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**Prong I**: Child level correction

**Prong II:** SAU level evidence

of systemic change

**Prong II:** SAU level evidence of systemic change

**Updated April 2019**

**General Supervision System Public School Monitoring Tool**

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| **SAU:** |  |
| **Review team member(s):** |  |
| **Review date(s):** |  |
| **Instructions:*** This is the Electronic Monitoring Tool - Word version (EMT-W).
* This tool lists the Item/Citations for which the 19-20 cohort will be monitored.
* This tool includes the corrective activities for each Item/Citation should the SAU demonstrate noncompliance. **Do not submit corrective activities at this time.**
* This tool is for your reference only. **Do not use for reporting data.** Use the EMT-Excel version (EMT-E) only for reporting data to Maine DOE.

**Key:*** SAU – School Administrative Unit
* AWN – Advanced Written Notice
* WN – Written Notice
* SOP – Summary of Performance
* MUSER – Maine Unified Special Education Regulations
* FAPE – Free Appropriate Public Education
* SDI – Specially Designed Instruction
* # - Number to be determined
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| **Desk Audit** |
| **Forms and Timelines** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| FOT2 | Summary of Performance (SOP) form provided to a child whose eligibility under Part B of the Individuals with Disabilities Education Act (IDEA) was terminated due to graduation from secondary school with a regular diploma or due to exceeding the age eligibility for a free appropriate public education (FAPE).34 CFR 300.305(e)(3)MUSER VI.2.C.(3)(g) | Yes = The SOP is provided to the child prior to graduation. The information on the SOP is concrete, current and complete in: academic achievement, functional/developmental performance and includes recommendations to assist the child in meeting post-secondary goals.No = The SOP is not provided, is incomplete or does not meet the above criteria.NA= The child is not eligible.  | N/A  |
| FOT3 | Learning Disability Evaluation Report (if applicable) and evidence that all procedures for determination were followed including classroom observation.34 CFR 300.309-311MUSER VII.2.L(2)(d) and (e) | Yes = All sections completed utilizing current academic evaluations and data before decision is made: “no” the child does not have a learning disability or “yes” the child has a learning disability. No = Missing information or incomplete sections before decision is made: “no” the child does not have a learning disability or “yes” the child has a learning disability. | **Child level:***Corrective activity:*Reconvene the IEP Team to review the eligibility form, current evaluative information and progress monitoring data to determine that while the form was missing information or contained incomplete sections, the child was appropriately and accurately identified as a child with a Specific Learning Disability. Document this discussion in the WN. *Evidence:*Submit WN from reconvened IEP meeting.**SAU level:***Corrective activity:*Provide training on evaluation procedures, including the completion and use of the Learning Disability Evaluation Report.*Evidence:*1. Submit outline of training and attendance.
2. Submit # completed Learning Disability Evaluation Report and WN.
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| FOT4 | Speech/Language Eligibility Criteria form was completed including the rating scales by which evaluation data is documented by the IEP team to measure a moderate to severe level of speech or language impairment in all levels of assessment.MUSER VII.2.K(2)(e) | Yes = All sections completed by the IEP Team, including eligibility decision.No = Incomplete assessment or insufficient data to complete Speech/Language Eligibility Criteria form correctly. | **Child level:***Corrective activity:*Reconvene the IEP Team to review the eligibility form, current evaluative information and progress monitoring data to determine that while the form was missing information or contained incomplete sections, the child was appropriately and accurately identified as a child with a Speech or Language Impairment. Document this discussion in the WN. *Evidence:*Submit WN from reconvened IEP meeting.**SAU level:***Corrective activity:*Provide training on evaluation procedures, including the completion and use of the Speech or Language Impairment Eligibility Form.*Evidence:*1. Submit outline of training and attendance.
2. Submit # completed Speech or Language Impairment Eligibility Form and WN.
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| FOT5 | Adverse Effect (AE) was based upon the results of assessments or data sources, determined by the Team to be necessary to validate the effect. The IEP Team documented the data elements utilized in the determination of AE on the Maine DOE’s required AE form.MUSER VII.3 | Yes = The AE is based upon the results of assessments or data and the IEP Team completed the AE form.No = Incomplete assessment or insufficient data to complete the AE form correctly. | **Child level:***Corrective activity:*Reconvene the IEP Team to review the eligibility form, current evaluative information and progress monitoring data to determine that while the form was missing information or contained incomplete sections, the child was appropriately and accurately identified as a child with a disability. Document this discussion in the WN. *Evidence:*Submit WN from reconvened IEP meeting.**SAU level:***Corrective activity:*Provide training on evaluation procedures, including the completion and use of the Adverse Effect form.*Evidence:*1. Submit outline of training and attendance.
2. Submit # completed Adverse Effect Form and WN.
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| **Initial Referral (Indicator B11)** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| INR1 | Upon initial referral, parents were provided Procedural Safeguards.34 CFR 300.121(b), 300.504(a)(1)MUSER XV, Appendix I | Yes = There is documentation that parent received a copy of Procedural Safeguards at initial referral (AWN, WN, or enclosure with parental consent to evaluate). No = There is no documentation that demonstrates that the parent received a copy of Procedural Safeguards at initial referral. Or parents were provided Procedural Safeguards at eligibility meeting which is beyond initial referral.  | **Child level:***Corrective activity:*Provide a copy of Procedural Safeguards to parent.*Evidence:*Submit child’s WN documenting parent’s receipt of Procedural Safeguards.**SAU level:***Corrective activity:*Provide training on provision of Procedural Safeguards.*Evidence:*1. Submit outline of training and attendance.
2. Submit documentation of the receipt of Procedural Safeguards provided to parents of children who received initial evaluations in the past 12 months.
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| INR3 | Initial evaluation conducted within 45 school days of receiving Parental Consent for Evaluation (for 5-20).34 CFR 300.301(c)(1)(i)(ii) | Yes = Evidence in file indicates initial evaluation(s) was/were received by the SAU within 45 school days of the SAU’s receipt of Parental Consent for Evaluation. No = There was no evidence in the file indicating initial evaluation(s) was/were received by the SAU within 45 school days of the SAU’s receipt of Parental Consent for Evaluation.If beyond 45 School days SAU will report: 1. Child’s name
2. Reason for completion of evaluation beyond 45 school day timeline
3. Number of days past 45 school day timeline that evaluation was completed.

NA= Student’s most recent evaluation is a re-evaluation. | **Child level:**Corrective activity:Complete evaluation as soon as possible. **Note**: Do not have parent sign a “new” consent for evaluation form.Evidence:1. Submit Parental Consent for Evaluation form and evidence of date evaluation(s) received by SAU.
2. Submit B-11 tracking sheet and school calendar.

**SAU level:***Corrective activity:*Develop a plan for monitoring in the SAU to meet initial evaluation timelines. Provide training on Child Find requirements and timelines, including the requirement to conduct an initial evaluation within 45 school days of receipt of the Parental Consent to Evaluate and to use the SAU’s timeline monitoring plan.*Evidence:*1. Submit outline of training and attendance and plan.
2. Submit # Parental Consent for Evaluation forms and evidence of date evaluation(s) received by SAU.
3. Submit B-11 tracking sheet and school calendar.
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| **Miscellaneous** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| MIS1 | Accuracy DocumentRequired in district’s file during monitoring activities. | Yes = Accuracy Document has been submitted with requested audit evidence.No = Accuracy Document not on file from SAU. | **Child level:**No action at the child level.**SAU level:***Corrective activity:*Develop Accuracy Document form.*Evidence:*Submit copy of Accuracy Document to Maine DOE. |
| MIS2 | Letters of Authorization to Commit FundsMUSER VI.2.B(4)(c) | Yes = Letter of Authorization to Commit Funds identifying personnel who are authorized to commit funds for the SAU is on file and updated annually. No = There is no Letter of Authorization to Commit Funds on file, or it is not updated annually. | **Child level:**No action at the child level.**SAU level:***Corrective activity:*Develop Letters of Authorization to Commit Funds.*Evidence:*Submit copies of Letters of Authorization to Commit Funds to Maine DOE. |
| MIS3 | Qualified PersonnelMUSER II.32 | Yes = SAU submitted completed Personnel Certification form with 100%.No = SAU submits Personnel Certification form that is not 100% compliant or fails to submit form. | **Child level:**No action at the child level.**SAU level:***Corrective activity:*Address noncompliance of identified personnel by confirming appropriate certification of all personnel and completing personnel certification form with 100% compliance.*Evidence:*Submit completed, fully compliant Personnel Certification form to MAINE DOE. |
| MIS4 | Parent Survey20 U.S.C. 1416(A)(3)(A) | Yes = Documentation that parents were invited to participate in the parent survey. No = No documentation that parents were invited to participate in the parent survey.  | **Child level:**N/A**SAU level:**N/A  |
| **Required Policies and Procedures** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| RPP1-4 | Referral/Pre-referral, Child Find, and Physical Restraint and Seclusion | Yes = SAU has policies that have been adopted by the school board and include current regulatory language.  | N/A |
| **Self-Assessment & On-Site Audit** |
| **IEP Process: Results of All Evaluations** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| RAE1 | Results of initial or most recent evaluations of the child.34 CFR 300.324(a)(1)(iii)MUSER IX.3.C(1)(c) | Yes= The date, the name of the evaluations, and results are current. Current evaluations may go beyond 3 years prior with documentation in WN as agreed upon by SAU and parent. No= Evaluation information is missing, incomplete or goes beyond 3 years with insufficient documentation in WN.  | **Child level:***Corrective activity:*IEP Team meets to consider initial/most recent evaluations or to discuss further evaluations that may need to be conducted and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP meeting protocol, including reviewing and discussing evaluations and re-evaluations.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of discussion of recent evaluations.
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| **IEP Process: Academic Performance**  |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| APG1 | Academic strengths of the child.34 CFR 300.324(a)(1)(i)MUSER IX.3.C(1)(a) | Yes = Documents the child’s observable academic strengths (or relative strengths) aligned to evaluations in the areas of reading, writing, listening, speaking, and mathematical problem solving. No = The child’s academic strengths (or relative strengths) are not included, are incomplete or are functional in nature. NA= No academic needs. | **Child level:***Corrective activity:*IEP Team meets to discuss the academic strengths (or relative strengths) of the child and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP meeting protocol, including reviewing academic strengths (or relative strengths) of the child.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of academic strengths of the child.
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| APG2 | Academic needs of the child.MUSER IX.3.C(1)(d) | Yes = Documents the child’s distinctly measurable and persistent academic gaps (skill deficits) aligned to evaluations in the areas of reading, writing, listening, speaking, and mathematical problem solving. No = The child’s distinctly measurable and persistent academic gaps (skill deficits) aligned to evaluations in the areas of reading, writing, listening, speaking, and mathematical problem solving are not included, or are incomplete or are functional in nature.NA= No academic needs.  | **Child level:***Corrective activity:*IEP Team meets to discuss child’s distinctly measurable and persistent academic gaps (skill deficits) aligned to evaluations in the areas of reading, writing, listening, speaking, and mathematical problem solving and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP meeting protocol, including reviewing child’s distinctly measurable and persistent academic gaps (skill deficits) aligned to evaluations in the areas of reading, writing, listening, speaking, and mathematical problem solving. *Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of needs of the child.
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| APG3  | A statement of child’s present levels of academic achievement. 34 CFR 300.320(a)(1)(i)MUSER IX.3.A(1)(a)(i) | Yes = There is a present level statement for each of the child’s distinctly measurable and persistent academic gaps (skill deficits) determined by evaluations in the areas of reading, writing, listening, speaking, and mathematical problem solving which includes measurable baseline data to be utilized in the development and alignment of academic annual IEP goals.Yes = No academic needs, but documents a present level statement that states the child is on grade level with their peers.No = The statement of the child’s present level of academic achievement is missing or incomplete. | **Child level:***Corrective activity:*Discuss the present level statement for each of the child’s distinctly measurable and persistent academic gaps (skill deficits) aligned to evaluations in the areas of reading, writing, listening, speaking, and mathematical problem solving which includes measurable baseline data and amend the IEP or at the annual IEP meeting address the finding. *Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP development including writing the present levels of academic performance. *Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with academic present level statements and WNs.
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| APG4 | A statement of how the child’s disability affects the child’s involvement and progress in the general education curriculum. 34 CFR 300.320(a)(1)(i)MUSER IX.3.A(1)(a)(i) | Yes = The statement of how the child’s disability impedes their involvement and progress in the general education curriculum. No = The how statement is missing or incomplete. | **Child level:***Corrective activity:*Discuss how the child’s disability impedes their involvement and progress in general curriculum and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP development including writing the present levels of academic performance including the how statement. *Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with academic present level statements and WNs.
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| APG5  | Academic annual progress of the child.MUSER IX.3.D(1)(a) | Yes= The current academic goals show progress from the prior year’s academic goals moving towards proficiency of grade level standards or the standards at which the child is performing.No= The current academic goals do not show progress from the prior year’s academic goals moving towards proficiency of grade level standards or the standards at which the child is performing.NA= No academic needs identified; therefore, no academic goals are required. **Or** new goals were developed at the most recent IEP team meeting. | **Child level:** No action at child level.**SAU level:***Corrective activity:*Provide training on how the child’s progress is measured annually through goal alignment and identified skill deficits.*Evidence:*1. Submit outline of training and attendance.
2. Identify # children’s files, submit # prior year IEPs and current IEPs showing academic annual progress and WNs.
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| **Standards Based Goals**  |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| SBG1 | Academic goals aligned with the child’s needs and present level of academic performance, and designed to facilitate the child’s achievement of grade level standards or the standards at which the child is performing based on the Maine Learning Results. 34 CFR 300.320 (a)(2i)(A) MUSER IX.3.A.(b)(i)&(iii) | Yes = Goals adequately address needs and align with present level statement relative to Maine Learning Results.No = Goals do not adequately address needs and present level statement and/or are not based on Maine Learning Results.NA= No academic goal needed. | **Child level:***Corrective activity:*IEP Team meets (if appropriate) to consider the most recent data, needs, present level, and write academic goals aligned with Maine Learning Results and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP goals aligned with Maine Learning Results.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of goal alignment for the child.
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| SBG3 | IEP academic goals are measurable (including baseline data or activities to be measured by score, percent, frequency, or specific demonstration of mastery).MUSER IX (3)(b) | Yes = Goals meet measurable criteria. No = Goals do not meet measurable criteria. NA= No academic goal needed.  | **Child level:***Corrective activity:*IEP Team meets (if appropriate) to discuss the measurement of academic goals aligned with Maine Learning Results and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on the measurability of academic goals.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of goal measurability.
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| SBG4 | IEP academic goals have a citation linking them to the grade level general education curriculum standards or the grade level at which the child is performing. 34 CFR 300.320 (a)(2i)(A) MUSER IX (3)(b)(i) and (iii) | Yes = Goals include full citation.No = Goals do not include full citation.NA= No academic goal needed. District is not utilizing proficiency-based education. | **Child level:***Corrective activity:*IEP Team meets (if appropriate) to discuss the citation of academic goals aligned with Maine Learning Results and amend the IEP or at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP meeting citation protocol of standards aligned goals.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs.
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| SBG5 | Academic IEP Goal/Special Education Service AlignmentMUSER IX.3.A.(1)(d)(i)  | Yes = The academic annual goal is being addressed through a provision of special education service. No = The academic annual goal is not being addressed through a provision of special education service. NA = No academic goals.  | **Child level:***Corrective activity:*IEP Team meets (if appropriate) to determine the provision of special education (specially designed instruction) that would address the academic annual goal. *Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on the alignment between academic goals and special education services.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of goal/service alignment.
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| **IEP Process: Functional/Developmental Performance** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| FDP1 | Functional/developmental strengths of the child.34 CFR 300.324(a)(1)(i)MUSER IX.3.C(1)(a) | Yes = Documents the child’s observable functional/developmental strengths (or relative strengths) aligned to evaluations in relation to the child’s ability to manage daily activities in cognitive, communicative, motor, adaptive, social/emotional and sensory areas.No = The child’s functional/developmental strengths are not included, are incomplete or are academic in nature.NA= No functional/developmental needs.  | **Child level:***Corrective activity:*IEP Team meets to discuss the child’s observable functional/developmental strengths (or relative strengths) aligned to evaluations in relation to the child’s ability to manage daily activities in cognitive, communicative, motor, adaptive, social/emotional and sensory areas and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP meeting protocol, including reviewing functional/developmental strengths of the child.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of functional/developmental strengths of the child.
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| FDP2 | Functional/developmental needs of the child.MUSER IX.3.C(1)(d) | Yes = Documents the child’s distinctly measurable and persistent functional/developmental gaps (skill deficits) aligned to evaluations in how the child is managing daily activities in cognitive, communicative, motor, adaptive, social/emotional and sensory areas.No = The child’s functional needs are not included, are incomplete or are academic in nature.NA= No functional/developmental needs. | **Child level:***Corrective activity:*IEP Team meets to discuss the child’s distinctly measurable and persistent functional/developmental gaps (skill deficits) aligned to evaluations in how the child is managing daily activities in cognitive, communicative, motor, adaptive, social/emotional and sensory areas and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP meeting protocol, including reviewing functional/developmental needs of the child.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of needs of the child.
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| FDP3 | A statement of the child’s present levels of functional/developmental performance, including how the child’s disability affects the child’s involvement and progress in the general education curriculum. 34 CFR 300.320(a)(1)(i)MUSER IX.3.A(1)(a)(i) | Yes = There is a statement of the child’s present levels of functional/developmental performance for each identified need (skill deficit) which includes measurable baseline data and a statement of how the child’s functional/developmental deficits impede their progress in the general education curriculum at their grade level.No = A statement of the child’s present levels of functional/developmental performance is NOT documented in the IEP or is incomplete. | **Child level:***Corrective activity:*Discuss the child’s present levels of functional/developmental performance for each identified need (skill deficit) which includes measurable baseline data and a statement of how the child’s functional/developmental deficits impede their progress in the general education curriculum at their grade level and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP development including writing the present level of functional/developmental performance.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with present level statements and WNs.
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| FDP4 | The identified needs of the child are aligned to functional/developmental annual goals. 34 CFR 300.320 (a)(2i)(A),MUSER IX (3)(b)(i) | Yes = Goals adequately align to all identified functional/developmental needs. No= Goals do not adequately align to all identified functional/developmental needs.NA= No functional/developmental needs identified; therefore, no functional/developmental goals are required. | **Child level:***Corrective activity:*IEP Team meets (if appropriate) to consider the most recent data, needs, present level, and write functional goals aligned with identified needs and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP goals aligned with identified needs.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of needs of the child.
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| FDP5 | IEP Functional/developmental goals are measurable (to be measured by score, percent, frequency, or specific demonstration of mastery).MUSER IX (3)(b) | Yes = Functional/developmental goals are measurable and enable progress towards access to the general education curriculum. No = Functional/developmental goals are not measurable or are measuring outcomes/activities. NA= No functional/developmental goal needed.  | **Child level:***Corrective activity:*IEP Team meets to discuss the measurement of functional/developmental goals aligned with identified skill deficits and amend the IEP **or** at the annual IEP meeting address the finding.*Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on the measurability of functional/developmental goals.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review goal measurability.
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| FDP6 | Functional/Developmental IEP Goal/Special Education/Related Service AlignmentMUSER IX.3.A.(1)(d)(i)  | Yes = The functional/developmental annual goal is being addressed through a provision of special education or related service. No = The functional/developmental annual goal is not being addressed through a provision of special education or related service. NA = No functional/developmental goals.  | **Child level:***Corrective activity:*IEP Team meets (if appropriate) to determine the provision of special education or related service that would address the functional/developmental annual goal. *Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on the alignment between functional/developmental goals and special education or related services.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for review of goal/service alignment.
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| **IEP Process: Special Education and Related Services**  |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| SVC1 | A statement of the special education and related services to be provided. 34 CFR 300.320(a)(4)MUSER IX.3.A(1)(d) | Yes = Special education service(s) (specially designed instruction, consultation or speech (if speech is primary area of disability)) and specific related services (e.g., speech, OT, PT, counseling, etc.) is/are identified on the IEP, and is/are aligned to annual goals. No = Missing services or mismatched services based on IEP Team determinations are found. | **Child level:***Corrective activity:*Discuss and identify the alignment between the goals and services on the IEPand amend the IEP or at the annual IEP meeting address the finding. *Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on IEP development, including identification of services necessary for the child to make progress towards IEP goals.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with statement of special education and related services to be provided and WNs.
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| **Least Restrictive Environment**  |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| LRE1 | An explanation of the extent, if any, to which the child will not participate with non-disabled students in the regular class and in extra-curricular and other non-academic activities.34 CFR 300.320(a)(5)MUSER IX.3.A(1)(e) | Yes = The LRE statement explains the nature and severity and extent of the disability that requires time in a more restrictive setting and addresses the child’s academic and/or functional/developmental deficits. No = The statement does not address the nature and severity of the disability.No = Restatement of accommodations and services.  | **Child level:***Corrective activity:*Discuss the nature and severity of the disability that requires time in a more restrictive setting and addresses the child’s academic and/or functional/developmental deficits and amend the IEP **or** at the annual IEP meeting address the finding *Evidence:*Submit child’s WN and IEP.**SAU level:***Corrective activity:*Provide training on the alignment between the LRE statement and the child’s disability.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for determining appropriate placement in the LRE.
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| LRE2 | WN documented the discussion of Least Restrictive Environment and any other options that the Team, which includes the parent, considered and the reasons why those options were rejected.34 CFR 300.503MUSER IX.3.A.(1)(e) | Yes = WN clearly documents the discussion of LRE, the options the IEP Team considered and reasons why the other options were rejected (recommended in Question 4). No = Missing or incomplete WN. | **Child level:**No action at the child level.*Evidence:*Provide Maine DOE a Letter of Assurance that documents systemic change district wide.**SAU level:***Corrective activity:*Provide training about the LRE statement in the Written Notice.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) and WNs for determining appropriate placement in the LRE.
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| **IEP Process: Transition (Indicator B13)** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| TRA1AWN | For 9th grade children (or earlier, if appropriate): AWN of IEP meeting indicating that a purpose of the meeting is to consider post-secondary goals and transition services.34 CFR 300.322(B)(2)(i)(A)MUSER VI.2.A | Yes = AWN indicates “Post-Secondary Goals and Transition Services” will be discussed at the IEP meeting.No = AWN does not indicate “Post-Secondary Goals and Transition Services” will be discussed at the IEP meeting.NA= Transition planning is not applicable to the child.  | **Child level:***Corrective activity:*Indicate on the AWN of all future transition meetings that there will be a discussion of post-secondary transition planning.*Evidence:*Submit child’s AWN.**SAU level:***Corrective activity:*Provide training on transition planning, including notification on AWN and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # AWNs indicating “Post-Secondary Goals and Transition Services” are planned for discussion at IEP meeting.
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| TRA2AWN | There is evidence that the child was invited to attend the IEP meeting. 34 CFR 300.322(b)(2)(i)(B)MUSER VI.2.C(3)(c) | Yes = AWN indicates the child was invited to attend and shows child’s name in the salutation. No = AWN does not indicate the child was invited to attend; child’s name was not in the salutation.  | **Child level:***Corrective activity:*If the child attended the IEP meeting but was not on the invitation, invite the child to the next IEP by putting the child’s name in the salutation of the AWN. If the child did not attend the IEP meeting, reconvene the meeting and invite the child by putting the child’s name in the salutation of the AWN.*Evidence:*Submit child’s AWN.**SAU level:***Corrective activity:*Provide training on transition planning, including invitation on AWN and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # AWNs inviting the child to the meeting by putting the child’s name in the salutation.
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| TRA3AWN | If appropriate, there is evidence that an agency likely to be responsible for providing or paying for transition services was invited to attend the IEP meeting, to extent appropriate and with parent’s (or adult child’s) prior consent.34 CFR 300.322(b)(2)(ii)MUSER VI.2.C(3)(e) | Yes = File contains evidence that an agency was invited to the IEP meeting AND parent/child consent for inviting was given prior to being invited.No = One or both of the following documents was not found:* Prior written consent was not obtained.
* AWN did not invite participating agency to attend.

NA= No participating agency appropriate. | **Child level:***Corrective activity:*If appropriate, reconvene the IEP meeting and invite a representative of any participating agency to the IEP meeting with prior consent the parent/child (who has reached the age of majority).*Evidence:*Submit Parental Consent to Invite Outside Agencies form signed by parent/child (who has reached the age of majority) and child’s AWN.**SAU level:***Corrective activity:*Provide training on transition planning, including Parental Consent to Invite Outside Agencies and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # Parental Consent to Invite Outside Agencies forms signed by parent/child (who has reached the age of majority) and AWN inviting the outside agencies.
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| TRA4WN | Post-secondary goal(s) are updated annually.34 CFR 300.320(b)MUSER IX.3.A(1)(h) | Yes = The file contains evidence that post-secondary goals were updated within the past year (or, this is the child’s first transition plan that contains transition goals).No = There is no evidence that the post-secondary goals have been updated within the last year. | **Child level:***Corrective activity:*Convene IEP Team to discuss and update post-secondary goals.*Evidence:*Submit amended IEP and WN.**SAU level:***Corrective activity:*Provide training on transition planning, including the need to update post-secondary goals annually and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with post-secondary goals updated annually and WNs.
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| TRA5 | Post-secondary goal(s) are based on age-appropriate transition assessments.34 CFR 300.320(b)(1)MUSER IX.3.A(1)(h)(i) | Yes = Age appropriate transition assessment(s) were used to develop child’s post-secondary IEP goals.No = Age appropriate transition assessment(s) were NOT conducted, or child’s post-secondary IEP goals were NOT based on results of those assessments. | **Child level:***Corrective activity:*Conduct age appropriate transition assessment(s) (as necessary) and convene the IEP Team to discuss the child’s post-secondary goals in light of the assessment results.*Evidence:*Submit amended IEP.**SAU level:***Corrective activity:*Provide training on transition planning, including the use of age appropriate transition assessment(s) in the discussion and development of the child’s post-secondary goals and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with age appropriate transition assessment(s) used to develop the child’s post-secondary goals and WNs.

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| TRA6a | IEP contains appropriate measurable post-secondary goals addressing education or training after high school.34 CFR 300.320(b)(1)MUSER IX.3.A(1)(h)(i) | Yes = The IEP contains appropriate post-secondary goals in the areas of education or training that are:* Measurable
* Align with the child’s present level of performance
* Align with assessment results

No = The IEP does not contain appropriate post-secondary goals in the area of education or training, goals not measurable or do not align with present level of performance and assessment results. | **Child level:***Corrective activity:*Convene IEP Team to discuss and develop appropriate post-secondary goals in the areas of education or training.*Evidence:*Submit amended IEP.**SAU level:***Corrective activity:*Provide training on transition planning, including development of appropriate post-secondary goals and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with appropriate post-secondary goals and WNs.
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| TRA6b | IEP contains appropriate measurable post-secondary goal addressing employment after high school.34 CFR 300.320(b)(1)MUSER IX.3.A(1)(h)(i) | Yes = The IEP contains an appropriate post-secondary goal in the area of employment that is:* Measurable
* Aligns with child’s present level of performance
* Aligns with assessment results

No = The IEP does not contain a post-secondary goal in the area of employment or it is not measurable and/or does not align with present level or performance and assessment results. | **Child level:***Corrective activity:*Convene IEP Team to discuss and develop appropriate goals in the area of employment.*Evidence:*Submit amended IEP.**SAU level:***Corrective activity:*Provide training on transition planning, including development of appropriate post-secondary goals in the area of employment and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with appropriate post-secondary goals and WNs.
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| TRA6c | IEP contains appropriate measurable post-secondary goal addressing independent living after high school.34 CFR 300.320(b)(1)MUSER IX.3.A(1)(h) | Yes = The IEP contains an appropriate post-secondary goal in the area of independent living that is:* Measurable
* Aligns with child’s present level of performance
* Aligns with assessment results

No = The IEP does not contain a post-secondary goal in the area of independent living, or it is not measurable, and/or does not align with present level of performance and assessment results.NA= An independent living goal is not appropriate for the child. | **Child level:***Corrective activity:*Convene IEP Team to discuss and develop appropriate goals in the area of independent living.*Evidence:*Submit amended IEP.**SAU level:***Corrective activity:*Provide training on transition planning, including development of appropriate post-secondary goals in the area of independent living and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with appropriate post-secondary goals and WNs.
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| TRA7 | Transition plan includes courses of study needed to assist the child in reaching post-secondary goals.34 CFR 300.320(b)(2)MUSER IX.3.A(1)(h)(ii) | Yes = Courses of study are included in the transition plan and are projected for the remainder of the child’s high school education.No = Courses of study are NOT included in the transition services or are NOT projected for the remainder of the child’s high school education. | **Child level:***Corrective activity:*Convene IEP Team to discuss and develop courses of study projected for the remainder of the child’s high school education, needed to assist the child in reaching post-secondary goals.*Evidence:*Submit amended IEP.**SAU level:***Corrective activity:*Provide training on transition planning, including the courses of study needed to assist the child in reaching post-secondary goals projected for the remainder of the child’s high school education and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with courses of study projected for the remainder of the child’s high school education and WNs.
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| TRA8 | IEP identified transition services needed to assist the child in reaching post-secondary goals.34 CFR 300.320(b)92), 300.43MUSER IX.3.A(1)(h)(ii) | Yes = Transition services needed to assist the child in reaching post-secondary goals are identified in the IEP.No = Transition services needed to assist the child in reaching post-secondary goals are NOT identified in the IEP. | **Child level:***Corrective activity:*Convene IEP Team to discuss and identify transition services for the child’s transition plan.*Evidence:*Submit amended IEP.**SAU level:***Corrective activity:*Provide training on transition planning, including development and inclusion of transition services and demonstrate 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with transition services and WNs.
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| TRA9 | IEP contains measurable annual goals related to the child’s transition services identified in the IEP.34 CFR 300.157(a)(3) | Yes = The IEP contains measurable annual goals related to the child’s transition services identified in the IEP.No = The IEP does NOT contain measurable annual goals related to the child’s transition service identified in the IEP. | **Child level:***Corrective activity:*Convene IEP Team to discuss and develop measurable goals related to the child’s transition services identified in the IEP.*Evidence:*Submit amended IEP.**SAU level:***Corrective activity:*Provide training on transition planning, including development and inclusion of measurable goals related to the child’s transition services and demonstrates 100% accuracy and compliance on submitted evidence.*Evidence:*1. Submit outline of training and attendance.
2. Submit # IEPs (amended or new) with measurable transition goals related to the child’s transition service needs and WNs.
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| **Disability** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities**  |
| DIB1 | The IEP is reflective of the child’s identifying disability category. MUSER VI.2.J(4) | Yes= The IEP reflects the child’s disability and aligns to their identified academic and functional/developmental needs, goals, and services.No= The IEP does not reflect the child’s disability and does not align to their identified academic and functional/developmental needs, goals, and services. | **Child level:***Corrective Activity:*Reconvene the IEP team within 30 days of the on-site visit and develop an IEP that supports the child’s identified disability which includes academic and functional/developmental needs, goals and services. *Evidence:*Submit revised IEP, AWN and WN from the IEP meeting.**SAU level:***Corrective activity:*Provide training on disabilities and how an IEP should be developed based on the child’s disability. *Evidence:*1. Submit outline of training and attendance.
2. Submit # completed or amended IEPs and WNs.
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| **Out of Unit** |
|  | **Item/Citation** | **Criteria** | **Corrective Activities** |
| OOU1 | Evidence that IEP meeting convened to develop an IEP prior to out-of-unit placement.34 CFR 300.325(a)(1)MUSER IX.3.H | Yes = There is documentation in WN indicating the IEP Team met prior to the child attending the out-of-unit school. The WN documents the discussion regarding LRE and that the SAU is not able to provide FAPE in the SAU setting.No = There is no documentation in WN of the IEP Team’s discussion of LRE and the SAU’s inability to provide FAPE in the SAU.NA= The child is not placed out-of-unit. | **Child level:***Corrective activity:*At next annual review, the IEP Team will discuss LRE and the inability to provide FAPE in the SAU.*Evidence:*Submit child’s WN.**SAU level:***Corrective activity:*Develop a plan to review the continuum of services when considering FAPE in the LRE and provide training on WN, including consideration and documentation of the continuum of services and provide training on the plan.*Evidence:*1. Submit outline of training, attendance at training and plan for reviewing the continuum of services.
2. Submit # WNs including review of continuum of services.
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| OOU2 | The IEP Team’s documentation of the program components of a placement that would support the IEP developed at the meeting.MUSER IX.3.H | Yes = The WN clearly documents the discussion of out-of-unit placement with all the IEP components specific to child’s needs.No = WN does not clearly document the discussion of out-of-unit placement with all the IEP components specific to child’s needs, does not ensure LRE discussion and does not demonstrate that the SAU is unable to provide FAPE in the SAU setting. | **Child level:***Corrective activity:*N/A*Evidence:*N/A**SAU level:***Corrective activity:*Develop a plan to review the continuum of services identifying the most restrictive setting available in the SAU and provide training on considering a child’s placement outside the SAU, including required documentation.*Evidence:*1. Submit outline of training and attendance and plan to review continuum of services.
2. Submit # completed IEPs and WNs, including review of the continuum of services.
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| OOU3 | If the placement was known, evidence that a representative of the placement was involved in the meeting. If a representative could not attend, evidence of the IEP Team’s efforts to ensure participation by the receiving placement.34 CFR 300.325(a)(2)MUSER IX.3.H | Yes = The WN documents that the members of the IEP Team include a representative of the sending and receiving unit as part of the IEP Team.No = The invited Team members of the IEP Team do not include both sending and receiving schools at the IEP meeting or there is no evidence of the IEP Team’s efforts to ensure participation by the receiving school. | **Child level:***Corrective activity:*N/A*Evidence:*N/A**SAU level:***Corrective activity:*Develop a plan to communicate to special education staff the requirement of a representative of the out-of-unit placement and a representative of the sending SAU in attendance at the IEP meeting.*Evidence:*1. Submit outline of training and attendance and plan to review continuum of services.
2. Submit # completed IEPs and WNs, including representation from both the sending and receiving schools.
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| OOU4 | If the placement was not known, evidence that another IEP Team meeting was held, attended by a representative of the placement, to discuss the child’s program at the new placement.MUSER IX.3.H | Yes = Another IEP Team meeting was held at which representatives from both sending and receiving schools were present at the IEP meeting to discuss the child’s program at the new placement.No = Another IEP Team meeting was not held after placement was determined. | **Child level:***Corrective activity:*N/A*Evidence:*N/A**SAU level:***Corrective activity:*Develop a plan to communicate to special education staff the requirement of a representative of the new out-of-unit placement in attendance at the IEP meeting.*Evidence:*1. Submit outline of training and attendance and plan to review continuum of services.
2. Submit # completed IEPs and WNs, including review of continuum of services.
 |
| OOU5 | Evidence that an IEP meeting was convened to review the IEP 30 days after placement.MUSER IX.3.H | Yes = Documentation that within 30 days of out-of-unit placement, IEP Team meets to review placement, discuss LRE and ensure all IEP components remain appropriate.No = There is no documentation of a 30 day out-of-unit placement meeting to discuss LRE and ensure all IEP components are appropriate. | **Child level:***Corrective activity:*Convene IEP Team, if appropriate, to discuss LRE and the IEP components appropriate for the out-of-unit setting that meets the child’s needs.*Evidence:*Submit child’s WN and IEP. **SAU level:***Corrective activity:*Develop a plan to communicate to special education staff the requirement to convene an IEP Team meeting 30 days after out-of-unit placement has occurred.*Evidence:*1. Submit outline of training and attendance and plan.
2. Submit # completed IEPs and WNs, including review of continuum of services.
 |
| OOU7 | Documentation of required annual review of the IEP and placement, if evaluations required. WN documenting the discussion of LRE, any changes to the IEP and evidence of parent’s involvement in the meeting.MUSER IX.3.I (2-6) | Yes = There is documentation of an annual review meeting of the child in an out-of-unit placement. The Team discussed evaluations, if appropriate, LRE, programming and needs of the student. The WN documents the discussion and the involvement of the parents. The WN documents that the team members include representatives from both sending and receiving schools. No = No annual meeting was scheduled and/or the WN did not include all the required elements/documentation. | **Child level:***Corrective activity:*Convene the IEP Team for the annual meeting to discuss the needs of the child, programming, LRE and evaluations, if appropriate. Document the discussion of LRE, any changes to the IEP, parent’s involvement and attendance of all necessary members on the WN.*Evidence:*Submit child’s IEP and WN. **SAU level:***Corrective activity:*Develop a plan to communicate to special education staff the required annual review of the IEP placement and evaluations, if required. The plan must include the SAU’s protocol for out-of-unit placements, the discussion of LRE and the required 30 day and annual review once out-of-unit placement has occurred and provide training on the plan.*Evidence:*1. Submit outline of training and attendance and plan.
2. Submit # completed IEPs and WNs, including review of continuum of services.
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| OOU9 | Required re-evaluations.MUSER IX.3.I(4) | Yes = There is evidence that the IEP Team discussed and determined whether three year evaluations are warranted or not.No = There is no evidence of discussion whether three year evaluations are warranted or not. | **Child level:***Corrective activity:*Convene IEP Team to discuss and determine triennial evaluations.*Evidence:*Submit child’s IEP and WN. **SAU level:***Corrective activity:*Provide training on the IEP process, including analysis of evidence by the IEP Team to determine triennial evaluations.*Evidence:*1. Submit outline of training and attendance.
2. Submit # amended IEPs and WNs.
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| OOU12 | IEP and WNs provided to parents.MUSER IX.3.I(7) | Yes = IEP is sent to the parent within 21 days of IEP meeting. The WN is sent to the parent.No = IEP and WN not sent or sent outside of timelines. | **Child level:***Corrective activity:*Send IEP and WN to parent.*Evidence:*Submit child’s IEP and WN documenting date IEP and WN were sent to parent.**SAU level:***Corrective activity:*Develop a plan to communicate to special education staff the required timelines for providing the IEP and WN to parents.*Evidence:*1. Submit outline of training and attendance and plan.
2. Submit # completed IEPs and WNs, including documentation of date IEP and WN were sent to parent.
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