

Sources of Information About Risk Factors and Risk Assessment Practices

Carl J. Dunst

This *Milemarkers* bibliography includes selected references to sources of information for identifying the environmental and biological risk factors that are most associated with child developmental delays and poor functioning. References to research and practice pertaining to risk assessment procedures are also included. The information should be useful to practitioners who have responsibility for early identification and evaluation of infants, toddlers, and preschoolers who are or may be eligible for early intervention or preschool special education

The early identification of infants, toddlers, and preschoolers who are at risk for or are experiencing delays in development, and who may be eligible for early intervention or preschool special education, is one requirement of the Individuals with Disabilities Education Act (1997). Risk assessment procedures constitute one evaluation method that can be used to identify children who have a high probability of demonstrating development delays in the absence of an identified condition or disability. Risk assessment procedures are especially useful in states that have at-risk definitions for determining eligibility for early intervention (Shackelford, 2004).

This *Milemarkers* includes selected references to research on both the environmental and biological risk factors that are associated with delays in development and risk assessment practices for identifying the presence of environmental and biological risk factors. The information should be useful to practitioners who are responsible for the evaluation and assessment of infants, toddlers, or preschoolers. Risk assessment practices are one type of early identification activity (Dunst & Trivette, 2004) that constitutes the focus of research and practice at the Tracking, Referral and Assessment Center for Excellence (www.tracecenter.info).

Risk Factors

Environmental Risk Factors

Environmental risk factors are those conditions “outside” a child that places him or her in jeopardy for poor developmental outcomes. These include, but are not limited to, living in poverty, low parental education, poor parental mental health, single parenthood, unstable living conditions, repeated exposure to violence, and teenage pregnancy (see Dunst, 1993). They also include a

host of environmental toxins that can impinge upon and compromise a child’s development (U.S. Environmental Protection Agency, 2000).

Research has consistently demonstrated that the presence of multiple or cumulative environmental risk factors are associated with the increased likelihood of progressively more negative effects on child behavior and development. The seminal work by Sameroff and his colleagues (see Sameroff, 1998) have shown both the short- and long-term consequences of the continued presence of cumulative environmental risk factors.

- Barocas, R., Seifer, R., & Sameroff, A. J. (1985). Defining environmental risk: Multiple dimensions of psychological vulnerability. *American Journal of Community Psychology, 13*, 433-447.
- Brook, J. S., Whiteman, M., & Zheng, L. (2002). Intergenerational transmission of risks for problem behavior. *Journal of Abnormal Child Psychology, 30*, 65-76.
- Campbell, F. A., & Ramey, C. T. (1986). High risk infants: Environmental risk factors. In J. M. Berg (Ed.), *Science and service in mental retardation* (pp. 23-33). New York: Methuen.
- Dunst, C. J. (1993). Implications of risk and opportunity

Milemarkers is a publication of the Tracking, Referral and Assessment Center for Excellence (TRACE) funded by the U.S. Department of Education, Office of Special Education Programs (H324G020002). Opinions expressed in this publication are those of TRACE and do not necessarily reflect the views of the U.S. Department of Education. TRACE is a major initiative of the Center for Improving Community Linkages, Orelena Hawks Puckett Institute, www.puckett.org. Copyright © 2004 by the Orelena Hawks Puckett Institute. All rights reserved.

factors for assessment and intervention practices. *Topics in Early Childhood Special Education*, 13, 143-153.

- Dunst, C. J., & Trivette, C. M. (1997). Early intervention with young at-risk children and their families. In R. Ammerman & M. Hersen (Eds.), *Handbook of prevention and treatment with children and adolescents: Intervention in the real world* (pp. 157-180). New York: Wiley.
- Osofsky, J. D. (1998). On the outside: Interventions with infants and families at risk. *Infant Mental Health Journal*, 19, 101-110.
- Ramey, S. L., Ramey, C. T., & Friedlander, M. J. (1999). Early experience and early intervention. *Mental retardation and developmental disabilities research reviews*, 5, 1-10.
- Sameroff, A. J., Seifer, R., Baldwin, A., & Baldwin, C. (1993). Stability of intelligence from preschool to adolescence: The influence of social and family risk factors. *Child Development*, 64, 80-97.
- Sameroff, A. J., Seifer, R., Barocas, R., Zax, M., & Greenspan, S. (1987). Intelligence quotient scores of 4-year-old children: Social-environmental risk factors. *Pediatrics*, 79, 343-350.
- Schroeder, S. R. (2000). Mental retardation and developmental disabilities influenced by environmental neurotoxic insults. *Environmental Health Perspectives Supplements*, 108(S3), 395-399.
- Walker, E. F., & Downey, G. (1990). The effects of familial risk factors on social-cognitive abilities in children. *Child Psychiatry and Human Development*, 20, 253-267.
- Whitman, T. L., Borkowski, J. G., Schellenback, C. J., & Nath, P. S. (1987). Predicting and understanding developmental delay of children of adolescent mothers: A multidimensional approach. *American Journal of Mental Deficiency*, 92, 40-56.

Biological Risk Factors

Biological risk factors include those conditions, experienced prenatally, perinatally, or postnatally, that impinge upon and compromise the constitutional functioning of very young children. These include, but are not limited to, low birth weight, prematurity, and intraventricular hemorrhaging at birth. They also include maternal smoking, alcohol, and drug use during pregnancy. Research indicates that multiple biological risk factors and the severity of the factors contribute to poor outcomes (Vohr et al., 2000)

- Delaney-Black, V., Covington, C., Templin, T., Ager, J., Nordstrom-Klee, B., Martier, S., et al. (2000). Teacher-assessed behavior of children prenatally ex-

posed to cocaine. *Pediatrics*, 106, 782-791.

- Farel, A. M., Hooper, S. R., Teplin, S. W., Henry, M. H., & Kraybill, E. N. (1998). Very-low-birthweight infants at seven years: An assessment of the health and neurodevelopmental risk conveyed by chronic lung disease. *Journal of Learning Disabilities*, 31, 118-126.
- Thorngren-Jerneck, K., & Herbst, A. (2001). Low 5-minute apgar score: A population-based register study of 1 million term births. *Obstetrics and Gynecology*, 98, 65-70.
- Verma, U., Tejani, N., Klein, S., Reale, M. R., Beneck, D., Figueroa, R. A., et al. (1997). Obstetric antecedents of intraventricular hemorrhage and periventricular leukomalacia in the low-birth-weight neonate. *American Journal of Obstetrics and Gynecology*, 176, 275-281.
- Vohr, B. R., Wright, L. L., Dusick, A. M., Mele, L., Verter, J., Steichen, J. J., et al. (2000). Neurodevelopmental and functional outcomes of extremely low birth weight infants in the National Institute of Child Health and Human Development Neonatal Research Network 1993-1994. *Pediatrics*, 105, 1216-1226.

Double Jeopardy Risk Factors

The simultaneous presence of multiple environmental and biological risk factors places a developing child at double jeopardy. Research has consistently found that children exposed to both types of risk factors are at highest risk for a variety of poor outcomes (Boardman, Powers, Padilla, & Hummer, 2002). Advances in the understanding of how risk factors "work together" to produce developmental delays and other disorders demonstrate the complexity of how these factors can undermine normal functioning (Kraemer, Stice, Kazdin, Offord, & Kupfer, 2001).

- Bendersky, M., & Lewis, M. (1994). Environmental risk, biological risk, and developmental outcome. *Developmental Psychology*, 30, 484-494.
- Hollomon, H. A., Dobbins, D. R., & Scott, K. G. (1998). The effects of biological and social risk factors on special education placement: Birth weight and maternal education as an example. *Research in Developmental Disabilities*, 19, 281-294.
- King, E. H., Logsdon, D. A., & Schroeder, S. R. (1992). Risk factors for developmental delay among infants and toddlers. *Child Health Care*, 21, 39-52.
- Klug, M. G., Burd, L., Kerbeshian, J., Benz, B., & Mart-solf, J. T. (2003). A comparison of the effects of parental risk markers on pre- and perinatal variables in multiple patient cohorts with fetal alcohol syndrome, autism, Tourette syndrome, and sudden infant death

- syndrome: An enviromic analysis [Electronic version]. *Neurotoxicology and Teratology*, 25, 707-717.
- Laucht, M., Esser, G., & Schmidt, M. H. (1997). Developmental outcome of infants born with biological and psychosocial risks. *Journal of Child Psychology and Psychiatry*, 38, 843-853.
- Rojahn, J., Aman, M. G., Marshburn, E., Moeschberger, M. L., King, E. H., Logsdon, D. A., et al. (1993). Biological and environmental risk for poor developmental outcome of young children. *American Journal on Mental Retardation*, 97, 702-708.
- van der Valk, J. C., van den Oord, E. J. C. G., Verhulst, F. C., & Boomsma, D. I. (2003). Genetic and environmental contributions to stability and change in children's internalizing and externalizing problems. *Journal of the American Academy of Child and Adolescent Psychiatry*, 42, 1212-1220.
- Wall, E. M. (1988). Assessing obstetric risk: A review of obstetric risk-scoring systems. *Journal of Family Practice*, 27, 153-163.
- Weisglas-Kuerpas, N., Baerts, W., Smrkovsky, M., & Sauer, P. J. J. (1993). Effects of biological and social factors on the cognitive development of very low birth weight children. *Pediatrics*, 92, 658-665.
- and evaluation of a follow up assessment of preterm infants at 5 years of age. *Archives of Disease in Childhood*, 88, 870-875.
- Farran, D. C., & Cooper, D. H. (1986). Psychosocial risk: Which early experiences are important for whom? In D. C. Farran & J. D. McKinney (Eds.), *Risk in intellectual and psychosocial development* (pp. 187-225). Orlando, FL: Academic Press.
- Kochanek, T. T., & Buka, S. L. (1991). Using biologic and ecologic factors to identify vulnerable infants and toddlers. *Infants and Young Children*, 4(1), 11-25.
- Kopp, C. B., & Kaler, S. R. (1989). Risk in infancy: Origins and implications. *American Psychologist*, 44, 224-230.
- Nair, P., Schuler, M. E., Black, M. M., Kettinger, L., & Harrington, D. (2003). Cumulative environmental risk in substance abusing women: Early intervention, parenting stress, child abuse potential, and child development. *Child Abuse and Neglect*, 27, 997-1017.
- Prinz, R. J., Dumas, J. E., Smith, E. P., & Laughlin, J. E. (2000). The EARLY ALLIANCE prevention trial: A dual design to test reduction of risk for conduct problems, substance abuse, and school failure in childhood. *Controlled Clinical Trials*, 21, 286-302.
- Redden, S. C., Mulvihill, B. A., Wallander, J., & Hovinga, M. A. (2000). Applications of developmental epidemiological data linkage methodology to examine early risk for childhood disability. *Developmental Review*, 20, 319-349.
- Woods, J. J., & Wetherby, A. M. (2003). Early identification of and intervention for infants and toddlers who are at risk for autism spectrum disorder. *Language, Speech, and Hearing Services in Schools*, 34, 180-193.

Risk Assessment Practices

The use of environmental and biological risk factors for determining the presence of conditions that will likely result in developmental delays or poor functioning requires assessment methods that accurately determine the degree to which risk conditions are present or manifest. Risk assessment constitutes a process of determining the extent to which an individual "exposed" to risk factors will be harmed and to what degree (U.S. Environmental Protection Agency, 2000).

- Ayoub, C., & Jacewitz, M. M. (1982). Families at risk of poor parenting: A model for service delivery, assessment, and intervention. *Child Abuse and Neglect*, 6, 351-358.
- Berlin, L. J., Brooks-Gunn, J., McCarton, C., & McCormick, M. C. (1998). The effectiveness of early intervention: Examining risk factors and pathways to enhanced development. *Preventive Medicine*, 27, 238-245.
- Cluett, S. E. (1998). Early risk indicators for special education placement: A developmental epidemiological study using information from birth and early in a child's life. *Dissertation Abstracts International*, 59(09), 5133B (UMI No. 9906911).
- de Kleine, M. J. K., den Ouden, A. L., Kollée, L. A. A., Nijhuis-van der Sanden, M. W. G., Sondaar, M., van Kessel-Feddema, et al. (2003). Development

Summary

This *Milemarkers* bibliography includes selected references to sources of information on risk factors associated with developmental delays and poor functioning during the preschool years. The information should prove useful for developing risk assessment methods that can be used to identify infants, toddlers, and preschoolers who have a high probability of being eligible for early intervention or preschool special education. The source material should be especially helpful in states that have at-risk definitions for determining eligibility for early intervention.

Acknowledgments

Appreciation is extended to Theresa Owenby for typing, Teresa Imfeld for editing, and Kaki Roberts for final formatting of the manuscript.

References

- Boardman, J. D., Powers, D. A., Padilla, Y. C., & Hummer, R. A. (2002). Low birth weight, social factors, and developmental outcomes among children in the United States. *Demography*, 39, 353-368.
- Dunst, C. J. (1993). Implications of risk and opportunity factors for assessment and intervention practices. *Topics in Early Childhood Special Education*, 13, 143-153.
- Dunst, C. J., & Trivette, C. M. (2004). Toward a categorization scheme of child find, referral, early identification and eligibility determination practices. *Tracelines*, 1(2), 1-18. Available from <http://www.tracecenter.info/products.php>.
- Individuals with Disabilities Education Act [IDEA] Amendments, 20 U.S.C. § 1400 *et seq.* (1997).
- Kraemer, H. C., Stice, E., Kazdin, A., Offord, D., & Kupper, D. (2001). How do risk factors work together? Mediators, moderators, and independent, overlapping, and proxy risk factors. *American Journal of Psychiatry*, 158, 848-856.
- Sameroff, A. J. (1998). Environmental risk factors in infancy. *Pediatrics*, 102, 1287-1292.
- Shackelford, J. (2004, September). State and jurisdictional eligibility definitions for infants and toddlers with disabilities under IDEA. *NECTAC Notes*(No. 16), 1-15. Chapel Hill: National Early Childhood Technical Assistance Center, The University of North Carolina.
- U.S. Environmental Protection Agency. (2000). *Strategy for research on environmental risks to children*. (Report No. EPA/600/R-00/068). Washington, DC: Author. Retrieved March 1, 2005, from www.epa.gov.
- Vohr, B. R., Wright, L. L., Dusick, A. M., Mele, L., Verter, J., Steichen, J. J., et al. (2000). Neurodevelopmental and functional outcomes of extremely low birth weight infants in the National Institute of Child Health and Human Development Neonatal Research Network 1993-1994. *Pediatrics*, 105, 1216-1226.

Author

Carl J. Dunst, Ph.D., is Co-Principal Investigator of the Tracking, Referral and Assessment Center for Excellence (TRACE) and Research Scientist at the Orelena Hawks Puckett Institute in Asheville, North Carolina (dunst@puckett.org).