A System Framework

for Building High-Quality **Early Intervention** *and* **Preschool Special Education Programs**

January 2015
updated August 2015

ECTA Center
The Early Childhood Technical Assistance Center

TA&D NETWORK

ECTA Center
The Early Childhood Technical Assistance Center

System Framework for Part C and Section 619: Table of Contents

Introduction 3

System Framework Components:

Governance (GV) 8

Finance (FN) 15

Personnel/Workforce (PN) 25

Data System (DS) 33

Accountability & Quality Improvement (AC) 36

Quality Standards (QS) 42

Glossary of Terms 48

Glossary terms appear underlined throughout this document.

References for each component are available online at:

http://ectacenter.org/sysframe

ECTA Center

The Early Childhood Technical Assistance Center

System Framework for Part C and Section 619: Introduction

Purpose and Audience

Building and sustaining high-quality early intervention and preschool special education systems is a complex and ongoing process for state agencies. To support states, the Early Childhood Technical Assistance Center (ECTA Center), funded by The Office of Special Education Programs (OSEP), has developed a framework that addresses the question, "What does a state need to put into place in order to encourage/support/require local implementation of evidence-based practices that result in positive outcomes for young children with disabilities and their families?"

The purpose of the ECTA System Framework is to guide state Part C and Section 619 Coordinators and their staff in: (1) evaluating their current systems; (2) identifying potential areas for improvement, and; (3) developing more effective, efficient systems that support implementation of evidence-based practices. States vary significantly in their Part C and Section 619 service delivery systems and the framework was developed to accommodate this variation. It is intended to enhance the capacity of Part C and Section 619 state staff to:

- Understand the characteristics of an effective service system;
- Lead or actively participate in system improvement efforts, including cross-sector work; and
- Build more effective systems of services and programs that will improve outcomes for young children with disabilities and their families served under Part C and Section 619 of the Individuals with Disabilities Education Act (IDEA).

Structure of the Framework

The ECTA System Framework is organized around six interrelated components:

- Governance (GV);
- Finance (FN);
- Personnel/Workforce (PN);
- Data System (DS);
- Accountability & Quality Improvement (AC), *and*;
- Quality Standards (QS)

Each component contains a set of subcomponents that identify key areas of content within the component. Each subcomponent contains a set of quality indicators that specify what needs to be in place to support a high-quality Part C/Section 619 system.

Each quality indicator has corresponding elements of quality that operationalize its implementation. For example:

- **Component: Governance (GV)**
  - **Subcomponent 1:** Vision, Mission, and/or Purpose
    - Quality Indicator **GV1**
      - Element of quality GV1a.
      - Element of quality GV1b.
      - etc.
    - Quality Indicator **GV2**
      - Element of quality GV2a.
      - Element of quality GV2b.
      - etc.
  - **Subcomponent 2:** Legal Foundations
    - **Quality Indicator GV3**
      - Element of quality GV3a.
      - etc.

When developing quality indicators for all components, the ECTA Center considered a number of cross-cutting themes that are critical for quality systems. These include: (1) stakeholder engagement; (2) establishing/revising policies; (3) promoting collaboration; (4) using data for improvement; (5) communicating effectively; (6) family leadership and support; and (7) coordinating or integrating across the broader early childhood service sector.

An important and aspirational feature of the framework is the emphasis placed on linking Part C and Section 619 with other efforts in early care and education. While the framework focuses primarily on IDEA Part C and Section 619 systems and services, it also addresses the general early care and education system in the state to promote participation of young children with disabilities in a state's early care and education programs.

Process and Partners

The ECTA System Framework was developed through an iterative process that involved literature reviews and extensive input, review and feedback from national and state experts in the field. Six partner states (Delaware, Idaho, Minnesota, New Jersey, Pennsylvania, and West Virginia) and an expert Technical Work Group (TWG) advised the ECTA Center by providing input on the content of the Framework as well as contributing resources to support states as they use the Framework. The six partner states helped to ensure that the Framework reflects and is applicable to the diversity of state systems (e.g., differences in Lead Agency, population size, eligibility criteria, etc.).

The process started with a review of the existing literature and discussions with partner states about what is working and what could be improved in their state systems. Based on the literature and state input, the Center drafted the components, subcomponents, quality indicators and elements of quality. Partner states, TWG members, and other invited experts then reviewed each draft and provided feedback. After multiple rounds of review and revision, the Center invited partner states to test the framework by applying the content to their own states and identifying existing evidence of quality for the elements.

Coordination with Other Projects

The ECTA System Framework was developed in coordination with other Centers and projects. The Center for IDEA Early Childhood Data Systems (DaSy Center) was charged by OSEP to develop a Data System Framework and both DaSy and ECTA agreed that this Framework would also serve as the Data System component of the overall System Framework. The DaSy Center's Framework was developed with extensive input from Part C and Section 619 staff from seven

partner states.

As a component in the ECTA System Framework, DaSy's Data System Framework follows the same organizational structure (i.e., components, subcomponents, quality indicators, and elements of quality) to facilitate ease of use by Part C and Section 619 state staff. The two Centers worked together closely throughout the development of both frameworks to ensure compatibility.

ECTA also worked collaboratively with the Early Childhood Personnel Center (ECPC) in the development of the Personnel/Workforce component of the System Framework. ECPC is funded to facilitate, on a national basis, the implementation of integrated and comprehensive systems of personnel development (CSPD) in early childhood, for all personnel serving infants and young children with disabilities.

Finally, ECTA worked collaboratively with The Early Childhood Systems Working Group (ECSWG), a volunteer group of national leaders engaged in technical assistance to state policymakers in the development of comprehensive early childhood systems. The ECSWG's Early Childhood Systems Framework (often referred to as "the ovals") depicts the intersection of critical early childhood system components, encircled by the core elements that support a comprehensive early childhood system. Their Comprehensive Early Childhood System-Building tool is designed to assist facilitators working with state or community stakeholders from multiple sectors to plan for and manage integrated early childhood systems.

Considerations for Understanding and Using the Framework

The ECTA System Framework is designed to support state Part C and Section 619 Coordinators and staff in evaluating their existing systems and to encourage and support efforts to improve early intervention and preschool special education systems of services. The following considerations are important for making best use of its contents:

1. **What is quality**? The operating assumptions for the framework are that:
   - A state that has fully implemented all of a quality indicator's elements has that quality indicator in place.
   - A state that has all of the quality indicators in the subcomponent in place has high quality in the subcomponent.
   - A state that has all the subcomponents in place has a high-quality system.

   Fully implementing an element means that the element is: 1) in place and 2) of high quality. For the sake of brevity and because of the extensive variation across states, the framework does not provide detail on what constitutes quality implementation for each element. For instance, one of the elements speaks to the need for a state to develop vision, mission, and/or purpose with input from stakeholders. The element does not describe what constitutes high- or low-quality stakeholder participation. ECTA is compiling and developing additional resources for states to further clarify quality.

2. **Planning**. Many of the components of the framework include the development of "plans" in the quality indicators. The plans referred to are assumed to be in writing. These may be stand-alone descriptions or they may be integrated into other plans or state documents (e.g., policies and procedures; monitoring and accountability manuals; State Performance Plan/Annual Performance Reports (SPP/APRs), including the State Systemic Improvement Plan (SSIP); or Requests for Application (RFAs) for program or system evaluation). The intention is to promote a planful approach to delineating activities, responsible parties, and timelines, based on data and input from relevant stakeholders.

3. **Part C/619 state staff or representative**. To the extent possible, the quality indicators and elements were written to identify who is expected to carry out the action described in the statement while also being sensitive to the variations in Part C and Section 619 organization and administration across states. For this reason, the actors identified are somewhat open ended. When an indicator or element stipulates "Part C/619 state staff," it refers to staff with knowledge of the program, such as a state coordinator or other individuals in the state office.
4. **State and local**. While the framework was written to identify the components of a high-quality state Part C/Section 619 system, some of the quality indicators and elements apply equally well at the local level.

Use of the Framework and Next Steps

The ECTA Center, in partnership with the DaSy Center, has a corresponding self-assessment for the framework to assist states to:

- determine the current status of their Part C and Section 619 systems;
- develop plans for system improvements; and
- implement plans and track improvements in the state's system over time.

The results of the self-assessment will help a state identify the relative strengths and areas needing improvement in its service system; however, the framework is not a road map for how to build a high-quality system. It does not tell a state where to start or what to do next. The state will need to determine where to focus improvement efforts based on priorities and resources. A state might choose to focus entirely on one component or on multiple components. A state may choose to complete the self-assessment for only one or two components or subcomponents.

There are no rules, only suggestions, for how the framework and self-assessment are to be used. The ECTA Center created these tools to support a planning process that identifies the activities, timelines, resources, and intended outcomes needed to improve the system; however, states might find other ways to use them as well. Both tools are designed to help states build high-quality systems. We encourage states to use them in ways they find most helpful.

The ECTA Center is compiling resources to support improvement activities for each of the components. Some of these will address a subcomponent and others will be specific to a quality indicator or element of quality. The Center is gathering examples of how states are implementing the quality indicators. These resources include examples of policies, procedures, planning documents, and other state-developed tools. The System Framework and the associated resources are used to guide technical assistance (TA) to states.

ECTA Center Technical Assistance Related to the Framework

We encourage states to contact the ECTA Center with any questions or requests for TA related to its use. We can provide any clarification needed, help find additional resources and help plan improvement activities. We can also provide TA to support activities such as facilitating a stakeholder process to complete the self-assessment or developing an improvement planning process to make use of the results.

We look forward to working together with states to improve the quality of systems of services for young children with disabilities and their families.

Acknowledgements

The ECTA System Framework was developed by the Early Childhood Technical Assistance (ECTA) Center with extensive input from Part C and Section 619 Coordinators and staff from six partner states, as well as national and regional experts that participated on a Technical Work Group (TWG). The Center for IDEA Early Childhood Data Systems (DaSy) developed the Data System component of the framework. The Early Childhood Personnel Center (ECPC) collaborated in the development of the Personnel/Workforce component. The ECTA Center gratefully acknowledges the contributions of the following individuals:

ECTA Center:
Betsy Ayankoya
Debbie Cate
Lise Fox
Sue Goode
Alison Gunn
Kathy Hebbeler
Lynne Kahn
Christina Kasprzak
Anne Lucas
Katy McCullough
Mary Peters
Lynda Pletcher
Barbara Smith
Judy Swett
Kathy Whaley
Sharon Walsh

Partner States:
Delaware
Susan Campbell
Lisa Crim
Carolann Schumann
Verna Thompson

Idaho
Christy Cronheim
Shannon Dunstan

Minnesota
Lisa Backer
Kara Tempel

Pennsylvania
Mary Anketell
James Coyle
Deb Daulton
Emily Hackleman
Kim Koteles
Patti Wirick

New Jersey
Susan Evans
Terry Harrison
Barbara Tkach

West Virginia
Ginger Huffman
Pam Roush

Technical Work Group:
Mary Beth Bruder
Lori Connors-Tadros
Barbara Gebhard
Maureen Greer
Vivian James
Grace Kelley
Jana Martella
Robin McWilliam
Cindy Oser
Anne Reale
Rachel Schumacher
Jodi Whiteman

Additional Contributors:
Ron Benham
Jeffri Brookfield
Carolee Eslinger
Nicholas Gelbar
Phoebe Gillespie
Kim Hartsell
Susan Hayes
Jamie Kilpatrick
Dave Lindeman
Arlene Russell
Sandy Schmitz
Vicki Stayton
George Sugai
Linda Tuchman-Ginsberg
Kim Wedel
Pam Winton

The ECTA Center is a collaborative effort between the Frank Porter Graham Child Development Institute; SRI International; PACER Center; University of Colorado, Denver; University of South Florida; Puckett Institute; RTI International; University of Nebraska Medical Center; and Walsh Taylor Associates. Additional information about the ECTA Center can be found at ectacenter.org

Suggested citation: Early Childhood TA Center. (2014). *A System Framework for Building High-Quality Early Intervention and Preschool Special Education Programs*. Retrieved from http://ectacenter.org/sysframe

The contents of this document were developed under cooperative agreement numbers #H326P120002, #H325B120004 and #H373Z120002 from the Office of Special Education Programs, U.S. Department of Education. Opinions expressed herein do not necessarily represent the policy of the US Department of Education, and you should not assume endorsement by the Federal Government.

Project Officers: Julia Martin Eile, Dawn Ellis, Meredith Miceli & Richelle Davis.

TA&D NETWORK
IDEAs that Work
Office of Special Education Programs
U.S. Department of Education

System Framework
Governance (GV) Component

The purpose of the Governance component of the System Framework is to guide state Part C and 619 Coordinators, their staff and partners in making certain there is established enforceable decision-making authority to effectively implement the statewide system and that leadership advocates for and leverages sufficient fiscal and human resources to support quality services throughout the state. The focus of this component is to make certain that structures and partnerships are in place to support effective, efficient statewide service delivery systems for Part C and 619 that provide equitable access to services for all eligible children and their families.

Governance supports Part C and 619 state systems' organizational structures and placement of authority for making program, policy, fiscal, and standards decisions as well as implementing effective practices. Governance responds to this need for authority by creating policies, state laws, regulations, interagency agreements and other enforceable mechanisms. The governance component, built upon the vision, mission and/or purpose of the system, intersects with the other components of the framework serving as the foundation or authority that underpins each component.

Characteristics of effective governance include participation, input by stakeholders, consensus, transparency, responsiveness, and effective communication. It is essential that state leadership develops collaborative partnerships that include roles and responsibilities for all state and regional and/or local system entities within the system. Equally important is the role of governance in recruiting and supporting family leadership and maximizing meaningful family engagement in the development and implementation of the system. The system should have mechanisms in place that facilitate clear communication, collaboration and relationship-building with stakeholders and partners at all levels.

This component includes vision, mission and/or purpose; legal foundations; administrative structures; and leadership and performance management. Vision, mission, and/or purpose guide decisions and provide direction for quality comprehensive and coordinated Part C and Section 619 statewide systems. Legal foundations provide the authority and direction to effectively implement the Part C/619 statewide systems and support the coordination of systems and services across all agencies involved with young children and their families. Administrative structures include state and regional and/or local system entities, with assigned roles and responsibilities, designed to carry out IDEA and related federal and state mandates to ensure statewide implementation of the system including the provision of services. State leadership and management address advocacy for and leveraging of fiscal and human resources for implementation and oversight of the statewide system. This includes promoting strategies that facilitate clear communication and collaboration to build and maintain relationships between and among Part C and Section 619 stakeholders and partners.

Subcomponent 1: Vision, mission and/or purpose

Quality Indicator GV1: Vision, mission and/or purpose guide decisions and provide direction for quality comprehensive and coordinated Part C and Section 619 statewide systems.

Elements of Quality

- **a.** Core values, beliefs, guiding principles and current evidence-based practices are the foundation for public statements of vision/mission/purpose.
- **b.** These public statements are consistent with The Individuals with Disabilities Education Act (IDEA).
- **c.** These public statements address who the program serves, what the program does and the intended outcomes for children and families.
- **d.** These public statements are developed with input from all stakeholders.
- **e.** These public statements are readily available (e.g. on the website, in a parent handbook, etc.) and effectively communicated to all stakeholders including practitioners, families, and community partners.
- **f.** These public statements are clear and understood by staff, local program administrators and families.
- **g.** System level decisions (e.g. fiscal, data, standards, personnel, monitoring), programmatic decisions (e.g. services and supports) and strategic planning are guided by the public statements of vision/mission/purpose.
- **h.** These public statements are reviewed and revised as necessary with stakeholder input.
- **i.** These Part C and 619 public statements of vision, mission and/or purpose are recognized as an integral part of the broader early care and education public statements and strategic plans.

Subcomponent 2: Legal Foundations

Quality Indicator GV2: Legal foundations (e.g. statutes, regulations, interagency agreements and/or policies) provide the authority and direction to effectively implement the Part C and 619 statewide systems.

Elements of Quality

- **a.** Legal foundations are aligned with IDEA and other federal and state mandates.
- **b.** Legal foundations are developed with input from stakeholders.
- **c.** Legal foundations are clearly written and provide details needed for implementation at the local level.
- **d.** Legal foundations support and do not hinder the implementation of evidence-based practices.
- **e.** Legal foundations are readily available and communicated to stakeholders and partners.
- **f.** Legal foundations provide the authority for the state to monitor implementation.
- **g.** Legal foundations are reviewed and revised as necessary with stakeholder input, using existing data and other pertinent information.
- **h.** Legal foundations support coordination of systems and services across all early care and education programs.

Subcomponent 3: Administrative Structures

Quality Indicator GV3: Administrative structures such as state and regional and/or local system entities are designed to carry out IDEA and related federal and state mandates to ensure statewide implementation of the system including provision of services.

Elements of Quality

- **a.** Part C and 619 lead agencies assign all required components of IDEA and related federal and state mandates to entities within the state.
- **b.** Information about the state system components and how to access services is widely available and understood by providers, families and the general public.
- **c.** Decisions about Part C and 619 state, and regional and/or local system structures facilitate collaboration and service delivery across early care and education programs.
- **d.** Part C and 619 lead agencies design state, and regional and/or local entities to ensure equitable access to services statewide.
- **e.** Part C and 619 lead agencies evaluate the structure of entities assigned for state, regional and local implementation on an ongoing basis and revise as needed to ensure equitable delivery of services.

Quality Indicator GV4: State and regional and/or local system entities enforce roles and responsibilities for implementing IDEA and other federal and state mandates.

Elements of Quality

- **a.** State Part C and 619 agencies and partners have enforceable roles and responsibilities established through clearly written state laws, regulations, policies, procedures, contracts, or agreements.
- **b.** Regional and local entities have enforceable roles and responsibilities for provision of direct services established through clearly written state laws, regulations, policies, procedures, contracts, or agreements.
- **c.** Administrators, practitioners and other agency personnel, at all levels of the system, understand and perform their roles and responsibilities in accordance with the lines of decision-making within the state structure.
- **d.** There is an ongoing process for reviewing and revising, as necessary, the designation of roles and responsibilities.

Quality Indicator GV5: State and regional and/or local system entities are designed to maximize meaningful family engagement in the development and implementation of the system.

Elements of Quality

- **a.** Decisions about system structures support equitable representation of families on the state Interagency Coordinating Council (ICC), local ICCs, task forces, and committees.
- **b.** Part C and 619 state staff or representatives support (e.g. through stipends, transportation, information and preparation, convenient time and location, mentoring, FTE, consulting fee) family members' active roles on councils, committees, and task forces to allow their full participation and input into system decisions related to areas such as policies, training and TA, monitoring, and program improvement.
- **c.** There are ongoing system-wide efforts to recruit families that are representative of the demographics of the state and local communities and support their leadership development.
- **d.** There is an ongoing process for evaluating and improving meaningful family engagement in the system.

Subcomponent 4: Leadership and Performance Management

Quality Indicator GV6: State leadership advocates for and leverages fiscal and human resources to meet the needs for implementation and oversight of the statewide system and services.

Elements of Quality

- **a.** State leadership continuously uses information and data to identify fiscal and human resource needs for system implementation and oversight (personnel, data system, monitoring, standards, and finance).
- **b.** State leadership effectively seeks and garners federal, state, and/or local resources to meet the needs of the statewide system.
- **c.** State leadership allocates sufficient resources to perform the administrative duties and responsibilities required under IDEA and other state or federal mandates (e.g. Part C and 619 lead agency FTE, proportion of the budget for infrastructure vs. services).
- **d.** State leadership assists local programs/districts to problem-solve and identify creative strategies to address fiscal and human resource challenges to promote implementation of evidence-based practices.
- **e.** State leadership seeks and supports opportunities for collaborating with other agencies/community partners to share fiscal and human resources across all early care and education initiatives.

Quality Indicator GV7: Leaders use written priorities with corresponding strategic plan(s) and evaluation to drive ongoing system improvement.

Elements of Quality

- **a.** The vision/mission/purpose drives Part C and 619 priorities and strategic plan(s).
- **b.** The priorities and strategic plan(s) are based on data (e.g. monitoring, data systems, demographic projections) about the systems and services.
- **c.** The priorities and strategic plan(s) are developed with input from all relevant stakeholders.
- **d.** The priorities and strategic plan(s) provide clear and detailed information with regard to short and long term goals, strategies, responsible individuals, timelines, and benchmarks for evaluation.
- **e.** The priorities and strategic plan(s) are sanctioned and supported by those in authority.
- **f.** The priorities and strategic plan(s) are coordinated or aligned across agency partners (Part C, 619 and other early care and education initiatives) to ensure collaborative impact.
- **g.** The priorities and strategic plan(s) are transparent and communicated with all stakeholders.
- **h.** Part C and 619 state staff or representatives monitor the progress of the priorities and strategic plans and review and revise them as necessary based on data on progress and changing context.

Quality Indicator GV8: Part C and 619 state staff or representatives use and promote strategies that facilitate clear communication and collaboration, and build and maintain relationships between and among Part C and Section 619 stakeholders and partners.

Elements of Quality

- **a.** A written formal communication process is in place that includes multi-level strategies detailing how information is shared, input is received, and responses are given (feedback loops) with stakeholders and partners at all levels of the system.
- **b.** Part C and 619 state staff or representatives monitor progress of the written communication process, reviewing and revising it as necessary, based on data on progress and changing context.
- **c.** Leaders use and encourage strategies that promote frank, respectful discussions and facilitate the development and maintenance of long-term collaborative relationships across agencies and partners.
- **d.** Leaders continuously gather and use information from stakeholders and partners at all levels of the system to inform decisions, influence state policy, and improve the system.
- **e.** Leaders regularly inform legislators, funders and public/private partners about the benefits and accomplishments of Part C and 619, and the continuing needs of the system related to the strategic plan.
- **f.** Leaders implement an effective public awareness campaign to ensure families and referral sources are aware of the benefits of program and how to access services.

System Framework
Finance (FN) Component

The purpose of the Finance component of the System Framework is to guide state Part C and Section 619 Coordinators, their staff and partners in ensuring that sufficient funds and resources are in place to support and sustain all components of the system, thereby facilitating the implementation of evidence-based practices.

Both early intervention (Part C) and early childhood special education (619) operate as systems of services and (supports), relying on multiple funding streams at the federal, state and local level. Most funding sources are public (federal, state and/or local). State, regional and/or local system entities may also access private funds (e.g., private insurance and family fees for Part C, grants) to support their program. States have discretion in determining which funding to access. These decisions are influenced by federal, state and local guidelines for use of funds, political will and identified need. As a result, state systems need to be current on service utilization data, demographics of children served and opportunities for collaboration and alignment with other early care and education programs serving the same populations. Working relationships with key partners such as agency fiscal staff, other early care and education program administrators, and advocates prove to be vital as states navigate various funding streams to support the system.

This component includes: finance planning process/forecasting; fiscal data; procurement; resource allocation, use of funds and disbursement; and monitoring and accountability of funds and resources. A strong, fiscally sound system that is sustainable over time is driven by a finance planning process that is in alignment with a larger system or state-level strategic plan to meet program infrastructure and service delivery needs, both for the short and long-term. The planning process should be informed by current and accurate statewide data (both fiscal and programmatic) to provide a clear picture of system costs, revenue and projected need. This information should directly inform decisions regarding which resources to pursue (procurement), and how they should be allocated, used and disbursed. Monitoring use of funds should be conducted regularly to ensure that spending is in compliance with contract performance and all federal, state and local fiscal requirements to maintain access to the various funding sources.

While fiscal data is a defined sub-component area, with a coordinated state-wide means of collection, it is important to note that access to and use of fiscal data is vital to each of the other sub-components and is reflected across all sub-component areas.

Subcomponent 1: Finance Planning Process/Forecasting

Quality Indicator FN1: Part C and Section 619 state staff conduct finance planning to identify adequate resources at the state, and regional and/or local levels to meet program infrastructure and service delivery needs.

Elements of Quality

- **a.** Finance planning uses demographic information of children potentially eligible for the IDEA program and their eligibility for other early care and education programs/funding streams (e.g., Title I, Early/Head Start, state Pre-K) to project the amount of financial resources needed over time and determine how and which resources to access.
- **b.** Finance planning includes a review of program costs, projected revenues and expenditures, and estimated need to garner the resources necessary to support and sustain the system.
- **c.** Part C and Section 619 state staff conduct fiscal mapping of federal, state, local, and private resources to better connect existing funding sources, identify opportunities for cost savings and assure that all potential resources are accessed.
- **d.** Family leaders, key partners (e.g., Early/Head Start, state Pre-K, Medicaid) and program and fiscal staff, who are knowledgeable about specific funding streams, are involved in discussions and decision-making.
- **e.** Part C and Section 619 state staff conduct a cost-benefit analysis of potential funding sources and develop clear, detailed financing strategies, specifying which funding stream(s) would be most beneficial to pursue for what purpose/service or function.
- **f.** A clearly written finance plan aligns with the program priorities and strategic plan(s), the program public statements of vision, mission and/or purpose, and articulates measurable goals and activities.
- **g.** The finance plan is available and effectively communicated to stakeholders, including state and local administrators, fiscal staff, funding partners, practitioners, and families.
- **h.** The finance plan is reviewed and revised, as necessary, including identification of additional financial resources and unexpected fiscal changes to ensure that sufficient funding is available to meet changing needs (e.g., demographics, political and economic context).

Quality Indicator FN2: State and regional and/or local system entities use strategic finance plan to forecast a long-term and annual proposed budget to ensure a strong base of financial support is formed.

Elements of Quality

- **a.** A proposed budget is developed to forecast the amount of funds needed from each funding source to operate the system for the year as well as a projection of the funds needed to operate the system in the long-term.
- **b.** Trend analyses of children and families served, services provided and funds expended are conducted to predict future budget and personnel needs for use in short and long term planning.
- **c.** State and regional and/or local system entities have adequate budgetary control and flexibility regarding use of funds and resources to support system implementation and improvement.
- **d.** The proposed budget aligns with the public statements of vision/mission and/or purpose of the broader early care and education system.
- **e.** The Governor, legislators and state leaders actively support budget appropriation requests from the system.

Subcomponent 2: Fiscal Data

Quality Indicator FN3: State and regional and/or local system entities have access to fiscal data for program planning, budget development and required reporting.

Elements of Quality

- **a.** A coordinated state-wide means of collecting timely and accurate fiscal data on revenue and expenditures, by specific fund source, is in place with the ability to disaggregate fiscal and program data by region and/or program.
- **b.** Data checks and other mechanisms are in place to ensure the accuracy and reliability of fiscal data.
- **c.** Fiscal data are linked to programmatic data (e.g., number of referrals, referral source, child count, units of service) to allow for analysis of the amount of funds spent.
- **d.** Fiscal reports on distribution and expenditure of funds by specific fund source are generated and shared to inform fiscal and program staff of financial status, to facilitate resource management, and to meet state and federal fiscal reporting requirements.
- **e.** Training and technical assistance are provided systematically to state, regional and/or local system entities on how to access and use fiscal data.
- **f.** Part C and Section 619 state staff make fiscal and programmatic data readily available in a variety of formats that can be used by stakeholders (e.g., ICC, SAC, legislators and the general public) for advocacy in the procurement of funds.
- **g.** Part C and Section 619 state staff make fiscal data readily available in a variety of formats that can be used by state, regional and/or local structures for accountability and program improvement.
- **h.** Relevant fiscal data (e.g., expenses by service, region and/or local entity, and fund source) are shared among early care and education programs to assess efficient and effective use of resources and to inform budgetary decisions in the alignment and coordination of early care and education systems.
- **i.** A systematic process is in place to evaluate and determine whether the means of collecting and disseminating fiscal data is providing data that is useful to stakeholders.

Quality Indicator FN4: State and regional and/or local system entities use fiscal data to manage the budget.

Elements of Quality

a. Fiscal data on revenues, planned expenses and actual expenditures are tracked and used on an ongoing basis to manage fiscal resources.

b. Fiscal data are used to inform budget development, adjustment and re-distribution of funds and resources based on service and program needs.

c. Fiscal data are sources of information that drive program improvement and effective utilization of funding sources.

Subcomponent 3: Procurement

Quality Indicator FN5: State and regional and/or local system entities secure funds and resources so that funds can be allocated and distributed to meet the needs of the system in accordance with the finance plan.

Elements of Quality

- **a.** State and regional and/or local fiscal and programmatic staff are aware of the operating budget that is in place and what funds are available for the system to use.
- **b.** A formal process (e.g., budget line item, designated account number) is in place to ensure that appropriated funds are designated for use only by the system.
- **c.** State and regional and/or local system entities are informed about legal requirements (e.g., Maintenance of Effort (MOE), system of payments, fiscal accountability), related to accessing and using funds and resources that support programs and services.
- **d.** Families are generally informed about the fiscal process and their fiscal responsibilities.
- **e.** Families understand their financial obligations, if any, for receiving services as well as the cost of providing services.
- **f.** Additional funds are secured, as necessary, based on review of demographic, fiscal and program data.
- **g.** State and regional and/or local administrative and fiscal staff have clearly defined roles and responsibilities for accessing available funds to support the system.

Quality Indicator FN6: Part C and Section 619 state staff coordinate and align resources and funding streams with other state agencies, programs and initiatives in order to improve system effectiveness, implement evidence-based practices and ensure efficient use of resources.

Elements of Quality

- **a.** Collaboration and coordination of resources across state agencies, programs and initiatives (e.g., early care and education, health) occurs through review and alignment of fiscal and programmatic policies and activities.
- **b.** Specific mechanisms (e.g., policy, Interagency Agreements (IAs), Memoranda of Understanding (MOUs), Medicaid state plan amendments, waivers, and guidance) clearly articulate service, programmatic and funding responsibilities.
- **c.** Administrative requirements for accessing funding sources are minimized and aligned to reduce burden on regional and/or local entities.
- **d.** Regional and/or local entities are encouraged to pursue partnerships across agencies, programs and initiatives (e.g., early care and education, health) to leverage resources.
- **e.** Partners across state agencies, programs and initiatives and at all levels of the system clearly communicate on an on-going basis regarding agency responsibilities related to requirements for funding sources.
- **f.** There is an ongoing process for reviewing and revising, as necessary, the clear designation of agency roles and responsibilities reflected in state, regional and/or local mechanisms (e.g., policy, IAs, MOUs, Medicaid state plan amendments, waivers, and guidance).

Subcomponent 4: Resource Allocation, Use of Funds and Disbursement

Quality Indicator FN7: Part C and Section 619 state staff equitably allocate funds to meet the needs of the system, including children and families.

Elements of Quality

- **a.** Resource allocation is based on data to address geographic and demographic differences and needs (e.g., cost study, reimbursement rate for services, formula based on critical variables).
- **b.** The allocation process is designed to support and fund the implementation of evidence-based practices (e.g., environment, instruction, teaming and collaboration) and high quality programs.
- **c.** The method of fund and resource allocation is predictable, transparent and communicated to stakeholders.
- **d.** The allocation process facilitates and promotes collaboration and shared resources across early care and education programs (e.g., shared program functions, match dollars).
- **e.** Data are gathered on an ongoing basis to evaluate if the fund and resource allocation process addresses the needs of the program, including children and families.
- **f.** The allocation process is reviewed and revised as necessary based upon available data.

Quality Indicator FN8: State and regional and/or local system entities use funds and resources efficiently and effectively to implement high quality programs for meeting the needs of children and families.

Elements of Quality

- **a.** Funds and resources are used in accordance with the state's vision/mission and/or purpose for the early intervention or early childhood special education system.
- **b.** Implementation of fiscal policies and procedures related to using funds and resources for provision of high quality programs is supported through guidance and on-going technical assistance.
- **c.** State and regional and/or local funds and resources are prioritized to facilitate active implementation of evidence-based practices (e.g., inclusion, coaching, teaming).
- **d.** Funds and resources are used to support alignment and collaboration across early care and education programs.
- **e.** State and regional and/or local system entities comply with federal, state and local requirements related to use of funds and resources.
- **f.** The effective and efficient use of funds is reviewed and revised as necessary to support high quality programs.

Quality Indicator FN9: State and regional and/or local system entities disperse funds and make timely payments or reimbursement for allowable expenses.

Elements of Quality

- **a.** Policies and procedures are current and explicit, specifying compliance with federal, state and local requirements (e.g., Maintenance of Effort (MOE), payor of last resort, non-supplanting) and describing how financial transactions are approved and paid.
- **b.** All payment mechanisms (e.g., contracts, grants, vouchers, central finance system) adhere to state and federal requirements regarding use of funds and resources.
- **c.** Payment mechanisms identify inconsistencies in use of funds and resources so that corrections can be made.
- **d.** Programs and practitioners make available information and documentation needed to account for use of funds and/or bill for reimbursement.
- **e.** Fiscal data on services provided and resources used to support each child and family (e.g., expense reports, unit costs) are compared to those services identified on the Individualized Family Service Plan (IFSP)/Individualized Education Program (IEP) in order to verify accuracy and process payments, if appropriate.
- **f.** A system of checks and balances is in place that describes separation of responsibilities across personnel for approving expenditures and making payments.
- **g.** Payment policies and procedures and payment mechanisms are reviewed and revised as necessary.

Subcomponent 5: Monitoring and Accountability of Funds and Resources

Quality Indicator FN10: State and regional and/or local system entities regularly monitor finances and resources to ensure that spending is in compliance with contract performance and all federal, state and local fiscal requirements.

Elements of Quality

- **a.** Fiscal data, methods and tools are used to monitor districts/contractors/practitioners' performance and compliance with federal and state requirements, as well as contracts, if applicable.
- **b.** Fiscal data, methods and tools are used to evaluate if districts/contractors/practitioners' use funds to help achieve the program's public statements of vision, mission and/or purpose.
- **c.** Policies and procedures are reviewed to ensure they reflect all fiscal mandates.
- **d.** State and regional and/or local system entities participate in fiscal audits, as required, to comply with federal, state and local fiscal mandates.
- **e.** Fiscal monitoring data are shared with districts/contractors/practitioners for informing improvement planning.
- **f.** Fiscal noncompliance is corrected in a timely manner when identified through fiscal monitoring or audits in accordance with requirements.
- **g.** Sanctions are used to address programs/practitioners that are unable to timely correct non-compliance and/or are not fiscally sound (e.g., financially secure, have cash on-hand to keep agency in operation).
- **h.** Fiscal monitoring methods and tools are reviewed and revised as necessary.
- **i.** Monitoring methods and tools are aligned whenever possible with other early care and education programs.

ECTA Center
The Early Childhood Technical Assistance Center

ECPC
Early Childhood Personnel Center

System Framework
Personnel/Workforce (PN) Component

The contents of this component were developed under cooperative agreement numbers #H326P120002 and #H325B120004 from the Office of Special Education Programs, U.S. Department of Education. Opinions expressed herein do not necessarily represent the policy of the US Department of Education, and you should not assume endorsement by the Federal Government.

Project Officers: Julia Martin Eile & Dawn Ellis

The purpose of the Personnel/Workforce component of the System Framework is to guide states in the planning, development, implementation and evaluation of a comprehensive system of personnel development (CSPD). This component is the primary mechanism by which the state ensures that infants, toddlers, and young children with disabilities and their families, are provided services by knowledgeable, skilled, competent, and highly qualified personnel, and that sufficient numbers of these personnel are available in the state to meet service needs. The CSPD is a statutory requirement for Part C. Although no longer a mandate for Part B, we continue to use the terminology because CSPD has a lengthy and prominent history in the Individuals with Disabilities Education Act (IDEA), dating back to the predecessor, the Education of the Handicapped Act (EHA).

An ongoing, coordinated and strategically designed system of personnel development provides the supports needed by the other framework components. An effective CSPD is key to promoting both effective practices and the implementation of legal requirements as determined by the IDEA. It is important for understanding workforce capacity in order to provide timely and consistent services by prepared personnel. An effective system must coordinate and address state needs for both the number of personnel as well as the degree to which those personnel are supported and qualified for their roles in the service system. The CSPD acknowledges the coordination between preservice program and inservice training personnel development as critical for ensuring consistency of practices. A CSPD is informed by ongoing evaluation and multiple sources of data including stakeholder input, monitoring results and the capacity to implement child and program quality standards. The other components of a system framework inform the work of the CSPD and how it can support their effective implementation and desired results.

This component includes: leadership, coordination, and sustainability; state personnel standards; preservice personnel development; inservice personnel development; recruitment and retention; and evaluation. The leadership, coordination, and sustainability subcomponent addresses the membership and responsibilities of a leadership team and the required elements of a written plan for the CSPD. The state personnel standards subcomponent specifies criteria regarding the alignment of state standards with national standards established by discipline-specific organizations (e.g. CEC, ASHA, AOTA) for personnel knowledge, skills, and competencies, and bases state certification, licensure, credentialing, and/or endorsement upon these standards. The preservice personnel subcomponent requires institution of higher education (IHEs) to align programs of study with state and national personnel standards, coordinate with inservice training programs, and specifically prepare students to work with

infants, toddlers, and preschool children and their families. The inservice personnel development subcomponent requires the availability of appropriately targeted and effective training and technical assistance to retool, extend, and update the knowledge, skills, and competencies of the workforce. The recruitment and retention subcomponent delineates strategies that must be in place to ensure the availability of sufficient numbers of highly competent personnel to meet the demand for services in the state. Finally, the evaluation subcomponent provides the basis for collecting data and examining all elements of the CSPD in order to identify strengths and weaknesses, and make appropriate modifications based on the findings.

Subcomponent 1: Leadership, Coordination, and Sustainability

Quality Indicator PN1: A cross-sector leadership team is in place that can set priorities and make policy, governance, and financial decisions related to the personnel system.

Elements of Quality

- **a.** The composition of the leadership team represents key partners from cross-sector early childhood systems, technical assistance programs, institutions of higher education, parent organizations as well as any other relevant stakeholders across disciplines.
- **b.** Additional stakeholder input, including from families, is actively solicited and considered by the leadership team in setting priorities and determining governance decisions.
- **c.** The leadership team members are aware of other related early childhood and school-age personnel development systems and align efforts when appropriate.
- **d.** The leadership team develops an overall vision, mission, and purpose for the CSPD and makes decisions and implements processes that reflect these.
- **e.** The CSPD vision, mission and purpose are aligned with the overall early intervention and preschool special education systems.
- **f.** The leadership team examines current policies and state initiatives (e.g. quality rating and improvement systems, educator effectiveness frameworks) to identify opportunities for collaboration and the coordination of resources, including ongoing and sustained funding across cross-sector early childhood systems.
- **g.** The leadership team advocates for and identifies resources for cross-sector priorities and activities.
- **h.** The leadership team disseminates information on the CSPD plan to relevant public and private audiences.

Quality Indicator PN2: There is a written multi-year plan in place to address all sub-components of the CSPD.

Elements of Quality

- **a.** The development and implementation of the CSPD plan is based on the specific vision, mission, and purpose for a CSPD.
- **b.** The CSPD plan is aligned with and informed by stakeholder input, national professional organization personnel standards, state requirements, and the vision, mission, and purpose of the cross-sector early childhood systems involved in the CSPD.
- **c.** The CSPD plan articulates a process for two way communication between stakeholders and the leadership team for soliciting input and sharing information on the implementation of activities.
- **d.** The CSPD plan includes strategies for engaging in ongoing formative evaluation and summative evaluation of the activities.
- **e.** The leadership team monitors both the implementation and effectiveness of the activities of the CSPD plan.
- **f.** The leadership team plans for and ensures that funding and resources are available to sustain the implementation of the CSPD plan.

Subcomponent 2: State Personnel Standards

Quality Indicator PN3: State personnel standards across disciplines are aligned to national professional organization personnel standards.

Elements of Quality

- **a.** State personnel standards are based on core knowledge and skills needed for working with young children and their families in cross-sector early childhood systems.
- **b.** State personnel standards are specified, accessible, and used by program administrators and staff.
- **c.** State certification or licensing boards have a mechanism for assessing the degree to which state personnel standards are demonstrated by graduates of preservice programs across disciplines.
- **d.** State personnel standards are reviewed annually and updated, when appropriate, to reflect state personnel needs, changes in legal requirements, changes in national professional organizations personnel standards, evaluation data, and updated knowledge on evidence-based practices.

Quality Indicator PN4: The criteria for state certification, licensure, credentialing and/or endorsement are aligned to state personnel standards and national professional organization personnel standards across disciplines.

Elements of Quality

- **a.** A system for articulating and attaining a certification, licensure, credentialing and/or endorsement exists across disciplines.
- **b.** The criteria and requirements for attaining certification, licensure, credentialing and/or endorsement are specified and accessible for personnel across disciplines.
- **c.** The criteria and requirements for a system of certification, licensure, credential and/or endorsement are competency or skill based.
- **d.** Mechanisms such as inter-state agreements and policies are defined and exist for cross state reciprocity of certification, licensure, credential and/or endorsement.
- **e.** The system criteria and requirements are reviewed and updated, as appropriate to reflect state personnel needs, changes in legal requirements, changes in national professional organization personnel standards, evaluation data, and updated knowledge on evidence-based practices.

Subcomponent 3: Preservice Personnel Development

Quality Indicator PN5: Institution of higher education (IHE) programs and curricula across disciplines are aligned with both national professional organization personnel standards and state personnel standards.

Elements of Quality

- **a.** IHE programs and curricula for each discipline are based on knowledge and skill competencies that are aligned with state personnel standards.
- **b.** IHE programs and curricula for each discipline are based on knowledge and skill competencies that are aligned with national professional organization personnel standards.
- **c.** IHE program competencies are operationalized and defined by example.
- **d.** IHE programs and curricula for each discipline are aligned with state and local program quality initiatives and evaluation systems (e.g., QRIS, educator effectiveness frameworks, licensing).
- **e.** IHE programs and curricula for each discipline are coordinated to ensure an adequate number of programs of study are available to meet current and future personnel needs.

Quality Indicator PN6: Institution of higher education programs and curricula address early childhood development and discipline-specific pedagogy.

Elements of Quality

- **a.** IHE programs and curricula across disciplines recruit and prepare personnel for professional roles and responsibilities.
- **b.** IHE programs and curricula across disciplines contain evidence-based practices that reflect the learning needs of children with and at-risk for developmental delays and disabilities and their families.
- **c.** IHE programs and curricula provide relevant field experiences such as internships, observations, and practica in a variety of inclusive early childhood settings.
- **d.** IHE programs and curricula are reviewed, evaluated, and updated to reflect current intervention evidence and revised state personnel standards and national professional organization personnel standards.
- **e.** IHE programs of study and curricula utilize evidence-based professional development practices and instructional methods to teach and supervise adult learners.
- **f.** IHE faculty collaborate and plan with inservice providers to align preservice and inservice personnel development so there is a continuum in the acquisition of content from knowledge to mastery.

Subcomponent 4: Inservice Personnel Development

Quality Indicator PN7: A statewide system for inservice personnel development and technical assistance is in place for personnel across disciplines.

Elements of Quality

- **a.** A statewide system for inservice personnel development is aligned to national professional organization personnel standards across disciplines.
- **b.** A statewide system for inservice personnel development is aligned to state personnel standards across disciplines.
- **c.** The statewide system for inservice personnel development provides a variety of technical assistance opportunities to meet the needs of personnel.
- **d.** The inservice personnel development component of the CSPD plan is guided by updated needs assessments of the capability of the workforce in relation to the desired knowledge and skill competencies.
- **e.** Inservice personnel development is coordinated across early childhood systems and delivered collaboratively, as appropriate.
- **f.** Inservice personnel development employs evidence-based professional development practices that incorporate a variety of adult learning strategies including job embedded applications such as coaching, reflective supervision and supportive mentoring.
- **g.** Inservice learning opportunities are individualized to the needs of the participants and the objectives of the personnel development.
- **h.** Families and/or parent organization participate in the design and delivery of inservice personnel development.

Quality Indicator PN8: A statewide system for inservice personnel development and technical assistance is aligned and coordinated with higher education program and curricula across disciplines.

Elements of Quality

- **a.** The content for inservice personnel development is based on evidence-based practices.
- **b.** Faculty from IHEs and inservice staff meet on a quarterly basis to plan for, coordinate, and collaborate on inservice content.
- **c.** Content for inservice personnel development extends the depth of core knowledge and skills (CKCs) acquired in preservice programs and addresses updated knowledge on evidence-based practices and changes in state policies and initiatives.

Subcomponent 5: Recruitment and Retention

Quality Indicator PN9: Comprehensive recruitment and retention strategies are based on multiple data sources, and revised as necessary.

Elements of Quality

- **a.** Strategies are based on data, current research, and stakeholder input.
- **b.** Strategies target discipline-specific shortages.
- **c.** The effectiveness of strategies is tracked, reviewed annually, and updated as appropriate based on data, current research, and stakeholder input.

Quality Indicator PN10: Comprehensive recruitment and retention strategies are being implemented across disciplines.

Elements of Quality

- **a.** Strategies include opportunities for advancement through a variety of processes such as articulation between two and four year institutions of higher education and access to career pathways/ladders.
- **b.** Strategies focus on induction, improving administrative supports, and using a variety of mentoring models to support and retain personnel.
- **c.** Strategies include incentives and recognition programs such as financial compensation, scholarships, service obligations, loan reimbursement and/or tuition reimbursement to improve access to preservice and inservice personnel development.
- **d.** Strategies address alternative routes to certification.
- **e.** Strategies address the usefulness of designing and/or participating in online recruitment systems.

Subcomponent 6: Evaluation

Quality Indicator PN11: The evaluation plan for the CSPD includes processes and mechanisms to collect, store, and analyze data across all subcomponents.

Elements of Quality

- **a.** Decisions regarding priorities for evaluation questions to be addressed and data to be collected are identified when developing the CSPD plan.
- **b.** Multiple processes, mechanisms, and methods to collect data are identified and established based on the need for the information, usefulness of potential findings, and burden on respondents and systems.
- **c.** The state has the capacity to support data collection, management, and analysis for personnel qualifications, needs assessment, preservice and inservice personnel development, and personnel supply and demand.
- **d.** Quality review processes for data collection, verification, storage and management, and analysis are defined and implemented regularly.
- **e.** Personnel data are linked to child and family outcomes.

Quality Indicator PN12: The evaluation plan is implemented, continuously monitored, and revised as necessary based on multiple data sources.

Elements of Quality

- **a.** The implementation of the evaluation plan results in data or data summaries and analysis that are useful for decision-making and are accessible across cross-sector early childhood systems.
- **b.** Data are used to inform decisions, monitor progress, and make program improvements.
- **c.** Data are collected on personnel variables, such as personnel development participation, acquisition of content, and performance of competencies and those data are examined in relation to relevant child and family outcomes.
- **d.** Data are collected on personnel development variables, such as units of personnel development, type and amount of support (e.g. observational feedback, coaching, practica), and content and those data are examined in relation to relevant child and family outcomes.

The Center for IDEA
Early Childhood Data Systems

Data System Framework

The contents of this component of the System Framework were developed under a grant from the U.S. Department of Education, #H373Z120002. However, those contents do not necessarily represent the policy of the U.S. Department of Education, and you should not assume endorsement by the Federal Government. Project Officers: Meredith Miceli and Richelle Davis.

The DaSy Data System Framework is the Data Systems Component of the larger ECTA System Framework for Part C and Section 619. The purpose of the DaSy framework is to assist Part C and Section 619 programs in developing and enhancing high-quality state data systems and in improving the quality of their IDEA data. The framework is intended to enhance the capacity of Part C and Section 619 state staff to:

- *Understand* the characteristics and capabilities of a good state data system, so they can
- *Lead or actively participate* in state data system development efforts, including cross-agency work, so they can
- *Use* their state data systems to comply with IDEA federal reporting requirements and answer important program and policy questions, which will
- *Enable* states to build better systems of services and programs that will improve outcomes for young children with disabilities and families served under IDEA Part C and Section 619.

The DaSy Framework for IDEA Data Systems is composed of six Subcomponents. Some Subcomponents include Sections that identify the key areas within the Subcomponent.

The full DaSy Data System component is available on the DaSy web site at: *http://www.dasycenter.org/framework/index.html*

Subcomponent 1: Purpose and Vision (PV)

Quality Indicator PV1: Part C/619 state staff or representatives have articulated the purpose and vision of the data system.

Quality Indicator PV2: The purpose and vision include the Part C/619 state program's intents and goals for the data system.

Subcomponent 2: Data Governance and Management (DG)

Section 1: Authority and Accountability

Quality Indicator DG1: The data governance structure delineates appropriate decision-making authority and accountability consistent with the uses of the data system reflected in the purpose and vision.

Quality Indicator DG2: The state ensures data governance and management roles and responsibilities clearly establish decision-making authority and accountability.

Quality Indicator DG3: Data governance authorizes Part C/619 staff or representatives to implement policies established for the state Part C/619 data system and manage the data system in accordance with all policies.

Section 2: Quality and Integrity

Quality Indicator DG4: Data governance policies require the development and implementation of procedures to ensure the quality and integrity of data collected from state/local programs and agencies.

Quality Indicator DG5: Part C/619 state staff or representatives implement monitoring procedures and technical assistance to ensure consistent application of data quality and integrity policies.

Section 3: Security and Access

Quality Indicator DG6: Data governance policies require the development and implementation of procedures to ensure the security of the data from breach or loss.

Quality Indicator DG7: Data governance policies require the development and implementation of procedures to ensure that only authorized users gain appropriate access to the data, including reports.

Quality Indicator DG8: Part C/619 state staff or representatives support and implement management procedures that maintain and address data security and access.

Subcomponent 3: Stakeholder Engagement (SE)

Section 1: Leading Part C/619 Data System Stakeholders

Quality Indicator SE1: Part C/619 state staff identify groups and individuals who are affected by the data system.

Quality Indicator SE2: Part C/619 state staff provide opportunities for stakeholders to give input about the data system.

Quality Indicator SE3: Part C/619 state staff consider stakeholder input in decision-making and notify stakeholders of decisions made regarding the data system.

Section 2: Part C/619 Participating as Stakeholders in Integrated Data System Initiatives

Quality Indicator SE4: Part C/619 state staff are engaged as stakeholders in integrated data system initiatives, such as C/619 integrated data system, ECIDS, SLDS.

Subcomponent 4: System Design and Development (SD)

Section 1: Initiation of New System/Enhancement and Requirements Analysis

Quality Indicator SD1: Part C/619 state staff are actively involved in initiating the development of the new data system or enhancement.

Quality Indicator SD2: Part C/619 state staff are actively involved in the development of business requirements, process models, and data models for the data system/enhancement.

Quality Indicator SD3: The requirements analysis defines the full set of requirements for the new data system/enhancement -- that is, what the new system/enhancement must do.

Quality Indicator SD4: The Part C/619 state data system has the capacity to support accountability, program improvement, and program operations, and should contain the following data elements and features.

Section 2: System Design and Development

Quality Indicator SD5: Part C/619 state staff work with the IT team to translate the system requirements analysis into the design for the new data system/enhancement.

Quality Indicator SD6: Part C/619 state staff work with the IT team as they build and test the new data system/enhancement.

Section 3: System Acceptance and Deployment

Quality Indicator SD7: Part C/619 state staff prepare for, communicate about, and conduct system acceptance testing to ensure the new data system/enhancement functions properly before deployment.

Quality Indicator SD8: Part C/619 state staff participate in creating, reviewing, and revising materials to support the implementation of the new data system/enhancement.

Quality Indicator SD9: Part C/619 state staff communicate and work with the IT team to deploy the new data system/enhancement.

Subcomponent 5: Data Use (DU)

Section 1: Planning for Data Use

Quality Indicator DU1: Part C/619 state staff plan for data analysis, product development, and dissemination to address the needs of the state agency and other users.

Section 2: Analyzing and Disseminating for Data Use

Quality Indicator DU2: Part C/619 state staff or representatives conduct data analysis activities and implement procedures to ensure the integrity of the data.

Quality Indicator DU3: Part C/619 state and local staff or representatives prepare data products to promote understanding of the data and inform decision-making.

Quality Indicator DU4: Part C/619 state and local staff or their representatives disseminate data products to users to meet their needs.

Section 3: Using Data and Promoting Capacity for Data Use

Quality Indicator DU5: Part C/619 state and local staff use data to inform decisions.

Quality Indicator DU6: Part C/619 state staff or representatives support the use of data at state and local levels.

Subcomponent 6: Sustainability (SU)

Quality Indicator SU1: Part C/619 state staff use a systematic process that includes stakeholder input to identify enhancements to the data system.

Quality Indicator SU2: Part C/619 state staff generate political and fiscal support to maintain and enhance the data system.

ECTA Center
The Early Childhood Technical Assistance Center

System Framework
Accountability & Quality Improvement (AC) Component

The purpose of the Accountability & Quality Improvement component of the System Framework is to guide state Part C and Section 619 Coordinators, their staff and partners in an ongoing process of reviewing and evaluating the Part C and Section 619 systems to identify areas for statewide improvement. The process provides direction on determining strategies that achieve a quality, effective, and efficient system to support implementation of evidence-based practices leading toward improved outcomes for children and their families. This component assists state leaders in assessing and improving all other components of the framework.

States have a responsibility, under federal law, to utilize a system of general supervision that monitors the statewide implementation of the Individuals with Disabilities Education Act (IDEA), identifies and corrects noncompliance, and works toward improved outcomes for children and families. True accountability holds states responsible for a sustainable process that ensures ongoing quality and improvement.

The overall focus of this component is to assist a state in having an accountability and quality improvement system designed to facilitate the achievement of positive results for children and families. The component can be used to support improvement through a variety of methods such as State Systemic Improvement Plan (SSIP), ongoing system evaluation, local program evaluation, and monitoring.

This component includes: planning for accountability and improvement; collecting and analyzing performance data; and using results for continuous improvement. Planning for accountability serves as the basis for documenting the need for change, tracking progress and demonstrating improvement. “The accountability plan” is assumed to be in writing and should include all details necessary to implement a sound and effective statewide accountability and improvement system. The plan may be a stand-alone description or included in one or more state documents (e.g. policies and procedures, monitoring and accountability manuals, the State Performance Plan/Annual Performance Report (SPP/APR), including the State Systemic Improvement Plan (SSIP), Request for Application (RFA) for program or system evaluation). Methods used for collecting and analyzing performance data ensure that adequate information is available at the state, regional and/or local levels to determine the quality of the systems and services and if results are being achieved. Leadership at all levels of the system use strategies to support continuous improvement and achieve expectations. State leadership works to enhance capacity at all levels to use data-informed decision-making practices to implement effective accountability and improvement systems.

Subcomponent 1: Planning for Accountability and Improvement

Quality Indicator AC1: Ongoing statewide planning for accountability and improvement at all levels is informed by data and reflects strong leadership and commitment to positive outcomes for children and their families.

Elements of Quality

- **a.** Planning for accountability and improvement is aligned with the vision, mission and purpose of Part C or 619.
- **b.** An accountability and improvement plan is used to inform policy decisions and actions related to the accountability and ongoing improvement of the system.
- **c.** Stakeholders are engaged on an ongoing basis to inform development, implementation and revisions to the accountability and improvement plan.
- **d.** The accountability and improvement plan is readily available and accessible (e.g., other formats, languages) to the public.
- **e.** State leadership ensures that each element of the accountability and improvement plan is executed in a timely, efficient and effective manner.
- **f.** The accountability and improvement plan is aligned with and informed by other quality improvement initiatives within and across agencies.
- **g.** The accountability and improvement plan is reviewed and revised as necessary based on how well the plan monitors the implementation and effectiveness of the system.

Quality Indicator AC2: A written accountability and improvement plan includes details necessary to implement an ongoing effective statewide accountability and improvement system at all levels.

Elements of Quality

- **a.** The goals of the accountability and improvement system are defined in the written accountability and improvement plan.
- **b.** The accountability and improvement plan includes mechanisms for implementing informal and formal dispute resolution procedures (e.g. administrative complaints, due process hearings, mediation) as needed as part of the accountability and improvement system.
- **c.** Expectations for systems performance (e.g. targets, benchmarks, indicators) are clearly identified and described in the accountability and improvement plan.
- **d.** The accountability and improvement plan includes performance measures to collect data that can be used to make data-informed decisions related to accountability and improvement.
- **e.** The accountability and improvement plan includes mechanisms for collecting valid and reliable data (e.g. record review, surveys, self-assessment, electronic child records) for accountability, program evaluation and quality improvement.
- **f.** The accountability and improvement plan includes processes and timelines for collection, analyses and making data-informed decisions based on performance data.
- **g.** The accountability and improvement plan addresses the use of data to measure performance and identify trends, root causes and improvement strategies at the state, regional and/or local levels of the system.
- **h.** An accountability and improvement plan includes processes that allow for necessary adjustments to strategies (e.g. professional development, incentives, sanctions) based on data to enhance accountability and improvement.

Subcomponent 2: Collecting and Analyzing Performance Data

Quality Indicator AC3: Part C and 619 state staff and representatives collect adequate data to determine the quality and results of the systems and services.

Elements of Quality

- **a.** Quantitative data and qualitative data collection methods are used to provide data to answer questions that measure progress toward the identified outcomes.
- **b.** Stakeholders are involved in the development of data collection tools or instruments as necessary.
- **c.** Data collection methods are designed to address what is needed to meet federal and state requirements.
- **d.** Data are collected to monitor the appropriateness of outcomes/goals, services, frequency, intensity and settings/environments.
- **e.** State Part C and 619 staff implement procedures to ensure data collected are verified and are of high quality (e.g. valid, reliable, accurate, timely).
- **f.** Data are collected on a regular basis and the type and amount collected is intentional based on priorities included in the accountability and improvement plan for accountability and improvement.
- **g.** Data collection methods measure fidelity of interventions and determine quality and/or the effectiveness of intervention approaches/strategies.
- **h.** Individuals collecting performance data possess required knowledge and competence in data collection and have access to ongoing support and training in this area.
- **i.** Selected data collection methods are coordinated across early care and education programs, are integrated with each other and do not duplicate effort.
- **j.** State Part C and 619 staff review and revise data collection methods as necessary to meet changing circumstances and ensure collection of needed data.

Quality Indicator AC4: Leadership at all levels have sufficient information to make accountability and improvement decisions.

Elements of Quality

- **a.** Leaders at all levels analyze data quality (e.g. valid, reliable, accurate, timely) to make informed decisions for accountability and improvement.
- **b.** Leaders at all levels analyze and disaggregate data by programs/agencies, demographics and other variables to make conclusions about performance in relation to the targets.
- **c.** Data collected assist stakeholders and leaders at all levels in making data-informed decisions about how to enhance progress towards the intended results.
- **d.** Conclusions about local, regional and state performance are available for developing strategies that yield sustainable improvement.

Subcomponent 3: Using Results for Continuous Improvement

Quality Indicator AC5: Leadership at all levels, as appropriate, communicate and publicly report data and information through a variety of methods to document performance and evaluation results.

Elements of Quality

- **a.** The state Part C and 619 systems have effective and efficient procedures in place to report data that adhere to applicable laws and regulations including timelines, content requirements, and privacy requirements.
- **b.** Performance data and desired messages (e.g. Annual Performance Report (APR), publicly reported data, legislative reports, monitoring reports, dispute resolution data) are accessible to relevant stakeholders using clear and concise reporting methods.
- **c.** Monitoring and dispute resolution reports communicating data-informed conclusions are issued to programs identifying regional and/or local performance, including findings of noncompliance and actions needed to make improvement and ensure correction.
- **d.** Leaders at all levels evaluate methods used to communicate data-based conclusions on an ongoing basis and revise as necessary.

Quality Indicator AC6: Leadership at all levels use strategies to support continuous improvement to achieve expectations, as articulated in the accountability and improvement plan.

Elements of Quality

- **a.** Part C and 619 state staff use data-informed decisions to target state resources and support (e.g. fiscal, human resources, technical assistance and professional development) for effective accountability and continuous improvement.
- **b.** Improvement planning processes incorporate evidence-based practices to achieve intended results.
- **c.** Part C and 619 state staff support continuous improvement by local educational agencies/early intervention service (LEAs/EIS) programs, through a variety of strategies (e.g. technical assistance, corrective action or improvement plans, IDEA determinations, sanctions) designed to meet federal and state requirements and move toward achieving the goals of the accountability and improvement plan.
- **d.** Leaders at all levels use data on fidelity of implementation to improve intervention practices.
- **e.** Continuous improvement activities are aligned with existing early childhood and education initiatives whenever appropriate.
- **f.** Part C and 619 state staff verify timely correction of noncompliance to support overall systems improvement leading to improved access and outcomes for children with disabilities.
- **g.** Strategies that are used to support improvement are reviewed and revised as necessary to ensure improvement occurs and is maintained.

Quality Indicator AC7: Leadership at all levels work to enhance capacity to use data-informed practices to implement effective accountability and improvement schemes.

Elements of Quality

- **a.** Technical assistance and/or professional development activities are targeted toward the knowledge and skills needed at the state and local level to use data-informed practices, including identifying and correcting noncompliance and improving results performance.
- **b.** Multiple professional development activities and supports (e.g. coaching, mentoring, training, peer to peer support) are aligned to enhance knowledge and skills related to using data to make program improvements.
- **c.** State and local leaders use mechanisms to track and inform improvement to practices and results over time.
- **d.** Technical assistance and professional development activities designed to enhance capacity at all levels are reviewed and revised as necessary.

ECTA Center
The Early Childhood Technical Assistance Center

System Framework
Quality Standards (QS) Component

The purpose of the Quality Standards component of the System Framework is to guide Part C and Section 619 Coordinators, their staff and partners in an ongoing process of evaluating the quality of their programs and services within the context of the larger early care and education community, to ensure continuous program improvement and to develop more effective, efficient systems that support enhanced child and family outcomes.

Infants, toddlers, and young children with disabilities have the right to receive services and participate in the full array of public and private early care and education programs that are available to all young children. In order to effectively support early learning and positive child and family outcomes, these programs must be guided by agreed upon, evidence-based standards for what all young children are expected to know and be able to do (child level standards), as well as agreed upon, evidence-based standards for what constitutes quality in early care and education programs (program level standards).

This component includes both child level standards and program level standards. The child level standards subcomponent contains critical elements of quality that are necessary for young children with disabilities (identified by asterisks). For states that do not address these elements of quality within the broad child standards for all children, elements of quality specifically applicable to early intervention (Part C) and early childhood special education (Section 619) are outlined. The program level standards subcomponent contains a quality indicator related to early care and education programs, as well as a separate quality indicator specific to early intervention (EI) and early childhood special education (ECSE).

Subcomponent 1: Child Level Standards

Quality Indicator QS1: The state has articulated what children under age five, including children with disabilities, are expected to know and do.

Elements of Quality

a. Child level standards emphasize significant, developmentally appropriate content and outcomes.

b. Child level standards are aligned from birth through age five.

c. Child level standards are age-anchored with specific precision to reflect that there are different expectations for children in each year of life.

d. Child level standard content reflects the best available evidence on development and learning.

e. Child level standards are appropriate for children from diverse cultural, linguistic and socio-economic backgrounds.

f. Child level standards are aligned with standards for K-12.

g. Child level standards are clear and understood by early care and education practitioners, local program administrators and families.

h. Child level standards represent multiple areas of development and learning and reflect the content of nationally recognized early childhood outcomes frameworks, including the Office of Special Education Programs (OSEP) child outcomes and the Head Start child outcomes framework. *

i. Child level standards reflect universal design for learning (UDL), ensuring the standards are appropriate for young children with disabilities.*

j. Child level standards are reviewed and revised as necessary with input from stakeholders, including families of young children with disabilities, practitioners and representatives from Part C and 619 programs. *

k. Part C and Section 619 programs use the state child level standards (i.e., those used by other early childhood programs) to support the implementation of high-quality practices. *

** **Note**: If elements of quality h. or i. are not in place (scored 1 or 2 on the self-assessment) AND the Part C or Section 619 program does not use the state child standards (k is scored a 1 or 2 on the self-assessment), then elements of quality l. through n. apply.*

l. State Part C and Section 619 programs have specified what children birth to 5 are expected to know and do, reflecting universal design, and programs use these standards.

m. Child level standards developed by Part C and Section 619 are reviewed and revised as necessary with input from stakeholders, including families of young children with disabilities, practitioners and representatives from Part C and 619 programs.

n. State Part C and Section 619 programs are involved with state efforts to develop child standards appropriate for all children.

Quality Indicator QS2: Early childhood programs, including Part C and Section 619, use the child level standards to support the implementation of high-quality practices.

Elements of Quality

a. Child level standards are widely disseminated and easily accessible to practitioners, families and the general public.

b. Early care and education practitioners working with young children with disabilities are familiar with the child standards.

c. Practices (e.g. assessment, Individualized Family Service Plan (IFSP)/Individualized Education Program (IEP) development, development and learning activities) reflect the child level standards.

Quality Indicator QS3: The state has an infrastructure in place to support the effective use of child level standards.

Elements of Quality

a. Two and four year professional preparation programs address child level standards, including their use with children with disabilities.

b. Ongoing professional development (e.g. mentoring, coaching) supports effective use of the child standards, including individualization for children with disabilities.

c. Resources are available to support families in understanding and using the child standards to help their children develop and learn.

d. The state has policies, procedures and/or guidance to support local programs in the alignment of curriculum and assessment with the child level standards.

e. Evaluating program quality includes monitoring how well child standards are effectively used to guide practice, including individualization for children with disabilities.

Subcomponent 2: Program Level Standards

Quality Indicator QS4: The state has articulated what constitutes quality in early care and education programs.

Elements of Quality

- **a.** Program level standards are consistent with agreed upon program standards in the field (e.g., National Association for the Education of Young Children (NAEYC) Program Standards, Head Start Performance Standards).
- **b.** Program level standards reflect the best available evidence on early childhood program quality and effectiveness.
- **c.** Program level standards apply to the full range of programs in which young children with disabilities participate.
- **d.** Program level standards address a program's ability to support the needs of a diverse population of children.
- **e.** Program level standards address program's responsibilities to build on families' strengths to support them in caring for their children and in encouraging them to serve in leadership roles.
- **f.** Program level standards are clear and understood by practitioners, local program administrators and families.
- **g.** Program level standards are widely disseminated and easily accessible to practitioners, families and the general public.
- **h.** Early childhood programs, including Part C and Section 619, use program level standards to drive program improvement.
- **i.** Program level standards are reviewed and revised as necessary with input from stakeholders, including families of young children with disabilities, practitioners and representatives from Part C and 619 programs.

Quality Indicator QS5: State Part C and Section 619 programs have articulated expectations for what constitutes high quality early intervention (EI) and early childhood special education (ECSE) services.

Elements of Quality

- **a.** The EI/ECSE standards address federal and state legal requirements.
- **b.** The EI/ECSE standards reflect the best available evidence on early childhood program quality and effectiveness.
- **c.** The EI/ECSE standards address the qualifications of practitioners providing services to young children with disabilities and their families.
- **d.** The EI/ECSE standards are consistent with professional practice guidance in the field (e.g., DEC Recommended Practices, American Speech and Hearing Association Practice Policies).
- **e.** The EI/ECSE standards are coordinated and consistent with other early care and education programs across the state.
- **f.** The EI/ECSE standards are widely disseminated and easily accessible to practitioners, families and the general public.
- **g.** The EI/ECSE standards address program's responsibilities to build on families' strengths to support them in caring for their children and in encouraging them to serve in leadership roles.
- **h.** Part C and Section 619 programs use the standards to drive program improvement.
- **i.** The EI/ECSE standards are reviewed and revised as necessary with input from a diverse group of stakeholders, including families of young children with disabilities, practitioners and representatives from Part C and 619 programs.

Quality Indicator QS6: The state has an infrastructure in place to support the full range of programs in meeting program level standards.

Elements of Quality

- **a.** The infrastructure includes adequate fiscal and human resources for the development, implementation and monitoring of program standards.
- **b.** Two and four year professional preparation programs address the application of program level standards to the full range of early care and education programs.
- **c.** Ongoing professional development (e.g. mentoring, coaching) supports effective application of program level standards to the full range of early care and education programs.
- **d.** The state has a process to use the program standards as part of monitoring and program improvement.
- **e.** The extent to which each program has achieved the program level standards is easily accessible to practitioners, families and the general public (e.g. State Performance Plan (SPP), Annual Performance Reports (APR), SPP/APR public reporting, quality rating and improvement systems (QRIS)).
- **f.** Resources are available to support families in understanding the extent to which each program has achieved the standards in order to help them make informed decisions.
- **g.** The state evaluates the effectiveness of the infrastructure that supports the use of the program standards.

Accessible: Available or capable of being easily used, understandable. "The degree to which a product, device, service, or environment is available to as many people as possible. Accessibility can be viewed as the 'ability to access' and benefit from some system or entity. The concept often focuses on people with disabilities or special needs (such as the Convention on the Rights of Persons with Disabilities) and their right of access, enabling the use of assistive technology."[1]

Accountability: An obligation or willingness to accept responsibility or account for one's actions. "The obligation of an individual or organization to account for its activities, accept responsibility for them, and to disclose the results in a transparent manner. It also includes the responsibility for money or other entrusted property."[2]

Actual Expenditures: Amount spent for services provided or aspects of the program implemented.

Administrative Structures: The organization of the various vital parts (components) that serve the functions of managing, supervising and in general carrying out the Federal requirements of the IDEA in the provision of services and supports to families and young children.

Aligned: The proper positioning, arrangement or adjustments of various parts as they relate to one another.

Allocation: To appropriate (set aside) something such as money for a specific purpose.

Alternative Routes to Certification: "Post-baccalaureate programs designed for individuals who have undergraduate degrees in areas other than teacher education. Alternate route programs may include teacher residency programs, worksite based programs, Teach for America, and Troops to Teachers. When these programs include nontraditional providers, this should be in partnership with accredited IHEs and with accountability measures comparable to traditional postsecondary education programs."[3]

Analysis: A systematic examination and evaluation of data or information, by breaking it into its component parts to uncover their interrelationships.[4]

Appropriated Funds: Money set aside for a designated purpose**.**

Articulation: Refers to how coursework between the two- and four-year institutions are joined or designed in such a way that coursework from the two-year institution count toward the completion of the four-year program.

Audit: A systematic examination and verification of a firm's books of account, transaction records, other relevant documents, and physical inspection of inventory by qualified accountants (called auditors).[5]

---

[1] http://en.wikipedia.org/wiki/Accessibility
[2] http://www.businessdictionary.com/definition/accountability.html#ixzz36L5enaxl
[3] National Association for the Education of Young Children, & Alliance for Early Childhood. (2011). *Early childhood education professional development: Adult education glossary.* Retrieved from http://www.naeyc.org/files/naeyc/Adult_Education_Glossary_0.pdf
[4] http://www.businessdictionary.com/definition/analysis.html
[5] http://www.businessdictionary.com/definition/audit.html

Benchmarks/Benchmarks for Evaluation: "A standard or a set of standards, used as a point of reference for evaluating performance or level of quality."[6]

Budget: An estimate of costs, revenues, and resources over a specified period, reflecting a reading of future financial conditions and goals.[7]

Budget Appropriation: The approval and allocation of funds to various programs for a given fiscal year.

Budgetary Control: Methodical control of an organization's operations through establishment of standards and targets regarding income and expenditure, and a continuous monitoring and adjustment of performance against them.[8]

Career Pathways/Ladders: A career trajectory or path from entry-level through more advanced positions.

Certification: "The process used by a non-governmental, state or a national agency to grant professional recognition to individuals who meet the requirements of the agency." [9]

Checks and Balances: The various procedures set in place to reduce mistakes or improper behavior. Checks and balances usually ensure that no one person or department has absolute control over decisions, and clearly defines the assigned duties. The existence of checks and balances within an organization prevents any one person or department from having too much power, and forces cooperation in completing tasks.

Child Level Standards: "A set of expectations, guidelines or developmental milestones that describe what all young children are expected to know and be able to do (also referred to as early childhood standards, early learning guidelines, foundations, or building blocks, etc.)" [10]

Coaching: A confidential, relationship-based process led by a colleague with expertise in adult learning knowledge and coaching skills, who often serves in a different professional role than the recipient(s). Coaching is designed to enhance learning and development by increasing self-awareness and a sense of personal responsibility where the coach facilitates the self-directed learning of the coachee through questioning, active listening and appropriate challenge in a supportive and encouraging climate.[11,12,13]

---

[6] http://www.businessdictionary.com/definition/benchmark.html
[7] http://www.businessdictionary.com/definition/budget.html
[8] http://www.businessdictionary.com/definition/budgetary-control.html
[9] Adapted from: National Association for the Education of Young Children, & Alliance for Early Childhood. (2011). *Early childhood education professional development: Adult education glossary.* Retrieved from http://www.naeyc.org/files/naeyc/Adult_Education_Glossary_0.pdf
[10] Adapted from: U.S. Department of Health and Human Services. Administration for Children & Families, Office of Child Care. (2014). *State/Territory early learning guidelines*. Retrieved from https://childcareta.acf.hhs.gov/sites/default/files/state_elgs_web_final.pdf
[11] Robbins, P. (1991). A definition of peer coaching. In, *How to plan and implement a peer coaching program*. Retrieved from http://www.ascd.org/publications/books/61191149/chapters/A-Definition-of-Peer-Coaching.aspx
[12] Christian van Nieuwerburgh. (2012)- http://www.icce.uk.com/mainmenu/definition-of-coaching/
[13] National Association for the Education of Young Children, & Alliance for Early Childhood. (2011). *Early childhood education professional development: Adult education glossary.* Retrieved from http://www.naeyc.org/files/naeyc/Adult_Education_Glossary_0.pdf

Communication Process: The sharing of meaningful information between two or more people with the goal of the receiver understanding the sender's intended message. The process is not complete until the receiver understands the message.[14]

Community Partners: Agencies, programs, businesses, and or other organizations such as libraries, recreation centers, or churches, that have a vested interest in providing services or support for children and their families in a particular community location.

Component: One vital part of an entity or system. For the ECTA Systems Framework, the components addressed for Part C and 619 programs include data systems, accountability and quality improvement, personnel/workforce, finance, quality standards, and governance.

Components of IDEA (Part C): The vital parts of Part C of IDEA regulations that need to be in place to provide services and supports to children and families are described in 20 USC Chapter 33, Section 1435 1-16. These 16 required components must be addressed in the Part C grant application in order to receive Federal funds.

Core Knowledge and Skills (CKCs): The expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families. These CKCs provide a foundation for professional development design including instructional practices and other quality improvement efforts.[15,16]

Cost-Benefit Analysis: Systematic process which involves comparing the total expected cost of each idea or option against the total expected benefits, to see whether the benefits outweigh the costs, and by how much.

Cost Study: Process undertaken to identify the total cost of the current system.

Credentialing: The process of awarding credentials which are "academic degrees, licenses or certificates awarded to individuals who successfully complete state or national requirements to enter specialized roles in the early childhood profession." [17]

Cross- Sector Early Childhood Systems: Cross-sector includes the major organizations, agencies, and institutions in a state that provides services and supports the development and learning of young children, their families, and the practitioners who serve them.[18]

---

[14] http://www.businessdictionary.com/definition/communication-process.html

[15] National Center on Child Care Professional Development Systems and Workforce Initiatives. *Core knowledge and competencies: Considerations* (2012). Retrieved from http://www.ctearlychildhood.org/uploads/6/3/3/7/6337139/ckc_considerations_pdw_center_september_2012.pdf

[16] National Center on Child Care Professional Development Systems and Workforce Initiatives. C*ore Knowledge and Competencies Planning and Implementation Guide* (2013). Retrieved from https://childcareta.acf.hhs.gov/sites/default/files/20130509_rev_pdwcenter_ckc_considerations508_0.pdf

[17] National Association for the Education of Young Children, & Alliance for Early Childhood. (2011). *Early childhood education professional development: Adult education glossary*. Retrieved from http://www.naeyc.org/files/naeyc/Adult_Education_Glossary_0.pdf

[18] National Professional Development Center on Inclusion. (2011). *The big picture planning guide: Building cross-sector professional development systems in early childhood (3rd edition).* Retrieved from http://npdci.fpg.unc.edu/sites/npdci.fpg.unc.edu/files/resources/NPDCI-Big-Picture-Planning-Guide-3rd-edition-7-2011_0.pdf

Data Check: A validation method to make sure that the data (information) gathered is complete and accurate.[19]

Data Informed Decision (Making): A process that integrates the analysis of data to support decisions intended to improve outcomes for children and families. The process entails regular data collection and on-going implementation of improvements.[20]

Data Quality: A multi-dimensional measurement of the adequacy of a particular datum or data sets based on a number of dimensions including, but not limited to accuracy, completeness, consistency, and timeliness.[21]

DEC Recommended Practices: An initiative of the Division of Early Childhood (DEC) that bridges the gap between research and practice, offering guidance to parents and professionals who work with young children who have or are at risk for developmental delays or disabilities 0-5. The DEC Recommended Practices are based on the best available empirical evidence and the wisdom and experience of the field. The practices are intended to build upon what is essential for all young children.[22]

Demographics: The quantifiable statistics of a given population that provides essential information about the population of a region and the culture of the people there. Commonly examined demographics include income level, gender, age, and race, and ethnicity, knowledge of languages, educational level, family size, disabilities, mobility, home ownership, employment status, and even location. Demographic trends describe the historical changes in demographics in a population over time. [23,24]

Disaggregate: To separate out into component parts.

Discipline Specific: Relating to a specific discipline (e.g. Occupational Therapy, Physical Therapy) with little or no overlap in another discipline.

Distribution: To give out a share or portion of money to a group for their use.

Early Care and Education (ECE): "All formal settings that are offering direct services to groups of young children. These services may be in centers, schools and homes, and are sometimes labeled by their primary funding source: child care, Head Start, prekindergarten, early childhood special education."[25]

Early Childhood: The time period from birth through age eight focusing on the growth and development of young children. Early Childhood programs more often are representative of young children birth to school age. Preschool programs often refer to children 3-5 years of age prior to entering kindergarten.

---

[19] http://medical-dictionary.thefreedictionary.com/Data+Checking
[20] U.S. Department of Education Office of Planning, Evaluation and Policy Development (2009). *Implementing data-informed decision making in schools: Teacher access, supports and use*. Retrieved from https://www2.ed.gov/rschstat/eval/tech/data-informed-decision/data-informed-decision.doc
[21] Taken from: http://businessintelligence.com/dictionary/data-quality/
[22] http://www.dec-sped.org/recommendedpractices
[23] http://en.wikipedia.org/wiki/Demographics
[24] http://www.businessdictionary.com/definition/demographic-variables.html
[25] Mitchell, A., & Stoney, L. (2011, October). *Toward better policy for early care and education in the United State*s. Retrieved from http://www.earlychildhoodfinance.org/downloads/2011/BetterPolicy_2011_October.pdf

Educator Effectiveness Frameworks: A set of procedures and measures that are used to both evaluate educator performance and to provide appropriate supports to strengthen performance.

Effective: Effective implies producing a definite or desired result, making a sticking impression or using something that is actual not merely potential.

Effective Public Awareness: Activities which use a variety of modalities and methods that help the public and consumers understand what a program or organization is and does.

Element of Quality: One of the necessary data or values used to make a decision about the degree of excellence of a part or used to determine the outcome of a process. In the ECTA System Framework, elements of quality provide the data for making decisions about the indicators.

Endorsement: A type of credential used by a state to indicate that an individual (usually a teacher) has met the requirements to work with a specific age group, population, or content area.

Enforceable Roles and Responsibilities: Legal agreements backed by a law, rule etc., that describe the behavior, functions and obligations of a person in a particular position in the organization.

Equitable Access: Dealing fairly and equally with all participants; no bias. Every child and family has the same (fair and equal) way to get Part C or 619 services.

Equitably Allocate: A prudent, fair, and transparent method of distributing revenue.[26]

Evidence-Based Practices: "…for the early childhood field: Evidence-based practice is a decision-making process that integrates the best available research evidence with family and professional wisdom and values."[27] and "evidence-based practices can be defined as: Practices that are informed by research, in which the characteristics and consequences of environmental variables are empirically established and the rela-tionship directly informs what a practitioner can do to produce a desired outcome." [28]

Expenditure: Payment of cash or cash-equivalent for goods or services, or a charge against available funds in settlement of an obligation as evidenced by an invoice, receipt, voucher, or other such document.[29]

---

[26] Reish, F. (n.d.). *Equitable allocation of revenues to participants.* Retrieved from http://www.asppa.org/Portals/2/PDFs/White%20Papers/The-Equitable-Allocation-of-Rev-Sharing%20%281%29.pdf

[27] Buysse, V., & Wesley, P. W. (2006). *Evidence-based practice in the early childhood field.* Washington, DC: ZERO TO THREE. See https://secure2.convio.net/zttcfn/site/Ecommerce/193252082?VIEW_PRODUCT=true&product_id=1221&store_id=1461

[28] Dunst, C. J., Trivette, C. M., & Cutspec, P. A. (2007). *Toward an operational definition of evidence-based practice*. (Winterberry Research Perspectives, v.1, n.1). MORGANTON, NC: Winterberry Press. Retrieved from http://www.wbpress.com/shop/toward-an-operational-definition-of-evidence-based-practice/

[29] http://www.businessdictionary.com/definition/expenditure.html

Expense: Money spent or cost incurred in an organization's efforts to generate revenue, representing the cost of doing business. Expenses may be in the form of actual cash payments (such as wages and salaries), a computed expired portion (depreciation) of an asset, or an amount taken out of earnings (such as bad debts).[30]

Expense Report: A detailed report based on a monthly, quarterly or yearly basis that accounts for all the expenses a business incurs.[31]

Feedback Loops: Intentional communication process set up between the various levels of the system to quickly identify and correct issues that may arise in implementing an innovation or new practices.[32]

Fidelity of Implementation: "The degree to which coaching, in-service training, instruction, or any other kinds of evidence-based professional development practice is implemented as intended and has the effect of promoting the adoption and use of evidence-based intervention practices."[33]

Fidelity of Interventions: "The degree to which evidence-based intervention practices (methods and strategies) are used as intended by early childhood practitioners, teachers, parents, or other intervention agents and have expected or intended outcomes in a targeted population or group of recipients (e.g. children with disabilities)."[34]

Finance Plan: Carefully thought out written plan of revenue (money) that is available, the use (distribution) of those dollars over a specified period of months or years, and the activities to increase revenue in order to accomplish identified outcomes. The clearly written plan includes measurable goals and activities that assure sufficient funding to support the program and aligns with the larger program strategic plan(s).

Findings of Noncompliance: Noncompliance means a program is NOT meeting standards or requirements. A finding is a written notice to this affect. "A written notification from the State to a local educational agency (LEA) or early intervention services (EIS) program that contains the State's conclusion that the LEA or EIS program is in noncompliance, and that includes the citation of the statute or regulation and a description of the quantitative and/or qualitative data supporting the State's conclusion that there is noncompliance with that statute or regulation."[35]

Fiscal: Relating to the money that an organization, business or government earns, spends and owes.

Fiscal Data: Program variables by associated costs, e.g., program costs, projected revenues and expenditures.

---

[30] http://www.businessdictionary.com/definition/expense.html
[31] http://www.businessdictionary.com/definition/expense-report.html
[32] State Implementation and Scaling-up of Evidence-based Practices. (2012, July). Improvement cycles. SISEP eNotes. Retrieved from http://sisep.fpg.unc.edu/news/sisep-enotes-july-2012
[33] Trivette, C. M., & Dunst, C. J. (2011, August). *Implementation with fidelity: How to get changes in early childhood classroom practices*. Paper presented at the Global Implementation Conference, Washington, DC.
[34] Dunst, C. J., Trivette, C. M., McInerney, M., Holland-Coviello, R., Masiello, T., Helsel, F., & Robyak, A. (2008). Measuring training and practice fidelity in capacity-building scaling-up initiatives. *CELLpapers, 3*(1), 1-11. Available at http://www.earlyliteracylearning.org/cellpapers/cellpapers_v3_n1.pdf
[35] U.S. Department of Education, Office of Special Education Programs (2008, September 2). *Frequently asked questions regarding identification and correction of noncompliance and reporting on correction in the State Performance Plan (SPP)/Annual Performance Report (APR)*. Retrieved from http://therightidea.tadnet.org/assets/459

Fiscal Mapping: A detailed account of all federal, state, and local revenues available to help identify what fiscal resources are available and how to use them more effectively to meet goals for children and families.[36]

Fiscal and Human Resources: The revenue (money/cost), in-kind contribution or other tangible resources, and the people needed to provide all aspects of the Part C and 619 systems, and the services and supports for the children and their families.

Forecast: To calculate or predict some future event or condition as a result of a study and analysis of available pertinent data.[37]

Garner: To acquire by effort, to gather together or collect.

Governance: Early childhood governance refers to a state's organizational structures and its placement of authority and accountability for making program policy, financing, and implementation decisions for publically funded early care and education for children birth to age five.[38]

IDEA Determinations: An annual written statement by each state regarding local programs' performance in meeting the requirements and purposes of the IDEA. (Determinations of the Status of Local Programs by State Agencies under Parts B and C of the Individuals with Disabilities Education Act (IDEA))

Incentives: Something that motivates or encourages a person to work harder; a payment or concession to stimulate greater output or investment.[39]

Indicators: A gauge, measure, a statement of the standard that a certain condition exists or certain results have or have not been achieved.[40] Indicators enable decision-makers to assess progress towards the achievement of intended outputs, outcomes, goals, and objectives. As such, indicators are an integral part of a results-based accountability system. In the System Framework they assist to define and measure the components.

Induction: The period after pre-service teaching extending into the first years in the classroom. Induction can be considered as a phase in development with a focus on new teacher concerns and problems of practice. Another meaning considers teacher socialization and the people and places surrounding their entry into the profession.[41]

---

[36] The Finance Project. (2009, November). *Follow the money: A tool for mapping funds for out-of-school time initiatives*. Retrieved from http://www.afterschoolnetwork.org/sites/main/files/file-attachments/followthemoney.pdf

[37] http://www.merriam-webster.com/dictionary/forecast

[38] Regenstein, E., & Lipper, K. (2013). *A framework for choosing a state-level early childhood governance system*. Retrieved from http://www.buildinitiative.org/Portals/0/Uploads/Documents/Early%20Childhood%20Governance%20for%20Web.pdf

[39] http://www.merriam-webster.com/dictionary/incentive

[40] Brizius, J. A., & Campbell, M. D. (1991). *Getting results: A guide for government accountability*. Washington, DC: Council of Governors Policy Advisors. See http://www.hfrp.org/publications-resources/browse-our-publications/indicators-definition-and-use-in-a-results-based-accountability-system

[41] Billingsley, B. S., Griffin, C. C., Smith, S. J., Kamman, M. & Israel, M. (2009). *A review of teacher induction in special education: Research, practice, and technology solutions* (executive summary). Retrieved from http://ncipp.education.ufl.edu/files_5/NCIPP%20Induction%20Exc%20Summ.pdf

Initiatives: Specific projects or programs undertaken to achieve specific objectives in the near-term.[42]

Inservice Training: Professional Development (PD) in which "early childhood professionals engage to enhance their skills and remain current regarding knowledge and practice in the field. Inservice training may be required for early childhood professionals to continue serving in a role."[43]

Institutions of Higher Education: Educational institutions (schools, colleges and universities) that provide postsecondary education including community colleges; public and private colleges; public and private universities; and some technical, career and business schools. "IHEs may be federally designated as Tribal Colleges and Universities, Historically Black Community Colleges and Universities (HBCCUs), and Hispanic Serving Institutions (HSIs)."[44]

Leadership: A person or group of people who provide guidance, inspiration and direction to a group in order to accomplish a result.

Legal Foundations: Enforceable State and Federal statutes, rules, regulations**,** policies, memorandums of agreement or governor's orders that define the expectations for services systems for young children and families.

Licensure: The process used by a state governmental agency to grant professional recognition to individuals who meet state requirements to teach in a specialized teaching discipline, such as early childhood or special education. State credentials may be called certificates or licenses.[45]

Match Dollars: Dollars required to be provided by a requesting source in order to receive other dollars often from Federal or State sources.

Maintenance of Effort (MOE): Describes a specific amount of money the State (or county) is required to spend in order to continue receiving funding from the Federal (or State) Government. It is designed to assure that the State (or county) does not reduce its level of funding support for a program if the Federal (or State) government provides an increase in funding.[46]

Meaningful Family Engagement: Significant and purposeful opportunities offered to families to participate, take part and be involved in the Part C and 619 systems as well as in the services and supports the families receive.[47,48]

---

[42] http://www.businessdictionary.com/definition/initiatives.html
[43] National Association for the Education of Young Children, & National Association of Child Care Resource & Referral Agencies. (2011). *Early childhood education professional development: Training and technical assistance glossary*. Retrieved from http://www.naeyc.org/files/naeyc/file/ecprofessional/NAEYC_NACCRRA_TrainingTAGlossary.pdf
[44] National Association for the Education of Young Children, & Alliance for Early Childhood. (2011). *Early childhood education professional development: Adult education glossary*. Retrieved from http://www.naeyc.org/files/naeyc/Adult_Education_Glossary_0.pdf
[45] Ibid.
[46] A glossary of fiscal terms & acronyms. (1998). *Money Matters, 13*(1). Retrieved from http://www.house.leg.state.mn.us/fiscal/files/98gloss.pdf
[47] http://www.merriam-webster.com/dictionary/meaningful
[48] http://www.merriam-webster.com/dictionary/engagement

Medicaid State Plan Amendments: A contract between a state and the Federal Government describing how that state administers its Medicaid program. It gives an assurance that a state abides by Federal rules and may claim Federal matching funds for its Medicaid program activities. States frequently send a state plan amendment, otherwise referred to as a SPA, to the Centers for Medicare and Medicaid Services (CMS) for review and approval. States have the flexibility to request permissible program changes, make corrections, or update their plan with new information.[49]

Mentoring: "Is a relationship-based process between colleagues in similar professional roles, with a more-experienced individual with adult learning knowledge and skills." The mentor provides "guidance and examples to the less-experienced protégé or mentee. Mentoring is intended to increase an individual's personal or professional capacity, resulting in greater professional effectiveness."[50]

Mission: A written declaration of an organization's core purpose and focus that normally remains unchanged over time. A mission statement serves as a filter in determining what is important and sets out the intended direction for the entire organization. A mission is something to be accomplished whereas a vision is something to be pursued for that accomplishment.[51]

Monitoring: The regular observation and recording of activities taking place in a program. It is a process of routinely gathering information on all aspects of the program to ensure that what has been planned is moving forward as intended. Monitoring involves giving feedback about the progress toward the outcomes or indicators. Monitoring also includes reporting to enable the gathered information to be used in making decisions for improving project performance.[52]

Non-supplanting: In accordance with IDEA, Federal funds are used to supplement (add to), not supplant (take the place of) non-Federal funds that would otherwise be available for expenditure on activities.

Operating Budget: A combination of known expenses, expected future costs, and forecasted income over the course of a year. Operating budgets are completed in advance of the accounting period, which is why estimated expenses and revenues are required.

Operationalized: The process of defining or describing something in such a way that it becomes measurable.

Oversight: Regulatory, required supervision backed by law or other legal documentations.

Payment Mechanisms: A financial system supporting transfer of funds from payers to the payees, usually through exchange of debits and credits among financial institutions. It consists of a paper-based mechanism for handling checks and drafts, and a paperless mechanism (such as electronic funds transfer) for handling electronic commerce transactions (e.g., contracts, grants, vouchers, central finance system).

---

[49] http://www.medicaid.gov/State-Resource-Center/Medicaid-State-Plan-Amendments/Medicaid-State-Plan-Amendments.html

[50] National Association for the Education of Young Children, & National Association of Child Care Resource & Referral Agencies. (2011). *Early childhood education professional development: Training and technical assistance glossary*. Retrieved from http://www.naeyc.org/files/naeyc/file/ecprofessional/NAEYC_NACCRRA_TrainingTAGlossary.pdf

[51] http://www.businessdictionary.com/definition/mission-statement.html

[52] Bartle, P. *The nature of monitoring and evaluation: Definition and purpose*. Retrieved from http://cec.vcn.bc.ca/cmp/modules/mon-wht.htm

Payor of Last Resort: "Federal Part C dollars can only be used for early intervention services for an eligible infant or toddler when they are not currently entitled to receive or have payment made from any other Federal, State, local or private source (non-substitution of funds) (303.510(a))[53].

Pedagogy: The art, science, or profession of teaching.[54]

Peer to Peer Support: A peer is a person of equal standing or experience as another. Peer support is an organized method of giving and receiving help founded on key principles of respect, shared responsibility, and mutual agreement of what is helpful. A peer is in a position to offer support by virtue of relevant experience; has "been there, done that" and can relate to others who are now in a similar situation.[55]

Performance Management: Performance management is the process of creating a work environment or setting in which people are enabled to perform to the best of their abilities. It often involves setting goals and expectations, clearly communicating performance standards and expectations, observing and providing feedback and coaching, and conducting appraisals.

Performance Measures: Performance measures quantitatively describe something important about the program. They are a tool used to help understand, manage, and improve what the program does.[56] The SPP/APR indicators are the measures by which we evaluate program performance. "Performance measurement is generally defined as regular measurement of outcomes and results, which generates reliable data on the effectiveness and efficiency of programs."[57]

Personnel Development: *see: Professional Development*

Planned Expenses: Amount of expense anticipated, often based on previous year(s) actual expenditure data.

Practitioner: A person engaged in the practice of a profession or occupation. In the ECTA System Framework we define practitioners as those who are responsible for and paid to enhance the optimal development of young children, and/or who provide support to the child's family.[58] This term is meant to include service providers, teachers, specialists and all other early childhood care and education professionals.

Preservice Program: "An educational program with a series of learning experiences with related assessments specific to an area of inquiry and related skills delivered by professionals with subject matter and adult learning skills. A planned sequence of courses, along with admission and graduation requirements, comprises an education program." [59]

---

[53] https://www.federalregister.gov/articles/2011/09/28/2011-22783/early-intervention-program-for-infants-and-toddlers-with-disabilities#sec-303-510
[54] http://www.merriam-webster.com/dictionary/pedagogy
[55] http://www.peersupportvic.org/what-is-peer-support
[56] http://www.orau.gov/pbm/documents/overview/wapm.html
[57] Bureau of Educational and Cultural Affairs, (n.d.). *Performance measurement definitions*. Retrieved from https://eca.state.gov/files/bureau/performance_measurement_definitions.pdf
[58] Adapted from: Division for Early Childhood of the Council for Exceptional Children. (2014, April). *DEC recommended practices in early intervention/early childhood special education*. Retrieved from http://www.dec-sped.org/recommendedpractices
[59] Adapted from: National Association for the Education of Young Children, & Alliance for Early Childhood. (2011). *Early childhood education professional development: Adult education glossary*. Retrieved from http://www.naeyc.org/files/naeyc/Adult_Education_Glossary_0.pdf

Procurement: To deliberately and strategically obtain/acquire and secure funds.

Professional Development: "Process of improving and increasing capabilities of staff through access to education and training opportunities in the workplace, through outside organizations, or through watching others perform the job. Professional development helps build and maintain morale of staff members, and is thought to attract higher quality staff to an organization. Also called staff development or personnel development."[60]

Program Level Standards: "Expectations for the characteristics or quality of schools, child care centers, and other educational settings."[61]

Programmatic Data: The statistical data by aspect of the program (e.g., number of referrals, referral source, child count, units of service by service type).

Projected Revenues and Expenditures: Amount of funds projected to be collected and expended during an accounting period.

Purpose: A written declaration of intent; the aim, the reason something exists or is done (i.e., to accomplish the goals and objectives consistent with the organization's vision statement).[62]

Qualitative Data: Data that approximates or characterizes but does not measure the attributes, characteristics, properties, etc., of a thing or phenomenon. Qualitative data describes whereas quantitative data defines. Examination/analysis of non-quantifiable data includes data collected from a focus group, stakeholder input, family survey data, etc.[63]

Quality Rating and Improvement Systems (QRIS): A quality rating and improvement system (QRIS) is a systemic approach to assess, improve, and communicate the level of quality in early and school-age care and education programs.[64]
"QRIS can exist on a spectrum in terms of their development and implementation and can operate statewide or in a local area. A fully functioning QRIS, however, includes the following components: (1) quality standards for programs and practitioners, (2) supports and an infrastructure to meet such standards, (3) monitoring and accountability systems to ensure compliance with quality standards, (4) ongoing financial assistance that is linked to meeting quality standards, and (5) engagement and outreach strategies."[65]

Quality Indicators: A gauge or measure of an agreed upon part of something larger; put together a group of indicators measure the quality or "health" of a system. In the ECTA System Framework, they assist to define and measure the components.

---

[60] http://www.businessdictionary.com/definition/professional-development.html
[61] National Association for the Education of Young Children, & National Association of Early Childhood Specialists in State Departments of Education. (n.d.). *NAEYC-NAECS/SDE position statement on early learning standards: Self-assessment and planning tool*. Retrieved from http://www.naeyc.org/files/naeyc/file/ecprofessional/StandardsSelfAssessmentTool.pdf
[62] Adapted from: Baldoni, J. (2012). *Lead with purpose: Giving your organization a reason to believe in itself*.
New York: American Management Association.
[63] Adapted from: http://www.businessdictionary.com/definition/qualitative-data.html
[64] National Center on Child Care Quality Improvement. (2013). *QRIS definition and web sites*. Retrieved from https://occqrisguide.icfwebservices.com/files/QRIS_Definition.pdf
[65] Retrieved from the *QRIS Network Glossary* at http://www.qrisnetwork.org/glossary

Quality Improvement: *C*onsists of the actions taken throughout the organization to increase the effectiveness of activities and processes to provide added benefits to both the organization and its customers. In simple terms, quality improvement is anything which causes a beneficial change in quality performance.[66]

Quantitative Data: Data that can be quantified and verified, and is amenable to statistical manipulation. Quantitative data defines whereas qualitative data describes. It can be expressed as a number, percentage, etc. and represented visually in graphs, histograms, tables, and charts.[67]

Reciprocity: Agreements between states to accept licensure/certification/qualification requirements of the participating states. That is, if an individual has met the requirements in state X, and state Y has a reciprocity agreement with that state, the individual is not required to due further work in order to be credentialed in state Y.

Reflective Supervision: Professional development process used to support, develop, and ultimately evaluate the performance of employees through a process of inquiry that encourages their understanding and articulation of the rationale for their own practices.

Reimbursement Rate: The rate established to pay for services provided.

Reports: Documents that give information about a particular subject, including data tables, written monitoring or evaluation reports, annual performance reports, etc.

Resource: A stock or supply of money, materials, staff, and other assets that can be drawn on by a person or organization in order to function effectively.

Resource Allocation: Used to assign the available resources in an economic way. It is part of resource management. In project management, resource allocation is the scheduling of activities and the resources required by those activities while taking into consideration both the resource availability and the project time.

Resource Management: The process of using an agency/program's resources in the most efficient way possible. These resources can include tangible resources such as goods and equipment, financial resources, and labor resources such as employees.[68]

Revenue: Is income with no consideration of cost. Revenue includes appropriations of state and/or federal funds, income generated from the provision of services, or any other use of capital or assets, associated with the main operations of an agency/program before any costs or expenses are deducted. Revenue is shown usually as the top item in an income (profit and loss) statement from which all charges, costs, and expenses are subtracted to arrive at net income.[69]

Sanctions: Penalties or other means of enforcement used to provide incentives for obedience with the law, or with rules and regulations. For example, sanctions may include accessing technical assistance, developing corrective action plans, withholding funds.[70]

---

[66] http://www.transition-support.com/Quality_improvement.htm - Read more at http://www.businessdictionary.com/definition/quality-improvement.html
[67] Adapted from http://www.businessdictionary.com/definition/quantitative-data.html
[68] http://www.businessdictionary.com/definition/resource-management.html
[69] http://www.businessdictionary.com/definition/revenue.html
[70] Black, H. C. (1990). *Black's law dictionary* (6th ed.). St. Paul, MN: West Publishing. (p. 1341).

Service Obligations: Refers to situations in which training/education is provided at no-cost to the individual but does require that the individual then work for some specified period of time in the field in which they were trained.

Services and Supports: The tangible and sometime intangible things the system is set up to deliver and provide to children and families (clients). For example, these may include services such as physical therapy, special instruction, special education, speech language therapy or such things as informational, emotional or material support.

State leadership: The state level administrative personnel who have the authority to carry out and oversee the functions of IDEA Part C and 619. State leadership may also include other State agencies, bureaus, departments and parent organizations that also share a commitment and responsibilities for other programs that provide services and support to young children 0-8 and their families.

Stakeholders: Individuals or groups who have invested time, money, energy and/or interest into something. Stakeholder groups should include representation of persons who are affected by or invested in any proposed change/innovation such as parents, personnel, administrators, or others who can provide relevant information, personal experience or expertise to the proposed work.

Strategic: Of great importance or necessary to a planned effort or completion of a plan of activity
A strategic plan is a written plan of important and necessary actions needed to be completed to reach a desired outcome.

Summative Evaluation: Evaluation activities that occur after an intervention or process so that a judgment can be made regarding the impact or outcome.

State and Regional and/or Local System Entities:

> **Part C levels:** State level administration exists within the "Lead Agency" appointed by the Governor. Part C systems are uniquely designed within each state depending on lead agency appointment most often within Education, Health or Human Services state agencies. There is often some type of regional administrative unit overseeing regional or local programs and the individuals that deliver the services to infants and toddlers (birth to age 3) and their families.
>
> **Part B-619 levels:** State level administration resides within the State Education Agency (SEA), often within the Division of Special Education. Regional administrative structures or units may be by county or a combination of counties. Local Education Agencies (LEAs) and local school districts are overseen by local school boards that are responsible for providing free and appropriate public education (FAPE) for preschool-aged children, 3-5.

Systems Performance: The action or process of carrying out or accomplishing an action, task, or function that measures how well the systems are performing.[71]

Systems and Services: Systems are the formal organizational structures; agencies, programs, contracted employees set up to provide specified services and supports that children and families can use to meet needs.

Target: Result, level or situation that an organization or group wants or plans to achieve.[72]

[71] http://www.oxforddictionaries.com/us/definition/american_english/performance
[72] http://dictionary.cambridge.org/us/dictionary/business-english/target_1

Technical Assistance: "Technical Assistance (TA) is the provision of targeted and customized supports by a professional(s) with subject matter and adult learning knowledge and skills to develop or strengthen processes, knowledge application, or implementation of services by recipients." TA may include "combinations of information and resource dissemination and referrals, coaching, mentoring, consultation, and professional development advising, peer-to-peer TA, as well as other forms of support."[73]

Title I: Part A (Title I) of the Elementary and Secondary Education Act, as amended (ESEA) provides financial assistance to local educational agencies (LEAs) and schools with high numbers or high percentages of children from low-income families to help ensure that all children meet challenging state academic standards.[74]

Training: Learning experiences, or "series of experiences, specific to an area of inquiry and related set of skills or dispositions, delivered by a professional(s) with subject matter and adult learning knowledge and skills. A planned sequence of training sessions comprises a training program."[75]

Transparent: Clear, easily understood, free from pretense or deceit, characterized by accessibility of information.[76]

Trend Analysis: Trend Analysis is the practice of collecting information over time and attempting to detect a pattern, or trend, in the information by: (1) detecting a general pattern of a relationship between associated factors or variables; and (2) projecting the future direction of this pattern.[77,78]

Unit Cost: Cost of providing one predetermined amount (unit) of service.

Universal Design for Learning (UDL): "A set of principles for curriculum development that give all individuals equal opportunities to learn. UDL provides a blueprint for creating instructional goals, methods, materials, and assessments that work for everyone--not a single, one-size-fits-all solution but rather flexible approaches that can be customized and adjusted for individual needs."[79]

Vision: An aspirational description of what an organization would like to achieve or accomplish in the mid-term or long-term future. A vision serves as a clear guide for choosing current and future courses of action.

---

[73] National Association for the Education of Young Children, & National Association of Child Care Resource & Referral Agencies. (2011). *Early childhood education professional development: Training and technical assistance glossary*. Retrieved from http://www.naeyc.org/files/naeyc/file/ecprofessional/NAEYC_NACCRRA_TrainingTAGlossary.pdf
[74] http://www2.ed.gov/programs/titleiparta/index.html
[75] National Association for the Education of Young Children, & National Association of Child Care Resource & Referral Agencies. (2011). *Early childhood education professional development: Training and technical assistance glossary*. Retrieved from http://www.naeyc.org/files/naeyc/file/ecprofessional/NAEYC_NACCRRA_TrainingTAGlossary.pdf
[76] http://www.merriam-webster.com/dictionary/transparent
[77] http://en.wikipedia.org/wiki/Trend_analysis
[78] http://www.businessdictionary.com/definition/trend-analysis.html#ixzz38J36SSpq
[79] Taken from: http://www.cast.org/udl/index.html