**[State] Part C Document Request**

**Issued [Date], for [Month of Engagement] Engagement**

**The Office of Special Education Programs (OSEP) has developed this document request to assist your State in identifying documentation that will demonstrate how the State carries out its general supervision responsibilities under the Individuals with Disabilities Education Act (IDEA). This document request outlines the type of information that will assist OSEP in gaining a better understanding of your State’s general supervision system, including specific examples of documentation that OSEP has found helpful when evaluating States’ systems across the various monitoring components.**

**OSEP does not expect the State to have documents that are responsive for each example. We hope that providing examples of the multiple types of documents OSEP has found helpful in understanding a State’s general supervision system will be helpful as your State prepares for OSEP’s differentiated monitoring and support (DMS) review. Please note that the document request does not represent an exhaustive list of documentation a State may wish to provide; States may have alternative names for documents or alternate documents that will satisfy the requested item. If the State has other documents that would be relevant in demonstrating the State’s general supervision practices, OSEP encourages the State to include those in their file sharing.**

**OSEP expects the State to submit documents by the END of the month the document request is issued. Please do not hesitate to reach out to your State Lead if you have questions or need additional clarification regarding this request.**

**Link to State Website:**

**Table of Contents**

[Monitoring and Improvement 2](#_Toc163571114)

[Data 6](#_Toc163571115)

[Fiscal Part C 9](#_Toc163571116)

[Dispute Resolution: Mediation 11](#_Toc163571117)

[Dispute Resolution: State Complaints 12](#_Toc163571118)

[Dispute Resolution: Due Process 15](#_Toc163571119)

# Monitoring and Improvement

| **Monitoring and Improvement Documents** | **Name of document uploaded (with link to SharePoint file/folder), link to location on State website, or indicate “Not Applicable”** |
| --- | --- |
| Monitoring procedures and manuals |  |
| **Actual Comprehensive Monitoring Cycle** Include names of all the early intervention services (EIS) programs/providers in the State that have been monitored, including any targeted reviews that occurred in the previous three years and the dates monitored.  Also, include when and how additional agencies were monitored such as: State Departments of Health and Rehabilitative Services, State Departments of Mental Health, Institutes for the Deaf and Blind, Easter Seals, or any other entity or group implementing Part C in the State (regardless of whether the programs and providers receive Federal IDEA Part C funds) |  |
| **Samples of documents completed from three EIS programs/providers monitored in the past three years**  **(Federal Fiscal Year (FFY) 2021, FFY 2022, FFY 2023)** | |
| * Letter of notification to EIS program/provider regarding the State’s monitoring activity |  |
| * Data file or information that the State used to evaluate the EIS program’s/provider’s compliance with IDEA (child -specific and systemic). | **Examples of data or information used could include:**   * On-site visit agendas * Self-Assessment completed by the EIS program/provider * Notes from interviews with parents * Notes from interviews with local staff * Notes from any observations completed (classroom or provider) * Notes from classroom or site walkthroughs |
| * Finalized letter/report to the EIS program/provider after monitoring activity is completed |  |
| * Actual evidence and examples (documents and data) reviewed that the EIS program/provider must produce to demonstrate that correction of noncompliance has occurred:   + Child-specific compliance   + Systemic compliance | **Examples of data or information used could include if applicable:**   * Populated CAPs which include timelines and activities * Data files demonstrating child-specific correction * Trainings or other activities completed by the EIS provider or program related to the area of finding * Memorandums or other documents the State uses as a part of their correction process |
| * Tracking tool or other mechanism used to track the status of correction for identified findings |  |
| * Noncompliance close-out letter to the EIS program/provider |  |
| **Examples of how each of the following are monitored (populated record review forms, protocols, or other documents) from EIS programs/providers that were monitored in the last three years**  **(FFY 2021, FFY 2022, FFY 2023)** | |
| * Parent receipt of procedural safeguards |  |
| * Eligibility and reevaluations |  |
| * C to B transition |  |
| **Examples of how each of the following program improvement areas from EIS programs/providers that were monitored in the last three years**  **(FFY 2021, FFY 2022, FFY 2023)** | |
| * Services in the natural environment |  |
| * Early childhood outcomes |  |
| * Family outcomes |  |
| **Annual Determination Letters issued from the State to its EIS program for the previous three years** | |
| * Annual determination letter |  |
| * Evidence and examples (documents and data) reviewed that the State used when making its annual determinations to include:  1. performance on compliance indicators; 2. valid and reliable data; 3. correction of identified noncompliance; and 4. other data available to the State about the EIS program’s compliance with IDEA, including any relevant audit findings. |  |
| **Example of targeted monitoring (i.e., a monitoring activity that occurs outside of the State’s normal monitoring cycle to address emerging or new issues, and typically is limited in scope) (if applicable).** | |
| * Policies and procedures related to targeted monitoring (if included in larger monitoring manual, indicate page or section) |  |
| * Letter of notification of the targeted monitoring activity |  |
| * Evidence and examples (documents and data) reviewed which led to the targeted monitoring activity | **Examples of data or information used could include:**   * Fiscal contracts or other relevant financial information * State customer service information * Administrative or judicial decisions * Media reports * Previous EIS program or provider self-reviews or self-assessments * Document submissions * Any other relevant EIS program or provider monitoring information. |
| * Finalized letter/report to the EIS program/provider after the targeted monitoring activity completed |  |

# Data

| **Data Documents** | **Name of Document uploaded (with link to SharePoint file/folder), link to location on State website, or indicate “Not Applicable”** |
| --- | --- |
| **OSEP Required Documents to Review** |  |
| Data user guide/manual lead agency ((LA) and/or local program) |  |
| Business rules documentation |  |
| Standardized training materials (LA and/or local program) |  |
| Data monitoring protocols (LA and/or local program) |  |
| Data collection/reporting calendar |  |
| **Copy of data file or information that the State uses to evaluate EIS program or provider compliance with IDEA specific to the State Performance Plan/Annual Performance Report** **(SPP/APR) compliance indicators (child specific and systemic)** | |
| * Part C Indicator 1 (Timely services) |  |
| * Part C Indicator 7 (Natural environments) |  |
| * Part C Indicator 8A, 8B, 8C (Part C early childhood transition) |  |
| **Data file or information that the State uses to evaluate the representativeness of EIS program or provider data for results indicators** | |
| * Part C Indicator 4 (Family Outcomes) |  |
| Public Input process, including activities carried out to obtain input and build capacity of a diverse group of parents to support the implementation activities designed to improve outcomes. | **Examples of data or information used to obtain input could include:**   * Target setting * Analyzing data * Developing improvement strategies * Evaluating progress |
| Evidence of how the State uses data to identify any trends or patterns within its system related to equity, including ensuring equitable access to high-quality early intervention services (Part C) and how this information is used to determine steps to improve outcomes. |  |
| **Reference Documents/No State Response Required** | |
| Section 618 Data Collection Requirements |  |
| Section 618 Data Quality Reports |  |
| Section 616 State Performance Plan/Annual Performance Report (SPP/APR) Measurement Table/Reporting Requirements |  |
| Results Driven Accountability Matrix |  |
| State Data Displays |  |
| Section 616 SPP/APR |  |

# Fiscal Part C

| **Fiscal Documents: Part C** | **Name of Document uploaded (with link to SharePoint file/folder), link to location on State website, or indicate “Not Applicable”** |
| --- | --- |
| Organizational chart, including which offices are responsible for fiscal monitoring of Part C program |  |
| Current fiscal monitoring policies and procedures (e.g., fiscal monitoring manuals, fiscal monitoring protocols, self-assessments) |  |
| If applicable, proposed fiscal monitoring policies and procedures (e.g., fiscal monitoring manuals, fiscal monitoring protocols, self-assessments) |  |
| Policies and procedures for contracting or making other arrangements (e.g., Memoranda of Understanding, Inter-agency agreements, etc.) with public agencies or service providers that provide early intervention services |  |
| Executed contracts (3-5 examples) with EIS programs or providers |  |
| Executed agreement(s) other than contracts with EIS providers, including agencies, vendors, institutions, and organizations providing IDEA Part C services |  |
| Methods to ensure the provision of, and financial responsibility for, Part C services |  |
| The State’s system of payments policy |  |
| Fiscal monitoring cycle, if applicable (chart and/or description) |  |
| Policies and procedures for the timely reimbursement of Part C funds pursuant to [34 C.F.R. § 303.122](https://www.ecfr.gov/current/title-34/subtitle-B/chapter-III/part-303/subpart-B/subject-group-ECFR8b0af1d9e085a1a/section-303.122). |  |
| If applicable, risk assessment policies and procedures, risk rubrics, sample risk assessments used to determine which EIS programs will be monitored. |  |
| If applicable, copies of subaward notifications (GANs) issued to EIS programs. |  |
| Fiscal data system procedures/screenshots, demonstrating the system’s capacity for monitoring of funds for the Part C program. |  |
| Monitoring reports or letters that include IDEA-related and/or cross-cutting fiscal monitoring for EIS programs for prior three years (FFY 2021, FFY 2022, FFY 2023). |  |
| Corrective Action Plans or other evidence of correction of fiscal findings of noncompliance. |  |
| Letters closing out IDEA-related and/or cross-cutting fiscal monitoring findings for EIS programs for prior three years (FFY 2021, FFY 2022, FFY 2023) |  |
| Prior approval policies and procedures. |  |
| Policies or procedures related to the use of private/public insurance, including forms or other documents used to provide written notification to parents, obtain parent consent for the Lead Agency or EIS program or provider to use the parent’s private/public insurance, etc. |  |

# Dispute Resolution: Mediation

| **Mediation** | **Name of Document uploaded (with link to SharePoint file/folder), link to location on State website, or indicate “Not Applicable”** |
| --- | --- |
| Prior written notice and Procedural safeguards notice:  34 C.F.R. §§ 303.404 and 303.421 for Part C |  |
| Policies and procedures related to mediation |  |
| State-imposed rules, regulations, or requirements for mediation |  |
| Any supplemental guides or Q & A documents the State has developed to provide guidance to the public related to dispute resolution activities |  |
| Any forms or instructions the State provides to parents and EIS programs/providers to request mediation |  |
| Description of how the mediation system is established in the State |  |
| Evidence of training provided to mediators |  |
| Reference Documents/No State Response Required | |
| SPP/APR submission for C-10 (Part C) (Percent of mediations that resulted in mediation agreements) |  |

# Dispute Resolution: State Complaints

| **State Complaints** | **Name of Document uploaded (with link to SharePoint file/folder), link to location on State website, or indicate “Not Applicable”** |
| --- | --- |
| Description of how the State complaint system is established in the State |  |
| Procedural safeguards notice |  |
| State-imposed rules, regulations, or requirements for State complaints |  |
| Evidence of State complaint decisions that address allegations of systemic noncompliance |  |
| Evidence of the State’s process for enforcing or implementing State complaint decisions that address systemic noncompliance |  |
| Any forms or instructions the State provides to assist individuals and organizations to file a State complaint |  |
| Policies and procedures related to the resolution of State complaints |  |
| Any supplemental materials or guides the State has developed to explain the State complaint process to parents and other interested parties |  |
| Log of correspondence filed as IDEA State complaints for the three years prior to OSEP’s DMS monitoring. Include the following information in the State’s log:   * Date the State received the correspondence; * Complainant type (e.g., parent, advocate, family member, attorney, etc.); * Status of the complaint (e.g., resolved, withdrawn by the complainant, dismissed by the State, pending); * If resolved, the date of the State’s final decision on the allegations in the complaint; * If the 60-day timeline for resolution was extended, reason for the extension; * If resolved, the status of any required corrective action (e.g., open, closed, not applicable); and * If dismissed by the State, the date and reason for the dismissal |  |
| Description of the State’s mechanism for tracking State complaint timelines |  |
| Sample of prior written notice |  |
| Sample of State complaints |  |
| Evidence of the State’s processing and resolution of State complaints (from start to finish) |  |
| Examples of correspondence that was submitted as State complaints that the LA dismissed, along with the State’s response to the complainant |  |
| If available on the State website, LA State complaint decisions |  |
| Any supplemental guides or Q & A Documents the State has developed to provide guidance to the public related to the differences in the State complaint and due process procedures |  |
| **Reference Documents/No State Response Required** | |
| The State’s IDEA Section 618 dispute resolution data (at least three years’ worth of data) |  |

# Dispute Resolution: Due Process

| **Due Process Complaints** | **Name of Document uploaded (with link to SharePoint file/folder), link to location on State website, or indicate “Not Applicable”** |
| --- | --- |
| Procedural safeguards notice |  |
| Description of how the due process system is established in the State:   * The State should specify if they have adopted the Part C or Part B due process procedures; and * If the State has adopted the Part B due process procedures, specify if the State implements a one- or two-tier due process hearing system |  |
| State-imposed rules, regulations, or requirements for the State’s due process system |  |
| If the State has adopted:   * The Part C due process procedures, any forms or instructions the State provides to assist parents in filing a due process complaint * The Part B due process procedures, any forms or instructions the State provides to assist parents, EIS providers, or the LA in filing a due process complaint) |  |
| Policies and procedures related to due process complaints and due process hearings |  |
| If available on the State website, LA due process decisions |  |
| Outline of the State’s process for resolving IDEA due process complaints, including assigned roles and responsibilities, including financial responsibility for costs associated with the due process hearing |  |
| Memoranda of Understanding (MOU), contracts, or other documents executed between the State and any entity responsible for implementing the IDEA’s due process hearing requirements |  |
| Evidence of the State’s processing, and resolution of, due process complaints (from start to finish) |  |
| If available on the State website, due process hearing decisions |  |
| Any supplemental guides or Q & A Documents the State has developed to provide guidance to the public related to dispute resolution activities |  |
| Training provided to hearing officers |  |
| MOU or other agreement between the State and hearing officers |  |
| Description of how the State’s due process system is established in the State under a one-tier system:   * If the State has adopted a one-tier due process hearing system, the LA is responsible for conducting the due process hearing. |  |
| *For States that adopt Part B procedures and implement a two-tier system*  Description of how the State’s due process system is established in the State under a two-tier system:   * If the State has adopted a two-tier due process hearing system, the lead agency directly responsible for the early intervention services of the infant or toddler, as determined under State statute, State regulation, or a written policy of the LA is responsible for conducting the due process hearing, and a party aggrieved by the decision has the right to appeal to the LA. |  |
| Any Memoranda of Agreement or contracts with the entity responsible for conducting the hearings |  |
| **Reference Documents/No State Response Required** | |
| The State’s IDEA section 618 dispute resolution data (for a minimum of three years’ data) |  |