State

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

I. General Instructions

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 is divided into three sections: 1) General Instructions (SPP/APR (1) and SPP/APR (2)); 2) State Performance Plan (SPP Template – Part C (3)); and 3) Annual Performance Report (APR Template – Part C (4)). Lead Agencies (LA) are encouraged to make note of the following due dates and implement a development schedule accordingly: 1) SPP submission date – December 2, 2005; and 2) APR submission date – February 1, 2007 through 2012.

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 below.)
- Part C Indicator/Measurement Table with Instructions[1]
- Attachment 1: Dispute Resolution – Complaints, Mediations, Resolution Sessions, and Due Process Hearings Baseline/Trend Data [Monitoring Priority: Effective General Supervision Part C – General Supervision (Indicators 10, 11, 12, and 13)]
- SPP Template

APR Materials –

- APR Instructions (See Section III below.)
- 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. Therefore, the State must provide information in the Overview to State Performance Plan Development to clarify how the State: 1) Obtained 'broad input' from stakeholders; and 2) Will disseminate the SPP to the public. The State will provide information in the overview of Annual Performance Report development to clarify how the State: 1) Will report annually to the public on the progress and/or slippage in meeting the 'measurable and rigorous targets' found in the SPP; and 2) Will report annually to the public on the performance of each early intervention service program[2] (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.[3] In examining data, Lead Agencies are encouraged to use the strategies and questions provided in the *Using Data to Guide Improvement Efforts: Data Analysis* workshop. These questions can be accessed at http://www.ed.gov/policy/speced/guid/idea/capr/index.html

[1] 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 priorties, indicators, and measurements can be found at http://www.ed.gov/policy/speced/guid/idea/capr/index.html

[2] Early intervention service program (EIS program) means an entity or an individual that provides early intervention services or other services under Part C in the State (whether or not the entity or individual receives Federal Part C funds). Entities can include public, private or non-profit contractors or governmental entities that provide or fund early intervention services through interagency or interagency agreements with the Lead Agency or through other methods.

[3] Lead Agencies are not required to provide the actual numbers if they are using percentages from the 618 data that have been previously calculated and are presented on IDEADATA.org.

For all indicators labeled as a "New Indicator", a Lead Agency is to indicate, in the SPP, how data are to be collected so that the LA will be able to report related baseline data and targets in the February 1, 2007 APR.

Lead Agencies may add indicators if there are additional areas that the Lead Agency wishes to track and measure. If additional indicators are added the Lead Agency is to include a data source, measurement, and calculation for each indicator added.

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., population description, sample size). 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. 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 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 every six years. 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.

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
ATTN: Gwendolyn A. Gage / Mail Stop 2600
7100 Old Landover Road
Landover, MD, 20785-1506

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 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 SPP and/or APR and/or the submission options listed above, please contact your Part C State contact.

II. State Performance Plan (SPP)

The State Performance Plan (FFY 2005-2010) is to be submitted no later than December 2, 2005. The SPP is to be reviewed by the State at least once every six years. The Secretary shall review each SPP. A SPP shall be 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, 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; 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.[4]

Discussion of Baseline Data:

[4] Lead Agencies are not required to provide baseline data for indicators designated as "new"" until the FFY 2005 APR submission due on February 1, 2007. New Indicators are 3, 4, and 12. In the SPP, Lead Agencies must describe how they will collect data for setting baseline in the FFY 2005 APR due on February 1, 2007.

- Provide clarification needed in regard to the baseline data.

FFY:

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

Measurable and Rigorous Target:

- Designate, for each indicator, the desired level of performance to be reached for each specified federal fiscal year (FFY).
- Targets for new indicators (3, 4 and 12) are due in the FFY 2005 (2005-2006) APR due February 1, 2007.
- Targets for Indicators 1, 7, 8, 9, 10, 11, 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.

Lead Agencies are to provide information, as instructed, in Attachment 1: *Report of Dispute Resolution Under Part C of the Individuals with Disabilities Education Act – Complaints, Mediations, Resolution Sessions, and Due Process Hearings*

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 first APR will be due February 1, 2007. 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 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; and
  - Will report annually to the public on the 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.

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

FFY:

- Indicate the federal fiscal year on 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.

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.
- 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 to achieve the targets, timelines, and resources. If the actual target data show that the indicator is at acceptable levels provide strategies used to maintain these acceptable levels.