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| SPP/APR Submission Guidance  Checklist and Tips—Part B Introduction | " " |
|  | October 2024 |

For an overview of the Part B Introduction, please access the SPP/APR modules: [SPP/APR Basics, What You Need to Know](https://dasycenter.org/spp-apr-basics-what-you-need-to-know/). For more detailed information please access the [FFY Part B SPP/APR Package](https://sites.ed.gov/idea/grantees/#SPP-APR), especially the SPP/APR Instructions, and [SPP/APR Universal Technical Assistance for FFY 2020-2025](https://sites.ed.gov/idea/grantees/#SPP-APR,SPP-APR-Resources) under SPP/APR General Resources.

**Things to Know About the Introduction**

* The purpose of the introduction to the SPP/APR is to ensure the state’s systems are designed to improve results for children and youth with disabilities and that the SEA and LEAs meet IDEA requirements.
* The introduction provides a description of the state’s general supervision system, technical assistance system, professional development system, stakeholder engagement process, and how the state reports to the public on the SPP/APR.

It is an opportunity for states to share how the state’s systems and their stakeholder engagement process helps the state improve results for children and youth with disabilities.

General Tips

* Review and respond to information included in the sections “OSEP Response” and “Required Actions” from the previous year’s APR for this indicator. Include the state’s response in the "Prior FFY Required Actions" section of the SPP/APR reporting platform.
* Ensure that all information is entered into the appropriate fields in the platform.

Exclude extraneous information that may cause confusion or create additional questions for the reader.

1. Summary and Systems

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Provided executive summary |  |  |  |
| 1. Provided additional information related to data collection and reporting (*as needed*) |  |  |  |
| 1. Provided number of LEAs in state/entity during reporting year |  |  |  |
| 1. Described general supervision system (*systems in place to ensure IDEA Part B requirements are met, e.g., integrated monitoring activities, data on processes and results, the SPP/APR, fiscal management, policies, procedures, and practices resulting in effective implementation, and improvement, correction, incentives, and sanctions)* See *‘Tips’* below for more detail. |  |  |  |
| 1. Described technical assistance system (*mechanisms in place to ensure the timely delivery of high quality, evidenced based technical assistance and support to LEAs*) |  |  |  |
| 1. Described professional development system (*mechanisms in place to ensure that service providers have the skills to effectively provide services that improve results for children and youth with disabilities*) |  |  |  |

Tips:

* Describe general supervision mechanisms used to identify and verify correction of noncompliance and improve results (e.g., state monitoring, state database/data system, dispute resolution, fiscal management systems as well as other mechanisms used to determine compliance and/or issue written findings of noncompliance). Include the following descriptions:
  + Process state uses to select LEAs for monitoring, the schedule, and number of LEAs monitored per year
  + How child records are chosen, including the number of child records that are selected, as part of the state’s process for determining an LEA’s compliance with IDEA requirements and verifying the LEA’s correction of any identified compliance
  + The data system(s) the state uses to collect monitoring and SPP/APR data, and the period from which records are reviewed
  + How the state issues findings: if findings are issued by the number of instances or by LEA
  + If applicable, the adopted procedures that permit its LEAs to correct noncompliance prior to the state’s issuance of a finding (i.e., pre-finding correction)
  + The state’s system of graduated and progressive sanctions to ensure correction of identified noncompliance and to address areas in need of improvement, used as necessary and consistent with IDEA Part B’s enforcement provisions, the OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), and state policies
  + How the state makes annual determinations of LEA performance, including the criteria the state uses and the schedule for notifying EI programs of their determinations. If the determinations are made public, include a web link for the most recent determinations

A web link to information about the state’s general supervision policies, procedures, and process that is made available to the public

2. Broad Stakeholder and Public Input

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Described mechanisms for soliciting broad stakeholder input (*on SPP/APR targets, and any subsequent revisions made to those targets, and the development and implementation of B17, the State Systemic Improvement Plan [SSIP]*) |  |  |  |
| 1. Indicated whether to apply stakeholder input from introduction to all Part B results indicators (*yes/no*) |  |  |  |
| 1. Provided number of parent members |  |  |  |
| 1. Described parent member engagement (*how the parent members of the State Advisory Panel, parent center staff, parents from local and statewide advocacy and advisory committees, and individual parents were engaged in setting targets, analyzing data, developing improvement strategies, and evaluating progress*) |  |  |  |
| 1. Described activities conducted to improve outcomes for children and youth with disabilities (*to increase the capacity of diverse groups of parents to support the development of implementation activities designed to improve outcomes for children and youth with disabilities*) |  |  |  |
| 1. Described mechanisms and timelines for soliciting public input (*for setting targets, analyzing data, developing improvement strategies, and evaluating progress*) |  |  |  |
| 1. Described mechanisms and timelines for making results available to the public (*of target setting, data analysis, development of the improvement strategies, and evaluation*) |  |  |  |

Tips:

* Describe efforts to recruit and solicit broad stakeholder input representative of the state, including demographics such as race/ethnicity, socioeconomic status, parents whose primary language is other than English and who have limited English proficiency, maternal education, geographic location, and/or another demographic category approved through the stakeholder input process.
  + Acknowledge difficulties or demographics not represented, and what steps are being planned to address these issues.

Place this information in the section on mechanisms for soliciting broad stakeholder input.

* Describe efforts to recruit and engage parents in the section on parent engagement, including the following:
  + Acknowledge difficulties or parent groups not represented, and what steps and being planned to address these issues.

Indicate how many parents provided stakeholder input on target setting and/or the development and implementation of the SSIP (B17). Include representation from the following entities: State Advisory Panel, parent center staff, advisory/advocacy committees, and individual parents.

* + - For example, “Five parents representing the following LEAs (A, B, C), and eight parents out of the 250 LEAs in the state, provided input on revisions to target(s) for B6, and/or engaged in the development and implementation of the SSIP.” Do not include names.

Specify what activities were done to engage parents in the process specific to target setting, and/or analyzing data, developing improvement strategies, and evaluating progress of the SSIP.

* + - For example, “A series of four meetings was held over three months to review quantitative SSIP evaluation data, reflect on contextual factors impacting implementation, and generate suggestions for modifications to improvement strategies to support effective implementation.
* Describe capacity-building activities specific to target setting and/or the development and implementation of the SSIP that were conducted in the section on the activities conducted to increase the capacity of diverse groups of parents.
  + Include specific activities, such as provided interpreter services for all communications and meetings, facilitated onboarding of new parent stakeholders, developed materials and co-hosted meetings with parent representatives, provided a parent-focused training on data analysis and use, provided definitions for commonly used acronyms, and/or provided details on methods and measurement tools used.”
  + Include collaborative activities with parent centers and other community partners.

Consider using terminology from [Leading by Convening](https://ncsi.wested.org/resources/leading-by-convening/), a TA resource from the National Center for Systemic Improvement (NCSI).

* Describe ways the state sought public input and the timelines, such as hosted local or virtual listening sessions in X and Y months, collected input during public forums of State Advisory Panel meetings on Date 1 and Date 2, distributed online survey for # days.
* Describe how information was shared with the public in the section on mechanisms and timelines for making results available to the public.

Include how broad stakeholder feedback was used and incorporated, particularly in making changes to targets, improvement strategies, policies, or procedures.

3. Reporting to the Public

| Were the following completed? | Yes | No | Notes |
| --- | --- | --- | --- |
| 1. Described how and where the state reported to the public on the current FFY performance of each LEA 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 that FFY’s APR, as required by 34 CFR §303.702(b)(1)(i)(A)*) |  |  |  |
| 1. Described where on its website a complete copy of the SPP/APR is available |  |  |  |

This checklist and tips document is one in a series of documents available at: <https://dasycenter.org/spp-apr-checklists-and-tips/>

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| **Suggested Citation**  DaSy Center & ECTA Center. (2024). *SPP/APR Submission Guidance: Checklist and Tips—Part B Introduction*. SRI International. |

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