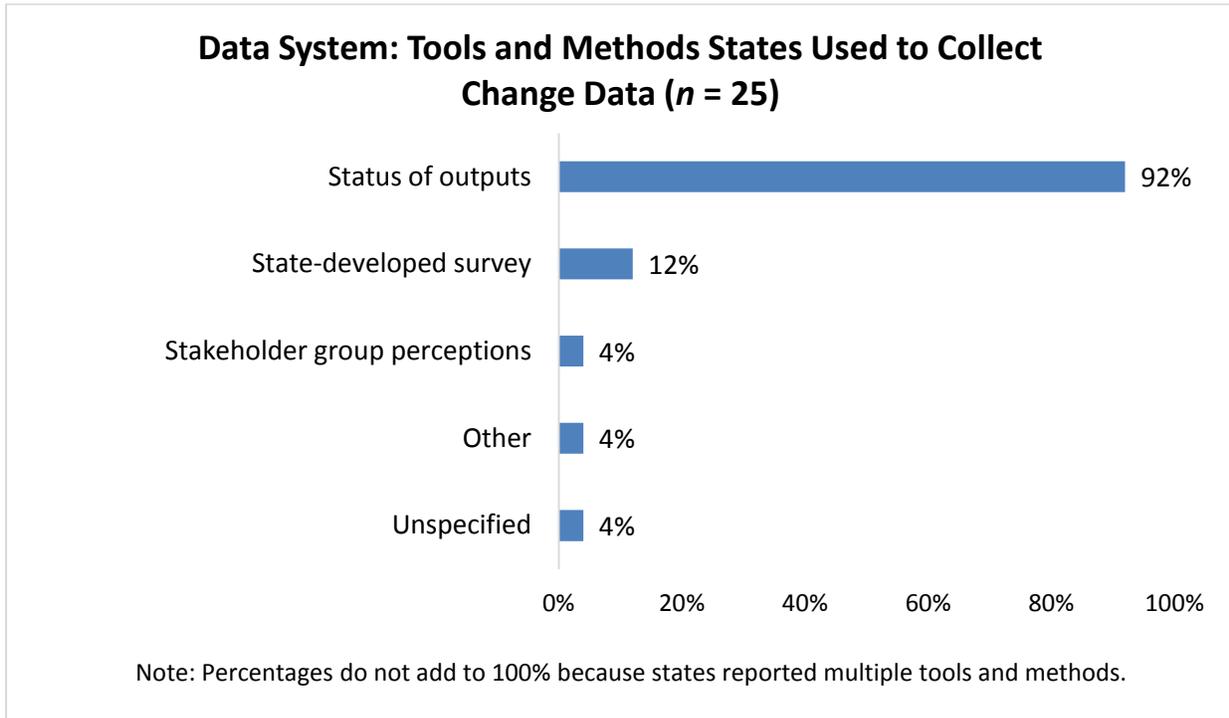
- Thirty-five of the 53 states (66%) reported implementing improvement strategies related to the Data System infrastructure component.
- Fifteen of 35 states (43%) reported collecting baseline data to document the beginning status of the Data System component (Figure 32). Of the tools and methods available to collect baseline data, most states used the status of outputs (67%), the ECTA System Framework Self-Assessment (27%), state-developed surveys (20%), and stakeholder group perceptions (13%). Three states (20%) reported that they used other data collection tools and methods, including child outcome “completeness” data, the BDI-2 Fidelity Checklist, the Child Outcomes Measurement System Framework, and the ENHANCE survey.

Figure 32



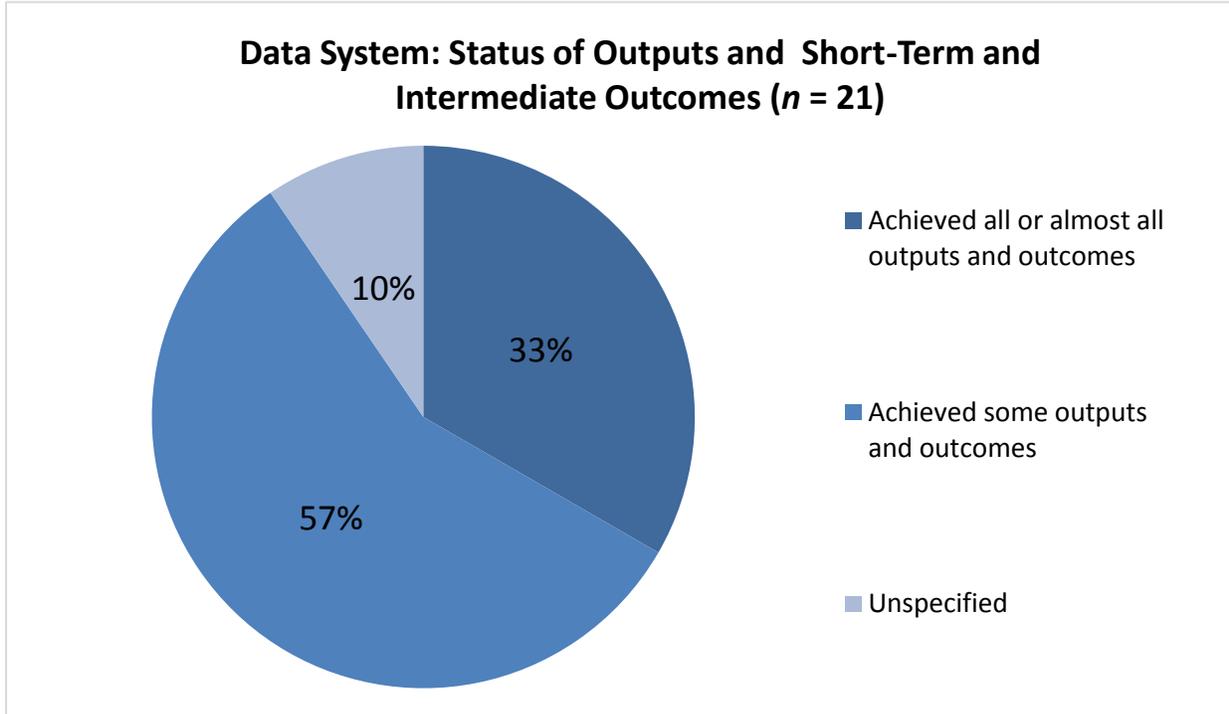
- Twenty-five of the 35 states (71%) collected data to provide evidence on whether the Data System component of the infrastructure was changing or had changed (Figure 33). To collect evidence of change, 23 states (92%) used the status of outputs, three states used state-developed surveys (12%), and one state used stakeholder group perceptions. One state used other extant data from the child outcomes data collection for the APR.

Figure 33



- Twenty-one of the 25 states (84%) provided evidence of progress during the reporting year on the data system (Figure 34). Seven of these states (33%) achieved all or almost all of the planned outputs and outcomes for the FFY 2015 reporting year, and 12 states (57%) achieved some of the planned outputs and outcomes.

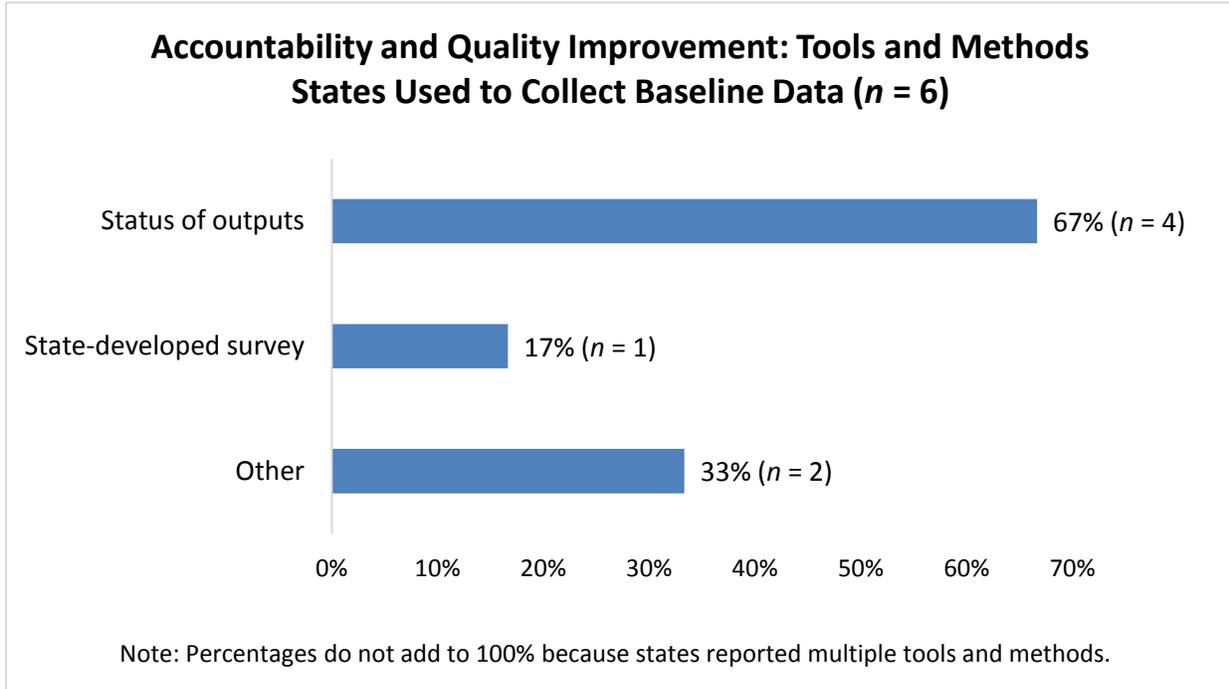
Figure 34



Accountability and Quality Improvement.

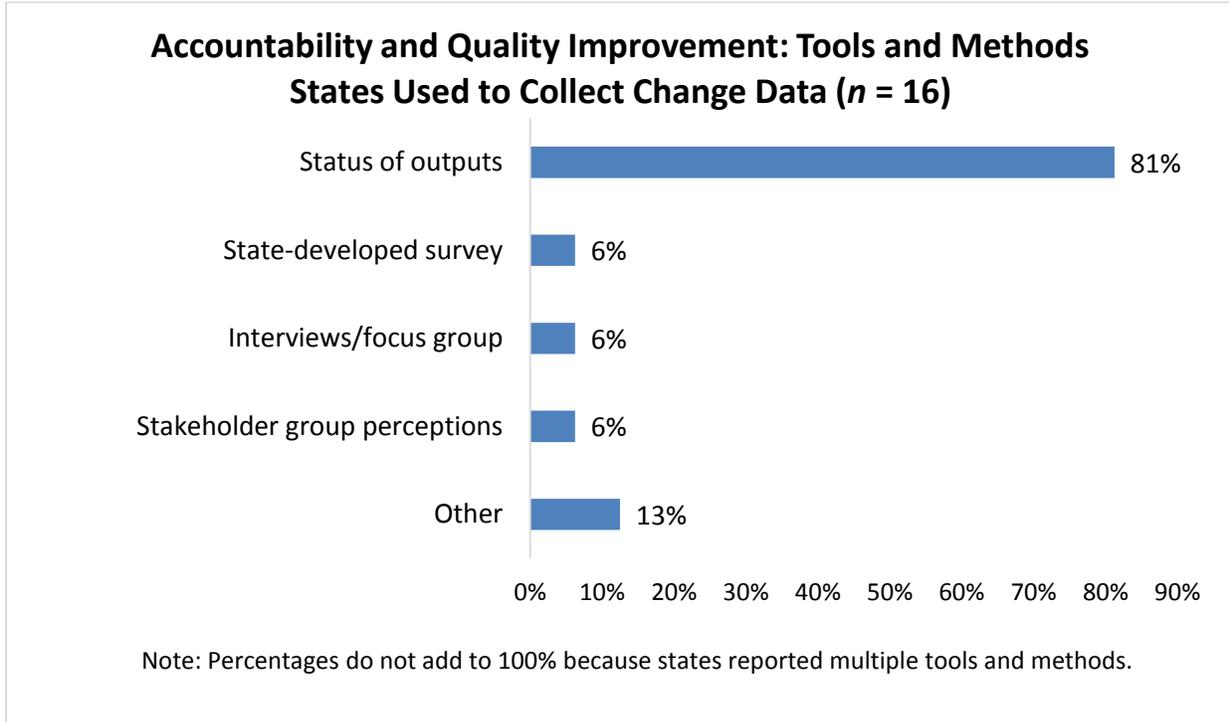
- Twenty-three of the 53 states (43%) reported implementing improvement strategies related to accountability and quality improvement.
- Six of these 23 states (26%) reported collecting baseline data to document the beginning status of the Accountability and Quality Improvement component of the infrastructure (Figure 35). Of the tools and methods available to collect baseline data, most states used the status of outputs (67%) and state-developed surveys (17%). Two states (33%) used other data sources including extant Battelle Developmental Inventory (BDI) and child outcomes data and a report from the state's data system.

Figure 35



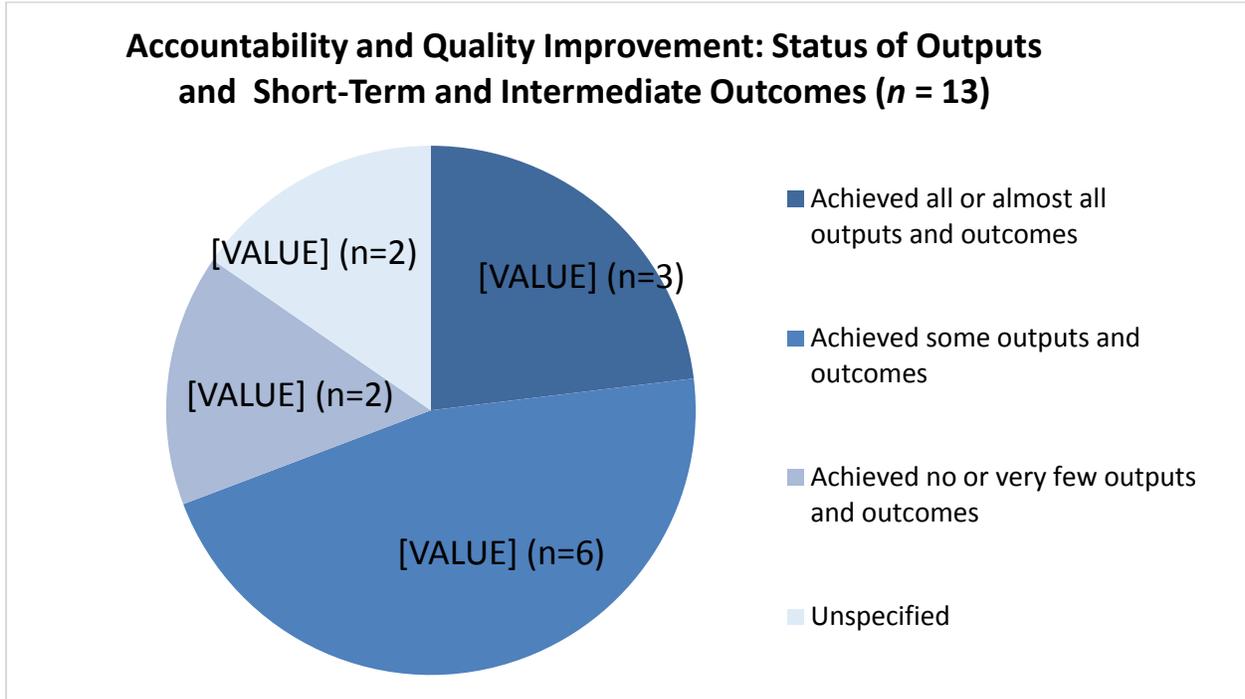
- Sixteen of the 23 states (70%) collected data to provide evidence on whether the Accountability and Quality Improvement component of the infrastructure was changing or had changed (Figure 36). Of the tools and methods available to collect evidence of change, most states (81%) used the status of outputs. State-developed surveys, interviews or focus groups, and stakeholder group perceptions were each reported by six percent of states. Two states (13%) used other data including child outcomes data, videos, fidelity measurements, and child outcomes “completeness” data.

Figure 36



- Thirteen of 16 states (81%) provided evidence of progress during the reporting year on accountability and quality improvement (Figure 37). Three of these states (23%) achieved all or almost all of the planned outputs and outcomes for the FFY 2015 reporting year, and six states (46%) achieved some of the planned outputs and outcomes. Two states (15%) achieved none or few of the outputs and outcomes related to accountability and quality improvement.

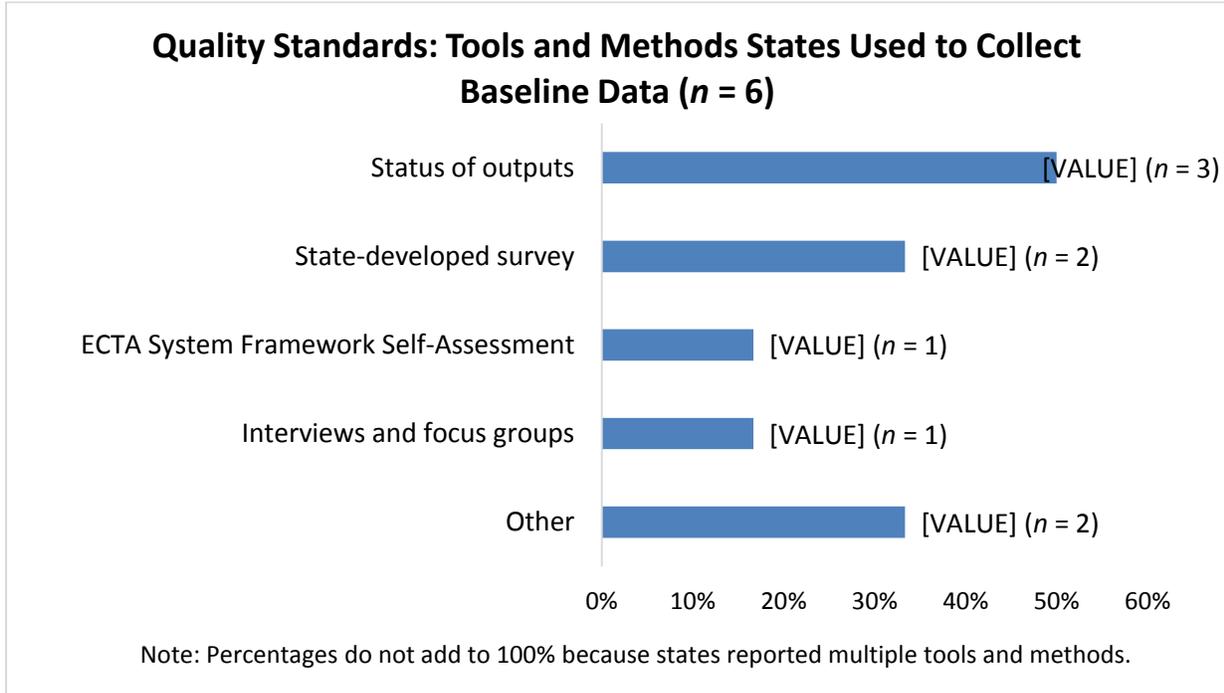
Figure 37



Quality Standards

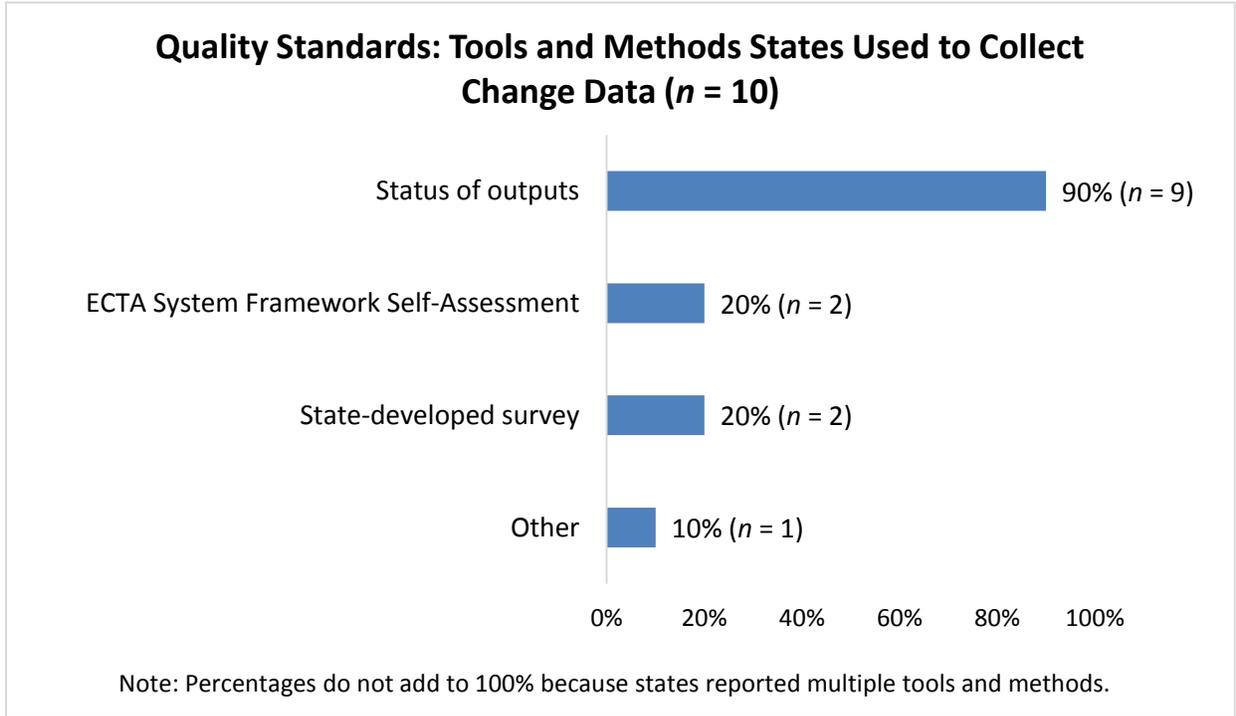
- Sixteen of the 53 states (30%) reported implementing improvement strategies related to quality standards.
- Six of these 16 states (38%) reported collecting baseline data to document the beginning status of the Quality Standards component of the infrastructure (Figure 38). Of the tools and methods available to collect baseline data, most states used the status of outputs (50%), state-developed surveys (33%), the ECTA System Framework Self-Assessment (17%), and stakeholder group perceptions based on meeting minutes or notes (17%). Two states (33%) reported using other data sources such as general compliance and performance indicators and data from a statewide database.

Figure 38



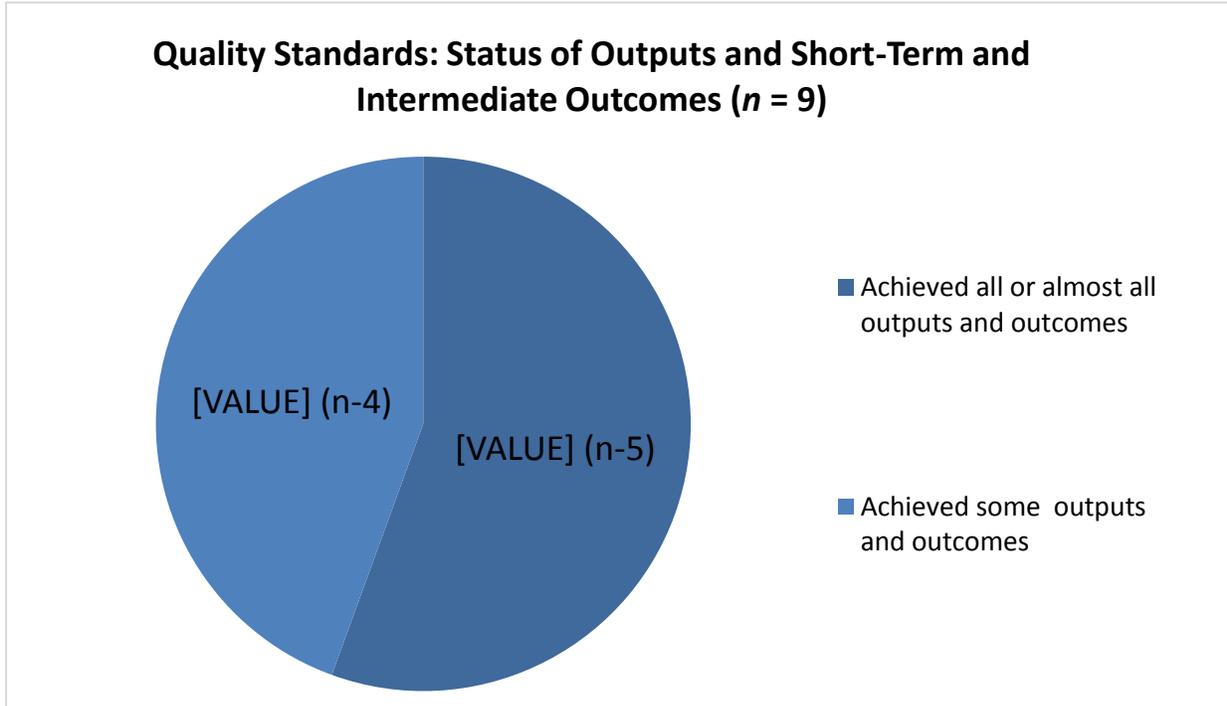
- Ten of the 16 states (63%) collected data to provide evidence of whether the Quality Standards component of the infrastructure was changing or had changed (Figure 39). Of the tools and methods states available to collect evidence of change, most states used the status of outputs (90%), the ECTA Framework Self-Assessment (20%), or a state-developed survey (20%).

Figure 39



- Nine states provided evidence of progress during the reporting year on quality standards (Figure 40). Five of these states (56%) achieved all or almost all of the planned outputs and outcomes for the FFY 2015 reporting year, and four states (44%) achieved some of the planned outputs and outcomes.

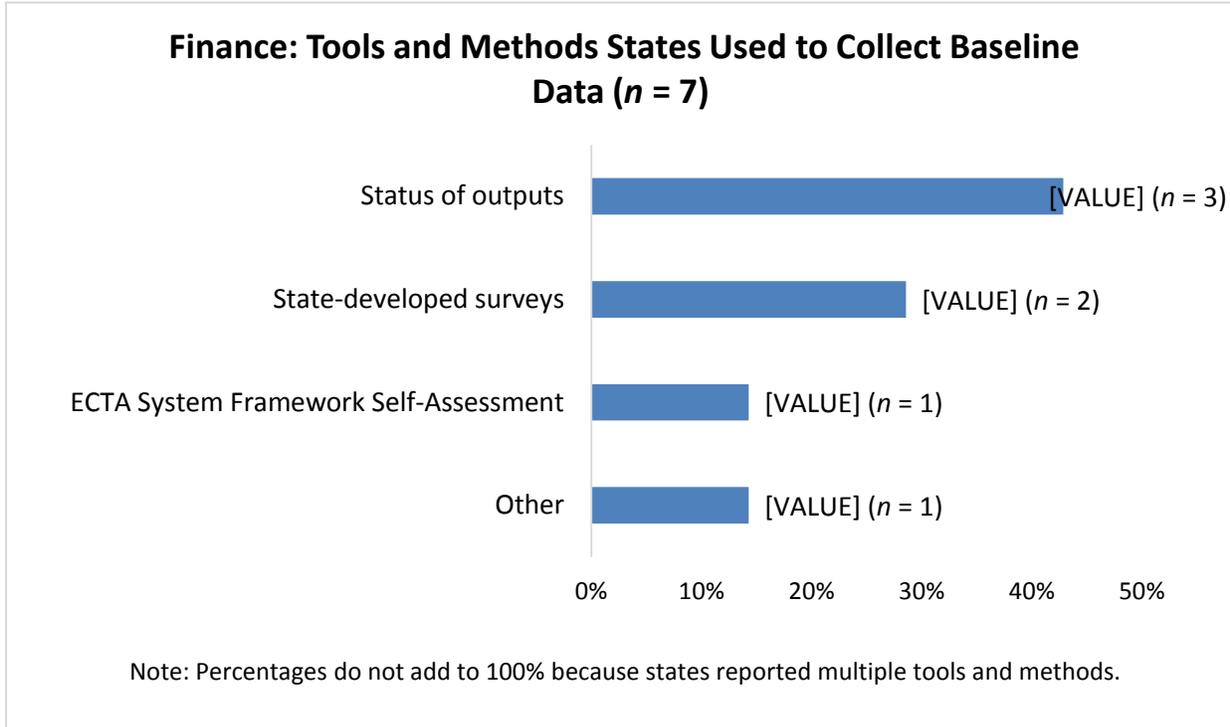
Figure 40



Finance

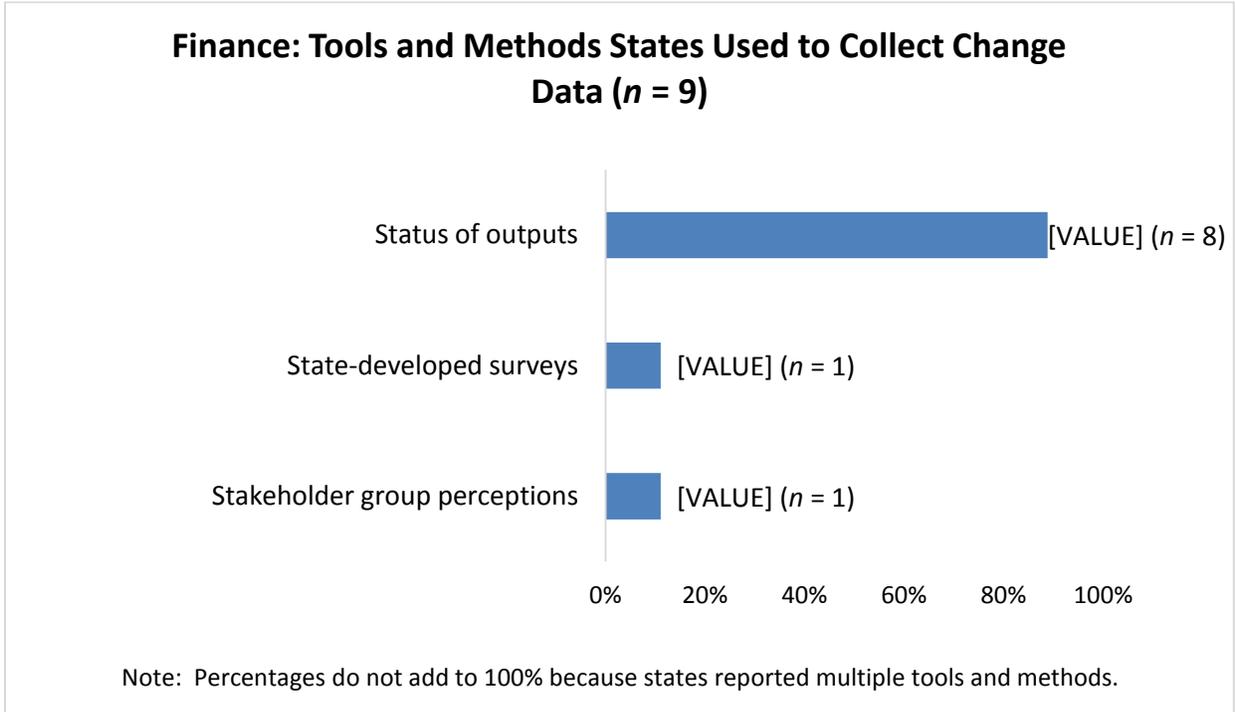
- Fifteen of the 53 states (28%) reported implementing improvement strategies related to finance.
- Seven of these 15 states (47%) reported collecting baseline data to document the beginning status of the Finance component of the infrastructure (Figure 41). Of the tools and methods available to collect baseline data, most states used the status of outputs (43%), state-developed surveys (29%), and the ECTA System Framework Self-Assessment (14%). One state used child and provider data about monthly service hours.

Figure 41



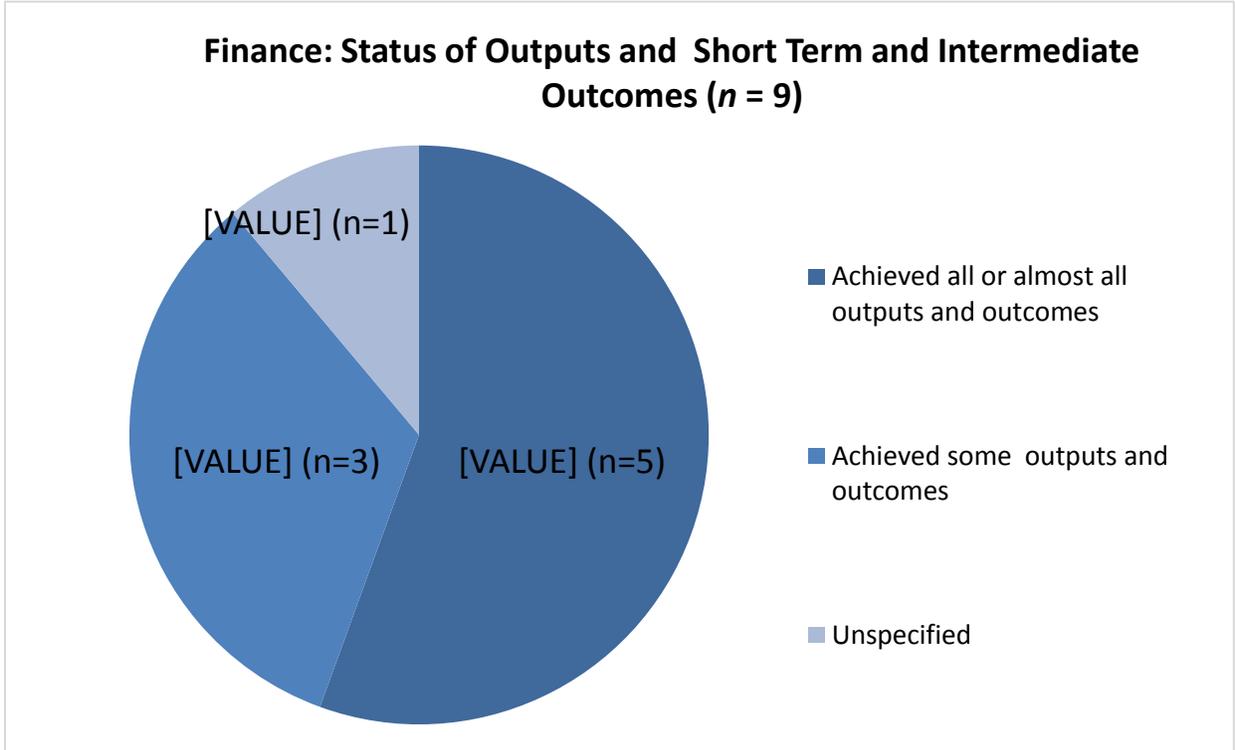
- Nine of the 15 states (60%) collected data to provide evidence of whether the Finance component of the infrastructure was changing or had changed (Figure 42). Of the tools and methods states available to collect evidence of change, most states (89%) used the status of outputs, while others used state-developed surveys (11%) or stakeholder group perceptions (11%).

Figure 42



- Nine states provided evidence of progress during the reporting year on the Finance component (Figure 43). Five of these states (56%) achieved all or almost all of the planned outputs and outcomes for the FFY 2015 reporting year, and three states (33%) achieved some of the planned outputs and outcomes.

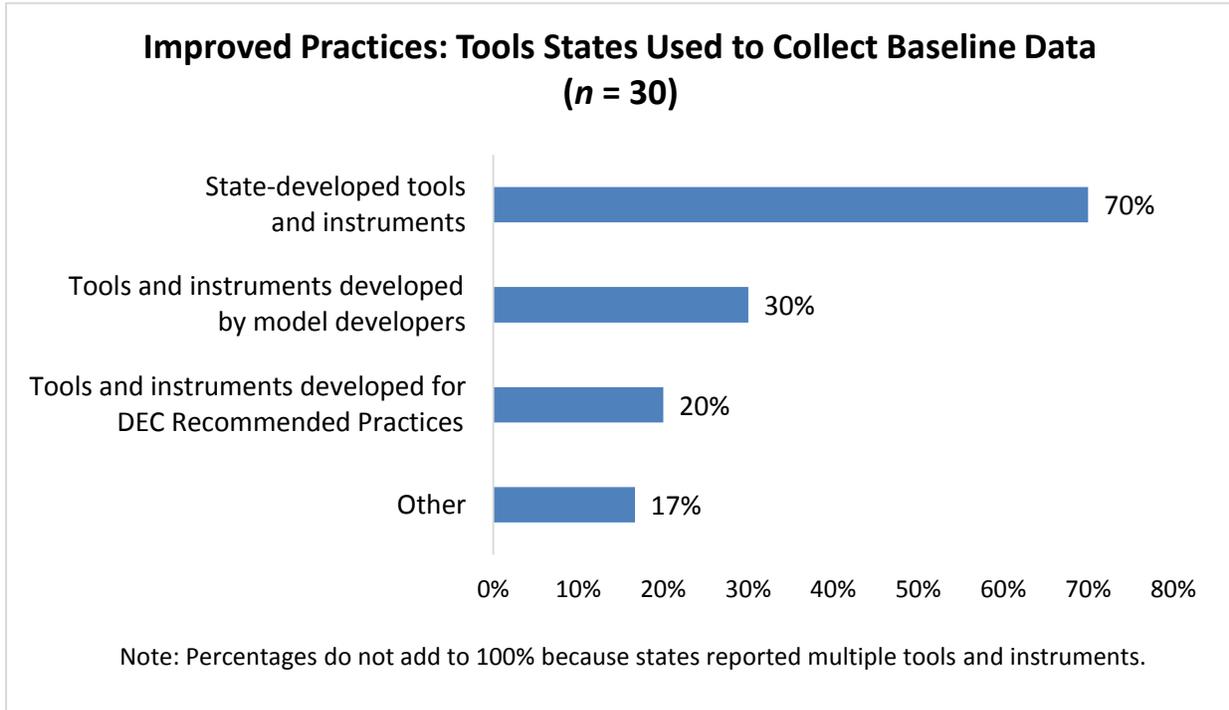
Figure 43



Data on Change in Practices

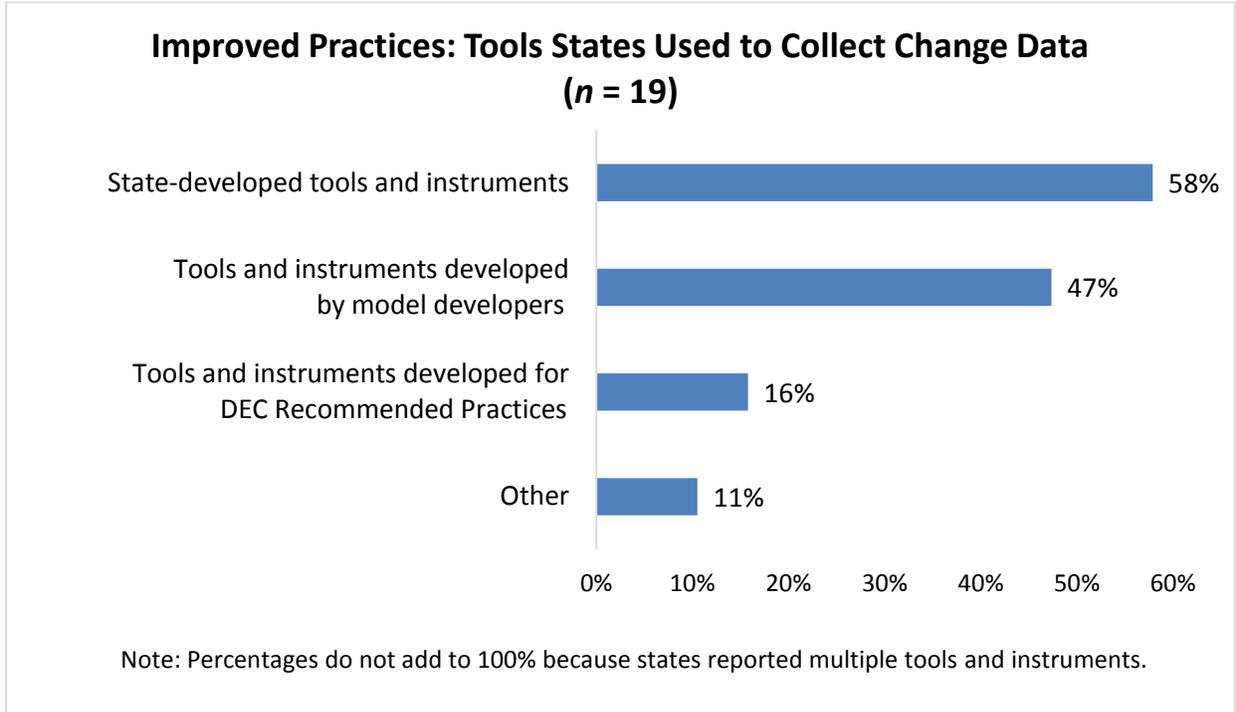
In addition to reporting on changes to infrastructure, states reported on evidence collected to show change in practices. Forty-nine of the 55 states (89%) reported that they implemented activities directly related to improving practices. Of those 49 states, 30 (61%) collected baseline data to document the beginning status of improving implementation of practices. To collect baseline data on the status of EBPs, most states used state-developed tools and instruments (70%), tools or instruments developed by model developers (30%), or tools or instruments developed for DEC Recommended Practices (20%) (Figure 44). Other tools and instruments reported by five states (17%) included extant data and videos.

Figure 44



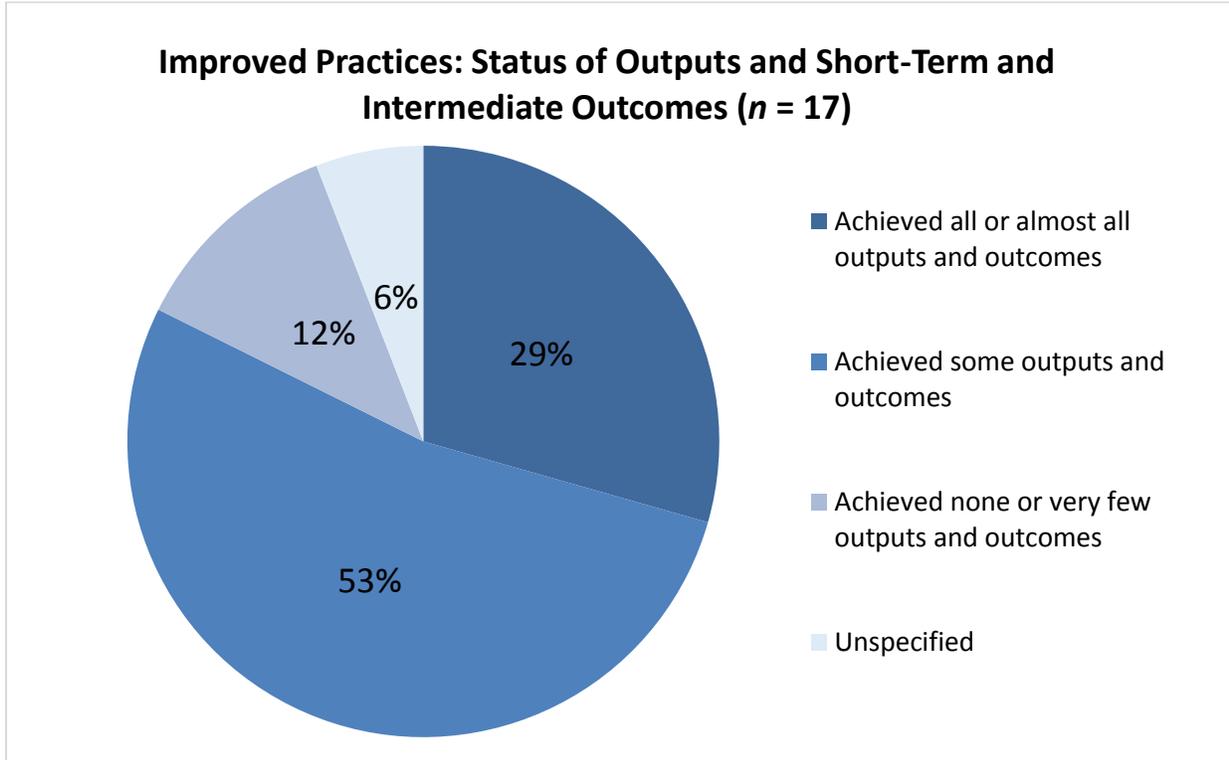
Nineteen of 49 states (39%) collected data to provide evidence on whether the implementation of practices was changing or had changed. Most states used state-developed tools and instruments (58%), tool and instruments developed by model developers (47%), or tools and instruments developed for DEC Recommended Practices (16%) to collect evidence of change (Figure 45).

Figure 45



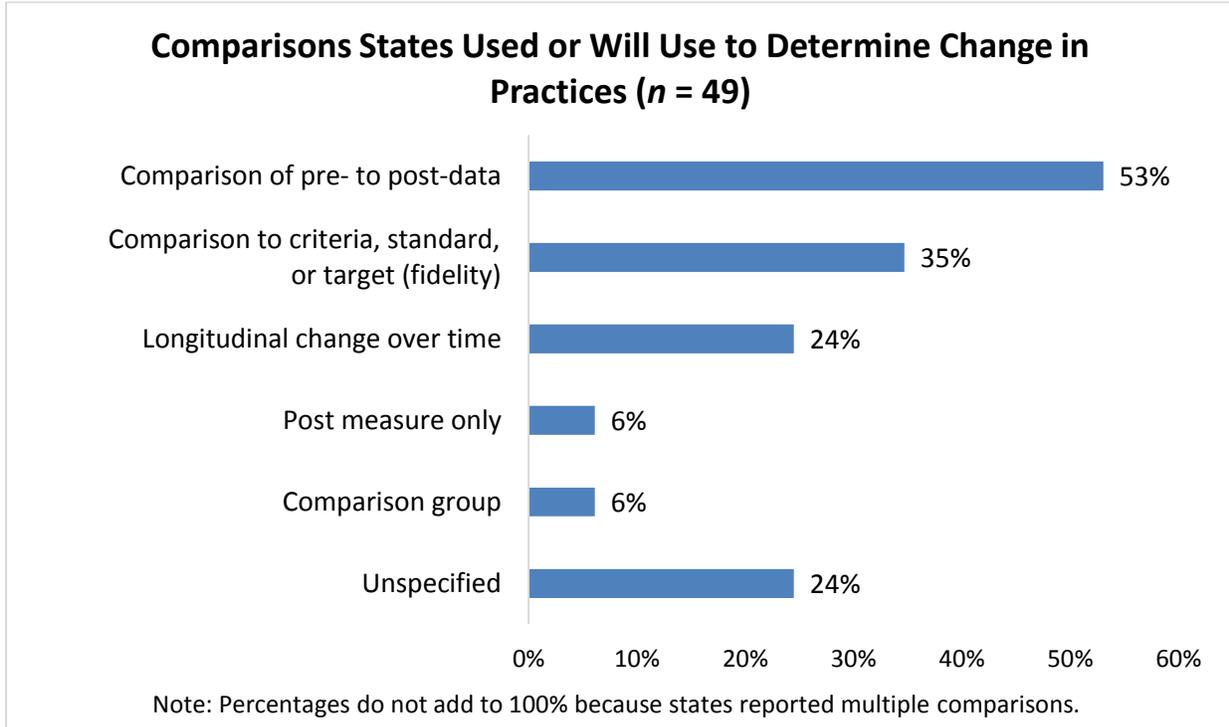
Of the 19 states that reported evidence of improving implementation of practices, 17 (89%) presented data showing that change or progress was achieved during the FFY 2015 reporting year (Figure 46). Five of those 17 states (29%) achieved all or almost all of the planned outputs and outcomes for the FFY 2015 reporting year, and nine states (53%) achieved some of the planned outputs and outcomes. Only a few states (6%) achieved none or very few of the planning outputs and outcomes this reporting year.

Figure 46



The forty-nine states that reported on improving implementation of practices also reported on the comparisons that they used or will use to determine change in practices (Figure 47). Most states did or will use a comparison of pre- and post-data (53%); a comparison to an established criteria, standard, or target (fidelity) (35%); or longitudinal change over time (24%) to determine the amount of change in practices. Some states reported that they will use only a post measure (6%) or a comparison group (6%). Twelve states (24%) did not clearly describe how they would do comparisons to evaluate progress in changing practices.

Figure 47



Fifteen of the 49 states (31%) also reported that they had collected data and established criteria to determine the fidelity of practices (the extent to which practices were implemented as intended) in FFY 2015 (Figure 48). Most states used tools or instruments developed by model developers (73%) or state-developed tools or instruments (40%). Two states (13%) used tools or instruments developed for DEC Recommended Practices. For one state, reviewers were unable to determine the tool the state would use to evaluate fidelity.

Figure 48

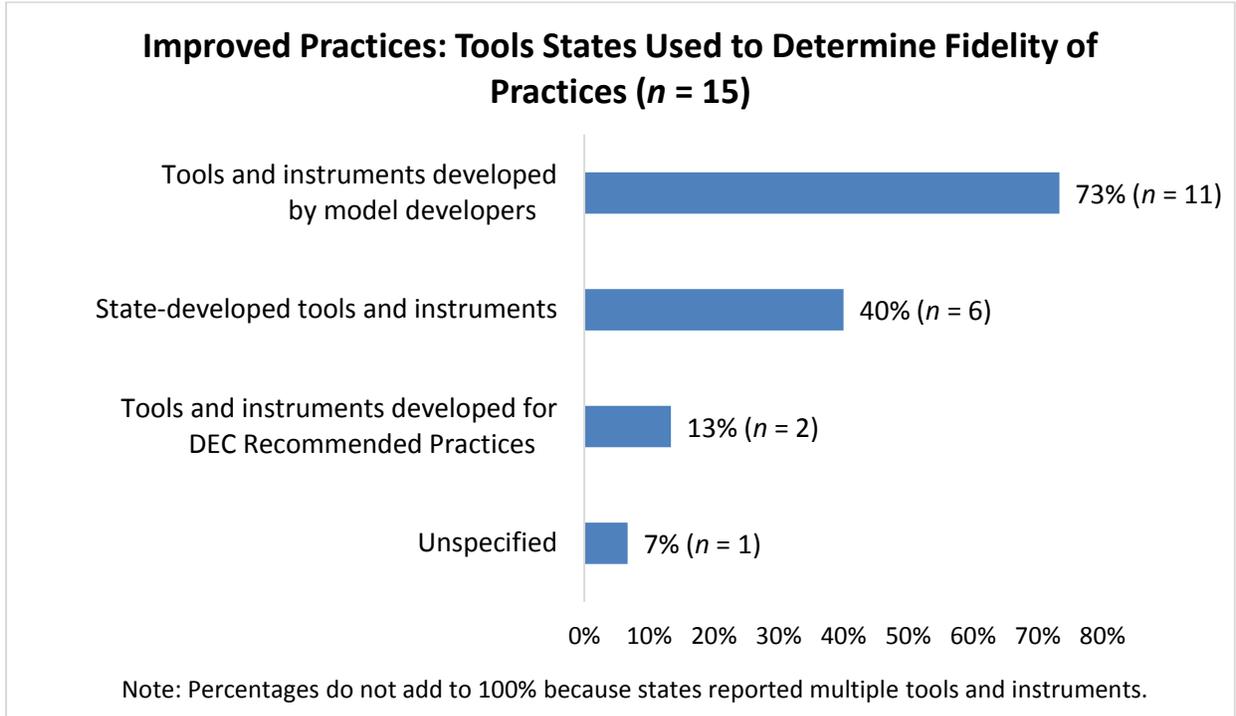
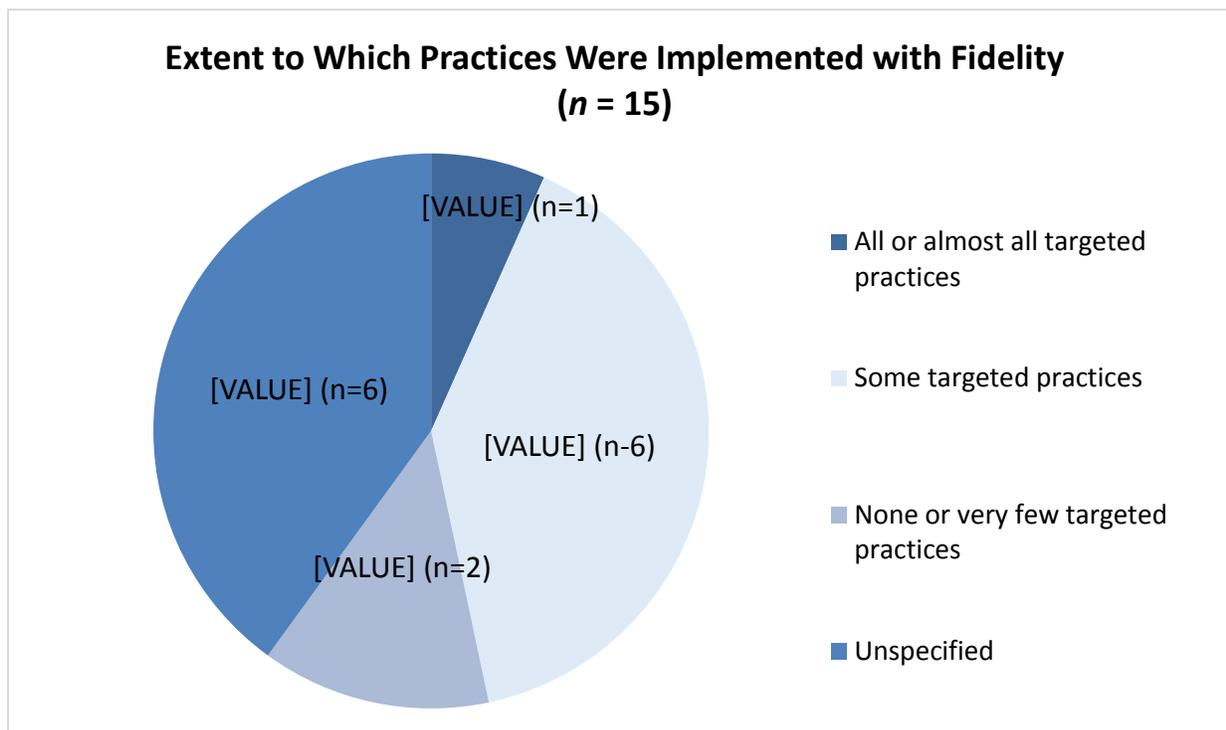


Figure 49 shows the results from the 15 states that measured fidelity of practices. One state implemented all or almost all of the targeted practices as intended. Six states (40%) implemented some targeted practices with fidelity, and two states (13%) implemented none or very few with fidelity. The remaining six states did not provide sufficient information for reviewers to determine the degree to which practices were implemented as intended.

Figure 49

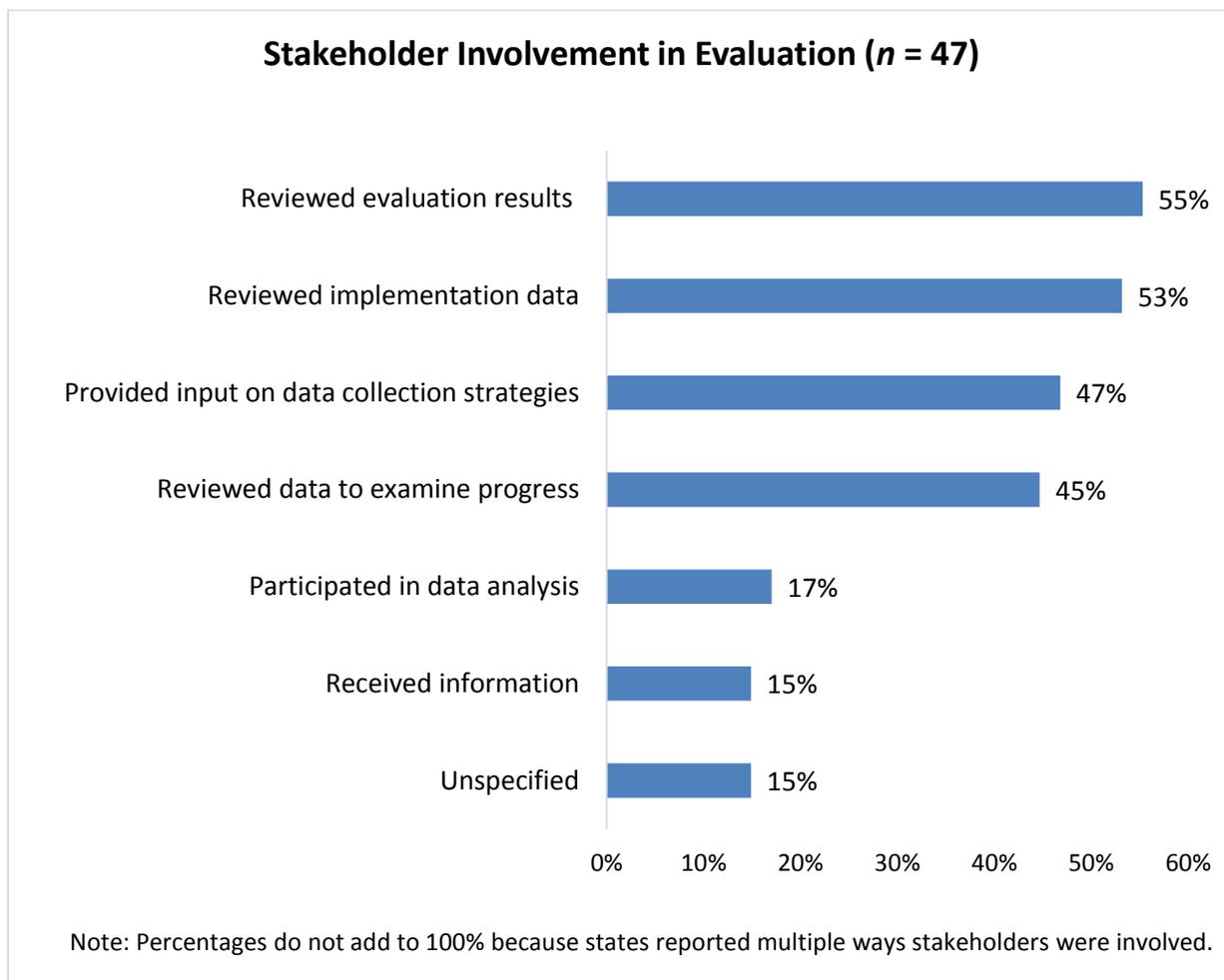


Stakeholder Engagement and Decision-Making in Evaluation

States were expected not only to inform stakeholders of the ongoing evaluation of the SSIP, but also to involve them in it. This entailed supporting stakeholders in reviewing evaluation data, expressing input or sharing ideas about the evaluation process and the meaning of the data, and contributing to the decision-making process including midcourse corrections to the improvement and evaluation plans.

The 47 states that reported involving stakeholders in the evaluation of the SSIP in FFY 2015 did so in a variety of ways (Figure 50). Most stakeholders reviewed the evaluation results to provide input on modifications to the SSIP (55%), reviewed data to examine the effectiveness of implementation (53%), provided input on data collection strategies (47%), and reviewed data to examine progress on the SIMR (45%). A few stakeholder groups analyzed data (17%), while some received information only and were not involved in providing input or making decisions (15%). Some states (15%) did not provide sufficient detail for reviewers to determine the level of stakeholder engagement and decision-making in evaluation.

Figure 50



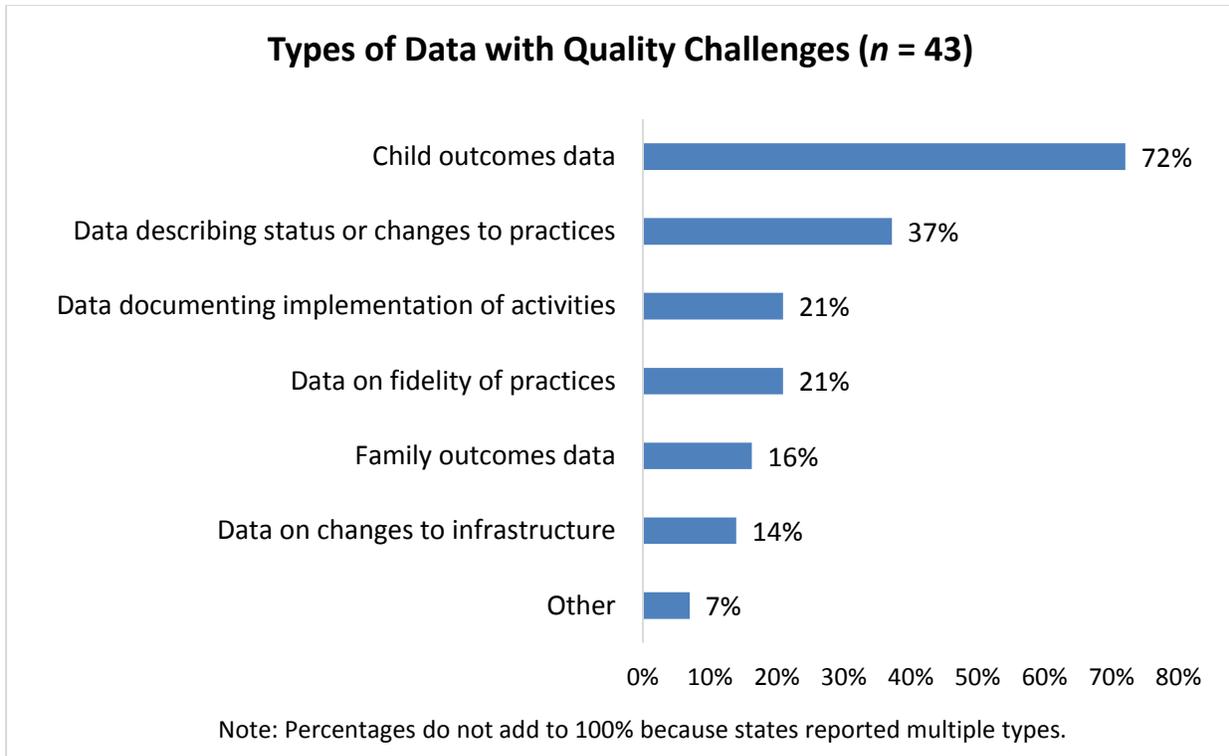
DATA QUALITY ISSUES

In Phase III, states were asked to report any evaluation data quality limitations that affected reports of progress in implementing the SSIP and achieving the SIMR. Forty-three of 55 states (78%) reported concerns or limitations related to the quality or quantity of the data used to report progress or results.

The types of data that were prone to quality issues are indicated in Figure 51. The most common data quality issues were with child outcomes data (72%), with many states working on improving the quality of their child outcomes measurement. States reported concerns about the quality of evaluation data for the SSIP, including data describing the status or changes to practices (37%), data documenting implementation of improvement activities (21%), data on fidelity of practices (21%), and data on status or changes to infrastructure (14%). A few states reported issues with the quality of their family outcomes data (16%). Other data quality issues reported were survey data being prone

to subjectivity and incomplete child service and Individualize Family Service Plan (IFSP) data.

Figure 51



PROGRESS TOWARD ACHIEVING INTENDED IMPROVEMENTS

In Phase III, states reported their progress on achieving intended improvements in infrastructure, implementation of EBPs, and SIMR results (child and family outcomes). SSIP Phase III reviewers looked at each state’s reporting on infrastructure component improvement activities, change in practices, and outcomes to identify whether states had achieved the intended improvements planned for the reporting year.

Progress on Improving System Infrastructure

As described in “Data on Implementation and Outcomes,” states have made notable progress on achieving intended improvements in their systems and practices. Figures 28, 31, 34, 37, 40, and 43 present state data on achieving outputs and outcomes for enhancing state systems.

- Twenty-eight states reported evidence of progress on enhancing their Professional Development and Technical Assessment system.
- Twenty-three states reported evidence of progress on enhancing their Governance system.
- Twenty-one states reported evidence of progress on enhancing their Data System.

- Thirteen states reported evidence of progress on enhancing their Accountability and Quality Improvement system.
- Nine states reported evidence of progress on enhancing their Quality Standards component of the infrastructure.
- Nine states provided reported evidence of progress on enhancing their Finance system.

Progress on Improving Practices

Also described in “Data on Implementation and Outcomes,” states have started to make progress toward achieving improved practices. Figures 44 through 49 provide data on states’ progress on improved implementation of EBPs.

- Forty-nine states have implemented activities to improve implementation of practices, and 19 of those states reported data that showed practices have improved.
- Fifteen states have measured implementation fidelity, and seven of those states found that some or all practices were implemented as intended.

Progress in Meeting SIMR Targets) for FFY 2015

States were required to report data collected for the SIMR to determine whether they made progress and whether they met the SIMR target for FFY 2015. Fifty of 55 states (91%) clearly reported FFY 2015 SIMR progress data. Of the five states that did not report,

- Three states did not report any SIMR progress data.
- One state reported data, but it was unclear which of the reported data were SIMR data.
- One state reported SIMR progress data in a line graph but did not report SIMR progress data as a percentage.

Fifty-one of 55 states (93%) included the FFY 2015 SIMR target in their Phase III report. Target and SIMR data were compared to determine whether the state met its FFY 2015 target. The one state that did not report SIMR progress data as a percentage but rather in a line graph did report target data for FFY 2015 and was included in the 51 states reporting targets. States were coded as meeting their targets if their actual FFY 2015 data were at or above their FFY 2015 targets for all outcomes associated with the SIMR. Twenty-six of the 51 states (51%) reported that they met their FFY 2015 targets for Indicator 11, and 25 states (49%) did not meet their FFY 2015 targets.

Progress or Slippage in Improving the SIMR

In determining whether states had progressed or slipped in improving their SIMR data (child and/or family outcomes data), reviewers compared the actual SIMR data reported for FFY 2015 and FFY 2014, available on GRADS 360. No progress meant that actual FFY 2015 SIMR data were less than last year's data. A state was determined to be making progress if its actual FFY 2015 data were the same as or above the SIMR data reported in FFY 2014 for all outcomes associated with the SIMR (for states with multiple outcomes). Data were available for 51 states. For the one state that did not report SIMR progress data as a percentage but rather in a line graph, reviewers were able to

determine if progress or slippage was made. A comparison could not be made for four states that did not clearly report FFY 2015 SIMR progress data.

Twenty-three of the 51 states (45%) made progress in the SIMR between FFY 2014 and FFY 2015. Twenty-eight states (55%) did not make progress.

Twelve states directly attributed improvement in the SIMR data to the implementation of SSIP activities. When reporting on the types of activities that improved the SIMR data, five states cited change in practices and the implementation of new practices. Ten states reported that changes in their infrastructure contributed to SIMR progress.

ANTICIPATED BARRIERS AND TECHNICAL ASSISTANCE NEEDS FOR NEXT YEAR

In the FFY 2015 SSIPs, states reported on anticipated barriers and technical assistance needs for FFY 2016.

Anticipated Barriers

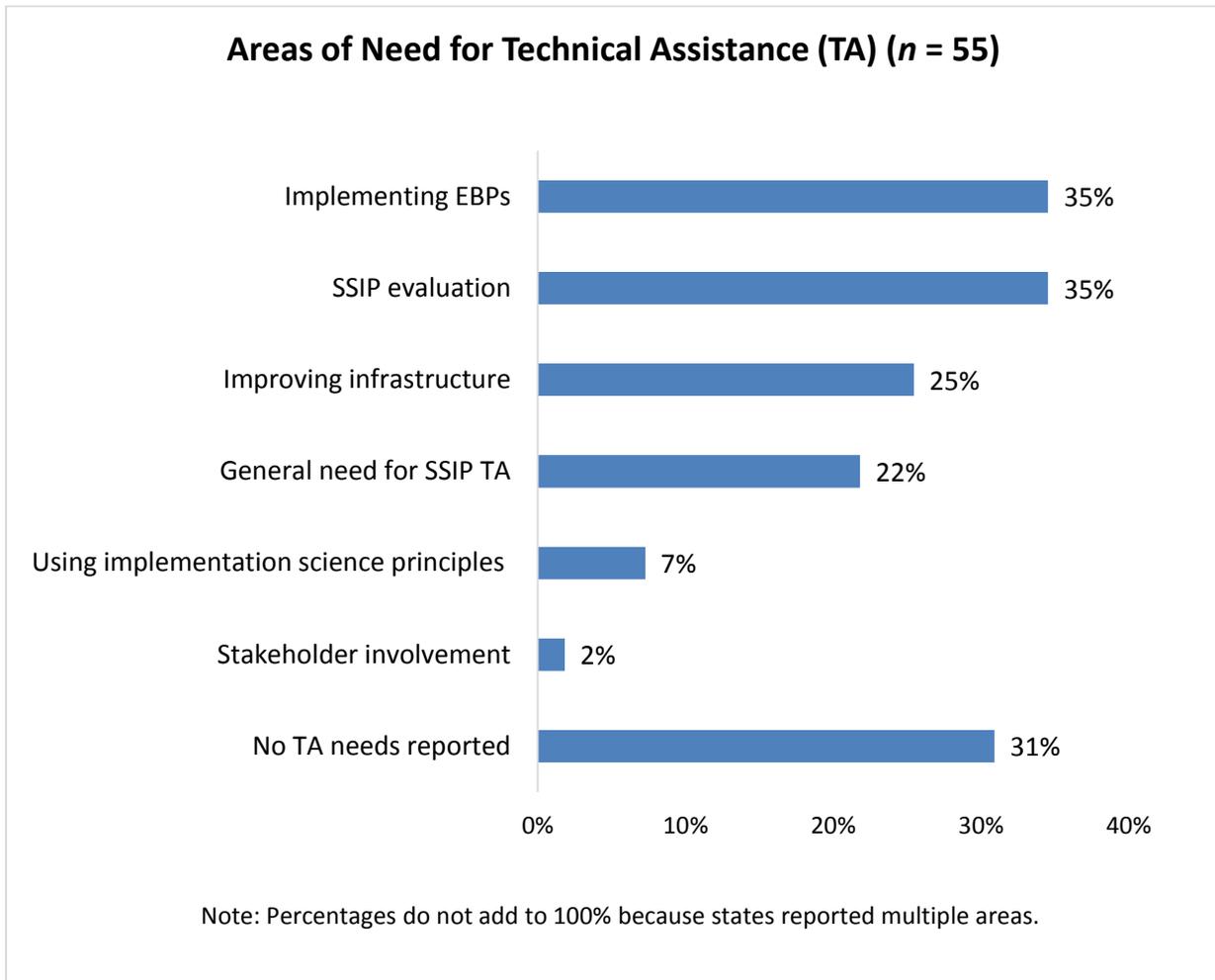
Anticipated barriers for the next year included the following:

- Providers', families', and local administrators' attitudes and willingness to participate.
- Personnel turnover and shortages.
- Identifying staff to train other staff on evidence-base practices.
- Funding.
- Conducting evaluation activities, especially measuring fidelity and attributing changes to specific activities.
- Need to increase capacity of data systems.
- Adapting to changes in infrastructure.
- Delays in timelines pushing back on other activities.
- Changes in leadership.

Technical Assistance Needs

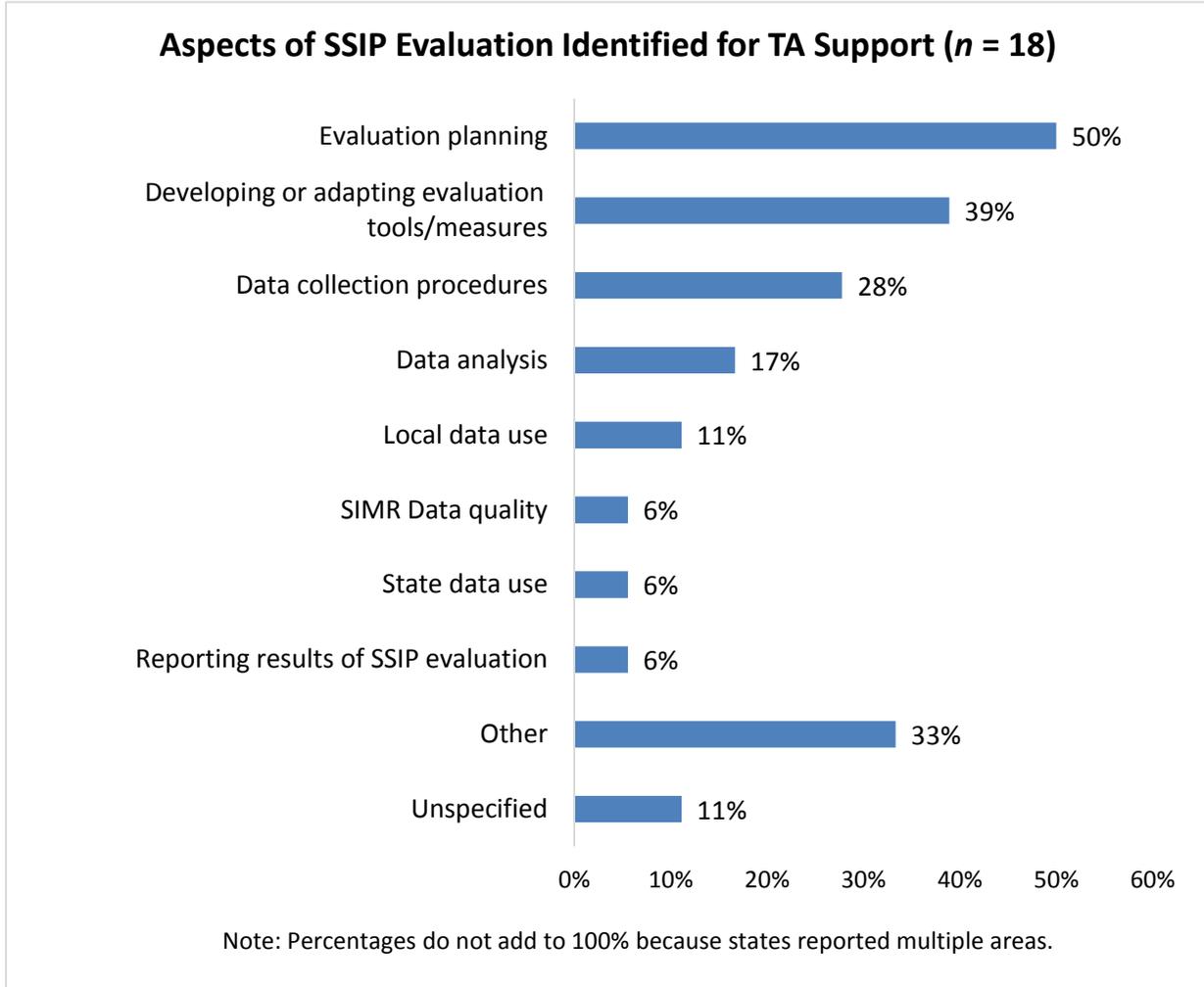
Of the 55 Phase III reports reviewed, 38 states (69%) reported the need for technical assistance in implementing their SSIPs next year (Figure 52). Specific areas of technical assistance identified by states included implementing EBPs (35%), SSIP evaluation (35%), improving infrastructure (25%), general SSIP technical assistance (22%), using implementation science principles (7%), and stakeholder involvement (2%).

Figure 52



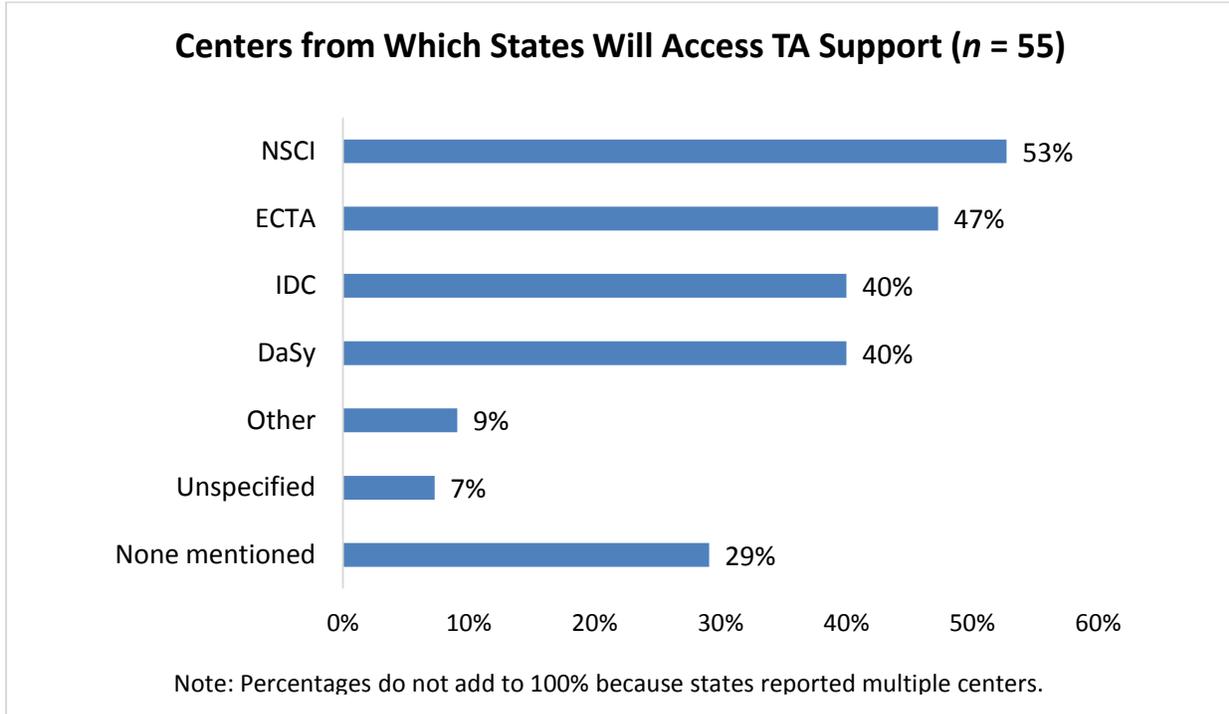
For the 18 states that reported a need for technical assistance on SSIP evaluation, reviewers collected further data on what the needs were. States reported a need for assistance with evaluation planning (50%), developing or adapting evaluation tools and measures (39%), data collection procedures (28%), data analysis (17%), local data use (11%), SIMR data quality (6%), state data use (6%), reporting the results of SSIP evaluation activities (6%), and other needs (33%) (Figure 53). Other needs reported were assistance in revising SIMR targets and broad evaluation technical assistance.

Figure 53



Many states named specific technical assistance centers and providers in their plans for next year (Figure 54). States reported that they will access technical assistance from the National Center for Systemic Improvement (NCSI) (53%), the Early Childhood Technical Assistance Center (ECTA) (47%), the IDEA Data Center (IDC) (40%), and the Center for IDEA Early Childhood Data Systems (DaSy) (40%). Other centers mentioned (9%) included specific model developers, professional organizations, and regional technical assistance providers.

Figure 54



CONCLUSION

This analysis describes how states reported on the implementation and evaluation of their SSIPs in FFY 2015 Phase III. Specifically, states reported on progress in implementing activities to improve their infrastructure and support implementation of evidence-based practices as well as their progress in accomplishing planned outputs and achieving intended outcomes including their SIMR. Many states reported making changes to their improvement and evaluation plans, whereas only some reported making changes to their theory of action and/or logic models. Almost all states reported that they implemented infrastructure improvements as well as activities to improve practices despite encountering implementation barriers. Most states reported having evidence of change in one or more infrastructure components, and some reported on collecting data that demonstrated changes in practices. Of those states that reported evidence of change in infrastructure and/or practices, most reported completing some of the planned outputs and outcomes they anticipated planning for FFY 2016. About half the states reported that FFY 2015 SIMR data met their target and they made progress on improving their SIMR from FFY 2014. Almost all states reported they engaged stakeholders in their SSIP during Phase III. Plans for next year and barriers anticipated for FFY 2016 were also identified in the SSIP, as were technical assistance needs for ongoing implementation of the SSIP.