The Continuous Improvement Process is a blend of compliance monitoring and improving outcomes for students. During Phase I of the Continuous Improvement Process, a designated number of student files were reviewed to verify compliance with state and federal requirements.

Based on Phase I review, a Corrective Action Plan (CAP) is developed. The CAP is implemented by the Local Education Agency (LEA) and compliance is ensured by the Alabama State Department of Education (ALSDE).

The purpose of this report is to provide feedback to the agency in identifying findings of noncompliance that must be corrected as soon as possible, and in no case later than one year from identification of noncompliance. The report also identifies the corrective action that must be taken by the agency as well as the documentation that must be submitted to the ALSDE. In addition, the report informs the agency of the steps the ALSDE will take in order to ensure 100% correction of noncompliance with the statutory requirement(s).
The Focused Monitoring Report will include the following:

- FINDINGS OF NONCOMPLIANCE
- IMMEDIATE CORRECTION STRATEGIES
- IMPROVEMENT STRATEGIES
- DOCUMENTATION OF CORRECTIVE ACTION

GLOSSARY

AAA ................... Alabama Alternate Assessment
AAC ................... Alabama Administrative Code
ADRS ................. Alabama Department of Rehabilitation Services
ALSDE ............... Alabama State Department of Education
AMSTI .............. Alabama Math, Science and Technology Initiative
ARI .................... Alabama Reading Initiative
AYP .................... Adequate Yearly Progress
AOD .................... Alabama Occupational Diploma
CRS ................. Children’s Rehabilitation Services
CTIP ................. Career Technical Implementation Plan
DB ...................... Deaf-Blindness
DD ..................... Developmental Delay
ECEC ................. Environmental, Cultural, and/or Economic Concerns Checklist
ED ..................... Emotional Disability
EI ...................... Early Intervention
ESL .................. English as a Second Language
ESY .................. Extended School Year
HI .................... Hearing Impairment
ID ..................... Intellectual Disability
IEP .................... Individualized Education Program
LEA ................... Local Education Agency (to include State-Operated/State-Supported Agencies)
LEP ................... Limited English Proficiency
LRE .................. Least Restrictive Environment
MD .................... Multiple Disabilities
OHI .................. Other Health Impairment
OI ................... Orthopedic Impairment
OT .................... Occupational Therapy
PST .................. Problem Solving Team
PT .................... Physical Therapy
SES .................. Special Education Services
SETS ................ Special Education Tracking System
SLD .................. Specific Learning Disability
SLI .................. Speech or Language Impairment
SPDG ............... State Personnel Development Grant
SSR .................. Student Services Review
STI ................. Software Technology Incorporated
TBI .................. Traumatic Brain Injury
VI .................. Visual Impairment
VRS ................ Vocational Rehabilitation Services
<table>
<thead>
<tr>
<th>Protection In Evaluation Procedures</th>
<th>IMMEDIATE CORRECTION STRATEGIES (30-Day items)</th>
<th>IMPROVEMENT STRATEGIES</th>
<th>DOCUMENTATION OF CORRECTIVE ACTION</th>
</tr>
</thead>
</table>
| Tests and other evaluation materials were not utilized that provide a variety of assessment tools and strategies to gather relevant functional, developmental and academic information about the child including information provided by the parent. AAC 290-8-9.02(1)(1); 34 CFR § 300.304(b)(1) | Convene the IEP Team and review the eligibility of the students discussed during the on-site visit. | Provide to the appropriate teachers and administrators information, training, and/or technical assistance on the following:  
 1. The proper completion of the Notice and Invitation to a Meeting/Consent for Agency Participation form.  
 2. Ensuring parents are given an opportunity to participate in all meetings when decisions are being made regarding identification, evaluation, placement, and provision of services.  
 3. Refining the central office procedures for monitoring compliance to timelines for initial and continued eligibility.  
 4. The evaluation, eligibility, and reevaluation process/ criteria and requirements for each disability area. | Provide to the ALSDE documentation of the information, training, and/or technical assistance provided including, but not limited to, training agenda/outline and participant sign-in forms.  
 1. The participant sign-in forms should contain columns for the following: name, position, and school/worksite. |
| In evaluation decisions the education agency did not utilize a variety of assessment tools and strategies used to gather relevant information about the child, including information provided by the parent, and information related to enabling the child to be involved in and progress in the general curriculum (or for a preschool child, to participate on appropriate activities. AAC 290-8-9.02(1)(1); 34 CFR § 300.304(b)(3)(c)(7) | Use the information in the file to correct the eligibility report by documenting the missing information on the appropriate pages of the Notice and Eligibility Decision Regarding Special Education Services form for the students. | Provide to the ALSDE documentation of the information, training, and/or technical assistance provided including, but not limited to, training agenda/outline and participant sign-in forms.  
 1. The participant sign-in forms should contain columns for the following: name, position, and school/worksite. |
| In evaluation decisions the education agency did not review existing evaluation, such as current classroom-based assessments and observations, data on the child including evaluations, and information provided by the parents of the child. AAC 290-8-9.02(1)(1); 34 CFR § 300.305(a)(1)(i-iii) | Indicate corrected copy and date of correction on the Notice and Eligibility Decision Regarding Special Education Services form. | Provide to the ALSDE documentation of the information, training, and/or technical assistance provided including, but not limited to, training agenda/outline and participant sign-in forms.  
 1. The participant sign-in forms should contain columns for the following: name, position, and school/worksite. |
| The required assessments were not administered to each student before the eligibility determination meeting. AAC 290-8-9.03; 34 CFR § 300.301(a) | | | |
## FINDINGS OF NONCOMPLIANCE

### IMMEDIATE CORRECTION STRATEGIES

(30-Day items)

- An evaluation is not conducted every three years for each student with disabilities unless the parent and the education agency agree that a reevaluation is unnecessary. AAC 290-8-9-.02(6)(c); 34 CFR § 300.303(b)(1)(2)

<table>
<thead>
<tr>
<th>IMMEDIATE CORRECTION STRATEGIES</th>
<th>IMPROVEMENT STRATEGIES</th>
<th>DOCUMENTATION OF CORRECTIVE ACTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete the Notice of Proposal or Refusal to Take Action form with explanation regarding omission of the documentation on the eligibility report.</td>
<td>On interpreting evaluation data correctly.</td>
<td>3-Month Training</td>
</tr>
<tr>
<td>Send a copy of both forms to the parent and/or student.</td>
<td>The required information that must be documented on the eligibility report.</td>
<td>6-Month Training</td>
</tr>
<tr>
<td>Document the date sent in the appropriate place on the Notice and Eligibility Decision Regarding Special Education Services form.</td>
<td>The appropriate steps to take to complete the initial evaluation or reevaluation process.</td>
<td></td>
</tr>
<tr>
<td>Provide to the parent/students the Notice of Proposal or Refusal to Take Action form with explanation regarding corrective action taken.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### IMPROVEMENT STRATEGIES

- Provide to the appropriate teachers and administrators information, training, and/or technical assistance on the following:
  - The proper completion of the Notice of

### DOCUMENTATION OF CORRECTIVE ACTION

- Provide to the ALSDE documentation of the information, training, and/or technical assistance provided including, but not limited to, training agenda/outline and participant sign-in forms.

### Individualized Education Program (IEP)

- Each student's IEP does not include, if required, benchmarks enabling the student to be involved in and progress in the general curriculum. AAC 290-8-9-.05(6)(b); 34 CFR § 300.320(a)(2)(B)(ii)
- Each student's IEP does not include a statement of the special education and related services and

<table>
<thead>
<tr>
<th>Individualized Education Program (IEP)</th>
<th>REVIEW THE IEPs OF THE STUDENTS DISCUSSED DURING THE ON-SITE VISIT.</th>
<th>REVISE IEPs AS DETERMINED APPROPRIATE BY THE REVIEW.</th>
<th>PROVIDE TO THE APPROPRIATE TEACHERS AND ADMINISTRATORS INFORMATION, TRAINING, AND/OR TECHNICAL ASSISTANCE ON THE FOLLOWING:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review the IEPs of the students discussed during the on-site visit.</td>
<td>Revise IEPs as determined appropriate by the review.</td>
<td>The proper completion of the Notice of</td>
<td></td>
</tr>
<tr>
<td>Address the components that were not completed as required.</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

- Review the IEPs of the students discussed during the on-site visit.
- Revise IEPs as determined appropriate by the review.
- Address the components that were not completed as required.
- Provide to the appropriate teachers and administrators information, training, and/or technical assistance on the following:
  - The proper completion of the Notice of
### FINDINGS OF NONCOMPLIANCE

**IMMEDIATE CORRECTION STRATEGIES (30-Day items)**

<table>
<thead>
<tr>
<th>Findings</th>
<th>Immediate Correction Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supplementary aids and services or program modifications or supports for school personnel. AAC 290-8-9-.05(6)(c); 34 CFR § 300.320(a)(4)</td>
<td>Send a copy of the completed/amended IEP to the parents of the students.</td>
</tr>
<tr>
<td>Each student's IEP does not include a statement of any individual modifications in the administration of the state testing program or why that assessment is not appropriate. AAC 290-8-9-.05(6)(e); 34 CFR § 300.320(a)(6)(i)</td>
<td>Send the Notice of Proposal or Refusal to Take Action form to the parent with explanation regarding corrective action taken.</td>
</tr>
<tr>
<td>Each student's IEP does not include a statement of how the student's progress toward the annual goal will be measured. AAC 290-8-9-.05(6)(g); 34 CFR § 300.320(a)(3)(i)</td>
<td>Document the date sent in the appropriate place on the IEP form.</td>
</tr>
<tr>
<td>Each student's IEP does not include consideration of special factors. AAC 290-8-9-.05(6)(1); 34 CFR § 300.324(a)(2)(i-v)</td>
<td>Convene the IEP team to develop a current IEP for the applicable student(s).</td>
</tr>
</tbody>
</table>
| The IEP and/or student's file does not document the involvement in each IEP meeting of the LEA representative. AAC 290-8-9-.05(3)(d); 34 CFR § 300.321(a)(4)(i-iii) | Complete the Persons Responsible form for the students discussed during the onsite visit. | IEP development that includes completion of the form, all required
| The IEP and/or student's file does not document the involvement in each IEP meeting of at least one special education teacher, or if appropriate, at least one special education provider. AAC 290-8-9-.05(3)(c); 34 CFR § 300.321(a)(3) | Review the IEPs and complete the Alabama Student Assessment forms for the students: | IEP development that includes completion of the form, all required
| The IEP and/or student's file does not document the involvement in each IEP meeting of at least one general education teacher of the child. AAC 290-8-9-.05(3)(b); 34 CFR § 300.321(a)(2) | Send a copy of the revised/amended IEP, including the Alabama Student Assessment forms, to the parent and document the date sent on the signature page of the IEP. | IEP development that includes completion of the form, all required

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### IMPROVEMENT STRATEGIES

<table>
<thead>
<tr>
<th>3-Month Training</th>
<th>6-Month Training</th>
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</thead>
<tbody>
<tr>
<td>Send a copy of the completed/amended IEP to the parents of the students.</td>
<td>Proposed Meeting/Consent for Agency Participation form.</td>
</tr>
<tr>
<td>Send the Notice of Proposal or Refusal to Take Action form to the parent with explanation regarding corrective action taken.</td>
<td>The required IEP Team composition.</td>
</tr>
<tr>
<td>Document the date sent in the appropriate place on the IEP form.</td>
<td>Parental participation in all meetings when decisions are being made regarding identification, evaluation, placement, and provision of services.</td>
</tr>
<tr>
<td>Convene the IEP team to develop a current IEP for the applicable student(s).</td>
<td>IEP development that includes completion of the form as well as the process for developing an IEP based on the individual needs of the student. Begin with the profile and continue through the delivery and evaluation of services. Specifically train on all required IEP components.</td>
</tr>
</tbody>
</table>
| Complete the Persons Responsible form for the students discussed during the onsite visit. | IEP development that includes completion of the form, all required
| Review the IEPs and complete the Alabama Student Assessment forms for the students: | IEP development that includes completion of the form, all required
| Send a copy of the revised/amended IEP, including the Alabama Student Assessment forms, to the parent and document the date sent on the signature page of the IEP. | IEP development that includes completion of the form, all required

### DOCUMENTATION OF CORRECTIVE ACTION

<table>
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<tr>
<td>The participant sign-in forms should contain columns for the following: name, position, and school/worksite.</td>
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</tr>
<tr>
<td>FINDINGS OF NONCOMPLIANCE</td>
<td>IMMEDIATE CORRECTION STRATEGIES (30-Day items)</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------</td>
</tr>
<tr>
<td>There is no documentation that a copy and/or access to the IEP is provided to regular/special education teacher(s) and other related service provider(s). AAC 290-8-9-.05(7); 34 CFR § 300.323(d)(1)</td>
<td>components of the transition page of the IEP including the requirement and selection of the most appropriate pathway, transition assessments, transition goals, transition services, and appropriate implementation of transition planning as well as the process for developing an IEP based on the individual needs of the student. Procedures for providing a copy of the IEP to parents/students. The completion of the Alabama Student Assessment forms in the IEP.</td>
</tr>
<tr>
<td>There is no documentation that each teacher and provider is informed of his/her specific responsibilities relating to implementing the IEP. AAC 290-8-9-.05(7); 34 CFR § 300.323(d)(2)(i)</td>
<td>There is no documentation that each teacher and provider is informed of the specific accommodations, modifications, and supports that must be provided in accordance with the IEP. AAC 290-8-9-.05(7); 34 CFR § 300.323(d)(2)(ii)</td>
</tr>
<tr>
<td>The parents are not notified of the IEP meeting early enough to ensure participation. AAC 290-8-9-.05(a); 34 CFR § 300.322(a)(1)</td>
<td>The IEP notice does not include the purpose, time, location, anticipated participants, and inform the parents that they may bring other individuals who have special expertise regarding the child. AAC 290-8-9-.05(b); 34 CFR § 300.322(b)(i)</td>
</tr>
<tr>
<td>The IEP notice does not include the purpose, time, location, anticipated participants, and inform the parents that they may bring other individuals who have special expertise regarding the child. AAC 290-8-9-.05(b); 34 CFR § 300.322(b)(i)</td>
<td>For a student with a disability beginning at age 16, or younger, if appropriate, the notice does not include that a purpose of the meeting will be transition and indicate that the student and other agency representatives are invited. AAC 290-8-9-.05(b); 34 CFR § 300.322(b)(2)(i)(A)</td>
</tr>
</tbody>
</table>
Steps to be taken by the ALSDE to ensure compliance with the Statutory Requirements

1. For each Immediate Correction Strategy (30-day item), the ALSDE will review corrections on line.

2. Sixty calendar days from the date the LEA received notification of the status of the immediate correction strategies, a random sample of updated data will be pulled and reviewed. The education agency must show 100% correction of noncompliance before SES is allowed to clear/close out the focused monitoring process. If the same findings are identified during the review of updated data, the education agency will not show 100% correction of noncompliance and Step 3 will be taken.

3. Twenty calendar days from the last review of new/updated data, a random sample of new/updated data will be pulled and reviewed. The education agency must show 100% correction of noncompliance before SES is allowed to clear/close out the focused monitoring process. If the same findings are identified during the review of updated data, the education agency will not show 100% correction of noncompliance and Step 4 will be taken.

4. Ten calendar days from the last review of new/updated data, a random sample of new/updated data will be pulled and reviewed. The education agency must show 100% correction of noncompliance before SES is allowed to clear/close out the focused monitoring process. If the same findings are identified during the review of updated data, the education agency will not show 100% correction of noncompliance and the ALSDE will determine what enforcement procedures will be considered.

Enforcement Procedures:
1. The Special Education Coordinator will receive a call from the Program Coordinator of Special Education.
2. A letter will be written to the Superintendent outlining the seriousness of correction of noncompliance.
3. A Compliance agreement will be implemented.
4. The Superintendent will be directed to come to the ALSDE and meet with the Director of the Office of Learning Support, Program Coordinator of Special Education, Focused Monitoring Administrator, and the Focused Monitoring Team Leader.
5. Withholding of funds procedures may be implemented.