

ND Special Education Local IDEA Internal Monitoring Procedures 2006-2007

“North Dakota shall have a seamless education system that is responsive to the needs of all children, adolescents, and young adults, and their families. Parents and students must be given the opportunity to participate as full partners in all educational endeavors. We must build the capacity in general education for all children, while supporting each individual student’s rights and the gains made since the passage of federal legislation in special education. In such a system all children reap the benefits of a free appropriate public education through effective, research based, instructional programs and practices based on equitable standards with accountability and high expectations for all.”

*NDDPI Special Education IDEA Advisory Committee
Position Statement on a Unified System of Education
Approved on September 21, 2001*



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January 31, 2007

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Section I ND Special Education Quality Assurance

Background Information and Introduction

The process of documenting adherence to the requirements of the Individuals with Disabilities Education Act (IDEA) has gone through a steady evolution in the past decade. The process of State Education Agency (SEA) monitoring in North Dakota in the 1990's was primarily a series of activities conducted by the Department of Public Instruction. Teams of DPI monitors typically conducted on-site visits to local special education units across the state over a five year cycle. The special education teams focused on reviews of student files and the security of those files, conducted interviews with education personnel and some students, and obtained parent satisfaction information through surveys.

In the late 1990's, the U.S. Department of Education Office of Special Education Programs (OSEP) began changing its monitoring to include self-assessments with stakeholder involvement, increased focus, and an emphasis on continuous improvement. These changes affected the process of IDEA monitoring in North Dakota that was revised in 1999.

Another significant influence on federal monitoring practices was the **Government Performance Results Act (GPRA)**, a law that required agencies to have performance measures and indicators instead of a sole focus on input, or process, measures.

Widely considered to be a powerful influence on later accountability practices was the Thomas B. Fordham Institute's report, "Rethinking Special Education for a New Century." This report recommended sweeping reform of federal special education policy. It was a precursor to the President's Commission on Excellence in Special Education (2001) that identified areas for reform, including a need to focus more attention on achieving positive results for students with disabilities with a lesser emphasis on the process of special education. Almost simultaneously President Bush and Congress enacted the *No Child Left Behind Act* (2001) that dramatically emphasized academic achievement, including the performance of students with disabilities on statewide reading and mathematics assessments, and the public reporting of school district performance.

Thomas B. Fordham Institute Report

"Rethinking Special
Education for a New
Century"

http://www.edexcellence.net/institute/topic/topic.cfm?topic_id=15

President's Commission on Excellence in Special Education Problematic Areas in Special Education



President's Commission on Excellence in Special Education

Focus on **results**
not process.

Embrace a model of
Prevention, not a
model of failure.

RECOMMENDATIONS

Children with disabilities are
general education children first.

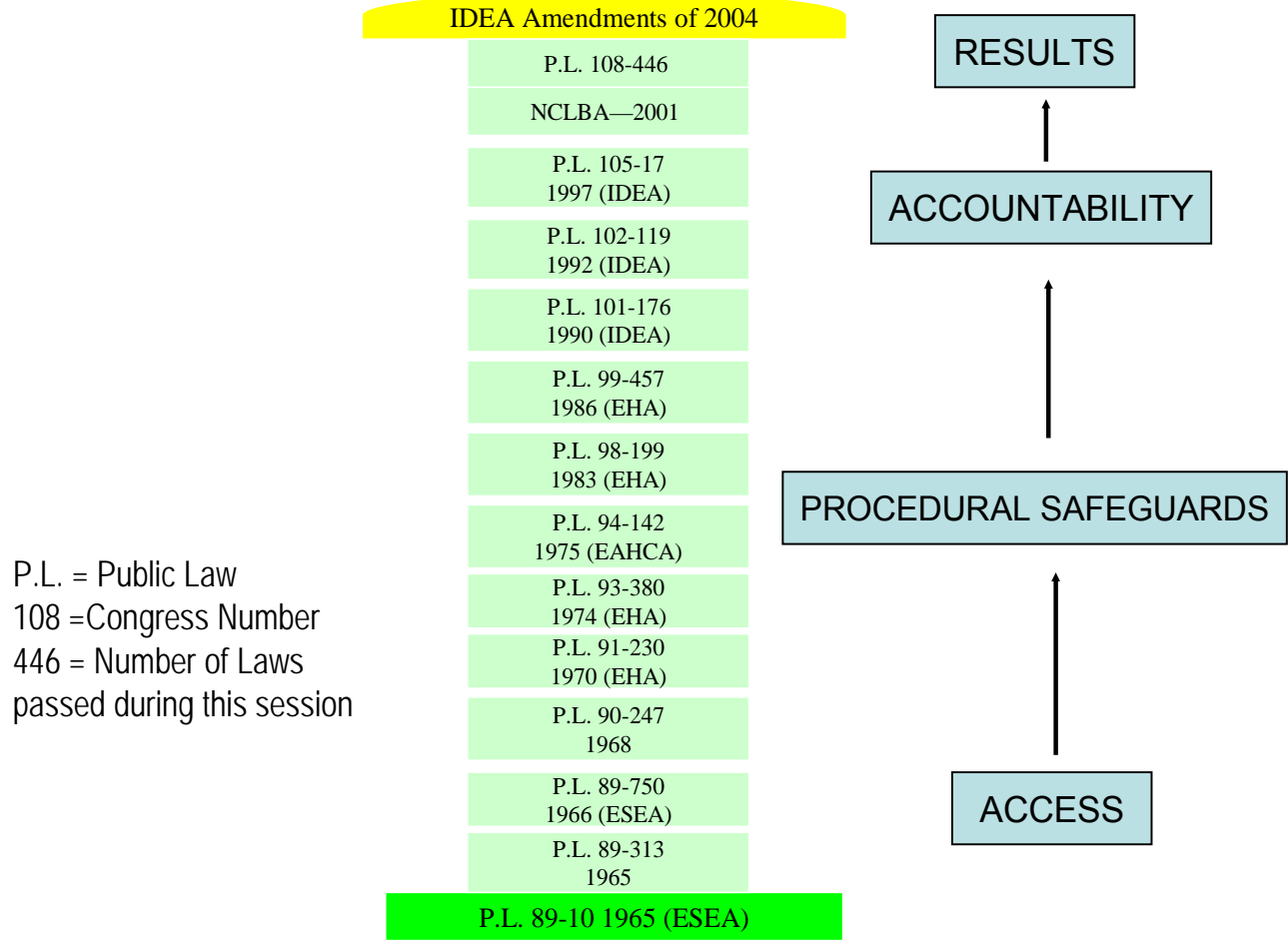
A top recommendation to emerge from the President's Commission on Excellence in Special Education was that there must be a primary focus on results, not process, in special education reform.

A New Era: Revitalizing Special Education for Children and their Families, October 2, 2001

<http://www.ed.gov/inits/commissionsboards/whspecialeducation/reports.html>



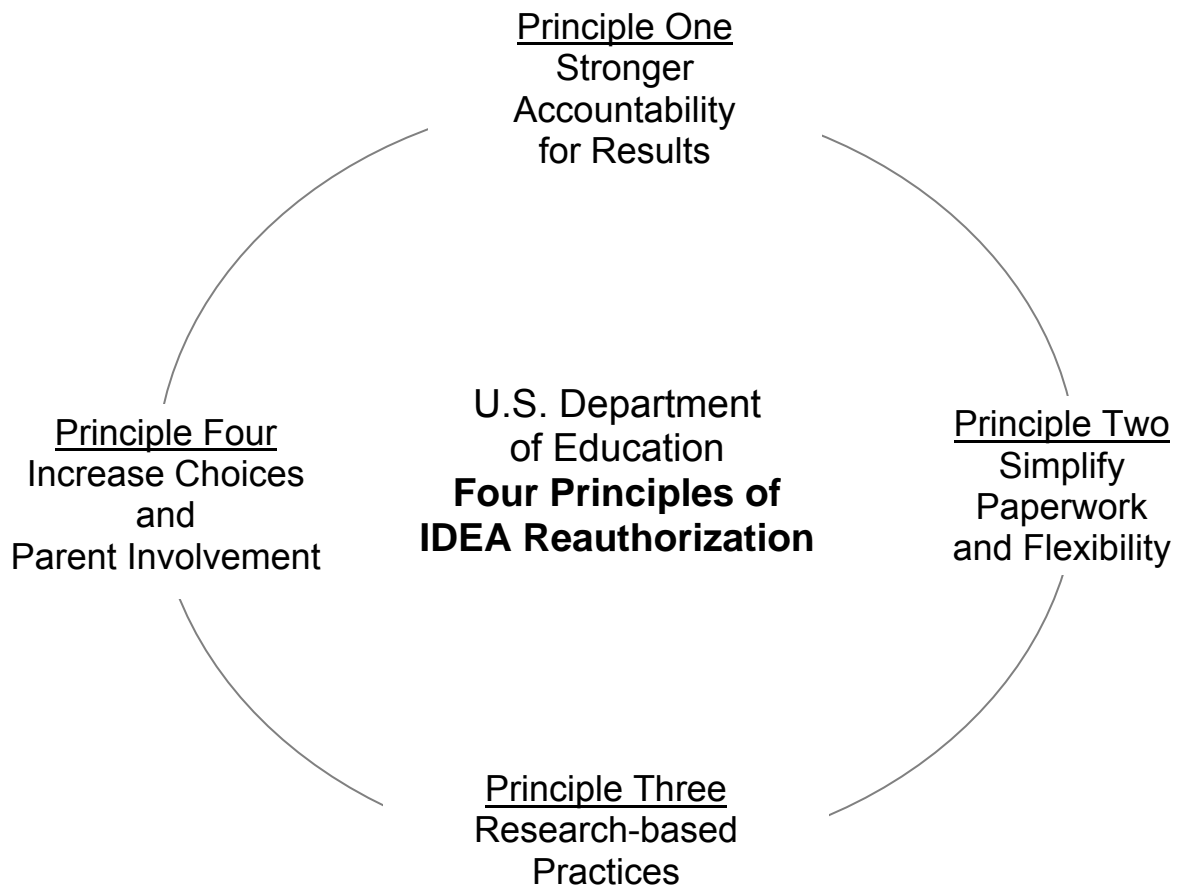
The Federal Legislative History of Special Education



P.L. = Public Law
 108 = Congress Number
 446 = Number of Laws
 passed during this session

With the IDEA Amendments of 2004 (P.L. 108-446) there was an alignment of special education with the No Child Left Behind Act and an increased expectation for schools to focus on results.

When the U.S. Department of Education's Office of Special Education Program approached the reauthorization of IDEA, four principles were identified:



The reauthorization of IDEA by Congress in December, 2004 added a new accountability requirement that each state must have an approved special education state performance plan (SPP). In many ways, this new provision paralleled the accountability requirements for general education previously identified in the *No Child Left Behind Act* three years earlier. This increased alignment between general and special education was referred to as “the marriage of NCLB and IDEA.”

The final regulations for IDEA’04 were published in August, 2006 and clarified the requirements for state monitoring, enforcement, and annual reporting. Guidance from OSEP indicates that “the primary focus of the State’s monitoring activities must be on:

- *Improving educational results and functional outcomes for all children with disabilities; and*

- *Ensuring that public agencies meet the program requirements under Part B of the Act, with a particular emphasis on those requirements that are most closely related to improving educational results for children with disabilities.”*

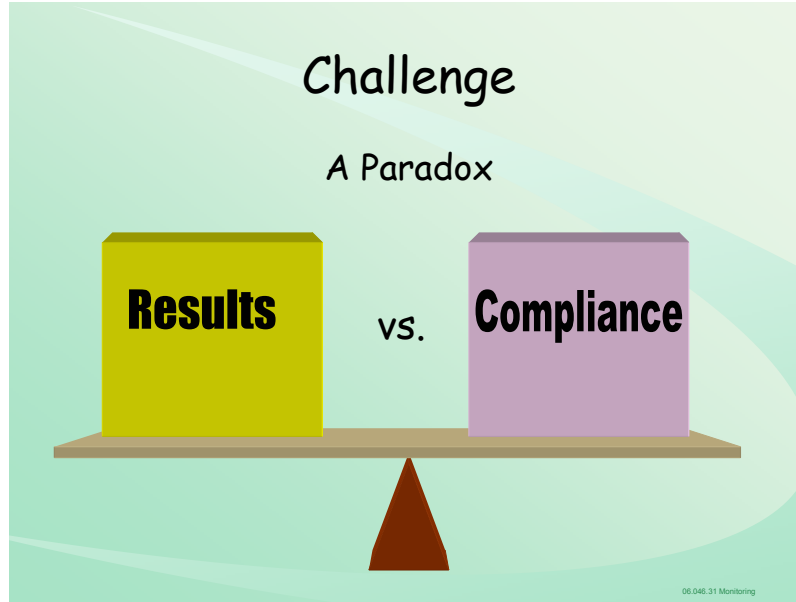
As a part of its responsibilities under 34 CFR 300.600 (a), the State must use quantifiable indicators and such qualitative indicators as are needed to adequately measure performance in the priority areas identified in 34 CFR 300.600 (d), and the indicators established by the Secretary for the State performance plans.

The NDDPI must monitor the school districts in the state, using quantifiable indicators in each of the following priority areas, and using such qualitative indicators as are needed to adequately measure performance in those areas:

- Provision of a free appropriate public education (FAPE) in the least restrictive environment (LRE);
- State exercise of general supervision, including child find, effective monitoring, the use of resolution meetings, mediation, and a system of transition services as defined in 34 CFR 300.43 and in 20 U.S.C. 1437 (a) (9);
- Disproportionate representation of racial and ethnic groups in special education and related services to the extent the representation is the result of inappropriate identification.

Section II Current Status and Future Plans

North Dakota Department of Public Instruction's Model for Measuring Performance and Ensuring Compliance with the IDEA



The implementation of laws and regulations for federal education programs in this era clearly requires a dual focus on performance and compliance. Both the No Child Left Behind Act and IDEA'04 have public accountability and reporting aspects at the local school district level. In order to meet the monitoring and enforcement requirements of IDEA'04, the North Dakota Department of Public Instruction has adopted a model that addresses both the performance and compliance provisions. The interplay between performance and compliance is illustrated in the diagram on page 8 and represents our attempt to communicate expectations for parents, local administrators and NDDPI personnel.

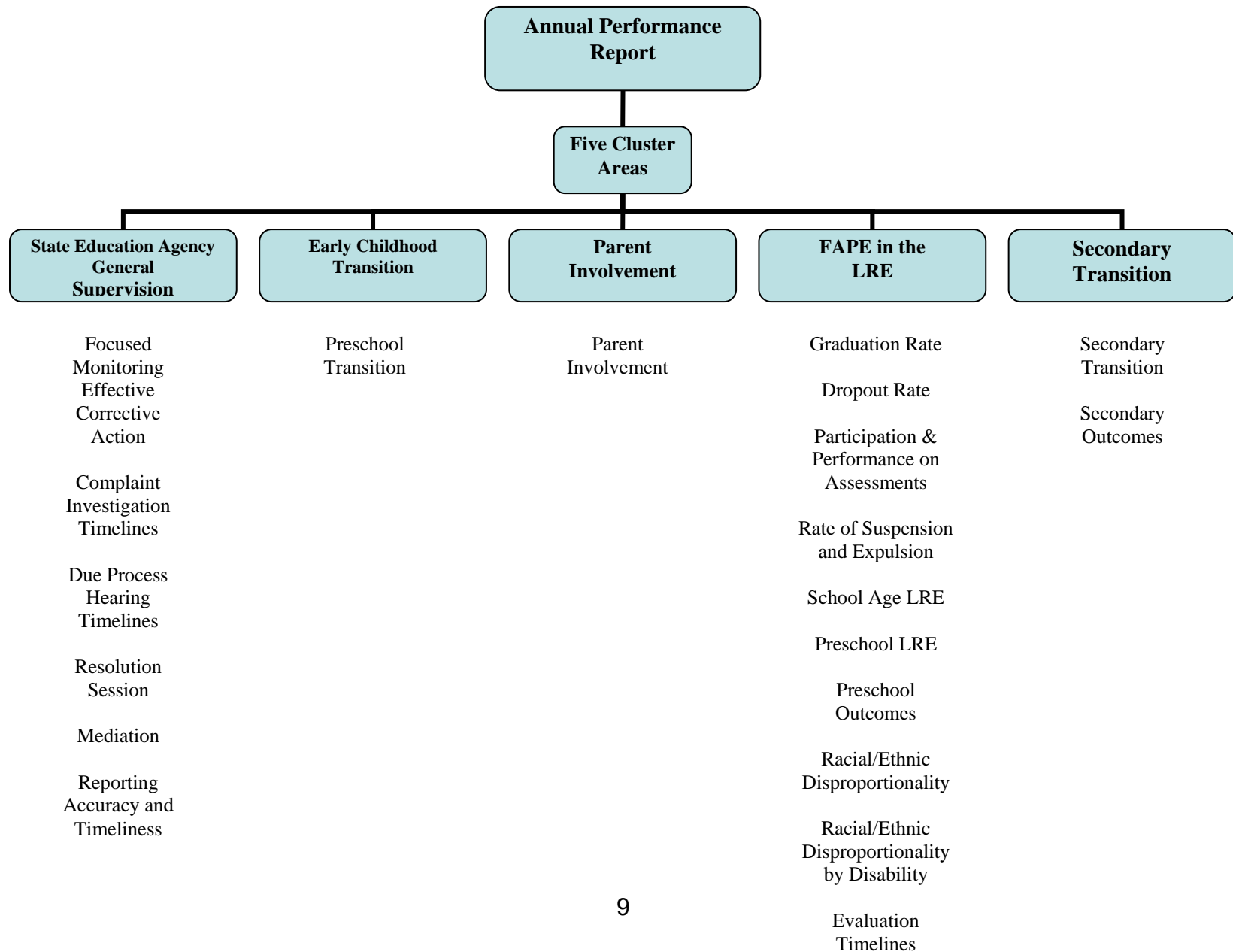
Assumptions

- Everyone wants to do right.
- Every State will do it differently.

“A monitoring system should be designed after the unique nature of the State.”

John Copenhaver
MPRRC

This chart illustrates the 20 indicators that must have statewide data in ND's special education annual performance report (APR).



In July, 2006 the U.S. Department of Education Office of Special Education Programs (OSEP) conducted a verification visit in North Dakota. The purpose of this visit was to determine how NDDPI uses our “general supervision, State-reported data collection, and statewide assessment systems to assess and improve State performance and to protect child and family rights.” OSEP recognized that the NDDPI was in the process of significant revision of monitoring policies and procedures. OSEP is aware that NDDPI is shifting the primary focus on inputs to a primary focus on functional outcomes and educational results, consistent with the monitoring requirements of the reauthorized IDEA.

In a letter received by NDDPI following the verification visit to North Dakota, OSEP wrote:

“OSEP supports NDDPI’s efforts to focus on improved educational results and outcomes for children with disabilities. Its emphasis on improved learning outcomes is consistent with the intent of IDEA as well as NCLB. It has been OSEP’s experience that North Dakota has a high level of IDEA compliance.”

Although OSEP has expressed encouragement and support for the direction that NDDPI has adopted for its monitoring practices, it has asked the State to provide:

- 1. “corrective measures NDDPI is taking to ensure that its monitoring procedures are adequate to identify noncompliance with Part B requirements by all LEAs in the State and to correct identified noncompliance within one year of identification, with a particular emphasis on monitoring priority areas and indicators that are most closely related to improving educational results and functional outcomes for all children with disabilities in the State; and*
- 2. a description of how it will collect data for all LEAs during the six year period covered by the SPP to ensure that they meet the program requirements of Part B of the Act.”*

NDDPI appreciates OSEP’s acknowledgment of North Dakota’s traditional high level of compliance with the IDEA. NDDPI also values OSEP’s analysis of the status of current transitional IDEA monitoring practices in our state and its recommendations for improvements. The policies and procedures contained in this document are NDDPI’s response to the expectations specified by OSEP.

During the OSEP verification visit, NDDPI spent considerable time explaining its vision for a consolidation of departmental monitoring activities. In response to this vision, OSEP wrote:

“NDDPI staff explained that NDDPI is in the process of developing a focused monitoring model as a part of a consolidated monitoring approach that places its primary emphasis on student outcomes. NDDPI explained that No Child Left Behind (NCLB) provided the impetus for the development of the consolidated monitoring system that promotes a unified system of operation. Consolidated monitoring is intended to merge quality assurance for multiple Federal education laws, including IDEA and NCLB. According to the State, consolidated monitoring

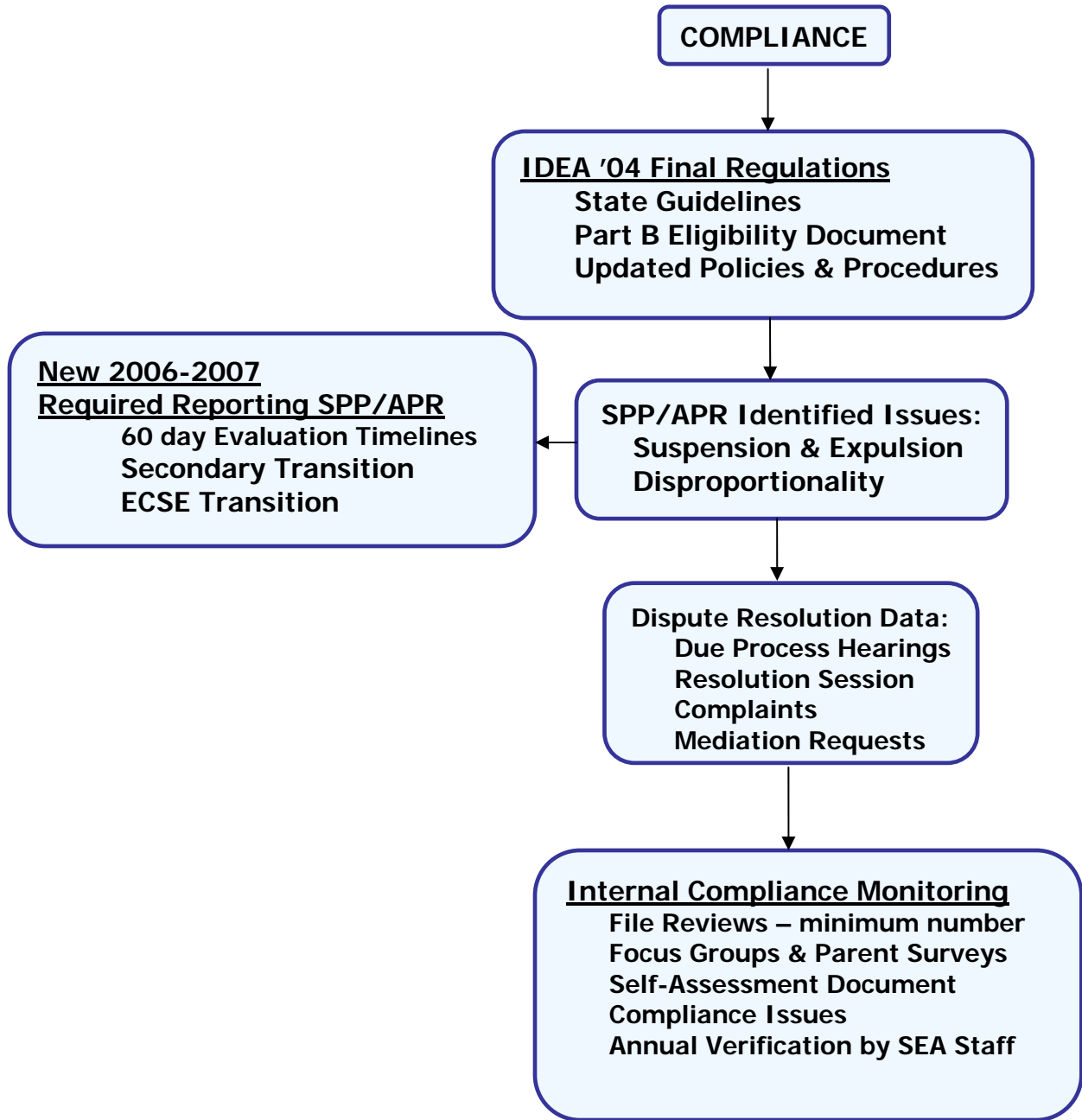
will improve shared data collection, data analysis, and reporting at the State, district, and building levels.”

The NDDPI intends to complete the piloting of the consolidated monitoring process during the current school year, and is expected to be fully implemented in school year 2007-08. This process will allow for a more frequent review of data and allow the State to be more proactive in providing technical assistance to schools.

A critical feature of NDDPI's future monitoring process will be a web-based special education case management system. The NDDPI conducted a statewide analysis of North Dakota special education units' willingness to collaborate with the State in creating a single set of forms for implementation of IDEA in all school districts in the state, and a single web-based system for special education case management. In April, 2006, the NDDPI convened a meeting of all special education units in the state. The results of the statewide study were shared with local administrators. A series of questions were posed to the participants to gauge their level of interest and support for a single statewide electronic system of case management. During this meeting it was determined that administrators representing 100% of the North Dakota IDEA Part B Child Count were in agreement to proceed with this vision. Several administrators commented during this forum that such a system would enable them to more easily and efficiently conduct more sophisticated internal monitoring activities.

The plans for implementation of this statewide IDEA case management system are in process. A State plan to identify the critical features of the system is being developed now, and a request for information, followed by a request for proposals to develop this system in partnership with local special education units, is currently underway. Estimated timelines for having an operational system are currently projected for a pilot to occur by January, 2008, with statewide implementation beginning for the 2008-09 school year. This system will significantly increase the NDDPI's capability to ensure the identification and timely correction of compliance with Part B requirements, with a particular emphasis on the priority areas and indicators most closely related to improving educational results and functional outcomes for all children with disabilities.

The procedures that follow are intended to allow the NDDPI and local school districts to meet the expectations that OSEP identified regarding identification of noncompliance and correction within one year *during the period of time until the web-based case management system is fully functioning.*

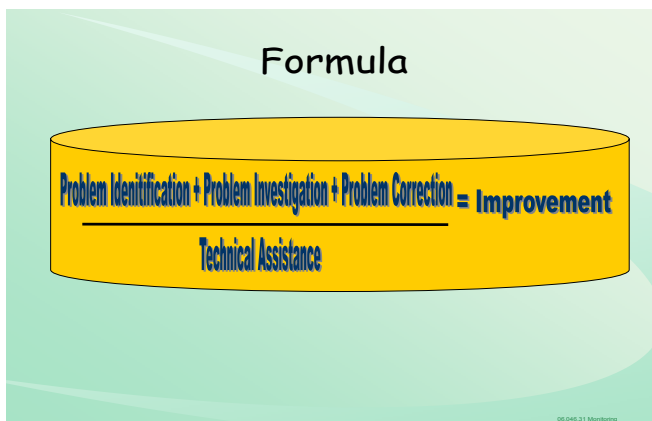
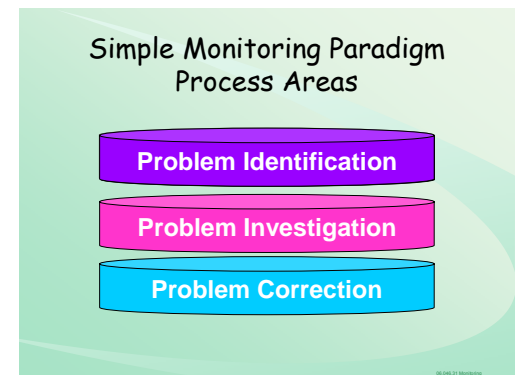


Reporting Requirements for the Special Education State Performance Plan and the Annual Performance Report

Reporting requirements for the Special Education State Performance Plan (SPP) and the Annual Performance Report (APR) are part of the local school district Internal Compliance Monitoring procedures. These procedures are designed to ensure that the NDDPI will be able to meet OSEP's expectation that data will be collected for all local education agencies to ensure that they meet the program requirements of IDEA Part B. These procedures contain the following components that are already being collected by school districts and special education units:

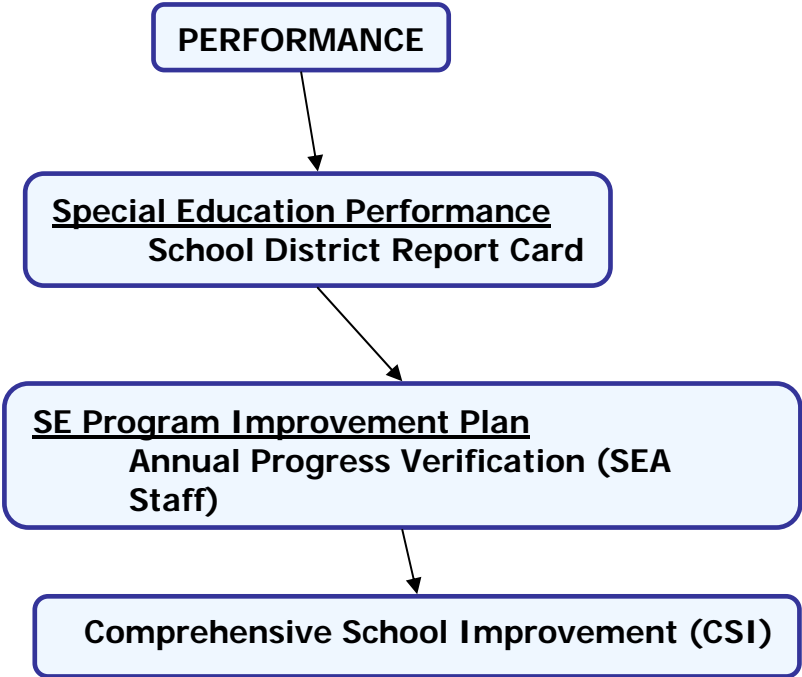
- Suspension and expulsion data for students with disabilities (collected through Child Count reporting process);
- Disproportionality in the identification of students with disabilities by ethnic background, and disproportionality in the identification of students in specific disability categories (collected through the Child Count reporting process);
- Parental Consent to Evaluation 60 day timeline;
- Secondary Transition Requirements Checklist;
- Early childhood special education transition from IDEA Part C to Part B; and
- Survey data reflecting parent involvement (summarized by NDDPPI and reported annually to local districts).

The new required statewide components for district internal compliance monitoring are outlined below. Local Internal Compliance Monitoring means that a school district will analyze its implementation of IDEA Part B through a systematic review of common elements. To ensure statewide consistency these common elements are listed below. Local data must be reported to the NDDPI on an annual basis. The NDDPI then will verify the validity of local internal monitoring data and will ensure that local school districts correct identified noncompliance within one year.



Future Plans

The North Dakota Comprehensive School Improvement (CSI) system is currently being implemented as a pilot project in the mid-western area of the state. The mission of CSI is “to continuously assess education based on student achievement and Federal program data, and to improve and unify education for all students in North Dakota.”



Information and data collected through IDEA Internal Monitoring Procedures, along with special education improvement planning, will become a critical component of a school's efforts to analyze data and implement continuous improvement strategies.

What does all this mean?

- ▶ Federal programs within the NDDPI will have cooperative relationships, collective information, and consolidated practices.
- ▶ School building staff will have better information, based on data and representative of all education programs, upon which to base school improvement.
- ▶ Development of one assessment, one school improvement plan, one professional development plan, and one set of problems to address.

The goals of the NDDPI Comprehensive School Improvement (CSI) system include the following:

Goals

- Maintain necessary data collection for federal reporting to ensure Federal funding is obtained;
- Efficiently use data in a consolidated manner to provide guidance to schools;
- Effectively communicate education improvement needs and standards within DPI and LEAs; and
- Provide resources, training, and technical assistance for education improvement to all schools, targeting those with the greatest demonstrated needs.

Section III New 2006-2007 Required Reporting SPP/APR

Data for three specific SPP/APR indicators are currently being collected and reported for North Dakota school districts. These indicators address parental consent for evaluation, early childhood transition and secondary transition. Instructions for data collection and reporting for each of these indicators is included here as a reference. This reporting will continue annually.

A. 60 Day Evaluation Timeline

New 2006-2007
Required Reporting SPP/APR
60 day Evaluation Timelines
Secondary Transition
ECSE Transition

IDEA '04 specifies that evaluations to determine whether a child is a child with a disability must be completed within 60 days of receiving parental consent for the evaluation (Sec. 614(a)(1)(C)(i)(I). Performance indicator number eleven for the IDEA State Performance Plan (SPP) requires data on the *“percent of children with parental consent to evaluate, who were evaluated and eligibility determined within 60 days.”*

All North Dakota local special education units began collecting evaluation data from March 1, 2006 to June 30, 2006.

- Special Education Unit and Home School District
- Number of children for whom parental consent to evaluate was received
- Number of children eligible whose evaluations and eligibility determinations were completed within 60 days
- Number of children not determined eligible whose evaluations and eligibility determinations were completed within 60 days
- A narrative account for children whom consent to evaluate was received but evaluation or determination was not completed
- An indication of the range of days beyond the timeline when eligibility was determined
- A narrative account of any reasons for the delays

The most efficient way to get the most accurate data for indicator eleven would be utilization of a statewide online Individual Education Plan (IEP) System. However, North Dakota does not have such a system in place at this time. In the future, when a statewide online IEP system is developed, the procedures to facilitate compliance of the sixty-day evaluation timeline will be built in as well as a means for collecting data in this area. Another way to collect the data needed for this indicator would be to utilize NDDPI's Online Reporting System (ORS). However, fields to collect the data for this indicator can not be built into ORS until later 2007. Until an online IEP system is developed or the ORS is updated with the necessary fields, the necessary data will need to be submitted using the attached form.

The data collected in the first year (2005-2006) will be used as baseline data. The baseline data will help North Dakota establish measurable and rigorous targets for the next 5 years. The final target in 2010 is 100% of children with parental consent to evaluate will be evaluated and eligibility determined within 60 days.

Instructions for Completing Indicator 11 – 60 Day Evaluation Form
Information gathered from August 1, 2006 through July 31, 2007

Column A – *Special Education Unit*

Column B – *Home School District*

Column C - *# of consent*

Enter the number of children for whom a consent for initial evaluation has been signed from August 1, 2006 through July 31, 2007.

Column D - *# determined w/in 60 days*

Enter the number from Column C of those were determined eligible within 60 days.

Column E - *# eligible not eligible w/in 60 days*

Enter the number from Column C of those determined not eligible within 60 days.

Column F - *# of consents with no determination*

Enter the number from Column C where no determination was made.

Column G - *Why a consent but not determination*

Enter the reason why there was not determination. This can be a list of all children from column F. A drop down list is provided.

Column H - *Other Reasons*

This column is used if “other” is selected in Column G.

Column I - *Range of days determination of eligibility was delayed beyond 60*

Enter the range of days beyond 60 days. The range of days is one response which includes all children with initial consent for evaluation in the district whose eligibility determination was delayed beyond 60days. e.g. 1 to 35 days delayed

Column J - *Reasons for delays*

Choose as many responses as necessary from the drop down list supplied.

Column K – *Other – List reasons*

This column is used if “other” is selected in Column J.

B. ECSE Transition

Revised Instructions for Completing Indicator 12 – Early Childhood Transition Form
Information gathered from August 1, 2006 through July 31, 2007

Column A – Special Education Unit

Column B – Home School District

Column C - *# referred by C to B for Eligibility*

Enter the number of children who have been served in Part C and referred to Part B for eligibility determination from August 1, 2006 through July 31, 2007

Column D - *# determined NOT B eligible prior to 3rd b-day*

Enter the number from Column C who were determined NOT Part B eligible prior to their third birthday

Column E - *# eligible for B w/IEP by 3rd b-day*

Enter the number from Column C who were determined Part B eligible and who had an IEP developed and implemented by their third birthday

Column F - *# with eligibility determination delayed beyond 3rd b-day*

Enter the number from Column C who were served in Part C and referred to Part B but eligibility determination was delayed beyond the child's third birthday

Column G – *Range of days determination of eligibility was delayed beyond 3rd b-day*

Of the number from Column F, enter the range of days of the delays to determine eligibility beyond the third birthdays. The range of days should include one response which includes all Part B eligible preschool children in the district whose eligibility determination was delayed beyond their third birthdays, e.g. 1 to 35 days delayed

Column H - *# delay due to parent refusal to consent*

Of the # from Column F whose eligibility determination was delayed, enter the number for whom parent refusal to consent caused delays in evaluation or initial services.

Column I – *Other reasons for delays*

Of the number from Column F whose Part B eligibility determination was delayed beyond their third birthday, provide a summary list of the reasons for delays, e.g. child was ill, family crisis. Do not include parent refusal to consent in this column.

Column J - *# referred with no eligibility determination*

Enter the number from Column C who were not found in Column D, E, or F. These will be the students in which no eligibility determination was made.

Column K – *Why no determination*

Of the number from Column J, provide a summary list of the reasons that no determination was made, e.g. deceased, moved out of state, withdrawn by parent

C. Secondary Transition

Instructions for Completing Indicator 13-Excel spreadsheet
Information to be collected during Internal Monitoring Process and IEP File Reviews
(16 & up) by July 30, 2007

Column A – Special Education Unit

Column B – Home School District

Column C – *Total # IEPs reviewed per district*

Enter the total # of IEPs reviewed per district for students 16 years and older.
(When selecting files please include representation across ages 16-21 and disability)

Column D – *Total # IEPs that met requirements of Indicator 13*

Enter the Total # IEPs reviewed (per district) that met the requirements of Indicator 13. (This becomes apparent after completing the Internal monitoring Transition Requirements checklist for each IEP reviewed).

Column E – *Re: measurable postsecondary goal(s).*

Enter the total # of IEPs reviewed for the district that received a Yes answer to question #1 on the ND Internal Monitoring Transition Requirements Checklist.

Column F – *Re: annual IEP goals*

Enter the total # of IEPs reviewed for the district that received a Yes answer to question #2 on the ND Internal Monitoring Transition Requirements Checklist.

Column G – *Re: Transition Services*

Enter the total # of IEPs reviewed for the district that received a Yes answer to question #3 on the ND Internal Monitoring Transition Requirements Checklist.

Column H – *Re: Parental consent & agency invitation*

Enter the total # of IEPs reviewed for the district that received a Yes or NA answer to question #4 on the ND Internal Monitoring Transition Requirements Checklist.

Column I – *Re: Age appropriate Transition Assessment*

Enter the total # of IEPs reviewed for the district that received a Yes answer to question #5 on the ND Internal Monitoring Transition Requirements Checklist.

Column J – *Re: Course of Study*

Enter the total # of IEPs reviewed for the district that received a Yes answer to question #6 on the ND Internal Monitoring Transition Requirements Checklist.

Criteria for determination of # IEP Transition files for review for students 16-21. (This number of IEP Transition files to be reviewed can be included in a district's minimum number of student files that must be reviewed.)

District child count for students 16-21	Percent of files to review
1-5	100%
6-25	20%
26-100	15%
101-250	10%

Section IV Internal Compliance Monitoring Required Common Elements

Internal Compliance Monitoring

File Reviews – minimum number
 Focus Groups & Parent Surveys
 Self-Assessment Document
 Compliance Issues
 Annual Verification by SEA Staff

- A. A **review of school files for students with disabilities**, based on district Child Count data, must be conducted. The Special Education District File Review chart (below) indicates the minimum number of student files that must be reviewed: A district may review more files than the numbers specified in the chart when any additional areas of concern are identified, or if additional data for improvement planning are needed. The *Individual Student File Review Form (Appendix A)* must be used.

Criteria for determination of the minimum number of student files that must be reviewed:

Special Education District File Review

District Child Count Total	Number of files to review
15 or less	All
16-50	10
50-100	20
100-250	35
251-500	50
501-1000	65
1000+	80

The information from individual student file reviews is transferred to the *District IDEA File Tally Form (Appendix B)*. This summary form will be submitted to NDDPI. NDDPI will verify the validity of local file review data through a combination of contacts with local administrators, including off-site and on-site options, in conjunction with an analysis of local performance data.

Purpose of Data Review

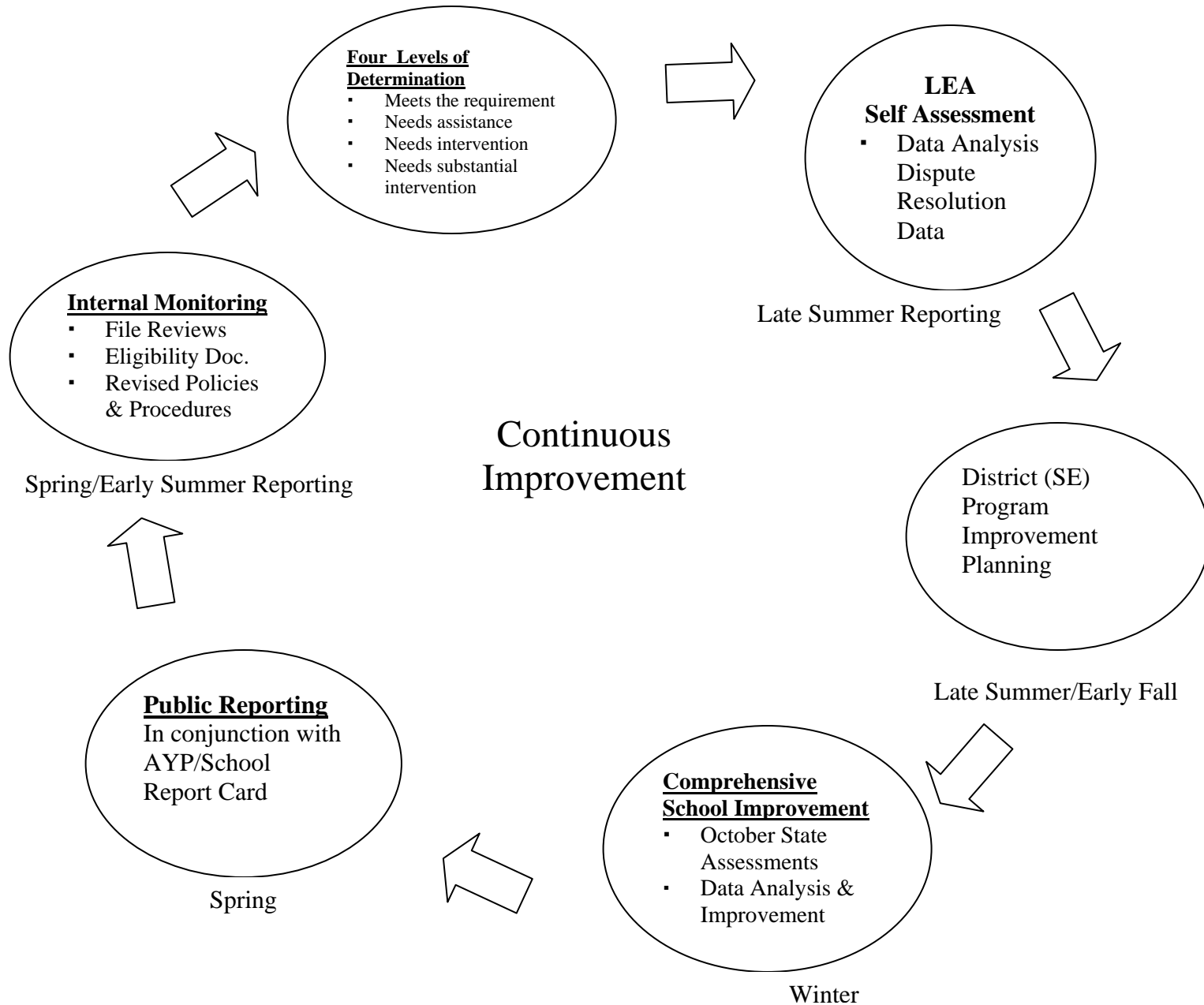
- **Analyze all available data to**
 - Identify invalid/unreliable data;
 - Identify compliers/non-performers;
 - Identify systemic issues (compliance and performance); and
 - Identify where it's working.

- B. The next required common element of the internal monitoring process is a **district self assessment**. This will allow a school district to summarize areas of noncompliance specific to special education and plan strategies to correct those areas of noncompliance within one year. The results of the district's self assessment must be reported to NDDPI on the *Internal Monitoring Self Assessment form (Appendix C)*.

The form will require the district to record the date that noncompliance was identified based on supporting documentation and the date noncompliance was corrected within a one year period. This form will be used by NDDPI to verify and report correction of local noncompliance issues to OSEP. This information should then be further analyzed by a school district in the context of the consolidated monitoring of federal education programs process for school improvement planning purposes.

- C. The NDDPI's process for IDEA monitoring is dependent on a variety of data that encompasses performance and compliance. Some of the performance data are determined by other units within the state education agency. Statewide assessments and School Report Cards are examples of this. A major goal of the IDEA monitoring process is to have schools use assessment and achievement data in an integrated manner for improvement planning. The NDDPI is developing the Comprehensive School Improvement Process (CSI), which will include all of the information gathered and summarized through the IDEA Internal Monitoring Procedures. A possible "Sequence and Timeframe for IDEA Monitoring Activities" is described in the following illustration. Using this illustration local administrators can begin collecting internal monitoring data in January 2007 for reporting to the NDDPI by June 30, 2007.

**Possible Sequence and Timeframe for IDEA Monitoring Activities with the DPI
Comprehensive School Improvement Process**



D. The district self assessment will be reviewed by NDPPI. NDDPI verification of correction of noncompliance will be based on an analysis of multiple sources of data (*including district AYP and IDEA dispute resolution data*) and may include one or more of the following activities:

- Targeted NDDPI supported technical assistance and professional development to correct noncompliance;
- Using routine data and off-site processes;
- Discretionary grant support for improvement planning;
- Federally supported technical assistance center training and materials;
- Onsite visitation;
- Utilization of NDDPI's state enforcement authority, including sanctions or written timelines;

IDEA '04 includes a new requirement for state education agencies to use the targets in the State Performance Plan to analyze the performance of each school district. NDDPI must determine the status of local school districts within four **levels of determination**:

- Meets requirements
- Needs Assistance
- Needs Interventions
- Needs Substantial Intervention.

The consequences for each status level are prescribed by OSEP under 34 CFR 300.603 (b)(1)(iii) and (b)(1)(iv).

Levels of Determination

Meet Requirements

Factors the Department of Public Instruction will consider in determining whether a LEA meets the requirements and the purpose of IDEA, including the following:

- The LEA demonstrates substantial compliance on all compliance indicators, which can include, as appropriate, a demonstration through quantitative and qualitative data that the LEA timely corrects identified noncompliance for indicators that are not “new” or where noncompliance was previously identified by the NDDPI, and, for “new” indicators for which noncompliance was not previously identified by the NDDPI, that the LEA has improvement activities to timely correct identified noncompliance.
- All indicators, including performance indicators, have valid and reliable data as required by the SPP/APR (actual target data, baseline data, etc.)
- The LEA demonstrates that it timely corrects noncompliance identified by the NDDPI through monitoring or other means.

Needs Assistance

Factors the NDDPI will consider in determining whether a LEA needs assistance in implementing the requirements of IDEA include the following:

- The LEA does not demonstrate substantial compliance on one or more of the compliance indicators. Evidence related to substantial compliance can include, as appropriate, a demonstration through quantitative and qualitative data that the LEA timely corrects identified noncompliance for indicators that are not “new” or where noncompliance was previously identified by the NDDPI, and, for “new”

indicators for which noncompliance was not previously identified by the NDDPI, that the LEA has improvement activities to timely correct identified noncompliance.

- One or more indicators, including performance indicators, do not have valid and reliable data as required by the SPP/APR (actual target data, baseline data, etc.).
- The LEA does not demonstrate that it timely corrects any noncompliance identified by the NDDPI through monitoring or other means.

If the DPI determines, for 2 consecutive years, that the LEA needs assistance, the NDDPI shall take one or more of the following enforcement actions, consistent with section 616(e)(1):

- Advise the LEA of available sources of technical assistance.
- Direct the use of State-level funds under section 611(e) on area(s) in which the LEA needs assistance.
- Identify the LEA as a high-risk grantee and impose special conditions on the State's grant.

Needs Intervention

Factors the NDDPI will consider in determining whether a school district needs intervention in implementing the requirements of IDEA including the following:

- The LEA does not demonstrate substantial compliance on one or more of the compliance indicators and has not made significant progress in correcting noncompliance previously identified by the NDDPI on those indicators. Evidence related to substantial compliance can include, as appropriate, a demonstration through quantitative and qualitative data that the LEA timely corrects identified noncompliance for indicators that are not "new" or where noncompliance was previously identified by the NDDPI, and, for "new" indicators for which noncompliance was not previously identified by the NDDPI, that the LEA has improvement activities to timely correct identified noncompliance.
- One or more indicators, including performance indicators, are missing valid and reliable data as required by the SPP/APR (actual target data, baseline data, etc.), and the LEA has not made significant progress in correcting previously identified data problems.
- The LEA does not demonstrate that it corrects noncompliance identified by the NDDPI through monitoring or other means, and has not made significant progress in correcting that noncompliance.

If, the NDDPI determines, for 3 consecutive years that the LEA needs intervention, the NDDPI may take any of the actions described under needs assistance and shall take one or more of the following enforcement actions, consistent with section 616(e)(2):

- Require the LEA to prepare a corrective action plan or improvement plan if the NDDPI determines that the LEA should be able to correct the problem within 1 year.
- Require the LEA to enter into a compliance agreement if the NDDPI has reason to believe that the LEA cannot correct the problem within 1 year.
- Implement corrective actions and sanctions under General Authority: NDCC 15.1-02-11, 15.1-32-09.
- Refer the matter for appropriate enforcement action.

Needs Substantial Intervention

If the NDDPI determines, at any time, that a LEA needs substantial intervention in implementing the requirements of this part or that there is a substantial failure to comply with any condition of a local educational agency's eligibility under this part, the NDDPI will designate the LEA as in need of substantial intervention. Among the factors that the NDDPI will consider are:

- The failure to substantially comply significantly affects the core requirements of the program, such as the delivery of services to children with disabilities or LEA exercise of general supervision; and/or
- The LEA has informed the NDDPI that it is unwilling to comply.

If the NDDPI determines, at any time, that the LEA needs substantial intervention, the NDDPI shall take one or more of the following enforcement actions, consistent with section 616(e)(3) and provide an opportunity for a hearing:

- Recover funds.
- Implement corrective actions and sanctions under General Authority: NDCC 15.1-02-11, 15.1-32-09
- Refer the matter for appropriate enforcement action.

Appendix: *Internal Monitoring Common Elements required Forms*

- A. Individual Student File Review
- B. District IDEA Tally Form
- C. Internal Monitoring Self Assessment Form - SAMPLE

APPENDIX A:

Individual Student File Review Form

Individual Student File Review Form

Student Name: _____ Case Manager: _____ School District _____

DoB/Age: _____/_____ Grade: _____ File Review Date: _____ Building/Grades _____

File Reviewer: _____ Disability Category: _____/_____ Sp Ed Unit _____

Key: Yes = compliance No = noncompliance NF=not found NA= not applicable

Quality Indicators	Yes	No	NF	NA	Comments/Examples
NON-DISCRIMINATORY ASSESSMENT					
EVALUATION 300.301-300.311					
Multi-disciplinary team includes: (check all that apply) 300.305 (a)					
• Parent(s) of the child					
• Regular education teacher					
• Special education teacher					
• Administrator					
• An individual who can interpret the instructional implications of the evaluation results (may be a member of the team described above)					
• At the discretion of the parent or LEA, other individuals who have knowledge/special expertise regarding the child.					
• The child (if appropriate)					
Evaluation done prior to initial placement					
Re-evaluation occurred within 3 years 300.300 (b)(2)					Last 2 dates: _____
Most current evaluation in file					Date: _____
Student profile includes: 300.304 (c)(6)					
• Cognitive characteristics					
• Physical characteristics					
• Adaptive characteristics – functional 300.305					
• Classroom characteristics and environmental influences					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
• Behavior					
Indication that no additional information was needed: 300.305 (d)					
• IWAR completed					
• Parents notified that no additional information was needed (box was checked)					
Assessment plan developed prior to evaluation 300.305					
For reevaluation , team reviewed existing evaluation data; including: 300.305					
• Information provided by parents					
• Current classroom based assessments & observations					
• Teacher & related service provider observation					
• Student participates in local or state assessments (a)(1)					
Independent evaluation was considered & included in report 300.502					
Evaluation is nondiscriminatory – (300.304 (c)(1)(i)					
Evaluations tailored to educational needs and not a single intelligence quotient – 300.304 (c) (2)					
Assessment administration considered impaired sensory, manual or special skills - 300.304(c)(3)					
Assessment in all areas related to suspected disability 300.304 (c)(4)					
Evaluation administered in native language 300.304 (c)(1)(ii)					
Test instruments administered by trained personnel and are valid and reliable 300.304 (c)(1)(iii)(iv)					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
Evaluation includes info related to enabling child to be involved in & progress in general curriculum (or for preschool, appropriate activities) [300.532 (b)] 300.304 (b)(1)(ii)					
Multiple measures were used [300.304 (b)(1)(2)(C)(2)]					
SUMMARY OF PERFORMANCE- SOP 300-305 (e)(2)(3)					
SOP developed for student in final year of HS					
<ul style="list-style-type: none"> • Summary of academic & functional performance 					
<ul style="list-style-type: none"> • Recommendations on how to assist the student in meeting post secondary goals. 					
INTEGRATED WRITTEN ASSESSMENT REPORT (IWAR)					
IWAR was prepared 300.306					
IWAR includes the following:					
<ul style="list-style-type: none"> • Findings from all sources 					
<ul style="list-style-type: none"> • Integrated assessment data 					
<ul style="list-style-type: none"> • Input from all team members, including parent(s) & all other current and relevant data 					
<ul style="list-style-type: none"> • Written in an understandable manner for parents and others 					
<ul style="list-style-type: none"> • Determination of the child's disability 					
Evidence that the following were not factors in disability: 300.306(b)(1)					
<ul style="list-style-type: none"> • Lack of reading/math instruction 					
<ul style="list-style-type: none"> • Limited English Proficiency (LEP) 					
EVALUATION – SLD					
MDT includes a diagnostician qualified to conduct individual diagnostic exam (School psychologists, speech/language pathologist, remedial reading teacher) 300.308(b)					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
Data based documentation that disability not due to lack of instruction 300.309 (a)(1)(b)(1)					
INTEGRATED WRITTEN ASSESSMENT REPORT – SLD					
Identified as SLD in one of eight areas 300.309 Check chosen area(s):					
• Oral expression					
• Listening comprehension					
• Written expression					
• Basic reading skill					
• Reading comprehension					
• Reading Fluency					
• Mathematics calculation; or					
• Mathematic problem solving					
Discrepancy not attributable to any other cause (severe discrepancy between ability & achievement that is not correctable without special education) 300.309 (a)(3)					
The child does not achieve adequately for the child's age or to meet State-approved grade-level standards.					
The child does not make sufficient progress to meet age or State-approved grade-level standards.					
Classroom observation - 300.310					
Statement that the team found that the discrepancy was not due to the following: 300.311					
• Visual, hearing, motor disability					
• Mental retardation					
• Emotional disturbance, or					
• Environmental, cultural, economic disadvantage					
• Limited English Proficiency					
Documentation of educationally relevant medical findings 300.311(4)					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
If RTI process then document the following:					
The instructional strategies used and the student-centered data collected; and					
The child's parents were notified about—					
<ul style="list-style-type: none"> The State's policies regarding the amount and nature of student performance data that would be collected and the general education services that would be provided; 					
<ul style="list-style-type: none"> Strategies for increasing the child's rate of learning 					
<ul style="list-style-type: none"> The parents' right to request an evaluation. 					
Signature of each team member for approval – 300.311 (b)					
FAPE					
INDIVIDUALIZED EDUCATION PROGRAM (IEP) 300.320 – 300.328					
Current IEP in file					
IEP reviewed within 12 months					
If initial IEP : Meeting was held within 30 days of eligibility					
IEP in effect prior to services					
IEP meeting participants include: [300.321] <i>(if not found see Attendance Not Necessary or Excusal sections below before marking NF)</i>					
<ul style="list-style-type: none"> LEA representative 					
<ul style="list-style-type: none"> Child's General Education teacher (not less than one if the child is or may be participating in the reg. ed. environment) 					
<ul style="list-style-type: none"> Special Education teacher (not less than one) 					
<ul style="list-style-type: none"> An individual who can interpret instructional implications of the eval. results – could be one of the persons above 					
<ul style="list-style-type: none"> Parent participated in IEP meeting 					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
• If parent not present , file documents, attempts to obtain participation –(input)					
• Child (If 16+)					
• If child not present, file documents, attempts to obtain participation – (input)					
• Agency personnel as appropriate					
• Related services as appropriate					
• Age 3 child previously served under Part C – invitation to attend initial IEP sent to Part C representative 300.321 (f)					
• If child attending private school: Representative of school					
Attendance Not Necessary					
• Member’s area of curriculum is not being modified or discussed – written agreement of parent and LEA 300.321 (e)(1)					
Excusal					
• Member’s area of curriculum is being modified or discussed – written consent of parent and LEA 300.321 (e) (2)					
• IEP member submitted, in writing, input for the IEP					
PRESENT LEVEL OF ACADEMIC ACHIEVEMENT AND FUNCTIONAL PERFORMANCE					
IEP addresses all areas of functioning including:					
• Reflects parent input					
• Significant strengths & deficits					
• Is understandable by parents & general educators					
Gives clear picture of present level of functioning :					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
• Cognitive functioning					
• Academic performance					
• Communication status					
• Motor ability					
• Sensory status					
• Health/physical status					
• Social, emotional, behavioral, ecological					
• Functional skills					
PLAAFP describes patterns of functioning					
PLAAFP describes needs for special education					
PLAAFP describes how disability affects child's involvement & progress in general ed curriculum 300.320 (a)(1)(i)					
For preschool , how disability affects participation in appropriate activities 300.320 (a)(1)(iii)					
ANNUAL GOALS					
Annual goals contain all required components including: 300.320 (a)(2)(i)					
• Behavior or skill					
• Desired ending level of achieve					
• Intent or purpose					
• Have basis in PLAAFP					
• Reasonably attainable within 1 year					
OBJECTIVES (required if taking the alternate assessment)					
Objectives contain all required components including: 300.320 (a)(2)(ii)					
• Conditions/circumstances under which behavior is to be performed					
• Specific behaviors					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
• Criteria for attainment					
• Evaluation procedures					
• Schedules for determining if objectives are met					
• Are sequential (if appropriate)					
STO's are individualized					
Reporting Progress to Parents					
Parents are informed of student progress					
300.320 (a)(3)					
• Each goal/objective is addressed in progress report					
Adaptations section is complete <u>and</u> relates to PLAAFP 300.320 (a)(4)					
Special Factors 300.324 (a)(2)					
(i) <i>behavior</i> , if it impedes learning of child or others, & includes + behavior interventions, strategies, supports to address behavior					
(ii) for <i>LEP</i> , the language needs as they relate to the child's IEP					
(iii)for <i>blind/VI</i> , instruction in Braille & its use unless not appropriate					
(iv)for <i>deaf/HOH</i> , communication & language needs, opportunities for direct communications with peers & prof personnel, child's mode, academic level & full range of needs					
(v) whether <i>AT devices</i> & services are needed					
Participation in statewide and district-wide assessment 300.320 (a)(6)					
• States which assessment child will participate in (Check one):					
1. State assessment with no accommodations					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
2. State assessment <i>with</i> accommodations					
3. Alternate Assessment					
• States individual modifications needed in the administration of the assessment					
• Contains a statement of team rationale for participation in the ND Alternate Assessment					
Type of physical ed. (may be NA in HS if requirements for PE are completed) 300.108					
Documentation of Nonacademic and Extracurricular activities 300.320 (a)(4)(ii)					
Sp Ed Services (Section J of IEP) includes: 300.320 (a)(7)					
• Services					
• Projected date for beginning of services					
• Anticipated frequency of services					
• Location of services					
• Duration of services					
Extended School Year (ESY): sufficient documentation in justification section 300.106					
SECONDARY TRANSITION IEP					
IEP will be in effect when student turns 16 Transition services deemed appropriate by team for student younger than 16 300.320 (b)					
Student invited to IEP 300.321 (b)(1)					
If student didn't attend IEP meeting does file include info that student's preferences/interests were considered & documented 300.321 (b)(2)					
For ages 16+, the following are described in the PLAAFP:					
• Jobs/job training					
• Recreation & leisure					
• Independent living					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
• Community participation					
• Post-sec training & learning opportunities					
• Related services					
Additional secondary transition requirements are found on the ND Internal Monitoring Secondary Transition Requirements checklist.					
LEAST RESTRICTIVE ENVIRONMENT (LRE) 300.114-300.116					
Supplementary services provided in conjunction with general ed 300.115 (b)(2)					
Evidence child is educated in neighborhood school unless other arrangement identified by IEP team 300.116 (c)					
Child's placement is based on IEP 300.116 (b)(2)					
Educated with children who are non-disabled [300.550.1] 300.114 (a)(2)(i)					
Removal from general ed environment is appropriate by team determination 300.116 (a)(1)					
Evidence that school/class attended is age appropriate 300.116 (e)					
LRE sufficient documentation in justification section: 300.115					
• Reason LRE options were chosen, and other options rejected					
• Potential harmful effects 300.116 (d)					
• Participation in general education is indicated 300.116 (e)					
PROCEDURAL SAFEGUARDS					
Parent Consent:					
• Initial evaluation 300.300 (a)					
• Reevaluation 300.300 (c)					

Individual Student File Review Form

Quality Indicators	Yes	No	NF	NA	Comments/Examples
• Initial Placement 300.300 (b)					
Limited access notice posted on cabinet and has acceptable content 300.623 (d)					
File contained information only about this student 300.615					
Record locator completed correctly 300.616					
Record of Inspection completed properly 300.614					
Record locator located in the cumulative file					
Parent Prior Notice for: 300.503					
• Assessment Planning – 300.304 (a)					
• Most recent IEP meeting					
• Initial referral for evaluation					
• IWAR meeting					
• Transition noted as purpose of IEP meeting (300.322)					
Parent Prior Notice form includes: 300.503 (b)					
• Action proposed					
• Why proposed/rejected					
• Options considered					
• Why action rejected					
• Each evaluation procedure					
• Any other relevant factors					
• Understandable to parents					
• Parents Rights Information was given to parents if appropriate					
Transfer of rights documents in file:					
• Student & parent <i>informed</i> at 17 300.320 (c)					
• Student & parent transfer of rights (documented) at 18					

APPENDIX B:

District IDEA Tally Form

District IDEA Tally Form- Master

School District: _____ Sp Ed Unit _____

Building/Grade Level: _____ Summary Date: _____

Summary Completed by (Name): _____

Key: Yes = compliance No = noncompliance NF=not found NA= not applicable

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
NON-DISCRIMINATORY ASSESSMENT								
EVALUATION								
Multi-disciplinary team includes: (check all that apply) 300.305 (a)								
• Parent(s) of the child								
• Regular education teacher								
• Special education teacher								
• Administrator								
• An individual who can interpret the instructional implications of the evaluation results (may be a member of the team described above)								
• At the discretion of the parent or LEA, other individuals who have knowledge/special expertise regarding the child.								
• The child (if appropriate)								
Evaluation done prior to initial placement								
Re-evaluation occurred within 3 years 300.300 (b)(2)								
Most current evaluation in file								
Student profile includes: 300.304 (c)(6)								
• Cognitive characteristics								
• Physical characteristics								
• Adaptive characteristics – functional 300.305								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
• Classroom characteristics and environmental influences								
• Behavior								
Indication that no additional information was needed: 300.305 (d)								
• IWAR completed								
• Parents notified that no additional information was needed (box was checked)								
Assessment plan developed prior to evaluation 300.305								
For reevaluation , team reviewed existing evaluation data; including: 300.305								
• Information provided by parents								
• Current classroom based assessments & observations								
• Teacher & related service provider observation								
• Student participates in local or state assessments (a)(1)								
Independent evaluation was considered & included in report 300.502								
Evaluation is nondiscriminatory – (300.304 (c)(1)(i))								
Evaluations tailored to educational needs and not a single intelligence quotient–300.304(c) (2)								
Assessment administration considered impaired sensory, manual or special skills - 300.304(c)(3)								
Assessment in all areas related to suspected disability 300.304 (c)(4)								
Evaluation administered in native language 300.304 (c)(1)(ii)								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
Test instruments administered by trained personnel and are valid and reliable 300.304 (c)(1)(iii)(iv)								
Evaluation includes info related to enabling child to be involved in & progress in general curriculum (or for preschool, appropriate activities) [300.532 (b)] 300.304 (b)(1)(ii)								
Multiple measures were used 300.304 (b)(1)(2)(C)(2)								
SUMMARY OF PERFORMANCE- SOP 300-305 (e)(2)(3)								
SOP developed for student in final year of HS								
<ul style="list-style-type: none"> Summary of academic & functional performance 								
<ul style="list-style-type: none"> Recommendations on how to assist the student in meeting post secondary goals. 								
INTEGRATED WRITTEN ASSESSMENT REPORT (IWAR)								
IWAR was prepared 300.306								
IWAR includes the following:								
<ul style="list-style-type: none"> Findings from all sources 								
<ul style="list-style-type: none"> Integrated assessment data 								
<ul style="list-style-type: none"> Input from other team members, including parent(s) & all other current and relevant data 								
<ul style="list-style-type: none"> Written in an understandable manner for parents and others 								
<ul style="list-style-type: none"> Determination of the child's disability 								
Evidence that the following were not factors in disability: 300.306(b)(1)								
<ul style="list-style-type: none"> Lack of reading/math instruction 								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
• Limited English Proficiency (LEP)								
EVALUATION – SLD								
MDT includes a diagnostician qualified to conduct individual diagnostic exam (School psychologists, speech/language pathologist, remedial reading teacher) 300.308(b)								
Data based documentation that disability not due to lack of instruction 300.309 (a)(1)(b)(1)								
INTEGRATED WRITTEN ASSESSMENT REPORT – SLD								
Identified as SLD in one of eight areas 300.309 Check chosen area(s):								
• Oral expression								
• Listening comprehension								
• Written expression								
• Basic reading skill								
• Reading comprehension								
• Reading Fluency								
• Mathematics calculation; or								
• Mathematic problem solving								
Discrepancy not attributable to any other cause (severe discrepancy between ability & achievement that is not correctable without special education) 300.309 (a)(3)								
The child does not achieve adequately for the child’s age or to meet State-approved grade-level standards.								
The child does not make sufficient progress to meet age or State-approved grade-level standards.								
Classroom observation - 300.310								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
Statement that the team found that the discrepancy was not due to the following: 300.311								
• Visual, hearing, motor disability								
• Mental retardation								
• Emotional disturbance, or								
• Environmental, cultural, economic disadvantage								
• Limited English Proficiency								
Documentation of educationally relevant medical findings 300.311(4)								
If RTI process then document the following:								
The instructional strategies used and the student-centered data collected; and								
The child's parents were notified about—								
• The State's policies regarding the amount and nature of student performance data that would be collected and the general education services that would be provided;								
• Strategies for increasing the child's rate of learning								
The parents' right to request an evaluation.								
Signature of each team member for approval – 300.311 (b)								
FAPE								
INDIVIDUALIZED EDUCATION PROGRAM (IEP) 300.320								
Current IEP in file								
IEP reviewed within 12 months								
If initial IEP: Meeting was held within 30 days of eligibility								
IEP in effect prior to services								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
IEP meeting participants include: [300.321] <i>(if not found see Attendance Not Necessary or Excusal sections below before marking NF)</i>								
• LEA representative								
• Child's General Education teacher (not less than one if the child is or may be participating in the reg. ed. environment)								
• Special Education teacher (not less than one)								
• An individual who can interpret instructional implications of the eval. results – could be one of the persons above								
• Parent participated in IEP meeting								
• If parent not present , file documents attempts to obtain participation -input								
• Child (If 16+)								
• If child not present, file documents, attempts to obtain participation – (input)								
• Agency personnel as appropriate								
• Related services as appropriate								
• Age 3 child previously served under Part C – invitation to attend initial IEP sent to Part C representative 300.321 (f)								
• If child attending private school: Representative of school								
Attendance Not Necessary								
• Member's area of curriculum is not being modified or discussed – written agreement of parent and LEA 300.321 (e)(1)								
Excusal								
• Member's area of curriculum is being modified or discussed – written consent of parent and LEA 300.321 (e) (2)								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
<ul style="list-style-type: none"> • IEP member submitted, in writing, input for the IEP 								
PRESENT LEVEL OF ACADEMIC ACHIEVEMENT AND FUNCTIONAL PERFORMANCE								
IEP addresses all areas of functioning including:								
• Reflects parent input								
• Significant strengths & deficits								
• Is understandable by parents & general educators								
Gives clear picture of present level of functioning :								
• Cognitive functioning								
• Academic performance								
• Communication status								
• Motor ability								
• Sensory status								
• Health/physical status								
• Social, emotional, behavioral, ecological								
• Functional skills								
PLAAFP describes patterns of functioning								
PLAAFP describes needs for special education								
PLAAFP describes how disability affects child's involvement & progress in general ed curriculum 300.320 (a)(1)(i)								
For preschool , how disability affects participation in appropriate activities 300.320 (a)(1)(iii)								
ANNUAL GOALS								
Annual goals contain all required components including: 300.320 (a)(2)(i)								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
• Behavior or skill								
• Desired ending level of achieve								
• Intent or purpose								
• Have basis in PLAAFP								
• Reasonably attainable within 1 year								
OBJECTIVES (if taking the alternate assessment)								
Objectives contain all required components including: 300.320 (a)(2)(ii)								
• Conditions/circumstances under which behavior is to be performed								
• Specific behaviors								
• Criteria for attainment								
• Evaluation procedures								
• Schedules for determining if objectives are met								
• Are sequential (if appropriate)								
STO's are individualized								
Reporting Progress to Parents Parents are informed of student progress 300.320 (a)(3)								
• Each goal/objective is addressed in progress report								
Adaptations section is complete <u>and</u> relates to PLEP 300.320 (a)(4)								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
Special Factors 300.324 (a)(2)								
(i) <i>behavior</i> , if it impedes learning of child or others, & includes + behavior interventions, strategies, supports to address behavior								
(ii) for <i>LEP</i> , the language needs as they relate to the child's IEP								
(iii)for <i>blind/VI</i> , instruction in Braille & its use unless not appropriate								
(iv)for <i>deaf/HOH</i> , communication & language needs, opportunities for direct communications with peers & prof personnel, child's mode, academic level & full range of needs								
(v) whether <i>AT devices</i> & services are needed								
Participation in statewide and district-wide assessment 300.320 (a)(6)								
• States which assessment child will participate in (Check one):								
1. State assessment with no accommodations								
2. State assessment <i>with</i> accommodations								
3. Alternate Assessment								
• States individual modifications needed in the administration of the assessment								
• Contains a statement of team rationale for participation in the ND Alternate Assessment								
Type of physical ed. (may be NA in HS if requirements for PE are completed) 300.108								
Documentation of Nonacademic and Extracurricular activities 300.320 (a)(4)(ii)								
Sp Ed Services (Section J of IEP) includes: 300.320 (a)(7)								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
• Services								
• Projected date for beginning of services								
• Anticipated frequency of services								
• Location of services								
• Duration of services								
Extended School Year (ESY): sufficient documentation in justification section 300.106								
TRANSITION IEP								
IEP will be in effect when student turns 16 Transition services deemed appropriate by team for student younger than 16 300.320 (b)								
Student invited to IEP 300.321 (b)(1)								
If student didn't attend IEP meeting does file include info that student's preferences/interests were considered & documented 300.321 (b)(2)								
For ages 16+, the following are described in the PLAAFP:								
• Jobs/job training								
• Recreation & leisure								
• Independent living								
• Community participation								
• Post-sec training & learning opportunities								
• Related services								
Additional secondary transition requirements are found on the ND Internal Monitoring Secondary Transition Requirements checklist.								
LEAST RESTRICTIVE ENVIRONMENT (LRE)								
Supplementary services provided in conjunction with general ed 300.115 (b)(2)								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
Evidence child is educated in neighborhood school unless other arrangement id'd by IEP team 300.116 (c)								
Child's placement is based on IEP 300.116 (b)(2)								
Educated with children who are non-disabled [300.550.1] 300.114 (a)(2)(i)								
Removal from general ed environment is appropriate by team determination 300.116 (a)(1)								
Evidence that school/class attended is age appropriate 300.116 (e)								
LRE sufficient documentation in justification section: 300.115 • Reason LRE options were chosen, and other options rejected								
• Potential harmful effects 300.116 (d)								
• Participation in general education is indicated 300.116 (e)								
PROCEDURAL SAFEGUARDS								
Parent Consent:								
• Initial evaluation 300.300 (a)								
• Reevaluation 300.300 (c)								
• Initial Placement 300.300 (b)								
Limited access notice posted on cabinet and has acceptable content 300.623 (d)								
File contained information only about this student 300.615								
Record locator completed correctly 300.616								
Record of Inspection completed properly 300.614								
Record locator located in the cumulative file								

District IDEA Tally Form- Master

Quality Indicators	Total Files	Yes	No	NF	NA	Noncompliance Date Identified	Date Corrected	Date verified by SEA staff
Parent Prior Notice for: 300.503								
• Assessment Planning – 300.304 (a)								
• Most recent IEP meeting								
• Initial referral for evaluation								
• IWAR meeting								
• Transition noted as purpose of IEP meeting								
Parent Prior Notice form includes: 300.503 (b)								
• Action proposed								
• Why proposed/rejected								
• Options considered								
• Why action rejected								
• Each evaluation procedure								
• Any other relevant factors								
• Understandable to parents								
• Parents Right Information was given to parents if appropriate								
Transfer of rights documents in file:								
• Student & parent <i>informed</i> at 17 300.320 (c)								
• Student & parent transfer of rights (documented) at 18								

APPENDIX C:

Internal Monitoring Self Assessment Form

**2006-2007 School Year
Internal Monitoring Self Assessment**

Final Draft: Version 3

School District/Building _____
Self Assessment Summary Completion (date) _____
Self Assessment Completed by (name) _____
Date of Follow-up _____

Areas of Compliance	Supporting Documentation Check All That Apply	Date Noncompliance Identified	Date Corrected -Within 1 year?	For Improvement Planning Beyond One Year Projected Date Corrected (Improvement Plan Attached)	Date Correction Verified by NDDPI Comments	Date of Letter From DPI Documenting Correction of Noncompliance
Private school officials were contacted and consulted regarding the planning, design, implementation and participation in special education services.	- Dated meeting notes - Completed forms		Y N			
Expenditures and services provided to private school children must be equitable in comparison to the services provided to public school children.	- Focus Groups		Y N			
Consultation/involvement with parents and community groups is solicited.	- Parent Survey - School documentation		Y N			
Special education services and programming are evaluated periodically toward achievement of goals and objectives and these results are used to refine, improve and strengthen the education system.	- Board meetings minutes - Current Eligibility documents		Y N			
Children with disabilities rate of suspension or expulsion is proportionate to the percentage of the student population.	Reported to DPI		Y N			
Children with disabilities are in general education classrooms 60% of the school day in alignment with State standards.	Child Count		Y N			
Preschool children with IEPs who receive special education services and related services in settings appropriate to the needs of the student and with typically developing peers.	Child Count		Y N			
Proportionate representation of racial and ethnic groups in special education and related services as compared to the general school population.	Reported to DPI		Y N			

Areas of Compliance	Supporting Documentation Check All That Apply	Date Noncompliance Identified	Date Corrected -Within 1 year?		For Improvement Planning Beyond One Year Projected Date Corrected (Improvement Plan Attached)	Date Correction Verified by NDDPI Comments	Date of Letter From DPI Documenting Correction of Noncompliance
Children referred to Special Education services have a signed consent for evaluation from the parents or legal guardian.	Internal review of XX% files.			Y N			
The LEA attended meetings to assure a smooth transition from Part C to Part B.	- Collection process for APR			Y N			
Children referred to Special Education by Part C that are found eligible for services have an IEP developed and implemented by their third birthdays.	- Collection process for APR			Y N			
The district has informed parents and community members of the District/school report cards and has provided an opportunity for individuals to review these reports.	- School documentation - Newsletters, website			Y N			
Parents of all students have received district and school information regarding the results of the state assessments administered.	- School documentation - AYP Reports			Y N			
The district involves parents in the development of school programs.	DPI Parent Survey - School documentation			Y N			
An annual assessment of parent involvement is completed and analyzed.	DPI Parent Survey			Y N			
Annual results of the school improvement plan are shared with parents of participating children, teachers, and other appropriate staff, including principals.	- School documentation - DPI Parent Survey			Y N			
Parents are made aware of their rights and the complaint and mediation processes.	- School documentation - DPI Parent Survey			Y N			
Parent complaints with findings are addressed with the parents and needed changes or adjustments are made.	Documented in the APR			Y N			
Referrals to Special Education are assessed within 60 days of date of referral.	- Reported to DPI - DPI Spreadsheet			Y N			

Areas of Compliance	Supporting Documentation Check All That Apply	Date Noncompliance Identified	Date Corrected -Within 1 year?		For Improvement Planning Beyond One Year Projected Date Corrected (Improvement Plan Attached)	Date Correction Verified by NDDPI Comments	Date of Letter From DPI Documenting Correction of Noncompliance
The graduation rate for students with disabilities is proportionate to all students.	- Reported to DPI			Y N			
The dropout rate for students with disabilities is comparable to all students and meets or exceeds state targets.	- Reported to DPI			Y N			
Students taking the alternate assessment are demonstrating improvement.	- Reported to DPI			Y N			
All youth age 16 or older with an IEP have coordinated, obtainable goals that will reasonably enable the student to meet post secondary goals.	- Checklist supplied by DPI - Internal review - DPI Spreadsheet			Y N			
Students who had IEPs and are no longer in secondary education are competitively employed, enrolled in some type of post secondary education or both within one year of leaving high school.	- Follow-up Surveys			Y N			
List any additional areas of noncompliance identified through the district review of student files for students with disabilities.							
	Student File Review			Y N			
	Student File Review			Y N			
	Student File Review			Y N			
	Student File Review			Y N			