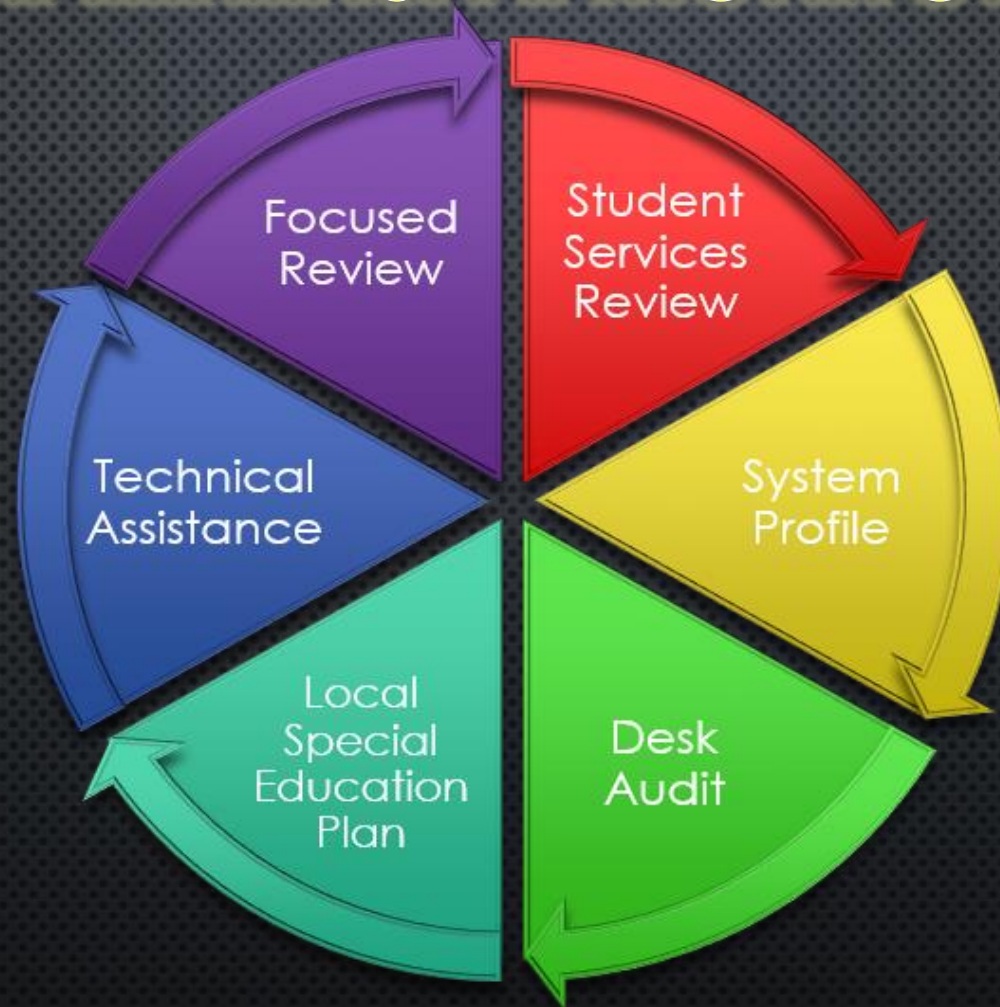


SPECIAL EDUCATION SERVICES COMPREHENSIVE MONITORING:



A STEP TOWARDS CONTINUOUS IMPROVEMENT

PURPOSE OF MONITORING

MEMO: OSEP 09-02

The purpose of the memo is twofold:

- 1) A State must report that the previously identified noncompliance has been corrected.**
- 2) States must demonstrate substantial compliance**

PURPOSE OF MONITORING

- **The State must report identified noncompliance that was not corrected within a year.**
- **Regardless of the level of noncompliance a state must notify an LEA in writing the findings of non compliance.**

PURPOSE OF MONITORING

Steps that an LEA must take to correct the noncompliance and to document such correction, the state may consider a variety of factors:

- 1) Was noncompliance extensive or found in only a small percentage of files
- 2) Resulted in the denial of a basic right under IDEA
- 3) Represents an isolated incident in the LEA or reflects a long standing failure to meet the IDEA requirements.

ALSDE Monitoring

Compliance Monitoring

- Federal Programs
 - Transportation
 - Career Technical
- Counseling and Guidance
 - Library Media
- Prevention and Support
 - Technology
 - Transportation

Comprehensive Monitoring

- Special Education
 - Focused Monitoring
Leading to Technical Assistance (TA)
-
- As a result of the Risk Rubric, LEAs will receive TA based on the identified level of risk.

THE 5-YEAR CYCLICAL MONITORING SCHEDULE

2018-2019 SES ON-SITE

First Day On-Site Date	System
September 10, 2018	Calhoun Co
September 17, 2018	Florence City
September 17, 2018	Barbour Co
October 1, 2018	Greene Co
October 1, 2018	Chambers Co
October 9, 2018	Coosa Co
October 29, 2018	Leeds City
October 29, 2018	Macon Co
November 5, 2018	Madison City
November 5, 2018	Randolph Co
November 13, 2018	Bullock Co
November 13, 2018	Demopolis City
November 26, 2018	Fayette Co
December 3, 2018	Clay Co

First Day On-Site Date	System
January 14, 2019	Dale Co
January 14, 2019	Morgan Co
January 28, 2019	Eufaula City
January 28, 2019	Homewood City
February 4, 2019	Conecuh Co
February 4, 2019	Muscle Shoals City
February 11, 2019	Choctaw Co
February 11, 2019	Midfield City
March 4, 2019	Pickens Co
March 4, 2019	Walker Co
March 11, 2019	Chickasaw City
March 11, 2019	Guntersville City

LOCAL EDUCATION AGENCIES AT RISK

- Staff will conduct a Risk Assessment Annually as a form of monitoring.
- SES will assign a level of risk:
- Elements Include:
 - Data integrity
 - Indicator data
 - Fiscal data
 - Determination status
 - Other (i.e., Special Education Coordinator/Director experience, professional Learning).

Risk	Range
Low	<34
Medium	34-67
High	>67

RISK RUBRIC

<u>DATA INTEGRITY</u>	<u>RISK SCORE</u>
Child Count	
Student Exiting Information*	
Personnel Data*	
Student Evaluated w/in 60 Day Timeline	
Part C to B Transition	
Early Learning Progress Profile	
Secondary Transition	
Total Score	7

RISK RUBRIC

RESULTS INDICATOR DATA	
Dropout Rates (Indicator 2)	
Suspensions/Expulsions (Indicator 4a)*	
LRE - Inside general education 80% or more of the day (Indicator 5a)	
LRE - Inside general education less than 40% of the day (Indicator 5b)	
LRE - Separate Schools, Residential Facilities (Indicator 5c)	
Preschool LRE (Indicator 6a)	
Preschool LRE (Indicator 6b)	
Preschool Outcomes (Indicator 7A2)	
Preschool Outcomes (Indicator 7B2)	
Preschool Outcomes (Indicator 7C2)	
Parental Involvement (Indicator 8)	
Post School Outcomes (Indicator 14a)	
Post School Outcomes (Indicator 14b)	
Total Points	28

RISK RUBRIC

FISCAL DATA	<u>Risk Score</u>
Single Audit Review (Federal IDEA Findings/Corrections)	
Comprehensive Coordinated Early Intervening Services, CCEIS	
Subgrants/Financial Support - Timely Submission	
Subgrants/Financial Support - Corrections Required	
Allocation of Funds-use of funds (carryover >31%)	
Total Points	10

RISK RUBRIC

DETERMINATIONS

Needs Intervention (NI) or Needs Substantial Intervention (NSI)

Needs Assistance (NA)

Meet Requirements (MR)

Total Points	45
OTHER	
Professional Learning	
Back to School - September 2017	
Total Points	5

OTHER

New Special Education Director/Coordinator

0-5 Years Experience

5-10 Years Experience

> 10 Years Experience

Total Points	5
OVERALL SCORE	100

TECHNICAL ASSISTANCE SUPPORT OPTIONS

Universal

- Low intensity, low frequency, limited duration
- One-time events with topics of broad interest; includes dissemination of products and resources
- Example – News You Can Use; training sessions/webinar; conferences/professional gatherings

Targeted

- Moderate frequency; relatively short duration
- One-time or series of events on a specific topic
- Example – All of the above examples plus regional training

Intensive

- Intensively focused and planned; highly frequent
 - Includes face-to-face contact and routine distance communications
 - Example – All of the above examples plus on-site guidance and coaching by ALSDE staff determined by identified area(s) of focus
-

CONNECTING THE PIECES



ACRONYMS USED IN MONITORING

MA - MONITORING ADMINISTRATOR

DA - DATA ANALYST

TL - TEAM LEADER

RS- REGIONAL SPECIALIST

SSR- STUDENT SERVICES REVIEW

FONC- FINDINGS OF NONCOMPLIANCE

SELF-ASSESSMENT MANUALS PART 1 & 2



Complete

Alabama State Department of Education

and keep

2018-2019

on-site at



LEA.
Comprehensive Monitoring
Self-Assessment Manual

Part 1 of 2

Revised July 17, 2018



Alabama State Department of Education

2018-2019






Comprehensive Monitoring
Self-Assessment Manual

Part 2 of 2

Revised July 17, 2018



SUBMIT ASSURANCE STATEMENT

- Will be mailed from Paul Gay's office


	STATE OF ALABAMA DEPARTMENT OF EDUCATION		
DOCUMENT OF ASSURANCE			
MAIL BY:		TO:	Paul Gay, Coordinator Compliance Monitoring - Room 5146 Alabama State Department of Education P. O. Box 302101 Montgomery, Alabama 36130-2101
<p>In accordance with 29 CRF Subpart D-Section 99-400 and OMB Circular No. A-133, the Alabama State Department of Education requests this Document of Assurance from all school systems.</p> <p>A. AFFIDAVIT OF LOCAL SUPERINTENDENT</p> <p>After careful review of the Self-Assessments, we hereby certify that all federal laws implemented in this school compliance. When non-</p>			
<div style="border: 2px solid yellow; padding: 10px; font-size: 2em; font-weight: bold; background-color: #333; color: white;">Due September 14, 2018</div>			
Signature of Superintendent		Date	
Subscribed and sworn to before me this _____ day of _____ 20____.		Print Name of Superintendent	
Signature of Notary Public		Board of Education	

SUBMIT TECHNICAL ASSISTANCE FORM

- Will be mailed from Paul Gay's office

 STATE OF ALABAMA
DEPARTMENT OF EDUCATION 

Complete this form whether you need technical assistance or not...

MAIL BY:  **TO:** Paul Gay, Coordinator
Compliance Monitoring - Room 5146
Alabama State Department of Education
P. O. Box 302101
Montgomery, Alabama 36130-2101

TECHNICAL ASSISTANCE FORM

PART I - Complete this part whether you need technical assistance or not.

Board of Education, Charter School, or Specialized Treatment Center **does not** request technical assistance at this time.
OR
Board of Education, Charter School, or Specialized Treatment Center requests technical assistance in the areas indicated in PART II.

PART II - Complete this section only if you need technical assistance.

PROGRAM	SECTION	PAGE	PROGRAM CONTACT PERSON
Administration and Finance			
EDUCATE/LEAD Alabama			
Technology			
Transportation			
AMSTI			
ARI			
Teaching & Leading			
Gifted Education			
Special Education			

PART III - Complete this part whether you need technical assistance or not.

DATE _____ SUPERINTENDENT'S SIGNATURE _____

BOARD OF EDUCATION _____ PRINT NAME OF SUPERINTENDENT _____

Due September 14, 2018

PRIOR TO SES ON-SITE MONITORING

Six weeks prior to Comprehensive Monitoring

SES will :

- Conduct Pre-Staffing (LEA-at-a-Glance I)

Five weeks prior to Comprehensive monitoring

SES will:

- Pull random sample for desk audit

PRIOR TO SES ON-SITE MONITORING

Four weeks prior to Comprehensive monitoring

LEA will receive:

- SSR List
- Call from the Team Leader to discuss current monitoring procedures, timelines, and requirements.
- Email from Team Leader to request indicator verification documentation.
- Email from Team Leader concerning SSR procedures, sample schedules, etc...

DESK AUDIT REVIEW

- **CURRENT ELIGIBILITY**
- **CURRENT IEP PROCESS**

SES ON-SITE MONITORING PROCESS

FOUR WEEKS PRIOR TO COMPREHENSIVE MONITORING

LEA WILL RECEIVE:

- SSR List
- Call from the Team Leader to discuss current monitoring procedures, timelines, and requirements.
- Email from Team Leader to request indicator verification documentation.
- Email from Team Leader concerning SSR procedures, sample schedules, etc...

SES ON-SITE MONITORING PROCESS

TWO WEEKS PRIOR TO COMPREHENSIVE MONITORING

LEA WILL:

- Submit Schedule to Team Leader for SSRs
- Upload Indicator Verification documentation in SETS.
- Complete the System Profile/Fiscal Review in AdvancED ASSIST.

DURING ON-SITE VISIT

Day One

- SES will travel to the LEA
- LEA checks to ensure interviews are on schedule
- Team Leader, Regional Specialist and Special Education Coordinator review Findings of Noncompliance (FONC)
- Schedule a time and location for Exit Conference on day four.

FINDINGS OF NONCOMPLIANCE REPORT

	Student Name/Disability Category	Process	Findings of Noncompliance	Date Corrected by LEA
1.		Eligibility	<p>Compliance Corrections: <i>Referral for Evaluation</i> <i>Notice and Invitation to a Meeting/Consent for Agency Participation</i> <i>Notice and Consent for Initial Evaluation</i> <i>Special Education Rights</i> <i>Notice of Proposal or Refusal to Take Action</i> <i>Notice and Eligibility Decision Regarding Special Education Services</i> <i>Notice and Consent for the Provision of Special Education Services</i> Referral Process <i>Notice of IEP Team's Decision Regarding Reevaluation</i> <i>Notice and Consent for Reevaluation</i> Reevaluation Process</p>	
		IEP	<p>Compliance Corrections: <i>Notice and Invitation to a Meeting/Consent for Agency Participation</i> <i>Individualized Education Program Profile Page</i> <i>Individualized Education Program Profile Page 2</i> <i>Individualized Education Program Transition Page</i> <i>Individualized Education Program Annual Transition Goals Page</i> <i>Individualized Education Program Annual Goal Page(s)</i> <i>Individualized Education Program Services Page</i> <i>Individualized Education Program Signature Page</i> <i>State Testing Forms</i> <i>Persons Responsible for IEP Implementation</i> <i>Annual Goal Progress Report</i> <i>Notice of Proposal or Refusal to Take Action</i> <i>Notice and Provision of Special Education Services</i> <i>Written Agreement between the Parent and the Public Agency to Amend the IEP</i> <i>Special Education Rights</i> IEP Process</p>	

FINDINGS OF NONCOMPLIANCE REPORT

- Review of FONC (“Prong 1” activities) will be reviewed first day of on-site visit
- Items that are bolded on the report have to be corrected within “30-days”
- Items not bolded require training

***All changes made to the IEP must follow the Amendment process (Process Chart 5)**

DURING ON-SITE VISIT

Day Two and Three

- **SES monitoring team conducts scheduled Student Services Reviews (SSRs)**

Day four

- **Hold Exit Conference (with Special Education Coordinator and anyone invited by LEA to attend).**

FINDINGS OF NONCOMPLIANCE REPORT

Systemic Issues will be Identified

Systemic Issues

Noncompliance:

was extensive

resulted in the denial of a basic right under the IDEA (e.g., timelines, FAPE, Child Find, Transition, provision of services, etc.)

reflects a long-standing failure to meet the IDEA requirements

*Note: Noncompliance descriptors noted above are based upon OSEP Memo 09-02.

Issues:

1.



Technical Assistance

AFTER SES ON-SITE VISIT

- **Monitoring team may request additional information**
- **SES Staff will meet to complete Comprehensive Monitoring Report (LAAG II)**
- **SES will coordinate with Special Education Coordinator for Technical Assistance (TA) in the identified areas**
- **Data Analyst (DA) calls Special Education Coordinator to determine review process for 30 day corrections**

AFTER SES ON-SITE

- **LEA completes corrections for 30 day items “Prong 1”**
 - ✓ **all changes to the IEP must follow the amendment process – (Process Chart 5)**
 - ✓ **Best practice is for Special Education Coordinator to provide training prior to making “30 day” corrections**
- **LEA will be notified by AdvancED that Corrective Action Plan (CAP) has been created in ASSIST (this action begins the timeline)**
- **LEA will receive email indicating correction of each individual case of noncompliance**

NEW DATA (PRONG 2)

- **New data pull consists of new eligibilities/IEPs completed within a given window.**
- **No more than 25 student records will be pulled (or 1% for larger LEAs).**
- **SES will look at systemic issues cited on FONC.**
- **All LEAs must show 100% compliance to meet OSEP Memo 09-02 requirements.**

SECOND DATA PULL

- **Second data pull occurs only if new DATA do not show 100% compliance.**
- **If second data pull does not show compliance the Special Education Coordinator and Superintendent must meet with Program Coordinator, Monitoring Administrator and SES staff.**

UPDATES

SYSTEM PROFILE -UPDATE

- 5a Upload a list of Paraprofessionals working in the non-title I schools
 - ✓ Please identify paraprofessionals based on the school in which they work
 - ✓ Indicate whether they are hired as “personal care” or “instructional paraprofessional”
- Upload a list of interpreters along with their current certification

5. PERSONNEL CERTIFICATION/LICENSURE.

a. Copies of certification/licensure for non-teaching personnel.

Provide copies of current certificates/licensure for public education agency employees and/or contract providers performing assessments, counseling (other than school counselors), occupational therapy, physical therapy, and school nursing services. Be sure to check expiration dates on the certificate/license of all providers. It is the state licensure that must be on file. Additional certification/licensure may also be maintained. Do not include any personnel who have a teaching certificate.

b. Number of teachers not infield/highly qualified and attempts to locate certified personnel.

Provide the number of teachers who are not in field/highly qualified and any positions that need to be filled. Include copies of job announcements, documentation of attempts to recruit certified personnel, and documentation of continuing education for certification for out-of-field teachers.

c. Names of independent evaluators used by public education agency.

Provide the names of independent evaluators provided to parents upon request.

ALTERNATE ACHIEVEMENT STANDARDS

- Students on AAS must have math, reading, and functional goals.
- Functional goals may include: behavior, communication, study skills, time management, social skills, affective skills, motivation, adaptive/daily living skills, etc. (Q& A, Standards Based IEPs, p. 1)

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INDIVIDUALIZED EDUCATION PROGRAM

STUDENT'S NAME: _____ DOB: _____

Identify the area the MEASURABLE ANNUAL GOAL will address. The area may be an academic content area (e.g., math, science) and/or a functional area (e.g., community participation, behavior). For all students working on Alternate Achievement Standards (following the Alternate Achievement Standards pathway), each content area (e.g., reading, math, and functional skills) must be addressed.

AREA: _____

PRESENT LEVEL OF ACADEMIC ACHIEVEMENT AND FUNCTIONAL PERFORMANCE:
State how the student's disability affects his/her involvement and progress in the general education curriculum for this particular area of instruction, or for preschool age students, how the disability affects the student's participation in age-appropriate activities.

[\(Link to Curriculum Guides\)](#) [\(Link to Alternate Achievement Standards\)](#)

MEASURABLE ANNUAL GOAL related to meeting the student's needs:
Target the individual needs of the student resulting from the student's disability and how the student's disability affects his/her involvement and progress in the general education curriculum. Describe what a student can reasonably be expected to accomplish within one school year.

DATE OF MASTERY: _____

TYPE(S) OF EVALUATION FOR ANNUAL GOAL:
Check each type of evaluation that will be used to evaluate the MEASURABLE ANNUAL GOAL. (At least one must be chosen.)

Curriculum Based Assessment Teacher/Text Test Teacher Observation Grades
 Data Collection State Assessment(s) Work Samples
 Other: _____ Other: _____

BENCHMARKS:
Include at least two Benchmarks for students working on Alternate Achievement Standards or for students in public agencies that require Benchmarks. Benchmarks are required for all students working on Alternate Achievement Standards. This includes academic goals and functional goals, regardless of whether it is a testing year.

1. _____	Date of Mastery:
2. _____	Date of Mastery:
3. _____	Date of Mastery:
4. _____	Date of Mastery:

BENCHMARKS

- At least 2 benchmarks per goal are required.
- “Benchmarks are required for all goals for students who take the AAA. This includes academic goals and functional goals, regardless of whether it is a testing year or not.” (Q&A, Standards Based IEPs, p. 10)

BENCHMARKS:

Include at least two Benchmarks for students working on Alternate Achievement Standards or for students in public agencies that require Benchmarks. Benchmarks are required for all students working on Alternate Achievement Standards. This includes academic goals and functional goals, regardless of whether it is a testing year.

- | | |
|----------|------------------|
| 1. _____ | _____ |
| | Date of Mastery: |
| 2. _____ | _____ |
| | Date of Mastery: |
| 3. _____ | _____ |
| | Date of Mastery: |
| 4. _____ | _____ |
| | Date of Mastery: |

Page ____ of ____

ALSDE Approved Feb. 2018

***SES will apply same standard of compliance, if your LEA requires benchmarks to be written for all students.**

ASSESSMENTS



SPEECH OR LANGUAGE IMPAIRMENT: ASSESSMENT REFERENCE FOR ELIGIBILITY

August 2018

Clinically significant scores for eligibility purposes are determined by the Alabama Administrative Code:
Standard Score (SS) = 70 (-2SDs) and below. (Common metric: Mean= 100; Standard Deviation = 15.)
Scale Score (ss) = 4 (-2 SDs) and below. (Mean=10; Standard Deviation = 3. A scale score is a type of standard score identified conversion of "ss" scores to "SS" scores is located on the SES website under the Assessment tab.

SCREENERS: Any assessment considered a screener is not appropriate for eligibility. A screener is generally an instrument, traditional instrument with many items and subtests.

NEW ASSESSMENTS: The general rule of thumb is that LEAs have a maximum of 3 years before they must be using the most current version of an assessment.

Age	Terms used to Report Results	Clinical Significance

ASSESSMENT REFERENCE FOR ELIGIBILITY

August 2018

Clinically significant scores for eligibility purposes are determined by the Alabama Administrative Code:
Standard Score (SS) = 70 (-2SDs) and below. (Common metric: Mean= 100; Standard Deviation = 15.)
Scale Score (ss) = 4 (-2 SDs) and below. (Mean=10; Standard Deviation = 3. A scale score is a type of standard score identified conversion of "ss" scores to "SS" scores is located on the SES website under the Assessment tab.

EXCEPTION - most behavior rating scales: T-score 70 (+2 SD's) and above or... 130 standard score (Mean= 100; Standard Deviation = 15) and above. Indicate scores as common metric standard scores on eligibility report. T-scores can be reported under "Other ____."

SCREENERS: Any kind assessment considered a screener is not appropriate for eligibility. A screener is generally an instrument with a few items compared to a traditional instrument with many items and subtests.

NEW ASSESSMENTS: Generally, older versions of assessments may be used up to 3 years after the publication date of the newest update. Some assessments may specify different time periods in their examiner's manuals.

INTELLECTUAL/DEVELOPMENTAL ASSESSMENTS: Generally, older versions of assessments may be used up to 3 years after the publication date of the newest update. Some assessments may specify different time periods in their examiner's manuals.

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(2015) Diagnostic Evaluation of Articulation and Phonology (DEAP)	3:0 – 8:11	(Sounds in error and/or error patterns should be listed.)	individual	(Pro-Ed, 2014)	5:0 – 17:11	CAS2 Full Scale	70SS and Below	<ul style="list-style-type: none"> • Measures Planning, Attention, Simultaneous and Successive Processes • Use Standard Battery • Flexibility with bilingual or Hearing-Impaired
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TOP “10” COMPLIANCE ISSUES

1. Transition

2. *Notice and Invitation to a Meeting/Consent for Agency Participation*

3. Assessment results in meaningful terms

4. PLAAFP

5. Progress reports

TOP "10" COMPLIANCE ISSUES

6. LRE statement

7. Annual Goals

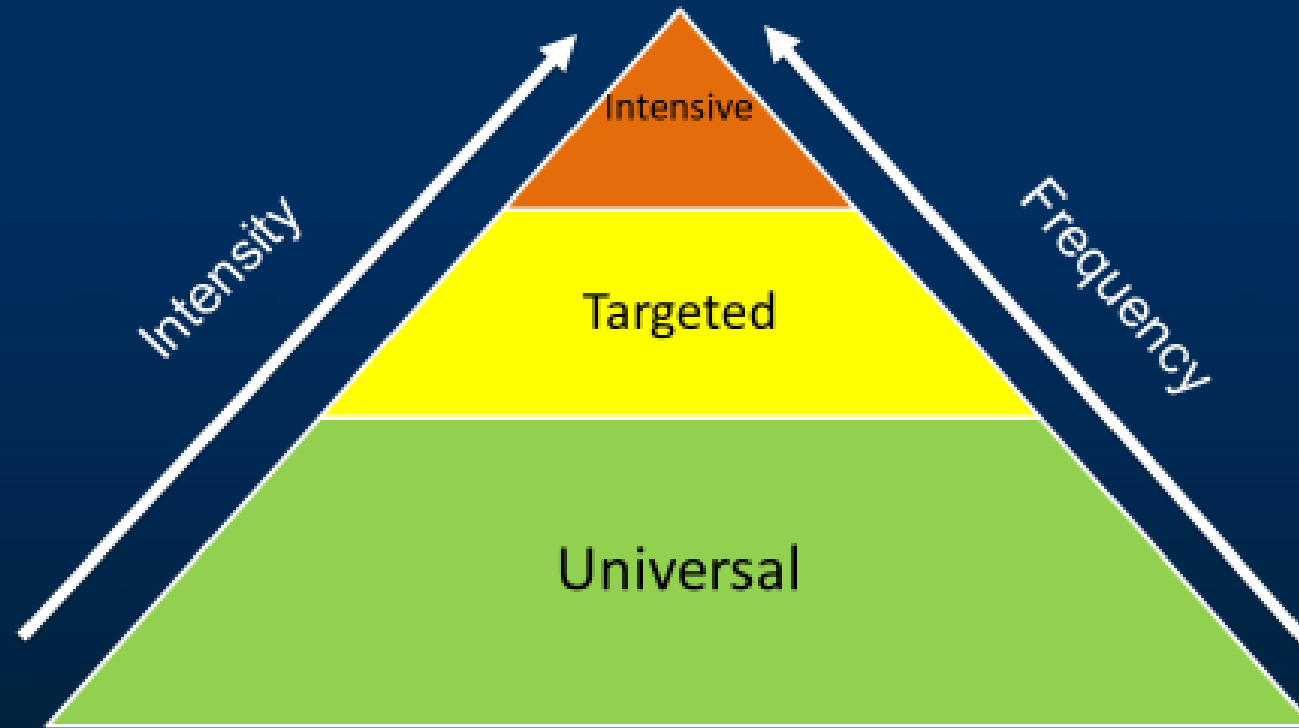
8. Specially Designed Instruction

9. *Notice of Proposal or Refusal to Take Action*

10. State Assessment Forms

TECHNICAL ASSISTANCE

Levels of Technical Assistance



THANK

YOU!