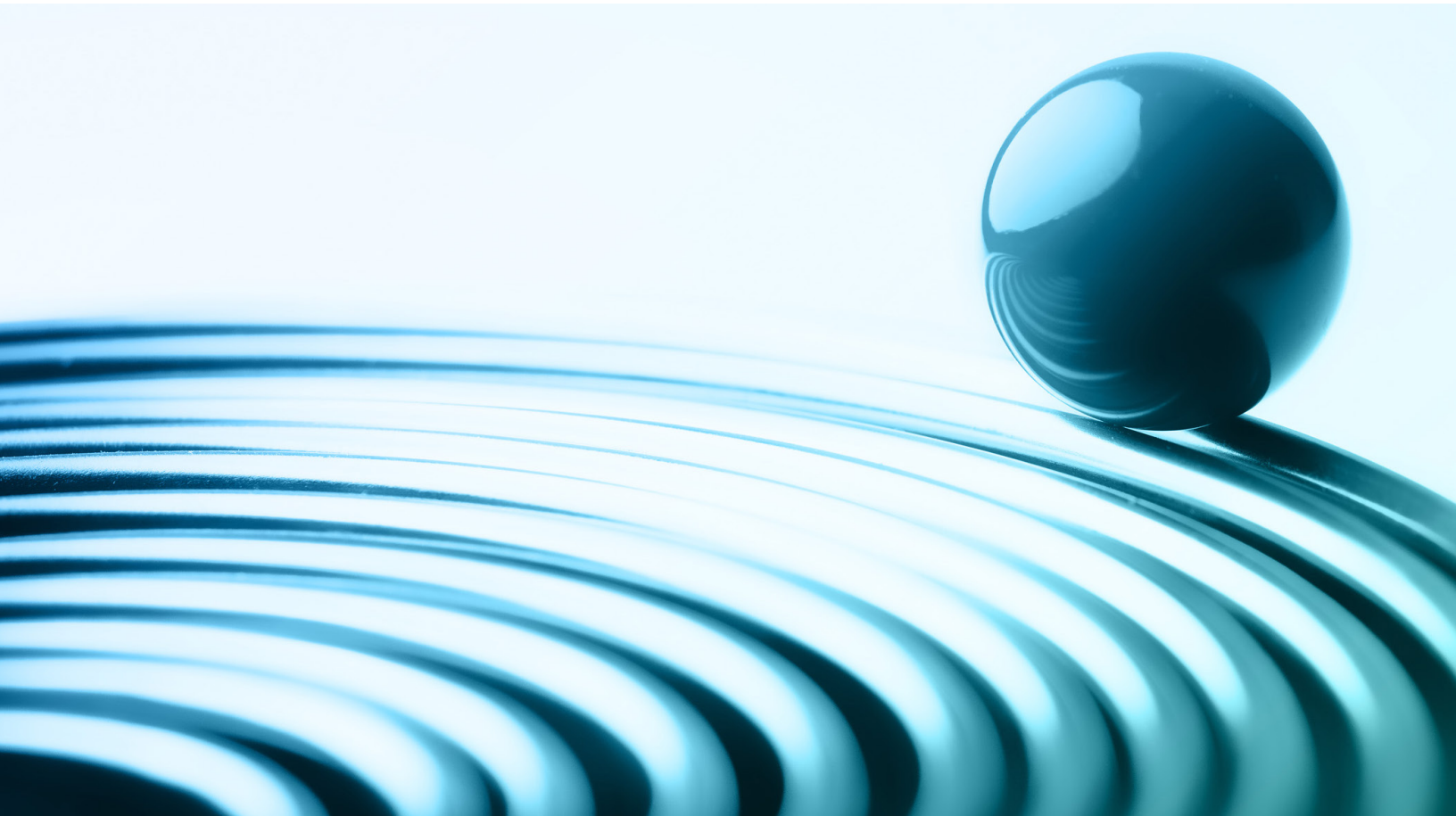




**IDEA DATA
CENTER**

Collect, Report, Analyze, and
Use High-Quality Part B Data



Differentiated Monitoring and Support (DMS 2.0): Reference Guide for OSEP's Data and SPP/APR Protocol

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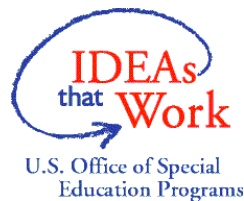
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Differentiated Monitoring and Support (DMS 2.0): Reference Guide for OSEP’s Data and SPP/APR Protocol

Introduction

As part of the Results Driven Accountability (RDA), the Office of Special Education Programs (OSEP) annually provides Differentiated Monitoring and Support (DMS 2.0) to a cohort of states. DMS 2.0 is part of OSEP’s efforts to better support state education agencies (SEAs) and local education agencies (LEAs) by focusing on both compliance and improving results for children with disabilities under the *Individuals with Disabilities Education Act* (IDEA). As part of the DMS 2.0 process, OSEP examines the eight key components of general supervision via a series of published monitoring protocols, which include integrated monitoring activities, sustaining compliance and improvement, data systems, State Performance Plan/Annual Performance Report (SPP/APR), fiscal management, dispute resolution, technical assistance and professional development, and policies and procedures.

The IDEA Data Center (IDC) designed this technical assistance (TA) resource for SEA staff who prepare for the data systems and SPP/APR components of DMS 2.0. It provides users with a review of the [Parts B and C—Data and SPP/APR Protocol](#), along with IDC’s suggested evidence that an SEA may provide to OSEP in support of the monitoring question as a reference.¹ Furthermore, if SEA staff identify that the suggested evidence does not currently exist within the agency or the already-existing evidence is insufficient, this resource provides a list of IDC TA resources that states can use to create or strengthen their evidence.

¹ OSEP’s [DMS 2.0 Framework with Evidence and Intended Outcomes](#) informed IDC’s suggested evidence.

Taking a Deeper Dive

The data systems and SPP/APR components of DMS 2.0 ask the following overarching question:

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

This overarching question is further divided into three more specific questions related to data collection, data reporting, and the SPP/APR [emphasis added by IDC].

- A. Does the State have a system in place to **collect** valid and reliable data?
- B. Does the State have a system in place to **report** timely and accurate data?
- 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?

Does the State Have a System in Place to Collect Valid and Reliable Data?

OSEP’s DMS Data Protocol Question A asks, “Does the State have a system in place to **collect** valid and reliable data?” The following section reviews the elements for Question A as stated in the DMS Data and SPP/APR Protocol before offering a list of evidence that states may be able to use to help support each of those elements. Each type of evidence is sorted so that it correlates with a specific element of Protocol Question A.

General Information for Collection of Valid and Reliable Data

In its [Parts B and C—Data and SPP/APR Protocol](#), OSEP identifies the following General Information (i.e., what the state would need to effectively answer the monitoring question) regarding states’ responses to DMS Data and SPP/APR Protocol Question A:

- The State must collect valid and reliable IDEA Part B/Part C Section 618 data
- 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:
 - 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 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 preventing 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

Suggested Evidence for Collection of Valid and Reliable Data

Based on the information provided in OSEP's [DMS 2.0 Framework with Evidence and Intended Outcomes](#), IDC has compiled an expanded list of evidence that states can use to support Question A, organized by topic. Please note that IDC cannot guarantee that this evidence is all encompassing. In certain cases, OSEP may ask for additional evidence. In this case, [contact your IDC State Liaison](#), who can provide more tailored advice.

Collection of Valid and Reliable Part B Section 618 Data

- State-level documents used to collect past 618 data
- SEA's schedule and timeline for collection and reviewing of LEA data
- Data collection timelines or calendars posted on state website for LEAs' use and for the SEA's internal use
 - Any presentations or documents provided to the LEAs explaining these timelines and schedules
- Description of data collection systems, such as
 - reports or screenshots of the data systems
 - illustrations or diagrams of how multiple data systems interact with each other during data collection

Collection of Valid and Reliable Part B Section 616 (SPP/APR Indicators) Data

- Past SPP/APR submissions
- Timeline of data pulls for SPP/APR and programmatic monitoring

Roles and Responsibilities

- Roles and responsibilities list for the SPP/APR and 618 data collections
- SEA organization chart
- Protocol for each indicator, specifying who is responsible for collection
- Protocol that identifies a data quality monitor that addresses OSEP's data quality reports and SPP/APR inquiries

Data Quality and Validation

- Business rules for data collection and validation
- Documentation of the edit check process and communication to LEAs (e.g., training materials, guidance documents, data manuals)

- Policies and processes for data validity, accuracy, and reliability checks, especially for data collected by non-special education offices
- Data sharing agreements and memoranda of understanding (MOUs)
- Data notes from LEAs
- LEAs’ year-to-year data comparison

Data Security

- SEA data security policies and procedures, including evidence demonstrating data security training and communication to both SEA staff and LEAs
- Documentation of data governance requirements and personally identifiable information (PII) protection policies
- Evidence that the state has a system to ensure protection of personally identifiable data, such as
 - Established policies and procedures for how to handle PII within data systems
 - Trainings at both the SEA and LEA level that describe the process the SEA uses to protect PII

LEA Support

- Communication of the business rules to LEAs (e.g., training materials, guidance documents, online postings of the business rules)
- Guidance documents to LEAs on data definitions and calculation methods
- Online postings of LEA training opportunities for 616 and 618 data collections (e.g., weekly town hall meetings with LEA data respondents, office hours for specific data collections, webinars, routine email communication)
- Training materials for LEAs covering 616 and 618 data collections

LEA Data Monitoring

- Documentation of LEA data monitoring process
- Documentation of past LEA data monitoring (e.g., a monitoring summary report, a notification of findings of noncompliance, a corrective action plan, evidence reviewed to ensure correction [e.g., child-specific noncompliance or systemic noncompliance])

Does the State Have a System in Place to Report Timely and Accurate Data?

OSEP’s DMS Data Protocol Question B asks, “Does the State have a system in place to report timely and accurate data?” The following section reviews the elements for Question B as stated in DMS Data and SPP/APR Protocol before offering a list of evidence that states may be able to use to help support each of those elements. Each type of evidence is sorted so that it correlates with a specific element of Protocol Question B.

General Information for Reporting of Timely and Accurate Data

In its [Parts B and C—Data and SPP/APR Protocol](#), OSEP identifies the following General Information (i.e., what the state would need to effectively answer the monitoring question) regarding states’ responses to DMS Data and SPP/APR Protocol Question B:

- 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.
- 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

Suggested Evidence for Reporting of Timely and Accurate Data

Based on the information provided in OSEP’s [DMS 2.0 Framework with Evidence and Intended Outcomes](#), IDC has compiled an expanded list of evidence that states can use to support Question B, organized by topic. Please note that IDC cannot guarantee that this evidence is all encompassing. In certain cases, OSEP may ask for additional evidence. In this case, your IDC State Liaison can provide more tailored advice.

Timely and Accurate Reporting of Part B Section 618 Data

- State-level documents used to report past 618 data
- Data collection and submission timelines that include an opportunity to review any data reporting issues (e.g., SEA’s data check for anomalies before the closing of the data collection, LEA data note submission and SEA’s review during the closing of the data collection)

- Documentation of how the SEA addressed what OSEP pointed out in the data quality reports (e.g., ED Facts data quality reports, reports created in EMAPS, APR data matrix)
- Description of data reporting system(s), such as illustrations or diagrams of how multiple data systems interact with each other during data reporting

Timely and Accurate Reporting of Part B Section 616 (SPP/APR Indicators) Data

- Past SPP/APR submissions
- Timeline of data pulls for SPP/APR
- Timeline of data pulls for programmatic monitoring (e.g., when LEAs are notified of identified noncompliance represented in the SPP/APR data submission, when LEAs resubmit additional data)
- Evidence that the state sufficiently addressed OSEP's clarification inquiries and slippage explanations

Public Reporting

- Documentation of the process the state uses to post the LEA-level SPP/APR results, including what years' data and performance those results represent
- Location of the state's report ensuring broad dissemination to the public, which, at a minimum, includes posting the plan and reports on the SEA's website and evidence of distributing the plan and reports to the State Advisory Panel, media, parent groups, and LEAs
- Evidence of meaningful stakeholder involvement
- Evidence that the report is accessible for individuals with disabilities (i.e., How does the report meet the accessibility requirements of Section 508 of the *Rehabilitation Act of 1973*?)
- Evidence that the state made the report available to a diverse groups of parents
- Documentation that the state's report is available to the public as soon as practicable but no later than 120 days following the state's SPP/APR submission to the Department of Education on the performance of its LEAs on the targets in the SPP/APR
 - Evidence that the report includes
 - the performance for each LEA in the state
 - language that is understandable to the public
 - dates that reflect the period during which the data were collected
 - each SPP/APR indicator
 - the state's target for each indicator for the year of the report
 - for any LEA that does not meet the minimum cell size the state established, an indication either that the cell size is too small to protect the confidentiality of the data or that the data has been grouped (e.g., reported by region or intermediate unit)
 - which, if any, indicator data were collected through sampling (for indicators with data collected through sampling, include the most recent data with the date the data were collected)
 - which, if any, indicator data were collected through monitoring (for indicators with data collected through monitoring, include the date the monitoring took place)

Roles and Responsibilities

- Roles and responsibilities list for the SPP/APR and 618 data reporting

- SEA organization chart
- Data protocol for each indicator, specifying who is responsible for reporting
- Protocol that identifies who replies to OSEP's data quality reports and SPP/APR inquiries

Data Quality and Validation

- Business rules for data reporting
- Documentation of the edit check process and communication to LEAs (e.g., training materials, guidance documents, data manuals)
- Processes for data validity, accuracy, and reliability checks
- Documentation of the edit check process and communication to LEAs (e.g., training materials, guidance documents, data manuals)
- Processes for data validity, accuracy, and reliability checks
- Data sharing agreements and MOUs
- Data notes from LEAs
- LEAs' year-to-year data comparison

Data Security

- SEA data security policies and procedures, including evidence demonstrating data security training and communication to both SEA staff and LEAs
- Documentation of data governance requirements and PII protection policies
- Evidence that the state has a system to ensure protection of personally identifiable data, such as
 - Established policies and procedures for how to handle PII within data systems
 - Trainings both at the SEA and LEA level describing the process the SEA uses to protect PII

LEA Support

- Communication of the business rules to LEAs (e.g., training materials, guidance documents, online postings of the business rules)
- Guidance documents to LEAs on data definitions and calculation methods
- Online postings of LEA training opportunities for 616 and 618 data reporting (e.g., weekly town hall meetings with LEA data respondents, office hours for specific data collections, webinars, routine email communication)
- Training materials for LEAs covering 616 and 618 data reporting

LEA Data Monitoring

- Documentation of LEA data monitoring process
- Documentation of past LEA data monitoring (e.g., a monitoring summary report, a notification of findings of noncompliance, a corrective action plan)
- Resources for professional development or technical assistance for SEA staff

How Does the State Use Its Data to Analyze Performance Across SPP/APR Indicators?

OSEP’s DMS Data Protocol Question C asks, “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?” The following section reviews the elements for Question C as stated in DMS Data and SPP/APR Protocol, before offering a list of evidence that states may be able use to help support each of those elements. Each type of evidence is sorted so that it correlates with a specific element of Protocol Question C.

General Information for Use and Analysis of Data

In its [Parts B and C—Data and SPP/APR Protocol](#), OSEP identifies the following General Information (i.e., what the state would need to effectively answer the monitoring question) regarding states’ responses to DMS Data and SPP/APR Protocol Question C:

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

Suggested Evidence for Use and Analysis of Data

Based on the information provided in OSEP’s [DMS 2.0 Framework with Evidence and Intended Outcomes](#), IDC has compiled an expanded list of evidence that states can use to support Question C, organized by topic. Please note that IDC cannot guarantee that this evidence is all encompassing. In certain cases, OSEP may ask for additional evidence. In this case, your IDC state liaison can provide more tailored advice.

State’s Data Use and Analysis

- Documentation of the state’s analysis of SPP/APR data trends
- Process for making data-informed decisions at the state level, such as how the data inform monitoring/TA
- Documentation illustrating which analyses the state performs and how the state uses the results to inform decisions for each indicator
- Documentation illustrating how the state identifies high- and low-performing LEAs based on data
- Documentation identifying best practices that lead to improved educational outcomes
- Evidence that the state uses its data systems to plan for new initiatives
- Evidence that the state compiles and integrates data across systems and uses the data to inform and focus its improvement activities
- Data collection and analysis calendar that indicates which data become available at what point of the year and when analyses take place
- Models for root cause analysis and evidence of its use

- Evidence, such as a data sharing agreement, MOU, or information attained during OSEP interviews, that show state-level Part C and Part B 619 staff regularly communicate about outcomes data issues
- Roles-and-responsibilities list that includes an SPP/APR coordinator, data analyst, and/or Part B data manager

Training LEAs on Data Use and Analysis

- Calendar or timeline for technical assistance and professional development for LEAs, including trainings for LEAs on the use of data to inform decisionmaking (e.g., root-cause analysis process)
- Agenda from LEA data summit or data retreat

LEA Determinations

- Schedule/timeline for examining LEA data
- Written processes for how the state analyzes performance on SPP/APR indicators, valid and reliable data, correction of identified noncompliance, and other data available to the state about the LEA’s compliance with IDEA, including any relevant audit findings
- Documentation of how the state makes LEA determinations
- Documentation of when the state makes LEA determinations
- LEA improvement plan submissions

IDC Resources to Address DMS 2.0 Data and SPP/APR Protocol

If SEA staff identifies that the suggested evidence for each monitoring question above does not currently exist within the agency or the already-existing evidence is insufficient, states can use the following IDC TA resources to create or strengthen their evidence. Table 1 lists these IDC resources alphabetically and includes which monitoring question each resource addresses. Note that many IDC resources address multiple monitoring questions.

Don’t Forget!

The monitoring questions A, B, and C are

- Does the State have a system in place to **collect** valid and reliable data?
- Does the State have a system in place to **report** timely and accurate data?
- 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?

Table 1. IDC resources that address DMS 2.0 Data and SPP/APR Protocol monitoring questions

Name of IDC resource	Which DMS Data and SPP/APR Protocol question does the resource address?		
<u>618 Data Collection Calendar</u>	A		
<u>APR Indicator Data Sources for FFY 2020</u>		B	
<u>The Assessment Data Journey: Are We There Yet?</u>		B	
<u>Business Rules Documentation Protocol</u>	A	B	
<u>Data Meeting Toolkit</u>		B	C
<u>EDFacts IDEA Discipline Data Infographic</u>		B	
<u>IDEA Data Quality: Outlier Analyses Tools</u>	A	B	C
<u>IDEA Part B Confidentiality Checklist</u>	A	B	
<u>IDEA Part B Data Manager Competencies</u>	A	B	
<u>IDEA Section 618 Public Reporting Data Element Checklist—Part B</u>		B	
<u>Incorporating Business Rules Into State Data Systems</u>		B	
<u>Interactive Public Reporting Engine</u>	A		
<u>LEA Data Processes Toolkit</u>	A	B	
<u>LEA EDFacts Edit Check and Data Display Tools</u>	A	B	
<u>Privacy Resources for IDEA</u>	A	B	
<u>SEA Data Processes Toolkit</u>	A	B	C
<u>Assessment Protocol</u>	A	B	
<u>Child Count and Educational Environment Protocol</u>	A	B	
<u>Discipline Protocol</u>	A	B	
<u>Dispute Resolution Protocol</u>	A	B	

Table 1. IDC resources that address DMS 2.0 Data and SPP/APR Protocol monitoring questions—continued

Name of IDC resource	Which DMS Data and SPP/APR Protocol question does the resource address?		
Exiting Protocol	A	B	
Indicator 1. Graduation Protocol	A	B	C
Indicator 2. Drop Out Protocol	A	B	C
Indicator 3. Assessment Protocol	A	B	C
Indicator 4A. Suspension/Expulsion: Percent of Districts With Significant Discrepancy Protocol	A	B	C
Indicator 4B. Suspension/Expulsion: Percent of Districts With Significant Discrepancy by Race/Ethnicity Protocol	A	B	C
Indicator 5. Education Environments (School Age) Protocol	A	B	C
Indicator 6. Preschool Environments Protocol	A	B	C
Indicator 7. Preschool Outcomes Protocol	A	B	C
Indicator 8. Parent Involvement Protocol	A	B	C
Indicator 9. Disproportionate Representation Protocol	A	B	C
Indicator 10. Disproportionate Representation in Specific Disability Categories Protocol	A	B	C
Indicator 11. Child Find Protocol	A	B	C
Indicator 12. Early Childhood Transition Protocol	A	B	C
Indicator 13. Secondary Transition Protocol	A	B	C
Indicator 14. Post-School Outcomes Protocol	A	B	C
Indicator 15. Resolution Sessions Protocol	A	B	C
Indicator 16. Mediation Protocol	A	B	C
LEA Determinations Protocol		B	C



Table 1. IDC resources that address DMS 2.0 Data and SPP/APR Protocol monitoring questions—continued

Name of IDC resource	Which DMS Data and SPP/APR Protocol question does the resource address?		
<u>Local Education Agency (LEA) Maintenance of Effort (MOE) Protocol</u>	A	B	
<u>MOE CEIS Protocol</u>	A	B	
<u>Personnel Protocol</u>	A	B	
<u>State Landscape Protocol</u>	A	B	
<u>State Determinations of Local Education Agency (LEA) Performance</u>			C
<u>Unpacking and Understanding Part B SPP/APR Indicator 3D</u>		B	C