

A photograph of a classroom with several young students sitting at wooden desks. In the foreground, a boy in a plaid shirt looks up and to the right, while a girl in a yellow shirt looks forward. Other students are visible in the background, some looking towards the camera and others looking away. The scene is brightly lit, suggesting a sunny day.

# Oregon General Supervision Framework: Monitoring Protocols

August 2023



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## Appendix D – Priority Area Monitoring Protocol

### Introduction

The Oregon Department of Education (ODE) Office of Enhancing Student Opportunities (OESO) uses these priority area monitoring protocol as the basis for both cyclical and focused monitoring activities. Through cyclical monitoring, OESO facilitates the opportunity for local educational agencies (LEAs) to participate in a self-assessment or reviews LEA practice. OESO is involved more extensively in focused monitoring, through onsite or virtual OESO-led reviews.

### Monitoring Priority Areas

OESO has six monitoring priority areas:

1. Least Restrictive Environment (LRE)
2. Individualized Education Program (IEP)
3. Free Appropriate Public Education (FAPE)
4. Discipline
5. Secondary Transition
6. OESO-Determined Emerging/Emergency Area

The monitoring protocol for each priority area has multiple components:

- Regulatory citations, where applicable, that ensure consistent OESO and LEA understanding of IDEA and state requirements.
- One or more of the following activities:
  - Review data
  - Sample student files and respond to questions about each file
  - Review the LEA's policies, practices, and procedures.

The results of these activities will assist OESO and LEAs to accurately identify potential noncompliance, determine how student performance has been impacted, and develop a plan for correction and continuous improvement.

### Citations

For areas where the state will review the LEA's self-assessment and examine evidence to validate compliance, regulatory citations are provided. Citations included in this protocol document refer to regulatory requirements determined to be most closely related to the area(s) being addressed. Citations included in the protocols are not intended to be comprehensive but broadly capture the intent of the component or priority being addressed.

## Documenting Compliance

### *Documentation and Evidence*

The protocol for each priority area provides a rubric which includes a list of potential documentation (information to look *at*) and evidence (information to look *for*) that must be considered during the OESO or LEA review. This information is provided as a guide for locating information that may serve as evidence of implementation. However, OESO or the LEA may request or use additional evidence to support this process as it finds necessary.

### *Assessing Evidence of Implementation*

“**Yes**” indicates OESO or the LEA reviewed and found evidence that the IEP and supporting information met the record review question and “**No**” indicates OESO or the LEA did not find evidence that met the standard identified within the record review question. If a question or a standard is not applicable to the specific student or file being reviewed, then OESO or the LEA may select “**Not Applicable**” (N/A). The OESO or LEA monitoring team should carefully review all documentation and evidence.

If the LEA identifies potential noncompliance (i.e., “**No**” is selected), the reviewer should identify the steps it will take to correct the potential noncompliance on the summary sheet.

OESO will review evidence provided by an LEA prior to making a final determination of compliance based on a self-assessment. Each LEA will be required to correct any instance of noncompliance upon notification by OESO. OESO will establish the conditions for demonstrating correction.

Priority Area 1:  
Least Restrictive  
Environment  
(LRE)



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## Priority Area 1: Least Restrictive Environment (LRE)

Under 34 CFR §300.114 “to the maximum extent appropriate,” students experiencing disabilities, including students “in public or private institutions or other care facilities, are educated with children who are nondisabled; and special classes or separate schooling for children with disabilities or their removal from the general education environment occurs only when the nature or severity of the student’s disability is such that education in general education classes with the use of supplementary aids and services cannot be achieved satisfactorily.”

*To the maximum extent appropriate, children with disabilities, including children in public or private institutions or other care facilities, are educated with children who are nondisabled...*

IDEA also requires that schools provide a full continuum of placements as needed, ranging from general education classrooms with support to special classes and special school placements. The IEP team is responsible for determining the most appropriate educational placement in the least restrictive environment that can meet the student’s needs.

The purpose of this priority area is to ensure placement decisions are individualized in accordance with IDEA regulations and to determine if a relationship exists between placement decisions and outcomes of students experiencing disabilities.

## LEAST RESTRICTIVE ENVIRONMENT (LRE)

### RECORD REVIEW ITEM: LRE-1 - 34 CFR §300.116(a)

Record Review Item	Potential Documentation
<p>The placement decision was made by a group and included the parents; the group included individuals who have knowledge about:</p> <ul style="list-style-type: none"> <li>• The student;</li> <li>• Meaning of evaluation data; and</li> <li>• Placement options.</li> </ul>	<ul style="list-style-type: none"> <li>• Individualized Education Program</li> <li>• Special Education Placement Determination</li> <li>• Prior Written Notice</li> <li>• Parent invitation</li> <li>• Meeting notes</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence which indicates that the placement decision was made by a knowledgeable group.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if the evidence indicates the placement decision was not made by a knowledgeable group.</p>

### RECORD REVIEW ITEM: LRE-2 - 34 CFR §300.116(b)

Record Review Item	Potential Documentation
<p>The file's documentation demonstrates that the student's placement was:</p> <ul style="list-style-type: none"> <li>• Determined annually, at a minimum,</li> <li>• Based on the student's needs as indicated in the IEP,</li> <li>• As close as possible to the student's home; and</li> <li>• Resulted in the student being educated in the school that they would attend if nondisabled unless the IEP requires another arrangement.</li> </ul>	<ul style="list-style-type: none"> <li>• Meeting Notes</li> <li>• IEP – PLAAFP, Specially Designed Instruction, Related services and/or Special Factors</li> <li>• Resident school and attending school</li> <li>• Other relevant information used to make placement decisions during the IEP process</li> <li>• Special education placement determination</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if the evidence indicates that placement decisions are made in</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark No if the evidence indicates that either of the following are true:</p>



<p>conformity with <u>all</u> of the LRE provisions below:</p> <p><input type="checkbox"/> Determined annually, at a minimum,</p> <p><input type="checkbox"/> Based on the student’s needs as indicated in the IEP,</p> <p><input type="checkbox"/> As close as possible to the student’s home; and</p> <p><input type="checkbox"/> Resulted in the student being educated in the school that they would attend if nondisabled unless the IEP requires another arrangement.</p> <p>Special factors or justifications requiring a more restrictive placement decision may be considered as evidence of compliance as long as there is evidence that the above factors were considered.</p>	<p><input type="checkbox"/> Placement decisions are not made in conformity with LRE provisions.</p> <p><input type="checkbox"/> Placement decision is not supported by the present levels and/or special education and related services.</p>
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RECORD REVIEW ITEM: LRE-3 - 34 CFR §300.320(a)(6)(i)

Record Review Item	Potential Documentation	
<p>The IEP indicates the student was provided accommodations <b><u>based on the student’s unique needs</u></b> as indicated by the IEP that enable the child to be involved and make progress in the general education curriculum.</p>	<ul style="list-style-type: none"> <li>• IEP – PLAAFP, Supplementary Aids/Services; Accommodations, and/or Specially Designed Instruction</li> <li>• Evaluation results</li> <li>• List of accommodations provided to teacher(s)</li> <li>• Classroom observation notes or report</li> <li>• Report from an interview with student’s teacher</li> <li>• Meeting notes</li> </ul>	
<b>Evidence of Compliance</b>		
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence of <u>all</u> of the criteria below:</p> <p><input type="checkbox"/> Accommodations that need to be provided to the student are documented;</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is no evidence that the IEP team considered the need for accommodations;</p> <p>OR</p>	<p><input type="checkbox"/> <b>NOT APPLICABLE</b></p> <p>Mark N/A if the evidence indicates the IEP team considered the need for and determined the student does not require accommodations.</p>

<input type="checkbox"/> The accommodations align with the student’s PLAAFP; and  <input type="checkbox"/> Required accommodations were provided.	Accommodations were included in the IEP, but there is no evidence that required accommodations were provided, and/or accommodations do not align with the student’s PLAAFP.	
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RECORD REVIEW ITEM: LRE-4 - 34 CFR §300.324(a)(2)(i-v)

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>The IEP team considered special factors including:</p> <ul style="list-style-type: none"> <li>• The use of positive behavioral interventions and supports, and other strategies, to address the behavior of a student whose behavior impedes their learning or the learning of others;</li> <li>• The language needs of a child with limited English proficiency, as those needs relate to the child’s IEP;</li> <li>• The use of Braille in the case of a child who is blind or visually impaired unless the IEP team determines, after an evaluation of the child’s reading and writing skills, needs, and appropriate reading and writing media (including an evaluation of the child’s future needs for instruction in Braille or the use of Braille), that instruction in Braille or the use of Braille is not appropriate for the child;</li> <li>• The communication needs of the child, and in the case of a child who is deaf or hard of hearing, consider the child’s language and communication needs, opportunities for direct communications with peers and professional personnel in the child’s language and communication mode, academic level, and full range of needs, including opportunities for direct</li> </ul>	<ul style="list-style-type: none"> <li>• IEP – Special factors, Supplementary Aids/Services, Accommodations, and/or PLAAFP</li> <li>• Meeting notes</li> <li>• Functional Behavior Assessment/Behavior Intervention Plan</li> <li>• Evaluation report</li> </ul>

<p>instruction in the child’s language and communication mode; and</p> <ul style="list-style-type: none"> <li>• Whether the child needs assistive technology devices and services.</li> </ul>	
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**Evidence of Compliance**

<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence of <u>all</u> of the criteria below. The evidence indicates the IEP team:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Considered the existence of special factors,</li> <li><input type="checkbox"/> Determined that special factors apply to this student, and</li> <li><input type="checkbox"/> Appropriately addressed the applicable special factors in the student’s IEP.</li> </ul>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if the evidence indicates the IEP team did not consider any special factors;</p> <p>OR</p> <p>The IEP team considered special factors, determined that special factors applied to this student, and did not appropriately address the applicable special factors in the student’s IEP.</p>	<p><input type="checkbox"/> <b>NOT APPLICABLE</b></p> <p>Mark N/A if the evidence indicates the IEP team considered the existence of special factors and determined the special factors do not apply for this student.</p>
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RECORD REVIEW ITEM: LRE-5 - 34 CFR §300.116 & 300.320(a)(5)

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>The IEP team considered:</p> <ul style="list-style-type: none"> <li>• All placement options and related services in conjunction with discussing any needed supplementary aids and services, accommodations/modifications, assistive technology and/or accessible materials, and supports for school personnel as well as potential harmful effects on the student.</li> <li>• The potential harmful effects of the placement of the child and whether it would impede the ability of the child or other children to learn.</li> </ul>	<ul style="list-style-type: none"> <li>• Special Education Placement Determination</li> <li>• Placement Considerations</li> <li>• Nonparticipation justification</li> <li>• Prior Written Notice</li> <li>• IEP – PLAAFP, Special Factors, Supplementary Aids/Services, Accommodations, and/or Specially Designed Instruction</li> <li>• Evaluation Report</li> <li>• Meeting notes</li> </ul>
<b>Evidence of Compliance</b>	

<p><input type="checkbox"/> <b>YES</b> (must meet all criteria under A or B to mark “yes”)</p> <p>Mark YES if the evidence indicates either:</p> <p style="padding-left: 20px;">A. The student is educated or served in the general education setting,</p> <p>OR</p> <p style="padding-left: 20px;">B. For students not educated or served in general education, the IEP includes justification for why the student’s placement is not the general education classroom and there is evidence of <u>all</u> of the following:</p> <p><input type="checkbox"/> The placement is based on the needs of the student;</p> <p><input type="checkbox"/> Reflects that the team has given adequate consideration to meeting the student’s needs in the general education classroom with supplementary aids and services; and</p> <p><input type="checkbox"/> If the nature or severity of the disability is such that education in general education classes, even with the use of supplementary aids and services, cannot be achieved satisfactorily, a justification is given for the decision;</p> <p><input type="checkbox"/> Describes potential harmful effects to the student or others, if applicable.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO The evidence does not include a rationale, or the rationale given includes <u>any</u> of the following:</p> <p><input type="checkbox"/> Is not based on the student’s needs;</p> <p><input type="checkbox"/> Does not reflect consideration or the provision of supplementary aids and services in the general education classroom; or</p> <p><input type="checkbox"/> Does not describe potential harmful effects to the student or others, if applicable.</p>
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**RECORD REVIEW ITEM: LRE-6 - 34 CFR §300.116**

Record Review Item	Potential Documentation
<p>The student was not removed from education in age-appropriate general education classrooms solely because of needed modification in the general education curriculum.</p>	<ul style="list-style-type: none"> <li>• IEP – Service Summary and/or PLAAFP</li> <li>• Student Schedule</li> <li>• Service Trackers</li> <li>• Observation Report</li> </ul>
<p><b>Evidence of Compliance</b></p>	

<input type="checkbox"/> <b>YES</b> Mark YES if the evidence indicates the student <u>was not</u> removed from general education classrooms just because the curriculum needed to be modified.	<input type="checkbox"/> <b>NO</b> Mark NO if the evidence indicates the student was removed from general education classrooms with age-appropriate peers due to the need for curricular modifications.	<input type="checkbox"/> <b>NOT APPLICABLE</b> Mark N/A if the evidence indicates the student was not removed from classrooms with age-appropriate peers and does not require modifications.
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RECORD REVIEW ITEM: LRE-7 – 34 CFR §300.117

<b>Record Review Item</b>	<b>Potential Documentation</b>
The student participates with nondisabled peers in the extracurricular services and activities to the maximum extent appropriate and has the supplementary aids and services determined by the child’s IEP Team to be appropriate and necessary to participate in nonacademic settings.	<ul style="list-style-type: none"> <li>• IEP – Service Summary, Nonparticipation justification, and/or PLAAFP</li> <li>• Student Schedule</li> <li>• Observation notes or report</li> <li>• Meeting notes</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if the evidence indicates the student is included in extracurricular activities and has access to aids and services during extracurriculars as determined by the IEP team.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student is excluded from extracurriculars or has not received the aids and services during extracurriculars as determined by their IEP team.

Individual Student File Review Form

Student Information				
Student Name:				
Student SSID:				
Student DOB:				
Student Disability:				
Grade:				
IEP Start Date:				
IEP End Date:				
LRE				
LRE1	Placement decision was made by knowledgeable group and in conformity with LRE provisions	Y	N	
LRE 2	Placement was determined: <ul style="list-style-type: none"> <li>• Annually</li> <li>• Based on the student's IEP</li> <li>• As close as possible to the student's home</li> <li>• Where the student who attend if nondisabled</li> </ul>	Y	N	
LRE 3	Accommodations were included & align with PLAAFP	Y	N	N/A
LRE 4	Special Factors were addressed	Y	N	N/A
LRE 5	All placement options considered	Y		N
LRE 6	Not removed for modifications	Y	N	N/A
LRE 7	Participation in extracurriculars	Y		N
Comments				

*LEAST RESTRICTIVE ENVIRONMENT (LRE) – Summary Sheet*

INFORMATION	
LEA Name:	Required Sample Size:

Total number of student files reviewed is indicated below.

Elementary School Students	Middle School Students	High School Students	Out of District Placements	Grand Record Total

List SSIDs of the targeted sample of student files. Enter “Yes” if evidence was found. Enter “No” if evidence was not found. Enter “NA” if the item is not applicable to the selected student. No item may be left blank.

SSID	LRE-1	LRE-2	LRE-3	LRE-4	LRE-5	LRE-6	LRE-7

Plan of Correction – Identify what will be done and when to correct any individual or systemic noncompliance for each item where the LEA found noncompliance during the self-assessment process.

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*LRE Focus Group Questions:*

LRE	School/District Staff	Parents	Students	Community
• What story does our district’s LRE data tell?	X	X	X	X
• What are our district’s/programs’ inclusion success stories?	X	X	X	X
• What patterns exist within our student population (e.g., race, ethnicity, disability, gender, and grade), school sites and IEP team decisions regarding LRE?	X	X	X	X
• How well are student and parent perspectives included in LRE decisions?	X	X	X	X
• How does our district’s staffing and staff practices relate to our LRE data?	X	X	X	X
• What investments have we made, or should we consider making to support our district’s implementation of inclusive practices?	X	X	X	
• What are the systemic changes, personnel growth and professional learning, and supports for students needed to increase inclusion in our system (e.g., UDL)?	X	X	X	X



# Priority Area 2: IEP Development



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## Priority Area 2: IEP Development

The student's IEP is reviewed and revised by the IEP team at least once a year. Parents, as integral team members, must be invited to attend these meetings and afforded every opportunity to be active participants in this process.

### Understanding IEP Development:

The effective and consistent development of IEPs is a critical component in the performance outcomes of students with disabilities. The results of the multidisciplinary evaluation and the student's IEP outline the educational needs and supports that are necessary for the student to progress in the general education curriculum. When the IEP is drafted and implemented consistently according to the unique needs of the student, the student is expected to show improvements in academic performance.

The IEP must include certain information about the student and the educational program designed to meet their unique needs. Each required component of the IEP should align with the entire IEP.

The IEP components include:

1. Current performance
2. Annual goals
3. Measuring progress
4. Participation in state and district-wide assessments
5. Special education and related services
6. Dates and location of services
7. Accommodations and modifications
8. Extended School Year (ESY)

## IEP Components

**Current performance.** The IEP must state how the student is currently doing in school documented within the present levels of academic achievement and functional performance (PLAAFP). Examples of sources of current student performance may include classroom tests and assignments, individual tests given to decide eligibility for services or during reevaluation, current progress monitoring data, and observations made by parents, teachers, related service providers, and other school staff. The statement about “current performance” includes how the student’s disability affects their involvement and progress in the general curriculum.

**Annual goals.** These are goals that the student can reasonably accomplish in a year. Goals may include functional, behavioral, and academic needs, and may also address social emotional skills and relationships, knowledge and skills, relate to physical needs, or address other educational needs. The goals must be measurable, meaning that it must be possible to measure whether the student has achieved the goals. The goals should be related to concerns included in the student’s current performance.

**Measuring progress.** The IEP must state how the student’s progress toward their goals will be measured and indicate how often parents will be made aware of that progress.

**Participation in state and district-wide assessments.** All students with disabilities are included in general state and district-wide assessment programs, with appropriate accommodations and alternate assessments where necessary, and as indicated in their respective IEP.

**Special education and related services.** The IEP must list the special education and related services determined necessary and to be provided to the student.

**Dates and location of services.** The IEP must state when services begin and end (frequency), how often they are provided (duration), and where they are provided (location).

**Accommodations and Modifications.** The IEP must state the required accommodations and/or modifications needed for the student to access the general education curriculum.

**Extended School Year (ESY).** The IEP includes the team’s determination of the student’s need for ESY, the provision of special education and related services beyond the normal school year and at no cost to the parent.

In this section, the LEA will respond to a series of questions to explore whether it is meeting critical components related to eligibility determination and IEP development. Due to the nature of some findings of noncompliance in this area, which can impact the student receiving a FAPE, OESO recommends the LEA to correct these findings immediately. In all cases where the student is still within the LEA’s jurisdiction and eligible to receive special education, all instances of noncompliance must be corrected no more than one year from the OESO’s written notification.

## IEP Development (IEP)

### RECORD REVIEW ITEM: IEP-1 - 34 CFR §300.322 & 300.501(b)

Record Review Item	Potential Documentation
The parents or adult student were invited to the IEP meeting, and if neither attended the meeting, there is documentation of attempts to ensure participation.	<ul style="list-style-type: none"> <li>• Notice of Team Meeting</li> <li>• Documentation of invitation</li> <li>• Contact or communication logs with parent , including emails</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> There is evidence that the parents (or individuals eligible to act as parents under federal and/or Oregon law) were invited to the IEP meeting.	<input type="checkbox"/> <b>NO</b> There is no evidence that parents (or individuals eligible to act as parents under federal and/or Oregon law) were invited to the meeting.

### RECORD REVIEW ITEM: IEP-2 - 34 CFR §300.324(b)(1)(i)(ii)(A-E)

Record Review Item	Potential Documentation
The IEP had been reviewed at least annually and revised to address any/all of the following: <ul style="list-style-type: none"> <li>• Any lack of expected progress toward annual goals and in the general curriculum;</li> <li>• Results of any reevaluation conducted;</li> <li>• Information about the child provided to, or by, the parents; and the child’s anticipated needs or other matters.</li> </ul>	<ul style="list-style-type: none"> <li>• IEP &amp; amendments – Annual IEP Review Date and/or Annual goals</li> <li>• IEP progress reports</li> <li>• Evaluation results</li> <li>• Parent input</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that <u>all</u> of the following are true: <ul style="list-style-type: none"> <li><input type="checkbox"/> The IEP was reviewed within the past 365 days.</li> <li><input type="checkbox"/> The annual goals on the current IEP reflect appropriate revisions from prior</li> </ul>	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence that <u>any</u> of the following are true: <ul style="list-style-type: none"> <li><input type="checkbox"/> The IEP was not reviewed within the past 365 days.</li> <li><input type="checkbox"/> The IEP team did not revise the annual goals during the last annual review.</li> </ul>

annual goals in light of the child's circumstances.	<input type="checkbox"/> The IEP's annual goals do not reflect appropriate revisions from prior annual goals in light of the child's circumstances.
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RECORD REVIEW ITEM: IEP-3 - 34 CFR §300.321(a-b) & 300.321(a)(7)I(1-2)(i-ii)

<b>Record Review Item</b>	<b>Potential Documentation</b>
The appropriate IEP Team members were present at the IEP meeting and if the appropriate committee members were not present, an excusal form is available for the committee member(s), and the excused committee member provided input.	<ul style="list-style-type: none"> <li>• IEP – Meeting Participants</li> <li>• Meeting notes</li> <li>• Agreement Between Parents and the District</li> <li>• Written Input</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that the following are true: <ul style="list-style-type: none"> <li><input type="checkbox"/> All required IEP team members including the LEA Representative, a general education teacher of the student, and special education teacher of the student, a person qualified to interpret evaluation information, the parent, and the student, when appropriate;</li> <li><input type="checkbox"/> If parent or adult student was not in attendance, documentation of invitation and attempts to communicate with parent or adult student are present;</li> <li><input type="checkbox"/> Any other team member who was not present was properly excused in agreement with the parent.</li> </ul>	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence that any of the following are true: <ul style="list-style-type: none"> <li><input type="checkbox"/> The team was missing required members and those members were not properly excused.</li> </ul>

RECORD REVIEW ITEM: IEP-4 - 34 CFR §300.320(a)(1) & 300.324(a)(1)

<b>Record Review Item</b>	<b>Potential Documentation</b>
The IEP includes a statement of present levels of academic achievement and functional performance, including how the student's disability affects involvement and	<ul style="list-style-type: none"> <li>• IEP – PLAAFP</li> </ul>

<p>progress in the general education curriculum and includes:</p> <ul style="list-style-type: none"> <li>• the strengths of the student;</li> <li>• the concerns of the parents for enhancing the education of their child;</li> <li>• the results of the initial evaluation or most recent evaluation; and the academic, developmental, and functional needs of the student</li> </ul>	
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**Evidence of Compliance**

<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that the PLAAFP contains all the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> how the student’s disability affects involvement and progress in the general education curriculum;</li> <li><input type="checkbox"/> the strengths of the student;</li> <li><input type="checkbox"/> the concerns of the parents for enhancing the education of their child;</li> <li><input type="checkbox"/> the results of the initial evaluation or most recent evaluation; and</li> <li><input type="checkbox"/> The academic, developmental, and functional needs of the students in all appropriate content and other areas.</li> </ul>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence that the PLAAFP does not contain all of the required components.</p>
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RECORD REVIEW ITEM: IEP-5 - 34 CFR §300.320(a)(2)

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>The IEP includes measurable annual goals based on content standards for the student’s enrolled grade, including academic and functional goals.</p>	<ul style="list-style-type: none"> <li>• IEP – Annual Academic &amp; Functional Goals &amp; Objectives</li> <li>• IEP – Related Content Standard(s)</li> </ul>
<p><b>Evidence of Compliance</b></p>	

<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that <u>all</u> IEP goals are:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Written in measurable terms that describe what the student can reasonably accomplish in a 12-month period;</li> <li><input type="checkbox"/> Demonstrate a direct link between goal(s) and the student’s present levels of academic achievement and functional performance;</li> <li><input type="checkbox"/> Relate to meeting a student’s needs that result from the disability;</li> <li><input type="checkbox"/> Enable involvement in and progress with the general education curriculum, and</li> <li><input type="checkbox"/> Meet other education needs that result from the disability.</li> </ul>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence that <u>any</u> of the following are true:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Goals are not measurable;</li> <li><input type="checkbox"/> Do not address needs as identified in the PLAAFP;</li> <li><input type="checkbox"/> Are not appropriately ambitious; or</li> <li><input type="checkbox"/> Are not aligned to content standards.</li> </ul>
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RECORD REVIEW ITEM: IEP-6 - 34 CFR §300.320(a)(4) and 300.320(a)(7)

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>The IEP contains special education services, including location, duration, and frequency.</p>	<ul style="list-style-type: none"> <li>• IEP – Services; Specially Designed Instruction</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that special education services, including specially-designed instruction, are included and are consistent with the other component parts of the IEP such as the PLAAFP and goals. Services include location, duration and frequency of services in each identified goal area.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence that <u>any</u> of the following are true:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Services indicate only a service delivery model (e.g., self-contained classroom);</li> <li><input type="checkbox"/> Indicate only an accommodation or modification; or</li> <li><input type="checkbox"/> Does not include any of the other required components describing the services including location, duration, or frequency.</li> </ul>

RECORD REVIEW ITEM: IEP-7 - 34 CFR §300.320(a)(4)

Record Review Item		Potential Documentation
The IEP contains related services that address the needs of the student and support annual goals.		<ul style="list-style-type: none"> <li>• IEP – Related services; PLAAFP</li> <li>• Related Service personnel service logs/plans of care</li> </ul>
Evidence of Compliance		
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that all required related services are included in the IEP and are aligned with needs identified in other parts of the IEP.	<input type="checkbox"/> <b>NO</b> Mark NO if the need for related services was not considered or if the services: <ul style="list-style-type: none"> <li>• Indicate only a service delivery model (e.g., “inclusion”)</li> <li>• Indicate only a disability (e.g., SLD)</li> <li>• Indicate only an accommodation (e.g., extended time on tests)</li> <li>• Do not include one or more of the following: location, anticipated initiation, duration, or frequency</li> </ul>	<input type="checkbox"/> <b>NOT APPLICABLE</b> Mark N/A if the IEP Team determined the student does not require any related services based on the student’s identified needs

RECORD REVIEW ITEM: IEP-8 - 34 CFR §300.34 & 300.320(a)(4)

Record Review Item		Potential Documentation
The IEP contains a statement of supports for school personnel.		<ul style="list-style-type: none"> <li>• IEP – Supports for personnel</li> </ul>
Evidence of Compliance		
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that supports for school personnel relate directly to meeting the unique needs of	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence that <u>both</u> of the following are true:	<input type="checkbox"/> <b>NOT APPLICABLE</b> Mark N/A if there is evidence that supports for school personnel were considered and determined unnecessary



<p>the student and do not reflect professional development, training, or information related to meeting the needs of students experiencing disabilities in general.</p>	<ul style="list-style-type: none"> <li>• There is evidence of the need for supports for school personnel; and</li> <li>• There is no evidence that the need was addressed.</li> </ul>	<p>based on the unique needs of the student.</p>
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RECORD REVIEW ITEM: IEP-9 - 34 CFR §300.320(a)(6)(i)

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>The IEP indicates student participation in the annual statewide assessment and contains appropriate accommodations necessary to measure academic achievement and functional performance on state or district-wide assessments.</p>	<ul style="list-style-type: none"> <li>• IEP – Statewide Assessment; District-wide Assessment; Supplementary Aids/Services; and/or Accommodations</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that the following are true:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The IEP indicates if the student will participate in the annual statewide assessment (either standard or extended);</li> <li><input type="checkbox"/> Appropriate accommodations necessary to measure academic achievement and functional performance on state or district-wide assessment are clearly stated and align with needs identified in other components of the student’s IEP; OR</li> <li><input type="checkbox"/> There is evidence the team considered accommodations and determined that no accommodations were necessary.</li> </ul>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if <u>any</u> of the following are true:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The IEP does not indicate if the student will participate in the annual statewide or district-wide assessments.</li> <li><input type="checkbox"/> Accommodations needed for full participation in the assessment are not addressed.</li> </ul>

RECORD REVIEW ITEM: IEP-10 - 34 CFR §300.106

Record Review Item	Potential Documentation
Extended school year services (ESY) are considered annually.	<ul style="list-style-type: none"><li>• IEP – Extended School Year (ESY) Services</li><li>• Meeting notes</li><li>• Prior Written Notice</li></ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that within the last year:</p> <p><input type="checkbox"/> The child’s IEP team determined, on an individual basis, that the services were or were not necessary for the provision of free appropriate public education to the child.</p> <p><input type="checkbox"/> The school district did not unilaterally limit the type, amount, or duration of those services.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence that within the last year <u>any</u> of the following were true:</p> <p><input type="checkbox"/> The need for extended school year services was not considered.</p> <p><input type="checkbox"/> The decision regarding eligibility for extended school year special education was made unilaterally rather than by the child’s IEP team.</p> <p><input type="checkbox"/> The school district unilaterally limited the type, amount, or duration of those services.</p>

*Individual Student File Review Form*

Student Information				
Student Name:				
Student SSID:				
Student DOB:				
Student Disability:				
Grade:				
IEP Start Date:				
IEP End Date:				
IEP				
IEP 1	Parent invited	Y	N	
IEP 2	IEP reviewed annually	Y	N	
IEP 3	Appropriate IEP team	Y	N	
IEP 4	PLAAFP	Y	N	
IEP 5	Measurable annual goals	Y	N	
IEP 6	Detailed special education services	Y	N	
IEP 7	Related services	Y	N	NA
IEP 8	Supports for personnel	Y	N	NA
IEP 9	Statewide assessment	Y	N	
IEP 10	ESY considered	Y	N	
Comments				

*IEP – Summary Sheet*

INFORMATION	
LEA Name:	Required Sample Size:

Total number of student files reviewed is indicated below.

Elementary School Students	Middle School Students	High School Students	Out of District Placements	Grand Record Total

List SSIDs of the targeted sample of student files. Enter “Yes” if evidence was found. Enter “No” if no evidence was found. Enter “NA” if the item is not applicable to the selected student. No item may be left blank.

SSID	IEP-1	IEP-2	IEP-3	IEP-4	IEP-5	IEP-6	IEP-7	IEP-8	IEP-9	IEP-10

Plan of Correction – Identify what will be done and when to correct any individual or systemic noncompliance for each item where the LEA found noncompliance during the self-assessment process.

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### IEP Focus Group Questions

IEP Focus Group Questions	School/District Staff	Parents	Students	Community
• What story do our district's IEPs tell?	X	X	X	X
• What are our district's/programs' IEP success stories?	X	X	X	X
• What patterns exist within our student population (e.g., race, ethnicity, disability, gender, and grade), school sites and IEP team decisions?	X	X	X	X
• How well are student and parent perspectives included during the IEP process?	X	X	X	X
• How does our district's staffing and staff practices affect IEP implementation?	X	X	X	X
• What investments have we made, or should we consider making to support our district's IEP implementation?	X	X	X	X
• What are the systems changes, personnel growth and professional learning, and supports for students needed to increase the effectiveness of IEPs?	X	X	X	X
• What issues related to the IEP development process and development have caused contention in our district that may have resulted in dispute resolution?	X	X	X	X

# Priority Area 3: Free Appropriate Public Education (FAPE)



OREGON  
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EDUCATION

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## Priority Area 3: Free Appropriate Public Education (FAPE)

FAPE is a cornerstone of the IDEA whereby each student eligible for special education is entitled to receive the individualized special education and related services determined necessary to support the student, their unique needs and to make educational and functional progress. Regardless of the student's disability category, where or how they receive services, or other student attributes, the LEA has an obligation to provide FAPE to every student experiencing disability.

In this section, the LEA will respond to a series of questions to explore whether it is meeting critical components of FAPE. Educational Benefit Review process helps teams determine if an IEP is reasonably calculated to provide educational benefit by comparing the current IEP with the previous two IEPs; aspects of this process are also included within this priority area.

Due to the nature of some findings of noncompliance in this area, which can impact the student receiving a FAPE, OESO recommends the LEA to correct all related findings immediately. In all cases where the student is still enrolled within the LEA's jurisdiction and eligible to receive special education, all instances of noncompliance must be corrected no later than one year from the OESO's written notification.

Pursuant to [OAR 581-015-2015\(8\)\(9\) - General Supervision](#), when a school district or program is notified of noncompliance, the school district or program must correct the noncompliance, including completing any corrective action required, as soon as possible, and in no case later than one year after it was identified. Identified noncompliance must be corrected as soon as possible, and in no case later than 60 days after notification to the district or program of noncompliance that could cause a student to be denied 10 or more instructional days (whether partial or full days) consecutively or cumulatively within any one school year, as compared to the majority of general education students who are in the same grade within the attending school district or program as the child or student with a disability.

Free

Appropriate

Public

Education

## Free Appropriate Public Education (FAPE)

RECORD REVIEW ITEM: FAPE-1 - 34 CFR §300.301 and 300.303

Record Review Item	Potential Documentation
The initial evaluation was conducted within 60 days of parental consent or a reevaluation was conducted within three years of the most recent evaluation.	<ul style="list-style-type: none"> <li>• Prior notice about evaluation</li> <li>• Consent for evaluation</li> <li>• Evaluation reports</li> <li>• Other relevant sources of information</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that the last evaluation was completed within the appropriate timeline.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence that the last evaluation was completed outside of the appropriate timeline.

RECORD REVIEW ITEM: FAPE-2 - 34 CFR §300.304(b)(1) & 300.304(2)

Record Review Item	Potential Documentation
A variety of assessment tools and strategies (not a single measure or assessment as the sole criterion) were used to gather relevant functional, developmental, and academic information about the child, including information provided by the parent.  For reevaluation, existing data (evaluation data and parental input, current classroom based, local or state assessment data, and observations) from a variety of sources (teacher data, parent data, and related services data) were used to determine continued eligibility.	<ul style="list-style-type: none"> <li>• Evaluation reports</li> <li>• Prior written notice</li> <li>• IEP meeting notes</li> <li>• Parental input</li> <li>• Student work</li> <li>• Teacher input</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence of <u>all</u> of the following:  <input type="checkbox"/> A variety of assessment tools and strategies were used to gather data and other relevant information about the child	<input type="checkbox"/> <b>NO</b> Mark NO if <u>any</u> of the following are true:  <input type="checkbox"/> Limited tools were used to gather data and other relevant information about the child.  <input type="checkbox"/> Parent information was not considered.



<p>including information provided by the parent.</p> <p><input type="checkbox"/> No single measure or assessment was used as the sole criterion for determining whether the child is a student with a disability and for determining an appropriate educational program for the child.</p>	<p><input type="checkbox"/> A single measure or assessment was used as the sole criterion for determining whether a child is a student with a disability.</p>
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RECORD REVIEW ITEM: FAPE-3

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>There is evidence the student received all services as described within the IEP including but not limited to modifications, specially designed instruction, related services and/or supports for school personnel.</p>	<ul style="list-style-type: none"> <li>• Service trackers</li> <li>• Related services personnel service logs</li> <li>• Progress reports</li> <li>• Lesson plans</li> <li>• Report from teacher interview</li> <li>• Training sign-in sheet</li> <li>• Student schedule</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that all components of the IEP were delivered with a high level of fidelity during the most recent period the IEP was in effect.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence that any component of the most recent IEP was not delivered as planned.</p>

RECORD REVIEW ITEM: FAPE-4 - 34 CFR §300.320(a)(3)(i)(ii)

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>The student's progress toward meeting the annual goals is measured and the IEP includes when the periodic report(s) of progress are provided to the student's parents.</p>	<ul style="list-style-type: none"> <li>• IEP – Annual goals; progress towards goal</li> <li>• Progress reports</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence the following are true:</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if <u>any</u> of the following is true:</p>

<p><input type="checkbox"/> The IEP indicates an appropriate method and schedule for monitoring progress toward annual goals given the students unique needs;</p> <p><input type="checkbox"/> Progress reports were provided as often as indicated on the IEP; AND</p> <p style="padding-left: 40px;"><input type="checkbox"/> The progress reports from the last year describe the student's progress toward the annual goals using the described schedule and method; <b>OR</b></p> <p style="padding-left: 40px;"><input type="checkbox"/> it is the student's first IEP and was developed within the previous 364 days, all appropriate progress reports for the time period describe the student's progress toward the annual goals using the described schedule and method</p>	<p><input type="checkbox"/> The IEP does not indicate an appropriate method and schedule for monitoring progress toward annual goals given the students unique needs;</p> <p><input type="checkbox"/> The progress reports from the last year did not describe the student's progress toward the annual goals using the described schedule and method or did not align with the student's annual goals.</p> <p><input type="checkbox"/> The progress reports from last year were not provided as often as indicated on the IEP.</p>
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RECORD REVIEW ITEM: FAPE-5 - 34 CFR §300.320

<b>Record Review Item</b>	<b>Potential Documentation</b>
<p>The student's goals address the needs identified within the Present Level of Academic Achievement and Functional Performance (PLAAFP).</p>	<ul style="list-style-type: none"> <li>• IEP – Present level of academic achievement &amp; functional performance; annual academic &amp; functional goals &amp; objectives</li> <li>• Meeting notes</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that the student's goals align with the student's present level of academic achievement and functional performance, identified special factors, and other information documented on the IEP.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence that the student's goals do not align with the student's present level of academic achievement and functional performance, identified special factors, and other information documented on the IEP.</p>

RECORD REVIEW ITEM: FAPE-6

Record Review Item		Potential Documentation
The student's goals have changed across the three IEPs (current IEP and the previous two IEPs).		<ul style="list-style-type: none"> <li>• IEP – Annual academic &amp; functional goals</li> <li>• Progress reports</li> </ul>
Evidence of Compliance		
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that each goal was reviewed each year, the team considered adjustments to each goal based on the student's individual circumstance and only retained a goal in rare circumstances.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence that a goal or multiple goals are repeated across years and the team did not consider adjustments to goals based on the student's individual circumstances.	<input type="checkbox"/> <b>NOT APPLICABLE</b> Mark N/A if there is evidence this is the student's initial IEP developed within the past 364 days.

RECORD REVIEW ITEM: FAPE-7 - 34 CFR §300.324(b)

Record Review Item		Potential Documentation
There is evidence the student made progress on the <u>current IEP's annual goals and the previous two IEPs</u> or if the student was not making progress, there is evidence of appropriate adjustments.		<ul style="list-style-type: none"> <li>• IEP – Progress towards goal; present levels; amendment(s)</li> <li>• Progress reports</li> <li>• Goal data</li> <li>• Meeting notes</li> <li>• Prior written notice</li> </ul>
Evidence of Compliance		
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence the following are true:  <input type="checkbox"/> Student has made progress on the current IEP's annual goals; AND  <input type="checkbox"/> The student made progress on the goals	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student is not or has not made progress on any of the three most recent IEPs and the team did not reconvene to adjust.	<input type="checkbox"/> <b>NOT APPLICABLE</b> Mark N/A if there is evidence this is the student's initial IEP

<p>in the previous two IEPs;</p> <p><b>OR</b></p> <p><input type="checkbox"/> The student did not make progress on any of the three most recent IEPs and the team reconvened to address the lack of progress.</p>		
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RECORD REVIEW ITEM: FAPE-8 - 34 CFR §300.323(d)

Record Review Item	Potential Documentation
<p>The student’s IEP has been accessed by each educator and service provider who is responsible for its implementation and they have been informed of their specific responsibilities related to implementing the student’s IEP as well as the specific accommodations, modifications, and supports that must be provided for the student in accordance with the IEP.</p>	<ul style="list-style-type: none"> <li>• Documentation of access (e.g. IEP system access logs; log of paper copies provided to educators)</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence that <u>all</u> of the following are true:</p> <p><input type="checkbox"/> Every educator and service provider who is responsible for implementing the student’s IEP has access to the IEP; and</p> <p><input type="checkbox"/> Every educator and service provider has been informed of their specific responsibilities related to implementing the student’s IEP as well as the specific accommodations, modifications, and supports that must be provided for the student in accordance with the IEP.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence <u>any</u> of the following are true:</p> <p><input type="checkbox"/> Any educator and/or service provider who is responsible for implementing the student’s IEP does NOT have access to the IEP; and/or</p> <p><input type="checkbox"/> Any educator or service provider who is responsible for implementing the student’s IEP has NOT been informed of his or her specific responsibilities related to implementing the student’s IEP. They have not been informed as to the specific accommodations, modifications, and</p>

	supports that must be provided for the student in accordance with the IEP.
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RECORD REVIEW ITEM: FAPE-9 - 34 CFR §300.108

Record Review Item	Potential Documentation
Physical education services are available to the student either through regular physical education or through specially designed physical instruction.	<ul style="list-style-type: none"> <li>• IEP service summary</li> <li>• Student schedule</li> <li>• Service trackers</li> <li>• Observation report</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence the student has access to physical education services either through physical education services available to nondisabled peers or through specially designed physical education as prescribed in the child's IEP.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student has not been afforded the opportunity to participate in the regular physical education program or through specially-designed physical education based upon the child's needs.

RECORD REVIEW ITEM: FAPE-10

Record Review Item	Potential Documentation
The student is provided with the same number of hours of instruction or educational services as the majority of other students who are in the same grade within the student's resident district, or other appropriate comparison group, unless the required processes for an abbreviated school day program under Oregon Senate Bill 819 have been appropriately followed.	<ul style="list-style-type: none"> <li>• IEP – Services</li> <li>• Student schedule</li> <li>• Prior written notice</li> <li>• Abbreviated school day program notice</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that either:	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student's school day/week does not include the same total number of instructional hours afforded to students without IEP and the district did

- The student's school day/week includes the same total number of instructional hours afforded to students without IEPs
- The student's school day/week does not include the same total number of instructional hours afforded to students without IEP and the district followed all of the requirements contained in Oregon Senate Bill 819.

not follow all of the requirements contained in Oregon Senate Bill 819.

Individual Student File Review Form

Student Information				
Student Name:				
Student SSID:				
Student DOB:				
Student Disability:				
Grade:				
IEP Start Date:				
IEP End Date:				
FAPE				
FAPE 1	Evaluation completed within timeline	Y	N	
FAPE 2	Variety of tools and sources used to determine eligibility	Y	N	
FAPE 3	Student received all services	Y	N	
FAPE 4	Progress was measured as described in the IEP	Y	N	
FAPE 5	Goals address needs identified in PLAAFP	Y	N	
FAPE 6	Goals change over last 3 IEPs	Y	N	NA
FAPE 7	Student made progress on last 3 IEPs or team meet to address lack of progress	Y	N	NA
FAPE 8	IEP is accessible to appropriate staff	Y	N	
FAPE 9	Available PE	Y	N	
FAPE 10	Student has a full schedule – total instructional hours provided	Y	N	
Comments				

*Free Appropriate Public Education (FAPE) – Summary Sheet*

INFORMATION	
LEA Name:	Required Sample Size:

Total number of student files reviewed is indicated below.

Elementary School Students	Middle School Students	High School Students	Out of District Placements	Grand Record Total

List SSIDs of the targeted sample of student files. Enter “Yes” if evidence was found. Enter “No” if no evidence was found. Enter “NA” if the item is not applicable to the selected student. No item may be left blank.

SSID	FAPE-1	FAPE-2	FAPE-3	FAPE-4	FAPE-5	FAPE-6	FAPE-7	FAPE-8	FAPE-9	FAPE-10

Plan of Correction – Identify what will be done and when to correct any individual or systemic noncompliance for each item where the LEA found noncompliance during the self-assessment process.

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FAPE Focus Group Questions

FAPE	School/District Staff	Parents	Students	Community
• Are IEPs being implemented as written?	X	X	X	X
• Who is benefitting from the IEP process, and the special education services and related services determined appropriate by teams?	X	X	X	X
• Is there alignment between the needs identified within PLAAFP, the goals, accommodations and services?	X	X	X	X
• How is individual student progress monitored on IEP goals and services?	X			
• For students failing one or more subjects, are there patterns in IEP implementation that appear to be systemic and discrepant?	X	X	X	X
• Where are the challenges with IEP implementation within our district or buildings?	X			
• If there are FAPE concerns, what is the district's typical process to address?	X	X	X	X
• What issues related to IEP progress monitoring and educational benefit have caused contention in your district that may have resulted in dispute resolution?	X	X		X

# Priority Area 4: Discipline



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A child's hands and feet are visible at the top of the page, resting on a chalkboard. The child is wearing a purple long-sleeved shirt and grey sneakers. The chalkboard has colorful chalk drawings, including a pink circle and a blue line. The background is a textured, greyish surface.

## Priority Area 4: Discipline

A change of placement occurs if disciplinary removal is more than ten (10) consecutive school days; or more than 10 cumulative days of short-term removals that constitute a pattern. For disciplinary actions resulting in the removal of students with disabilities for more than 10 days in a school year (whether or not the days are consecutive), the school must provide special education services that allow the student to: continue to participate in the general education curriculum, although in another setting and progress toward meeting the goals outlined in the student's IEP.

If the disciplinary action results in a removal from school that is a change of placement, the IEP team must determine the exact educational services needed while the student is assigned to the interim alternative education setting, another setting, or suspension.

Within 10 school days of any decision to change the placement of a student with a disability because of a violation of a code of student conduct, the school district, parents, and relevant members of the student's IEP team must meet to determine if the conduct in question was caused by, or had a direct and substantial relationship to, the student's disability. Please note that 10 school days can be consecutive days or a pattern of removal that totals 10 days and therefore constitutes a change in placement.

The IEP team must also determine if the conduct was the direct result of the school's failure to implement the student's IEP, including behavioral interventions or implementation of a behavior intervention plan/behavior support plan. If the IEP team decides that the student's behavior was a direct result of the school's failure to implement the IEP, the school must take immediate steps to remedy the deficiencies and return the student to his/her original placement.

LEAs that do not meet state targets (SPP-APR Indicator 4) are required to assess discipline-related policies, practices, and procedures for students with disabilities. This discipline review provides the opportunity for LEAs to examine discipline procedures for students who have been removed for more than 10 days in a school year.

## Discipline (DIS)

### STUDENT INFORMATION

Has the student been removed from school for 10 or more days due to disciplinary reasons?  
[Yes | No]

If the answer is yes, please complete the discipline protocol for this file. If the answer is no, discontinue this protocol for this student.

### RECORD REVIEW ITEM: DIS-1 - 34 CFR §300.520

<b>Record Review Item</b>	<b>Potential Documentation</b>
The parent was provided procedural safeguards in accordance with discipline procedures.	<ul style="list-style-type: none"><li>• Manifestation determination</li><li>• Documentation notifying the parent of change of placement and procedural safeguards</li><li>• Meeting notice</li><li>• Prior written notice</li></ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence the parent was provided procedural safeguards.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the parent was not provided procedural safeguards.

### RECORD REVIEW ITEM: DIS-2 - 34 CFR §300.503

<b>Record Review Item</b>	<b>Potential Documentation</b>
The IEP team considered the student's Special Factors including if the child's behavior impedes their or others learning and the use of positive behavior interventions, supports and other strategies to address the behavior.	<ul style="list-style-type: none"><li>• IEP – Special Factors</li><li>• Meeting Notes</li><li>• Prior Written Notice</li></ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence special factors and/or the use of positive behavior	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence special factors and/or the use of positive behavior

interventions supports and other strategies were considered.	interventions supports and other strategies were not considered.
--	--

RECORD REVIEW ITEM: DIS-3 - 34 CFR §300.20

<b>Record Review Item</b>	<b>Potential Documentation</b>
Within ten school days of a change in the student’s placement due to a violation of the student code of conduct, a Manifestation Determination was held.	<ul style="list-style-type: none"> <li>• Student discipline records</li> <li>• Manifestation determination</li> <li>• Prior Written Notice</li> <li>• Meeting Notes</li> <li>• Meeting invitation</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence a properly constituted IEP team convened for a Manifestation Determination within 10 school days of the student’s removal.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence that a Manifestation Determination was not held, was not held within the timeline identified or did not include opportunity for the parent to participate.

RECORD REVIEW ITEM: DIS-4 - 34 CFR §300.530(f)

<b>Record Review Item</b>	<b>Potential Documentation</b>
If the IEP team determined that the behavior was a manifestation of the student’s disability, the team agreed to either: <ul style="list-style-type: none"> <li>• Conduct a functional behavioral assessment, unless the school district conducted a functional behavioral assessment before the behavior occurred that prompted the disciplinary action, and implement a Behavior Intervention Plan/Behavior Support Plan; or</li> <li>• If a Behavior Intervention Plan/Behavior Support Plan already has been developed, review the behavioral intervention plan and modify it, as necessary, to address the behavior.</li> </ul>	<ul style="list-style-type: none"> <li>• Manifestation determination</li> <li>• Prior Written Notice</li> <li>• Meeting Notes</li> <li>• Functional Behavioral Assessment (FBA)</li> <li>• Behavior Intervention Plan/Behavior Support Plan (BIP/BSP)</li> </ul>

**Evidence of Compliance**

**YES**

Mark YES if there is evidence that the team identified and completed the agreed upon next steps for the student.

**NO**

Mark No if there is evidence the team did not conduct an FBA and/or did not review/revise the student's BIP/BSP.

**NOT APPLICABLE**

Mark N/A if there is evidence the team determined the behavior was not a manifestation.

*Individual Student File Review Form*

Student Information				
Student Name:				
Student SSID:				
Student DOB:				
Student Disability:				
Grade:				
IEP Start Date:				
IEP End Date:				
Discipline				
DIS 1	Procedural Safeguards provided to the parent	Y	N	
DIS 2	Special Factors	Y	N	
DIS 3	Manifestation Determination held	Y	N	
DIS 4	If team determined conduct was a manifestation, team determined and completed the next steps	Y	N	NA
Comments				

*Discipline – Summary Sheet*

INFORMATION	
LEA Name:	Required Sample Size:

Total number of student files reviewed is indicated below.

Elementary School Students	Middle School Students	High School Students	Out of District Placements	Grand Record Total

List SSIDs of the targeted sample of student files. Enter “Yes” if evidence was found. Enter “No” if no evidence was found. Enter “N?A” if the item is not applicable to the selected student. No item may be left blank.

SSID	DIS 1	DIS 2	DIS 3	DIS 4

Plan of Correction – Identify what will be done and when to correct any individual or systemic noncompliance for each item where the LEA found noncompliance during the self-assessment process.

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*Discipline Focus Group Questions*

Discipline	School/District Staff	Parents	Students	Community
• What story does our district’s discipline data tell?	X	X	X	X
• What are examples of discipline practices in your district that you would consider successful?	X	X	X	X
• What patterns exist within our student population (e.g., race, ethnicity, disability, gender, and grade), school sites and discipline?	X	X	X	X
• How does our district’s staffing and staff practices affect discipline decisions?	X	X	X	X
• What investments have we made or should we consider making to support our district’s implementation of discipline practices?	X	X	X	X
• How well are discipline practices communicated with families?	X	X	X	X
• What’s the relationship between IEP accommodations, inclusion, and discipline outcomes?	X	X	X	
• What are the systems changes, personnel growth and professional learning, and supports for students needed to implement better discipline practices?	X	X	X	X

# Priority Area 5: Secondary Transition



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## Priority Area 5: Secondary Transition

Beginning no later than the development of the first IEP to be in effect when the student is 16, the student must be invited to all IEP meetings where transition will be discussed. The IEP Team must actively involve the student in developing their IEP. If the student does not attend, other steps are taken to ensure that their strengths, preferences and interests are considered as part of the IEP development. These strengths, interests and preferences will describe what the students wants to do when they have completed school, how they want to live, and how they want to take part in the community after high school.

### Understanding Secondary Transition:

Secondary Transition components include “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 service needs. There also must be evidence that the student was invited to the IEP meeting where transition services were to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the IEP 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))

Federal requirements are also measured through collecting data for Indicator 13 of Oregon’s SPP. This secondary transition review provides the opportunity for LEAs to examine required IEP components for students with disabilities aged 16 and older. The outcomes of the secondary transition reviews can also support schools and districts advance district-wide initiatives for improving graduation, decreasing drop out and supporting students’ post-school outcomes.

Preferences

Interests

Needs

Strengths

## Secondary Transition (SEC)

### STUDENT INFORMATION

Must the IEP being reviewed include required secondary transition components due to the student's age? [Yes | No]

If the answer is yes, please complete the secondary transition protocol for this file. If the answer is no, discontinue this protocol for this student.

### RECORD REVIEW ITEM: SEC-1 - 34 CFR §300.321(b)(1)

Record Review Item	Potential Documentation
There is evidence that the student was invited to the IEP meeting.	<ul style="list-style-type: none"> <li>• Notice of team meeting</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence the student was invited to the IEP meeting.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student was not invited to the IEP meeting.

### RECORD REVIEW ITEM: SEC-2 - 34 CFR §300.321(b)(3)

Record Review Item	Potential Documentation
There is evidence that agency representatives were invited to the IEP meeting, if appropriate, and prior consent was obtained from the parent or student before inviting the adult agency.	<ul style="list-style-type: none"> <li>• Meeting invitation</li> <li>• Meeting notes</li> <li>• Meeting participants</li> <li>• IEP – transition; and/or PLAAFP</li> <li>• Signed, written consent to invite an agency</li> <li>• Written communication between the parent or adult student and the district</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence of the following: <input type="checkbox"/> The team considered whether an agency invitation was appropriate and invited agency representatives to the IEP meeting	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence that agency representatives were not invited to the IEP and the team did not document the rationale behind the decision.

<p>OR</p> <p><input type="checkbox"/> The team determined that an outside agency was not appropriate and included the rationale</p> <p>OR</p> <p><input type="checkbox"/> The team determined that an agency invitation was appropriate, but the parent or adult student declined to give consent to invite the agency and there is documentation of this.</p>	
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RECORD REVIEW ITEM: SEC-3 - 34 CFR §300.320(b)& 300.43

Record Review Item	Potential Documentation
<p>There are appropriate measurable postsecondary goals addressing:</p> <p><input type="checkbox"/> Education and/or training,</p> <p><input type="checkbox"/> Employment, and,</p> <p><input type="checkbox"/> Independent living, as needed</p>	<ul style="list-style-type: none"> <li>• IEP – Transition</li> </ul>
<b>Evidence of Compliance</b>	
<p><input type="checkbox"/> <b>YES</b></p> <p>Mark YES if there is evidence the required postsecondary goals are present, measurable, and will occur after district secondary transition services end.</p>	<p><input type="checkbox"/> <b>NO</b></p> <p>Mark NO if there is evidence the postsecondary goals are not present in all areas, or not measurable and/or do not state what the student will do after high school.</p>

RECORD REVIEW ITEM: SEC-4 - 34 CFR §300.320

Record Review Item	Potential Documentation
<p>The postsecondary goals are reviewed or updated annually.</p>	<ul style="list-style-type: none"> <li>• IEP – Transition Page</li> <li>• Present levels of performance</li> </ul>
<b>Evidence of Compliance</b>	

<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that <u>either</u> of the following are true: <input type="checkbox"/> The goals are reviewed and revised year to year; OR <input type="checkbox"/> If the goals are the same year to year, the team considered the goals and determined they are still appropriate.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student's postsecondary goals are not being updated year to year.	<input type="checkbox"/> <b>NOT APPLICABLE</b> Mark N/A if there is evidence this standard is not applicable due to this IEP being the student's initial IEP within the last 364 days.
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RECORD REVIEW ITEM: SEC-5 - 34 CFR §300.320(b)(1)

Record Review Item	Potential Documentation
The postsecondary goals are based on age-appropriate transition assessments (AATA).	<ul style="list-style-type: none"> <li>IEP – Transition planning page; and/or Present levels of performance</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence the student's postsecondary goals are based on AATA and include the student's preferences, interests, needs and strengths.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student's post-secondary goals do not align with information obtained from the student's transition assessments, or information from assessments is not current. They do not coordinate with the students' preferences and interests.

RECORD REVIEW ITEM: SEC-6 - 34 CFR §300.320(b)

Record Review Item	Potential Documentation
The annual IEP goals are related to the student's transition service needs.	<ul style="list-style-type: none"> <li>IEP – Transition Services Page; Annual academic &amp; functional goals</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b>	<input type="checkbox"/> <b>NO</b>

Mark YES if there is evidence of clear alignment between the student's annual IEP goals and transition services.	Mark NO if there is evidence the student's annual IEP goals do not align with the transition services including postsecondary goals.
--	--

**RECORD REVIEW ITEM: SEC-7 - 34 CFR §300.43**

<b>Record Review Item</b>	<b>Potential Documentation</b>
The IEP includes transition services that will reasonably enable the student to meet the post-secondary goals.	<ul style="list-style-type: none"> <li>IEP – Transition services page; Service Summary, including services such as SDI, related services, community experiences, independent learning; and/or PLAAFP</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence that the IEP includes transition services provided by the district or program that will reasonably enable the student to meet the post-secondary goals.  Transition services may include instruction; related services; community experiences; development of employment and other post-school adult living objectives; and daily living skills and the provision of a functional vocational evaluation.	<input type="checkbox"/> <b>NO</b> Mark NO if there is evidence the student's IEP does not include transition services or contains very limited transition services that do not meet the student's needs.

**RECORD REVIEW ITEM: SEC-8 - 34 CFR §300.320**

<b>Record Review Item</b>	<b>Potential Documentation</b>
The student's IEP includes courses of study that will reasonably enable the student to meet their postsecondary goals.	<ul style="list-style-type: none"> <li>IEP – Transition Planning or Services Page</li> <li>Descriptions of course of study and activities beyond listing of required courses for graduation</li> </ul>
<b>Evidence of Compliance</b>	
<input type="checkbox"/> <b>YES</b> Mark YES if there is evidence of multi-year educational experiences and activities supporting the student's postsecondary	<input type="checkbox"/> <b>NO</b> Mark NO if there is no evidence of courses of study, including a multi-year projection of

goals from the current year to anticipated exit year.

courses and activities the student could be involved in the future.



Individual Student File Review Form

Student Information				
Student Name:				
Student SSID:				
Student DOB:				
Student Disability:				
Grade:				
IEP Start Date:				
IEP End Date:				
Secondary Transition				
SEC 1	Student invited	Y	N	
SEC 2	Agency invited with prior consent	Y	N	
SEC 3	Measurable postsecondary goals	Y	N	
SEC 4	Postsecondary goals reviewed and revised annually	Y	N	NA
SEC 5	Age-Appropriate Transition Assessments	Y	N	
SEC 6	Annual goals	Y	N	
SEC 7	Transition services	Y	N	
SEC 8	Course of Study	Y	N	
Comments				

Secondary Transition – Summary Sheet

INFORMATION	
LEA Name:	Required Sample Size:

Total number of student files reviewed is indicated below.

Elementary School Students	Middle School Students	High School Students	Out of District Placements	Grand Record Total
NA				

List SSIDs of the targeted sample of student files. Enter “Yes” if evidence was found. Enter “No” if no evidence was found. Enter “NA” if the item is not applicable to the selected student. No item may be left blank.

SSID	SEC-1	SEC-2	SEC-3	SEC-4	SEC-5	SEC-6	SEC-7	SEC-8

Plan of Correction – Identify what will be done and when to correct any individual or systemic noncompliance for each item where the LEA found noncompliance during the self-assessment process.

--

*Secondary Transition Focus Group Questions*

Secondary Transition	School/District Staff	Parents	Students	Community
• How do staff communicate with each other across departments to support transition planning?	X			
• How do you ensure staff is knowledgeable about the procedures necessary for completing all of the required transition components, including Summary of Performance?	X			
• Describe how students receive transition services.	X	X	X	X
• Describe the district's partnership with Vocational Rehabilitation, and the referral process to adult serving agencies, as necessary.	X	X	X	X
• Describe supports provided for on-track graduation for general education and special education students and highlight any similarities and differences.	X	X	X	X
• How is Post-School Outcome data reviewed and utilized to improve programs and secondary transition planning?	X	X	X	X
• Describe any school or district-wide initiatives to increase the rate of graduation.	X	X	X	X
• What are the LEAs strengths and areas for improvement related to graduation, dropout, and secondary transition?	X	X	X	X



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## Appendix F – LEA Self-Assessment Team Checklist

**Step 1: Special Education Director selects team members to participate in the self-assessment process.** Identify a team leader to oversee the self-assessment process and a team of individuals to conduct the review. The team should include individuals from multiple disciplines. This may include, but is not limited to: general education teachers, special education teachers, principals or assistant principals, guidance counselors, social workers, behavior specialists, school psychologists, and/or related service providers.

**Step 2: Conduct an initial meeting with team members to discuss process timelines and assign responsibilities.** Review OESO’s notification. Determine which priority areas are required by OESO and any additional priority area the LEA opts to complete. Determine guiding questions and what the LEA is hoping to learn from the self-assessment process

**Step 3: Identify student files to review and consult additional data sources.** Refer to the sample selection instructions. Identify the sample of students; verify representativeness for student population and any priority areas. Consult relevant data sources (e.g., LEA Determination, at-a-glance profiles, assessment results, or parent survey data.

**Step 4: Complete required self-assessment.** Conduct student file reviews, targeted focused groups and interviews and observations, if needed. Identify additional records to review if inconclusive patterns are found.

\*Interviews and observations may be conducted as optional activities, if additional information is needed to make a decision regarding compliance or implementation.

**Step 5: Compile and submit results.** Assign a person to compile data and submit completed Summary Sheet to OESO. Maintain corresponding documentation for OESO’s review and validation

**Step 6: Complete corrections for any noncompliance and engage in improvement planning.** Correct any noncompliance found as soon as possible. Provide supports for areas of growth and engage in improvement planning. Consult OESO as needed.



## Appendix I – Summary of Cyclical Monitoring

Required Activity	Action Steps
<b>Preparation</b>	<ul style="list-style-type: none"> <li>• The LEA is notified of upcoming focused monitoring activities, including any on-site visits.</li> <li>• The LEA selects a team.</li> <li>• OESO offers preparation technical assistance calls with LEA team.</li> <li>• The LEA team designates a secure space for monitoring activities.</li> <li>• The LEA team identifies student files to review. Refer to the sample selection instructions.</li> </ul>
<b>Monitoring</b>	<ul style="list-style-type: none"> <li>• The LEA team reviews files for target areas identified.</li> <li>• The LEA team complete interviews, classroom observations, and review target area policies and procedures.</li> <li>• The LEA summarizes what they learned and submits documents to OESO.</li> <li>• OESO reviews sample to verify LEA’s submission.</li> </ul>
<b>Post–Monitoring</b>	<ul style="list-style-type: none"> <li>• OESO sends the Monitoring Report no later than 60 days from the completion of the on-site activities.</li> <li>• The LEA and OESO develop a Corrective Action Plan (CAP).</li> <li>• The LEA team and OESO schedule bi-monthly follow-up meetings/calls during the course of correction and to review immediate or short-term corrective action items.</li> <li>• The LEA has one calendar year from receipt of the Monitoring Report to correct all individual instances of noncompliance and provide subsequent data demonstrating ongoing compliance, as defined in the Monitoring Report.</li> <li>• OESO verifies correction by reviewing samples of corrected files and subsequent files to ensure systemic correction and sustainability within one year of the Monitoring Report.</li> <li>• OESO reviews the CAP for completion of CAP activities. This may require the LEA to produce evidence of trainings provided, training materials, agendas, etc.</li> </ul>