ESS Program Support & Monitoring
Exceptional Student Services

Programmatic Monitoring Manual

2021-2022

INDEX

ESS Monitoring Model
Introduction 1-5
Calls, Findings, and Corrective Action Plans 5-7

Data Review Monitoring

Instructions for Data Review Monitoring A1
Data Review Required Forms A2
File Sample Selection – Data Review DRM-2 A3
Data Review Monitoring File Sample Form A4
Data Review Tracking Form A5
Agency Form A6
In by 3 Worksheet, Child Find Worksheet A7
Data Review Student File Form A8

Self-Assessment Monitoring
Instructions for Self-Assessment Monitoring B1
Self-Assessment Process Timeline B2
Self-Assessment Required Forms, Key points to Successful Completion B3
File Sample Selection SAM-2 B4
Self-Assessment Programmatic Monitoring File Sample SAM-3 B5
Self-Assessment Tracking Form B6
Agency Form B7
In by 3 Worksheet, Child Find Worksheet B8

Documents & Student File Forms for Self-Assessment Outcome Focus Area

Indicator 1 Graduation B9
Indicator 2 Dropout B10
Indicator 3 Reading Proficiency on Statewide Assessment B11
Indicator 3 Math Proficiency on Statewide Assessment B12
Indicator 4 Suspension/Expulsion B13
Indicator 5 LRE B14
Indicator 9/10 Disproportionality B15
Indicator 11 Child Find (Evaluation Timeline) B16
Indicator 13 Secondary Transition B17

On-Site Monitoring

Instructions for On-Site Monitoring	C1
Instructions for Compliance Scoring & Summary Documentation	C2
File Sample Selection OSM-2	C3
File Sample Form OSM-3	C4
On-Site Monitoring Student File Form	C5
Agency Form	C6
Child Find Worksheet	C7
In by 3 Worksheet	C8
Summary of Performance Worksheet	C9
Classroom Observation of Special Education Services	C10
On-Site Compliance Outcome Focus Areas	
Indicator 11 Child Find Outcome Focus Area (60-Day Initial Evaluation)	C11
Preschool Transition (In by 3-Indicator 12)	C12
Indicator 13 Postsecondary Transition Outcome Focus Area	C13
Guide Steps	D1-54

State Systemic Improvement Plan (SSIP)

Introduction, Explanation and Timelines for PEA SSIP	E1
State Systemic Improvement Plan Process	E2
Success Gap Rubric	E3
Success Gaps Rubric- Activity Resources & Probing Questions	E4
SSIP Success Gaps & Action Plan Feedback Guide	E5
Evidence-Based Practices Diagnostic Tool	E6

Appendix

A Measurable Annual Goals
B Risk Analysis Tool and Explanation Guide
C Child Find Referral Form
D Arizona Parent Involvement Survey Instructions
E Annual Site Visit
F Qualified Professionals List
G Secondary Transition

H Specially Designed Instruction
I Transportation Only District
J End of Section Calls
K Student Form Explained

Arizona Department of Education
Exceptional Student Services

August 2021

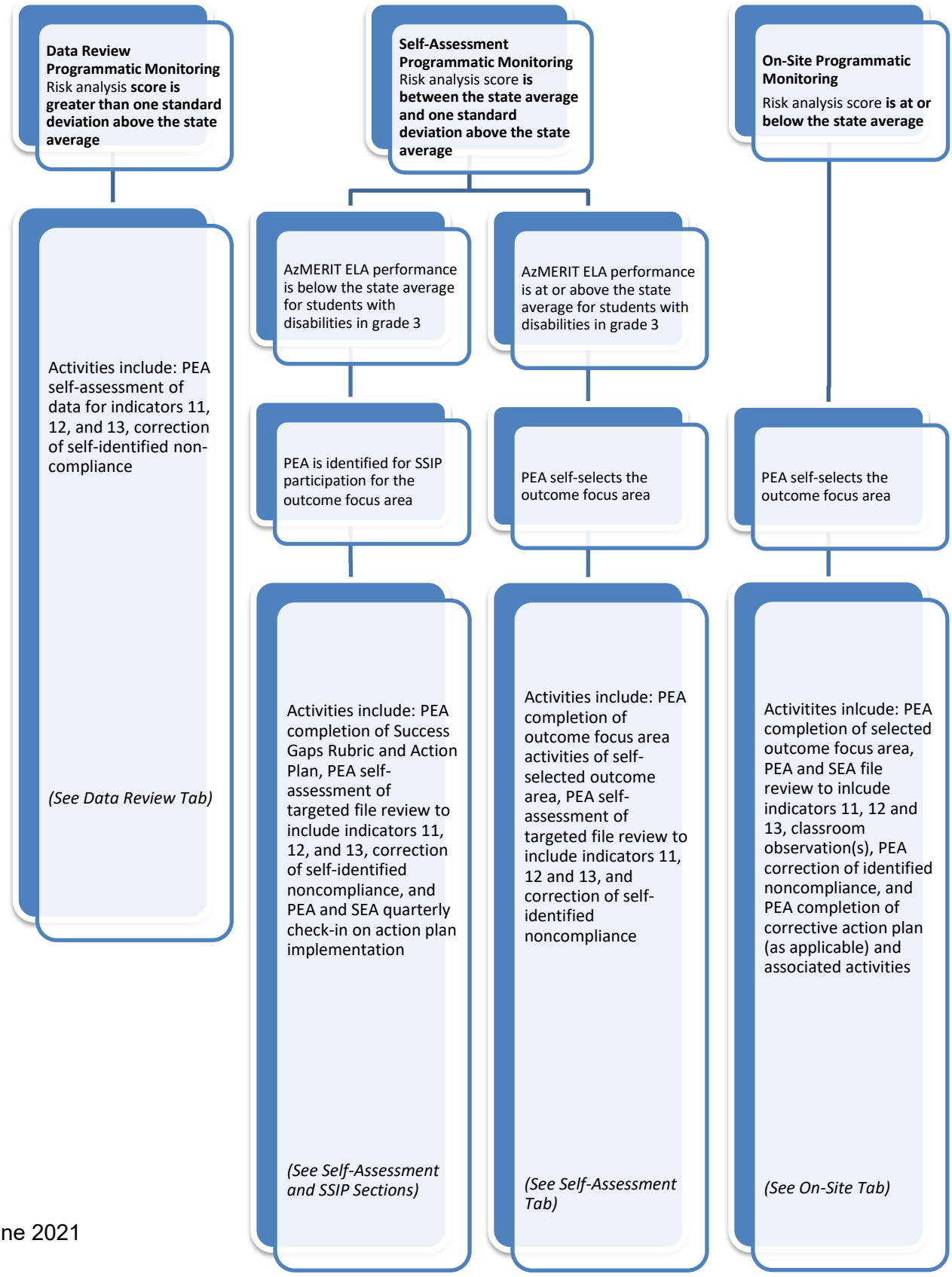
To: Special Education Directors and Special Education Staff
From: Angela Odom, Director of Program Support and Monitoring

Subject: Programmatic Monitoring Manual

The programmatic monitoring manual that will be used by the Arizona Department of Education, Exceptional Student Services (ADE/ESS), throughout school year 2021–2022 is now available on the Program Support and Monitoring web page. The programmatic monitoring system is designed to ensure Public Education Agencies' (PEAs') compliance with State and Federal requirements for the Individuals with Disabilities Education Act Amendments of 2006 and the Arizona Revised Statutes while also analyzing student outcomes. Although ADE/ESS will be using a six-year cycle for programmatic monitoring, we continue to implement a yearly review of a PEA's data related to special education. Compliance and results indicator data, PEA Determinations, and annual site visit data are all reviewed annually by the assigned program specialist in collaboration with the PEA director.

Regardless of where your PEA is in the programmatic monitoring cycle, ADE/ESS urges you to begin to evaluate your special education program against the indicators in the programmatic monitoring manual. You are free to forward the web link so that your staff is aware of the requirements for each of the major components in special education. They are also available on the Program Support and Monitoring Web page. If you have any questions, please contact your program specialist.

Programmatic Monitoring Model Flow Chart



June 2021

Programmatic Monitoring Model Flow Chart

On-Site Programmatic Monitoring

- Risk analysis score is **at or below the state average**
- PEA self-selects the outcome focus area
    - Activities include: PEA completion of selected outcome focus area, PEA and SEA file review to include indicators 11, 12, and 13, classroom observation(s), PEA correction of identified noncompliance, and PEA completion of corrective action plan (if applicable) and associated activities
    - *(See On-Site Tab)*

Self-Assessment Programmatic Monitoring

- Risk analysis score is **between the state average and one standard deviation above the state average**
- AzMERIT ELA performance is at or above the state average for students with disabilities in grade 3
    - PEA self-selects the outcome focus area
        - Activities include: PEA completion of outcome focus area activities of self-selected outcome area, PEA self-assessment of targeted file review to include indicators 11, 12, and 13, and correction of self-identified noncompliance
        - *(See Self-Assessment Tab)*
- AzMERIT ELA performance is below the state average for students with disabilities in grade 3
    - PEA is identified for SSIP participation for the outcome focus area
        - Activities include: PEA completion of Success Gaps Rubric and Action Plan, PEA self-assessment of targeted file review to include indicators 11, 12, and 13, correction of self-identified noncompliance, and PEA and SEA quarterly check-in on action plan implementation
        - *(See Self-Assessment and SSIP Sections)*

Programmatic Monitoring Model Flow Chart

Data Review Programmatic Monitoring

- Risk analysis **score is greater than one standard deviation above the state average**
    - Activities include: PEA self-assessment of data for indicators 11, 12, and 13, correction of self-identified non-compliance
    - *(See Data Review Tab)*

Introduction

States have a responsibility under federal law to have a system of general supervision. The main purpose of the system is to monitor the implementation of the Individuals with Disabilities Education Act (IDEA). The U.S. Department of Education's Office of Special Education Programs (OSEP) has identified several components related to general supervision: Policies, Procedures, and Implementation (compliance); State Systemic Improvement Plan (SSIP); Outcomes for Results-Driven Accountability (RDA); Fiscal Management; and Targeted Technical Assistance (TA) and Professional Development (PD).

In order for the State to have an effective system of general supervision, that system must support practices that improve educational results by using multiple methods to identify and correct noncompliance and by encouraging and supporting improvement while enforcing compliance. The Arizona Department of Education, Exceptional Student Services (ADE/ESS), views effectiveness as

- Correctly implementing the specific regulatory requirements of the statutes **and**
- Ensuring quality learning and life outcomes for students.

Targeted technical assistance and professional development are ongoing activities and are a major part of the ADE/ESS general supervision system. Technical assistance is designed to link directly to indicators in the State Performance Plan/Annual Performance Report (SPP/APR), to improve outcomes for students, and to improve the level of compliance in Arizona public education agencies (PEAs). Throughout the six-year monitoring cycle, PEAs can access and request targeted technical assistance in order to improve compliance systems and student outcomes. Technical assistance ranges from on-site staff training to webinars and statewide conferences. Technical assistance documents are also available online or through the Program Support and Monitoring (PSM) specialist assigned to each PEA.

General Supervision—The ADE/ESS general supervision system is based upon requirements from OSEP. The components of this system are aligned to the Part B SPP/APR Related Requirements. The Related Requirements document includes a list of monitoring priorities and indicators and the requirements from the statutes and regulations related to each priority and indicator.

The programmatic general supervision system is structured around technical assistance and programmatic monitoring activities that occur over a six-year period, as follows:

Activity	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Provide Technical Assistance	√	√	√	√	√	√
Review PEA Data	√	√	√	√	√	√
Annual Site Visit (Review for *TA purposes* and Indicator data collection)	√	√	√		√	√
Review PEA Policies and Procedures	√			√		
PEA Collects Student Exit Form Data	√	√	√	√	√	√
PEA Collects Post School Outcomes	√	√	√	√	√	√
PEA Completes Indicator 8 Parent Survey	√	√	√	√	√	√
Prepare for Monitoring			√			
Conduct Monitoring Activities				√		

Complete Corrective Action (if required and which includes individual correction of noncompliance and systemic correction through subsequent file review)					√	
State Systemic Improvement Plan (if targeted)				√	√	√

ADE/ESS uses methods and procedures to implement the programmatic monitoring system that are consistent, but flexible, in order to adapt to the varying needs of children, educational settings, and administrative realities. A PEA's programmatic monitoring year may be adjusted and programmatic monitoring activities assigned anytime data indicate broad issues across systems. Specific components for each step in the programmatic monitoring system are detailed in this document.

ESS Programmatic Monitoring Model

The programmatic monitoring system combines compliance and results in the review of PEA policies, procedures, and practices. Components of the six-year programmatic monitoring cycle include a yearly review of OSEP's compliance and results Indicators 1-14. Student file data are reviewed for every PEA each year.

The Program Support and Monitoring (PSM) specialist assigned to the school district or charter school will meet with the PEA director each spring to discuss the PEA data and to plan for any upcoming activities when the PEA is scheduled for programmatic monitoring the following year. Please see Appendix B for the Risk Analysis Tool used to review data.

Arizona has a six-year cycle for programmatic monitoring with assigned programmatic monitoring activities always occurring in Year 4 of the cycle. However, ESS can adjust a PEA's programmatic monitoring year any time systemic concerns arise, including when there is evidence that a certificated special education teacher is not employed by the PEA. Conversely, PEAs that maintain exceptional data may have less intensive programmatic monitoring activities assigned because the data indicate they are meeting state targets. Regardless of the assigned programmatic monitoring year or programmatic monitoring type, PEAs are required to comply with all requirements under IDEA. There are three programmatic monitoring types:

Data Review—determined by a score of more than one standard deviation above the state average on the risk analysis tool; it is assigned to PEAs whose data consistently reflect outstanding student outcomes and practices that support ongoing compliance with federal and state laws. ESS believes that such programs show compliance sustainability. Such PEAs will be required to review Indicators 11 (Child Find—initial evaluation timeline), 12 (Part C to Part B transition—Preschool transition), and 13 (Secondary Transition) as part of the collection of APR data.

Self-Assessment—determined by a score falling between the state average and one standard deviation above the state average score on the risk analysis tool; it is assigned when a PEA shows evidence of strong programs but has inconsistency in a few areas in which data do not meet the state target. The self-assessment provides an opportunity for the PEA to analyze issues in depth and to find solutions for improvement and sustainability. The targeted review of student files will include indicators 11, 12 and 13. PEAs participating in this type of monitoring will be targeted for participation in SSIP activities if they meet all the following criteria: (1) they service students in grade 3, (2) they do not meet the state target for students with disabilities in English Language Arts (ELA) proficiency in grade 3, and (3) they have a special education enrollment in grade 3 of ten or more students.

If SSIP criteria do not apply, then PEAs will choose an area to focus on in which they may not be meeting a state target. The PEA will complete activities that will result in the development of an action plan.

On-Site—determined by a score at or below the state average on the risk analysis tool; it is assigned when a PEA shows evidence of broad issues across systems and/or outcomes. On-site monitoring includes a thorough review of procedural requirements as well as a review of student performance data. PEAs participating in this type of programmatic monitoring, in conjunction with their PSM specialist, will choose an outcome focus area in which they do not meet a state target to complete an analysis and action plan.

The procedural requirements of IDEA have been tied to the SPP/APR compliance and results indicators shown in the list that follows.

The possible areas of focus for student outcome analysis (Results-driven accountability [RDA]) are shown below:

Graduation	Least Restrictive Environment (LRE)
Dropout	Suspension/Expulsion
Reading Proficiency	Child Find—Initial Evaluation Timeline
Math Proficiency	Early Childhood Transition (In by 3)
Disproportionality	Secondary Transition

Procedural compliance is only one element involved in improving/positive outcomes for students; improved student performance is the ultimate goal. Therefore, a PEA participating in an on-site monitoring is required to determine root causes of poor student performance, as measured by the SPP/APR results indicators. Each outcome focus area analysis (RDA) is driven by (but not restricted to) the ESS-provided analysis tool.

Arizona has found it beneficial to include PEA staff as active partners with ADE/ESS staff when examining PEA data and especially when examining all components of the on-site monitoring. The PEA and PSM team work together during the on-site monitoring. **The PEA *must* have an agency team, including PEA employee(s), as active participants.** Additionally, to ensure accuracy of compliance calls and determination of trend data, the on-site monitoring **cannot** be completed via electronic file review utilizing a PEA software system**.**

For all assigned programmatic monitoring types, ongoing technical assistance plays a significant role in the general supervision of PEAs in Arizona. PSM specialists conduct annual visits with each assigned PEA to review a sample of the PEA's student files, including data related to Indicators 11 (Child Find), 12 (Part C to Part B Transition), and 13 (Secondary Transition). When a PEA is not achieving 100% compliance on these three indicators, specialists give feedback and technical assistance. Program specialists also provide ongoing technical assistance related to any other issues and questions that may arise. Targeted training is provided when files and data indicate a need.

ESS Fiscal Support for Programmatic Monitoring

Limited fiscal support for programmatic monitoring activities will be made available for PEAs in self-assessment and on-site monitoring. Support will be provided through individually developed contracts between the PEA and ADE.

A PEA must complete the contract and have it approved *prior* to the monitoring start date. Contracts that are not approved by the monitoring start date may not be funded.

Maximum Contract Amount by Monitoring Type

Special Education Student Count	On-Site	Self-Assessment
1,000 or more	$2,000	$1,500
501–999	$1,500	
500 and fewer	$1,000	$1,000

Programmatic Monitoring Incentives

Programmatic monitoring incentives are earned when a PEA successfully completes the data review or self-assessment monitoring.

Year 4—Data Review or Self-Assessment

Status	Outcome
Data Review—100% compliance on Indicators 11 and 13	Two entries into a lottery for a paid registration to Arizona's IDEA Conference
Self-Assessment—Successful and timely completion of performance tasks with all supporting documentation demonstrating compliance	One entry into a lottery for a paid registration to Arizona's IDEA Conference

Year 5—Corrective Action Plan Closeout

Status	Outcome
Closed within one year	Congratulatory letter and certificate
Not closed within one year	Enforcement actions until compliance is achieved

Programmatic Monitoring Enforcement Actions

If a PEA is unable to complete the Corrective Action Plan (CAP), which includes correction of all identified noncompliance and evidence of systemic correction through subsequent file reviews, within a year after the date of the Written Notification of Findings letter, one or more of the following enforcement actions will be taken, based upon the severity of the remaining noncompliance:

- ESS development of a prescribed CAP with required activities and timelines to address the continuing noncompliance
- Enforcement of CAP activities as outlined in the current agency CAP
- Review and revision of the current CAP to develop targeted activities that address the continuing noncompliance
- Special monitor assigned to PEA to assist in developing systems
- Interruption of IDEA payments until adequate compliance is achieved. For charter schools not receiving IDEA funds, a request for withholding of 10% of state funds.
- For charter schools, a request to the appropriate board for a notice of intent to revoke the charter
- With Arizona State Board of Education approval, interruption of Group B weighted state aid or redirection of funds, pursuant to 34 C.F.R §300.227(a)
- Request to the attorney general for assistance in law enforcement

*PEAs are entitled to request a hearing if they wish to challenge the enforcement action(s).

Calls, Findings, and Corrective Action Plans

A **"call"** related to a PEA's compliance status is made for every line item in the programmatic monitoring. Line items are those programmatic monitoring items included on all forms in the programmatic monitoring manual. Each line item is composed of multiple components. Any one component within a line item that is found to be noncompliant generates a call of noncompliance for that line item. If multiple components within the line item are found to be noncompliant, a single **finding** for that line item will be generated (i.e., the line item will be found noncompliant), as opposed to a finding being generated for each single component.

At the conclusion of all programmatic monitoring activities, teams review data that are compiled into a report called the draft Summary of Findings (SOF). There are 18 possible "findings" in the ADE/ESS programmatic monitoring process. A **finding** occurs when a PEA is found to be less than 100% compliant for any line item. The formal notification of findings resulting from the programmatic monitoring (which starts the one-year corrective-action timeline) is done in the form of a letter emailed no later than 30 days following the completion of all monitoring activities. The citation related to the area of noncompliance, along with a description of the qualitative and/or quantitative data, is included in the notification.

A **Corrective Action Plan** (CAP) is developed by the PEA with guidance from the ESS team to address the correction of findings of noncompliance.

The development of a CAP, which includes activities for improvement, is required for all line items that are less than 90% compliant. For those line items that are 90–99% compliant, corrective action activities are not required; however, individual student-specific files involved require correction, and subsequent file reviews will occur during the corrective action year to ensure that 100% compliance and sustainability have been achieved for all items that were noncompliant (OSEP Differentiated Monitoring Support 2.0 (DMS)).

Corrective action is not complete and the monitoring cannot be closed until all findings are verified as corrected in accordance with the OSEP 09-02 Memo, including:

1. the correction of all individual instances of noncompliance, including student-specific noncompliance, and

2. verification that the PEA is correctly implementing the specific regulatory requirements. This will be based on the review of updated data, specifically subsequent file reviews.

While the correction of noncompliance is a requirement of programmatic monitoring, an additional area of focus for ADE/ESS centers on program improvement. Throughout the monitoring activities, PEAs are expected to examine their processes and systems in order to focus on improving programs while also correcting instances of noncompliance. This examination by PEAs is subject to validation and verification by ADE/ESS.

Instructions for Corrective Action Close-Out

All line items found to be noncompliant at the conclusion of programmatic monitoring require correction. Line items that are considered to be FAPE prohibitive (indicated as 60-day on the student form) require that a PEA correct the student file within **60 calendar days** of the Written Notification of Findings letter.

The Individual Report of Noncompliance (IRON) will be generated for all student-specific items found to be noncompliant at the conclusion of the programmatic monitoring. A PEA will develop a CAP, with CAP activities, for all line items that are less than 90% compliant. A PEA also is required to show compliance and sustainability for all items that are between 90–99% compliant at the conclusion of the monitoring, even though a specific corrective action plan is not required. The ADE/ESS specialist reviews student-specific and subsequent files during the corrective action year for evidence of 100% compliance and sustainability.

A PEA must correct all noncompliance as soon as possible but no later than one calendar year from the date of the Written Notification of Findings letter. For noncompliant items involving timelines that cannot be corrected, the PEA must still complete the required action (e.g., evaluation) even though it is late. PSM specialists will review subsequent files for compliance and to ensure a PEA's understanding of the issues.

A PEA designates activities to complete in order to implement systems ensuring compliance. These CAP activities will be monitored and verified through the corrective action year. Completion of activities and verification of activities is required to close out the corrective action. The PEA and the assigned PSM specialist will work together to verify these activities.

Summary of Steps

- The ESS program specialist and PEA special education director, or designee, schedule a minimum of three programmatic monitoring follow-up verification visits or desk audits to review documentation, provide technical assistance, and update the compliance status during the year of the CAP. At least one visit will focus on 60-day corrective action items, if applicable. Additional visits will be scheduled as needed, based on the PEA's level of progress toward CAP completion.

- The PEA must ensure that all items found to be out of compliance during the monitoring are brought into compliance. **This includes all items that were less than 100% compliant.**

- CAP follow-ups will include:

    - review the correction of student-specific items from the monitoring.

    - verify completion of PEA-developed CAP activities outlined in the PEA's CAP.

    - review a representative sample of subsequent files to ensure that there has been systemic change and sustainability in compliant practices

- The programmatic monitoring will be closed once a PEA has evidenced compliance and sustainability related to all findings (**student-specific and systemic**) that were less than 100% compliant during the monitoring.

Tab Insert

DATA REVIEW MONITORING

Instructions for Data Review Monitoring

PEAs are expected to conduct genuine, thorough reviews of documentation and to provide evidence of the correction of self-identified noncompliance. The focus of the reviews will be Child Find (Indicators 11 & 12) and Secondary Transition (Indicator 13), as applicable.

- The Data Review monitoring is assigned when the PEA Risk Analysis Tool comprehensive score is more than one standard deviation above the state average.

- The ESS specialist provides the PEA with the **Data Review** student file review form, which focuses on Indicator 11 (Child Find—initial evaluation timeline) and Indicator 13 (Secondary Transition).

- The ESS specialist will also provide the Child Find Worksheet, the In-by-3 Worksheet, and the Agency Form.

- The Data Review timeline begins on **August 2, 2021**.

- No later than **August 27, 2021**, the PEA to be monitored will select student files to be reviewed that are a representative sample of the district/charter. Using the DRM-2 and DRM-3, the PEA will then submit the list of students to the PSM specialist.

- It is highly recommended that PEAs select files that are reflective of the current systems that are in place.

- No later than **September 3, 2021,** the PSM specialists will review DRM-3 to verify that it reflects a representative sample.

- The PEA will conduct student file reviews using the Data Review Student File Form provided by the PSM specialist.

- Throughout the programmatic monitoring process, the PEA will consult with the PSM specialist on using the Guide Steps to ensure that accurate calls are made on the student forms.

- The PEA will submit the completed Data Review Student Forms and the Child Find and In-by-3 Worksheets to the PSM specialist no later than **November 26, 2021**.

- Information on the student forms must be specific enough to determine the reasons for each "**out**" call on the line item of the Data Review Student Forms. Note that each individual instance of PEA-identified noncompliance will require evidence of correction before the monitoring process is complete. The evidence of correction must be submitted with the final submission.

- **No later than December 3, 2021,** the PSM specialist will **request:**

    - copies of a representative sample of student files with enough information provided to validate the PEA's calls
    - a sample of supporting documentation to validate calls made on the Child Find and In-by-3 worksheets
    - documentation to support components on Agency Form including: local school board-approved policies and procedures, evidence of child find procedures presented to parents, PEA invitation list and agenda for private/home schooled students (districts only), evidence of referral system for birth to 2 years 9 months, evidence of referral system for 2 years 10 months to 5 (charters only)

- The PEA will **submit** all of the requested documentation by **December 17, 2021**.

- The PSM specialist will complete a sample validation of the compliance calls and provide feedback on the accuracy of calls made by the PEA no later than **February 11, 2022**.

- Validation will result in one of the following: In compliance, Individual Level of Correction (ILC), or Systemic Level of Correction (SLC).

    - In Compliance—all line items are 100% compliant. No further action is required. Monitoring is closed.
    - Individual Level of Correction (ILC)—all line items are 90% compliant or better. The PEA will submit individual student corrections. Subsequent file review is not required.
    - Systemic Level of Correction (SLC)—results include line items that are less than 90% compliant. The PEA will be required to correct all individual instances of noncompliance. Subsequent files must be reviewed.

- **When the PEA falls into SLC,** the PSM specialist and the PEA will consider the following factors in determining the necessary subsequent documentation to be reviewed: the pervasiveness of the noncompliance from the initial review (noncompliance related to each section) and whether noncompliance was extensive (noncompliance related to student files); they will also consider the frequency of out-of-compliance items that affect FAPE (which are shown on the Student Form as 60-day items). **Note: compliance must be demonstrated in subsequent documentation in order to finalize and complete the monitoring.**

- The PEA will submit the final documentation, including subsequent documentation (SLC only) and corrected noncompliance (ILC and SLC), **on or before April 1, 2022**.

- The PSM Specialist will request a sample for verification no later than **April 8, 2022**.

- The PEA will submit requested student documentation no later than **April 15, 2022**.

- The PSM Specialist will verify the correction of all individual instances of noncompliance from the initial review (ILC and SLC) and verify compliance in subsequent documentation (SLC only) by **April 29, 2022**.

- If there is no evidence of noncompliance by **May 13, 2022**, ESS will issue a successful completion letter to the PEA.

- If there is evidence of noncompliance, ESS will issue a written notification of findings (WNOF) to the PEA on or before **May 13, 2022**.
    - The PSM specialist, in collaboration with the PEA, will discuss the Summary of Findings (SOF), determine strengths and concerns, and develop a draft corrective action plan (CAP) **prior to May 13, 2022.**
    - The PEA and PSM specialist will finalize the PEA's CAP **within 30 calendar days**.

- Items that are considered detrimental to the PEA's ability to provide FAPE to students require that a PEA correct the student file within **60 calendar days** of the Written Notification of Findings letter; enforcement activities will apply if the timeline is not met.

- There is a one-year timeline for correction of all individual instances of noncompliance and completion of the CAP; enforcement activities will apply if the timeline is not met (OSEP 09-02 memo & DMS 2.0).

DATA REVIEW PROCESS FLOWCHART

August 2, 2021

- Process begins

August 27, 2021

- Initial file sample list submitted for review by PSM specialist (utilizing DRM-3)

September 3, 2021

- Feedback provided by PSM specialist on initial file sample (DRM-3)

November 26, 2021

- Completed initial file review forms and Child Find and In-by-3 worksheets submitted to PSM specialist for validation

December 3, 2021

- PSM specialist requests from PEA documentation needed for validation

December 17, 2021

- PEA provides requested documentation to PSM specialist for validation

February 11, 2022

- Validation feedback provided to PEA by PSM specialist to include next steps in the Data Review process: individual student corrections needed and what subsequent documentation may be needed

April 1, 2022

- PEA submits evidence of corrections from initial review and completed subsequent documentation (if needed)

April 8, 2022

- PSM specialist requests a sample of documentation for verification from PEA

April 15, 2022

- PEA submits requested documentation to the PSM specialist

April 29, 2022

- PSM specialist completes verification

May 13, 2022

- PEA receives successful completion letter **or** WNOF and completes a CAP (if applicable)

Data Review Required Forms

Agency Form—Required for all PEAs in monitoring. Reviews policies and procedures as well as child find processes.

Child Find Worksheet—Required for all PEAs in monitoring. Reviews 45-day screening process of the PEA.

In by 3 Worksheet—Required for all PEAs in monitoring. Reviews the in-by-3 process of the PEA.

Data Review Student Form—Specifically created form for file review.

Data Review Tracking Form—Specifically created multipurpose document to be used by specialists as a communication tool throughout the Data Review process. The PEA and the PSM specialist will use this tool to track and document progress.

DRM-2/DRM-3—Specifically created forms used to establish the number of files to be reviewed during the Data Review process; using these two forms will also assist the PEA in ensuring that a representative sample of student files is selected.

Special Education Data Review
File Sample Selection

PEA:_____

Number of students in special education	10 or Fewer	11–100	101–250	251–500	501 or more
Number of eligible student files	All	11+	20+	30+	40+
Initial evaluations of students found not eligible **(for line item II.A.5 only)**	2	2	5	8	12+

Note: Total files reviewed (where there is a +) will increase based on number of eligible students/representative sample

Select a representative sample of files based upon your student population. This sample should include the following specific kinds of files, as applicable:

- Each school site
- Initial evaluations
- All disability categories
- All service delivery models within the PEA
- English learners (ELs)
- Students who are 16 years of age or older (Indicator 13)
- Students in dropout recovery programs
- Out-of-district placements (ASDB, private day school, and residential placement)
- Students from an elementary-only district that are tuitioned (not open enrolled) to a neighboring unified or high school district
- Students phased out of special education services
- Students who have been suspended, have been expelled, or have moved to an IAES for longer than 10 days
- Students initially evaluated and found not eligible (Indicator 11)
- Preschool students

****

Additional items needed for the monitoring:

- List of student files to be reviewed (please use the DRM-3 form)
- Copy of the data review section of the Arizona Monitoring Manual (available online)
- Guide Steps for each PEA team member
- Copy of current SPED72 report from AzEDS
- Home language surveys (if not maintained in student file)

The following matrix may be used to assist you in determining the sample to be selected for the monitoring.

Service Delivery Options	A	ED	EDP	OI	MD	MDSSI	MID	MOID	SID	OHI	TBI	HI	VI	SLD	SLI	DD	PSD
Included in general education class 80% or more of the day (A)																	
Included in general education classroom between 40% and 79% of the school day (B)																	
Included in general education classroom for less than 40% of the school day (C)																	
PEA-operated special school (D)																	
Tuitioned to other public school (D)																	
Private day school (D)																	
Private residential (E, EA, EB, or EC)																	
Homebound/hospital/institution settings (H)																	
ASDB/PDSD (D)																	

Data Review Only Monitoring File Sample

PEA: _____ **Date of Review:** _____

List all student files and indicate the purpose of review for each file selected.

Student Last Name, First Initial / SSID	DOB	School or Teacher	Eligibility Category	Initial Eval	Initial Eval **Did Not Qualify**	Pre-K	English Language Learner (ELL)	Dropout Recovery Program (DRP)	Approved Private Day	Secondary Transition/ Elementary Tuitioned Out to Neighboring HS	Phased Out	Suspended/ Expelled	Reviewer Signature or Initials
1. / SSID													
2. / SSID													
3. / SSID													
4. / SSID													
5. / SSID													
6. / SSID													
7. / SSID													
8. / SSID													
9. / SSID													
10. / SSID													

Data Review Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
No later than 8/27/2021	• PEA selects student files to be reviewed that are a representative sample of the district/charter • PEA submits the list of students to the PSM specialist (using DRM-2 and DRM-3)	
No later than 9/3/2021	• PSM specialist provides verification to PEA that file sample is representative	
No later than 11/26/2021	• PEA completes initial file reviews, Child Find and In-by-3 worksheets • PEA submits copies of completed student file forms, Child Find and In-by-3 worksheets to PSM specialist	
No later than 12/3/2021	• PSM specialist will request documentation to complete validation (see DRM Instructions for required documentation)	
No later than 12/17/2021	• PEA sends requested documentation to PSM specialist	
No later than 2/11/2022	• PSM specialist will provide feedback on validation of accuracy of calls made in initial review and next steps in data review process for PEA (ILC and/or SLC as outlined in the Data Review Instructions)	

Data Review Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
No later than 4/1/2022	• PEA submits final documentation including subsequently completed documentation (SLC)—all line items must meet regulatory requirements • PEA submits documentation from the initial review (ILC and SLC) review noting corrections made based on validation feedback from PSM specialist and self-identified noncompliance	
No later than 4/8/2022	• PSM specialist will request a sample for verification of compliance (sample will include documentation from initial review—both validated and not validated—and subsequent documentation for SLC)	
No later than 4/15/2022	• PEA submits requested documentation for verification to PSM specialist	
No later than 4/29/2022	• PSM specialist completes verification process	
No later than 5/13/2022	• PEA receives successful completion letter or written notification of findings based on PSM verification	

Agency Form

AF

Date: _____ **Specialist**: _____

PEA: _____

PEA ✓	Line Item	I-O-U	Description
☐	I.A.1	____	PEA has board-approved policies and procedures for child find.
☐	I.A.1	____	Child find procedures are disseminated to parents.
☐	I.A.1	____	Child find procedures for birth to 2.10 1/2 years were followed.
☐	I.A.1	____	Child find procedures for ages 2.10 1/2–5 years were followed.
☐	I.A.1	____	PEA maintains invitation list and agenda for private school/home schooled involvement.

COMMENTS: _____

_____

_____

_____

In by 3 Worksheet
Includes all AzEIP transition after June 30, 2021

	PEA/District					
	Campus					
	Name	DOB	SSID	Date of eligibility determination	Date of IEP (if eligible)	**I.A.2** Child was in by 3 (if eligible) (I,O or U if not eligible)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

	PEA/District					
	Campus					
	Name	DOB	SSID	Date of eligibility determination	Date of IEP (if eligible)	**I.A.2** Child was in by 3 (if eligible) (I,O or U if not eligible)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Child Find Worksheet

Sample based on overall population and number of sites/campuses

	PEA/District						
	Campus						
	Name	DOB	SSID	Entry date (record date)	Date screened or records reviewed (record date)	**I.A.2** Child find for K–12 grades occurs within 45 days of entry (I O)	**I.A.2** Follow-up occurred if concerns were noted on the screening (I O U)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

	PEA/District						
	Campus						
	Name	DOB	SSID	Entry date (record date)	Date screened or records reviewed (record date)	**I.A.2** Child find for K–12 grades occurs within 45 days of entry (I O)	**I.A.2** Follow-up occurred if concerns were noted on the screening (I O U)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

Data Review Student Form

SSID Number:_____ DOB: _____ Student: _____ Eligibility:_____

Ethnicity:_____ School: _____ Teacher: _____ Monitor:_____

Primary home language indicated by the parent _____ Language in which the student is most proficient _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days.** **# of days over:** _____ **Reason:** _____ **60-Day**
			Individualized Education Program
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components. 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained

Comment(s) _____

Tab Insert

SELF-ASSESSMENT MONITORING

Self-Assessment Programmatic Monitoring

PEAs are expected to conduct genuine, thorough reviews of documentation and to provide evidence of the correction of self-identified noncompliance.

- In Year 3 (the preparatory year), the PSM specialist and PEA director will review the Risk Analysis Tool (see Appendix B). When the data indicate, the PEA will conduct a Self-Assessment programmatic monitoring in Year 4.

- In Year 4, the PSM specialist will provide the PEA with the required electronic Self-Assessment forms to document activities and to use for student file reviews that are specific to the PEA's outcome area(s).

- The Self-Assessment programmatic monitoring process begins on **August 2, 2021**.

- No later than **August 27, 2021**, the PEA to be monitored will select student files to be reviewed that are a representative sample of the district/charter. Using the SAM-2 and SAM-3, the PEA will then submit the list of students to the PSM specialist.

- It is highly recommended that PEAs select files that are reflective of the current systems that are in place.

- No later than **September 3, 2021,** the PSM specialist will review SAM-3 to verify that it reflects a representative sample.

- The PEA will conduct student file reviews using the forms provided by the PSM specialist.

- Throughout the programmatic monitoring process, the PEA will consult with the PSM specialist on using the Guide Steps to ensure that accurate calls are made on the student forms

- The PEA will submit to the PSM specialist no later than **November 26, 2021** the completed:
    - Self- Assessment Student Forms
    - Child Find Worksheet(s)
    - In-by-3 Worksheet(s)
    - Required outcome area action plan and analysis

- Information on the student forms must be specific enough to determine the calls made by the PEA and the reasons for any "out" call on the line item of the Self-Assessment Student Forms. See Appendix K for more information on how to complete a student form. **Note** that each individual instance of PEA-identified noncompliance will require evidence of correction before the programmatic

monitoring process is complete. The evidence of correction must be included with the final submission.

- **No later than December 3, 2021** the PSM specialist will request:
    - Copies of representative sample of student files with enough information provided to validate the PEA's calls
    - A sample of supporting documentation to validate calls made on the Child Find and In-by-3 worksheets
    - Documentation to support components on Agency Form including: local school board-approved policy and procedures, evidence of child find procedures presented to parents, PEA invitation list and agenda for private/home schooled students (districts only), evidence of referral system for birth–2 years 9 months, and evidence of referral system for 2 years 10 months to 5 (charters only)

- The PEA will **submit** the requested documentation by **December 17, 2021**.

- The PSM specialist will complete a sample validation of the compliance calls and provide feedback on the accuracy of calls made by the PEA no later than **February 11, 2022**.

- Validation will result in one of the following: in compliance, individual level of correction (ILC), or systemic level of correction (SLC).
    - In Compliance—all line items are 100% compliant. No further action is required. Monitoring is complete.
    - Individual Level of Correction (ILC)—all line items are 90% compliant or better. PEA will submit individual student corrections. Subsequent file review is not required.
    - Systemic Level of Correction (SLC)—results include line items that are less than 90% compliant. PEA will be required to correct all individual instances of noncompliance. Subsequent file review will be required.

- **When the PEA falls into SLC**, the PSM specialist and the PEA will consider the following factors in determining the necessary subsequent documentation to be reviewed: the pervasiveness of the noncompliance from the initial review (noncompliance related to each section) and whether noncompliance was extensive (noncompliance related to student files); they will also consider the frequency of out-of-compliance items that affect FAPE (which are shown on the Student Form as 60-day items). **Note: compliance must be demonstrated in subsequent documentation in order to finalize and complete the monitoring.**

- The PEA will submit the final documentation, including subsequent documentation files (SLC only) and corrected noncompliance (ILC and SLC) **on or before April 1, 2022**.

- The PEA will submit final progress and status on outcome focus area activities and analysis no later than **April 1, 2022**.

- PSM Specialist will request a sample for verification no later than **April 8, 2022**.

- The PEA will submit requested student documentation no later than **April 15, 2022.**

- PSM Specialist will verify the correction of all individual instances of noncompliance from the initial review (ILC and SLC) and verify compliance in subsequent documentation (SLC only) by **April 29, 2022**.

- If there is no evidence of noncompliance, ESS will issue a successful completion letter to the PEA on **May 13, 2022**.

- If there is evidence of any noncompliance, ESS will issue a written notification of findings (WNOF) to the PEA on **May 13, 2022**.
    - PSM specialist, in collaboration with the PEA, will discuss the Summary of Findings (SOF), determine strengths and concerns, and develop a draft corrective action plan (CAP) **prior to May 13, 2022.**

    - The PEA and PSM specialist will finalize the PEA's CAP **within 30 calendar days**.

- Items that are considered detrimental to the PEA's ability to provide FAPE to students require that a PEA correct the student file within 60 calendar days of the Written Notification of Findings letter; enforcement activities will apply if the timeline is not met.

- There is a one-year timeline for correction of all individual instances of noncompliance and completion of the CAP; enforcement activities will apply if the timeline is not met (OSEP 09-02 memo, DMS 2.0).

SELF ASSESSMENT PROCESS TIMELINE

August 2, 2021

- Process begins

August 27, 2021

- Initial file sample list submitted for review by PSM specialist (utilizing SAM-3)
- SSIP PEAs submit completed Success Gaps Rubric and Action Plan to PSM Specialist

September 3, 2021

- Feedback provided by PSM specialist on initial file sample (SAM-3)

November 26, 2021

- Completed initial file review forms and Child Find and In-by-3 worksheets submitted to PSM specialist for validation
- Completed outcome focus area analysis and action plan submitted to specialist

December 3, 2021

- PSM specialist requests documentation needed for validation from PEA
- SSIP PEAs complete SSIP Survey

December 17, 2021

- PEA provides requested documentation to PSM specialist for validation

February 11, 2022

- Validation feedback provided to PEA by PSM specialist to include next steps in the Self-Assessment process: individual student corrections needed and what subsequent documentation may be needed
- PSM specialist will provide feedback on outcome focus area and action plan

April 1, 2022

- PEA submits evidence of corrections from initial review and completed subsequent documentation (if needed)
- PEA submits updated outcome focus area analysis and action plan, including SSIP PEAs

April 8, 2022

- PSM specialist requests a sample of documentation for verification from PEA

April 15, 2022

- PEA submits requested documentation to the PSM specialist

April 29, 2022

- PSM specialist completes verification

May 13, 2022

- PEA receives successful completion letter or WNOF and completes a CAP (if applicable)

Self-Assessment Required Forms

Agency Form—Required for all PEAs in monitoring. Reviews policies and procedures as well as child find processes.

Child Find Worksheet—Required for all PEAs in monitoring. Reviews 45-day screening process of the PEA.

In-by-3 Worksheet—Required for all PEAs in monitoring. Reviews the in-by-3 process of the PEA.

Outcome Focus Area Analysis—Specifically created for each of the outcome focus areas, to include SSIP (initial rubric, action plan, and any needed updates)

Self-Assessment Student Form—Specifically created form required for each file review focus area. The forms contain line items that are tied to the Self-Assessment outcome focus areas. The Student Form is required for both the initial file reviews and any required subsequent file reviews.

Summary of Performance Worksheet—Specifically used for the following outcome focus areas: graduation rate, dropout rate, post school outcomes, and postsecondary transition

Self-Assessment Tracking Form—Specifically created multipurpose document to be used by specialists as a communication tool throughout the Self-Assessment process. The PEA and the PSM specialist will use this tool to track and document progress.

SAM-2/SAM-3—Specifically created forms used to establish the number of files to be reviewed during the Self-Assessment process; using these two forms will also assist the PEA in ensuring that a representative sample of student files is selected.

Key Points to Successful Completion of Self-Assessment Programmatic Monitoring

- **It is strongly recommended that PEAs submit documents *before* required timelines. This allows the PEA more opportunity to receive additional feedback from the PSM specialist in an effort to ensure accurate and timely completion of each activity.**

- PEAs **must** address **all** items on the Outcome Focus Area analysis and action plan for the identified focus area. This analysis needs to be unique to the individual PEA.

- Each document submitted during the Self-Assessment process must be individualized, both for each PEA and for the PEA's identified Self-Assessment focus area.

- The Self-Assessment timeline officially begins on **August 2, 2021**.

- Updates and progress for the PEA's outcome focus area will be electronically submitted to the PSM specialist on or before the required dates utilizing the tools associated with the specific outcome focus area, to include SSIP.

- PSM specialists will validate calls related to the compliance component of the Self-Assessment to ensure that calls have been made in accordance with the Guide Steps in the Programmatic Monitoring Manual.

- The PEA should consider all elements of the process when developing outcome focus area analysis. Statements to the effect of "No problems noted," would not be considered genuine or thorough. It is possible that the process may take a PEA above and beyond addressing only the required items, and it is expected that such progressions would be explored and documented.

- The final Self-Assessment outcome focus area analysis update (including SSIP updates) and supporting documentation must be submitted on or before **April 1, 2022**. The supporting documentation must include evidence that each individual instance of noncompliance (ILC and SLC) from the initial review and the subsequent reviews has been corrected (SLC). This subsequent review (SLC) and correction (ILC and SLC) will show that the improvements are sustainable.

- The PSM specialist will verify the correction of all noncompliance (ILC and SLC) and review a representative sample of the subsequent reviews (SLC) to ensure compliance and sustainability.

- After the PEA submits the Self-Assessment outcome focus area analysis (including SSIP) and supporting documentation, ESS will evaluate the analysis and action plan.

- If there are any findings of noncompliance identified at the conclusion of the programmatic monitoring activities, ESS will issue a written notification of findings and the PEA will develop a corrective action plan, if applicable, in collaboration with the PSM specialist.

- There is a one-year timeline for correction of noncompliance and completion of associated CAP activities; enforcement activities may apply if the timeline is not met.

All required forms and reports must be received by the PSM specialist by the ADE **close of business** (5:00 p.m.) on the specified due dates.

PEAs are encouraged to engage in **frequent communication** with their PSM specialist to ensure the **accuracy** of their calls throughout the self-assessment process.

Special Education Self-Assessment
File Sample Selection

PEA:_____

Number of students in special education	10 or Less	11–100	101–250	251–500	501 or more
Number of eligible student files	All	11+	20+	30+	40+
Initial evaluations of students found not eligible **(for line item II.A.5 only)**	2	2	5	8	12+

Note: Total files reviewed will increase based on number of eligible students/representative sample.

Select a representative sample of files based upon your student population. This may include the following variables, if they are applicable:

- Each school site
- Initial placements
- All disability categories
- All service delivery models within the PEA
- English learners (ELs)
- Students who are 16 years of age or older (Indicator 13—Secondary Transition)
- Students in dropout recovery programs
- Students from an elementary-only district that are tuitioned (not open enrolled) to a neighboring unified or high school district
- Out-of-district placements (ASDB, private day school, and residential placement)
- Students phased out of special education services
- Students who have been suspended, been expelled, or moved to an Interim Aleternative Educational Setting (IAES) for longer than 10 days
- Students initially evaluated and found not eligible (Indicator 11—Child Find)
- Preschool students

Additional items needed for the monitoring:

- List of student files to be reviewed (please use the SAM-3 form)
- Copy of the self-assessment section of the Arizona Programmatic Monitoring Manual (available online)
- Guide Steps for each PEA team member
- Copy of current SPED72 report from AzEDS
- Home language surveys (if not maintained in student files)
- Current progress reports

The following matrix may be used to assist you in determining the sample to be selected for the monitoring:

Service Delivery Options	A	ED	EDP	OI	MD	MDSSI	MID	MOID	SID	OHI	TBI	HI	VI	SLD	SLI	DD	PSD
Included in general education class 80% or more of the day (SC-A)																	
Included in general education classroom between 40% and 79% of the school day (SC-B)																	
Included in general education classroom for less than 40% of the school day (SC-C)																	
PEA-operated special school (SC-D)																	
Tuitioned to other public school (SC-D)																	
Private day school (SC-D)																	
Private residential (SC-E, EA, EB, or EC)																	
Homebound/hospital/institutional settings (SC-H)																	
ASDB/PDSD (SC-D)																	

Self-Assessment Programmatic Monitoring File Sample

PEA: _____ **Date of Review:** _____

List all student files and indicate the purpose of review for each file selected.

Student Last Name, First Initial / SSID	DOB	School or Teacher	Eligibility Category	Initial Eval	Initial Eval **Did Not Qualify**	Pre-K	English Language Learner (ELL)	Dropout Recovery Program (DRP)	Approved Private Day	Secondary Transition/ Elementary Tuitioned Out to Neighboring HS	Phased Out	Suspended/ Expelled	Reviewer Signature or Initials
1. SSID													
2. SSID													
3. SSID													
4. SSID													
5. SSID													
6. SSID													
7. SSID													
8. SSID													
9. SSID													
10. SSID													

Self-Assessment Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
No Later Than 8/27/2021	• PEA selects student files to be reviewed that are a representative sample of the district/charter • PEA submits the list of students to the PSM specialist (using SAM-2 and SAM-3) • SSIP PEAs submit completed Success Gaps Rubric and Action Plan	
No Later Than 9/3/2021	• PSM specialist provides feedback to PEA on the SAM-3 • SSIP PEAs receive feedback from PSM specialists for the Success Gaps Rubric and Action Plan Feedback Form	
No Later Than 10/1/2021	• SSIP PEAs submit the Literacy Screener Data Form—Fall to PSM Specialist	

Self-Assessment Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
No Later Than 11/26/2021	• PEA submits copies of completed documentation to PSM specialist to include: child find worksheet(s), agency forms, in-by-3 worksheet(s), and student forms • PEA submits completed outcome focus area and action plan to PSM specialist electronically (does not include SSIP PEAs)	
No Later Than 12/3/2021	• PSM specialist will request documentation needed for validation • SSIP PEAs will complete survey	
No Later Than 12/17/2021	• PEA sends requested documentation to PSM specialist	
No Later Than 2/1/2022	• SSIP PEAs submit the Literacy Screener Data Form—Spring to PSM Specialist	

Self-Assessment Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
No Later Than 2/11/2022	• PSM specialist will provide feedback on validation of accuracy of calls made in initial review and next steps in Self-Assessment process for PEA (ILC and/or SLC, as outlined in the Self-Assessment overview) • PSM specialist will provide feedback on outcome focus area and action plan	
No Later Than 4/1/2022	• PEA submits subsequent review forms (SLC)—all line items must meet regulatory requirements • PEA submits forms from the initial file (ILC and SLC) review noting corrections made based on validation feedback from PSM specialist and self-identified noncompliance • PEA submits updated outcome focus area analysis and action plan to include tasks completed related to the outcome focus area analysis, including link to file review results (includes SSIP)	

Self-Assessment Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
No Later Than 4/8/2022	• PSM specialist will request a sample of documentation for verification (sample will include items from initial review, both validated and not validated, and subsequent files for SLC) • SSIP PEAs receive feedback from PSM specialists for the Success Gaps Rubric and Action Plan Feedback Form	
No Later Than 4/15/2022	• PEA submits requested documentation for verification to PSM specialist	
No Later Than 4/29/2022	• PSM specialist completes verification process	
No Later Than 5/13/2022	• PEA receives successful completion letter or written notification of findings (WNOF) based on PSM verification (CAP development may be needed, dependent on findings)	
No Later Than 06/1/2022	• SSIP PEAs submit the Literacy Screener Data Form—Fall to PSM Specialist	

Agency Form

AF

Date: _____ **Specialist**: _____

PEA: _____

PEA ✓	Line Item	I-O-U	Description
☐	I.A.1	____	PEA has board-approved policies and procedures for child find.
☐	I.A.1	____	Child find procedures are disseminated to parents.
☐	I.A.1	____	Child find procedures for birth to 2.10 1/2 years were followed.
☐	I.A.1	____	Child find procedures for ages 2.10 1/2–5 years were followed.
☐	I.A.1	____	PEA maintains invitation list and agenda for private school/home schooled involvement.

COMMENTS: _____

_____

_____

_____

In by 3 Worksheet
Includes all AzEIP transition after June 30, 2021

	PEA/District					
	Campus					
	Name	DOB	SSID	Date of eligibility determination	Date of IEP (if eligible)	**I.A.2** Child was in by 3 (if eligible) (I,O or U if not eligible)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

	PEA/District					
	Campus					
	Name	DOB	SSID	Date of eligibility determination	Date of IEP (if eligible)	**I.A.2** Child was in by 3 (if eligible) (I,O or U if not eligible)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Child Find Worksheet

Sample based on overall population and number of sites/campuses

	PEA/District						
	Campus						
	Name	DOB	SSID	Entry date (record date)	Date screened or records reviewed (record date)	**I.A.2** Child find for K–12 grades occurs within 45 days of entry (I O)	**I.A.2** Follow-up occurred if concerns were noted on the screening (I O U)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

	PEA/District						
	Campus						
	Name	DOB	SSID	Entry date (record date)	Date screened or records reviewed (record date)	**I.A.2** Child find for K–12 grades occurs within 45 days of entry (I O)	**I.A.2** Follow-up occurred if concerns were noted on the screening (I O U)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

Graduation Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____

Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**

Individualized Education Program

PEA ✓	Line Item	I-O-U	Description
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no", indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to guide steps)

PEA ✓	Line Item	I-O-U	Description
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks
☐		☐	Current progress report includes progress toward goals **(If "out", indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out", indicate missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**District Only**)
☐		☐	Consideration of related services

COMMENTS:_____

_____

_____

_____

Graduation Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Consideration of supplementary aids, services, program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out", indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE
	Secondary Transition Line Items (III.A.6 & III.A.7)		
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components. 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day**

B9

COMMENTS:_____

_____

_____

_____

Summary of Performance Worksheet

All unified districts and high schools use this section

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Graduation Rate Analysis and Action Plan

Data Review	Determine if the data for your agency's special education students are reported accurately.	Compare the graduation rates for general education students with the rates for special education students. If the general education rate exceeds the special education rate, develop some hypotheses as to the reasons for the difference.	Review the secondary transition plan for each special education student who did not graduate, using the Graduation Rate Student Form. Determine if each transition plan contained all the required components, such as transition assessments, measurable postsecondary goals, transition services and activities, an annual IEP goal to support the postsecondary goal(s), evidence of parent/student consent and invitation to outside agency if team determined such services were needed, courses of study, and that the measurable postsecondary goals were updated annually. Document any interventions that were made to promote graduation for each student(s).	Review the transcripts and courses of study for the students who did not graduate to determine if any patterns emerge from the group. Report the results of that review for any group of students with similar transcript history.	For students who dropped out, review when the first transition plan was put in place. Were the plans in place long enough to be meaningful for the student? Are there trends identified? Document all findings.	Review PSO data. Report any trends identified.
Findings						
Evidence						
Supports and Services	Determine what strategies, if any, were used to connect students (who later failed to graduate) with programs and/or agencies that support students who are at risk. Include a description of the strategies.	Describe how transition services were provided to **each student receiving special education services** during the twelve months preceding the academic year for which numbers indicate an unusually low graduation rate. If transition services were provided to some students and not others, indicate what those services were and report how the provision of transition services correlated to the likelihood of graduation.	Describe the agency's participation in any school/district-wide initiative to increase the rate of graduation.	Describe any PD offered to staff related to graduation or transition planning. (Include date provided, provider, content, and participants.) Review staff associated with transition plans for those students who dropped out. Were the staff included in the training those who were also associated with the transition planning for these students? Are there trends identified?	Describe any unique or special circumstances that the ADE/ESS unit needs to know in order to understand why your agency's graduation rates for students with IEPs are low.	Based on a Review of student files as it relates to AT services, were AT services provided to **each student receiving special education services** during the twelve months preceding the academic year for which numbers indicate an unusually low graduation rate? Describe any trends.

Findings						
Evidence						

Problem Statement(s):

Actionable Cause(s):

Goal:

B9

Analysis and Action Plan Feedback Guide

PEA:		Focus Area:	
Analysis Items	Does Not Meet	Meets	Feedback/TA
Review of Data ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Supports & Services ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Problem statement, actionable cause, and goal ☐ Does Not Meet ☐ Meets	• Analysis did not include problem statement(s), actionable cause(s), and at least one goal	• Analysis includes problem statement(s), actionable cause(s), and at least one goal	

Dropout Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____

Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**

Individualized Education Program

PEA ✓	Line Item	I-O-U	Description
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no", indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to guide steps)
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks
☐		☐	Current progress report includes progress toward goals **(If "out", indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out", indicate missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**District Only**)
☐		☐	Consideration of related services

COMMENTS:_____

_____

_____

_____

Dropout Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Consideration of supplementary aids, services, program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out", indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE
	Secondary Transition Line Items (III.A.6 & III.A.7)		
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components. 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day**

COMMENTS:_____

_____

_____

_____

Summary of Performance Worksheet

All unified districts and high schools use this section

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Dropout Rate Analysis and Action Plan

Data Review	Determine if the data for your agency's special education students are reported accurately. Review the data related to the dropout rates for grades 9–12.	Determine if the agency has an effective procedure to ensure that the exit code for any student who had previously been coded as either "drop out" or "moved, known to be continuing" is changed when the agency receives a request for records from another school. Provide an explanation of this procedure.	Compare the dropout rates for students in general education with the rates for students in special education. If the special education rate exceeds the general education rate, develop a hypothesis for this and then investigate	Review IEP files for students who have dropped out and determine if each transition plan included all of the required components.	Review the transcripts and course of study for students who have dropped out to determine if specific courses, specific grade levels, or other patterns emerge. Report any trends identified.	Review PSO data. Report any trends identified.
Findings						
Evidence						
Supports and Services	Determine what process, if any, was used to connect students (who later dropped out of school) with programs and/or agencies that support students who are at risk of dropping out.	Identify the dropout prevention services the school currently uses.	Describe how transition services are provided to each student receiving special education during the twelve months preceding the dropout in the academic year shown as having an unusually high dropout rate. If transition services were provided to some students and not others, indicate what those services were and report how the school's provision of transition services correlated to the likelihood of a student's graduating.	Describe the agency's participation in any school- or district-wide initiative for dropout prevention.	Describe any outside agency collaborations that are established with the agency and/or individual sites.	Based on a review of student files as it relates to AT services, were AT services, provided to **each student receiving special education services** during the twelve months preceding the academic year for which numbers indicate an unusually low graduation rate? Describe any trends.
Findings						
Evidence						
Problem Statement(s)						
Actionable Cause(s):						
Goal:						

Analysis and Action Plan Feedback Guide

PEA:		Focus Area:	
Analysis Items	Does Not Meet	Meets	Feedback/TA
Review of Data ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Supports & Services ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Problem statement, actionable cause, and goal ☐ Does Not Meet ☐ Meets	• Analysis did not include problem statement(s), actionable cause(s), and at least one goal	• Analysis includes problem statement(s), actionable cause(s), and at least one goal	

Reading Proficiency Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____ Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision, and hearing status) and, for preschool, a CDA **(indicate areas that have not been assessed) 60-Day** ☐ Vision ☐ Social/behavioral ☐ Hearing ☐ Communications ☐ Academics ☐ Assistive technology ☐ Cognitive ☐ Motor skills ☐ Adaptive ☐ Other _____
☐		☐	Performance in educational setting and progress in general curriculum
☐		☐	Educational needs to access the general curriculum, including assistive technology
☐		☐	For reevaluations, additions or modifications to the special education services are needed for the student to progress in the general curriculum
☐		☐	The impact of any educational disadvantage
☐		☐	The impact of English language learning on progress in general curriculum

PEA ✓	Line Item	I-O-U	Description
☐		☐	Team determined the student has a specific category of disability **60-Day**
☐		☐	Team determined the student needs special education and related services **60-Day**
☐		☐	Assessments and other evaluation materials are administered in a language and form most likely to yield accurate information **60-Day**
☐		☐	SPED72 matches eligibility
☐		☐	A—documents a developmental disability that significantly affects verbal and nonverbal communication and social interaction
☐		☐	DD—documents at least 1.5 SD and no more than 3.0 SD below the mean in two or more areas for a child who is at least 3 years of age but under 10 years of age
☐		☐	ED—verification by a qualified professional **60-Day**
☐		☐	HI—verification by a qualified professional **60-Day**
☐		☐	HI—documents the language proficiency of the student
☐		☐	MIID—documents performance on standard measures between 2 and 3 SD below the mean

COMMENTS:_____

Reading Proficiency Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	MOID—documents performance on standard measures between 3 and 4 SD below the mean
☐		☐	MD—documents a learning and developmental problem resulting from multiple disabilities **60-Day**
☐		☐	MDSSI—documents multiple disabilities that include at least one of the following: VI or HI **60-Day**
☐		☐	OHI—verification by a qualified professional **60-Day**
☐		☐	OI—verification by a qualified professional **60-Day**
☐		☐	PSD—documents more than 3.0 SD below the mean in one or more areas
☐		☐	SLI—documents a communication disorder
☐		☐	SLD—documents a significant discrepancy between achievement and ability in one of the identified areas or failure to respond to intervention (RTI)
☐		☐	SLD—certifies that each team member agrees or disagrees
☐		☐	SLD—documents determination of effects of environmental, cultural, or economic disadvantage
☐		☐	SID—documents performance at least 4 SD below the mean
☐		☐	TBI—verification by a qualified professional **60-Day**
☐		☐	VI—verification by a qualified professional **60-Day**
☐		☐	VI—documents the results of an individualized Braille assessment for a student who is considered blind

PEA ✓	Line Item	I-O-U	Description
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**
			Individualized Education Program
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no," indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to guide steps)
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks

B11

COMMENTS:_____

Reading Proficiency Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Current progress report includes progress toward goals **(If "out," indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out," indicate missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**District Only**)
☐		☐	Consideration of related services
☐		☐	Consideration of supplementary aids, services, program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out," indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE
☐	III.A.5	_____	Other considerations
☐		☐	Consideration of strategies/supports to address behavior that impedes student's learning or that of others
☐		☐	Consideration of individual accommodations in testing, if appropriate
☐		☐	Consideration of communication needs of the student
☐		☐	Consideration of assistive technology devices and service needs
☐		☐	For ELL students, consideration of language needs related to the IEP
☐		☐	For HI students, consideration of the child's language and communication needs

Secondary Transition Line Items (III.A.6)

☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually

B11

COMMENTS:_____

_____

_____

_____

Reading Proficiency Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day**

COMMENTS:_____

_____

_____

_____

Success Gaps Rubric

District: _____ **Revision Dates:** _____ _____ _____ _____

Team Leader:

Team Members:

(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)

The content of this document has been transcribed from the IDEA Data Centers' Equity, Inclusion, and Opportunity: Addressing Success Gaps—Indicators of Success Rubric Version 3.0

Directions for completing the Success Gaps rubric:

This rubric is designed to help any school or school district identify gaps in performance between groups or subgroups of children or students. We use the term children/students because the review is inclusive of any preschool children enrolled in a school or a district. Detailed instructions and resource materials are included in the Success Gaps tool box located on the resource pages of the IDEA Data Center.

Ideally, this rubric should be completed by a team. Possible team members may be representatives from general education, special education, district leadership, and school-based leadership. The suggested practice for completion of the rubric is to have team members complete the rubric individually, meet to discuss similarities and differences in scoring, then come to consensus on a final score as a team.

Insights gained from completing the rubric will be used to complete the Action Plan template on the final page of this document. As activities in the Action Plan(s) are implemented and successfully sustained, review and update the rubric section(s) to demonstrate progress. To complete this portion of the monitoring activities, submit a copy of the original rubric, the completed Action Plan, and an updated rubric to your Program Support and Monitoring specialist.

1. Data-Based Decision Making

Probing Questions:

Does our school or district identify data elements or quality indicators that are tracked over time to measure school effectiveness?
What are those data elements? Are the data valid and reliable?
Are data disaggregated by child/student demographics such as race, ethnicity, gender, disability, etc. to identify gaps in achievement and performance and trends with over- or underrepresentation in identification, placement, and discipline?
Are data reviewed at regular intervals to determine progress or change?
Are data used to make policy, procedure, and practice decisions in our school?
How regularly do we use these data to inform our decisions?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
1a. Decisions about the school curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives are based on data.	☐ Decisions about the school curriculum, instructional programs, academic and behavioral supports and school improvement initiatives are rarely systematically based on data.	☐ Some teachers and programs consistently use valid and reliable data systematically to inform decisions about curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives.	☐ The data used are valid and reliable. A schoolwide formalized and systematic process is in place to monitor and reinforce the continuous improvement of individual learners, subgroups of learners, initiatives, and programs within the school. It is implemented by some but not all staff.	☐ The data used are valid and reliable. The schoolwide process for data-based decision making is implemented and evident for all children/students and subgroups of children/students, in all classrooms, and is used in decisions about school initiatives or programs, as well.	

2. Cultural Responsiveness

Probing Questions:

Are school staff prepared to work with children/students from diverse cultural and linguistic backgrounds?
Is our school culture responsive and welcoming to children/students and families from culturally/linguistically diverse groups?
To what degree does our teaching staff reflect the cultural/linguistic makeup of our school's population?
Do school staff understand and value each individual child's and each group's unique cultural values and needs?
Are teachers familiar with the beliefs, values, cultural practices, discourse styles, and other features of children's/students' lives that may have an impact on classroom participation and success, and are they prepared to use this information in designing instruction?
Do research-based interventions account for the schools' cultural context as a part of implementation?
Are screening, referral, and assessment practices, procedures, and tools unbiased and nondiscriminatory?
Does the staff at our school understand that it is our job to be culturally responsive to all their children/students?
Are we linguistically competent to communicate with our children/students and their families?
Do culturally responsive practices inform our outreach to the community including families and community partners?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2a. Culturally responsive instructional interventions and teaching strategies are used throughout the school or district.	☐ Staff practices and attitudes about culture, race, and linguistic background prevent success gaps from being addressed. Many teachers are unable to effectively teach some groups of children/students in the school.	☐ Some staff practices and attitudes about culture, race, and linguistic background are barriers to addressing success gaps. Many teachers are unable to effectively teach some groups of children/students in the school. Staff have received training in culturally responsive practices.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of most staff are responsive to cultural, racial, and linguistic diversity. Few teachers are unable to effectively teach some groups of children/ students in the school.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of all staff are responsive to cultural, racial, and linguistic diversity. The school recognizes and celebrates the diversity and richness of students' and families' backgrounds. All teachers can effectively teach all groups of children/students in the school.	
2b. Faculty and staff are prepared for linguistic diversity among students and families.	☐ Most teachers are unprepared to meet the linguistic needs of many students in the school.	☐ Some teachers are prepared to meet the linguistic needs of all children/students. Few staff are linguistically competent to communicate with our children/students and their families. Other supports are almost always provided when this is not the case.	☐ Most teachers are prepared to meet the linguistic needs of all children/students. Other supports are always provided when this is not the case. Most staff are linguistically competent to communicate with our children/students and their families.	☐ All teachers are prepared to meet the linguistic needs of all children/ students. All staff are linguistically competent to communicate with our children/students and their families.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2c. The school or district facilitates the participation of all the families that make up the diversity of the school.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings do not represent the full diversity of the school, including the group(s) that experience success gaps.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings represent some of the diversity of the school but not all the groups that are experiencing success gaps.	☐ Parents and family members of the groups that experience success gaps in the school feel welcomed and are engaged in school activities, meetings, or other functions. Some of the diversity of the school, but not all the groups that are experiencing success gaps, are represented on stakeholder planning groups to reduce success gaps. School staff members are taking intentional measures to learn about the culture of these diverse groups.	☐ Parents and family members of the groups that experience success gaps feel welcomed in the school and are frequently engaged in school activities, meetings, or other functions. All the groups that are experiencing success gaps are represented on stakeholder planning groups to reduce success gaps. School staff members on an ongoing basis take intentional measures to learn about the culture of these diverse groups.	

3. Core Instructional Program

Probing Questions:

Do all groups of children in our school receive high-quality instruction based on the principles of Universal Design for Learning?
Are all of our teachers skilled in teaching a classroom filled with learners who are diverse culturally, linguistically, and in learning style?
Are all families aware of the core curriculum and of the differentiations/accommodations/ modifications provided for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
3a. A consistent, well articulated curriculum is in place and implemented with fidelity.	☐ Some children/students do not have access to a rigorous core curriculum taught by effective content teachers.	☐ Inconsistent curriculum planning prevents most children/students from experiencing a rigorous curriculum that is horizontally and vertically aligned and that demands depth of understanding. All children/students experiencing success gaps are taught by effective teachers.	☐ Most children/students participate in a curriculum that is rigorous, demands depth of understanding, and is also beginning to be horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	☐ All children/students participate in a curriculum that is rigorous and demands depth of understanding that has been horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	
3b. The instructional program and strategies used in the school are research-based practices.	☐ Few children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Some children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Many children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ All children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	
3c. Differentiated instruction is used to address the need of all learners in the school.	☐ Very few teachers differentiate the core curriculum to address learning styles, effectively addressing their children's/ students' cultural and linguistic backgrounds.	☐ Some teachers differentiate the core curriculum to address the needs of a few learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ Most teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ All teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	
3d. Families are informed about the core instructional program and how the needs of their child are being met.	☐ Families are rarely informed, in language they understand, about the school's core instructional program or the ways in which it is differentiated for their child.	☐ Families are sometimes informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are usually welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are always welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	

4. Assessment—Universal Screening and Progress Monitoring

Probing Questions:

Does our school have a system that routinely and regularly screens all children/students for risk factors that might require early intervention?
Does every classroom teacher regularly screen or monitor child/student performance/progress and adjust instruction for individual children/students based upon the results?
Are teachers supported to implement developmental, academic, and/or behavior interventions in the general education setting?
Are families informed about the results of universal screening and/or progress monitoring for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
4a. Universal screening is used to identify needs for early intervention or targeted supports	☐ The school does not use schoolwide screening for children/students to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens some groups of children/ students each year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at least once a year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at multiple points during the school year using valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	
4b. Progress monitoring is planned and implemented by the school to support the developmental, academic, or behavioral progress of each child/student.	☐ There is no schoolwide plan for teachers to review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student progress.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Some teachers are implementing this plan.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Most teachers are implementing this plan.	☐ All teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student developmental, academic, or behavioral progress.	
4c. Families are Informed about screening and progress monitoring results.	☐ Families in the groups identified with success gaps are rarely informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are sometimes informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are usually informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ All families are always informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	

5. Interventions and Supports

Probing Questions:
Are children/students with academic challenges identified?
Are they provided with instructional interventions?
Are these interventions evidence-based?
Are the interventions culturally appropriate for our children/students?
Are they implemented with fidelity?
Does the school implement a system of positive behavioral interventions and supports?
Does the school implement a multi-tiered system of supports (MTSS)?
Is the system implemented with fidelity?
Is the system culturally appropriate for the diversity of our child/student population?
Have we used data to determine its effectiveness?
Are teachers effective in its use with diverse groups of children/students?
Are families informed about the interventions and supports provided to their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5a. Evidence-based behavioral interventions and supports, in addition to core instruction, are embedded within a multi-tiered framework and implemented with fidelity.	☐ The school does not have a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Some teachers are already implementing this plan.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Most teachers are already implementing interventions with fidelity and according to the plan.	☐ The school has a plan so to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. All teachers identify children/students with behavioral or academic challenges and provide supplemental evidence-based interventions with fidelity.	
5b. School-level practices use tiered response methods (MTSS) that include academic and behavioral interventions and supports.	☐ The school has no schoolwide multi-tiered system of academic and behavioral supports or, if it has one, it is ineffective, disjointed, or inconsistently implemented.	☐ The school has a plan to implement a schoolwide multi-tiered system of academic and behavioral supports and interventions in all classrooms. Some teachers and staff are already implementing elements of the support system in some classrooms.	☐ A schoolwide multi-tiered academic and behavioral support system is implemented across all school environments and in all classrooms with high fidelity.	☐ A schoolwide multi-tiered academic and behavioral support system that is culturally responsive to the school population is implemented across all school environments and in all classrooms with high fidelity.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5c. A comprehensive district-level school discipline policy is in place and implemented.	☐ The district currently has a zero-tolerance policy or lacks a cohesive discipline policy altogether.	☐ District leaders are drafting a formal school discipline policy informed by best practice.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. Our school understands and implements the district policy with some degree of fidelity.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. All schools in the district understand and implement the district policy with high fidelity.	
5d. Families are regularly informed, in their native or home language, of interventions provided to their children and their children's responses to those interventions for academic and behavioral skills.	☐ Families of children with more intensive academic or behavioral needs are rarely informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are sometimes informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are regularly informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are always informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	

Action Plan

Success Gaps Indicator Group to Target:

☐ Data-Based Decision-Making ☐ Cultural Responsiveness ☐ Core Instructional Program ☐ Assessment ☐ Interventions & Support

Indicator Targeted *Baseline*	**Indicator Targeted** *Goal*	**Potential Barriers** *To Your Goal*	**Gap-Closing Strategies** *Action Steps*	**Measuring Progress & Effectiveness** *Quantitative Data*	**People Responsible** *Throughout the Process*	**Resources** *Available & Needed*

Success Gaps Feedback Guide

PEA:		Focus Area:	
Rubric Items	Does Not Meet	Meets	Feedback/TA
Data-Based Decision Making □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Cultural Responsiveness □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Core Instructional Program □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	

Success Gaps Feedback Guide

Assessment ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Interventions and Supports ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Action Plan ☐ Does Not Meet ☐ Meets	• Area of focus is not supported by needs assessment • No action steps are included or action steps are not aligned to outcome of needs assessment • Action step(s) do not include any required sections	• Area of focus is supported by the outcome of the needs assessment • Action steps are aligned to the needs assessment data • Action step(s) include some or all required sections	

Math Proficiency Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____

Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision and hearing status) and, for preschool, a CDA **(indicate areas that have not been assessed) 60-Day** ☐ Vision ☐ Social/behavioral ☐ Hearing ☐ Communications ☐ Academics ☐ Assistive technology ☐ Cognitive ☐ Motor skills ☐ Adaptive ☐ Other _____
☐		☐	Performance in educational setting and progress in general curriculum
☐		☐	Educational needs to access the general curriculum, including assistive technology
☐		☐	For reevaluations, additions or modifications to the special education services are needed for the student to progress in the general curriculum
☐		☐	The impact of any educational disadvantage
☐		☐	The impact of English language learning on progress in general curriculum

PEA ✓	Line Item	I-O-U	Description
☐		☐	Team determined the student has a specific category of disability **60-Day**
☐		☐	Team determined the student needs special education and related services **60-Day**
☐		☐	Assessments and other evaluation materials are administered in a language and form most likely to yield accurate information **60-Day**
☐		☐	SPED72 matches eligibility
☐		☐	A—documents a developmental disability that significantly affects verbal and nonverbal communication and social interaction
☐		☐	DD—documents at least 1.5 SD and no more than 3.0 SD below the mean in two or more areas for a child who is at least 3 years of age but under 10 years of age
☐		☐	ED—verification by a qualified professional **60-Day**
☐		☐	HI—verification by a qualified professional **60-Day**
☐		☐	HI—documents the language proficiency of the student
☐		☐	MIID—documents performance on standard measures between 2 and 3 SD below the mean

COMMENTS:_____

Math Proficiency Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	MOID—documents performance on standard measures between 3 and 4 SD below the mean
☐		☐	MD—documents a learning and developmental problem resulting from multiple disabilities **60-Day**
☐		☐	MDSSI—documents multiple disabilities that include at least one of the following: VI or HI **60-Day**
☐		☐	OHI—verification by a qualified professional **60-Day**
☐		☐	OI—verification by a qualified professional **60-Day**
☐		☐	PSD—documents more than 3.0 SD below the mean in one or more areas
☐		☐	SLI—documents a communication disorder
☐		☐	SLD—documents a significant discrepancy between achievement and ability in one of the identified areas or failure to respond to intervention (RTI)
☐		☐	SLD—certifies that each team member agrees or disagrees
☐		☐	SLD—documents determination of effects of environmental, cultural, or economic disadvantage
☐		☐	SID—documents performance at least 4 SD below the mean
☐		☐	TBI—verification by a qualified professional **60-Day**
☐		☐	VI—verification by a qualified professional **60-Day**
☐		☐	VI—documents the results of an individualized Braille assessment for a student who is considered blind

PEA ✓	Line Item	I-O-U	Description
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**
			Individualized Education Program
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no," indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to guide steps)
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks

B12

COMMENTS:_____

Math Proficiency Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Current progress report includes progress toward goals **(If "out," indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out," indicate missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**District Only**)
☐		☐	Consideration of related services
☐		☐	Consideration of supplementary aids, services, program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out," indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE
☐	III.A.5	_____	Other considerations
☐		☐	Consideration of strategies/supports to address behavior that impedes student's learning or that of others
☐		☐	Consideration of individual accommodations in testing, if appropriate
☐		☐	Consideration of communication needs of the student
☐		☐	Consideration of assistive technology devices and service needs
☐		☐	For ELL students, consideration of language needs related to the IEP
☐		☐	For HI students, consideration of the child's language and communication needs

Secondary Transition Line Items (III.A.6)

☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually

COMMENTS:_____

_____

_____

_____

Math Proficiency Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day**

COMMENTS:_____

_____

_____

_____

Success Gaps Rubric

District: _____ **Revision Dates:** _____ _____ _____ _____

Team Leader:

Team Members:

(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)

The content of this document has been transcribed from the IDEA Data Centers' Equity, Inclusion, and Opportunity: Addressing Success Gaps—Indicators of Success Rubric Version 3.0

Directions for completing the Success Gaps rubric:

This rubric is designed to help any school or school district identify gaps in performance between groups or subgroups of children or students. We use the term children/students because the review is inclusive of any preschool children enrolled in a school or a district. Detailed instructions and resource materials are included in the Success Gaps tool box located on the resource pages of the IDEA Data Center.

Ideally, this rubric should be completed by a team. Possible team members may be representatives from general education, special education, district leadership, and school-based leadership. The suggested practice for completion of the rubric is to have team members complete the rubric individually, meet to discuss similarities and differences in scoring, then come to consensus on a final score as a team.

Insights gained from completing the rubric will be used to complete the Action Plan template on the final page of this document. As activities in the Action Plan(s) are implemented and successfully sustained, review and update the rubric section(s) to demonstrate progress. To complete this portion of the monitoring activities, submit a copy of the original rubric, the completed Action Plan, and an updated rubric to your Program Support and Monitoring specialist.

1. Data-Based Decision Making

Probing Questions:

Does our school or district identify data elements or quality indicators that are tracked over time to measure school effectiveness?
What are those data elements? Are the data valid and reliable?
Are data disaggregated by child/student demographics such as race, ethnicity, gender, disability, etc. to identify gaps in achievement and performance and trends with over- or underrepresentation in identification, placement, and discipline?
Are data reviewed at regular intervals to determine progress or change?
Are data used to make policy, procedure, and practice decisions in our school?
How regularly do we use these data to inform our decisions?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
1a. Decisions about the school curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives are based on data.	☐ Decisions about the school curriculum, instructional programs, academic and behavioral supports and school improvement initiatives are rarely systematically based on data.	☐ Some teachers and programs consistently use valid and reliable data systematically to inform decisions about curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives.	☐ The data used are valid and reliable. A schoolwide formalized and systematic process is in place to monitor and reinforce the continuous improvement of individual learners, subgroups of learners, initiatives, and programs within the school. It is implemented by some but not all staff.	☐ The data used are valid and reliable. The schoolwide process for data-based decision making is implemented and evident for all children/students and subgroups of children/students, in all classrooms, and is used in decisions about school initiatives or programs, as well.	

2. Cultural Responsiveness

Probing Questions:

Are school staff prepared to work with children/students from diverse cultural and linguistic backgrounds?
Is our school culture responsive and welcoming to children/students and families from culturally/linguistically diverse groups?
To what degree does our teaching staff reflect the cultural/linguistic makeup of our school's population?
Do school staff understand and value each individual child's and each group's unique cultural values and needs?
Are teachers familiar with the beliefs, values, cultural practices, discourse styles, and other features of children's/students' lives that may have an impact on classroom participation and success, and are they prepared to use this information in designing instruction?
Do research-based interventions account for the schools' cultural context as a part of implementation?
Are screening, referral, and assessment practices, procedures, and tools unbiased and nondiscriminatory?
Does the staff at our school understand that it is our job to be culturally responsive to all their children/students?
Are we linguistically competent to communicate with our children/students and their families?
Do culturally responsive practices inform our outreach to the community including families and community partners?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2a. Culturally responsive instructional interventions and teaching strategies are used throughout the school or district.	☐ Staff practices and attitudes about culture, race, and linguistic background prevent success gaps from being addressed. Many teachers are unable to effectively teach some groups of children/students in the school.	☐ Some staff practices and attitudes about culture, race, and linguistic background are barriers to addressing success gaps. Many teachers are unable to effectively teach some groups of children/students in the school. Staff have received training in culturally responsive practices.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of most staff are responsive to cultural, racial, and linguistic diversity. Few teachers are unable to effectively teach some groups of children/ students in the school.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of all staff are responsive to cultural, racial, and linguistic diversity. The school recognizes and celebrates the diversity and richness of students' and families' backgrounds. All teachers can effectively teach all groups of children/students in the school.	
2b. Faculty and staff are prepared for linguistic diversity among students and families.	☐ Most teachers are unprepared to meet the linguistic needs of many students in the school.	☐ Some teachers are prepared to meet the linguistic needs of all children/students. Few staff are linguistically competent to communicate with our children/students and their families. Other supports are almost always provided when this is not the case.	☐ Most teachers are prepared to meet the linguistic needs of all children/students. Other supports are always provided when this is not the case. Most staff are linguistically competent to communicate with our children/students and their families.	☐ All teachers are prepared to meet the linguistic needs of all children/ students. All staff are linguistically competent to communicate with our children/students and their families.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2c. The school or district facilitates the participation of all the families that make up the diversity of the school.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings do not represent the full diversity of the school, including the group(s) that experience success gaps.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings represent some of the diversity of the school but not all the groups that are experiencing success gaps.	☐ Parents and family members of the groups that experience success gaps in the school feel welcomed and are engaged in school activities, meetings, or other functions. Some of the diversity of the school, but not all the groups that are experiencing success gaps, are represented on stakeholder planning groups to reduce success gaps. School staff members are taking intentional measures to learn about the culture of these diverse groups.	☐ Parents and family members of the groups that experience success gaps feel welcomed in the school and are frequently engaged in school activities, meetings, or other functions. All the groups that are experiencing success gaps are represented on stakeholder planning groups to reduce success gaps. School staff members on an ongoing basis take intentional measures to learn about the culture of these diverse groups.	

3. Core Instructional Program

Probing Questions:

Do all groups of children in our school receive high-quality instruction based on the principles of Universal Design for Learning?
Are all of our teachers skilled in teaching a classroom filled with learners who are diverse culturally, linguistically, and in learning style?
Are all families aware of the core curriculum and of the differentiations/accommodations/ modifications provided for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
3a. A consistent, well articulated curriculum is in place and implemented with fidelity.	☐ Some children/students do not have access to a rigorous core curriculum taught by effective content teachers.	☐ Inconsistent curriculum planning prevents most children/students from experiencing a rigorous curriculum that is horizontally and vertically aligned and that demands depth of understanding. All children/students experiencing success gaps are taught by effective teachers.	☐ Most children/students participate in a curriculum that is rigorous, demands depth of understanding, and is also beginning to be horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	☐ All children/students participate in a curriculum that is rigorous and demands depth of understanding that has been horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	
3b. The instructional program and strategies used in the school are research-based practices.	☐ Few children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Some children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Many children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ All children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	
3c. Differentiated instruction is used to address the need of all learners in the school.	☐ Very few teachers differentiate the core curriculum to address learning styles, effectively addressing their children's/ students' cultural and linguistic backgrounds.	☐ Some teachers differentiate the core curriculum to address the needs of a few learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ Most teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ All teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	
3d. Families are informed about the core instructional program and how the needs of their child are being met.	☐ Families are rarely informed, in language they understand, about the school's core instructional program or the ways in which it is differentiated for their child.	☐ Families are sometimes informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are usually welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are always welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	

4. Assessment—Universal Screening and Progress Monitoring

Probing Questions:

Does our school have a system that routinely and regularly screens all children/students for risk factors that might require early intervention?
Does every classroom teacher regularly screen or monitor child/student performance/progress and adjust instruction for individual children/students based upon the results?
Are teachers supported to implement developmental, academic, and/or behavior interventions in the general education setting?
Are families informed about the results of universal screening and/or progress monitoring for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
4a. Universal screening is used to identify needs for early intervention or targeted supports	☐ The school does not use schoolwide screening for children/students to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens some groups of children/ students each year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at least once a year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at multiple points during the school year using valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	
4b. Progress monitoring is planned and implemented by the school to support the developmental, academic, or behavioral progress of each child/student.	☐ There is no schoolwide plan for teachers to review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student progress.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Some teachers are implementing this plan.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Most teachers are implementing this plan.	☐ All teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student developmental, academic, or behavioral progress.	
4c. Families are Informed about screening and progress monitoring results.	☐ Families in the groups identified with success gaps are rarely informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are sometimes informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are usually informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ All families are always informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	

5. Interventions and Supports

Probing Questions:

Are children/students with academic challenges identified?
Are they provided with instructional interventions?
Are these interventions evidence-based?
Are the interventions culturally appropriate for our children/students?
Are they implemented with fidelity?
Does the school implement a system of positive behavioral interventions and supports?
Does the school implement a multi-tiered system of supports (MTSS)?
Is the system implemented with fidelity?
Is the system culturally appropriate for the diversity of our child/student population?
Have we used data to determine its effectiveness?
Are teachers effective in its use with diverse groups of children/students?
Are families informed about the interventions and supports provided to their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5a. Evidence-based behavioral interventions and supports, in addition to core instruction, are embedded within a multi-tiered framework and implemented with fidelity.	☐ The school does not have a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Some teachers are already implementing this plan.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Most teachers are already implementing interventions with fidelity and according to the plan.	☐ The school has a plan so to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. All teachers identify children/students with behavioral or academic challenges and provide supplemental evidence-based interventions with fidelity.	
5b. School-level practices use tiered response methods (MTSS) that include academic and behavioral interventions and supports.	☐ The school has no schoolwide multi-tiered system of academic and behavioral supports or, if it has one, it is ineffective, disjointed, or inconsistently implemented.	☐ The school has a plan to implement a schoolwide multi-tiered system of academic and behavioral supports and interventions in all classrooms. Some teachers and staff are already implementing elements of the support system in some classrooms.	☐ A schoolwide multi-tiered academic and behavioral support system is implemented across all school environments and in all classrooms with high fidelity.	☐ A schoolwide multi-tiered academic and behavioral support system that is culturally responsive to the school population is implemented across all school environments and in all classrooms with high fidelity.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5c. A comprehensive district-level school discipline policy is in place and implemented.	☐ The district currently has a zero-tolerance policy or lacks a cohesive discipline policy altogether.	☐ District leaders are drafting a formal school discipline policy informed by best practice.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. Our school understands and implements the district policy with some degree of fidelity.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. All schools in the district understand and implement the district policy with high fidelity.	
5d. Families are regularly informed, in their native or home language, of interventions provided to their children and their children's responses to those interventions for academic and behavioral skills.	☐ Families of children with more intensive academic or behavioral needs are rarely informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are sometimes informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are regularly informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are always informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	

Action Plan

Success Gaps Indicator Group to Target:

☐ Data-Based Decision-Making ☐ Cultural Responsiveness ☐ Core Instructional Program ☐ Assessment ☐ Interventions & Support

Indicator Targeted *Baseline*	**Indicator Targeted** *Goal*	**Potential Barriers** *To Your Goal*	**Gap-Closing Strategies** *Action Steps*	**Measuring Progress & Effectiveness** *Quantitative Data*	**People Responsible** *Throughout the Process*	**Resources** *Available & Needed*

Success Gaps Feedback Guide

PEA:		Focus Area:	
Rubric Items	Does Not Meet	Meets	Feedback/TA
Data-Based Decision Making ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Cultural Responsiveness ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Core Instructional Program ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	

Success Gaps Feedback Guide

Assessment □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Interventions and Supports □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Action Plan □ Does Not Meet □ Meets	• Area of focus is not supported by needs assessment • No action steps are included or action steps are not aligned to outcome of needs assessment • Action step(s) do not include any required sections	• Area of focus is supported by the outcome of the needs assessment • Action steps are aligned to the needs assessment data • Action step(s) include some or all required sections	

Suspension/Expulsion Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____ Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.2	_____	Review of existing data
☐		☐	Parent request timeline
☐		☐	Current information provided by the parents
☐		☐	Current classroom-based assessments
☐		☐	Teachers' and related service providers' observation(s), including pre-referral interventions
☐		☐	Formal assessments
☐	II.A.3	_____	Team determination of need for additional data
☐		☐	Team determined that existing data were sufficient or determined that additional data were needed
☐		☐	For reevaluation only, parents were informed of reason and right to request data
☐		☐	Obtained informed parental consent or for reevaluation only, documented efforts to obtain consent

PEA ✓	Line Item	I-O-U	Description
☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision and hearing status) and for preschool, a CDA **(indicate areas that have not been assessed) 60-Day** ☐ Vision ☐ Social/behavioral ☐ Hearing ☐ Communications ☐ Academics ☐ Assistive technology ☐ Cognitive ☐ Motor skills ☐ Adaptive ☐ Other _____
☐		☐	Performance in educational setting and progress in general curriculum
☐		☐	Educational needs to access the general curriculum, including assistive technology
☐		☐	For reevaluations, additions or modifications to the special education services are needed for the student to progress in the general curriculum
☐		☐	The impact of any educational disadvantage
☐		☐	The impact of English language learning on progress in the general curriculum
☐		☐	Team determined the student has a specific category of disability **60-Day**

COMMENTS:_____

_____

_____

_____

Suspension/Expulsion Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Team determined the student needs special education and related services **60-Day**
☐		☐	Assessments and other evaluation materials are administered in a language and form most likely to yield accurate information **60-Day**
☐		☐	SPED72 matches eligibility
☐		☐	A—documents a developmental disability that significantly affects verbal and nonverbal communication and social interaction
☐		☐	DD—documents at least 1.5 SD and no more than 3.0 SD below the mean in two or more areas for a child who is at least 3 years of age but under 10 years of age
☐		☐	ED—verification by a qualified professional **60-Day**
☐		☐	HI—verification by a qualified professional **60-Day**
☐		☐	HI—documents the language proficiency of the student
☐		☐	MIID—documents performance on standard measures between 2 and 3 SD below the mean
☐		☐	MOID—documents performance on standard measures between 3 and 4 SD below the mean
☐		☐	MD—documents a learning and developmental problem resulting from multiple disabilities **60-Day**
☐		☐	MDSSI—documents multiple disabilities that include at least one of the following: VI or HI **60-Day**
☐		☐	OHI—verification by a qualified professional **60-Day**
☐		☐	OI—verification by a qualified professional **60-Day**
☐		☐	PSD—documents more than 3.0 SD below the mean in one or more areas
☐		☐	SLI—documents a communication disorder
☐		☐	SLD—documents a significant discrepancy between achievement and ability in one of the identified areas or failure to respond to intervention (RTI)
☐		☐	SLD—certifies that each team member agrees or disagrees
☐		☐	SLD—documents determination of effects of environmental, cultural, or economic disadvantage
☐		☐	SID—documents performance at least 4 SD below the mean
☐		☐	TBI—verification by a qualified professional **60-Day**
☐		☐	VI—verification by a qualified professional **60-Day**
☐		☐	VI—documents the results of an individualized Braille assessment for a student who is considered blind
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**

B13

COMMENTS:_____

_____

_____

_____

Suspension/Expulsion Self-Assessment Student Form

Individualized Education Program

PEA ✓	Line Item	I-O-U	Description
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no," indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to Guide Steps)
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks
☐		☐	Current progress report includes progress toward goals **(If "out," indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out," indicate the missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**district only**)
☐		☐	Consideration of related services
☐		☐	Consideration of supplementary aids, services, program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out," indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE

COMMENTS: _____

_____

_____

_____

Suspension/Expulsion Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐	III.A.5	_____	Other considerations
☐		☐	Consideration of strategies/supports to address behavior that impedes student's learning or that of others
☐		☐	Consideration of individual accommodations in testing, if appropriate
☐		☐	Consideration of communication needs of the student
☐		☐	Consideration of assistive technology devices and service needs
☐		☐	For students who are ELL, consideration of language needs related to the IEP
☐		☐	For students with HI, consideration of the child's language and communication needs

Secondary Transition Line Items (III.A.6 & III.A.7)

☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to the meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent has been obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day**

Procedural Safeguards/Parental Participation

☐	IV.A.1	_____	Notices provided at required times and in a language and form that is understandable to the parent
☐		☐	Procedural safeguards notice provided to parents within the last 12 months **60-Day**
☐		☐	All required notices provided in a language that is: 1. the native language of the parent 2. understandable to public **60-Day**

COMMENTS:_____

_____

_____

_____

Suspension/Expulsion Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐	IV.A.2	_____	PWN provided at required times and contains required components
☐		☐	PWN provided to parents at required times in the last 12 months
☐		☐	For PWN, a description of the action proposed or refused by the PEA
☐		☐	For PWN, explanation of why the agency proposed or refused to take the action
☐		☐	For PWN, description of any options considered and why these options were rejected
☐		☐	For PWN, description of evaluation procedures, tests, records used as a basis for the decision
☐		☐	For PWN, description of any other relevant factors
☐		☐	For PWN, if the notice is not an initial referral for evaluation, a statement of how a copy of the procedural safeguards can be obtained
☐		☐	For PWN, sources to obtain assistance in understanding the notice

Referral	Additional Data	Eligibility	Initial Placement	IEP/FAPE	Suspension /Expulsion
Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:
PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:

B13

COMMENTS:_____

Suspension/Expulsion Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐	IV.A.3	_____	Discipline procedures and requirements followed
☐		☐	Notified parent on the same date the disciplinary decision was made
☐		☐	If a change in placement occurred, the IEP team conducted a review within 10 school days to determine the relationship between the student's disability and behavior
☐		☐	If the IEP team determined that behavior was a manifestation of the student's disability, an FBA was conducted and a BIP implemented, or if already in place, a BIP reviewed and modified, as necessary **60-Day**
☐		☐	If the IEP team determined that behavior was a manifestation of the student's disability, the student was returned to placement from which the student was removed, unless the parent and PEA agreed to a change of placement **60-Day**
☐		☐	For suspension or IAES placement, student continued to be provided FAPE, including services and adaptations described in the IEP **60-Day**

COMMENTS:_____

_____

_____

_____

Success Gaps Rubric

District: _____ **Revision Dates:** _____ _____ _____ _____

Team Leader:

Team Members:

(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)

The content of this document has been transcribed from the IDEA Data Centers' Equity, Inclusion, and Opportunity: Addressing Success Gaps—Indicators of Success Rubric Version 3.0

Directions for completing the Success Gaps rubric:

This rubric is designed to help any school or school district identify gaps in performance between groups or subgroups of children or students. We use the term children/students because the review is inclusive of any preschool children enrolled in a school or a district. Detailed instructions and resource materials are included in the Success Gaps tool box located on the resource pages of the IDEA Data Center.

Ideally, this rubric should be completed by a team. Possible team members may be representatives from general education, special education, district leadership, and school-based leadership. The suggested practice for completion of the rubric is to have team members complete the rubric individually, meet to discuss similarities and differences in scoring, then come to consensus on a final score as a team.

Insights gained from completing the rubric will be used to complete the Action Plan template on the final page of this document. As activities in the Action Plan(s) are implemented and successfully sustained, review and update the rubric section(s) to demonstrate progress. To complete this portion of the monitoring activities, submit a copy of the original rubric, the completed Action Plan, and an updated rubric to your Program Support and Monitoring specialist.

1. Data-Based Decision Making

Probing Questions:

Does our school or district identify data elements or quality indicators that are tracked over time to measure school effectiveness?
What are those data elements? Are the data valid and reliable?
Are data disaggregated by child/student demographics such as race, ethnicity, gender, disability, etc. to identify gaps in achievement and performance and trends with over- or underrepresentation in identification, placement, and discipline?
Are data reviewed at regular intervals to determine progress or change?
Are data used to make policy, procedure, and practice decisions in our school?
How regularly do we use these data to inform our decisions?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
1a. Decisions about the school curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives are based on data.	☐ Decisions about the school curriculum, instructional programs, academic and behavioral supports and school improvement initiatives are rarely systematically based on data.	☐ Some teachers and programs consistently use valid and reliable data systematically to inform decisions about curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives.	☐ The data used are valid and reliable. A schoolwide formalized and systematic process is in place to monitor and reinforce the continuous improvement of individual learners, subgroups of learners, initiatives, and programs within the school. It is implemented by some but not all staff.	☐ The data used are valid and reliable. The schoolwide process for data-based decision making is implemented and evident for all children/students and subgroups of children/students, in all classrooms, and is used in decisions about school initiatives or programs, as well.	

2. Cultural Responsiveness

Probing Questions:

Are school staff prepared to work with children/students from diverse cultural and linguistic backgrounds?
Is our school culture responsive and welcoming to children/students and families from culturally/linguistically diverse groups?
To what degree does our teaching staff reflect the cultural/linguistic makeup of our school's population?
Do school staff understand and value each individual child's and each group's unique cultural values and needs?
Are teachers familiar with the beliefs, values, cultural practices, discourse styles, and other features of children's/students' lives that may have an impact on classroom participation and success, and are they prepared to use this information in designing instruction?
Do research-based interventions account for the schools' cultural context as a part of implementation?
Are screening, referral, and assessment practices, procedures, and tools unbiased and nondiscriminatory?
Does the staff at our school understand that it is our job to be culturally responsive to all their children/students?
Are we linguistically competent to communicate with our children/students and their families?
Do culturally responsive practices inform our outreach to the community including families and community partners?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2a. Culturally responsive instructional interventions and teaching strategies are used throughout the school or district.	☐ Staff practices and attitudes about culture, race, and linguistic background prevent success gaps from being addressed. Many teachers are unable to effectively teach some groups of children/students in the school.	☐ Some staff practices and attitudes about culture, race, and linguistic background are barriers to addressing success gaps. Many teachers are unable to effectively teach some groups of children/students in the school. Staff have received training in culturally responsive practices.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of most staff are responsive to cultural, racial, and linguistic diversity. Few teachers are unable to effectively teach some groups of children/ students in the school.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of all staff are responsive to cultural, racial, and linguistic diversity. The school recognizes and celebrates the diversity and richness of students' and families' backgrounds. All teachers can effectively teach all groups of children/students in the school.	
2b. Faculty and staff are prepared for linguistic diversity among students and families.	☐ Most teachers are unprepared to meet the linguistic needs of many students in the school.	☐ Some teachers are prepared to meet the linguistic needs of all children/students. Few staff are linguistically competent to communicate with our children/students and their families. Other supports are almost always provided when this is not the case.	☐ Most teachers are prepared to meet the linguistic needs of all children/students. Other supports are always provided when this is not the case. Most staff are linguistically competent to communicate with our children/students and their families.	☐ All teachers are prepared to meet the linguistic needs of all children/ students. All staff are linguistically competent to communicate with our children/students and their families.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2c. The school or district facilitates the participation of all the families that make up the diversity of the school.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings do not represent the full diversity of the school, including the group(s) that experience success gaps.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings represent some of the diversity of the school but not all the groups that are experiencing success gaps.	☐ Parents and family members of the groups that experience success gaps in the school feel welcomed and are engaged in school activities, meetings, or other functions. Some of the diversity of the school, but not all the groups that are experiencing success gaps, are represented on stakeholder planning groups to reduce success gaps. School staff members are taking intentional measures to learn about the culture of these diverse groups.	☐ Parents and family members of the groups that experience success gaps feel welcomed in the school and are frequently engaged in school activities, meetings, or other functions. All the groups that are experiencing success gaps are represented on stakeholder planning groups to reduce success gaps. School staff members on an ongoing basis take intentional measures to learn about the culture of these diverse groups.	

3. Core Instructional Program

Probing Questions:

Do all groups of children in our school receive high-quality instruction based on the principles of Universal Design for Learning?
Are all of our teachers skilled in teaching a classroom filled with learners who are diverse culturally, linguistically, and in learning style?
Are all families aware of the core curriculum and of the differentiations/accommodations/ modifications provided for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
3a. A consistent, well articulated curriculum is in place and implemented with fidelity.	☐ Some children/students do not have access to a rigorous core curriculum taught by effective content teachers.	☐ Inconsistent curriculum planning prevents most children/students from experiencing a rigorous curriculum that is horizontally and vertically aligned and that demands depth of understanding. All children/students experiencing success gaps are taught by effective teachers.	☐ Most children/students participate in a curriculum that is rigorous, demands depth of understanding, and is also beginning to be horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	☐ All children/students participate in a curriculum that is rigorous and demands depth of understanding that has been horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	
3b. The instructional program and strategies used in the school are research-based practices.	☐ Few children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Some children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Many children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ All children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	
3c. Differentiated instruction is used to address the need of all learners in the school.	☐ Very few teachers differentiate the core curriculum to address learning styles, effectively addressing their children's/ students' cultural and linguistic backgrounds.	☐ Some teachers differentiate the core curriculum to address the needs of a few learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ Most teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ All teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	
3d. Families are informed about the core instructional program and how the needs of their child are being met.	☐ Families are rarely informed, in language they understand, about the school's core instructional program or the ways in which it is differentiated for their child.	☐ Families are sometimes informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are usually welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are always welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	

4. Assessment—Universal Screening and Progress Monitoring

Probing Questions:

Does our school have a system that routinely and regularly screens all children/students for risk factors that might require early intervention?
Does every classroom teacher regularly screen or monitor child/student performance/progress and adjust instruction for individual children/students based upon the results?
Are teachers supported to implement developmental, academic, and/or behavior interventions in the general education setting?
Are families informed about the results of universal screening and/or progress monitoring for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
4a. Universal screening is used to identify needs for early intervention or targeted supports	☐ The school does not use schoolwide screening for children/students to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens some groups of children/ students each year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at least once a year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at multiple points during the school year using valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	
4b. Progress monitoring is planned and implemented by the school to support the developmental, academic, or behavioral progress of each child/student.	☐ There is no schoolwide plan for teachers to review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student progress.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Some teachers are implementing this plan.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Most teachers are implementing this plan.	☐ All teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student developmental, academic, or behavioral progress.	
4c. Families are Informed about screening and progress monitoring results.	☐ Families in the groups identified with success gaps are rarely informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are sometimes informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are usually informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ All families are always informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	

5. Interventions and Supports

Probing Questions:
Are children/students with academic challenges identified?
Are they provided with instructional interventions?
Are these interventions evidence-based?
Are the interventions culturally appropriate for our children/students?
Are they implemented with fidelity?
Does the school implement a system of positive behavioral interventions and supports?
Does the school implement a multi-tiered system of supports (MTSS)?
Is the system implemented with fidelity?
Is the system culturally appropriate for the diversity of our child/student population?
Have we used data to determine its effectiveness?
Are teachers effective in its use with diverse groups of children/students?
Are families informed about the interventions and supports provided to their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5a. Evidence-based behavioral interventions and supports, in addition to core instruction, are embedded within a multi-tiered framework and implemented with fidelity.	☐ The school does not have a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Some teachers are already implementing this plan.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Most teachers are already implementing interventions with fidelity and according to the plan.	☐ The school has a plan so to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. All teachers identify children/students with behavioral or academic challenges and provide supplemental evidence-based interventions with fidelity.	
5b. School-level practices use tiered response methods (MTSS) that include academic and behavioral interventions and supports.	☐ The school has no schoolwide multi-tiered system of academic and behavioral supports or, if it has one, it is ineffective, disjointed, or inconsistently implemented.	☐ The school has a plan to implement a schoolwide multi-tiered system of academic and behavioral supports and interventions in all classrooms. Some teachers and staff are already implementing elements of the support system in some classrooms.	☐ A schoolwide multi-tiered academic and behavioral support system is implemented across all school environments and in all classrooms with high fidelity.	☐ A schoolwide multi-tiered academic and behavioral support system that is culturally responsive to the school population is implemented across all school environments and in all classrooms with high fidelity.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5c. A comprehensive district-level school discipline policy is in place and implemented.	☐ The district currently has a zero-tolerance policy or lacks a cohesive discipline policy altogether.	☐ District leaders are drafting a formal school discipline policy informed by best practice.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. Our school understands and implements the district policy with some degree of fidelity.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. All schools in the district understand and implement the district policy with high fidelity.	
5d. Families are regularly informed, in their native or home language, of interventions provided to their children and their children's responses to those interventions for academic and behavioral skills.	☐ Families of children with more intensive academic or behavioral needs are rarely informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are sometimes informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are regularly informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are always informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	

Action Plan

Success Gaps Indicator Group to Target:

☐ Data-Based Decision-Making ☐ Cultural Responsiveness ☐ Core Instructional Program ☐ Assessment ☐ Interventions & Support

Indicator Targeted *Baseline*	**Indicator Targeted** *Goal*	**Potential Barriers** *To Your Goal*	**Gap-Closing Strategies** *Action Steps*	**Measuring Progress & Effectiveness** *Quantitative Data*	**People Responsible** *Throughout the Process*	**Resources** *Available & Needed*

Success Gaps Feedback Guide

PEA:		Focus Area:	
Rubric Items	Does Not Meet	Meets	Feedback/TA
Data-Based Decision Making ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Cultural Responsiveness ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Core Instructional Program ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	

Success Gaps Feedback Guide

Assessment □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Interventions and Supports □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Action Plan □ Does Not Meet □ Meets	• Area of focus is not supported by needs assessment • No action steps are included or action steps are not aligned to outcome of needs assessment • Action step(s) do not include any required sections	• Area of focus is supported by the outcome of the needs assessment • Action steps are aligned to the needs assessment data • Action step(s) include some or all required sections	

LRE Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____ Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**

Individualized Education Program

PEA ✓	Line Item	I-O-U	Description
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no," indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to guide steps)
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks
☐		☐	Current progress report includes progress toward goals **(If "out," indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out," indicate missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**District Only**)
☐		☐	Consideration of related services

COMMENTS:_____

_____

_____

_____

LRE Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Consideration of supplementary aids, services, program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out," indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE
☐	III.A.5	_____	Other considerations
☐		☐	Consideration of strategies/supports to address behavior that impedes student's learning or that of others
☐		☐	Consideration of individual accommodations in testing, if appropriate
☐		☐	Consideration of communication needs of the student
☐		☐	Consideration of assistive technology devices and service needs
☐		☐	For students who are ELL, consideration of language needs related to the IEP
☐		☐	For students with HI, consideration of the child's language and communication needs

PEA ✓	Line Item	I-O-U	Description
			Secondary Transition Line Items (III.A.6 & III.A.7)
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components. 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained

B14

COMMENTS:_____

_____

_____

_____

LRE Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day**

COMMENTS:_____

_____

_____

_____

Success Gaps Rubric

District: _____ **Revision Dates:** _____ _____ _____ _____

Team Leader:

Team Members:

(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)

The content of this document has been transcribed from the IDEA Data Centers' Equity, Inclusion, and Opportunity: Addressing Success Gaps—Indicators of Success Rubric Version 3.0

Directions for completing the Success Gaps rubric:

This rubric is designed to help any school or school district identify gaps in performance between groups or subgroups of children or students. We use the term children/students because the review is inclusive of any preschool children enrolled in a school or a district. Detailed instructions and resource materials are included in the Success Gaps tool box located on the resource pages of the IDEA Data Center.

Ideally, this rubric should be completed by a team. Possible team members may be representatives from general education, special education, district leadership, and school-based leadership. The suggested practice for completion of the rubric is to have team members complete the rubric individually, meet to discuss similarities and differences in scoring, then come to consensus on a final score as a team.

Insights gained from completing the rubric will be used to complete the Action Plan template on the final page of this document. As activities in the Action Plan(s) are implemented and successfully sustained, review and update the rubric section(s) to demonstrate progress. To complete this portion of the monitoring activities, submit a copy of the original rubric, the completed Action Plan, and an updated rubric to your Program Support and Monitoring specialist.

1. Data-Based Decision Making

Probing Questions:

Does our school or district identify data elements or quality indicators that are tracked over time to measure school effectiveness?
What are those data elements? Are the data valid and reliable?
Are data disaggregated by child/student demographics such as race, ethnicity, gender, disability, etc. to identify gaps in achievement and performance and trends with over- or underrepresentation in identification, placement, and discipline?
Are data reviewed at regular intervals to determine progress or change?
Are data used to make policy, procedure, and practice decisions in our school?
How regularly do we use these data to inform our decisions?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
1a. Decisions about the school curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives are based on data.	☐ Decisions about the school curriculum, instructional programs, academic and behavioral supports and school improvement initiatives are rarely systematically based on data.	☐ Some teachers and programs consistently use valid and reliable data systematically to inform decisions about curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives.	☐ The data used are valid and reliable. A schoolwide formalized and systematic process is in place to monitor and reinforce the continuous improvement of individual learners, subgroups of learners, initiatives, and programs within the school. It is implemented by some but not all staff.	☐ The data used are valid and reliable. The schoolwide process for data-based decision making is implemented and evident for all children/students and subgroups of children/students, in all classrooms, and is used in decisions about school initiatives or programs, as well.	

2. Cultural Responsiveness

Probing Questions:

Are school staff prepared to work with children/students from diverse cultural and linguistic backgrounds?
Is our school culture responsive and welcoming to children/students and families from culturally/linguistically diverse groups?
To what degree does our teaching staff reflect the cultural/linguistic makeup of our school's population?
Do school staff understand and value each individual child's and each group's unique cultural values and needs?
Are teachers familiar with the beliefs, values, cultural practices, discourse styles, and other features of children's/students' lives that may have an impact on classroom participation and success, and are they prepared to use this information in designing instruction?
Do research-based interventions account for the schools' cultural context as a part of implementation?
Are screening, referral, and assessment practices, procedures, and tools unbiased and nondiscriminatory?
Does the staff at our school understand that it is our job to be culturally responsive to all their children/students?
Are we linguistically competent to communicate with our children/students and their families?
Do culturally responsive practices inform our outreach to the community including families and community partners?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2a. Culturally responsive instructional interventions and teaching strategies are used throughout the school or district.	☐ Staff practices and attitudes about culture, race, and linguistic background prevent success gaps from being addressed. Many teachers are unable to effectively teach some groups of children/students in the school.	☐ Some staff practices and attitudes about culture, race, and linguistic background are barriers to addressing success gaps. Many teachers are unable to effectively teach some groups of children/students in the school. Staff have received training in culturally responsive practices.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of most staff are responsive to cultural, racial, and linguistic diversity. Few teachers are unable to effectively teach some groups of children/ students in the school.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of all staff are responsive to cultural, racial, and linguistic diversity. The school recognizes and celebrates the diversity and richness of students' and families' backgrounds. All teachers can effectively teach all groups of children/students in the school.	
2b. Faculty and staff are prepared for linguistic diversity among students and families.	☐ Most teachers are unprepared to meet the linguistic needs of many students in the school.	☐ Some teachers are prepared to meet the linguistic needs of all children/students. Few staff are linguistically competent to communicate with our children/students and their families. Other supports are almost always provided when this is not the case.	☐ Most teachers are prepared to meet the linguistic needs of all children/students. Other supports are always provided when this is not the case. Most staff are linguistically competent to communicate with our children/students and their families.	☐ All teachers are prepared to meet the linguistic needs of all children/ students. All staff are linguistically competent to communicate with our children/students and their families.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2c. The school or district facilitates the participation of all the families that make up the diversity of the school.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings do not represent the full diversity of the school, including the group(s) that experience success gaps.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings represent some of the diversity of the school but not all the groups that are experiencing success gaps.	☐ Parents and family members of the groups that experience success gaps in the school feel welcomed and are engaged in school activities, meetings, or other functions. Some of the diversity of the school, but not all the groups that are experiencing success gaps, are represented on stakeholder planning groups to reduce success gaps. School staff members are taking intentional measures to learn about the culture of these diverse groups.	☐ Parents and family members of the groups that experience success gaps feel welcomed in the school and are frequently engaged in school activities, meetings, or other functions. All the groups that are experiencing success gaps are represented on stakeholder planning groups to reduce success gaps. School staff members on an ongoing basis take intentional measures to learn about the culture of these diverse groups.	

3. Core Instructional Program

Probing Questions:

Do all groups of children in our school receive high-quality instruction based on the principles of Universal Design for Learning?
Are all of our teachers skilled in teaching a classroom filled with learners who are diverse culturally, linguistically, and in learning style?
Are all families aware of the core curriculum and of the differentiations/accommodations/ modifications provided for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
3a. A consistent, well articulated curriculum is in place and implemented with fidelity.	☐ Some children/students do not have access to a rigorous core curriculum taught by effective content teachers.	☐ Inconsistent curriculum planning prevents most children/students from experiencing a rigorous curriculum that is horizontally and vertically aligned and that demands depth of understanding. All children/students experiencing success gaps are taught by effective teachers.	☐ Most children/students participate in a curriculum that is rigorous, demands depth of understanding, and is also beginning to be horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	☐ All children/students participate in a curriculum that is rigorous and demands depth of understanding that has been horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	
3b. The instructional program and strategies used in the school are research-based practices.	☐ Few children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Some children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Many children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ All children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	
3c. Differentiated instruction is used to address the need of all learners in the school.	☐ Very few teachers differentiate the core curriculum to address learning styles, effectively addressing their children's/ students' cultural and linguistic backgrounds.	☐ Some teachers differentiate the core curriculum to address the needs of a few learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ Most teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ All teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	
3d. Families are informed about the core instructional program and how the needs of their child are being met.	☐ Families are rarely informed, in language they understand, about the school's core instructional program or the ways in which it is differentiated for their child.	☐ Families are sometimes informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are usually welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are always welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	

4. Assessment—Universal Screening and Progress Monitoring

Probing Questions:

Does our school have a system that routinely and regularly screens all children/students for risk factors that might require early intervention?
Does every classroom teacher regularly screen or monitor child/student performance/progress and adjust instruction for individual children/students based upon the results?
Are teachers supported to implement developmental, academic, and/or behavior interventions in the general education setting?
Are families informed about the results of universal screening and/or progress monitoring for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
4a. Universal screening is used to identify needs for early intervention or targeted supports	☐ The school does not use schoolwide screening for children/students to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens some groups of children/ students each year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at least once a year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at multiple points during the school year using valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	
4b. Progress monitoring is planned and implemented by the school to support the developmental, academic, or behavioral progress of each child/student.	☐ There is no schoolwide plan for teachers to review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student progress.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Some teachers are implementing this plan.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Most teachers are implementing this plan.	☐ All teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student developmental, academic, or behavioral progress.	
4c. Families are Informed about screening and progress monitoring results.	☐ Families in the groups identified with success gaps are rarely informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are sometimes informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are usually informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ All families are always informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	

5. Interventions and Supports

Probing Questions:

Are children/students with academic challenges identified?
Are they provided with instructional interventions?
Are these interventions evidence-based?
Are the interventions culturally appropriate for our children/students?
Are they implemented with fidelity?
Does the school implement a system of positive behavioral interventions and supports?
Does the school implement a multi-tiered system of supports (MTSS)?
Is the system implemented with fidelity?
Is the system culturally appropriate for the diversity of our child/student population?
Have we used data to determine its effectiveness?
Are teachers effective in its use with diverse groups of children/students?
Are families informed about the interventions and supports provided to their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5a. Evidence-based behavioral interventions and supports, in addition to core instruction, are embedded within a multi-tiered framework and implemented with fidelity.	☐ The school does not have a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Some teachers are already implementing this plan.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Most teachers are already implementing interventions with fidelity and according to the plan.	☐ The school has a plan so to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. All teachers identify children/students with behavioral or academic challenges and provide supplemental evidence-based interventions with fidelity.	
5b. School-level practices use tiered response methods (MTSS) that include academic and behavioral interventions and supports.	☐ The school has no schoolwide multi-tiered system of academic and behavioral supports or, if it has one, it is ineffective, disjointed, or inconsistently implemented.	☐ The school has a plan to implement a schoolwide multi-tiered system of academic and behavioral supports and interventions in all classrooms. Some teachers and staff are already implementing elements of the support system in some classrooms.	☐ A schoolwide multi-tiered academic and behavioral support system is implemented across all school environments and in all classrooms with high fidelity.	☐ A schoolwide multi-tiered academic and behavioral support system that is culturally responsive to the school population is implemented across all school environments and in all classrooms with high fidelity.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5c. A comprehensive district-level school discipline policy is in place and implemented.	☐ The district currently has a zero-tolerance policy or lacks a cohesive discipline policy altogether.	☐ District leaders are drafting a formal school discipline policy informed by best practice.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. Our school understands and implements the district policy with some degree of fidelity.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. All schools in the district understand and implement the district policy with high fidelity.	
5d. Families are regularly informed, in their native or home language, of interventions provided to their children and their children's responses to those interventions for academic and behavioral skills.	☐ Families of children with more intensive academic or behavioral needs are rarely informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are sometimes informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are regularly informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are always informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	

Action Plan

Success Gaps Indicator Group to Target:

☐ Data-Based Decision-Making ☐ Cultural Responsiveness ☐ Core Instructional Program ☐ Assessment ☐ Interventions & Support

Indicator Targeted *Baseline*	**Indicator Targeted** *Goal*	**Potential Barriers** *To Your Goal*	**Gap-Closing Strategies** *Action Steps*	**Measuring Progress & Effectiveness** *Quantitative Data*	**People Responsible** *Throughout the Process*	**Resources** *Available & Needed*

B14

Success Gaps Feedback Guide

PEA:		Focus Area:	
Rubric Items	Does Not Meet	Meets	Feedback/TA
Data-Based Decision Making ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Cultural Responsiveness ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Core Instructional Program ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	

Success Gaps Feedback Guide

Assessment □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Interventions and Supports □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Action Plan □ Does Not Meet □ Meets	• Area of focus is not supported by needs assessment • No action steps are included or action steps are not aligned to outcome of needs assessment • Action step(s) do not include any required sections	• Area of focus is supported by the outcome of the needs assessment • Action steps are aligned to the needs assessment data • Action step(s) include some or all required sections	

Disproportionality Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent _____ Language in which the student is most proficient _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.2	_____	Review of existing data
☐		☐	Parent request timeline
☐		☐	Current information provided by the parents
☐		☐	Current classroom-based assessments
☐		☐	Teachers and related service provider observation(s), including pre-referral interventions
☐		☐	Formal assessments
☐	II.A.3	_____	Team determination of need for additional data
☐		☐	Team determined that existing data were sufficient or determined that additional data were needed
☐		☐	For reevaluation only, parents were informed of reason and right to request data
☐		☐	Obtain informed parental consent or for reevaluation only; documented efforts to obtain consent

PEA ✓	Line Item	I-O-U	Description
☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision and hearing status) and, for preschool, a CDA. **(Indicate areas that have not been assessed.) 60-Day** ☐ Vision ☐ Social/behavioral ☐ Hearing ☐ Communications ☐ Academics ☐ Assistive tech. ☐ Cognitive ☐ Motor skills ☐ Adaptive ☐ Other _____
☐		☐	Performance in educational setting and progress in general curriculum
☐		☐	Educational needs to access the general curriculum, including assistive technology
☐		☐	For reevaluations, if any additions or modifications to the special education services are needed for the student to progress in the general curriculum
☐		☐	The impact of any educational disadvantage
☐		☐	The impact of ELL on progress in general curriculum

B15

COMMENTS:_____

_____

_____

_____

Disproportionality Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Team determined the student has a specific category of disability **60-Day**
☐		☐	Team determined the student needs special education and related services **60-Day**
☐		☐	Assessments and other evaluation materials are administered in a language and form most likely to yield accurate information **60-Day**
☐		☐	SPED72 matches eligibility
☐		☐	A—documents a developmental disability that significantly affects verbal and nonverbal communication and social interaction
☐		☐	DD—documents at least 1.5 SD and no more than 3.0 SD below the mean in two or more areas for a child who is at least 3 years of age but under 10 years of age
☐		☐	ED—verification by a qualified professional **60-Day**
☐		☐	HI—verification by a qualified professional **60-Day**
☐		☐	HI—documents the language proficiency of the student
☐		☐	MIID—documents performance on standard measures between 2 and 3 SD below the mean
☐		☐	MOID—documents performance on standard measures between 3 and 4 SD below the mean
☐		☐	MD—documents a learning and developmental problem resulting from multiple disabilities **60-Day**
☐		☐	MDSSI—documents multiple disabilities that include at least one of the following: VI or HI **60-Day**
☐		☐	OHI—verification by a qualified professional **60-Day**
☐		☐	OI—verification by a qualified professional **60-Day**
☐		☐	PSD—documents more than 3.0 SD below the mean in one or more areas
☐		☐	SLI—documents a communication disorder
☐		☐	SLD—documents a significant discrepancy between achievement and ability in one of the identified areas or failure to respond to intervention (RTI)
☐		☐	SLD—certifies that each team member agrees or disagrees
☐		☐	SLD—documents determination of effects of environmental, cultural, or economic disadvantage
☐		☐	SID—documents performance at least 4 SD below the mean
☐		☐	TBI—verification by a qualified professional **60-Day**
☐		☐	VI—verification by a qualified professional **60-Day**
☐		☐	VI—documents the results of an individualized Braille assessment for a student who is considered blind
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days.** **# of days over:** _____ **Reason:** _____ **60-Day**

B15

COMMENTS:_____

_____

_____

_____

Disproportionality Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
		Individualized Education Program	
☐	III.A.1	_____	Current IEP. (date: _____) **60-Day**
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components.**
☐		☐	Measurable postsecondary goals. Reason for "**O**" call: ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation of one or more transition services/activities that support postsecondary goal(s)
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained
☐		☐	Documentation that the postsecondary goals were derived from age appropriate assessment(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation that student was invited to meeting
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18

B15

COMMENTS:_____

_____

_____

_____

Success Gaps Rubric

District: _____ **Revision Dates:** _____ _____ _____ _____

Team Leader:

Team Members:

(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)
(name)	(role)	(email contact)

The content of this document has been transcribed from the IDEA Data Centers' Equity, Inclusion, and Opportunity: Addressing Success Gaps—Indicators of Success Rubric Version 3.0

Directions for completing the Success Gaps rubric:

This rubric is designed to help any school or school district identify gaps in performance between groups or subgroups of children or students. We use the term children/students because the review is inclusive of any preschool children enrolled in a school or a district. Detailed instructions and resource materials are included in the Success Gaps tool box located on the resource pages of the IDEA Data Center.

Ideally, this rubric should be completed by a team. Possible team members may be representatives from general education, special education, district leadership, and school-based leadership. The suggested practice for completion of the rubric is to have team members complete the rubric individually, meet to discuss similarities and differences in scoring, then come to consensus on a final score as a team.

Insights gained from completing the rubric will be used to complete the Action Plan template on the final page of this document. As activities in the Action Plan(s) are implemented and successfully sustained, review and update the rubric section(s) to demonstrate progress. To complete this portion of the monitoring activities, submit a copy of the original rubric, the completed Action Plan, and an updated rubric to your Program Support and Monitoring specialist.

1. Data-Based Decision Making

Probing Questions:

Does our school or district identify data elements or quality indicators that are tracked over time to measure school effectiveness?
What are those data elements? Are the data valid and reliable?
Are data disaggregated by child/student demographics such as race, ethnicity, gender, disability, etc. to identify gaps in achievement and performance and trends with over- or underrepresentation in identification, placement, and discipline?
Are data reviewed at regular intervals to determine progress or change?
Are data used to make policy, procedure, and practice decisions in our school?
How regularly do we use these data to inform our decisions?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
1a. Decisions about the school curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives are based on data.	☐ Decisions about the school curriculum, instructional programs, academic and behavioral supports and school improvement initiatives are rarely systematically based on data.	☐ Some teachers and programs consistently use valid and reliable data systematically to inform decisions about curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives.	☐ The data used are valid and reliable. A schoolwide formalized and systematic process is in place to monitor and reinforce the continuous improvement of individual learners, subgroups of learners, initiatives, and programs within the school. It is implemented by some but not all staff.	☐ The data used are valid and reliable. The schoolwide process for data-based decision making is implemented and evident for all children/students and subgroups of children/students, in all classrooms, and is used in decisions about school initiatives or programs, as well.	

2. Cultural Responsiveness

Probing Questions:

Are school staff prepared to work with children/students from diverse cultural and linguistic backgrounds?
Is our school culture responsive and welcoming to children/students and families from culturally/linguistically diverse groups?
To what degree does our teaching staff reflect the cultural/linguistic makeup of our school's population?
Do school staff understand and value each individual child's and each group's unique cultural values and needs?
Are teachers familiar with the beliefs, values, cultural practices, discourse styles, and other features of children's/students' lives that may have an impact on classroom participation and success, and are they prepared to use this information in designing instruction?
Do research-based interventions account for the schools' cultural context as a part of implementation?
Are screening, referral, and assessment practices, procedures, and tools unbiased and nondiscriminatory?
Does the staff at our school understand that it is our job to be culturally responsive to all their children/students?
Are we linguistically competent to communicate with our children/students and their families?
Do culturally responsive practices inform our outreach to the community including families and community partners?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2a. Culturally responsive instructional interventions and teaching strategies are used throughout the school or district.	☐ Staff practices and attitudes about culture, race, and linguistic background prevent success gaps from being addressed. Many teachers are unable to effectively teach some groups of children/students in the school.	☐ Some staff practices and attitudes about culture, race, and linguistic background are barriers to addressing success gaps. Many teachers are unable to effectively teach some groups of children/students in the school. Staff have received training in culturally responsive practices.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of most staff are responsive to cultural, racial, and linguistic diversity. Few teachers are unable to effectively teach some groups of children/ students in the school.	☐ Staff receive ongoing training in culturally responsive practices. The practices and attitudes of all staff are responsive to cultural, racial, and linguistic diversity. The school recognizes and celebrates the diversity and richness of students' and families' backgrounds. All teachers can effectively teach all groups of children/students in the school.	
2b. Faculty and staff are prepared for linguistic diversity among students and families.	☐ Most teachers are unprepared to meet the linguistic needs of many students in the school.	☐ Some teachers are prepared to meet the linguistic needs of all children/students. Few staff are linguistically competent to communicate with our children/students and their families. Other supports are almost always provided when this is not the case.	☐ Most teachers are prepared to meet the linguistic needs of all children/students. Other supports are always provided when this is not the case. Most staff are linguistically competent to communicate with our children/students and their families.	☐ All teachers are prepared to meet the linguistic needs of all children/ students. All staff are linguistically competent to communicate with our children/students and their families.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
2c. The school or district facilitates the participation of all the families that make up the diversity of the school.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings do not represent the full diversity of the school, including the group(s) that experience success gaps.	☐ Parents and family members typically attending school activities, functions, or parent/teacher meetings represent some of the diversity of the school but not all the groups that are experiencing success gaps.	☐ Parents and family members of the groups that experience success gaps in the school feel welcomed and are engaged in school activities, meetings, or other functions. Some of the diversity of the school, but not all the groups that are experiencing success gaps, are represented on stakeholder planning groups to reduce success gaps. School staff members are taking intentional measures to learn about the culture of these diverse groups.	☐ Parents and family members of the groups that experience success gaps feel welcomed in the school and are frequently engaged in school activities, meetings, or other functions. All the groups that are experiencing success gaps are represented on stakeholder planning groups to reduce success gaps. School staff members on an ongoing basis take intentional measures to learn about the culture of these diverse groups.	

3. Core Instructional Program

Probing Questions:

Do all groups of children in our school receive high-quality instruction based on the principles of Universal Design for Learning?
Are all of our teachers skilled in teaching a classroom filled with learners who are diverse culturally, linguistically, and in learning style?
Are all families aware of the core curriculum and of the differentiations/accommodations/ modifications provided for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
3a. A consistent, well articulated curriculum is in place and implemented with fidelity.	☐ Some children/students do not have access to a rigorous core curriculum taught by effective content teachers.	☐ Inconsistent curriculum planning prevents most children/students from experiencing a rigorous curriculum that is horizontally and vertically aligned and that demands depth of understanding. All children/students experiencing success gaps are taught by effective teachers.	☐ Most children/students participate in a curriculum that is rigorous, demands depth of understanding, and is also beginning to be horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	☐ All children/students participate in a curriculum that is rigorous and demands depth of understanding that has been horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.	
3b. The instructional program and strategies used in the school are research-based practices.	☐ Few children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Some children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ Many children/students experience high-quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	☐ All children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	
3c. Differentiated instruction is used to address the need of all learners in the school.	☐ Very few teachers differentiate the core curriculum to address learning styles, effectively addressing their children's/ students' cultural and linguistic backgrounds.	☐ Some teachers differentiate the core curriculum to address the needs of a few learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ Most teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	☐ All teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	
3d. Families are informed about the core instructional program and how the needs of their child are being met.	☐ Families are rarely informed, in language they understand, about the school's core instructional program or the ways in which it is differentiated for their child.	☐ Families are sometimes informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are usually welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	☐ Families are always welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	

4. Assessment—Universal Screening and Progress Monitoring

Probing Questions:

Does our school have a system that routinely and regularly screens all children/students for risk factors that might require early intervention?
Does every classroom teacher regularly screen or monitor child/student performance/progress and adjust instruction for individual children/students based upon the results?
Are teachers supported to implement developmental, academic, and/or behavior interventions in the general education setting?
Are families informed about the results of universal screening and/or progress monitoring for their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
4a. Universal screening is used to identify needs for early intervention or targeted supports	☐ The school does not use schoolwide screening for children/students to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens some groups of children/ students each year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at least once a year with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	☐ The school screens all children/students at multiple points during the school year using valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	
4b. Progress monitoring is planned and implemented by the school to support the developmental, academic, or behavioral progress of each child/student.	☐ There is no schoolwide plan for teachers to review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student progress.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Some teachers are implementing this plan.	☐ The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. Most teachers are implementing this plan.	☐ All teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student developmental, academic, or behavioral progress.	
4c. Families are Informed about screening and progress monitoring results.	☐ Families in the groups identified with success gaps are rarely informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are sometimes informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ Families in the groups identified with success gaps are usually informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	☐ All families are always informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	

5. Interventions and Supports

Probing Questions:

Are children/students with academic challenges identified?
Are they provided with instructional interventions?
Are these interventions evidence-based?
Are the interventions culturally appropriate for our children/students?
Are they implemented with fidelity?
Does the school implement a system of positive behavioral interventions and supports?
Does the school implement a multi-tiered system of supports (MTSS)?
Is the system implemented with fidelity?
Is the system culturally appropriate for the diversity of our child/student population?
Have we used data to determine its effectiveness?
Are teachers effective in its use with diverse groups of children/students?
Are families informed about the interventions and supports provided to their child?

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5a. Evidence-based behavioral interventions and supports, in addition to core instruction, are embedded within a multi-tiered framework and implemented with fidelity.	☐ The school does not have a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Some teachers are already implementing this plan.	☐ The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. Most teachers are already implementing interventions with fidelity and according to the plan.	☐ The school has a plan so to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. All teachers identify children/students with behavioral or academic challenges and provide supplemental evidence-based interventions with fidelity.	
5b. School-level practices use tiered response methods (MTSS) that include academic and behavioral interventions and supports.	☐ The school has no schoolwide multi-tiered system of academic and behavioral supports or, if it has one, it is ineffective, disjointed, or inconsistently implemented.	☐ The school has a plan to implement a schoolwide multi-tiered system of academic and behavioral supports and interventions in all classrooms. Some teachers and staff are already implementing elements of the support system in some classrooms.	☐ A schoolwide multi-tiered academic and behavioral support system is implemented across all school environments and in all classrooms with high fidelity.	☐ A schoolwide multi-tiered academic and behavioral support system that is culturally responsive to the school population is implemented across all school environments and in all classrooms with high fidelity.	

Indicator	Planning	Partially Implemented	Implemented	Exemplary	Evidence
5c. A comprehensive district-level school discipline policy is in place and implemented.	☐ The district currently has a zero-tolerance policy or lacks a cohesive discipline policy altogether.	☐ District leaders are drafting a formal school discipline policy informed by best practice.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. Our school understands and implements the district policy with some degree of fidelity.	☐ The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. All schools in the district understand and implement the district policy with high fidelity.	
5d. Families are regularly informed, in their native or home language, of interventions provided to their children and their children's responses to those interventions for academic and behavioral skills.	☐ Families of children with more intensive academic or behavioral needs are rarely informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are sometimes informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are regularly informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	☐ Families of children with more intensive academic or behavioral needs are always informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	

Action Plan

Success Gaps Indicator Group to Target:

☐ Data-Based Decision-Making ☐ Cultural Responsiveness ☐ Core Instructional Program ☐ Assessment ☐ Interventions & Support

Indicator Targeted *Baseline*	**Indicator Targeted** *Goal*	**Potential Barriers** *To Your Goal*	**Gap-Closing Strategies** *Action Steps*	**Measuring Progress & Effectiveness** *Quantitative Data*	**People Responsible** *Throughout the Process*	**Resources** *Available & Needed*

Success Gaps Feedback Guide

PEA:		Focus Area:	
Rubric Items	Does Not Meet	Meets	Feedback/TA
Data-Based Decision Making ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Cultural Responsiveness ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Core Instructional Program ☐ Does Not Meet ☐ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	

Success Gaps Feedback Guide

Assessment □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Interventions and Supports □ Does Not Meet □ Meets	• No indication of performance or level of implementation for all areas included • No evidence included • Evidence included does not address any of the probing questions	• Evidence of performance level or level of implementation for each area included • Evidence section is completed and aligned to probing questions	
Action Plan □ Does Not Meet □ Meets	• Area of focus is not supported by needs assessment • No action steps are included or action steps are not aligned to outcome of needs assessment • Action step(s) do not include any required sections	• Area of focus is supported by the outcome of the needs assessment • Action steps are aligned to the needs assessment data • Action step(s) include some or all required sections	

Child Find Evaluation Timeline Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent _____ Language in which the student is most proficient _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.2	_____	Review of existing data
☐		☐	Parent request timeline
☐		☐	Current information provided by the parents
☐		☐	Current classroom-based assessments
☐		☐	Teachers and related service provider observation(s), including pre-referral interventions
☐		☐	Formal assessments
☐	II.A.3	_____	Team determination of need for additional data
☐		☐	Team determined that existing data were sufficient or determined that additional data were needed
☐		☐	For reevaluation only, parents were informed of reason and right to request data
☐		☐	Obtain informed parental consent or for re-evaluation only, documented efforts to obtain consent

PEA ✓	Line Item	I-O-U	Description
☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision and hearing status) and, for preschool, a CDA. **(Indicate areas that have not been assessed.) 60-Day** ☐ Vision ☐ Social/behavioral ☐ Hearing ☐ Communications ☐ Academics ☐ Assistive technology ☐ Cognitive ☐ Motor skills ☐ Adaptive ☐ Other _____
☐		☐	Performance in educational setting and progress in general curriculum
☐		☐	Educational needs to access the general curriculum, including assistive technology
☐		☐	For reevaluations, if any additions or modifications to the special education services are needed for the student to progress in the general curriculum
☐		☐	The impact of any educational disadvantage
☐		☐	The impact of ELL on progress in general curriculum
☐		☐	Team determined the student has a specific category of disability **60-Day**
☐		☐	Team determined the student needs special education and related services **60-Day**

B16

COMMENTS:_____

_____

_____

_____

Child Find Evaluation Timeline Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Assessments and other evaluation materials are administered in a language and form most likely to yield accurate information **60-Day**
☐		☐	SPED72 matches eligibility
☐		☐	A—documents a developmental disability that significantly affects verbal and nonverbal communication and social interaction
☐		☐	DD—documents at least 1.5 SD and no more than 3.0 SD below the mean in two or more areas for a child who is at least 3 years of age but under 10 years of age
☐		☐	ED—verification by a qualified professional **60-Day**
☐		☐	HI—verification by a qualified professional **60-Day**
☐		☐	HI—documents the language proficiency of the student
☐		☐	MIID—documents performance on standard measures between 2 and 3 SD below the mean
☐		☐	MOID—documents performance on standard measures between 3 and 4 SD below the mean
☐		☐	MD—documents a learning and developmental problem resulting from multiple disabilities **60-Day**
☐		☐	MDSSI—documents multiple disabilities that include at least one of the following: VI or HI **60-Day**
☐		☐	OHI—verification by a qualified professional **60-Day**
☐		☐	OI—verification by a qualified professional **60-Day**
☐		☐	PSD—documents more than 3.0 SD below the mean in one or more areas
☐		☐	SLI—documents a communication disorder
☐		☐	SLD—documents a significant discrepancy between achievement and ability in one of the identified areas or failure to respond to intervention (RTI)
☐		☐	SLD—certifies that each team member agrees or disagrees
☐		☐	SLD—documents determination of effects of environmental, cultural, or economic disadvantage
☐		☐	SID—documents performance at least 4 SD below the mean
☐		☐	TBI—verification by a qualified professional **60-Day**
☐		☐	VI—verification by a qualified professional **60-Day**
☐		☐	VI—documents the results of an individualized Braille assessment for a student who is considered blind
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days.** **# of days over:** _____ **Reason:** _____ **60-Day**

B16

COMMENTS:_____

_____

_____

_____

Child Find Evaluation Timeline Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
		Individualized Education Program	
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components.**
☐		☐	Measurable postsecondary goals. Reason for "**O**" call: ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation of one or more transition services/activities that support postsecondary goal(s)
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained
☐		☐	Documentation that the postsecondary goals were derived from age appropriate assessment(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation that student was invited to meeting
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18

B16

COMMENTS:_____

_____

_____

_____

Child Find (Evaluation Timeline–Indicator 11) Analysis and Action Plan

Paperwork and Process Review	Does the PEA have a tracking system that provides special education staff with the ability to follow the progress of a student through the evaluation process in order to ensure that timelines are not missed because of inattention to deadlines? If so, describe the tracking process.	Analyzing the evaluation process, including the tracking system once a student has been referred for an evaluation, what are the roles and responsibilities of each member of the MET? How do these roles and responsibilities impact the process?	Examine how the team determines what, if any, additional data are needed. At what point in the process is parental consent acquired? How does this impact the process?	Examine the impact of caseloads on the process. Are additional staff or more explicit agreements with contractors needed?	Examine the process for when the evaluation needs of a student exceed the staff's areas of expertise or experience. Do you have ready resources to follow up on vision, hearing, or behavioral concerns? Has the need for medical certification contributed to any delays?
Findings					
Evidence					
Staffing and Personnel Review	Review the quantity and qualifications of staff within the PEA to determine their ability to complete the evaluation timelines, including the ability to evaluate low-incidence disabilities.	Determine if there has been an increase or decrease in the percentage of qualified and fully certified staff over the last three years. What factors may have contributed to any changes?	Identify activities in the areas of hiring, retention, personnel development, and salary analysis that the PEA has undertaken to improve staff percentages.	Identify the number of unfilled evaluator positions in the PEA during the current school year.	Examine the number of contracted evaluators, including bilingual evaluators. How do the numbers impact the process?
Findings					
Evidence					
Problem Statement(s):					
Actionable Cause(s):					
Goal:					

Analysis and Action Plan Feedback Guide

PEA:		Focus Area:	
Analysis Items	Does Not Meet	Meets	Feedback/TA
Review of Data and Paperwork & Process (Ind. 11) ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Supports & Services **and** Staffing & Personnel Review (Ind. 11) ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Problem statement, actionable cause, and goal ☐ Does Not Meet ☐ Meets	• Analysis did not include problem statement(s), actionable cause(s), and at least one goal	• Analysis includes problem statement(s), actionable cause(s), and at least one goal	

Secondary Transition Self-Assessment Student Form

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____ Language in which the student is most proficient: _____

B17

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**

Individualized Education Program

PEA ✓	Line Item	I-O-U	Description
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no," indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to guide steps)
☐		☐	Measurable annual goals related to PLAAFP

PEA ✓	Line Item	I-O-U	Description
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks
☐		☐	Current progress report includes progress toward goals **(If "out," indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out," indicate missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**District Only**)
☐		☐	Consideration of related services

COMMENTS:_____

_____

_____

_____

Secondary Transition Self-Assessment Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Consideration of supplementary aids, services, program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out," indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE
	Secondary Transition Line Items (III.A.6 & III.A.7)		
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components. 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day**

B17

COMMENTS:_____

_____

_____

_____

Summary of Performance Worksheet

All unified districts and high schools use this section

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Secondary Transition (Indicator 13) Analysis and Action Plan

Data Review	Review current IEPs to determine if they facilitate and document compliance of all the required components that support the articulated goals and if the planning will reasonably enable the student to meet the postsecondary goals.	Determine if there is any inconsistency in the levels of compliance among school sites. If so, identify specific factors that may have contributed to the number of compliant or noncompliant student files at each site. Is this a site-specific compliance issue or a district-wide compliance issue?	Identify the number and types of trainings, conferences, and course work in which staff have participated outside of the PEA. List the professional development opportunities related to transition offered within the PEA.	Determine if the PEA has identified transition resources, including age-appropriate assessments. List those resources currently being utilized and develop a list of other possible resources that could facilitate transition planning.	Review professional development opportunities attended by staff responsible for the required transition components.
Findings					
Evidence					
Supports and Services	Determine if the PEA staff is knowledgeable about the procedures necessary for completing all of the required transition components.	Identify the years of experience for each special education staff working with students 16 years of age and older.	Examine the involvement of personnel in transition and development. Has the PEA designated one or more individuals to assume this responsibility?	Describe the manner in which the PEA staff communicates with each other across departments in relation to transition planning.	Describe the manner in which PEA personnel have interacted with their ADE/ESS specialist and/or Secondary Transi-tion specialist. If no working relationships have been established, describe steps that will be taken to ensure such partnerships.
Findings					
Evidence					
Problem Statement(s):					
Actionable Cause(s):					
Goals:					

Analysis and Action Plan Feedback Guide

PEA:		Focus Area:	
Analysis Items	Does Not Meet	Meets	Feedback/TA
Review of Data (Ind. 13) ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Supports & Services (Ind. 13 ☐ Does Not Meet ☐ Meets	• No findings included • No evidence included • Evidence included does not address data	• Evidence of data findings and review • Evidence included addresses data	
Problem statement, actionable cause, and goal ☐ Does Not Meet ☐ Meets	• Analysis did not include problem statement(s), actionable cause(s), and at least one goal	• Analysis includes problem statement(s), actionable cause(s), and at least one goal	

Tab Insert

ON-SITE MONITORING

Instructions for On-Site Programmatic Monitoring

PEAs completing an on-site monitoring will follow these steps:

- The Program Support and Monitoring (PSM) specialist and the PEA director meet in Year 3 to discuss on-site programmatic monitoring activities, to include choosing an outcome focus area.

- The PEA selects a team.

- The PEA prepares a secure room for the programmatic monitoring activities.

- The PEA and PSM team complete a review of PEA documentation to include a representative sample of student files (see the OSM-2 form for assistance in selecting files), policies and procedures, child find processes, etc.

    - For security reasons, the ability to establish trends, and to ensure a collaborative training opportunity; files must be hard copies. Reviewing files within software programs is a liability for both ADE/ESS and the PEA.

- The PEA and PSM team complete classroom observations.

- The PEA and PSM team collect data for Indicators 11 (Child Find—Initial Evaluations), 12 (Part C to Part B Transition/Preschool Transition) and 13 (Secondary Transition).

- The PSM team inputs data and generates a draft Summary of Findings (SOF).

- The PEA and PSM team review the draft SOF report.

- The PEA and PSM team determine the PEA's overall implementation of systems (End of Section Calls) in the areas of Child Find, Evaluation/Reevaluation, Individualized Education Program, and Procedural Safeguards/Parental Participation.

- The PEA and PSM team develop a Corrective Action Plan (CAP), as applicable.

- The PEA and PSM specialist schedule at least three (3) follow-up visits/desk audits during the corrective action year. One of these visits may be specific to reviewing the 60-day corrective action items.

- PSM sends written notification of findings (WNOF) no later than 30 days from the completion of the Summary of Findings discussion.

- The PEA has one calendar year from the WNOF to correct all individual instances of noncompliance. The PSM specialist verifies correction.

- The PSM specialist reviews representative sample(s) of subsequent files to ensure systemic correction and sustainability, over the course of the corrective action year.

- The PSM specialist will review the CAP for completion of CAP activities. This may require the PEA to produce evidence of trainings provided, training materials, agendas, etc.

- The PEA completes the Supplemental CAP activities (compliance-related outcome focus areas rubrics and action plans), as determined by the outcome of the documentation review. This applies to Indicators 11, 12, and 13.

- The PEA submits completed and/or updated outcome focus area action plan. This should include activities completed through the course of the corrective action year.

Instructions for On-Site Compliance Scoring and Summary Documentation

For all on-site file review forms and worksheets, the PEA and PSM team will use the calls of "**I**" for **In Compliance**, "**O**" for **Out of Compliance**, and "**U**" for those items that are **Unreported** or do not apply.

The steps for developing the final reports are listed below:

A compliance call is made for each individual line item reviewed using the Guide Steps. Enter an *I, O,* or *U* on the corresponding line for each item on the form.

1. Once the forms and worksheets have been completed, the data are entered into the ADE/ESS monitoring application. The application automatically calculates the compliance level of each line item by summarizing the data that was collected from all sources and transfers the data into the draft Summary of Findings (SOF).

2. Together, the PEA and PSM team members review each of the four sections (Child Find, Evaluation/Reevaluation, IEP, and Procedural Safeguards/Parental Participation) in the draft Summary of Findings (SOF) report.

3. Based upon the review of all data, the team determines the overall implementation of systems of the PEA for each of the four sections. There are four options for each section: Substantial Evidence of Effective Systems, Inconsistent Evidence of Effective Systems, Minimal Evidence of Effective Systems, or No Evidence of Effective Systems. (see Appendix J for further explanation of each of these areas)

4. The PEA and PSM teams reach agreement on the areas of PEA strength and concern based upon all data gathered. The strengths and concerns related to the special education program will be documented in the Written Notification of Findings (WNOF) letter sent to the PEA after the programmatic monitoring. The level of performance for the four sections in the draft SOF will also be noted in this letter.

5. The ADE/ESS monitoring application will generate a Corrective Action Plan (CAP) framework, where applicable. The PEA team, in collaboration with the PSM specialist, will develop a CAP that is unique to the PEA and clearly outlines the activities and requirements necessary for the correction of noncompliance and the attainment of sustainability of systems. Discussion for the CAP should clearly identify the systemic root cause leading to the noncompliance, solutions for the PEA to correct the systems issue(s) that led to the noncompliance, and internal verification the PEA can implement to ensure sustainability of systems.

Special Education On-Site Programmatic Monitoring
File Sample Selection

PEA: _____

Number of students in special education	10 or fewer	11–100	101–250	251–500	501 or more
Number of eligible student files	All	11+	20+	40+	60+
Initial evaluations of students found not eligible—**line item II.A.5 only**	2	2	5	8	12+

Note: total files reviewed will increase based on number of eligible students/representative sample.

Select a representative sample of files based upon your student population. This may include the following, if they are applicable:

- Files from each school site
- Initial evaluations
- Parent request for evaluation
- All disability categories
- All service delivery models within the PEA
- English learners (ELs)
- Students who are 16 years of age or older (Indicator 13)
- Students in dropout recovery programs
- Out-of-district placements (ASDB, private day school, and residential placement)
- Students from an elementary-only district that are tuitioned (not open enrolled) to a neighboring unified or high school district
- Students phased out of special education services
- Students who have been suspended, have been expelled, or have moved to an interim alternative educational setting (IAES) for longer than 10 days
- Students initially evaluated and found not eligible (Indicator 11)
- Preschool students

Additional items needed for the monitoring:

- List of student files to be reviewed (please use the OSM-3 form)
- Copy of on-site programmatic monitoring section of the Arizona Programmatic Monitoring Manual (available online)
- Guide Steps for each PEA team member
- Copy of current SPED72 report from AzEDS
- Home language surveys (if not maintained in student file)
- Current progress reports

General Background Information

1. The PEA and the PSM specialist will complete the programmatic monitoring setup form, which includes PEA preferred dates for the programmatic monitoring.
2. The PEA will identify the contracted work hours for staff, to aid in drafting the agenda.
3. The PEA and the PSM specialist will review and finalize the agenda for the on-site programmatic monitoring prior to the start of the on-site programmatic monitoring.
4. The PEA will make arrangements for a work area with adequate table space for the complete monitoring team (SEA and PEA team members).
5. The PEA will make available a computer, printer, and other technical supports and supplies needed during monitoring.
6. The PEA and PSM specialists will discuss and make a schedule to ensure classroom observations will occur during the week of the scheduled programmatic monitoring.

For transportation only districts, see Transportation Only section of the Appendix.

The following matrix may be used to assist you in determining the sample to be selected for the monitoring:

Service Delivery Options	A	ED	EDP	OI	MD	MDSSI	MIID	MOID	SID	OHI	TBI	HI	VI	SLD	SLI	DD	PSD
Included in general education class 80% or more of the day (A)																	
Included in general education classroom between 40% and 79% of the school day (B)																	
Included in general education classroom for less than 40% of the school day (C)																	
PEA-operated special school (D)																	
Tuitioned to other public school (D)																	
Private day school (D)																	
Private residential (E, EA, EB, or EC)																	
Homebound/hospital/institution settings (H)																	
ASDB/PDSD (D)																	

OnSite Programmatic Monitoring File Sample

PEA: _____ **Date of Review:** _____

List all student files and indicate the purpose of review for each file selected.

Student Last Name, First Initial / SSID	DOB	School or Teacher	Eligibility Category	Initial Eval	Initial Eval **Did Not Qualify**	Pre-K	English Language Learner (ELL)	Dropout Recovery Program (DRP)	Approved Private Day	Secondary Transition/ Elementary Tuitioned Out to Neighboring HS	Phased Out	Suspended/ Expelled	Reviewer Signature or Initials
1. / SSID													
2. / SSID													
3. / SSID													
4. / SSID													
5. / SSID													
6. / SSID													
7. / SSID													
8. / SSID													
9. / SSID													
10. / SSID													

C4

Student Form

SSID Number: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____ Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.2	_____	Review of existing data
☐		☐	Parent request timeline
☐		☐	Current information provided by the parents
☐		☐	Current classroom-based assessments
☐		☐	Teachers and related service providers observation(s), including pre-referral interventions
☐		☐	Formal assessments
☐	II.A.3	_____	Team determination of need for additional data
☐		☐	Team determined that existing data were sufficient or determined that additional data were needed
☐		☐	For reevaluation only, parents were informed of reason and right to request data
☐		☐	Obtained informed parental consent or, for reevaluation only, documented efforts to obtain consent

PEA ✓	Line Item	I-O-U	Description
☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision and hearing status) and for preschool, a CDA **(indicate areas that have not been assessed) 60-Day** ☐ Vision ☐ Social/behavioral ☐ Hearing ☐ Communications ☐ Academics ☐ Assistive tech. ☐ Cognitive ☐ Motor skills ☐ Adaptive ☐ Other _____
☐		☐	Performance in educational setting and progress in general curriculum
☐		☐	Educational needs to access the general curriculum, including assistive technology
☐		☐	For reevaluations, if any additions or modifications to the special education services are needed for the student to progress in the general curriculum
☐		☐	The impact of any educational disadvantage
☐		☐	The impact of English language learning on progress in the general curriculum
☐		☐	Team determined the student has a specific category of disability **60-Day**

C5

COMMENTS: _____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Team determined the student needs special education and related services **60-Day**
☐		☐	Assessments and other evaluation materials are administered in a language and form most likely to yield accurate information **60-Day**
☐		☐	SPED72 matches eligibility
☐		☐	A—documents a developmental disability that significantly affects verbal and nonverbal communication and social interaction
☐		☐	DD—documents at least 1.5 SD and no more than 3.0 SD below the mean in two or more areas for a child who is at least 3 years of age but under 10 years of age
☐		☐	ED—verification by a qualified professional **60-Day**
☐		☐	HI—verification by a qualified professional **60-Day**
☐		☐	HI—documents the language proficiency of the student
☐		☐	MIID—documents performance on standard measures between 2 and 3 SD below the mean
☐		☐	MOID—documents performance on standard measures between 3 and 4 SD below the mean
☐		☐	MD—documents a learning and developmental problem resulting from multiple disabilities **60-Day**
☐		☐	MDSSI—documents multiple disabilities that include at least one of the following: VI or HI **60-Day**
☐		☐	OHI—verification by a qualified professional **60-Day**
☐		☐	OI—verification by a qualified professional **60-Day**
☐		☐	PSD—documents more than 3.0 SD below the mean in one or more areas
☐		☐	SLI—documents a communication disorder
☐		☐	SLD—documents a significant discrepancy between achievement and ability in one of the identified areas or failure to respond to intervention (RTI)
☐		☐	SLD—certifies that each team member agrees or disagrees
☐		☐	SLD—documents determination of effects of environmental, cultural, or economic disadvantage
☐		☐	SID—documents performance at least 4 SD below the mean
☐		☐	TBI—verification by a qualified professional **60-Day**
☐		☐	VI—verification by a qualified professional **60-Day**
☐		☐	VI—documents the results of an individualized Braille assessment for a student who is considered blind
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**

C5

COMMENTS:_____

_____

_____

_____

Student Form

Individualized Education Program

PEA ✓	Line Item	I-O-U	Description
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no," indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to Guide Steps)
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks
☐		☐	Current progress report includes progress toward goals **(If "out," indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal

PEA ✓	Line Item	I-O-U	Description
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out," indicate the missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**district only**)
☐		☐	Consideration of related services
☐		☐	Consideration of supplementary aids, services, and program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out," indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE

C5

COMMENTS:_____

_____

_____

_____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐	III.A.5	_____	Other considerations
☐		☐	Consideration of strategies/supports to address behavior that impedes student's learning or that of others
☐		☐	Consideration of individual accommodations in testing, if appropriate
☐		☐	Consideration of communication needs of the student
☐		☐	Consideration of assistive technology devices and service needs
☐		☐	For students who are ELL, consideration of language needs related to the IEP
☐		☐	For students with HI, consideration of the child's language and communication needs
			Secondary Transition Line Items (III.A.6 & III.A.7)
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to the meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent has been obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day** Reason for "**O**" call
			Procedural Safeguards/Parental Participation
☐	IV.A.1	_____	Notices provided at required times and in a language and form that is understandable to the parent
☐		☐	Procedural safeguards notice provided to parents within the last 12 months **60-Day**
☐		☐	All required notices provided in a language that is: 1. the native language of the parent 2. understandable to public **60-Day**

C5

COMMENTS:_____

_____

_____

_____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐	IV.A.2	_____	PWN provided at required times and contains required components
☐		☐	PWN provided to parents at required times in the last 12 months
☐		☐	For PWN, a description of the action proposed or refused by the PEA
☐		☐	For PWN, explanation of why the agency proposed or refused to take the action
☐		☐	For PWN, description of any options considered and why these options were rejected
☐		☐	For PWN, description of evaluation procedures, tests, and records used as a basis for the decision
☐		☐	For PWN, description of any other relevant factors
☐		☐	For PWN, if the notice is not an initial referral for evaluation, a statement of how a copy of the procedural safeguards can be obtained
☐		☐	For PWN, sources to obtain assistance in understanding the notice

Referral	Additional Data	Eligibility	Initial Placement	IEP/FAPE	Suspension/ Expulsion
Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:
PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:

C5

COMMENTS:_____

_____

_____

_____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐	IV.A.3	_____	Discipline procedures and requirements followed
☐		☐	Notified parent on the same date the disciplinary decision was made
☐		☐	If a change in placement occurred, the IEP team conducted a review within 10 school days to determine the relationship between the student's disability and behavior
☐		☐	If the IEP team determined that behavior was a manifestation of the student's disability, an FBA was conducted and a BIP implemented or, if already in place, a BIP reviewed and modified, as necessary **60-Day**
☐		☐	If the IEP team determined that behavior was a manifestation of the student's disability, the student was returned to placement from which the student was removed, unless the parent and PEA agreed to a change of placement **60-Day**
☐		☐	For suspension or IAES placement, student continued to be provided FAPE, including services and adaptations described in the IEP **60-Day**

C5

COMMENTS:_____

_____

_____

_____

Agency Form

AF

Date: _____ **Specialist**: _____

PEA: _____

PEA ✓	Line Item	I-O-U	Description
☐	I.A.1	____	PEA has board-approved policies and procedures for child find.
☐	I.A.1	____	Child find procedures are disseminated to parents.
☐	I.A.1	____	Child find procedures for birth to 2.10 1/2 years were followed.
☐	I.A.1	____	Child find procedures for ages 2.10 1/2–5 years were followed.
☐	I.A.1	____	PEA maintains invitation list and agenda for private school/home schooled involvement.

COMMENTS: _____

_____

_____

_____

Child Find Worksheet

Sample based on overall population and number of sites/campuses

	PEA/District						
	Campus						
	Name	DOB	SSID	Entry date (record date)	Date screened or records reviewed (record date)	**I.A.2** Child find for K–12 grades occurs within 45 days of entry (I O)	**I.A.2** Follow-up occurred if concerns were noted on the screening (I O U)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

	PEA/District						
	Campus						
	Name	DOB	SSID	Entry date (record date)	Date screened or records reviewed (record date)	**I.A.2** Child find for K–12 grades occurs within 45 days of entry (I O)	**I.A.2** Follow-up occurred if concerns were noted on the screening (I O U)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

In by 3 Worksheet
Includes all AzEIP transition after June 30, 2021

	PEA/District					
	Campus					
	Name	DOB	SSID	Date of eligibility determination	Date of IEP (if eligible)	**I.A.2** Child was in by 3 (if eligible) (I,O or U if not eligible)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

	PEA/District					
	Campus					
	Name	DOB	SSID	Date of eligibility determination	Date of IEP (if eligible)	**I.A.2** Child was in by 3 (if eligible) (I,O or U if not eligible)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Summary of Performance Worksheet

All unified districts and high schools use this section

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

	PEA/District			
	Campus			
	Name	DOB	SSID	**III.A.7** Documentation of a summary of performance (I O)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Classroom Observation of Special Education Services

LEA:		
Teacher:		
Date/Time:		
Grade Level/Content Area:		
Environment (Continuum):		
Environment	**Yes/No**	**Evidence**
Classroom management and organization; rules, procedures, and behavior expectations are evident and posted		
Presence and use of manipulatives, objects, and real-world and diverse examples		
Effective and efficient transitions between activities		
Word walls and key vocabulary charts are created with/by students; contain symbols/pictures		
Access to General Curriculum	**Yes/No**	**Evidence**
Student has access to grade level content		
Student work is aligned to grade level content		
Access to Typical Peers	**Yes/No**	**Evidence**
Student is seated alongside typical peers in the general seating arrangement		
Student is included as an active participant of the class		
Access to Appropriately Trained Teacher(s)	**Yes/No**	**Evidence**

Classroom Observation of Special Education Services

Teacher conducts frequent checks for student understanding, provides feedback, adapts content and teaching style, and/or differentiates instruction		
Teacher provides clear academic objectives and behavioral expectations		
Access to Specially Designed Instruction	**Yes/No**	**Evidence**
Teacher adapts the content, methods, and/or instructional delivery to address the unique needs of the student		
Access to Accommodations	**Yes/No**	**Evidence**
Student has access to one or more accommodations		
Access to Modifications	**Yes/No**	**Evidence**
Student has access to one or more of modifications		

Evidence of UDL	**Yes/No**	**Evidence**
Teacher presents curriculum content using multiple modalities		
Student is provided options for action and expression to demonstrate learning		
Student is engaged in learning		

Child Find (Evaluation Timeline—Indicator 11) Analysis and Action Plan

Paperwork and Process Review	Does the PEA have a tracking system that provides special education staff with the ability to follow the progress of a student through the evaluation process in order to ensure that timelines are not missed because of inattention to deadlines? If so, describe the process.	Analyzing the evaluation process, including the tracking system once a student has been referred for an evaluation, what are the roles and responsibilities of each member of the MET? How do these roles and responsibilities impact the process?	Examine the manner in which the team determines what, if any, additional data are needed. At what point in the process is parental consent acquired? How does this impact the process?	Examine the impact of caseloads on the process. Are additional staff needed or are more explicit agreements with contractors required?	Examine the process when the evaluation needs of a student exceed the staff's area of expertise or experience. Do you have ready resources to follow up on vision, hearing, or behavioral concerns? Has the need for medical certification contributed to any delay?
Findings					
Evidence					
Staffing and Personnel Review	Review the quantity and qualifications of staff within the PEA to determine their ability to complete the evaluation timelines, including the ability to evaluate low-incidence disabilities.	Determine if there has been an increase or decrease in the percentage of qualified and fully certified staff over the last three years. What factors may have contributed to any changes?	Identify activities in the areas of hiring, retention, personnel development, and salary analysis that the PEA has undertaken to improve staff percentages.	Identify the number of unfilled evaluator positions in the PEA during the current school year.	Examine the number of contracted evaluators, including bilingual evaluators. How do the numbers impact the process?
Findings					
Evidence					
Problem Statement(s):					
Actionable Cause(s):					
Goal:					

Preschool Transition (In by 3—Indicator 12) Analysis and Action Plan

Paperwork and Process Review	Does the PEA have a tracking system and process in place for referral of children birth -2.9 to AzEIP? If so, describe the system and process.	Does the PEA have a tracking system and process in place for receiving PEA notifications of children transitioning from AzEIP services? If so, describe the system and process.	Does the PEA have a process to track and ensure district representation at AzEIP Transition Conferences for students who reside in their boundaries? If so, describe the system and process.	Examine the process used to ensure evaluation and IEP development, if eligible, for children referred to the PEA from AzEIP. If the PEA receives a late referral does the process change, if so how?	Examine the process when the evaluation needs of a student exceed the staff's area of expertise or experience. Do you have ready resources to follow up on vision, hearing, or behavioral concerns? Has the need for medical certification contributed to any delay?
Findings					
Evidence					
Staffing and Personnel Review	Review the quantity and qualifications of staff within the PEA to determine their ability to complete AzEIP transition evaluations, including the ability to evaluate low-incidence disabilities.	Determine if there is a system, not person-dependent, to manage collaboration with AzEIP service coordinators. Include if this process has a system that manages transitions (e.g., change in service coordinator).	Examine the process for scheduling the mutually agreed upon AzEIP Transition Conferences. Determine if there are staffing barriers. If so, indicate those barriers.	Identify the number of unfilled evaluator positions in the PEA during the current school year. Examine evaluator staffing over the summer months. Determine if it is adequate to complete AzEIP transition evaluations or if there are barriers.	Examine the number of contracted evaluators, including bilingual evaluators. How do the numbers impact the process? Are there issues during certain times of the year (e.g., summer months)?
Findings					
Evidence					
Problem Statement(s):					
Actionable Cause(s):					
Goal:					

Secondary Transition (Indicator 13) Analysis and Action Plan

Data Review	Review current IEPs to determine if they facilitate and document compliance of all the required components that support the articulated goals and if the planning will reasonably enable the student to meet the postsecondary goals.	Determine if there is any inconsistency in the levels of compliance among school sites. If so, identify specific factors that may have contributed to the number of compliant or noncompliant student files at each site. Is this a site- specific compliance issue or a districtwide compliance issue?	Identify the number and types of trainings, conferences, and course work in which staff has participated outside of the PEA. List the professional development opportunities related to transition offered within the PEA.	Determine if the PEA has identified transition resources, including age-appropriate assessments. List those resources currently being utilized and develop a list of other possible resources that could facilitate transition planning.	Review professional development opportunities attended by staff responsible for the required transition components.
Findings					
Evidence					
Supports and Services	Determine if the PEA staff is knowledgeable about the procedures necessary for completing all the required transition components.	Identify the years of experience for each special education staff who works with students 16 years of age and older.	Examine the involvement of personnel in transition and development. Has the PEA designated one or more individuals to assume this responsibility?	Describe the manner in which the PEA staff communicates with each other across departments in relation to transition planning.	Describe the manner in which the PEA has interacted with their ADE/PSM specialist and/or a secondary transition specialist. If no working relationships have been established, describe steps that will be taken to ensure such a partnership.
Findings					
Evidence					
Problem Statement(s):					
Actionable Cause(s):					
Goals:					

C13

Tab Insert

GUIDE STEPS

Arizona Department of Education

Exceptional Student Services

Memorandum

To: Special Education Directors and Special Education Staff

From: Program Support and Monitoring Unit

Date: July 26, 2021

Re: Release of Updated Guide Steps

Each year, ADE/ESS reviews and revises, as needed, the Program Support and Monitoring (PSM) Guide Steps, which are used during the PSM programmatic monitoring activities. Revisions are generally made to adjust for updates in federal and state requirements and/or interpretations as well as case law, including state due process hearing decisions. Revisions are also made based on feedback from the field, where clarifications may be needed. Below are highlights of some areas where revisions were made this year. PEAs are encouraged to review the entire document for all programmatic compliance requirements to ensure that the PEA's policies and practices are properly aligned.

- IA1: Added areas to come into compliance with federal requirements
- IA2: Added areas to come into compliance with federal requirements
- IIA4: Added clarification and resources specifically about language learners and eligibility categories
- IIIA3: Added clarification about alternate assessment required forms

It is important to remember that the guide steps are a technical assistance document created to aid PEAs in understanding the requirements for programmatic monitoring. The examples included are intended to provide additional clarification and understanding on how to apply a compliance lens to a student's evaluation or IEP. These examples are not in any specific student context and, therefore, should not be taken directly and added to a unique student's IEP or evaluation. We hope these guide steps and the examples provided assist PEAs in reviewing their created documents for compliance purposes and in review of systemic programmatic needs within the PEA.

Kathy Hoffman, Superintendent of Public Instruction
1535 West Jefferson Street • Phoenix, Arizona 85007
www.azed.gov • (602) 542-5460 • www.azed.gov/specialeducation

Acronyms for Forms

AF	Agency Form
CFW	Child Find Worksheet
SPW	Summary of Performance Worksheet
IB3W	In By Three Worksheet
DRM-2	Data Review Student File Sample Selection Form
DRSF	Data Review Student Form
SAM-2	Self-Assessment Student File Sample Selection Form
SASF	Self-Assessment Student Form
OSM-2	On-Site Student File Sample Selection Form
SF	Student Form
SCAF	Secure Care Agency Form
SCSF	Secure Care Student Form
SCCFW	Secure Care Child Find Worksheet
SCSAI	Secure Care Site Administrator Interview
SCSEAI	Secure Care Special Education Administrator Interview
SCSI	Secure Care Student Interview
SCGETI	Secure Care General Teacher Interview
SCSETI	Secure Care Special Education Teacher Interview
SCPS	Secure Care Parent Survey
SCSI	Secure Care Student Interview

Guide Steps

These guide steps contain the major elements that constitute the provision of a free appropriate public education (FAPE) for students with disabilities. Each monitoring must provide a representative picture of the public education agency's (PEA's) compliance status. The larger PEAs—districts, charter schools, and secure care facilities—will select files by stratified random sampling. Smaller districts, charter schools, and secure care facilities will review all student files.

For a guide to the minimum number of files to review for a Data Review, see DRM-2; for Self- Assessment, see SAM-2; for an On-Site Monitoring, see OSM-2.

The following instructions include all of the compliance items within the Arizona monitoring system. It is incumbent upon the PEA to meet each of these requirements as well as all other requirements of IDEA, State Statute, and State Administrative Code.

	General Instructions
Step 1	Record the demographic information requested. All demographic information **must** be entered on the student form. If a student does not have an SSID number, use the student's birth date and initials. Use the AzEDS category from the most recent census submitted to the Arizona Department of Education (ADE). When reviewing the evaluation timeline for a student who was found to be not eligible for special education, record the SSID number and mark the eligibility category as "Not Special Education" (NSE).
Step 2	Determine the primary language spoken by the parent (to ensure that the PEA has met the parent notification requirements). **Student File Review Method:** Review the file for the language of the home, as indicated **by the parent**, and write the language in the space provided. Use any parent source (language survey [PHLOTE], registration, developmental history), but **do not** use a secondary source, such as the evaluation report summary.
Step 3	Determine the language proficiency of the student (to ensure that the PEA has properly evaluated and is appropriately educating the student). **Student File Review Method:** If the primary language of the child is other than English, verify that the PEA has determined the language in which the child is most proficient. Look for the results of language proficiency testing, the Arizona English Language Learner Assessment (AZELLA). These results might not be located in the special education file; you may have to access them in the cumulative or English language learner file. Specify the language proficiency in the space provided.
Step 4	Conduct the file review and record the information using the following codes: **I** = In compliance **O** = Out of compliance **U** = Unreported

SECTION I: Child Find

I.A.1 Child Find Requirements

300.111(a)(1)(i) AF, SCAF	Determine if the PEA has board-approved special education policies and procedures to ensure that all children with disabilities who are in need of special education and related services are identified, located, and evaluated. PEA board-approved policies and procedures must include information related to equitable participation and accurate child count for parentally privately placed and home school children. PEA board-approved policies and procedures should be unique and individualized to the PEA and should not be replication of the applicable statutes. Checklists to assist in ensuring a policy for all requirements are included can be found under Resources on the Program Support and Monitoring webpage. **Agency Review Method:** Verify that child find, including parentally privately placed and home school children, is included in the PEA's current board-approved policies and procedures and reflect the current requirements in state statute and board rule.
R7-2-401.D.1 AF, SCAF	Determine if child find procedures have been made available, either electronically or in writing, to parents within the PEA's boundaries of responsibility, including parents of children with disabilities attending private schools and home schools. **Agency Review Method:** Review available documentation such as a letter, flyer, web page, link, or other means of documentation. If parents have been made aware of procedures via the available documentation, mark this item **I**.
R7-2-401.C.1 R7-2-401.D AF, SCAF	Determine if the required Child Find procedures for birth to 2.9 years were followed. Required procedures include: A. Use of the mandatory AzEIP (child find) referral form and timelines (can be found on the AZ Find webpage) B. Documentation of appropriate follow-up on any referral to AzEIP or the school district C. Alert forwarded to ADE/ESS when no follow-up on a referral can be documented. Agency Review Method: • If the system for referral to AzEIP is in place, and the timelines have been followed, mark this item **I**. • If the system for referral to AzEIP is in place, but procedures or timelines have not been followed, mark this item **O**. • If no system for referral to AzEIP is in place, mark this item **O**. • If the system for referral is in place, but no child has accessed the system, mark this item **U**.

R7-2-401.C.1 R7-2-401.J.2 AF, SCAF	Determine if the required Child Find procedures for ages 2.9–5 years were followed. Agency Review Method: For charter schools and union high school districts: • If the system for referral to the responsible district is in place, and the timelines have been followed, mark this item **I**. • If the system for referral to the responsible district is in place, but procedures or timelines have not been followed, mark this item **O**. • If no system for referral to the responsible district is in place, mark this item **O**. • If the system for referral is in place, but no child has accessed the system, mark this item **U**. For elementary and unified districts: • If the district has procedures that ensure children are screened within 45 days of initial expression of concern, mark this item **I**. • If the district conducts an adequate number of screenings during the year (as determined by the population within their boundaries), mark this item **I**. • If the district does not conduct screenings or fails to conduct screenings within the required timelines, mark this item **O**. If the system for screening and referral is in place, but no child has accessed the system, mark this item **U**.
300.134 300.135 R7-2-401.C.3 R7-2-401.L AF, SCAF	Determine if the PEA maintains an invitation list and agenda of the child find meeting with private school(s) staff and families (home-school involvement). **All references to private school students include students who are home schooled.** **Agency Review Method:** • Locate the invitation list to the meeting between private schools and the district. Locate the agenda for this meeting. If private schools are listed as invited, and if the meeting agenda covers private school and home school involvement in child find efforts, mark this item **I.** • If there is no documentation of a meeting invitation list and agenda, mark this item **O**. • If the agency is a school district, this item cannot be marked **U**. If the agency is a charter school, mark this item **U**.

I.A.2 Child Find Procedures	
R7-2-401.D.5 R7-2-401.D.6 CFW, SCCFW	Determine if the procedures for screening appropriate school-aged students were completed within **45 calendar days** of entry and that the seven required areas were addressed. The required areas are vision, hearing, cognitive or academic, communication, motor, social or behavioral, and adaptive or self-help. **Child Find Worksheet Method:** Compare the date of enrollment and the date of screening **or** the date of the documented review of records. • If the student was screened in all seven areas within 45 calendar days, mark this item **I**. • If any area was not screened, mark this item **O**. • If the student was screened, but not within the required 45 calendar days, mark this item **O**. • If the student was not screened, mark this item **O**.
R7-2-401.D.8 CFW, SCCFW	Determine if the students were referred for follow-up and/or evaluation when concerns were noted on the 45-day screening. **Child Find Worksheet Method:** If concerns were noted about any of the students who were screened, the school must document follow-up actions. Follow-up may consist of a variety of actions, and the appropriateness of the follow-up is dependent upon the nature of the concern. • If concerns were noted, look for documentation of follow-up that may include documentation of attempts to collect additional records, collection of additional records, implementation of classroom interventions, or referral to a child study team or for a special education evaluation. If this documentation is evident, mark this item **I**. • If concerns were noted and there is no documentation of follow-up, mark this item **O**. • If no concerns are noted, mark **U**.
I.A.3 Early Childhood Transition (In by 3)	
300.111.(a) IB3W	Determine if students previously served by AZEIP were evaluated by the student's 3rd birthday. There must be evidence that an evaluation was completed and eligibility determined by the student's 3rd birthday. **In by 3 Worksheet Method:** Compare the student's date of birth to the date that eligibility was determined. • If the date eligibility was determined is prior to the student's 3rd birthday, mark this item **I.** • If the date eligibility was determined is after the student's 3rd birthday, mark this item **O.**

300.111.(a) IB3W	For students previously served by AZEIP who were evaluated and found to be eligible, an IEP was developed and FAPE was offered by the student's 3rd birthday. *For students served by AzEIP who were found not eligible, mark this item U.* There must be evidence that the IEP was developed and FAPE offered by the student's 3rd birthday. **In by 3 Worksheet Method:** Compare the student's date of birth to the date that the IEP was developed and FAPE was offered. • If the development of the IEP was done prior to the student's 3rd birthday, mark this item **I.** • If the date the IEP was developed is after the student's 3rd birthday, mark this item **O.** **NOTE:** If the IEP was developed after the student's 3rd birthday, **enter the number of days beyond the student's 3rd birthday and the reason the timeline was not met on the *In by 3* worksheet.**

SECTION II: Evaluation/Reevaluation

For initial evaluation of a student who did not qualify, make a compliance call on II.A.5 <u>ONLY</u>.
For a student who has been phased out of special education, make a compliance call on II.A.1, II.A.2, II.A.3, II.A.4, IV.A.1, and IV.A.2.

II.A.1 Completion of Evaluation/Reevaluation

300.301(a) 300.303(b) 300.305(e)(1) 300.306 SF,SASF, SCSF **60-Day Correction**	An evaluation, **beginning with the review of existing data** and including an eligibility determination, has been completed (includes phased-out students). **Student File Review Method:** Review the file for the current **(dated within 3 years of the file review date)** evaluation and the eligibility documentation. If a current evaluation and eligibility determination that contain evidence of team participation are present, mark this item **I**. If there is an evaluation that includes evidence of team participation, but components are missing or do not meet minimum compliance, mark this item **I,** and mark the components in the line items that follow as appropriate. **<u>FOR REEVALUATIONS ONLY:</u>** If no current reevaluation documentation is found, then look for evidence of the agreement between the parent and PEA that the reevaluation was unnecessary. This agreement must be based upon a discussion of the advantages and disadvantages of conducting a reevaluation as well as the effect a reevaluation might have on a child's educational program. If **neither** a reevaluation nor an agreement, as described above, is found, mark this item **O** and enter **U** on the remainder of the evaluation items. If evidence of the agreement that a reevaluation was unnecessary is present, then mark this and all remaining items in evaluation as **U**. **If a student has been phased out of special education,** the team must have conducted a reevaluation **prior to the decision** to dismiss the student from special education. The decision of the team may be based on existing information or on newly administered tests or assessments. There is no requirement that new data be gathered to phase out a student, but all components pertinent to the student's category of eligibility must be addressed and documented. If no evaluation is found for a phased-out student, mark this item **O** and enter **U** on the remainder of the evaluation items. ***Note: A PWN for initial referral is needed <u>PRIOR</u> to the review of existing data. (Refer to line item IV.A.2)**

II.A.2 Review of Existing Data	
300.301(c)(i) R7-2-401. E.4 SF, SASF, SCPS, SCSF, SCSI	Review of existing data occurred within 15 school days of a parent's written request for evaluation. **Student File Review Method**: Determine if there is evidence of a written parent request for evaluation. If so, ensure the PEA documented a review of existing data or issued a PWN, refusing to evaluate, within 15 school days. If there is evidence of a parent request for evaluation and the timeline is met, mark this item **I.** If there is evidence of a parent request for evaluation and the timeline is not met, mark this item **O.** If there is no evidence of a parent request for evaluation, mark this item **U.**
300.305(a)(1)(i) SF, SASF, SCPS, SCSF, SCSI	The parent provided **current** information **during** the review of existing data timeframe and before the decision of the need for additional data. **Student File Review Method:** Determine if there is evidence that the parent provided information to the team **or** that the PEA made several, varied efforts to request information from the parent. This documentation may be a review of information provided through a meeting, questionnaire, phone interview, or e-mail to document developmental, medical, functional, and other pertinent information before the decision that additional data was needed. For students 18 years or older whose rights have transferred, look for evidence of current information provided by the adult student and/or the parent. If the parent was not a member of the team or it is evident input is **only** from prior evaluations, mark this item **O** unless, during a reevaluation, the PEA documented their efforts to gather parental input.
300.305(a)(1)(ii) SF, SASF, SCSF	Current classroom-based assessments were reviewed before the decision of the need for additional data. **Student File Review Method:** Determine if the team considered specific classroom-based information (quantitative data) shared by the child's teacher related to classroom assessments, such as quarterly grades, portfolio information, and/or anecdotal records such as behavior tracking records. For a student being evaluated for a possible learning disability based on an MTSS process, comparative reports of progress monitoring from each tier of instruction/intervention were reviewed. For children birth to 3, assessment and performance information from early intervention programs were reviewed. For reevaluations of preschool students, the team may include specific assessment information from Teaching Strategies GOLD/My Teaching Strategies.

	If it is clear that the child's teacher was not included in the review of existing data process, mark this item **O**. If the student has not attended school or an early intervention program, mark this item **U**.
300.305(a)(1)(iii) SF, SASF, SCSF	Teacher and related service provider input/observations were reviewed before the decision of the need for additional data. **Student File Review Method:** Determine if the team considered information (qualitative data) that was shared by **any** teacher and/or related service provider, community-based personnel, service provider for children birth to 3, or other provider, as appropriate. Examples of information include pertinent data related to peer relationships, work habits, organizational skills, motivation, behavior and/or self-esteem, and any pre-referral intervention efforts for initial evaluations**.** For a student being evaluated for a possible learning disability based on an MTSS process, descriptions of research-based instruction and tiered interventions and documentation that the interventions were implemented with fidelity and for sufficient periods of time were reviewed. If the student has not attended school, mark this item **U**.
300.305(a)(1)(ii) SF, SASF, SCSF	Formal assessments were reviewed prior to the decision of the need for additional data. **Student File Review Method:** Determine if the team considered performance on assessments conducted within the PEA environment, such as the AzMERIT, AZM2, ACT, SAT, the MSAA (Multi-State Alternative Assessment), Stanford 10, or AZELLA. If the team reviewed this data, mark this item **I**. If the student is a **transfer** and the **PEA documented that they were unable to obtain any assessment data, or** if the **student is not the appropriate age** for this type of formalized assessment, mark this item **U**.

II.A.3 Team Determination of Need for Additional Data	
300.305(a)(2) SF, SASF, SCSF, SCSETI	A **team** determined that existing data were sufficient or that additional data were needed. **Student File Review Method:** Determine if a team discussed and made a determination about the need for additional data following the review of existing data (**before** parent consent was obtained, **before** the collection of additional data, **and/or before** eligibility was determined). Examples: • Based on the review of existing data, the team determined that additional data were not needed = **I** • The team determined concerns about the student could not be addressed without collecting additional data = **I** • There is no documentation that the **team** made the determination regarding the need for additional data = **O** ***Note: If the evaluation being reviewed originated from another district and there is no evidence of a team making this decision, mark this item U.**
300.305(d) SF, SASF, SCSF	**For reevaluations only,** when the team decided **not** to collect additional data, the parents were informed of the reasons for that decision and their right to request additional data. **Student File Review Method: For reevaluations only,** look for evidence that the parents were informed of the reason the school did not plan to gather further information and of the parents' right to request additional data. Verify through documentation of a conversation or letter or in the body of the evaluation report. It does not have to be (but may be) in the form of a prior written notice. Mark this item **U** for initial evaluations and reevaluations that did require additional data.

300.9 300.300(a)(1) 300.300(c)(1)(i) 300.300(c)(2) SF, SASF, SCSF	If the team determined that additional data were needed, informed parental consent was obtained following the review of existing data (or for reevaluations, efforts were made to obtain consent) and before the collection of additional data. Consent means: (a) The parent has been fully informed of all information relevant to the activity for which consent is sought, **in his or her native language**, or through another mode of communication; (b) The parent understands and **agrees in writing** to the carrying out of the activity for which his or her consent is sought, and the consent describes that activity. **Student File Review Method:** Determine if informed written parental consent, as described above, is documented. Written parental consent has to be in native language, or evidence of an interpreter, and has to include information relevant to the activity. **For students 18 years or older whose rights have transferred, look for written consent from the student.** If there is no documentation of informed parental consent, mark this item **O**. In the case of a reevaluation, if the PEA attempted to obtain consent, but the parent did not respond, **and** the PEA adequately documented those efforts, mark this item **I**. (Note that the team cannot proceed with gathering additional data when informed written consent was not obtained) If a parent did not provide informed written consent for all activities and there is documentation in the evaluation of an additional assessment(s), mark this item **O.** If no additional data are needed, mark this item **U**. If the student transferred in with a current evaluation and parent consent was not included in records received, mark this item **U**. ***Note:** A PWN noting informed consent is needed before gathering additional data (refer to line item IV.A.2). For information related to acceptable electronic signatures, see the Hot Topic regarding the use of electronic signatures dated July 2020.

II.A.4 Eligibility Considerations	
300.304(c)4) ARS 15-761(24) and (34) SF, SASF, SCSF **60-Day Correction**	The student was assessed in all areas related to the suspected disability. **Student File Review Method:** Look for documentation of any of the following: • concerns brought forward in the pre-referral process, including pre-school screenings/round-ups • concerns brought forward through developmental and/or medical history • review of existing data • parent/teacher input • any area where informed parental consent was obtained • any area related to the student's suspected disability • may include, but is not limited to, any academic, social, behavioral, vision and hearing issues, or assistive technology needs For a preschool child determined eligible as SLI, DD, or PSD, all of the developmental domains (cognition, language, motor, personal/social, and adaptive) were addressed in the evaluation. A CDA (comprehensive developmental assessment in all 5 domains) may be accomplished through a review of existing data, criterion-referenced assessments, norm-referenced assessments, observation, and parent input; for the purpose of determining eligibility, at least one norm-referenced assessment to obtain standard deviation information must be used to determine if eligibility criteria are met. **Note:** If there were problems identified through the vision or hearing screening, the problems must be resolved prior to continuing with the evaluation unless the nature of the problem is part of the evaluation process and the strategies/ instruments used during the evaluation take into account the vision or hearing issues. Examples: • When testing a 2nd grader who failed hearing screenings and parents have indicated a concern with the student's hearing, the evaluation team documented a hearing report provided by the parents from the pediatrician which indicated typical hearing impacted by seasonal allergies and ear infections. = **I** • The student was failing to make progress in math and statewide test scores were significantly below expectations, yet the evaluation did not address math as an area of concern. = **O**

300.304(b)(1)(ii) SF, SASF, SCSF, SCSEAI	**Upon review of all data,** the team documented issues related to the student's performance in the educational setting and how progress in the general curriculum is affected by the student's disability. **Student File Review Method:** Locate documentation of the overall impact that the disability has on the student's education, including progress in the general curriculum. For a preschool child, this means the general developmental progress of the child. **This information must be student-specific and must not contain boilerplate statements.** Examples: • Student's difficulty understanding information provided in text results in the student becoming frustrated and giving up easily which impacts his progress in core content areas. Although student is not disruptive, it is evident that the student is not engaged. = **I** • The student's learning disability in reading may/will make it difficult for him to understand what he reads. = **O** • Student's has a disability in math calculation which makes it difficult to solve math problems. = **O** • Student's emotional disability causes student to be excessively fearful of failure before peers, which impacts the student's ability to participate in group work and presentations. = **I** • Preschool student's speech-language and motor delays affect social interaction progress and cause student to lash out when frustrated. = **I** • Results of the current evaluation suggest that student needs special education services to benefit from instruction. = **O** • The student meets the criteria under the educational classification of specific learning disability and that will impact the ability to access and progress in the general curriculum. = **O** **Mark this item U for a student who is phased out of special education.**
300.304(b)(1) 300.304(c)(6) SF, SASF, SCSF, SCSEAI	**Upon review of all data,** the educational needs to access the general curriculum are identified. **Student File Review Method:** In interpreting evaluation data to determine the educational needs of a student, locate documentation that the team considered information from a variety of sources, including aptitude and achievement tests and parent input and teacher recommendations, as well as information about the student's physical condition, social or cultural background, and adaptive behavior. Examples: • Because of the student's auditory processing disability, all instructional material should be presented in print media. = **I**

	• Student is weak in auditory memory. = **O** • Although student achievement in math does not evidence a significant discrepancy, given his AzMERIT scores and teacher input, the team has determined that using manipulative aids will help the student to improve math calculation skills. = **I** • Student needs help in math. = **O** • Student needs assistance in using positive behaviors as an alternative to reacting in an aggressive physical or verbal manner. = **I** • Student needs behavioral support**.** = **O** • Student needs generalization and practice in daily living skills. = **I** • Student is overly dependent on aide. = **O** • Because of the student's reading comprehension disability, the student should be provided with assistive technology (e.g., Kurzweil) to access grade-level text. = **I** • Because of the student's reading disability, the student needs specialized instruction. = **O** **Mark this item U for a student who is phased out of special education.**
300.305(a)(2)(B)(iv) SF, SASF, SCSF	**Upon review of all data, for reevaluations only,** the team considered and documented any additions or modifications to the special education or related services needed for the student to progress in the general curriculum. **Student File Review Method:** Determine if the team **considered** the needs of the student in making progress toward annual goals and in the general curriculum. If progress was deemed insufficient, determine if the team recommended additions, deletions, or revisions to the services. If no additions or modifications were needed, a statement to that effect should be included. Examples: • Student is not making progress with math facts. Flash card drills and weekly testing have not improved his accuracy when he completes math problems. It is recommended that the use of manipulatives be incorporated into math instruction. = **I** • No changes or modifications are needed. = **I** • Student's AzMERIT scores in math show that she has moved from "minimally proficient" to "partially proficient" on the grade-level standard. The current level of special education support she has been receiving is meeting her needs. = **I** • Student has continued to make adequate progress on all annual goals and is becoming more social in classes through his active participation, so there are no changes needed at this time. = **I** • N/A or not addressed = **O** Mark this item **U** for initial evaluations and students phased out of special education.

300.306(b) (1)(i) 300.306(b) (1)(ii) ARS 15-761(2)(b)(i) ARS 15-761(2)(b)(ii) SF, SASF, SCSF	A student must not be determined to be a student with a disability if the determinant factor is lack of appropriate instruction in reading and/or math. **Student File Review Method:** Determine if the team considered the lack of learning opportunities. There should be a clear statement of the consideration within the evaluation documentation. A rule-out statement is sufficient only if there is **no** evidence of a lack of learning opportunities. **For preschool students, lack of formal schooling/childcare is not considered a lack of appropriate instruction in reading and/or math.** The lack of learning opportunities may include: • Frequent school changes • Poor attendance • Multiple teachers in the same year • Questionable home-school curriculum
300.306(b)(iii) ARS15-761(2)(b)(iii) SF, SASF, SCSF, SCSEAI	If the student is not a native English speaker, the impact of limited English proficiency on progress in the general curriculum must be addressed. **Student File Review Method:** Determine if the team documented their consideration of language proficiency (AZELLA or other formal/informal assessments). There should be a clear statement within the team documentation. A rule-out statement is sufficient only if there is **no** evidence of limited English proficiency (refer to primary home language other than English [PHLOTE] survey). Students who were previously withdrawn from EL due to SPED does not equate to EL proficiency and still requires documentation of impact of language. If there is no evidence of language proficiency, there must be an explanation of language impact. Examples of the impact could include: • The student is making slow progress in his acquisition of English and instruction should be provided in both languages. • The student is becoming more proficient in English. Instruction should be provided in English with additional directions given in Spanish, if necessary. • The student's learning disability has more impact on the acquisition and use of vocabulary than the level of the student's language proficiency. Mark this item **U** if the student is a native English speaker or for a student phased out of special education.
300.306(a)(1) SF, SASF, SCSF **60-Day Correction**	**Upon review of all data**, a team determined that the student has a specific category of disability. **Student File Review Method:** Locate documentation of the team's decision regarding the specific disability category. All criteria for classifying any given disability should be reported and clearly demonstrated with supporting data.

	Examples: • The eligibility report documents that multiple people had a role in making the classification decision and that the decision was made using data from a variety of sources. = **I** • There is no eligibility determination. = **O** • Decision is made by one person, not a team. = **O**
300.306 (a)(1) ARS 15-761 (30) & (32) SF, SASF, SCSF **60-Day Correction**	**Upon review of all data**, a team determined the student needs special education and related services. **Student File Review Method:** Locate documentation of the eligibility for special education that is based on the presence of a disability **and** the need for specialized instruction. The date the team documents these decisions becomes the new eligibility determination date from which the timeline for future triennial reevaluation dates will be based. Determine if the written report includes salient information related to the eligibility determination, the category of disability, and the need for services supporting the eligibility determination.
300.304 (c)(1) & (3) SF, SASF, SCSF **60-Day Correction**	Assessments and other evaluation materials were administered in a language and form most likely to yield accurate information. **Student File Review Method:** Review assessments and other evaluation materials to ensure that they were selected and administered in a nondiscriminatory racial or cultural manner and that they were administered in a form and language most likely to yield accurate information on what the child knows and can do academically, developmentally, and functionally, unless it was not feasible to do so. A simple statement to this effect is **not** sufficient if the evidence is clearly to the contrary. Students who were previously withdrawn (WD) from EL due to SPED still require consideration of language proficiency through data-based decisions. For additional information specific to students previously WD due to SPED please refer to the English Learners Hot Topic dated July 2019. **If there is no evidence of language proficiency, there must be an explanation of assessments chosen and validity based on language proficiency.** Examples: • There is evidence that the child is not proficient in English (PHLOTE or through the narrative) and all tests were administered in English and required English language proficiency. = **O** • Evidence shows that the child is not proficient in English and tests were administered in the native language. = **I** • The child is monolingual Urdu and all tests were administered that are nonverbal or nonlanguage based. = **I** • The child's level of language proficiency was not determined and documented. = **O**

	• The child is monolingual Navajo and the teacher aide (who is trained to assist in assessment) interpreted for the child during testing. = **I** • The child has a hearing impairment and tests were administered that are nonverbal or nonlanguage based or were developed/normed for children who have a hearing impairment. = **I**
ARS 15-943(2)(b) ARS 15-1042	Student eligibility category reported matches student's current evaluation. **Student File Review Method:** Compare the current eligibility reported on the SPED 72 to ensure data matches current eligibility documented in the most recent evaluation**.** **Examples:** • SPED 72 reports student as SLD and current evaluation determined eligibility as SLD. = **I** • SPED 72 reports student as DD, but the most recent evaluation changed eligibility from SLI to SLD. = **O** • Initial evaluation determined student eligible under SLI on 8/21/21, but SPED 72 does not show student. = **O** • Current evaluation shows that student was phased out (no longer eligible) on 5/15/21 but is still being reported as eligible on the SPED 72. = **O**
300.8(c)(1) ARS 15-761(1) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Autism (A):** a developmental disability that significantly affects verbal and nonverbal communication and social interaction and adversely affects educational performance.
300.8(b) ARS 15-761(3) SF, SASF	Documentation supports the category and substantiates eligibility for: **Developmental Delay (DD)**: performance by a child who is at least three years of age, but under ten years of age, on a norm-referenced test that measures at least one and one-half, but not more than three, standard deviations below the mean for children of the same chronological age in two or more of the following areas: (a) Cognitive development (b) Physical development (c) Communication development (d) Social or emotional development (e) Adaptive development **For preschool only:** The results of the norm-referenced measure must be corroborated by information from a comprehensive developmental assessment and from parental input, if available, as measured by a judgment-based assessment or survey. A CDA (comprehensive developmental assessment in all 5 domains) may be accomplished through a review of existing data, criterion-referenced assessments, norm-referenced assessments, observation, and parent input; for the purpose of determining eligibility, at least one norm-referenced assessment to obtain standard deviation information must be used to determine if eligibility criteria are met. If there is a discrepancy between the measures, the evaluation team shall determine eligibility based on a preponderance of the information presented.

300.8(c)(4) ARS 15-761(7) R7-2-401. E.7.a SF, SASF, SCSF **60-Day Correction**	Documentation supports the category and substantiates eligibility for: **Emotional Disability (ED)**: verification by a qualified professional of one or more of the following characteristics over a long period of time and to a marked degree that adversely affects educational performance: inability to learn, inability to build or maintain relationships, inappropriate behavior/feelings, unhappiness or depression, physical symptoms/fears, or schizophrenia, any of which adversely affects education performance.
300.8(c)(5) ARS 15-761(8) R7-2-401. E.7.b SF, SASF, SCSF **60-Day Correction**	Documentation supports the category and substantiates eligibility for: **Hearing Impairment (HI):** verification by a qualified professional of a hearing impairment that interferes with the student's performance in the educational environment and requires the provision of special education and related services. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
R7-2-401. E.7.b SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Hearing Impairment (HI)**: evaluation of the language proficiency of the student, including documentation of the student's mode of communication and its effectiveness for the student in accessing the general curriculum.
ARS 15-761(14) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Mild Intellectual Disability (MIID):** performance on standard measures of intellectual functioning and adaptive behavior between two and three standard deviations (SD) below the mean for students of the same age.
ARS 15-761(15) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Moderate Intellectual Disability (MOID):** performance on standard measures of intellectual functioning and adaptive behavior between three and four standard deviations (SD) below the mean for students of the same age.
300.8(c)(7) ARS15-761(17) SF, SASF, SCSF **60-Day Correction**	Documentation supports the category and substantiates eligibility for: **Multiple Disabilities (MD):** multiple disabilities include two or more of the following: HI, OI, MOID, and/or VI or a student with one of the disabilities already listed in this section existing concurrently with MIID, ED, or SLD.
ARS 15-761(18) SF, SASF, SCSF **60-Day Correction**	Documentation supports the category and substantiates eligibility for: **Multiple Disabilities with Severe Sensory Impairment (MD-SSI):** multiple disabilities include: (1) severe visual impairment or hearing impairment, with another severe disability or (2) severe visual impairment and severe hearing impairment.
300.8(c)(9)	Documentation supports the category and substantiates eligibility for:

ARS 15-761(20) R7-2-401. E.7.c SF, SASF, SCSF **60-Day Correction**	**Other Health Impaired (OHI):** verification by a qualified professional of limited strength, vitality, or alertness, including heightened alertness to environmental stimuli (such as ADD or AD/HD), that is due to chronic or acute health problems and adversely affects student performance. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
300.8(c)(8) ARS 15-761(19) R7-2-401E.7.e SF, SASF, SCSF **60-Day Correction**	Documentation supports the category and substantiates eligibility for: **Orthopedic Impairment (OI):** verification by a qualified professional of one or more severe orthopedic impairments, including those caused by congenital anomaly, disease, and other causes, such as amputation or cerebral palsy, and that adversely affect educational performance. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for updated medical verification.
ARS 15-761(24) SF, SASF	Documentation supports the category and substantiates eligibility for: **Preschool Severe Delay (PSD):** more than three SD below the mean in one or more of the following areas: cognitive, motor, communication, social/emotional, or adaptive development. A CDA (comprehensive developmental assessment in all 5 domains) may be accomplished through a review of existing data, criterion-referenced assessments, norm-referenced assessments, observation, and parent input; for the purpose of determining eligibility, at least one norm-referenced assessment to obtain standard deviation information must be used to determine if eligibility criteria are met. The results of the norm-referenced measure must be corroborated by information from a comprehensive developmental assessment and from parental input, if available, as measured by a judgment-based assessment or survey. If there is a discrepancy between the measures, the evaluation team shall determine eligibility based on a preponderance of the information presented.
300.8(c)(11) ARS 15-761(34)(a) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Speech or Language Impairment (SLI):** a communication disorder such as stuttering, impaired articulation, severe disorders of syntax, semantics, or vocabulary, or functional language skills, or a voice impairment to the extent that it calls attention to itself, interferes with communication, or causes a student to be maladjusted. For a preschool student, performance on norm-referenced language test that measures between one and one-half standard deviations below the mean. The results of this norm-referenced measure must be corroborated by information from a comprehensive developmental assessment and from parental input. A CDA (comprehensive developmental assessment in all 5 domains) may be accomplished through a review of existing data, criterion-referenced assessments, norm-referenced assessments, observation, and parent input; for the purpose of determining eligibility, at least one norm-referenced assessment to obtain standard deviation information must be used to determine if eligibility criteria are met.

	Additionally, eligibility can only be determined if the child is not eligible under another preschool category or developmental delay.
300.8(c)(10) 300.307 300.309 ARS 15-761(33) R7-2-401. E.7.d SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Specific Learning Disability (SLD):** a determination of whether the child exhibits a pattern of strengths and weaknesses in performance, achievement, or both relative to age, state-approved grade-level standards, or intellectual development that meets the public education agency criteria through one of the following methods: • A discrepancy between achievement and ability; • The child's response to scientific, research-based interventions; or • Other alternative research-based procedures. Each PEA must establish its own local school board approved criteria for SLD eligibility criteria. Documentation for determining a child eligible as having a specific learning disability should include a synthesis of data, criteria used, and both should match the PEA's board-approved policies and procedures. For additional information related to SLD determination, refer to the Specific Learning Disability Eligibility Criteria Hot Topic from October 2019.
300.311(b) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Specific Learning Disability (SLD):** a certification of each team member's agreement or disagreement must be included. This certification may be contained in the report or may be located on a separate eligibility statement. For information related to acceptable electronic signatures see the Hot Topic regarding the use of electronic signatures, dated July 2020. ***Note: If the evaluation being reviewed originated from another district and the team member agreement/disagreement was not documented, mark this item U.**
300.311(a)(6) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Specific Learning Disability (SLD):** a determination of the effects of environmental, cultural, or economic disadvantage must be included. Documentation can be found anywhere throughout the evaluation.

ARS 15-761(29) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Severe Intellectual Disability (SID):** performance on a standard measure of intellectual functioning and adaptive behavior at least four SD below the mean for a student of the same age. This should include an explanation of scores that may have been unable to be measured based on the assessment scoring protocols as it relates to the student's performance.
300.8(c)(12) ARS 15-761(38) R7-2-401.E.7.h SF, SASF, SCSF **60-Day Correction**	Documentation supports the category and substantiates eligibility for: **Traumatic Brain Injury (TBI):** verification by a qualified professional of an acquired injury to the brain that is caused by an external physical force and that results in total or partial functional disabilities, psychosocial impairment, or both that adversely affect educational performance. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
300.8(c) (13) ARS 15-761(39) R7-2-401. E.7.i SF, SASF, SCSF **60-Day Correction**	Documentation supports the category and substantiates eligibility for: **Visual Impairment (VI):** verification by a qualified professional of a visual impairment that interferes with the student's performance in the educational environment and that requires the provision of special education and related services. If there is evidence that a student's condition has changed, look for documentation that the team discussed the need for an updated medical verification.
300.324(a)(2)(iii) ARS 15-761(39) ARS 15-214 (A)(1) SF, SASF, SCSF	Documentation supports the category and substantiates eligibility for: **Visual Impairment (VI):** individualized Braille literacy assessment completed for students who are blind. This assessment should address the effect that the visual impairment has on reading and writing performance that is commensurate with the student's ability. • If a student with a visual impairment is not blind, mark this item **U**. • Mark this item **U** for phased-out students.

II.A.5 Initial Evaluations Completed within 60 Calendar Days of Receipt of Informed Written Consent of Parent	
300.301(c)(i) R7-2-401.E.3 R7-2-401.E.4 R7-2-401.E.5 SF, SASF, DRSF, SCSF **60-Day Correction**	The initial evaluation of a student was completed within 60 calendar days of receipt of informed written consent from parent(s). **For students transitioning from the Arizona Early Intervention Program (AzEIP), consider the evaluation as an initial evaluation.** The 60-day evaluation period may be extended for an additional 30 days, provided it was in the best interest of the child and the parents and PEA agreed in writing to such an extension. **Student File Review Method:** Determine if the PEA conducted the initial evaluation within 60 calendar days of receipt of informed parental consent. The 60-day period begins with the written informed consent and ends with the team determination of eligibility. If the parent requested the evaluation and the team concurred, the 60-day period began when the written informed consent was received by the PEA. If the timeline for the evaluation was not met, mark this item **O**. **Enter the number of days beyond 60 and the reason the timeline was not met on the Student Form.** If this evaluation was conducted by another PEA, or if the parent repeatedly failed or refused to make the child available, the timeline does not apply. Mark this item **U**. **For initial evaluations of students who did not qualify, make the compliance call on this line item only.**

SECTION III: Individualized Education Program

When considering the line items within the IEP section, be sure to review the IEP in its entirety. Compliance calls should be made based upon the IEP content as a whole.

III.A.1 Current IEP

300.323(a) 300.323(b) SF, SASF, DRSF, SCSF **60-Day Correction**	There is a current IEP. **Student File Review Method:** Record the meeting date when the most recent IEP was developed. If the IEP was developed or revised less than 365 days prior to the date of the file review, the IEP is current. Mark any other status in noncompliance (O). **This item cannot be marked U.** **If there is no current IEP, mark this item O and mark line items III.A.2 through III.A.8 with a U.**

III.A.2 IEP Review/Revision and Participants

300.320(a) 300.323(a) 300.324(b) R7-2-401.G.6 SF, SASF, SCSF	Each IEP is reviewed/revised at least annually. **Student File Review Method**: If the IEP being reviewed is an initial IEP, mark this item **U**. If another IEP exists, enter the meeting date the previous IEP was developed in the space. Compare that date with meeting date of the current IEP to determine if an IEP review was conducted within the last 365 days. Examples: 12/4/20 to 12/3/21 = **I** 12/4/20 to 12/4/21 = **I** 12/4/20 to 12/5/21 = **O**

300.321(a)(1–7) 300.321(b)(1) 300.324(a)(4)(i) 300.325(a)(2) 300.321(e) (1) & (2) SF, SASF, SCSF	The IEP team meeting included the required participants. **Student File Review Method:** Review the file for evidence of the following participants: • One or both of the student's parents • Not less than one regular education teacher of the student; for preschool, this might be a day care provider, Head Start teacher, PEA preschool teacher, or a kindergarten teacher • Not less than one special education teacher or special education provider of the student • A representative of the PEA who is qualified to provide or supervise the provision of special education and who is knowledgeable of general curriculum and availability of resources (must have authority to commit the resources needed to implement the IEP) • An individual who can interpret instructional implications of evaluations **Note**: For a student being placed in an approved private day school, look for evidence that a representative of the approved private day school participated in the IEP meeting. The people listed above must have been in attendance at the meeting unless the statutory stipulations below are fulfilled: 1. A member of the IEP team is not required to attend an IEP meeting, in whole or in part, if the parent of a child with a disability and the PEA agree that the member's attendance is not necessary because the member's area of the curriculum or related services is not being modified or discussed in the meeting. 2. A member of the IEP team may be excused from attending an IEP meeting, in whole or in part, when the meeting involves a modification to or discussion of the member's area of the curriculum or related services, if • the parent and the local educational agency consent to the excusal; and • the member submits **in writing to the parent and the IEP team** input into the development of the IEP prior to the meeting. A parent's agreement under # 1 and # 2 above **must be in writing**. For information related to acceptable electronic signatures see the Hot Topic regarding the use of electronic signatures, dated July 2020.

III.A.3 General Required Components of the IEP Are Included

300.320(a)(1)
300.324(a)(1)

SF, SASF, SCSF

The IEP includes the student's present level of academic achievement and functional performance (PLAAFP), which should include strengths and needs and how the disability affects the student's involvement and progress in the general curriculum. Information should relate to the most recent evaluation data, as well as include current classroom data.

Beginning at age 16, the student's current functioning in relation to identified post-school outcomes should be described in the PLAAFP (or in another section of the IEP related to transition).

Student File Review Method: Review the IEP to determine if there is a present level of academic achievement and functional performance. **Look for documentation more extensive than test scores or grade-level equivalents. Areas pertinent to the student's needs must be addressed in the PLAAFP.**

This requirement includes preschool students at the functional or readiness level. In annual IEP reviews of preschool students, assessment data from Teaching Strategies GOLD/My Teaching Strategies may be included.

Examples of the present levels can be aligned with measurable annual goals, special education services, and progress reports. (See Appendix A.)

Note: The **O** examples below contain information that might be included in the PLAAFP; however, on their own, these examples would not contain enough information to be compliant.

Examples:

1. Student can correctly define 10% of veterinary terms found in veterinary technical manuals. = **I**
   Student needs help with vocabulary. = **O**

2. Given picture-clue instructions, student follows two-step directions. Given three-step directions, student was unable to complete any steps. = **I**
   Student has an IQ of 32 as measured by the WISC. = **O**

3. Using grade-level social studies textbook and current reading assignment, student will orally read 22 wpm with three errors, on average, over four trials. = **I**
   Student reading at 2.9. = **O**

4. Student can correctly multiply 2-digit by 2-digit whole numbers with no problem but struggles with 3-digit by 2-digit multiplication. = **I**
   Student struggles with math. = **O**

	5. The OT reports that the student has the necessary muscular development, and this year, should be able to develop the necessary motor control to use the communication board for purposeful communication. = **I** Student needs to improve her motor skills. = **O** **6.** Student often displays aggressive behavior toward peers. Student yells, pushes, and is sent to the office on a frequent basis. = **I** BASC scores indicate student has behavior problems. = **O** **7.** Student's content area teachers (social studies, math, science, and language arts) report that the student never turns in any homework. = **I** Student is working below grade level in social studies, math, science, and language arts. = **O** **8.** Student shows little interest in interacting with his preschool peers. When cued to stop and give another child a turn, the student verbally protests and becomes agitated. = **I** Student does not have age-appropriate behavior. = **O**

300.320(a)(2)(i) SF, SASF, SCSF	The IEP includes measurable annual goals, including academic and functional goals that reflect the needs identified in the PLAAFP and current assessment data. How the goals will be measured must be clearly documented. **Student File Review Method**: Review the IEP to determine if there are annual goals that are measurable and that reflect student needs. Baseline measurement must be documented either in the PLAAFP or in the goal statement for progress toward the goal to be measurable. Both the measurability **and** means to measure progress **must be evident** for this line item to be in compliance. Examples can be associated with the PLAAFP, special education services, and progress reports (See Appendix A): **1.** Student will correctly define an average of 85% of veterinary terms found in veterinary technical manuals as measured by vocabulary quizzes. = **I** Student will demonstrate understanding of 85% of veterinary terms found in veterinary technical manuals as measured by teacher observation. = **O** **2.** Given picture-clue instructions, student will follow three-step directions five times per week. Baseline: 1/5 Mastery: 5/5 Measurement tool: Teacher data sheet = **I** Student will follow directions 100% of the time as measured by teacher data sheets = **O** **3.** Using grade-level social studies textbook and current reading assignment, student will orally read 100 wpm with no more than three errors, on average, over four trials. Measurement tool: Teacher record book. = **I** Student will decode words. = **O** **4.** Given teacher-made worksheets with 20 problems multiplying 3-digit by 2-digit whole numbers, student will increase his correct responses from an average of 8 to an average of 15 problems for five trials. = **I** Student will demonstrate improved math skills in multiplication. = **O** **5.** At the school cafeteria, student will independently order a school lunch, which will include at least two different food selections, by pointing at items on communication board with his elbow as measured by the parapro's tracking sheet. = **I** Student will improve expressive language. = **O** **6.** Student will reduce aggressive behavior toward others (hitting, kicking, throwing), as evidenced by a reduction in referrals to the office for aggressive behavior from six to none for a nine-week grading period. Measured by written referrals. = **I** When frustrated, student will respond with nonaggressive behavior in four out of five opportunities as measured by behavior tracking. = **O**

	7. Given homework at student's academic level, she will complete and submit 90% of required assignments for each content area class by the end of the fourth quarter, as measured by the teacher grade book. = **I** Student will turn in her homework. = **O** **8.** When provided a visual cue, the student will complete three reciprocal turn-taking behaviors with a peer without verbal protest in four targeted activities during the preschool day. Currently, the student completes one reciprocal turn-taking behavior with a peer given six visual and verbal cues while verbally protesting an average of ten times per activity. = **I** Student will take turns appropriately 100% of the time. = **O**
300.320(a) (6)(ii) SF, SASF, SCSF **60-Day Correction**	The IEP documents the student's eligibility for Alternate Assessments. **Student File Review Method:** If the IEP team determines eligibility for the student to participate in Arizona's Alternate Assessment(s), then the most current Arizona Alternate Assessment Eligibility Determination Form should be in the student's file. This includes agreement/disagreement from all IEP team members. (Could be documented in a variety of ways; through signatures, PWN, etc.) Examples: • Current AZ Alternate Assessment Eligibility Form is in the file and is fully completed to show eligibility for the Alternate Assessments. = **I** • Form is in the file but is not fully completed. = **O** • Form is not in the file. = **O** • Mark this item **U** if the student is not eligible for Alternate Assessments.

300.320(a)(2)(ii) SF, SASF, SCSF	For a student taking alternate assessments only, the IEP shall include short-term instructional objective(s) or benchmark(s) for each goal stated. **Student File Review Method:** Determine if the IEP of a child who takes alternate assessments aligned to alternate achievement standards includes a description of benchmarks or short-term objectives. • Mark this item **I** if benchmark(s)/short-term objective(s) are present for all goals. • Mark this item **O** if there are none. • Mark this item **O** if benchmark(s)/objective(s) are missing for any goals. • Mark this item **U** if the student is not eligible for alternate assessments.
300.320(a)(3)(ii) SF, SASF, SCSF	The current IEP includes a description of when periodic reports on the progress the child is making toward meeting the annual goals (such as through the use of quarterly or other periodic reports, concurrent with the issuance of report cards) will be provided. The current progress report was provided to the parents as outlined in the IEP and included a measurement of progress toward IEP goals. **Student File Review Method:** Review the current IEP to determine if there is a description of when progress reports will be provided to parents. Review the most recent progress report to determine if it was provided in accordance with the timeline described in the IEP. Timeline for progress reporting should be understandable to the parent. If multiple instances are documented in the IEP, then there should be evidence of the progress report for all instances. Information should be provided for each goal and the rate of progress should be reported in a manner consistent with the PLAAFP and/or the associated goals. For recently implemented IEPs, progress reporting is still required for new goals even if the student's progress is still at baseline. If there is not a description of when progress reports will be provided, mark this item **O**. If the current progress report was not provided in accordance with the timeline described in the IEP, mark this item **O**. If annual measurable goals are out, mark this item **O**. Examples: **1.** At the end of the first grading period, student is now able to define 40% of technical terms. = **I** Student is doing well on this goal. = **O**

	2. Student has demonstrated ability to follow three-step directions three times per week. = **I** Student is doing much better at following directions. = **O** **3.** At the end of the third grading period, student has averaged 87 words per minute with three errors over the last four trials. = **I** Student's fluency skills have greatly improved. = **O** **4.** Student can answer an average of 9 of the 20 problems correctly over 5 trials. = **I** Student's math progress: AP (Adequate Progress) = **O** **5.** At the end of the first grading period, student independently ordered a dessert each day. With verbal encouragement from the aide, student also ordered an additional different item each day. = **I** Student eats two things for lunch each day. = **O** **6.** During this grading period, student had two referrals for aggressive behavior. = **I** Student continues to have problems with aggression at school. = **O** **7.** Student's homework assignments completed and turned in this quarter: science 93%, social studies 50%, math 50%, and language arts 12%. = **I** Student is doing much better with assignments. = **O** **8.** Over four targeted activities, the student currently completes one turn-taking behavior with an average of four visual cues and six verbal protests per activity. = **I** Skill not yet introduced. = **O**

III.A.4 Special Education and Related Services	
300.18(b) 300.39 300.320(a)(4) ARS 15-763.A ARS 15-183(C)(5) & (E)(5) R7-2-401.G.4 SF, SASF, SCFS	The IEP describes the specially designed instruction (special education services) to be provided. **Specially designed instruction** (SDI) means "adapting, as appropriate, to the needs of a student, the content, methodology, or delivery of instruction to address the unique needs that result from the student's disability and to ensure access to the general curriculum as identified in the academic standards adopted by the state board of education." **Student File Review Method:** Review the entire IEP for a clear description of the specially designed instruction that adapts, as appropriate, to the needs of a student, the content, methodology, or delivery of instruction to address the unique needs that result from the student's disability and to ensure access to the general curriculum. Review the following items **when general education or other non-special education certified providers are noted in a student's individualized education program (IEP) as the service provider for the specially designed instruction:** • An explanation of why the use of a general education teacher or other non-special education certificated provider is appropriate to meet the needs of that specific student and to ensure access to the general education curriculum. • An explanation of how certificated special education personnel will be involved in the planning, progress monitoring, or delivery of SDI. • Verify the certification of the special education teacher of the child present at the IEP meeting through the Arizona Department of Education's Online Arizona Certification Information System (OACIS) • Verify the certification of the individual who is providing SDI, if different from the special education teacher of the child (not applicable for Charter PEAs). Examples: • Reading Comprehension: Clarification: Student receives small group instruction in pre-teaching vocabulary. = **I** • Social interaction instruction in pragmatics in the general education classroom on turn-taking with peers = **I** • Pre-teaching for comprehension in content areas = **I** • Instruction on utilization of using manipulatives for math calculation (operations) = **I** • Instruction in self-regulation strategies = **I** • Articulation, voice, or fluency therapy = **I** • Time management skills on the worksite = **I** • Expressive/receptive language therapy = **I** • Individualized instruction in study and organizational skills = **I**

	The following examples would be considered noncompliant **if there is no evidence anywhere in the IEP of how this is individualized to the student's needs.** • SLD resource = **O** • Modeling = **O** • Explicit, small group instruction in math = **O** • Repetitive. small group instruction in writing = **O** • Direct instruction in reading strategies = **O** • Multiple teaching methods in math calculation = **O** • Inclusion = **O** • Preschool = **O** • Multiple instructional methods in written expression = **O** • Speech/Language Therapy = **O** • Multiple teaching strategies to identify the main idea = **O** • Manipulatives, extended time, in a small group setting = **O**
300.34(a) 300.320(a)(4) R7-2-401.G.4 SF, SASF, SCSF	The IEP includes the consideration of related services to be provided. **Student File Review Method:** Determine if the IEP team considered the need for related services. If there are no related services indicated on the IEP, there must be some notation that the team considered and rejected the need. If the team determined that related services were needed, the services must be clearly specified in the IEP. Transition services may be considered as a related service if they are required to assist a child with a disability to benefit from special education. Examples: • Door-to-door transportation = **I** • Educational interpreter = **I** • Occupational therapy (sensory integration) = **I** • Occupational therapy = **O** • Counseling on stress management strategies = **I** • Speech therapy (expressive language) = **I** • Speech = **O** • Parental counseling and training = **I** • Team considered related services: none were needed = **I** • N/A = **O**
300.320(a)(4) 300.324(a)(3)(ii) 300.34(a) 300.42 R7-2-401.B.1,13 SF, SASF, SCSF, SCSEAI	The IEP includes any supplementary aids, services, and program modifications to be provided. **Student File Review Method: Review the entire IEP** to determine if supplementary aids and services are to be provided or if program modifications are to be made. Supplementary aids and services are defined as "aids, services, and other supports that are provided in general education classes or other education-related settings to enable students with disabilities to be educated with

	nondisabled students to the maximum extent appropriate." Examples include, but are not limited to, orientation and mobility training, interpreter assistance, assistive technology devices or services***,*** and instructional aides. Program modifications are defined as "substantial changes in what a student is expected to learn and to demonstrate. Changes may be made in the instructional level, the content, or the performance criteria. Such changes are made to provide a student with meaningful and productive learning experiences, environments, and assessments based on individual needs and abilities." Examples: • Instruction in using speech to text for writing assignments = I • Student will use a pencil grip whenever she is working on a written assignment. = **I** • Student may use a calculator for math problems. = **I** • Student will utilize a daily communication book (or homework assignment notebook) that will move between home and school with relevant notes for the parent/teacher. = **I** • To promote student's continued independence, leisure books with page turning adaptations will be available during non-instructional time. = **I** • Student will require an aide for toileting assistance. = **I** • A social skills coach will meet with student twice a week during P.E. = **I** • Student will have a sign language interpreter during classroom discussions. = **I** • Considered and not required at this time = **I** • N/A = **O** • Left blank and not addressed elsewhere in the IEP = **O**
300.320(4) 300.324(a)(3)(ii) SF, SASF, SCSF, SCSEAI	The IEP includes a statement of supports that will be provided to school personnel. **Student File Review Method:** Determine if appropriate supports were considered. This area of the IEP should not be left blank but may be incorporated in various locations in the document. Examples: • Considered, but not needed at this time. = **I** • In-service training on tube feeding. = **I** • Staff and parent in-service on use of assistive technology device. = **I** • Special education consultation on modifications for weekly tests in spelling. = **I** • Paraprofessional training on positive behavioral supports. = **I** • Special education consultation. = **O** • N/A = **O** • Teacher training. = **O** • Providing copy of IEP. = **O**

300.320(a)(7) SF, SASF, SCSF	The location, frequency, and duration of each special education service, related service, supplementary aid and service, support for school personnel, and modification is included. **Student File Review Method**: **Location** of services generally refers to the type of environment that is the appropriate place for provision of the service. The location should not be a specific room (e.g., Mrs. Smith's class) but should reflect the type of location (special education classroom, general math class). **Frequency** generally refers to how often a child will receive a service (such as the number of times per day or per week). **Duration** generally refers to how long each session will last (such as the number of minutes). **This item cannot be marked U.** Examples: Location: • Special Education Classroom = **I** • General Education Classroom = **I** • General Education Classroom/Special Education Classroom = **O** • Campus = **O** • Mr. Wilson = **O** Frequency and duration: • Pre-teaching vocabulary: Three 30-minute sessions per week = **I** • Pre-teaching vocabulary: 90 minutes per week = **O** • Receptive language therapy: Four 10-minute sessions per month = **I** • Receptive language therapy: 40 minutes/month = **O** • Counseling: Two 30-minute sessions per month = **I** • Counseling: 3500 minutes/yr. = **O** • Calculator: daily for math calculation activities = **I** • Calculator: as needed = **O** • Consultation for modifying assignments: Once weekly for 30 minutes = **I** • Consultation for modifying assignments: as needed = **O** For more information on location, frequency, and duration, refer to the Frequency and Duration Hot Topic from March 2018.
300.106 ARS 15-881 R7-2-408 SF, SASF, SCSF	The IEP includes consideration of the need for extended school year services (ESY). **Student File Review Method**: Determine if the decision about the need for ESY was made on an individual basis at the IEP meeting. ESY cannot be excluded on the basis of a particular category of disability, the age of the student, or the availability of PEA resources. If the IEP indicates that ESY eligibility will be determined at a later date, a decision for services during the summer must be

	made no later than 45 days prior to the last day of school. **This item cannot be marked U.** If there is an indication that ESY services were considered on an individual basis, mark this item **I**.
300.320(a)(5) SF, SASF, SCSF	The extent to which the student will **not** participate with nondisabled peers is explained. **Student File Review Method:** Determine if the IEP contains an **explanation** of the extent to which the student will not be involved with nondisabled students and why. This could be documented in a variety of ways or places within the IEP. The explanation must be individualized. The student's LRE must be determined on an individualized basis dictated by student's strengths/needs and **not** on a certain disability category, disability driven program, or a PEAs staffing. **This item cannot be marked U.** Examples: • Given the student's needs and a high level of distractibility, the team determined that the instruction should be provided in the special education setting, where he will not be participating with nondisabled peers during math services. = **I** • Student is in a special education classroom four hours a day because of the student's aggressive behaviors and a need for lower staff-to-student ratio; the student will not participate with nondisabled peers during that time. = **I** • Student is in special education classroom for one class period a day. = **O** • Student will not be with nondisabled peers when student is with special education teacher for instruction. = **O** • Student needs significant modifications to the curriculum that can only be delivered in the special education classroom. He/she will only have access to typical peers during lunch, specials and recess. = **O**
ARS 15-943(2)(b) ARS 15-1042 20 U.S.C. 1416(a)(3)(A)	Student's reported LRE matches current IEP placement. **Student File Review Method:** Compare the current LRE Code reported on the SPED 72 to the current placement documented in the most recent IEP**.** **Examples:** • SPED 72 reports student LRE Code as A and current IEP shows placement with nondisabled peers for more than 80% of the day. = **I** • SPED 72 reports student as LRE Code A, but most recent IEP changed placement with nondisabled peers to less than 40% (LRE C) of the day. = **O** • IEP documentation shows student placed in a self-contained

	environment with no exposure to nondisabled peers and SPED 72 reports student as LRE Code as C. = **I** • IEP documentation shows student being educated in an environment where there is no exposure to nondisabled peers, but LRE Code is reported as A. = **O**

III.A.5 Other Considerations	
300.324(a)(2)(i) SF, SASF, SCSF, SCSAI, SCSEAI	The IEP team considered the use of positive behavioral interventions and supports and other strategies to address behaviors that impede the student's learning or the learning of other students. **Student File Review Method:** Determine if the IEP team considered whether the student needs behavioral interventions. If there is documentation that a student has displayed behavior that has impeded the student's learning or that of others, this area must be addressed in the IEP. The term "behavior" includes actions such as consistent tardiness, failure to complete homework, and self-destructive but non-confrontational actions. Evidence may be located throughout the IEP, such as in the annual goals, PLAAFP, accommodations and/or modifications, services to be provided, and behavior plans. **This item cannot be marked U.**
300.320(a) (6)(i) SF, SASF, SCSF, SCSAI, SCSEAI	The IEP includes documentation of any accommodations in the administration of state- or PEA-wide assessments. **Student File Review Method:** Determine if the IEP contains documentation of the accommodations used for state and district assessments. Standard and/or universal accommodations must have a relationship to the accommodations with the student during instruction.
300.324(a)(2)(iv) SF, SASF, SCSF	The communication needs of the student were considered. **Student File Review Method:** Determine if the communication needs of the student have been considered within the IEP. **This item cannot be marked U.** Examples: • Student's stuttering increases when speaking before a group without notes. Student should be allowed to read classroom reports at the beginning of the year and gradually reduce dependency on reading as the year goes on. = **I** • Student uses simple signs to convey basic needs such as toileting and hunger. = **I** • Student has no needs in the area of communication. = **I** • N/A = **O**
300.324(a)(2)(v) SF, SASF, SCSF, SCSAI, SCSEAI	The assistive technology needs of the student were considered. **Student File Review Method:** Determine if consideration was given to the student's need for assistive technology, regardless of the student's disability. An **AT device** can be "any item that increases, maintains, or improves the functional capabilities of a student." **AT service** is the "direct assistance needed in the evaluation of the need for and the selection, acquisition, or use of an AT

	device." Devices can range from low to high tech. AT services may include training for staff in the use of the device(s). **This item cannot be marked U.**
300.324(a)(2)(ii) SF, SASF, SCSF	For students who are English learners (ELs), language needs were considered. Determine if the team documented their consideration of language proficiency (AZELLA or other formal/informal assessments). A student being previously withdrawn from EL due to SPED would not equate to him or her being proficient in EL, and documentation of impact of language would still be required. If there is evidence that the student is not proficient in English, there must be documentation of language needs. **Student File Review Method:** Mark the item only for a student who is an English language learner; otherwise, mark it with a **U.** Examples: • This is the student's first year in the USA and the primary language is Italian. Student should be taught using simple grammar with picture/graphic assists as much as possible. = **I** • Student has studied English for several years and has a good command of written language. However, he needs spoken information to be presented in short segments in order to check his understanding until oral proficiency is achieved. = **I** • Student is identified as an EL and the language needs were not considered. = **O** • Student is identified as EL (PHLOTE or other indications including WD due to SPED) and language needs are documented as considered and not needed. (There is no other documentation of needs elsewhere in the IEP.) = **O** For additional information specific to students previously WD due to SPED, please refer to the English Learners Hot Topic dated July 2019.
300.324(a)(2)(iv) SF, SASF, SCSF	For students who have a **hearing impairment**, the IEP includes consideration of the student's language and communication needs (including opportunities for direct communication with peers and professional personnel and direct instruction in the student's language or mode of communication). **Student File Review Method:** If a student does not have an HI, mark this item **U**. If student does have a HI, determine if the IEP team took into account the language levels and communication mode of the student when developing the IEP.

III.A.6 Beginning not later than the first IEP to be in effect when the child turns 16, documentation of required postsecondary transition components. Review the entire IEP for documentation of these components.

300.320(b)(1)

SF, SASF, DRSF, SCSF

60-Day Correction

Documentation of measurable postsecondary goals (**MPGs**) in the areas of education/training and employment, and when appropriate, independent living skills.

Student File Review Method: Review the IEP to determine if it includes measurable postsecondary goals in the following areas: education/training, employment, and, **when appropriate,** independent living skills. Goals must reflect the student's strengths, interests, and preferences, occur after high school, and be able to be measured. These areas may be combined into one goal or be contained in separate goals. The training/education and employment goals are required. The measurable postsecondary goal related to independent living is the only optional goal, and the IEP team determines if it is appropriate to include a goal in this area.

If the postsecondary goals are stated in such a way that one **could** measure the achievement of the goal after leaving high school, mark this item **I**.

If there is **no evidence of postsecondary goals, if the postsecondary goals are not measurable, if the required areas are not addressed,** or **if the goals are not postsecondary,** mark this item **O**.

Note: Record the specific reason(s) for noncompliance on the Student Form.

Training/Education Goals:

- Student wants to enroll in an apprenticeship program. = **I**
- Student will complete work adjustment skills training. = **I**
- Student will attend a teacher prep program. = **I**
- Student will audit a choir class at a local community college. = **I**
- Student will graduate from high school. = **O**
- Student is interested in landscaping. = **O**

Employment Goals:

- Student will work for a construction company. = **I**
- Student will be employed as a grocery clerk. **= I**
- Student likes fixing things and earning money. = **O**

Education/Training, and Employment Goals (combined):

- Student will enroll at a community college to receive training in order to become an engineer. = **I**
- Student will receive on-the-job training to develop skills as a framer. = **I**
- After graduation, student wants to move to Ohio to work for an uncle. = **O**

Independent Living Skills Goals:

- James will use an organizational tool to manage medical appointments. = **I**

	• Frank will access public transportation. = **I** • Trevor will use a communication device to access the community. = **I** • Student will live with a roommate. = **I** • Student wants to move away from home. = **O**
300.320(b) SF, SASF, DRSF, SCSF	Documentation that measurable postsecondary goals are updated annually. **Student File Review Method:** Review the IEP to determine if postsecondary goals were addressed/updated in conjunction with the development of the current IEP. If postsecondary goal(s) for education/training, employment, and independent living (as needed) are documented in the student's current IEP, mark the item **I**. If postsecondary goal(s) for education/training, employment, and independent living (as needed) are not documented in the student's current IEP, mark the item **O**.
300.320(b)(1) SF, SASF, DRSF, SCSF	Documentation that the measurable postsecondary goal(s) (**MPG**s) were based upon age-appropriate transition assessment(s). **Student File Review Method:** Look for documentation that at least one age-appropriate transition assessment was used to provide information on the student's needs, **strengths**, preferences, and interests regarding the postsecondary goal(s). The information may be located in multiple places within the IEP including the PLAAFP or the transition services page. No specific number of assessments is required, and they may be formal or informal. Assessment data should clearly support student strengths, preferences, and interests as they relate to the MPGs. Formal or informal transition assessment(s) should be selected based on the **individual needs** of the student. For additional information on secondary transition assessments, view the secondary transition webpage, specifically the transition assessment padlet. *Strengths*: Evidence of skills needed to perform the job/career *Preference*: Requires action or effort from the student towards their goals, activities or interests (this could include completion of aligned transition services or activities) *Interest*: Expression of the student's likes or wants (is not indicative of strengths or preferences) If the IEP contains documentation of **how assessment information was used** in the development of the postsecondary goal(s) (whether measurable or not), mark this item **I**. If there is simply a boilerplate statement, or if there is no documentation of any age-appropriate transition assessment(s), mark this item **O**. For additional information on secondary transition assessments view the secondary transition webpage, specifically the transition assessment padlet.

300.320(b)(2) SF, SASF, DRSF, SCSF	Documentation of at least one transition service/activity that focuses on improvement of the academic and functional achievement of the student to facilitate movement from school to post-school, as identified in the measurable postsecondary goals. For each postsecondary goal, there must be documentation of a type of instruction, related service, community experience or development of employment and other post-school adult living objectives, and, if appropriate, acquisition of daily living skill(s) and provision of a functional vocational evaluation listed in association with meeting the postsecondary goal(s). Strategies may address activities performed on the school campus and during school hours as well as off-site and during non-school hours. The IEP team does not need to include all components if they are not appropriate for the student. Services/activities are only needed in areas that will reasonably enable the student to meet the measurable postsecondary goals. **Student File Review Method:** Review the IEP for evidence of at least one transition service/activity to assist the student in meeting his/her measurable postsecondary goals. One transition service/activity may support multiple measurable postsecondary goals. Examples: **Instruction:** • Receive instruction related to applying to school of choice and researching scholarship opportunities. = **I** • Intensive reading instruction to prepare for postsecondary education. = **I** • Receive instruction to use assistive technology device. = **I** • Teach self-monitoring skills related to on-task behavior. = **I** • Required courses for graduation. = **O** **Community Experiences:** • Investigate youth volunteer programs; open a bank account; visit the mall and food court with a provider to identify stores and meals of choice. = **I** • Use Community Information and Referral to identify three strategies to resolve a transportation concern. = **I** • Field trips. = **O** **Related Services:** • Visit potential post-school providers of physical therapy; explore city transportation options. = **I** • Participate in speech/language services to improve expressive language skills. = **I** • Identify adult services to support orientation and mobility needs after graduation. = **I** • Related services will be provided as needed. = **O** **Employment:** • Participate in two job shadow experiences. = **I** • Work in unpaid position on campus. = **I**

	• Obtain part-time or summer employment (in a position related to the measurable postsecondary goals). = **I** • Complete Vocational Rehabilitation referral and coordinate with DDD to ensure supports are in place to assist with future employment goals. = **I** • Consumer Math; Job Service Skills. = **O** **Post-school Adult Living:** • Learn about expectations for eating in a restaurant; apply for housing assistance; visit adult service providers in the community. = **I** • Meet with SSI representative to determine possible financial benefits. = **I** • Visit three group/supported living programs for postsecondary independent living needs. = **I** • Apartment. = **O** **Daily Living Skills (if appropriate):** • Learn to prepare meals, develop and follow monthly budget, and (with parental support) select a primary care physician and/or dentist. = **I** • Demonstrate safety skills in the community. = **I** • Hygiene. = **O** **Functional Vocational (if appropriate):** • Develop a vocational profile based upon functional information; participate in situational work assessments at employment sites related to student's interest. = **I** • Research job expectations for identified employment postsecondary goal. = **I** • Complete nonverbal modified assessment of adaptive behaviors, career interests, and career skills. = **I** • Retake the ASVAB to improve scores to be eligible to participate in the electronics program in the military. = **I** • Conduct a functional vocational evaluation. = **O**
300.320(b)(2) SF, SASF, DRSF, SCSF	Transition services include courses of study that focus on improving the academic and functional achievement of the student to facilitate the movement from school to post-school. **Student File Review Method:** Look for documentation that transition services include course(s) of study that align with the student's postsecondary goal(s). This should include course(s) that lead to a diploma but should not be a generic or general graduation plan. A single course can support more than one MPG. If there is evidence of a course title that clearly aligns with the student's MPGs (student MPG is to be a chef and "Culinary Arts" is listed as a course), mark this item **I** If the course of study only includes courses required for graduation and there is no documentation clarifying how the course(s) support the MPGs, mark this item **O.**

	If the courses of study do not align with the student's identified measurable postsecondary goals and/or there is no clarifying documentation as to how the course(s) support the student's MPGs, mark this item **O**.
20 U.S.C. 1416(a)(3)(B) SF, SASF, DRSF, SCSF	Documentation of annual IEP goals that will reasonably enable the student to meet the postsecondary goals. **Student File Review Method:** Review the IEP for documentation of annual goal(s) that is/are related to the student's transition service needs. At least one annual IEP goal that supports each measurable postsecondary goal is required. One annual IEP goal (whether measurable or not) can support multiple postsecondary goals. Examples: **Education/Training Goals** • **Measurable Postsecondary Goal:** John will complete on-the-job training for telemarketing. **Annual Goal:** John will orally read 100 wpm with no more than an average of three errors. He currently reads 75 wpm with an average of five errors. **= I** • **Measurable Postsecondary Goal:** Jane will participate in vocational training with medical and therapeutic supports. **Annual Goal**: Jane will increase tolerance of hand-over-hand assistance from thirty minutes to forty-five minutes during three out of five sessions per week with the occupational therapist. = **I** **Employment Goals** • **Measurable Postsecondary Goal:** Jill will work as a veterinary assistant. **Annual Goal:** Jill will correctly define 90% of veterinary terms found in veterinary technical manuals with the aid of an automatic thesaurus. Currently Jill correctly defines veterinary terms with 30% accuracy. = **I** • **Measurable Postsecondary Goal:** James will work on a production line. **Annual Goal:** James will follow three-step directions. Currently James is able to follow two-step directions. = **I** **Independent Living Goals:** • **Measurable Postsecondary Goal:** Jaime will live independently in a semi-supervised apartment. **Annual Goal:** Jaime will order a school lunch by pointing at items on a communication board with her elbow. = **I** • **Measurable Postsecondary Goal:** Jack will live independently in an apartment. **Annual Goal:** Jack will correctly solve 10/10 word problems related to money. Currently, Jack is able to correctly solve 1/10 word problems related to money. = **I**

300.321(b)(1) SF, SASF, DRSF, SCSF	Documentation that the student was invited to the IEP meeting when postsecondary transition services were being discussed. **Student File Review Method:** Look for documentation that the student was invited to the meeting. If the student was in attendance or there is clear evidence that the student was invited, mark this item **I**. If there is no documentation evident, mark this item **O**.
300.321(b)(3) SF, SASF, SCSF	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting **after consent from the parent or the student who has reached the age of majority.** **Student File Review Method:** For the current year, is there evidence in the IEP that representatives of any of the following agencies (including, but not limited to, these listed) were invited to participate in the IEP development: postsecondary education, vocational education, integrated employment (including supported employment), continuing and adult education, adult services, independent living, or community? If so, was consent obtained from the parent (or student, for a student at the age of majority) prior to the meeting invitation? • There is written evidence of consent of parent or adult student **and** clear evidence that the agency was then invited after consent. = **I** • There is written evidence of consent but outside agency was not invited. = **O** • There is an agency invited but no evidence of written consent. = **O** • The IEP team determined that no outside agency was needed. = **U**
III.A.7 Additional Postsecondary Transition Components	
WIOA Section 511 Letter to Pugh SF, SASF, SCSF	IEP progress reports for transition-aged students must address the student's progress toward meeting his or her postsecondary goals and must also include documentation of the transition service(s) provided to the student during the progress reporting period. **Student File Review Method:** Look for documentation that indicates progress on transition service(s)/activity(ies) during the **most recent progress reporting period**. **Documentation can be included along with the progress reporting for annual goals or as a separate report.** **Examples:** • Guidance counselor has assisted student in completing 2 college applications. **= I** • Student has not completed any college applications. = **I** • Student has scheduled a ride along with the Phoenix Police Department. = **I** • Student went on a ride along with Phoenix PD in July 2019. = **I** • Student has not completed any activities. = **I (with TA)** • Student has completed 2 out of 4 activities. = **O** • No evidence of progress on activities in student file. = **O**

300.320(c) SF, SASF, SCSF	By age 17, the student's IEP must contain a statement that the student has been informed of the rights that will transfer to the student at age 18. **Student File Review Method:** Look for a statement in the IEP that the parent and student have been informed of the rights that will transfer to the student upon reaching the age of majority. Documentation may consist of items such as prior written notice or a statement within the IEP. If the student is 17 and there is evidence that the student and parent have been informed that rights transfer, mark this item **I**. If the student is 17 and there is no evidence that the student and parent have been informed that rights transfer, mark this item **O**. This item may be marked **U** for any student not yet age 17 or for any student whose IEP was developed after his/her 18th birthday. For information related to acceptable electronic signatures see the Hot Topic regarding the use of electronic signatures, dated July 2020.

300.305(e)(2)&(3) SPW	There is documentation of a summary of academic achievement and functional performance including recommendations to assist an exiting student in meeting her/his postsecondary goals. **Agency Review Method:** Look for documentation that includes **three components**: summary of academic achievement, summary of functional performance, and recommendations to assist the student in meeting postsecondary goal(s). **Documentation must be more extensive than scores or grade-level equivalents. All areas pertinent to the student's needs must be addressed.** Ask the PEA for copies of the summary of academic achievement and functional performance developed for students who have graduated/aged out at the end of the previous school year. **If the PEA has only one high school,** all summaries must be reviewed. **If there are multiple campuses,** use the PEA's list of exited students to select a minimum of two summaries from each campus. If the PEA has documentation of summaries of academic achievement and functional performance and recommendations, mark this item **I**. If PEA has documentation of summaries of academic achievement and functional performance, but not all three components are included, mark this item **O**. If the PEA had no students aged 16–21 graduating/aging out last year, mark this item **U**.

III.A.8 Documentation That IEP Reflects Student Needs	
300.320(a) (1-2) SF, SASF, SCSF, SCSI **60-Day Correction**	Documentation that IEP reflects individual student needs. This item is looking at the cohesiveness of the IEP as a whole and requires that the IEP reflect the student's individual needs. **Student File Review Method**: There should be a clear alignment between the student needs (as articulated in the evaluation and PLAAFP) and the goals and services identified on the IEP. Consider all of the following: • Evaluation information (if conducted within the last year) • PLAAFP • IEP goals • Services (including extreme changes in service delivery model from previous IEP) • Secondary transition components Mark this item **O** if the IEP does not enable the student to receive a FAPE. Record the specific reason(s) for noncompliance on the Student Form.

SECTION IV: Procedural Safeguards/Parental Participation

IV.A.1 Notices Sent at Required Times and in a Language and Form That Is Understandable to Parents

300.504(a) R7-2-401.I.1 SF,SASF, SCSF, SCSI **60-Day Correction**	Procedural safeguards notice provided to parents within the last 12 months. **Student File Review Method:** If documentation is evident that the parent was given a copy of a procedural safeguards notice at least one time during the current year, mark this line item **I**.
300.503(c) SF, SASF, SCSF, SCSI **60-Day Correction**	Required notices are provided in the native language of the parent. **Student File Review Method:** Review the file for copies of the most recent notices (invitations to meetings, procedural safeguards notices, and prior written notices) sent to the parents. Compare the language of the notices to the primary language indicated on the PHLOTE. If the notices were provided in a language other than the parent's native language, there must be documentation of the parent's request for notices to be provided in English. The language of the **student** must be considered when the student is invited to the IEP.

IV.A.2 PWN Sent at Required Times and Contains Required Components

When considering the line items within the PWN, be sure to review the PWN in its entirety. Compliance calls should be made based upon the PWN content as a whole.

300.503(a) SF, SASF, SCSF	Prior written notice provided to parents at required times. **Student File Review Method:** Determine when the PWN should have been provided at the required times **only in the last twelve months** for the file being reviewed. Prior written notice (PWN) must be provided at the following times: • When a student is **referred** for an **initial** evaluation. • **Before** obtaining consent for the collection of additional data in the evaluation process. This is the proposal to collect additional data for evaluation. • After the team has determined the eligibility of a student for special education. This completes the evaluation process. • When there is a change or refusal to change the provision of FAPE before implementation of an initial IEP or before a revised IEP can be implemented. In the case of a phase out or graduation with a regular diploma, a parent should know that all special education services will cease. • When there is a change or refusal to change the educational placement, including an **initial placement**. • Prior to the eleventh day of suspension and/or before an accumulation of suspensions constituting a pattern and/or at the beginning of an expulsion, all of which require a change in services and the provision of FAPE. Prior to placement in an interim alternative educational setting (IAES), a PWN must

	be issued. • Prior to ceasing services when a parent revokes consent for the provision of special education services. Verify the purpose of each PWN provided for specified events. Use this information to determine compliance. If a single notice covered multiple purposes, determine process compliance (notice given at the correct time) for all that are appropriate. If the PWN was given at the appropriate time, mark this item **I**
300.503(b)(1) SF, SASF, SCSF	The PWN includes a description of action(s) proposed or refused by the PEA. All actions and refusals must be identified, should be student-specific, and should accurately reflect decisions made. **Student File Review Method:** Documentation must include a description of actions proposed or refused. Examples: • Team proposes to determine Jaime as eligible for special education as a student with a hearing impairment. Team also proposes to implement the IEP that was developed and provide special education prior to Jaime's 3rd birthday (2 yrs. 9 mos.). = **I** • The team proposes to implement the IEP that was reviewed and revised on 3/17/2021. = **I** • Hannibal's IEP was revised, and additional services and behavior goals have been added. = **I** • NA = **O** • Andria doesn't want to come to school. = **O**

300.503(b)(2) SF, SASF, SCSF	The PWN includes an explanation of why the agency proposed or refused to take action. **Student File Review Method:** The statement must be student-specific (i.e., individualized to the student). Examples: • Jaime met eligibility criteria and the team determined that he was in need of specially designed instruction. Providing Jaime with preschool services at 2 yrs. 9 months will support access to identified services in the IEP at the earliest allowable opportunity and increase instructional support opportunities. = **I** • Based on Liam's progress on goals, the IEP has been reviewed and revised to reflect current level of need. = **I** • Based on Hannibal's recent behavioral incidents, the team determined that additional services and supports were needed. = **I** • NA = **O** • The law requires us to review IEPs annually. = **O**
300.503(b)(6) SF, SASF, SCSF	The PWN includes a description of any options considered and why those options were rejected. **Student File Review Method:** Documentation must relate specifically to the student and must be individualized. Examples: • The team considered finding Jaime eligible as a student with a speech-language impairment but determined that those needs would be best addressed as a related service. Not providing services until 3 yrs. limits the amount of time Jaime could benefit from instruction and inclusive settings with peers. = **I** • The team considered increasing support in math; however, he has exceeded expected progress and no additional services are necessary at this time. = **I** • Team considered placement in a more restrictive environment, but determined that with additional services and supports, the home school is still able to meet Hannibal's needs. = **I** • We considered not revising the IEP, but it is mandated by law. = **O** • NA = **O** • The alternate school is full. = **O**

300.503(b)(3) SF, SASF, SCSF	The PWN includes a description of evaluation procedures, tests, and records used as a basis for the decision. **Student File Review Method:** Documentation must support the individualized basis for the decision. Examples: • Eligibility was determined based on the information obtained from the comprehensive developmental assessment and audiological report. The IEP was developed based on the evaluation results, developmental milestones, IEP team input, and recommendations from the audiologist. = **I** • The team's decision was based on the classroom-based assessments and progress on math goals. Liam also exhibited improvement on the most recent district benchmark assessments. = **I** • Team reviewed incident reports, suspension data, counselor reports, current evaluation, and performance in the classroom. = **I** • NA = **O** • Andria's counselor said she has always had these problems with attendance. = **O**
300.503(b)(7) SF, SASF, SCSF	The PWN includes a description of any other factors that are relevant to the agency's proposal or refusal. **Student File Review Method:** Documentation related to other factors must be evident and individualized for the student. Examples: • Audiology report indicated that Jaime is scheduled for another audiological exam in 3 months. Parent will provide the team with updated information. = **I** • He is doing well in school and has begun participation in extracurricular activities. = **I** • The family disclosed that they are receiving in home supports from Jewish Family Services. PEA obtained parent's consent for release of information and will contact Jewish Family Services. = **I** • There are no other relevant factors. = **O** • This school has a strict discipline and attendance policy. = **O**

300.503(b)(4) SF, SASF, SCSF	If the PWN is issued for any reason other than an initial referral for evaluation, it includes a statement of how a copy of procedural safeguards notice (PSN) can be obtained. **Student File Review Method:** There must be a statement related to contact information (*name and number of whom to contact*) within the district/at the school site so the PSN can be obtained. If the notice was for initial referral for evaluation, mark this item **U**.
300.503(b)(5) SF, SASF, SCSF	The PWN includes sources to obtain assistance in understanding the notice. **Student File Review Method:** There must be contacts available, including the address and telephone numbers for several parent resources, which may include Arizona Department of Education/Exceptional Student Services, Arizona Center for Disability Law, or Raising Special Kids. One of the sources could be the PEA, including the PEA's phone number and a contact name.

IV.A.3 Discipline Procedures and Requirements—<u>ONLY FOR SUSPENSIONS MORE THAN 10 DAYS THAT OCCURRED WITIHN THE LAST 12 MONTHS</u>	
300.530(h) SF, SASF	For a student who has been suspended for more than 10 days in the school year, the parent was notified on the day the decision was made. **Student File Review Method:** Review the student's file to determine if there is documentation that the parents were contacted in person or by telephone. This contact must be made on the same day as the decision to take the action. If such a record is found, mark this item **I.** If no record is found, mark this item **O.**
300.530(c) 300.530(e) SF, SASF	If a change in placement has occurred because of behavioral issues, the IEP team conducted a manifestation determination meeting within 10 school days to determine the relationship between the student's disability and behavior. **Student File Review Method:** If the team (PEA, parent, and relevant members of the IEP team as determined by the parent and the PEA) conducted a review and made a manifestation determination, mark this item **I**. If there is no documentation that a meeting occurred or if no determination was made, mark this item **O**.
300.530(f)(1)(i) SF, SASF **60-Day Correction**	If the behavior was determined to be a manifestation of the disability for a student who has been suspended for more than 10 days in the school year, a functional behavioral assessment (FBA) was conducted and a behavior intervention plan (BIP) was implemented **or**, if already in place, the behavior intervention plan was reviewed and modified, as necessary. **Student File Review Method:** If the behavior was determined to be a manifestation of the disability and an FBA was conducted or the BIP reviewed, mark this item **I**. If the behavior was **not** a manifestation of the disability, mark this item **U**.

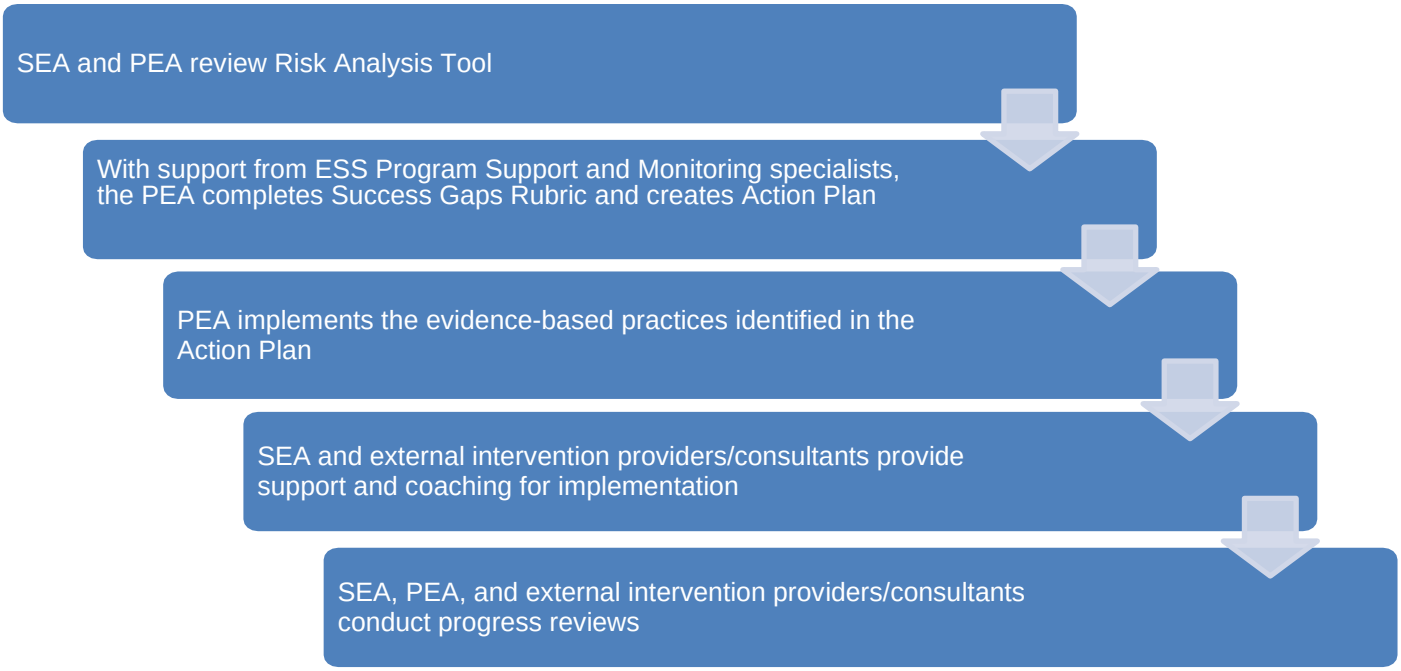
300.530(f) & (i) SF, SASF **60-Day Correction**	If, as a result of a disciplinary action, the IEP team determined that behavior **was a manifestation** of the student's disability, the student was returned to the placement from which the student was removed, unless the removal was for possession of a weapon, drugs, or infliction of serious bodily injury or when the parents and PEA agree to the change of placement. **Student File Review Method:** If the student was returned to the placement from which the student was removed, unless the parent and the PEA agreed to a change of placement, mark this item **I**.
300.530(d) SF, SASF **60-Day Correction**	Review the file to determine if the student who has been suspended or expelled continued to be provided FAPE, including services and adaptations described in the IEP. **Student File Review Method:** Determine if there is a description indicating how FAPE will occur. If a new IEP or addendum was not written, there should be meeting notes or other documentation (PWN) regarding the services that will be provided and how they will be provided. If one or the other is documented, mark this item **I**.

Tab Insert

STATE SYSTEMIC IMPROVEMENT PLAN (SSIP)

State Systemic Improvement Plan (SSIP)

SSIP Process (once PEA is identified for SSIP participation)



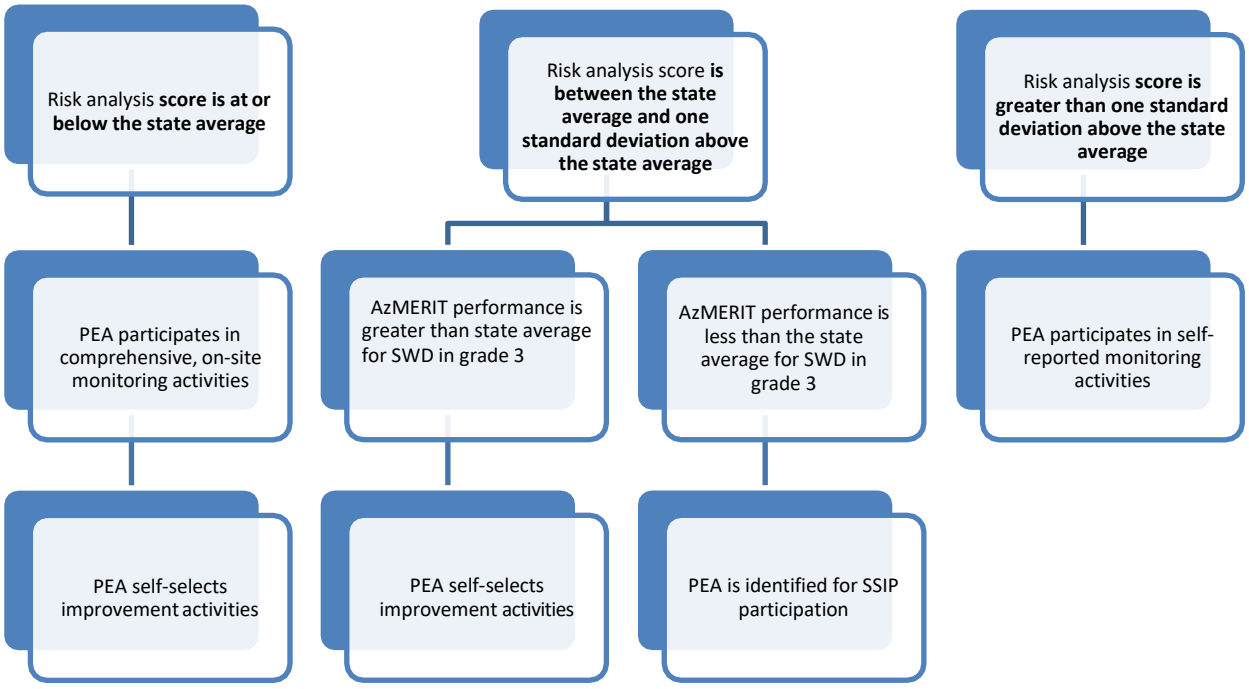
The infrastructural alterations made to the state's monitoring system and improved Risk Analysis tool have allowed for a more targeted selection process for PEAs. Each PEA's risk analysis will be reviewed annually to provide recognition of improvements as well as further growth opportunities. During year four of the six-year monitoring cycle, each PEA's risk analysis results will be used to differentiate monitoring activities and identify PEAs that have met the criteria for participation in the SSIP. Criteria for SSIP participation are as follows:

- PEA serves grade 3
- PEA n-size for grade 3 is 10 or more special education students
- PEA reading proficiency rate for grade 3 falls below the state target for students with disabilities

Regardless of their assigned monitoring year, PEAs that meet the SSIP criteria may be placed in year four and required to participate. Movement to year four of the monitoring cycle is based on a myriad of data, including, but not limited to, fluctuations in the Risk Analysis score, changes in student performance, specialist recommendation, identification and recommendation by other ADE units, and PEA request.

First, results of the Risk Analysis must indicate that the PEA has risk, along with a need in the area of English Language Arts (ELA) proficiency. Risk is determined using standard deviations from the average on the PEA Risk Analysis score. While the exact numbers should vary slightly from year to year, the formula used will remain the same. If the PEA's risk analysis score is within one standard deviation above and the state average range and the PEA meets the SSIP criteria (grade levels and n-size), then proficiency on the AzMERIT English Language Arts Assessment will be reviewed. PEAs that meet the SSIP criteria and demonstrate reading proficiency below the state average for students with disabilities in grade 3 will be identified as participants.

Selection of Sites



Timelines for PEA SSIP activities are as follows:

August 27, 2021, or sooner	PEAs participating in **years 1-3** of SSIP, submit completed SSIP *Success Rubric and Action Plan*(pre-assessment) to their ESS Program Support and Monitoring specialist.
September 3, 2021, or sooner	PSM specialist will provide feedback to PEAs related to SSIP Success Gaps Rubric and Action Plan.
October 1, 2021, or sooner	PEAs participating in **years 1-3** will submit grade 3 ELA data to PSM specialist.
October 6, 2021, or sooner	PEAs participating in **year 2** will submit completed Evidence Based Practices (EBP) diagnostic tools (2 or more) to their PSM specialist.
November 26, 2021 or sooner	PEAs participating in **year 2** will submit completed Evidence Based Practices (EBP) diagnostic tools (2 or more) to their PSM specialist.
December 3, 2021, or sooner	PEAs participating in **years 1-3** will complete SSIP survey, and confirm completion of the survey with their PSM specialist.
February 1, 2022, or sooner	PEAs participating in **years 1-3** will submit grade 3 ELA data to PSM specialist.
March 4, 2022, or sooner	PEAs participating in **year 2** will submit completed Evidence Based Practices (EBP) diagnostic tools (2 or more) to their PSM specialist.

April 1, 2022, or sooner	PEAs participating in **years 1-3** of SSIP, submit completed SSIP *Success Rubric and Action Plan*(post-assessment) to their ESS Program Support and Monitoring specialist.
June 1, 2022, or sooner	PEAs participating in **years 1-3** will submit grade 3 ELA data to PSM specialist.

Additional activities may be assigned as needed.

PEAs identified for participation in the SSIP are also eligible to enter into a contract with the SEA to receive financial assistance with implementation of activities outlined in the PEA SSIP action plan. PEAs must complete the contract and obtain approval prior to expending any funds they would expect to be reimbursed. This may accelerate the PEA's timelines as outlined above.

SSIP activities are implemented over three years with activities as follows:

Year 1 Participation
PEAs submit a needs assessment, action plan, ELA data, and survey data. PEAs are provided with feedback and technical assistance throughout the process by Program Support and Monitoring.

Year 2 Participation

PEAs update the needs assessment and action plan. PEAs submit ELA data, EBP data, and survey data. PEAs are provided feedback and technical assistance on their SSIP plans as well as professional learning in the EBP process.

Year 3 Participation
PEAs update the needs assessment and action plan. PEAs submit ELA data, and survey data. PEAs are provided with feedback and technical assistance throughout the process by Program Support and Monitoring.

State Systemic Improvement Plan (SSIP)

SSIP Process (once PEA is identified for SSIP participation)

- SEA and PEA review Risk analysis Tool
- With support from ESS Program Support and Monitoring specialists, the PEA completes Success Gaps Rubric and creates Action Plan
- PEA implements the evidence-based practices identified in the Action Plan
- SEA and external intervention providers/consultants provide support and coaching for implementation
- SEA, PEA, and external intervention providers/consultants conduct progress reviews

The infrastructural alterations made to the state's monitoring system and improved Risk Analysis tool have allowed for a more targeted selection process for PEAs. Each PEA's risk analysis will be reviewed annually to provide recognition of improvements as well as further growth opportunities. During year four of the six-year monitoring cycle, each PEA's risk analysis results will be used to differentiate monitoring activities and identify PEAs that have met the criteria for participation in the SSIP. Criteria for SSIP participation are as follows:

- PEA serves grade 3
- PEA n-size for grades 3 is 10 or more special education students
- PEA reading proficiency rate for grade 3 falls below the state target for students with disabilities

Regardless of their assigned monitoring year, PEAs that meet the SSIP criteria may be placed in year four and required to participate. Movement to year four of the monitoring cycle is based on a myriad of data, including, but not limited to, fluctuations in the Risk Analysis score, changes in student performance, specialist recommendation, identification and recommendation by other ADE units, and PEA request.

First, results of the Risk Analysis must indicate that the PEA has risk, along with a need in the area of English Language Arts (ELA) proficiency. Risk is determined using standard deviations from the average on the PEA Risk Analysis score. While the exact numbers should vary slightly from year to year, the formula used will remain the same. If the PEA's risk analysis score is within one standard deviation above and the state average range and the PEA meets the SSIP criteria (grade level and n-size), then proficiency on the AzMERIT English Language Arts Assessment will be reviewed. PEAs that meet the SSIP criteria and demonstrate reading proficiency below the state average for students with disabilities in grade 3 will be identified as participants.

Selection of Sites:

Risk analysis score is at or below the state average PEA participates in comprehensive, on-site monitoring activities • PEA self-selects improvement activities	Risk analysis score is between the state average and one standard deviation above the state average AzMERIT performance is greater than state average for SWD in grade 3 • PEA self-selects improvement activities AzMERIT performance is less than the state average for SWD in grade 3 • PEA is identified for SSIP participation	Risk analysis score is greater than one standard deviation above the state average PEA participates in self-reported monitoring activities

Timelines for PEA SSIP activities are as follows:

August 27, 2021, or sooner	**Year 1-3** PEAs submit the completed SSIP Success Gaps Rubric (SGR) and Action Plan (AP) to their ESS Program Support and Monitoring specialist.
September 3, 2021, or sooner	**Year 1-3** PEAs receive the completed SSIP SGR and AP Fidelity Feedback Guide from their ESS Program Support and Monitoring Specialist.
October 1, 2021, or sooner	PEAs participating in **years 1-3** will submit grade 3 ELA data to PSM specialist.

October 6, 2021, or sooner	PEAs participating in **year 2** will submit completed Evidence Based Practices (EBP) diagnostic tools (2 or more) to their PSM specialist.
November 26, 2021 or sooner	PEAs participating in **year 2** will submit completed Evidence Based Practices (EBP) diagnostic tools (2 or more) to their PSM specialist.
December 3, 2021, or sooner	PEAs participating in **years 1-3** will complete SSIP survey and confirm completion of the survey with their PSM specialist.
February 1, 2022, or sooner	PEAs participating in **years 1-3** will submit grade 3 ELA data to PSM specialist.
March 4, 2022, or sooner	PEAs participating in **year 2** will submit completed Evidence Based Practices (EBP) diagnostic tools (2 or more) to their PSM specialist.
April 1, 2022, or sooner	PEAs participating in **years 1-3** of SSIP, submit completed SSIP Success Rubric and Action Plan(post-assessment) to their ESS Program Support and Monitoring specialist.
June 1, 2022, or sooner	PEAs participating in **years 1-3** will submit grade 3 ELA data to PSM specialist.

Additional activities may be assigned.

PEAs identified for participation in the SSIP are also eligible to enter into a contract with the SEA to receive financial assistance with implementation of activities outlined in the PEA SSIP action plan. PEAs must complete the contract and obtain approval prior to expending any funds they would expect to be reimbursed. This may accelerate the PEA's timelines as outlined above.

SSIP activities are implemented over three years with activities as follows:

Year 1 Participation
PEAs submit a needs assessment, action plan, ELA data, and survey data. PEAs are provided with feedback and technical assistance throughout the process by Program Support and Monitoring.

Year 2 Participation

PEAs update the needs assessment and action plan. PEAs submit ELA data, EBP data, and survey data. PEAs are provided feedback and technical assistance on their SSIP plans as well as professional learning in the EBP process.

Year 3 Participation
PEAs update the needs assessment and action plan. PEAs submit ELA data, and survey data. PEAs are provided with feedback and technical assistance throughout the process by Program Support and Monitoring.

Success Gaps Rubric

District: Date

Team Members

Name:		**Role:**		**Email Contact:**	
Name:		**Role:**		**Email Contact:**	
Name:		**Role:**		**Email Contact:**	
Name:		**Role:**		**Email Contact:**	
Name:		**Role:**		**Email Contact:**	
Name:		**Role:**		**Email Contact:**	

Directions for completing the Success Gaps Rubric (SGR):

1. After reading the Indicator Description, complete the Indicator's Evidence for Consideration by checking the boxes that currently apply(☑) and filling in the blanks. If an evidence field does not apply at this time, please either leave it blank or fill it as "N/A" and provide a reference in the Notes section for that indicator. Tip: Some words in the evidence descriptors include hyperlinks that can be used for additional information.
2. Analyze the factors for each Level of Implementation and designate the PEA's level for the current reporting period. Tip: It may help the team to start by reading the Exemplary level and make comparisons while reading down levels of implementation. Add brief notes when needed for clarification and/or when updates apply.
3. When updating rubric submissions after your initial submission, add to evidence, notate where applicable, and reflect current Levels of Implementation for the submission period. Precede new submission narratives with the current date (ex: 3/7/22 – " ")
4. Utilize the SGR probing questions to assist the team in working through determining the PEA implementation level. This is an additional resource to aid in the determination as well as provide additional resources on the SGR process.

This document has been adapted from the IDEA Data Centers' Equity, Inclusion, and Opportunity: Addressing Success Gaps – Indicators of Success Rubric Version 3.0

Indicator Group 1: Data-Based Decision Making

Indicator 1a—Description

Decisions about the school curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives; based on data.

Indicator 1a—Evidence for Consideration

☐ The PEA's screener and benchmark assessments have research to support effectiveness

List programs or initiatives that use subgroup data (SWD; ELL; Race/Ethnicity; Gender) to make decisions about implementation:

☐ Observational Data and/or Lesson Plans show evidence teachers are using academic and behavior data to make instructional decisions.

	Planning	Partially Implemented	Implemented	Exemplary
	Decisions about the school curriculum, instructional programs, academic and behavioral supports and school improvement initiatives are rarely systematically based on data.	**Some** teachers and programs consistently use **valid and reliable data** systematically to inform decisions about curriculum, instructional programs, academic and behavioral supports, and school improvement initiatives.	The data used are valid and reliable. A **schoolwide formalized** and systematic process is in place to monitor and reinforce the **continuous improvement** of individual learners, **subgroups of learners**, initiatives, and programs within the school**.** It is implemented by **some but not all staff**.	The data used are valid and reliable. The schoolwide process for data-based decision making is implemented and **evident for all** children/students and subgroups of children/students, **in all classrooms**, and is used in decisions about school initiatives or programs, as well.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

1a. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator Group 2: Cultural Responsiveness

Indicator 2a—Description

Culturally responsive instructional interventions and teaching strategies are used throughout the school or district.

Indicator 2a—Evidence for Consideration

Name of Staff Culture Training:

Example(s) of community diversity celebrations:

☐ Observation data shows staff is culturally responsive and effective regarding linguistic diversity.

	Planning	Partially Implemented	Implemented	Exemplary
	Staff practices and attitudes about **culture**, **race**, and **linguistic** background **prevent success gaps** from being addressed. Many teachers are unable to effectively teach some groups of children/students in the school.	**Some** staff practices and attitudes about culture, race, and linguistic background are **barriers** to addressing success gaps. Many teachers are unable to effectively teach some groups of children/students in the school. Staff have received training in culturally responsive practices.	Staff receive **ongoing training** in culturally responsive practices. The practices and attitudes of most staff are responsive to cultural, racial, and linguistic diversity. **Few** teachers are **unable** to effectively teach some groups of children/ students in the school.	Staff receive ongoing training in culturally responsive practices. The practices and attitudes of **all staff** are responsive to cultural, racial, and linguistic diversity. The school recognizes and **celebrates** the **diversity** and richness of students' and families' backgrounds. All teachers can effectively teach all groups of children/students in the school.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

2a. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 2b—Description

Faculty and staff are prepared for linguistic diversity among students and families.

Indicator 2b—Evidence for Consideration

Administratively, each student's linguistic needs and supports are accounted for by ensuring every teacher that the student interacts with, in the following ways:

Family language supports are offered at every: ☐ scheduled meeting ☐ unscheduled office visit ☐ family night ☐ PTO/PTA meeting.

☐ The PEA ensures every correspondence that goes home, is accessible to at least one parent/guardian, in every household.

	Planning	Partially Implemented	Implemented	Exemplary
	Most teachers are **unprepared** to meet the linguistic needs of many students in the school.	**Some** teachers are **prepared** to meet the linguistic needs of all children/students. Few staff are **linguistically competent** to communicate with our children/students and their families. Other **supports** are almost always provided when this is not the case.	**Most** teachers are **prepared** to meet the linguistic needs of all children/students. Other supports are always provided when this is not the case. Most staff are linguistically competent to communicate with our children/students and their families.	**All** teachers are **prepared** to meet the linguistic needs of all children/students. All staff are linguistically competent to communicate with our children/students and their families.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

2b. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 2c—Description

The school or district facilitates the participation of all the families that make up the diversity of the school.

Indicator 2c—Evidence for Consideration

☐ Learning community event data is collected and analyzed for such things as subgroup attendance, perspectives, and family engagement.

☐ Parent and family event data are used to make improvements and share data and feedback at stakeholder meetings.

Sustaining or improving event attendance by parent and family members of students that experience success gaps is done by doing the following:

List the way(s) that administration has facilitated the professional development of culture and diversity with staff:

	Planning	Partially Implemented	Implemented	Exemplary
	Parents and family members typically attending school **activities**, **functions**, or parent/teacher **meetings do not represent** the full **diversity** of the school, including the **group(s)** that experience **success gaps**.	Parents and family members typically attending school activities, functions, or parent/teacher meetings represent **some** of the **diversity** of the school but not all the **groups** that are experiencing success gaps.	Parents and family members of the groups that experience success gaps in the school **feel welcomed** and are **engaged** in school activities, meetings, or other functions. **Some** of the diversity of the school, but not all the groups that are experiencing success gaps, are represented on stakeholder planning groups to reduce success gaps. School staff members are taking **intentional** measures to **learn about** the **culture** of these diverse groups.	Parents and family members of the groups that experience success gaps feel welcomed in the school and are **frequently engaged** in school activities, meetings, or other functions. **All** the **groups** that are experiencing **success gaps** are represented on stakeholder planning groups to reduce success gaps. School staff members on an **ongoing basis** take intentional measures to learn about the culture of these diverse groups.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

2c. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator Group 3: Core Instructional Program

Indicator 3a—Description
A consistent, well-articulated curriculum is in place and implemented with fidelity.

Indicator 3a—Evidence for Consideration

Method(s) that administration accounts for horizontal curriculum alignment within grade-level teams:

☐ Professional Development ☐ Team-meeting Agendas ☐ Lesson Plans ☐ Curriculum Maps ☐ Pacing Calendars ☐ Other

Method(s) that administration accounts for vertical curriculum alignment within grade levels and between adjoining grade levels:

☐ Professional Development ☐ Team Meeting Agendas ☐ Lesson Plans ☐ Curriculum Maps ☐ Pacing Calendars ☐ Other

Method(s) that administration accounts for teachers delivering curriculum with fidelity:

☐ Professional Development ☐ Lesson Plans ☐ Observations ☐ Progress Monitoring ☐ Student Outcomes ☐ Other

	Planning	**Partially Implemented**	**Implemented**	**Exemplary**
	Some children/students **do not have access** to a **rigorous** core curriculum taught by **effective** content **teachers**.	**Inconsistent** curriculum **planning** prevents most children/students from experiencing a rigorous curriculum that is **horizontally and vertically aligned** and that demands **depth of understanding**. **All** children/students experiencing success gaps are taught by **effective teachers**.	**Most** children/students participate in a curriculum that is rigorous, demands depth of understanding, and is also beginning to be horizontally and vertically aligned and implemented with **fidelity**. All children/students experiencing success gaps are taught by effective teachers.	**All** children/students participate in a curriculum that is rigorous and demands depth of understanding that has been horizontally and vertically aligned and implemented with fidelity. All children/students experiencing success gaps are taught by effective teachers.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

3a. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indictor 3b—Description
The instructional program and strategies used in the school are research-based practices.

Indicator 3b—Evidence for Consideration

Example(s) of staff professional development (PD) for evidence-based practices (EBP):

List any methods used to ensure staff are implementing PD and EBPs in the classroom:

☐ Lesson Plans and Observations verify that flexible grouping is being used, based on student data and needs.

☐ A variety of instructional technology for engagement, depth of knowledge, and accommodations, are used on the campus/in classrooms.

	Planning	Partially Implemented	Implemented	Exemplary
	Few children/students experience high quality instruction that utilizes research-based practices, **higher order thinking** skills and processes, **flexible grouping**, and **instructional technology**.	**Some** children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	**Many** children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.	**All** children/students experience high quality instruction that utilizes research-based practices, higher order thinking skills and processes, flexible grouping, and instructional technology.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

3b. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 3c—Description
Differentiated instruction is used to address the need of all learners in the school.

Indicator 3c—Evidence for Consideration

Administration collects evidence/observes that accommodations and modifications are being used in the General Education Classroom to support students that need these supports to learn effectively, during:

☐ Instruction ☐ Assignments ☐ Assessment

☐ Administration collects evidence/observes whether teachers in classrooms are regularly giving students choices to use learning styles and interests toward leveraging the successful completion of assignments.

☐ Special Education Teachers and English Language Learning Leads/Coordinators regularly consult with General Education/Special Area Teachers to plan for meeting the needs of unique student populations.

	Planning	**Partially Implemented**	**Implemented**	**Exemplary**
	Very few teachers differentiate the core curriculum to address **learning styles**, effectively addressing their children's/ students' **cultural and linguistic** backgrounds.	**Some** teachers differentiate the core curriculum to address the needs of a few learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	**Most** teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.	**All** teachers differentiate the core curriculum to address the needs of all learners and learning styles, effectively addressing their children's/students' cultural and linguistic backgrounds.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

3c. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 3d—Description

Families are informed about the core instructional program and how the needs of their child are being met.

Indicator 3d—Evidence for Consideration

The PEA ensures every family has the opportunity to learn about their student's core instructional program by:

The PEA ensures every family is informed about the ways in which instruction is differentiated for their child by:

	Planning	Partially Implemented	Implemented	Exemplary
	Families are **rarely informed**, in **language they understand**, about the school's core instructional program or the ways in which it is **differentiated** for their child.	Families are **sometimes** informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	Families are **usually welcomed** in the school **and informed**, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.	Families are **always** welcomed in the school and informed, in language they understand, about the school's core instructional program and the ways in which it is differentiated for their child.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

3d. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator Group 4: Assessment—Universal Screening and Progress Monitoring

Indicator 4a—Description

Universal screening is used to identify needs for early intervention or targeted supports

Indicator 4a—Evidence for Consideration

Name of Reading Screener: Times / Year: **(please choose)**

Name of Math Screener: Times / Year: **(please choose)**

Name of Behavior Screener: Times / Year: **(please choose)**

	Planning	Partially Implemented	Implemented	Exemplary
	The school **does not** use schoolwide screening for children/students to identify **academic or behavioral risk factors** that may require early intervention or other targeted supports.	The school screens **some groups** of children/ students each year with **valid and reliable tools** to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	The school screens **all children/students at least once a year** with valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.	The school screens **all children/students at multiple points** during the school year using valid and reliable tools to identify academic or behavioral risk factors that may require early intervention or other targeted supports.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

4a. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 4b—Description

Progress monitoring is planned and implemented by the school to support the developmental, academic, or behavioral progress of each child/student.

Indicator 4b—Evidence for Consideration

Lesson Plans and/or observations provide evidence of teachers using formative curricular assessments in core subjects to:

☐ Monitor skill development ☐ Make instructional adjustments ☐ Plan and implement tier 2–3 interventions

Lesson Plans and/or observations provide evidence of teachers using progress monitoring tools connected to screeners at intervals to:

☐ Monitor skill development ☐ Plan and implement tier 2-3 interventions

	Planning	Partially Implemented	Implemented	Exemplary
	There is **no schoolwide plan** for teachers to **review** child/student performance **data** at **regular intervals** and **adjust classroom instruction and** instructional **interventions** to support child/student progress.	The school **has a plan** so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. **Some** teachers are **implementing** this plan.	The school has a plan so that all teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student academic or behavioral progress. **Most** teachers are **implementing** this plan.	**All** teachers review child/student performance data at regular intervals and adjust classroom instruction and instructional interventions to support child/student developmental, academic, or behavioral progress.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

4b. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 4c—Description

Families are Informed about screening and progress monitoring results.

Indicator 4c—Evidence for Consideration

The PEA informs families about academic screener results and inform families about behavior screener results by:

The PEA regularly informs families of progress monitoring results by:

	Planning	Partially Implemented	Implemented	Exemplary
	Families in the groups identified with success gaps are **rarely informed**, in **language they can understand**, of their child's screening and progress monitoring results for **academic and behavioral** skills.	Families in the groups identified with success gaps are **sometimes** informed**,** in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	Families in the groups identified with success gaps are **usually** informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.	**All** families are **always** informed, in language they can understand, of their child's screening and progress monitoring results for academic and behavioral skills.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

4c. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator Group 5: Interventions and Supports

Indicator 5a—Description
Evidence-based behavioral interventions and supports are embedded within a multi-tiered framework and implemented with fidelity.

Indicator 5a—Evidence for Consideration

The intervention process is discussed at meetings involving:

☐ Data ☐ Special Education ☐ ELLs ☐ Continuous School Improvement ☐ Grade Level Planning ☐ Other

☐ Data notebooks or records are reviewed in connection with the use of screeners and diagnostics to form and plan tier 2–3 instruction.

☐ Based on lesson plans and/or observations, General Education teachers provide tier 2–3 interventions multiple times each week.

A colleague or administrator is available to assist staff with the planning and implementation of: ☐ Reading ☐ Math ☐ Behavior

	Planning	Partially Implemented	Implemented	Exemplary
	The school **does not have a plan** to provide all children/students with academic or behavioral needs supplemental evidence-based interventions.	The school **has a plan** to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. **Some** teachers are already **implementing** this plan.	The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. **Most** teachers are already implementing interventions with **fidelity** according to the plan.	The school has a plan to provide all children/students with academic or behavioral needs supplemental evidence-based interventions. **All** teachers identify children/students with behavioral or academic challenges and provide supplemental, evidence-based interventions with fidelity.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

5a. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 5b—Description

School-level practices use tiered response methods (MTSS) that include academic and behavioral interventions and supports.

Indicator 5b—Evidence for Consideration

Every teacher is trained in the use of and has access to evidence-based resource(s) that include a diagnostic and related curriculum for intervention in:

☐ Reading ☐ Math

☐ Every teacher has and is trained to use evidence-based resource(s) to provide behavior interventions based on screener results and/or behavior plans.

☐ There is data to support the use of intervention resources with fidelity.

☐ Teachers have received professional development pertaining to how past experiences and culture affect bias and behavior.

	Planning	Partially Implemented	Implemented	Exemplary
	The school has **no schoolwide** multi-tiered **system** of academic and behavioral supports, or, if it has one, it is ineffective, disjointed, or **inconsistently implemented**.	The school has a **plan** to implement a schoolwide multi-tiered system of academic and behavioral supports and interventions in all classrooms. **Some** teachers and staff are already **implementing** elements of the support system in some classrooms.	A schoolwide multi-tiered academic and behavioral support system is implemented across **all** school environments and in all classrooms with **high fidelity**.	A schoolwide multi-tiered academic and behavioral support system that is **culturally responsive** to the school population is implemented across all school environments and in all classrooms with high fidelity.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

5b. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 5c—Description

A comprehensive, district-level, school discipline policy is in place and implemented.

Indicator 5c—Evidence for Consideration

☐ The district's discipline policy is formally outlined within both the family and teacher handbooks.

How is the discipline policy culturally responsive?

How is the discipline policy restorative?

☐ Data supports that teachers apply the district discipline policy with fidelity.

	Planning	Partially Implemented	Implemented	Exemplary
	The district currently has a **zero-tolerance policy or lacks** a cohesive discipline **policy** altogether.	District leaders are **drafting a** formal school discipline **policy** informed **by best practice**.	The district **has a formal** school discipline **policy** in place. The policy is **culturally sensitive** to the diversity of this school and favors **tiered** responses to child/student misconduct based on the nature and severity of the infraction. The policy requires **positive, proactive,** and **restorative** strategies focused on keeping children/students engaged and in school. **Our school** understands and implements the district policy with **some** degree of **fidelity**.	The district has a formal school discipline policy in place. The policy is culturally sensitive to the diversity of this school and favors tiered responses to child/student misconduct based on the nature and severity of the infraction. The policy requires positive, proactive, and restorative strategies focused on keeping children/students engaged and in school. **All schools** in the district understand and implement the district policy with **high fidelity**.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

5c. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Indicator 5d—Description

Families are regularly informed, in their native or home language, of interventions provided to their children and their children's responses to those interventions for academic and behavioral skills.

Indicator 5d—Evidence for Consideration

Families are informed about interventions when their student:

- ☐ Begins an intervention program
- ☐ Has newly available assessment data pertaining to interventions
- ☐ Has a substantive change to intervention program or schedule
- ☐ Concludes an intervention program

	Planning	Partially Implemented	Implemented	Exemplary
	Families of children with more intensive academic or behavioral needs are **rarely informed**, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	Families of children with more intensive academic or behavioral needs are **sometimes** informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	Families of children with more intensive academic or behavioral needs are **regularly** informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.	Families of children with more intensive academic or behavioral needs are **always** informed, in language they can understand, of the interventions their children are receiving and the progress or lack of progress their children are making.
SY2021–2022 Fall	-	-	-	-
SY2021–2022 Spring	-	-	-	-
SY2022–2023 Fall	-	-	-	-
SY2022–2023 Spring	-	-	-	-
SY2023–2024 Fall	-	-	-	-
SY2023–2024 Spring	-	-	-	-

5d. Gap Notes:

Action Plan Hyperlinks: A1-A2-A3-A4-A5-A6-A7-A8

Action Plan

Initial SSIP Submission (first time only)

1. With capacity and existing initiatives in mind, target no more than three of your lowest Levels of Implementation from your Success Gaps Rubric.

2. With a focus on the contrasting elements between your Current Level and Goal, plan and record as many action steps as necessary, to move up Level(s) of Implementation. Tip: these contrasting elements are also highlighted in your Rubric Evidence Section.

3. Notate any barriers to progress for consideration and the data and resources that will help to facilitate your progress.

Subsequent SSIP Submissions (all other submissions)

1. To indicate an update to an initiative from a prior submission, adjust the Progress period for that Action

2. Provide a progress update to each ongoing Action—Action Step(s), Update(s), Barrier(s), Data, and Resource(s) where applicable.

3. After reaching the goal of a higher Level of Implementation, make that indication in the lower-right corner of the Action Steps/ Updates table and include the current date.

4. Begin and document new actions as goals are completed, and to the extent that capacity allows.

Action Plan: Action #1

Action Plan—Progress Period: (please choose)

Indicator: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Current Level of Implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How data will be used to monitor progress:

What resources are available and/or needed:

Action Plan: Action #2

Action Plan—Progress Period: (please choose)

Indicator: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Current level of implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe your Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How will data be used to monitor progress:

What resources are available and/or needed:

Action Plan: Action #3

Action Plan—Progress Period: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Indicator: (please choose)

Current level of implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe your Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How data will be used to monitor progress:

What resources are available and/or needed:

Action Plan: Action #4

Action Plan—Progress Period: (please choose)

Indicator: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Current level of implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe your Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How will data be used to monitor progress:

What resources are available and/or needed:

Action Plan: Action #5

Action Plan—Progress Period: (please choose)

Indicator: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Current level of implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe your Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How will data be used to monitor progress:

What resources are available and/or needed:

Action Plan: Action #6

Action Plan—Progress Period: (please choose)

Indicator: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Current level of implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe your Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How data will be used to monitor progress:

What resources are available and/or needed:

Action Plan: Action #7

Action Plan—Progress Period: (please choose)

Indicator: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Current level of implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe your Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How data will be used to monitor progress:

What resources are available and/or needed:

Action Plan: Action #8

Action Plan—Progress Period: (please choose)

Indicator: (please choose)

Rubric Hyperlinks

1a	2a	2b	2c	3a
3b	3c	3d	4a	4b
4c	5a	5b	5c	5d

Current level of implementation: (please choose)

Copy/paste or type indicator level description here

Goal: (please choose)

Copy/paste or type indicator level description here

	Describe your Action Steps; Include People Responsible; Add Action Steps and Updates throughout Implementation	
Action Step #1		
Action Step #2		
Action Step #3		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		
☐ Action Step # ☐ Update: Date		☐ Higher Level of Rubric Implementation Achieved: Date

Describe any gap-closing barriers:

How data will be used to monitor progress:

What resources are available and/or needed:

Success Gaps Rubric—Activity Resources & Probing Questions

This is a companion document to the SSIP adaptation of the Success Gap Rubric and Action Plan. It is intended to link the Rubric with the Probing Questions and resources connected to the original document from the IDC. Further, it provides hyperlinks from the Probing Questions to external resources. External resources are not intended to provide complete, exclusive, or definitive understanding of the Probing Questions. Rather, they are intended to provide the opportunity for insight toward deeper understanding.

IDC Activity Resources

Research and Support:
IDEA Data Center - Addressing Success Gaps

Resource and Process Guide: IDEA Data Center - Toolbox for Implementation

Student Groups (data) & Indicator Groups (structure): IDEA Data Center - Introduction to the Tools

Meeting Agenda and Presentation Templates: IDEA Data Center - Meetings 1-7 and Ongoing

Indicator Group Resources—Probing Questions

To navigate directly, click on the Group below:

Group 1: Data-Based Decision Making

Group 2: Cultural Responsiveness

Group 3: Core Instructional Program

Group 4: Assessment—Universal Screening and Progress Monitoring

Group 5: Interventions and Supports

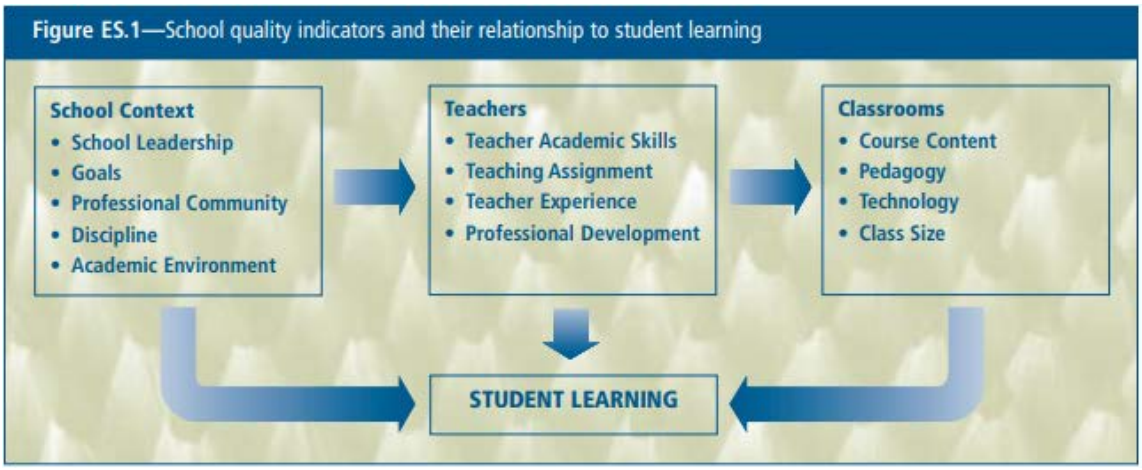
1. Data-Based Decisions

1a. Decisions about the school curriculum, instructional programs, academic and behavior supports, and school improvement initiatives, based on data.

Probing Questions

- Does our school or district identify data elements or quality indicators that are tracked over time to measure school effectiveness?

- What are those data elements?



National Center for Education Statistics - Monitoring School Quality

- Are the data valid and reliable?

  Presentation Resource - Understanding Reliability and Validity (ADE)

- Are data disaggregated by child/student demographics such as race, ethnicity, gender, disability, etc. to identify gaps in achievement and performance and trends with over- or under-representation in identification, placement, and discipline?

  National Center on Educational Outcomes - Understanding Subgroups in Common State Assessments

- Are data reviewed at regular intervals to determine progress or change?

- Are data used to make policy, procedure, and practice decisions in our school?

- How regularly do we use these data to inform our decisions?

  Regional Educational Laboratory - Data-driven decision making in education agencies

2. Cultural Responsiveness

2a. Culturally responsive instructional interventions and teaching strategies are used throughout the school or district.

2b. Faculty and staff are prepared for linguistic diversity among students and families.

2c. The school or district facilitates the participation of all the families that make up the diversity of the school.

Probing Questions

- Are school staff prepared to work with children/students from diverse cultural and linguistic backgrounds?
- Is our school culture responsive and welcoming to children/students and families from culturally/linguistically diverse groups?
- To what degree does our teaching staff reflect the cultural/linguistic makeup of our school's population?
- Do school staff understand and value each individual child's and each group's unique cultural values and needs?
- Are teachers familiar with the beliefs, values, cultural practices, discourse styles, and other features of children's/students' lives that may have an impact on classroom participation and success, and are they prepared to use this information in designing instruction?
- Do research-based interventions account for the schools' cultural context as a part of implementation?
- Are screening, referral, and assessment practices, procedures, and tools unbiased and nondiscriminatory?
- Do the staff at our school understand that it is our job to be culturally responsive to all their children/students?
- Are we linguistically competent to communicate with our children/students and their families?
- Do culturally responsive practices inform our outreach to the community including families and community partners?

3. Core Instructional Program

3a. A consistent, well-articulated curriculum is in place and implemented with fidelity.

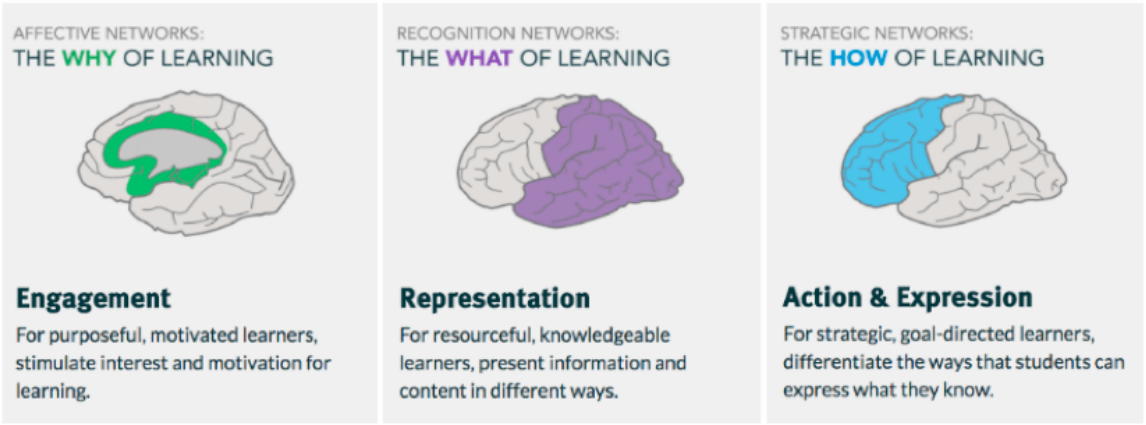
3b. The instructional program and strategies used in the school are research-based practices.

3c. Differentiated instruction is used to address the need of all learners in the school.

3d. Families are informed about the core instructional program and how the needs of their child are being met.

Probing Questions

- Do all groups of children in our school receive high quality instruction based on the principles of Universal Design for Learning?



Universal Design for Learning (UDL) by CAST www.cast.org

Center for Applied Special Technology - Universal Design for Learning Guidelines

- Are all of our teachers skilled in teaching a classroom filled with learners who are diverse culturally, linguistically, and in learning style?

  International Center for Leadership in Education - Supporting ELL/Culturally and Linguistically Diverse Students for Academic Achievement

- Are all families aware of the core curriculum and of the differentiations/accommodations/ modifications provided for their child?

  Kansas University School of Education - Keeping Parents Involved in the Classroom

4. Assessment—Universal Screening and Progress Monitoring

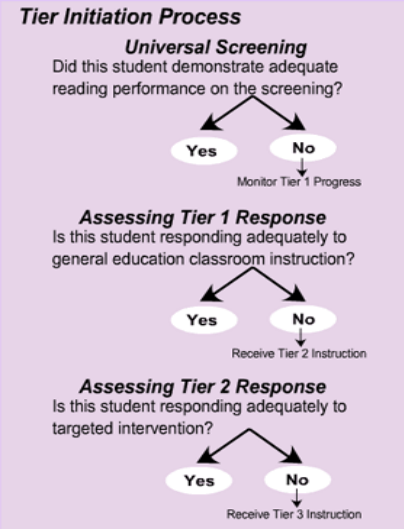
4a. Universal screening is used to identify needs for early intervention or targeted supports.

4b. Progress monitoring is planned and implemented by the school to support the developmental, academic, or behavioral progress of each child/student.

4c. Families are Informed about screening and progress monitoring results.

Probing Questions

- Does our school have a system that routinely and regularly screens all children/students for risk factors that might require early intervention?



IDEA Research for Inclusive Settings - Initiating and Discontinuing Intervention

- Does every classroom teacher regularly screen or monitor child/student performance/progress and adjust instruction for individual children/students based upon the results?

  Universal Literacy and Dyslexia Screener Guide for Arizona's K-3 Schools/Districts (ADE)

- Are teachers supported to implement developmental, academic, and/or behavior interventions in the general education setting?

  William & Mary School of Education - Instructional Support Teams

- Are families informed about the results of universal screening and/or progress monitoring for their child?

  IDEA Research for Inclusive Settings - Communicating with Students, School Personnel, and Parents

5. Interventions and Supports

5a. Evidence-based behavioral interventions and supports are embedded within a multi-tiered framework and implemented with fidelity.

5b. School-level practices use tiered response methods (MTSS) that include academic and behavioral interventions and supports.

5c. A comprehensive district-level school discipline policy is in place and implemented.

5d. Families are regularly informed, in their native or home language, of interventions provided to their children and their children's responses to those interventions for academic and behavioral skills.

Probing Questions

- Are children/students with academic challenges identified?
- Are they provided with instructional interventions?

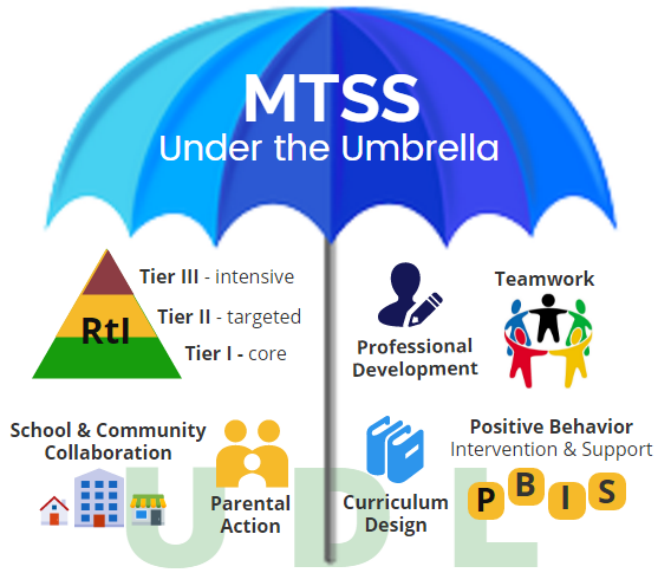
  IDEA Research for Inclusive Settings (IRIS) - Initiating and Discontinuing Intervention
- Are these interventions evidence-based?
- Are they implemented with fidelity?

  Planning Realistic Implementation and Maintenance by Educators (IES-DOE) - How to Select an Evidence-Based Intervention
- Have we used data to determine its effectiveness?

  RTI Action Network (NCLD) - Linking Progress Monitoring Results to Interventions
- Are the interventions culturally appropriate for our children/students?
- Are teachers effective in its use with diverse groups of children/students?

  IDEA Research for Inclusive Settings - Addressing Diversity
- Does the school implement a system of positive behavioral interventions and supports?

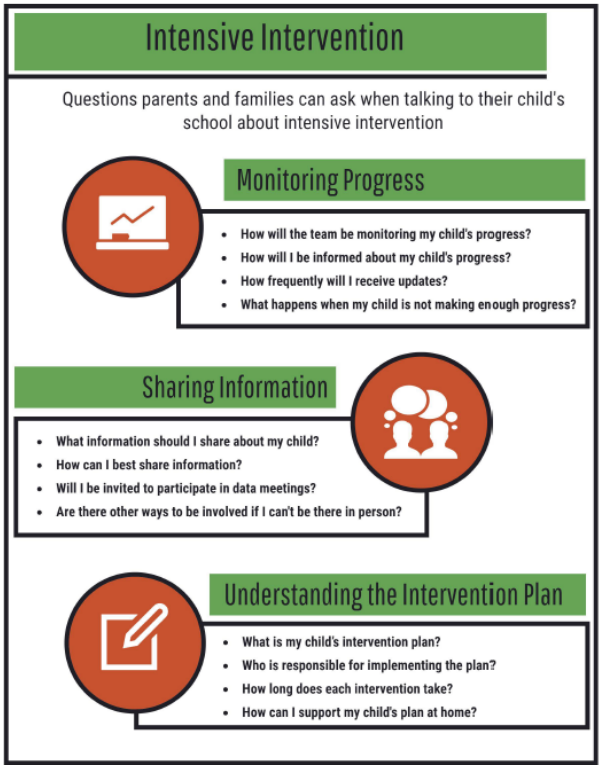
  Colorado Department of Education - Fidelity of Implementation and Academic Achievement (PBIS Schools)
- Does the school implement a multi-tiered system of supports (MTSS)?



Collaboration for Effective Educator Development, Accountability, and Reform - MTSS

- Are families informed about the interventions and supports provided to their child?

  IDEA Research for Inclusive Settings - Communicating with Students, School Personnel, and Parents



National Center on Intensive Intervention - Questions Parents and Families can Ask

SSIP Success Gaps & Action Plan Feedback Guide

PEA: | **Specialist:**

Submission Period (click to view)

SY21–22: Fall | SY21–22: Spring | SY22–23: Fall
SY22–23: Spring | SY23–24: Fall | SY23–24: Spring

Success Gaps Rubric

SY21–22: Fall (First Submission)

Points: 0-1	Data-Based Decision Making	Cultural Responsiveness	Core Program for Instruction	Assessment	Interventions and Support
Each Indicator either has documentation in the Evidence section or has a reference to any missing evidence in the Notes section of that Indicator.	Points:	Points:	Points:	Points:	Points:
Each Indicator contains a Level of Implementation for the current submission period.	Points:	Points:	Points:	Points:	Points:

Notes:

Action Plan SY21–22: Fall (First Submission)

For each current Action, every field on the page contains a choice or description (not including the action table)	Points:
The Indicators chosen for Action are the Indicators among the lowest Levels of Implementation from the Rubric	Points:
Where Action Goals depend on Rubric Evidence, the elements from the Evidence appear as targeted within the Action Steps	Points:

Notes:

Total Points (0/13) = 0%

SSIP Success Gaps & Action Plan Feedback Guide

Success Gaps Rubric: SY21–22: Spring

Component 1: Current Level of Implementation is marked for the submission period within each Indicator.

Point Criteria: All Marked (3); One Missing (2); Some Missing (1); All Missing (0) Points:

Component 2: Beyond only updating Implementation Levels, there are updates apparent within the Evidence or Notes sections.

Point Criteria: 2+ Updates Apparent (3); 1 Update Apparent (2); No Updates Apparent (0) Points:

Action Plan: SY21–22: Spring

Component 3: At least one update to each ongoing Action is evident

Point Criteria: All Actions Updated (7); One Missing Update (5); Some Actions Missing Update (3); No Updates (0) Points:

Notes:

Total Points (0/13) = 0%

SSIP Success Gaps & Action Plan Feedback Guide

Success Gaps Rubric: SY22–23: Fall

Component 1: Current Level of Implementation is marked for the submission period within each Indicator.

Point Criteria: All Marked (3); One Missing (2); Some Missing (1); All Missing (0) Points:

Component 2: Beyond only updating Implementation Levels, there are updates apparent within the Evidence or Notes sections.

Point Criteria: 2+ Updates Apparent (3); 1 Update Apparent (2); No Updates Apparent (0) Points:

Action Plan: SY22–23: Fall

Component 3: At least one update to each ongoing Action is evident

Point Criteria: All Actions Updated (7); One Missing Update (5); Some Actions Missing Update (3); No Updates (0) Points:

Notes:

Total Points (0/13) = 0%

SSIP Success Gaps & Action Plan Feedback Guide

Success Gaps Rubric: SY22–23: Spring

Component 1: Current Level of Implementation is marked for the submission period within each Indicator.

Point Criteria: All Marked (3); One Missing (2); Some Missing (1); All Missing (0) Points:

Component 2: Beyond only updating Implementation Levels, there are updates apparent within the Evidence or Notes sections.

Point Criteria: 2+ Updates Apparent (3); 1 Update Apparent (2); No Updates Apparent (0) Points:

Action Plan: SY22–23: Spring

Component 3: At least one update to each ongoing Action is evident

Point Criteria: All Actions Updated (7); One Missing Update (5); Some Actions Missing Update (3); No Updates (0) Points:

Notes:

Total Points (0/13) = 0%

SSIP Success Gaps & Action Plan Feedback Guide

Success Gaps Rubric: SY23–24: Fall

Component 1: Current Level of Implementation is marked for the submission period within each Indicator.

Point Criteria: All Marked (3); One Missing (2); Some Missing (1); All Missing (0) Points:

Component 2: Beyond only updating Implementation Levels, there are updates apparent within the Evidence or Notes sections.

Point Criteria: 2+ Updates Apparent (3); 1 Update Apparent (2); No Updates Apparent (0) Points:

Action Plan: SY23–24: Fall

Component 3: At least one update to each ongoing Action is evident

Point Criteria: All Actions Updated (7); One Missing Update (5); Some Actions Missing Update (3); No Updates (0) Points:

Notes:

Total Points (0/13) = 0%

SSIP Success Gaps & Action Plan Feedback Guide

Success Gaps Rubric: SY23–24: Spring

Component 1: Current Level of Implementation is marked for the submission period within each Indicator.

Point Criteria: All Marked (3); One Missing (2); Some Missing (1); All Missing (0) Points:

Component 2: Beyond only updating Implementation Levels, there are updates apparent within the Evidence or Notes sections.

Point Criteria: 2+ Updates Apparent (3); 1 Update Apparent (2); No Updates Apparent (0) Points:

Action Plan: SY23–24: Spring

Component 3: At least one update to each ongoing Action is evident

Point Criteria: All Actions Updated (7); One Missing Update (5); Some Actions Missing Update (3); No Updates (0) Points:

Notes:

Total Points (0/13) =0%

Evidence-Based Practices Diagnostic Tool

Observer: _____ Teacher: _____ Date: (choose)

TIME IN: _____ TIME OUT: _____ Grade: _____ Subject: _____

Inclusive Learning Environment	Tally	Evidence / Notes
1. **Content, language, and social learning outcomes** are flexible, posted, measurable, observable, and in student-friendly language; created with/by students ☐ **Measurable** ☐ **Observable** ☐ **Student-friendly Language**		
2. **Student-centered classroom**; student work displayed is current, relevant, and accurate; classroom charts are created with/by students ☐ **Relevant** ☐ **Accurate**		
3. **Respectful classroom management and organization**; rules, procedures, and behavior expectations are created with/by students; are evident and posted ☐ **Rules/Behavior Expectations** ☐ **Procedures**		
4. **Classroom library** organized with student input, variety of genres, accessible to all ☐ **Variety of Genres** ☐ **Student Choices** ☐ **Text Accessibility** ☐ **Physical Accessibility**		
5. **Word/Sound Walls and key vocabulary** charts are created with/by students; contain symbols/pictures and used as a resource by all students ☐ **Symbols/Pictures** ☐ **High Frequency/Key Vocabulary** ☐ **Used as a Resource**		
6. **Presence and use of manipulatives**, objects, real-world and diverse examples ☐ **Manipulatives** ☐ **Real-world Examples/Objects** ☐ **Diverse Examples**		
7. Effective and efficient transitions between activities ☐ **Efficient** ☐ **Effective** ☐ **Engaging**		
Instructional Practices "The What"	**Tally**	**Evidence / Notes**
1. **Demonstration (I do it):** whole group; comprehensible input is provided throughout the lesson; crystal clear language, pacing, visuals, realia, color, and different learning modalities are evident; explicit systematic instruction ☐ **Explains** ☐ **Comprehensible input** ☐ **Show/Tells** ☐ **Explicit/Systematic** ☐ **Frontloads**		
2. **Shared Experiences (We do it):** whole group/small/flexible group modeling ☐ **Scaffolds** ☐ **Negotiates** ☐ **Supports**		
3. **Guided Practice (You do it together):** small flexible group, 1-1 with minimal guidance; for fluency and transfer of new learning with support and problem solving ☐**Students in Charge of Learning** ☐ **Practice for Fluency** ☐**Collect Evidence of Learning** ☐ **Problem Solving**		
4. **Independent Practice (You do it by yourself):** time provided for mastery ☐ **Assists as Needed** ☐ **Coaches** ☐ **Evaluates** ☐ **Modifies and Adjusts**		
5. **Closure**; reviews learning targets with students; use of ongoing assessments (self, formative, interim, summative, anecdotal) ☐ **Reviews Learning Targets** ☐ **Formative Assessment** ☐ **Summative Assessment** ☐ **Self Reflection**		
6. **Monitoring and adjusting student learning**; engagement; interactions; uses, gives immediate and specific feedback effectively ☐ **Teacher Engagement** ☐ **Teacher Interactions** ☐ **Responsive** ☐ **Immediate-Specific Feedback**		
7. **Incorporates, plans for higher order thinking** question activities and wait time ☐ **Plans/Asks Questions** ☐ **Creative Activities** ☐ **Adequate Wait Time**		

Inclusive Learning Environment	0	
Teacher Instructional Practices	0	

Student Interactions "The How"	Tally	Evidence / Notes
1. **Students expression** by thinking, listening, speaking, reading, writing, sharing, and discussing ☐ **Listening/Thinking** ☐ **Speaking/Sharing** ☐ **Reading** ☐ **Writing**		
2. **Students involved in text activity**; note-taking; research; use of assistive technologies and/or multi-media; use multiple tools for construction and composition ☐ **Note-taking** ☐ **Research** ☐ **Assistive Technology/Multi-Media** ☐ **Construction/Composition**		
3. **Students are goal setting**; ongoing use of self-assessments, formative assessments, and reflections ☐ **Goal-Setting** ☐ **Self-Assessment** ☐ **Formative Assessment** ☐ **Reflection**		
4. **Students interact in guided practice**, projects, conferencing, collaborating, community, personal coping skills and strategies, in charge of learning together ☐ **Peer projects** ☐ **Conferring** ☐ **Collaborating** ☐ **Personal Coping Skills/Strategies**		
5. **Students practice independently for personal mastery**; planning; choice; autonomy; visualization; manipulation of learning ☐ **Plans Learning** ☐ **Makes Choices** ☐ **Generalizes Learning** ☐ **Uses Visualization**		
6. **Student performance**; presentation; reading/writing for authentic audience/purpose ☐ **Presentation Plan** ☐ **Speaking/Reading/Writing** ☐ **For an Audience** ☐ **For a Purpose**		
7. **Students participate in higher-order thinking** and in a variety of learning modalities; show learning through physical action ☐ **Art** ☐ **Music** ☐ **Physical Movement** ☐ **Drama**		
Student Engagement "The Why"	**Tally**	**Evidence / Notes**
1. **Students are engaged in highly motivating**, real-world experiences and/or issues ☐ **Highly Motivating** ☐ **Real-World** ☐ **Social Justice/Civic Issues** ☐ **Culturally Responsive**		
2. **Students engaged in meaningful, challenging, relevant activities**; evidence of self-determined learners ☐ **Meaningful** ☐ **Challenging** ☐ **Relevant** ☐ **Self-determined/Self-monitoring**		
3. **Students connect and apply learning** to culture, background knowledge, strengths, and needs ☐ **Culture** ☐ **Background Knowledge** ☐ **Strengths** ☐ **Needs**		
4. **Students demonstrate learning** through planning, thinking, listening, speaking, reading, writing, multi-media; engaged in shared/collaborative learning ☐ **Planning** ☐ **Thinking/Listening** ☐ **Speaking** ☐ **Reading** ☐ **Writing** ☐ **Multi-media**		
5. **Students' materials, resources, texts are relevant** and suitable to the content and language, social learning outcomes, evidence of self-regulating behavior ☐ **Language Outcome** ☐ **Content Outcome** ☐ **Social Learning Outcome** ☐ **Self-regulation**		
6. **Students have multiple opportunities for dialogue and conversations** (50% student-talk); engaged in information processing, application and transfer of learning ☐ **50% Student-Talk** ☐ **Information Processing** ☐ **Generalizes Learning**		
7. **Students are participating in differentiated activities and accommodations** ☐ **Content** ☐ **Process** ☐ **Products/Resources/Materials** ☐ **Time**		

Student Interactions	0	
Student Engagement	0	

Disclaimer: This document is not intended for teacher evaluation

Tab Insert

APPENDIX

Tab Insert

APPENDIX A

APPENDIX A

Line Item III.A.3 (PLAAFP, annual goal, progress report)

PLAAFP	Measurable Annual Goal	Progress Report
1. Student can correctly define 10% of veterinary terms found in veterinary technical manuals.	Student will correctly define an average of 85% of veterinary terms found in veterinary technical manuals as measured by vocabulary quizzes.	At the end of the first grading period, student is able to define 40% of technical terms.
2. Given picture-clue instructions, student follows two-step directions. Given three-step directions, student was unable to complete any steps.	Given picture-clue instructions, student will follow three-step directions five times per week. Baseline: 0/5 Mastery: 5/5 Measurement tool: Teacher data sheet	Student has demonstrated he is able to follow three-step directions three times per week.
3. Using grade-level social studies textbook and current reading assignment, student orally reads 22 words per minute (wpm) with three errors, on average, over four trials.	Using grade-level social studies textbook and current reading assignment, student will orally read 100 wpm with no more than three errors, on average, over four trials. Measurement tool: Teacher record book	At the end of the third grading period, student has averaged 87 wpm with three errors over the last four trials.
4. Student can correctly multiply 2-digit by 2-digit whole numbers with no problem, but struggles with 3-digit by 2-digit multiplication.	Given teacher-made worksheets with 20 problems multiplying 3-digit by 2-digit whole numbers, student will increase his correct responses from an average of 8 to an average of 15 problems for five trials.	Student is able to answer an average of 9 of the 20 problems correctly over five trials.

PLAAFP	Measurable Annual Goal	Progress Report
5. The OT reports that the student has the necessary muscular development, and this year should be able to develop the necessary motor control to use her communication board for purposeful communication this year.	At the school cafeteria, student will independently order a school lunch that includes at least two different food selections by pointing at items with her elbow on her communication board daily, as measured by the parapro's tracking sheet.	At the end of the first grading period, student independently ordered a dessert each day. With verbal encouragement from the aide, she also ordered an additional different item each day.
6. Student often displays aggressive behavior toward peers. He yells, pushes, and is frequently sent to the office.	Student will reduce aggressive behavior toward others (hitting, kicking, or pushing) as evidenced by a reduction in referrals to the office for aggressive behavior from six to none for a nine-week grading period. Measurement tool: written referrals	During this grading period, student had two referrals for aggressive behavior.
7. Student's content area teachers (social studies, math, science, and language arts) report that the student never turns in any homework.	Given homework at her academic level, student will complete and submit 90% of required assignments for each content area class by the end of the fourth quarter, as measured by the teacher grade book.	Student's homework assignments completed and turned in this quarter: science 93%, social studies 50%, math 50%, and language arts 12%.
8. Student shows little interest in interacting with his preschool peers. When cued to stop and give another child a turn, the student verbally protests and becomes agitated.	When provided a visual cue, the student will complete three reciprocal turn-taking behaviors with a peer without verbal protest in four targeted activities during the preschool day. Currently the student completes one reciprocal turn-taking behavior with a peer given six visual and verbal cues while verbally protesting an average of ten times per activity.	Over four targeted activities, the student currently completes one turn-taking behavior with an average of four visual cues and six verbal protests per activity.

Measurable Goal Worksheet

~~Baselines can be contained in the PLAAFP and/or the Goal Statement~~

Do (What is the specific skill/behavior to be achieved in this goal?)	To what extent or criteria (How will the student show that he/she has mastered the goal?)	As evaluated (Identify the specific measurement tool or assessment strategy.)	Baseline (What is the present level of the student related to this skill?)	Does this goal make sense?	Is this goal measurable?

Tab Insert

APPENDIX B

Risk Component Name	School Year	Data Source	Formula
Indicator 1—Graduation Rate	2019–2020	PEA submission of exit codes from Student Management System (SMS)	# students with disabilities with graduation exit codes / # students with disabilities in 4-year cohort
Indicator 2—Dropout Rate	2019–2020	PEA submission of exit codes from SMS	# students with disabilities coded as dropout ages 14–21 / # students with disabilities enrolled ages 14–21
Indicator 3—Performance on Statewide Assessments ELA Proficiency	2018–2019	Assessment	# students with disabilities in grades 3–8 and 11 (EOC) assessment scores with a score of "proficient" or higher / # students tested in grades 3–8 and 11
Indicator 3—Performance on Statewide Assessments Math Proficiency	2018–2019	Assessment	# students with disabilities in grades 3–8 and 11 (EOC) assessment scores with a score of "proficient" or higher / # students tested in grades 3–8 and 11
Indicator 4a—Suspension / Expulsion	2019–2020	Safe schools data submission	Calculated risk ratio based on AZSafe data; N size (total enrollment) of 30; cell size (number of students with disabilities) of 10
Indicator 4b—Suspension / Expulsion	2019–2020	Safe schools data submission	Calculated risk ratio >3 >3based on AZSafe data; N size (total enrollment of students with disabiilties) of 30; cell size (number of students with disabilities in a particular race/ethnicity) of 10.
Indicator 5—Least Restrictive Environment (LRE–A)	2019–2020	PEA submission of sped need code in SMS	# students with disabilities coded as LRE A in Student Management System (SMS) on Oct. 1 count / # total students with disabilities on Oct. 1 count
Indicator 5—Least Restrictive Environment (LRE–C)	2019–2020	PEA submission of sped need code in SMS	# students with disabilities coded as LRE C in Student Management System (SMS) on Oct. 1 count / # total students with disabilities on Oct. 1 count
Indicator 5—Least Restrictive Environment (LRE–D, E, or H)	2019–2020	PEA submission of sped need code in SMS	# students with disabilities coded as LRE in separate placements in Student Management System (SMS) on Oct. 1 count / # total students with disabilities on Oct. 1 count
Indicator 6—Preschool Least Restrictive Environment (LRE)	2019–2020	PEA data submission	# students with IEPs ages 3–5 attending a regular early childhood program and receiving the majority of sped services in the regular early childhood program / total # students ages 3–5 with IEPs
Indicator 6—Preschool Least Restrictive Environment (LRE)	2019–2020	PEA data submission	# students with IEPs ages 3–5 attending a separate special education class, residential facilities, or separate school / total # students with IEPs ages 3–5
Indicators 9—Disproportionality	2019–2020	PEA data submission	Calculated risk ratio >3 based on Oct. 1 counts (ethnicity and sped eligibility); N size of 30; cell size of 10
Indicators 10—Disproportionality	2019–2020	PEA data submission	Calculated >3 risk ratio based on Oct. 1 counts (eligibility categories and ethnicity); N size of 30; cell size of 10
Indicator 11—Initial Evaluation Timeline	2020–2021	Annual site visit (ASV)	# compliant files reviewed / # total files reviewed

Risk Component Name	School Year	Data Source	Formula
Indicator 13—Postsecondary Transition	2020–2021	Annual site visit (ASV)	# compliant files reviewed / # total files reviewed
PEA Determination	2019–2020	PEA submitted data, fiscal data for Maintenance of Effort (MOE)	See PEA Determination requirements

Additional Considerations			
Risk Component Name	**School Year**	**Data Source**	**Formula**
Indicator 7—Preschool Children with Improved Outcomes	2019–2020	PEA data submission	All 3 Teaching Strategies Gold checkpoints were met throughout the school year
Indicator 8—Parent Involvement	2019–2020	Parent Survey application (via ADEConnect)	# of parent responses saying they are involved / # of parents completing survey
Indicator 14—Post School Outcomes	2019–2020	PEA submission of data from PSO application	Participated in the survey by documenting contact / attempts of contact for eligible student(s)
Indicator 14—Post School Outcomes	2019–2020	PEA submission of data from PSO application	# eligible surveys completed / # possible eligible surveys
Indicator 14—Post School Outcomes	2019–2020	PEA submission of data from PSO application	# students surveyed engaged in postsecondary education/training or employment / # students with disabilities completed survey
Indicator 5—Least Restrictive Environment (LRE)	2019–2020	PEA submission of sped need code in SMS	# students with disabilities coded as LRE B in Student Management System (SMS) on Oct. 1 count / # total students with disabilities on Oct. 1 count
SPED Population	2019–2020	PEA submission of sped need codes in Student Management System (SMS)	# students with disabilities enrolled on Oct. 1 count / # total students enrolled on Oct. 1 count
Number of findings of noncompliance from state complaints in the 2016–17 SY	2019–2020	Dispute Resolution	# of allegations found to be noncompliant as a result of Administrative State Complaint investigation
SSIP action plan implementation	2020–2021	ESS Monitoring Application	PEA has met all required deadlines for SSIP

Tab Insert

APPENDIX C

APPENDIX C

Arizona Department of Education, Exceptional Student Services

Child Find Referral Form

Instructions

1. **Children Birth to 2 years 10.5 months—Referral from a PEA (including a Union High School District or Charter School) to AzEIP.** When any PEA receives a statement of concern from a parent about the development of their child aged birth to 2 years 10.5 months, the following process will take place *within two (2) business days of the date of the parental referral*.
    a. The PEA will submit an online referral at www.azdes.gov/AzEIP and print a copy for verification purposes. Should the online application malfunction, the PEA will immediately contact AzEIP for technical assistance.
    b. This date is considered the initial referral to AzEIP.
2. **Children 2 years 10.5 months to Five—Referral from AzEIP, a PEA (including a Union High School District or Charter School) to the District of Residence.** When an AzEIP Early Intervention Program (EIP), a union high school district, or a public charter school receives a statement of concern from a parent about the development of their child between the ages of 2 years and 10.5 months and older, or a request for an evaluation, the following process will take place *within two (2) business days of the date of the parental referral*.
    a. The AzEIP Central Referral System or the local AzEIP EIP will assist the family to (1) make a referral to the District of Residence using the Child Find Referral Form, after obtaining written consent or (2) provide the parent with district contact information, should the parent choose not to provide written consent.
    b. Union high school districts and charter schools will complete the *Child Find Referral Form*, fax the form with a cover sheet marked 'confidential' to the District of Residence, and maintain a copy of the form for verification purposes.
    c. The date the District of Residence receives the referral begins the timeline requirement for eligibility determination (45 calendar days to screen and 60 calendar days to evaluate).

Child and Parent Information — Date of Parental Referral: _____

Child's Name: _____

Date of Birth: _____

Parent/Guardian Name: _____ **Primary Language:**

Parent's Address: _____

City: _____ Zip Code:

Home Phone #: _____ Alternative #:

Best Time to Contact: Email:

District of Residence Information

Agency Name: _____

Contact Name: _____

Phone #: _____

FAX #: _____

Email: _____

Receiving Agency Information — Date Referral Received: _____

Agency Name: _____

Contact Name: _____

Phone #: _____

FAX #: _____

Email: _____

Technical Assistance is available from:

ADE/Exceptional Student Services Child Find Coordinator
(928) 637-1871
ChildFind@azed.gov
www.azed.gov/specialeducation/az-find

ADES/Arizona Early Intervention Program (AzEIP)
ADES/AzEIP Executive Director
(602) 532-9960
allazeip2@azdes.gov
www.azdes.gov/azeip

Rev. 6/21 updated website

APPENDIX C

SAMPLE 45-DAY SCREENING FORM

IMPORTANT: Consult your LEA's ***Child Find Policies and Procedures*** for complete identification and referral requirements.
See www.azed.gov/specialeducation/az-find for child find laws, regulations, procedures, sample forms, and other resources.

Student's Name	Grade	DOB	Student ID#	Date of Entry

☐ Home Language Survey completed. If any answer to a question is other than English, conduct an English language proficiency assessment.

Student Screening

	Yes	No		Notes:
Vision	☐	☐	Holds reading materials too close or too far away	
	☐	☐	Squints or tilts head to see the board or objects at a reasonable distance	
	☐	☐	Problems with eye health (i.e., tearing, sensitivity to light, eye rubbing, pain)	
	☐		Other:	
Hearing	☐	☐	Responds inappropriately to questions/directions	
	☐	☐	Frequently asks for information to be repeated or asks "What?"	
	☐	☐	Watches others to imitate what they are doing	
	☐	☐	Complains of earaches, ear pain, or head noises	
	☐	☐	Difficulty localizing sounds/the speaker	
	☐	☐	Consistently inattentive	
	☐	☐	Uses nonverbal skills (i.e., gestures, nods, head turning, leaning in)	
	☐	☐	Watches speaker intently/moves to see speaker	
	☐		Other:	
Communication	☐	☐	Poor articulation	
	☐	☐	Speech is not understandable by most listeners	
	☐	☐	Ineffective communication/messages	
	☐	☐	Difficulty learning new sounds/new words	
	☐	☐	Voice problems (i.e., volume, rate, quality)	
	☐	☐	Difficulty expressing ideas, responding to instructions	
	☐	☐	Does not engage in age-appropriate conversations/discussions	
	☐		Other:	
Cognitive or Academic	☐	☐	Learns very slowly compared to peers	
	☐	☐	Attention problems (i.e., attention span, focus on less relevant stimuli)	
	☐	☐	Below grade level in: ☐ reading, ☐ writing, ☐ math	
	☐	☐	Difficulty recalling information	
	☐		Other:	
Adaptive	☐	☐	Weak self-care skills (i.e., personal hygiene, dress, belongings)	
	☐	☐	Poor social skills (i.e., working with peers, social perceptions/cues)	
	☐	☐	Difficulty understanding directions, communicating needs, expressing ideas	
	☐	☐	Inappropriate school coping behaviors (i.e., attention, organization, questioning behavior, following directions, monitoring use of time)	
	☐		Other:	
Social or Behavioral	☐	☐	Exhibits externalizing behaviors (i.e., aggression, vandalism, bullying, excessive absenteeism)	
	☐	☐	Exhibits internalizing behaviors (i.e., fears, phobias, depression, withdrawal)	
	☐	☐	Inappropriate behaviors or feelings under normal circumstances	
	☐	☐	Poor conduct/defiance in campus settings, unstructured environments	
	☐	☐	Trouble transitioning between activities	
	☐	☐	Difficulty developing or maintaining peer or adult relationships	
	☐		Other:	
Motor	☐	☐	Gross motor development not age appropriate (i.e., clumsy or awkward; avoids physical tasks to possibly mask pain, fatigue, or lack of endurance)	_____
	☐	☐	Fine motor skills not age appropriate (i.e., difficulty reaching, grasping, or manipulating objects; shaky, stiff, or weak movements)	
	☐		Other:	

Date 45-day screening was completed: _____

Administrative Action:

☐ No concerns at this time.

☐ Concern(s) noted. Action(s) taken:

☐ Parent(s) notified on _____
☐ Referred for student study team
☐ Referred to appropriate program administrator
☐ Referred for ☐ Comprehensive Evaluation ☐ 504 Plan
☐ Other: _____

Teacher's Signature: _____

Administrator's Signature: _____

Tab Insert

APPENDIX D

Indicator 8 Parent Involvement Survey Instructions

School districts and charter schools are required to administer the online-only survey annually from January 17th —May 31st.
State agencies do not administer the survey.

The State Performance Plan—Indicator 8: Parent Involvement—requires ADE/Exceptional Student Services (ESS) to annually submit survey data on the percentage of parents with a child receiving special education services who report that schools facilitated parent involvement as a means of improving services and results for children with disabilities. The Indicator 8 target this year for SY '22 is 71%. This percentage—the Indicator 8 measurement—is calculated from answers to questions in completed surveys and is reported after the survey closes.

Get Started

- Log into **ADEConnect – ESS Portal – ESS Data Surveys – Parent Involvement Survey**
  - ✓ If you don't already have access to the survey application, or need to add additional users who should have the right to use this information and administer the survey, contact your entity ADEConnect administrator and ask to be assigned the **ESS Parent Survey: User Role.** If additional assistance is needed to be assigned the User Role use the Help Desk ticketing system via ADEConnect.
- The ADEConnect ESS Parent Involvement Survey application displays
  1. Student List/Login Codes
  2. PEA Instructions
  3. Parent Letter
  4. Progress Report Instructions *The progress report participation rate shows the approximate number of completed/not completed surveys. Currently, ESS does not require a minimum participation (response) rate. Continuous efforts to reach the highest possible participation rate will yield valid and useful data.*
  5. Question-by-Question Report Instructions

  Note: The Student List and Report tabs are located above the Welcome to the Exceptional Student Services Data Survey Tool banner.

Survey Administration
Reminder:

- Districts will distribute login codes to parents of their Private Day/Tuitioned-out students.
- Students over 18 years-of-age will take the survey *unless* a parent has retained IEP rights. The parent who has retained special education rights will complete the survey, not the student.
- Secure Care facilities will administer the survey.

1. Download the **2022 Student List**.
   a. The October 1st special education census list is used to generate the student lists.
   b. Review the list prior to printing the family instruction letter. You may choose to remove students who are no longer receiving special education services or have withdrawn. Deletions will not affect internal ADE data collection systems.
2. Merge the Excel student list and the Word family instruction letter to add each student's name, school name, and unique login code to individualized letters. Use your software help tool for mail merge instructions. Or, use an alternate method to prepare this information for distribution (i.e, individual email or use of other electronic communication programs).
3. Distribute confidential instruction letters.
   a. Give survey instructions and a login code to every parent of a student age 3 through 21 who has an IEP.
   b. Parents complete separate surveys for each of their children who has an IEP.

c. **Important:** Give survey instructions and a login code to students over 18 years-of-age unless a parent has retained IEP rights. The parent who has retained special education rights will complete the survey, not the student.
d. The instruction letter informs respondents that the survey is confidential. Your assurance that school staff can't access individual survey responses will increase participation.
e. Involve teachers, administrative office staff, and IT personnel to devise a distribution and follow-up plan.
f. Use a variety of methods to boost participation (e.g., IEP and parent teacher meetings, direct mail, secure email or text, web-based learning and communication programs, and school events).
g. Participation will increase with follow-up phone calls, emails, and personal interactions to confirm instruction letters were received and that input is valued.
h. Should the respondent choose to retake the survey, the same login code can be reused.

Data Collection

- As required by IDEA '04, Indicator 8 measurements for PEAs with six or more special education students will be posted for public viewing on the ESS website. The Indicator 8 measurement is the percentage of parents with a child receiving special education services who report that schools facilitated parent involvement as a means of improving services and results for children with disabilities.
- Based on each unique login code, the survey extracts demographic information about the child from AzEds (i.e., race, ethnicity, age, grade, disability category) and allows ESS to summarize results for individual PEAs and school sites.
- After the survey closes, authorized users will have access to their PEA's question-by-question summary. The PEA report will include the Indicator 8 measurement of parent involvement, and if more than six surveys were completed the report will include parent comments. The statewide report will also be posted.
- The Indicator 8 measurement will be used for Program Support and Monitoring risk analysis.
- **FYI:** This measurement is not the percent of individuals who completed the survey. Currently, ESS does not require a minimum participation (response) rate.

Survey Portal—https://ADEParentSurvey.azed.gov

- The short online-only survey can be completed in less than ten minutes on a computer, tablet, or smart phone.
- Users are prompted to choose English or Spanish. For other languages utilize the same methods you use to involve parents or students who are unable to read English or Spanish.
- Each unique—confidential—login code allows the survey application to extract demographic information about the student from AzEds.
- <u>Likert scale questions</u> (Strongly Agree, Agree, Disagree, Strongly Disagree, Not Applicable)
  1. I work together with the IEP team as an equal partner to develop my or my child's IEP.
  2. I feel comfortable telling my ideas about how well special education services meet my or my child's needs.
  3. The teacher(s) keep(s) in touch with me regularly about my or my child's progress.
  4. My relationship with the school staff has a positive effect on my or my child's education.
  5. Administrators are available to discuss my questions or concerns.
  6. My school helps me play an active role in my or my child's education.
  7. The school explains what choices I have if we disagree.
  8. Overall, I am satisfied with how my or my child's school makes it easy for me to be involved.

  <u>Open-ended question:</u> *Questions 1—8 are always confidential. Question 9 will be confidential unless a student or a specific situation is identified.*

  9. How does your school encourage you to be involved?

Tab Insert

APPENDIX E

General Supervision Activities

Year 1

- Complete student file review using file sample guidance **for technical assistance (TA) purposes**
- Data collection for Indicators 11, 12, and 13
- Review of public education agency (PEA) policies and procedures
- Second site visit if Indicator data is not 100% or at the request of the PEA
- Risk analysis review
- TA as determined by the PEA and specialist
- Collaborative efforts with other units in ADE that may be working with the PEA

Year 2

- Complete student file review using file sample guidance **for TA purposes**
- Data collection for Indicators 11, 12, and 13
- Review of child find requirements
- Second site visit if Indicator data is not 100% or at the request of the PEA
- Risk analysis review
- TA as determined by the PEA and specialist
- Collaborative efforts with other units in ADE that may be working with the PEA

Year 3

- Complete student file review using file sample guidance **for TA purposes**
- Data collection for Indicators 11, 12, and 13
- Review of summary of performance (SOP) requirements
- Second site visit if Indicator data is not 100% or at the request of the PEA
- In-person risk analysis review
- TA as determined by the PEA and specialist
- Collaborative efforts with other units in ADE that may be working with the PEA
- Monitoring set up for the following year based on risk analysis review

Year 4

- Differentiated monitoring activities as determined by the risk analysis
- Participation in State Systemic Improvement Plan (SSIP) if targeted

Year 5

- PEA completion of corrective action plan (CAP) activities
- SSIP and outcome area implementation updates and follow-up
- If no CAP activities, student file review using file sample guidance **for TA purposes**
- Data collection for Indicators 11, 12, and 13
- Risk analysis review

Year 6

- Complete student file review using file sample guidance **for TA purposes**
- SSIP and outcome area implementation updates and follow-up
- Data collection for Indicators 11, 12, and 13
- Second site visit if Indicator data is not 100% or at the request of the PEA
- Risk analysis review
- TA as determined by the PEA and specialist
- Collaborative efforts with other units in ADE that may be working with the PEA

Annual Site Visit (ASV)
File Sample Guidance

Number of students in special education	50 or less	Over 50
Number of eligible student files	5+	10+
Initial evaluations of students found not eligible **(for line item II.A.5 only)**	2	2
Postsecondary transition requirements **(Line item III.A.6 only)**	2	5

Items to consider in choosing files:

- Number of school sites, evaluators, authors, etc.
- Initial evaluations
- Parent request for evaluation
- Disability categories
- Service delivery models within the PEA
- English language learners (ELs)
- Students who are 16 years of age or older (Indicator 13)
- Students in dropout recovery programs
- Out-of-district placements (ASDB, private day school, and residential placement)
- Students from an elementary-only district that are tuitioned (not open enrolled) to a neighboring unified or high school district
- Students phased out of special education services
- Students who have been suspended, have been expelled, or have moved to an interim alternative educational setting (IAES) for longer than 10 days
- Students initially evaluated and found not eligible (Indicator 11)
- Preschool students

Note: The annual site visit is a technical assistance visit to assist the PEA in preparation for upcoming monitoring activities. The PEA and specialist should discuss beforehand the focus of the technical assistance visit. Indicator 11 and 13 data will be collected by the specialists regardless of agreed upon focus.

Student Form

SSID Number: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____ Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.2	_____	Review of existing data
☐		☐	Parent request timeline
☐		☐	Current information provided by the parents
☐		☐	Current classroom-based assessments
☐		☐	Teachers and related service providers observation(s), including pre-referral interventions
☐		☐	Formal assessments
☐	II.A.3	_____	Team determination of need for additional data
☐		☐	Team determined that existing data were sufficient or determined that additional data were needed
☐		☐	For reevaluation only, parents were informed of reason and right to request data
☐		☐	Obtained informed parental consent or, for reevaluation only, documented efforts to obtain consent

PEA ✓	Line Item	I-O-U	Description
☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision and hearing status) and for preschool, a CDA **(indicate areas that have not been assessed) 60-Day** ☐ Vision ☐ Social/behavioral ☐ Hearing ☐ Communications ☐ Academics ☐ Assistive tech. ☐ Cognitive ☐ Motor skills ☐ Adaptive ☐ Other _____
☐		☐	Performance in educational setting and progress in general curriculum
☐		☐	Educational needs to access the general curriculum, including assistive technology
☐		☐	For reevaluations, if any additions or modifications to the special education services are needed for the student to progress in the general curriculum
☐		☐	The impact of any educational disadvantage
☐		☐	The impact of English language learning on progress in the general curriculum
☐		☐	Team determined the student has a specific category of disability **60-Day**

C5

COMMENTS: _____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐		☐	Team determined the student needs special education and related services **60-Day**
☐		☐	Assessments and other evaluation materials are administered in a language and form most likely to yield accurate information **60-Day**
☐		☐	SPED72 matches eligibility
☐		☐	A—documents a developmental disability that significantly affects verbal and nonverbal communication and social interaction
☐		☐	DD—documents at least 1.5 SD and no more than 3.0 SD below the mean in two or more areas for a child who is at least 3 years of age but under 10 years of age
☐		☐	ED—verification by a qualified professional **60-Day**
☐		☐	HI—verification by a qualified professional **60-Day**
☐		☐	HI—documents the language proficiency of the student
☐		☐	MIID—documents performance on standard measures between 2 and 3 SD below the mean
☐		☐	MOID—documents performance on standard measures between 3 and 4 SD below the mean
☐		☐	MD—documents a learning and developmental problem resulting from multiple disabilities **60-Day**
☐		☐	MDSSI—documents multiple disabilities that include at least one of the following: VI or HI **60-Day**
☐		☐	OHI—verification by a qualified professional **60-Day**
☐		☐	OI—verification by a qualified professional **60-Day**
☐		☐	PSD—documents more than 3.0 SD below the mean in one or more areas
☐		☐	SLI—documents a communication disorder
☐		☐	SLD—documents a significant discrepancy between achievement and ability in one of the identified areas or failure to respond to intervention (RTI)
☐		☐	SLD—certifies that each team member agrees or disagrees
☐		☐	SLD—documents determination of effects of environmental, cultural, or economic disadvantage
☐		☐	SID—documents performance at least 4 SD below the mean
☐		☐	TBI—verification by a qualified professional **60-Day**
☐		☐	VI—verification by a qualified professional **60-Day**
☐		☐	VI—documents the results of an individualized Braille assessment for a student who is considered blind
☐	**II.A.5**	_____	**For initial evaluation, the student was evaluated within 60 calendar days** **# of days over:** _____ **Reason:** _____ **60-Day**

C5

COMMENTS:_____

_____

_____

_____

Student Form

Individualized Education Program

PEA ✓	Line Item	I-O-U	Description
☐	III.A.1	_____	Current IEP (date: _____) **60-Day**
☐	III.A.2	_____	IEP review/revision and participants
☐		☐	IEP reviewed/revised annually (previous date: _____)
☐		☐	IEP team meeting included required participants **(if "no," indicate missing members)** ☐ Parent ☐ PEA Representative ☐ Gen Ed Teacher ☐ Test Results ☐ Special Ed Teacher Interpreter
☐	III.A.3	_____	General required components of IEP are included
☐		☐	IEP has PLAAFP (refer to Guide Steps)
☐		☐	Measurable annual goals related to PLAAFP
☐		☐	Documentation of eligibility for alternate assessment, if appropriate **60-Day**
☐		☐	For students eligible for alternate assessments only, short-term instructional objectives or benchmarks
☐		☐	Current progress report includes progress toward goals **(If "out," indicate the missing requirement)** ☐ No description of timeline ☐ Goals not measurable ☐ Not done in accordance with timeline ☐ Not reflective of measurement criteria in goal

PEA ✓	Line Item	I-O-U	Description
☐	III.A.4	_____	Individualized services to be provided
☐		☐	Special education services to be provided **(If "out," indicate the missing requirement)** ☐ Not specially designed instruction (SDI) ☐ No documentation of why SDI is provided by other personnel ☐ No documentation of certified special education personnel in planning, progress monitoring, or delivery of SDI ☐ Special education teacher not certified ☐ Other provider not certified (**district only**)
☐		☐	Consideration of related services
☐		☐	Consideration of supplementary aids, services, and program modifications
☐		☐	Consideration of supports for school personnel
☐		☐	Location, frequency, and duration of services and modifications **(If "out," indicate the missing requirement)** ☐ Location ☐ Frequency ☐ Duration
☐		☐	Consideration of the need for extended school year
☐		☐	Extent to which student will not participate with nondisabled peers
☐		☐	SPED72 matches LRE

C5

COMMENTS:_____

_____

_____

_____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐	III.A.5	_____	Other considerations
☐		☐	Consideration of strategies/supports to address behavior that impedes student's learning or that of others
☐		☐	Consideration of individual accommodations in testing, if appropriate
☐		☐	Consideration of communication needs of the student
☐		☐	Consideration of assistive technology devices and service needs
☐		☐	For students who are ELL, consideration of language needs related to the IEP
☐		☐	For students with HI, consideration of the child's language and communication needs
			Secondary Transition Line Items (III.A.6 & III.A.7)
☐	**III.A.6**	_____	**For students 16 years of age or older, documentation of required postsecondary components 60-Day**
☐		☐	Measurable postsecondary goals ☐ No evidence of goals ☐ Goal content not postsecondary ☐ Not measurable ☐ Required goal areas not addressed
☐		☐	Measurable postsecondary goals updated annually
☐		☐	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
☐		☐	Documentation of one or more transition services/activities that support the postsecondary goal(s)
☐		☐	The student's course of study supports the identified postsecondary goal(s)
☐		☐	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
☐		☐	Documentation that the student was invited to the meeting
☐		☐	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent has been obtained
☐	III.A.7	_____	Documentation of additional postsecondary transition components
☐		☐	Progress reporting for services/activities
☐		☐	By age 17, a statement of rights to transfer at age 18
☐	III.A.8	_____	IEP reflects student educational needs **60-Day** Reason for "**O**" call
			Procedural Safeguards/Parental Participation
☐	IV.A.1	_____	Notices provided at required times and in a language and form that is understandable to the parent
☐		☐	Procedural safeguards notice provided to parents within the last 12 months **60-Day**
☐		☐	All required notices provided in a language that is: 1. the native language of the parent 2. understandable to public **60-Day**

C5

COMMENTS:_____

_____

_____

_____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐	IV.A.2	_____	PWN provided at required times and contains required components
☐		☐	PWN provided to parents at required times in the last 12 months
☐		☐	For PWN, a description of the action proposed or refused by the PEA
☐		☐	For PWN, explanation of why the agency proposed or refused to take the action
☐		☐	For PWN, description of any options considered and why these options were rejected
☐		☐	For PWN, description of evaluation procedures, tests, and records used as a basis for the decision
☐		☐	For PWN, description of any other relevant factors
☐		☐	For PWN, if the notice is not an initial referral for evaluation, a statement of how a copy of the procedural safeguards can be obtained
☐		☐	For PWN, sources to obtain assistance in understanding the notice

Referral	Additional Data	Eligibility	Initial Placement	IEP/FAPE	Suspension/ Expulsion
Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:	Implementation Date:
PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:	PWN Provision Date:

C5

COMMENTS:_____

_____

_____

_____

Student Form

PEA ✓	Line Item	I-O-U	Description
☐	IV.A.3	_____	Discipline procedures and requirements followed
☐		☐	Notified parent on the same date the disciplinary decision was made
☐		☐	If a change in placement occurred, the IEP team conducted a review within 10 school days to determine the relationship between the student's disability and behavior
☐		☐	If the IEP team determined that behavior was a manifestation of the student's disability, an FBA was conducted and a BIP implemented or, if already in place, a BIP reviewed and modified, as necessary **60-Day**
☐		☐	If the IEP team determined that behavior was a manifestation of the student's disability, the student was returned to placement from which the student was removed, unless the parent and PEA agreed to a change of placement **60-Day**
☐		☐	For suspension or IAES placement, student continued to be provided FAPE, including services and adaptations described in the IEP **60-Day**

C5

COMMENTS:_____

_____

_____

_____

Tab Insert

APPENDIX F

Arizona Department of Education
Diane M. Douglas, Superintendent of Public Instruction

Exceptional Student Services
Arizona Technical Assistance System
(AZ-TAS)

Qualified Professionals Eligible to Conduct Appropriate Evaluations

A Technical Assistance Document to Support Evaluations; as Required by R7-2-401 (G.8)

August 2018

Introduction

On October 23, 2017, the Arizona State Board of Education adopted rules in the area of Special Education (R7-2-401). These rules replaced the specific professionals previously required to verify certain disabilities with the general term "qualified professional." These rules further required the Arizona Department of Education to create a list, to be reviewed and approved by the State Board of Education, of qualified professionals eligible to conduct the appropriate evaluations. From the rules:

> **The Department shall develop a list, subject to review and approval of the State Board of Education, of qualified professionals eligible to conduct the appropriate evaluations prescribed in 35 subsection (E)(7).**

The following is the list of qualified professionals developed by the Department of Education as required by (R7-2-401(G)(8) *as amended and approved by the Arizona State Board of Education on 1/29/18; revised 8/27/18.*

QUALIFIED PROFESSIONAL LIST
Per R7-2-401

For the following disabilities, the full and individual initial evaluation shall include:

- Emotional disability:
  - verification of a disorder by a psychiatrist, licensed psychologist, licensed *professional counselor, licensed clinical social worker (LSCW),* or a certified school psychologist.
- Hearing impairment:
  - An audiological evaluation by an individual holding a master's or doctoral degree in audiology, and
  - An evaluation of communication/language proficiency.
- Other health impairment:
  - verification of a health impairment by a doctor of medicine, doctor of osteopathy, licensed nurse practitioner, licensed physician assistant*, or in cases of ADHD a certified school psychologist or licensed psychologist.*
- Orthopedic impairment:
  - verification of the physical disability by a doctor of medicine, doctor of osteopathy, *doctor of podiatric medicine*, licensed nurse practitioner, or licensed physician assistant.
- Speech/language impairment:
  - *an evaluation by a certified speech-language pathologist or speech-language technician.*
  - *For students whose speech impairments appear to be limited to articulation, voice, or fluency problems, the written evaluation may be limited to:*
    - *An audiometric screening within the past calendar year,*
    - *A review of academic history and classroom functioning,*
    - *An assessment of the speech problem by a licensed and certified speech-language pathologist or speech language technician, or*
    - *An assessment of the student's functional communication skills*.
- Traumatic brain injury:
  - verification of the injury by a doctor of medicine, doctor of osteopathy, licensed nurse practitioner, licensed physician assistant *or a licensed clinical neuropsychologist*
- Visual impairment:
  - verification of a visual impairment by an ophthalmologist or optometrist.

Tab Insert

APPENDIX G

NSTTAC Indicator 13 Checklist: Form B (Enhanced for Professional Development)

Percent of youth with IEPs aged 16 and above with an IEP that includes appropriate measurable postsecondary goals that are annually updated and based upon an age appropriate transition assessment, transition services, including courses of study, that will reasonably enable the student to meet those postsecondary goals, and annual IEP goals related to the student's transition services needs. There also must be evidence that the student was invited to the IEP Team meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority. (20 U.S.C. 1416(a)(3)(B))

Questions	*Postsecondary Goals* Training	Education	Employment	Independent Living skills
1. Is there an appropriate measurable postsecondary goal or goals in this area?	Y N	Y N	Y N	Y N NA
Can the goal(s) be counted? Will the goal(s) occur *after* the student graduates from school? Based on the information available about this student, does (do) the postsecondary goal(s) seem appropriate for this student? • If *yes* to all three guiding questions above, then circle Y OR if a postsecondary goal(s) is (are) *not* stated, circle N				
2. Is (are) the postsecondary goal(s) updated annually?	Y N	Y N	Y N	Y N NA
Was (were) the postsecondary goal(s) addressed/ updated in conjunction with the development of the current IEP? • If *yes*, then circle Y OR If the postsecondary goal(s) was (were) *not* updated with the current IEP, circle N				
3. Is there evidence that the measurable postsecondary goal(s) were based on age appropriate transition assessment?	Y N	Y N	Y N	Y N
Is the use of transition assessment(s) for the postsecondary goal(s) mentioned in the IEP or evident in the student's file? • If *yes*, then circle Y OR if *no*, then circle N				
4. Are there transition services in the IEP that will reasonably enable the student to meet his or her postsecondary goal(s)?	Y N	Y N	Y N	Y N
Is a type of *instruction, related service, community experience, or development of employment and other post-school adult living objectives, and if appropriate, acquisition of daily living skills, and provision of a functional vocational evaluation* listed in association with meeting the post-secondary goal(s)? • If *yes*, then circle Y OR if *no*, then circle N				
5. Do the transition services include courses of study that will reasonably enable the student to meet his or her postsecondary goal(s)?	Y N	Y N	Y N	Y N
Do the transition services include courses of study that align with the student's postsecondary goal(s)? • If *yes*, then circle Y OR if *no*, then circle N				
6. Is (are) there annual IEP goal(s) related to the student's transition services needs?	Y N	Y N	Y N	Y N
Is (are) an annual goal(s) included in the IEP that is/are related to the student's transition services needs? • If *yes*, then circle Y OR if *no*, then circle N				
7. Is there evidence that the student was invited to the IEP Team meeting where transition services were discussed?	Y N	Y N	Y N	Y N
For the current year, is there documented evidence in the IEP or cumulative folder that the student was invited to attend the IEP Team meeting? • If *yes*, then circle Y OR if *no*, then circle N				
8. If appropriate, is there evidence that a representative of any participating agency was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority?	Y N NA	Y N NA	Y N NA	Y N NA
For the current year, is there evidence in the IEP that representatives of any of the following agencies/services were invited to participate in the IEP development including but not limited to: *postsecondary education, vocational education, integrated employment (including supported employment), continuing and adult education, adult services, independent living or community participation* for this post-secondary goal? Was consent obtained from the parent (or student, for a student the age of majority)? • If *yes* to both, then circle Y • If *no* invitation is evident and a participating agency is likely to be responsible for providing or paying for transition services and there was consent to invite them to the IEP meeting, then circle N • If it is too early to determine if the student will need outside agency involvement, or no agency is likely to provide or pay for transition services, circle NA • If parent or individual student consent (when appropriate) was *not* provided, circle NA				
Does the IEP meet the requirements of Indicator 13? (Circle one) **Yes** (all Ys or NAs for each item [1-8] on the checklist included in the IEP are circled) or **No** (one or more Ns circled)				

Instructions for Completing NSTTAC Indicator 13 Checklist

1. Is there an appropriate measurable postsecondary goal or goals in this area?

- Find the postsecondary goal(s) for this student
- If there are appropriate measurable postsecondary goals in the areas of *Training* after high school; *Education* after high school, and *Employment* after high school, and (where appropriate) *Independent Living Skills* after high school **and** if the identified postsecondary goals in *Training*, *Education*, and *Employment*, and (where appropriate) *Independent Living Skills* appear to be appropriate for the student, based on the other information regarding Present Level of Academic and Functional Performance and / or the student's strengths, preferences, and interests, circle Y
- If a student's postsecondary goal in *Training* and *Education* addresses both training for a career and other education after high school (e.g., enrollment in an adult education program focused on both job and independent living skills; enrollment in a college program in preparation for a career in architecture), circle Y in both the *Education* and *Training* columns
- *"it may not always be necessary for the student to have separate postsecondary goals for training and education in these instances. Based on the individual needs of the student and the student's plans after leaving high school, it may be reasonable for an IEP Team to interpret the areas of training and education as overlapping in developing postsecondary goals for a student. In these instances, an IEP Team could develop a combined postsecondary goal in the areas related to training and education. Employment is a distinct activity from the areas related to training and education, and each student's IEP must include a separate postsecondary goal in the area of employment. For further information see Questions and Answers on Secondary Transition, Revised September 2011, OSEP, Retrieved http://idea.ed.gov/explore/view/p/%2Croot%2Cdynamic%2CQaCorner%2C10%2C).*
- If an IEP team has interpreted training and education as overlapping areas, circle Y in both columns.
- If there is misalignment between the student's postsecondary goal(s), based on the information available (e.g., present level of performance, student interests, student preferences), circle N for the misaligned goal area(s) in the appropriate column(s)
- If there is a postsecondary goal that addresses *Training* but it is not measurable or does not appear to be appropriate for the student, circle N in that column
- If there is a postsecondary goal that addresses *Education* after high school, but it is not measurable or does not appear to be appropriate for the student, circle N in that column
- If there is not a postsecondary goal that addresses *Training* and a separate postsecondary goal that addresses *Education* or an appropriate combination of the two after high school, circle N
- If there is a postsecondary goal that addresses *Employment* after high school, but it is not measurable or does not appear to be appropriate for the student, circle N
- If there is not a postsecondary goal that addresses *Employment* after high school, circle N
- If there is a postsecondary goal that addresses *Independent Living Skills* after high school, but it is not measurable or does not appear to be appropriate for the student, circle N
- If there is not a postsecondary goal that addresses *Independent Living Skills* after high school, circle NA for that column (If NA is circled for *Independent Living Skills* for #1, please do not respond to questions in this column for questions 2 – 8.)

2. Are the postsecondary goals updated annually?

- If the postsecondary goals for *Training*, *Education*, *Employment*, and where appropriate *Independent Living Skills*, are documented in the student's current IEP, circle Y in each corresponding column
- If the postsecondary goals for *Training*, *Education*, *Employment*, and where appropriate *Independent Living Skills*, are not documented in the student's current IEP, circle N in each corresponding column

- If this is the student's first IEP that addresses secondary transition services because they just turned 16, this is considered an update, so circle Y in each column

3. Is there evidence that the measurable postsecondary goals were based on age appropriate transition assessment?

- Find where information relates to assessment and the transition component on the IEP (either in the IEP or the student's file)
- For each of the postsecondary goal areas circled Y in question #1, evidence that at least one age appropriate transition assessment was used to provide information on the student's needs, strengths, preferences, and interests regarding this postsecondary goal, circle Y the corresponding column
- For each of the postsecondary goal areas circled Y in question #1, if there is **no** evidence that age appropriate transition assessment provided information on the student's needs, taking into account strengths, preferences, and interests regarding this postsecondary goal, circle N in the corresponding column
- If a postsecondary goal area was addressed in item #1, but was not measurable and if there is age appropriate transition assessment information, from one or more sources, provided on the student's needs, taking into account strengths, preferences, and interests regarding this postsecondary goal, circle Y in the corresponding column
- If a postsecondary goal area was addressed in item #1, but was not measurable and if there is **not** age-appropriate transition assessment information provided on the student's needs, taking into account strengths, preferences, and interests regarding this postsecondary goal, circle N in the corresponding column
- If an *Independent Living Skill* postsecondary goal was noted as NA for #1, please do not provide an answer in that column.

4. Are there transition services in the IEP that will reasonably enable the student to meet his or her postsecondary goals?

- Find where transition services/activities are listed on the IEP
- For each postsecondary goal, if there is a type of instruction, related service, community experience, or development of employment and other post-school adult living objectives, and if appropriate, acquisition of daily living skill(s), and provision of a functional vocational evaluation listed in association with meeting the postsecondary goal (s), circle Y
- For each of the postsecondary goal, if there is **no** type of instruction, related service, community experience, development of employment and other post-school adult living objective, acquisition of a daily living skill, or functional vocational evaluation listed in association with meeting the postsecondary goal(s), circle N in the corresponding column
- If a postsecondary goal area was addressed in item #1, but was not measurable and there is a type of transition services listed in association with meeting that postsecondary goal, circle Y in the corresponding column If a postsecondary goal area was addressed in item #1, but was not measurable and there is **no** type of transition service listed in association with meeting that postsecondary goal, circle N in the corresponding column
- If an *Independent Living Skill* postsecondary goal was noted as NA, please do not provide an answer in that column

5. Do the transition services include courses of study that will reasonably enable the student to meet his or her postsecondary goals?

- Locate the course of study (instructional program of study) or list of courses of study in the student's IEP
- Are the courses of study a multi-year description of coursework from the student's current to anticipated exit year that is designed to help achieve the student's desired post-school goal(s)? If yes, go to next instruction bullet. If no, circle N in each column

- Do the courses of study align with the student's identified postsecondary goal(s)? If yes, circle Y in the corresponding column(s). If no, circle N in the corresponding column(s)
- If an *Independent Living (IL)* postsecondary goal was noted as NA, please do not provide an answer in the *(IL)* column.

6. Is (are) there annual IEP goal(s) that are related to the student's transition services needs?

- Find the annual goals, or, for students working toward alternative achievement standards, or States in which short-term objectives are included in the IEP, short-term objectives on the IEP
- For each of the postsecondary goal areas circled Y in question #1, if there is an annual goal or short-term objective included in the IEP related to the student's transition services needs, circle Y in the corresponding column(s)
- For each of the postsecondary goal areas circled Y in question #1, if there is **no** annual goal or short-term objective included in the IEP related to the student's transition services needs, circle N in the corresponding column(s)
- If a postsecondary goal area was addressed in #1, but was not measurable, and an annual goal is included in the IEP related to the student's transition services needs, circle Y in the corresponding column(s)
- If a postsecondary goal area was addressed in #1, but was not measurable, and there is **no** annual goal included the IEP related to the student's transition services needs, circle N in the corresponding column(s)
- If an *Independent Living Skill* postsecondary goal was noted as NA, please do not provide an answer in that column.

7. Is there evidence that the student was invited to the IEP Team meeting where transition services were discussed?

- Locate the invitation to the IEP conference for the student.
- Was the student invitation signed (by the LEA) and dated prior to the date of the IEP conference? If yes, circle Y in each column OR if no, circle N in each column

8. If appropriate, is there evidence that a representative of any participating agency was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority?

- Find where persons responsible and/or agencies are listed on the IEP
- Are there transition services listed on the IEP that are likely to be provided or paid for by an outside agency? If yes, continue with next instruction bullet. If no, circle NA in the corresponding column(s)
- Was parent consent or student consent (once student has reached the age of majority) to invite an outside agency(ies) obtained? If yes, continue with next instruction bullet. If no, circle NA in the corresponding column(s)
- If a postsecondary goal area was addressed in item #1, but was not measurable and there is evidence that parent/student consented agency(ies) were invited to the IEP meeting to discuss transition, circle Y in the corresponding column(s)
- If a postsecondary goal area was addressed in item #1, but was not measurable and there is **no** evidence that parent/student consented agency(ies) were invited to the IEP meeting to discuss transition, circle N in the corresponding column(s)
- If it is too early to determine if this student will need outside agency involvement, circle NA in each column
- If an *Independent Living (IL)* postsecondary goal was noted as NA, please do not provide an answer in the *(IL)* column.

Does the IEP meet the requirements of Indicator 13?

- If all Ys or NAs for each item (1- 8) for all postsecondary goals identified are circled, then circle **Yes**
- If one or more Ns are circled, then circle **No**

Tab Insert

APPENDIX H

Specially Designed Instruction

SDI is intended to adapt the content, method, and/or instructional delivery to address the unique needs of a student. SDI ensures access to grade-level Arizona Academic Standards.

IS	IS NOT
In addition to core instruction (supplemental)	In place of core instruction (supplant)
A service or support	An LRE placement
What qualified personnel do	What a student does
Teaching of specific skills identified as learning barriers	A restatement of academic content being taught to all students
An important feature of a program and/or unique instruction	Naming a specific program that replaces a special education service
Specific to the student (individualized)	Driven by programs or schedules
Presumption of high expectations and supporting students in the general education setting	Lowering expectations and/or removing students from the general education setting
Presumption of independence	Presumption of dependence
Presumption of competence	Presumption of incompetence

**Disclaimer: This presentation reflects current federal and state compliance requirements included in the Arizona ESS monitoring system. This presentation does not include local PEA policy, procedure and practice that may exceed compliance requirements.

SDI Worksheet

~~ Information can be in the PLAAFP, services, goals, etc. ~~

* Evidence of SDI must address at least one of the following: content, methodology, and delivery of instruction. Adapting any one of these three in isolation, however, may not constitute SDI.

Content (Curriculum based on grade-level standards)	Methodology (Instructional design of content, based on research or best practice)	Delivery (Application and implementation of methodology that are necessary and specified within the IEP)	How is instruction different from what all other students receive?	Is instruction individualized? (Yes or No)	Is SDI evident? (Yes or No)

June 2021

Tab Insert

APPENDIX I

Transportation Only District
Data Collection Form

Date: _____ **Specialist**: _____

PEA: _____

I-O-U	Description
_____	PEA has board-approved policies and procedures for child find.
_____	Child find procedures are disseminated to parents.
_____	PEA maintains invitation list and agenda for private school involvement.
_____	PEA has process for AzEIP referral.
_____	PEA has process for ages 3–5 screening and evaluation.
_____	PEA has process for school-age referral.

COMMENTS: _____

_____

_____

_____

_____

_____

Tab Insert

APPENDIX J

Considerations for Discussing and Determining End of Section Calls

End of section calls are based on the data collected for the entire section. The end of section call is a determination of the overall implementation of systems the PEA has in place for each of the four sections. Evidence of systems should be evident through documentation, affirming the implementation of the PEA's policies, procedures, and practices.

Substantial—This would indicate strong evidence of implementation of the PEA's policies, procedures, and practices through documentation reviewed. This evidence would be consistent across PEA sites, grade levels, teachers, PEA personnel, etc. The evidence of implementation would also be evident across all parts of the procedural requirements, not isolated to one potential line item.

Inconsistent—This would indicate moderate evidence of implementation of the PEA's policies, procedures, and practices through documentation. Evidence may indicate strong implementation at some grade levels and/or with some personnel but is not consistent across all. Evidence may be consistent and strong on one site but not across all sites. Evidence may be consistent and strong in one area of procedural requirements, but not across all line items or procedural requirements.

Minimal—This would indicate limited evidence of implementation of the PEA's policies, practices, and procedures through documentation. Evidence may indicate a relative strength in one procedural requirement but not in any other procedural requirements in that section. Evidence may indicate a lack of consistency among providers, grade level, and/or sites.

No Evidence—This would indicate a lack of evidence of implementation of the PEA's policies, procedures, and practices through documentation. Evidence does not support implementation of a system related to the procedural requirements for a section.

Tab Insert

APPENDIX K

Please fill in the demographic info completely. For "teacher" most people use the special education teacher or case manager. "Monitor" is the person doing the file review. For "ethnicity" and "language", please use a primary source from the parent such as registration info and the PHLOTE. Please use the "eligibility" from the evaluation (MET) report.

SSID No: _____ DOB: _____ Student: _____ Eligibility: _____

Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent: _____ Language in which the student is most proficient: _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
☐	II.A.1	_____	Current evaluation **60-Day**
☐	II.A.2	_____	Review of existing data
☐			Parent request timeli...
☐			Current information provide...
☐			Current classroom-based a...
			...and related servi...
	.A.3		...n(s), including pr...
			...sessments
			...ermination of nee...
			...ermined that exist...
			...r determined that additional data were
☐			For reevaluation only, parents were informed of reason and right to request data
☐			Obtained informed parental consent or for reevaluation only, documented efforts to obtain consent

☐	II.A.4	_____	Eligibility considerations
☐		☐	Student assessed in all areas related to the suspected disability (including academic, behavior, current vision and hearing status) and for preschool, a CDA **(indicate areas that have not been assessed) 60-Day**
			☐ Vision ☐ Social/behavioral
			☐ Hearing ☐ Communications
			☐ Academics ☐ Assistive tech.
			☐ Cognitive ☐ Motor skills
			☐ Adaptive ☐ Other _____
		☐	Performance in educational setting and progress in general curriculum
		☐	...ions
		☐	...or
			...m
		☐	The impact of any educational disadvantage
		☐	The impact of English language learning on progress in the general curriculum

The PEA box is for the special education director/other designee to check or initial to indicate that any noncompliance discovered has been corrected prior to resubmitting to PSM specialist for verification.

The line item refers to the corresponding item in the Guide Steps section of the monitoring manual. Most line items have related components listed below.

All line items must have a call of "I" for In, "O" for Out, and "U" for Unreported. All components under a line item must be in compliance for the line item call to be marked "I". A "U" has no bearing on the line item call. A "U" is used when a specific component/line item is not relevant to the file being reviewed.

The boxes next to the component are to be marked when it is noncompliant. It is clearer to mark each component with an I, O, or U. For additional clarity, only check or put an "X" in the box for those that are noncompliant. Remember all components must be compliant to mark the line item as "I". If any component is noncompliant then the line item must be marked "O".

These are only brief description of line items/components. In order to make accurate calls, you must use the Guide Steps.

There must be an explanation of why a line item/component was called out. The explanation must be specific enough so that those tasked with the correction or verification understand the reason(s) for the noncompliance call.

PEA ✓ **Lin...**

COMMENTS:_____

_____

_____

_____