Parts B and C—Data and SPP/APR Protocol

(Protocol retrieved May 5, 2022, from the U. S. Department of Education Individuals with Disabilities Education Act (IDEA) website [https://sites.ed.gov/idea/grantees/#DMS,DMS-2]. Note specific text encased in black boxes by IDC for purposes of this presentation only.)
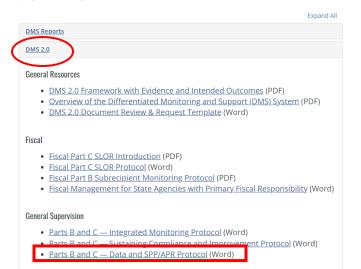
Navigation for Protocol

Source: https://sites.ed.gov/idea/grantees/

PART B/C
DATA

OVERVIEW

In 2016, OSEP began providing differentiated monitoring and support (DMS) to States as part of its Results Driven Accountability (RDA) system under Parts B and C of the Individuals with Disabilities Education Act (IDEA). Under RDA, OSEP made a shift from monitoring based solely on compliance with IDEA requirements to monitoring and support focused on both compliance and improving results for infants, toddlers, children with disabilities referred to and/or served under the IDEA (collectively referred to as children with disabilities). OSEP differentiates its approach for each State based on the State's unique strengths, challenges, and needs. Beginning in Federal fiscal year (FFY) 2021, Part B and Part C programs in States will be monitored by OSEP in a five-year cycle. OSEP will monitor all States[1] on their general supervision systems. OSEP will continue to provide support and technical assistance that is differentiated based on each State's unique strengths, challenges, and needs.

IMPLEMENTATION

OSEP's monitoring of each State will be conducted in three (3) phases:

1. **Phase 1: Document Request and Protocol Interviews**: The OSEP monitoring team will begin working with the State to prepare for the Phase 2 visit. Phase 1 will occur 5 months prior to the Phase 2 on-site/virtual visit. The OSEP monitoring team will review all publicly available information prior to working with the State.
    *   **5 months prior to the Phase 2 visit** OSEP will send a document request for relevant information we have not found in our initial research. Please refer to the suggested documents listed below for an initial list of the information we are seeking.
    *   **4 months prior to the Phase 2 visit** OSEP will conduct targeted interviews with State staff on the component-specific protocols.[2]
2. **Phase 2: On-site/Virtual Visit through issuing of the Monitoring Report**: Based on information collected during the Phase 1 work, OSEP will develop an agenda for the on-site/virtual visit focusing on the issues that require further exploration, deeper looks or additional discussions.
3. **Phase 3: Close-out and Follow-up**: In the year following the on-site visit, the OSEP State Lead will work with the State to ensure correction of any remaining outstanding findings, provide technical assistance, and support, and discuss progress in improving identified results areas.

The protocols are developed and organized in the following way—

Question: Overarching area and question related to the monitoring component.

General Information: A listing of statements about what the State would need to effectively answer the question.

Possible Follow-up Questions: Questions designed to more closely examine areas addressed by the General Information. The questions included within this section are examples of what may be asked; OSEP may ask additional questions that are not listed to ensure understanding.

Areas (or issues) for Follow-up: Issues which could: 1) result in findings of noncompliance if verified, or areas of concern that may not rise to the level of a finding of noncompliance but require follow-up; 2) lead to a finding of noncompliance if the State does not have a process or procedure to meet the Basic Requirement; or 3) be areas that suggest the need for technical assistance or further discussion.

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[1] The State educational agency (SEA) is responsible for implementing Part B of the IDEA and the State lead agency (SLA) is responsible for implementing Part C of the IDEA in the State. Both the SEA and SLA respectively must exercise general supervision over the programs and activities used to implement IDEA requirements in the State (regardless of whether Federal IDEA funds are provided to such programs and activities). 20 U.S.C. Sections 1416(a)(3), 1435(a)(10), 1437(a)(1) and 1442 and 34 C.F.R. §§ 303.120(a) and 303.700(b) for IDEA Part C. 20 U.S.C. Sections 1412(a)(11) and 1416(a)(3) and 34 C.F.R. §§ 300.149 and 300.600 for IDEA Part B.

[2] OSEP's monitoring protocols identify a framework of applicable IDEA statutory and regulatory requirements. They are neither intended as questionnaires nor as forms for States to complete. Rather, OSEP will conduct its IDEA monitoring based on State-specific circumstances and the conversation with States will be guided by the information both provided by the State and information that is publicly available to help OSEP determine how States are implementing IDEA requirements and where there may be a need for additional technical assistance or other support.

DATA (Data System/Section 616 and Section 618 Data):

Does the State have a data system that is reasonably designed to collect and report valid and reliable data and information to the Department and the public in a timely manner and ensure that the data collected and reported reflect actual practice and performance?

Component: DATA SYSTEM—A data system designed to ensure that the data collected and reported are valid and reliable and that information is reported to the Department and the public in a timely manner. The data system will inform and focus a State's improvement activities as well as verifying that the data collected and reported reflect actual practice and performance.

Suggested Documents to Review (not exhaustive):

- *Reference Documents (OSEP documents already available)*

  o *Section 618 Data Collection Requirements*
  o *Section 618 Data Quality Reports*
  o *Section 616 State Performance Plan/Annual Performance Report (SPP/APR) Measurement Table/Reporting Requirements*
  o *RDA Matrix*
  o *State Data Displays*

- *State Documents (publicly available)*

  o *Section 616 SPP/APR*
  o *Local educational agency (LEA)/early intervention service (EIS) provider public reports*

- **Documents to be provided to OSEP by the State**
  o *Data user guide/manual (SEA and/or local program)*
  o *Business rules documentation*
  o *Standardized training materials (SEA and/or local program)*
  o *Data monitoring protocols (SEA and/or local program)*
  o *Data collection/reporting calendar*

OVERARCHING QUESTIONS (details start on page 4)

A. Does the State have a system in place to collect valid and reliable data?
    34 C.F.R. §§ 300.600, 300.601, 300.640 through 300.645, 34 C.F.R. §§ 303.124, 303.700 through 303.704 and 303.720
    through 303.722; 20 U.S.C. 1416(a)(3), 1416(b)(2)(B), 1418(b), and 1442

B. Does the State have a system in place to report timely and accurate data?
    34 C.F.R. §§ 300.601; 300.602; 34 C.F.R. § 303.701; 303.702; 20 U.S.C. 1416(b), 1418, and 1442

C. How does the State use its data to analyze performance across SPP/APR indicators and other priority areas, with a focus
    on improving educational results and functional outcomes for all children with disabilities? Specifically, how does the
    State: 1) assess trends across the State; and 2) determine the specific needs of each local program?
    34 C.F.R. § 300.602; and 34 C.F.R. § 303.702; 20 U.S.C. 1416(b), 1418, and 1442

A. Does the State have a system in place to collect valid and reliable data?
34 C.F.R. §§ 300.600, 300.601, 300.640 through 300.645, 34 C.F.R. §§ 303.124, 303.700 through 303.704 and 303.720 through 303.722; 20 U.S.C. 1416(a)(3), 1416(b)(2)(B), 1418(b), and 1442

General Information
- The State must collect valid and reliable IDEA Part B/Part C Section 618 data
- The State must collect valid and reliable data for the IDEA Part B/Part C SPP/APR, as defined by Section 616
  Part B SPP/APR Indicators
  Part C SPP/APR Indicators
- The State has policies and procedures to collect data required under IDEA Part B/Part C Section 616 and Section 618 required data collections, including:
  - o assigned roles and responsibilities that establish decision-making authority and accountability for the State's IDEA data system(s)
  - o business rules/processes for documenting, recording, and communicating rules used during the collection and validation of IDEA data
  - o data quality and validation processes (e.g., edit checks, database format checks, field validation restrictions, import restrictions/checks) designed to support high quality data
  - o data security processes for accessing, storing, backing up, recovering, transferring, encrypting, and destroying data and preventing breach or loss
  - o communication mechanisms to share and disseminate information related to IDEA Section 616 and Section 618 data collection requirements at the State and local levels, including training and guidance/technical assistance
  - o processes to ensure that local programs are implementing policies and procedures consistent with IDEA Section 616 and Section 618 data collection requirements, including monitoring and oversight

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Possible Follow-up Questions (apply to both Section 616 and Section 618 data collections)
- What are the positions/titles and responsibilities of State staff (or contractors) involved in collecting IDEA data?
- Are there multiple data systems used to collect IDEA data in the State? If so, how does each of these systems function, and how is each of these systems connected?
- What documents outline each of the IDEA data collection requirements (including timelines, definitions, calculation methods, and data sources)?
- What documents outline business rules and data validation/quality procedures?
- How are IDEA data collection requirements (including timelines, definitions, calculation methods, data sources) communicated to State and local personnel? Specifically, is training required; is training standardized across the State; and how are State and local personnel notified of updates or changes?
- How are business rules/data validation/quality procedures communicated to State and local personnel? Specifically, is training required; is training standardized across the State; and how are State and local personnel notified of updates or change?
- What materials (e.g., written instructions, demonstration videos, templates) exist to help data submitters understand data collection requirements and associated policies and procedures, and how are those materials accessed?
- Describe how the State ensures that the IDEA Section 616 and Section 618 data it collects, including any data obtained from local programs and other offices/programs within the State, are valid and reliable. Specifically, how does the State assess the quality and accuracy of the Section 616 and Section 618 data collected from each data source?
- How does the State ensure data quality/data validation processes are consistent across different data collection systems and platforms?

- Are data quality reports run at the State level, and, if so, are the reports available to local programs?
- Who monitors data quality reports, and what is the process for ensuring that data quality issues are addressed?
- How does the State support data submitters to address data quality issues and/or issues with validity and reliability?

Areas (or issues) for Follow-up

- The State is unable to demonstrate that:
  - o it is collecting Section 616 and Section 618 data that are valid/reliable, accurate, and consistent with EDFacts file specifications / SPP/APR measurement table
  - o it has data collection policies and procedures in place for all Section 616 and Section 618 required data that include:
    - data governance (roles and responsibilities)
    - business rules (database format checks, field validation restrictions, import restrictions/checks)
    - data quality/validation (database or manual)
    - data security
  - o it has mechanisms in place, including training, guidance, and technical assistance, to communicate Section 616 and Section 618 data collection requirements at the State and local levels
  - o it has processes in place, including monitoring and oversight, to ensure that local programs are implementing policies and procedures consistent with Section 616 and Section 618 data collection requirements

Notes

B. Does the State have a system in place to report timely and accurate data?
34 C.F.R. §§ 300.601; 300.602; 34 C.F.R. § 303.701; 303.702; 20 U.S.C. 1416(b), 1418, and 1442

General Information
- The State has policies and procedures to report timely and accurate data required under IDEA Part B/Part C Section 616 and Section 618 required data collections, including:
  - assigned roles and responsibilities that establish decision-making authority and accountability for the State's IDEA data system(s)
  - business rules/processes for documenting, recording, and communicating business rules used during the collection and validation of IDEA data
  - data quality and validation processes (e.g., edit checks, database format checks, field validation restrictions, import restrictions/checks) designed to support high quality data
  - data security processes for accessing, storing, backing up, recovering, transferring, encrypting, and destroying data and to prevent breach or loss
  - communication mechanisms to share and disseminate information related to IDEA Section 616 and Section 618 data collection requirements at the State and local levels, including training and guidance/technical assistance
  - processes to ensure that local programs are implementing policies and procedures consistent with IDEA Section 616 and Section 618 data collection requirements, including monitoring and oversight
- The State must report timely and accurate IDEA Part B/Part C Section 616 and Section 618 data (States submit the data to OSEP via EDFacts files and the EMAPS system).
- The State must report data for the IDEA Part B/Part C State Performance Plan/Annual Performance Report (SPP/APR), as defined by Section 616 (States submit the data to OSEP via the SPP/APR reporting tool in EMAPS).
- The State must report annually to the public on the performance of each local program located in the State on the targets in the SPP and make the SPP and APR available through public means.

Possible Follow-up Questions
- What are the positions/titles and responsibilities of State staff (or contractors) involved in reporting IDEA data?
  - Are there different personnel responsible for reporting to ED and for public reporting?
  - Are there different personnel responsible for reporting Section 616 (SPP/APR) and Section 618 data?
  - Are there different personnel responsible for reporting specific data sets or indicators within Section 616 (SPP/APR) and/or Section 618 data collections?
- What documents outline each of the IDEA Section 616 and Section 618 data reporting requirements (including timelines, definitions, calculation methods, and data sources)?
- How are IDEA data reporting requirements (including timelines, definitions, calculation methods, data sources) communicated to personnel? Specifically, is training required; is training standardized across the State; and how are State and local personnel notified of updates or changes?
- What materials (e.g., written instructions, demonstration videos, templates) exist to help personnel understand data reporting requirements (and associated policies and procedures), and how are the materials accessed?
- Describe how the State ensures that the IDEA Section 616 and Section 618 data it reports, including any data reported by other offices/programs within the State, are timely, accurate, and complete. Specifically, how does the State assess the timeliness, accuracy, and completeness of all IDEA data reported to the Department and to the public?
- How does the State ensure data reporting processes are consistent across different data collections and indicators (and systems, if applicable)?

- Can the State's data system link various data elements, including child-level data, across elements, and/or across Statewide systems, and/or with school, classroom, teacher/service provider data?
- Who monitors Section 618 data quality reports and OSEP responses to the State's SPP/APR, and what is the process for ensuring that data reporting issues are addressed?
- How does the State support data submitters to address data reporting issues such as timeliness, completeness, and accuracy?

Areas (or issues) for Follow-up

- The State is unable to demonstrate that:
  - o it is reporting Section 616 and Section 618 data that are timely, accurate, and complete, and consistent with EDFacts file specifications and/or SPP/APR measurement table
  - o it has data reporting policies and procedures in place for all Section 616 and Section 618 required data that include:
    - data governance (roles and responsibilities)
    - business rules
    - data quality/validation
    - data security
    - privacy (suppression rules)
  - o it has mechanisms in place, including training, guidance, and technical assistance, to communicate Section 616 and Section 618 data reporting requirements to State personnel responsible for data reporting
  - o it has processes in place, including monitoring and oversight, to ensure that State personnel are implementing policies and procedures consistent with Section 616 and Section 618 data collection requirements

Notes

C. How does the State use its data to analyze performance across SPP/APR indicators and other priority areas, with a focus on improving educational results and functional outcomes for all children with disabilities? Specifically, how does the State: 1) assess trends across the State; and 2) determine the specific needs of each local program?
34 C.F.R. § 300.602; and 34 C.F.R. § 303.702; 20 U.S.C. 1416(b), 1418, and 1442

General Information
- Each State must use the targets established in the SPP/APR and priority areas to analyze the performance of each LEA/EIS provider.
- Each State must make annual determinations on the performance of each LEA/EIS provider.

Possible Follow-up Questions
- What are the positions/titles and responsibilities of State staff responsible for data analysis activities?
- How are decisions made regarding State-level IDEA data analysis activities, including:
  o which data analysis activities are conducted,
  o when/how frequently data analysis activities are conducted, and
  o how the results of the data analysis activities are used to inform decisions (such as training, professional development, technical assistance, and program improvement efforts)?
- Are there recommendations (or requirements) in place for State or local personnel to conduct data analysis activities?
  o Describe the type of IDEA data analyses that occurs at both the State and local levels.
- How does the State support data analysis activities and data use at the State and local levels? Specifically, does the State develop and disseminate written guidance, training, and/or data products to support data analysis and use?

Areas (or issues) for Follow-up
- The State is unable to demonstrate how it is:
  o using data to analyze the performance of its local programs
  o making local determinations consistent with requirements
  o using data to inform decisions related to program improvement

Notes

RELATED REQUIREMENTS

o **34 C.F.R. § 300.169** **[Advisory Panel and reporting data]**
o **34 C.F.R. § 300.600** **[State monitoring and enforcement]**
o **34 C.F.R. § 300.601** **[State performance plans and data collection]**
o **34 C.F.R. § 300.602** **[State use of targets and reporting]**
o **34 C.F.R. § 300.608** **[State enforcement]**
o **34 C.F.R. § 300.640** **[Annual report of children served—report requirement]**
o **34 C.F.R. § 300.641** **[Annual report of children served—information required in the report]**
o **34 C.F.R. § 300.642** **[Data reporting]**
o **34 C.F.R. § 300.643** **[Annual report of children served—certification]**
o **34 C.F.R. § 300.644** **[Annual report of children served—criteria for counting children]**
o **34 C.F.R. § 300.645** **[Annual report of children served—other responsibilities of the SEA]**
o **34 C.F.R. § 300.646** **[Disproportionality]**
o **34 C.F.R. § 300.708** **[Secretary of the Interior—Submission of information]**
o **34 C.F.R. § 300.714** **[Secretary of the Interior—Establishment of advisory board]**
o **34 C.F.R. § 300.715** **[Secretary of the Interior—Annual reports]**
o **34 C.F.R. § 300.716** **[Secretary of the Interior—Applicable regulations]**
o **20 U.S.C. 1416** **[Monitoring, technical assistance, and enforcement]**
o **20 U.S.C. 1418** **[Program Information]**
o **20 U.S.C. 1442** **[Federal Administration]**

o **34 C.F.R. § 303.124** **[Data collection]**
o **34 C.F.R. §§ 303.125** and **303.604(c)** **[State interagency coordinating council and separate data report]**
o **34 C.F.R. § 303.700** **[State monitoring and enforcement]**
o **34 C.F.R. § 303.701** **[State performance plans and data collection]**
o **34 C.F.R. § 303.702** **[State use of targets and reporting]**
o **34 C.F.R. § 303.708** **[State enforcement]**
o **34 C.F.R. § 303.720** **[Data Requirements—general]**
o **34 C.F.R. § 303.721** **[Annual report of children served—report requirement]**
o **34 C.F.R. § 303.722** **[Data reporting]**
o **34 C.F.R. § 303.723** **[Annual report of children served—certification]**
o **34 C.F.R. § 303.724** **[Annual report of children served—other responsibilities of the lead agency]**