

Instructions for Data Review Monitoring

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

- The Data Review monitoring is assigned when the PEA Risk Analysis Tool comprehensive score is more than one and one-half standard deviations above the state average.
- The ESS specialist provides the PEA with the **Data Review** student file review form, which focuses on Indicator 11 (Child Find—initial evaluation timeline) and Indicator 13 (Secondary Transition).
- The Data Review timeline begins on **August 3, 2020**.
- No later than **August 31, 2020**, the PEA to be monitored will select student files to be reviewed that are a representative sample of the district/charter. Using the DRM-2 and DRM-3, the PEA will then submit the list of students to the PSM specialist.
- It is highly recommended that PEAs select files that are reflective of the current systems that are in place.
- No later than **September 7, 2020**, the PSM specialists will review DRM-3 to verify that it reflects a representative sample.
- The PEA will conduct student file reviews using the Data Review Student File Form provided by the PSM specialist.
- Throughout the monitoring process, the PEA will consult with the PSM specialist on using the Guide Steps to ensure that accurate calls are made on the student forms.
- The PEA will submit the completed student forms to the PSM specialist no later than **November 24, 2020**.
- Information on the student forms must be specific enough to determine the reasons for each “**out**” call on the line item of the Data Review Student Forms. Note that each individual instance of PEA-identified noncompliance will require evidence of correction before the monitoring process is complete. The evidence of correction must be submitted with the final submission.
- The PSM specialist will **request** copies of a representative sample of student files with enough information provided to verify the PEA’s calls **no later than December 4, 2020**.
- The PEA will **submit** the requested files by **December 18, 2020**.
- The PSM specialist will complete a sample validation of the compliance calls and provide feedback on the accuracy of calls made by the PEA no later than **February 12, 2021**.
- Validation will result in one of the following: In compliance, Individual Level of Correction (ILC), or Systemic Level of Correction (SLC).

- In Compliance – all line items are 100% compliant. No further action required. Monitoring closed.
 - Individual Level of Correction (ILC) – all line items are 90% compliant or better. PEA will submit individual student corrections. Subsequent file review is not required.
 - Systemic Level of Correction (SLC) – results include line items that are less than 90% compliant. PEA will be required to correct all individual instances of noncompliance. Subsequent files must be reviewed.
- **When the PEA falls into SLC**, the PSM specialist and the PEA will consider the following factors in determining the number of files to be reviewed: extent of the noncompliance from the initial file review and whether noncompliance was extensive (e.g., 18 of 21 files) or not (e.g., 3 of 21 files); they will also consider the frequency of out-of-compliance items that affect FAPE (which are shown on the Student Form as 60-day items). **Note: compliance must be demonstrated in subsequent files in order to finalize and complete the monitoring.**
 - The PEA will submit the final student file form documentation, including subsequently completed files (SLC only) and corrected noncompliance (ILC and SLC) **on or before April 2, 2021.**
 - PSM Specialist will request a sample from the corrected files for verification no later than **April 9, 2021.**
 - The PEA will submit requested student documentation no later than **April 16, 2021.**
 - PSM Specialist will verify the correction of all individual instances of noncompliance from the initial file review (ILC and SLC) and verify compliance in subsequent file review (SLC only) by **April 30, 2021.**
 - If there is no evidence of noncompliance, ESS will issue a successful completion letter to the PEA on **May 13, 2021.**
 - If there is evidence of noncompliance, ESS will issue a written notification of findings (WNOF) to the PEA on **May 13, 2021.**
 - The PSM specialist, in collaboration with the PEA, will discuss the Summary of Findings (SOF), determine strengths and concerns, and develop a draft corrective action plan (CAP) **prior to May 13, 2021.**
 - The PEA and PSM specialist will finalize the PEA's CAP **within 30 calendar days.**
 - Items that are considered detrimental to the PEA's ability to provide FAPE to students require that a PEA correct the student file within 60 calendar days of the Written Notification of Findings letter; enforcement activities will apply if the timeline is not met.
 - There is a one-year timeline for correction of all individual instances of noncompliance; enforcement activities will apply if the timeline is not met.

DATA REVIEW PROCESS FLOWCHART

August 3, 2020

- Process Begins

August 31, 2020

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

September 7, 2020

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

November 24, 2020

- Completed initial file review forms submitted to PSM specialist for validation

December 4, 2020

- PSM specialist provides PEA student file sample needed for validation

December 18, 2020

- PEA provides requested student files to PSM specialist for validation

By February 12, 2021

- PSM specialist will provide technical assistance to PEA related to current progress in the self- assessment process

February 12, 2021

- Validation feedback provided to PEA by PSM specialist to include next steps in the Data Review process: individual student corrections needed and whether subsequent files are needed

April 2, 2021

- PEA submits evidence of individual student corrections and completed subsequent student file review forms (if needed)

April 9, 2021

- PSM specialist requests student file sample for verification from PEA

April 16, 2021

- PEA submits student file sample requested to the PSM specialist

April 30, 2021

- PSM specialist completes verification

May 13, 2021

- PEA receives successful completion letter **or** WNOF and completes a CAP

June 2020

Special Education Data Review File Sample Selection

PEA: _____

Number of students in special education	10 or Fewer	11–100	101–250	251–500	501 or more
Number of eligible student files	All	11–20	20–30	30–40	40–55+
Initial evaluations of students found not eligible (for line item II.A.5 only)	2	2	5	8	12+

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

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

Additional items needed for the monitoring:

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

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

Service Delivery Options	A	E D	E D P	O I	M D	M D S S I	M I D	M O I D	S I D	O H I	T B I	H I	V I	S L D	S L I	D D	P S D
Included in general education class 80% or more of the day (A)																	
Included in general education classroom between 40% and 79% of the school day (B)																	
Included in general education classroom for less than 40% of the school day (C)																	
PEA-operated special school (D)																	
Tuited to other public school (D)																	
Private day school (D)																	
Private residential (E, EA, EB, or EC)																	
Homebound/hospital/institution settings (H)																	
ASDB/PDSD (D)																	

Data Review Only Monitoring File Sample

PEA: _____

Date of Review: _____

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

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

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Data Review Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
<p>No Later Than 8/31/2020</p>	<ul style="list-style-type: none"> • PEA selects student files to be reviewed that are a representative sample of the district/charter • PEA submits the list of students to the PSM specialist (using DRM-2 and DRM-3) 	
<p>No Later Than 9/7/2020</p>	<ul style="list-style-type: none"> • PSM specialist provides verification to PEA that file sample is representative 	
<p>No Later Than 11/24/2020</p>	<ul style="list-style-type: none"> • PEA completes initial file reviews • PEA submits copies of completed student file forms to PSM specialist 	
<p>No Later Than 12/4/2020</p>	<ul style="list-style-type: none"> • PSM specialist will request sample of student files to validate 	
<p>No Later Than 12/18/2020</p>	<ul style="list-style-type: none"> • PEA sends requested student files to PSM specialist 	
<p>No Later Than 2/12/2021</p>	<ul style="list-style-type: none"> • PSM specialist will provide feedback on validation of accuracy of calls made in initial file review and next steps in data review process for PEA (ILC and/or SLC as outlined in the Data Review overview) 	

Data Review Tracking Form

<p>No Later Than 4/2/2021</p>	<ul style="list-style-type: none"> • PEA submits subsequent student file review forms (SLC)—all line items must meet regulatory requirements • PEA submits student forms from the initial file (ILC and SLC) review noting corrections made based on validation feedback from PSM specialist and self-identified noncompliance 	
<p>No Later Than 4/9/2021</p>	<ul style="list-style-type: none"> • PSM specialist will request a sample of student files for verification of compliance (sample will include files from initial review—both validated and not validated files—and subsequent files for SLC) 	
<p>No Later Than 4/16/2021</p>	<ul style="list-style-type: none"> • PEA submits requested file sample for verification to PSM specialist 	
<p>No Later Than 4/30/2021</p>	<ul style="list-style-type: none"> • PSM specialist completes verification process 	
<p>No Later Than 5/13/2021</p>	<ul style="list-style-type: none"> • PEA receives successful completion letter or written notification of findings based on PSM verification 	

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Data Review Student Form

SSID Number: _____ DOB: _____ Student: _____ Eligibility: _____
 Ethnicity: _____ School: _____ Teacher: _____ Monitor: _____

Primary home language indicated by the parent _____

Language in which the student is most proficient _____

Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
<input type="checkbox"/>	II.A.5	_____	For initial evaluation, the student was evaluated within 60 calendar days. # of days over: _____ Reason: _____ 60-Day
Individualized Education Program			
<input type="checkbox"/>	III.A.1	_____	Current IEP (date: _____) 60-Day
<input type="checkbox"/>	III.A.6	_____	For students 16 years of age or older, documentation of required postsecondary components. 60-Day
<input type="checkbox"/>		<input type="checkbox"/>	Measurable postsecondary goals <input type="checkbox"/> No evidence of goals <input type="checkbox"/> Goal content not postsecondary <input type="checkbox"/> Not measurable <input type="checkbox"/> Required goal areas not addressed
<input type="checkbox"/>		<input type="checkbox"/>	Measurable postsecondary goals updated annually
<input type="checkbox"/>		<input type="checkbox"/>	Documentation that the postsecondary goals were derived from age-appropriate assessment(s)
<input type="checkbox"/>		<input type="checkbox"/>	Documentation of one or more transition services/activities that support the postsecondary goal(s)

PEA ✓	Line Item	I-O-U	Description
<input type="checkbox"/>		<input type="checkbox"/>	The student's course of study supports the identified postsecondary goal(s)
<input type="checkbox"/>		<input type="checkbox"/>	Documentation of annual IEP goal(s) that will reasonably enable the student to meet the postsecondary goal(s)
<input type="checkbox"/>		<input type="checkbox"/>	Documentation that the student was invited to meeting
<input type="checkbox"/>		<input type="checkbox"/>	Evidence that a representative of another agency that is likely to provide and/or pay for transition services has been invited to the meeting when parent consent is obtained

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Comment(s) _____

