General Supervision File Review Process
Overview 2016 – 2017

Pre-Compliance: Technical Assistance and Support available	**1. Identify and Compile Documents for Three Files** One pre-school, one elementary, and one secondary transition. Each LEA must review three files.	October – November 30, 2016
	2. LEA Self-Review Completes GSFR checklist on Compliance Tracking Tool (CTT) and uploads all required documents.	October – November 30, 2016
	3. Desk Review A designated SESTA Coordinator review and complete the Desk Review. Then contact the LEA to review any identified areas of concern and provide Technical Assistance (TA) to assist the LEA in addressing areas of concern. The LEA will have 60 days to make any necessary adjustments to ensure compliance.	November - February
Compliance Notification	**4. Compliance Notification** After the close of the 60 day TA and correction period, the SDE will issue a notification of noncompliance for any remaining areas of concern. If the LEA has addressed all areas of concern the SDE will notify the LEA that all items are compliant and the review is complete.	Prior to April 30, 2017
	5. Compliance Monitoring The SDE and SESTA will provide TA as needed and verify correction of noncompliance on the individual level and systems level. Once all items of noncompliance are verified, the SDE will provide confirmation to the LEA that all items are compliant no additional action is required.	Prior to June 1

General Supervision File Review Process
Monitoring Steps 2016-2017

Step 1: Identify and Compile Documents for Three Files

Identify three files for review: one pre-school, one elementary, and one secondary transition. If the LEA does not have one of these three programs, they should substitute a file from one of the other categories. Each LEA must review three files.

No later than **November 30, 2016**, please compile and upload the following documents for each student your LEA has identified for review to the Compliance Tracking Tool (CTT):

A. Individual Education Plan (IEP)

A copy of the current active IEP

a. Documentation includes: Individual Education Plan (IEP)

b. Any Amendment(s) to the IEP

Please refer to Chapter 5 Special Education Manual for the required components. **

Note: If any attachments are referenced as part of a student's IEP or Eligibility Report, they must be submitted as well. The student file will be considered complete when all required documents are uploaded to the CTT.

B. Invitation to an IEP meeting

A copy of the invitation to the IEP meeting that corresponds with the IEP being sent.

Please include a copy of any invitation(s) to amend the IEP if applicable OR agreement to amend the IEP, if applicable.

C. Eligibility Report

A copy of the active Eligibility Report, which substantiates the student's eligibility for special education. Documentation includes:

a. Referral to Consider Special Education,

b. Signed Consent to Assess,

c. Invitation to the meeting, and

d. Eligibility Report.

Please refer to Chapter 4 of the Special Education Manual for the required components**

D. Secondary Transition

If your LEA has secondary students, the following documentation is required:

a. All invitations to meetings, including student invitation;

b. Consent to invite an agency signed by the family;

c. Agency invitation; and

d. Course of study if it is an attachment to the IEP.

** The Individual Student General File Review, Preschool, and Secondary checklists will also provide guidance https://www.sde.idaho.gov/sped/program-monitoring/.

Step 2: LEA Self-Review

During the Self-Review Review, the LEA should complete the following activities.

A. Review each file using the following tools:

   a. The GSFR checklist (https://www.sde.idaho.gov/sped/program-monitoring). The team should review and discuss each file completely, indicate compliance, and note any deficiencies in the file.

   b. When complete, enter results into the Compliance Tracking Tool (See Compliance Tracking Tool (CTT) Guidance Document for instruction on the use of the Compliance Tracking Tool)

B. Upload all required documents related to the three files used during the Self-Review no later than **November 30, 2016.**

   a. For step by step instruction on uploading documents to the Compliance Tracking Tool see the **Compliance Tracking Tool (CTT) Guidance Document**.

   Note: The CTT will be open for use on October 5, 2016. You will not be able to input students until the LEA has completed the first ISEE upload. The first ISEE window is September 30 – October 17, 2016. For additional information please contact your District ISEE Data Manager.

C. Contact the SESTA Coordinator to notify them that the LEA Self-Review is complete.

Step 3: Desk Review

Once contacted by the LEA, the SESTA Coordinator will;

A. Complete the File Review on the Compliance Tracking Tool.

B. Send the End of Review Notification email to inform the LEA and SDE of the following:

   a. The Desk Review is complete and the LEA has **60 days to resolve any issues** prior to final compliance review by the SDE.

   b. The LEA should review the SESTA Coordinator's side of the file review on the CTT.

   c. The LEA may request technical assistance if needed within the next 60 days.

   d. At the completion of 60 days, the SESTA Coordinator will submit the desk review in the CTT and notify the LEA and the SDE that the Desk Review is complete.

C. If all 3 files on the CTT are found to be meet compliance, the SDE will notify the LEA that the compliance monitoring process is complete through a Letter of Confirmation.

Step 4: Compliance Notification

After receiving communication from the SESTA Coordinator, the SDE will complete the following activities.

A. Review all documents and comments in the CTT. For the 2016-2017 School Year, the General Supervision File Review priority areas include:

   a. **General Supervision File Review Checklist** question #:

      5: Evaluations and Assessments show that the student meets the State eligibility Criteria for disability category identified.

      9: IEP team members in attendance

      10: IEP includes appropriate Present Levels of Performance (PLOP) and appropriate corresponding goals.

      12: The IEP includes a description of the special education and related services being provided to the student including: specialized instruction, service provider, frequency of service, location, start date, end date.

      13: Services show a direct relationship to other components of the IEP.

      14: The IEP team has explained the extent, if any, to which a student will not participate in general education and has provided a justification statement for that placement decision.

   b. **Secondary File Review Checklist** question #:

      1: IEP includes appropriate measurable Postsecondary Goals covering education, training, and employment/career and as needed independent living.

      2: Postsecondary Goals are reviewed and updated annually as needed.

      3: Postsecondary Goals are developed based on information gathered through age appropriate assessment in transition including a functional vocational evaluation if needed.

      4: Are there Transition Activities (Services) in the IEP that will reasonably enable the student to meet his or her identified Postsecondary Goals:

      5: IEP includes a Course of Study (embedded or attached) to reach their Postsecondary Goals.

      6: IEP annual goals assist the student to reach their identified Postsecondary Goals.

      7: Student was invited to the IEP meeting as evidence by an invitation addressed to the student or documentation of verbal invitation dated prior to the date of the meeting.

      8: Evidence that a representative of any participating agency was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority.

B. Issue one of the following documents to the LEA.

   a. Letter of Confirmation indicating that the LEA is in compliance and all activities are completed.

   b. Notification of Noncompliance indicating that the LEA has unresolved compliance items and will need to correct all items of noncompliance prior to June 1, 2017 (see Compliance Tracking Tool District User Guide).

Step 5: Compliance Monitoring

The SDE and SESTA will provide TA as needed and verify correction of noncompliance related to the six priority areas and or Secondary Transition. To verify correction of identified areas of noncompliance the LEA will need to provide documentation showing that the area of noncompliance was corrected in the student's file where it was identified and provide additional examples illustrating compliance in that same area.

A. See instructions in Compliance Tracking Tool District User Guide

Once all items of noncompliance are verified, the SDE will provide confirmation to the LEA that all items are compliant and no further action is required.

Closing

It is the responsibility of each LEA to ensure that the appropriate documentation is available by no later than **November 30, 2016**.

Your cooperation is greatly appreciated. If you have questions, please contact;

Jeff Brandt
Special Populations Coordinator
(208) 332-6915
JBrandt@sde.idaho.gov

Or

Ivana Hotchkiss
Data and Reporting Coordinator
(208) 332-6919
IHotchkiss@sde.idaho.gov