The Continuous Improvement Process is a blend of compliance monitoring and improving outcomes for students. During Phase I of the Continuous Improvement Process, a designated number of student files were reviewed to verify compliance with state and federal requirements.

Based on Phase I review, a Corrective Action Plan (CAP) is developed. The CAP is implemented by the Local Education Agency (LEA) and compliance is ensured by the Alabama State Department of Education (ALSDE).

The purpose of this report is to provide feedback to the agency in identifying findings of noncompliance that must be corrected as soon as possible, and in no case later than one year from identification of noncompliance. The report also identifies the corrective action that must be taken by the agency as well as the documentation that must be submitted to the ALSDE. In addition, the report informs the agency of the steps the ALSDE will take in order to ensure 100% correction of noncompliance with the statutory requirement(s).
The Focused Monitoring Report will include the following:

- FINDINGS OF NONCOMPLIANCE
- IMMEDIATE CORRECTION STRATEGIES
- IMPROVEMENT STRATEGIES
- DOCUMENTATION OF CORRECTIVE ACTION

GLOSSARY

AAA .......... Alabama Alternate Assessment
AAC .......... Alabama Administrative Code
ADRS ........ Alabama Department of Rehabilitation Services
ALSDE ....... Alabama State Department of Education
AMSTI ....... Alabama Math, Science and Technology Initiative
ARI ........... Alabama Reading Initiative
AYP .......... Adequate Yearly Progress
AOD .......... Alabama Occupational Diploma
CRS .......... Children’s Rehabilitation Services
CTIP .......... Career Technical Implementation Plan
DB .......... Deaf-Blindness
DD ........... Developmental Delay
ECEC .......... Environmental, Cultural, and/or Economic Concerns Checklist
ED ........... Emotional Disability
EI ........... Early Intervention
ESL ........... English as a Second Language
ESY .......... Extended School Year
HI .......... Hearing Impairment
ID .......... Intellectual Disability

IEP .............. Individualized Education Program
LEA ............ Local Education Agency (to include State-Operated/ State-Supported Agencies)
LEP ............. Limited English Proficiency
LRE ........... Least Restrictive Environment
MD ............. Multiple Disabilities
OHI .......... Other Health Impairment
OI .......... Orthopedic Impairment
OT .......... Occupational Therapy
PST .......... Problem Solving Team
PT .......... Physical Therapy
SES .......... Special Education Services
SETS .......... Special Education Tracking System
SLD .......... Specific Learning Disability
SLI .......... Speech or Language Impairment
SPDG .......... State Personnel Development Grant
SSR .......... Student Services Review
TBI .......... Traumatic Brain Injury
VI .......... Visual Impairment
VRS .......... Vocational Rehabilitation Services
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<tr>
<th>FINDINGS OF NONCOMPLIANCE</th>
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<tbody>
<tr>
<td>Protection In Evaluation Procedures</td>
<td>Convene the IEP Team and review the eligibility of the students discussed during the on-site visit. Reevaluate students as determined appropriate by a review of eligibility. Convene the IEP Team/Eligibility Committee and determine eligibility for the students who were evaluated as determined appropriate by the review. Use the information in the file to correct the eligibility report by documenting the missing information on the appropriate pages of the Notice and Eligibility Decision Regarding Special Education Services form for the students. Indicate corrected copy and date of correction on the Notice and Eligibility Decision Regarding Special Education Services form.</td>
<td>Provide to the appropriate teachers and administrators information, training, and/or technical assistance on the following: The evaluation, eligibility, and reevaluation process/criteria and requirements for each disability area. The evaluation process, using appropriate assessment data to determine eligibility. The required information that must be documented on the eligibility report. The proper use and completion of notice and consent forms.</td>
<td>Provide to the ALSDE documentation of the information, training, and/or technical assistance provided including, but not limited to, training agenda/outline and participant sign-in forms. The participant sign-in forms should contain columns for the following: name, position, and school/worksite.</td>
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</tbody>
</table>

The education agency did not conduct a full and individual initial evaluation, before the initial provision of special education and related services to a student with a disability. AAC 290-8-9-.02(1)(c); 34 CFR § 300.301(a)

The education agency did not assess all areas related to the suspected disability, whether or not commonly linked to the disability category. AAC 290-8-9-.02(1)(f); 34 CFR § 300.304(c)(4)

In evaluation decisions the education agency did not administer tests and other evaluation materials as may be needed to produce the data needed to determine whether the child has a particular disability or continues to be a child with a disability. AAC 290-8-9-.02(1)(d)(2)(v); 34 CFR § 300.305(a)(c)

Upon completing the administration of tests and other evaluation materials, the education agency did not provide a copy of the evaluation report and documentation of determination of eligibility to the parent. AAC 290-8-9-.04(2)(b); 34 CFR § 300.306(a)(2)

The required assessments were not administered to each student before the eligibility determination meeting. AAC 290-8-9-.03; 34 CFR § 300.301(a)
### FINDINGS OF NONCOMPLIANCE

**Immediate Correction Strategies (30-Day items)**

- Consent is not obtained prior to conducting an initial evaluation.  
  AAC 290-8-9-.02(1)(a); 34 CFR § 300.300(a)

  - Complete the *Notice of Proposal or Refusal to Take Action* form with explanation regarding omission of the documentation on the eligibility report.
  - Send a copy of both forms to the parent and/or student.
  - Document the date sent in the appropriate place on the *Notice and Eligibility Decision Regarding Special Education Services* form.
  - Provide to the parent/student the *Notice of Proposal or Refusal to Take Action* form with explanation regarding corrective action taken.
  - Obtain the missing consent form for the students.

**Improvement Strategies**

- Review the IEPs of the students discussed during the on-site visit.
- Revise IEPs as determined appropriate by the review.
- Address the components that were not completed as required.

**Documentation of Corrective Action**

- Provide to the appropriate teachers and administrators information, training, and/or technical assistance on the following:

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### Individualized Education Program (IEP)

- Each student's IEP does not include a student profile, detailing how the student's disability affects the student's involvement and progress in the general curriculum or for preschool children as appropriate, how the disability affects the child's involvement.  
  AAC 290-8-9-.05(6)(a); 34 CFR § 300.320(a)(i)(ii)

- Each student's IEP does not include a statement of measurable annual goals.

- Review the IEPs of the students discussed during the on-site visit.
- Revise IEPs as determined appropriate by the review.
- Address the components that were not completed as required.

- Provide to the appropriate teachers and administrators information, training, and/or technical assistance on the following:

- Provide to the ALSDE documentation of the information, training, and/or technical assistance provided including, but not limited to, training agenda/outline and participant sign-in forms.
### FINDINGS OF NONCOMPLIANCE

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<td>AAC 290-8-9-.05(6)(b)(o); 34 CFR § 300.320(a)(i)(ii)</td>
<td>3-Month Training</td>
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<tr>
<td>Each student's IEP is not written to the general education content standards; or Alabama Extended Standards for students with significant cognitive disabilities who are being assessed with the Alabama Alternate Assessment; or Developmental Standards for preschool children with disabilities. AAC 290-8-9-.05(6)(o)</td>
<td>IEP development that includes completion of the form as well as the process for developing an IEP based on the individual needs of the student. Begin with the profile and continue through the delivery and evaluation of services. Specifically train on all required IEP components.</td>
<td>The participant sign-in forms should contain columns for the following: name, position, and school/worksite.</td>
</tr>
<tr>
<td>Each student's IEP does not include a statement of the special education and related services and supplementary aids and services or program modifications or supports for school personnel. AAC 290-8-9-.05(6)(c); 34 CFR § 300.320(a)(4)</td>
<td>Procedures for providing a copy of the IEP to parents/students.</td>
<td></td>
</tr>
<tr>
<td>Each student's IEP does not include a projected date for the beginning of services and modifications and the anticipated frequency, location, and duration. AAC 290-8-9-.05(6)(f); 34 CFR § 300.320(a)(7)</td>
<td>The completion of the Alabama Student Assessment forms in the IEP.</td>
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</tr>
<tr>
<td>There is no documentation that a copy and/or access to the IEP is provided to regular/special education teacher(s) and other related service provider(s). AAC 290-8-9-.05(7); 34 CFR § 300.323(d)(1)</td>
<td>Completion of the notice and consent forms.</td>
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<tr>
<td>There is no documentation that each teacher and provider is informed of his/her specific responsibilities relating to implementing the IEP. AAC 290-8-9-.05(7); 34 CFR § 300.323(d)(2)(i)</td>
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Send a copy of the completed/amended IEP to the parents of the students.

Send the Notice of Proposal or Refusal to Take Action form to the parent with explanation regarding corrective action taken.

Document the date sent in the appropriate place on the IEP form.

Convene the IEP team to develop a current IEP for the applicable student(s).

Complete the Persons Responsible form for the students discussed during the onsite visit.

Review the IEPs and complete the Alabama Student Assessment forms for the students:

Send a copy of the revised/amended IEP, including the Alabama Student Assessment forms, to the parent and document the date sent on the signature page of the IEP.
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<td>accommodations, modifications, and supports that must be provided in accordance with the IEP. AAC 290-8-9-.05(7); 34 CFR § 300.323(d)(2)(ii)</td>
<td>Obtain the missing consent form for the students indicated. Complete the Notice of Proposal or Refusal to Take Action form with explanation regarding the missing consent form.</td>
<td>3-Month Training</td>
<td>6-Month Training</td>
</tr>
<tr>
<td>The IEP notice does not include the purpose, time, location, anticipated participants, and inform the parents that they may bring other individuals who have special expertise regarding the child. AAC 290-8-9-.05(b); 34 CFR § 300.322(b)(4)</td>
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<tr>
<td>The education agency does not provide a copy of the IEP to the parent(s). AAC 290-8-9-.05(f); 34 CFR § 300.322(f)</td>
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<tr>
<td>Consent is not obtained prior to the initial provision of special education services. AAC 290-8-9-.04(4)(a); 34 CFR § 300.300(b)(1)</td>
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<tr>
<td>Children with disabilities are not included in the general state and district-wide assessment programs with appropriate accommodations and modifications in administration, if necessary. AAC 290-8-9-.02(8); 34 CFR § 300.320 (a)(5)(6)(i)(ii)(A)(B).</td>
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Steps to be taken by the ALSDE to ensure compliance with the Statutory Requirements

1. For each Immediate Correction Strategy (30-day item), the ALSDE will review corrections on line.

2. Sixty calendar days from the date the LEA received notification of the status of the immediate correction strategies, a random sample of updated data will be pulled and reviewed. The education agency must show 100% correction of noncompliance before SES is allowed to clear/close out the focused monitoring process. If the same findings are identified during the review of updated data, the education agency will not show 100% correction of noncompliance and Step 3 will be taken.

3. Twenty calendar days from the last review of new/updated data, a random sample of new/updated data will be pulled and reviewed. The education agency must show 100% correction of noncompliance before SES is allowed to clear/close out the focused monitoring process. If the same findings are identified during the review of updated data, the education agency will not show 100% correction of noncompliance and Step 4 will be taken.

4. Ten calendar days from the last review of new/updated data, a random sample of new/updated data will be pulled and reviewed. The education agency must show 100% correction of noncompliance before SES is allowed to clear/close out the focused monitoring process. If the same findings are identified during the review of updated data, the education agency will not show 100% correction of noncompliance and the ALSDE will determine what enforcement procedures will be considered.

Enforcement Procedures:
1. The Special Education Coordinator will receive a call from the Program Coordinator of Special Education.
2. A letter will be written to the Superintendent outlining the seriousness of correction of noncompliance.
3. A Compliance agreement will be implemented.
4. The Superintendent will be directed to come to the ALSDE and meet with the Director of the Office of Learning Support, Program Coordinator of Special Education, Focused Monitoring Administrator, and the Focused Monitoring Team Leader.
5. Withholding of funds procedures may be implemented.