

## Instructions for Data Review Monitoring

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

- The Data Review monitoring is assigned when the PEA Risk Analysis Tool comprehensive score is more than one standard deviation above the state average.
- The ESS specialist provides the PEA with the **Data Review** student file review form, which focuses on Indicator 11 (Child Find—initial evaluation timeline) and Indicator 13 (Secondary Transition).
- The ESS specialist will also provide the Child Find Worksheet, the In-by-3 Worksheet, and the Agency Form.
- The Data Review timeline begins on **August 2, 2021**.
- No later than **August 27, 2021**, the PEA to be monitored will select student files to be reviewed that are a representative sample of the district/charter. Using the DRM-2 and DRM-3, the PEA will then submit the list of students to the PSM specialist.
- It is highly recommended that PEAs select files that are reflective of the current systems that are in place.
- No later than **September 3, 2021**, the PSM specialists will review DRM-3 to verify that it reflects a representative sample.
- The PEA will conduct student file reviews using the Data Review Student File Form provided by the PSM specialist.
- Throughout the programmatic monitoring process, the PEA will consult with the PSM specialist on using the Guide Steps to ensure that accurate calls are made on the student forms.
- The PEA will submit the completed Data Review Student Forms and the Child Find and In-by-3 Worksheets to the PSM specialist no later than **November 26, 2021**.
- Information on the student forms must be specific enough to determine the reasons for each “**out**” call on the line item of the Data Review Student Forms. Note that each individual instance of PEA-identified noncompliance will require evidence of correction before the monitoring process is complete. The evidence of correction must be submitted with the final submission.
- **No later than December 3, 2021**, the PSM specialist will **request**:
  - copies of a representative sample of student files with enough information provided to validate the PEA’s calls
  - a sample of supporting documentation to validate calls made on the Child Find and In-by-3 worksheets
  - documentation to support components on Agency Form including: local school board-approved policies and procedures, evidence of child find procedures presented to parents, PEA invitation list and agenda for private/home schooled students (districts only), evidence of referral system for birth to 2 years 9 months, evidence of referral system for 2 years 10 months to 5 (charters only)
- The PEA will **submit** all of the requested documentation by **December 17, 2021**.

- The PSM specialist will complete a sample validation of the compliance calls and provide feedback on the accuracy of calls made by the PEA no later than **February 11, 2022**.
- Validation will result in one of the following: In compliance, Individual Level of Correction (ILC), or Systemic Level of Correction (SLC).
  - In Compliance—all line items are 100% compliant. No further action is required. Monitoring is closed.
  - Individual Level of Correction (ILC)—all line items are 90% compliant or better. The PEA will submit individual student corrections. Subsequent file review is not required.
  - Systemic Level of Correction (SLC)—results include line items that are less than 90% compliant. The PEA will be required to correct all individual instances of noncompliance. Subsequent files must be reviewed.
- **When the PEA falls into SLC**, the PSM specialist and the PEA will consider the following factors in determining the necessary subsequent documentation to be reviewed: the pervasiveness of the noncompliance from the initial review (noncompliance related to each section) and whether noncompliance was extensive (noncompliance related to student files); they will also consider the frequency of out-of-compliance items that affect FAPE (which are shown on the Student Form as 60-day items). **Note: compliance must be demonstrated in subsequent documentation in order to finalize and complete the monitoring.**
- The PEA will submit the final documentation, including subsequent documentation (SLC only) and corrected noncompliance (ILC and SLC), **on or before April 1, 2022**.
- The PSM Specialist will request a sample for verification no later than **April 8, 2022**.
- The PEA will submit requested student documentation no later than **April 15, 2022**.
- The PSM Specialist will verify the correction of all individual instances of noncompliance from the initial review (ILC and SLC) and verify compliance in subsequent documentation (SLC only) by **April 29, 2022**.
- If there is no evidence of noncompliance by **May 13, 2022**, ESS will issue a successful completion letter to the PEA.
- If there is evidence of noncompliance, ESS will issue a written notification of findings (WNOF) to the PEA on or before **May 13, 2022**.
  - The PSM specialist, in collaboration with the PEA, will discuss the Summary of Findings (SOF), determine strengths and concerns, and develop a draft corrective action plan (CAP) **prior to May 13, 2022**.
  - The PEA and PSM specialist will finalize the PEA's CAP **within 30 calendar days**.
- Items that are considered detrimental to the PEA's ability to provide FAPE to students require that a PEA correct the student file within **60 calendar days** of the Written Notification of Findings letter; enforcement activities will apply if the timeline is not met.
- There is a one-year timeline for correction of all individual instances of noncompliance and completion of the CAP; enforcement activities will apply if the timeline is not met (OSEP 09-02 memo & DMS 2.0).

## DATA REVIEW PROCESS FLOWCHART

August 2, 2021

- Process begins

August 27, 2021

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

September 3, 2021

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

November 26, 2021

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

December 3, 2021

- PSM specialist requests from PEA documentation needed for validation

December 17, 2021

- PEA provides requested documentation to PSM specialist for validation

February 11, 2022

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

April 1, 2022

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

April 8, 2022

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

April 15, 2022

- PEA submits requested documentation to the PSM specialist

April 29, 2022

- PSM specialist completes verification

May 13, 2022

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

June 2021

## Data Review Required Forms

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

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

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

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

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

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

**Special Education Data Review  
File Sample Selection**

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**PEA:** \_\_\_\_\_

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

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

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

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

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**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.

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

# Data Review Only Monitoring File Sample

PEA: \_\_\_\_\_

Date of Review: \_\_\_\_\_

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

Student Last Name, First Initial	DOB	School or Teacher	Eligibility Category	Initial Eval	Initial Eval <b>Did Not Qualify</b>	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
<b>No later than 8/27/2021</b>	<ul style="list-style-type: none"> <li>• PEA selects student files to be reviewed that are a representative sample of the district/charter</li> <li>• PEA submits the list of students to the PSM specialist (using DRM-2 and DRM-3)</li> </ul>	
<b>No later than 9/3/2021</b>	<ul style="list-style-type: none"> <li>• PSM specialist provides verification to PEA that file sample is representative</li> </ul>	
<b>No later than 11/26/2021</b>	<ul style="list-style-type: none"> <li>• PEA completes initial file reviews, Child Find and In-by-3 worksheets</li> <li>• PEA submits copies of completed student file forms, Child Find and In-by-3 worksheets to PSM specialist</li> </ul>	
<b>No later than 12/3/2021</b>	<ul style="list-style-type: none"> <li>• PSM specialist will request documentation to complete validation (see DRM Instructions for required documentation)</li> </ul>	
<b>No later than 12/17/2021</b>	<ul style="list-style-type: none"> <li>• PEA sends requested documentation to PSM specialist</li> </ul>	
<b>No later than 2/11/2022</b>	<ul style="list-style-type: none"> <li>• PSM specialist will provide feedback on validation of accuracy of calls made in initial review and next steps in data review process for PEA (ILC and/or SLC as outlined in the Data Review Instructions)</li> </ul>	

## Data Review Tracking Form

Required Completion Date	Performance Task	Actual Completion Date
<b>No later than 4/1/2022</b>	<ul style="list-style-type: none"> <li>• PEA submits final documentation including subsequently completed documentation (SLC)—all line items must meet regulatory requirements</li> <li>• PEA submits documentation from the initial review (ILC and SLC) review noting corrections made based on validation feedback from PSM specialist and self-identified noncompliance</li> </ul>	
<b>No later than 4/8/2022</b>	<ul style="list-style-type: none"> <li>• PSM specialist will request a sample for verification of compliance (sample will include documentation from initial review—both validated and not validated—and subsequent documentation for SLC)</li> </ul>	
<b>No later than 4/15/2022</b>	<ul style="list-style-type: none"> <li>• PEA submits requested documentation for verification to PSM specialist</li> </ul>	
<b>No later than 4/29/2022</b>	<ul style="list-style-type: none"> <li>• PSM specialist completes verification process</li> </ul>	
<b>No later than 5/13/2022</b>	<ul style="list-style-type: none"> <li>• PEA receives successful completion letter or written notification of findings based on PSM verification</li> </ul>	

# Agency Form

AF

Date: \_\_\_\_\_

Specialist: \_\_\_\_\_

PEA: \_\_\_\_\_

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

COMMENTS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

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

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

**Child Find Worksheet**  
**Sample based on overall population and number of sites/campuses**

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

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

# Data Review Student Form

SSID Number: \_\_\_\_\_ DOB: \_\_\_\_\_ Student: \_\_\_\_\_ Eligibility: \_\_\_\_\_

Ethnicity: \_\_\_\_\_ School: \_\_\_\_\_ Teacher: \_\_\_\_\_ Monitor: \_\_\_\_\_

Primary home language indicated by the parent \_\_\_\_\_

Language in which the student is most proficient \_\_\_\_\_

### Evaluation/Reevaluation

PEA ✓	Line Item	I-O-U	Description
<input type="checkbox"/>	<b>II.A.5</b>	_____	<b>For initial evaluation, the student was evaluated within 60 calendar days. # of days over: _____ Reason: _____ 60-Day</b>

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

### Individualized Education Program

<input type="checkbox"/>	III.A.1	_____	Current IEP (date: _____) <b>60-Day</b>
<input type="checkbox"/>	<b>III.A.6</b>	_____	<b>For students 16 years of age or older, documentation of required postsecondary components. 60-Day</b>
<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)

Comment(s) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_