

## Monitoring

---

---

---

---

---

---

---

---

## Purpose of Accountability Review

▶ The primary focus of the department's monitoring activities shall be on:

1. Improving educational results and functional outcomes for all children with disabilities; and
2. Ensuring that states meet the program requirements under Part B of the IDEA, with particular emphasis on those requirements that are most closely related to improving educational results for children with disabilities.

ARSD 24-05-20:18.01

---

---

---

---

---

---

---

---

## Which districts are reviewed?

- ▶ SEP has gone to a 5 year cyclical review
  - ▶ All districts will be on this cycle
- ▶ Additionally Districts may be reviewed for the following reasons:
  - ▶ Complaint or Due Process in the past year
  - ▶ District applied for Extraordinary costs and an audit was requested
  - ▶ District was flagged for Disproportionality or Significant Disproportionality

---

---

---

---

---

---

---

---

### Who is involved in the review?

- ▶ Results Driven Accountability (RDA) monitors
  - ▶ Contracted through Cooperatives with SEP
  - ▶ Roles:
    - ▶ Team Lead – organize review, correspond with district, develops corrective action plan, and provides technical assistance through the CAP process.
    - ▶ Team Member – conduct file reviews and/or interviews

---

---

---

---

---

---

---

---

### Who is involved in the review?

- ▶ Transition Liaisons
  - ▶ Transition Services Liaison Project
  - ▶ Reviews transition files per disability categories
  - ▶ Provides technical assistance on transition

---

---

---

---

---

---

---

---

### Who is involved in the review?

- ▶ District Level
  - ▶ Special Education Director
    - ▶ Notifies district special education staff
    - ▶ Make **electronic** copies of IEP cover sheets on all kids listed on most recent child count
    - ▶ Create a list of special education staff with initial and re-evaluations completed by them for the recent school year. (1 year time frame)
  - ▶ Special Education staff
    - ▶ Attend file review
    - ▶ Assist reviewer with identifying items in the file
    - ▶ Take notes on potential compliance issues, best practice recommendations, and items to discuss with administration
    - ▶ May bring questions they have about the IEP process to discuss

---

---

---

---

---

---

---

---

## Process Overview

- Announcement Letter
- Pre-site Activities
- On-Site Activities
- Corrective Action Plan
- Closing the File

---

---

---

---

---

---

---

---

## Announcement Letter

- ▶ Special Education Programs sends a letter each spring informing districts that they will participate in an accountability review in the upcoming school year.
- ▶ Sent to Superintendents and Special Education Directors



---

---

---

---

---

---

---

---

## Pre-Site Activities

---

---

---

---

---

---

---

---

## Pre-Site Activities

Between August and October

- ▶ Team Leader – sends an email to make initial contact with the District Superintendent and Special Education Director
  - At this point the district's primary contact person will be established.
- Schedule Letter – delivered through email and hard copy
  - Provides the on-site review date(s)
  - Schedule of the Review Day(s)
  - Identifies the Review Team Members

---

---

---

---

---

---

---

---

## Child Count Validation

- ▶ The team leader will validate the December child count.
- ▶ An **electronic** copy of the front page of each IEP in effect at the current December child count will needed to be given to the team lead. District will also include a copy of the official child count from Launch Pad.

Note: child count validation is need as part of a fiscal audit.




---

---

---

---

---

---

---

---

## State Certified Staff



- ▶ The team lead will review the certification and job duties of district staff.

---

---

---

---

---

---

---

---

## Transition Files

- ▶ State Performance Plan Indicator 13 data is collected through this process.
- ▶ District will receive a document identifying type of transition files to prepare.
  - ▶ Transition files across disability categories
  - ▶ At a minimum: 2 files per transition age teacher
  - ▶ Show evidence of inviting an outside agency process

---

---

---

---

---

---

---

---

## Comprehensive Plans

- ▶ Prior to the on-site review, the district will submit the most updated comprehensive plan to the team lead for review.
- ▶ **Local education agency comprehensive plans -- Contents.** Each local education agency must have a current comprehensive plan approved by the school board on file with the district superintendent or designee. Documentation supporting the implementation of the local school district's comprehensive plan shall be maintained by the district for review by Special Education Programs staff during onsite monitoring visits. Districts shall update comprehensive plans consistent with § 24:05:21:01.02 and recertify their content annually.

---

---

---

---

---

---

---

---

## On-Site Activities

---

---

---

---

---

---

---

---

## On-Site General Schedule

- Entrance Conference
- Review team will meet to discuss assignments
- File Reviews begin/Interviews
- Lunch Break
- Teacher file Reviews/Interviews cont...
- Review team compile review data
- Exit Conference

---

---

---

---

---

---

---

---

## Entrance Activities

- ▶ Entrance Conference
  - District's contact determines who from the district attends
  - Introduction and overview of the day
- The review team will meet before getting started with district staff



---

---

---

---

---

---

---

---

## District Interviews

- ▶ Interviews will be conducted.
- ▶ The team leader will meet with the Special Education Director to review the district's policies, procedures, and practices.



---

---

---

---

---

---

---

---

## File Reviews

Age 3-21 files

- ▶ Purpose:
  - ▶ Ensure compliance
  - ▶ All Special Education Teachers including early childhood and Speech Pathologists will have at least one file reviewed with a review team member.
  - ▶ Provide technical assistance
- ▶ How are the files selected:
  - ▶ Special Education staff will identify 2 files that recently completed an initial or re-evaluation.
  - ▶ Team leader will select student files to be reviewed based on the Sped Teachers caseeload and a **representative sample of disability categories ranging from age 3-21.**

---

---

---

---

---

---

---

---

## File Reviews

- ▶ Student Files should contain:
  - ▶ Current evaluation reports
  - ▶ Individual Education Plan (IEP)
  - ▶ Parental Prior Written Notice (PPWN) and PPWN consent
  - ▶ Initial consent document
  - ▶ Behavior Plans, if applicable

Note: If potential non-compliance is found the staff person being reviewed will be asked to make copies to support findings.

Prepare for file reviews: Utilize the Internal Review form on [Accountability Process](#) website, IEP TA guide and Eligibility Tools and Resources

---

---

---

---

---

---

---

---

## Other Files

- Out of District Placements:**
- ▶ Team lead will request to review files related to out of district placements.
  - ▶ Ensure the district has all the evaluation and IEP documentation on the student available.

- Private School:**
- ▶ If district has private school students, team lead will request to review a sample of student files.
  - ▶ May discuss some information on funds utilized for private schools.

---

---

---

---

---

---

---

---

## Other Files

A sample of the following 2018-2019 students will be requested:

- ▶ Students, who **graduated**, will be pulled to ensure that PPWN was issued and the graduation data was entered correctly in campus.
- ▶ **Summary of Performance** for graduates and age out students will also be checked.

**Resources:**

- ▶ [Sped Exit Codes](#) can be found in Student Data Collections Desk Guide or SPED Reporting Sheets.
- ▶ Data pulled from the SD STARS Exit Report after June 15, 2019

---

---

---

---

---

---

---

---



## State/District Assessment: Accommodations and Alternate Assessment

- ▶ The team will also be looking at accommodations that are provided during the State/District assessments ensure they are documented.
- ▶ If district had students take alternate assessment, the review team will ensure meets criteria and IEP has appropriate documentation.

---

---

---

---

---

---

---

---



## Indicator 13: Transition IEP section

In addition to age 3-21 case manager files for review:

- ▶ A sample of transition files age 16-21 will be selected based on a representative sample of disability categories and number of transition students served.
- ▶ The team will look at a minimum of 2 files per teacher of transition age.
- ▶ At a minimum, one file per teacher must show evidence of invitation of outside agency process.

---

---

---

---

---

---

---

---



## Exit Activities

- ▶ The Review Team will meet to compile the data gathered throughout the review.
- ▶ Exit Conference
  - District contact will determine who attends the exit conference. We welcome all district staff.
  - The team lead will go over positive feedback and potential findings
  - The final determinations of non-compliance will be made by Special Education Programs



---

---

---

---

---

---

---

---

## Post-site Activities

---

---

---

---

---

---

---

---

## Corrective Action Plan (CAP)

- ▶ Purpose:
  - ▶ OSEP Memo 09-02 identified two federal requirements:
    - Prong 1
      - Fix the file in which non-compliance was identified.
      - If required, participate in technical assistance or training
    - Prong 2
      - The district will provide additional documentation as evidence of continued correction of non-compliance.



---

---

---

---

---

---

---

---

## CAP Process

- Process:
  - Team lead compiles the review issues of non-compliance into the CAP
  - CAP is sent to Special Education Programs for review
  - Special Education Programs issues final CAP to district
  - District will correct issues of non-compliance
    - Team leader will provide TA throughout corrective action process

---

---

---

---

---

---

---

---

## CAP Appeals

- ▶ Appealing the CAP
  - If the district feels an error was made after reviewing the CAP
    - District submits in writing, as soon as possible, the error made and support your finding to the State Accountability Program Specialist.
    - Supporting evidence—SEP will review additional documentation submitted during appeal as well as the documentation copied during review to make a determination.

---

---

---

---

---

---

---

---



## CAP Timeline

- ▶ A copy of the Accountability CAP will be sent in an email and a hard copy by mail.
  - Prong 1
    - 60 days to complete Prong 1 corrections
    - Individual files requiring immediate correction
  - Prong 2
    - 1 year timeline starts from report date
    - Districts notified at 9 months if corrections are not being submitted
    - Additional IEP documentation and/or update policy, procedure, and practice.
  - ARSD 24.05:20:20

**Note:** if not completed in a timely manner, sanctions could be applied.  
ARSD 24.05:20:23

---

---

---

---

---

---

---

---

## CAP Reports

- ▶ Public Report
  - Lists the ARSDs that are in non-compliance
  - Posted to the State website
- District Report
  - Prong 1
    - Student SIMS #/ Teacher Name
    - Specific non-compliance issued
    - What documents need to be submitted
  - Prong 2
    - Requirements to show continued compliance

---

---

---

---

---

---

---

---

---

---

## Public Report

DEPARTMENT OF EDUCATION  
SPECIAL EDUCATION PROGRAMS  
Aberteen School District  
Accountability Review - Monitoring Report 2017-2018

Team Leader: Brenda Boyd  
Team Members: Anneke Nelson, Lisa Reinthiller, Amy Vost, Elizabeth Jehangiri, Beth Schiltz, Rhonda Zinter, Chris Owen, Juan Ray, Cindy Kirschman, Dan Roush  
Dates of On Site Visit: November 6, 7, and 8, 2017  
Date of Report Sent to District: December 22, 2017  
All non-compliance must be corrected within 1 year of this report date.  
Date Closed: November 23, 2018

**SECTION 20.0000000 / STATE PERFORMANCE PLAN COMPLIANCE MONITORING**  
**ARSD #**  
ARSD # 20.00.001 - Complaint for reevaluation. Before conducting a reevaluation of an eligible child, parental consent is required.  
ARSD # 20.00.002 - Evaluation procedures - Regional School districts shall comply, as a minimum, with evaluation procedures include the following:  
192. The single procedure or assessment is used as the sole criterion for determining eligibility or an appropriate educational program for a child.  
193. A variety of appropriate tests and measures are used to gather relevant functional, academic, and attitudinal information from a child, including information gathered by the parents, school staff or other personnel.  
194. The content of the report will include information related to conducting the child:  
195. The reevaluation is not conducted in a manner that is disruptive to the child's educational program.  
196. The parent is notified of the results of the reevaluation and the child's progress in the program.  
197. The parent is notified of the results of the reevaluation and the child's progress in the program.  
198. The district report information that directly assists parents in determining the educational needs of the child.  
199. The child is referred to an agency related to the child's needs including, if appropriate, health, vision, hearing, social and emotional status, mental health, intellectual development, communication, and all other relevant areas.  
200. The information is reviewed and approved by the parent or the child's special education and related services' needs, whether or not currently listed in the disability category in which the child has been identified.

---

---

---

---

---

---

---

---

---

---

## District Report

DEPARTMENT OF EDUCATION  
SPECIAL EDUCATION PROGRAMS  
E 1 School District  
Accountability Review - Monitoring Report 2018-19  
(For District Use Only)

Report Date:  
Date of On Site Review:  
All non-compliance must be corrected within 1 year of this report date.  
Date Closed:

**Corrective Action:**  
Prong 1: Correct each individual case of noncompliance  
**Timeline for Completion:**  
All Prong 1 corrections must be completed and documents submitted to the team leader 60 calendar days from the "report date" noted above.

Student Name:	Required Action:	Documents To Be Submitted:
Teacher's Name:		
Student File # ( ): This student was reported on child count under the category of ( ).		
Date Prong 1 Documents Submitted:		
Date Prong 2 Documents Submitted:		
Status:		

---

---

---

---

---

---

---

---

---

---

## Corrective Action Plan Criteria

### Prong 1

- ▶ Each teacher must correct the compliance issue found in the student file.
- ▶ If it is a timeline issue (missed a date or paperwork can't be fixed after the issue), then training on proper procedure(s) are provided.

### Prong 2

- ▶ Each teacher, who had a compliance issue, must submit another file or evidence the compliance issue has continued correction.
- ▶ It means the teacher/district now understands the procedure for correctly documenting compliance.

---

---

---

---

---

---

---

---

## CAP Closure

- ▶ District has met requirements for Prong 1 and Prong 2:
  - ▶ Team lead will notify the Accountability Program Specialist
  - ▶ Accountability Program Specialist will send the district a letter stating all items in the CAP have been met and the CAP is closed.
    - ▶ CAP is sent to the Superintendent and Special Education Director
    - ▶ Public Report is updated and posted to the website

---

---

---

---

---

---

---

---

## Common Regulations Identified as Non-Compliance

---

---

---

---

---

---

---

---



## Common Findings

**Content of individualized education program.** Each student's individualized education program shall include:

- ▶ How disability affects
- ▶ Measurable annual goals
- ▶ Accommodations and special education services location, frequency, and duration
- ▶ Transition by age 16, MPSG, course of study, and transfer of rights.

---

---

---

---

---

---

---

---

## Common Findings Cont...

### ▶ PPWN – Content on Notice

- ▶ The notice must include the following:
  - A description of the action proposed or refused by the district, an explanation of why the district proposes or refuses to take the action, and a description of any other options the IEP team considered and the reasons why those options were rejected;
  - A description of each evaluation procedure, assessment, record, or report that the district uses as a basis for the proposal or refusal;
  - A description of any other factors which are relevant to the district's proposal or refusal

ARSD 24:05:30:05

---

---

---

---

---

---

---

---

## 5 Day Notice

- ▶ **24:05:30:04. Prior notice.** Written notice which meets the requirements of § 24:05:30:05 must be given to the **parents five days before the district** proposes or refuses to initiate or change the identification, evaluation, or educational placement of the child or the provision of a free appropriate public education to the child. The five-day notice requirement may be waived by the parents.

---

---

---

---

---

---

---

---

## Area, Issue, Prong 1 requirement examples

Area	Issue	Prong 1
Eligibility	Missing the _____ assessment for eligibility	District will need to complete the assessment for the eligibility determination. Write the summary report. IEP Team will meet to review the evaluation report and determine if impact on the eligibility designation and if impact the IEP.
IEP – Annual Goal	Annual goals 1 and 2 are missing a criteria	IEP team will amend or develop a new IEP to contain all required components of the annual goals.
Evaluation	District acquired permission to evaluation in an area (not required for eligibility) but did not conduct the evaluation.	IEP team must determine if behavior evaluation is necessary. If yes, then complete the evaluation process. If no, document on the PPWN the decision not to evaluate and why.

---

---

---

---

---

---

---

---

---

---

## Issue and Prong 1 examples

Area	Issue	Prong 1
Parent Input	Parent documented input into the evaluation is missing	This cannot be corrected. Technical assistance on including parents and documentation of the parental input into the evaluation process will be completed.
Services Documentation	Special Education Services for reading and math were combined into one designated time and location. It was not clear how much time student receive special education services for each.	Amend the IEP to split each area of service in math and reading and address the amount of service time in that area.
Services Documentation	Speech services location were documented as speech room/general education classroom. It is unclear how much time student will be removed from non-disabled peers.	Amend the IEP to designate the location and time services will be provided.

---

---

---

---

---

---

---

---

---

---

## Training and Information

- ▶ As non-compliance data is obtained, Special Education Programs has incorporated areas in IEP workshops and discussions on the monthly Special Education Director Calls.
- ▶ It also helps identify updates in the IEP Technical Assistance Guides and other guidance documents.

---

---

---

---

---

---

---

---

---

---

## Feedback

- ▶ What type of corrections should Special Education Programs consider to improve compliance?
- ▶ Any other suggestions to improve compliance and results for students with disabilities?

---

---

---

---

---

---

---

---