



COLORADO
Department of Education

Transition Age File Reviews: Indicator 13

What's New, File Review Process and Data Submission – SY 2019-20

Today's Plan

- Overview
- What's New – Demonstrating Correction of Noncompliance (2 prongs)
- File Review Process
- Data Submission & Reporting
- Levels of Support



Purpose of IEP Record Reviews



1. To improve academic achievement, career and college readiness and post school outcomes for students with disabilities
2. To identify trends and areas of strength in IEP development and implementation
3. To make informed decisions about professional development and technical assistance needs in IEP development, implementation and transition planning
4. To gather statewide data required for the Colorado State Performance Plan/Annual Performance Review (SPP/APR) submitted annually to the Office of Special Education Programs (OSEP)

Overview



Overview



- AUs will review 3% of all IEPs (sample stratified in 3 age categories)
 - Minimum 10
 - Maximum 50
- Transition IEP sample is 20% of the total IEP review count
 - Minimum 5
 - Maximum 10
- Samples pulled from the 2018 December Count data
- Separate column in the Compliance tab of the Data Management System (DMS)

Compliance

Print ? Help

<u>Early Childhood</u> <u>Review age 3</u> <u>through 4</u> <u>7/1/2019</u>	<u>Transition</u> <u>Record Review</u> <u>15 years and</u> <u>older</u> <u>7/1/2019</u>	<u>Standard</u> <u>Record Review</u> <u>age 5 through</u> <u>14</u> <u>7/1/2019</u>
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A blue arrow points from the text 'Separate column in the Compliance tab of the Data Management System (DMS)' to the 'Transition Record Review' column in the table above.





How many files do I have to review?

CDE has uploaded a document to the Attachments List in the DMS Compliance tab that identifies the number in the sample and the required number of reviews for each age category: Preschool 3-4, School age 5-14, and Transition age 15+.

Profile Dispute Resolution **Compliance**

Attachments List - Full Details

+ Upload Attachment

File
<input type="checkbox"/> IEP Record Review Directions SY2019-20
<input type="checkbox"/> SY18-19 I 13 Final Results
<input type="checkbox"/> 2019-20 Transition Tracker and List
<input type="checkbox"/> 19-20 Standard review student list
<input type="checkbox"/> 19-20 EC student review list



As a result, your AU will review the following number of IEPs in each age group during SY2019-20:

Table 1: Number of IEPs your AU will review

Preschool Age 3-4	School age Age 5-14	Transition age Age 15 and above	Total number of IEPs reviewed by your AU
3	19	5	27

Students who were enrolled as of December 1, 2018 may no longer be enrolled in your AU at the time of IEP review. In order to provide flexibility to AUs in selecting files to review, we sampled an extra number of IEPs for each age group:

Table 2: Number of sampled IEPs your AU can choose from

Preschool Age 3-4	School age Age 5-14	Transition age Age 15 and above	Total number of IEPs sampled
6	38	10	54





Overview



- Sample Size - double the required number – provides flexibility in file selection
- Review IEPs dated between July 1, 2019 – June 1, 2020 only
- Full record reviews – protocol is built in to the DMS
- Target = 100% compliance
- Any noncompliant elements must be corrected and documented in the DMS by the data submission deadline of June 1, 2020.
- June 1, 2020 – data collection window closes and DMS files locked



I 13 Compliance Components



1. Appropriate measurable postsecondary goals (PSGs) in education/training, career/employment, and, as needed, independent living skills
2. PSGs are updated annually
3. Each PSG is based on age-appropriate transition assessment
4. Courses of Study are specific, individualized and linked to PSGs
5. Transition Services that will reasonably enable the student to meet his or her PSGs
6. Annual Goals directly and genuinely link to PSGs or Transition Services
7. Documentation of Student Invitation to the IEP
8. Written parental consent to invite an outside agency prior to the documented agency invitation (n/a is okay)

Notice of Meeting must indicate a purpose of the meeting will be the consideration of the postsecondary goals and transition services (required but not part of the I 13 measure)

Calculating % Compliance

Indicator 13 is an “all or nothing” indicator - a Transition IEP is considered compliant only if ALL 8 required components are evident in the document.

Calculation: % Compliant = (Number of youth age 15 and above with IEPs that contain each of the required components for secondary transition/sample size) * 100.

Example:

- Required file reviews = 5
- Compliant IEPs = 4
- % Compliant: $4/5 = 0.8 \times 100 = 80\%$

What's New?



Demonstrating Correction of Noncompliance for I 13 Per OSEP Memo 09-02

- Indicator 13 Compliance Target = 100%
- Reported to OSEP every February in the Colorado State Performance Plan (SPP)/Annual Performance Report (APR)
- If Colorado reports less than 100% (93% SY2017-18; 99% SY2018-19)

Then,

The CDE must demonstrate correction of noncompliance for each noncompliant IEP in every AU with less than 100% compliance



Demonstrating Correction of Noncompliance (2 prongs)

- Prong 1
 - The CDE must ensure that each AU has corrected all individual cases of noncompliance unless the child is no longer within the jurisdiction of the AU.
 - DMS reported data – all files reviewed in an AU showing less than 100% compliance for Indicator 13 requirements must be corrected

Important not to wait until May 2020 to review IEPs



Demonstrating Correction of Noncompliance (2 prongs)

- Prong 2
 - The CDE must review updated data to determine that the AU is correctly implementing the specific regulatory requirements related to Indicator 13.
 - CDE/AU collaborative side-by-side record reviews

The CDE has been doing collaborative reviews as part of our differentiated levels of support for several years and will continue this process. This alone was not enough to satisfy the requirements in OSEP Memo 09-02.

File Review Process



Which student files do we review?



Download the pre-populated 2019-20 Transition Tracker and List from the Attachment section of the Compliance tab in the DMS.

- Excel spreadsheet – 2 tabs at the bottom
 - Tracker – used for this process
 - Full Record – student detail for your use in selection

Profile Dispute Resolution **Compliance** Fiscal Family-School Performance Summary

Attachments List - Full Details Print Help

+ Upload Attachment

File	Confidential?	AU Access?	Date	
<input type="checkbox"/> SY18-19 I 13 Final Results	Yes	Yes	8/5/2019	Edit
<input type="checkbox"/> 2019-20 Transition Tracker and List	No	Yes	7/29/2019	Edit
<input type="checkbox"/> 19-20 Standard review student list	No	No	7/1/2019	Edit
<input type="checkbox"/> 19-20 EC student review list	No	No	7/1/2019	Edit





Transition Tracker



Transition Tracker (this is your friend!)

Identifies required number of reviews

Prepopulated: DMS Record Number, SASID, First Name, Last Name, DOB and Review By date

Required - AUs complete: Date of IEP, Compliant (Yes/No drop down menu)

Optional – AUs complete: Case Manager, Reason not reviewed

Use to verify your compliance results before the deadline (no surprises)



A	B	C	D	E	F	G	H	I	J
Number of Transition IEPs available for review=	10	<p>You have been given <i>double</i> the number of records that are required. The extra records are here to give you flexibility in the records you choose to review. This also gives you the opportunity to review a representative sample from your AU (e.g., different schools, teachers, districts).</p> <p>Fill in the IEP date and compliance outcome for reviewed files then upload completed Transition Tracker to the Attachment section in Compliance tab by June 1, 2020.</p>							
Number of Transition IEP reviews required=	5								
Please select 5 from the Table below.									
DMS Record Number	SASID	First Name	Last Name	DOB	Date of IEP July 1, 2019 to June 1, 2020	Review By	Compliant?	Case Manager	Reason not reviewed





Uploading IEP Documents



- Select the students you want to include in your review from the Transition Tracker
 - Remember that your sample has double the number required to review for flexibility
- Transition Tracker - Excel spreadsheet – 2 tabs at the bottom
 - Tracker – used to select students and submit data
 - Full Record – student detail for your use in selection (school, grade level, disability category)
- Upload the IEP documents for the selected students, including the Notice of Meeting, from your IEP system (e.g. Enrich) to the DMS.

Instructions for uploading IEPs for Enrich and non-Enrich users can be found under Resources on the [Directors' Corner of the CDE website](#)





Completing IEP file reviews

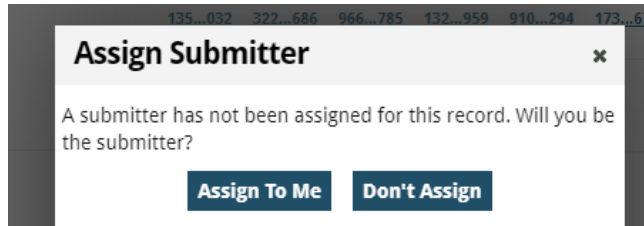
1. Click on Transition Record Review column
2. Click on the Record Number you want to review

[Transition Record Review 15 years and older 7/1/2019](#)

Records (10)

- [1](#) [2](#) [3](#) [4](#) [5](#) [6](#) [7](#) [8](#) [9](#) [10](#)

3. Click on Assign To Me and fill in your name



4. Complete full record review using the protocol in the DMS

Profile Dispute Resolution **Compl**

Reviewer:none

Present Levels of Academic Achiev

In developing each child's IEP, the IEP Team must consider the results of the initial or most recent evaluation of the child 300.320(a)(1)(iii) and the academic, developmental, and functional needs of the child. 300.320(a)(1)(iv).

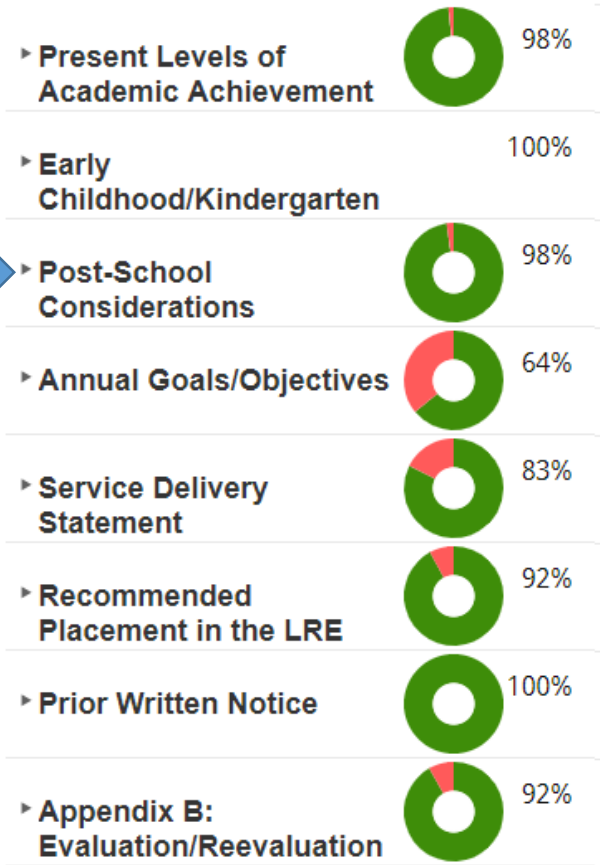
Strengths of the child. 300.324(a)(1)(i); 4.03

The IEP team must consider the results of the initial or most recent evaluation of the child 300.324(a)(1)(iii); 4.03 NOTE: Consider benchmark testing, curriculum-based assessments, progress monitoring data of interventions, etc. Data should be a summarized discussion or triangulation of data presented in order to develop measurable goals. For CLD students, look for input pertinent to second language (e.g., ACCESS scores, ELA input, parental input)





Verification of Data DMS Views (Collapsed & Expanded)



I 13 Elements Expanded View

ECEA

▼ Post-School Considerations		98%			
Post Goals - Education		90%			
Post Goals - Career		100%			
Post Goals - Living		100%			
Post Goals Reviewed		100%			
Age App Assessments		100%			
Course of Study		100%			
Transition Services		100%			
Student Invitation		100%			
Postsecondary Meeting		90%			
Outside Agency		100%	NA	NA	NA
▼ Annual Goals/Objectives		64%			
Goals Link to Postsecondary Goals		80%			
Measurable Goals		50%			
Aligned with Targets		30%			





Verification of Data



- Please verify your DMS data before the deadline to ensure that any IEP with noncompliant elements has been corrected and amended. **There should be no blanks or red indicators** in your reviewed IEP protocol on the DMS when the data collection window closes.

Course of Study	93%									
Transition Services	100%									
Student Invitation	92%									
Outside Agency	100%	NA	NA	NA		NA	NA	NA		

Important: Corrections of any noncompliant sections must be completed and new IEPs/amendments uploaded to the DMS by June 1, 2020. Don't forget to change your answers from No to Yes.



Data Submission & Reporting



Complete and Upload Transition Tracker



For each of the reviewed student files complete the following steps:

1. Fill in the date of the IEP – IEPs that fall outside of the range will not be accepted
2. Use the drop-down menu to indicate the compliance of the record (Yes/No)
3. Upload the completed Tracker to the Attachments section: Label it Completed I 13 Tracker 2019-20

Reminder: Use the Tracker to verify your compliance results before the deadline (no surprises)

A	B	C	D	E	F	G	H	I	J
Number of Transition IEPs available for review=	10	You have been given <i>double</i> the number of records that are required. The extra records are here to give you flexibility in the records you choose to review. This also gives you the opportunity to review a representative sample from your AU (e.g., different schools, teachers, districts).							
Number of Transition IEP reviews required=	5	Fill in the IEP date and compliance outcome for reviewed files then upload completed Transition Tracker to the Attachment section in Compliance tab by June 1, 2020.							
Please select 5 from the Table below.									
DMS Record Number	SASID	First Name	Last Name	DOB	Date of IEP July 1, 2019 to June 1, 2020	Review By	Compliant?	Case Manager	Reason not reviewed

Required

Required





Data Submission Deadline and Reporting



At 5:00 PM on June 1, 2020, the data submission window closes and your access to these files in the DMS will be locked.

Important: Requests to reopen the files after the deadline will result in one point lost for Accurate and Timely Submission of Data on the Compliance Matrix for 2021 AU Determination.

August 2020: 2019-2020 I 13 results letter available to AUs in the Attachment section of the DMS Compliance tab

February 2021: The CDE reports state-wide Indicator 13 compliance data and evidence to demonstrate correction of any noncompliance to OSEP

Spring 2021: 2019-2020 Indicator 13 compliance percentage included in the Compliance Matrix of each AU's Determination



Checklist (available on the Transition webpage)



- ✓ Sign in to the DMS
- ✓ Go to the Attachment Section in the Compliance Tab
- ✓ Download Transition Tracker
- ✓ Select IEPs to review
- ✓ Upload selected Transition IEPs to the DMS
- ✓ Complete full record review in the DMS
- ✓ Corrections of any non-compliant sections must be completed and new IEPs/amendments uploaded to the student record in the DMS
- ✓ On the Transition Tracker, fill in IEP date and compliance outcome
- ✓ Upload completed Transition Tracker to the Attachment section in Compliance tab

Levels of Support

Levels of Support



Years 2015-16 and 2016-17 were recalibration years. The baseline year for levels of support is 2017-2018.

*Directors can find their trend data used to determine their AU's level of support for SY 2019-20 in the DMS on the Summary Tab, 2018-2019.

Secondary Transition - 13 - Secondary Transition

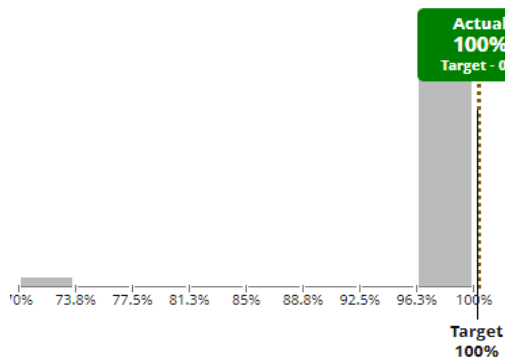
Print Help

Results For 2018-2019

Secondary transition compliance rate

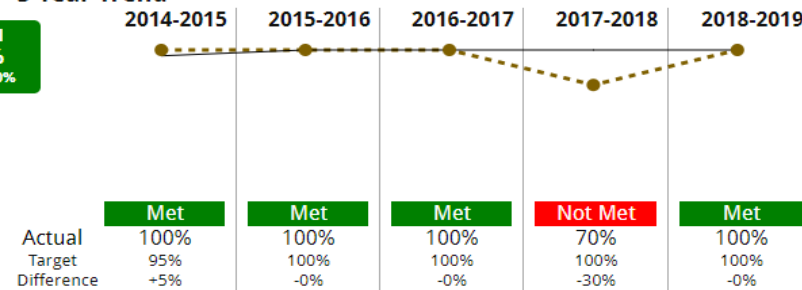
2018-2019 Status

Distribution of all AUs



5 Year Trend

Key: Actual Target



All transition IEPs
are compliant
Universal Support

Universal Support

- Written communication, “Indicator 13 Overview and What’s New” dated 8/15/19 available on the [Secondary Transition website](#)
- Webinar on August 27, 2019 will provide training on the record review process. The PowerPoint will be posted on the Secondary Transition website and can be used by AUs for staff training.
- A checklist of steps to follow in completing the review and the certification of data submission process can be found on the Secondary Transition website.

One or more
noncompliant IEPs
for the first year
Targeted Support

Targeted Support - Includes all element of Universal Support plus Demonstration of Correction:

- Step 1: AUs must correct the noncompliant section(s) of the individual student's most recent IEP by November 1, 2020 and advise the CDE of this correction.
 - AUs will receive a letter with details about this process in August, 2020.
- Step 2: Collaborative side-by-side record reviews
 - AUs will be contacted by a member of the Supervision and Monitoring team in August, 2020 to set up collaborative record review meetings, either in person or virtually, to be completed by Feb. 2021.
 - At the end of this meeting, the Director will have access to a list of any individual corrections that need to be made on the Compliance tab of the DMS.
 - AUs will have 45 days following the record reviews to complete the corrections, upload them to the DMS and notify CDE of the completed corrections.
 - The CDE team will review the corrections for compliance and advise the Director of the status of the corrections.



Intensive Support – Includes all elements of Universal and Targeted Support plus:

- CDE will provide required individualized professional development in the area(s) of Secondary Transition IEP development based on the AU's need.
- CDE will follow-up 3-4 months after the side-by-side reviews with a second check of IEPs written after the professional development.

Questions??



Contact Information
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