

# SPP/APR Indicator C12 Reporting Guidance for FFY 2023 Submission



November 2024

## Purpose

This document supports Part C staff in developing the state's Part C SPP/APR Indicator C12. This indicator focuses on identifying and verifying the correction of findings of noncompliance on IDEA Part C requirements collected through all components of the state's general supervision system in accordance with OSEP's State General Supervision Responsibilities Under Parts B and C of the IDEA: Monitoring, Technical Assistance, and Enforcement (OSEP QA 23-01). Its purpose is to provide guidance to states, entities, and territories ("states") on accurately reporting data for Indicator C12.

Indicator C12 includes the following data needed for reporting:

1. Findings identified and reported in the SPP/APR individual compliance indicators C1, C7, and C8a, 8b, 8c.
2. Findings related to C1, C7, and C8a, 8b, 8c not identified in #1 above and found through monitoring other components of the general supervision system such as:
  - a. dispute resolution,
  - b. fiscal,
  - c. related IDEA requirements, or
  - d. any other IDEA requirements monitored.
3. Findings corrected and verified from #1 and #2 above, if applicable.
4. Findings of noncompliance that were not corrected within one year from written notification from #1 and #2, if applicable.

## Indicator C12 Optional Reporting

In addition to the data described above that must be submitted in the FFY 2023 SPP/APR in February 2025, states may choose to provide information related to other findings of noncompliance that are not specific to the compliance indicators. This means reporting findings of noncompliance for the results indicators, including any findings issued for related requirements, dispute resolution, etc. The C12 measurement table notes that states may be required to further disaggregate findings by result indicators (C2, C3, C4, C5, C6, C9, C10, and C11), fiscal, and other areas in the future.

## Measurement

As described in the FFY 2023 Part C SPP-APR Measurement Table, this SPP/APR indicator requires the reporting on the **percent** of findings of noncompliance **corrected** within one year of identification:

- a. # of findings of noncompliance issued the prior federal fiscal year (FFY). For example, for the FFY 2023 SPP/APR submission due in February 2025, use the FFY 2022, July 1, 2022 – June 30, 2023, data to identify the number of findings the state issued during that timeframe.
- b. # of findings of noncompliance the state verified were corrected no later than one year after the state's written notification of findings of noncompliance.

Percent = [(b) divided by (a)] times 100

## Baseline Data

The state must provide baseline data expressed as a percentage of findings timely corrected and verified. OSEP assumes that the state's FFY 2023 data for this indicator are the state's baseline data unless the state provides an explanation for using other baseline data.

## Data Source

The state must include findings from data collected through all components of the state's general supervision system that are used to identify noncompliance. This includes, but is not limited to, information collected through state monitoring (including any focused monitoring), the state database/data system, dispute resolution, and fiscal management systems as well as other mechanisms through which noncompliance is identified by the state. Provide the actual numbers used in the calculation.

Include all findings of noncompliance regardless of the specific type and extent of noncompliance. States have the option to issue findings by child or by program. States must identify which method they use in the APR introduction and consistently report findings by child or program within each compliance indicator (C1, C7, C8A, C8B, and C8C) as well as in Indicator C12.

*Note:* All indicator-specific findings are counted and reported in two sections of the APR: 1) within each indicator's Findings of Noncompliance section and 2) in the C12 table.

## Target

The target is 100% because this is a compliance indicator.

## Scenarios Using FFY 2022 Data

Two scenarios have been developed to support states in understanding how to report their findings data in C12. One scenario reflects how to report data when the findings are issued by program. The second scenario includes data when findings are issued by child. Only Indicator C1 findings data are presented in these scenarios. Select the linked scenario that represents the method used for issuing findings of noncompliance.

[Scenario 1: C1 Timely Services and Other IDEA Requirements – Findings Issued by Program](#)

[Scenario 2: C1 Timely Services and Other IDEA Requirements – Findings Issued by Child](#)

## Timeline for Reporting on Correction of Findings of Noncompliance

States must report in the current federal fiscal year's APR on the timely correction of findings of noncompliance issued in the prior federal fiscal year. For example, a state issued a written notification of finding to an EIS program in FFY 2022 (July 1, 2022 – June 30, 2023). Therefore, the state must report on the timely correction of this finding in its FFY 2023 APR, due February 3, 2025, regardless of when the state verified correction (one month or 11 months from when the finding was issued).

The following table outlines the time periods in which states must report the correction of findings in their FFY 2023, FFY 2024, and FFY 2025 APRs.

	<b>Report on findings made (notification sent to EIS program) in:</b>	<b>Report on correction made as soon as possible, and in no case later than one year after the state's identification:</b>
FFY 2023 APR (due February 2025)	FFY 2022 (7/1/22 – 6/30/23)	FFY 2022 or FFY 2023
FFY 2024 APR (due February 2026)	FFY 2023 (7/1/23 – 6/30/24)	FFY 2023 or FFY 2024
FFY 2025 APR (due February 2027)	FFY 2024 (7/1/24 – 6/30/25)	FFY 2024 or FFY 2025

The status of any findings not timely corrected must be reported in the subsequent year's APR.

## Resources

[State General Supervision Responsibilities Under Parts B and C of the IDEA: Monitoring, Technical Assistance, and Enforcement](#) (OSEP QA 23-01)

[SPP/APR Resources](#)

[SPP/APR Submission Guidance](#)

[Identifying, Correcting, and Reporting Noncompliance: A State Guide](#)

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