

2022

# Special Education Monitoring Manual

DIVISION OF ELEMENTARY AND SECONDARY EDUCATION  
OFFICE OF SPECIAL EDUCATION



## Contents

Introduction .....	1
Monitoring Process Schedule .....	3
Tier Descriptions for Cycle Monitoring .....	4
Tier 1 Monitoring .....	4
Tier 2 Monitoring .....	4
Tier 3 Monitoring .....	4
Tier 4 Monitoring .....	4
Folder Selection .....	5
District Activities for Cycle Monitoring (all Tiers).....	6
Onsite Activities (Tiers 3 or 4) .....	6
Verification (all Tiers) .....	8
Correction of Noncompliance and Improved Performance .....	10
Appendix 1: Glossary.....	12



## Introduction

*In this document, the term LEA and district are interchangeable. The terms also include educational cooperatives with early childhood programs, charter schools, and other state agencies with educational programs.*

**Monitoring and Program Effectiveness (MPE)** The MPE section monitors special education programs for compliance with state and federal special education regulations and provides technical assistance for program improvement. The MPE section's primary focus is improving educational results for students with disabilities and ensuring that all Local Educational Agencies (LEAs) and other public agencies meet the Individuals with Disabilities Education Act (IDEA) program requirements.

The Division of Elementary and Secondary Education (DESE) teams (Standards for Accreditation, Gifted and Talented, Alternative Education, Migrant, English Learners, Counseling, and Health) aligned monitoring procedures across the agency to include four tiers that have similar actions per tier to build consistency in assisting districts. The MPE section personnel work collaboratively with other sections within the Office of Special Education (OSE) and across divisions within the DESE to carry out the overall supervision of special education and related services. By working in partnership with other sections and units, the MPE section State Education Advisors (SEA) can assist district-level administrators in developing and implementing staff in-service and personnel development training designed to meet the needs of individual districts, specific geographic areas throughout the state, and, if needed, on a statewide level. This partnership can also impact training areas that receive emphasis in the higher education teacher preparation training programs. The MPE section works to ensure that each student has access to the general education curriculum and evidence-based practices as a part of their Individualized Education Program (IEP).

All LEAs are monitored annually through various data collection activities and desk reviews. Annual components include the Annual Performance Report (APR) data, Every Student Succeeds Act (ESSA) School Index data, Significant Disproportionality, and Timely and Accurate data submissions.

In addition to the universal monitoring mentioned above, the Division of Elementary and Secondary Education, Office of Special Education (DESE-OSE), uses a tiered monitoring and technical assistance system, which includes a focus on results. This system is designed to (a) ensure LEAs comply with IDEA requirements; (b) identify barriers that may negatively impact student results; and (c) identify technical assistance needs.

Tiered cycle monitoring begins with an [annual risk checklist](#) which DESE completes for all LEAs in the state. The risk checklist includes past corrective actions, changes in LEA supervisors, dispute resolution activity, and district determination data. Districts identified as high risk receive specific support based on the identified areas of risk, which could include on-site monitoring. The OSE reports all high-risk districts to the DESE Standards and Systems Support Office, which are then included in their risk determinations for standards and accreditation. Tiered monitoring includes a four-year cycle component for reviewing student folders and

district procedures. As data are reviewed and a district's risk increases, they move to different levels of review within the tiered system during the designated monitoring cycle.

One component of the tiered system is the four-year monitoring cycle. All LEAs participate in self-monitoring activities during their designated cycle and may be selected for on-site monitoring visits and/or submission of applicable items based on established risk. Self-monitoring allows school staff to review their program data and self-identify strengths and needs. LEAs know their programs and have more opportunities to identify program strengths and weaknesses than the state monitoring team, which is limited to a specific amount of time on-site or virtually reviewing folders. The self-monitoring procedures enable LEAs to take ownership of their programs and use their data to build capacity to maintain compliance and improve services for students with disabilities.

A second component of the tiered system includes targeted monitoring activities for specific areas of need. For example, DESE-OSE may identify a group of LEAs to participate in monitoring and technical assistance activities specific to their performance on particular Annual Performance Report (APR) indicators. Districts may also be identified to participate in off-cycle monitoring activities based on needs identified through state complaints, due process hearings, or other concerns that have been identified by DESE.

Another component of the tiered system is a comprehensive on-site, results-driven monitoring process for Tier 4, which is completed with LEAs determined to be at high risk on the Risk Checklist tool. DESE reserves the right to implement monitoring activities on-site or off-site based on a variety of risk factors regardless of the cycle.

Specific timelines are established for LEAs to submit documentation of completed required monitoring actions. The timelines are based on the dates the monitoring occurs. Districts on cycle monitoring are divided into fall and spring windows during which the initial monitoring process occurs. Districts that have a DESE-OSE review may have slightly different due dates than those on the fall or spring timeline.

DESE-OSE follows up with the LEA to ensure compliance with regulations. DESE has the authority under Section 452 of the General Education Provisions Act (GEPA) to withhold, in whole or in part, any further payments of IDEA funds to an LEA that fails to correct identified non-compliance. Before withholding IDEA funds, the LEA must have reasonable notice and an opportunity for a hearing. Pending the hearing's outcome, DESE may suspend payment to the LEA and suspend the LEA's authority to obligate funds, or both. Withholding or suspending funds is limited to the programs or projects (or portions thereof) that affected the determination. In addition to these actions, DESE may utilize any other authority available to it to enforce the requirements of IDEA, including a referral to the DESE Standards and Systems Support Unit for review of compliance with the rules governing standards for accreditation.

## Monitoring Process Schedule

### *Letters of Notification*

Letters of Notification are sent to all LEAs identified for Tier 1 monitoring in September. This letter notifies the LEA of its monitoring dates and provides a brief overview of monitoring requirements. If a district is identified for monitoring after the letters are sent in September, a letter will be sent as quickly as possible once the need for monitoring is established. Letters for on-site monitoring are sent three weeks before the scheduled visit.

### *Tier 1 Self-Monitoring*

The timeline for the self-review process is 20 school days, excluding state holidays. The MPE team typically determines the specific timeframe dates during the summer months.

### *Tiers 2 and 3 Self-Monitoring (with more information requested)*

A district is identified as Tier 2 or 3 based on clarifying questions or additional documentation that may be requested as Tier 1 data is reviewed. As the SEA reviews the district's submitted documents, further questions may be asked during this timeframe or after it closes.

### *Tier 4 On-site Monitoring*

On-site or virtual monitoring can be between one and five consecutive days. DESE determines the dates. During the monitoring visit, DESE-OSE staff will review the folders, observe classrooms, may interview stakeholders, and review other documents required as part of the monitoring process. A Letter of Notification is sent at least three weeks before the on-site visit.

### *Verification timeline (Pre-finding correction period)*

OSEP permits states to allow pre-finding corrections. In Arkansas, we call this period the verification period, and the timeline is 90 calendar days. The 90 days begin on the date of the monitoring review letter. Once an LEA identifies potential non-compliance in a folder, it should be corrected as soon as possible. This 90-day time period **includes** holidays and weekends.

### *End of the School Year*

The SEA will send out a survey to all LEAs who participated in monitoring activities during the school year to obtain feedback and determine if any system adjustments are needed.

## Tier Descriptions for Cycle Monitoring

### Tier 1 Monitoring

Tier 1 Monitoring is a universal support and means the LEA will participate in self-monitoring using the DESE-developed tools via the Special Education Monitoring Management System (SMMS). The LEA reviews their policies, practices, procedures, and DESE selected student folders. The need for Tier 1 monitoring is identified through risk checklist results, results of previous monitoring, and/or identified through the established four-year monitoring cycle. Tier 1 includes annual desk reviews of APR data, district determinations, and school index data.

### Tier 2 Monitoring

Tier 2 Monitoring occurs when the SEA identifies a need for clarification or additional information on the data submitted in Tier 1 Monitoring.

### Tier 3 Monitoring

Tier 3 Monitoring means additional information submitted still needs clarification or leads to the SEA seeking further information. The need for Tier 3 monitoring can be self-identified, identified through disproportionality data, identified through data and results of self-monitoring, or identified through other data submissions. The SEA and LEA work together to delineate on-site monitoring activities, which usually include student folder reviews. Tier 3 activities may consist of an SEA review of a subset of folders (3 folders) that the LEA reviewed during self-monitoring. This review is a validation check. Areas of potential non-compliance identified in the validation check will be reported with the other monitoring data.

Beginning in the 2021-22 school year, Tier 3 includes a random selection of no more than five districts that may or may not be on the cycle for the year. Districts selected for a random Tier 3 monitoring may be asked to complete any of the monitoring activities described in this document or may have a focused area for review. The DESE-OSE makes determinations annually regarding this random selection and activity. DESE-OSE uses a number generator to make random selections.

### Tier 4 Monitoring

Tier 4 On-site Monitoring includes a DESE-OSE Team monitoring component in addition to some of the Tier 1 activities (general program checklist, teacher information sheet, teacher surveys). The need for Tier 4 monitoring can be determined by many factors, including self-identification, disproportionality data, data and results of self-monitoring, LEA identification as a high-risk designee, or other factors. Tier 4 activities will include an SEA review of the selected student folders, using the same folder [sample size](#) as Tier 1, and classroom observations.

Specific programs that always have on-site cycle monitoring include

- a. All state agency programs:



- i. Division of Youth Services
  - ii. Corrective Education
  - iii. School for the Deaf
  - iv. School for the Blind
  - v. Conway Human Development Center
- b. New charter schools or school districts during their second year of operation.

The LEA and SEA can work together to determine if the LEA will review the selected student folders. LEA folder review options

1. The LEA reviews using the Student Folder Checklist (SFC) before the DESE on-site monitoring.
2. DESE and the LEA review a portion or all folders together with SFC during on-site monitoring.
3. The LEA does not review any files. DESE-OSE does all file reviews.

## Folder Selection

- a. The DESE uploads a Case Management list for each LEA monitored. Students included in the Case Management are from the December 1 count from the previous school year. This spreadsheet is in the secured Special Education Monitoring & Management System (SMMS) module, which LEA supervisors and Early Childhood Coordinators access.
- b. The LEA reviews the Case Management list and notes students who are no longer in the district or have met specific spreadsheet criteria. Student disability categories and dates included on the Case Detail page are not editable.
- c. The LEA will send an email to the SEA once they have updated the case management information in SMMS.
- d. The SEA uses the "Special Education District Profile" published during the previous school year to determine the number of folders to review. The "[Sample Size for Monitoring](#)" on the DESE monitoring page shows how many folders will be selected based on the special education child count.
- e. Students who have transferred into the district in the last twelve months are not selected for folder review.
- f. The DESE-OSE will send a separate email via SMMS for the Teacher Survey links on the day the timeframe opens.
- g. The SEA selects folders by considering the following conditions
  - i. All disabilities present in the district,
  - ii. Each grade level or building level,
  - iii. Placement,
  - iv. Students receiving each of the following: homebound, shortened school day (SSD), or have a surrogate parent assigned,

- v. Post-Secondary Transition for students aged 16 and older,
  - vi. Re-evaluations,
  - vii. Initial evaluations dated within the last twelve months,
  - viii. Behavior removals over ten days within the previous twelve months,
  - ix. Alternate Assessment participation,
  - x. ESY within the previous twelve months, and
  - xi. Transportation.
- h. Five folders for each of the following circumstances will be reviewed to ensure the proper procedure was followed
    - i. Students who graduated the previous year,
    - ii. Students who have been dismissed from special education during the last twelve months (school-age and early childhood), and
    - iii. Early childhood students who transitioned to kindergarten.
  - i. Non-traditional file selection
    - i. If the district has students in a residential facility, day treatment, or other non-traditional settings, one folder from each facility will be selected by the designated SEA who works with Non-traditional programs. These are in addition to the folders the SEA selected from the Case Management list.
  - j. The SEA indicates selected folders by checking the "Review" box in the Case Detail, and the selection is reflected on the Case Management screen in SMMS. The SEA notifies the LEA when the folder selections are ready.

## District Activities for Cycle Monitoring (all Tiers)

1. The LEA will complete and upload into SMMS
  - a. the General Program Checklist
  - b. the Teacher Information Spreadsheet
2. The LEA will have general education teachers, special education teachers, and speech-language pathologists complete surveys.
3. Tier 1: The LEA will use the SFC to review folders and submit the data using the SMMS module during the designated monitoring timeframe.

## Onsite Activities (Tiers 3 or 4)

Tier 3 activities could include a combination of components listed under Tier 4, focusing on item 2c: Folder Reviews. The DESE-OSE will review a specified number of folders previously reviewed by the LEA. This tier may include student folder reviews other than validation checks

based on LEA needs. Tier 3 activities may consist of an SEA review of a subset of folders (3 folders) that the LEA reviewed during self-monitoring. This review is a validation check. Areas of potential non-compliance identified in the validation check will be reported with the other monitoring data.

The Tier 4 on-site or virtual monitoring will include DESE-OSE completing folder reviews and classroom observations. Tier 4 activities could include some or all of the components below

1. Preparing for an on-site or virtual visit
  - a. DESE has a pre-conference with the LEA Supervisor. This pre-conference can be via phone call, video call, or on-site. The purpose of the pre-conference is to help the LEA know what to expect during monitoring.
2. The DESE on-site or virtual visit
  - a. Most DESE visits can be done in one to five days. District size determines the number of days scheduled.
  - b. An entrance conference is held with the superintendent and other district personnel. The meeting acquaints LEA staff with the DESE team and provides an opportunity to familiarize district staff with the visit's purpose and goals.
  - c. Folder Reviews
    - i. DESE-OSE staff uses the Student Folder Checklist (SFC) in SMMS to review the selected student files.
    - ii. If a folder is missing components outlined on the checklist, the LEA is provided an opportunity to locate the component in backup files or online. When the missing component is found while on-site and is compliant, the SEA submits that component as a "YES."
  - d. Classroom Observations (if applicable)

Classroom observations are a way of checking to see that IEPs are implemented for students across the continuum. DESE-OSE staff observes the overall class environment, may ask for a copy of an IEP of a child in the room and look at material availability. The observation is NOT part of the teacher evaluation process.

    - i. If the child count is less than 200 students, the SEA will observe every special education teacher. If the child count is greater than 200 students, the SEA will observe one type of special education class at each campus level or school.
    - ii. Observe a Speech-Language Pathologist if possible. If not, observe the space they use when working with students.
    - iii. Observe Occupational Therapists and Physical Therapists if possible. If not, observe the space they use when working with students.
  - e. Interviews (if applicable)
    - i. Tier 4 Monitoring may include interviews of LEA stakeholders to obtain perceptual data. Stakeholders may include

1. Parents,
  2. General education teachers,
  3. Special education teachers,
  4. Campus administrators,
  5. District administrators, and
  6. Students.
- ii. Depending on the focus group being interviewed and the LEA's scheduling needs, these interviews may occur during the school day or in the evening.
- f. An exit conference may be held with the superintendent and other district personnel. The DESE monitoring team will summarize the monitoring activities, frequently seen issues, and describe the monitoring letter that will be sent detailing results and further needed actions.

## Verification (all Tiers)

Verification is the time and process the DESE-OSE allows districts to make pre-finding corrections based on cycle or focused monitoring. Districts are given 90 calendar days for this process. Specific dates are outlined in the Monitoring Review Letter issued after DESE-OSE reviews district data. Any data collected from monitoring and used in the Annual Performance Report (APR), such as Indicator 13, is reported based on the pre-finding data.

1. Once the assigned fall or spring 20-day review timeframe closes, the OSE will review all submitted documents and run the Student Folder Checklist reports.
  - a. Once all data is reviewed, the LEA will receive a Monitoring Review Letter via SMMS that outlines the next steps the LEA needs to complete during the verification period. The district receives access and copies of the reports showing all items that need to be corrected. The monitoring review letter states any required training areas based on the data submitted.
2. Two types of data are reviewed when there is student-level non-compliance
  - a. **Prong 1: Student Level Corrections** - These are areas of non-compliance identified through student folder reviews. The district will correct each area of non-compliance for the affected students still within the district's jurisdiction (e.g., if a student did not have a post-secondary transition plan present, the district will hold an IEP conference and develop the plan). DESE-OSE then reviews the corrections to ensure student-level compliance.
  - b. **Prong 2: Additional Evidence (or additional pulls)** - These are folders that the DESE-OSE reviews during the verification period but after the non-compliance is identified at the student level to ensure that the identified student-level non-compliance is not a recurring area of non-compliance (e.g., If a student

did not have a post-secondary transition plan, the district not only must the district correct the non-compliance for that student but also must demonstrate, through student IEP conferences that occur after the on-site monitoring activities, that post-secondary transition plans are being developed when appropriate).

- i. Prong 1 and 2 activities take place during the district verification period. At the end of the verification period, any evidence in either prong that has not been corrected leads to the district receiving a formal Letter of Findings of Noncompliance and a Compliance Action Plan (CAP). The district must correct all non-compliance as soon as possible and no later than one year from the Letter of Findings.
    - ii. DESE will work with the LEA to determine the best review method for Prong 1 and Prong 2 data.
  - c. If any Professional Development (PD) was required during the verification period, the LEA would provide the required evidence that the training occurred. PD does not clear student folder non-compliance. It educates staff in areas with patterns of non-compliance.
3. After the 90-day verification period ends and DESE-OSE reviews data from the verification submissions, the district will receive a Letter of Finding stating if non-compliance is found. The Letter of Finding is sent within three months of the verification period ending.
  4. SPP/APR data reporting is based on the level of compliance found before corrections occur during the verification period.

## Correction of Noncompliance and Improved Performance

When an LEA or other public agency is determined to have a finding of non-compliance, a CAP is written to address the deficiency with specified timelines for correction and submission of evidence for review. The CAP actions must be completed as soon as possible, but no longer than one year from the issued date, as noted on the Letter of Finding. Specific documentation must be submitted to demonstrate the implementation of corrective actions. DESE-OSE issues any CAP within three months of the finding. The OSE notifies the Standards and Systems Support Unit when a district is issued a CAP.

The district must determine the root cause(s) of the non-compliance and create a draft CAP submitted to the OSE. Once received, the Administrator for MPE schedules a video call with the SEA supporting the district and the LEA Special Education Supervisor. During this call, the CAP is reviewed and edited to ensure all SEA required actions and evidence to be submitted are included. Once the LEA and SEA agree on the CAP, signatures are obtained.

Individual LEAs may be required to conduct a self-review of policies, procedures, and practices to address identified deficiencies with the corresponding timelines for review to gauge the effectiveness of their implementation of corrective actions. The DESE-OSE staff monitoring the public agency's effectiveness will require revisions to the plan if the efforts appear ineffective. Before determining that the public agency has substantially corrected the non-compliance, additional follow-up and/or review of more recent data will occur to verify the correction of non-compliance.

Any CAP issued for student-level non-compliance must correct student-level issues within the one-year timeline (Prong 1). If a CAP was issued because there was no additional evidence for an issue(s) present during verification, the CAP will address and include the additional evidence required for Prong 2.

Public agencies must submit written assurance and/or evidence that the CAP deficiencies have been corrected as directed. When written assurance is provided, evidence that documents the public agency's progress in correcting the noted deficiencies must be available at the public agency for review by the DESE-OSE staff. Upon receiving all requested evidence cited in a CAP or CAPs and verification by the DESE-OSE staff of full correction, the DESE-OSE will notify the public agency of its compliance status.

A district that does not complete the requirements in the CAP within the designated time enters a status of long-standing non-compliance. The DESE-OSE will issue a letter to the district informing them of the status and outlining the next required corrective actions, sanctions, or enforcement actions. The actions will include a timeline and monthly check-in for the completion of each required action. DESE-OSE will review the reasons for the non-compliance, the overall status and progress on the CAP, and other data to determine if additional requirements related to VI-B budgets will be enforced.

Required or enforcement actions could include:

- Mandatory technical assistance

- Increased reporting requirements
- Required use of funds for specific actions

DESE-OSE will continue to work with the district to correct and verify non-compliance, including student-level non-compliance and additional evidence to ensure any systemic issues are corrected.

# Appendix 1: Glossary

***Note:***

*Not all terms included in the glossary are used within the previous text but are commonly used terms used in the state (e.g., per period adjustment & verification calculator).*



**Additional Pull** – [OSEP Memorandum 09-02](#) explains that when an SEA is verifying that the non-compliance was corrected, the state must both ensure that the LEA has corrected “each individual case of non-compliance, unless the child is no longer within the jurisdiction of the LEA,” and determine that the LEA is subsequently correctly implementing the specific regulatory requirement(s) through a review of updated data, such as data subsequently collected through on-site monitoring or a State data system. The OSE refers to the “subsequently correctly implementing” file review as an additional pull.

**APR** – Annual Performance Report – Located on the DESE-OSE website. Fulfills the federal mandate requiring the state to have a “performance plan that evaluates that State’s efforts to implement the requirements and purposes of this part and describes how the State will improve such implementation.”

**CAP** – Compliance Action Plan. A plan issued to the LEA to address all areas of District non-compliance found during monitoring that were not corrected during the 90-day verification period. Districts have up to one year to complete CAP(s).

**Case Management** – Generated by the DESE-OSE with information reported on the District’s December 1 count. The case management list is in SMMS, and DESE-OSE selects folders for review based on the list. This list reports information about each student who has been identified and receives services under the IDEA.

**Case Load Waiver** – Allows a teacher to exceed the maximum teacher/pupil caseload as outlined in AR Reg. 17. A letter must be submitted to the SEA stating the reason(s) for exceeding the maximum teacher/pupil caseload and outlining a plan to correct the problem. OSE administrators approve caseload waivers.

**Determination** – A statement of how each LEA is making progress toward meeting state goals on the APR. Categories include

- *Meets the requirements* and purposes of IDEA,
- *Needs assistance* in implementing the requirements of IDEA,
- *Needs intervention* in implementing the requirements of IDEA, or
- *Needs substantial* intervention in implementing the requirements of IDEA.

**District Profile** – The District Profile is a one-page demographic summary of the special education child count for each LEA. It delineates the demographic profile of either school age or early childhood students from the previous school year.

**Evaluation 3-year timeline** – Calculated by using the date of the meeting on the Evaluation Programming Conference Decision Form (3 years from the previous meeting date) or the date of eligibility on an Existing Data Review form (EDR).

**FTE** – Full-time equivalency. This information is provided by the LEA, in decimal format, for each special education teacher and service provider. (e.g., a person who is a full-time SLP is reported as 1.0 FTE. A person who works 50% of the time in a role or position is a .5 FTE.)

**General Program Checklist** – Completed by LEA. Used to document a district’s compliance with federal law by reviewing district policies, procedures, and practices related to special education.

**HH Hospital/Homebound** – Placement of a student who receives special education in medical treatment facilities on an in-patient basis or at home.

**LEA** – Local Education Agency. The term includes districts, charter schools, state-operated programs, and educational cooperatives. The DESE-OSE also uses the term to refer to the Special Education Director (called LEA Supervisor).

### **Monitoring Letters**

- **Letter of Notification** – A letter sent to the district's superintendent, prior to the DESE-OSE's monitoring, officially notifying the LEA that official monitoring has been scheduled.
- **Monitoring Review Letter** – A letter sent to the district's superintendent summarizing the information/data reviewed during monitoring, listing any potential areas of non-compliance, requesting corrections, outlining the next actions, and listing required additional documentation.
- **Letter of Findings** – The letter sent after the verification period is complete. The letter states the final monitoring findings and includes a CAP for any areas of non-compliance that exist.

### **Monitoring Reports –**

- **"Yes" Report** – A list of student files reviewed during monitoring. Any child whose student folder checklist is reported with all "YES" responses is noted in green.
- **"By Question" Report** – (a "NO" Report) Generated from reporting on the Student Folder Checklist. The report is organized by questions that have been reported as "NO" on the file review. Names of the children who had non-compliance in that area are listed below the question.
- **"By Student" Report** – (a "NO" Report) Generated from reporting on the Student Folder Checklist. The report is organized by student names. Each area of non-compliance reported in the folder is listed below the student's name.

**MySped** – The secure data server districts use to submit specific required data to the DESE-OSE.

**Non-Traditional Programs** – Educational programs outside the traditional public school model. Residential facilities, day schools, day treatment centers, and correctional education are all non-traditional programs.

- Day schools, residential facilities, Juvenile Detention Centers (JDC) – fall under the LEA in the district in which they reside.
- Division of Youth Services, Department of Correction, Conway Human Development Center, AR School for the Blind, AR School for the Deaf – are their own LEA.

**OSEP** – The Office of Special Education Programs is the Federal Agency that oversees IDEA implementation.

**Per Period Adjustment** – Anytime a resource class period is over eight students, the district submits the campus, teacher, subject, and the paraprofessional's name assisting that period to the DESE-OSE for a per period adjustment. The MPE administrator must approve any request for larger than ten students.

**Per Period Range** – Indicates the fewest students a teacher serves in any class to the most students a teacher serves in any class.

**Risk** – A measure of how likely a condition is to occur and the impact the condition may have on students.

**Risk Assessment** – A rubric used to create a rating for each LEA. Each Risk Assessment component is rated on a 0-4 scale. The higher the rating means there a higher risk for that particular item. The rating is based on the APR data. The Risk Assessment data is a component used in the annual LEA determination.

**Risk Checklist** – A rubric used by SEAs to identify the level of risk in implementing special education programs for an LEA. The Risk Checklist includes data from the Risk Assessment, the district determination, and other factors.

**SP1 Form** – A form that states who in the LEA is responsible for implementing the LEA's surrogate parent program.

**Student Folder Checklist (SFC)** – A checklist used to review student folders for special education compliance.

**Teacher Information Sheet** – A monitoring tool LEAs use to report District teacher information and verify teacher caseload.

**Special Education Monitoring and Management System (SMMS)**- The system used for program monitoring components.

**Teacher Surveys** – General education and special education teachers complete a survey designed for their role as part of a district's monitoring process.

**Verification Period** – The period the district has to submit corrections and additional documentation to the SPED Unit. Also called the "verification window."

**Verification Calculator** – Used to determine how many additional folder pulls a district must submit to verify compliance.