

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

General Instructions

Each State is required to submit their FFY 2019 SPP/APR Part C Indicators 1-10 by February 1, 2021 and Indicator 11 by April 1, 2021.

Each State's FFY 2019 SPP/APR must include:

- 1) An introduction, with sufficient detail to ensure 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 their families and to ensure that the Lead Agency and early intervention service programs meet the requirements of Part C of the IDEA. This introduction must include descriptions of the State's:
 - a. General Supervision System: The systems that are in place to ensure that the 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, evidence-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 mechanisms for soliciting broad stakeholder input on the State's targets in the SPP/APR and any subsequent revisions that the State has made to those targets, and the development and implementation of Indicator 11, the State's Systemic Improvement Plan (SSIP); and
 - e. Reporting to the Public: How and where the State reported to the public on the FFY 2018 performance of each EIS program located in the State on the targets in the SPP/APR as soon as practicable, but no later than 120 days following the State's submission of its FFY 2018 SPP/APR, as required by 34 C.F.R. § 303.702(b)(1)(i)(A); and a description of where, on its website, a complete copy of the State's SPP/APR, including any revisions, if the State has revised the targets that it submitted with its FFY 2018 SPP/APR in 2020, is available.¹
- 2) Baseline data for Indicators 1 through 11. If the State is proposing to revise its baseline data for an indicator, it must provide an explanation for that revision.
- 3) Targets for Indicators 1 through 10, for each year and that cover the years of the SPP (*i.e.*, FFY 2013 through FFY 2019), and targets for Indicator 11, which cover FFY 2014 through FFY 2019. In setting its targets for FFY 2019, the State must describe its stakeholder input process. The State must also describe its stakeholder input process if the State is revising any of the targets it submitted with its FFY 2019 SPP/APR submission. End targets for Indicators 1 through 11 must show improvement over baseline data.
- 4) Data from FFY 2019 and other responsive SPP/APR information for Indicators 1 through 11.
 - a. If data collection for any indicator was impacted specifically by COVID-19, the State must include in the narrative: (1) the impact on data completeness, validity and reliability for the indicator; (2) an explanation of how COVID-19 specifically impacted the State's ability to collect the data for the indicator; and (3) any steps the State took to mitigate the impact of COVID-19 on the data collection. This must be completed for each indicator for which data collection was impacted by COVID-19.

¹ In accordance with 20 U.S.C. 1416(b)(2)(C)(ii)(I) and 1442 and 34 C.F.R. § 303.702, each State must also report annually to the public on the performance of each early intervention program located in the State on the targets in its Part C SPP/APR as soon as practicable, but no later than 120 days following the State's submission of its Part C SPP/APR to the Secretary.

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- 5) The reasons for slippage in indicators where the State did not meet its FFY 2019 target.
- 6) In addition to the Phase I content that States were required to submit in 2015, the Phase II content that States were required to submit in 2016, and the Phase III content that States were required to submit in 2017 through 2020, the State must include the specific content required to complete Phase III of the SSIP required by Indicator 11, as well as any updates to previous Phase I, II, and III submissions. The specific content required to complete Phase III of the SSIP includes:
 - a. Data Analysis;
 - b. Phase III Implementation, Analysis and Evaluation;
 - c. Stakeholder Engagement; and
 - d. Additional Implementation Activities.
- 7) Information to address any actions required by OSEP's response to the State's FFY 2018 SPP/APR, including actions related to the correction of findings of noncompliance identified by the State.

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, States are required to provide actual numbers used in the calculations.²

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) 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: (a) response rates; (b) missing data; and (c) 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 - 2019. 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 must submit the sampling plan for approval.

Submission

The State must submit its Part C SPP/APR electronically through the SPP/APR reporting platform. If you have any questions about the Part C SPP/APR and/or the submission procedures listed above, please contact your Part C State Lead.

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

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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. The valid OMB control number for this information collection is 1820-0578. It is estimated that respondents will spend approximately 1,100 hours completing the SPP/APR. These times include such things as reviewing instructions, searching any existing data resources, gathering needed data, analyzing collected data, and completing and reviewing the collection of information. The obligation to respond to this collection is mandatory (20 U.S.C. 1400, IDEA). 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 20202-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1820-0578. Note: Please do not return the completed SPP/ APR to this address.