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DESIGNING AND IMPLEMENTING EFFECTIVE EARLY CHILDHOOD TRANSITION PROCESSES

IDEAs
that Work

U.S. Office of Special
Education Programs

Acknowledgements

Designing and Implementing Effective Early Childhood Transition Processes

Table of Contents

Appendices

Introduction

The Office of Special Education Programs (OSEP) recognized the need for a systematic and strategic technical assistance approach to support the states, territories and jurisdictions in their implementation of the transition requirements of the Individuals with Disabilities Education Improvement Act (IDEA) (34 CFR 303.148 and 34 CFR 300.124). An analysis of state performance on the transition compliance indicators as reported in their Annual Performance Reports (APR) demonstrated a need for system improvement and enhancement (NECTAC, 2007).

Resources were approved for the creation of a National Early Childhood Transition Initiative to support collaborative technical assistance activities focused on improving state lead agencies' implementation of the transition requirements of the IDEA. The Initiative would also support states' capacity to report on their activities and progress in meeting the requirements of their State Performance Plan (SPP) and APR through a variety of technical assistance activities.

This Initiative represents a collaborative technical assistance effort of OSEP, the Regional Resource and Federal Center Network (RRCs), the National Early Childhood Technical Assistance Center (NECTAC), and the National Early Childhood Transition Center (NECTC), along with representation by state level Part C and Part B, Section 619 Coordinators. This initiative is based on the recognition of the need for a more uniform, consistent and evidence-based framework for technical assistance. In November 2007, the framework and the content of this document were developed by a workgroup representing the technical assistance centers, OSEP, NECTC, state level early childhood coordinators, Regional Parent Technical Assistance Centers and PACER.

Purpose and Use of the Document

A primary purpose of this document is to improve state and local performance on the Annual Performance Report indicators specifically related to transition (Part C Indicator 8; Part B Indicator 12). There is recognition that transition is connected to many other APR indicators. The transition requirements as outlined in the IDEA operate within the context of numerous legal requirements such as child find, child outcomes, child evaluation, family involvement, timely services, preschool least restrictive environment (LRE) and individualized education program (IEP) development and implementation. Many of these implementation practices are also present within the SPP and APR as

performance and compliance indicators. Therefore, technical assistance and training efforts for transition should not be conducted in isolation from other efforts to improve system performance. When these other indicators are directly connected to transition from early intervention to preschool special education services, they have been included in this document. See the documents on the SPP/APR Planning Calendar entitled Part B SPP/APR Related Requirements (Office of Special Education Programs, 2008) and Part C SPP/APR Related Requirements (Office of Special Education Programs, 2008) for a delineation of the IDEA requirements related to transition for Indicators C-8 and B-12.

Another purpose of this document is to promote the connection between effective transition planning practices and child and family outcomes. An effective state and local infrastructure for transition should support the concurrent efforts to build state child and family outcomes systems as reported in APR indicators C3, C4 and B7. It also should be noted that emerging evidence and existing models show the need for a focus on unique and individualized outcomes for children and families as part of transition planning efforts (Harbin, Rous, Peeler, Schuster, & McCormick, 2007; Rous, Harbin & McCormick 2007).

This document is designed as a framework and tool to be used by states, territories and jurisdictions when analyzing their transition system infrastructure and identifying interventions and strategies for improving early childhood transition practices at the state and local level. While the primary focus of this framework is on the transition from Part C to Part B, it also takes into consideration other key agencies that work towards meeting the ongoing needs of children and families, such as child care, Head Start, and others.

The framework was developed specifically for use by technical assistance staff of OSEP, RRCs, NECTAC, and NECTC to support strategic planning efforts with states. It is not meant to be a needs assessment, but rather provides a process for analyzing system and program components. State agencies and their technical assistance entities will also find this framework useful in their efforts to systematically identify and improve local implementation of the transition requirements of the IDEA as well as supporting effective local infrastructures for effective transition practices.

This framework is meant to be useful to states as they analyze their systems and select evidence-based improvement strategies reflecting the most current research and recommended practice. This systemic approach is necessary in designing high quality systems and services; this also impacts state and local performance on APR indicators. At the same time, there is recognition that the

local, state and national climate, political realities and availability of resources all play a critical role in determining priorities within programs.

For the transition of young children with disabilities, an underlying spirit and critical component in regulatory mandates for both Parts C and B of IDEA is collaboration. This responsibility falls to key stakeholders at the national, state and local level. Integral partners in this process are the families of children who receive services through IDEA programs. For the transition of children at age three, the major responsibility for transition falls to the state lead agencies to facilitate collaboration across programs. Interagency efforts require collaborative leadership, resource commitment and participation by all agencies providing services to children and their families. Having a shared vision and key principles to guide transition efforts is vital both within (intra-agency) and between (interagency) programs.

Organization of the Document

This document describes broad, but essential components for an effective infrastructure to develop, support and maintain early childhood transition practices (Harbin & Rous, 2007; McCullough & Whaley, 2007). A *component* represents a major aspect of a system or framework that is integral to the efficacy of the system. Each component contains a list of sub-components called *elements* which are then operationalized with specific evidences. Table 1 presents the components and elements addressed in this document. It should be noted that while all of the components and elements are considered necessary for an effective infrastructure, a state lead agency might be unable to attend to all elements at once. Recognizing this fact, states may opt to thoughtfully consider which elements best address their unique context, address their most critical transition issues, and may best support desired transition and system outcomes.

An *evidence* is an observable policy, product, training strategy, event, or practice that can be measured or produced to document or demonstrate that a component or element is in place. It is an indicator of accountability for a component and its elements. Therefore, the evidences provided for each element are simply a list of possible processes and actions demonstrating the existence of a practice and are not intended to be a required or exhaustive list. Evidences are described as possibly occurring at different levels: interagency, interagency, state and/or local. For example, for some components, an evidence may be present at an interagency level indicating that the participation of more than one program or agency is required for the practice to be effective. For other components, an evidence may need to be implemented at a local program and/or state agency level. Evidences could,

and in fact many times should be present at more than one level, thus demonstrable in a local program, a state agency and as an interagency activity.

The components and elements contained in Table 1 reflect efforts of the National Early Childhood Transition Center to define a conceptual framework for transition (Rous, Hallam, Harbin, McCormick & Jung, 2007; Rous, Harbin & McCormick, 2007; Harbin, Rous, Peeler, Schuster & McCormick, 2007), and identify key practices (Rous, 2007). It also represents the efforts of NECTAC (McCullough & Whaley, 2007) to identify key considerations for providing technical assistance to address the APR transition indicators. Both efforts have built on the known research and conventional wisdom for effective transition practices. For more information about the conceptual framework undergirding this paper as well as the evidence supporting it, please see the Appendix.

Table 1   Key Components and Elements[1]

Component	Element
Content & Scope of Service System	• Families have access to a broad array of child developmental and educational services, supports, and/or settings to meet individual child and family needs. • Families have access to a broad array of health and medical services to promote overall well-being in order to meet individual child and family needs. • Families have access to a broad array of services to support their needs.
Interagency Structure	• An interagency entity (or entities) exists and has membership with the authority to influence agencies' transition policies and procedures. • A shared philosophy serves as a foundation for transition policies, procedures and the determination of responsibilities and actions. • A primary contact person for transition is identified within each program or agency at the state and local level (e.g., Part C, Section 619, LEA).
Interagency Communication & Relationships	• Effective, ongoing mechanisms for communication between and across agencies/programs are developed. • Working relationships among agencies/programs and staff are effective. • Parent organizations and family consumers meaningfully participate as partners in transition planning efforts at all levels.
Interagency Agreements (IA/MOU/MOA)[2]	• The Interagency Agreement provides clear statements of transition processes in compliance with federal and state regulations. • Agency roles and responsibilities related to transition are clearly assigned. • Critical policies are specified in the Interagency Agreement. • Format, content, and level of specificity of state-level agreements serve as a model for local agreements. • Interagency agreements are routinely reviewed and revised based on data/input from stakeholders.

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1 Content for this section was informed by McCullough & Whaley (2007)
2 Interagency Agreement, Memorandum of Understanding, and Memorandum of Agreement are all used interchangeably under the meaning given in 34 CFR 303.523, and also may include documents of a similar nature at the local level.

Table 1 Continued

Component	Element
Policy Alignment & Congruence	- Transition requirements and timelines are aligned across agencies. - Curriculum development and expectations for child interventions and performance are delineated and aligned across agencies. - Procedures for coordination of services are implemented effectively. - Mechanisms to minimize disruption in services before, during, and after transitions are developed.
Personnel Development, Staff Training & Resources	- Designated personnel or entities at state, regional and local levels share responsibility for interagency training and technical assistance. - Personnel development activities are jointly designed, implemented, and evaluated by agencies and programs involved. - Parents are involved in the design, implementation and evaluation of professional development. - Mechanisms exist at the local level to inform personnel development activities and promote networking and problem solving. - A variety of personnel development strategies are used to promote development of knowledge and skills over time. - Programs require and support participation of cross agency representation at joint training activities.
Data System and Processes	- Data system capacity allows for the collection of necessary data to support effective transition within programs. - Programs have protocols for data entry to support accurate and timely collection of data. - Protocols and procedures for data sharing across agencies are clearly defined. - Analysis and use of transition data improves performance across agencies and addresses interagency transition issues. - Data collected through monitoring regarding transition are analyzed and used for decision-making within and across programs.
Monitoring & Evaluation	- State monitoring of federal and state transition requirements is aligned across agencies. - Interagency participation is an integral part of state monitoring activities. - Evaluation is an integral part of all components of the transition system.

COMPONENT I: CONTENT AND SCOPE OF SERVICE SYSTEM

The scope of the early care and education systems both across and within states is diverse and varied. One key component of the transition process is the ability of the IFSP/IEP team to make decisions about the service and support needs of a child at age three based on the child's unique strengths and needs. Due to the individualized nature of family identified strengths and needs, children and families often require access to services and supports above and beyond those provided under IDEA. For example, families with children receiving early childhood special education services may also need child care in order to continue to work and support their families. Families may also find they need additional therapeutic or medical services to meet their children's full range of needs beyond those that are educationally relevant. Therefore, the transition plan should be developed to reflect the array of services, supports and resources needed by families that go beyond those provided under IDEA. (See Note 3 under 34 CFR 303.344 for regulatory guidance.)

In addition to understanding the varied needs of families and children for a wide range of services and resources, it is also critical that the IFSP/IEP team consider the importance of child health and well-being on children's overall development and, ultimately, their outcomes. This includes, but is not limited to mental and emotional health; well child medical/health visits and services; dental, vision, and hearing services; specialty medical services; and other child tracking and developmental services. This requires that direct service staff understand the array of services available at the state and local levels so they can share this information with families. Program staff need to be able to work with families to coordinate services and supports that may traditionally have been provided independently of each other. Effective transition planning requires program staff to appropriately refer and support family participation across programs and services.

To meet the unique needs of children and families, state administrators need to understand, capitalize on, and coordinate existing service system options and resources. The State Interagency Coordinating Council can play a key role in helping to identify services and supports needed by families and in making recommendations for how to establish connections between and among programs and services to maximize communication and coordination (e.g., Child Abuse Prevention and Treatment Act (CAPTA), home visiting programs) (34 CFR 303.650 and 34 CFR 303.653). Gaps in services and supports should be identified and addressed whenever possible.

Key Elements

A.	**FAMILIES HAVE ACCESS TO A BROAD ARRAY OF CHILD DEVELOPMENTAL AND EDUCATIONAL SERVICES, SUPPORTS, AND/OR SETTINGS TO MEET INDIVIDUAL CHILD AND FAMILY NEEDS.**

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Interagency Agreements (IA) / Memorandum of Understanding (MOU)[3], are up to date and include information about the specific linkages, resources and coordination efforts between and across services and supports for both children and families (i.e., both IDEA and other state level programs such as a home visiting program for at-risk populations).		
2. State and/or local directories or lists of programs (e.g., early intervention program, Head Start, public preschool program) are developed collaboratively.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
3. Staff know key information about a broad array of education agencies and developmental services within the community to which a child may transition.		
4. State and/or local directories or lists of programs and community-based options are used by program staff and shared with families.		
5. IFSP/Transition Plans document that development and education are addressed based on individual child and family needs as well as concerns identified by the family and team.		
6. A range of child placement settings are reflected in state 618 data.		
Additional evidences may be added, as appropriate.		

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[3] Interagency Agreement, Memorandum of Understanding, and Memorandum of Agreement are all used interchangeably under the meaning given in 34 CFR 303.523, and also may include documents of a similar nature at the local level.

B. FAMILIES HAVE ACCESS TO A BROAD ARRAY OF HEALTH AND MEDICAL SERVICES TO PROMOTE OVERALL WELL-BEING IN ORDER TO MEET INDIVIDUAL CHILD AND FAMILY NEEDS.

POTENTIAL EVIDENCES

Interagency (across programs)

	State Level	Local Level
1. Interagency agreements are up to date and provide specific information on service arrangements that support non-duplication and non-supplanting of services.		
2. A centralized information/referral system is in place and used that includes a wide range of resources related to child health, well-being and overall development (e.g., 1-800 number or web site).		
Additional evidences may be added, as appropriate.		

Within Programs

	State Level	Local Level
3. Staff know key information about a broad array of health and medical agencies and services within community to which the child may transition.		
4. State and/or local directories or lists of health and medical resources are used by program staff and shared with families.		
5. IFSP/Transition Plans document that child health and well-being are addressed based on individual child and family needs and concerns identified by the family and team.		
Additional evidences may be added, as appropriate.		

C. FAMILIES HAVE ACCESS TO A BROAD ARRAY OF SERVICES TO SUPPORT THEIR NEEDS.

POTENTIAL EVIDENCES

Interagency (across programs)

	State Level	Local Level
1. A directory or list of family resource and support services is available and is used (e.g., support groups, respite care).		
2. Parent information and training sessions are offered regarding available resources and supports.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
3. Specific items are included on family evaluation tools and survey forms to assess: ○ satisfaction with the supports received during transition planning (e.g., Did the process meet or stress the individual family's needs?) ○ the utilization of information about and access to family support services.		
4. Parent training sessions are offered regarding available resources and supports for families.		
5. Families report an awareness of available parent training, information, support and advocacy services and use these services if needed.		
6. Program staff are aware of and refer families to a variety of relevant community resources.		
7. The IFSP section on "Other Services" reflects a match between needs identified by families and the services described.		
8. Both Part C and Section 619 general supervision processes reveal data that reflect families were offered information on needed services/supports/resources.		
Additional evidences may be added, as appropriate.		

COMPONENT II: INTERAGENCY STRUCTURE

Transition, by its very nature, is an interagency process requiring collaboration and coordination. Rous, Hallam, Harbin, McCormick, and Jung (2007, 2005) describe a supportive interagency structure as critical to support and sustain relationship building between and within agencies and address policy development. Suggested elements of an interagency structure include the presence of an interagency group(s) and specific personnel to focus on transition policies, practices and implementation. The presence of a well-defined interagency structure is more likely to assure that transition practices remain stable even when key personnel change.

To be effective, a state level interagency entity (or entities) must be comprised of members with the authority to influence agencies' transition policies and procedures. An interagency entity might be an existing or newly formed group, but its charge is that of supporting and maintaining effective and compliant transition policies and practices. Structurally, the group might be a council, committee, task force or work group based on the unique situation of a state. Interagency entities at the regional or local level can serve the same purposes of planning and coordinating transition practices.

An important function of the interagency entity is the definition of the roles of the involved partners and their level of involvement in decision-making. Another key function of the interagency structure is the development of a shared philosophy to serve as the foundation for transition policies, procedures and the determination of responsibilities and actions.

It is important to consider the involvement and expertise of parents, personnel, advocates, and community members in designing the structure to support communication, problem-solving and policy development for the early childhood transition process. It should be noted that while all personnel or stakeholders may not need to be involved in every decision, a group is needed to ensure that decisions are made with the appropriate stakeholder input.

A key element of an effective interagency structure is the presence of dedicated personnel within state agencies and local programs to focus specifically on transition. At the state agency level, a contact person can represent his or her agency and its stakeholders by participating in councils or work groups focusing on transition system processes. This contact person might be involved in the design, coordination and implementation of training and technical assistance. A designated contact person in a regional or local program might more directly support effective transition planning for children and families as part of the IFSP

process by ensuring that the appropriate forms are completed and timelines followed. In a local program, a transition coordinator might serve as a contact person for sending and receiving agencies in the community and might facilitate local discussions among program staff to support and promote effective collaboration.

The mere presence of an interagency entity may not be sufficient to effect change and maintain desired efforts. Effective and productive communication, relationship building and coordination are also necessary.

Key Elements

A.   AN INTERAGENCY ENTITY (OR ENTITIES) EXISTS AND HAS MEMBERSHIP WITH THE AUTHORITY TO INFLUENCE AGENCIES' TRANSITION POLICIES AND PROCEDURES.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. The interagency group coordinates with the leadership in each respective agency.		
2. Written outputs/products (e.g., guidance, policy letters, memoranda of agreement/understanding) from the interagency group address issues of all major components of the transition process.		
3. The interagency group addresses issues and concerns that are substantiated by data.		
4. Written documentation of interagency group efforts, such as minutes/recommendations/decisions, exist.		
5. Group members report progress on actions taken.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
6. Key staff in early childhood programs are able to identify the interagency group/entity.		
Additional evidences may be added, as appropriate.		

B. A SHARED PHILOSOPHY SERVES AS A FOUNDATION FOR TRANSITION POLICIES, PROCEDURES AND THE DETERMINATION OF RESPONSIBILITIES AND ACTIONS

POTENTIAL EVIDENCES

Interagency (across programs) and Within Programs	State Level	Local Level
1. A clearly stated vision and philosophy for transition exists and is accessible.		
2. The vision and philosophy address child and family outcomes related to their preparation for and adjustment to transition.		
3. Policies and procedures are guided by a common vision and philosophy.		
4. Policies and procedures include a focus on child and family outcomes as an impact of transition practices.		
5. Policies and procedures are clearly stated and reflect compliance with federal and state regulations and requirements.		
6. Policies and procedures clearly delineate program-specific responsibilities as compared to interagency responsibilities.		
7. Policies and procedures are accessible.		
Additional evidences may be added, as appropriate.		

C. A PRIMARY CONTACT PERSON FOR TRANSITION IS IDENTIFIED WITHIN EACH PROGRAM OR AGENCY AT THE STATE AND LOCAL LEVEL.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Mechanisms are in place for contact information to be available and easily accessible through multiple venues/formats by families and service providers.		
2. Training, evaluation and follow-up information demonstrate that staff use primary contact information to support families and children in transition.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
2. Polices and procedures include the role of coordinating transition as a staff function.		
3. Job descriptions and responsibilities for specific individuals include transition roles and functions.		
4. A designated contact person is assigned to communicate with parents, share information regarding transition and conduct home visits, when appropriate.		
5. A designated contact person is assigned to coordinate transition planning activities and communications with other agencies.		
6. IFSPs (transition plan) document the name of the contact person for the receiving agency and his/her contact information.		
7. Staff have knowledge of who the primary contact person is for transition within each sending and receiving agency or program.		
8. Training evaluation and follow-up information demonstrate that staff use primary contact information to support families and children in transition.		
9. Exit survey/family interview forms contain item(s) about family knowledge of who the contact person is/was during transition.		
Additional evidences may be added, as appropriate.		

COMPONENT III: INTERAGENCY COMMUNICATION AND RELATIONSHIPS

Effective interagency relationships are critical to ensure the success of both the interagency structure and the alignment of policies and processes. Collaborative working relationships are ultimately responsible for the success or failure of an interagency activity. Even though an interagency entity exists, it will have less than optimal impact if the members of the group have not developed functional and respectful relationships.

The success of interagency efforts is dependent upon frequent, clear communication of both individual members and agencies. This is facilitated by the development of ongoing mechanisms for communication within, between and across agencies. Members of interagency structures need the appropriate support, time and information to develop relationships built on trust and a mutual understanding of the budgetary resources, regulatory constraints, and political realities of each agency or program.

Leadership is critical in setting the tone for collaboration at all levels. The individual roles and responsibilities of participating agencies, including their strengths and challenges must be acknowledged. At times, the use of an outside facilitator can expedite this process and build strong team support for the work ahead.

Forming strong individual relationships can also lead to more effective partnerships and problem solving. Additionally, interagency entities and program personnel with strong relationships and open communication may be more open to inclusive and collaborative practices that encourage the input and involvement of family members and parent organizations.

Key Elements

A. EFFECTIVE AND ONGOING MECHANISMS FOR COMMUNICATION BETWEEN AND ACROSS AGENCIES AND PROGRAMS ARE DEVELOPED.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. A shared vision and principles form the basis of communication, problem solving and decision making.		
2. Meeting agendas are jointly planned and clearly stated to accomplish specific purposes.		
3. Meetings accomplish specific purposes, are attended by the most appropriate stakeholders, and result in decisions and mutually agreed upon actions.		

	State Level	Local Level
4. Meeting minutes are shared among various committees and/or agencies related to addressing service provision issues.		
5. Responses to questions and public comment are timely and posted (when appropriate).		
6. A stakeholder listserv provides information and support regarding early childhood transition.		
7. The mechanisms for interagency communication are regularly reviewed for effectiveness.		
Additional evidences may be added, as appropriate.		

B. WORKING RELATIONSHIPS AMONG AGENCIES/PROGRAMS AND STAFF ARE EFFECTIVE.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Communication is frequent and includes both informal and formal contacts.		
2. Interactions are characterized primarily by constructive problem-solving.		
3. Members of interagency groups have an understanding and respect for each other and their respective agencies including how they operate, available resources, strengths, constraints and limitations.		
Additional evidences may be added, as appropriate.		

Interagency (across programs) and Within Programs	State Level	Local Level
4. Communication within and across agencies is guided by legal and ethical considerations about sharing child and family information.		
5. Agency and staff roles and responsibilities for transition activities are clearly defined.		
6. Staff understand protocols for communication and problem-solving.		
Additional evidences may be added, as appropriate.		

C. PARENT ORGANIZATIONS AND FAMILY CONSUMERS MEANINGFULLY PARTICIPATE AS PARTNERS IN TRANSITION PLANNING EFFORTS AT ALL LEVELS.

POTENTIAL EVIDENCES

Interagency (across programs)

	State Level	Local Level
1. Families receive the information they need in order to meaningfully participate as partners in interagency transition planning efforts.		
2. Individualized supports are available for family participation in transition planning, training and other activities.		
3. Family members and parent organizations are actively involved in transition processes, activities, supports and systems, including the development of materials and products related to transition.		
4. Family members are co-chairs of meetings and events.		
Additional evidences may be added, as appropriate.		

Within Programs

	State Level	Local Level
5. Families have the information they need to successfully participate in planning for their children's transition.		
6. Family members actively participate as part of their child's transition planning team.		
Additional evidences may be added, as appropriate.		

COMPONENT IV: INTERAGENCY AGREEMENTS

An Interagency Agreement (IA) is a document developed between two or more agencies or programs that defines a shared vision, explicit responsibilities and actions of each agency within a specified time period[4]. An IA can define how these agencies share data, train program staff, and communicate between programs/agencies and their stakeholders. It also explains the roles and responsibilities of each agency's staff, in order to avoid duplication of service, maximize the combined resources of each agency, and most importantly, provide seamless, quality transition services for children with disabilities and their families.

For the transition process to be timely and effective, Interagency Agreements between or among the Part C (Early Intervention) system, the Part B, Section 619 (Preschool) system, and other potential agencies or programs (e.g., Head Start) should outline the transition process and each agency's responsibilities and timelines. Specific roles outlined in Interagency Agreements should be identified by job function, not by a specific person.

For the implementation of Interagency Agreements to be successful, stakeholders should actively participate in their development. Agencies represented on the state's Interagency Coordinating Council (SICC) and State Advisory Council (SAC) should be involved in developing and officially signing the State's Interagency Agreements. In addition, Regional or local ICCs, in collaboration with local school districts or LEAs, may develop their own Interagency Agreements that are broad-based or that relate specifically to transition policies and procedures. Whether these agreements are developed at the state, regional, or local level, stakeholders, including families, should have a role in their development.

The Interagency Agreement formalizes the transition processes and activities that initiate determination of program eligibility and facilitate services in appropriate environments. They outline the specific policies and procedures that each program will follow as children transition between programs. An Interagency Agreement must be customized to reflect the specific relationships, obligations and roles and responsibilities that result from unique planning processes at the state and local levels, as well as requirements of IDEA.

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[4] Interagency Agreement, Memorandum of Understanding, and Memorandum of Agreement are all used interchangeably under the meaning given in 34 CFR 303.523, and also may include documents of a similar nature at the local level.

Key Elements

A. THE INTERAGENCY AGREEMENT PROVIDES CLEAR STATEMENTS OF TRANSITION PROCESSES IN COMPLIANCE WITH FEDERAL AND STATE REGULATIONS.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. A clear statement of values and philosophy to guide and support effective transitions for children and families is included.		
2. A statement regarding transition planning exists that addresses who, what, when, where, and how.		
3. A statement regarding roles and responsibilities of programs and individual staff is included.		
4. A statement related to the timely notification of the appropriate agency is included.		
5. A statement regarding timelines for transition activities is included.		
6. A statement regarding the inclusion of parents and families in transition activities is included.		
7. Specific information about service arrangements to support non-duplication or non-supplanting of services is included.		
8. Information about the specific linkages and coordination efforts between and across services and supports to both children and families (both IDEA and other; e.g., newborn hearing screening program and Part C services) is included.		
9. Program staff understand that specific policies and regulations are contained within state and local agreements.		
Additional evidences may be added, as appropriate.		

B. AGENCY ROLES AND RESPONSIBLITIES RELATED TO TRANSITION ARE CLEARLY ASSIGNED.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Roles and responsibilities are clearly assigned to participating agencies in interagency agreements.		
2. Written information about the agreed-upon roles and responsibilities in interagency agreements is available to program staff and families in understandable formats.		

		State Level	Local Level
3.	Interagency Agreements delineate steps of transition process and responsibilities of sending/receiving agencies.		
4.	An Interagency Dispute Resolution process is described with clear specification of re-negotiation procedures.		
Additional evidences may be added, as appropriate.			

Within Programs		State Level	Local Level
5.	Personnel with responsibility for addressing specific requirements of the interagency agreement are clearly identified within programs and agencies.		
6.	Program staff can clearly communicate their roles and responsibilities.		
7.	Program staff implement their roles and responsibilities in a timely and correct manner.		
Additional evidences may be added, as appropriate.			

C. CRITICAL POLICIES ARE SPECIFIED IN THE INTERAGENCY AGREEMENT.

POTENTIAL EVIDENCES

Interagency (across programs)		State Level	Local Level
1.	Fiscal and other resource responsibilities are delineated in detailed, clear, and accessible language.		
2.	Accountability for the allocation and expenditure of resources is specified in the interagency agreement.		
3.	Coordinated child find and notification procedures are described, including timelines, roles and responsibilities.		
4.	The role of the ICC related to child find and notification is specified.		
5.	Data sharing procedures are clearly delineated, (e.g., who, what, how, and when).		
Additional evidences may be added, as appropriate.			

D. FORMAT, CONTENT, AND LEVEL OF SPECIFICITY OF STATE-LEVEL AGREEMENTS SERVE AS A MODEL FOR LOCAL AGREEMENTS.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. State-level format is adaptable for local use, including a sample/example.		
2. State-level Interagency Agreements provide written guidance for specific local procedures.		
3. Required components of a local Interagency Agreement are specified by the state agencies.		
4. State provides technical assistance and support to facilitate the development and implementation of local agreements.		
5. Local agreements are up-to-date and are implemented as written.		
Additional evidences may be added, as appropriate.		

E. INTERAGENCY AGREEMENTS ARE ROUTINELY REVIEWED AND REVISED BASED ON DATA AND INPUT FROM STAKEHOLDERS.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Interagency agreements are regularly reviewed to assess their functionality, effectiveness and are updated as needed.		
2. Interagency agreements are updated to reflect changes in federal and state law.		
3. Evaluation of effectiveness includes feedback from families.		
4. Interagency agreements should be on agenda of SICC and SAC at least annually.		
5. Interagency agreements are used at major agency planning events.		
6. Partners, including ICC members, parents, and collaborating agencies, attend stakeholder meetings and provide input.		
7. State agencies monitor local Interagency Agreements and how well they are being implemented.		
8. Local interagency agreements are updated to reflect changes in federal and state law.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
9. Agencies have mechanisms for input into the functioning of the interagency agreement.		
10. Feedback and input from state and local staff regarding interagency agreement implementation are considered by the lead agency in the review process.		
Additional evidences may be added, as appropriate.		

COMPONENT V: POLICY ALIGNMENT AND CONGRUENCE

Quality transition services for all children exiting the Part C/Early Intervention program are best defined as "a carefully planned, proactive, outcome-oriented process initiated by the primary service provider who works with the family and other agencies to develop a coordinated and collaborative plan to move children to a new program" (McNulty, 1989, p. 159). Quality transition is highly dependent on the participating agencies/systems engaging in a shared vision with shared policies, procedures and practices.

Policy alignment highlights those practices that are shared between programs, including curricula, professional development, and roles and responsibilities of those involved in transition services. These shared policies and practices should be stated clearly enough so all interested parties can determine "how the different parts fit together" (Rous & Myers, 2006, p. 8). Rous (2007) also suggests that policy congruence is as important as policy alignment. Policy congruence is defined as "a fit between programs that supports harmony and reduces conflicts in approach, intent, and outcomes" (Rous, 2007, p. 9). In this sense, alignment and congruence of policies refers to the degree to which program policies compliment each other, rather than clash. Having policies that are both aligned as well as congruent can assist states in developing quality transition services.

However, research by Harbin, Danaher, and Derrick (1994) and Danaher, Shackelford, and Harbin (2004) suggested that many states actually have policies that promote discontinuity between Part C and Special Education preschool services. Early work by Rosenkoetter, Hains, and Fowler (1994) suggested that states needed to develop one statewide transition plan that addresses roles and responsibilities, important timelines, interagency and family professional development, and available resources within the state.

Policy congruence and alignment of practices across programs has a direct impact on service delivery systems. Specifically, positive transition outcomes for children and families are dependent on the continuity of services, curricula, and expectations (Entwisle & Alexander, 1998). Policy alignment and congruence are particularly important for those early childhood transitions which occur during LEA calendar breaks in services (e.g., summer months and holiday breaks). Funding for these special circumstances is particularly challenging. It is important that participating agencies develop mechanisms to provide services and supports to children and families during these times.

Key Elements

A.   TRANSITION REQUIREMENTS AND TIMELINES ARE ALIGNED ACROSS AGENCIES.

POTENTIAL EVIDENCES

Interagency (across programs)

	State Level	Local Level
1. Interagency Agreements address any misalignment or incongruity between regulations, policies and practices among participating agencies (e.g., timelines, continuity of services during summer, funding gaps, and other special circumstances around a child's 3rd birthday).		
2. A Transition Manual explaining requirements and timelines is developed by all agencies and provided to parents.		
3. Agencies jointly plan and implement notification requirements.		
Additional evidences may be added, as appropriate.		

Within Programs

	State Level	Local Level
4. Staff have knowledge of how to access referral and enrollment processes and timelines of sending and receiving programs.		
5. Training evaluation and follow-up information demonstrates staff use referral and enrollment information to support families and children in transition.		
Additional evidences may be added, as appropriate.		

B.   CURRICULUM DEVELOPMENT AND EXPECTATIONS FOR CHILD INTERVENTIONS AND PERFORMANCE ARE DELINEATED AND ALIGNED ACROSS AGENCIES

POTENTIAL EVIDENCES

Interagency (across programs)

	State Level	Local Level
1. A cross agency team meets regularly to align curricula and program expectations for child growth and development across their programs.		

	State Level	Local Level
2. Receiving agency staff will visit sending programs to gain an understanding for programs that children have attended and to help plan a smooth transition.		
3. Staff have knowledge of how curricula, intervention experiences, and expectations for children are aligned across sending and receiving programs.		
4. Training evaluation and follow-up information demonstrate staff use curricula and guidelines/standards to support instruction and intervention.		
5. IFSPs/IEPs have outcomes/goals related to alignment of the child's skills and knowledge as part of transition planning.		
Additional evidences may be added, as appropriate.		

Within Programs

	State Level	Local Level
6. Administrators are provided early childhood training, information on developmentally appropriate practices, and opportunities to spend time in early childhood classrooms.		
Additional evidences may be added, as appropriate.		

C. PROCEDURES FOR COORDINATION OF SERVICES ARE IMPLEMENTED EFFECTIVELY

POTENTIAL EVIDENCES

Interagency (across programs)

	State Level	Local Level
1. Transition procedures are clearly described and available.		
2. Transition procedures include opportunities at different points in the transition process for families, children and providers to visit receiving agency programs.		
3. Parent orientation is jointly developed and provided at receiving program and agency sites.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
4. IEP teams consider the individualized needs of the child and family and include transition objectives on the IEP as appropriate.		
5. A family services notebook or handbook is created to organize all papers,(e.g., medical information, IFSPs, evaluation results, early intervention staff names and contact information.)		
6. Copies of reports and a personal information sheet are given to the family by their service coordinator to share with receiving agency staff.		
7. With parent permission, a transition packet containing the following types of information is sent to the receiving agency: • Pictures, social stories, child's preferences, and videotape of the child. • Teaching strategies to implement/avoid for child. • Contact information of child's of previous service coordinators/service providers.		
8. Primary contact persons are identified within each program/agency.		
Additional evidences may be added, as appropriate.		

D. MECHANISMS TO MINIMIZE DISRUPTION IN SERVICES BEFORE, DURING, AND AFTER TRANSITIONS ARE DEVELOPED

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Agencies consider funding overlap services during the 6 months prior to child's third birthday.		
2. For children whose birth date is during or immediately before the summer break, procedures are in place to ensure that children suspected of needing extended school year services are given appropriate consideration by their IEP Team.		
Additional evidences may be added, as appropriate.		

COMPONENT VI: PERSONNEL DEVELOPMENT, STAFF TRAINING, AND RESOURCES

All levels and types of personnel in agencies should have a basic understanding of the legal requirements, policies, roles and responsibilities of each other's programs. The more knowledgeable personnel in agencies are about each other's programs, the more effective they will be at negotiating successful transitions for children and their families.   While knowledge of legal transition requirements is critically important, it may not be sufficient for ensuring the implementation of high quality practices. Personnel development must also focus on the "big picture" related to the differences and similarities of the early childhood systems, in particular the roles and practices of service providers.

Personnel from Part C and Part B involved in transition activities must know key information about a broad array of agencies and services within the community to which the child may transition, as well as knowledge of how curricula, intervention experiences, and expectations for child growth and development are aligned across sending and receiving programs.   Effective transition planning requires personnel to be knowledgeable about how to access and conduct referral and enrollment processes, observe timelines of sending and receiving programs, and identify key individuals responsible for functioning as the primary contacts for transition within each agency or program.

Within this broader systems level approach, personnel development systems should not only be driven by the needs of the state and local systems responsible for services, but should also reflect needs identified by family consumers.   Family members, as well as parent training and support organizations, are integral partners in the design and implementation of an effective infrastructure for personnel development on transition.

Personnel development activities should be designed using evidence-based practices. The design should include pre-service, in-service, on-the-job training and technical assistance. A variety of strategies, including mentoring and coaching experiences, should be employed rather than focusing on single training events.

Systematic and ongoing training and technical assistance should occur as a function of general supervision and on-site monitoring. It is important that key state-level staff model behaviors and practices that demonstrate effective teaming, intra-and interagency coordination and ongoing communication.

State personnel should develop mechanisms for evaluating personnel development activities in order to measure changes in personnel practices, as well as overall functioning of the system as a result of personnel development activities.

Key Elements

A. DESIGNATED PERSONNEL OR ENTITIES AT STATE, REGIONAL AND LOCAL LEVELS SHARE RESPONSIBILILTY FOR INTERAGENCY TRAINING AND TECHNICAL ASSISTANCE.

POTENTIAL EVIDENCES

Interagency (across programs)

	State Level	Local Level
1. An interagency advisory group that includes representation by family members informs the coordination of training and TA efforts.		
2. Contracts and interagency agreements include agency roles and coordination responsibilities for personnel development activities.		
3. Special collaborative training initiatives and projects are established to coordinate training and TA for transition.		
4. Contact information for designated trainers, consultants or TA providers responsible for coordinating and providing TA is available.		
5. The Part C CSPD plan includes partner input and addresses the need for an interagency and coordinated approach to identified transition issues.		
6. Interests of significant cultural groups in a state are represented on advisory groups and inform training and TA efforts.		
Additional evidences may be added, as appropriate.		

Within Agency

	State Level	Local Level
7. Agencies and programs designate staff as responsible for transition training and TA.		
8. Job descriptions for designated personnel include responsibilities and time allotted for coordinating and providing interagency training and TA.		
9. Program staff know who to contact for information, training and resources.		
10. Program staff understand the importance of a statewide interagency approach to personnel development regarding transition.		
Additional evidences may be added, as appropriate.		

B. PERSONNEL DEVELOPMENT ACTIVITIES ARE JOINTLY DESIGNED, IMPLEMENTED, AND EVALUATED BY AGENCIES AND PROGRAMS INVOLVED.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. An interagency advisory group, including representation by stakeholders such as family members and parent organizations informs personnel development design, implementation and evaluation.		
2. Personnel development activities are provided reflecting the collaboration of Part C and Part B agencies and include other agencies as appropriate (e.g., Head Start, child care).		
3. Personnel development activities reflect a common philosophy and shared values for transition.		
4. Agencies jointly support the development, dissemination and evaluation of training modules and resource materials.		
5. Agencies jointly establish, fund and support special training initiatives and projects to focus on transition.		
6. Professional development activities teach providers to use culturally sensitive approaches to transition planning with families.		
7. Professional development activities are designed to support the skills needed to work with specific cultures and populations served by all agencies involved.		
Additional evidences may be added, as appropriate.		

Within agency	State Level	Local Level
8. Personnel within agencies report confidence in working with specific cultures or populations in transition planning.		
9. Agencies and programs employ personnel who reflect the cultural populations of their service area.		
10. Program staff attendance is encouraged and financially supported for personnel development activities reflecting interagency collaboration.		
11. Attendance at jointly sponsored personnel development activities stimulates dialogue and problem-solving within programs regarding collaborative practices and transition.		
Additional evidences may be added, as appropriate.		

C. PARENTS ARE INVOLVED IN THE DESIGN, IMPLEMENTATION AND EVALUATION OF PERSONNEL DEVELOPMENT.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Family members are represented on the interagency advisory group that informs personnel development and TA efforts.		
2. Family members and parent training organizations provide input into the development of transition activities, products and processes.		
3. Specific strategies, resources and materials are developed to support family participation and leadership in personnel development activities.		
4. Family members receive the training and support they need in order to participate effectively in designing and implementing personnel development activities.		
5. Family members and parent training organization staff have roles in training, facilitation and presentations.		
6. Parent training, information and support organizations participate as partners in personnel development.		
7. Family members are able to describe examples of their participation in professional development activities.		
Additional evidences may be added, as appropriate.		

Within agencies	State Level	Local Level
8. Families served within programs receive training resources and materials on transition that have been developed with parental input.		
9. Family members are recruited by and supported within agencies to participate in designing and implementing personnel development activities.		
10. Family members describe examples of their participation in professional development activities to other families within a program.		
Additional evidences may be added, as appropriate.		

D. MECHANISMS EXIST AT THE LOCAL LEVEL TO INFORM PERSONNEL DEVELOPMENT ACTIVITIES AND PROMOTE NETWORKING AND PROBLEM SOLVING

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Local action plans exist and address transition concerns.		
2. Local interagency councils or groups sponsor activities to address transition issues.		
3. Local and regional teams exist in communities and examine the efficacy of transition and interagency practices on a routine basis.		
4. Required annual training events on transition provide opportunities during the agenda for team discussion and problem-solving.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
5. Program supervisors designate regular meeting time to discuss issues, examine current practices and plan future actions.		
Additional evidences may be added, as appropriate.		

E. A VARIETY OF PERSONNEL DEVELOPMENT STRATEGIES ARE USED TO PROMOTE THE DEVELOPMENT OF KNOWLEDGE AND SKILLS OVER TIME.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Information on effective transition practices and legal requirements is embedded in preservice courses, practicum experiences and curricula.		
2. Resource materials are clear and accessible in a variety of formats.		
3. A variety of training and TA strategies are used, including coaching and mentoring.		

	State Level	Local Level
4. Transition competencies are identified and embedded in staff competencies and credentials.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
5. Staff orientation processes include the topic of transition.		
6. Staff development and performance plans include transition when appropriate.		
7. Supervisors within programs provide support and opportunities to discuss staff practices.		
8. Practicum and field-based activities are available within programs.		
9. Training and TA is provided on-the-job whenever possible with supports occurring multiple times and in different settings.		
Additional evidences may be added, as appropriate.		

F. PROGRAMS REQUIRE AND SUPPORT THE PARTICIPATION OF CROSS AGENCY REPRESENTATION AT JOINT TRAINING ACTIVITIES

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Joint activities are designed and implemented by Part C and Part B programs which include other agencies as appropriate.		
2. Invitations to training activities and meetings indicate requirements for joint program attendance or instructions for team participation.		
3. Meeting and training event agendas show teaming activities.		
4. Training goals or participant outcomes include cross-agency problem-solving, discussion, networking or planning.		
Additional evidences may be added, as appropriate.		

Within programs	State Level	Local Level
5. Program staff from different agencies can describe each other's rules and policies accurately.		

6. Program staff know the personnel in other agencies and contact them when necessary.		
Additional evidences may be added, as appropriate.		

COMPONENT VII: DATA SYSTEMS AND PROCESSES

Data systems that provide states with the capacity to collect the necessary Part C and Part B child/student level data can help to: a) support effective transition processes and positive transition outcomes for children and families; b) respond to SPP/APR transition indicators; c) inform policies and practices; and d) improve program performance. The fields in the data system(s) should assist early intervention programs with notification to the LEA and support early intervention programs and LEAs in meeting requirements and timelines (e.g., transition conference, evaluation timelines, FAPE by age three).   Effective data systems typically require that individual child/student data are updated at least quarterly and that historical data for each child/student is maintained. Even more effective is collection of real-time data. (For the data collection requirements of Part C, see 34 CFR 303.540. For Part B, see 34 CFR 300.601)

Data collected must be accurate, reliable and timely. To help ensure accurate data entry, state data systems should include error checks to identify computational mistakes or impossible/improbable entries (e.g., transition date before program start date). Also, the Lead Agency and SEA, as well as local early intervention programs and LEAs, must have procedures in place to verify that data are being entered correctly and in a consistent manner. For example, clear data entry instructions and procedures should be in place, as well as training and ongoing technical assistance to ensure that data entry personnel understand the data fields. Local early intervention programs and LEAs must also have an understanding of how to print reports and use the data for program improvement.

Data sharing across the SEA and Lead Agency, as well as across early intervention programs and LEAs, is important for tracking children who transition from Part C to Part B. Data sharing across agencies can be accomplished through a variety of strategies including: (1) manually matching child data; (2) using different unique identifiers but sharing the identifier across Parts C and B; (3) transferring records through a data protocol across Part C and B; and (4) Part C and B using the same unique identifier for a specific child.   Regardless of the method used to share data, protocols must be established and included in interagency agreements at the state level and at the local level if applicable.

Key Elements

A. DATA SYSTEM CAPACITY ALLOWS FOR THE COLLECTION OF NECESSARY DATA TO SUPPORT EFFECTIVE TRANSITION WITHIN PROGRAMS

POTENTIAL EVIDENCES

Within Programs	State Level	Local Level

1. Specific data fields are included in the data system to respond to APR transition indicator measurements including:
   o notification to LEA [Part C],
   o timely transition conference or reasons for delay including exceptional family circumstances [Part C],
   o FAPE at age three or reasons for delay including parental refusal [Part B].		

2. Specific data fields are included in the data system to ensure timely and effective transitions including:
   o deadline date for making notification to LEA (Part C),
   o latest date that transition referral can be made to ensure FAPE at age three (Part C),
   o earliest and latest date that transition conference can be held (Part C),
   o latest date that evaluations can be completed to ensure FAPE at age three (Part B),
   o number of days after age 3 that services begin (Part B).		

3. The data system is designed to help improve timeliness via electronic triggers that remind users of timelines.		
Additional evidences may be added, as appropriate.		

B. PROGRAMS HAVE PROTOCOLS FOR DATA ENTRY TO SUPPORT ACCURATE AND TIMELY COLLECTION OF DATA

POTENTIAL EVIDENCES

Within Programs	State Level	Local Level
1. Accurate, timely, and reliable data are available as a result of: 　o Data entry manuals that describe/define the data entry fields, 　o Documentation of ongoing training on data collection, 　o Written processes for validating data accuracy, 　o State resource personnel that provide TA on data fields, entry, accuracy, 　o FAQ documents about data collection. 2. Data are routinely collected throughout the year.		
Additional evidences may be added, as appropriate.		

C. PROTOCOLS AND PROCEDURES FOR DATA SHARING ACROSS AGENCIES ARE CLEARLY DEFINED

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Mechanisms are in place to share data across Parts C (Lead Agency) and B (SEA) (e.g., common identifier, data sharing protocol, common transition tracking form from referral and eligibility determination).		
2. Data sharing agreement (e.g., memorandum of understanding) addresses procedures related to sharing of data, confidentiality, notification, etc.)		
3. Guidance is publicly available that describes what data can be shared across Part C and Part B and the circumstances when data cannot be shared (e.g., Part B cannot share Part C data with other initiatives).		
Additional evidences may be added, as appropriate.		

D. ANALYSIS AND USE OF TRANSITION DATA IMPROVES PERFORMANCE OF EACH AGENCY AND ADDRESSES INTERAGENCY TRANSITION ISSUES

POTENTIAL EVIDENCES

Within Programs	State Level	Local Level
1. The data system generates reports needed to evaluate the agency's transition practices.		
2. Data reports are produced on a regular basis and upon request.		
3. Data is routinely analyzed and used to drill down to root causes of service issues as well as to track progress in addressing those issues.		
4. Program staff find the data reports useful for making improvements around transition.		
5. Program staff know how to display the transition data in order to complete the APR.		
6. APR includes data on targets and reflects evaluation of improvement activities.		
Additional evidences may be added, as appropriate.		

E. DATA COLLECTED THROUGH MONITORING REGARDING TRANSITION ARE ANALYZED AND USED FOR DECISION-MAKING WITHIN AND ACROSS PROGRAMS.

Across Programs	State Level	Local Level
1. Transition data is analyzed across agencies and with parent involvement.		
2. The development of the APR includes input of other relevant agencies.		
3. The decisions and recommendations of the State Interagency Coordinating Council (SICC) and State Advisory Council (SAC) are data-driven based on documented monitoring results.		
Additional evidences may be added, as appropriate.		

POTENTIAL EVIDENCES

Within Programs	State Level	Local Level
4. Transition is chosen for focused monitoring if indicated by data.		
5. Analysis of data includes a broader look at transition beyond just indicator measurement.		
Additional evidences may be added, as appropriate.		

COMPONENT VIII: MONITORING AND EVALUATION

State systems are accountable for enforcing the transition requirements of IDEA and for ensuring continuous improvement of program performance. SPP Indicators C-8 and B-12 clearly delineate expectations for measuring transition compliance. However, accountability should also include a focus on improving results and functional outcomes for infants, toddlers, preschoolers and their families. This can be achieved through monitoring that systemically collects transition data to provide management and providers with an understanding of the extent of progress, achievement, and use of allocated funds.

Selected monitoring activities must ensure continuous examination of performance for compliance *and* results. Multiple data sources and methods must be used to monitor every EIS program and LEA. This includes on-site and off-site monitoring activities. In addition, transition monitoring and evaluation systems must be designed and implemented with stakeholder input and involvement to maintain data that are understandable and accessible to all stakeholders. Efficiency is more likely to be maximized when monitoring and evaluation systems are coordinated and results are shared across agencies and programs. (For the supervision and monitoring requirements of Part C, see 34 CFR 303.501. For Part B, see 34CFR 300.149 and 300.600)

Key Element

A.	STATE MONITORING OF FEDERAL AND STATE TRANSITION REQUIREMENTS ARE ALIGNED ACROSS AGENCIES.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. Monitoring of transition requirements by the Lead Agency is aligned with monitoring of all appropriate agencies.		
2. The monitoring protocol includes a broad look at transition that goes beyond just indicator measurement.		
3. Interagency structures (e.g., interagency agreements, ICC, SAC and communication protocols) are monitored regularly to ensure implementation fidelity.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
4. Written guidance on monitoring transition targets and processes is clearly written and easily accessible.		
5. The agency's monitoring protocol recognizes the involvement of parents and other agency personnel.		
Additional evidences may be added, as appropriate.		

B. INTERAGENCY PARTICIPATION IS AN INTEGRAL PART OF STATE MONITORING ACTIVITIES.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. The monitoring by Lead Agency includes other agency involvement.		
2. The State Interagency Coordinating Council (SICC) and State Advisory Council (SAC) have monitoring schedules and monitoring results included as part of their agendas.		
3. The determinations process and results are shared across agencies and with the public.		
4. The mechanisms for interagency communication are regularly reviewed for effectiveness.		
5. Stakeholders, including families and receiving agencies, participate in monitoring transitions and selecting improvement strategies.		
Additional evidences may be added, as appropriate.		

C. EVALUATION IS AN INTEGRAL PART OF ALL COMPONENTS OF THE TRANSITION SYSTEM.

POTENTIAL EVIDENCES

Interagency (across programs)	State Level	Local Level
1. When transition elements and evidences are designed and developed, mechanisms are put in place to ensure that they are implemented with fidelity and are effective.		
2. Evaluation systems are designed with stakeholder input to ensure that what is measured is also what is important to measure.		

	State Level	Local Level
3. Evaluation systems use multiple methods and data sources to ensure validity.		
4. Evaluation systems measure effect or impact of transition services on children and families and not just the transition process.		
5. Results of evaluations are used to improve the quality and efficiency of transition systems and services for children and families.		
6. Results of evaluations are shared with stakeholders and the public.		
Additional evidences may be added, as appropriate.		

Within Programs	State Level	Local Level
7. Training evaluation data demonstrate that staff have access to information and have used information to support families in transition.		
Additional evidences may be added, as appropriate.		

RESOURCES BY COMPONENT

COMPONENT I: CONTENT AND SCOPE OF SERVICE SYSTEM

Early Head Start National Resource Center. (n.d.). *Transition strategies: Continuity and change in the lives of infants and toddlers.* Retrieved January 7, 2008 from http://www.ehsnrc.org/pdffiles/MPStransitions.pdf.

This guide describes factors influencing the transition from the Early Head Start program into Head Start or other community services including a child's health and developmental status and family circumstances. The need for practices that promote family identification of goals and program assistance for locating resources reflecting individualized planning and a process for family partnership agreement is described. Citations from the Head Start Program Performance Standards for transition planning are included.

Harbin, G., Herrmann, S., Wasik, B., Dobbins, D., & Lam, W. (2004). Integrating services for family literacy. In B. Wasik (Ed.), *Handbook for Family Literacy* (pp. 373-397). York, PA: Tech Books.

This chapter illustrates a broader view of potential resource categories for a system of services for children and their families.

OSEP TA Community of Practice – Part C Settings: Services in Natural Environments. Retrieved December 17, 2007 from http://www.nectac.org/topics/families/families.asp.

On behalf of the OSEP Community of Practice on Natural Environments, a work group of researchers, trainers, state and local Part C personnel, parents and TA personnel reached consensus on the mission, principles and key practices for providing early intervention in natural environments. Research supporting each principle has also been compiled.

o Workgroup on Principles and Practices in Natural Environments (Final Draft November 2007) *Mission and principles for providing services in natural environments.* OSEP TA Community of Practice-Part C Settings. Retrieved December 17, 2007 from http://www.nectac.org/~pdfs/topics/families/Finalmissionandprinciples11_26_07.pdf

o Workgroup on Principles and Practices in Natural Environments (Final Draft November 2007) *Seven key principles: Looks like/ doesn't look like.* OSEP TA Community of Practice-Part C Settings. Retrieved December 17, 2007 from http://www.nectac.org/~pdfs/topics/families/Principles_LooksLike_Doesnt LookLike11_26_07.pdf

o Workgroup on Principles and Practices in Natural Environments (Final Draft November 2007) *Agreed upon practices for providing services in natural environments.* OSEP TA Community of Practice- Part C Settings. Retrieved December 17, 2007 from http://www.nectac.org/~pdfs/topics/families/AgreedUponPratices_FinalD raft11_2_07.pdf

Smith, B. (2000). *Administrator's essentials: Creating policies and procedures that support recommended practices in early intervention/early childhood special education.* Retrieved December 27, 2007 from http://www.dec-sped.org/pdf/recommendedpractices/adminessen.pdf.

This checklist contains relevant recommended practices from the seven strands of the *DEC Recommended Practices in Early Intervention/Early Childhood Special Education* that give specific direction to administrators.

Tracking, Referral and Assessment Center for Excellence (TRACE) Retrieved January 7, 2008 from http://www.tracecenter.info/index.php

TRACE is funded by the US Department of Education, Office of Special Education Programs. The major goal of TRACE is to identify and promote the use of evidence-based practices and models for improving child find, referral, early identification and eligibility determination for infants, toddlers, and young children with developmental delays or disabilities who are eligible for early intervention or preschool special education.

Trivette, C.M., Dunst, C.J., & Deal, A.G. (1996). Resource-based early intervention practices. In S.K.Thurman, J.R. Cornwell, & S.R. Gottwald (Eds.), *The contexts of early intervention: Systems and settings* (pp73-92). Baltimore: Brookes Publishing.

Describes a broader resource-based approach to services and supports for young children and their families.

COMPONENT II: INTERAGENCY STRUCTURE

Hayden, P., Frederick, L. & Smith, B. J. (2002). *A road map for facilitating collaborative teams.* Frederick, CO: Sopris West.

> Chapter III describes activities and resources for establishing shared leadership commitment and a team structure for collaboration. Chapter V focuses on establishing a shared vision among stakeholders. While originally developed to support collaborative inclusive practices and build local early care and education systems, the process can be adapted for transition system change.

Hayden, P., Smith, B. & Askew, L. (2001). *Tasks, tips and tools for promoting collaborative community teams.* Denver, CO: Collaborative Planning Project for Planning Comprehensive Early Childhood Systems. (ERIC Document Reproduction Service ED455627). Retrieved December 27, 2007 from http://www.eric.ed.gov/ERICDocs/data/ericdocs2sql/content_storage_01/0000019b/80/19/23/61.pdf.

> Describes a process and provides resources for creating and facilitating interagency teams to promote changes in early childhood systems. Originally developed to support a collaborative approach to designing effective early care and education systems but the process can be adapted for system change and developing an interagency structure for transition.

Head Start Information and Publication Center. (2005). *Head Start self-assessment booklet 15: Your foundation for building program excellence.* Retrieved December 27, 2007 from http://www.headstartinfo.org/self_assessment/community_partnership.htm.

> Head Start's Self-Assessment Booklet 15 includes a checklist to review for evaluating partnerships with community agencies.

Johnson, L.J., Zorn, D., Tam, B.K.Y., Lamontagne, M., & Johnson, S.A. (2003). Stakeholders' view of factors that impact successful interagency collaboration. *Exceptional Children*, 69(2), 195-209.

> This journal article focuses on factors related to successful or unsuccessful interagency collaboration.

Kraft-Sayre, M.E., & Pianta, R.C. (2000). *Enhancing the transition to kindergarten.* Charlottesville: University of Virginia, National Center for Early Development & Learning. Retrieved January 7, 2008 from http://discovery.wcgmf.org/resources/sps_resource_363.pdf

This manual describes a framework and key principles for developing a community transition plan. While this manual is based on research and experiences for the transition into kindergarten, many of the concepts, practices and resources may be adapted for the transition into preschool at age three. Specific strategies are described for establishing team structures and transition coordinators.

National Early Childhood Transition Center. *NECTC Web Site.* Retrieved December 27, 2007 from http://www.ihdi.uky.edu/NECTC/.

The center's Web site provides a listing of presentations, publications and research describing the evidence for interagency structures and validated transition practices.

Rous, B. & Hallam, R. (2006). *Tools for transition in early childhood: A step-by-step guide for agencies, teachers, and families.* Baltimore: Brookes Publishing. http://www.brookespublishing.com/store/books/rous-7357/index.htm

Chapters in this guide provide an overview of and resources for developing interagency structures and building teams.

Rous, B., Hallam, R., McCormick, K. & Jung, L. (2005). The transition process for young children with disabilities: A conceptual framework. Lexington, KY: Human Development Institute, University of Kentucky. Retrieved January 7, 2008 from http://www.ihdi.uky.edu/nectc/DOCUMENTS/PROJECTINFO/Conceptual_Framework_Web_Version.pdf

This report provides an extant review of the literature supporting key interagency components. Specific information is provided on interagency structures and a conceptual framework for understanding transition from an ecological perspective.

COMPONENT III: INTERAGENCY RELATIONSHIPS AND COMMUNICATIONS

Early Head Start National Resource Center. (n.d.). *Transition strategies: Continuity and change in the lives of infants and toddlers.* Retrieved January 7, 2008 from http://www.ehsnrc.org/pdffiles/MPStransitions.pdf.

A process for developing a Family Partnership Agreement is described as a mechanism to promote relationship building, family identification of goals and program assistance for locating resources reflecting individualized planning. Citations from the Head Start Program Performance Standards for transition planning are included.

Hayden, P., Frederick, L. & Smith, B. J. (2002). *A road map for facilitating collaborative teams.* Frederick, CO: Sopris West.

Chapter II describes resources for understanding team stages and facilitator roles and tasks. Chapter IV provides insights into developing meaningful relationships, fostering team commitment and engaging stakeholders. While originally developed to support collaborative inclusive practices and build local early care and education systems, the process can be adapted for transition system change.

Hayden, P., Smith, B., Rapport, M. & Frederick, L. (1999). *Facilitating change in comprehensive early childhood systems.* Denver, CO: Collaborative Planning Project for Planning Comprehensive Early Childhood Systems. (ERIC Document Reproduction Service ED435152). Retrieved December 27, 2007 from http://www.eric.ed.gov/ERICDocs/data/ericdocs2sql/content_storage_01/0000019b/80/15/eb/29.pdf

This document describes a comprehensive approach to systems change based on a review of the research literature. Specific attention in the planning process is devoted to facilitator roles and processes most likely to support effective interpersonal relationships and group meeting approaches. While originally developed to support collaborative inclusive practices and build local early care and education systems, the process can be adapted for transition system change.

Kraft-Sayre, M.E., & Pianta, R.C. (2000). *Enhancing the transition to kindergarten.* Charlottesville: University of Virginia, National Center for Early Development & Learning. Retrieved January 7, 2008 from http://discovery.wcgmf.org/resources/sps_resource_363.pdf

> This manual describes a framework and key principles for developing a community transition plan. While this manual is based on research and experiences for the transition into kindergarten, many of the concepts, practices and resources may be adapted for the transition into preschool at age three.   Specific strategies are described for developing key relationships among personnel and with families.

Rous, B. & Hallam, R. (2006). *Tools for transition in early childhood: A step-by-step guide for agencies, teachers, and families.* Baltimore: Brookes Publishing. http://www.brookespublishing.com/store/books/rous-7357/index.htm

> Chapter 5 in this guide provides an overview to group decision making. Strategies for building effective relationships among personnel and families are provided as well.

Smith, B. J. (2002). *The collaborative planning outreach project: Building comprehensive early childhood systems. Final Report.* Denver, CO: Collaborative Planning Outreach Project. Retrieved December 27, 2007 from http://www.eric.ed.gov/ERICDocs/data/ericdocs2sql/content_storage_01/0000019b/80/1b/0e/c8.pdf.

> This final report of the Collaborative Planning Outreach Process provides information on lessons learned for facilitating local systems change through collaborative teams. Copies of briefs and manuscripts are included that provide information that can be adapted for facilitating teams in the area of transition including a manuscript on developmental facilitation.

COMPONENT IV: INTERAGENCY AGREEMENTS

Crane, K., Gramlich, M., & Peterson, K. (September 2004). *Putting interagency agreements into action* (Issue Brief: Examining Current Challenges in Secondary Education and Transition, 3(2). Retrieved December 27, 2007 from http://www.ncset.org/publications/viewdesc.asp?id=1689.

> This issue brief includes key components of effective interagency agreements and implementation strategies.

Fink, D. B., Borgia, E., & Fowler, S.A. (1993). *Interagency agreements: Improving the transition process for young children with special needs and their families* (FACTS/LRE Information Series No. 1). Champaign, IL: University of Illinois at

Urbana-Champaign, FACTS/LRE Project. Retrieved December 27, 2007 from http://facts.crc.uiuc.edu/facts1/facts1.html.

This publication focuses on ways in which interagency agreements can facilitate the transition process for young children with disabilities and their families as they move from early intervention into preschool services.

Hadden, S. Fowler, S.A., Fink, D.B., & Wischnowski, M.W. (1995). *Writing an interagency agreement on transition: A practical guide* (FACTS/LRE Information Series #5). Champaign, IL: University of Illinois at Urbana-Champaign, FACTS/LRE Project. Retrieved January 7, 2008 from http://facts.crc.uiuc.edu/facts5/facts5.html

This publication provides the steps to consider in developing, implementing and monitoring interagency agreements among agencies involved in the transition process for children exiting the Part C program.

Harbin, G. L. & Van Horn, J. (March 1990). *Elements for inclusion in interagency agreements.* Chapel Hill, NC: UNC-Chapel Hill, Carolina Policy Studies Program, FPG Child Development Institute. Retrieved January 7, 2008 from http://www.nectac.org/~pdfs/topics/intercoord/ElementsforIncl.pdf

This policy brief provides a checklist of possible elements to consider in developing an agreement.

Hayden, P., Frederick, L. & Smith, B. J. (2002). *A road map for facilitating collaborative teams.* Frederick, CO: Sopris West.

This book includes a format for developing an interagency agreement.

Johnson, L., Zorn, D., Tam, B., LaMontagne, M., & Johnson, S. (2003). Stakeholders' view of factors that impact successful interagency collaboration. *Exceptional Children*, *69*(2), 195-209.

This journal article focuses on factors related to successful or unsuccessful interagency collaboration.

National Early Childhood Technical Assistance Center. Interagency Agreements Related to Transition Web Page. Retrieved December 27, 2007 from http://www.nectac.org/topics/transition/stateex.asp#inter)

This Web site contains examples of interagency agreements between Part C

and Part B state agencies, Head Start, and other agencies specific to transition responsibilities. Resources for developing local agreements are provided.

COMPONENT V: POLICY ALIGNMENT AND CONGRUITY

Rous, B., & Myers, C. T. (2006). *Strategies for supporting transitions of young children with special needs: National focus group findings technical report #1.* Lexington, KY: University of Kentucky, Human Development Institute, National Early Childhood Transition Center. Retrieved on January 7, 2008 from http://www.ihdi.uky.edu/nectc/DOCUMENTS/technicalReports/Technical%20 Report%201_10-24-06.pdf

National focus group findings describe the need for continuity and alignment across programs. Other findings related to desired transition practices are provided.

Rous, B. (2007). *A conceptual framework and outcomes model to support transition.* University of Kentucky, National Early Childhood Transition Center. Retrieved December 27, 2007 from http://www.ihdi.uky.edu/nectc/Documents/PRESENTATIONS/RRC-%20NECTC%205-07.ppt

This presentation provides descriptions of the key interagency components such as alignment and continuity of policies and practices. Specific information is provided on a conceptual framework for understanding transition from an ecological perspective and preliminary findings related to validated transition practices.

Smith, B. (2000). *Administrator's essentials: Creating policies and procedures that support recommended practices in early intervention/early childhood special education.* Retrieved December 27, 2007 from http://www.dec-sped.org/pdf/recommendedpractices/adminessen.pdf.

This checklist contains relevant recommended practices from the seven strands of the *DEC Recommended Practices in Early Intervention/Early Childhood Special Education* that give specific direction to administrators.

Council for Exceptional Children. *Division for Early Childhood Web Page on Recommended Practices.* Retrieved December 27, 2007 from http://www.dec-sped.org/recommendedpractices.html.

This publication does not specifically address early childhood transition but provides information on practices relevant to the designing and implementation of personnel development activities. Practices influencing the transition process such as child assessment, evaluation, teaming and inclusion are described.

Fixsen, D. L. (2006). *Implementing Evidence-based Education.* Presentation at 2006 OSEP Project Directors' Conference. Retrieved December 27, 2007 from http://www.signetwork.org/Docs/Misc/OSEP%20Mtg_FixsenD-1.ppthttp://www.signetwork.org/Docs/Misc/OSEP%20Mtg_FixsenD-1.ppt.

This is a power point presentation that includes information on evidence-based practices for scaling up and implementation of practices in the field.

Hayden, P., Frederick, L. & Smith, B. J. (2002). *A road map for facilitating collaborative teams.* Frederick, CO: Sopris West.
Describes a process and provides resources for creating collaborative teams to promote changes in early childhood systems. The book can be used as a training resource for facilitators. While developed to support collaborative inclusive practices and build local early care and education systems, the process can be adapted for transition system change.

Head Start Information and Publication Center. *Effective Transition Practices: Facilitating Continuity.* Retrieved December 27, 2007 from http://www.headstartinfo.org/publications/effective_transitions/irresources.htm.

This is a training guide for the Head Start Learning Community which introduces readers to concepts, issues, and ideas associated with implementing effective transition practices. The web site includes a list of resources that can provide additional information and ideas to help implement these practices.

Head Start Information and Publication Center. *Infant and Toddler Transition Training Guides*. Retrieved December 27, 2007 from http://www.headstartinfo.org/cgi-bin/pubcatstore.cfm?CatID=172&do=detail.

This technical training guide can be used to assist staff and families to examine infant and toddler transitions from a developmental perspective that includes practices to support individualized routine-based planning. Information is considered for implementing measures for evaluating the quality and effectiveness of transitions.

National Center for Special Education Accountability Monitoring. (2007). *Developing and implementing an effective system of general supervision: Part B.* New Orleans, LA: Louisiana State University. Retrieved December 27, 2007 from http://www.monitoringcenter.lsuhsc.edu/PDF%20Word/1%20EffectiveGeneral Supervisionfinal%201-16-07.pdf.

This document contains a section on *Targeted Technical Assistance and Professional Development* on page 13 linking training and TA practices to a state system of general supervision and implementation of activities described on a State Performance Plan (SPP).

National Early Childhood Technical Assistance Center. *Personnel Development Web Page*. Retrieved December 27, 2007 from http://www.nectac.org/topics/personnel/personnel.asp.

This Web site does not directly address transition but contains a section on *National Centers and Grants* which provides evidence-based professional development practices and resources.

National Early Childhood Technical Assistance Center. *Transition Web Page*. Retrieved December 27, 2007 from http://www.nectac.org/topics/transition/transition.asp.

This Web site provides links to *State Resources* which, among other resources, also includes *Training Materials, State Initiatives and Special Projects.*

National Implementation Research Network (NIRN) – Retrieved December 27, 2007 from http://nirn.fmhi.usf.edu/.

This Web site includes resources on the effective implementation of

innovations and the implication for evidence-based personnel development strategies.

North Central Regional Resource Center. (2007). *Connecting the Dots.* Minneapolis, MN: University of Minnesota, North Central Regional Resource Center. Retrieved December 27, 2007 from http://www.rrfcnetwork.org/content/view/225/407/.

Connecting the Dots is an online training that supports states in addressing compliance regarding transition practices at age three. The training developed by the Iowa Department of Education and the North Central Regional Resource Center (NCRRC) is designed to assist service coordinators and LEA staff. You must register and login to access the training. For more information about the training, contact Ann Bailey (baile045@umn.edu) at NCRRC.

Rous, B. & Hallam, R. (2006). *Tools for transition in early childhood: A step-by-step guide for agencies, teachers, and families.* Baltimore: Brookes Publishing. http://www.brookespublishing.com/store/books/rous-7357/index.htm

This guide can be used as a training resource for developing early childhood transition strategies and approaches.

Smith, B. (2000). *Administrator's essentials: Creating policies and procedures that support recommended practices in early intervention/early childhood special education.* Retrieved December 27, 2007 from http://www.dec-sped.org/pdf/recommendedpractices/adminessen.pdf.

This checklist contains relevant recommended practices from the seven strands of the *DEC Recommended Practices in Early Intervention/Early Childhood Special Education* (Sandall, McLean, & Smith, 2000) that give specific direction to administrators. The checklist includes information relevant to supporting personnel development and supervision.

State Personnel Development Grant Network, SIG Network. *Scaling Up Web Page.* Retrieved December 27, 2007 from http://www.signetwork.org/scaling_up.html.

This Web site does not directly address transition but provides national resources, state activities and research resources for scaling up program practices.

COMPONENT VII: DATA SYSTEMS AND PROCESSES

Data Accountability Center (DAC) – Retrieved on January 17, 2008 from
http://www.ideadata.org

> The Data Accountability Center is an OSEP-funded cooperative agreement project with a focus on improving the quality of both 616 and 618 data that States are required to submit/collect/analyze under IDEA. Based on state needs, the project will be developing technical assistance products; assisting with the annual data meeting; offering TA over the phone, e-mail, and listservs; meeting with states and doing regional workshops; and meeting with states at regional and national conferences.

Jackson, T. & Ahearn, E. (2004). *Unique student identifiers.* Alexandria, VA: National Association of State Directors of Special Education, Project FORUM. Retrieved December 27, 2007 from http://www.nasdse.org/publications/unique_student_identifiers.pdf.

> This brief analysis of states' use of unique student identifiers to track critical data provides a summary of various methods of assigning unique identifiers, including the pros and cons of each method, and which states use each method. The analysis also includes a description of the benefits and challenges of using a unique student identifier.

Huisken, J. S., Rodin, H. Sharpe, M., McMillan, W., & Hawes, M. (2007). Thinking through improvement: Tools and strategies to guide improvement efforts. Minneapolis, MN: North Central Regional Resource Center, Institute on Community Integration, University of Minnesota.

> This document describes a planning process developed by the North Central Regional Resource Center for use by state and local education agencies. Emphasis is placed on understanding how improvement is achieved and how educational accountability is demonstrated. The improvement process also emphasizes how data are used to support the improvement planning process. The materials provide information and activities on prioritizing areas for improvement, setting targets and benchmarks, selecting effective improvement activities, evaluating process and impact, and reporting progress. The materials were developed to address the IDEA 2004 State Performance Plan (SPP) indicators and can be used to address other areas identified for improvement.

National Center for Special Education Accountability Monitoring. (2007). *Developing and implementing an effective system of general supervision:*

Part B. New Orleans, LA: Louisiana State University. Retrieved December 27, 2007 from
http://www.monitoringcenter.lsuhsc.edu/PDF%20Word/1%20EffectiveGeneral Supervisionfinal%201-16-07.pdf

This concept paper describes the components of an effective state general supervision system, including evidences related to transition for state or local agencies.

National Early Childhood Technical Assistance Center. *General Supervision Systems Web Page.* Retrieved December 27, 2007 from
http://www.nectac.org/topics/quality/gensup.asp).

This webpage includes information on data processes and results, including aligning data across Part C and Part B systems.

National Early Childhood Transition Initiative. *Webinar on State Level Data Collaboration.* (2007, November 1). Retrieved December 27, 2007 from
http://www.rrfcnetwork.org/content/view/493/47.

This webinar covers the topic of collaboration between state agencies and localities regarding the sharing of data and records of children moving between early intervention and school-age services.

Streifer, P. (2004). *Tools and techniques for effective data driven decision making.* Lanham, MD: Rowman & Littlefield Publishing Group. Retrieved December 27, 2007 from
http://www.rowmaneducation.com/Catalog/SingleBook.shtml?command=Search&db=^DB/CATALOG.db&eqSKUdata=1578861233

This book provides readers with a comprehensive understanding of what data-driven decision-making can and cannot tell educators about student achievement and addresses the related issues for leadership, policy development, and accountability.

Streifer, P. (2002). *Using data to make better educational decisions.* Lanham, MD: Rowman & Littlefield Publishing Group.
http://www.rowmaneducation.com/Catalog/SingleBook.shtml?command=Search&db=^DB/CATALOG.db&eqSKUdata=0810842149

This book provides information on how data, including the relationship between different types of data, can be used to educational questions and concerns. A process for data driven decision-making is shared.

U.S. Department of Education, Office of Special Education and Rehabilitative Services. *OSEP Policy Letter to Elder, 2/11/04).* Retrieved December 27, 2007 from http://www.ed.gov/policy/speced/guid/idea/letters/2004-1/elder021104ifsp1q2004.pdf

This OSEP policy letter to Mary Elder, Executive Director, Texas Interagency Council on Early Childhood Intervention, provides legal guidance to Texas on LEA Notification requirements.

Westat. *Ideadata.org Web Site.* Retrieved December 27, 2007 from http://www.ideadata.org.

This website includes an array of resources related to data elements, data collection, and data reporting.

Westat. (July 2006). *Data Accuracy: Critical Elements for Review of SPPs.* Retrieved December 27, 2007 from http://www.rrfcnetwork.org/images/stories/FRC/spp_mat/data%20accuracy-critical%20elements%20for%20review%20of%20spps.doc.

This resource produced by Westat outlines four key principles (e.g., data collection, data editing and validation, data reporting, and systems management and documentation) and 16 related critical elements for ensuring data accuracy.

Westat. (2006). *Taking Your Data to the Laundry.* Retrieved December 27, 2007 from http://www.ideadata.org/docs/TakingYourDatatotheLaundry.pdf

This resource produced by Westat proposes editing techniques to help those who collect data to improve data accuracy. One key element in data accuracy is collecting clean data. Cleaning data is more than applying clever edits, comprehensive error checking, or one-time verification routines.

It is the consistent application of procedures that encourage policymakers to trust the data collected and use the data to guide and focus decision-making for improvement.

COMPONENT VIII: MONITORING AND EVALUATION

Consortium for Appropriate Dispute Resolution in Special Education (CADRE) –
Retrieved December 27, 2007 from http://www.directionservice.org/cadre/.

CADRE is funded by the Office of Special Education Programs at the US
Department of Education to serve as the National Center on Dispute Resolution
in Special Education. CADRE works with state and local education and early
intervention systems, parent centers, families and educators to improve
capacity for resolving special education disputes and provides a database for
state special education and early intervention mediation systems. A
presentation by NECTAC reviewing national Part C data related
to procedural safeguards is provided at
http://www.directionservice.org/cadre/nectac07.cfm

Data Accountability Center (DAC) – Retrieved on January 17, 2008 from
http://www.ideadata.org

The Data Accountability Center is an OSEP-funded cooperative agreement
project with a focus on improving the quality of both 616 and 618 data that
States are required to submit/collect/analyze under IDEA. Based on state
needs, the project will be developing technical assistance products; assisting
with the annual data meeting; offering TA over the phone, e-mail, and
listservs; meeting with states and doing regional workshops; and meeting with
states at regional and national conferences.

National Center for Special Education Accountability Monitoring. (2007).
*Developing and implementing an effective system of general supervision:
Part B.* New Orleans, LA: Louisiana State University. Available from
http://www.monitoringcenter.lsuhsc.edu/PDF%20Word/1%20EffectiveGeneral
Supervisionfinal%201-16-07.pdf

This concept paper describes the components of an effective state general
supervision system, including evidences related to transition for state or local
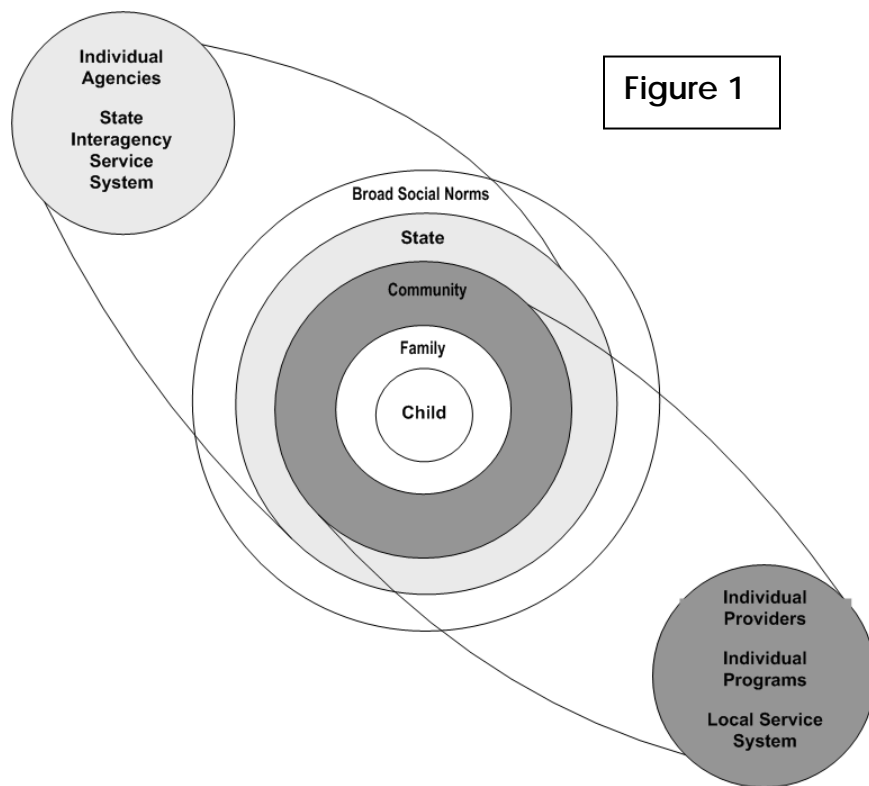agencies.

National Early Childhood Technical Assistance Center. *General Supervision Web Page.* Retrieved December 27, 2007 from http://www.nectac.org/topics/quality/gensup.asp.

This Web site provides a variety of general resources relating to general supervision components, policies, practices and procedures in both Part C and Part B, Section 619 programs. Only a few of the resources relate directly to transition. The site links to works completed and compiled by specific technical assistance centers as well as by individual states.

Appendix A

Conceptual Framework for this Paper

As states and local programs plan for more effective transition services, it is important to consider the ecological nature of the transition process as depicted in Figure 1. That is, young children with disabilities are nested within the child's family and their community which includes their individual service providers and programs. In turn, the providers and programs are nested within the local and state service system and the broader local and state context (Rous, Hallam, Harbin, McCormick & Jung, 2007).

1

Figure 1

Both the state interagency service system, and individual state agencies' transition policies, practices and activities lay the foundation for, and influence the local interagency service system, as well as the transition activities of local programs and providers as depicted in Figure 2. These critical state and local variables, or factors, impact both the preparation, and subsequent adjustment, of young children and their families, as they move between and among programs (Rous, Hallam, Harbin, McCormick & Jung, 2007).
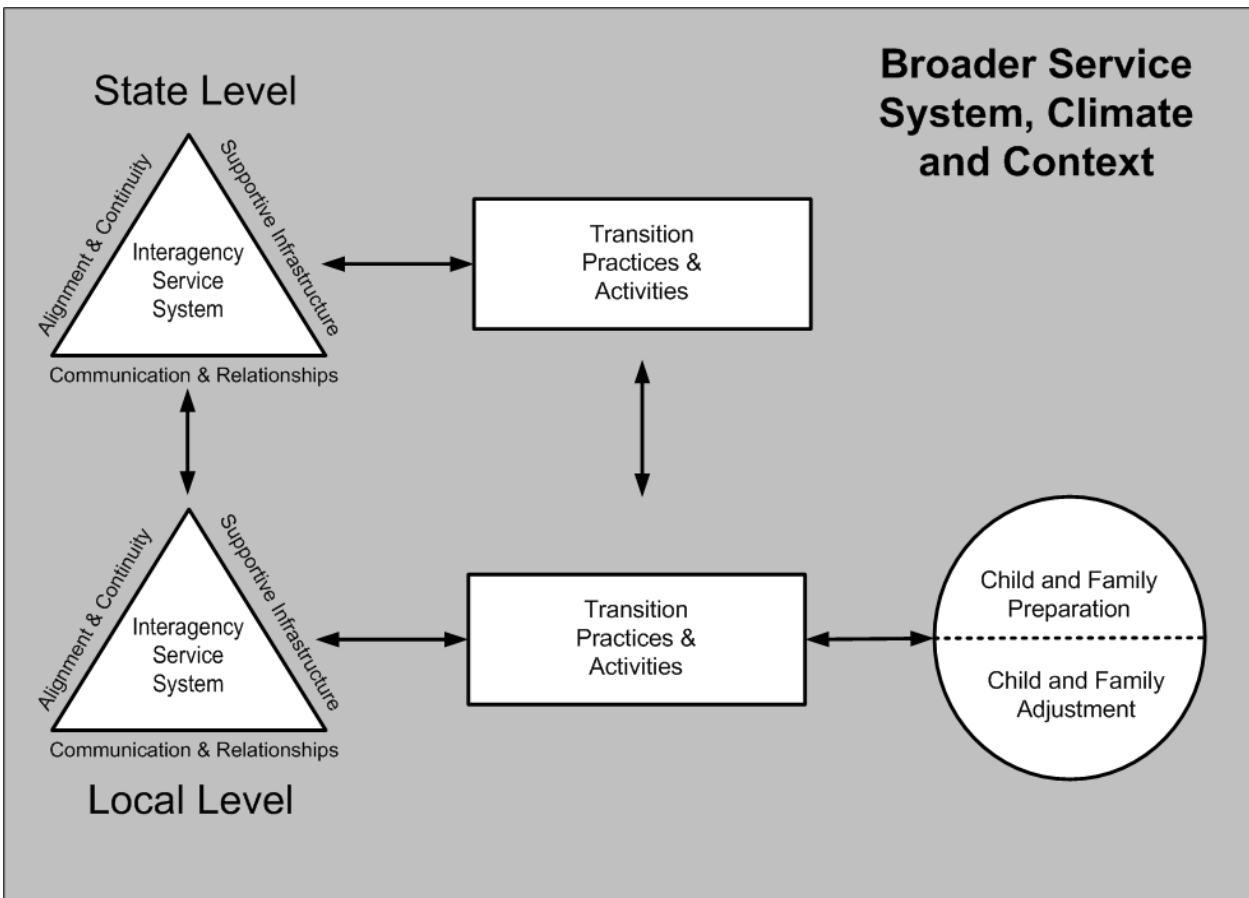
There is increased awareness at both the state and local level of the importance of delineating desired outcomes for children and families. There are two critical types of outcomes that can be considered with respect to transition. First, specific child and family outcomes have been identified by OSEP for children (Part C Indicator 3; Part B Indicator 7) and families (Part C Indicator 4). Data related to these outcomes is reported annually through the APR.

Second, the identification of child and family outcomes is critically important specifically as it relates to transition. Transition outcomes should measure the impact of sending and receiving programs' activities and practices which impact both the preparation for, and adjustment of, children and their families to new programs and environments (Rous, Harbin, & McCormick, 2007; Harbin, Rous, Peeler, Schuster & McCormick, 2007).

Several key constructs are displayed in Figure 3 to inform the transition process. Key in developing processes to support transition at the local level, are the interagency service system, policies of both the sending and receiving programs, and practices used by providers within sending and receiving programs to support families and children.

These organizational factors influence outcomes at three distinct levels:

- o Immediate – preparation of children and families,
- o Short-term – adjustment of children and families to new environments, and
- o Long-term – engagement and involvement of the family in the child's program and the child's future success in school.

In order for these outcomes to be achieved, the sending program must reach forward and the receiving program reach backward, as they each play significant roles in both the preparation and adjustment of children and families.

FIGURE 3: TRANSITION CONCEPTUAL FRAMEWORK WITH CHILD AND FAMILY OUTCOMES
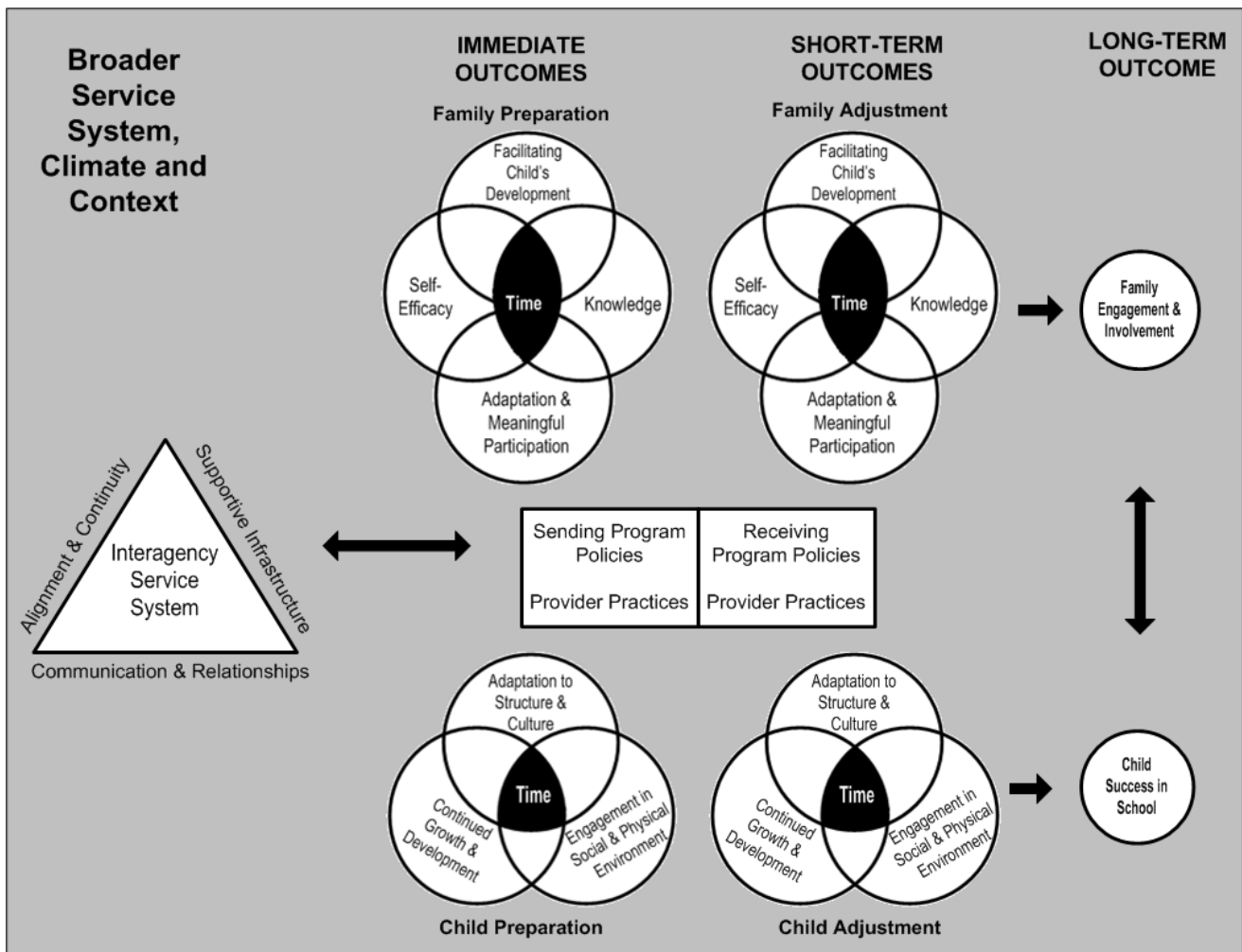
Appendix B

State of the Evidence in Early Childhood Transition

A major theme in early literature related to the transition of children with disabilities was the need for transition planning to address the individual strengths, needs, and characteristics of children, families, and programs (Conn-Powers, Ross-Allen, & Holburn, 1990). This was based on the early recognition that supports, including social supports, play a key role in a successful transition planning process for both families and the professionals that serve them (Hanline, 1993). To support this process, IDEA included specific regulations related to supports and services for transition.

While IDEA supports early transition planning for young children and their families (34 CFR 303.148(b)), preliminary data from a study of the transition at age three years conducted by the National Early Childhood Transition Center (McCormick, Rous, Gooden & Cox, 2007) indicate that for the majority of families included in the study, transition planning was initiated after the child was 30 months of age (68.2%). A review of IFSPs for these children at around 33 months of age revealed that while 73% of children had steps and services for transition explicitly stated in the IFSP, the remaining 27% had IFSPs with unclear language related to transition or had no transition steps at all, even though the majority of children in the study (62%) were identified as having developmental concerns by 1 month of age and 73% went on to receive preschool special education services. These data indicate that for many children, transition supports and services required as part of IDEA are not being provided in a timely fashion.

Building an adequate state and local infrastructure to support and guide effective transition for children and families is a complex undertaking. The importance of effective transition planning on children's school success has become increasingly clear. Research has demonstrated that a child's initial transition to school directly impacts later academic and social success (Entwisle & Alexander, 1998). In turn, children's health and social/emotional development is predictive of academic success at the end of 1st grade (Hair, Halle, Terry-Human, Lavelle & Calkins, 2006). For children who have disabilities and need special services, poor transition experiences often compound these difficulties both academically and socially. Additionally, the use of transition policies and practices has been shown to have positive effects on child outcomes, specifically academic achievement at the end of kindergarten and parent initiated involvement in schools (Schulting, Malone, & Dodge, 2005).

Another critical component to consider in transition planning is recognition that transition is not an event, but a constant part of child development and family life.

Young children with disabilities and their families experience multiple transitions by the time a child enters kindergarten. It is also likely that they participate in multiple programs and services at any given time. Discontinuity between services is often cited as a powerful barrier to successful transitions while the likelihood for successful transition increases as the level of continuity across programs, curricula, and personnel increases (Entwisle & Alexander, 1998).

Appendix C

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Appendix D

ORGANIZATIONS AND OTHER GENERAL RESOURCES

Consortium for Appropriate Dispute Resolution in Special Education (CADRE) -- http://www.directionservice.org/cadre/.

> CADRE is funded by the Office of Special Education Programs at the US Department of Education to serve as the National Center on Dispute Resolution in Special Education. CADRE works with state and local education and early intervention systems, parent centers, families and educators to improve capacity for resolving special education disputes and provides a database for state special education and early intervention mediation systems

Child Care Bureau -- http://www.acf.hhs.gov/programs/ccb/

> The Child Care Bureau, housed within the U.S. Department of Health and Human Services (HHS), Administration for Children and Families (ACF), Administration on Children, Youth, and Families (ACYF), Children's Bureau, support low-income working families by providing programs for child care financial assistance and quality initiatives for early care and education and after school programs.

Child Care and Development Block Grant (CCDBG) -- http://www.ed.gov/about/offices/list/oii/nonpublic/childcare.html

> The Child Care and Development Block grant (CCDBG) program is administered through the U.S. Department of Health and Human Services (HHS), Administration for Children and Families (ACF), Administration on Children, Youth and Families (ACYF), Children's Bureau, Child Care Division and provides grants to states to help increase the availability, affordability, and quality of child care.

Council of Chief State School Officers -- http://www.ccsso.org/

> The Council of Chief State School Officers (CCSSO) is a nonpartisan, nationwide, nonprofit organization of public officials who head departments of elementary and secondary education in the states, the District of Columbia, the Department of Defense Education Activity, and five U.S. extra-state jurisdictions. The Council seeks member consensus on major educational issues and expresses their views to civic and professional organizations, federal agencies, Congress, and the public.

Council of Chief State School Officers, Early Childhood Education Assessment Consortium -- http://www.ccsso.org/projects/SCASS/Projects/Early_Childhood_Education_Assessment_Consortium/

The Early Childhood Education Assessment (ECEA) Consortium was initiated in 2000 to provide guidance to decision makers on appropriate assessment systems in order to promote and ensure high-quality learning opportunities for young children. The consortium's focus is on early childhood learning and developmental outcomes, appropriate assessment, program evaluation, and using data for system accountability.

Council for Exceptional Children. *Division for Early Childhood Web Page on Recommended Practices.* -- Retrieved December 27, 2007 from http://www.dec-sped.org/recommendedpractices.html.

Publications listed provide information on practices relevant to the transition process such as child assessment and evaluation, inclusion and professional development.

Good Start, Grow Smart: The Bush Administration's Early Childhood Initiative -- http://www.whitehouse.gov/infocus/earlychildhood/toc.html.

The *Good Start, Grow Smart* initiative addresses three major areas: Strengthening Head Start; Partnering with States to Improve Early Childhood Education; and Providing Information to Teachers, Caregivers and Parents.

IDEAdata.org -- https://www.ideadata.org/index.html

The Ideadata.org web site provides public access to the most recent data about children with disabilities served under the Individuals with Disabilities Education Act (IDEA). These data are collected annually by the U.S. Department of Education, Office of Special Education Programs in accordance with Section 618 of IDEA. They are provided in the form of tables produced for the Annual Reports to Congress. The web site is organized according to the part of the law that governs services for children in an age group.

National Association of Child Care Resource and Referral Agencies (NACCRRA) -- http://www.naccrra.net/

NACCRRA is a national network of more than 850 child care resource and

referral centers (CCR&Rs) located in every state and most communities across the US. CCR&R centers help families, child care providers, and communities find, provide, and plan for affordable, quality child care. NACCRRA provides training, resources and practice standards to local and state CCR&Rs to support high quality, accountable services.

National Child Care Information Center (NCCIC) --
http://www.nccic.org/index.html

NCCIC is funded through the Child Care Bureau and serves as a national clearinghouse and technical assistance center that links parents, providers, policy-makers, researchers, and the public to early care and education information.

National Early Childhood Technical Assistance Center (NECTAC) --
http://www.nectac.org/

The National Early Childhood Technical Assistance Center supports the national implementation of the early childhood provisions of the Individuals with Disabilities Education Act (IDEA). NECTAC is funded by a cooperative agreement with the U.S. Department of Education, Office of Special Education Programs to provide technical assistance by transferring knowledge about early childhood research, practices that work, and policies to assist states and their stakeholders to accomplish goals and plans for systems change.

National Early Childhood Transition Center (NECTC) --
http://www.ihdi.uky.edu/nectc/.

The National Early Childhood Transition Center is funded by the U.S. Department of Education, Office of Special Education Programs to examine and research factors that promote successful transitions between infant/toddler programs, preschool programs, and public school programs for young children with disabilities and their families.

National Professional Development Center on Inclusion. (NPDCI) -- Retrieved December 27, 2007 from http://www.fpg.unc.edu/~npdci/.

The National Professional Development Center on Inclusion (NPDCI) is working with states to create a system of high quality, cross-agency, accessible professional development for early childhood personnel relating to inclusion.

Office of Head Start -- http://www.acf.hhs.gov/programs/hsb/

> Head Start is a national program that promotes school readiness by enhancing the social and cognitive development of children through the provision of educational, health, nutritional, social and other services to enrolled children and families. Resources are available through their Early Learning and Knowledge Center and their Head Start Information and Publication Center.

Office of Special Education Programs (OSEP) --
http://www.ed.gov/about/offices/list/osers/osep/index.html?src=mr

> The Office of Special Education Programs (OSEP) is dedicated to improving results for infants, toddlers, children and youth with disabilities ages birth through 21 by providing leadership and financial support to assist states and local districts. OSEP administers the Individuals with Disabilities Education Act (IDEA). IDEA authorizes formula grants to states, and discretionary grants to institutions of higher education and other nonprofit organizations to support research, demonstrations, technical assistance and dissemination, technology and personnel development and parent-training and information centers.

Regional Resource Centers/Federal Resource Center (RRC/FRC) --
http://www.rrfcnetwork.org

> This website will link the user to the Federal Resource Center and link to each of the six specific OSEP funded Regional Resource Centers across the country. Information is available both regionally and nationally on a broad arena of topical areas, resources, guidance, training, conferences, activities, and regulations related to Part B and Part C special education including transition and general supervision.

SERVE -- http://www.serve.org/

> SERVE's operational core is the Regional Educational Laboratory. Funded by the U.S. Department of Education's Institute of Education Sciences, the Regional Educational Laboratory for the Southeast is one of ten Laboratories providing research-based information and services to all 50 states and territories. These Laboratories form a nationwide education knowledge network, building a bank of information and resources shared and disseminated nationally and regionally to improve student achievement.

State Collaborative on Assessment and Student Standards (SCASS) -- Retrieved
January 7, 2008 from http://www.ccsso.org/projects/SCASS/

SCASS provides leadership, advocacy and services in creating and
supporting effective collaborative partnerships through the collective
experience and knowledge of state education personnel to develop and
implement high standards and valid assessment systems to maximize
educational achievement for all children.

SCASS also has an Early Childhood unit described at
http://www.ccsso.org/projects/SCASS/Projects/Early%5FChildhood%5FEducat
ion%5FAssessment%5FConsortium/

Tracking, Referral and Assessment Center for Excellence (TRACE) --
http://www.tracecenter.info/index.php

TRACE is funded by the US Department of Education, Office of Special
Education Programs. The major goal of TRACE is to identify and promote the
use of evidence-based practices and models for improving child find,
referral, early identification and eligibility determination for infants, toddlers,
and young children with developmental delays or disabilities who are eligible
for early intervention or preschool special education.

What Works Clearinghouse (WWC) -- http://ies.ed.gov/ncee/wwc/.

The What Works Clearinghouse (WWC) collects, screens, and identifies studies of
effectiveness of educational interventions (programs, products, practices, and
policies). The WWC regularly updates the WWC Technical Standards and their
application to take account of new considerations brought forth by experts and
users. Such changes may result in re-appraisals of studies and/or interventions
previously reviewed and rated. The current WWC Standards offer guidance for
those planning or carrying out studies, not only in the design considerations but the
analysis and reporting stages as well.