

## Part C – SPP/APR

### Part C State Performance Plan (SPP) and Annual Performance Report (APR) Instruction Sheet

#### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. It is estimated that each respondent will spend approximately 180 hours maintaining the SPP and 1,800 hours completing the APR. These estimates include time for reviewing instructions, searching any existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection required to obtain or retain benefits (20 U.S.C. 1416(1416(b)(1); 20 U.S.C. 1442; 20 U.S.C. 1416(b)(2)(C)(ii)). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [www.reginfo.gov](http://www.reginfo.gov) and reference the OMB Control Number 1820-0578. Note: Please do not return the completed Part C SPP and APR forms to this address.

#### I. General Instructions

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

By February 3, 2014, States must submit:

- 1) A description of where, on its Web site, the State has made available a complete copy of the State's SPP, including any revision if the State has revised the SPP that it had submitted in 2013 with its FFY 2011 APR, as well as where the State has reported to the public on the FFY 2011 performance of each early intervention services (EIS) program in the State against the State's targets in its Part C – SPP.
- 2) The State's FFY 2012 Part C APR, which must contain actual target data from FFY 2012 and other responsive APR information for Indicators 1, 2, 3, 4, 5, 6, 7, 8, 9, 12, and 13. States may, but are not required, to report data for Indicator 14. OSEP will use the Indicator 14 Rubric (Attachment 2) to calculate the State's data for this indicator. States will have an opportunity to review and respond to OSEP's calculation of the State's data. States do need to ensure that, following the receipt of their FFY 2012 SPP/APR Response Table, the APR that the State posts on its Web site includes the OSEP-calculated FFY 2012 data for Indicator 14.
- 3) Information to address any required actions identified in OSEP's July 1, 2013 letter responding to the State's February 15, 2013 submission of its FFY 2011 SPP/APR.

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

SPP Materials –

- SPP Instructions (See Section II of the enclosed Instructions.)
- Part C Indicator Measurement Table with Instructions<sup>1</sup>
- SPP Template

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<sup>1</sup> Monitoring priorities, indicators, and measurements included on the *Part C Indicator Measurement Table* are to be used to complete designated sections of the SPP and APR Templates. Templates containing monitoring priorities, indicators, and measurements can be found at <http://www.ed.gov/policy/speced/guid/idea/capr/index.html>

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APR Materials –

- APR Instructions (See Section III of the enclosed Instructions.)
- Part C Indicator/Measurement Table with Instructions
- APR Template
- Indicator 9 Worksheet
- Indicator 14 Data Rubric

SPP targets should be developed with broad stakeholder input and public dissemination. 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 input from the State's Interagency Coordinating Council, related to 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 *Part C Indicator Measurement Table* lists the Monitoring Priorities and Indicators, required data sources and measurement, and instructions for providing the required information for each indicator. In addition to the percentages required in the indicators, Lead Agencies are required to provide actual numbers used in the calculations.<sup>2</sup>

Lead Agencies may add other indicators under Part C if there are additional areas that the Lead Agency wishes to track and measure to improve results for infants and toddlers with disabilities and their families. If additional indicators are added, the Lead Agency must identify the data source, measurement, and calculation for each indicator added. In addition, the Lead Agency must include the State's targets under each of its additional indicators and the data to measure its performance against the targets.

States are allowed to use sampling when so indicated on the *Part C Indicator Measurement Table*. When sampling is used, a description of the sampling methodology outlining how the design will yield valid and reliable estimates *must* be submitted to OSEP. The description must describe the: (a) sampling procedures followed (e.g., random/stratified, forms validation); and (b) the similarity or differences of the sample to the population of children with disabilities in the early intervention program (e.g., how all aspects of the population such as disability category, race, age, gender, etc. will be represented). The description must also include how the Lead Agency addresses any problems with: (1) response rates; (2) missing data; and (3) selection bias.

Samples from EIS programs must be representative of each of the EIS programs sampled, considering such variables as eligibility definition (diagnosed condition, developmental delay, and at-risk if the State includes this option), age, race, and gender. In reporting on the performance of small EIS programs, the Lead Agency shall not report to the public or the Secretary any information on performance that would result in the disclosure of personally identifiable information about individual children or where the available data is insufficient to yield statistically reliable information, i.e., numbers are too small.

For indicators that permit sampling, the Lead Agency must include in its report on the performance of EIS programs the most recently available performance data on each EIS program and the date the data were obtained. If a Lead Agency is using sampling for one or more indicators, the Lead Agency must sample on the performance of each EIS program on each of those indicators at least once during the course of the SPP. Further, if a Lead Agency is using sampling, the Lead Agency must collect data from a representative sample of EIS programs each year in order to report on State performance annually.

The State must submit an electronic text file of the APR and, if revised, its SPP, to [OSERS.bapr@ed.gov](mailto:OSERS.bapr@ed.gov).

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<sup>2</sup> Lead Agencies are not required to provide the actual numbers for Indicators 2, 5 and 6 because they are using 618 State-reported data for these Indicators.

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The State may, in addition, choose to also submit a hard copy of the documents to the following address:

U.S. Department of Education  
Office of Special Education Programs  
Potomac Center Plaza  
Mail Stop 2600, Room 4166  
550 12<sup>th</sup> St. S.W.  
Washington, D.C. 20202

The submission requirements, tables, and templates that should be used to complete the Part C SPP and/or APR can be accessed electronically at <http://www2.ed.gov/fund/data/report/idea/sppapr.html>.

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

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### II. State Performance Plan (SPP)

The State Performance Plan (SPP) was originally submitted on December 2, 2005. States must review their SPPs at least once every six years. The Secretary reviews each SPP. An SPP is deemed approved by the Secretary unless the Secretary makes a written determination, prior to the expiration of the 120-day period beginning on the date on which the Secretary received the plan, that the plan does not meet the requirements of 20 U.S.C. 1416 and 1442, including the specific provisions described at 20 U.S.C. 1416(b).

**Lead Agencies are to provide information, as instructed, in the following section of the SPP Template:**

#### Overview of State Performance Plan Development:

- Provide a description of the process the Lead Agency used to develop the SPP. The description must include how the Lead Agency:
  - Obtained 'broad input' from stakeholders (including the State's Interagency Coordinating Council); and
  - Will disseminate the SPP to the public.

**Information found in the following sections of the SPP Template is provided by the Secretary:**

#### Monitoring Priority:

- A prioritized area in which Lead Agency and EIS programs' performance is measured. Monitoring priorities are determined by the Secretary.

#### Indicator:

- A statement used to help quantify and/or qualify a monitoring priority. Indicators are determined by the Secretary.

#### Measurement:

- Specific measures, determined by the Secretary and in designated cases by the Lead Agency, used to quantify or qualify given indicators. Measurements are determined by the Secretary or in designated cases by the Lead Agency.

**Lead Agencies are to provide information, as instructed, in the following sections of the SPP Template:**

#### Overview of Issue/Description of System or Process:

- Provide an overview or description of the issue (e.g., Child Find/Public Awareness) or system (e.g., monitoring).

#### Baseline Data:

- Provide baseline data using the measurements provided by the Secretary or as determined by the Lead Agency.

#### Discussion of Baseline Data:

- Provide clarification needed in regard to the baseline data.

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### FFY:

- Indicate the federal fiscal year (FFY) period for which data are being reported.

### Measurable and Rigorous Target:

- Designate, for each indicator, the desired level of performance to be reached for each specified FFY.
- Targets for Indicators 1, 7, 8A, 8B, 8C, 9, and 14 cannot be less than 100%.

### Improvement Activities/Timelines/Resources:

- Describe how the Lead Agency will improve performance for each indicator, including activities, timelines, and resources.

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### III. Annual Performance Report

The State Annual Performance Report is to be submitted annually in accordance with 20 U.S.C. 1416(b)(2)(C)(ii)(II) and 1442. The State shall report annually to the public on the performance of each EIS program located in the State on the targets in the State's performance plan. The State shall report annually to the Secretary and the public on the performance of the State under the State's performance plan.

**Lead Agencies are to provide information, as instructed, in the following section of the APR Template:**

#### Overview of the Annual Performance Report Development:

- Provide a description of the process the Lead Agency used to develop the APR. The description must include how and when the Lead Agency will report annually to the public on the:
  - Progress and/or slippage in meeting the 'measurable and rigorous targets' found in the SPP;<sup>3</sup> and
  - Performance of each EIS program located in the State on the targets in the SPP.

**Information found in the following sections of the APR Template is provided by the Secretary:**

#### Monitoring Priority:

- A prioritized area in which Lead Agency and EIS programs' performance is measured. Monitoring priorities are determined by the Secretary.

#### Indicator:

- A statement used to help quantify and/or qualify a monitoring priority. Indicators are determined by the Secretary.

#### Measurement:

- Specific measures, determined by the Secretary and in designated cases by the Lead Agency, used to quantify or qualify given indicators. Measurements are determined by the Secretary or in designated cases by the Lead Agency.

<sup>3</sup> As part of OSEP's effort to reduce the reporting burden for States, in the FFY 2012 APR, States: (1) are not required to provide an explanation of: a) progress; b) no change in actual target data from the data for FFY 2011; or c) slippage if the State meets its target; (2) are not required to discuss improvement activities for: a) compliance indicators where the State reports 100% compliance for FFY 2012; and (b) results indicators where the State has met its FFY 2012 target; and (3) may provide one set of improvement activities for the entire APR as long as the improvement activities are indexed back to reference the relevant indicators.

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**Lead Agencies are to provide information, as instructed, in the following sections of the APR Template:**

**FFY:**

- Indicate the federal fiscal year period for which data are being reported.

**Measurable and Rigorous Target:**

- Designate, for each indicator, the desired level of performance to be reached for the specified FFY.

**Actual Target Data for** *(Insert FFY):*

- Provide the actual target data for the given indicator.

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### **Discussion of Improvement Activities Completed and Explanation of Progress or Slippage that occurred for** *(Insert FFY):*

- Analyze data to form a basis for this discussion. Describe the improvement activities implemented during the FFY and progress on meeting the targets. Describe any slippage, e.g., lack of progress on the target, improvement activities not completed, etc., that has occurred and how the State plans to address the slippage through adjustments or improvements made in State programs, policies, or practices. Provide an explanation of performance data in this section, if needed.
- Provide detailed information about the timely correction of noncompliance as noted in OSEP's review of the previous APR. If the State did not correct the previous noncompliance, provide information regarding the nature of the continuing noncompliance, improvement activities completed (e.g., review of policies and procedures, technical assistance, training, etc.) and any enforcement actions that were taken.
- The Lead Agencies shall not report to the public or the Secretary any information on performance that would result in the disclosure of personally identifiable information about individual children or where the available data is insufficient to yield statistically reliable information, i.e., numbers are too small.

### **Revisions, with Justification, to Proposed Targets / Improvement Activities / Timelines / Resources for** *(Insert FFY):*

- Provide information on revised targets, activities, timelines or resources. This information should include the State's revisions to the SPP and justification for the revisions. Revisions to targets, activities, timelines or resources do not relieve the State of its responsibility to provide "Actual Target Data" for the given year.

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### IV. Related Requirements

This document includes a list of the Monitoring Priorities and Indicators and the requirements from the statutes and regulations that are related to each Priority and Indicator. The purpose of this document is to inform States of the statutory and/or regulatory requirements related to each Indicator that will be reviewed by OSEP as part of Focused Monitoring. That is, if OSEP determines that it will do Focused Monitoring in a State because that State is low performing on, or in noncompliance with, a specific indicator, OSEP will review the Related Requirements for that Indicator as part of the Focused Monitoring. OSEP encourages States to examine their general supervision systems to determine how they address these Related Requirements. Note that, because all States were required to implement, during FFY 2012, the IDEA Part C Regulations published in 76 *Federal Register* 60140 on September 28, 2011 (IDEA Part C Final Regulations), this document is based on the requirements in the regulations as set forth in the IDEA Part C Final Regulations published on September 28, 2011.