

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

General Instructions

Information Collection 1820-0578, *Part C State Performance Plan (SPP)/ Annual Performance Report (APR)*, contains both Part C SPP and Part C APR instructions. States are encouraged to make note of the due date and implement a development schedule accordingly:

By February 2, 2015, States must submit:

- 1) One Report that includes both SPP and APR information.
- 2) An introduction, with sufficient detail so that the Secretary and the public are informed of and understand the State's systems designed to drive improved results for infants and toddlers with disabilities and to ensure that the Lead Agency meets the requirements of IDEA Part C. This introduction must include descriptions of the State's:
 - a. General Supervision System: The systems that are in place to ensure that IDEA Part C requirements are met, e.g., monitoring, dispute resolution, etc.;
 - b. Technical Assistance System: The mechanisms that the State has in place to ensure the timely delivery of high quality, evidenced based technical assistance and support to early intervention service (EIS) programs;
 - c. Professional Development System: The mechanisms the State has in place to ensure that service providers have the skills to effectively provide services that improve results for infants and toddlers with disabilities and their families;
 - d. Stakeholder Involvement: The mechanism for soliciting broad stakeholder input on targets in the SPP and the development and implementation of Indicator 11: State Systemic Improvement Plan (SSIP); and
 - e. Reporting to the Public: How and where the State reported to the public on the FFY2012 performance of each EIS program located in the State on the targets in the SPP/APR as soon as practicable, but not later than 120 days following the State's submission of its FFY 2012 APR as required by 34 CFR §303.702(b)(1)(i)(A); and a description of where, on its Web site, a complete copy of the State's SPP, including any revision if the State has revised the SPP that it submitted with its FFY 2012 APR in 2014 is available.
- 3) Baseline data for Indicator 11.
- 4) Targets for Indicators 1-10, determined with stakeholder input, that cover the years of the SPP (i.e., FFY 2013 through FFY 2018). Targets for Indicator 11, which cover FFY 2014-FFY 2018.¹
- 5) Data from FFY 2013 and other responsive APR information for all indicators.²
- 6) An explanation of slippage in indicators where the State did not meet its FFY 2013 target.
- 7) The specific content required to complete Phase I of the SSIP required by Indicator 11. Phase I includes a detailed analysis that will guide the selection of coherent improvement strategies to increase the State capacity to lead meaningful change in EIS programs related to the State-identified measurable result for infants and toddlers with disabilities. (See Indicator 11 for specific content of Phases II and III of the SSIP, which must be included with the States' FFY 2014 through FFY 2018 SPP/APRs.):
 - a. Data Analysis
 - b. Analysis of State Infrastructure to Support Improvement and Build Capacity

¹ As noted in the conference report to HR 1350, it is Congress' expectation that targets will be developed with broad stakeholder input and will be disseminated to the public.

² Previous Indicator 9 (Timely Correction) and Indicator 14 (Timely and Accurate Data) have been removed. Consequently, the indicators have been renumbered.

- c. State-identified Measureable Result(s) for Infants and Toddlers with Disabilities
 - d. Selection of Coherent Improvement Strategies
 - e. Theory of Action
- 8) Information to address any required actions identified in OSEP's letter responding to the State's February 3, 2014 submission of its FFY 2012 APR.

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

SPP/APR Materials –

- SPP/APR Instructions
- Part C Indicator Measurement Table with Instructions

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.³

States may add indicators there are additional areas that the State wishes to track and measure. If additional indicators are added, the State is to include a data source, measurement, and calculation for each indicator added. In addition, the State must include the targets and data to address its performance against the targets the State establishes for those additional indicators.

Sampling

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 or developmental delay), 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 are 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 period of FFYs 2013 - 2018. 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.

If a State will use its currently-approved sampling plan and only change the years for which it is used, the State can provide an assurance to this effect. If a State proposes to use a sampling plan that was not previously used/approved or will revise its current sampling plan, the State will need to submit the sampling plan for approval.

Reporting Baseline Data and Targets for Indicator 11

³ Lead Agencies are not required to provide the actual numbers for Indicators 2, 5, 6, 9, and 10 because they are using 618 State-reported data for these Indicators.

The State must report baseline data for FFY 2013 and measurable and rigorous targets for FFY 2014 through FFY 2018 for Indicator 11 in its FFY 2013 SPP/APR due February 2, 2015. The baseline data and targets must be aligned to the State-identified Measurable Result(s) for Infants and Toddlers with Disabilities.

Submission

The State must submit its SPP/APR electronically through OSEP's online submission tool.

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

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 1,000 hours maintaining and completing the SPP/APR. These times such things as reviewing instructions, searching any existing data sources, gathering needed data, analyzing collected data, implementing improvement activities, and completing and reviewing the information collection. The obligation to respond to this collection is mandatory (20 U.S.C. 1400, Individuals with Disabilities Education Act). 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., S.W., Washington, D.C. 20202-4536 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1820-0578. Note: Please do not return the completed Part C SPP/APR to this address.