



INDIANA
DEPARTMENT of
EDUCATION

Special Education General Supervision Integrated Monitoring Manual

Indiana Department of Education

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Indianapolis, IN 46204



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Table of Contents

Introduction	2
General Supervision System	3
Integrated Monitoring - Overview	4
Procedures and Resources	7
Annual Monitoring	7
SPP/APR & Annual Determinations	7
Annual Monitoring Activities	8
Notification of Noncompliance	8
Correction of Noncompliance	9
Verification of Correction of Noncompliance	9
Notification of Correction of Noncompliance	9
Risk Assessment	10
Cyclical Monitoring	11
Cyclical Monitoring Priorities	11
Cyclical Monitoring Activities	11
Cyclical Monitoring Notifications	11
Focused Monitoring	12
Focused Monitoring Priorities	12
Focused Monitoring Activities	12
Focused Monitoring Notifications	13
Contacts	15

Introduction

As a condition of receiving Individuals with Disabilities Education Act (IDEA) funds, the Indiana Department of Education (IDOE), acting as the state educational agency (SEA) under IDEA Part B Section 611 and Section 619, must carry out general supervisory responsibilities to ensure that Part B requirements are implemented and that each educational program for children with disabilities meets the state's educational standards. IDOE must monitor implementation of IDEA Part B requirements, with a primary focus on improving educational results and functional outcomes for all children with disabilities and ensuring LEAs meet the Part B program requirements.¹

Indiana Administrative Code (IAC) Title 511 Article 7² assigns the IDOE division of special education the responsibility to conduct the required monitoring of all public agencies that receive federal or state monies. The monitoring activities may include, but are not limited to:

- 1) Complaint investigations.
- 2) Data collection and analysis.
- 3) State or federal fiscal audits.
- 4) On-site reviews of the following:
 - a) The total special education program on a cyclical or other basis.
 - b) Portions of programs to examine one (1) or more issues.
- 5) Accreditation information.
- 6) Due process hearing decisions.
- 7) Performance indicators measured by:
 - a) The state performance plan;
 - b) The annual performance report; or
 - c) Other federal or state measures of performance or accountability; including facilitation of parent involvement by schools.

The priority areas that must be monitored by the IDOE include³:

- 1) The provision of free appropriate public education (FAPE) in the least restrictive environment (LRE);
- 2) General supervision activities related to:
 - a) Child find;
 - b) Effective monitoring;
 - c) A system of transition services;
 - d) The use of resolution meetings;
 - e) Mediation; and
- 3) Disproportionate representation of racial and ethnic groups in special education and related services, to the extent the representation is the result of inappropriate identification

¹ See 34 Code of Federal Regulations (CFR) § 300.600(b)

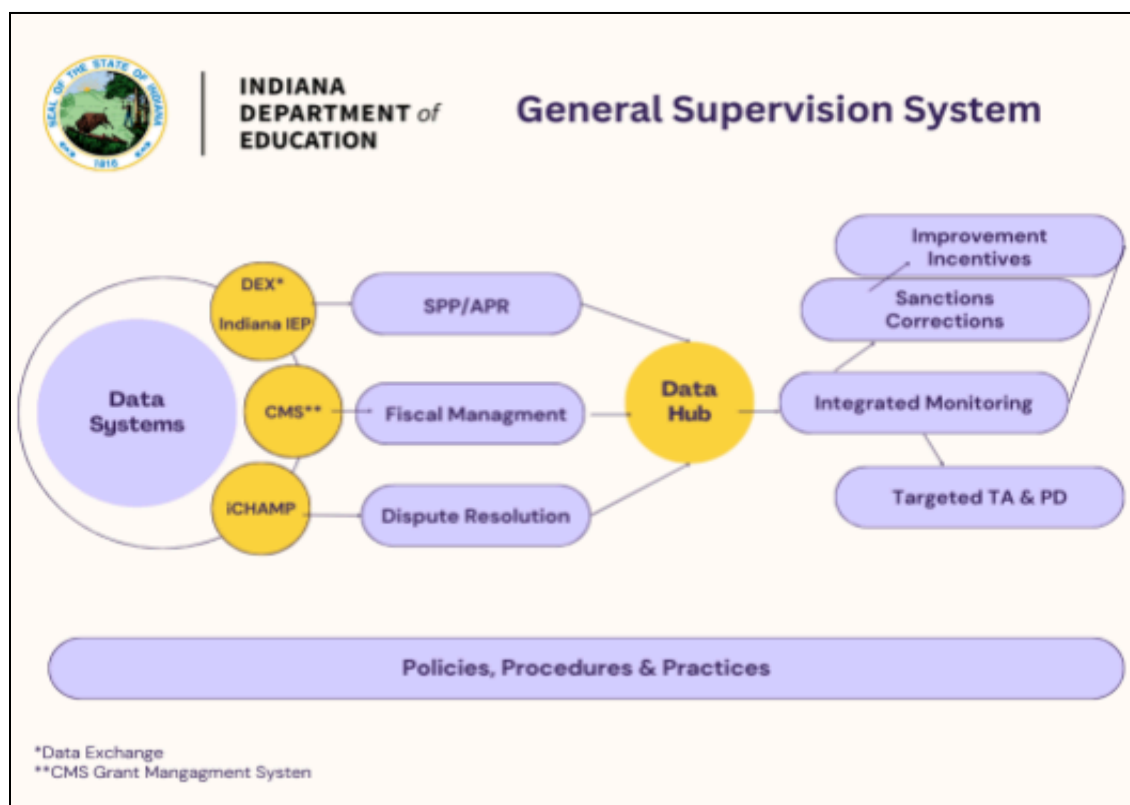
² http://iac.iga.in.gov/iac/iac_title?iact=511: 511 IAC 7-35-1 Program monitoring

³ See 34 CFR § 300.600(d).

General Supervision System

To ensure these requirements are effectively carried out, IDOE implements a general supervision system made up of multiple components including:

- Data on processes and results;
- The State Performance Plan (SPP)/Annual Performance Report (APR);
- Fiscal management;
- Effective dispute resolution;
- Integrated monitoring activities;
- Focused technical assistance and professional development;
- Improvement, correction, incentives and sanctions; and
- Policies, procedures, and practices resulting in effective implementation.



This manual provides information related specifically to the integrated monitoring activities conducted by IDOE.

Integrated Monitoring

The integrated monitoring system consists of multiple components including:

- Data collected through state data systems and monitoring activities;
- Local educational agency (LEA) performance related to [SPP/APR](#) indicators;

- Fiscal monitoring; and
- Compliance information collected as part of the state's dispute resolution system.

The integrated monitoring system is based on a multi-tiered system of accountability, which consists of annual monitoring and cyclical monitoring. As part of cyclical monitoring, the LEA's level of monitoring is based on information collected during annual monitoring, which informs the evaluation of risk and the intensity of monitoring activities.

Monitoring Level	Description
Annual Monitoring	<p>LEA are monitored annually based on the state's Results Driven Accountability (RDA) system resulting in an annual determination of performance⁴ for LEAs .</p> <p>Data and information collected through annual monitoring activities informs an <i>Annual LEA Risk Assessment</i>.</p> <p>Any noncompliance identified as part of annual monitoring results in:</p> <ol style="list-style-type: none"> 1. LEA notification of noncompliance; 2. Required correction of noncompliance; 3. Subsequent verification of correction of noncompliance; and 4. LEA notification of correction noncompliance.
Cyclical Monitoring	<p>LEAs are monitored through cyclical monitoring activities based on state-identified priorities at least once during the six-year SPP/APR cycle⁵.</p> <p>The monitoring schedule for LEAs assigned to the current year monitoring is posted on the IDOE's Special Education webpage.</p> <p>Approximately one month prior to the initiation of monitoring activities, the LEA receives written notification outlining the anticipated timelines, monitoring activities to be conducted, expectations for LEA participation, and post-monitoring activities.</p> <p>Cyclical monitoring is based on the Annual LEA Risk Assessment. Monitoring activities are aligned to the level of risk identified, with higher risk LEAs participating in more intensive monitoring activities as compared to LEAs with lower risk.</p> <p>Written notification of cyclical monitoring results is provided within three months of the monitoring visit and includes a description of any identified noncompliance and required corrective action. Monitoring continues until all identified noncompliance is verified as corrected and the LEA receives</p>

⁴ [RDA User Guide](#)

⁵ Current SPP/APR cycle includes FFY 2020-2025.

	<p>notification of the close-out of monitoring.</p> <p><i>Focused monitoring</i> is initiated by at least one of the conditions listed below:</p> <ul style="list-style-type: none"> • The highest percentage of risk based on the Annual LEA Risk Assessment; • Cross division monitoring⁶ indicating high risk across federal grants (Title, Special Education); and/or • Identified areas of concern⁷. <p>LEAs identified for focused monitoring are provided written notification, including a description of the conditions resulting in the required monitoring, the anticipated timelines, monitoring activities to be conducted, expectations for LEA participation, and post-monitoring activities.</p> <p>Focused monitoring includes an escalated degree of mandatory technical assistance as identified by the SEA and continues until all individual and systemic findings of noncompliance are verified as corrected and written notification of correction of noncompliance is received.</p>
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Procedures and Resources

Annual Monitoring

SPP/APR & Annual Determinations

IDEA requires the state to develop a state performance plan (SPP) once every six years, and to provide an annual performance report (APR) each year that evaluates the state's efforts to implement the requirements of IDEA. The SPP/APR is based on monitoring priorities established by the U.S. Department of Education's (ED's) Office of Special Education Programs (OSEP) and includes 18 Indicators⁸. As part of the state's general supervision system, data systems and monitoring activities are utilized to collect the information needed to report on the indicators⁹ based on the established timelines¹⁰.

⁶ IDOE offices that monitor federal grants may complete cross-division monitoring based on a review of available federal grant risk assessments.

⁷ An area of concern refers to a credible allegation of potential compliance or implementation issues identified by or reported to the SEA.

⁸ <https://sites.ed.gov/idea/files/FFY2023-Part-B-SPP-APR-Measurement-Table.pdf>

⁹ https://www.in.gov/doe/students/special-education/#Monitoring_and_Compliance_Resources

¹⁰ <https://www.in.gov/doe/files/General-Supervision-Timeline.pdf>

In addition to the SPP/APR, IDEA requires that each state make an annual determination about the performance of each LEA¹¹. To meet this requirement, IDOE utilizes the Results Driven Accountability (RDA) system¹² which includes¹³:

- Results and compliance indicators;
- Valid and reliable data;
- Correction of identified noncompliance; and
- Other data available to the state regarding LEA compliance with IDEA, including any relevant audit findings.

Under the RDA system, LEAs are assigned one of the following determination categories¹⁴:

- Meets Requirements
- Needs Assistance
- Needs Intervention
- Needs Substantial Intervention

LEAs identified as *Needs Assistance* or *Needs Intervention* for two or more consecutive years or identified as *Needs Substantial Intervention* for one year will result in IDOE taking one or more of the following actions¹⁵:

1. The LEA is informed of available technical assistance and required to participate in activities to address areas in need of correction¹⁶.
2. The LEA is required to prepare a corrective action plan or improvement plan to correct the identified areas in need of improvement¹⁷.
3. The LEA is identified as a high-risk grantee and specific conditions are imposed on the LEA's Part B grant award¹⁸ or further payments to the LEA¹⁹ are withheld, in whole or in part²⁰.

Annual Monitoring Activities

Annual monitoring activities include, but are not limited to:

- Review of federally and state required data²¹;
- State monitoring activities related to SPP/APR Indicators²²;
- Review of other state performance measures²³, such as third grade literacy;

¹¹ 34 C.F.R. §§ 300.600(a)(2)-(a)(3)

¹² RDA User Guide

¹³ https://sites.ed.gov/idea/files/Guidance_on_State_General_Supervision_Responsibilities_under_Parts_B_and_C_of_IDEA-07-24-2023.pdf

¹⁴ 34 C.F.R. §§ 300.603(b) and 303.703(b)

¹⁵ Notification based on this criteria is described in the Focused Monitoring Section

¹⁶ 34 C.F.R. §§ 300.604(a)(1) and 303.704(a)(1)

¹⁷ 34 C.F.R. §§ 300.604(b)(2)(i) and 303.704(b)(2)(i).

¹⁸ 34 C.F.R. §§ 300.604(a)(3) and 303.704(a)(2).

¹⁹ 34 C.F.R. §§ 300.604(b)(2)(v) and 303.704(b)(2)(iv).

²⁰ 34 C.F.R. §§ 300.604(b)(2)(v) and 303.704(b)(2)(iv).

²¹ <https://idoe.atlassian.net/wiki/spaces/IKHTV/pages/371359745/Reporting+Guides>

²² https://www.in.gov/doe/students/special-education/#Monitoring_and_Compliance_Resources

²³ <https://indianagps.doe.in.gov/>

- Fiscal compliance; and
- Review of state dispute resolution system data, including complaints and decisions.

Notification of Noncompliance

If during annual monitoring activities, the state identifies noncompliance, the LEA will be notified in writing within three months of the identification. The notification will be provided through email to the identified key contacts for Superintendent and Special Education Director²⁴. The notification will include the following elements:

- Identification of the IDEA and/or state requirement(s) found to be noncompliant and a description of the data utilized to demonstrate noncompliance;
- Information detailing that the ***timely correction of noncompliance must be corrected as soon as possible, and in no case later than one year from the date of the written notification of noncompliance***;
- A detailed description of any required corrective action including Root Cause Analysis²⁵; and
- A timeline for submission of a corrective action plan or evidence of correction.

Correction of Noncompliance

In order to correct noncompliance, the LEA must:

1. Correct *each individual* case of child-specific noncompliance (if applicable), unless the child is no longer within the jurisdiction of the LEA and no outstanding corrective action exists under a state compliant or due process hearing decision for the child (child-specific compliance)²⁶.
2. Demonstrate that the LEA is currently implementing the specific regulatory requirements based on a review of updated data and information.

Verification of Correction of Noncompliance

Verification of correction of noncompliance requires the following:

1. IDOE staff must review *each individual* case of previously noncompliant student records (or applicable data source used to identify the noncompliance) to verify correction by the LEA, unless the child is no longer within the jurisdiction of the LEA, and no outstanding corrective action exists under a state compliant or due process hearing decision for the child.
2. IDOE must review subsequent student records or data sets which are comparable to the extent of the originally identified noncompliance and are representative of the population served within the LEA.
 - a. In situations where a small LEA does not have sufficient updated data to demonstrate systemic compliance, IDOE will use other evidence of change, such

²⁴ https://www.in.gov/doe/files/Security-Access_Setting-Staff-Types-Roles.pdf

²⁵ https://www.in.gov/doe/students/special-education/#Monitoring_and_Compliance_Resources

²⁶ <https://sites.ed.gov/idea/files/osep-letter-to-anonymous-10-23-2019.pdf>

as a review of policies, procedures, and practices; documentation of training provided; and/or changes made to reflect action toward the root cause(s) of the noncompliance.

Notification of Correction of Noncompliance

Following verification of correction of noncompliance, IDOE will notify the LEA in writing. The notification will be provided to the LEA assigned Key Contacts identified as Superintendent and Special Education Director²⁷. The notification will include the following elements:

- Review of the original finding of noncompliance;
- Summary of the corrective action completed resulting in verification;
- Acknowledgement that the LEA has been identified as compliant; and
- A description of any potential follow-up actions related to the previous identification of noncompliance (i.e.; additional monitoring).

Risk Assessment

While annual monitoring provides necessary information related to the performance of each LEA, the information does not address all requirements related to implementation of IDEA. Thus, additional monitoring is necessary to ensure the rights of children with disabilities and their families are represented appropriately.

To determine the methods and activities implemented as part of LEA monitoring, a *risk assessment* is utilized to evaluate each LEAs level of compliance and performance related to multiple components of supervision. The risk assessment includes the following:

- Fiscal Components
- Programmatic Components
 - LEA Annual Determination
 - Measures of Student Performance including:
 - Graduation Data
 - Early Literacy Data
 - Child Find Measures
- State Dispute Resolution Components
 - State Complaints Resulting in Noncompliance

Based on the results of the risk assessment, LEAs will be assigned to one of the following monitoring levels:

- Level 1 (Low Risk)
- Level 2 (Medium-High Risk)
- Level 3 (Highest Risk requiring Focused Monitoring)

²⁷ https://www.in.gov/doe/files/Security-Access_Setting-Staff-Types-Roles.pdf

Cyclical Monitoring

Cyclical Monitoring Notifications

Cyclical monitoring notifications will be shared via email with the LEA's key contacts (Superintendent and Special Education Director) assigned to the current year cohort, including the following:

- Timeline of the cyclical monitoring;
- Review of the monitoring process;
- Required monitoring activities and expectations;
- Resources available to support required activities; and
- Post-monitoring activities including:
 - Monitoring report contents;
 - Requirements related to identification of noncompliance, if needed, including:
 - Identification of the IDEA requirement(s) found to be noncompliant and a description of the data utilized to demonstrate noncompliance;
 - Information detailing that the compliance must be corrected as soon as possible, and in no case later than one year from the date of the written notification of noncompliance;
 - Any required corrective action including Root Cause Analysis²⁸; and
 - A timeline for submission of a corrective action plan or evidence of correction.
 - Options for communication with IDOE staff related to the monitoring results.
 - Available technical assistance related to any areas identified as in need of improvement.

Cyclical Monitoring Activities

Cyclical monitoring activities may include, but are not limited to:

- Review of LEA data trends and/or patterns related to:
 - Student Identification and Placement
 - Discipline practices
 - Performance on state assessment(s)
- Review of statewide Individualized Education Program (IEP) system reports based on audit protocols, including a review of reports and individual student files.
- Protocol reviews completed by the LEA and reviewed by IDOE including:
 - Local policies, procedures, and practices related to:
 - Compliance with federal and state requirements, and
 - Student Outcomes;
- Interviews with staff and/or parent(s);
- Fiscal monitoring²⁹; and;

²⁸ https://www.in.gov/doe/students/special-education/#Monitoring_and_Compliance_Resources

²⁹ See Fiscal Monitoring Manual

- On-site activities may be included³⁰, such as:
 - Observations of services provision;
 - Interviews with staff and/or parents of children with disabilities;
 - IDOE staff review and planning meetings;
 - Summary meeting with administrative staff.

Focused Monitoring Notifications

Focused monitoring notifications will be shared in writing with the LEA's key contacts (Superintendent and Special Education Director), which include the following:

- A description of the areas of concern identified resulting in focused monitoring
- Timeline of the focused monitoring;
- Review of the monitoring process;
- Required monitoring activities and expectations including:
 - A list of all staff participants required for observation and interviews, which may include administrators, paraprofessionals, special education teachers, related service providers (i.e., OT/PT/SLP), school psychologists, counselors, and/or general education teachers).
 - A general overview of the observation/interview process, including time frame, format, and information regarding confidentiality of information requested and provided.
- Resources available to support required activities; and
- Post-monitoring activities, including:
 - Development and provision of the monitoring report;
 - Requirements related to identification of noncompliance, if needed, including
 - Identification of the IDEA requirement(s) found to be noncompliant and a description of the data utilized to demonstrate noncompliance;
 - Information detailing that the compliance must be corrected as soon as possible, and in no case later than one year from the date of the written notification of noncompliance;
 - Any required corrective action, including Root Cause Analysis³¹; and
 - A timeline for submission of a corrective action plan or evidence of correction.
 - Options for communication with IDOE staff related to the monitoring results.
 - Available technical assistance related to any areas identified as in need of improvement.

³⁰ The inclusion of on-site activities is included when information needed to accurately verify compliance with the implementation of IDEA Part B requirements.

³¹ https://www.in.gov/doe/students/special-education/#Monitoring_and_Compliance_Resources

Exiting Focused Monitoring

IDOE staff will continue to review data, corrective action plans, and submissions related to correction of noncompliance to verify correction of noncompliance. Verifying correction of noncompliance requires the following:

- All individual cases of noncompliance were corrected, unless the child is no longer within the jurisdiction of the district, and
- No new instances of noncompliance are identified through subsequent student records or data sets that are comparable to the extent of the originally-identified noncompliance and are representative of the population served within the LEA.

Focused Monitoring Priorities and Activities

IDOE desk audit activities include:

- Review of all information related to identification of noncompliance;
- Review of statewide IEP system reports related to areas of noncompliance or concern;
- Protocol reviews completed by IDOE, which may include:
 - Data analysis, including child find data;
 - Description of data trends and/or patterns;
 - File reviews;
 - Policy, procedures, and practices review; and
 - Fiscal monitoring³².
- Development of a Focused Monitoring Plan, which includes:
 - IDOE staff who will conduct monitoring and assignments (monitoring leader, reviewers, interviewers)
 - Documents to be requested from the LEA prior to the monitoring visit;
 - LEA staff who must be notified of the monitoring;
 - LEA staff who will participate in interviews; and
 - The development of a tentative schedule for the visit (including dates and times).
- Notification to the LEA

On-site activities may include:

- Observations of service provision and Interviews with staff and/or parents of children with disabilities;
- IDOE staff reviews and planning meetings;
- Summary of the meeting with administrative staff; and
- Fiscal monitoring³³.

Post-visit desk audit activities include:

- Compiled report elements;

³² See Fiscal Monitoring Manual

³³ See Fiscal Monitoring Manual

- Review and finalization of the report;
- Providing the report to the LEA's key contacts (i.e., Superintendent and Special Education Director);and
- Providing necessary technical assistance related to results of the report and potential corrective action.
 - When noncompliance has been verified as corrected, IDOE will notify the LEA in writing of the status of correction and close out of Focused Monitoring.

Contacts

All questions regarding monitoring activities should be addressed to osemonitoring@doe.in.gov to ensure timely and adequate support.

For questions pertaining to technical assistance please contact spedassistance@doe.in.gov or request technical assistance by completing this [form](#).