

2018 PART C FFY 2016 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 reports the percentage of children with IFSPs who receive early intervention services on their IFSPs in a timely manner. The indicator refers to the percentage of children for whom *all services* are timely, not the percentage of services that are timely; if one or more of the services for a child are not delivered within the defined timeline, then the child would not be counted in the percentage of children receiving timely services. Each state defines what constitutes timely services. Indicator 1 is a compliance indicator with a target of 100%.

The analysis of Part C Indicator 1 is based on data from FFY 2016 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

States use a variety of data sources in reporting data for this indicator, including state data systems and data from monitoring processes.

METHODOLOGY & MEASUREMENT APPROACHES

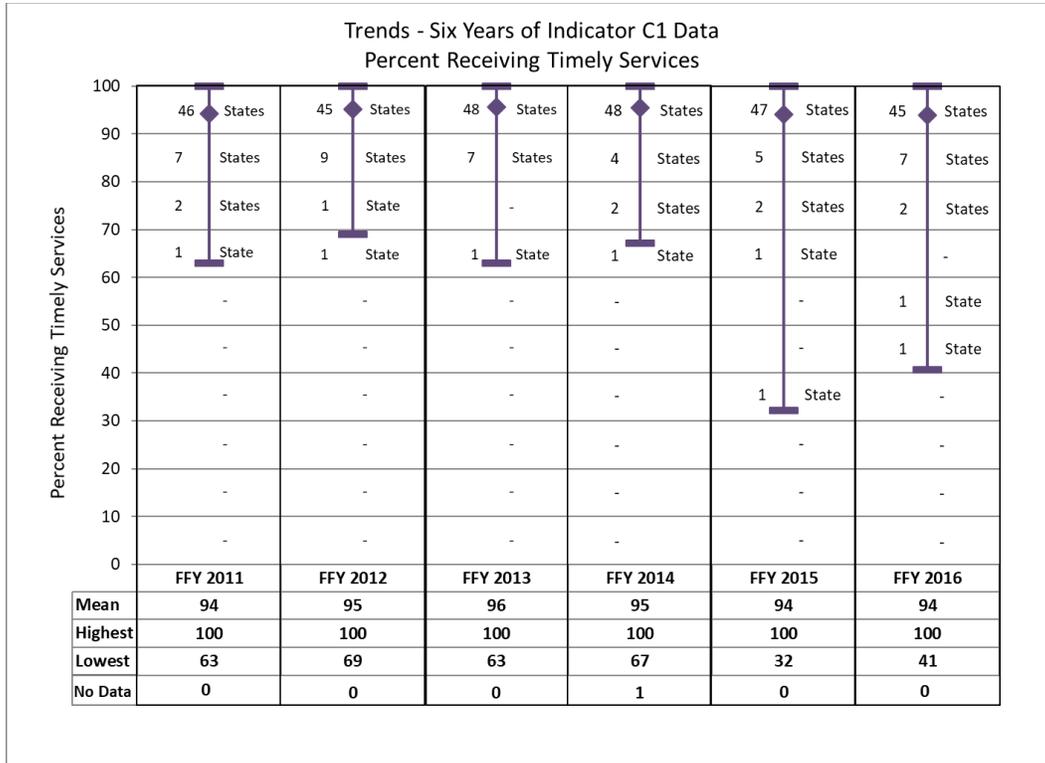
Defining Timely Services

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

PERFORMANCE TRENDS

Figure 1 illustrates current data (FFY 2016) and trend data over the last six reporting years (FFY 2011 to FFY 2016) for this indicator. 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 reports the extent to which early intervention services are provided in natural environments. “Natural environments” are settings that are either home-based or community-based. Settings that are not considered natural environments include hospitals, residential schools, and separate programs for children with delays or developmental disabilities. The analysis of Part C Indicator 2 is based on data from FFY 2016 APRs for 56 states. For the purposes of this report, the term “state” is used for both states and jurisdictions.

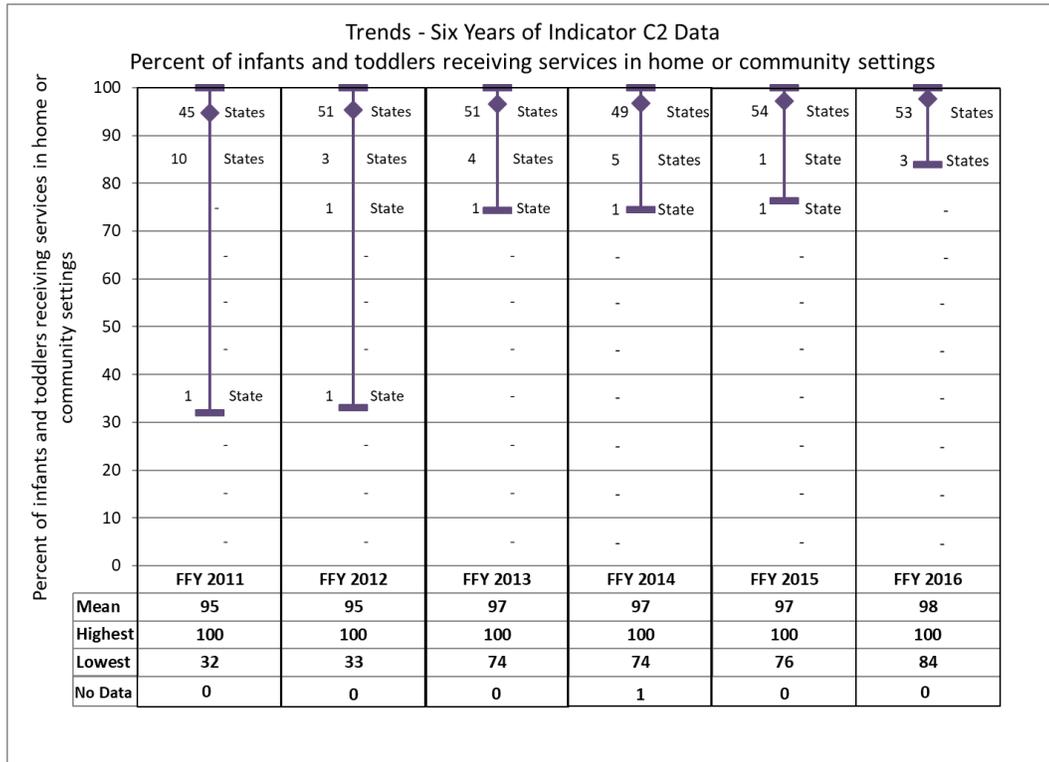
DATA SOURCES

The data for this indicator are from the 618 IDEA Part C Child Count and Settings data collection. States report the primary setting of each child’s services for all children enrolled in Part C on a state-designated date between October 1 and December 1, 2016. “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 (FFY 2016) and trend data over the last six reporting years, from FFY 2011 to FFY 2016. 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 2016 Annual Performance Reports (APRs). For the purposes of this report, the term “state” is used for both states and jurisdictions. States report data on two summary statements for each of the three outcome areas. The summary statements are calculated based on the number of children in each of five progress categories. The five progress categories are:

- a) Children who did not improve functioning.
- b) Children who improved functioning but not sufficient to move nearer to functioning comparable to same aged peers.
- c) Children who improved functioning to a level nearer to same aged peers but did not reach it.
- d) Children who improved functioning to reach a level comparable to same aged peers.
- e) Children who maintained functioning at a level comparable to same aged peers.

The child outcomes summary statements are:

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

DATA SOURCES & MEASUREMENT APPROACHES

States continue to use a variety of approaches for measuring child outcomes, as shown in Table 1. Most states use the Child Outcomes Summary (COS) process. The COS process is a team process for summarizing information from multiple sources about a child’s functioning in each of the three outcome areas.

Table 1

Child Outcomes Measurement Approaches		
Approach	Count	Percent
COS process	42	75%
One tool statewide	8	14%
Publisher online system	3	5%
Other	3	5%
TOTAL	56	100%

PERFORMANCE TRENDS

Figures 1 through 6 illustrate current data (FFY 2016) and trend data for summary statements one (SS1) and two (SS2) for each of the three outcome areas over the last six reporting years (FFY 2011 to FFY 2016). For each reporting year, the number of states within each ten-percentage point range are shown, and the tables below each chart show the national mean, range, and number of states included each year.

Figure 1: Percentage who substantially increased rate of growth in Positive Social-Emotional Skills (SS1)

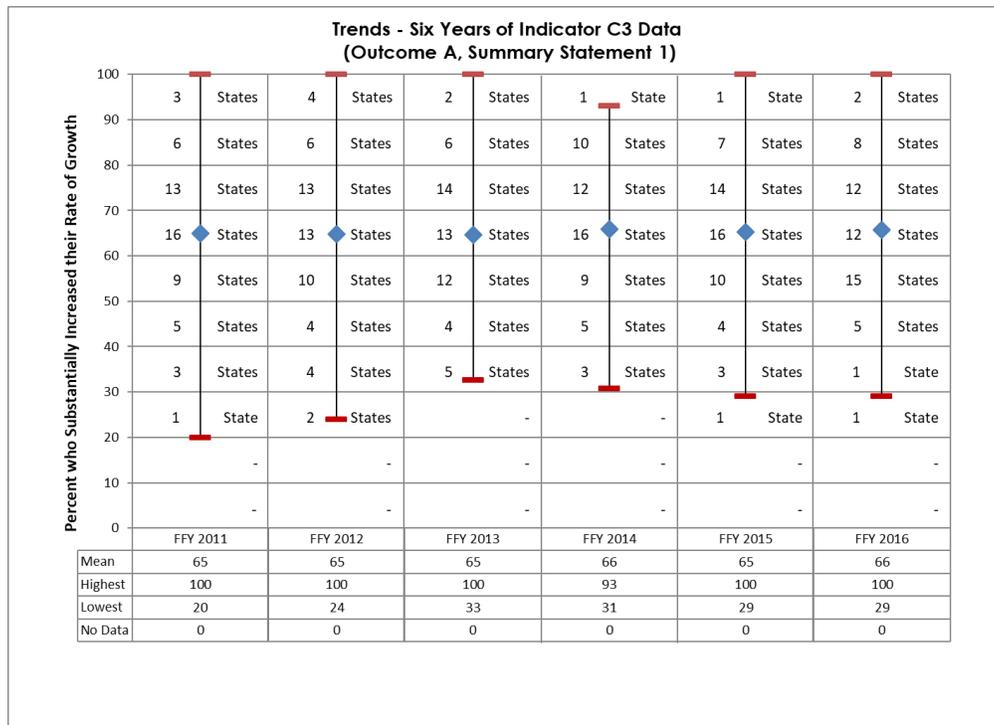


Figure 2: Percentage who were functioning within age expectations in Positive Social-Emotional Skills (SS2)

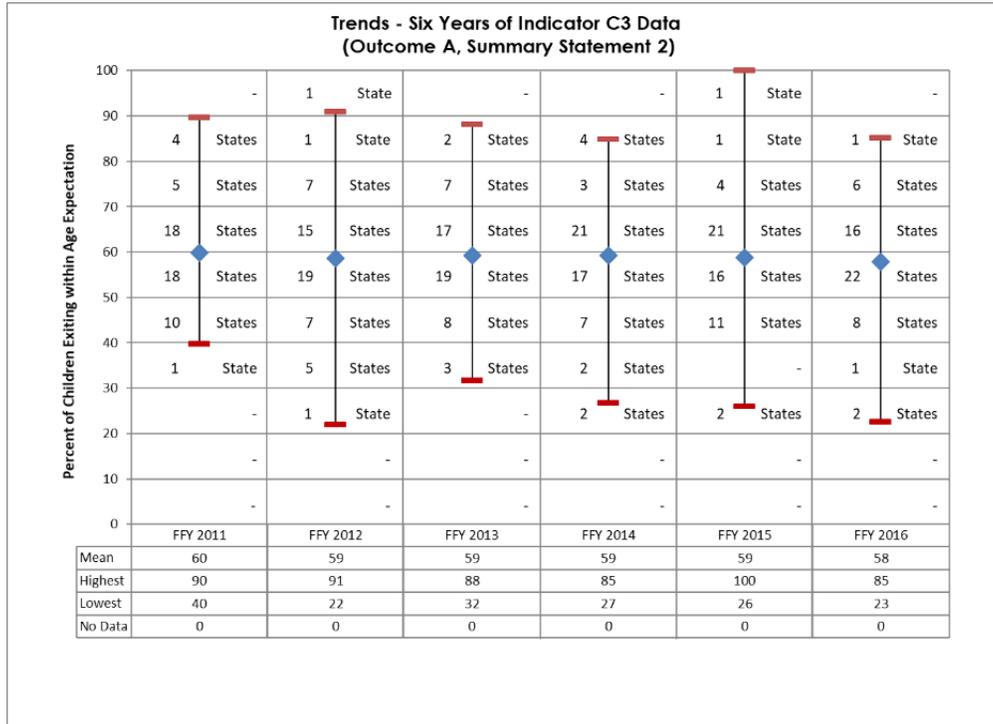


Figure 3: Percentage who substantially increased rate of growth in Acquisition and Use of Knowledge and Skills (SS1)

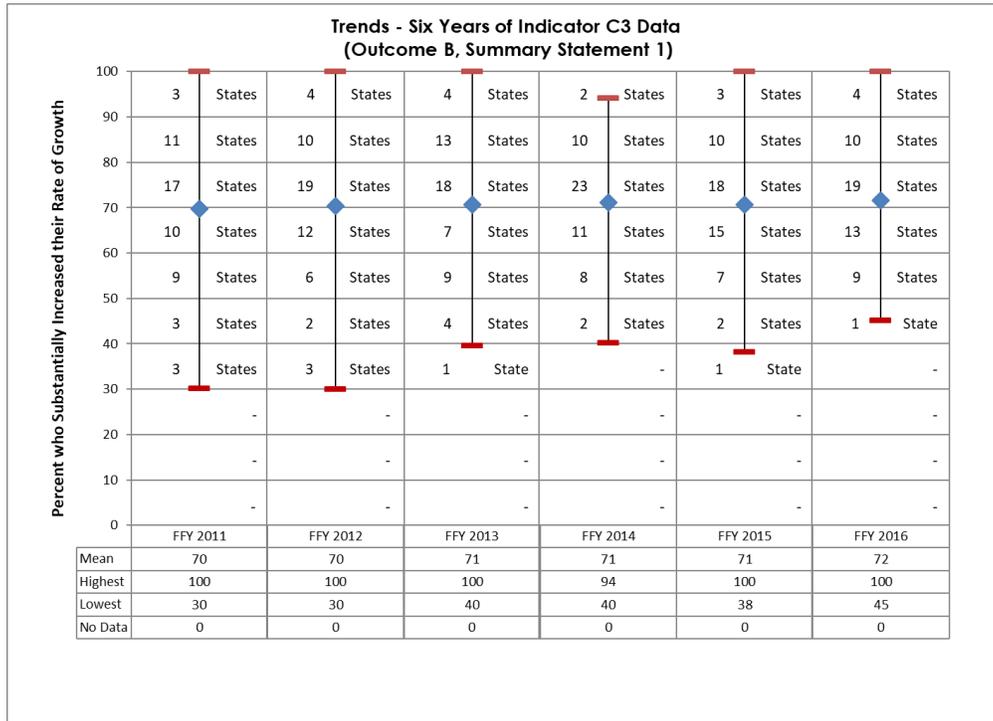


Figure 4: Percentage who were functioning within age expectations in Acquisition and Use of Knowledge and Skills (SS2)

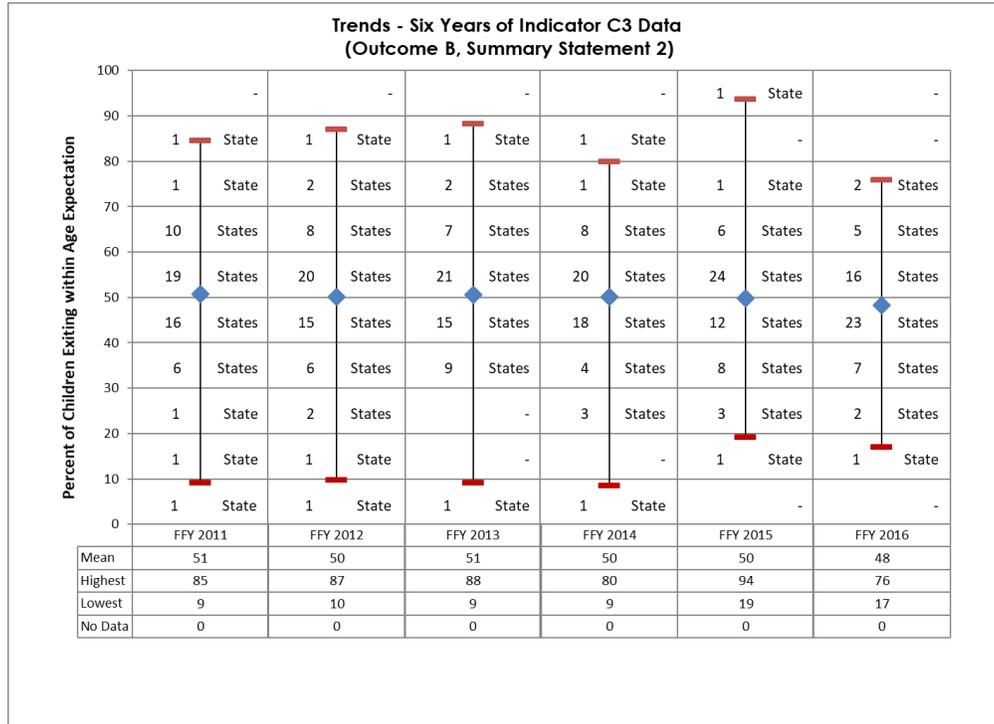


Figure 5: Percentage who substantially increased rate of growth in Use of Appropriate Behaviors to Meet their Needs (SS1)

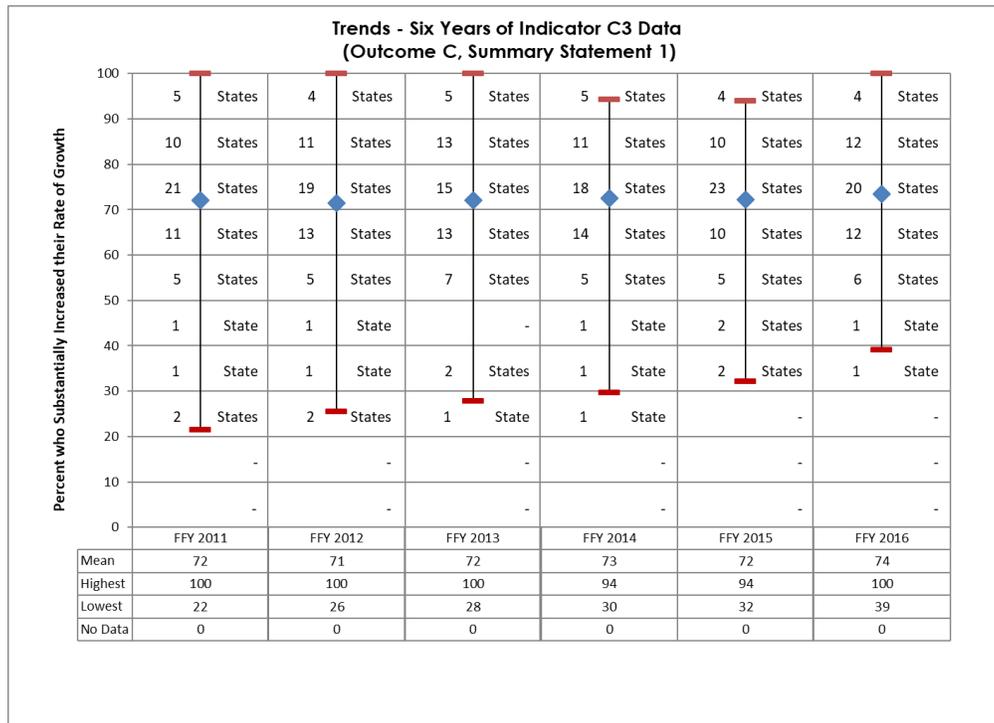
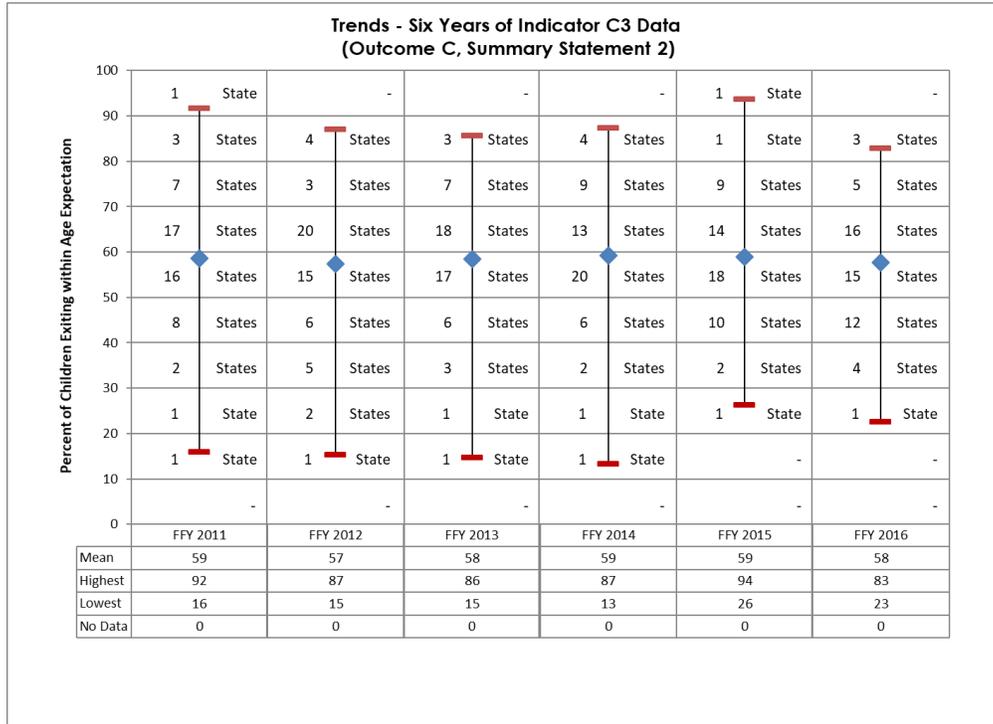


Figure 6: Percentage who were functioning within age expectations in Use of Appropriate Behaviors to Meet their Needs (SS2)



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
- (C) help their children develop and learn

INTRODUCTION

Indicator 4 reports the percentage of families participating in Part C who report that early intervention services have helped them in three areas: knowing their rights, effectively communicating their children's needs, and helping their children develop and learn. The analysis of Part C Indicator 4 is based on data from FFY 2016 APRs for 56 states. States and jurisdictions are referred to as “states” for the remainder of this summary.

DATA SOURCES AND MEASUREMENT APPROACHES

The data for this indicator are collected using surveys in all states. States vary in the survey tools used (e.g. the ECO Family Outcomes Surveys, NCSEAM survey, or state-developed surveys). Some states tailor their survey by removing questions not required for APR reporting, adding survey questions specific to their state, and/or making wording and formatting changes. States also vary in the methodologies used to collect data for this indicator, including survey dissemination and return methods, timing of the survey, and subgroups of families included. Scoring metrics and indicator thresholds vary among states as well. In FFY 2016, response rates were computed for all states, ranging from 9% to 100%.

PERFORMANCE TRENDS

Figures 1, 2, and 3 show the current data (FFY 2016) and trend data over the last six reporting years (FFY 2011 to FFY 2016) for each of the three family outcome sub-indicators. For each reporting year, the number of states represented within each ten-percentage point range is shown in each chart, and the tables below the charts show the national means, ranges, and number of states included.

Figure 1

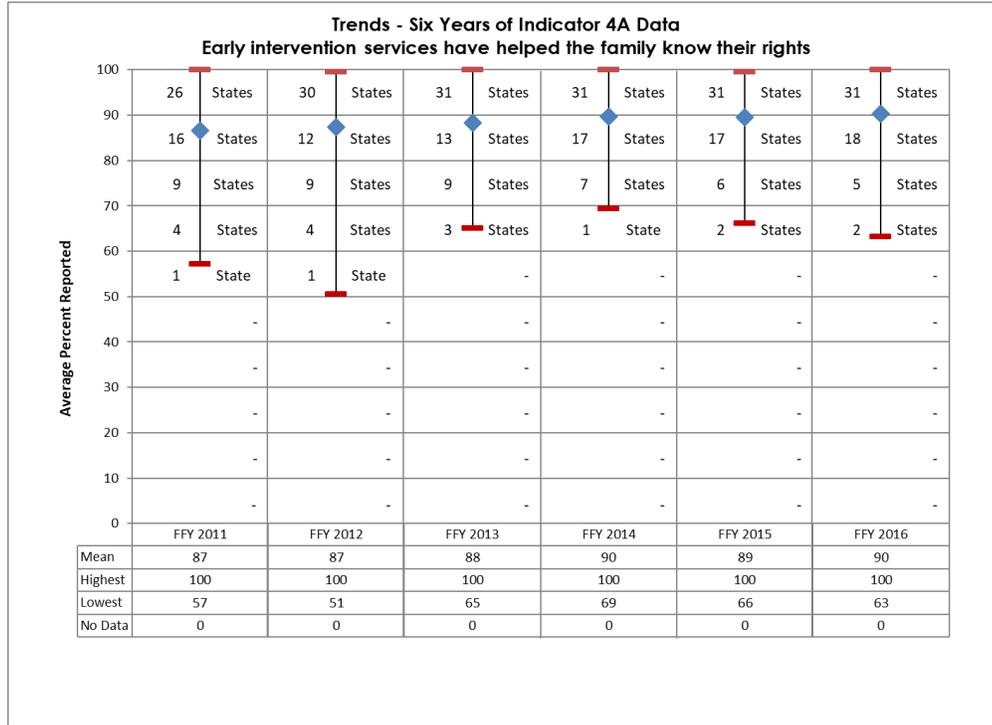


Figure 2

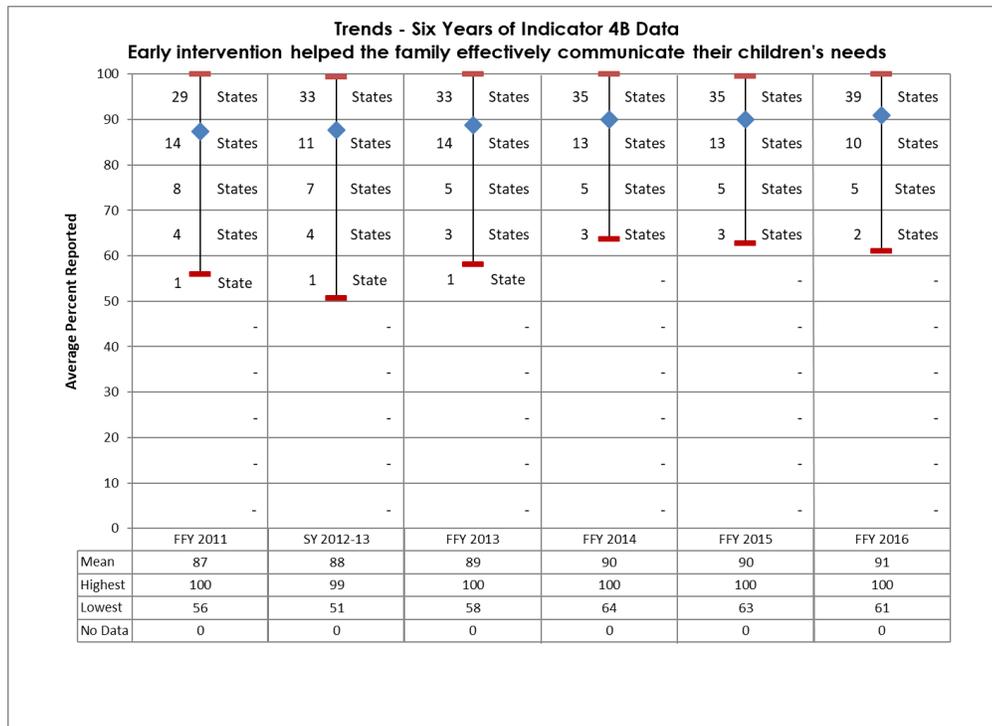
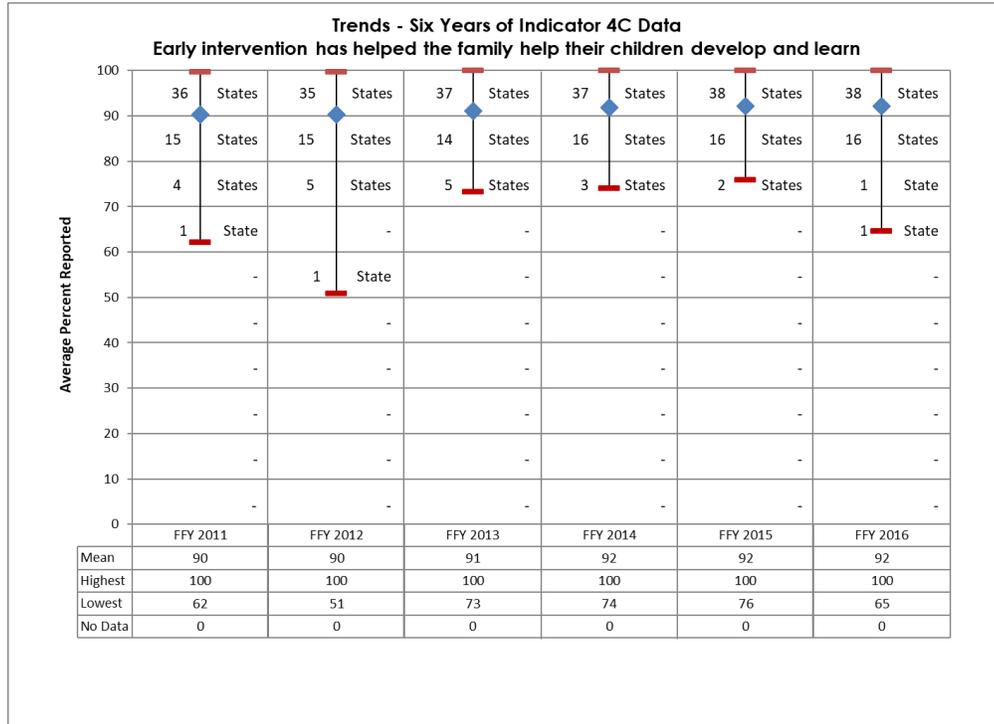


Figure 3



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 from birth to age one. This summary of Indicator 5 is based on data from FFY 2016 APRs from 56 states. For the purposes of this report, the term “state” is used for both states and jurisdictions.

DATA SOURCES

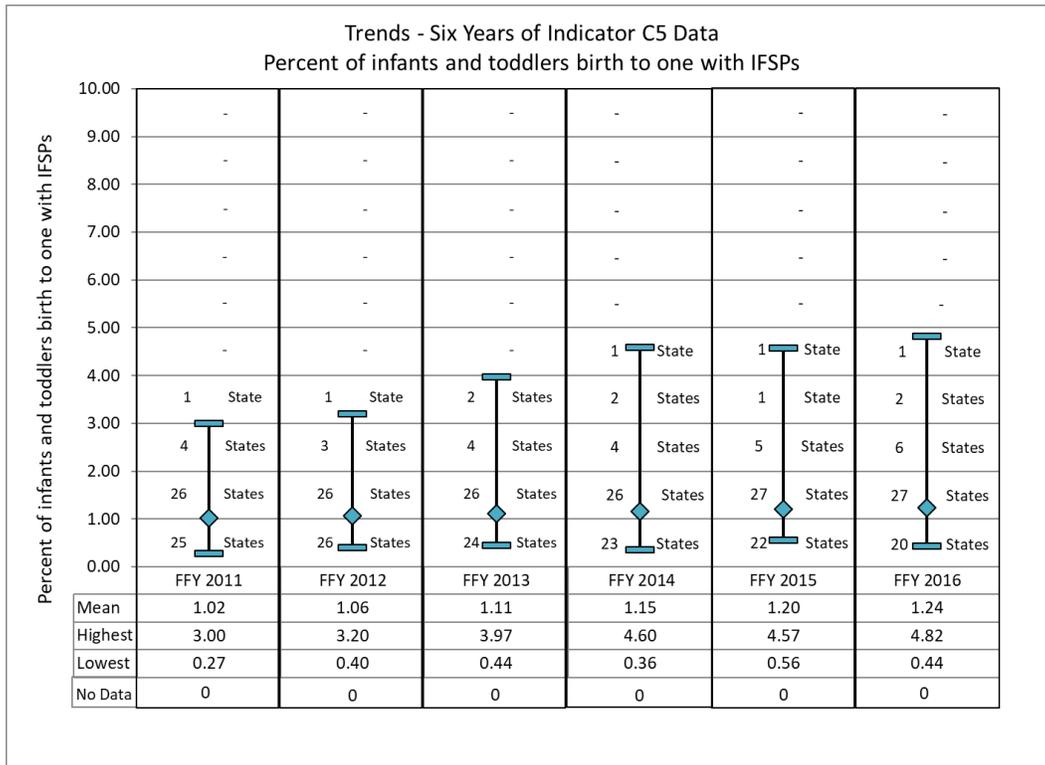
For Indicator 5, OSEP provided states with pre-populated data from the Section 618 “Annual Report of Children Served” data, and comparison data from the U.S. Bureau of the Census “2016 State Population Estimates by Age, Sex, Race, and Hispanic Origin” (<http://www.census.gov/popest>). These two numbers are used to calculate the percentage of the state’s birth to one population served in Part C early intervention for each state. Jurisdictions for which US Census data were not available submit population data from an alternate source for the purpose of calculating the percentage served.

For Part C, the 2016 national percentage of infants and toddlers ages birth to age one receiving early intervention services under IDEA is 1.24% (<https://osep.grads360.org/#communities/pdc/documents/9795>). This is the number to which all states must compare their data. The mean is calculated using data from 50 states and the District of Columbia. 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 national mean, range, and number of states included.

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 Indicator 6 is based on APR data for FFY 2016 from 56 states. For the purposes of this report, the term “state” is used for both states and jurisdictions.

DATA SOURCES

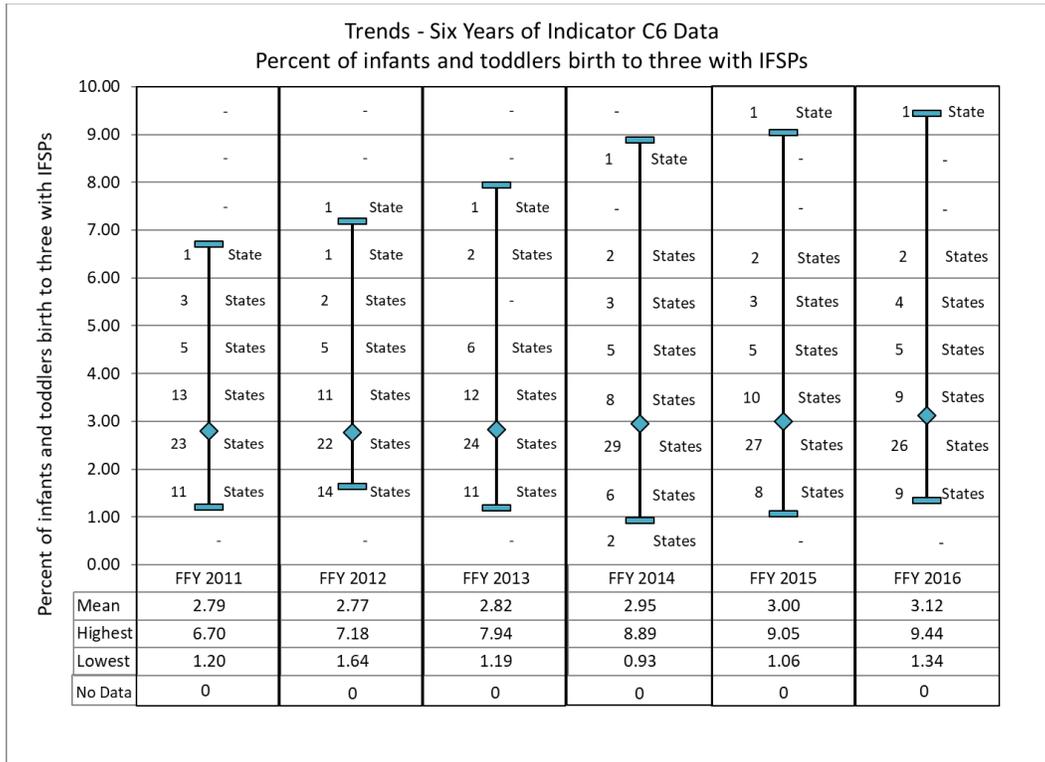
For Indicator 6, OSEP provided states with pre-populated data from the Section 618 Child Count data, and comparison data from the U.S. Bureau of the Census “2016 State Population Estimates by Age, Sex, Race, and Hispanic Origin” (<http://www.census.gov/popest>). These two numbers are used to calculate the percentage of the state’s birth to three population served in Part C early intervention for each state. Jurisdictions for which US Census data were not available submit population data from an alternate source for the purpose of calculating the percentage served.

For Part C, the 2016 national percentage of infants and toddlers ages birth to age three receiving early intervention services under IDEA is 3.12% (<https://osep.grads360.org/#communities/pdc/documents/9795>). This is the number to which all states must compare their data. The mean is calculated using data from 50 states and the District of Columbia. 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.

Figure 1



INDICATOR 7: 45-DAY TIMELINE

Prepared by ECTA

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

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

This summary is based on data from Annual Performance Reports (APRs) submitted by 56 states and jurisdictions for FFY 2016. For the purpose of this report, the term "state" is used for both states and jurisdictions.

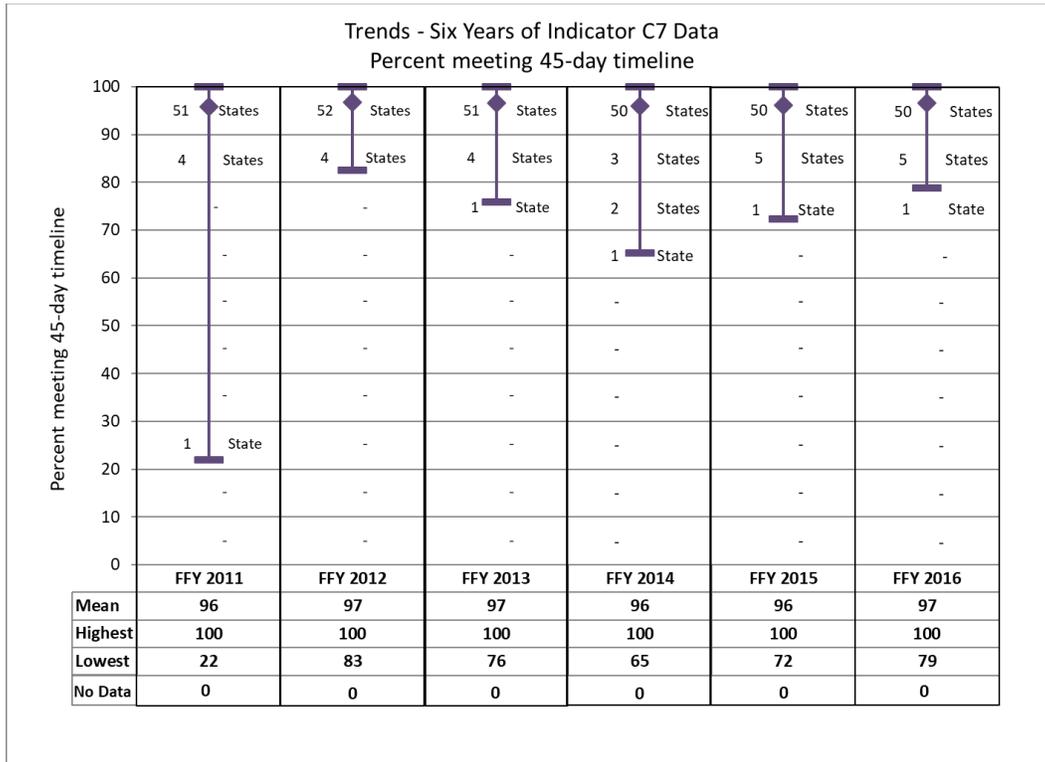
DATA SOURCES

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

ACTUAL PERFORMANCE

Figure 1 illustrates current data (FFY 2016) and trend data over the last six reporting years, from FFY 2011 to FFY 2016. 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: 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: an IFSP with transition steps and services; notification to the State Education Agency (SEA) and the Lead Education Agency (LEA) of residence, if the child is potentially eligible for Part B; and a transition conference, if the child is potentially eligible for Part B.

INTRODUCTION

Each of the three sub-indicators of Indicator 8 corresponds to specific Part C regulations. For Indicator 8, states report the percentage of toddlers with disabilities exiting Part C with timely transition planning for whom the Lead Agency has:

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

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

Indicator 8 is a compliance indicator with a target of 100% for all three sub-indicators. This analysis of Part C Indicator 8 is based on data from FFY 2016 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.

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 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 (FFY 2016) and trend data for each of the three transition sub-indicators over the last six reporting years (FFY 2011 to FFY 2016). 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

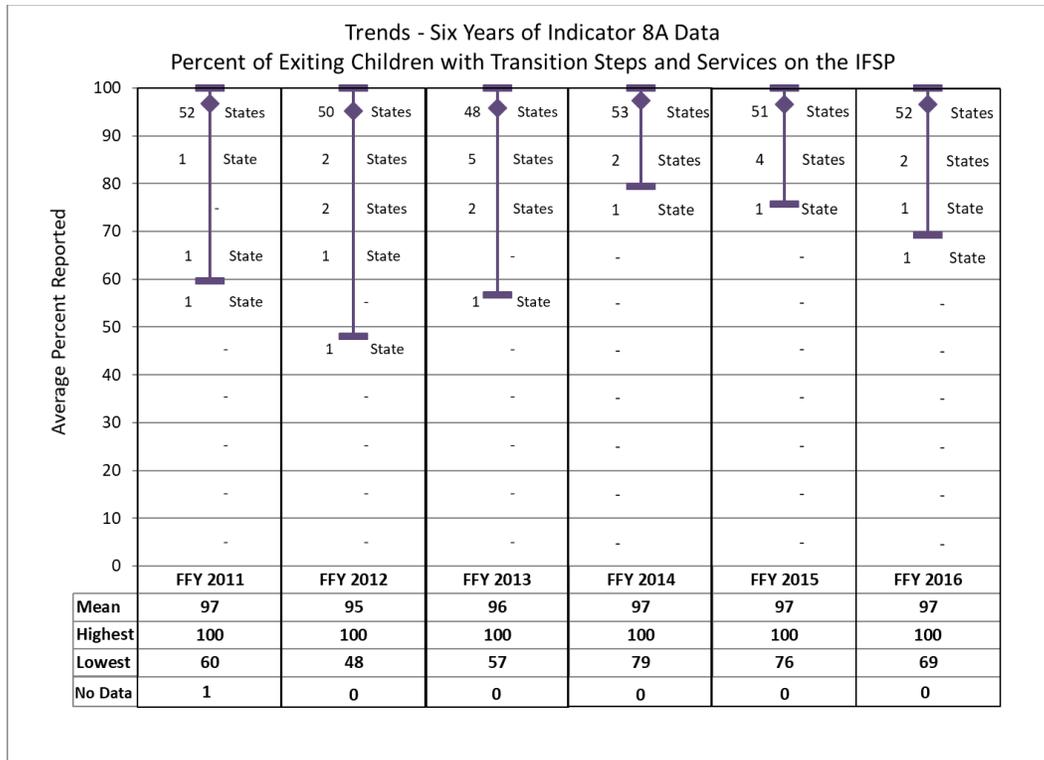


Figure 2

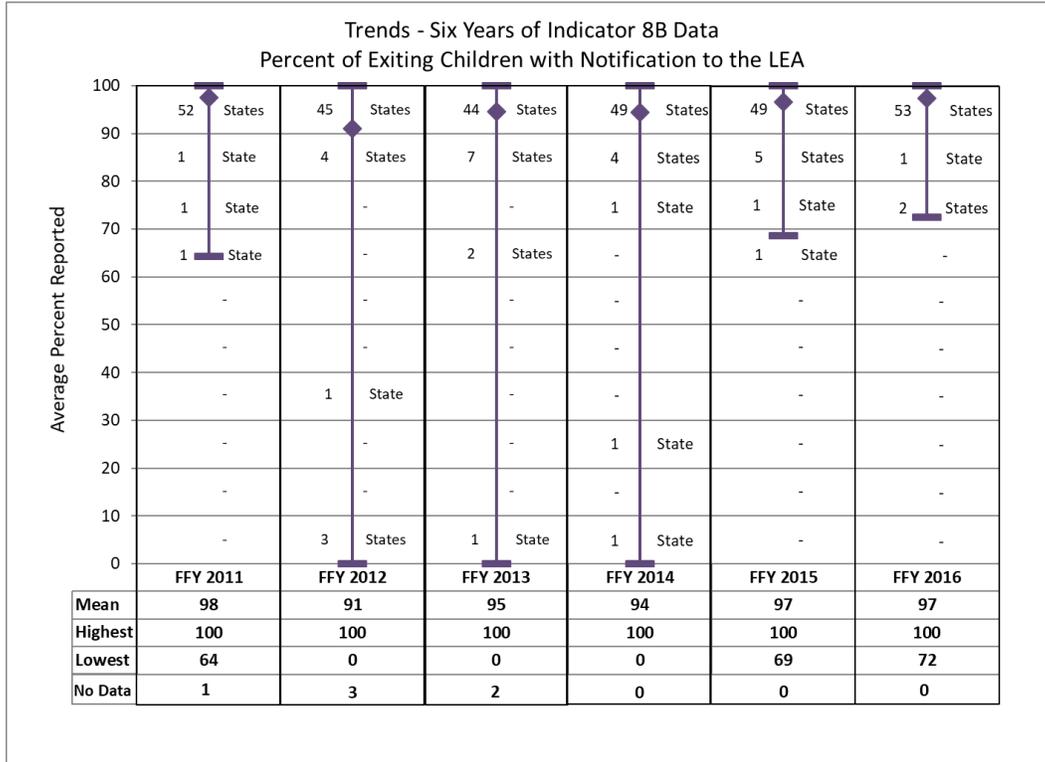
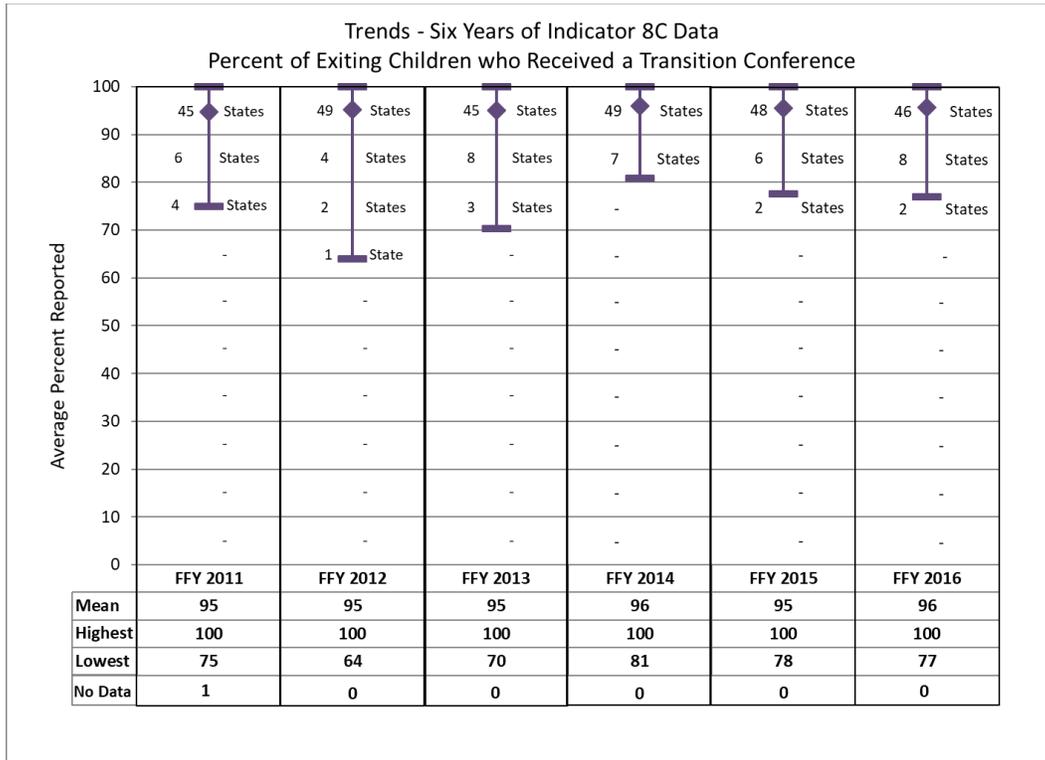


Figure 3



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) 2016 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 2016 APRs and Section 618 data, 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 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

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

² The reporting period (July 1, 2016-June 30, 2017) began during FFY 2016.

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

performance Indicator C9 but are not required to set or meet a performance target if fewer than ten resolution meetings are held in a single year. Due process complaints continue to be a rarely used dispute resolution option in Part C programs, therefore there are minimal occurrences of resolution meetings. Historically, in only one year (2012-13) has national data reflected more than two resolution meetings held during a single reporting year.

Twenty (20) states reported that they use Part B due process procedures according to their 2016 APR. Nationally, there were zero resolution meetings held during 2016-17.

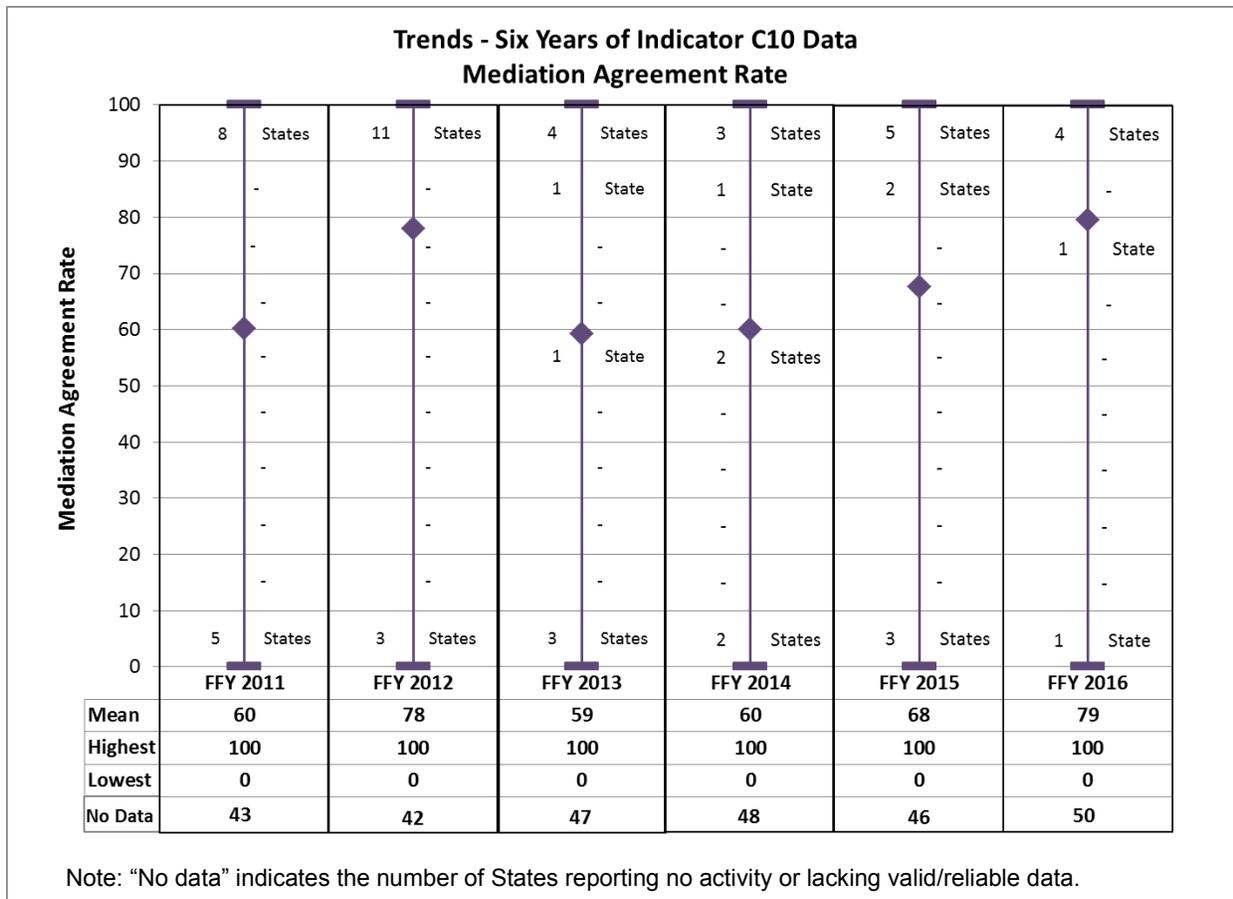
Indicator C10: Mediations Resulting in Written Agreements

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-reported 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.



Nationally in 2016-17, six states held 76 mediation sessions which is an increase of 33.3% as compared to 2015-16 national data. Two large population states accounted for 72 (one State held 56 and one State held 16) of the 76 mediation sessions held, or 94.7% of all mediation sessions held nationally in 2016-17. A total of 60 of the 76 mediation sessions held in 2016-17 resulted in agreements – yielding a national agreement rate of 79%.

CONCLUSION

Nationally, the use of mediation sessions and resolution meetings among Part C programs continues to be very low. This may be attributed to both the collaborative, family-centered nature of Part C programs as well as the short time a family is engaged with them, since 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 – YEAR 2

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 (SPP) 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 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. A theory of action (TOA) and broad improvement strategies were required to be identified based on data analysis, including analysis of the state infrastructure. This information was 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 submitted to OSEP in April 2017, states reported on their progress made during the first year of SSIP implementation, consistent with the evaluation plan developed in Phase II.

In Phase III – Year 2 (FFY 2016), states continued to report on their progress in implementing their SSIPs. 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 2016 SSIP reports submitted by 55 of 56 states and jurisdictions. (One state submitted a revised Phase I SSIP report instead of a Phase III – Year 2 SSIP and analysis of that state’s submission is not included in this report.) 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 2016 SIMR DATA

In the FFY 2016 SPP/APR submitted in April 2018, 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 2016 SIMR progress data were compared with the FFY 2016 measurable and rigorous targets, also expressed as a percentage. FFY 2016 data were also compared with the SIMR progress data reported in FFY 2015.

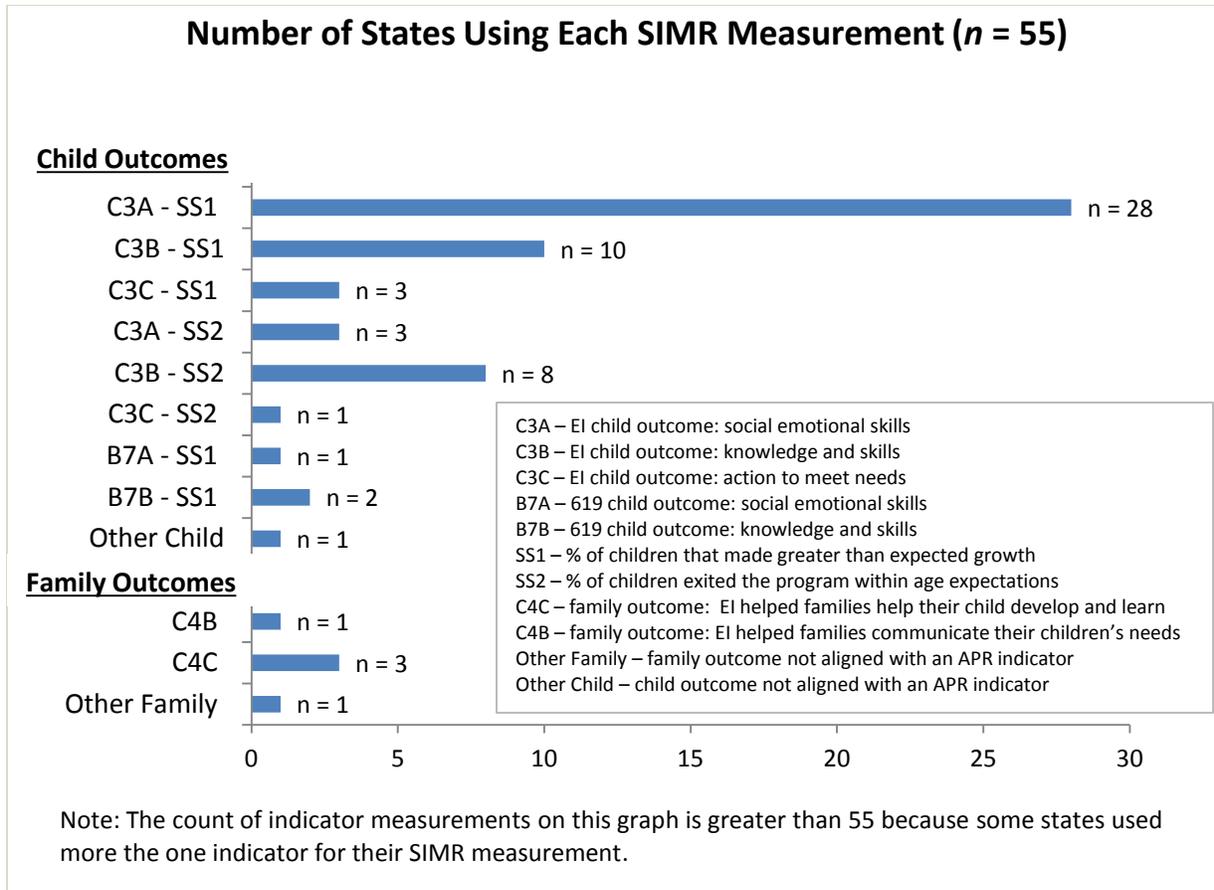
Child and Family Outcomes Identified in the SIMR

Each state has identified a child and/or family outcome as the focus of its SIMR. Forty-nine of the 55 states that submitted a Phase III - Year 2 SSIP in FFY 2016 selected a single outcome for their SIMR and reported one percentage for their FFY 2016 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). States that selected multiple outcomes for the focus of their SIMR opted to either combine the data into a single percentage or report more than one percentage (one percentage for each child and/or family outcome included in the SIMR).

States’ SIMR measurements and the number of states using each is shown in Figure 1. Slightly 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). Twenty-three states focused on other Part C child outcomes. In addition to focusing on a Part C child outcome, two states also focused on Part B 619 child outcomes in their measurement: both included preschool children’s knowledge and skills (B7B-SS1) and one of these states also included preschool children’s positive social-emotional skills (B7A-SS1). One state identified a child outcomes SIMR that was not equivalent to an APR indicator measurement (labeled as “Other Child” in Figure 1). While most SIMRs were focused

on child outcomes, five states (9%) included at least one family outcome in their SIMR. Three states' SIMRs included measuring early intervention services 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 (labeled as "Other Family" in Figure 1). The total count in Figure 1 is greater than 55 because some states reported multiple outcomes for their SIMR.

Figure 1



Progress in Meeting SIMR Targets for FFY 2016

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 2016. All 55 states reported FFY 2016 SIMR progress data.

All 55 states included the FFY 2016 SIMR target in their Phase III report. Target and SIMR progress data were compared to determine whether the state met its FFY 2016 target. States were coded as meeting their targets if their actual FFY 2016 data were at or above their FFY 2016 targets for all outcomes associated with the SIMR. Thirty of

the 55 states (55%) reported that they met their FFY 2016 targets for Indicator 11, and 25 states (45%) did not meet their FFY 2016 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 2016 and FFY 2015, available on GRADS 360. No progress meant that actual FFY 2016 SIMR data were less than last year's data. A state was determined to be making progress if its actual FFY 2016 data were above the SIMR data reported in FFY 2015 for all outcomes associated with the SIMR (for states with multiple outcomes).

Twenty-seven of the 55 states (53%) made progress in the SIMR between FFY 2015 and FFY 2016 while two states stayed the same. Twenty-six states (47%) did not make progress as a result of their FFY 2016 SIMR data being lower than in FFY 2015.

SUMMARY OF CHANGES MADE TO SSIPs

States were required to report on changes they made to their SSIPs, including their SIMRs, SIMR baseline and targets, theories of action (TOA), improvement plans, and evaluation plans. Analysis of this information reflects that few states made changes to their SIMR, SIMR baseline and targets, and TOA while a large number of states made changes to their improvement plans and evaluation plans.

Changes to SIMRs

No changes were made to SIMRs in FFY 2016.

Revisions to SIMR Baseline and Targets

States were required to review their baseline and targets for FFY 2016 through FFY 2018. On the basis of stakeholder input and justification, states were able to revise their baseline and targets.

One state reported in Phase III they had revised their SIMR baseline data since the FFY 2015 SSIP report. The new baseline was lower than the baseline reported in FFY 2015. The state's rationale was that they had changed the tool used to measure the SIMR.

All states reported targets for FFY 2016, including four states that did not report targets for FFY 2016 in their FFY 2015 APR. None of the states changed targets.

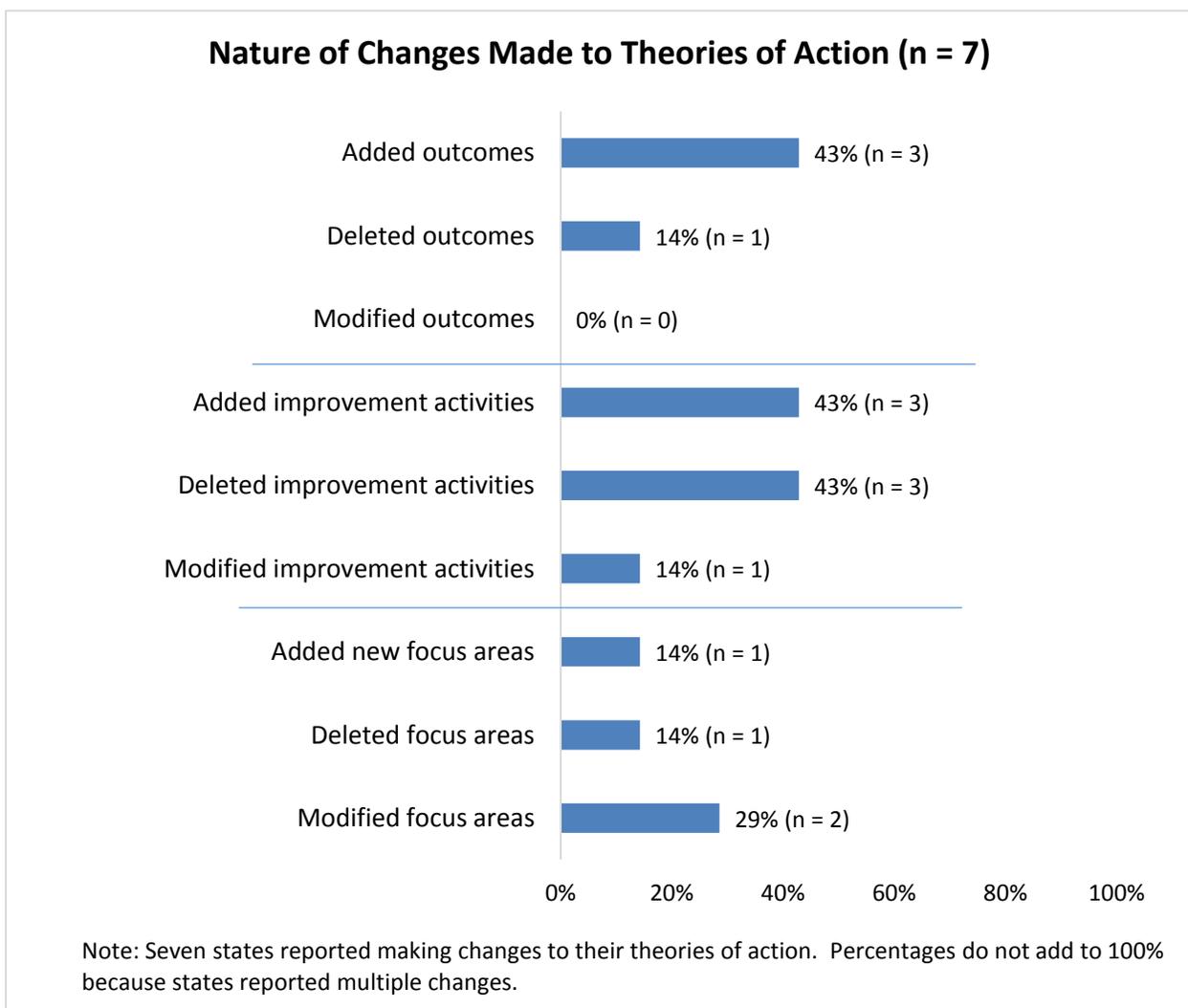
Changes to Theories of Action

In Phases I to III of the SSIP, each state included a TOA to illustrate how implementing their coherent set of improvement strategies would increase the state's capacity to

support meaningful change in EIS programs and/or help EIS providers achieve improvement in the SIMR. A number of states also included 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 – Year 2 of the SSIP, seven of fifty-five states (13%) reported modifications to their previously submitted TOA. Figure 2 shows the nature of changes made to the TOA in these seven states. Four states reported making changes to their outcomes: three states (43%) reported adding outcomes, and one state (14%) reported deleting outcomes. Seven states reported making changes to improvement activities: three states (43%) added activities, three states (43%) deleted activities, and one state (14%) made substantial modifications to improvement activities. Four states made changes to focus areas: two states (29%) reported modifying focus areas, one state (14%) added new focus areas, and one state (14%) deleted focus areas. States reported that continued data collection and evaluation activities led to adjusted expectations for future implementation requiring changes to their theories of action.

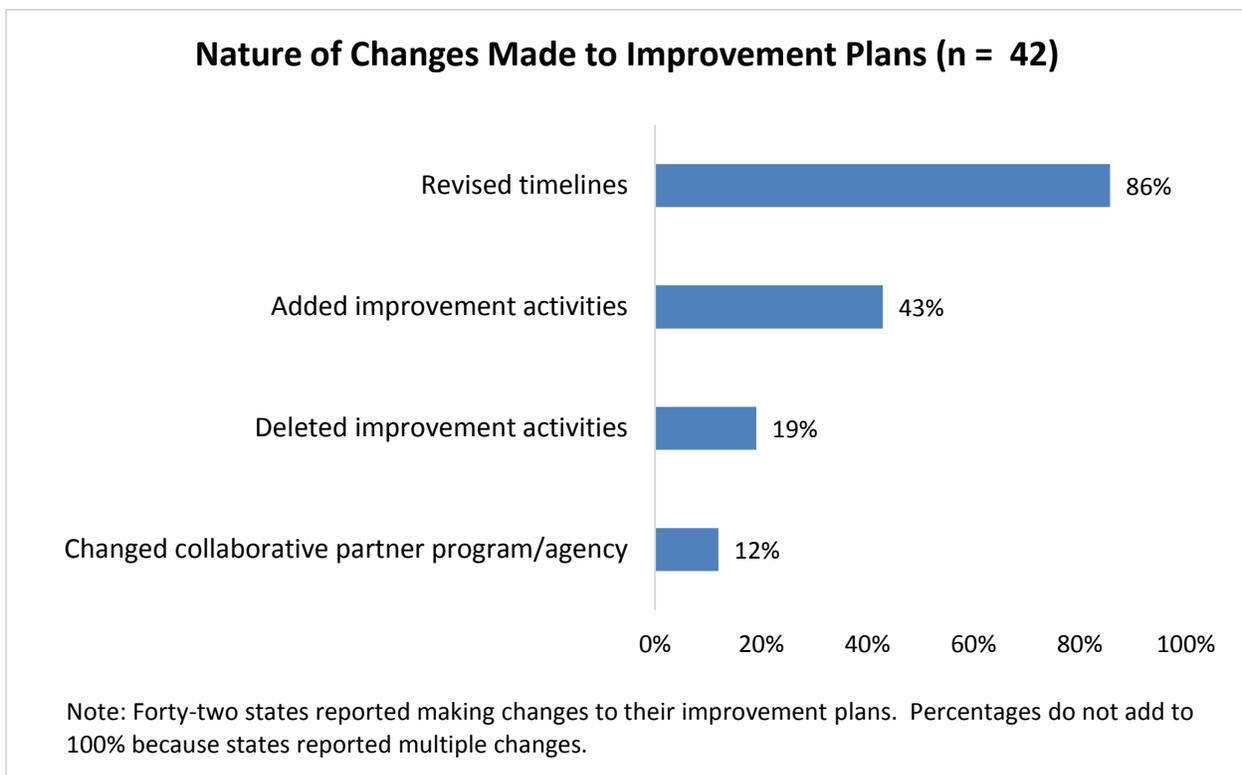
Figure 2



Changes to Improvement Plans

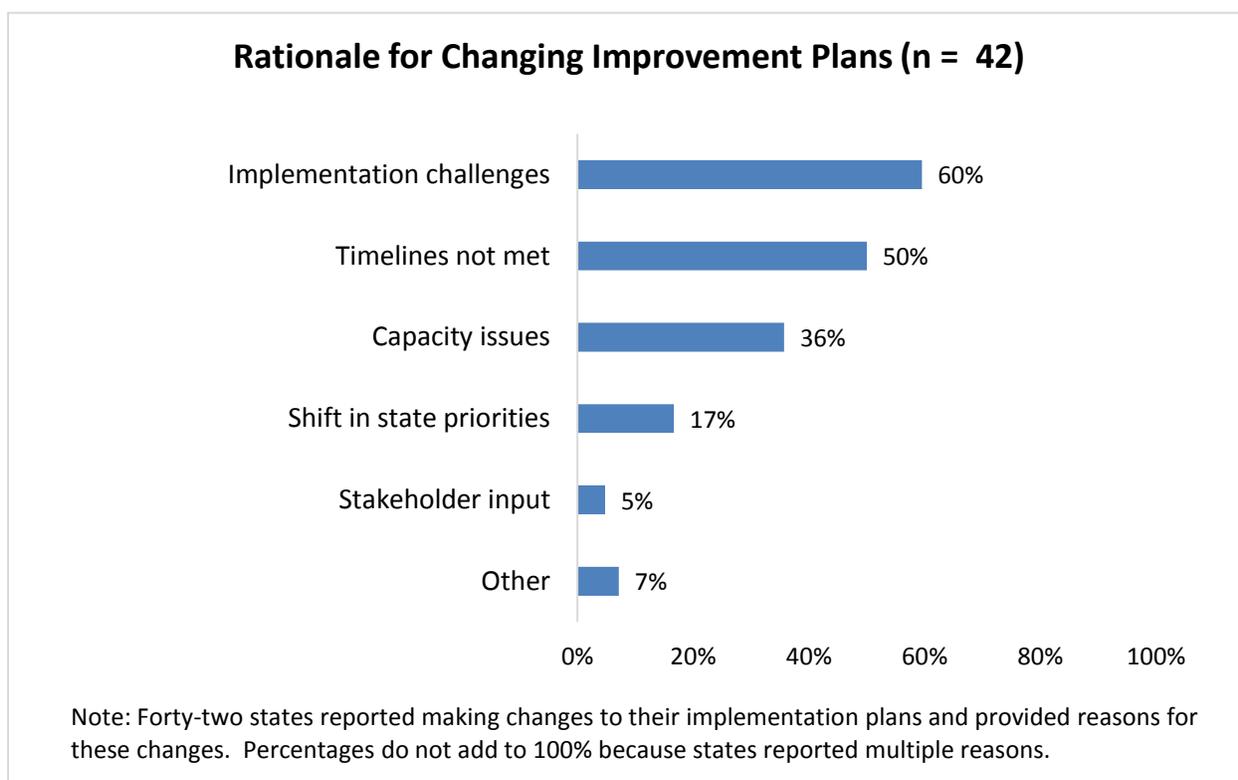
While only a small number of states reported changes to their theories of action, 42 states (76%) reported changing their improvement plans since Phase II. The SSIP improvement plan, intended to lead to improved results in the SIMR for infant and toddlers with disabilities and their families, contains specific activities and steps the state will take to enhance these results. Figure 3 shows the nature of changes states made to their improvement plans. Most states that made changes revised timelines for specific activities based on the first year of implementation (36 states, 86%). Eighteen states (43%) added activities and eight (19%) deleted activities. Five states (12%) reported changing collaborative partner programs or agencies.

Figure 3



States reported one or more reasons for making changes to improvement plans (Figure 4). Of the 42 states that made changes, 25 states (60%) revised improvement plans due to implementation challenges. Twenty-one states (50%) reported that they did not meet their planned improvement activity timelines and 15 states (36%) reported capacity issues as a barrier to implementation. Other states reported that changes were made due to a shift in state priorities (7 states, 17%), stakeholder input (2 states, 5%), or other reasons (3 states, 7%).

Figure 4

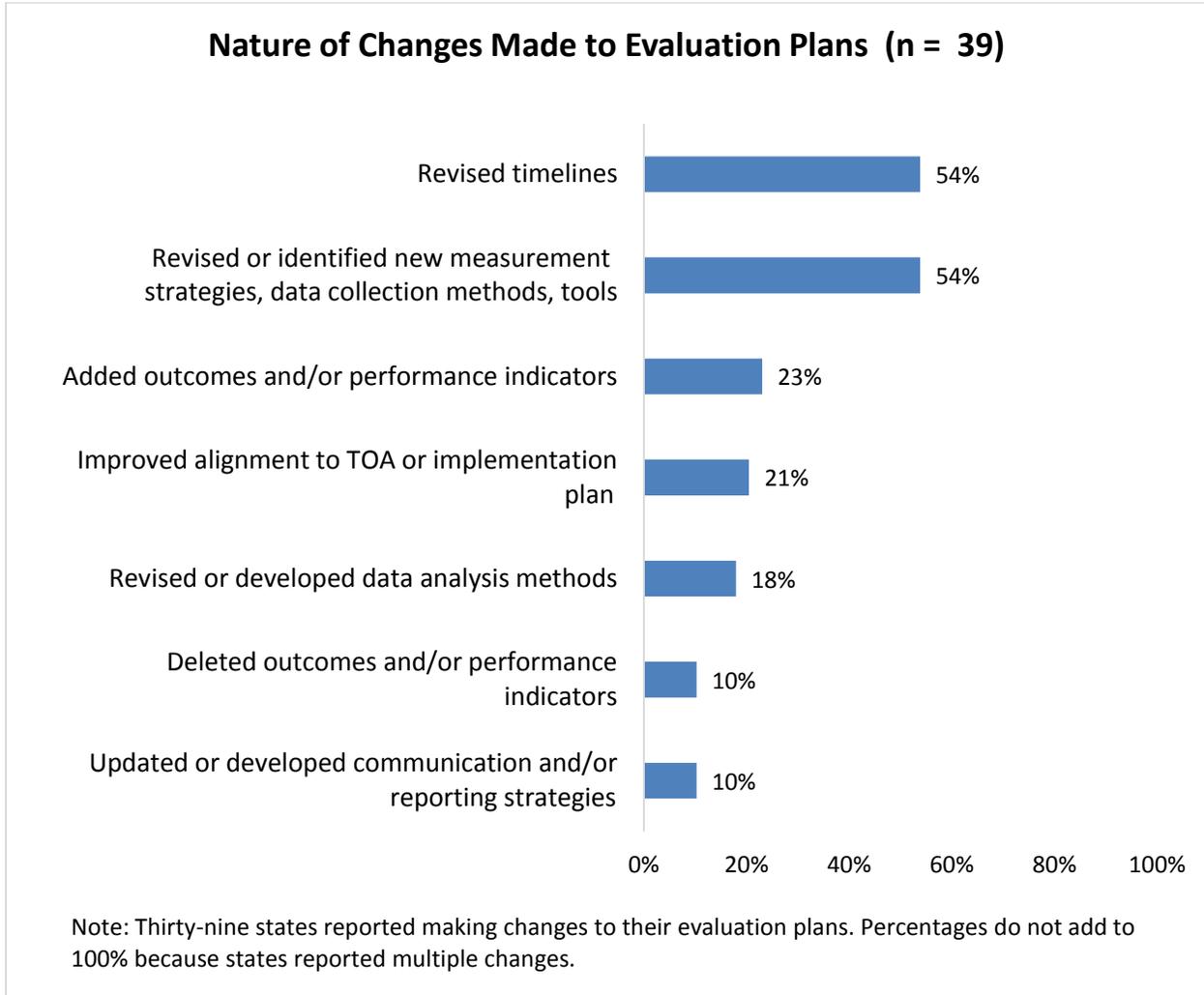


Changes to Evaluation Plans

Phase III – Year 2 is the second year states have reported on how they are evaluating their SSIPs, including the methods used to collect and analyze data related to measuring implementation and outcomes. Each state’s evaluation plan specifies how the state will use the evaluation results to determine the effectiveness of the implementation of the SSIP and the progress on achieving intended improvements. In addition, evaluation results inform potential modifications to the SSIP, including modifications to the evaluation plan.

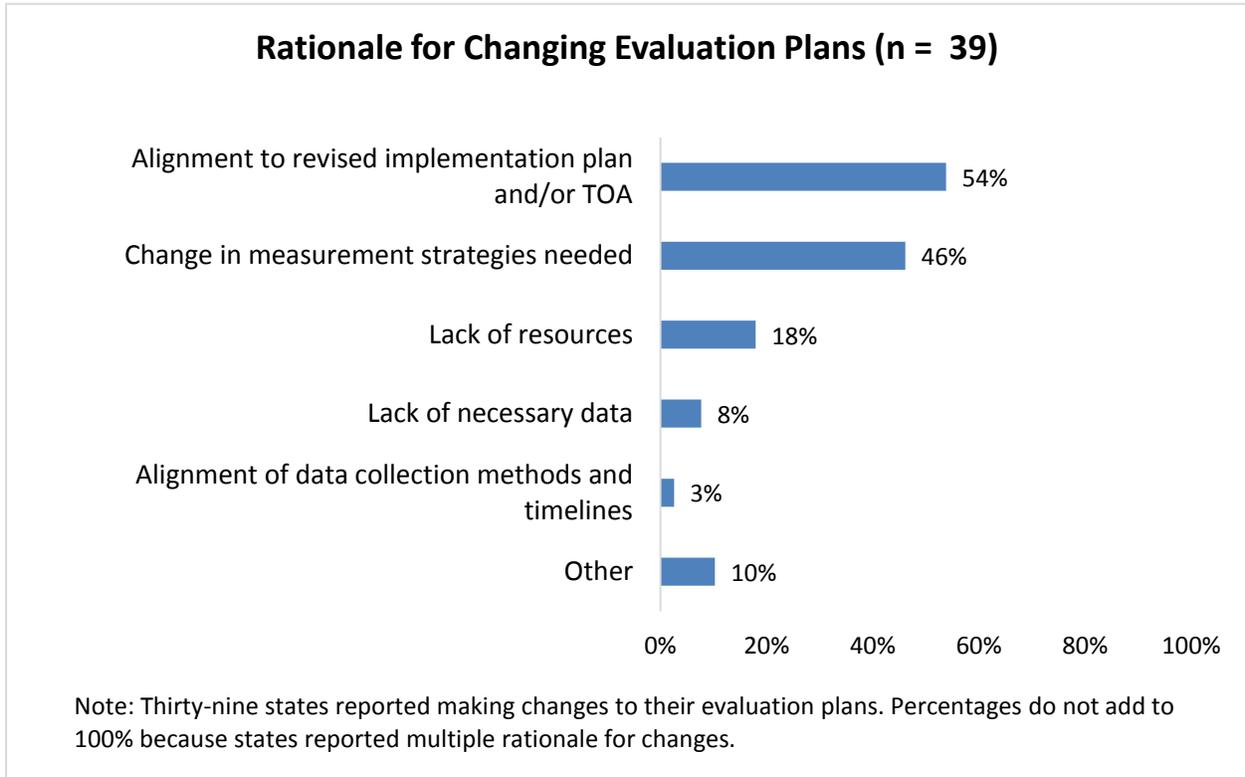
In Phase III – Year 2, 39 states (71%) reported revising their SSIP evaluation plans. Figure 5 shows the nature of changes states made to their evaluation plans. Twenty-one of the 39 states (54%) revised evaluation timelines and 21 states (54%) revised or identified new measurement strategies, data collection methods, or tools. Nine states (23%) added outcomes and/or performance indicators and eight states (21%) improved the alignment of their evaluation plan to their theory of action or improvement plan. Seven states (18%) revised or developed data analysis methods. Four states (10%) reported deleting outcomes and/or performance indicators and four states (10%) updated or developed communication and or reporting strategies.

Figure 5



States reported multiple reasons for making changes to evaluation plans. Figure 6 shows the types of rationales states provided for changing their evaluation plans. Most of the 39 states that made changes (21 states, 54%) revised their evaluation plans to ensure alignment to a revised improvement plan or theory of action. Eighteen states (46%) reported that a change in measurement strategies was needed. Lack of resources was cited by seven states (18%) and lack of necessary data by three states (8%). One state (3%) made revisions to better align data collection methods and timelines and four states (10%) reported other rationales, including delays in activities, a shift in priority, and stakeholders requesting additional data points to report back to programs.

Figure 6



PROGRESS IN IMPLEMENTING THE SSIP AND ACHIEVING INTENDED IMPROVEMENTS AND OUTCOMES

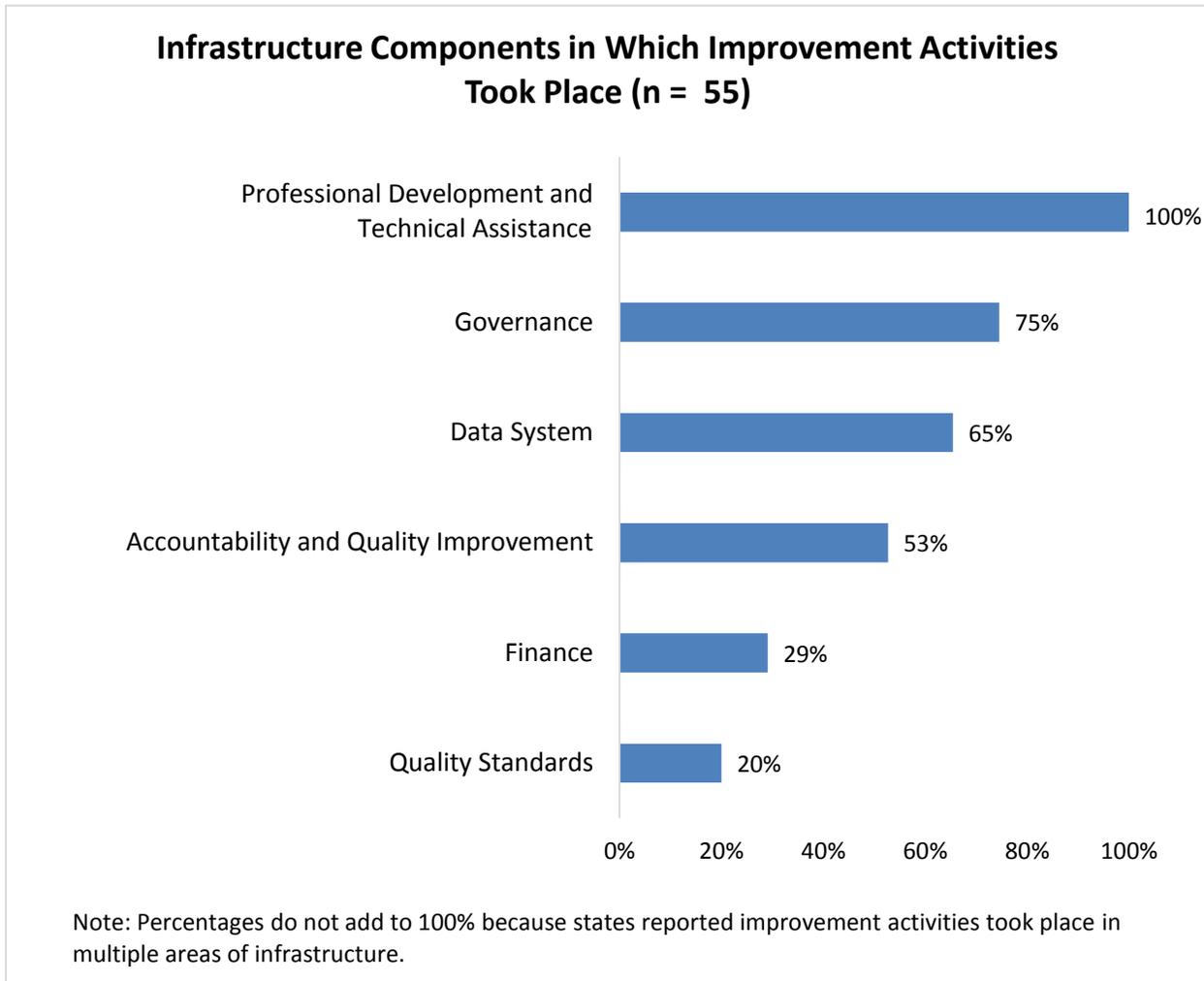
In Phase III – Year 2, states were required to report progress in implementing the SSIP and were encouraged by OSEP to include a description of the extent to which the state carried out its activities as planned—what was accomplished, what milestones were met, and whether the intended timeline was followed. States reported data that reflected whether or not they were making progress with implementation and if they achieved the intended outcomes for FFY 2016 based on infrastructure and practice improvements.

Infrastructure Components

All 55 states (100%) reported implementing infrastructure improvement activities in the FFY 2016 reporting year. The components of state infrastructure selected for improvement varied across states (Figure 7). All states (55, 100%) reported implementing improvement activities related to the Professional Development and Technical Assistance component. Forty-one states (75%) reported implementing activities to improve state or local Governance, 36 states (65%) implemented activities to improve their Data System, and 29 states (53%) worked on improving Accountability

and Quality Improvement. Fewer states reported implementing activities to improve Finance (16 states, 29%) and Quality Standards (11 states, 20%).

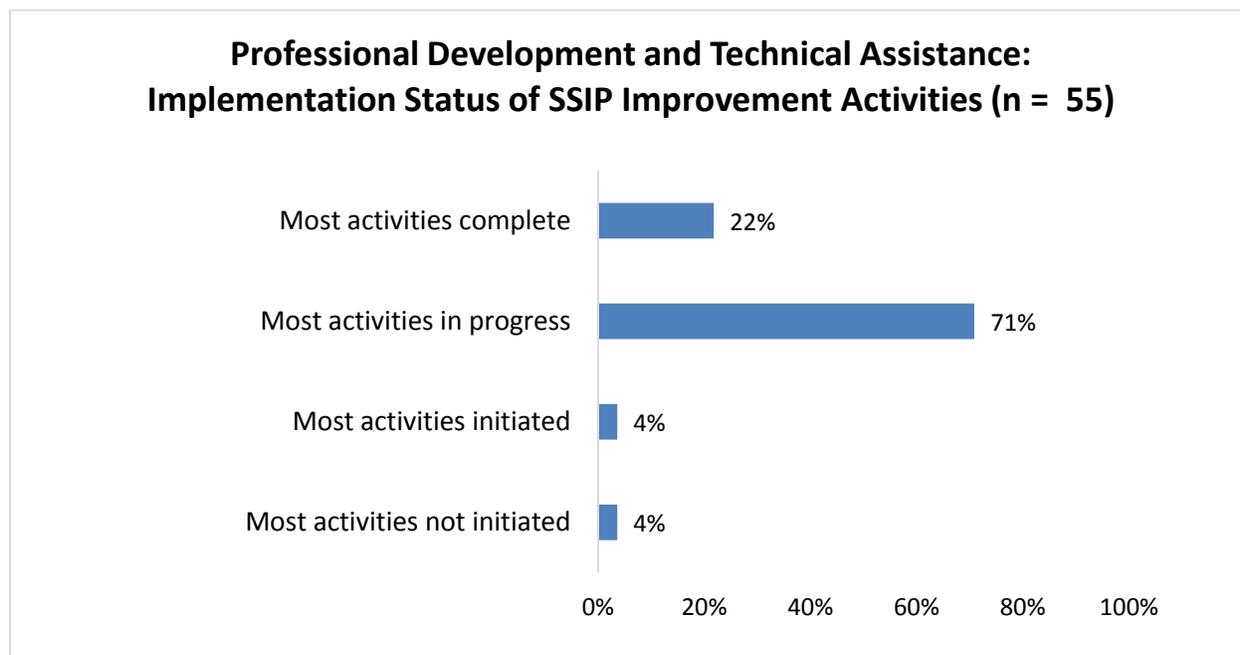
Figure 7



Progress Implementing Activities Related to Professional Development and Technical Assistance

For the Professional Development and Technical Assistance (TA) component of infrastructure, all 55 states (100%) reported implementing activities. Figure 8 shows the implementation status of state improvement activities related to professional development and TA. In 12 states (22%), most activities were complete and in 39 states (71%), most activities were in progress. Only two states (4%) reported that most activities had been initiated in FFY 2016 and another two states (4%) reported that most activities were not initiated.

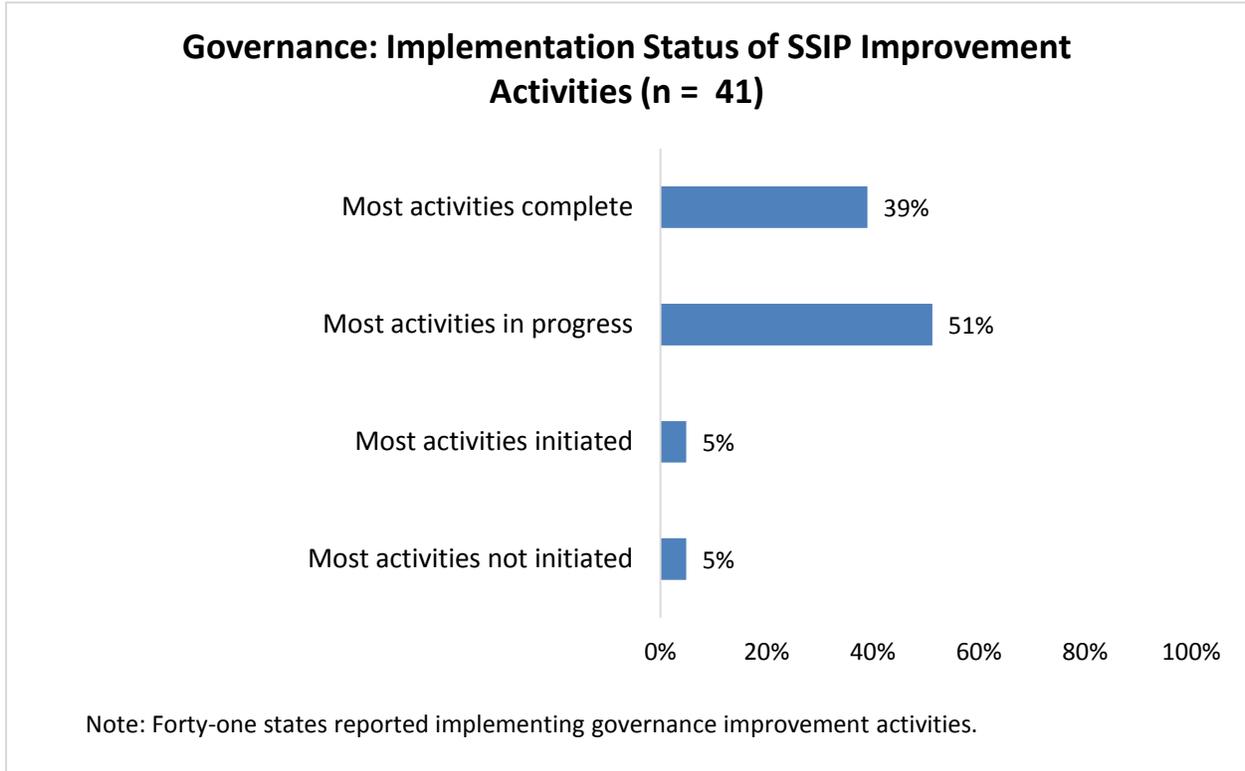
Figure 8



Progress Implementing Activities Related to Governance

For the Governance component of infrastructure, 41 states (75%) reported implementing activities. Figure 9 shows the implementation status of state improvement activities related to governance. In 16 of those states (39%), most activities were complete and in 21 states (51%), most activities were in progress. Only two states (5%) reported that most activities had only been initiated in FFY 2016 and another two states (5%) reported that most activities were not initiated.

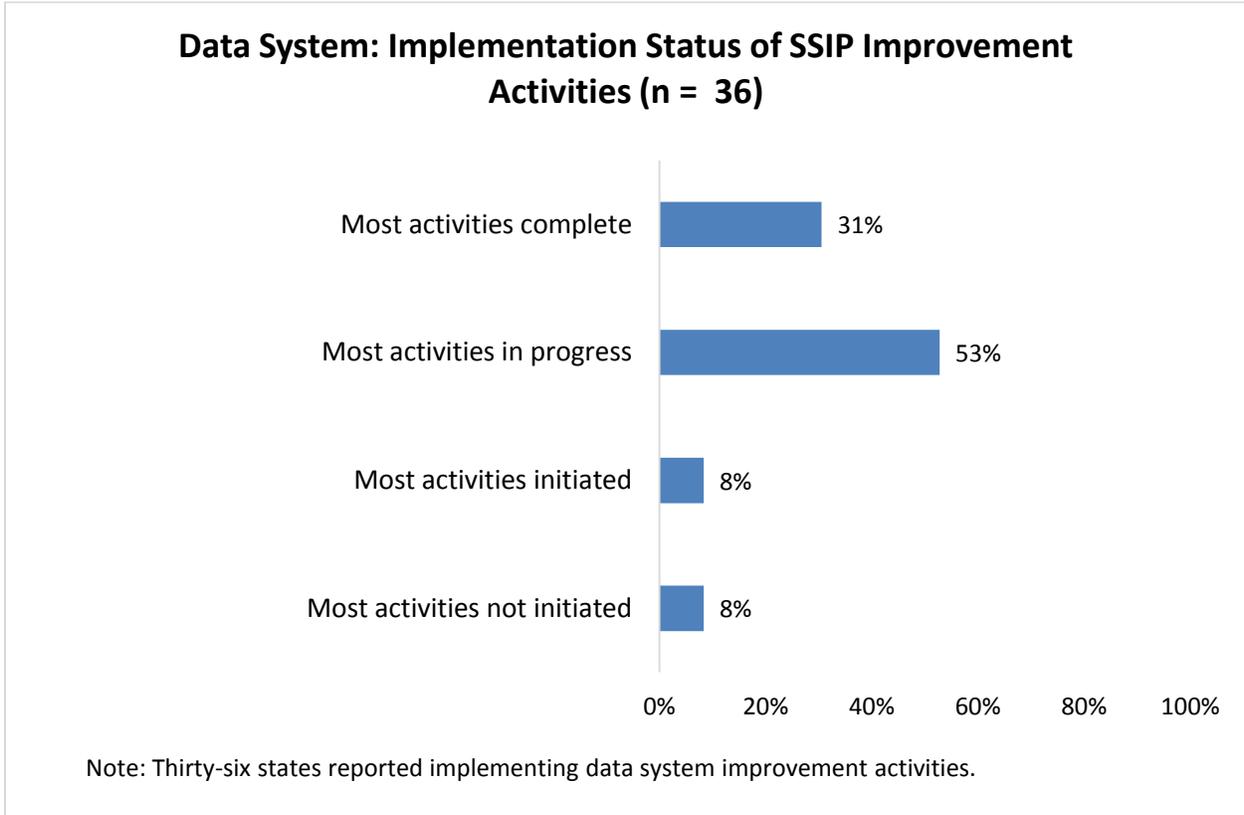
Figure 9



Progress Implementing Activities Related to Data Systems

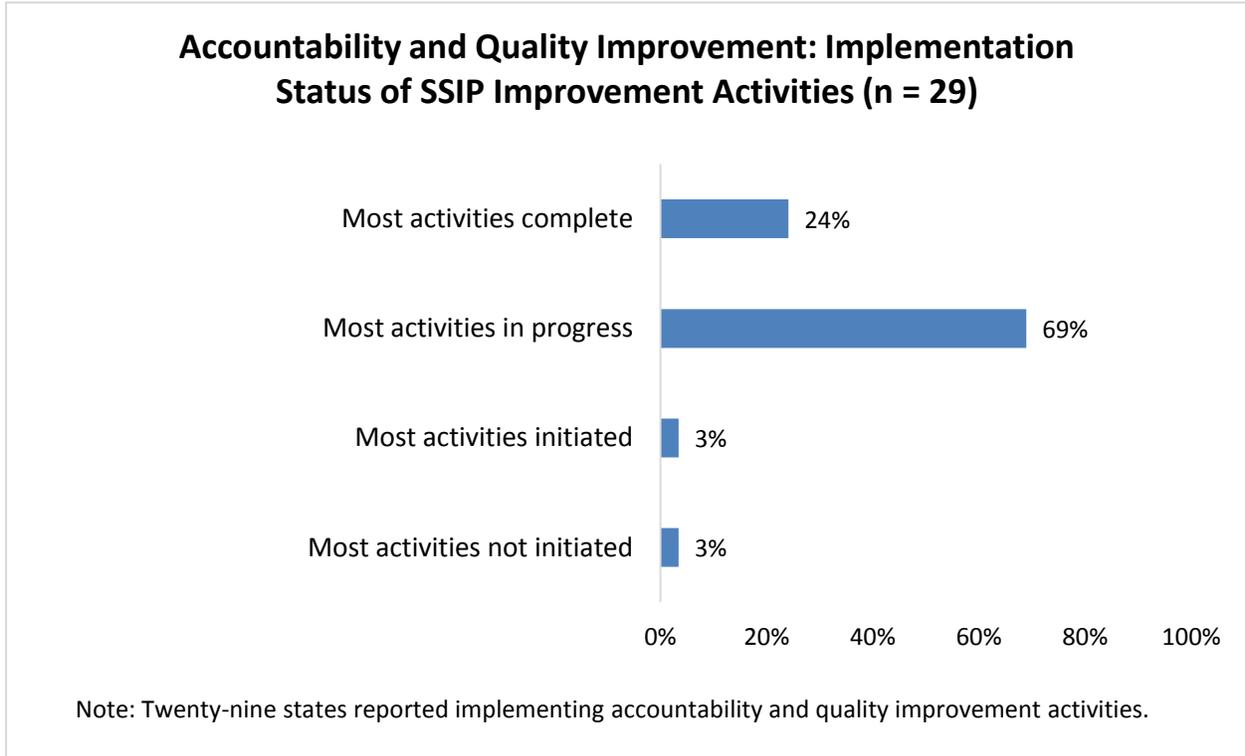
For the Data System component of infrastructure, 36 states (65%) reported implementing activities. Figure 10 shows the implementation status of state improvement activities related to data systems. In 11 of those states (31%), most activities were complete and in 19 states (53%), most activities were in progress. Only three states (8%) reported that most activities had been initiated in FFY 2016 and another three states (8%) reported that most activities were not initiated.

Figure 10



Progress Implementing Activities Related to Accountability and Quality Improvement
For the Accountability and Quality Improvement component of infrastructure, 29 states (53%) reported implementing activities. Figure 11 shows the implementation status of state improvement activities related to accountability and quality improvement. In seven of those states (24%), most activities were complete and in 20 states (69%), most activities were in progress. Only one state (3%) reported that most activities had been initiated in FFY 2016 and another state (3%) reported that most activities were not initiated.

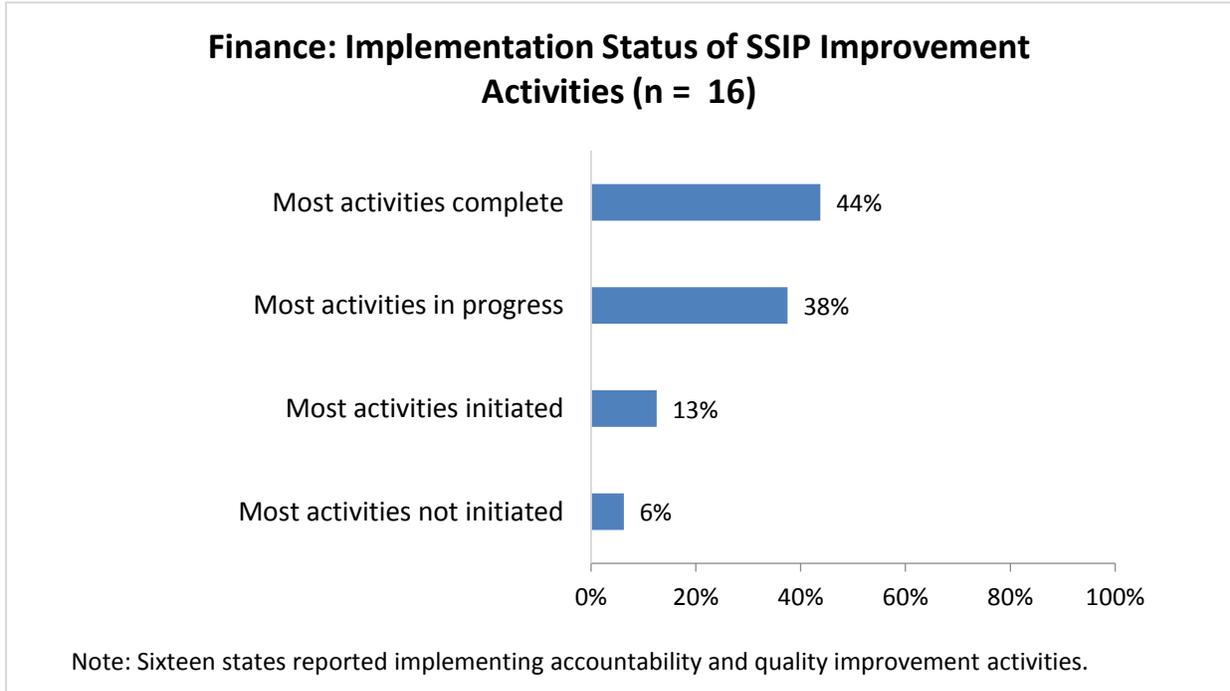
Figure 11



Progress Implementing Activities Related to Finance

For the Finance component of infrastructure, 16 states (29%) reported implementing activities. Figure 12 shows the implementation status of state improvement activities related to finance. In seven of those states (44%), most activities were complete and in six states (38%), most activities were in progress. Only two states (13%) reported that most activities had been initiated in FFY 2016 and one state (6%) reported that most activities were not initiated.

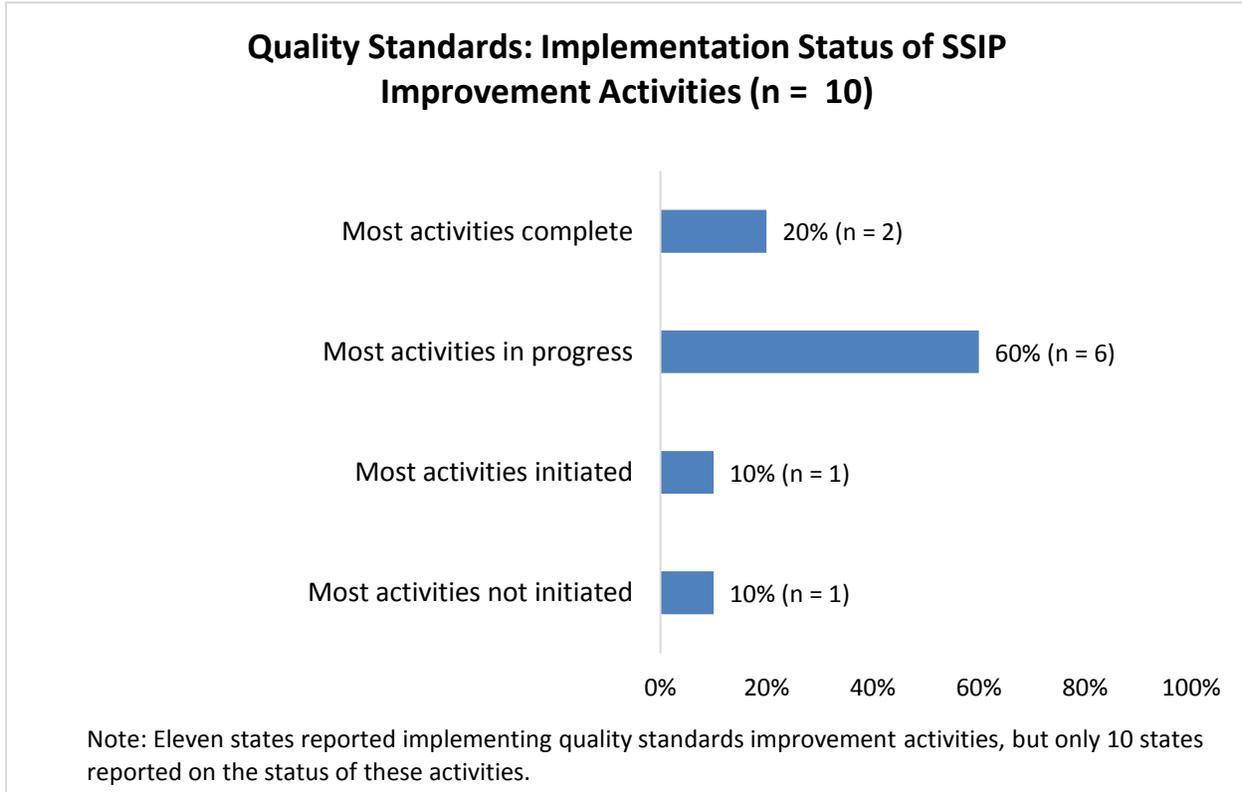
Figure 12



Progress Implementing Activities Related to Quality Standards

For the Quality Standards component of infrastructure, 11 states (20%) reported implementing activities but only ten states reported on the status of these activities. Figure 13 shows the implementation status of state improvement activities related to quality standards. In two of those states (20%), most activities were complete and in six states (60%), most activities were in progress. Only one state (10%) reported that most activities had been initiated in FFY 2016 and one other state (10%) reported that most activities were not initiated.

Figure 13

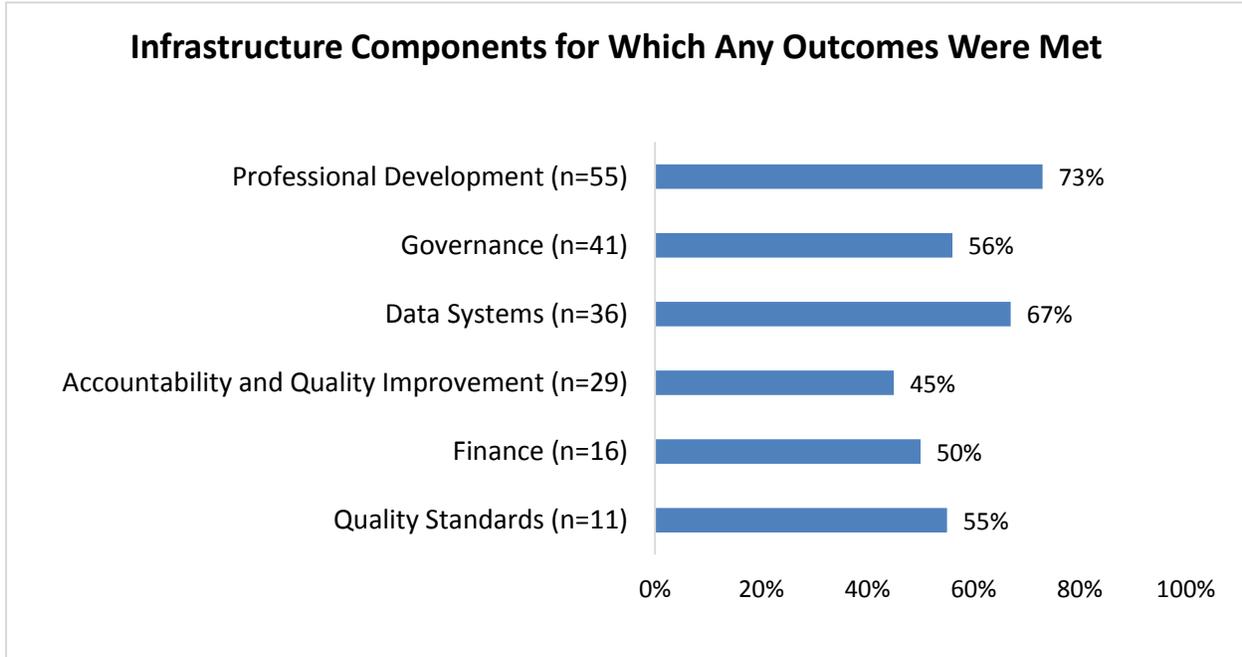


Progress on Improving System Infrastructure

In addition to reporting on the implementation status of activities, states also reported in Phase III – Year 2 on whether any short-term or intermediate outcomes were met in different areas of infrastructure following the implementation of improvement activities (Figure 14). At least half of the states reported that they met any outcomes related to each of the infrastructure components except the Accountability and Quality Improvement component.

Forty of 55 states (73%) reported that outcomes were met in the Professional Development component and 23 of 41 states (56%) reported meeting outcomes for the Governance component. Twenty-four of 36 states (67%) reported that outcomes were met for the Data Systems component, 13 of 29 (45%) met outcomes for the Accountability and Quality Improvement component, and eight of 16 states (50%) reported meeting outcomes for the Finance component. Last, six of 11 states (55%) reported meeting outcomes in the Quality Standards component.

Figure 14

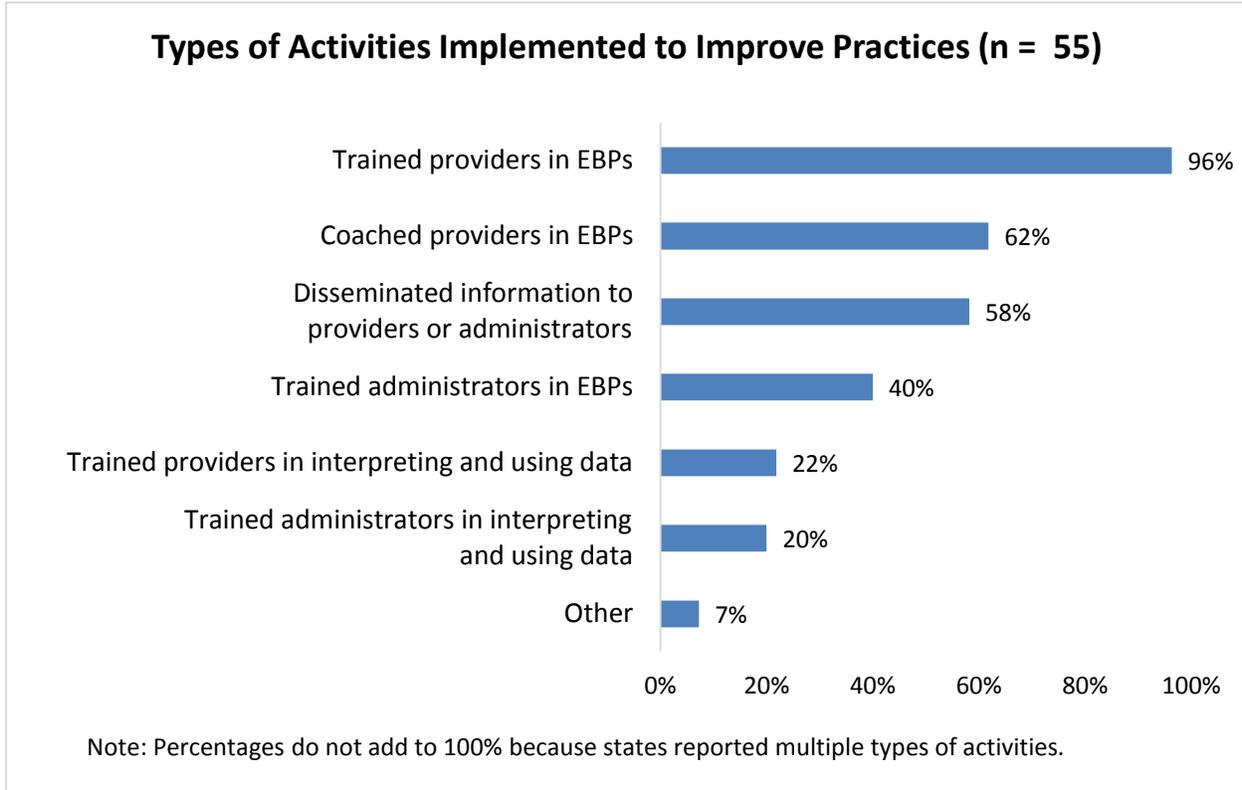


Practices

States were required to report on FFY 2016 SSIP activities that support implementation of selected evidence-based practices (EBPs) in Phase III – Year 2. States were also encouraged to report on whether or not these activities were yielding intended results such as changes in practice and/or if practice fidelity was being achieved.

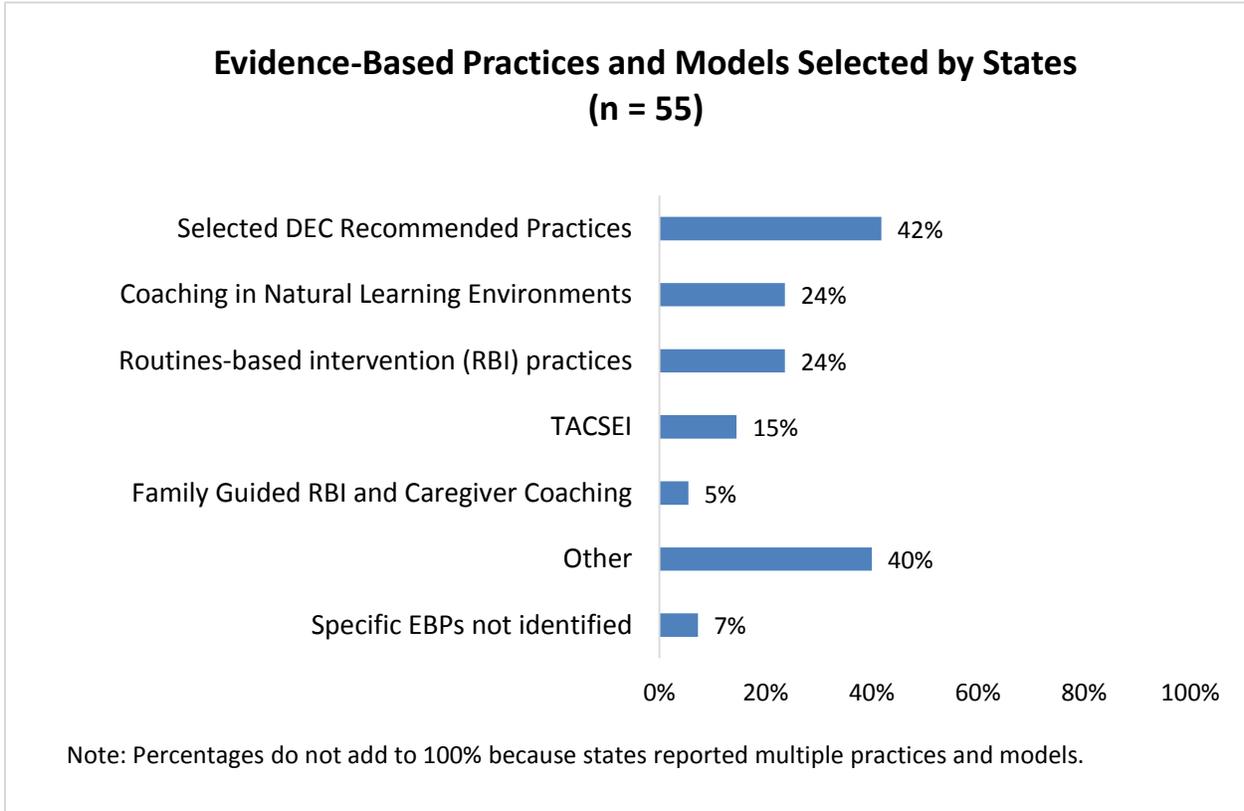
Each of the 55 states (100%) reported implementing activities to improve practices. The types of activities implemented to improve practices varied across states (Figure 15). Most states (53 of 55, 96%) reported training providers in EBPs and 34 states (62%) reported coaching providers in the implementation of EBPs. Thirty-two states (58%) reported disseminating information to providers or administrators and 22 states (40%) provided direct training to administrators in EBPs. Twelve states (22%) reported training providers in interpreting and using data and 11 states (20%) reported training administrators in interpreting and using data. Four states (7%) reported other types of activities implemented to improve practices, including providing parent training, training coaches on EBPs, and disseminating information to families.

Figure 15



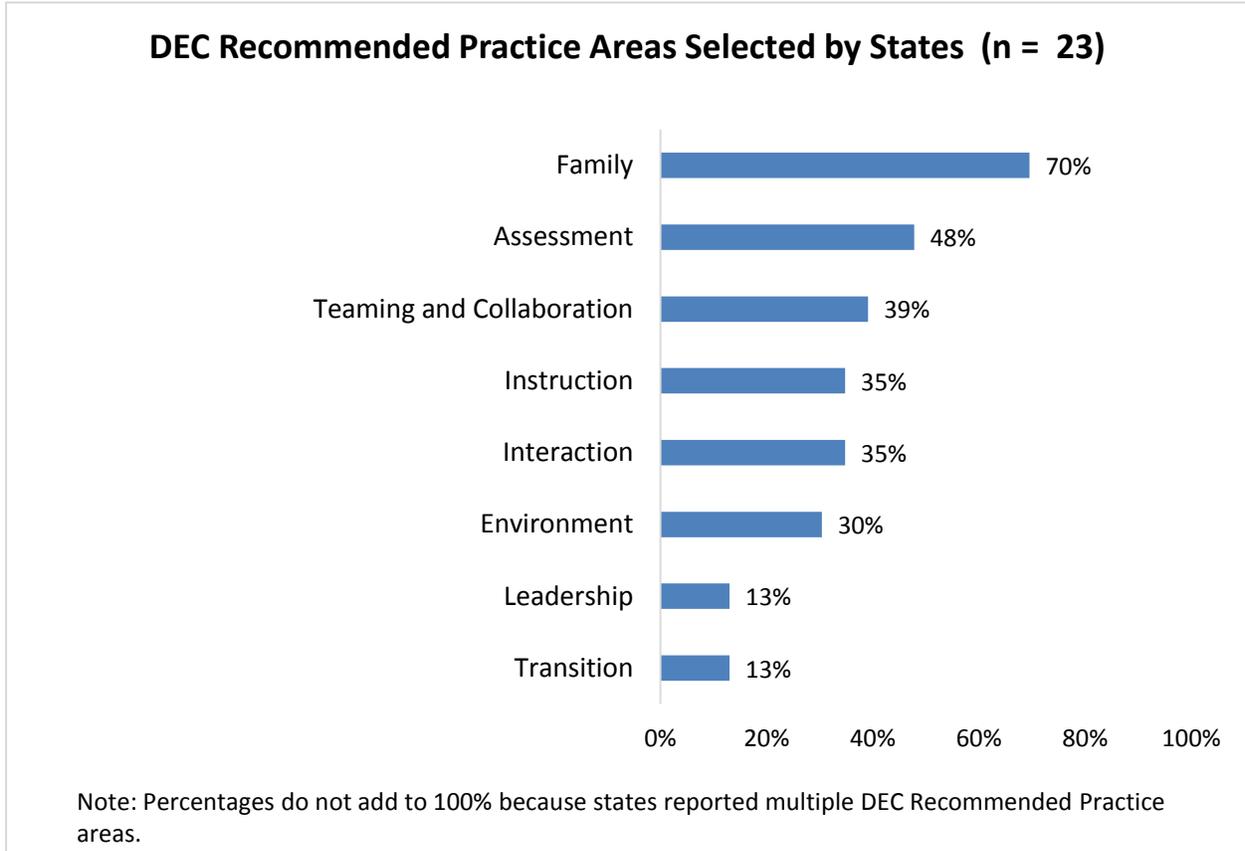
States reported on the specific EBPs and model(s) selected for implementation (Figures 16 and 17). Figure 16 reflects the various practices and models selected. This graph shows that 23 of 55 states (42%) reported implementing selected Division of Early Childhood (DEC) Recommended Practices. In addition to selected DEC Recommended Practices, states also reported implementing the following models: Coaching in Natural Learning Environments (13 states, 24%), Routines-Based Intervention (RBI) (13 states, 24%), pyramid model Technical Assistance Center on Social Emotional Intervention (TACSEI) (8 states, 15%), and Family-Guided Routines-Based Intervention and Caregiver Coaching (FGRBI) (3 states, 5%). Four states (7%) did not identify specific EBPs although they identified implementing activities to improve practices and 22 states (40%) reported implementing other practices. Other specific practices and models reported included Promoting First Relationships, other primary service provider models, literacy practices, Help Me Grow, family-centered practices, and cultural competence models.

Figure 16



Further detail about the DEC Recommended Practice areas selected by states is shown in Figure 17. Of the 23 states, 16 (70%) reported implementing family practices. Eleven states (48%) reported implementing assessment practices, nine states (39%) teaming and collaboration practices, eight states (35%) instruction practices, and eight states (35%) interaction practices. Smaller numbers of states reported implementing environment (7 states, 30%), leadership (3 states, 13%), and transition (3 states, 13%) practices.

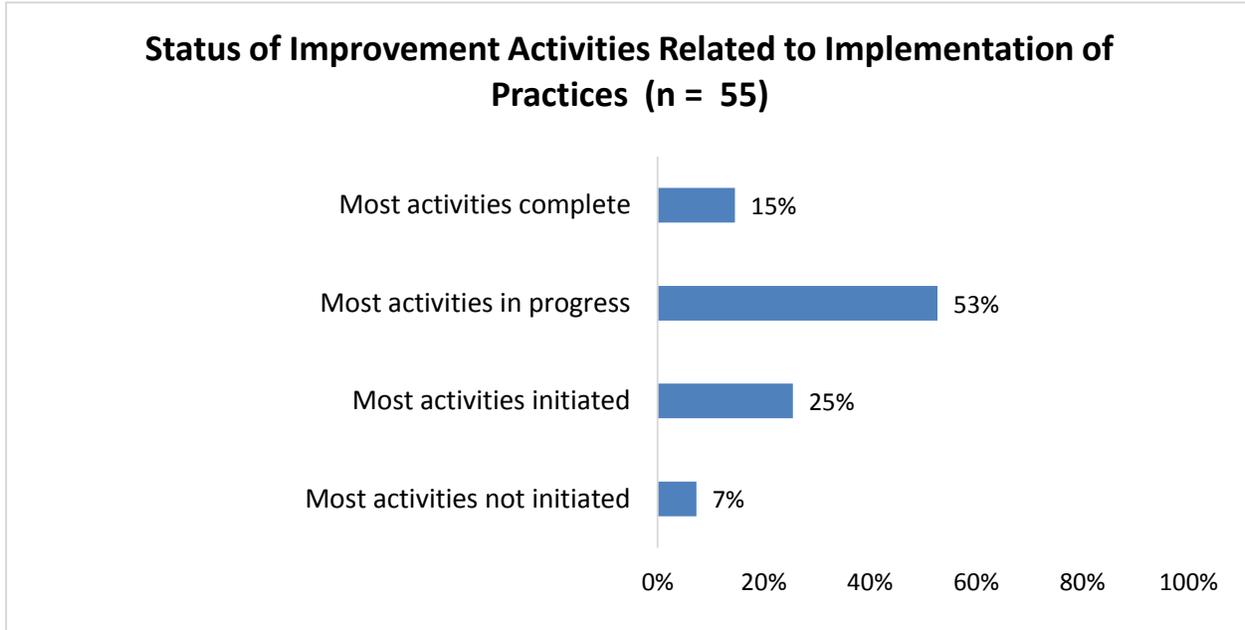
Figure 17



Progress Implementing Practices

States also reported on their progress implementing EBPs by reporting on the status of the improvement activities in their plan related to the implementation of EBPs (Figure 18). Of the 55 states, eight (15%) reported that most of the planned activities were complete and 29 (53%) reported that most activities were still in progress. Fourteen states (25%) reported that most activities had only been initiated and four (7%) reported that most activities had not yet been initiated.

Figure 18



Data on Changes in Practices

Thirty-seven states (67%) collected data in FFY 2016 to evaluate fidelity of practices. States reported a variety of tools and methods to collect data on practice change and fidelity. Figure 19 shows the tools states used to collect data. Twenty-nine states (53%) used state-developed tools and instruments and 25 states (45%) used model developers' tools and instruments. Nine states (16%) reported that they used specific DEC Recommended Practices tools and instruments and two states (4%) reported using other instruments. For 11 states (20%), tools to collect data on practice change and fidelity were not specified.

Figure 19

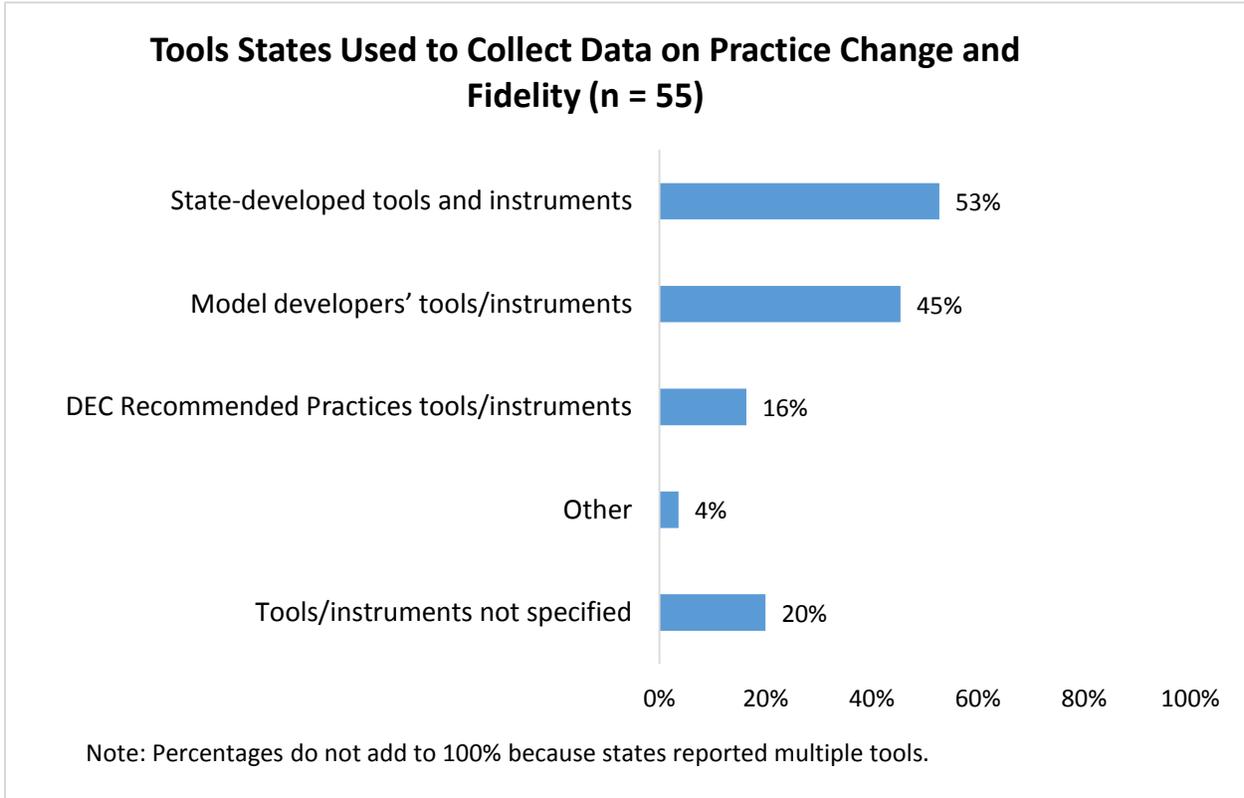
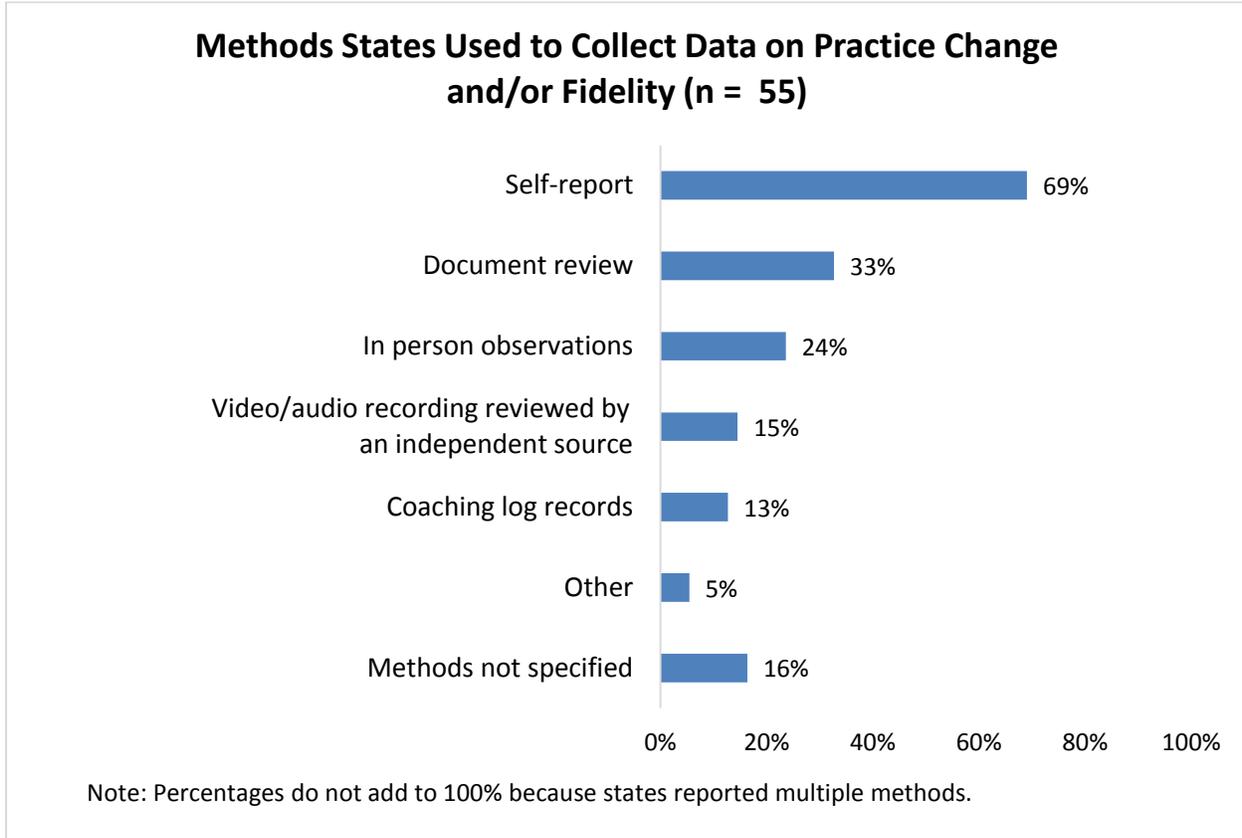


Figure 20 shows the methods states reported to collect data on practice change and fidelity. Thirty-eight of 55 states (69%) used provider self-report and 18 states (33%) used document reviews. In-person observations were used by 13 states (24%) and independent review of video and audio recordings by eight states (15%). Seven states (13%) used coaching log records and three states (5%) used other methods, including family surveys and follow-up monitoring. For nine states (16%), the methods were not specified.

Figure 20



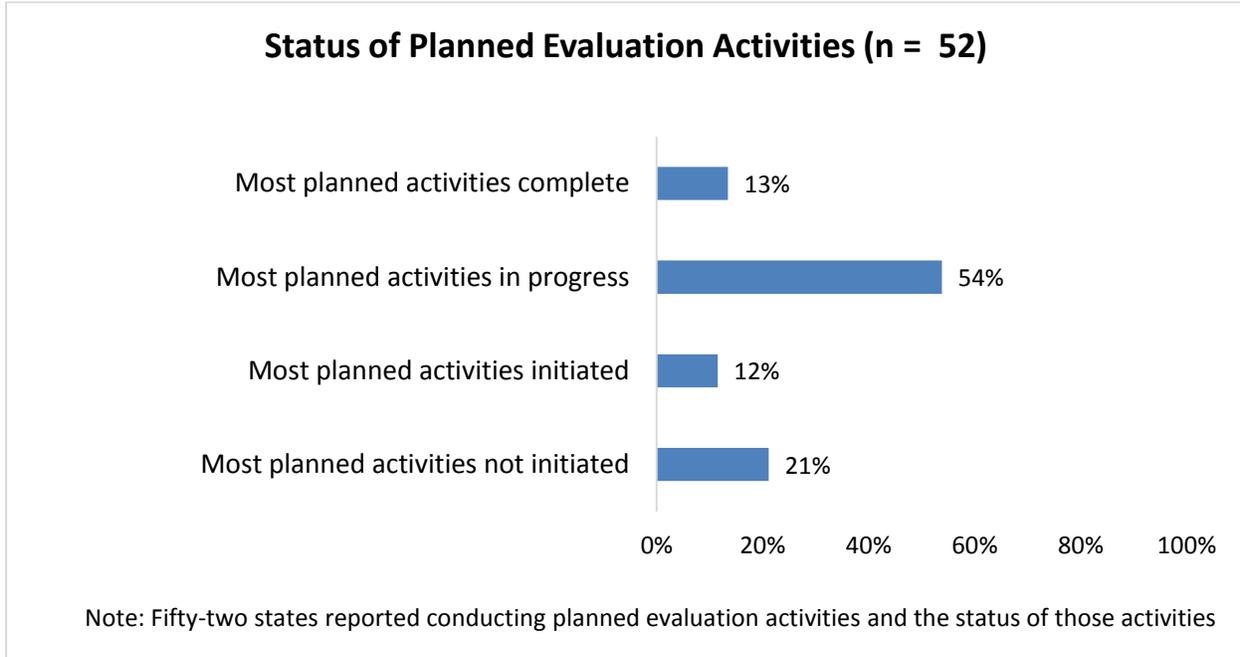
Forty-eight states (87%) reported producing outputs in FFY 2016 related to changes in practice. Forty-one states (75%) reported that they collected data on short-term and intermediate outcomes related to changes in practices and 26 of those states (63%) reported that they achieved one or more short-term and/or intermediate outcomes.

Evaluation

In Phase III – Year 2, states reported for the second time on their implementation of evaluation activities to measure progress on their improvement activities and achievement of intended outcomes.

Fifty-two of 55 states (95%) reported conducting planned evaluation activities in the FFY 2016 reporting year. The status of those evaluation activities is reported in Figure 21. Seven states (13%) completed most of the planned evaluation activities in FFY 2016. Twenty-eight states (54%) reported that most activities were in progress. In six states (12%), most planned activities were initiated and in 11 states (21%), most planned activities were not yet initiated.

Figure 21

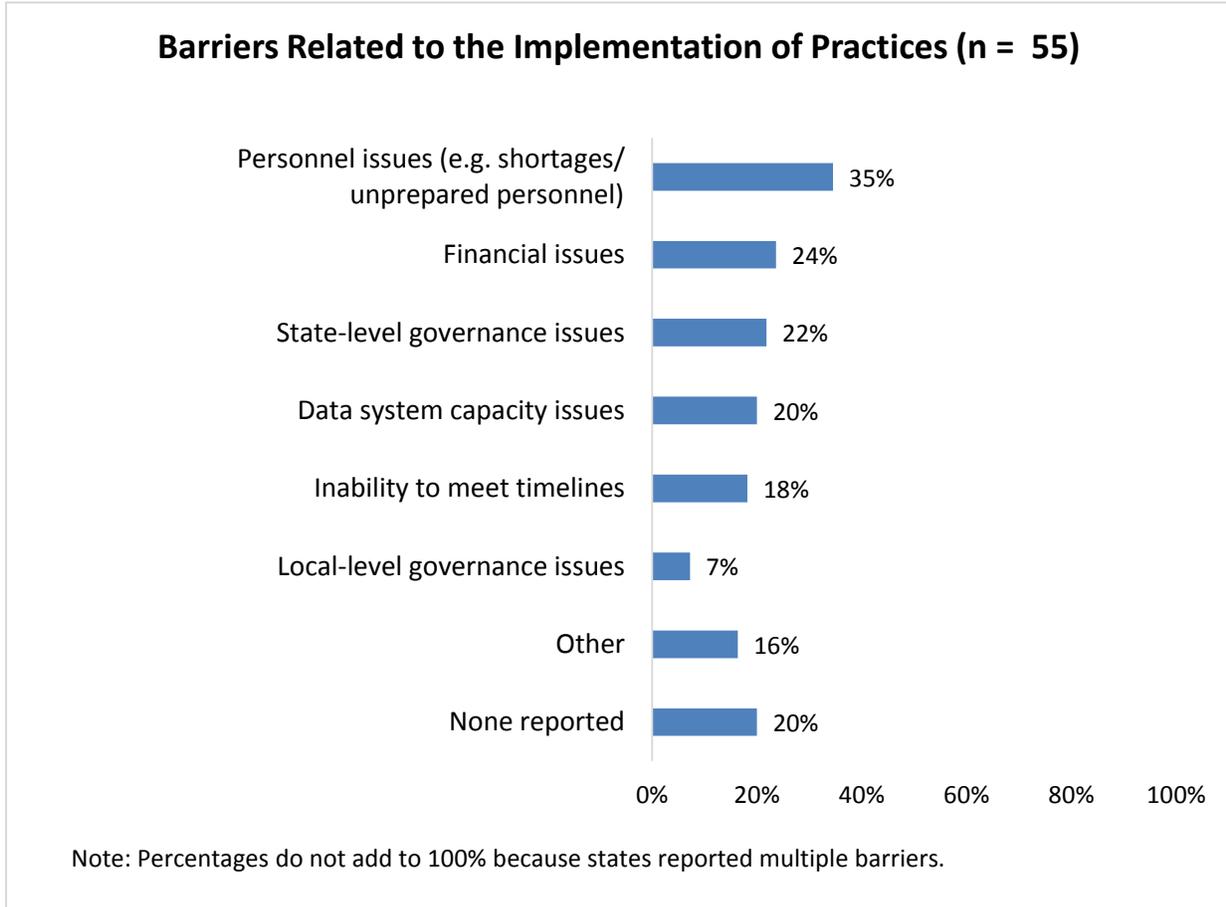


Barriers to Implementation

States reported a variety of barriers related to implementation of practices and included barriers in their rationale for changing their improvement plans (see Figure 4) and their evaluation plans (see Figure 6). Several barriers were identified by states to explain why they decided to change their improvement plans. Twenty-five states (45%) revised improvement plans due to implementation challenges, 15 states (27%) reported capacity issues, and seven states (13%) encountered a shift in state priorities. Data on why states changed their evaluation plans suggest several key barriers: lack of resources (7 states, 18%) and lack of necessary data (3 states, 8%).

All states reported on specific barriers to implementing practices. Figure 22 shows the types of barriers described by states, including personnel issues such as shortages or unprepared personnel (19 states, 35%), financial issues (13 states, 24%), state-level governance issues (12 states, 22%), data-system capacity issues (11 states, 20%), inability to meet timelines (10 states, 18%), and local-level governance issues (4 states, 7%). Nine states (16%) reported other barriers and 11 states (20%) reported no barriers. Examples of other reported barriers included natural disasters such as hurricanes, scheduling professional development with staff, difficulty recruiting parents and families to participate in new practices, and additional time needed for understanding and implementing the practices.

Figure 22

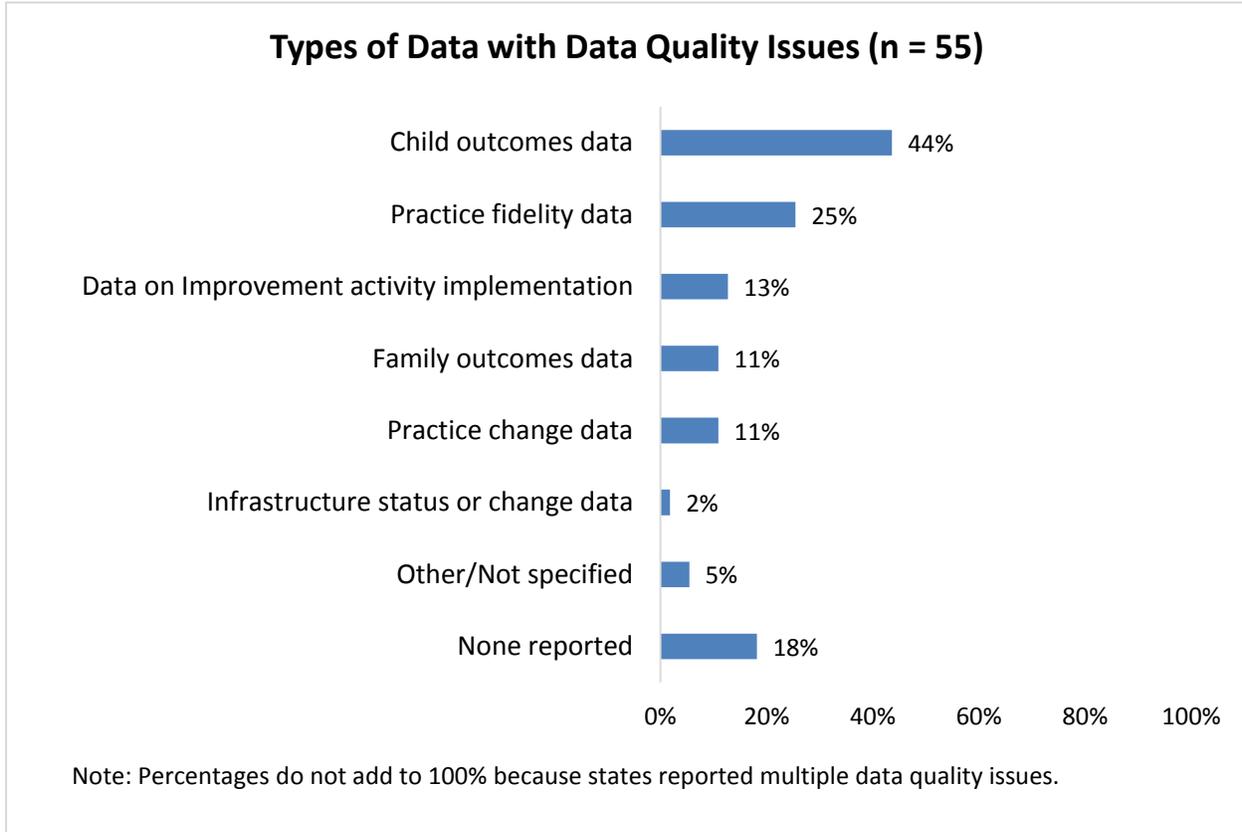


DATA QUALITY ISSUES

In Phase III – Year 2, states were required to report any data quality limitations that affected reports of progress in implementing the SSIP and achieving the SIMR. Forty-two of 55 states (76%) reported concerns or limitations related to the quality or quantity of the data used to report progress or results.

The types of data for which data quality issues were reported are shown in Figure 23. The most common data quality issues were with child outcomes data (24 states, 44%). Other types of data with data quality issues include data on fidelity of practices (14 states, 25%), data on improvement activity implementation (7 states, 13%), and family outcomes data (6 states, 11%). States also reported data quality issues with practice change data (6 states, 11%) and infrastructure status or change data (1 state, 2%). “Other” data quality issues reported were with survey data and Individualized Family Service Plan (IFSP) data.

Figure 23



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 stakeholder involvement in SSIP Phase III – Year 2. For example, stakeholders might support the implementation of activities, review evaluation data, and participate in making decisions about adjustments or additions to existing plans. States were asked to report separately on stakeholder engagement for the improvement plan, including the implementation of specific activities and strategies, and in evaluation of the plan.

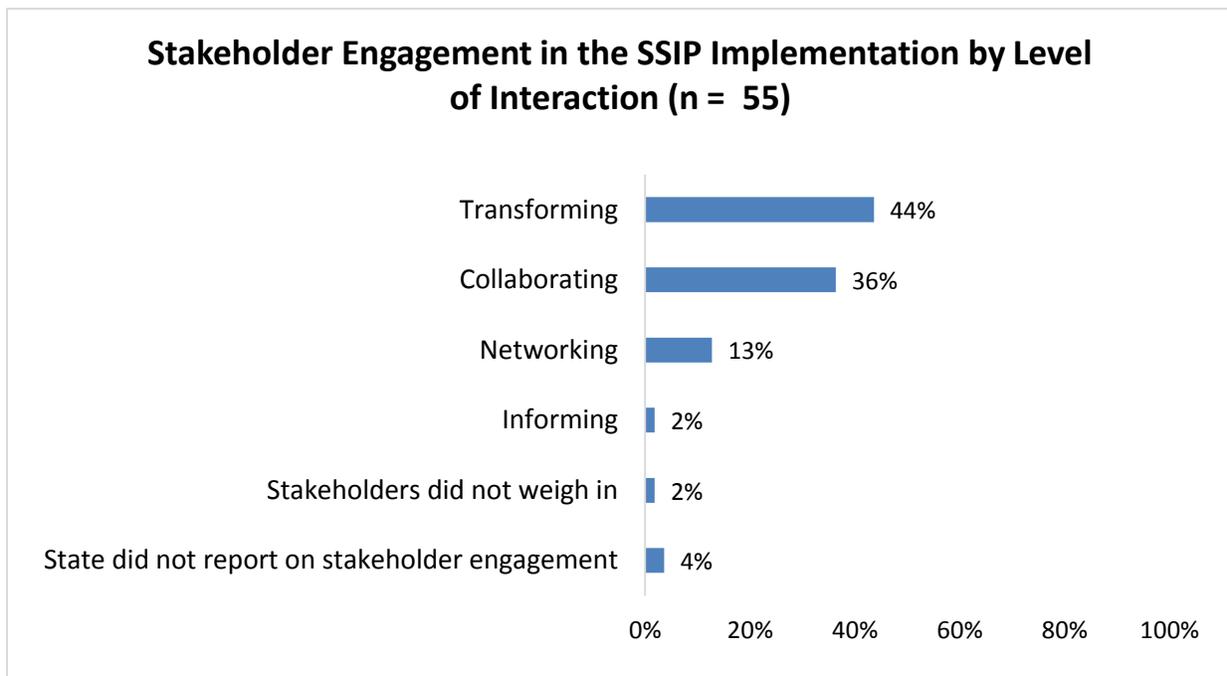
Stakeholder Engagement and Decision-Making in Implementation Activities

Fifty-three states (96%) described how stakeholders were informed about the ongoing implementation of the SSIP. Those same states reported on how they engaged stakeholders in decision-making about implementation activities and improvement planning to differing degrees. Reviewers categorized states' reported stakeholder engagement using the *Leading by Convening* four degrees of interaction (listed from lowest to highest):

- Informing: Sharing or disseminating information with others who care about the issue.
- Networking: Asking others what they think about this issue and listening to what they say.
- Collaborating: Engaging people in trying to do something of value and working together around the issue.
- Transforming: Doing things The Partnership Way (leading by convening, cross-stakeholder engagement, shared leadership, consensus building).

Reviewers selected the highest level of interaction described in the states' SSIP report. Figure 24 shows states' engagement of stakeholders in the implementation of the SSIP by level of interaction. The greatest percentage of states (24 states, 44%) reported that stakeholders participated at the level of Transforming with an additional 20 states (36%) reporting Collaborating engagement. Fewer states (7 states, 13%) reported engaging at a Networking level and only one state reported engaging only at the Informing level. One state reported that stakeholders did not weigh in and two states (4%) did not report on stakeholder engagement in the implementation of the SSIP.

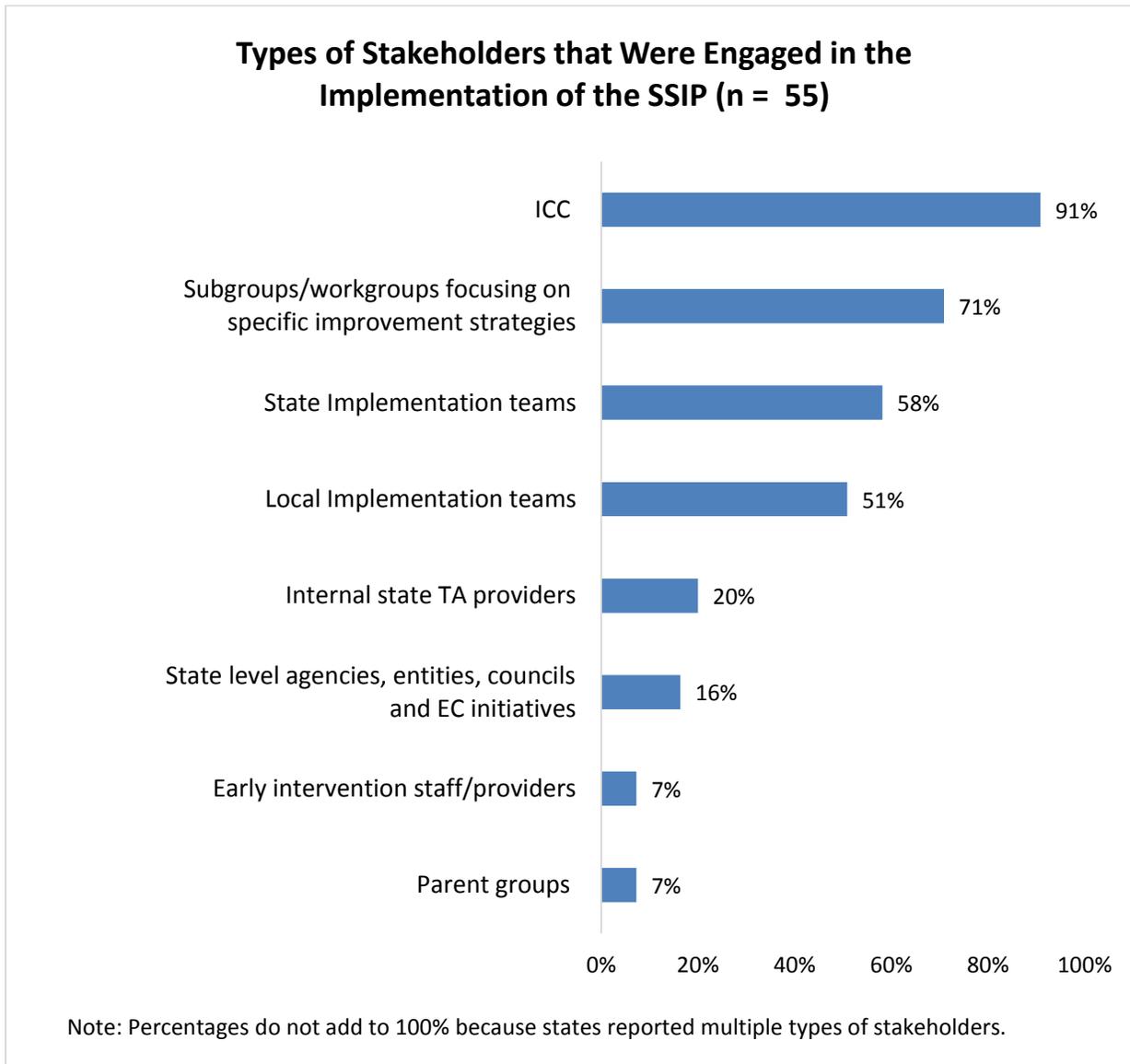
Figure 24



The most common stakeholder group involved in the implementation of SSIP Phase III – Year 2, as shown in Figure 25, was the State Interagency Coordinating Council (ICC) (91%). The ICC is a formal body that advises and assists the Part C Lead Agency in implementing the Part C program. States also reported using various other groups in which ICC members might participate. The most frequently mentioned groups besides the ICC included subgroups focusing on specific improvement strategies (71%), state implementation teams (58%), and local implementation teams (51%). A smaller number

of states reported contributions from internal state technical assistance (TA) providers (11 states, 20%); state-level agencies, entities, councils, and early childhood initiatives (9 states, 16%); early intervention staff/providers (4 states, 7%); and parent groups (4 states, 7%).

Figure 25



Stakeholder Engagement and Decision-Making in Evaluation

States were expected to engage stakeholders in decision-making regarding evaluation of the implementation and outcomes. 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.

States reported involving stakeholders in the evaluation of the SSIP in FFY 2016 in a variety of ways. Again, reviewers categorized states' reported stakeholder engagement using the four degrees of interaction and selected the highest level of interaction described in the states' SSIP report, as shown in Figure 26. Fifteen states (27%) reported that stakeholders participated at the level of Transforming with an additional 20 states (36%) reporting Collaborating engagement. Fewer states (7 states, 13%) reported engaging at a Networking level and only one state reported engaging only at the Informing level. Three states (5%) reported that stakeholders did not weigh in on the SSIP evaluation and nine states (16%) did not report on stakeholder engagement in the evaluation.

Figure 26

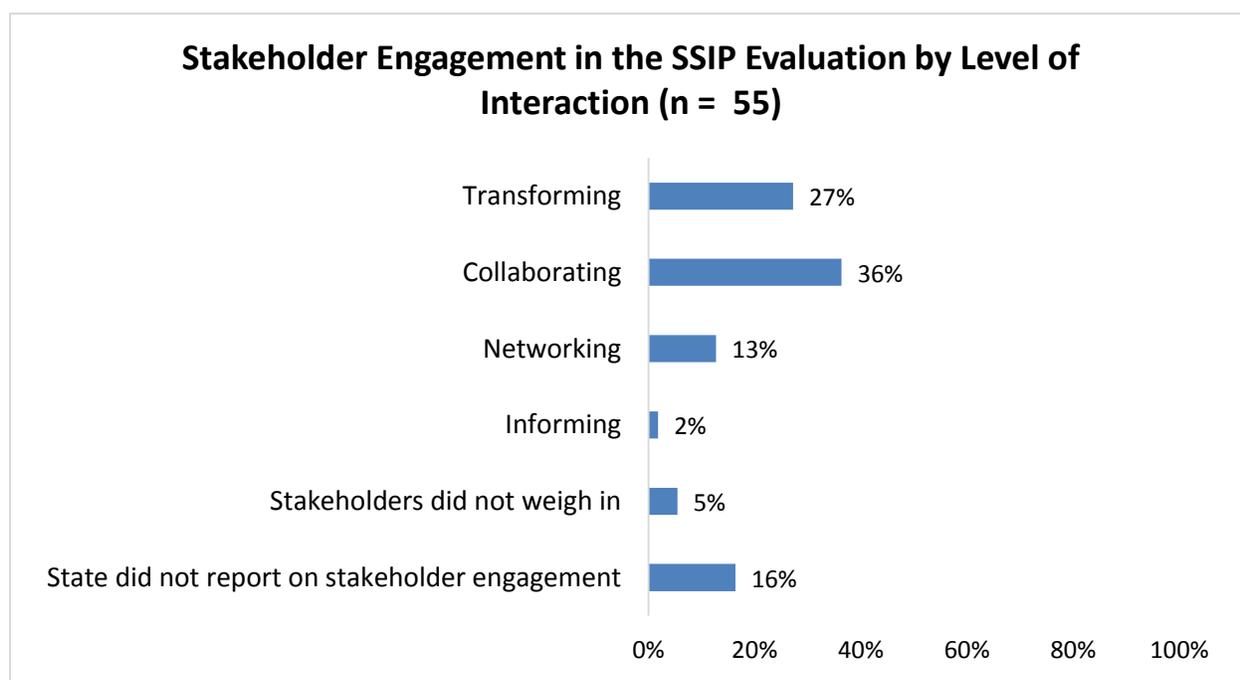
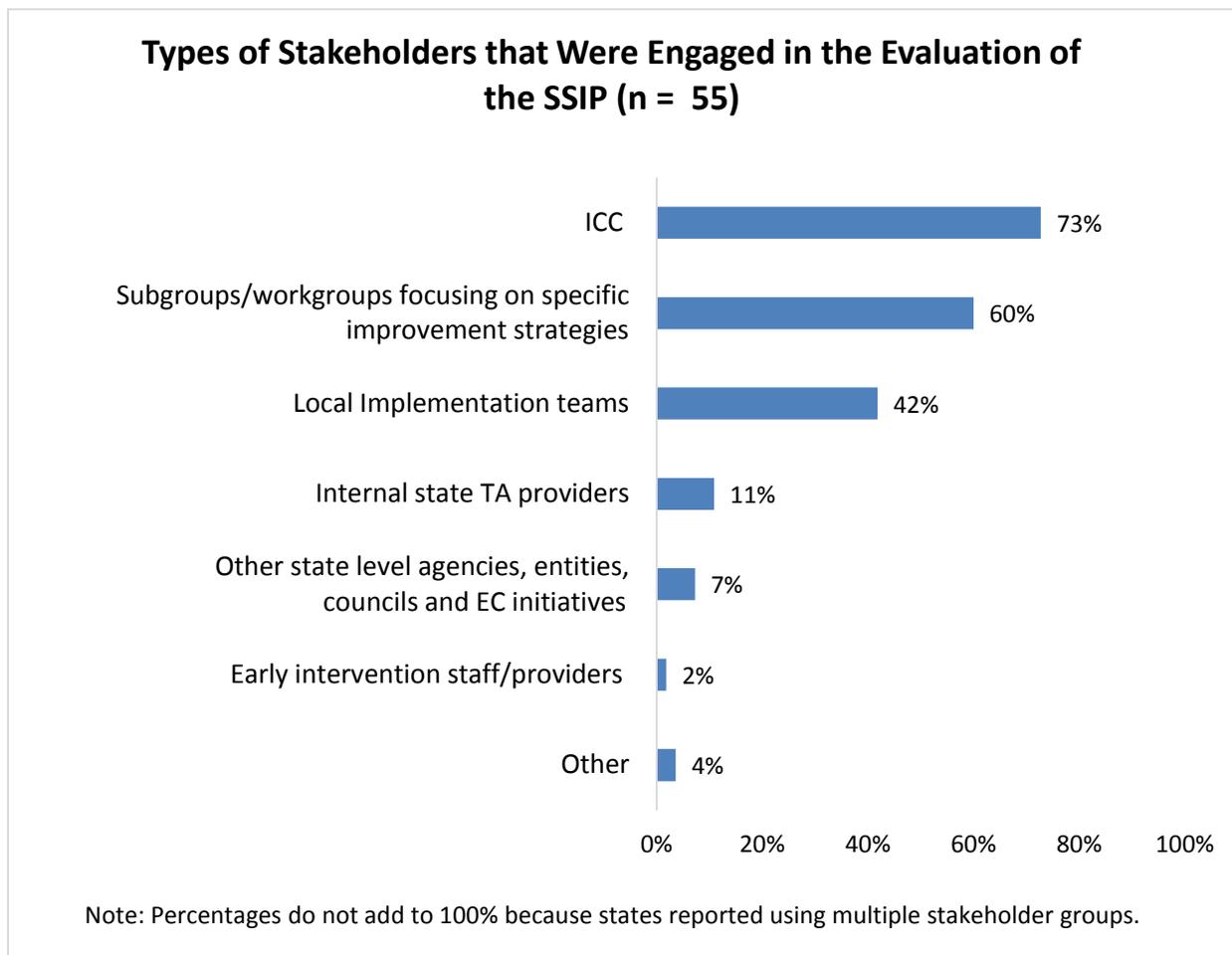


Figure 27 shows the types of stakeholders that were engaged in the evaluation of state SSIPs. The stakeholder groups that most frequently engaged in the evaluation of the SSIP in Phase III – Year 2 were State ICCs (73%), subgroups focusing on specific improvement strategies (60%), and local implementation teams (42%). A small number of states reported internal state TA providers (6 states, 11%) other state level agencies, entities, councils, and early childhood initiatives (4 states, 7%), and early intervention staff/providers (1 state, 2%) as contributors.

Figure 27



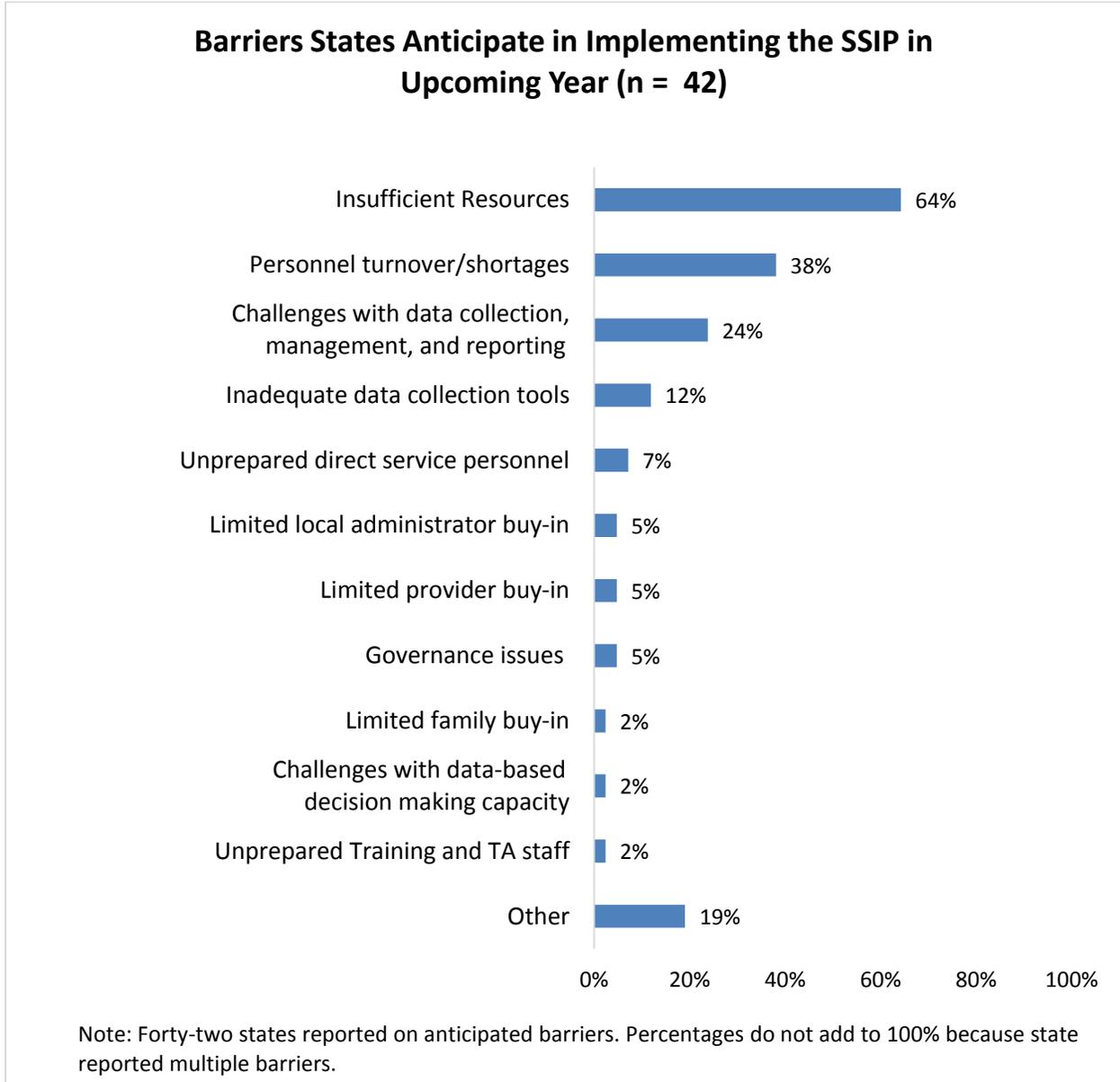
ANTICIPATED BARRIERS AND TECHNICAL ASSISTANCE NEEDS FOR NEXT YEAR

In the FFY 2016 SSIPs, states reported on anticipated barriers for ongoing implementation next year. They also reported on technical assistance needs for FFY 2017.

Anticipated Barriers

Forty-two states (76%) reported in the FFY 2016 SSIP that they anticipate barriers to SSIP implementation in the upcoming year. Figure 28 shows the anticipated barriers for the next year, where the most commonly mentioned were insufficient resources (27 states, 64%), personnel turnover and shortages (16 states, 38%), and challenges with data collection, management, and reporting (10 states, 24%).

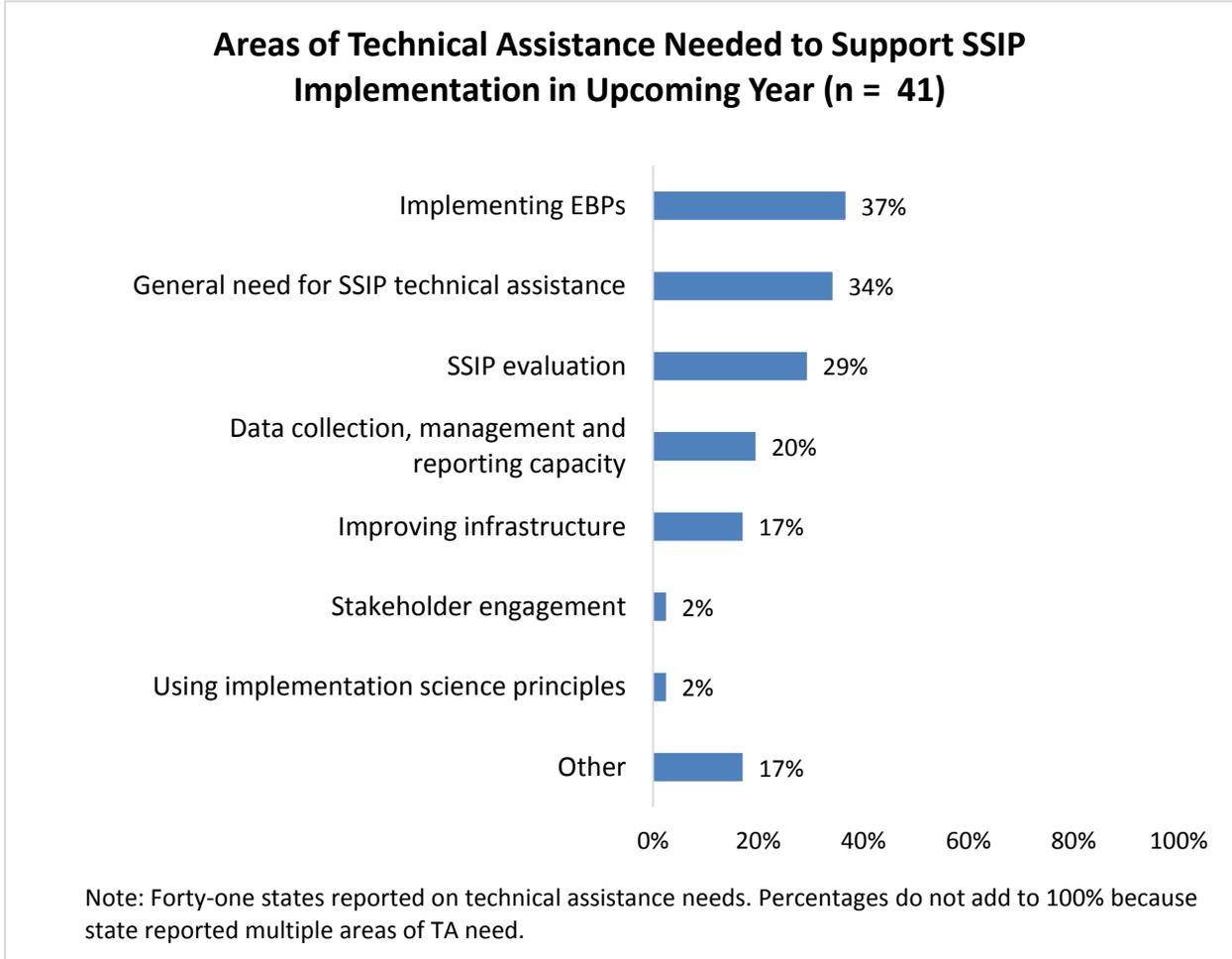
Figure 28



Technical Assistance Needs

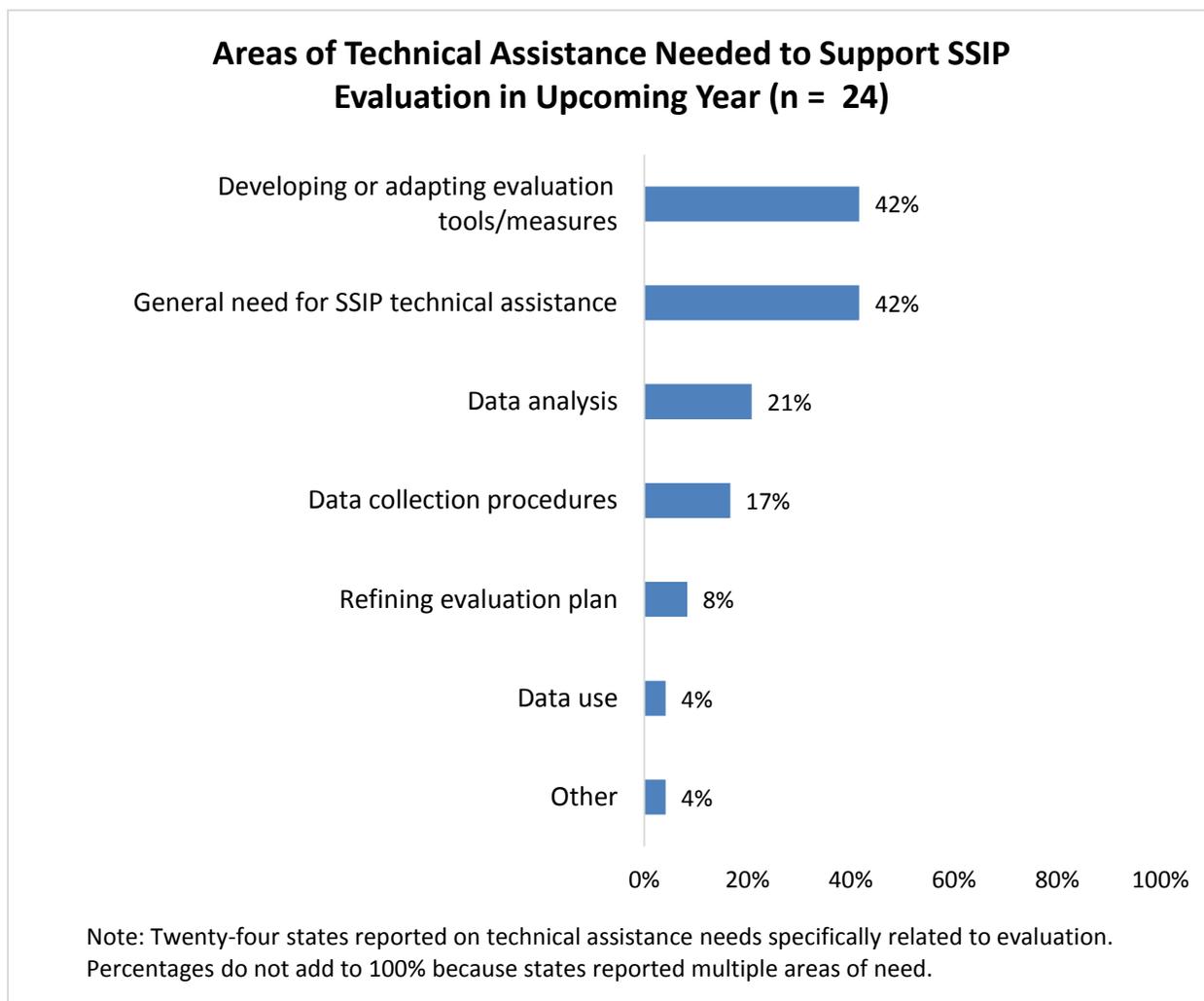
Of the 55 SSIP Phase III reports reviewed, 41 states (75%) reported the need for technical assistance to support effective implementation of the SSIP over the next year. Figure 29 shows the specific areas of technical assistance identified by states. The most common areas of need related to implementing EBPs (15 states, 37%), general SSIP TA (14 states, 34%), and SSIP evaluation (12 states, 29%).

Figure 29



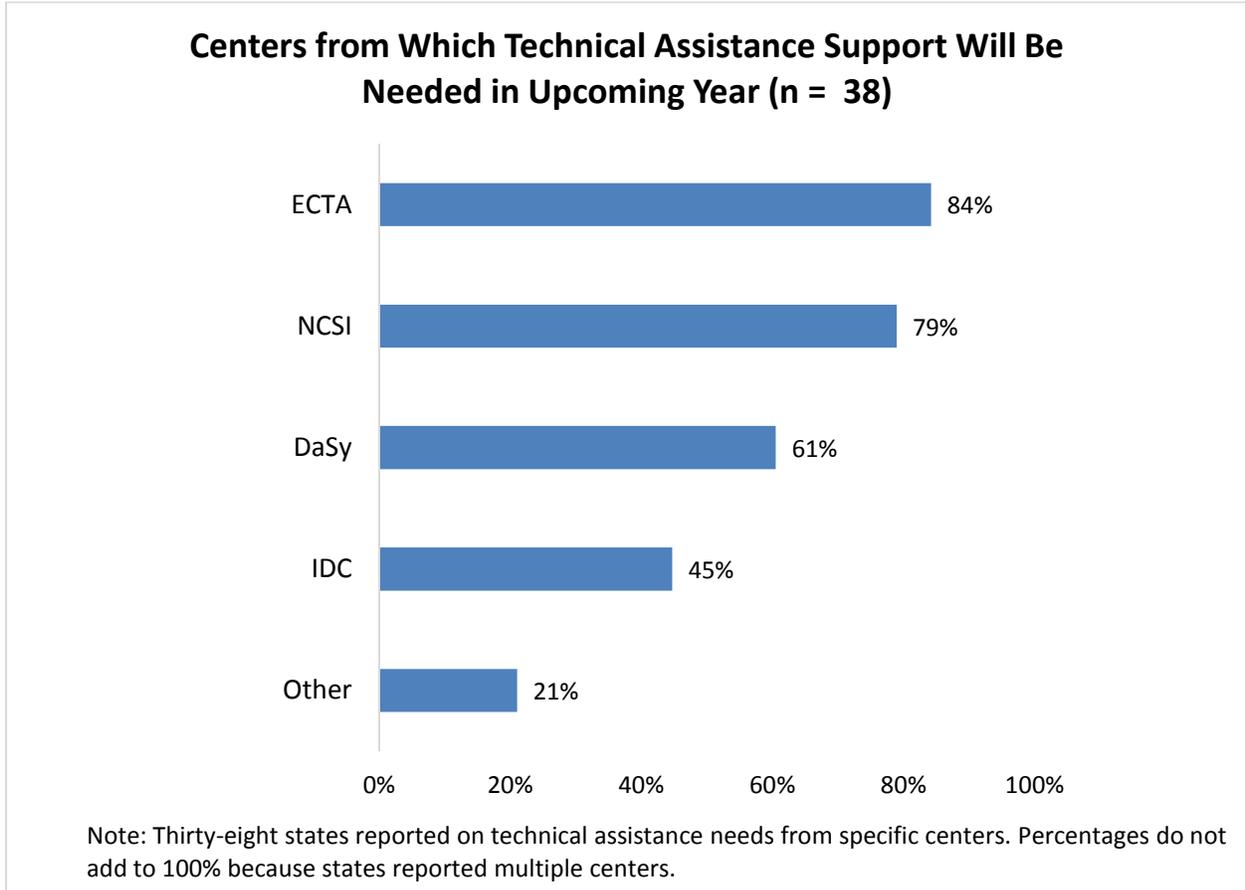
For the 24 states that reported a need for technical assistance on SSIP evaluation, reviewers identified further data on states' needs, shown in Figure 30. States reported a need for assistance with developing or adapting evaluation tools and measures (10 states, 42%), general SSIP evaluation technical assistance (10 states, 42%), data analysis (5 states, 21%), data collection procedures (4 states, 17%), refining evaluation plan (2 states, 8%), and data use (1 state, 4%). Other needs reported were assistance in revising SIMR targets and broad evaluation technical assistance.

Figure 30



Many states named specific technical assistance centers and providers in their plans for next year (Figure 31). Of 38 states that mentioned specific technical assistance centers, 32 (84%) reported that they would access technical assistance from the Early Childhood Technical Assistance Center (ECTA). Thirty states (79%) mentioned the National Center for Systemic Improvement (NCSI). Twenty-three states (61%) mentioned the Center for IDEA Early Childhood Data Systems (DaSy) and 17 (45%) the IDEA Data Center (IDC). Other technical assistance providers mentioned (11%) included The Early Childhood Personnel Center (ECPC), National Center for Pyramid Model Innovations (NCPMI), specific model developers, professional organizations, and regional technical assistance providers.

Figure 31



CONCLUSION

This analysis was based on a review of states' FFY 2016 Phase III – Year 2 reports and describes state data on the implementation and evaluation of their SSIPs. 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 theories of action. No states changed their SIMR, while only a few made changes to their SIMR baseline and/or targets.

All states reported implementing infrastructure improvement activities, as well as activities to improve practices despite encountering some implementation barriers. Most states reported that most improvement activities related to infrastructure and practices were in progress while some activities had been completed. Many states reported meeting at least some outcomes across the various infrastructure components. Some practices related outcomes were also achieved. States reported a wide range of

EBPs and models being implemented, with the most states using DEC Recommended Practices. About half the states reported that FFY 2016 SIMR data met their target and they made progress on improving their SIMR from FFY 2015. Almost all states reported they engaged stakeholders in their SSIP during Phase III at various levels. Plans for next year and barriers anticipated for FFY 2017 were also identified in the SSIP. The lack of sufficient resources was identified by most states as a barrier to ongoing implementation. States also identified technical assistance needs for ongoing implementation of the SSIP.