



UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES

Contact Persons

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OSEP 11-5

MEMORANDUM

TO: Lead Agency Directors, Part C Coordinators, State Interagency Coordinating Council Chairpersons, and State Data Managers

FROM: Melody Musgrove, Ed.D., Director 
Office of Special Education Programs (OSEP)

SUBJECT: Part C State Performance Plan (Part C – SPP) and Part C Annual Performance Report (Part C – APR)

ACTION

REQUIRED: Submission of Part C Annual Performance Report and Revisions to the Part C State Performance Plan by February 1, 2011

In accordance with 20 U.S.C. 1416(b)(2)(C)(ii)(II) and 1442 of the Individuals with Disabilities Education Act (IDEA), each State lead agency must report annually through the Part C Annual Performance Report (Part C – APR) to the Secretary on the State's performance under its Part C State performance plan (Part C – SPP). The Part C – SPP evaluates the State's efforts to implement the requirements and purposes of Part C and describes how the State will improve such implementation. In accordance with 20 U.S.C. 1416(b)(2)(C)(ii)(I) and 1442, each Lead Agency must also report annually to the public on the performance of each early intervention service (EIS) program located in the State on the targets in its Part C – SPP.

The enclosed Information Collection 1820-0578, *Part C State Performance Plan (Part C – SPP) and Annual Performance Report (Part C – APR)*, contains both SPP and APR instructions.

The instruction sheet in the enclosed Information Collection is divided into four sections: 1) General Instructions; 2) State Performance Plan; 3) Annual Performance Report; and 4) Related Requirements. States are encouraged to make note of the following due dates and implement a development schedule accordingly.

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The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

By February 1, 2011, States must submit:

- 1) A revised SPP (using the SPP template) that specifies, for each indicator, annual targets (reflecting improvement over the State's baseline data for that indicator), and improvement activities for each year through FFY 2012 (July 1, 2012 through June 30, 2013).¹
- 2) A description of where, on its Web site, a complete copy of the State's revised SPP, including any revisions, is available as well as where the State has reported to the public on the performance of each early intervention services (EIS) program in the State against the State's targets in its SPP.
- 3) The State's FFY 2009 Part C APR, which must contain actual target data from FFY 2009 and other responsive APR information for all Indicators.
- 4) Information to address any actions required in OSEP's letter responding to the State's February 1, 2010 submission of its FFY 2008 SPP/APR.
- 5) The attached Interagency Coordinating Council (ICC) Certification of Annual Report (ICC Certification), if the State's ICC is jointly submitting the APR as part of the ICC's annual reporting requirement under IDEA section 641(e)(1)(D) and 34 CFR §303.654. An original signature of the ICC Chairperson(s) is required on the Interagency Coordinating Council Certification of Annual Report.

When completing the SPP and APR, Lead Agencies will need to use the following parts of Information Collection 1820-0578.

SPP Materials –

- SPP Instructions (See Section II of the enclosed Instructions.)
- Part C Indicator/Measurement Table with Instructions²
- SPP Template

APR Materials –

- APR Instructions (See Section III of the enclosed Instructions.)
- Part C Indicator/Measurement Table with Instructions
- APR Template

As noted in the conference report to HR 1350, it is Congress' expectation that SPPs, indicators, and targets will be developed with broad stakeholder input and public dissemination. Under Part

¹ For States Implementing Approved Sampling Plans: When collecting data for years FFYs 2011 and 2012, a State may sample from the same set as it did during years one and two of its approved sampling plan, respectively, and must also include any EIS programs/providers that have been funded since the sampling plan was approved.

² Monitoring Priorities, Indicators, and measurements included on the *Part C Indicator Measurement Table* are to be used to populate designated sections of the SPP and APR Templates. Populated templates can be found at <http://spp-apr-calendar.trfennetwork.org/explorer/view/id/446/23#category3>

C, such stakeholder input must minimally include involvement by the State's ICC, given the ICC's role in advising the lead agency and its annual reporting requirement under IDEA section 641(e)(1)(D) and 34 CFR §303.654. Therefore, the State is required to provide information in the Overview to State Performance Plan Development section of the SPP template to specify how the State: 1) Obtained "broad input" from stakeholders, including the ICC, related to new indicators and revisions to the SPP; and 2) Disseminated the SPP to the public. Similarly, in the APR, the State is to provide a description of the process the State used to develop the APR. The description must include how and when the State will report annually to the public on: 1) the State's progress and/or slippage in meeting the "measurable and rigorous targets" found in the SPP; and 2) the performance of each EIS program located in the State on the targets in the SPP.

The Department will review the information provided in the State's FFY 2009 APR, other State-reported data, information obtained through monitoring visits, and other public information and will determine, under IDEA sections 616(d) and 642, if the State meets the requirements of Part C of the IDEA or needs assistance, needs intervention or needs substantial intervention in implementing the requirements of Part C of the IDEA. The State should review IDEA section 616(e) regarding the potential enforcement actions required as a result of, and potential future impact of, the Department's annual determination.

The Department's determination will be based on the totality of the State's data in its APR and other publicly available information, including any outstanding compliance issues. The factors in each State's FFY 2009 APR submission that the Department will consider in making its determination are whether the State: (1) provided valid and reliable FFY 2009 data that reflect the measurement for each indicator; and (2) for each compliance indicator, whether the State: (a) demonstrated compliance or timely correction of noncompliance, and (b) in instances where it did not demonstrate compliance, had nonetheless made progress in ensuring compliance over prior performance in that area. States should carefully review OSEP Memorandum 09-02: "Reporting on Correction of Noncompliance in the Annual Performance Report Required under Sections 616 and 642 of the IDEA" for detailed information related to reporting on the correction of noncompliance.

When reporting on correction in the APR, include confirmation that: (1) each EIS program has corrected each individual instance of child-specific noncompliance; and (2) the State has verified that the EIS program is currently correctly implementing the specific regulatory requirement. In addition, OSEP Memorandum 09-02 explains how we will factor evidence of correction into our analysis of whether the State has demonstrated substantial compliance for purposes of the 2011 IDEA Part C determinations under sections 616 and 642 of the IDEA.

We will also consider whether the State has other IDEA compliance issues that were identified previously through the Department's monitoring, audit or other activities, the State's progress in resolving those problems and whether the State provided the additional information requested in OSEP's June, 2010 response table. In addition, we will consider whether the State has reported publicly on the performance of each EIS program on the State's FFY 2008 SPP targets. If we have not been able to locate this public reporting on your Web site, we will contact you during the clarification process, described further below to notify you of this issue.

Prior to finalizing the Department's determination, OSEP will offer the State the opportunity to clarify or correct the data submitted in its FFY 2009 SPP/APR. OSEP will email each Part C Coordinator a summary of the State's February 1, 2011, FFY 2009 data that OSEP will consider in making the Department's determination under IDEA section 616(d). The State will have one week to submit to OSEP by e-mail any corrected data and to clarify any misunderstandings by OSEP about the data submitted. In order for the State's clarifications or corrections to data to be considered, the State's response must be received by OSEP no later than close-of-business one week from the issuance of OSEP's e-mail summary. If the State submits clarifications or corrections to data that were in the original FFY 2009 SPP/APR submission, it must also submit a complete revised SPP/APR submission with any changes redlined or highlighted. Any clarifications or corrected FFY 2009 SPP/APRs must be submitted electronically to OSERS.capr@ed.gov.

Please note that any State that does not meet the February 1, 2011 timeline for submission will not be permitted to submit clarifications or corrections for purposes of the Department's determination under IDEA sections 616(d) and 642.

In accordance with sections 616(e) and 642 of the IDEA, in the June 2010 response letters, the Secretary advised States that were needs assistance for two consecutive years of available sources of technical assistance related to the indicator(s) that resulted in the determination of needs assistance. For the indicator(s) that resulted in the determination of needs assistance, the State must report with its FFY 2009 APR submission (due February 1, 2011) on: (1) the technical assistance sources from which the State received assistance; and (2) what actions the State took as a result of that technical assistance. The extent to which your State takes advantage of available technical assistance for these indicators may affect the actions we take under sections 616 and 642 should your State not be identified as meets requirements next year.

To submit an SPP and/or APR:

Submit a copy of the SPP and/or APR to the following address:

U.S. Department of Education
Office of Special Education Programs
Potomac Center Plaza
Mail Stop 2600, Room 4129
550 12th St. S.W.
Washington, D.C. 20202

If available, a corresponding electronic text file of the SPP and/or APR should be submitted to OSERS.capr@ed.gov.

The submission requirements, tables, and templates that should be used to complete the Part C SPP and/or Part C - APR can be accessed electronically at <http://www.ed.gov/policy/speced/guid/idea/monitor/index.html>.

If you have any further questions about the Part C - SPP and/or Part C - APR and/or the submission options listed above, please contact your OSEP Part C State Contact.

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Chairpersons, and State Data Managers

Enclosures

cc: Technical Assistance Coordinating Center (TACC)
Regional Resource Centers
National Early Childhood Technical Assistance Center (NECTAC)