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| APR Checklist and Tips—Indicator C-4:  Family Outcomes | " " |
|  | December 2023 |

Results indicator: Percent of families participating in Part C who report that early intervention services have helped the family:

1. Know their rights;
2. Effectively communicate their children's needs; and
3. Help their children develop and learn. (20 U.S.C. 1416(a)(3)(A) and 1442)

For an overview of the indicator, including explanation of the measurement, please access the SPP/APR modules: [SPP/APR Basics, What you Need to Know](https://dasycenter.org/spp-apr-basics-what-you-need-to-know/). For more detailed information please access the current [FFY Part C SPP/APR Package](https://sites.ed.gov/idea/grantees/#SPP-APR,FFY20-25-SPP-APR-Package). The Measurement Table language is also included at the beginning of the indicator in the SPP/APR template/platform.

**What to Know About this Indicator**

* This indicator is a results indicator, and states must set rigorous targets based on analysis of historical data and stakeholder input.
* A survey is not required for this indicator.
* Sampling can be used in collecting data for C-4. However, sampling plans must be submitted and approved by OSEP. If a sampling plan changes, it must be submitted to OSEP with the APR.
* When analyzing representativeness, if the analysis shows that the demographics of the infants or toddlers for whom families responded are not representative of the demographics of infants and toddlers receiving services in the Part C program, the state must describe the strategies that will be used to ensure that future response data are representative of those demographics.

**NOTE: Starting in FFY 2022 (APR due February 1, 2024)** race and ethnicity must be included in the analysis of representativeness plus at least one other demographic characteristic or category approved by stakeholders. OSEP provides the following as examples, but states may select other categories based on their context and needs: socioeconomic status, parents or guardians whose primary language is other than English or have limited English proficiency, maternal education, geographic location, etc. The additional demographic(s) must be approved through the stakeholder input process.

General Tips

* Review and respond to information included in the sections “OSEP Response” and “Required Actions” from the previous year’s APR for this indicator. Include the state’s response in the "Prior FFY Required Actions" section of the SPP/APR reporting platform.
* Ensure that all information is entered into the appropriate fields in the platform.
* Check that your numbers exactly match the OSEP pre-populated/auto-calculated numbers.
* Exclude extraneous information that may cause confusion or create additional questions for the reader.
* Make sure to have an understanding of response rates and representativeness to write with clarity when addressing these topics.

1. Historical Data

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Verified or changed baseline year for each family outcome (A,B,C) (*Pre-populated*) |  |  |  |
| 1. Verified or changed baseline data for each family outcome (A,B,C) (*Pre-populated*) |  |  |  |
| 1. Verified accuracy of historical data for each family outcome (A,B,C) (*Pre-populated*) |  |  |  |
| 1. Verified accuracy of historical targets for each family outcome (A,B,C) (*Pre-populated*) |  |  |  |
| 1. Verified accuracy of/or changed targets for current FFY and future FFYs for each family outcome (A,B,C) (*Pre-populated - End target for FFY 2025 must be higher than baseline data*) |  |  |  |
| 1. Described stakeholder input on targets |  |  |  |

Tips (if baseline changed):

* Change both the baseline year (FFY) and the baseline data in the “Historical Data” section for each family outcome as appropriate. Baseline can be changed to reflect the current FFY or a prior FFY.
* Record the baseline data so it is consistent with the state’s data for that FFY as reported in the “Historical Data” section or in the “Current FFY Data” section. Do not round up or round down the numbers (e.g., use 89.52% not 90%).
* Describe how stakeholders were involved in the decision to keep or change baseline and/or targets. Describe the kind of information/data that was shared to inform their input (e.g., trend data, improvements in data quality, state initiatives impacting the data). Include this information in the “Targets: Description of Stakeholder Input” section unless information specific to changing baseline and/or targets for this indicator is included in the “Introduction” and the box is checked to repeat stakeholder engagement information for each indicator.
* Describe the justification/reason(s) for resetting baseline and/or targets in the “Targets: Description of Stakeholder Input” section unless information specific to changing baseline and/or targets for this indicator is included in the “Introduction” and the box is checked to repeat stakeholder engagement information for each indicator. Reasons for changing baseline often include issues related to comparability of data across FFYs, such as changes in state data collection tools, methodology, or data source. Reasons for changing targets should reflect such things as improved data quality, change in baseline, initiatives or state priorities impacting indicator data.

See the following resources for more information on justifications for resetting baseline and targets:

* + [Target Setting Guide](https://dasycenter.org/target-setting-guide/)
  + [OSEP’s Universal TA for FFY 2020-2025](https://sites.ed.gov/idea/files/Universal-TA-for-FFY-2020-2025-SPP-APR.pdf)

[IDEA Part C SPP/APR User Guide](https://osep.communities.ed.gov/#program/spp-apr-resources)

2. FFY SPP/APR Data

2A. Current FFY Data

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Reported the number of families to whom surveys were distributed |  |  |  |
| 1. Reported the number of families responding to the survey in Part C |  |  |  |
| 1. Verified accuracy of survey response rate (*Auto-calculated by dividing number of families responding by the number of families to whom surveys were distributed*) |  |  |  |
| 1. Provided the number of families who reported that EI services helped them: A. Know their rights, B. Communicate their children’s needs, C. Help their children develop and learn |  |  |  |
| 1. Provided the number of family responses to the question of whether EI services helped them: A. Know their rights, B. Communicate their children’s needs, C. Help their children develop and learn |  |  |  |
| 1. Verified accuracy of prior FFY data for each family outcome (*Pre-populated*) |  |  |  |
| 1. Verified accuracy of current FFY target for each family outcome (*Pre-populated*) |  |  |  |
| 1. Verified accuracy of current FFY data for each family outcome (*Auto-calculated by dividing number of families reporting that EI helped for each of the three family outcomes by the number of families who responded to the question for each family outcome*) |  |  |  |
| 1. Verified accuracy of status regarding meeting or not meeting target (*Auto-calculated by comparing current FFY data to current FFY target*) |  |  |  |
| 1. Verified accuracy of slippage statement (*Auto-calculated using OSEP’s definition of slippage - see* [*IDEA Part C SPP/APR User Guide*](https://osep.communities.ed.gov/#program/spp-apr-resources) *[page 25]*) |  |  |  |
| 1. Provided reasons for slippage for each family outcome, if applicable |  |  |  |

*Tips (if slippage occurred):*

* Consider factors that impacted the data (e.g., policies and procedures are not clear, change in local leadership, personnel/workforce shortage, providers not understanding requirements and procedures, natural disaster) when describing reasons for slippage. See [State Examples of Slippage](https://dasycenter.org/spp-apr-checklists-and-tips/SlippageExamples_Acc.pdf).

**NOTE:** A survey tool would be considered revised if changes are made to the survey construction, mode of delivery, method of analyses, use of incentives, adding reminders, etc. For more information about survey considerations, see [Family Outcomes Survey Considerations](https://dasycenter.org/spp-apr-checklists-and-tips/SurveyMethodologyBeforeNowPerksProblems_Acc.pdf):

2B. Sampling

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Indicated whether sampling was used |  |  |  |
| *If yes --* |  |  |  |
| * 1. Indicated whether approved sampling plan changed |  |  |  |
| * 1. Uploaded changed sampling plan if applicable |  |  |  |
| * 1. Described the sampling methodology and how the design will yield valid and reliable estimates |  |  |  |

2C. Tool

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Indicated whether a tool was used |  |  |  |
| *If yes --* |  |  |  |
| 1. Indicated whether the tool is new or revised |  |  |  |
| 1. Uploaded copy of new or revised survey, if applicable |  |  |  |

2D. Representativeness and Survey Response Rates

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Indicated whether demographics are representative of families in Part C |  |  |  |
| 1. Described analysis of the extent to which the demographics of families responding are representative of the program demographics |  |  |  |
| * 1. Included race and ethnicity in analysis |  |  |  |
| * 1. Included at least one of the following demographics: socioeconomic status, parents or guardians whose primary language is other than English and who have limited English proficiency, maternal education, geographic location, and/or another demographic category approved through the stakeholder input process. |  |  |  |
| 1. Described strategies to ensure representativeness, if applicable |  |  |  |
| 1. Verified accuracy of survey response data for prior FFY and current FFY (*Pre-calculated by dividing number of families responding to survey by number of families to whom survey was distributed*) |  |  |  |
| 1. Described strategies to increase response rates year over year, particularly for underrepresented groups |  |  |  |
| 1. Described analysis of response rate including nonresponse bias |  |  |  |
| 1. Described steps to reduce bias/promote response from broad cross-section of families |  |  |  |
| 1. Included analysis of extent to which demographics of respondents are representative of Part C |  |  |  |
| 1. Described the metric used to determine representativeness |  |  |  |

*Tips for Representativeness and Response Rate:*

* If a survey was used, provide context by describing how the state distributed the survey to families (e.g., by mail, by e-mail, on-line, by telephone, in-person) and how responses were collected (e.g., electronic submission, hard copy, notes from phone interview). Provide this information in the analysis of response rates or in the “Additional Information” section of this indicator.
* Describe the analyses of response rates and representativeness and survey implementation data before listing the steps that will be used to reduce identified bias and promote response from a broad cross section of families in the respective places in the template.
* **NOTE: Starting in FFY 2022 (APR due February 1, 2024)** race and ethnicity must be included in the analysis of representativeness plus at least one other demographic characteristic or category approved by stakeholders. OSEP provides the following as examples, but states may select other categories based on their context and needs: socioeconomic status, parents or guardians whose primary language is other than English or have limited English proficiency, maternal education, geographic location, etc. The additional demographic(s) must be approved through the stakeholder input process.

Include in the description of analyses:

* + The variables used in analyzing response rates (e.g., race and ethnicity, other demographic variable(s), age of infant or toddler, and geographic location) to 1) compare the response rates of the various subgroups in demographics analyzed with the state response rate to identify if there is an indication of nonresponse bias; and 2) determine whether there is a low response rate overall or in the different demographic subgroups analyzed.

The categories used in this analysis, such as race and ethnicity (required), additional demographic variable (required), age of infant or toddler, and geographic location, and the conclusions regarding representativeness when comparing the percentage of families enrolled in Part C by each variable used in the analysis with the percentage of surveys received by subgroups of each variable.

* If analyses conclude that the responding families are not representative of the program demographics, the state must describe the strategies used to ensure that future data are representative of those served.
* Describe specific strategies such as changing methodology, changing survey tool structure, wording, length, instituting use of incentives and/or reminders, and changing timing of data collection that will be implemented to increase the response rate year over year for underrepresented groups.

Describe steps that will be used to reduce identified bias and promote responses from a broad cross section of families. Steps may include, for example, implementing a mixed mode method, reducing time to complete the survey by eliminating unnecessary questions, tracking the disposition (result) of the mail and phone attempts to determine reasons why we do not receive completed surveys from families, and working with the Parent Information Center and trusted community partners to message the purpose and importance of completing the survey.

For an example description of the analysis of response rate and representativeness as well as a description of the metric used to determine representativeness using the [ECTA Response Rate and Representativeness Calculator](https://ectacenter.org/eco/assets/xls/Representativeness_calculator.xlsx) or other metric see [SPP/APR Family Outcomes Writing Examples.](https://dasycenter.org/spp-apr-checklists-and-tips/ExampleText_Acc.pdf)

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